

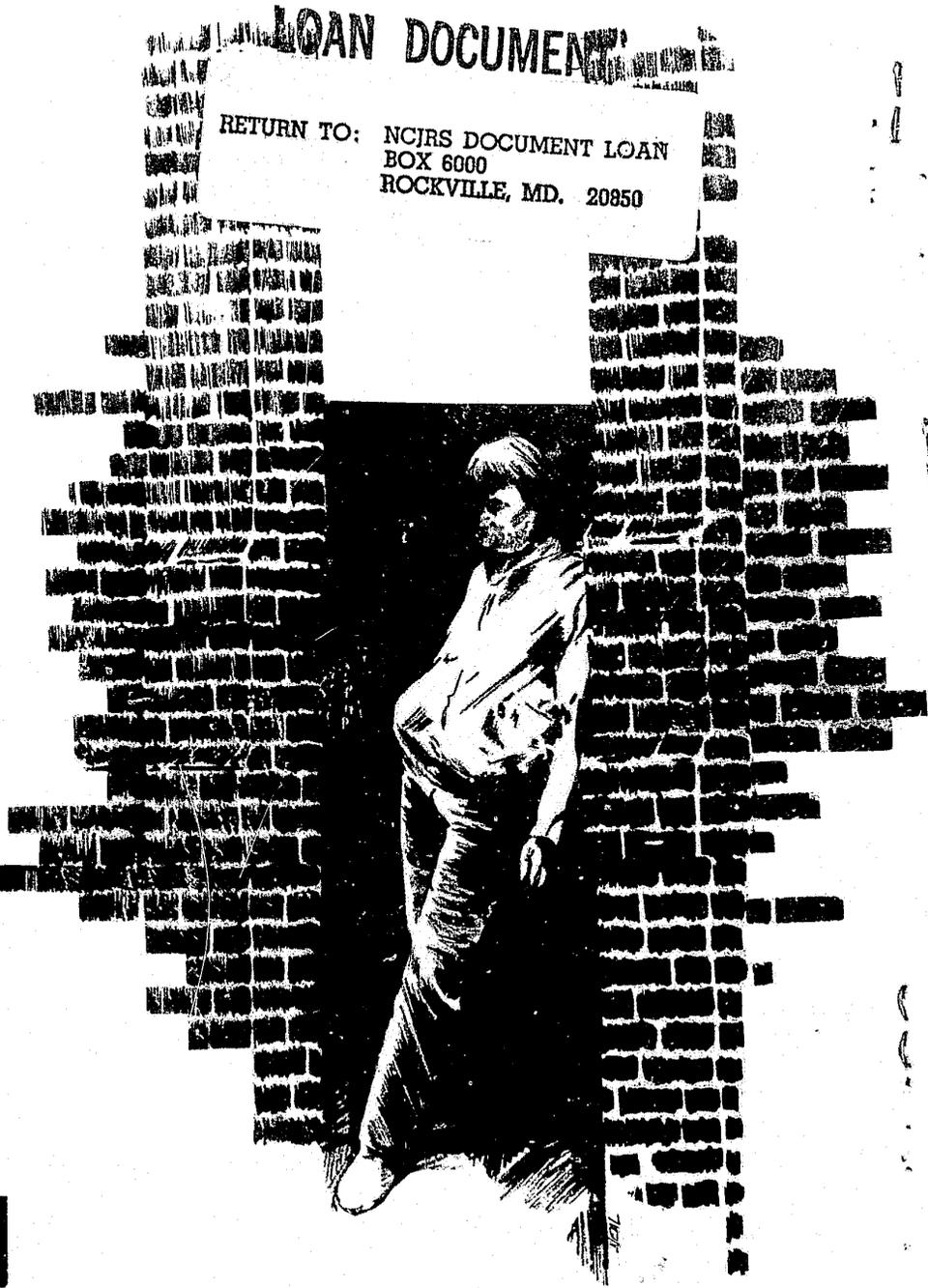
JUVENILE DIVERSION THROUGH FAMILY COUNSELING

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An Exemplary Project

JUVENILE DIVERSION THROUGH FAMILY COUNSELING

**A program for the diversion of status
offenders in Sacramento County, California**

By

**Roger Baron
Floyd Feeney**

NCJRS

JUN 21 1976

ACQUISITIONS

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February 1976

**Office of Technology Transfer
National Institute of Law Enforcement and Criminal Justice
Law Enforcement Assistance Administration
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CONTENTS

	Page
FOREWORD	vii
THE SACRAMENTO COUNTY DIVERSION PROGRAM: A SUMMARY	xi
I. CONCEPTS AND ORGANIZATION	1
A. Project Background and History	1
B. The Project	2
C. Project Operation	3
D. Staff	3
E. Family Crisis Counseling	5
F. Cases Handled	5
G. Some Discarded Planning Options	6
H. Sponsorship	6
I. Funding	6
II. DOES THE PROGRAM WORK?	8
A. Results—Diversion From Court	8
B. Results—Detention	9
C. Results—Recidivism	9
D. Workload and Diversion	11
E. Characteristics of Cases	16
III. THE SACRAMENTO 602 DIVERSION PROJECT	17
A. The Project	17
B. Organization and Staffing	17
C. Training	18
D. Funding	18
E. Results	18
IV. A PROGRAM FOR YOUR COMMUNITY	21
A. Evaluating the Need	21
B. Developing a Plan for Action	22
C. More Detailed Planning	24
D. Beginning the Program	28
E. Some Problems of Implementation	29
F. Some Special Questions	31

