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EVALUATION REPORT  
ON THE URBAN COURT PROGRAM  
SEPTEMBER 1975 - SEPTEMBER 1976

48486

TOUCHE ROSS & CO.



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January 28, 1977

Mr. Donald Main  
Evaluation Coordinator  
Massachusetts Committee on  
Criminal Justice  
110 Tremont Street  
Boston, Massachusetts 02108

Dear Mr. Main:

We have completed our review and evaluation of the Urban Court Program for its initial year of operation. The attached report contains the results of our evaluation, activities, findings, and observations during the period of September 1975 through September 1976. We have discussed the results of our review with representatives of the Urban Court Program, Dorchester District Court, and the Governor's Committee on Criminal Justice.

The approach to the evaluation emphasized two aspects of the Urban Court Program. First, the innovative concepts developed by the Urban Court Program were assessed in terms of actual impact based upon predetermined evaluation criteria. Second, the evaluation assessed the degree of integration of the Urban Court Program into the operations of the Dorchester District Court. In this context, the Urban Court Program was viewed as a temporary structure which enabled the development and testing of service enhancements to the Court. Accordingly, the potential for the integration of Urban Court Program concepts into other courts received a substantial amount of attention during our evaluation.

Our review consisted of periodic on-site visits, analysis of operating data, and discussions with representatives of the Urban Court Program, Dorchester District Court, and the Dorchester community throughout the initial year of operations. We also conducted several review meetings with you to present our findings and observations, and have discussed the implications of our recommendations upon the Urban Court Program and

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the Dorchester District Court. Finally, we have developed estimates of future funding requirements, and defined an implementation alternative for possible assumption of successful Urban Court Program components into the Dorchester District Court.

The report is organized into the following sections:

Section I	Management Summary
Section II	Mediation Component
Section III	Victim Component
Section IV	Disposition Component
Appendix A	Evaluation Methodology
Appendix B	Financial Analysis Methodology
Appendix C	Central Administrative Staff

The Management Summary briefly describes the history of the Urban Court Program, summarizes the initial year of operation, and presents our major findings. Sections II through IV describe each of the three program components by summarizing the background, operations, quantitative results, interview results, and financial analysis. Appendix A describes the overall approach to the evaluation. Appendix B describes the methodology used to prepare the financial analysis, and Appendix C describes the central administrative staff functions of the Urban Court Program.

The scope of the evaluation did not include an audit of the financial data provided by the Justice Resource Institute Inc. or the City of Boston for the Urban Court Program. While we have reviewed the financial information for reasonableness, we have not performed a financial audit of the records. Accordingly, we do not express an opinion on such data.

As described in our report, we have been impressed by selected results of the Urban Court Program and believe that useful, new services have been provided to the Dorchester District Court and the citizens of the Dorchester community. However, the second year of operation represents a substantial challenge to the staff of the Urban Court Program and the members of the Dorchester District Court. Considerable attention must be directed toward the improvement of service volumes, reduction in program costs, and the development of implementation plans for the future assumption of administrative responsibility by the Dorchester District Court or other appropriate agencies.

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We would like to thank the staff of the Urban Court Program and the Dorchester District Court for the cooperation and assistance provided to our project team throughout the evaluation period. We would also like to thank the many other individuals from the community and other criminal justice agencies who participated in the interview and data collection activities.

If you have any questions regarding this report, please contact Mr. Harold A. Katersky or Mr. Richard C. Greenough of our Detroit office at (313) 965-1100.

Very truly yours,

*Touche Ross & Co.*

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SECTION I

MANAGEMENT SUMMARY

SECTION I

MANAGEMENT SUMMARY

INTRODUCTION

The concepts embodied in the Urban Court Program evolved from serious concerns that the court system has become isolated from the public; that the public has lost confidence in the courts' ability to provide fair and rational justice; and that traditional court responsibilities must be expanded as society becomes increasingly urbanized. The failure of the court system to balance intense caseload pressure against the needs of victims, disputants, offenders, and the community contributed to the belief that most large urban courts administer justice mechanically without being responsive to the society which they serve. The Urban Court Program intended to demonstrate that courts in an urban environment could expand the concept of justice to reduce their isolation from the community.

The Municipal Court of the Dorchester District, located in Boston, exhibits many of the characteristics of a large urban court. The Dorchester community is rapidly changing, the population is shifting rapidly and criminal activity has increased dramatically. Community tension and racial disturbances have identified the Dorchester community as one of the most turbulent areas of Boston.

The Court's workload reflected the problems associated with a rapidly rising crime rate. As the demands of day-to-day operations increased, the Court's attention was directed toward processing the rising caseload. Consequently, the organization, administrative systems and other nonjudicial functions of the Court received decreasing attention. Few effective improvements to the Court's administrative systems and management functions had been implemented previously, which had left the Court a legacy of poor operations. The community had been isolated from the Court and viewed the Court as incapable of administering justice properly.

Several events within recent years have initiated an atmosphere of change. A new Presiding Justice implemented several projects to improve community relations, implement special probation services and utilize various offender rehabilitation programs. An operations improvement program within the Court resulted in improved operating systems, organization structures and utilization of management resources. Most importantly, the judges and staff of the Court were interested in building upon the recent programs and improvements through innovative Court and community based programs.



The conceptual development of the Urban Court Program resulted from the efforts of the Justice Resource Institute, Inc., (JRI). JRI planners conducted fieldwork in the Dorchester District Court to gain an understanding of the basic court systems and operations, and the relationships of the Court to the local criminal justice and community agencies. This fieldwork formed the foundation for the development of the three component projects of the Urban Court Program, and provided substantial input to the preparation of the initial grant application. Three specific problem areas were identified in the initial analysis.

First, many cases brought before the Court required the resolution of essentially private disputes such as personal arguments, personality clashes, conflicting attitudes or life styles, and minor property or economic grievances. The main issue in these types of cases is not the determination of guilt or innocence, but rather developing adequate resolution of the dispute to prevent a relatively minor incident from becoming a serious criminal matter. Existing state statutes permit the Clerk of Court to dispose of matters that are legally insufficient for trial or essentially personal in nature. Although this process allows the Clerk to prevent a minor incident from reaching the courtroom, there is often inadequate time to reach a lasting resolution to the problem. Further, this process frequently does not allow sufficient time to provide adequate follow-up and referral services which will prevent the dispute from recurring. These types of cases can consume excessive time without ever addressing the underlying problems which created the dispute.

Second, the criminal justice system, and courts in particular, receive universal criticism at both national and local levels for their treatment of crime victims. Not only do the victims suffer a combination of physical harm, economic loss, and psychological trauma as a result of the crime, but victims must also endure the hardships of long waits, delays, and postponements as they participate in complex and confusing legal proceedings. The circumstances at the Dorchester District Court were compounded by poor facilities, inadequate systems, unnecessary confusion, and inadequate concern for the public.

Third, the sentencing process is characterized by several significant problems. Practical considerations require judges to sentence offenders based upon insufficient information, inadequate sentence alternatives, and constant time pressures. The criminal justice process isolates offenders from the consequences of the criminal act. In most cases, the offender is never confronted with the effects of the crime upon the victim.

Conversely, the victim receives little satisfaction from most sentences and, in many instances, cannot be made whole even when restitution is ordered by the courts. The community criticizes the courts' attempt to balance punitive and rehabilitative objectives as either too harsh or too lenient. Accordingly, the needs of all parties concerned with the sentencing process are not completely satisfied by the existing system.

JRI planners developed the proposal for the Urban Court Program to dramatically impact the three identified problem areas. Essentially, the Urban Court Program intended to increase community participation in the administration of justice, provide additional human services to disputants and victims of crime, and develop realistic and creative sentencing alternatives and recommendations. As proposed, the Urban Court Program consists of three components operating under the supervision of a Program Director and supported by a central administrative staff:

- The Mediation Component would work closely with the Clerk's Office to assist in the settlement of disputes before issuing criminal complaints. Trained community mediators would conduct mediation sessions and, with the staff, provide follow-up services during the dispute settlement process.
- The Victim Component would consist of two units. The DA Unit would function as support to the District Attorney's Office to provide orientation, counseling, referral services, and specific assistance to victim and witnesses in cases brought before the Court. The Urban Court Program Unit (UCP Unit) would work as part of the Urban Court Program to provide services and follow-up referrals to victims requiring services other than those directly related to the processing of the case.
- The Disposition Component would accept referrals from judges and develop presentence investigation reports. A Disposition Panel would develop sentencing recommendations. Panel representation would consist of Urban Court Program staff, associate probation officers, community members, the offender, and in selected cases, the victim. The participation of the offender would be critical to the development of realistic and creative sentencing alternatives for use by the judges in determining the most appropriate sentences.

The Law Enforcement Assistance Administration awarded a discretionary grant in the amount of \$412,774 for the Urban Court Program on April 14, 1975, to assist in funding the program. The Massachusetts Committee on Criminal Justice, the State Planning Agency, was designated as the grantee; the Mayor's Office of Criminal Justice was designated as the subgrantee. The Justice Resource Institute, Inc., assumed responsibility for program management and operation under a subgrant from the Mayor's Office of Criminal Justice. Nonfederal funds committed to the program raised the total funding to \$458,637 for the first year's operation.

Special conditions of the grant award required that an independent evaluation be conducted under the direction of the grantee, the Massachusetts Committee on Criminal Justice. Following a formal contractor selection process, Touche Ross & Co. was selected to conduct an evaluation of the Urban Court Program. The basic objectives of the independent evaluation included:

- Assess the impact of the Urban Court Program on the operations of the Dorchester District Court based upon a comparison of operational profiles before and after implementation.
- Document and analyze the performance of each of the three Urban Court Program components.
- Compare the perceptions of Court and criminal justice agency representatives before and after implementation.
- Compare the perceptions of selected community representatives before and after program implementation.
- Prepare a descriptive program study and cost analysis to document the implementation process and to determine the costs of continued implementation.

Three important considerations influenced the overall objectives of the evaluation process. First, special projects such as the Urban Court Program frequently function as separate entities outside of the host facility and do not achieve realistic expectations for eventual integration into ongoing operations of the host institution. Characteristically, these special projects react to multiple and occasionally conflicting influences. The special project develops an identity of its own which prohibits future assumption of responsibility by the host institution. Evidence of this phenomenon existed with other special projects in the Dorchester District Court. These special projects had continued to operate separate from the Court for several years.

The Urban Court Program, as conceived, would react to three widely differing influences: the Court, the community, and the implementing agencies. Accordingly, an essential goal of the evaluation effort, defined by the Committee on Criminal Justice, required that the degree of actual or potential integration of the three Urban Court Program components into the Court be evaluated.

Second, although many of the defined evaluation objectives addressed the efficacy of the Urban Court Program, the evaluation must consider and assess important management and administrative aspects. Frequently, sound and innovative approaches to service delivery do not achieve expectations due to inadequate management attention, insufficient administrative support, or improper coordination between the special project and the host facility. As a result, the conceptual service delivery approach is evaluated improperly if the causes of inadequate implementation results are not determined. Accordingly, the management aspects as well as the service aspects of the Urban Court Program were to be reviewed as part of the evaluation.

Third, although the purpose of independent evaluators is primarily to observe and analyze, identified problems and opportunities for improvement may be discovered which can contribute to the successful implementation of the program. As recommendations were identified, the evaluators would present them to the project staff for use in strengthening the project rather than withholding the information until the final report. In this manner, interim corrective action could contribute to the best implementation and operation of the program.

#### SIGNIFICANT IMPLEMENTATION STEPS

Primary emphasis of the Urban Court Program staff during the period immediately following the award of the grant centered on selection of the staff, community and Court involvement, and operations planning. Responsibility for these activities remained with the initial Urban Court Program staff which consisted of the Program Director, Director of Research and Evaluation, and one of the Disposition Convenors. Further staff hiring had been postponed until October 1975 to await final receipt of grant funds and approval of the overall staffing plan by the Court.

The evaluation team conducted the preimplementation review of the Urban Court Program during September 1975. The status of the Urban Court Program at that time is described in the following paragraphs.

Identification of staff for administrative positions was essentially complete although differences between Urban Court Program and Court staff characterized the hiring process. Major

differences centered on the basic selection procedure, qualifications of individual candidates, and prior agreements. The directors of the three components had been selected and the remaining line staff were hired very shortly thereafter.

Community involvement was emphasized heavily during the initial months of implementation planning and project start-up. The Hiring Committee met frequently during the summer and early fall to interview, screen, and recommend candidates for administrative, line staff, and panelist positions. In addition, Urban Court Program staff met with several community groups during the summer to discuss the program and the need for active community involvement throughout implementation. Two area newspapers, The Dorchester Argus Citizen and the Bay State Banner provided initial media exposure through feature articles.

Mediation Component planning progressed rapidly upon the hiring of the Mediation Director. Several meetings with the Clerk of Court and observations of the Clerk's Hearings provided a basic understanding of the current systems. Review of the referral procedures and case volumes determined that the Mediation Component might receive insufficient complaints for mediation. Efforts to identify additional acceptable referral sources were pursued. The Institute for Mediation and Conflict Resolution conducted training from October 11-29, 1975. Court and Urban Court Program staff were highly enthusiastic about the quality and scope of the training program.

Disposition Component planning had progressed at a conceptual level, but detailed planning was postponed until hiring of the Disposition Director. The existing staff developed a process chart identifying major activities in the Disposition Component and a list of charge types to be referred for disposition. Meetings with Court staff and representatives of criminal justice agencies provided a general understanding of the proposed operations, but several specific operating and legal aspects remained unresolved. Community panelist selection and training were not complete as of October 10, 1975. Initial implementation was scheduled for mid-November.

Victim Component planning was divided between two units responsible for services to victims of crime. The DA Unit planned to provide case-related services to victims to assist the District Attorney's Office with the case prosecution. The services included explaining the criminal justice process to the victim, informing victims of their participation in the process, providing for immediate service needs, and completing appropriate loss documentation. The services were to be provided during the course of the case prosecution and would not extend to longer term follow-up services.

The UCP Victim Unit had not clearly established definite target groups or procedures due to the lack of a Victim Director. The UCP Unit planned eventually to provide services to victims of crimes in which there were no arrests and to victims initially counseled by the DA Unit. As planned, the UCP Unit would provide extended services and follow-up to crime victims after initial service by the DA Unit. This division of service delivery to crime victims would require close coordination and cooperation between the two units to avoid gaps and duplication in services.

The Urban Court Program became fully operational in November 1975, when all three components began accepting referrals. Initial utilization in all components was below the case levels anticipated in the original grant application. External relations with the Court, District Attorney, other criminal justice agencies, the City of Boston and the community had developed satisfactorily.

The evaluators conducted periodic on-site visits and conducted a major review of the Urban Court Program in March 1976. The major findings of the review, contained in the Interim Program Report of April 9, 1976 are summarized below:

"The Urban Court Program has successfully implemented the three components necessary to demonstrate that the concepts are viable and can satisfy the primary objectives as defined in the original proposal. In subsequent months, however, the central administrative staff must assess the direction in which each of the components is evolving. Strategies must be developed and plans formulated to ensure that the components accomplish the stated objectives and can be effectively integrated into Court operations."

"Areas to which the central staff should direction attention in future months include:

- Increase the cost effectiveness of the components by increasing participation of community members, decreasing operating costs and increasing the volume of services provided by each component.
- The central administrative staff and directors must begin to define strategies to institutionalize and replicate the components which appear successful.
- Internal operating procedures need to be strengthened to reduce coordination problems among the components and with the Court and Assistant District Attorney.
- The visibility of the Urban Court Program within the Dorchester Community and at the county and state levels should be increased."

The Program Director resigned in July 1976 and the Mediation Director was appointed as Acting Urban Court Program Director in August 1976. A comprehensive review of the operations of each component was initiated and the emphasis of the reviews is described in the subsequent sections of this report. Substantial progress has been made on the review which was in process during postimplementation review in September 1976.

A substantial amount of time during the summer and early fall was devoted by the Urban Court Program staff to the contract approval process. Final contract approval for the second year funding was not obtained until November 1976. Interim funding of the Urban Court Program had been provided by the Justice Resource Institute and the City of Boston to enable the program to continue operations from the end of the first funding year until the final approval by the City of Boston.

#### MAJOR OBSERVATIONS

The review of the Urban Court Program developed several major observations on the first year of operation. These observations were discussed with Urban Court Program, Dorchester District Court and Governor's Committee on Criminal Justice personnel. The following observations are summarized from the individual component descriptions presented in Sections II-IV of this report.

- The Mediation Component provided a useful new service to the Court during the initial year of operation.

The Mediation Component is regarded as the most successful of the Urban Court Program components. Basic strengths include strong support by the community and Court representatives, planned expansion of the services into other activities, and an apparently high rate of successfully mediated cases. The Mediation Component has reduced the number of trials and related court processing while providing additional services to the disputants. The implementation approach has resulted in the development of a strong relationship with the Court, development of trained staff and community mediators, and an improvement in perceptions by the Court's staff since initial implementation. #

The major problem confronting the Mediation Component involves the low case volumes. Cases referred to the component by the Clerk have not achieved original expectations nor have the cases been screened out

of the criminal process. Approximately 49% of the referrals to the Mediation Component come from either the judges or the District Attorney's Office. The lower case volumes also decreased the utilization of the trained community mediators. The total cost per case has decreased from \$878 to \$403 in the past six months. ✓

Several factors contribute to the satisfactory performance of the Mediation Component. The Mediation Component appears to resolve disputes and service needs of disputants as indicated by the low rate of Mediation settlement breakdowns. Community mediators have been used successfully and appear enthusiastic toward their responsibilities as mediators. Alternative approaches and intake points are currently being considered to expand the services and volumes of the Mediation Component. Finally, the perceptions of criminal justice and court representatives toward the Mediation Component have improved throughout the year.

- The District Attorney's Victim Unit has achieved its basic objectives of providing services to victims of crime and improving victim participation in the Court process.

The services provided by the DA Unit directly support victim participation in the court process. Services include the documentation of loss, explanation of the Court process, and coordination of schedules. Victim services, in conjunction with specific Court actions, have contributed to a reduction of the continuance rate. #

DA Unit problems relate to identifying and meeting appropriate service needs of victims, coordination with the UCP Unit, poor facilities, and establishing an adequate management information system. Service requirements of victims do not appear to be as extensive as initially expected and have resulted in a low referral rate to the UCP Unit. Service duplication between the two units occurs in the documentation of loss and the provision of other services. Waiting facilities for victims and witnesses are inadequate. Finally, management reports necessary to assess the operation of the DA Unit are not prepared on a regular basis.

The main objective of the DA Unit is to improve the participation of the victim and witnesses in the Court



process. The cost of providing services to victims has decreased from \$35 to \$26 in the past six months.

- The Urban Court Program Victim Unit has achieved its basic objective of providing services to victims of crime but requires further definition of services, client groups, and referral services.

The UCP Unit has improved its performance throughout the year, but requires further definition of services, client groups, and referral points. Performance has improved since the UCP Unit began providing services to the victims of juvenile crime, improved its coordination with the Disposition Component, and initiated the use of community members as Victim Aides. These service enhancements have increased from 0% to 40% of total case volume in the past six months. Decreased emphasis has been placed on the crime prevention and long term services which are regarded as more appropriate for other agencies.

The lack of clearly defined goals, services and objectives has contributed to UCP Unit problems. The Court and the Urban Court Program have placed different emphasis on victim services. The Court regards victim services to be related largely to caseflow improvements while the UCP Unit has broader victim service goals. The separation of victim services between the District Attorney's Office and the Urban Court Program results from differences in victim service goals. The service needs of victims, other than financial, may not be as extensive as initially anticipated which has resulted in low service volumes. The cost per case has decreased from \$490 to \$194 in the past six months.

- The Disposition Component does not appear to provide a new or innovative service but is regarded by members of the Dorchester District Court as having an important impact upon court operations.

The Disposition Component is regarded by the majority of Urban Court, Dorchester District Court and community representatives as the least successful of the Urban Court Program components in terms of original objectives. However, the Disposition Component has several strengths. Important probation services are provided to the Court through improved presentence information on the offender. The Disposition Component also supervises probation cases which has reduced the caseload

assigned to the Court Probation Department. Accordingly, the lower probation caseloads per probation officer have generally improved overall supervision of all cases. Many of the implementation problems originally anticipated have been avoided such as higher appeal rates, rejection of sentence recommendations and potential legal problems. Judges and members of the Court staff consider the impact on the Probation Department to be one of the most important aspects of the Urban Court Program.

Several problems confront the Disposition Component. The majority of individuals interviewed, including the judges, believe that the Disposition Component does not provide creative sentencing alternatives to the Court, which is its primary objective. Moreover, the process requires additional time and processing by the Court. Community awareness of the Disposition Component is limited to community panelists and other community members close to the Urban Court Program. Several community members expressed disappointment over current operations and the limited community participation. The Court staff's expectation is limited to the improved probation functions while the community members desire to expand the scope of the Disposition Component activities. The cost per case has decreased from \$1,347 to \$1,123 in the past six months. ✓

The major objectives of the Disposition Component have been partially satisfied. Sentence recommendations are provided to the Court, but are not regarded as creative. Improved presentence investigations do provide useful information to the judges. No information exists to enable assessment of the concept that the offender will appreciate the consequences of his act. The community members have been trained to participate in the sentencing process, but have not been utilized to their full potential. The perceptions of most criminal justice and Court representatives regarding the Disposition Component have decreased throughout the year.

- The continued need for all administrative staff positions has decreased now that the Urban Court Program has been implemented.

The central administrative staff was intended to assist in the implementation planning and providing administrative support to the three components. In addition to overall program management, the central administrative staff coordinated with the Court and various advisory

groups, developed community interest and resources, and performed necessary administrative functions. Working relationships with the Court have improved since initial implementation and many of the operational problems have been addressed by the central administrative staff.

Contract approval delays have consumed excessive administrative time better directed toward analysis of component operations, definition of services and analysis of program costs. Further, the development of plans for absorption of the program into the Court's administrative structure have not been developed.

#### FUTURE CONSIDERATIONS

The staffs of the Urban Court Program and the Dorchester District Court have discussed the future of the Urban Court Program now that implementation has been completed. The Interim Report suggested that integration planning should receive increased attention by the central administrative staff but this has only recently been undertaken. Although many alternatives are under consideration, integration of the successful concepts into the Court's operation is crucial for several reasons:

- The concepts of the Urban Court Program demonstrate new approaches to problems identified in the criminal justice system. As such, the Urban Court Program should demonstrate that existing agencies can provide the services at a reasonable cost.
- The continued need for a separate organization to administer the components' operations has decreased after completion of the implementation phase. Continued operation of the program should become a responsibility of existing criminal justice agencies.
- Initial operating costs and costs per case appear to exceed the costs which other courts could afford for ongoing services due to the high ratio of indirect and burden costs. The costs should be determined for ongoing operation without unnecessary indirect and burden costs for use in replication planning.

Planning for integration of the Urban Court Program into the existing criminal justice agencies should become a high priority of the Urban Court Program staff. Although many alternatives are available, assumption of administrative responsibility by the Court and other agencies must be carefully planned and implemented during the second funding year. All implementation and conversion planning

should be completed prior to development of future funding proposals. A specific objective of the planning effort should recognize the need to develop and maintain cost effective services for replication in other courts and agencies.

The following summaries describe one alternative which might be considered in implementation planning. The alternative assumes that the Dorchester District Court would assume major administrative responsibility for the components of the Urban Court Program. Estimates of future funding provide for adequate staff for conversion and operation, but recognize the necessity to decrease total program expenditures. Further reductions in subsequent years should be determined after conversion to the integrated organization.

- Establish a Court Services Division within the Court.

A new court division could incorporate the services provided by the Mediation Component and the UCP (Victim) Unit. Overall responsibility for the Court Services Division would be assigned to the Presiding Justice with day-to-day supervision assigned to the Court Administrator and Court Services Division Director. Basic mediation and victim services would be continued with expanded use of community participation in service delivery, administration and follow-up. Combination of the two functions under one organizational unit would also permit the sharing of administrative staff, cross-training of community members, and centralization of Court service functions. Other service functions such as an information desk and notification procedures might also be assigned to the Division.

- Integrate the Disposition Component into the Probation Department as a Special Services Unit.

The Dorchester District Court has implemented an organization for the Probation Department based upon the intensity of supervision required: intensive; medium; and administrative. New cases are assessed and assigned to the supervision units based upon the intensity of supervision required. The concepts of the Disposition Component would supplement the current procedures of assessment and assignment. Cases would receive the presentence investigation report and a recommendation of the Disposition Panel. Expanded community participation in the disposition process could be coordinated by the Special Services Unit. The Chief Probation Officer, under the direction of the Presiding Justice, would assume day-to-day responsibility for the Unit. The Special Services Unit could also develop additional community resources for use by all supervision units, not just those served by the Disposition Panel.

- The DA (Victim) Unit should remain a support service to the District Attorney's Office.

The victim services provided by the DA Unit are closely related to the screening and processing of cases. All victims requiring services beyond case processing should be referred to the Court Services Division for follow-up and referral to service agencies. The DA Unit should not be involved in providing intensive counseling and other services which detract from the victim screening function. Supervision of the DA Unit would continue to be the responsibility of the District Attorney's Office.

Based upon these alternatives, we have estimated approximate funding ranges. The ranges provide estimates of the cost to maintain the services under the direction of the Dorchester District Court. The maximum alternative assumes that the components remain physically separate from the Court; the minimum alternative assumes that facilities can be made available within the Court. Supervision requirements increase as a result of separation and result in a higher funding requirement. An overhead rate of 15% has been assumed as a City of Boston requirement under both alternatives.

Estimates of the funding requirements follow:

	<u>MAXIMUM</u>	<u>MINIMUM</u>
Mediation Services	\$ 70,000	\$ 50,000
UCP Victim Services	64,000	44,000
DA Victim Services	60,000	40,000
Disposition Services	<u>92,000</u>	<u>68,000</u>
TOTAL COSTS	\$286,000	\$202,000
Overhead at 15 Percent	<u>42,900</u>	<u>30,300</u>
TOTAL FUNDING	<u>\$328,900</u>	<u>\$232,300</u>

Sections II-IV describe the three components in detail. Current operations, quantitative results, interview summaries, financial data and observations are presented. Appendix A describes the approach to the evaluation of the Urban Court Program and describes the interview format used during the criminal justice and community interviews. Appendix B describes the methodology used in the financial analysis and summarizes the financial data obtained for the Urban Court Program. Appendix C describes the organization of the central administrative staff.



SECTION II  
MEDIATION COMPONENT

## SECTION II

MEDIATION COMPONENT

## BACKGROUND

The Urban Court Program developed the Mediation Component to resolve interpersonal disputes of a potentially criminal nature which are brought before the courts. Initial fieldwork indicated that the courts receive significant numbers of disputes involving personal arguments, personality clashes, conflicting attitudes or life-styles, minor economic or property grievances, and other complaints among individuals who are known to each other. These disputes may involve family members, friends, relatives, neighbors, merchants-customers, employer-employees, and teacher-students. In many cases, the disputants are interested in the threat of criminal proceedings, but have little intention of continuing the criminal process to conclusion. In others, the dispute may involve issues which are basically noncriminal and do not appropriately belong within the court. Unfortunately, these disputes may escalate into violence in the future if not resolved to the satisfaction of all parties.

Criminal justice agencies, particularly the police, prosecutors and courts, face serious difficulties in dealing with these types of cases. On the surface, the disputes involve issues in which broad discretion may be exercised in determining whether the dispute becomes a criminal matter. However, police or court intervention may only exacerbate the tensions among the disputants if the underlying causes of the dispute are not resolved. Unfortunately, criminal justice agencies have insufficient time and service resources, such as extended counseling, which may be necessary to resolve these "minor" disputes. Accordingly, many of these cases reappear in the court in the same or a more serious form at a later date.

Existing Massachusetts statutes permit the Clerk of Court to conduct hearings on the merits of complaint applications in order to determine whether a criminal complaint should be issued. Although many of the cases reaching the Clerk's hearing are technically criminal in nature, the Clerk is able to settle many of the disputes through a combination of counseling, discussion, common sense and threat of criminal action. However, due to the volumes of cases, the complexity of some disputes, and the need to resolve underlying personal and social problems, many court and community representatives believe that by increasing the resources devoted to each case, mediation could result in more successful resolution of these disputes by providing additional services over a longer period of time.



The Mediation Component provides dispute settlement services to the judges, clerk, prosecutor and police. The component was designed to remove disputes from the criminal process by utilizing trained community mediators to conduct mediation sessions. Identification of service needs and referrals to appropriate service agencies were considered an integral part of the mediation process.

The original grant application identified four major objectives for the Mediation Component:

- To resolve potential criminal disputes in a manner that (1) satisfies the parties that justice has occurred and (2) prevents the recurrence of future problems by addressing the basis of the dispute. Strong emphasis will be placed on resolutions being affected as early as possible in the criminal justice process by providing intake capability at the (Police Department) Station House and the Prosecutor's Office as well as the Clerk's Office.
- To test the ability of community mediators to effect such resolutions and to compare their effectiveness with other methods of informal resolution now being employed in the District Courts and the Station House.
- To determine, through careful experimentation, which of a number of arbitration and/or mediation models and intake points is most effective in achieving fundamental resolutions of potentially criminal disputes.
- To build good will in the community toward the Court, the Police, and the Prosecutor's Office.

The Mediation Component expected to accomplish several specific results within the first year of operation. As stated in the original grant application, the Mediation Component would accomplish the following:

- A mediation program will be introduced into and made available to the Dorchester District Court, Station Houses and Prosecutor's Office.
- Approximately 400 criminal disputes will be mediated.

- Social services and referrals will be offered to approximately 800 persons involved in either the Clerk of Court's hearings or the mediation conducted by community members.
- Approximately 40-50 mediators from the Dorchester community will be selected and trained.
- A report will be prepared describing the results of the experimentation with the arbitration/mediation models and the comparative effectiveness of the methods of informal dispute resolution currently used in the Dorchester and Roxbury Districts.
- A referral mechanism will be developed between the two local Station Houses and the Mediation Component. Such a system should allow the officer on the beat to rapidly summon disputing parties to a mediation hearing at a convenient time and place. This may involve the instituting of a police liaison/trainer at the station house in order to work with police personnel in developing crisis intervention/mediation strategies.
- The Mediation Component will work closely with the Prosecutor's Office on cases which are referred for mediation. Court lists will also be screened.

## OPERATIONS

### Overview

The Mediation Component operates basically as proposed in the original grant application. Modifications to proposed operations have resulted from changes in the sources of referral and have not altered the fundamental concepts embodied in the Mediation Component.

The Mediation Component receives referrals at three points in the dispute settlement process: precomplaint application; complaint application; and arraignment. Precomplaint application sources of referral include self-referred clients, clients referred directly by the Boston Police Department from Districts 3 and 11, and other direct referrals from community or service organizations such as the Boston Legal Assistance Program.

The Clerk of Court's hearings result in referrals prior to the issue of a criminal complaint. Arraignment referrals include cases referred to the component during arraignment proceedings by

the judge or upon recommendation of the District Attorney's Office. Clients referred at arraignment also include cases resulting from the Clerk's hearings in which the Clerk found sufficient facts for the issuance of a criminal complaint.

All individuals involved in cases referred to the Mediation Component receive an intake interview which describes the process and determines the willingness of the disputants to participate. If both parties agree to participate, an appointment is scheduled within one week for a mediation session. At the mediation session, the disputants and one or more trained mediators who are members of the Dorchester community meet in a conference room at the Urban Court Program offices. These community mediators have received intensive, specialized mediation training and are sworn by the Clerk of Court under an oath of confidentiality to protect the privacy and legal rights of all parties.

During the mediation session each disputant relates their side of the incident and presents witnesses and other evidence. Attorneys are not present. The mediators ask questions and establish the facts of the case in order to gain a clear understanding of the incident, establish underlying causes of the dispute, and attempt to re-establish communication between the disputants.

Successful mediation results in a written agreement between the disputants which contains a number of specific agreements which will eliminate or reduce the circumstances which caused the original dispute. Both parties agree to meet the terms and conditions of the agreement on a voluntary basis. Since the process involves mediation rather than arbitration, each disputant is free to proceed with the criminal complaint at any time.

The component staff supports the process before and after the mediation sessions by managing the caseload; providing screening, intake, and assessment processing; presenting the results of the process to the clerk or judge; providing follow-up services and referrals to service organizations; and completing follow-up assessments and reports. The staff also is responsible for the development of new referral sources and new uses for the mediation process.

#### Organization and Staffing

Exhibit II-1 depicts the organization structure for the Mediation Component in September 1976. The component organization and staffing conform to the original grant application with one exception. The original grant application contained a Supervisory Attorney position. The position was not filled during the first year and has been subsequently deleted from the budget in the second fiscal year.

The Mediation Director planned, organized, and supervised the component from September 1975 through July 1976. In July 1976, the Mediation Director was appointed Acting Director of the Urban Court Program. The position of Mediation Director is currently vacant although all other positions are staffed.

The current staffing and major responsibilities for each position are summarized below:

- Mediation Director (vacant) - plans and manages the operations of the Mediation Component; assesses services and staff; develops new service areas; and coordinates with Court personnel.
- Senior Resource Coordinator (1)-- coordinates referrals with the Clerk's Office; identifies and develops service resources; supervises Resource Coordinators; assigns cases; follows up breakdowns in disputant agreements; and serves as acting Mediation Director.
- Resource Coordinator (2) - provides referral and follow-up services to disputants; identifies new community resources; and maintains client records.
- Administrative Assistant (1) - maintains records and information systems; coordinates scheduling system; maintains contact with community mediators; and supervises administrative systems.
- Secretary (1) - updates case records; maintains supplies; and provides clerical support to staff.
- Community Mediators (33) - mediates disputes; prepares case reports; maintains contact with disputants; and reports breakdowns in settlement.

The only significant turnover of staff involved the position of Resource Coordinator. The two positions have experienced 100% turnover through October 1976. Both resignations were voluntary and the positions have been filled.

Approximately sixty community members completed the interviewing process for panelist positions for either the Mediation or Disposition Components. Twenty community members were eventually selected for the initial Mediation training program conducted by the Institute

for Mediation and Conflict Resolution (IMCR). Eighteen community members completed the three week training program on October 29, 1975. Fourteen of the 18 community members who completed the initial training program remain active as mediators.

Sixty additional community members were interviewed for positions as mediators in 1976. Twenty-five community members began the IMCR training program on April 3, 1976. An additional 22 community members were sworn by the Clerk of Court as community mediators on April 27, 1976. Nineteen community members remain active as mediators of this second training group.

Community member participation as mediators has remained strong throughout the year. Only five community members did not complete the three week training program of the 45 who began the training program. Only two community members of the 40 who completed the training programs have voluntarily dropped out as active mediators. Two inactive mediators have been hired as staff members by the Urban Court Program. Three community members moved out of the community. The following table summarizes the results of community mediation participation for the initial year of operation.

TABLE II-A

COMMUNITY MEMBER PARTICIPATION  
(Through October 1, 1976)

TRAINING GROUP	TOTAL INTERVIEWED	TRAINING		CURRENTLY ACTIVE		TURNOVER(2)
		STARTED	COMPLETED	IN UCP (1)	INACTIVE	
FIRST	60	20	18	16	2	11%
SECOND	60	25	22	19	3	14%
TOTAL	120	45	40	35	5	12%

NOTES: (1) Includes two mediators hired by UCP.

(2) Based on trained mediators currently inactive.

Interviews with mediators and staff substantiated a high level of interest and participation by community members in the Mediation Component. Several factors contributed to the successful community involvement. The mediators indicated that the high quality of the training program conducted by IMCR developed their ability and confidence to conduct actual mediation sessions. In addition, the Mediation Director carefully developed the confidence and skills of

the mediators by assigning three mediators to each case until every community member had participated in at least one actual mediation session. Mediators mentioned this practice as a significant factor which balanced the capabilities of the mediators, developed individual skills, and maintained interest through higher utilization of the trained mediators. Finally, frequent meetings by the staff with the community mediators discussed mutual concerns, progress of the component, and future improvements in the mediation process.

Significant Implementation Efforts

Initial management emphasis focused on developing the Mediation Component from the conceptual design contained in the grant application to a fully operational unit. The planning period continued until November 3, 1975 when the component received its first referral case. During initial implementation, the Mediation Director concentrated on completing the following tasks:

- Established working relations with personnel and offices with whom the staff directly interacts:
  - . Clerk of Court and Clerk's Office.
  - . Presiding Justice, Judges, and Court Staff.
  - . Assistant District Attorney and District Attorney's Office.
- Participated in selecting and hiring component staff and community members.
- Developed specific procedures, forms, and methods for processing each case.
- Established and coordinated the training of the staff and community members as mediators. The specific training program was developed and conducted by the Institute for Mediation and Conflict Resolution.
- Monitored and managed the active caseload:
  - . Assignment of Resource Coordinator and Community Mediators.
  - . Scheduling, coordinating and monitoring mediation sessions.
  - . Conducting follow-up activities with clients and referral agencies.

- Developed community interest in the Mediation Component by working with media representatives and community members active in the area of criminal justice and social services.

At the present time, most of these activities require considerably less commitment of time by the Mediation Director than was required during initial implementation. The Senior Resource Coordinator, Administrative Assistant, and other staff members have assumed direct responsibility for these tasks. As an example, the Administrative Assistant has assumed the following responsibilities:

- Scheduling mediation sessions and notifying all concerned parties.
- Developing procedures to monitor the progress of each case and the size of each Resource Coordinator's caseload.
- Identifying specific required activities, preparing cases, and notifying the assigned Resource Coordinator of pending and scheduled actions.
- Developing and implementing a comprehensive management information system.
- Working with community mediators to process payment vouchers, to assess involvement in the component, and to maintain active participation.
- Improving specific forms, procedures and functions to increase overall effectiveness and efficiency.

A flowchart which depicts the present flow of cases is presented in Exhibit II-2.

#### Future Emphasis

The Mediation Component is currently engaged in several activities which should improve the quantity and quality of services. For example, the original grant application proposed the establishment of "a police liaison with a strong training and orientation capability," which would provide police officers with an understanding of the purpose and procedures of the Mediation Component. Although the position was not filled during the initial year and was deleted in the second year funding proposal, the importance of this activity has not diminished. The Mediation Component could provide police officers with an additional resource to be used in dealing with interpersonal conflict situations. These incidents are often neighbor or domestic incidents which repeat themselves

and are "potentially explosive and contain a relatively high risk of assault on a police officer".

On May 24, 1976, after considerable study and development, the Mediation Director outlined a proposed process for initiating police referrals with a tentative starting date of June 14, 1976. Procedures had been developed and four police officers identified from Districts 3 and 11 to receive orientation and training. Failure of the police union to approve the action delayed initiation of training and formal referrals. As of September 30, 1976, the police union had not approved the police referral process. The Urban Court Program Director is attempting to place the proposal on the agenda of the Labor-Management Committee of the Boston Police Department for formal presentation to the police union. The component has accepted six unofficial referrals from the police and will continue to accept informal referrals until final approval is attained from the Boston Police Department and police union.

In addition, the staff is investigating the possibility of mediating cases referred by the Small Claims Court. In late September 1976, Resource Coordinators began to attend Small Claims Court sessions to ascertain whether small claims cases are suitable for mediation. In such cases, the parties should be known to each other and disputes should not involve serious or technical issues.

The Mediation Director and staff of the Mediation Component are considering the appropriateness of mediating large scale, community conflicts. The component unsuccessfully attempted to mediate a large scale community conflict during the summer of 1976. The conflict involved several neighborhood groups with housing and social issues. The attempted resolution required several hundred hours of fact finding by two community mediators and consulting assistance from the Institute for Mediation and Conflict Resolution (IMCR) Dispute Center in New York City.

The component staff gained two important insights from IMCR, which has successfully mediated large scale community conflicts, and from the unsuccessful mediation experience. First, the analysis necessary to resolve large scale disputes differs from that for smaller disputes. Considerable resources must be devoted to identifying the basic disputant groups, working with group leaders, developing relevant facts, and ascertaining the probability of successful mediation for a range of possible outcomes. Second, the actual techniques employed during a small interpersonal mediation session appear to apply equally in mediating large scale community incidents once the basic issues and groups are identified. The appropriateness of accepting these types of cases by the Mediation Component in the future is currently under review.



The Mediation Component staff has identified several ways to enhance staff and mediator skills in the future. One potential improvement involves current efforts to refine procedures for assessing each mediator's performance and skill level after every mediation session. The mediators recognized the need for such an assessment and the practical limitations given the low frequency of contact between the individual mediators. The staff is also concerned about the high cost of the training program. Each complete training session conducted by IMCR costs approximately \$5,000. The former Mediation Director indicated that this cost could be reduced by developing an internal capability which would use highly experienced community mediators. IMCR would be used on a part-time consulting basis.

#### QUANTATIVE ANALYSIS

During the preimplementation analysis, the evaluators and representatives of the Urban Court Program developed basic evaluation criteria for the Mediation Component. Two main criteria were selected for use in the evaluation of the Mediation Component: program acceptance and utilization; and success of mediation effort. Based upon these criteria, several data elements were identified for use in assessing the success of the component against the criteria. Exhibit II-3 identifies the criteria, the data to be collected, and references to the actual data collected. The fourth column, Measure of Success, indicates how the data would be interpreted to indicate successful impact by the Mediation Component.

Exhibits II-4 through II-9 present the initial results of the Mediation Component with respect to the evaluation criteria. The following paragraphs describe the results relative to the anticipated measure of success.

#### Increase in Number of Cases

The Case Referral Analysis, Exhibit II-4, indicates that the Mediation Component received cases from all the sources of referral originally identified in the initial grant application. The total volume of 265 cases referred over ten months, however, is below the 400 cases originally projected. The Mediation Component started accepting referrals much later than originally anticipated although the 26.5 average monthly referral figure is approximately 20 percent below the projected rate of 33.3. Several reasons emerge for the lower referral volume. First, the necessary approvals have not been attained or procedures fully developed to increase the number of referrals from the Boston Police Department. The low number of referrals from the Boston Police Department and other agencies outside the criminal justice system support this conclusion.

Second, the number of cases referred directly from the Clerk's hearings has not achieved expectations. While the Clerk's referrals represent 43 percent of the total cases referred, it represents only 7.0 percent of the total hearing volume as indicated in Exhibit II-5.

Higher volumes may not significantly affect the level and quality of service. For example, during July 1976, the number of referred cases increased by 88 percent to 45 cases over the monthly average for the prior eight months. The increased caseload resulted from an increase in the number of Clerk's hearing referrals. All of these cases were referred by the Assistant Clerk of Court so the mixture of incident types, relationship of the disputants and manner of referral may have varied. However, the rate of successful mediations dropped to only 70 percent during the month compared to 76 percent for the prior eight months. The significant increase in caseload did not appear to affect the number of successful mediations.

#### Change in Distribution of Case Referrals

The original grant application anticipated that the Mediation Component would resolve a high percentage of potential criminal cases outside the judicial process. Exhibit II-4 indicates that approximately half of all cases have been referred before the case became a criminal complaint while the remaining half were referred by the judges or District Attorney's Office after a criminal complaint had been issued. Exhibit II-5 does not indicate any apparent trend in the percentage of cases referred to the Mediation Component by the Clerk in relation to total complaint applications.

Although half of the cases referred to the Mediation Component entered the criminal process, this may not necessarily indicate that cases have not been adequately screened. The Mediation Component has demonstrated that there may be a direct correlation between the number of successful mediations and the point of referral. Approximately 76 percent of all mediated cases were resolved successfully. We were unable to document instances of disputants re-entering the criminal justice system for a subsequent or similar dispute as of October 1, 1976. Several individuals suggested that when cases are referred at arraignment, disputants recognize an incentive to successfully resolve the incident through mediation rather than by the judicial process. Accordingly, the objective of screening cases out of the judicial process may lead to a decreased rate of dispute settlement.

#### Reduction in the Number of Criminal Complaints Issued

Exhibit II-7 presents the results of our analysis of dispositions from the Clerk's hearings for September 1975 and September 1976. The analysis states that the Mediation Component had little effect on the distribution of case outcomes as indicated by the

percentages for Final Disposition Pending, Final Dispositions, and Insufficient Data. Only 1.3 percent of all hearings resulted in a referral by the Clerk of Court to the Mediation Component. The distribution of Clerk's hearing dispositions was substantially unchanged. The number of complaints issued for arraignment increased by 2.6% from 9.6% to 12.3% instead of decreasing. The number of cases denied, dismissed or settled by the Clerk, including cases successfully mediated decreased by 4.1% from 17.6% to 13.5%.

Although these findings indicate that the Mediation Component may have resulted in an increase rather than a decrease in the number of criminal complaints issued, several factors should be considered. First, September 1976 was preselected for the analysis, but turned out to be a month with a low rate of referrals to the Mediation Component. Second, data which was classified as not complete may affect the small percentage differences noted above. Finally, the successful settlement of disputes may be enhanced by the threat of court action and may result in improved performance.

#### Reduction in Rate of Return

Exhibit II-4 indicates that 131 of the 172 cases mediated during the period reached final settlement. This ratio indicates that 76% of the mediated cases had not returned to the Court for further action. Approximately 16% of the mediated disputes experienced some form of breakdown. Approximately 8% of the cases mediated did not reach settlement during the mediation process. Comparative data does not exist to determine the rate of successful settlement for the Clerk's hearings or cases which entered the criminal process.

#### Increase in the use of Mediation Services

The current model for mediation, in accordance with the original grant application, suggested that mediation would be more appropriate when the disputants were related or had formed a close interpersonal relationship. Exhibit II-8 classifies all cases by the nature of the incident or relationship of the disputants and source or referral. The exhibit reinforces the fact that the Clerk of Court refers cases where there is a close interpersonal relationship.

Exhibit II-9 suggests that the degree of the relationship is not a material factor except that there is a difference in the percentage of successfully mediated cases involving a landlord/tenant relationship. This may result for two reasons. First, the interpersonal relationship is more formal and exists through a contractual relationship rather than through a family or personal relationship. Second, the relationship has a material basis and disputes are likely to involve rent, property ownership, possession, physical facilities, or other specific material factors. From this

observation, the Mediation Component may expect a decrease in the percentage of successfully mediated cases as the Mediation Component expands to include small claims and other incidents similar to landlord/tenant cases.

Exhibit II-8 indicates that police and other referrals represented approximately 8% of the total cases referred. However, these referrals were concentrated in the last five months of the analysis period and represented approximately 14% of the referrals during this period. Future increases may be experienced as these sources of referral are emphasized by the Mediation Component.

#### Increase in the Use of Community Services

The low number of referrals to the Mediation Component affected the referral rate for additional services. As indicated in Exhibit II-4, only 57 cases have required the delivery of social services by outside agencies. Although information was not provided to the evaluators on the number of service referrals directly from the Clerk's hearings, it does not appear that the projected 800 service referrals has been reached during the initial year of operation.

#### INTERVIEW RESULTS

Criminal justice and community representatives were interviewed during the preimplementation period (September 1975) and the postimplementation period (September 1976). The interviews were conducted to determine whether changes in attitude or perception had occurred after the Urban Court Program had been implemented. Although a structured interview capable of tabulation was planned, most community and criminal justice personnel had insufficient knowledge of the Urban Court Program to respond to structured questions during the preimplementation interviews. Accordingly, a more open interview format was used. This format was continued during the postimplementation interviews.

Appendix A presents the interview format and the individuals who were interviewed. The following paragraphs summarize the comments, positive and negative, regarding the Mediation Component during both sets of interviews. Comments by all respondents or only one respondent are designated as such. Other comments are included for information, but do not represent a majority or minority opinion unless designated. The tabular summary at the end of the interview comments summarizes the perceived success of the three components relative to each other.

Criminal Justice Personnel

Knowledge of Mediation Component

During the preimplementation analysis, Dorchester District Court and criminal justice agency personnel who were interviewed indicated basic familiarity with the concepts and proposed operations of the Mediation Component. Knowledge ranged from very familiar for those involved in the initial planning process to very little understanding of the Mediation Component. Generally, individuals below supervisory levels had limited knowledge of the anticipated operations, but did express some understanding of basic objectives. All individuals indicated that they expected to become more familiar with the Mediation Component when detailed plans were completed and implementation began.

During the postimplementation interviews, District Court and criminal justice agency personnel responded that they were familiar with the operations of the Mediation Component. No individuals indicated that they had no knowledge of the Mediation Component.

Anticipated Impact of The Mediation Component

During the preimplementation analysis, District Court and criminal justice agency personnel anticipated that the Mediation Component could provide follow-up services for cases which need additional attention. Individuals familiar with the component agreed that the additional services which might be provided could be supplement the Clerk's Office by providing additional resources and time for each case. To be a viable concept, the mediators must be well-trained and skilled in dealing with family and personal problems. The anticipated follow-up and service referrals were regarded as a major need of the Court.

The impact on the Court was anticipated to be nominal, although some cases might be removed from the criminal system. Since most cases which would be referred to the Mediation Component did not reach the criminal sessions due to the Clerk's hearings, the Mediation Component should not dramatically affect the criminal complaint caseload. Two members of the Court thought that the Mediation Component would increase rather than decrease the number of complaints. This effect was expected to result from an increase in the overall use of the Court as a community resource and bring to the Court's attention a larger number of potentially criminal disputes. All other individuals indicated that the number of complaints entering the Court should be reduced by the Mediation Component.

During the postimplementation interviews, the same individuals interviewed indicated that the Mediation Component had effectively resolved disputes. They believed that the Mediation Component provided a new, useful service by providing additional time per

case and increasing services available within the Court. The Mediation Component had successfully trained community representatives to mediate most disputes and, in most cases, had achieved successful settlement. Most individuals agreed that the Mediation Component had not reduced the Court's caseload significantly or screened cases out of Court as originally planned. However, the Mediation Component had successfully reduced the number of trials and court staff hours devoted to these case types. Contrary to original expectations, the respondents indicated that the number of complaints issuing from the Clerk's hearings had increased rather than decreased, as a possible result of the Mediation Component.

Impact on the community was not believed to be significant in terms of knowledge of the program or an increased use of the Court as a service resource. They did not believe that the community recognized the Court's role any differently than before implementation of the Mediation Component. Although most individuals believed that the Court's image might be altered in the future, they did not believe that the Mediation Component had been exposed to the community for enough time to achieve sufficient impact.

#### Perceived Probability Of Success

During the preimplementation interviews, the Mediation Component was perceived to be useful in providing services to individuals, but not having much impact on actual court operations. Most individuals interviewed suggested that success would depend upon the ability of the mediators and the quality of mediation training. All individuals agreed that the Mediation Component must work closely with the Clerk's Office and demonstrate quality services on the initial cases. An adequate working relationship with the Clerk's Office was considered essential to success.

During the postimplementation interviews, most individuals identified the Mediation Component as the most successful of the three components of the Urban Court Program. Reasons for the high ranking included a perceived high rate of successful mediation, quality of the training program and of the mediators, an identifiable new service, and a good working relationship with the Clerk's Office. Individuals indicated that the objectives initially identified had been achieved with the exception of the anticipated volumes. They did not believe that as many cases had been referred to the Component as might have been by the Clerk.

Negative comments were limited to specific instances when mediation had not resulted in successful resolution. Two individuals questioned the lack of enforcement authority of the mediators, and that the process denied individuals the right to a court appearance. Accordingly, they contended that lasting resolution of the cases could not be assured.

Individuals were asked during both sets of interviews to rank the perceived success of the three components relative to each other. The rankings for both sets of interviews are summarized below.

TABLE II-B

PERCEPTIONS OF THE MEDIATION COMPONENT  
BY CRIMINAL JUSTICE PERSONNEL

	<u>Highest</u>	<u>Average</u>	<u>Lowest</u>	<u>No Opinion</u>
Preimplementation (10/75)	2	4	3	6
Postimplementation (9/76)	13	1	0	1

Community Members

Knowledge of the Mediation Component

During the preimplementation interviews, community members expressed general knowledge of the Mediation Component's objectives. Most individuals interviewed had some prior exposure to the Urban Court Program through either court or community based organizations and some had been in contact with the Urban Court Program during the initial planning stages. All individuals were able to describe the basic objectives but were not as able to describe the proposed procedures or specific results anticipated from the Mediation Component.

The same community members were interviewed during the post-implementation review. All individuals were able to describe the goals, objectives, and actual operations of the Mediation Component in greater detail than prior to implementation largely due to continued involvement or interest in the Urban Court Program. Most individuals were able to describe the Mediation Component's strengths and weaknesses in a fairly informed manner. However, they did not believe that the Urban Court Program had sufficiently described the Mediation Component to the general community. Public exposure was believed to be limited to those either working with the Mediation Component or those who had been referred as clients. The respondents did not believe that many community members were aware of the objectives and basic operations of the Mediation Component.

Anticipated Impact of Mediation Component

During the preimplementation interviews, the community members viewed the Mediation Component as a means of providing the Court with an alternative resource to deal with an alleged criminal

offense which may only be a symptom of other problems. Most respondents indicated that the Mediation Component would provide the Court access to, and allow for, more effective use of community resources to solve personal and community based problems. Most individuals also believed the Mediation Component would favorably affect the Court by reducing the burden of difficult cases and by enabling judges to concentrate on more serious matters. The ultimate impact on the Court would depend upon the quality and the ability of the community mediators.

The Mediation Component was expected to impact the community by demonstrating the Court's concern in noncriminal matters. This concern would be demonstrated by providing additional services through an out-of-court process designed to reduce the level of tension between the disputants. Some respondents noted that the mediators would express to the disputants the views and attitudes of the community regarding the dispute which would encourage settlement. One community member expressed the opinion that in addition to providing a valuable new resource, that the Mediation Component would also serve as a model to neighborhoods and the community for the resolution of conflicts and the reduction of tension.

During the postimplementation interviews, the same individuals described the Mediation Component as having the most significant impact on the Court of the three components. Reasons for the positive support for the Mediation Component included the provisions of a needed service, improved attitudes by Court staff and a perceived reduction in the amount of time which judges must spend on disputed cases. Although most of the community representatives had not participated in mediation sessions, they expressed positive support for the quality of service provided by the mediators and staff. However, the majority of individuals expressed some concern for the low volume of cases. They suggested that the Mediation Component should be able to accept more referrals than recently referred for mediation.

The impact on the community was less clear. The Mediation Component did provide useful services, but the community had not been adequately notified of the availability of mediation or other services. Most individuals suggested that additional attention to public relations could extend the exposure to the community, but did not offer specific methods to achieve improved awareness. They also believed that continued success of the Mediation Component could eventually result in a change in the Court's image but due to the limited exposure to date, did not believe that a widespread change in community attitudes could be expected.



Perceived Probability of Success

During the preimplementation interviews, the Mediation Component was perceived to be the most viable of the three components. The high expectation resulted from the ability of the Mediation Component to satisfy an immediate community need. Additional strengths included the positive effects of community involvement on the Court, the potential to remove disputants from the Court, and the potential to uncover and address personal problems.

During the postimplementation interviews, the same individuals continued to rank the Mediation Component as the most successful and useful of the three components. Basic reasons for success during the first year of operation continued to be the informality of the process which reduced the tensions among the disputants. Many believed that the use of community members in the mediation process enabled discussion of basic problems which could not be achieved within the Court. Some also indicated that the Mediation Component had the highest visibility within the Court and community which reflected positively on the entire Urban Court Program. Respondents generally agreed that the Mediation Component provided a valuable resource to the Court and community which had not existed previously.

Negative comments concerned the low volume of cases, inability to effectively deal with certain types of problems, and the need for longer follow-up periods. One individual suggested that the process may be too informal and that a mechanism of mediator peer review should be established. Although the need for continuation was generally agreed upon, several members did not believe that the initial success could be continued if the Court assumed responsibility for supervision of the Mediation Component in the future.

Individuals were asked during both sets of interviews to rank the perceived success of the three components relative to each other. Two community members were not available during the second interviews and have not been included in the summary. The rankings for both sets of interviews are summarized below:

TABLE II-C

PERCEPTIONS OF THE MEDIATION COMPONENT  
BY COMMUNITY REPRESENTATIVES

	<u>Highest</u>	<u>Average</u>	<u>Lowest</u>	<u>No Opinion</u>
Preimplementation	4	2	-	2
Postimplementation	4	2	-	2

## FINANCIAL ANALYSIS

The Mediation Component is regarded as the most successful of the three components. As indicated in Exhibit II-10, the total allocated cost for the fiscal year ended April 30, 1976 was \$125,600 or approximately \$878 per case. Approximately \$66,200, or 53% of the total allocated costs are direct costs, and \$28,270 or 23% are indirect costs. The indirect costs exclude allocated burden costs which add \$217 per case. Appendix B presents the methodology used to determine the costs contained in Exhibit II-10.

The late start-up accounts for the high cost. Referrals were accepted for approximately half of the initial year ended April 30, 1976 and the 143 cases referred during this period are well below the expected number of 600 cases. Accordingly, the cost estimates reflect the start-up expenses and the low volumes experienced during the initial year of operation. The first four months of the second fiscal year are also presented for comparative purposes. The cost per case has been reduced to \$403 from \$878 which more reasonably reflects the cost of continuing operations.

The cost/benefit analysis for the Mediation Component relates the costs of the Mediation Component to the estimated costs of court time devoted to cases referred to the Mediation Component. Dorchester District Court representatives estimated the direct personnel cost of an average arraignment to be approximately \$60 per case, and an average trial to be approximately \$110. Although these cost estimates are not the result of a detailed cost analysis of the Court's operations, they do provide a comparative base for the cost estimates of the Mediation Component. Future analysis should develop more refined estimates of actual court costs.

Each successfully mediated case referred prior to arraignment is estimated to save direct personnel cost of an arraignment and trial or approximately \$170 per case. All other cases referred by the judges and/or District Attorney's Office save only the cost of a trial or \$110 per case. Based upon these assumptions, the direct personnel cost theoretically avoided by the Court is \$13,200 for the 97 cases mediated during the first fiscal year. Direct personnel costs incurred by the Mediation Component were \$43,010 including stipends for community mediators. The difference of \$29,810 indicates that the Mediation Component offered no financial advantage during the first year although the level of service is not reflected in the cost comparisons.

The same analysis for the first four months of the second fiscal year indicates improved performance. The average cost per case through August 31, 1976 declined to \$403. Direct costs were reduced by more than 50 percent from the prior year due to the increased volume in the second year and the avoidance of further

start-up expenses. With careful planning and management, this cost per case could be further reduced during the remainder of the fiscal year.

Although the cost estimates for the Mediation Component and court costs have been compared, care should be exercised when interpreting the results. The implied savings are not avoidable costs and would not be eliminated by the Mediation Component. The time savings would be used in other activities by Court personnel. For example, the savings in judge's time resulting from successful mediation of disputes does not result in reduced expenditures for judges, but rather, the judges hear other types of cases. Accordingly, the costs of the Mediation Component should be regarded as incremental costs to the Court which result in service improvements.

We have estimated the range of future funding requirements for the Mediation Component in Exhibit II-11. These estimates reflect the observations of the evaluators and are intended to serve as alternatives to the current funding requirement. The current funding requirement is based upon the development and management of a new and innovative service to the Court. The alternatives are intended to provide estimates of the cost to maintain the Mediation Component as an ongoing service to the Court at approximately the same service volume as current experienced. Since the volume is less than originally expected and the requirements for start-up have passed, increased staff utilization and combined functions could result in lower funding requirements for the future.

The first alternative assumes that the Mediation Component remains separate from the Court and requires a separate operating facility. A caseload of 450 cases per year is assumed as a reasonable expectation for service volume. Staff and mediator training would be conducted internally. The position of Mediation Director is assumed to be vacant, with major responsibility for supervision assumed by the Senior Resource Coordinator. Only one Resource Coordinator is funded in addition to the Senior Resource Coordinator. The Mediation Component is assumed to be under the supervision of a Program Director with clerical staff which adds indirect personnel and operations costs.

Exhibit II-11 presents the estimate for this alternative under this maximum requirement. Direct personnel and operating costs are \$49,000 which is less than the first year direct cost. Indirect costs and an assumed burden rate of 15 percent add an additional \$31,500. Total funding required under these assumptions would be \$80,500 compared to the initial cost of \$125,600 during the first year of operation.

The second alternative reflects the estimated cost of incorporating the Mediation Component into the operations of the Dorchester District Court and does not require an additional facility.

The same caseload of 450 cases per year and an internal training program is assumed. The Mediation Component is assumed to be placed under the direction of the Court Services Division Director, with day-to-day supervision assumed by the Senior Resource Coordinator. The position of Resource Coordinator becomes a part-time position. The vacant position of Mediation Director is not filled, and the administrative and secretarial positions are shared with other functions.

Exhibit II-11 presents the estimate for this alternative under the minimum requirement. Direct personnel and operating costs are \$40,000. Indirect costs and an assumed burden rate of 15 percent add an additional \$17,500. Total funding required under these assumptions would be \$57,500 compared to the initial cost of \$125,600 during the first year of operation.

The alternatives are presented as two options which might be considered among others in formulating future funding requests. Although the range of funding requirements presented for the alternatives does not constitute a recommendation by the evaluators, Urban Court Program and Court personnel should consider the costs of the Mediation Component as incremental costs of the Court budget in the future.

#### SUMMARY OF OBSERVATIONS

The Mediation Component provided a useful, new service to the Court during the initial year of operation.