V.	TRAINING	32
A.	Initial Training	32
B.	On-Going Training and Consultation	34
C.	Developing a Training Program	35
VI.	SOME POINTERS FOR SUPERVISORS	38
VII.	SOME POINTERS FOR PROBATION COUNSELORS	39
A.	What Is the Job Like?	39
B.	Am I Qualified?	40
C.	Should I Volunteer?	40
D.	The Concepts of Family Counseling	40
E.	Some Problem Areas	42
F.	Role Conflict—Probation Officer vs. Family Therapist	45
G.	The Need for Training	46
H.	How Well Does the Experience Wear?	46
VIII.	HOW OTHER COMMUNITIES HAVE DONE IT	48
A.	Alameda County	48
B.	Contra Costa County	49
C.	Humboldt County	49
D.	Virginia Beach	49
	APPENDIX	
A.	A PRE-PROJECT CASE EXAMPLE	51
B.	SACRAMENTO 601 DIVERSION PROJECT — FIRST YEAR BUDGET	55
C.	SACRAMENTO 602 DIVERSION PROJECT — FIRST YEAR BUDGET	59
D.	DATA FROM SEVEN MONTH FOLLOW UP PERIOD ..	61
E.	CHARACTERISTICS OF FIRST YEAR PROJECT CASES	65
F.	TRAINING RESOURCES	71
G.	FAMILY COUNSELING: A SYLLABUS FOR TRAIN- ERS	75
H.	DIVERSION UNIT FORMS AND PROCEDURES	87

FOREWORD

The Sacramento Diversion Project presents an important new approach to a continuing problem: how to deal effectively with runaways, youths "beyond control" of their parents, unmanageable youths and other troubled adolescents.

In Sacramento County, youngsters and their families receive immediate counseling from specially-trained probation officers. The goal is to improve communication among family members, to send the youngster home rather than to court or a detention facility, and to deal with the problem at the time of crisis rather than days, weeks, or even months later.

During the first year of the project, petitions were filed on only 3.7 percent of the youths. Overnight detention was reduced by half and recidivism by 14 to 25 percent. The cost of treatment, detention, and placement was about half that for those cared for under traditional procedures.

The National Institute believes the Sacramento approach to dealing with juvenile offenders is one that can successfully be adopted by other communities. Several jurisdictions, in fact, are already implementing similar efforts.

This handbook has been prepared to assist communities who wish to consider similar programs. It provides detailed information concerning the design and operation of a family crisis counseling program.

Gerald M. Caplan, Director
National Institute of Law Enforcement
and Criminal Justice
February 1976

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For further information concerning the Sacramento Diversion Project, contact:

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THE SACRAMENTO COUNTY DIVERSION PROGRAM: A SUMMARY

Virtually every state has a statute defining some non-criminal behavior as delinquent. In California youths beyond the control of their parents, runaways, truants and others fall within Section 601 of the Welfare and Institutions Code and are known as "601's". In other states this kind of case is known as Persons in Need of Supervision (PINS), Children in Need of Supervision (CHINS), Minors in Need of Supervision (MINS), stubborn child or some other equally revealing name.

In most jurisdictions the 601-type case is a substantial problem. These cases constitute over one-third of all juvenile court cases in Sacramento County and high percentages elsewhere in California and the nation. Many judges and probation officers have long felt them to be among their toughest cases and least appropriate for handling through the juvenile court.

The Sacramento 601 Diversion Project began as an experiment designed to test whether juveniles charged with this kind of offense—the 601 or "pre-delinquent" offense—could be handled better through short term family crisis therapy at the time of referral than through the traditional procedures of the juvenile court. The project's objective was to demonstrate the validity of the diversion concept of delinquency prevention by showing that:

- Runaway, beyond control and other types of 601 cases can be diverted from the present system of juvenile justice and court adjudication.
- Detention can be avoided in most 601 type situations through counseling and alternative placements that are both temporary and voluntary.
- Those diverted have fewer subsequent brushes with the law and a better general adjustment to life than those not diverted.
- This diversion can be accomplished within existing resources available for handling this kind of case.

The intent of the project was to keep the child out of the juvenile hall, keep the family problem out of the court and still offer counseling and help to the family.