#### Strengths:

- The Mediation Component's operation and staffing conform basically to the original funding proposal.
- Community representatives participate actively and usefully in the mediation process.
- Approximately 76% of the disputes mediated appear to have been successfully resolved.
- Each successfully mediated case has reduced the number of trials and related court processing while providing additional service to the disputants.
- The implementation approach has resulted in the development of a good relationship with the Court, development of a trained staff and community mediators, and strong support for the Mediation Component.

- The initial estimates of the cost per case have decreased from \$878 to \$403 per case.
- The Mediation Component plans to expand services into direct police referrals, small claims cases, and nonsupport cases.
- The majority of Urban Court Program staff, Court staff, and community representatives believe that the Mediation Component provides important support services to the Court.

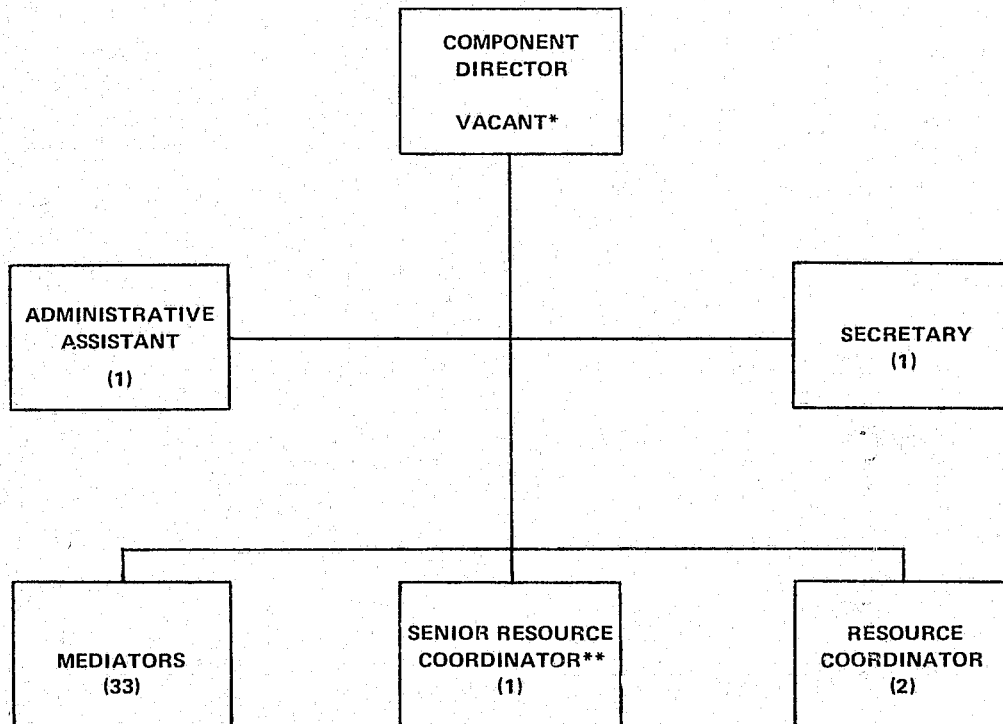
Problems:

- Referral volumes have not attained original expectations which has resulted in lower staff utilization and higher cost per case than anticipated.
- Cases have not been screened out of the criminal process to the extent originally planned.
- Service referral volumes have not achieved the anticipated volumes.
- Additional utilization of community members could be achieved in areas of case management and client follow-up.
- The Mediation Component has not been sufficiently exposed to the community.

EXHIBIT II-1

URBAN COURT PROGRAM  
MEDIATION COMPONENT

ORGANIZATION CHART



\* Appointed Acting Director of UCP on 8/1/76

\*\* Appointed Acting Component Director of Mediation on 8/1/76

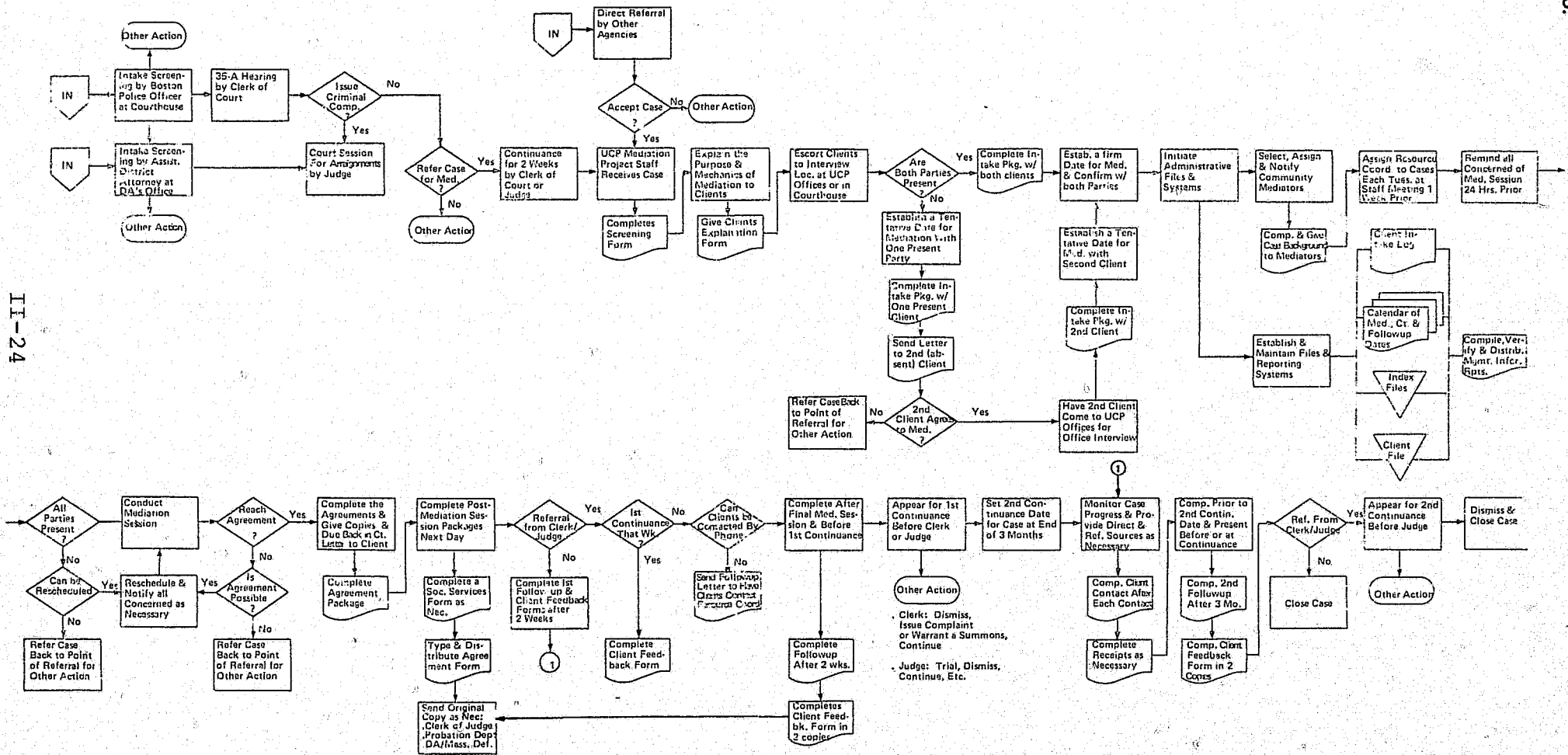


EXHIBIT II-2

URBAN COURT PROGRAM  
MEDIATION COMPONENT

OPERATIONS FLOWCHART

TOUCHE ROSS & CO.



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EXHIBIT II-3

URBAN COURT PROGRAM  
MEDIATION COMPONENT

QUANTATIVE MEASURES

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<u>CRITERIA</u>	<u>DATA</u>	<u>INFORMATION</u>	<u>MEASURE OF SUCCESS</u>
- Program Acceptance and Utilization	<ul style="list-style-type: none"> <li>* Source of case referrals</li> <li>* Type of problem or potential criminal complaint</li> <li>* Rate of return for subsequent complaints</li> <li>* Number of criminal complaints issued</li> </ul>	<ul style="list-style-type: none"> <li>- Exhibits II-4, II-5</li> <li>- Exhibits II-6, II-8</li> <li>- Exhibit II-4</li> <li>- Exhibit II-7</li> </ul>	<ul style="list-style-type: none"> <li>- Increase in number of cases</li> <li>- Change in distribution of case referrals</li> </ul>
- Success of Mediation Effort	<ul style="list-style-type: none"> <li>* Number of criminal complaints issued</li> <li>- Number of referrals to community services</li> <li>- Rate of return for same or similar problem or potential criminal complaint</li> </ul>	<ul style="list-style-type: none"> <li>- Exhibit II-7</li> <li>- Exhibit II-9</li> <li>- Data Not Available</li> </ul>	<ul style="list-style-type: none"> <li>- Reduction in number of criminal complaints issued</li> <li>- Reduction in rate of return for same or similar problem or potentially criminal complaint</li> <li>- Increase in use of mediation services</li> <li>- Increase in use of community services</li> </ul>

\*Initial data to be collected before implementation

EXHIBIT II-4

URBAN COURT PROGRAM  
MEDIATION COMPONENT

CASE REFERRAL ANALYSIS  
AS OF AUGUST 31, 1976

TOUCHE ROSS & CO.

	<u>NOV.</u>	<u>DEC.</u>	<u>JAN.</u>	<u>FEB.</u>	<u>MARCH</u>	<u>APRIL</u>	<u>MAY</u>	<u>JUNE</u>	<u>JULY</u>	<u>AUG.</u>	<u>TOTAL</u>
<b><u>SOURCE OF CASES REFERRED</u></b>											
Clerk of Court Hearings	14	9	5	5	13	8	14	7	29	11	115
Judges and District Attorneys*	16	19	11	12	15	13	10	11	12	10	129
Boston Police Department	-	-	-	-	-	-	-	2	1	3	6
Other Sources of Referrals	-	-	-	1	-	2	1	4	3	4	15
<b>Total Cases Referred to Mediation Component</b>	<b>30</b>	<b>28</b>	<b>16</b>	<b>18</b>	<b>28</b>	<b>23</b>	<b>25</b>	<b>24</b>	<b>45</b>	<b>28</b>	<b>265</b>
<b><u>ANALYSIS OF CASE DISPOSITIONS</u></b>											
Withdrew Before Mediation	10	11		4	8	10	4	8	17	4	76
In-Process of Mediation					2				4	10	16
Mediated Cases	20	17	16	13	18	13	21	16	24	14	172
Referred for Social Services Only	-	-	-	1	-	-	-	-	-	-	1
<b><u>ANALYSIS OF MEDIATED CASES</u></b>											
No Settlement Agreement	-	-	1	1	-	2	2	1	6	1	14
Final Settlement Agreement	14	14	13	10	13	8	15	14	17	13	131
Breakdown	6	3	2	2	5	3	4	1	1	-	27
<b><u>REFERRALS TO SOCIAL SERVICES AGENCIES</u></b>											
Number of Cases	6	8	5	12	5	2	9	4	3	3	57
<b><u>MEDIATION SESSIONS</u></b>											
Number of Sessions	21	19	19	13	19	13	14	16	19	38	191

\*Includes assigned cases with criminal complaints authorized by the Clerk of Court resulting from Hearings

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EXHIBIT II-5

URBAN COURT PROGRAM  
MEDIATION COMPONENT

DIRECT REFERRALS TO MEDIATION  
COMPONENT BY CLERK OF COURT

TOUCHE ROSS & CO.

<u>MONTH</u>	<u>APPLICATIONS FOR HEARINGS</u>	<u>CASES REFERRED DIRECTLY TO MEDIATION BY CLERK OF COURT</u>	<u>PERCENTAGE OF CASES REFERRED TO APPLICATIONS</u>
NOVEMBER 1975	138	14	9.9
DECEMBER	81	9	11.1
JANUARY 1976	191	5	2.6
FEBRUARY	174	5	2.9
MARCH	172	13	7.6
APRIL	166	8	4.8
MAY	172	14	8.1
JUNE	190	7	3.7
JULY	194	29	14.9
AUGUST	165	11	6.7
TOTAL	1,643	115	7.0%

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## EXHIBIT II-6

URBAN COURT PROGRAM  
MEDIATION COMPONENTREFERRALS DIRECTLY TO MEDIATION COMPONENT  
FROM CLERK OF COURT BY OFFENSE TYPE  
(DECEMBER 1975 TO MARCH 1976)

<u>COMPLAINTS OR OFFENSE</u>	<u>APPLICATIONS FOR HEARINGS</u>	<u>DIRECT REFERRALS TO MEDIATION*</u>	<u>PERCENTAGE OF CASES REFERRED TO APPLICATIONS</u>
Assault, Battery, A & B/D.W., Kidnapping, Rape Etc.	257	10	3.9%
Larceny, Robbery, Forgery, Extortion, Receiving, B & E	107	1	0.9%
Accosting, Harassing, Threats	77	8	10.4%
Non-Support, Illegitimacy, Child Neglect, Delinquent Child, Truancy, Desertion, Contributing to Delinquency	64	3	4.7%
Trespass, Destruction of Property, Arson	99	2	2.0%
Motor Vehicle, Dangerous Dog, Interference with Firefighter, Possession of Marijuana False Alarm, All Other Offenses	14	4	28.6%
<b>ALL ALLEGED COMPLAINTS</b>	<b>618</b>	<b>28</b>	<b>4.5%</b>

\* The figures for mediation hearings were taken from Table F - Mediated Cases, of a research report entitled "Mediation - The First Hundred Cases," by Peter Chirivas (Director of Research) and Susan Bulfinch (Research Associate). Included in Table F are 84 cases referred to the Urban Court Program by the Clerk of Court or the District Attorney's office. The 28 cases above represent only those cases directly by the Clerk to the Mediation component. This figure is then related to the total number of cases heard by the Clerk during the period of December 1975 to March 1976.

## EXHIBIT II-7

URBAN COURT PROGRAM  
MEDIATION COMPONENTDISTRIBUTION OF DISPOSITIONS  
AT CLERK OF COURT  
35A HEARINGS

<u>DISPOSITIONS</u>	<u>SEPTEMBER 1976</u> <u>(310 HEARINGS)</u>	<u>SEPTEMBER 1975</u> <u>(296 HEARINGS)</u>
FINAL DISPOSITION PENDING	50.6%	50.5%
. One or both parties are absent, summaries, ad warrants to appear	43.5%	43.7%
. Parties present and case continued into next month for disposition	7.1%	6.8%
FINAL DISPOSITIONS	37.4%	37.9%
. Referred directly to Mediation Component	1.3%	N/A
. Denied, discussed, or settled by Clerk of Court *	13.5%	17.6%
. Complaints issued for arraignment	12.3%	9.7%
. Held without a finding	10.3%	10.6%
INSUFFICIENT DATA FOR COMPLETE ANALYSIS	<u>12.0%</u>	<u>11.6%</u>
TOTAL	100.0%	100.0%

\*Including mediated cases returned by the Mediation Component

EXHIBIT II-8

URBAN COURT PROGRAM  
MEDIATION COMPONENT

NATURE OF DISPUTE BY  
SOURCE OF REFERRAL  
AS OF AUGUST 31, 1976

TOUCHE ROSS & CO.

<u>NATURE OF DISPUTE OR RELATIONSHIP OF DISPUTANTS</u>	<u>CLERK OF COURT HEARINGS</u>	<u>JUDGES AND DISTRICT ATTORNEY'S CASES*</u>	<u>BOSTON POLICE DEPARTMENT</u>	<u>OTHER SOURCES OF REFERRALS</u>	<u>TOTAL CASES REFERRED BY NATURE OF DISPUTE</u>	<u>PERCENT</u>
FAMILY	62	43	1	8	114	43%
NEIGHBORS	21	25	4	4	54	20%
FRIENDS	13	29	1		43	2%
OTHER	9	19			28	8%
LANDLORD/TENANT	9	11		2	22	16%
SCHOOL	<u>1</u>	<u>2</u>	<u>—</u>	<u>1</u>	<u>4</u>	<u>11%</u>
TOTAL	115	129	6	15	265	100%

\*Includes arraigned cases with criminal complaints issued by the Clerk of the Court resulting from 35-A Hearings.

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EXHIBIT II-9

URBAN COURT PROGRAM  
MEDIATION COMPONENT

NATURE OF DISPUTE  
BY CASE DISPOSITION  
(AS OF AUGUST 31, 1976)

TOUCHE ROSS & CO.

<u>NATURE OF DISPUTE OR RELATIONSHIP OF DISPUTANTS</u>	<u>WITHDREW BEFORE MEDIATION</u>		<u>IN PROCESS OF MEDIATION</u>		<u>MEDIATED CASES</u>		<u>REFERRED FOR SERVICES ONLY</u>		<u>TOTAL</u>	
	<u>NUMBER</u>	<u>PERCENTAGE</u>	<u>NUMBER</u>	<u>PERCENTAGE</u>	<u>NUMBER</u>	<u>PERCENTAGE</u>	<u>NUMBER</u>	<u>PERCENTAGE</u>	<u>NUMBER</u>	<u>PERCENTAGE</u>
FAMILY	30	26%	7	6%	76	67%	1	1%	114	100%
NEIGHBORS	18	33%	1	2%	35	65%			54	100%
SCHOOL	1	25%			3	75%			4	100%
LANDLORD/TENANT	9	41%	1	4%	12	55%			22	100%
FRIENDS	11	26%	6	13%	26	61%			43	100%
OTHER	7	25%	1	4%	20	71%			28	100%
<b>PERCENTAGE OF TOTAL CASES REFERRED</b>	<b>76</b>	<b>29%</b>	<b>16</b>	<b>6%</b>	<b>172</b>	<b>65%</b>			<b>265</b>	<b>100%</b>

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EXHIBIT II-10

URBAN COURT PROGRAM  
MEDIATION COMPONENT

Actual Cost Experience

TOTAL ACTUAL COST	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total Burden	
<hr/>	
Total Allocated Cost	

Fiscal Year 01 (5/1/75 to 4/30/76)  
(Twelve months ended 4/30/76)

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 43,010	\$ 23,190	\$ 66,200
<u>19,980</u>	<u>8,290</u>	<u>28,270</u>
\$ 62,990	\$ 31,480	\$ 94,470
		<u>31,130</u>
		<u>\$125,600</u>
		=====

Fiscal Year 02 (5/1/76 to 4/30/77)  
(Four months ended 8/31/76)

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 24,340	\$ 1,920	\$26,260
<u>9,260</u>	<u>3,580</u>	<u>12,840</u>
\$ 33,600	\$ 5,500	\$39,100
		<u>10,120</u>
		<u>\$49,220</u>
		=====

II-32

TOTAL COST PER CASE	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total Burden	
<hr/>	
Total Allocated Cost/Case	

143 CASES

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 301	\$ 162	\$ 463
<u>140</u>	<u>58</u>	<u>198</u>
\$ 441	\$ 220	\$ 661
		<u>217</u>
		<u>\$ 878</u>
		=====

122 CASES

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 199	\$ 16	\$ 215
<u>76</u>	<u>29</u>	<u>105</u>
\$ 275	\$ 45	\$ 320
		<u>83</u>
		<u>\$ 403</u>
		=====

All financial data was provided by UCP and is presented without audit. Appendix B contains an explanation of the methodology.



E EXHIBIT . II-11

URBAN COURT PROGRAM  
MEDIATION COMPONENT

Estimated Funding Requirement

TOUCHE ROSS & CO.

TOTAL ACTUAL COST	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total Burden	
<hr/>	
Total Estimated Cost	

MAXIMUM REQUIREMENT		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 44,000	\$ 5,000	\$ 49,000
<u>10,000</u>	<u>11,000</u>	<u>21,000</u>
\$ 54,000	\$ 16,000	\$ 70,000
		<u>10,500</u>
		\$ 80,500
		=====

MINIMUM REQUIREMENT		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 36,000	\$ 4,000	\$ 40,000
<u>10,000</u>	<u>0-</u>	<u>10,000</u>
\$ 46,000	\$ 4,000	\$ 50,000
		<u>7,500</u>
		\$ 57,500
		=====

II-33

TOTAL COST PER CASE	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total Burden	
<hr/>	
Total Estimated Cost/Case	

450 CASES		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 98	\$ 11	\$ 109
<u>22</u>	<u>25</u>	<u>47</u>
\$ 120	\$ 36	\$ 156
		<u>23</u>
		\$ 179
		=====

450 CASES		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 80	\$ 9	\$ 89
<u>22</u>	<u>0-</u>	<u>22</u>
\$ 102	\$ 9	\$ 111
		<u>17</u>
		\$ 128
		=====

All financial data was provided by UCP and is presented without audit. Appendix B contains an explanation of the methodology.

SECTION III  
VICTIM COMPONENT

SECTION III

VICTIM COMPONENT

SECTION III  
VICTIM COMPONENT

## BACKGROUND

The Victim Component was developed to provide essential support and services to the victims of crime. Public criticism of the criminal justice system for its neglect of those most directly affected by criminal activity has continued to increase. The courts and other agencies have directed their manpower, equipment and financial resources toward the offender and excluded the victim from receiving adequate consideration in the criminal justice process. As offender rights, offender rehabilitation and offender recidivism received increased attention, representatives of the criminal justice agencies and the community began to ask whether victims should not also be included in the new programs and services. Existing efforts to serve victims were characterized by a lack of clearly defined service needs, insufficient funds, and questions of responsibility.

Several studies have attempted to determine the victims of crime. Many studies report that the victims of criminal activity are often those least able to overcome acts of physical, emotional or economic loss such as the poor, the elderly, and the disabled. Since many of these victims are unable to recover from the hardships of crime, extended services may be essential. The criminal justice system, although aware of the victim's circumstances, has reacted to increasing crime rates by more efficiently and humanly processing offenders. Although apprehension and conviction of offenders may prevent others from becoming potential crime victims, the actual victims may never be adequately served.

The criminal justice process itself imposes additional hardships on victims which compounds the initial consequences of the crime. Victims may be required to participate in the criminal justice process which is complex, confusing and inefficient. Lost wages, endless trips to court, needless delays, and intimidation may be the victim's only reward for participating in the prosecution of his alleged offender. In many cases, the system may inconvenience the victim more than the offender. The lack of attention shown to victims may be observed in many large and busy courts.

The Victim Component of the Urban Court Program attempts to correct the injustices of the criminal justice system as it treats victims. The Victim Component is divided into two units in order to address two basic victim needs. The District Attorney's Unit (DA Unit) was developed jointly by the District Attorney and the Urban Court Program to aid in case prosecution by providing initial

contact, identifying service needs, and orienting the victim to the criminal justice system. The Urban Court Program Unit (UCP Unit) was developed to identify intensive victim service needs, to assist in obtaining the required services, and to provide for longer term contact with the victim. Where possible, the two units have been separated to distinguish their activities. Otherwise, references to the Victim Component refers to the activity of both units.

The original funding proposal identified four major objectives for the Victim Component:

- To orient the victim/witness to the criminal process, explaining why his appearance will be required and what he/she should expect in court; to schedule cases in conjunction with the victim/witness in order that he/she be encouraged to testify; and to provide an initial diagnosis of service needs.
- To ameliorate the pain and loss suffered by victims of crime by providing limited requisite social services.
- To develop a data base with information on the victims of crime in an urban area, the loss they sustain as a result of the crime, the resources they have available to counteract the effect of crime, and their need for additional resources.
- To demonstrate to the community that the criminal justice system is interested in the needs of the victim.

The Victim Component expected to accomplish several specific results within the initial period of operation as stated in the original proposal:

- The establishment of a comprehensive capacity to provide aid and information to victims through a two-pronged approach involving the DA and UCP Units.
- The development of the most effective initial contact methods which will insure increased cooperation on the part of victim/witnesses.
- The development of a resource inventory and identifying services and agencies which can provide assistance to victims.
- Actual service delivery to approximately 100-150 victims per month.
- A preliminary study of victims in Dorchester, identifying them in demographic terms and documenting their needs, available resources, and

potential for participation in the sentencing process.

- A plan for a comprehensive Victim Service Program, incorporating the results of the study and reflecting the experience of the pilot project.

## DISTRICT ATTORNEY'S UNIT

### OPERATIONS

#### Overview

The DA Unit assists victims in case-related activities such as explaining the criminal justice system, identifying and arranging for immediate service needs, and coordinating the case with the victim. Cases enter the DA Units from three sources: the Clerk of Court hearings, Boston Police Department, and self-referred clients. All cases are processed administratively and screened by an Assistant District Attorney and a Victim Specialist who work as a team to interview the victim and witnesses. The interviews may be conducted jointly or separately. This approach provides for continuity of services and coordinated case follow-up while the case is active. Administrative processing is completed during the interview by completing intake forms which are maintained in a case jacket.

The screening process is designed to streamline case management. The Assistant District Attorney screens cases to identify those which should not be prosecuted because the case is inappropriate or the evidence is insufficient. The Victim Specialist works with the Assistant District Attorney in obtaining the background of the case and facts of the incident. The Victim Specialist also provides services in order to assist in improving case processing through the criminal justice system and to increase the level of services. For each case, the Victim Specialist performs the following tasks as appropriate:

- Orients the victim/witness to the criminal justice system and to the Dorchester District Court.
- Provides information as the case progresses through the criminal justice system.
- Determines service needs of the victim/witness and delivers the service or refers the individual to an appropriate agency.
- Escorts the victim/witness to Court as necessary to provide support or act as an advocate for the individual.

- Assures that services are provided after referral, and that evidence and information is accurately processed, including documentation of restitution or the return of released evidence.

A number of cases which are screened are referred to the Mediation Component before or following arraignment. The staff also makes referrals to the UCP Unit and other outside agencies.

#### Organization and Staffing

The organization structure of the DA Unit is presented in Exhibit III-1. The organization and staffing of the DA Unit conform to the original funding proposal.

The current staffing and major responsibilities for each position are summarized below:

- Senior Victim Specialist (1) - exercises general responsibility for planning and management of the DA Unit operations and staff; supervises the maintenance of all case jackets; assesses the types and levels of services offered, and makes modifications as necessary; and coordinates the activities of the DA Unit with the Supervising District Court Prosecutor and Chief Court Liaison.
- Victim Specialists (2) - works with the Assistant District Attorneys to gather case background; maintains case jackets; orients the victim/witness to the criminal justice system; assesses the immediate needs of the victim/witness; delivers appropriate services and makes referrals as necessary.

Two positions were restaffed between October 1975 and September 1976. One Victim Specialist became an Administrative Assistant in the District Attorney's Office. The second Victim Specialist was assigned to an Intake Screening Project at the Boston Municipal Court. Both Victim Specialist positions were filled in September 1976.

The UCP Unit provides Victim Aides to the DA Unit on a regular basis. Victim Aides perform a wide variety of tasks to assist the Victim Specialists by performing routine clerical tasks and other activities related to case preparation, management, and service delivery.

Significant Implementation Effort

The Senior Victim Specialist focused initial efforts on developing a fully operational DA Unit in September 1975. Detailed implementation planning continued until November 1976 when the first clients were accepted by the DA Unit. Prior to this date, the Senior Victim Specialist:

- Defined functional responsibilities within the DA Unit.
- Established relationships with personnel and officers with whom the staff would work directly.
- Selected, hired, and trained the staff.
- Developed specific referral sources, finalized mechanisms for identifying potential clients, and established procedures to transfer cases from the referral sources to the DA Unit.
- Developed specific procedures, forms and methods for processing each case.

The current flow of cases is outlined in Exhibit III-2, which presents a flowchart for the DA Unit.

Future Emphasis

The Senior Victim Specialist is currently engaged in several activities which should improve the operation and management of the DA Unit. An information system is being designed and implemented to provide information for a variety of uses:

- Improve management understanding of the process by reporting data which represents the flow of cases and other operating data.
- Provide measures of the results of screening and victim services on the client and eventual outcome of the case.

A second activity has been initiated to extend the Screening Project to the Boston Municipal Court. A Victim Specialist was transferred to provide the same services and to perform similar functions as the Victim Specialists in the DA Unit at the Dorchester District Court. The new position at the Boston Municipal Court is not part of the Urban Court Program and is not funded from the Urban Court Program grant. Other activities will be initiated to improve the in-service training and continuing education of the DA Unit staff, and the expanded use of volunteer students to support the operation of the DA Unit.



## QUANTATIVE ANALYSIS

During the preimplementation analysis, the independent evaluators and representatives of the Urban Court Program developed basic evaluation criteria for the Victim Component. Three main criteria were selected for use in the evaluation of both the DA and UCP Units: program acceptance and utilization; impact on the efficiency of the Court and District Attorney's Office; and level of service available to victims. Exhibit III-3 identifies the criteria, the data to be collected, and references to the actual data collected. The fourth column, Measures of Success, indicates how the data would be interpreted to indicate successful impact by the Victim Services Project. The following paragraphs describe the results relative to the anticipated measure of success by each unit.

During the preimplementation period and after the DA Unit became operational, limited information was available for use in the analysis. The scope of information available was not as extensive as originally anticipated. At the time of the final review, the following data was available from the DA Unit reports:

- Social service referrals made by the DA Unit to outside agencies including the UCP Unit and the other two Urban Court Program components. Data reported includes:
  - . Case number
  - . Charge
  - . Service need
  - . Referral agency
  - . Follow-up
- Monthly report of cases processed through the DA Unit. Data reported includes:
  - . Charge
  - . Number of cases during month
  - . Number of cases for year-to-date

Based on these limited reports and interviews with the DA Unit staff, we were able to perform the following analysis.

Increase in Number of Referrals

Every case which is screened by the District Attorney's Office is processed by the DA Unit. Where there is an identifiable victim, services are offered as appropriate. The number of referrals to the DA Unit is represented by the number of cases screened by the District Attorney's Office.

In the first year of operation, the DA Unit processed 873 cases during the 5.5 months of actual operation. This represents an average of 158 cases per month or five percent above the anticipated volume. Based on statistics maintained for the first two months of operation, each case involved approximately two clients as a victim or witness. The majority of cases processed are initiated by the police and involve a police officer as a client. The Senior Victim Specialist indicated that only one in 50 cases may involve a civilian witness other than the victim or a police officer.

During the first four months of the second fiscal year, May through August 1976, the DA Unit processed approximately 247 cases per month. This volume is substantially higher than the volume originally anticipated of 150 cases per month. Although the high utilization of the DA Unit is apparent, care should be exercised in interpreting the results. Current procedures include all District Attorney cases in the number of referrals to the DA unit, not just those in need of victim services. Accordingly, the number of referrals appears to have increased since initial implementation but cannot be assured due to the current data collection methodology.

#### Decrease in Cases Continued

The Victim Component originally anticipated that improved services to victims would impact the Court's operation by reducing the continuance rate through improved participation of victims and witnesses in the case. The continuance rate at the Court has been reduced during the period of the evaluation. The DA unit has contributed to the overall reduction of continuances, but insufficient data exists to determine the proportion due to the DA Unit. Most of the reduction is due to specific actions taken by the Court and the judges. However, the contribution by each individual factor cannot be determined.

#### Decrease in the Number of Cases Not Prosecuted, Capiases, and No Shows

The District Attorney's office does not routinely report information from which an evaluation of these factors could be determined. The DA Unit also did not expand the scope of information collected to permit assessment of these factors. Accordingly, the impact of the DA Unit on these factors cannot be determined.

#### Increase in the Number and Types of Direct Services Provided

The DA Unit is a court oriented service unit. Basic services are offered to orient the client to the criminal justice system and determine service needs. In this regard, types of services offered by the DA Unit have remained constant while the number of services appears to have increased with the overall caseload of the Court.

Each of the civilian victims/witnesses received minimum services from the Victim Specialists which included:

- Determination of background and facts necessary to screen the case.
- Orientation of the client to the criminal justice system and procedures of the Dorchester District Court.
- Assessment of additional service needs which could be met by the Victim Specialist or by referral to another agency including a program component.
- Provision of service as an escort during the arraignment proceedings as necessary.

Aside from these basic services, it was observed that the small staff and large caseload limit the number and types of services which can be made available to each case. At an assumed average of 200 cases per month over 20 work days and a staff of 2.5 people working eight hours per day, an average of only two hours can be spent in total on any one case including administration, time spent waiting with the victim, etc.

#### Increase in Number and Type of Community Services Utilized

Services which could not be provided by the DA Unit were referred to other agencies. Approximately 15 percent of the cases required referrals. For the 135 service referrals made outside the DA Unit, 99 referrals were made to the UCP Unit during the first fiscal year ended April 30, 1976. For the first four months of the second fiscal year, May through August 1976, the number of cases referred to outside agencies decreased to 11 percent, or 107 cases.

During the period, the proportion of cases referred to outside agencies remained approximately constant at 10 percent of the total cases. However, the referral rate to the UCP Unit by the DA Unit increased by 15 percent in relation to outside agency referrals. Continued increase in the referral rate is expected between these two victim units.

#### INTERVIEW RESULTS

During the preimplementation period interviewees generally had insufficient knowledge to distinguish between the planned activities of the two victim units. Interviews with criminal justice and community representatives did not specifically attempt to distinguish between the two units' activities.

During the postimplementation interviews, most community representatives and a few criminal justice representatives still experienced some difficulty in distinguishing the differences between the two units. The interview results are presented after the UCP Unit in this section.

#### FINANCIAL ANALYSIS

During the first fiscal year, operation of the DA Unit was the least expensive of the two units. As indicated in Exhibit III-4 the total allocated cost for the first fiscal year ended April 30, 1976 was \$30,500. Of the total allocated cost, \$21,700 or 71 percent are direct costs, and \$4,080 or 13 percent are indirect costs.

The relatively low cost of operation is attributed to the low direct expenses. Only three full-time positions were funded and these were not filled during the entire period between start-up and the end of the first fiscal year. The low cost, combined with the high number of 873 cases, results in a cost per case of \$35 during the first fiscal year.

Also presented in Exhibit III-4, is the allocated actual cost experience for the first four months ended August 31, 1976 of the second fiscal year. The DA Unit is estimated to experience an allocated cost of approximately \$77,500 during the second fiscal year, compared to \$30,500 during the first fiscal year. The primary cost difference is attributed to additions to personnel, and all positions are expected to be filled during the entire year.

The cost of providing services to victims represents an incremental cost. Direct time savings of Court staff which result from the impact of the DA Unit does not result in a direct reduction of expenditures for the Court. The time savings are used in other activities. It does not appear that operation of the DA Unit has directly resulted in quantifiable time savings or direct financial benefits to the Court.

For example, the DA Unit has contributed to the overall reduction of continuances in the Dorchester Court. However, other actions have been taken by the judges, Court staff and the District Attorney's office which also affect the reduction in the continuance rate. No data exists to determine the proportion of the continuance rate reduction which can be attributed to the DA Unit.

The services provided by the DA Unit represent services which have not been provided to victims in the past. Explanation of the criminal justice system, service needs assessment, victim representation, and other victim services represent new attention directed to victims at additional cost to the Court. Any significant benefits of these services only indirectly affect the Court, but directly affect the victim. Most of these benefits to victims cannot be quantified in financial terms without extensive research.

However, the criminal justice system spends hundreds of dollars per offender for apprehension, prosecution, conviction and rehabilitation. Very little attention and financial resources have been directed to the other half of the crime, the victim. Although the cost/benefit analysis must be subjective, cost per client served by the DA Unit does not appear excessive compared to the need for services to crime victims.

We have estimated the range of future funding requirements for the DA Unit in Exhibit III-5. These estimates reflect the observations of the evaluators and are intended to serve as alternatives to the current funding requirements.

The first alternative presented assumes that the DA Unit remains separate from the Court and requires a separate operating facility. A caseload of 1,800 cases is assumed as a normal volume. The DA Unit would be staffed at the same current level, except Victim Aides stipends are added as direct personnel costs. Direct costs of \$52,000 are less than the current annualized cost of \$63,630 based on the first four months of the second fiscal year. Indirect costs are assumed to be included as burden, computed at 15 percent of direct costs. Total cost is estimated under this alternative at \$69,000 or \$38 per case.

The second alternative presented represents another possible funding requirement. The same assumptions are made as for the maximum requirements except that the responsibilities of the Victim Aides are increased and one of the two Victim Specialist positions is deleted. The total estimated cost under this requirement would be \$46,000 or \$26 per case.

The alternatives are presented as two options which might be considered among others in formulating future funding requests. Although the ranges of funding requirements presented for the alternatives do not represent a recommendation by the evaluators, Urban Court Program and Court personnel should consider the costs of the Disposition Component as incremental costs of the Court budget in the future.

#### SUMMARY OF OBSERVATIONS

The DA Unit has achieved its basic objectives of providing services to victims of crime and improving victim participation in the Court process.

#### DA Unit Strengths

- The services provided by the DA Unit are directly related to improving the participation of victims in the Court process.

- . Documentation of loss
  - . Explanation of Court process
  - . Coordination of schedules
  - . Transportation
- Continuance rates have decreased in the Court by approximately 50 percent partially due to improved coordination with witnesses and victims as well as specific Court action.
  - The working relationship with the UCP Unit has improved in the past six months.
  - Cost per client served appear to be reasonable in relation to services provided.

DA Unit Problems

- The separation of the two units continues to create coordination and service definition problems.
- Only 10 percent of the cases screened by the DA Unit are referred to the UCP Component and only 15 percent are referred to other agencies.
- Actual service needs of the victims may not be as significant as originally anticipated.
- An adequate information system has not been developed or implemented which generates sufficient data on a timely, accurate basis to effectively evaluate the operation and performance of the DA Unit.
- Documentation of loss and transportation services frequently overlap between the UCP Unit and the DA Unit.
- Inadequate waiting facilities exist for witnesses and victims.
- Court representatives believe that less attention should be directed to counseling and more attention directed toward case coordination.

URBAN COURT PROGRAM UNIT

OPERATIONS

Overview

The UCP Unit identifies longer term service needs of victims, initiates appropriate referrals, and supports the DA Unit. It delivers the following services to clients referred by the DA Unit:

- Emergency housing
- Training, employment and education
- Transportation
- Crime prevention
- Senior citizen assistance services
- Victims of Violent Crime Compensation Act
- Emergency client funds disbursements
- Language/interpretation
- Substance abuse treatment

The UCP Unit receives cases from sources other than the DA Unit:

- Self-referred clients.
- Clients identified by the Victim Advocates as a result of screening the Incident Reports at District Stations 3 and 11 of the Boston Police Department.
- Clients referred by a Judge who directs that certain services be provided. This may include victims of juvenile crimes and individuals involved in Small Claims Court.
- Victims of cases referred to the Disposition Component.

All clients are administratively processed by the UCP Unit Secretary or Administrative Assistant and interviewed by a Victim Advocate. The client's needs for services or referral to outside community social or service agencies are identified.

The Victim Advocate is responsible for assuring that services are delivered directly or by another agency. In addition to this follow-up, the Victim Advocate is responsible for preparing necessary reports for the Court as well as escorting the victim or representing him as necessary at Court or before the Disposition Panel.

#### Organization and Staffing

The organization structure of the UCP Unit is presented in Exhibit III-6. The organization and staffing of the UCP Unit conforms to the original funding proposal except that 23 community members were added to the staff as Victim Aides on May 1, 1976.

The current staffing and major responsibilities for the positions are summarized below:

- Victim Director (1) - exercises general responsibility for planning and management of the UCP Unit operations and staff; assesses types and level of services offered; develops new service areas and required staffing resources; and coordinates activities with District Court, District Attorney's staff, and the DA Unit.
- Victim Advocates (2) - accepts clients and conducts intake interviews; assesses the victim/witness service needs resulting from the crime; develops and coordinates the delivery of assessed and planned services; works with the Victim Aides, DA Unit, Disposition Component staff, and other agencies to deliver services; and prepares documentation and required reports.
- Victim Aides (13) - works with the Victim Advocates and Victim Specialists to expedite the flow of cases through both units; assists in the preparation and management of cases, the assessment of needs, and where possible, in the delivery of services to the victim/witness.

Two positions were restaffed during the first year. In January 1976, one of the Victim Advocates resigned. This position was filled in March 1976. The position of secretary was filled in May 1976 after the prior secretary was promoted to Administrative Assistant to the Program Director.

As outlined in the second year funding proposal, community members became active participants in the Victim Component, with the creation of Victim Aide positions. On April 20, 1976, a two week



training program was initiated for 23 community members. Five training sessions were conducted and the Victim Aides began on May 1, 1976. Thirteen Victim Aides remained active as of October 1, 1976. Five community members became inactive for employment and education reasons. The remaining five community members ceased to participate for personal or other unspecified reasons.

The second year funding request proposed that the Victim Aides would perform three basic functions:

- Serve as a "friend" of the victim in Court and before the Disposition Panel.
- Transport and escort victim/witness to and from Court.
- Serve as "experts" in crime prevention.

The Victim Director has determined that only the first function is appropriate for Victim Aides at this time. Several Victim Aides interviewed supported this view and expressed some dissatisfaction with their prior utilization in administrative functions. Serving as a "friend" of the victim corresponds more closely to the training received by the Victim Aides. The assignment method is also being redefined for the Victim Aides. Instead of assigning Victim Aides on a daily basis which results in "make work" activities, Victim Aides will be assigned on a case basis. This should improve the continuity of service.

The redefined responsibilities of the Victim Aides will stress support of the Victim Advocates and Specialists during the assessment and victim representation activities. Primary responsibility for the overall processing of each case and specific delivery and follow-up of services will remain with the Advocates and Specialists. The Victim Director intends to reassess the performance of the Victim Aides and will request funds in the third year proposal only if the restructured function proves satisfactory.

#### Significant Implementation Effort

The Victim Director was hired on October 15, 1975, and focused initially on efforts to develop a fully operational Unit. The detailed implementation planning continued until November 1976 when the UCP Unit accepted its first clients. Prior to this date, the following tasks were completed:

- The Victim Director defined function responsibilities and services.
- Established relationships with personnel and officers with whom the UCP Unit would work directly.

- Participated in selecting and hiring members.
- Developed specific referral sources, finalized mechanisms for identifying potential clients, and established procedures to transfer cases from the referral sources.
- Developed specific procedures, forms and methods for processing each case.
- Coordinated the training of the staff. The specific training program was developed principally by the Senior Victim Specialist of the DA Unit and several members of the local criminal justice system.
- Developed community interest in the Victim Component by working with media representatives and community members active in the area of criminal justice and social services.

The implementation and operation of both units suffered from ineffective coordination between the two units. For example, the scope and level of services to be provided by each unit were initially not explicitly defined and agreed upon. Consequently, the provision of some services such as orientation and transportation overlapped. Several factors contributed to this situation:

- Communications were hindered since the Victim Director reported to the Program Director while the Senior Victim Specialist reported to the Supervising Court Prosecutor.
- Physical separation of the staffs also contributed to the lack of adequate communications. Neither staff fully understood the functions and operations of the other staff. Occasional misunderstandings and duplication resulted.

Attempts were made to coordinate the activities of both units but the absence of a single individual with direct line authority over both units hindered the establishment of effective coordination. The two units can act unilaterally in the absence of a single decisionmaking authority.

The new Program Director has placed emphasis on improving the coordination between the two units to eliminate the problems initially encountered.

The current flow of cases is outlined in Exhibits III-7 and III-8, which present a flowchart for the UCP Unit.

### Future Emphasis

The Victim Director of the UCP Unit has undertaken to redefine the purpose and to restructure the activities of the Victim Aides as previously discussed. A second major activity involves continued re-examination of the range and scope of services which should be provided by the UCP Unit consistent with the objectives, anticipated benefits, and expected results. Part of this effort, for example, involves an examination of the victim participation in the Disposition Panel.

Significant improvements to the UCP Unit's performance have occurred since initial implementation. Re-examination of the services and client groups resulted in a reduction of crime prevention activities and an increase in services has resulted in improved performance of the UCP Unit and improved attitudes by Court staff. The Victim Director believes that additional improvements can be achieved.

### QUANTATIVE ANALYSIS

During the preimplementation analysis, the independent evaluators and representatives of the Urban Court Program developed basic evaluation criteria for the Victim Component. Three main criteria were selected for use in the evaluation of both the DA and UCP Units: program acceptance and utilization; impact on the efficiency of the Court and District Attorney's Office; and level of service available to victims. Exhibit III-3 identifies the criteria, the data to be collected, and references to the actual data collected. The fourth column, Measures of Success, indicates how the data would be interpreted to indicate successful impact by the Victim Services Project. The following paragraphs describe the results relative to the anticipated measure of success by each unit.

The management information system of the UCP Unit has continued to evolve since the UCP Unit became operational. The current reporting system appears to produce timely, accurate reports. The data reported however, did not allow us to analyze all of the measures of success. However, the following analysis was performed.

#### Increase in Number of Referrals

The UCP Unit has developed initial contact methods including several which were not anticipated in the original proposal. As indicated in Exhibit III-9, the UCP Unit has developed sources of client referral in addition to the DA Unit. In addition to the DA Unit, the primary sources of cases result from clients who are identified as being the victims of offenses committed by juveniles. The staff identifies these victims by tracing records maintained by the Model Juvenile Probation Section back through court records. This

source of clients has developed since March 1976, and was not anticipated in the grant applications. These cases represent 30 percent of the total number of clients referred to the UCP Unit.

The staff also accepts cases involving clients of crimes committed by offenders referred by the Court to the Disposition Component. The staff also serves as an advocate for the victim before the Disposition Panel if the client declines to participate directly in the process. Referrals from the DA Unit, Model Juvenile Probation Unit and Disposition Component represent 87 percent of all victims referred for services.

Secondary sources of clients include clients who are self-referred or referred by another agency. In addition, referrals are made directly by the police and developed by the staff after examination of Incident Reports. Finally, referrals are made directly by the Court to provide services to the Court and/or the victim.

In the future, Court referrals will increase. The UCP Unit will be present at sessions of the Small Claims Court to provide assistance to both the Court and the disputants. This additional source of clients may offset the decline of total cases experienced in July and August.

#### Increase in Number and Types of Direct Services Offered

The number and types of services offered by the UCP Unit has continued to evolve since the UCP Unit became operational. The Victim Unit Director offered a wide range of services during the first fiscal year. Several of these services may not have been appropriate to the scope or objectives of the Urban Court Program. Other services began to draw the staff towards long-term commitments which may have affected their future capability by reducing their ongoing case service capacity. After some consideration, the UCP Unit has moved away from these services and continues to evaluate new services to determine if they are appropriate and if sufficient resources exist to provide these services.

The number and types of services vary considerably. For the 428 cases referred to the UCP Unit through August 30, 1976, there were 608 reported services provided to victims and witnesses. As indicated in Exhibit III-10, these services are classified into four areas. The four basic areas of supportive services and descriptions of the major services provided in each area are described below:

- Supportive Services to Court Process
  - . Transportation - both Victim Aides and Victim Advocates are involved in the transportation of victims/witnesses to and from the Court.

Two community agencies provide transportation when all other resources are unavailable. Approximately 90 percent of all requests for transportation services are originated by the DA Unit.

- . Court Escort - many victims are reluctant to appear in Court and testify for various reasons. Both the Victim Aides and Advocates escort victims to Court and provide support to victims.
  - . Process Orientation - both Victim Aides and Advocates provide victims/witnesses with an orientation which provides information about the criminal justice system and procedures of the Dorchester District Court. The UCP Unit has also prepared a booklet which provides similar information.
- Health Care Services
- . Medical Services - contacts have been made with the various health clinics in the community to accept referrals. Although this service is not used as frequently as others it provides effective services to the clients referred.
  - . Counseling Services - the staff has established relations with different agencies within the community to service clients in need of counseling as a direct result of the crime. This service has proved valuable, especially when used in conjunction with an evaluation conducted by the psychologist. Counseling agencies used specialize in substance abuse, psychiatric evaluation, and counseling such as family counseling.
- Services for Fiscal Loss
- . Compensation Under Victim of Violent Crime Act - by statute the State has provided a fund whereby victims of violent crimes can be monetarily compensated for losses. Victim Advocates offer assistance to victims in obtaining and completing the appropriate forms.
  - . Documentation of Losses for Restitution - the Court considers losses that a victim may incur as a result of criminal actions in establishing sentences. For all Juvenile cases, Victim Advocates contact the appropriate victim to document

losses for the Court. These losses are supported by estimates, receipts and insurance policies to assure accurate documentation.

- . Emergency Funds - in emergency cases where victims are in need of immediate essential service, the Victim Advocates have at their disposal an emergency fund to be used for such items as food, clothing, furniture and housing. This fund is generally used for families where their need for relocation resulted from an assault on the wife and/or children by the husband.
- Services for Property Loss or Damage
  - . Security Analysis - the Victim Advocates are responsible for providing a security analysis of those homes where victims had been referred as a result of a theft or burglary. All burglaries are referred to from the Model Juvenile Probation Unit, DA Unit and the Disposition Component. The Victim Advocate is assigned to the case and a home visit is scheduled to perform the security analysis. On the day of the home visit, the Victim Advocate, accompanied by a Victim Aide, visits the home and examines locks, doors, windows, lighting conditions, etc., and make recommendations to the victims which will increase the security of their residence and property.
  - . Identiguard - this service is provided with security analysis as a second service offered in the securing of premises. Identiguard is the process by which all valuables in a home are marked with the homeowner security number using an electric pencil. Upon completion of this service, all items are listed on a form provided by the Boston Police Department. The form is then registered with the police. If a home is burglarized, the stolen property may be recovered and returned to the owner.

Emphasis on services associated with property loss or damage have been reduced. These services are more appropriately provided by other agencies rather than by the UCP Unit which is associated with the judicial process rather than law enforcement.

#### INTERVIEW RESULTS

The interview results for the UCP Unit are presented at the end of this section.

## FINANCIAL ANALYSIS

Operation of the UCP Unit was the more expensive of the two units during the first fiscal year ended April 30, 1976. As indicated in Exhibit III-11, the total allocated cost was \$101,850. Direct expenses amounted to \$35,790 or 35 percent of the total allocated cost.

Direct personnel costs were \$24,670 which compares favorably with the corresponding cost for the DA Unit of \$20,100. Operating costs associated with start-up of the UCP Unit in a renovated location added \$11,120 in direct expenses compared with \$1,600 for the DA Unit which is located in the District Attorney's Office.

Indirect costs of \$38,600 are 38 percent of the total allocated costs and represent a major expense of the UCP Unit. The high indirect costs reflect the cost of start-up for the entire Urban Court Program.

The cost estimates for the first year of operation reflect the high start-up expenses. The first four months of the second fiscal year are also presented for comparative purposes. The cost per case has been reduced from \$490 per case to \$194, which more accurately reflects the cost of continuing operation for the UCP Unit.

The services provided by the UCP Unit represent services which have not been provided to victims in the past. Providing supportive services, such as transportation, services for financial loss, services for property loss or damage, and other services represent new attention directed to victims at additional cost to the Court. Benefits of most services provided by the UCP Unit directly affect the victims and only indirectly affect the Court. It does not appear that the UCP Unit has directly resulted in quantifiable financial benefits to the Court.

We have estimated the range of future funding requirements for the UCP Unit in Exhibit III-12. These estimates reflect the observations of the evaluations and are intended to serve as alternatives to the current funding requirements.

The first alternative assumes the UCP Unit remains separate from the Court and requires a separate operating facility. A case-load of 750 cases per year is assumed as a normal volume. Overall unit supervision would be the responsibility of the Program Director with day-to-day supervision assumed by the Senior Victim Advocate. The position of Unit Director would be eliminated. Community member participation by the Victim Aides would be increased to include more responsibility for providing services to victims.

Exhibit III-12 presents the estimate for this alternative under the maximum requirement. Direct personnel and operating costs are

\$43,000. The difference between this cost and the comparable cost of \$35,790 for the first year is reflected in full-time staffing for the entire year, pay increases, and an increase in the involvement of of the Victim Aides.

Indirect costs and an assumed burden of 15 percent add an additional \$30,600. Total funding under these assumptions would be \$73,600 compared to the initial cost of \$101,850 during the first year of operation.

The second alternative reflects the cost of incorporating the UCP Unit into the operation of the Dorchester District Court and does require an additional facility. The UCP Unit would be supervised by the Senior Victim Advocate. Staffing remains the same except the Victim Advocate position is part-time and Victim Aides assume additional responsibilities for providing some services.

Exhibit III-12 presents the estimate for this alternative under the minimum requirement. Direct personnel and operating costs are \$34,000. Indirect costs and an assumed burden rate of 15 percent add an additional \$16,600. Total funding under these assumptions would be \$50,600 compared to the initial cost of \$101,850 during the first year of operation.

The alternatives are presented as two options which might be considered among others in formulating future funding requests. Although the ranges of funding requirements presented for the alternatives do not represent a recommendation by the evaluators, Urban Court Program and Court personnel should consider the costs of the Disposition Component as incremental costs of the Cour budget in the future.

#### SUMMARY OF OBSERVATIONS

The UCP Unit has achieved its basic objectives of providing services to victims of crime, but requires further definition of services, client groups, and referral services.

#### UCP Unit Strengths

- Staff, Court staff, and community representatives indicated that the UCP Unit has improved its service performance since initial implementation.
- Victim services is viewed as the largest potential benefit of the Urban Court Program, but explicitly defining the service needs of victims has been difficult.



- Recent improvements include the use of community members as Victim Aides. Services to victims of juvenile crimes and coordination with the Disposition panel has increased from 0% to 40% of total cases in the past six months.
- Decreased emphasis has been placed on crime prevention and longer term services to victims.

#### UCP Unit Problems

- Clearly defined goals, objectives, and services have been complicated by:
  - . Difference in emphasis between the Court and UCP Unit.
  - . Separation of responsibilities between the DA Unit and UCP Unit.
- Services to victims, other than financial, may not be as extensive as initially anticipated.
- Few Court and community representatives interviewed fully understood the function of the UCP Unit.
- Court representatives criticized the low visibility of the UCP Unit within the Court.

#### VICTIM COMPONENT

##### INTERVIEW RESULTS

Criminal justice and community representatives were interviewed during the preimplementation period (September 1975) and the postimplementation period (September 1976). The interviews were conducted to determine whether changes in attitude or perception had occurred after the Urban Court Program had been implemented. Although a structured interview capable of tabulation was initially planned, most community and criminal justice personnel had insufficient knowledge of the Urban Court Program to respond to structured questions during the preimplementation interviews. Accordingly, a more open interview format was used. This format was continued during the postimplementation interviews to remain consistent.

Appendix A presents the interview format and the individuals who were interviewed. The following paragraphs summarize the comments, negative and positive, regarding the Victim Component during both sets of interviews. Comments related to the Victim

Component included both the DA and UCP Units. The interviews did not initially identify the two units separately. Comments by all respondents and only one respondent are designated as such. Other comments are included for information but do not represent a majority or minority opinion unless designated. The tabular summary at the end of the interview comments summarizes the perceived success of the three components relative to each other.

## CRIMINAL JUSTICE PERSONNEL

### Knowledge of the Victim Component

During the preimplementation analysis, Dorchester District Court and criminal justice agency personnel interviewed expressed higher than expected familiarity with the concepts of victim services. However, specific knowledge of the Victim Component varied substantially with very few individuals indicating much knowledge of the proposed operations. Those most familiar were involved in the initial planning phases of the Victim Component. Most Court staff did not understand the separation between the Urban Court Program and the District Attorney's Office.

During the postimplementation interviews, most individuals were familiar with the Victim Component, but continued to confuse the distinctions between the Urban Court and District Attorney responsibilities. Most responses indicated more complete understanding of the DA Unit since the services appeared to be more closely related to the Court's caseload.

### Anticipated Impact of the Victim Component

During the preimplementation interviews, District Court and criminal justice agency personnel indicated that the Victim Component should have the largest effect on the Court and community. Improvement in the Court's image and the provision of an important service were perceived to be the major impacts on the community. Respondents relied on the criticism of all courts, not just the Dorchester District Court, for indicating that victims should and must receive increased attention in the criminal justice system. Many believed that the public's image of the Court would not be changed without widespread exposure of victim services to the community, including those who are not involved in criminal proceedings. Although the Victim Component could do much to improve the image of the criminal justice system within the community, the limited services which could be provided would not change community attitudes toward the Court in a short period. Accordingly, many believed that service referrals must be carefully limited and not carry an active caseload. A large caseload could defeat the purpose of victim services and duplicate the function of other service agencies.

During the postimplementation interview, the same individuals interviewed indicated that both units taken together had partially met the Victim Component objectives. They generally believed that the DA Unit had contributed to improving the processing of criminal cases. Improved case documentation, increase cooperation of victims and witnesses, and increased attention to victims were suggested as indicators that victim services could impact Court operations favorably.

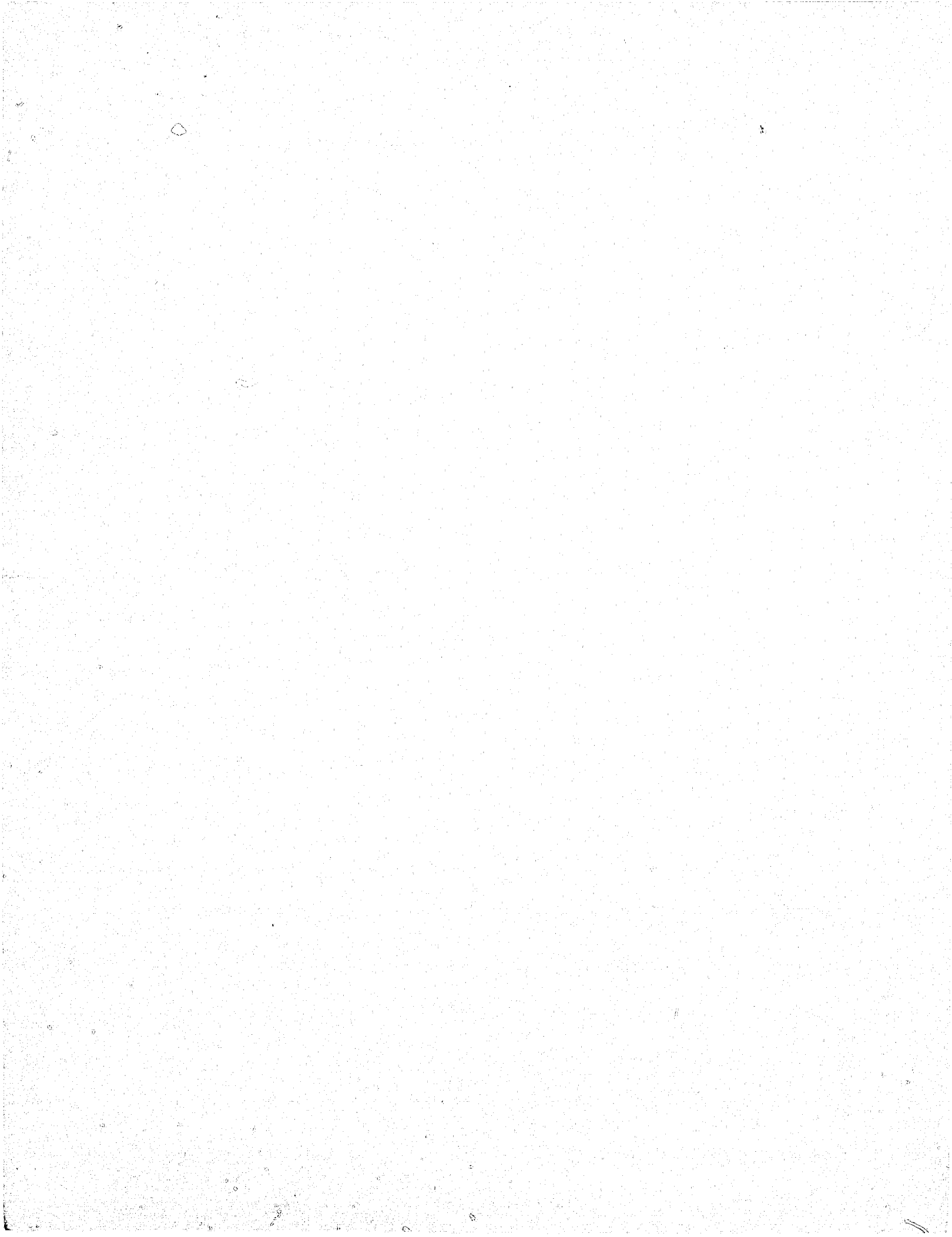
Court representatives also believed that the UCP Unit's impact on the Court had been positive. The UCP Unit had assisted in returning restitution money collected by the Court but never delivered to victims. Victims of juvenile crimes were recently included as a responsibility of the UCP Unit to document loss and to assist in victim participation in the court process. Court representatives did not believe that follow-up service to victims had much impact on actual Court workload. Most Court representatives also criticized the low visibility of the UCP Unit in the Court.

The perceived impact on the community was limited. Although increased attention was provided to the victims, many representatives indicated that there may not be as broad a range of services which could be provided to the victims as originally planned. The low rate of referrals between the DA Unit and the UCP Unit, and the difficulty in defining the service needs of victims were suggested as indications of this problem. However, all representatives interviewed indicated that the concept of victim services remained a high priority for the Court and for the community.

#### Perceived Probability of Success

During the preimplementation interviews, the Victim Component was expected to be the most successful because the component was perceived to have an important impact upon both Court operations and community perceptions of the Court. The Victim Specialists of the DA Unit could improve Court operations by explaining the criminal process, obtaining improved victim and witness cooperation, and providing needed services. As a result, continuances would decrease, fewer cases would be dismissed for lack of prosecution, and more cases would be ready for trial on the first call.

Public relations was considered an important part of obtaining community support. The Court must communicate its desire to assist victims beyond those involved with the Urban Court Program. The public image of the Court will not be changed without broadbased exposure to the victim services, including those who are not involved in Court proceedings. The Urban Court Program must also be careful to limit itself to service referrals and not carry a large active caseload. This could defeat the purpose of victim services and duplicate the function of other service agencies.



**CONTINUED**

**1 OF 3**

During the postimplementation interviews, most Court representatives indicated that the performance of both units had improved since initial implementation. The DA Unit appeared to provide direct support to the Court's operations. The principal reasons for its perceived success included increased victim contact, improved case processing, and identification of the need for referral services. The UCP Unit had improved its image within the Court through the restitution efforts, use of community members, and the provision of services to victims of juvenile crimes. The UCP Unit had reduced the workload of the Probation Department by documenting losses. However, since volumes had remained low, some individuals expressed the belief that services to victims, other than financial, may be limited. They continued to believe that the greatest long-term benefit of the Urban Court Program to the Court and the community remained in the victim services activity.

Several negative comments were directed at the Victim Component. The clear definition of responsibilities between the two units had improved, but remained somewhat confused. Neither unit had clearly defined targets, services, and approaches necessary to result in a thorough test of the victim service concept. Further, the DA Unit had not received sufficient publicity to generate much community interest. They also believed that the UCP Unit staff had not been visible enough in the Court during the first year of operation. Accordingly, some Court representatives expressed a lack of understanding concerning what the UCP Unit was expected to accomplish.

Individuals were asked during both sets of interviews to rank the perceived success of the Victim Services Project relative to the Mediation and Disposition components. The rankings for both sets of interviews are summarized below:

PERCEPTIONS OF THE VICTIM COMPONENT  
BY CRIMINAL JUSTICE PERSONNEL

	<u>Highest</u>	<u>Average</u>	<u>Lowest</u>	<u>No Opinion</u>
Preimplementation (10/75)	11	1	-	3
Postimplementation (9/76)	-	10	2	3

## Community Members

### Knowledge of the Victim Component

During the preimplementation interviews, community members exhibited general knowledge of the Victim Component objectives. Almost all comments concerning victim services were directed toward the UCP Unit. Community members were in agreement on the need for victim services, but did not understand the proposed scope of services or how the UCP Unit would provide the services. Community members directed very little attention or comment to the DA Unit. All individuals interviewed saw the potential value of the Victim Component strictly in terms of satisfying the service needs of victims rather than improving the overall operation of the Court.

During the postimplementation interviews, the community members interviewed were able to describe the Victim Component more completely. Most individuals understood the separation of responsibility between the DA Unit and the UCP Unit, but remained somewhat unclear of the specific goals of each unit. Most individuals understood the basic operations of both units, but continued to direct their comments to the service aspects rather than the Court processing aspect. All generally agreed that both units had not had enough time or exposure to the community to generate widespread knowledge. The respondents did not believe that many community members were aware of the Victim Component, its objectives, and basic operations.

### Anticipated Impact of the Victim Component

During the preimplementation interviews, the community members agreed that the Victim Component represented an important first attempt to address the rights and needs of victims. Its impact on the Court would result in improving the overall quality of justice by allowing the victim to express the personal nature of the loss directly to the Court and the community. The community representatives also expressed a strong feeling that the Court would assume a more even balance between its function to protect the rights of the defendant while considering the plight of the victim.

Community members believed that the most significant impact would be on the community. Both units could demonstrate concern for the victim by offering direct assistance to relieve fear and frustration with the criminal justice system. Other important results which the community members expressed were the potential to reduce fear of retribution, orienting the victim to the criminal justice system, and providing direct referrals to other community agencies.

During the postimplementation interviews, the same individuals did not feel that the Victim Component had the impact anticipated on either the Court or the community. Several individuals noted that the emphasis of the DA Unit had been misdirected to the improvement of case processing rather than improved service delivery. Although many individuals did feel that the DA Unit may be providing better orientation of victims to the criminal justice process, most respondents agreed that the DA Unit had the most significant impact on the Court. They believed that a broader range of services should be offered to victims by the UCP Unit. However, they were unable to cite specific additional services which should be offered by the UCP Unit.

Community members responded that the impact upon the community had improved. However, they indicated that any substantial impact on the community would take a more extended period of time than the initial year of operation. As with the other components, respondents suggested that more attention and community input would be necessary to achieve broad community exposure to the component. They indicated that the Victim Component would require an expanded public relations program to publicize the new services in the Dorchester District Court. This component remained as the most beneficial and useful to the community and should eventually result in improving the Court's image within the community.

#### Perceived Probability of Success

During the preimplementation interviews, the community members perceived the Victim Component to have a moderate chance of success. The reason cited for stating that the component would be successful involved the need for the service within the community. Community interest and a lack of implementation obstacles were also mentioned as reasons. Some doubt was expressed about the ability of the component to provide assistance in obtaining financial compensation for property loss, or any services other than the short-term counseling.

During the postimplementation interviews, the community members continued to rank the component as the second most successful of the three Urban Court Program components. Several indicated that this component offers the most significant potential benefit and may yet achieve anticipated results, but the component needed additional time to demonstrate its capability.

Significant progress had been made since the initial implementation by both units, but many believed that the true service objectives need to be clearly defined, improved public exposure required, and that both units should emphasize services needs rather than Court needs.



Individuals were asked during both sets of interviews to rank the perceived success of the three Urban Court Program components relative to each other. The rankings for both sets of interviews are summarized below:

PERCEPTIONS OF THE VICTIM COMPONENT  
BY COMMUNITY REPRESENTATIVES

	<u>Highest</u>	<u>Average</u>	<u>Lowest</u>	<u>No Opinion</u>
Preimplementation (10/75)	1	4	-	3
Postimplementation (9/76)	1	5	-	2

EXHIBIT III-1

URBAN COURT PROGRAM  
VICTIM COMPONENT

DA UNIT ORGANIZATION CHART

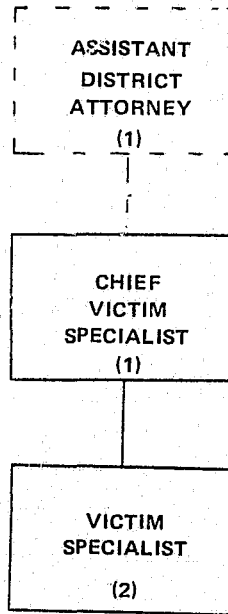


EXHIBIT III-2

URBAN COURT PROGRAM  
VICTIM COMPONENT

FLOWCHART FOR  
DA UNIT

III-30

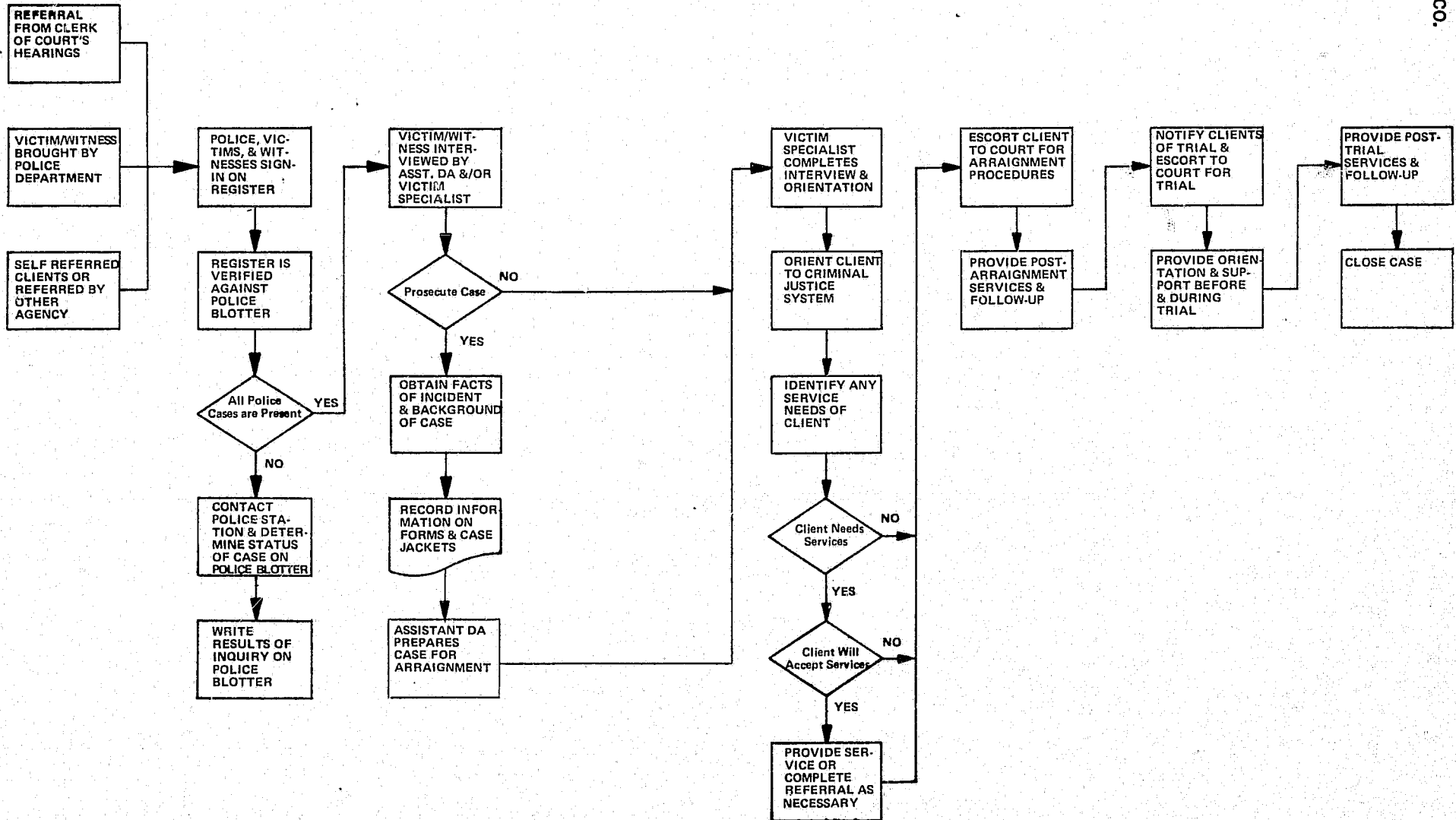


EXHIBIT III-3

URBAN COURT PROGRAM  
VICTIM COMPONENT

VICTIM SERVICES PROJECT  
QUANTATIVE MEASURES

III-31

<u>CRITERIA</u>	<u>DATA</u>	<u>INFORMATION</u>	<u>MEASURE OF SUCCESS</u>
- Program Acceptance and Utilization	- Source of Referral	- Exhibit III-9	- Increase in Number of Referrals to Victim Services
	- Number of Cases by Type	- Data Not Available	
	- Number of Victims and Witnesses Contacted per Case	- Data Not Available	
- Impact on Efficiency of the Court and District Attorney Office	* Number of Continuances due to Lack of Victim and Witness Participation	- Data Not Available	- Decrease in Cases Continued
	* Number of Cases Dismissed for Lack of Prosecution	- Data Not Available	- Decrease in Cases Not Prosecuted for Lack of Victim Complaint or Victim and Witness Cooperation
	* Number of Subpoenas and Capiases Issued to Victims and Witnesses	- Data Not Available	- Decrease in Number of Capiases
- Level of Service Available to Victims and Witnesses	- Number of Contacts For Victim and Witness Compared With Type of Offense	- Data Not Available	- Reduction in Number of Victim and Witness "No-Shows"
	- Number and Type of Direct Services Provided to Victims	- Exhibit III-10	- Increase in Number and Type of Direct Services Provided
	- Number and Type of Referrals to Community Services	- Data Not Available	- Increase in Number and Type of Community Services Utilized

\* Initial data to be collected before implementation

EXHIBIT III-4

URBAN COURT PROGRAM  
VICTIM COMPONENT

DA UNIT

Actual Cost Experience

TOTAL ACTUAL COST	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Allocated Cost	

Fiscal Year 01 (5/1/75 to 4/30/76)  
(Twelve months ended 4/30/76)

PERSONNEL	OPERATIONS	TOTAL
\$ 20,100	\$ 1,600	\$ 21,700
3,130	950	4,080
<hr/>		<hr/>
\$ 23,230	\$ 2,550	\$ 25,780
		4,720
		<hr/>
		\$ 30,500
		=====

Fiscal Year 02 (5/1/76 to 4/30/77)  
(Four months ended 8/31/76)

PERSONNEL	OPERATIONS	TOTAL
\$ 21,050	\$ 160	\$21,210
3,260	320	3,580
<hr/>		<hr/>
\$ 24,310	\$ 480	\$24,790
		1,050
		<hr/>
		\$25,840
		=====

III-32

TOTAL COST PER CASE	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Cost/Case	

873 CASES

PERSONNEL	OPERATIONS	TOTAL
\$ 23	\$ 2	\$ 25
4	1	5
<hr/>		<hr/>
\$ 27	\$ 3	\$ 30
		5
		<hr/>
		\$ 35
		=====

988 CASES

PERSONNEL	OPERATIONS	TOTAL
\$ 21	\$ 0	\$ 21
3	1	4
<hr/>		<hr/>
\$ 24	\$ 1	\$ 25
		1
		<hr/>
		\$ 26
		=====

All financial data was provided by UCP and is presented without audit. Appendix B contains an explanation of the methodology.

EXHIBIT III-5

URBAN COURT PROGRAM  
VICTIM COMPONENT

DA UNIT

Estimated Funding Requirement

TOUCHE ROSS & CO.

TOTAL ACTUAL COST	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Estimated Cost	

MAXIMUM REQUIREMENT		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 50,000	\$ 2,000	\$ 52,000
7,000	1,000	8,000
<hr/>		
\$ 57,000	\$ 3,000	\$ 60,000
		9,000
<hr/>		
		\$ 69,000
<hr/> <hr/>		

MINIMUM REQUIREMENT		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 39,000	\$ 1,000	\$ 40,000
-0-	-0-	-0-
<hr/>		
\$ 39,000	\$ 1,000	\$ 40,000
		6,000
<hr/>		
		\$ 46,000
<hr/> <hr/>		

III-33

TOTAL COST PER CASE	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Estimated Cost/Case	

1,800 CASES		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 28	\$ 1	\$ 29
4	1	5
<hr/>		
\$ 32	\$ 2	\$ 34
		4
<hr/>		
		\$ 38
<hr/> <hr/>		

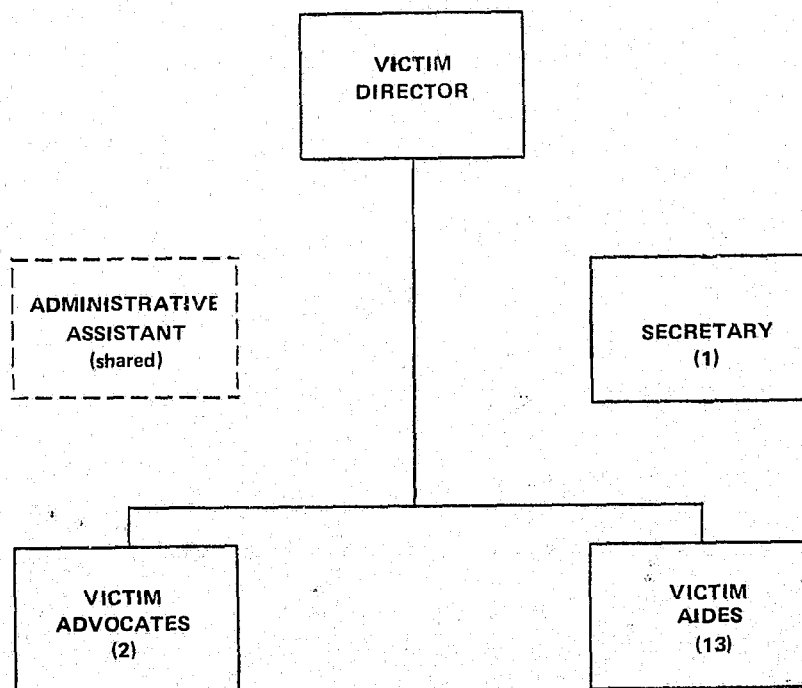
1,800 CASES		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 22	\$ 1	\$ 23
-0-	-0-	-0-
<hr/>		
\$ 22	\$ 1	\$ 23
		3
<hr/>		
		\$ 26
<hr/> <hr/>		

All financial data was provided by UCP and is presented without audit. Appendix B contains an explanation of the methodology.

EXHIBIT III-6

URBAN COURT PROGRAM  
VICTIM COMPONENT

UCP UNIT ORGANIZATION CHART



III-34

EXHIBIT III-7

URBAN COURT PROGRAM  
VICTIM COMPONENT

FLOWCHART FOR UCP UNIT

Clients Referred to UCP Unit  
By DA Unit, Court, Police or Self-Referral

III-35

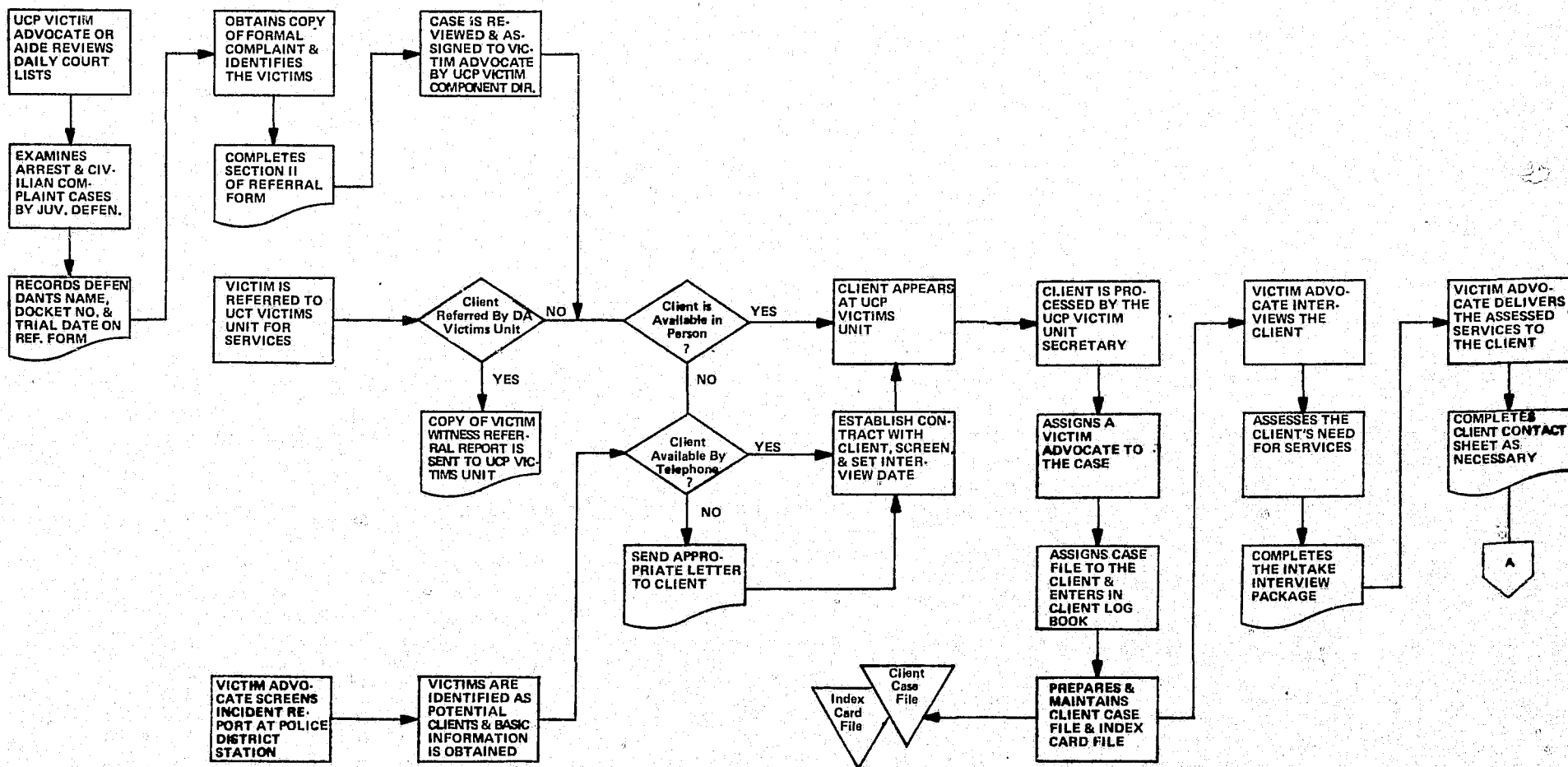
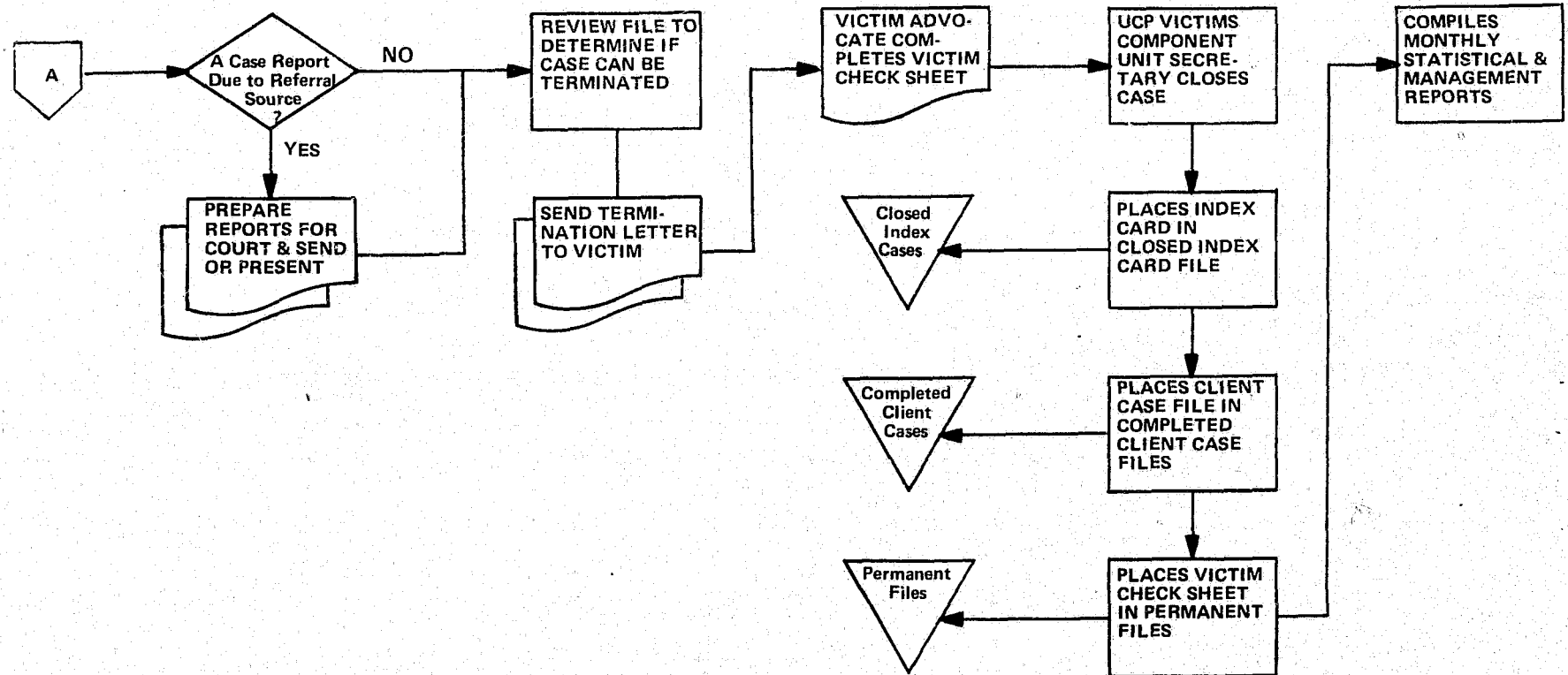




EXHIBIT III-7  
(continued)

URBAN COURT PROGRAM  
VICTIM COMPONENT

FLOWCHART FOR UCP UNIT



III-36

EXHIBIT III-8

FLOWCHART FOR UCP UNIT  
CLIENTS REFERRED TO  
UCP UNIT  
BY DISPOSITION COMPONENT

III-37

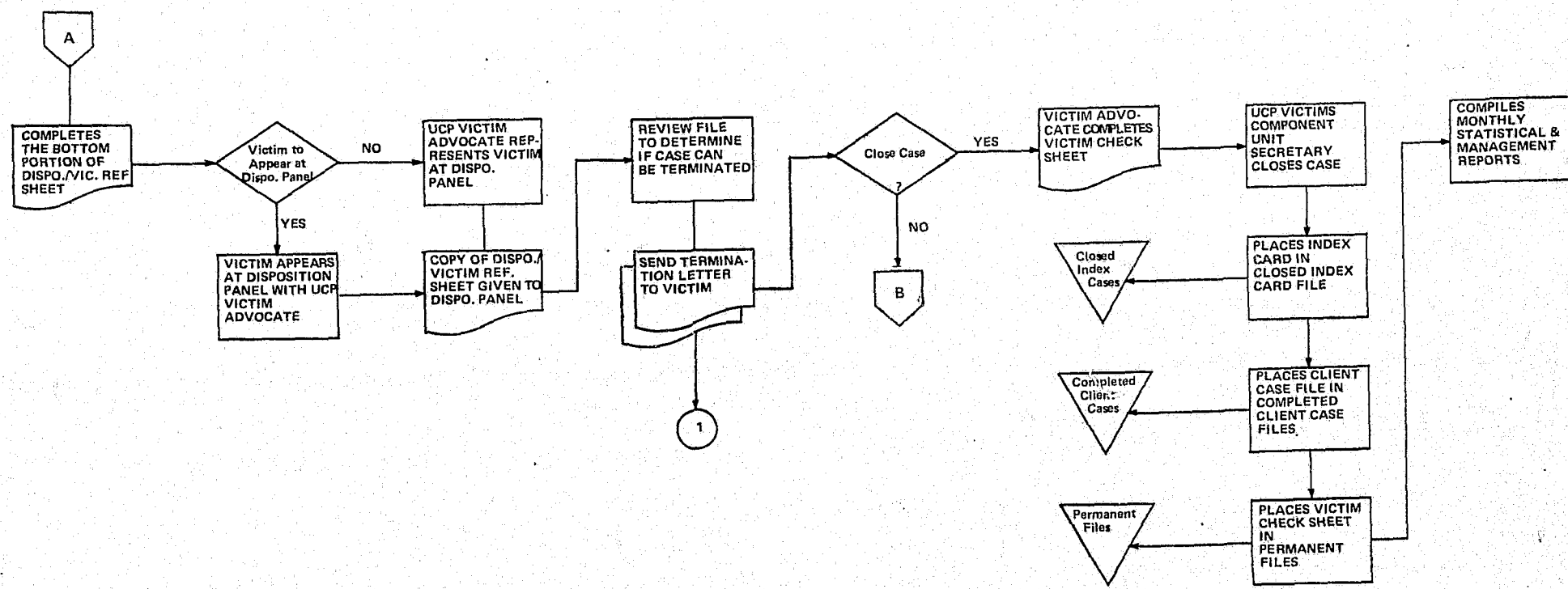


EXHIBIT III-9

URBAN COURT PROGRAM  
VICTIM COMPONENT

REFERRALS TO UCP UNIT

TOUCHE ROSS & CO.

<u>SOURCE OF REFERRAL</u>	<u>NOVEMBER</u>	<u>DECEMBER</u>	<u>JANUARY</u>	<u>FEBRUARY</u>	<u>MARCH</u>	<u>APRIL</u>	<u>MAY</u>	<u>JUNE</u>	<u>JULY</u>	<u>AUGUST</u>	<u>TOTAL</u>	<u>PERCENTAGE</u>
DA Unit	5	13	16	22	23	20	15	33	24	22	193	46%
Model Juvenile Probation Unit	0	0	0	0	18	18	30	31	16	15	128	30%
Disposition Component	0	0	0	0	11	11	10	9	6	2	49	11%
Court	0	2	1	0	10	0	0	0	0	0	13	3%
Police Department	0	11	9	1	0	1	0	0	0	0	22	5%
Other	1	3	1	2	7	2	2	0	3	2	23	5%
<b>TOTAL</b>	<b>6</b>	<b>29</b>	<b>27</b>	<b>25</b>	<b>69</b>	<b>52</b>	<b>57</b>	<b>73</b>	<b>49</b>	<b>41</b>	<b>428</b>	<b>100%</b>

III-38

## EXHIBIT III-10

URBAN COURT PROGRAM  
VICTIM COMPONENTSERVICES PROVIDED BY UCP UNIT  
(As of August 31, 1976)

<u>AREA OF SERVICE</u>	<u>PRIMARY SERVICES</u>	<u>NUMBER OF SERVICES</u>	<u>PERCENTAGE OF SERVICES</u>
Supportive Services to Court Process	Transportation Court Escort Process Orientation	107	25.1%
Health Care Services	Medical Counseling	42	9.7%
Services for Fiscal Loss	Compensation under Victim of Violent Crimes Act Documentation of Loss for Restitution Emergency Funds	187	43.7%
Services for Property Loss or Damage	Security Analysis Identi-Guard	92	21.5%
	TOTAL	428	100.0%

EXHIBIT III-11

URBAN COURT PROGRAM  
VICTIM COMPONENT

UCP UNIT  
Actual Cost Experience

TOUCHE ROSS & CO.

TOTAL ACTUAL COST	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Allocated Cost	

Fiscal Year 01 (5/1/75 to 4/30/76)  
(Twelve months ended 4/30/76)

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$24,670	\$ 11,120	\$ 35,790
<u>27,810</u>	<u>10,790</u>	<u>38,600</u>
\$52,480	\$ 21,910	\$ 74,390
		<u>27,460</u>
		<u>\$101,850</u>

Fiscal Year 02 (5/1/76 to 4/30/77)  
(Four months ended 8/31/76)

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 21,800	\$ 1,890	\$ 23,690
<u>7,000</u>	<u>3,170</u>	<u>10,170</u>
\$ 28,800	\$ 5,060	\$ 33,860
		<u>8,770</u>
		<u>\$ 42,630</u>

III-40

TOTAL COST PER CASE	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Allocated Cost/Case	

208 CASES

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 119	\$ 53	\$ 172
<u>134</u>	<u>52</u>	<u>186</u>
\$ 253	\$ 105	\$ 358
		<u>132</u>
		<u>\$ 490</u>

220 CASES

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 99	\$ 9	\$ 108
<u>32</u>	<u>14</u>	<u>46</u>
\$ 131	\$ 23	\$ 154
		<u>40</u>
		<u>\$ 194</u>

All financial data was provided by UCP and is presented without audit. Appendix B contains an explanation of the methodology.

EXHIBIT III-12

URBAN COURT PROGRAM  
VICTIM COMPONENT

UCP UNIT

Estimated Funding Requirement

TOUCHE ROSS & CO.

TOTAL ACTUAL COST	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Estimated Cost	

MAXIMUM REQUIREMENT		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$38,000	\$ 5,000	\$43,000
<u>10,000</u>	<u>11,000</u>	<u>21,000</u>
\$48,000	\$ 16,000	\$64,000
		<u>9,600</u>
		<u>\$ 73,600</u>

MINIMUM REQUIREMENT		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 30,000	\$ 4,000	\$34,000
<u>10,000</u>	<u>-0-</u>	<u>10,000</u>
\$ 40,000	\$ 4,000	\$44,000
		<u>6,600</u>
		<u>\$50,600</u>

III-41

TOTAL COST PER CASE	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Estimated Cost/Case	

750 CASES		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 51	\$ 6	\$ 57
<u>13</u>	<u>15</u>	<u>28</u>
\$ 64	\$ 21	\$ 85
		<u>13</u>
		<u>\$ 98</u>

750 CASES		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 40	\$ 5	\$ 45
<u>13</u>	<u>0</u>	<u>13</u>
\$ 53	\$ 5	\$ 58
		<u>9</u>
		<u>\$ 67</u>

All financial data was provided by UCP and is presented without audit. Appendix B contains an explanation of the methodology.



SECTION IV  
DISPOSITION COMPONENT



## SECTION IV

DISPOSITION COMPONENT

## BACKGROUND

The Urban Court Program developed the Disposition Component to provide innovative sentences based upon a detailed understanding of the offender, circumstances of the crime, and the recommendations of community members. Traditional sentencing practices require that judges develop individual sentences for each offender without, in many cases, adequate presentence information on the offender, realistic sentencing alternatives, or knowledge of community feelings. As a result, the courts have been criticized for their failure to satisfy either punitive or rehabilitative sentencing responsibilities, for their inconsistent sentencing practices, and for their lack of concern for the community. The "revolving door" criticism of the courts typifies the attitudes of many community representatives as well as other criminal justice agency representatives.

However, judges are not unaware of the considerable attention directed toward their sentencing responsibilities, but indicate that few realistic alternatives exist. A well developed, appropriately tailored sentence which is "ideal" for the offender, the crime and the community requires sufficient time and information available to the judge, assurance that the sentence objectives will be satisfied, and the availability of adequate punitive and rehabilitative alternatives. As most judges agree, "ideal" sentences could be developed under these circumstances, but the realities of a busy, urban court force the judges to develop standard sentences based upon limited alternatives, information and time.

The criticism of the courts' sentencing practices also affects the perception of the courts within the community. The sentences are viewed as inconsistent, not suited to the offender or the crime, and without any hopes for offender rehabilitation. Conversely, the sentences encourage recidivism, reinforce disrespect for the criminal justice system, and fail to protect the community served by the courts.. These conflicting attitudes expressed by the community indicate a basic disagreement over the objectives of sentencing within the community.

The Disposition Component attempts to provide a more rational sentencing process and to provide additional sentence alternatives while educating the public on the criminal justice process. The Disposition Component utilizes a panel of trained community representatives under staff guidance to interview the offender and other individuals, such as victims. This process provides information concerning the offender's background, circumstances of the crime, and appropriate sentence alternatives.

The Disposition Component prepares a formal sentence recommendation for each case referred and returns the recommendation to the Court for review and final sentencing. After acceptance of the recommendation by the judge, the Disposition Component staff is responsible for assuring that the sentence is carried out. Community involvement in the component's operation is hoped to result in the development of additional community-based sentence alternatives, input of the community's attitude toward sentencing, and an understanding within the community of the limitations on sentencing alternatives.

The original grant application identified four major objectives for the Disposition Component:

- Provide the judge with recommendations for reasonable and effective dispositions in selected cases.
- Provide disposition recommendations in a manner that involves the Probation Department, thereby (a) promoting the institutionalization of the practice of providing the judge with relevant dispositional information and (b) enabling the Probation Department to meet its recently articulated standards for presentence investigation and use of community resources.
- To test the hypothesis that a defendant will come to understand the human consequences of his deed and to accept a disposition as legitimate if he participates with the community and the victim in developing that sentence; and that this will contribute to his rehabilitation.
- Involve selected and carefully trained community people in the disposition process for the dual purposes of educating them to the difficulties inherent in the sentencing process and relying on their personal knowledge and associations to develop more dispositional resources, especially within the community itself.

The Disposition Component expected to accomplish several specific results within the initial period of operation. As stated in the original grant application, the Disposition Component would accomplish the following:

- Forty community people and local social service agents will be trained to understand the operation of the court and the difficulties involved in the dual tasks of sentencing and assuming an advocacy role.

- Two hundred forty cases will be referred to the Disposition Component.
- Evaluation, recommendation, and referral services will be provided to at least 200 offenders and some victims. It is assumed that some of the 240 offenders referred by the bench will not choose to participate.
- New resources within the community will be developed for use by offenders and victims.
- A statistical report assessing the uses, techniques, and potential of restitution will be issued.

## OPERATIONS

### Overview

The Disposition Component operates as proposed in the initial grant application with one major exception. The Disposition Component staff has assumed responsibility for supervising cases in which a term of probation was recommended and accepted by the Court. Rather than ending participation in each case at the point of sentence recommendation, the Disposition Component supervises the sentence through its own staff until the terms of the sentence are satisfied. This enhancement to operations ensures that recommendations are realistic and that the sentences are carried out as specified by the judge. A flowchart of the component's operations is presented in Exhibit IV-2.

The Disposition Component accepts referrals from the judges after a guilty plea by the defendant, a finding of guilty or a finding of sufficient facts. Each referred case is continued for sentencing for a three to four week period. A Probation Officer present during the session immediately notifies the Disposition Component staff of the referral by telephone while the client is still at the Court. A staff member appears at Court; obtains necessary information concerning the client, case, and continuance date; and escorts the client to the Urban Court offices for intake processing.

The client is first processed by the Administrative Assistant who:

- Explains the disposition process to the client.
- Assigns a Conveor, Associate Probation Officer, and two Community Panelists to the case based upon current caseloads, demographic factors, and/or other special considerations.

- Schedules appointments with the client to meet with the Psychologist, and establishes dates for the panel hearings.
- Initiates a client case folder, obtains initial information, and completes administrative records.
- Notifies the Community Panelists of the case assignment and the hearing schedule.
- Notifies both the District Attorney's Office and defense counsel and solicits their comments.

The Associate Probation Officer concludes the intake processing by interviewing the client in order to complete the following:

- Explains the disposition procedures to the client.
- Develops the social history and other administrative information initiated by the Administrative Assistant.

During the period before the first Disposition hearing, the Associate Probation Officer completes the Presentence Assessment Report and the client is interviewed by the Psychologist who completes a Psychological Assessment Report.

The first Disposition Panel hearing is usually scheduled seven working days after the intake interview. This first hearing lasts two to four hours and should result in a preliminary sentence recommendation. The Disposition Panel consists of the assigned Convenor, Associate Probation Officer, Psychologist, and two community panelists. The victim, a Victim Advocate, or a Victim Aide from the Victim Component may be present if the offense has an identified victim. All individuals present participate in the presentations and discussion of three topics:

- Presentation of the presentence investigation and Psychologist's assessment without the client present.
- Discussion among the entire Panel including the client.
- Deliberation and vote by the Disposition Component staff and community panelists concerning a recommendation for sentence.

The defendant is not informed of specific recommendations at the first hearing, but much of the discussion with the defendant concerns potential sentences, placements, and other services.

The Associate Probation Officer takes the initial recommendations following the panel hearing and investigates the availability of services and specific placement opportunities. This investigation identifies unworkable or unreasonable recommendations before the second hearing. The second hearing usually follows the first by one week.

At the second Disposition Panel hearing the sentence recommendation is approved or modified based upon the information provided by the Associate Probation Officer's investigation. Points of emphasis to be included in the recommendation report to the Judge are also discussed.

After the final hearing, the Convenor prepares the formal sentence recommendation for presentation to the Judge. The report is reviewed and approved by the Disposition Director and presented to the Judge at the continuance date. The Judge sentences the client after considering the reports of the Associate Probation Officer, Psychologist, and the Disposition Panel. If the defendant is placed on probation or any services are ordered, the client is returned to the Disposition Component for supervision by the Associate Probation Officer assigned to the case.

Defendants sentenced to terms requiring supervision are assigned to the Disposition Component if the initial sentence recommendation was developed by the Disposition Panel. This approach achieves several benefits. Caseloads of the Court's Probation Department are reduced. Close working relationships between Court and component staff are created. The quality of the Court's probation services are enhanced. The Disposition Component plans to accept supervision responsibility for cases until the staff believes that additional cases would detract from other responsibilities such as completing the initial investigation and preparing the presentence investigation report.

To date, sentencing recommendations have included provisions for:

- Incarceration with suspension and probation.
- Continuance without finding and probation.
- Probation only.
- Community restitution by placement with a community or other organization with a requirement to work for a specified number of hours.
- Referrals to medical or social service agencies.

- Financial payments including restitution, fines and costs.

#### Organization and Staffing

The current organizational structure of the Disposition Component is presented in Exhibit IV-1. This structure is similar to that presented in the initial grant proposal. The only significant vacant position is one of the Convenor positions which became vacant during the year. A new Convenor was hired during October 1976. Turnover in other positions resulted from promotions within the Urban Court Program.

The current staffing and major responsibilities for each position are summarized below:

- Disposition Director (1) - plans and manages the operations of the Disposition Component; assesses services and staff; assigns cases to staff; maintains contact with District Court and community personnel; and coordinates with other components.
- Convenor (1) - directs Disposition Panel hearings; supervises schedules and assignments; develops written recommendations; trains staff and community members; and coordinates presentence investigations.
- Associate Probation Officer (3) - conducts presentence investigation; investigates sentence alternatives; maintains client contact; participates in panel hearings; and supervises defendants assigned to the Disposition Component after sentencing.
- Psychologist (1) - interviews all defendants; assesses mental health needs; reviews sentence recommendations; and orients community and staff members.
- Administrative Assistant/Bookkeeper (1) - maintains records and information systems; coordinates scheduling system; maintains contact with community members; and supervises administrative systems.
- Secretary (1) - updates case records; maintains supplies; and provides clerical support.

- Community Panelists (26) - attend Disposition Panel hearings; discuss and develop alternatives; and assist in preparing final sentence recommendations.

All staff members are currently assigned responsibility for supervision of probation cases, except the Secretary and Administrative Assistant. Based upon estimates provided by the Disposition Director, the component staff has the following caseload potential assuming current operating procedures and degree of community participation do not change:

TABLE IV-A

## ESTIMATE OF POTENTIAL CASELOAD

<u>Position</u>	<u>Estimated Potential Caseload</u>
Associate Probation Officers (3)	150 - 180
Convenors (2)	60 - 70
Component Director and Psychologist	<u>40 - 50</u>
TOTAL POTENTIAL CASELOAD	250 - 300

With no vacant positions, this represents a current potential capacity of 250 to 300 cases which could be supervised by the Disposition Component.

Community members have participated on the Disposition Panel since November 24, 1976, when the Disposition Component became operational. Approximately sixty community members were interviewed for positions with either the Disposition or Mediation Components during the summer and fall of 1975. Thirty-two community members were selected for Disposition Component training. The community member training program and an expanded training program for the staff, were developed under a contract with the University of Massachusetts. Upon completion of the training program, each community panelist and staff member signed a confidentiality oath prior to commencing work with the Disposition Component.

As of October 1, 1976, twenty-six of the community panelists or 81% of the original community members who completed training remained active. The six inactive members include one community member hired as the Disposition Component Secretary on a full-time basis, one member who moved out of the community, and four community panelists who have withdrawn from active participation.

Table IV-B presents basic demographic data for the 26 active community panelists compared to a sample of 144 clients who have been referred to the Disposition Component:

TABLE IV-B

DEMOGRAPHIC INFORMATION FOR  
CLIENTS AND COMMUNITY PANELISTS

<u>Group</u>	<u>Age</u>			<u>Ethnicity</u>		<u>Sex</u>	
	<u>To 18</u>	<u>19 to 25</u>	<u>Over 26</u>	<u>Non-White</u>	<u>White</u>	<u>Female</u>	<u>Male</u>
Clients	38%	37%	25%	55%	45%	11%	89%
Community Members	0%	12%	88%	54%	46%	65%	35%

There is an apparent imbalance between the sex and age of clients and community members. The component is planning to address the sex and age imbalances when considering additions to the community panelists.

Significant Implementation Efforts

The initial grant application described the Disposition Component's process and supporting procedures in more detail than the other two components. However, the Disposition Component also confronted more potential legal and operating policy issues than did the other components. Accordingly, initial implementation efforts directed considerable attention to anticipated operating problems before actual implementation. The Disposition Director completed the following tasks in order to create a fully operational unit.

- Established working relationships with individuals and agencies which would directly affect the operation of the Disposition Component including:
  - . Presiding Justice and other Judges of the Dorchester District Court.
  - . Court Administration and staff.
  - . Chief Probation Officer and Probation Department staff.
- Participated in selecting and hiring the staff and community members who were trained as panelists.



- Investigated specific legal and operating issues with participating agencies to resolve potential operating problems prior to implementation.
- Developed detailed procedures, forms, and responsibilities with participating agencies for processing each referred case.
- Coordinated and participated in the initial orientation and training activities developed by the University of Massachusetts.
- Developed community interest in the Disposition Component by working with the Dorchester District Court Advisory Board, community panelists and media representatives.

Future Emphasis

The Disposition Component is currently engaged in a major review of operations designed to improve the Disposition Component's operations; to identify current operating problems; establish future goals and objectives; define improvement opportunities; and strengthen procedures and services. This review is intended to accomplish the following:

- Meet the expectations of community and Court representatives and to reduce criticisms of current performance.
- Improve results while increasing efficiency and cost effectiveness.
- Expand community support and participation while adhering to operating guidelines established by the Presiding Justice.

This review will examine the two major phases of the Disposition Component operations; the presentence phase and the postsentence phase. Major emphasis of the presentence phase review requires a clearer definition of the end products. The major end products and associated activities include: intake processing; presentence investigation reports; panel procedures; and sentence recommendations. Questions to be addressed during the review of the presentence phase include:

- Why type of client is most suitable for referral to the Disposition Component?

- Can community involvement be increased outside the narrow scope of the Disposition Panel?
- Will the Presiding Justice allow the community panelists to engage in other activities other than the formal Disposition Panel hearings?
- Can the Disposition Panel hearing process be modified to increase the effectiveness of the process and reduce the required time of staff?
- Can sufficient community resources be identified and developed which will provide viable sentencing alternatives?

The postsentence phase review concerns the quality of probation supervision. The review will examine methods of supervision, case review, cost effectiveness, and caseload management. Questions to be addressed during the review of postsentence phase activities include:

- Should staff members other than Associate Probation Officers be assigned responsibility for caseload supervision? If so, how many and what types of cases are appropriate?
- What are appropriate supervisory activities and to what degree should the staff engage in non-traditional supervision activities including direct vocational rehabilitation, supervised educational placement, and other specialized probation activities such as placement for restitution?
- Is it appropriate for the community members to assist the staff in developing community resources for probationers and supervising the active and inactive caseloads?
- Should an inactive case be transferred to the Probation Department?

This comprehensive review should enhance the Disposition Component's effectiveness to both the community and Court. The staff, the Program Director and Court representatives believe that this review must result in improved operations to justify the continuation

of the Disposition Component as an innovative, new court service.

The Disposition Component also recognizes the need to redesign and implement an adequate information system. The current system provides insufficient detail to monitor either client information or staff activities. The consultants worked with the Disposition Director and Director of Research and Evaluation to suggest both information needs and report formats. The suggestion information system should provide sufficient information necessary to:

- Monitor the activities of the client and staff on a continuing basis.
- Identify trends and potential problems with respect to all phases of the disposition process.

The Disposition Component staff also believes that the current level of interest and participation by the community panelists represents another major concern. Members of the staff indicated that some community panelists had expressed disappointment that their role was limited to the Disposition Panel hearings. The community members interviewed felt that their full potential had not been developed and that they could assume additional responsibilities for field supervision, development of alternatives and identification of community resources.

The Disposition Director is reviewing several alternatives to reduce the concerns which have been expressed by community members:

- Expand community panelist involvement outside the Disposition Panel hearings into activities which occur both before and after the hearing. This expansion may also include possible elimination of the hearings to focus on presentence reporting and probation supervision.
- Restructure the process, methodology, procedures and community involvement in the Disposition Panel hearings in order to arrive at more creative recommendations for each individual client.
- Eliminate all community participation and reduce staff activities to only assessment and probation supervision.

#### QUANTATIVE ANALYSIS

During the preimplementation analysis, the independent evaluators and representatives of the Urban Court Program developed basic

evaluation criteria for the Disposition Component. Three main criteria were selected for use in the evaluation of the Disposition Component: program acceptance and utilization; impact on the Court and criminal justice agencies; and impact on the offender, victim and community. Exhibit IV-3 identifies the criteria, the data to be collected and references to the actual data collected. The fourth column, Measure of Success, indicates how the data would be interpreted to indicate successful impact by the Disposition Component. Exhibits IV-4 through IV-7 present the results of the Disposition Component with respect to the evaluation criteria. The following paragraphs describe the results relative to the anticipated measure of success.

#### Increase in Number of Recommendations Accepted

Exhibit IV-5 presents the Disposition Component referrals through August 31, 1976. The Disposition Component estimated that 83% of the 240 cases referred, or 200 cases, would result in an evaluation, recommendation and referral services. Ten months of actual results indicate that the Disposition Component returned recommendations for 157 cases or 88% of the 186 cases referred. While the total volume is slightly lower than originally estimated, the drop-out rate is slightly lower than originally anticipated also.

The Disposition Component has been successful in providing judges with the desired presentence information. For the 157 cases returned, the judges have received in most instances a disposition recommendation and an evaluation consisting of a psychological evaluation summary and presentence investigation. The Disposition Component has provided the desired evaluations and recommendations to the Court.

Of the first 144 cases referred through May 1976, all have been accepted for review by the judges. Fifty-six percent of the recommendations were modified by the judges in sentencing the offender. Most modifications included changes in fines, costs, or restitution. The judges have indicated that the sentences were not substantially different than those which they would impose without the recommendation. The judges indicated that the sentence recommendations did not appear to involve unique alternatives and that, in fact, there were not as many alternative sentences which had not been previously imposed. Accordingly, the sentence recommendations were not always viewed as creative. Data was not compiled to determine whether the sentences imposed by the judges were more or less severe than recommended by the Disposition Component due to the difficulties in establishing measures of severity and comparability of data.

A significant decrease in the use of the Disposition Component occurred in August. Exhibit IV-5 indicates that only three cases were referred during August, which is well below the average number of referrals. Although the results for one month do not indicate a permanent trend, the low referral rate appears to have continued into September.

### Increase of Participation by the Probation Department

The Disposition Component has assumed active supervisory responsibility for cases involving clients placed on probation as a result of a disposition recommendation. The original proposal did not anticipate the assumption of a supervision caseload. As indicated in Exhibit IV-4, 74% of the cases returned for probationary supervision remained active on August 31, 1976. The Disposition Director, Convenors, Associate Probation Officers and Psychologist supervise these cases. Accordingly, the extent of participation by the Probation Department is not as great as initially proposed.

The Chief Probation Officer meets frequently with the Disposition Director to review case status and discuss common problems. A reorganization of the Court's Probation Department has resulted in the Intensive Supervision Unit of the Probation Department preparing background reports. Since the Disposition Component and the Probation Department staffs operate independently, there is no direct evidence that the quantity or quality of assessments provided by the Probation Department has changed as a result of the Disposition Component. There is, however, a belief that the Disposition Component has reduced the caseload assigned to the Probation Department to allow improved supervision of all cases. Many Court personnel believe that this is one of the most important results of the Urban Court Program.

### Increase in the Number of Continuances

The Dorchester District Court has experienced a general decrease in the number of continuances during the initial year of operation. Although the Disposition Component was expected to increase the number of continuances, there is no data to indicate that the Disposition Component had any effect on the continuance rate. The ratio of cases continued to total trials decreased by 42% during the period. The additional continuances required by the Disposition Component cases did not appear to influence the overall reduction in the continuance rate.

### Increase in the Number of Appeals

Appeal rates are an indirect measure of sentence severity and fairness. Only four sentences involving the Disposition Component have been appealed. This represents an appeal rate of 3% compared to Court's average of approximately 1.3% during the previous year.

Although the appeal rate appears higher for the Disposition Component, the difference is not great enough to conclude that the Disposition Component results in higher appeal rates. Accordingly, contrary to what most judges had expected, the appeal rate did not increase appreciably as a result of the Disposition Component.

### Increase in Offender and Victim Participation

Initial plans for the Disposition Component anticipated that both victims and witnesses would be involved in the hearing process. Participation of the offender in the process is standard, but participation of the victim has been used selectively. In some cases, a representative of the victim has served in place of the victim. Insufficient data exists to determine the effect of offender/victim participation in the Disposition Panel hearings.

### Change in Distribution of Sentences

Data for this measure of success could not be compiled for several reasons. Baseline data from the preoperational period required subjective evaluation concerning which cases might be referred to the Disposition Component. Since clearly defined standards did not exist for use in selecting a sample of "likely" disposition cases, the comparative base would necessarily reflect dispositions for all cases. A similar problem existed for cases which were referred to the Disposition Component and those cases which were not referred. As a result, it was not possible to develop a comparative base against which a distribution could be measured without introducing a substantial amount of subjectivity into the analysis.

Finally, although all recommendations were eventually accepted for review by the judges, 56 percent of the recommendations were modified in sentencing the offender. The judges indicated that the sentences were similar to those which they would have imposed, but modified the terms, amounts of fines and other conditions. As previously discussed, data were not compiled to evaluate whether the sentences recommended were more or less severe than those which would have been imposed by the judges without the Disposition Component.

### Increase in the Number and Type of Community Resource Referrals

The Disposition Component has been successful in identifying community social and service organizations and recommending that offenders be referred for services. Approximately 60% of the recommendations returned included the use of a service referral. The judges required such referrals for 61% of the sentences which resulted from cases with disposition recommendations. Exhibit IV-6 classifies the number and type of service referrals. As indicated, the most frequent referrals are for education, vocational training and employment services. The Disposition Component staff believes that these referrals represent new alternatives for sentencing which were not utilized as extensively by the judges.

Existing resources have been utilized and developed for approximately 28% of the disposition recommendations returned to the Court. These cases involve community restitution in which the offender works under supervision for a specified number of hours. Work situations have predominantly been developed by the Associate Probation Officers and community panelists, and are performed for a variety of community social and service organizations. The judges have used these resources for approximately 26% of the cases where disposition recommendations were returned.

#### INTERVIEW RESULTS

Criminal justice and community representatives were interviewed during the preimplementation period (September 1975) and the postimplementation period (September 1976). The interviews were conducted to determine whether changes in attitude or perception had occurred after the Urban Court Program had been implemented. Although a structured interview capable of tabulation was initially planned, most community and criminal justice personnel had insufficient knowledge of the Disposition Component to respond to structured questions during the preimplementation interviews. Accordingly, a more open interview format was used. This format was continued during the postimplementation interviews.

Appendix A presents the interview format and the individuals who were interviewed. The following paragraphs summarize the comments, positive and negative, regarding the Urban Court Program during both sets of interviews. Comments by all respondents or only one respondent are designated as such. Other comments are included for information but do not represent a majority or minority opinion unless designated. The tabular summary at the end of the interview comments summarizes the perceived success of the three components relative to each other.

#### Criminal Justice Personnel

##### Knowledge of the Disposition Component

During the preimplementation interviews, Dorchester District Court and criminal justice agency personnel understood the basic concept and objectives of the Disposition Component in greater detail than for the other two components. The reason for the greater understanding of the Disposition Component centered on the more controversial nature of the Disposition Component. Court personnel were able to discuss potential advantages and disadvantages since the activities encompassed within the Disposition Component were closer to traditional Court responsibilities. Although all individuals interviewed were able to discuss the concept and objectives of the Disposition Component, those individuals not closely associated with the planning effort understood less of the proposed operations.

During the postimplementation interviews, Dorchester District Court and criminal justice agency personnel continued to express a high level of understanding of the Disposition Component. Few individuals indicated that they did not have sufficient knowledge of the component's operation to enable them to make comments. As in the preimplementation analysis, the respondents were able to describe the basic advantages and disadvantages of the Disposition Component in much more detail than the other two components.

#### Anticipated Impact of the Disposition Component

During the preimplementation analysis, Dorchester District Court and criminal justice agency personnel did not expect the Disposition Component to have a significant impact on the Court or on the community. Most individuals viewed the major impact on the Court to be a reduction in the Probation Department's caseload through the addition of probation staff. The concept of community involvement in the sentencing process was regarded as highly controversial.

The Disposition Component was viewed by most of the Court staff interviewed as the least likely to succeed, although it could have the largest benefit if successful. The Disposition Component was perceived to have the potential for providing improved sentencing information and possibly some unique sentence recommendations. However, most felt that the impact on the Court would be negative and increase the number of continuances, appeals, and length of time necessary to process a case. Almost all responded that the Disposition Component had the most problems to overcome and the largest potential for conflict with the Court.

The effect of the Disposition Component on the community was expected to be nominal. The Disposition Component may demonstrate the lack of effective alternative sentences to the panelists, but this would not communicate the problem to the general public. Most believed that individuals outside of the Court would have little understanding and interest in the Disposition Component.

During the postimplementation interviews, the individuals interviewed agreed that the Disposition Component had reduced the workload for the Probation Department by providing additional resources. The important benefits to the Court had been improved presentence information for use by the judges and the addition of probation officers to supervise cases. Most of the anticipated legal, operating and implementation problems never materialized. The sentence recommendation had not achieved substantial impact on the Court since most of the sentence recommendations were not perceived as unique. Most individuals expressed concern about the concept of sentence recommendations.

The respondents also indicated that the impact on the community had not been significant. Although the community panel



members may have observed the limitations on sentencing, most representatives did not believe that the general community benefited to any extent. Moreover, many individuals suggested that the panelists had been influenced to make recommendations which were acceptable to the Court rather than those which were creative. Public exposure to the Disposition Component was believed to be very limited. They did not think that additional exposure of the Disposition Component to the community in its present form would generate significant community interest.

#### Perceived Probability of Success

During the preimplementation interviews, the Disposition Component was expected to have the lowest probability of success by most respondents although the majority felt that the Disposition Component was the most important. Most individuals expressed serious concerns about the unresolved operating problems and whether sufficient sentencing alternatives existed to warrant the expenditures. All individuals considered the victim's participation in the process to be potentially harmful and suggested that any victim involvement must be very carefully planned. Individuals thought that the Disposition Component represented a worthwhile experiment, but did not view the community participation as a concept which could be integrated into ongoing court operations.

During the postimplementation interviews, the same individuals continued to rank the Disposition Component as the least successful in terms of initial objectives. The major criticisms emphasized the lack of creative sentence alternatives. Most individuals interviewed suggested that the Disposition Component did not provide a sufficiently unique approach to sentencing to consider this a new service, but rather a restructuring of traditional probation resources. However, the majority of respondents indicated that the Disposition Component may be the most important to the Court due to the high quality of presentence investigation reports and additional probation case supervision resources.

Individuals interviewed during both sets of interviews were asked to rank the perceived success of the components in achieving initial objectives in relation to each other. The rankings of the Disposition Component for both sets of interviews are summarized below.

TABLE IV-C

#### PERCEPTIONS OF THE DISPOSITION COMPONENT BY CRIMINAL JUSTICE PERSONNEL

	<u>Highest</u>	<u>Average</u>	<u>Lowest</u>	<u>No Opinion</u>
Preimplementation (10/75)	1	3	9	2
Postimplementation (9/76)	-	-	13	2

Community Members

Knowledge of the Disposition Component

During the preimplementation interviews, community members expressed general knowledge of the Disposition Component's objectives. Most individuals interviewed understood and supported the major objectives of the Disposition Component as a way to involve the community in the court system. Only the community members who had been involved in the development of the Urban Court Program understood the proposed operations of the Disposition Component. All individuals generally supported the objectives and felt that the Disposition Component could satisfy a basic need within the Court to reflect more adequately the community's attitudes toward sentencing.

During the postimplementation interviews, the same individuals were interviewed to determine if their knowledge of the Disposition Component had changed. All respondents indicated an increased understanding and had strong opinions concerning the Disposition Component's operation. However, most did not feel that the Disposition Component was well known within the community other than for those individuals who had direct contact during the initial year.

Anticipated Impact on the Disposition Component

During the preimplementation interviews, the community members considered the Disposition Component to have the greatest potential effect on the Court in terms of community participation and influence. Only one community member felt that the sentencing process should remain an exclusive responsibility of the Court. The most important effect on the Court, it was felt, would be the identification of an expanded range of alternatives available during the sentencing process. The Disposition Panel hearings would also make the offender recognize and face the actual consequences of his actions.

Respondents felt that not only should the community be directly involved, but also the victim or a Victim Advocate. While the respondents did not agree on the advisability of direct victim-offender confrontations, they did agree that any recommended sentence should directly consider the physical and emotional effects of the victim's loss. With respect to the Court, it was hoped that the reduced case-loads would provide for a higher level of probation supervision within the Disposition Component and the Probation Department.

The Disposition Component would also impact the community by communicating the feelings of both the community and victim to the offender. Community members also felt that the judges would have the benefit of direct advice from the community regarding equitable forms of restitution to compensate both the victim and community for the consequences of the offender's actions. Conversely, by identifying a greater number of services and methods of restitution, offenders would receive sentences more specifically tailored to their needs while providing just compensation to victims and the community.

During the postimplementation interviews, community members did not feel that the Disposition Component had satisfied all of its objectives. They did not think that the Disposition Component had been sufficiently creative in its treatment of offenders, dealings with victims, and its sentence recommendations. Moreover, the Disposition Component had not utilized community members or resources as extensively as anticipated. The reduction in the Probation Department's workload and improved presentence investigations were viewed as the only benefits.

Most community members viewed the impact on the community as insignificant. Individuals interviewed did not believe that community members had been permitted much latitude in the development of alternatives and use of community member skills and resources. Most importantly, the respondents did not believe that the attitudes of the community had been changed.

#### Perceived Probability of Success

During the preimplementation analysis, the Disposition Component was considered to have the most problems to overcome. The anticipated legal and technical obstacles were most often cited as problems. A minority of the community members doubted the ability of the Disposition Component to formulate and recommend innovative sentences to the Court; sentences which would not be rejected by the Court as too lenient or too harsh; or sentences which would not be appealed by the defendant.

During the postimplementation analysis, the community representatives again identified the Disposition Component as having the most problems of all Urban Court Program components. Many of the reasons were anticipated prior to implementation. However, the main comment centered on the lack of creative use of the Disposition Panel. The community members generally agreed that the Disposition Component had tried too hard to satisfy the Court rather than develop creative sentences. As a result, much of the enthusiasm for the Disposition Component had deteriorated in both the Court and the community. Although many community members were not surprised by the outcome, several community members indicated that better results could have been obtained through improved leadership, greater use of community members, and improved understanding of the objectives of the Disposition Component by both Court and community representatives.

Individuals were asked during both sets of interviews to rank the perceived success of the components in achieving the stated objectives relative to each other. Two community members were not available during the second interviews and have not been included in the summary. The rankings for the Disposition Component during both sets of interviews are summarized on the next page.

TABLE IV-D

PERCEPTIONS OF THE DISPOSITION COMPONENT  
BY COMMUNITY REPRESENTATIVES

	<u>Highest</u>	<u>Average</u>	<u>Lowest</u>	<u>No Opinion</u>
Preimplementation (10/75)	1	-	5	2
Postimplementation (9/76)	-	-	5	3

FINANCIAL ANALYSIS

During the first fiscal year, operation of the Disposition Component was the most expensive of the three components. As indicated in Exhibit IV-8, the total allocated cost for the first fiscal year ended April 30, 1976 was \$160,240. Approximately \$77,980 or 49 percent of the total allocated costs are direct costs, and \$45,770 or 29 percent are indirect costs. The indirect costs exclude allocations of Urban Court Program burden costs which add \$307 per case. Appendix B presents the methodology used to determine the costs contained in Exhibit IV-8.

The relatively high cost is attributable to the high direct and indirect personnel costs which are half of the total allocated cost. For comparative purposes, the Disposition Component carried a caseload similar to the Mediation Component, but the higher personnel costs for the Disposition Component resulted in a total cost per case of \$1,347 compared to \$878 per case for the Mediation Component. The higher personnel costs reflect the number of personnel needed to provide services including probationary supervision.

The indirect costs of the Disposition Component are also much higher than for the other two components. The high indirect personnel costs reflect the higher proportion of time which the administrative staff devoted to the Disposition Component during the initial year of operation. Management attention was directed to addressing the legal and operational problems anticipated in the Disposition Component.

In addition to the high personnel cost, the Disposition Component became operational later than originally expected. During the six operational months, the Disposition Component operated at 50% of the project caseload.

The cost estimates for the first year of operation reflect the start-up expenses and low volumes. The first four months of the second fiscal year are also presented for comparative purposes. The cost per case has been reduced to \$1,123, which reflects the cost of continuing operation for the Disposition Component.

The cost/benefit analysis anticipated that the costs of supervising cases by the Disposition Component could be compared to the cost of supervising cases by the Probation Department. However, a detailed cost analysis of the Probation Department operations could not be undertaken within the scope of this review, and a comprehensive comparison of costs could not be developed.

Future analyses might develop actual cost breakdowns within the Probation Department which would permit a thorough comparison of costs between the two groups. The effects of differences in service levels, supervision methods, responsibilities, and offender types should be incorporated in a future analysis.

Although a detailed analysis could not be developed, estimates of costs can be utilized to provide a comparative base. Dorchester District Court representatives and Disposition Component representatives have estimated that a reasonable caseload for a probation officer is approximately 50-60 cases. Assuming that \$1,123 represents the cost per case in the Disposition Component, a caseload of 50 cases would cost approximately \$56,150 including direct, indirect, and burden costs. The same size caseload in the Probation Department represents differences in services, supervision, methods responsibilities, and offender types. A detailed cost analysis of the Probation Department is necessary to determine if the direct, indirect, and burden costs of a probation officer's equivalent caseload are comparable to the Disposition Component costs.

We have estimated the range of future funding requirements for the Disposition Component in Exhibit IV-9. These estimates reflect the observations of the evaluators and are intended to serve as alternatives to the current funding requirements. The current funding requirements is based upon the development and management of a new and innovative service to the Court. Since the volume is slightly less than originally anticipated and the requirements for start-up do not exist, lower funding requirements could result in the future.

The first alternative assumes that the Disposition Component remains separate from the Court and requires a separate operating facility. A caseload of 225 cases per year is assumed as a normal volume. Overall component supervision would be the responsibility of the Program Director with day-to-day supervision assumed by the Senior Associate Probation Officer. Disposition Director and Convenor positions would be eliminated. Community member participation would be increased to include more responsibility for caseload supervision and administrative duties.

Exhibit IV-9 presents the estimate for this alternative under the maximum requirement. Direct personnel and operating costs are \$71,000. The difference between this cost and the comparable cost

for the first year of \$77,980 is reflected in the different staffing patterns, full time staffing for an entire year, and an increase in community involvement. Indirect costs and an assumed burden of 15% add an additional \$34,800. Total funding required under these assumptions would be \$105,800 compared to the initial cost of \$160,240 during the first year of operation.

The second alternative reflects the cost of incorporating the Disposition Component into the operations of the Dorchester District Court and does not require an additional facility. The Disposition Component would become a separate unit within the Probation Department. Staffing remains the same except that the Psychologist position would be limited to part-time. Community members would assume additional responsibilities.

Exhibit IV-9 presents the estimate for this alternative under the minimum requirement. Direct personnel and operating costs are \$68,000. An assumed burden rate of 15% adds an additional \$10,200. Total funding under these assumptions would be \$78,200 compared to the initial cost of \$160,240 during the first year of operation.

The alternatives are presented as two options which might be considered among others in formulating future funding requests. Although the ranges of funding requirements presented for the alternatives do not represent a recommendation by the evaluators, Urban Court Program and Court personnel should consider the costs of the Disposition Component as incremental costs of the Court budget in the future.

#### SUMMARY OF OBSERVATIONS

- The Disposition Component does not appear to provide a new or innovative service but is regarded by members of the Dorchester District Court as having an important impact upon the Court's operations.

#### Strengths

- The majority of Urban Court Program staff, Court staff and community representatives feels the Disposition Component is providing important probation services to the Court.
- The Disposition Component is providing a presentence investigation report and reducing the caseload assigned to the Probation Department.
- The Disposition Component is regarded as having the most important impact on the Court of the three components by enabling improved supervision of all probation cases.

- Many of the problems originally anticipated in the Disposition Component have not been encountered.
  - . Conflict with the Court
  - . Unreasonable sentence recommendations
  - . Legal problems
  - . Offender-victim confrontation
- Substantial effort has been devoted recently to a comprehensive review of the Disposition Component designed to improve the component's overall effectiveness.

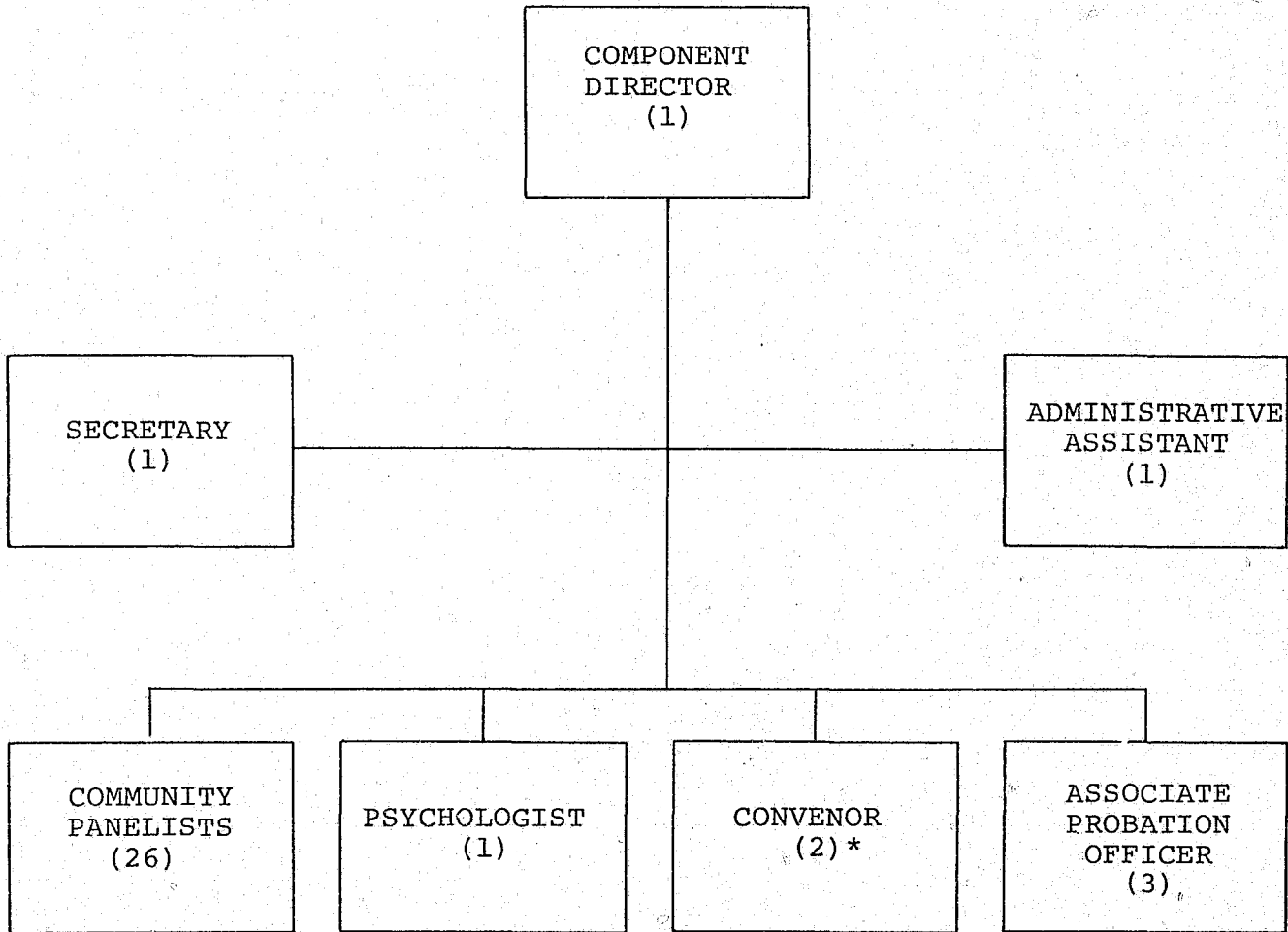
Problems

- The sentence recommendations have not been creative in the opinion of judges, probation officers and Court staff familiar with the Disposition Component.
  - . Overall direction of the Disposition Component has not resulted in creative and innovative approaches to sentencing.
  - . Recommendations appear to be tailored to what is acceptable by the Court rather than sentences which are creative.
- Expectations for the Disposition Component vary between Court and Urban Court Program staff.
- Referral volumes and caseloads have not achieved original expectations and have decreased in recent months.
- Community panelists who were interviewed expressed concern over the direction of the Disposition Component and the limited involvement of the community members.
- Cost per case has decreased by only 7% since April 30, 1976 to \$1,123.

EXHIBIT IV-1

URBAN COURT PROGRAM  
DISPOSITION COMPONENT

Organization Chart



\*One position is currently vacant.



EXHIBIT IV-2

URBAN COURT PROGRAM  
DISPOSITION COMPONENT

FLOWCHART OF ACTIVITIES

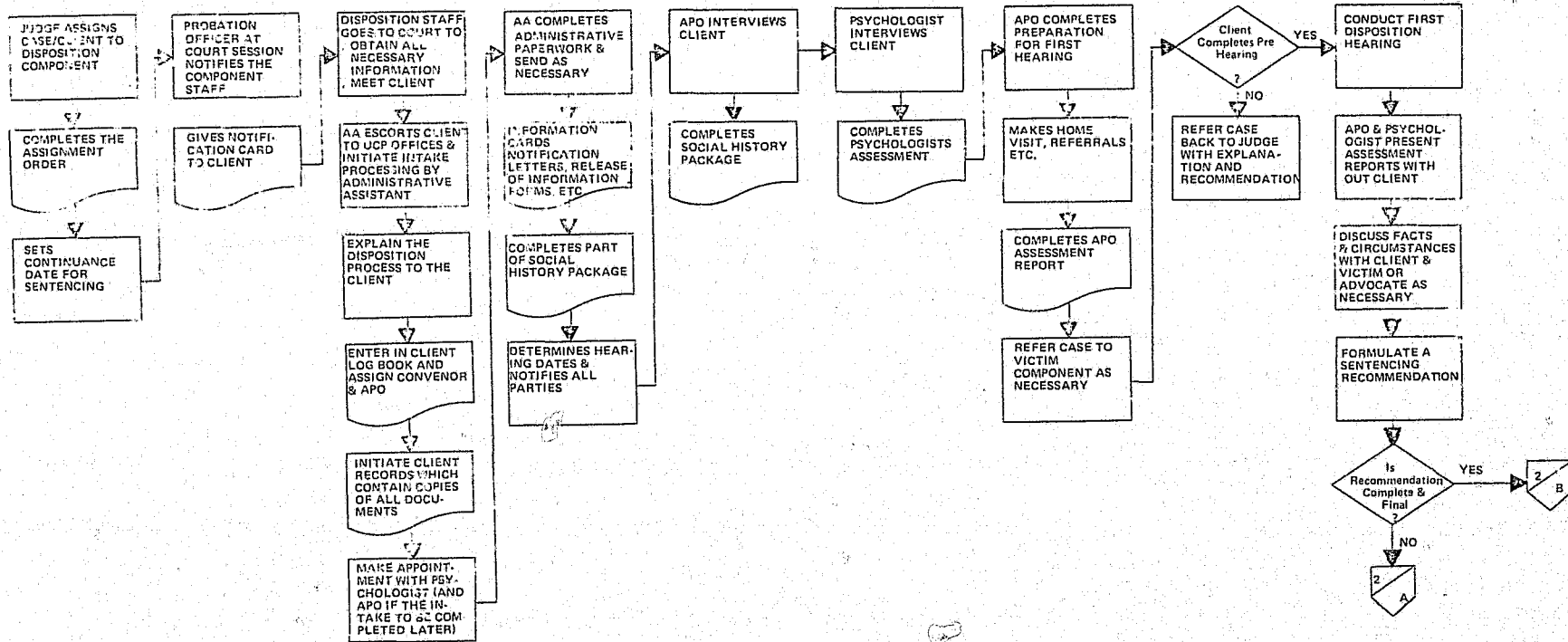
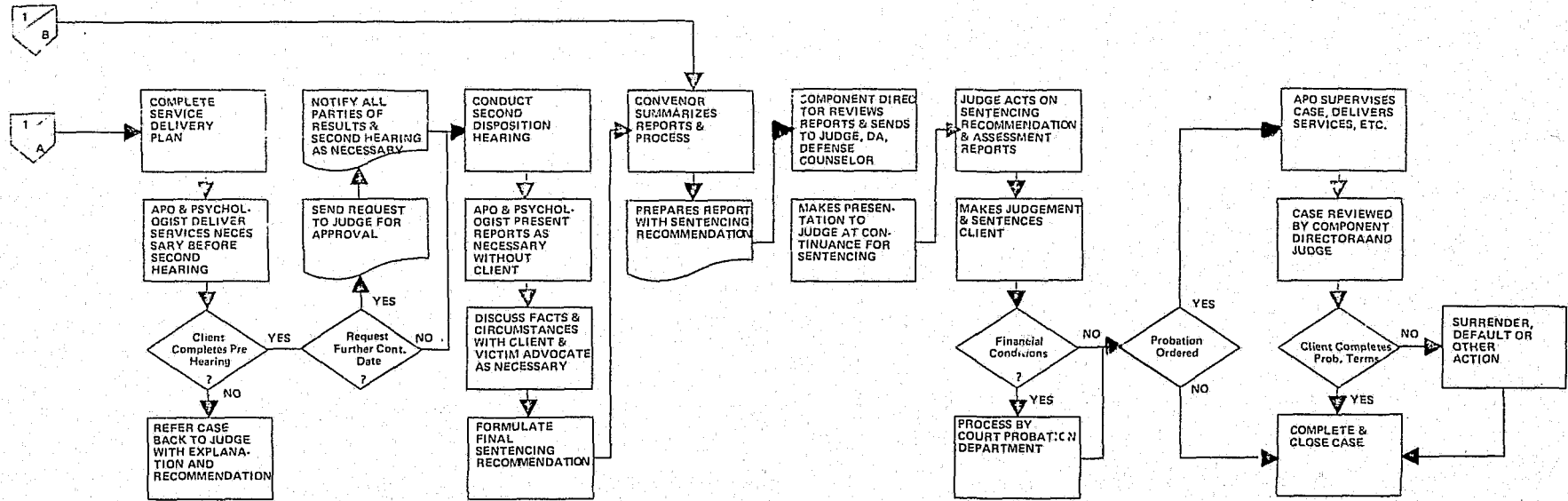


EXHIBIT IV-2

URBAN COURT PROGRAM  
DISPOSITION COMPONENT

FLOWCHART OF ACTIVITIES  
(Continued)



## EXHIBIT IV - 3

URBAN COURT PROGRAM  
DISPOSITION COMPONENTQUANTATIVE MEASURES

<u>CRITERIA</u>	<u>DATA</u>	<u>INFORMATION</u>	<u>MEASURE OF SUCCESS</u>
- Program Acceptance and Utilization	- Number of cases referred - Number of disposition recommendations accepted by the Court - Number of disposition recommendations used by the Court.	- Exhibit IV-4 - Exhibit IV-5  - Exhibit IV-5	- Increase in the number of disposition recommendations accepted and used by the Court for each case referred to the Disposition Panel.
- Impact on the Court and Criminal Justice Agencies	- Distribution of sentences related to type of offense * Number of cases appealed - Number of cases supervised by disposition component	- Exhibit IV-7 - Court Records - Exhibit IV-3	- Increase of participation by Probation Department - Increase in number of continuances - Increase in number of cases appealed - Integration with Probation Department
- Impact on Offender, Victim and Community	- Number of cases in which the offender or victim become directly involved with the panel - Number and type of referrals to community services and resources	- Data not available  - Exhibit IV-6	- Increase in offender and victim participation - Change in distribution of sentences - Increase number and type of community resources and services utilized

\* Initial data to be collected before implementation

## EXHIBIT IV- 4

URBAN COURT PROGRAM  
DISPOSITION COMPONENTSUMMARY ANALYSIS OF CASE  
FLOW THROUGH SENTENCINGAS OF AUGUST 31, 1976

<u>ACTIVITY</u>	<u>NUMBER OF CASES</u>	<u>TOTAL CASES REFERRED</u>
Cases Referred to Disposition Component	186	100%
Total Cases Returned Without Disposition Recommendation and Cases In-Process at End of Month (8/31/76)	29	16%
Final Disposition Recommendations Returned to Court	157	84%
Defendant Failed to Appear for Sentencing, Probation Not Ordered, or Referred to Probation Department	19	10%
Cases Referred to Disposition Component for Probation Supervision	<u>138</u>	<u>74%</u>
Total Difference Between Cases Referred and Cases Returned for Probation Supervision	<u>48</u>	<u>26%</u>
• Total Cases Returned Without Disposition Recommendation and Defendants Failed to Appear for Sentencing - Surrendered or Defaulted Prior to Supervision	19	10%
• Referred Directly to Probation Department	5	3%
• Probation Not Ordered and Other	11	6%
• Cases In-Process at End of Month (8/31/76), Probation Not Ordered, and Other	<u>13</u>	<u>7%</u>
	48%	26%



## EXHIBIT IV - 5

URBAN COURT PROGRAM  
DISPOSITION COMPONENTMonthly Analysis of Case  
Flow Through Sentencing

<u>Activity</u>	<u>November</u>	<u>December</u>	<u>January</u>	<u>February</u>	<u>March</u>	<u>April</u>	<u>May</u>	<u>June</u>	<u>July</u>	<u>August</u>	<u>TOTAL</u>
Cases Referred to Disposition Component	4	15	25	26	23	26	25	22	17	3	186
Cases In-Process and Returned Without Disposition Recommendation At End of Month	4	16	23	31	31	32	42	42	37	29	29
Final Disposition Recommendations Returned to Court	0	3	18	18	23	25	15	22	22	11	157
Defendant Failed to Appear, Probation Not Ordered or Referral to Probation Department	0	0	4	3	3	0	0	2	4	3	19
Cases Returned to Disposition Component for Probationary Supervision	0	3	14	15	20	25	15	20	18	8	138

EXHIBIT IV - 6

URBAN COURT PROGRAM  
DISPOSITION COMPONENT

ANALYSIS OF SERVICE REFERRALS  
AS OF AUGUST 31, 1976

<u>TYPE OF REFERRAL</u>	<u>NUMBER OF REFERRALS</u>	<u>PERCENTAGE OF REFERRALS</u>
Alcohol	17	13%
Drug	14	11%
Educational, Employment and Training	32	24%
Medical	16	12%
Mental Health	11	08%
Other	24	18%
Urban Court Components	17	14%
TOTAL	131	100%

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TOUCHE ROSS & CO.

## EXHIBIT IV - 7

URBAN COURT PROGRAM  
DISPOSITION COMPONENTCOMPARISON OF CLIENTS

<u>COMPARISON CHARACTERISTIC</u>	<u>DISPOSITION COMPONENT</u> <sup>1.</sup>	<u>PROBATION COMPONENT</u> <sup>2.</sup>
<b>1. DEMOGRAPHIC CHARACTERISTICS</b>		
— AGE		
. Less than 18 years	38%	11%
. 19 to 25 years	37%	62%
. 26 and older	25%	27%
— RACE		
. Non-white	57%	55%
. White	43%	45%
— SEX		
. Female	11%	2%
. Male	89%	98%
<b>2. CRIMINAL HISTORY</b>		
— PRIOR ARRESTS		
. No	33%	9%
. Yes	67%	91%
— PRIOR CONVICTIONS		
. No	63%	16%
. Yes	37%	84%
— INCARCERATED FOR PRIOR ARRESTS		
. No	87%	36%
. Yes	13%	64%
— CURRENT OFFENSE		
. Breaking and Entering, Burglary	19%	18%
. Larceny	21%	14%
. Forgery, Receiving, Use Without Authority, and Offering/Counterfeiting	24%	18%
. Assault, Assault and Battery, and Threats	18%	32%
. Drug Offense, Intoxication, Driving to Endanger, Driving Under the Influence	6%	9%
. Other, Disorderly Conduct, Prostitution, Trespass, Destruction of Property, Lewd Conduct, Gambling, and Discharge of a Fireman	12%	9%
— PROBATION STATUS		
. Defaulted or surrendered after initiation of Probation	0%	14%
. Rearrested in subsequent offense	8%	11%
. Probation completed	6%	7%

NOTE

1. From sample of 144 cases referred to Disposition Component between November 24, 1975 and February 20 1976.
2. From sample of 44 cases of 73 possible cases referred to Maximum Supervisor Unit of Probation Department between September 9, 1975 and November 23, 1975.



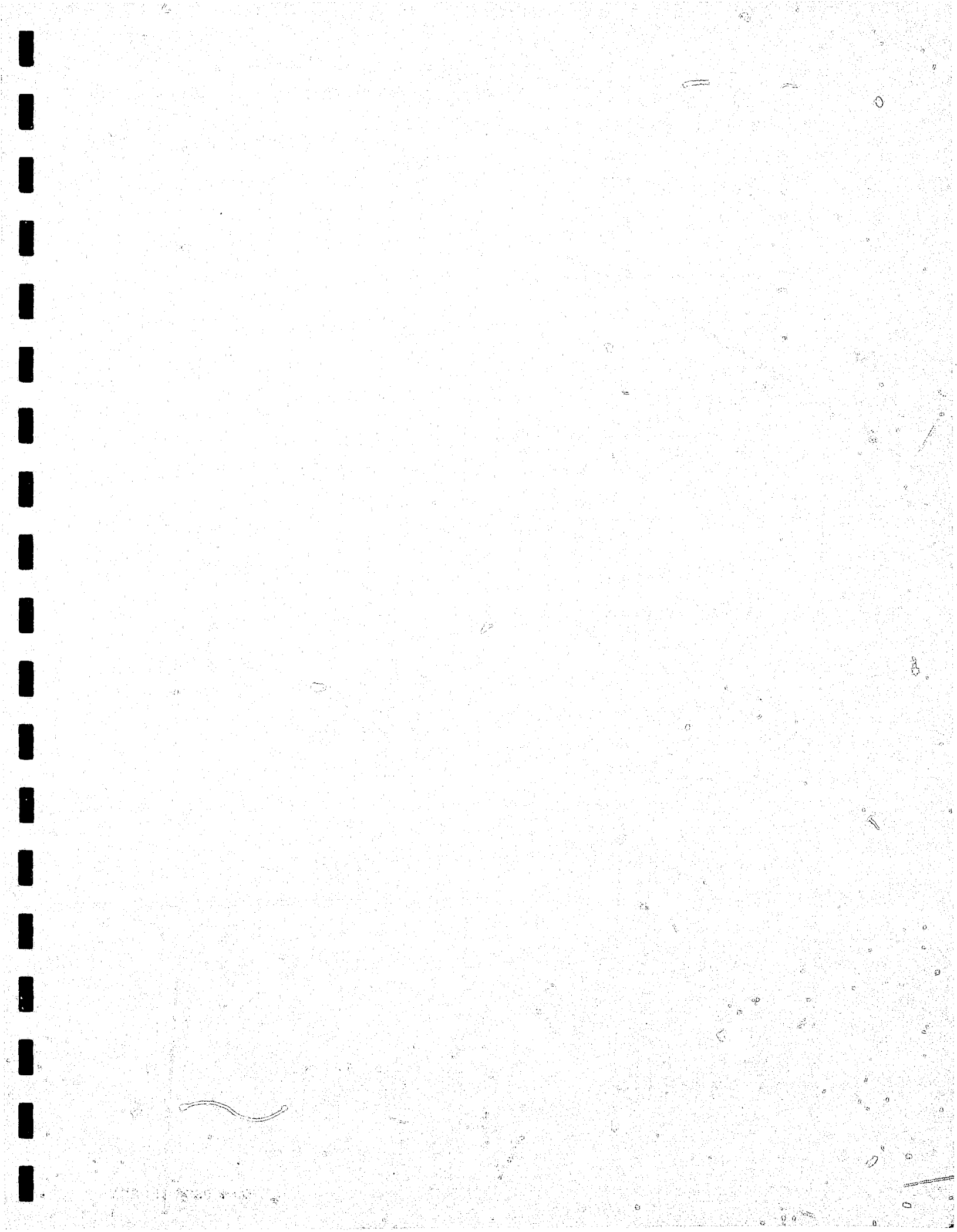


EXHIBIT IV-8

URBAN COURT PROGRAM  
DISPOSITION COMPONENT

Actual Cost Experience

TOTAL ACTUAL COST	
<u>EXPENSES</u>	
Direct	
Indirect	
<u>Component Total</u>	
Burden	
<u>Total Allocated Cost</u>	

Fiscal Year 01 (5/1/75 to 4/30/76)  
(Twelve months ended 4/30/76)

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 60,660	\$ 17,320	\$ 77,980
<u>33,870</u>	<u>11,900</u>	<u>45,770</u>
\$ 94,530	\$ 29,220	\$ 123,750
		<u>36,490</u>
		<u>\$ 160,240</u>

Fiscal Year 02 (5/1/76 to 4/30/77)  
(Four months ended 8/31/76)

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 37,860	\$ 2,760	\$ 40,620
<u>14,040</u>	<u>5,100</u>	<u>19,140</u>
\$ 51,900	\$ 7,860	\$ 59,760
		<u>15,480</u>
		<u>\$ 75,240</u>

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TOTAL COST PER CASE	
<u>EXPENSES</u>	
Direct	
Indirect	
<u>Component Total</u>	
Burden	
<u>Total Allocated Cost/Case</u>	

119 CASES

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 510	\$ 145	\$ 655
<u>285</u>	<u>100</u>	<u>385</u>
\$ 795	\$ 245	\$ 1,040
		<u>307</u>
		<u>\$ 1,347</u>

67 CASES

<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 565	\$ 41	\$ 606
<u>290</u>	<u>76</u>	<u>286</u>
\$ 775	\$ 117	\$ 892
		<u>231</u>
		<u>\$ 1,123</u>

All financial data was provided by UCP and is presented without audit. Appendix B contains an explanation of the methodology.

EXHIBIT IV-9

URBAN COURT PROGRAM  
DISPOSITION COMPONENT

Estimated Funding Requirement

TOTAL ACTUAL COST	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Estimated Cost	

MAXIMUM REQUIREMENT		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 63,000	\$ 8,000	\$ 71,000
<u>10,000</u>	<u>11,000</u>	<u>21,000</u>
\$ 73,000	\$ 19,000	\$ 92,000
		<u>13,800</u>
		<u>\$105,800</u>
		=====

MINIMUM REQUIREMENT		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 61,000	\$ 7,000	\$ 68,000
<u>-0-</u>	<u>-0-</u>	<u>-0-</u>
\$ 61,000	\$ 7,000	\$ 68,000
		<u>10,200</u>
		<u>\$ 78,200</u>
		=====

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TOTAL COST PER CASE	
<u>EXPENSES</u>	
Direct	
Indirect	
<hr/>	
Component Total	
Burden	
<hr/>	
Total Estimated Cost/Case	

225 CASES		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 280	\$ 36	\$ 316
<u>44</u>	<u>49</u>	<u>93</u>
\$ 324	\$ 85	\$ 409
		<u>61</u>
		<u>\$ 470</u>
		=====

225 CASES		
<u>PERSONNEL</u>	<u>OPERATIONS</u>	<u>TOTAL</u>
\$ 271	\$ 31	\$ 302
<u>-0-</u>	<u>0</u>	<u>-0-</u>
\$ 271	\$ 31	\$ 302
		<u>45</u>
		<u>\$ 347</u>
		=====

All financial data was provided by UCP and is presented without audit. Appendix B contains an explanation of the methodology.



APPENDIX A

EVALUATION METHODOLOGY

## APPENDIX A

EVALUATION METHODOLOGYApproach

The evaluation project relied upon periodic on-site reviews and analysis of operations, extensive discussions with Urban Court Program and Court staff, and data collection. The overall approach involved essentially three phases. The initial phase, conducted during September 1975, documented planned operations of the three components, prepared the preimplementation analysis, and developed initial implementation concerns. The second phase, conducted during March 1976, assessed the postimplementation status of the Urban Court Program after approximately four months of operation. The third phase, conducted during September 1976, developed the final evaluation analysis and developed the data for comparison to the preimplementation data. Unannounced on-site visits were conducted between the three major phases to review status and implementation progress.

In addition, a cost analysis was developed during the third phase to establish the potential for future absorption of the successful components into the Dorchester District Court.

Specifically, the activities conducted during the project included:

Phase I - Preimplementation Analysis

## A. Identify Evaluation Criteria

Project consultants reviewed the status of planning activities with the staff of the Urban Court Program and representatives of the Dorchester District Court. Preliminary evaluation criteria were developed from discussions of program objectives and anticipated results with Urban Court Program and Court staff. Proposed evaluation criteria were discussed in a major review meeting with organizations interested in the Urban Court Program.

## B. Prepare Data Collection Systems

Data collection requirements needed to document Court and UCP operations were analyzed. Based upon the evaluation criteria selected, existing Court systems and the plans of the Urban Court Program were reviewed. Minor modifications to the processing and recording of 35-A Hearings for the Clerk of Court resulted in the design of a schedule book and a revised filing system.

The project consultants also reviewed the status of the Court's information system. Modifications to the preliminary design were identified prior to initial implementation of selected reports. These internal reports provide specific information on volumes and case dispositions necessary to the evaluation of Court and Urban Court Program performance. Detailed planning for the three components had not progressed sufficiently to review the proposed internal information systems.

C. Initiate Preimplementation Documentation

Baseline data on Court operations, which represented a four-week period prior to implementation, was collected for the month of September 1975. The data collected was derived from existing Court records consistent with the data required by the evaluation criteria for each of the program's components. The project consultants determined that existing Court records could provide the essential baseline data for comparison purposes after implementation. The internal data collection system was not operational during our analysis, but was to be implemented in subsequent periods.

D. Conduct Preimplementation Interviews

The consultants developed a guideline for preimplementation interviews prior to conducting interviews with Court, criminal justice, and community representatives. The interview guideline was directed toward identifying the respondents' knowledge of the Urban Court Program, potential problems to be addressed by the program staff to achieve successful implementation, and perceived probability of success for each of the components. Prior to the initial round of interviews, Urban Court and Court staff reviewed a list of community representatives to be interviewed to assure that the respondents selected would represent a broad range of community attitudes and opinions. Approximately 29 individuals were interviewed during the initial round of interviews. Individuals interviewed and the interview outline are presented in Exhibits A-1 and A-2.

E. Complete Preimplementation Interviews

Preliminary findings, summaries of significant results of the interviews, and potential problems requiring attention were reviewed with the program staff, Court representatives, and the Governor's Committee on

Criminal Justice staff. Preimplementation interviews and data collected were analyzed to develop the required baseline data. Preimplementation findings and recommendations were summarized and presented to appropriate Urban Court, Court, and implementing agency staff.

Phase II - Interim Analysis

A. Monitor Operations

The project consultants reviewed the current status of operations with the staff of the Urban Court Program, representatives of the Dorchester District Court, and the Office of the District Attorney. Periodic on-site visits were conducted throughout the year.

B. Conduct and Analysis of Program Performance

Project consultants conducted a major on-site review of Component operations and central staff functions during March 1976. An Interim Report was prepared to assess initial operations of the Urban Court Program, including implementation progress, operating problems, future plans, observations, and recommendations. Specific attention was directed to discussing the integration of each project into the Court's operations. At the conclusion of this activity, several review meetings were conducted to describe our findings, observations and concerns to Urban Court, Court and Committee on Criminal Justice staffs.

Phase III - Postimplementation Analysis

A. Initiate Postimplementation Documentation

The project consultants compiled documentation of Urban Court and Court operations from the internal files and reports, and the Court's information system. Operations of the program's components were reviewed to identify strengths, weaknesses, action initiated to modify operations during implementation, and the degree of integration into the Court's operations. The final caseflow analysis was completed during this activity.

B. Complete the Client Follow-up Study

Analysis of available criminal histories determined that completion of the follow-up analysis of Urban Court Program cases could not be completed as originally planned. Criminal histories provided from the records of Central Probation were known to be inaccurate in



several cases. An alternative approach was developed which permitted comparison of Urban Court Program results with those of the Dorchester District Court Probation Department.

C. Conduct Postimplementation Interviews

The interview format initially used was modified to include additional information appropriate for post-implementation comparison. The same individuals in the Court, criminal justice agencies, and the community groups were interviewed when possible to determine their perceptions of the Urban Court Program after implementation and to identify the impact on Court and criminal justice operations. Representatives of the community were interviewed to determine if their perceptions of the Court and the criminal justice system had changed as a result of the Urban Court Program. Comparisons between preimplementation and postimplementation interviews exclude those individuals who could not be interviewed during both sets of interviews. Individuals interviewed and the interview outline are presented in Exhibits A-1 and A-2.

D. Prepare the Cost Analysis and Descriptive Program Study

The project consultants documented the implementation progress over the past twelve months and the program expenditures by category and component. This cost analysis isolated direct personnel and other costs from the indirect and allocated costs to provide an assessment of the cost of operations. Estimates of alternative levels of funding were developed based upon the initial operating results and future plans of the Urban Court Program.

E. Complete Postimplementation Documentation

During this activity, the final documentation of Court operations and Urban Court Program performance was prepared and analyzed. All final interview findings were summarized and comparative analysis performed. The final status report, summarizing postimplementation analysis and findings, was presented to the Committee on Criminal Justice and individuals designated by the Committee.

F. Prepare and Publish the Draft and Final Report

Project consultants completed the final analysis of the Urban Court Program and discussed observations in a

final summary of observations. This report served as a partial draft of the preliminary evaluation recommendations and, as such, represented an important activity necessary to publishing the final report. The final report was presented in draft form to the Committee, implementing agencies, and other involved organizations prior to preparing the final report.

URBAN COURT PROGRAM  
EVALUATION METHODOLOGY

INDIVIDUALS INTERVIEWED

	<u>PREIMPLE- MENTATION</u>	<u>POSTIMPLE- MENTATION</u>
- Dorchester District Court Personnel		
. Judge's Department		
.. Presiding Judge	X	X
.. Other Judges (3)	X	X
.. Court Administrator	X	X
. Clerk's Office		
.. Clerk of the Court	X	X
.. First Assistant Clerk of the Court	X	
.. Screening Police Officer for 35-A Hearings	X	
. Probation Department		
.. Chief Probation Officer	X	X
.. Assistant Chief Probation Officers (2)	X	X
.. Intensive Supervision Unit Probation Officers (4)	X	X
- Representatives of Criminal Justice Agencies		
. Boston Police Department - District 11	X	X
. Suffolk County Assistant District Attorney	X	X
. Massachusetts Defenders Committee	X	
- Representatives of the local community associated with government, church, civic, and social service agencies		
. Boston Housing Authority	X	X
. Codman Square Civic Association	X	X
. Dorchester APAC	X	X
. Dorchester Alternative Center	X	X
. Dorchester District Court Advisory Council	X	X
. Dorchester House	X	X
. Federated Dorchester Neighborhoods, Inc.	X	X
. Lena Park Community Center	X	X
. Our Savior Lutheran Church	X	X
. Saint Martin's Center	X	X

EXHIBIT A-2

URBAN COURT PROGRAM  
EVALUATION METHODOLOGY

INTERVIEW OUTLINE

- Background information.
- Describe knowledge of the Urban Court Program objectives and each of the three program components.
- Describe personal and perceived community attitudes concerning the Urban Court Program and the Dorchester District Court:
  - . Personal and perceived community view of the Dorchester District Court.
  - . Personal and perceived community view of the impact of the Urban Court Program on the Dorchester District Court.
  - . Personal and perceived community view of the relationship and impact of the Urban Court Program on the Dorchester community.
- List and estimate the chance of success of each separate component project.
- Discuss perceived problems of the overall program and each of the three program components.
- Elicit personal and perceived community reaction concerning the expenditure of funds for the Urban Court Program.



APPENDIX B

FINANCIAL ANALYSIS METHODOLOGY

## APPENDIX B

FINANCIAL ANALYSIS METHODOLOGY

The Urban Court Program financial analysis was conducted to accomplish two main objectives. First, costs were classified into the three program components for use in assessing the financial impact of the Urban Court Program upon the Dorchester District Court. The Disposition, Mediation, and Victim Component costs were used to obtain a unit cost per case for each component. These unit costs were compared to the estimated Court savings to determine whether the Urban Court Program offered any significant financial advantages to the Court.

The second objective accomplished by the financial analysis involved the need to understand existing cost experience for use in estimating future funding requirements. Throughout the evaluation of the Urban Court Program, the evaluators directed their attention at establishing estimates of funding required for continuation of the Urban Court Program after the initial implementation period.

Our analysis did not include an audit of the financial records of the Urban Court Program which were used in developing our financial analysis. Since an audit of the financial records of the Urban Court Program was not included within the scope of the evaluation, we have assumed that the records and data provided are reasonable for purposes of the financial analysis. Accordingly, we do not express an opinion on the data.

Several cost classifications were utilized to identify the component costs for the Urban Court Program. Each cost classification assigned to a component represents a different type of cost ranging from actual cash expenditures to allocations of indirect costs. These cost categories are identified and described below:

- Direct personnel cost: wage and salary costs including fringes of personnel directly related to the operation of a component. These include community member stipends in addition to component staff. An example of this cost category is the Disposition Director's salary. No allocations of wage and salary costs for personnel indirectly associated with a component are included within this category.
- Direct operating cost: all nonpersonnel costs which are directly related to the operation of a component. An example of this cost category is supplies directly assignable to the Mediation Component. No allocations of costs are included within this category.

- Indirect personnel cost: wage and salary costs including fringes of personnel which can be associated with a component through an allocation process. These expenses would not necessarily be eliminated if the component were terminated as would the direct cost categories. An example of this cost category is the portion of the salary and fringes of the Urban Court Program Director allocated to the Disposition Component.
- Indirect operating cost: all nonpersonnel costs which can be associated with a component through an allocation process. These expenses would not necessarily be eliminated if the component were terminated as would the direct cost categories. An example of this cost category is the portion of the office supplies used by the central administrative staff.
- Burden cost: general costs associated with the Urban Court Program which are neither direct nor indirect costs and cannot be controlled by the Urban Court Program. Examples of these costs include fees of the Justice Resource Institute and the City of Boston, and the cost of the independent evaluation. These are distributed by several allocation rules.

Federal and nonfederal expenditures for the first fiscal year ending April 30, 1976 were supplied by the Justice Resource Institute, Inc. and the City of Boston. These expenditures were classified by the cost categories previously defined prior to distributing the costs to the components. We have assumed that the information provided is reasonable for purposes of the financial analysis.

Personnel costs were distributed to the components based upon estimates of time spent by staff members with individual components. These estimates were based upon information obtained from personal interviews. Central administrative staff costs were allocated to the components based upon the estimated percentage of time devoted to each component for each individual. Accordingly, all personnel expenses were distributed to the components as either direct or indirect costs.

Operating expenses were classified as direct or indirect and distributed among the three components. Indirect costs were distributed based upon the number of employees in each component. Although more sophisticated allocation rules could be used, the number of employees was used as a reasonable allocation methodology.



The burden cost represents the uncontrollable costs incurred by the Urban Court Program. These costs include management and overhead fees for the Justice Resource Institute and the City of Boston, the independent evaluation costs, and preoperational expenses reimbursed by LEAA. The burden cost has been distributed individually to the components based upon proportionate direct and indirect costs of each component. Although burden costs may not be controlled or influenced by the Component Directors, they do represent a project cost. Accordingly, we have included the costs of burden in the total allocated cost for each component.

EXHIBIT B-1

URBAN COURT PROGRAM  
FINANCIAL ANALYSIS METHODOLOGY

FINANCIAL ANALYSIS  
MAY 1, 1975 THROUGH APRIL 30, 1976  
(UNAUDITED)

TOUCHE ROSS & CO.

COST CATEGORY	MEDIATION COMPONENT			VICTIM COMPONENT District Attorney's Unit			VICTIM COMPONENT Urban Court Program Unit			DISPOSITION COMPONENT			TOTAL PROGRAM		
	Personnel	Operating	Total	Personnel	Operating	Total	Personnel	Operating	Total	Personnel	Operating	Total	Personnel	Operating	Total
<b>TOTAL FUNDING</b>															
DIRECT COST	\$ 43,010	\$ 23,190	\$ 66,200	\$ 20,100	\$ 1,600	\$ 21,700	\$ 24,670	\$ 11,120	\$ 35,790	\$ 60,660	\$ 17,320	\$ 77,980	\$ 148,440	\$ 53,230	\$ 201,670
INDIRECT COST	19,980	8,290	28,270	3,130	950	4,080	27,810	10,790	38,600	33,870	11,900	45,770	84,790	31,930	116,720
SUBTOTAL	\$ 62,990	\$ 31,480	\$ 94,470	\$ 23,230	\$ 2,550	\$ 25,780	\$ 52,480	\$ 21,910	\$ 74,390	\$ 94,530	\$ 29,220	\$ 123,750	\$ 233,230	\$ 85,160	\$ 318,390
BURDEN			31,130			4,720			27,460			36,490			99,800
<u>ALLOCATED COST</u>			<u>\$125,600</u>			<u>\$ 30,500</u>			<u>\$101,850</u>			<u>\$160,240</u>			<u>\$418,190</u>
TOTAL CASES			143			873			208			119			1,343
<b>COST PER CASE</b>															
DIRECT	\$ 301	\$ 162	\$ 463	\$ 23	\$ 2	\$ 25	\$ 119	\$ 53	\$ 172	\$ 510	\$ 145	\$ 655	\$ 111	\$ 39	\$ 150
INDIRECT	140	58	198	4	1	5	134	52	186	285	100	385	63	24	87
SUBTOTAL	\$ 441	\$ 220	\$ 661	\$ 27	\$ 3	\$ 30	\$ 253	\$ 105	\$ 358	\$ 795	\$ 245	\$ 1,040	\$ 174	\$ 63	\$ 237
BURDEN			217			5			132			307			74
<u>ALLOCATED COST</u>			<u>\$ 878</u>			<u>\$ 35</u>			<u>\$ 490</u>			<u>\$ 1,347</u>			<u>\$ 311</u>

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EXHIBIT B-2

URBAN COURT PROGRAM  
FINANCIAL ANALYSIS METHODOLOGY

FINANCIAL ANALYSIS  
MAY 1, 1976 THROUGH AUGUST 31, 1976  
(UNAUDITED)

TOUCHE ROSS & CO.

COST CATEGORY	MEDIATION COMPONENT			VICTIM COMPONENT District Attorney's Unit			VICTIM COMPONENT Urban Court Program Unit			DISPOSITION COMPONENT			TOTAL PROGRAM		
	Personnel	Operating	Total	Personnel	Operating	Total	Personnel	Operating	Total	Personnel	Operating	Total	Personnel	Operating	Total
<b>TOTAL FUNDING</b>															
DIRECT COST	\$ 24,340	\$ 1,920	\$26,260	\$ 21,050	\$ 160	\$ 21,210	\$ 21,800	\$ 1,890	\$ 23,690	\$ 37,860	\$ 2,760	\$ 40,620	\$105,050	\$ 6,730	\$ 111,780
INDIRECT COST	9,260	3,580	12,840	3,260	320	3,580	7,000	3,170	10,170	14,040	5,100	19,140	33,50	12,170	45,730
SUBTOTAL	\$ 33,600	\$ 5,500	\$ 39,100	\$ 24,310	\$ 480	\$ 24,790	\$ 28,800	\$ 5,060	\$ 33,860	\$ 51,900	\$ 7,860	\$ 59,760	\$138,610	\$ 18,900	\$157,510
BURDEN			10,120			1,050			8,770			15,480			35,420
<u>ALLOCATED COST</u>			<u>\$ 49,220</u>			<u>\$ 25,840</u>			<u>\$ 42,630</u>			<u>\$ 75,240</u>			<u>\$192,930</u>
TOTAL CASES			122			*			220			67			*
<b>COST PER CASE</b>															
DIRECT	\$ 199	\$ 16	\$ 215				\$ 99	\$ 9	\$ 108	\$ 565	\$ 41	\$ 606			
INDIRECT	76	29	105				32	14	46	290	76	286			
SUBTOTAL	\$ 275	\$ 45	\$ 320				\$ 131	\$ 23	\$ 154	\$ 775	\$ 117	\$ 892			
BURDEN			83						40			231			
<u>ALLOCATED COST</u>			<u>\$ 403</u>						<u>\$ 194</u>			<u>\$ 1,123</u>			

\* Data Not Available

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APPENDIX C

CENTRAL ADMINISTRATIVE STAFF

APPENDIX C

CENTRAL ADMINISTRATIVE STAFF

Overview

The central administrative staff of the Urban Court Program as proposed in the original grant application dated December 9, 1974, was designed to:

- Develop policy.
- Provide centralized administrative and operational support.
- Provide management information, research, and evaluation systems.

During the first funded year of operation the organization of the central administrative staff has evolved in response to changing needs and circumstances. The organizational structure is presented in Exhibit C-1. The remainder of this Appendix will briefly describe key positions.

Director of Urban Court Program

The position of Program Director has been held by two individuals. The original Program Director held the position from June 1975 through July 1976. The current Program Director has filled the position since August 1976. The position description contains the following responsibilities.

- External Responsibilities
  - . Represents Urban Court Program to sponsors and the criminal justice community in Dorchester.
  - . Submits required periodic reports and meets regularly with task forces and advisory board.
  - . Develops and maintains relationships with federal, state, and city agencies.
  - . Participates in media appearances representing the Urban Court Program.

- Internal Responsibilities
  - . Defines goals and policies for the Urban Court Program.
  - . Maintains final administrative responsibility for defining policy and management decisions in the following areas:
    - .. Fiscal management
    - .. Component operations
    - .. Public information
    - .. Program development
  - . Coordinates development of evaluation criteria and monitors the evaluation of the three program components.
  - . Meets with Component Directors and staff to coordinate and manage the operation of the Urban Court Program.

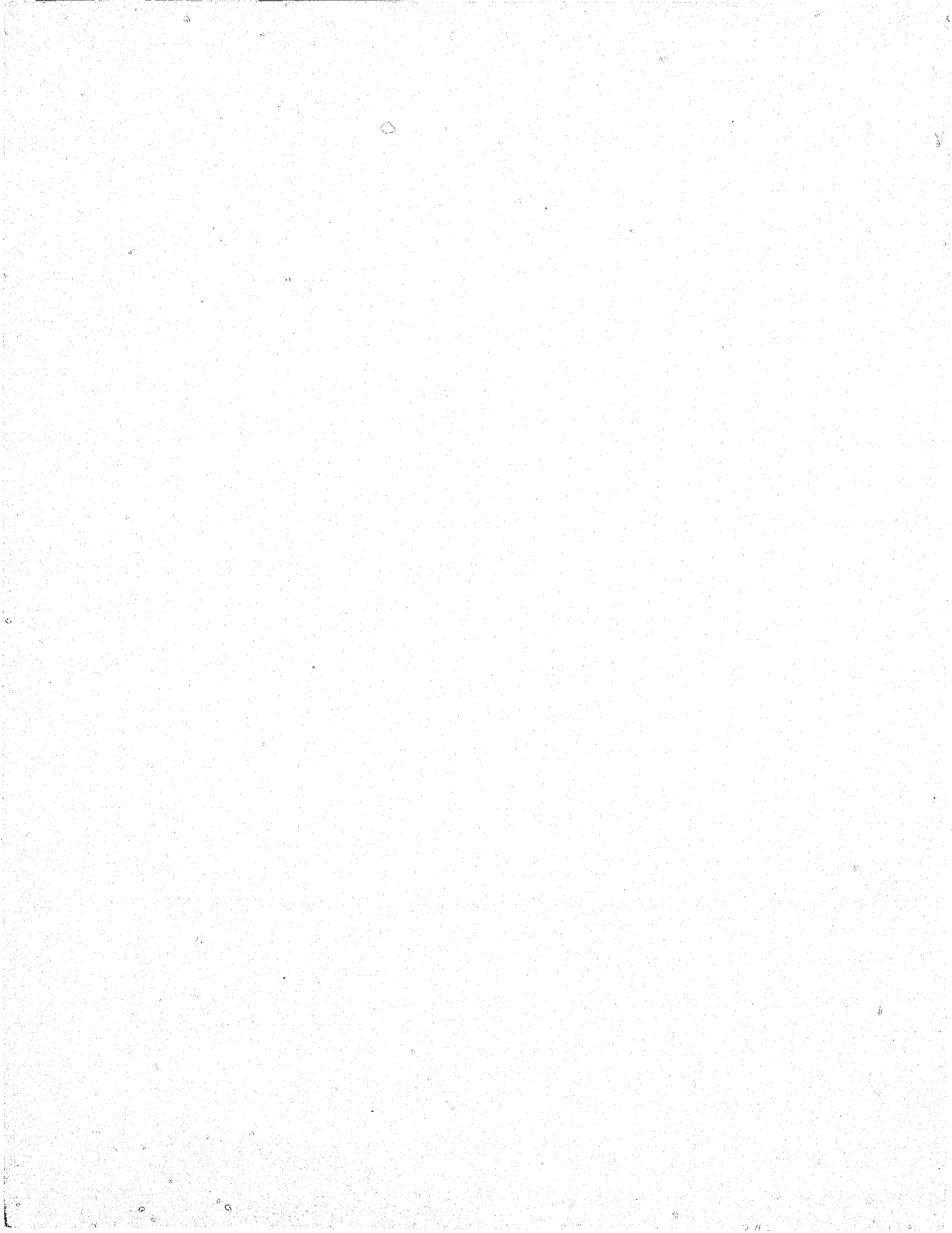
Deputy Director

The position of Deputy Director was included in the second year grant application. The position of Deputy Director evolved from the position of Chief Court Liaison and was filled by a single person between October 1975 and May 1976. The development of this position occurred for several reasons:

- Many of the responsibilities contained in the job description for the position of Chief Court Liaison have been assumed by the Component Directors.
- The span of control of the Program Director was quite large during the first year of funding. Nine people reported directly to the Program Director. The position of Deputy Director was created to provide the Program Director with a smaller span of control in order to manage the operation of the Urban Court Program during the transition between the preoperational and start-up operating stages.

The position has remained vacant and there were no plans to fill the position at the time of our final review in September 1976. Factors which resulted in not staffing this position include:

- The Program Director's span of control has been decreased to six people.
- Component Directors maintain liaison with the Court.
- Start-up activities have been completed and many of the initial operational problems and concerns have





**CONTINUED**

**2 OF 3**

been successfully resolved, which has greatly reduced the need for a Deputy Director to supervise many of the operating details.

A position description for the Deputy Director is included for information.

- External Responsibilities

1. Maintains liaison with Presiding Justice of the Dorchester District Court to assure program responsiveness to the needs of the judges.
2. Maintains contacts with other innovative court programs.
3. Coordinates the preparation of required reports.
4. Represents Urban Court Program to sponsors and the criminal justice community in Dorchester in conjunction with the Program Director.
5. Participates in media appearances to discuss the operation of the Urban Court Program.

- Internal Responsibilities

1. Assumes position of Program Director in the absence of Program Director.
2. Responsible for operational details and coordination of component activities.
3. Responsible for resolution of legal issues.
4. Meets regularly with Program Director, Component Directors, and staff to coordinate and manage the operation of the Urban Court Program.

Chief Court Liaison

This position was upgraded to the position of Deputy Director. Little difference exists between the position descriptions for Chief Court Liaison and Deputy Director. The following position description is included for information.

- External Responsibilities

1. Maintains liaison with Presiding Justice of the Dorchester District Court to assure program responsiveness to the needs of the judges.

2. Maintains liaison with department heads in the Dorchester District Court to assure coordination between their operations and those of the Urban Court Program.
  3. Maintains relations with other programs which operate in the Court, such as TCRP, TASC-A, ASAP; and the Court Clinic.
  4. Coordinates the activity of the Court-Community Advisory Board with the Urban Court Program.
  5. Participates in media appearances to discuss the operation of the Urban Court Program.
- Internal Responsibilities
1. Assists in the development of procedures to measure administrative soundness.
  2. Arranges staff meetings among component staffs judges and court staff and other criminal justice agency representatives to discuss and resolve legal and operating problems and concerns.

Coordinator of Social Services and Assistant Coordinator

The position of Social Services Coordinator has been filled continuously since November 1975 by a single individual. During the period November 1975 through September 1976 all of the objectives and goals contained in the original grant application for this position were successfully met.

The position of Social Services Coordinator was established in the original grant application for the following purposes:

- Assist component staffs in identifying major areas of social service needs which are appropriate for each component.
- Identify and evaluate social service agencies and non-institutional resources in the community capable of providing services to Urban Court Program clients.
- Establish formal relations with identified social service agencies:
  - . Exchange information between Urban Court Program and the agencies concerning social service capabilities.

- . Develop procedures for referring prospective clients.
- . Establish follow-up procedures to determine adequacy of services and report client status.
- Develop and maintain a directory of social service agencies. Cooperate with other agencies and programs attempting to develop centralized data or social service resources.
- Establish an in-service training program for Urban Court Program staff oriented to the identification and use of available resources and the delivery of social services.
- Assist individual staff members in identifying and using social service resources for particular clients with unusual needs.
- Counsel clients in conjunction with individual staff members to identify social service needs, make referrals, and assure that services were provided.

In addition to meeting original and subsequent grant application objectives, the Social Services Coordinator also performs the following major administrative functions:

- Conducts follow-up activities to verify client progress, identify problems between social service agencies and the Urban Court Program, and evaluate the type, quantity, and effectiveness of services.
- Initiates and coordinates the development of special programs to locate and place clients in direct employment and vocational evaluation and training situations.
- Assists in identifying and recruiting minority candidates to fill vacant staff positions.
- Assumed responsibility as editor of "The Urbanner," the Urban Court Program newsletter published bimonthly since May 1976.
- Serves as the representative of the Urban Court Program for other social service agencies.

#### Evaluation and Research Director

The Evaluation and Research Director was one of the authors of the original grant application and has been continuously involved

with the Urban Court Program since September 1973. The Evaluation and Research Director has been instrumental in the design and coordination of research designed to evaluate the performance of each component. The Evaluation and Research Director has the following responsibilities:

- External Responsibilities

1. Provides detailed statistical analysis of program and component operations to interested parties.
2. Maintains relations with academics, program directors of similar programs, and other interested parties. Seeks to establish information on the operation of projects and the validity of their underlying hypotheses.
3. Participates in media appearances to discuss the operation of the Urban Court Program.
4. Works with Dorchester Community-Court Advisory Board to develop a community poll of attitudes toward Dorchester District Court.
5. Participates in the collection of data with outside consultants engaged in various evaluation and research studies.

- Internal Responsibilities

1. Works with Program Director and Component Directors in establishing program and component objectives and measures of accomplishment.
2. Works with Program Director and Component Director to establish data collection systems.
3. Prepares statistical evaluation of component operations.
4. Assists Component Directors to develop administrative and management information systems to measure operating effectiveness.

Evaluation and Research Assistant

The position of Evaluation and Research Assistant has been filled continuously by a single individual since October 1975. Since that time the Evaluation and Research Assistant has worked directly with the Court Administrator in the Dorchester District Court in order to implement and analyze a management information system for the Court. The current position description includes the following responsibilities:

- External Responsibilities

1. Participates in maintenance of a data collection and reporting system.
2. Prepares and disseminates management information reports.
3. Helps train new staff or community panelists in court procedures and processes.

- Internal Responsibilities

1. Assists the Court Administrator and Urban Court Program Research and Evaluation Director in the design of Court and Urban Court Program data collection, analysis, and management information systems.
2. Collects and compiles court operating data for analysis.
3. Performs special data collection functions as directed by the Court Administrator.

Lawyer

The part-time position of lawyer was eliminated at the beginning of the second funding year. Most of the legal problems and concerns were resolved during the preoperational and start-up stages of the Urban Court Program.

Police Liaison

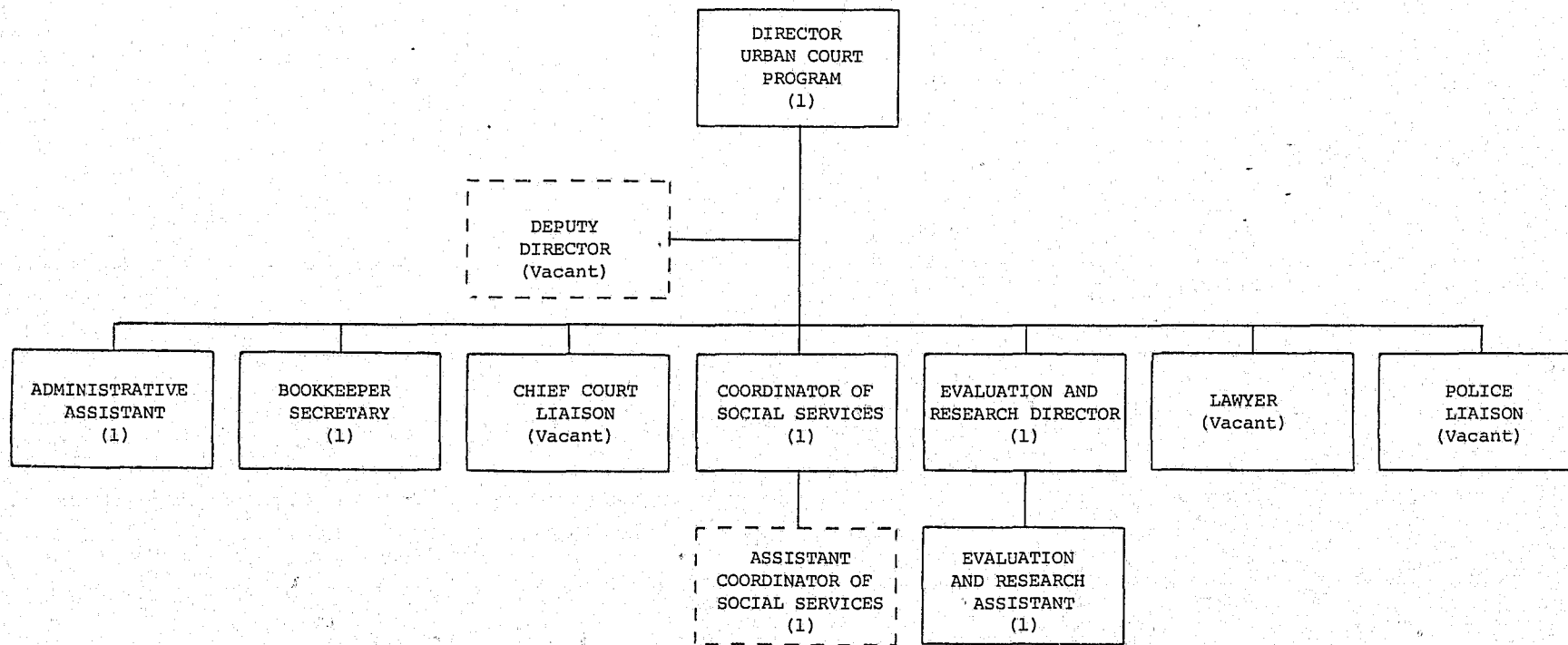
The position of Police Liaison has never been filled. The position was eliminated at the beginning of the second funding year. The Victim and Mediation Component Directors have developed good relations with the local police stations which has eliminated the need for this position.



EXHIBIT C-1

URBAN COURT PROGRAM  
CENTRAL ADMINISTRATIVE STAFF

ORGANIZATION CHART



Position description in initial grant application.



Positions added to second year grant proposal or new position added after second year grant application.





**END**