The approach developed relied on the following features:

- Immediate, intensive handling of cases rather than piecemeal adjudication.
- Avoidance of compartmentalized service by the creation of a prevention and diversion unit handling cases from beginning to end.
- Spending the majority of staff time in the initial stages of the case—when it is in crisis—rather than weeks or months later.
- The provision of special training to probation staff involved.
- The provision of on-going consultative services on a periodic basis to enable staff to continue to improve their crisis handling skills.
- Avoidance entirely of formal court proceedings.
- Avoidance of juvenile hall through counseling and the use of alternate placements that are both temporary and voluntary.
- Maintenance of a 24-hour, seven day-a-week telephone crisis service.
- Closer ties with outside referral services.

The project was funded through a grant from the California Council on Criminal Justice and the Ford Foundation and began handling cases on October 26, 1970. For purposes of the experiment the project handled cases on four days of the week with the regular intake unit handling the other three days as a control group. Days were rotated monthly, so that each day of the week would be included approximately the same number of times for both the project group and the control group.

A. Results

After two years of the experiment the data indicated that 601 cases could be diverted from court using project techniques. The number of court petitions, the number of informal probations, the number of days spent in detention, and the cost of handling were all less for project than for control cases. Recidivism was also less.

Based on these findings Sacramento County adopted the program as its basic method for dealing with 601 cases in November 1972.

In March 1974 the project was selected as an Exemplary Project by the National Institute of Law Enforcement and Criminal Justice—one of the first five programs to be so chosen.

B. The Project

On project days when a referral on a 601 matter is received—whether from the police, the schools, the parents or whatever—the project arranged a family session to discuss the problem. Every effort was made to insure that this session was held as soon as possible and most were held within the first hour or two after referral. Through the use of family counseling techniques a specially trained probation officer seeks to develop the idea that the problem is one that should be addressed by the family as a whole.¹ Locking up the youth as a method of solving problems is discouraged and a return home with a commitment by all to try to work through the problem is encouraged.² If the underlying emotions are too strong to permit the youth's return home immediately, an attempt is made to locate an alternative place for the youth to stay temporarily. This is a voluntary procedure which required the consent of both the parents and the youth.

Families were encouraged to return for a second discussion with the counselor and depending upon the nature of the problem for a third, fourth or fifth session. Normally, the maximum number of sessions was five. Sessions rarely lasted less than one hour and often went as long as two or two-and-a-half hours. First sessions took place when the problem arose.

All sessions after the first session were voluntary, and whether the family returned was up to the family itself. In many cases counselors were in contact with the family by phone whether there was a followup visit or not. All members of the family were encouraged to contact the counselor in the event of a continuing problem or some new additional problem.

C. The 602 Project

In April 1972 Sacramento County initiated a new experiment designed to determine the extent to which the 601 Diversion approach would work with some kinds of criminal cases (which in California come under Section 602 of the Welfare and Institutions Code). This new project operated in the same experimental way using family crisis counseling at intake as an alternative to referral to juvenile court. The offenses handled included minor offenses such as petty theft and drunk and disorderly conduct as well as some medium level offenses such as possession of drugs, receiving stolen property and auto theft cases not involving damage to

the car taken. Serious assaultive or sexual offenses, drug selling and similar offenses were excluded as being too serious for a technique that had not been tried with criminal offenses.

The results of this experiment were even more encouraging than those for the 601 project. As with the original project the number of court petitions, the number of informal probations and recidivism were all less than for control cases. In addition for nearly every indicator the rate of improvement was greater than that in the original project.

D. Other Jurisdictions

Because of the widespread feeling that new methods were needed for dealing with the 601 kind of case, other jurisdictions from the beginning expressed great interest in the project. Within a short period of time some began to institute their own programs. Among the earliest to do so were Alameda and Contra Costa Counties in California and Virginia Beach, Virginia.

E. Significance of the Project

The Sacramento approach is not a cure-all for the ills of the juvenile justice system. Nor is it an approach that will necessarily fit the needs of every community. Rather it is a promising method that a growing number of communities are considering as a way to help in dealing with their problems.

The essential ingredients of the approach are two: (1) the use of a powerful and relatively new therapeutic technique, family crisis counseling, and (2) the organization of court and intake services in a way that permits the use of this technique at the earliest possible time in the crisis involved. Other departments and jurisdictions have tried one or the other of these elements at various times. Few, however, have brought them together into precisely this combination—and it is the combination which ultimately is the strength of the approach.

In the pages that follow the components of this approach will be spelled out in greater detail—along with the evidence of its potency and some of the problems that can arise in its use and implementation. Because juvenile justice systems around the country differ widely—not only in their terminology but also in their structure—some of the discussion may sound strange and may fit inexactly into the way some systems operate. It is the principles involved, however, which are important, and these it is believed are generally applicable in most systems.

The purpose of the discussion which follows is to invite consideration of the approach. Such consideration

can be addressed solely to the 601-PINS type offense or it can be addressed more broadly to include some criminal offenses as well. The conclusions to be drawn from such considerations must necessarily be based on the realities and the problems of the communities involved.

It is not expected that the solutions offered can be adopted exactly or even that every community will want to adopt such a program at all. It is hoped, however, that the information offered will be of some assistance in thinking and planning for the handling of an old and persistent problem.

CHAPTER I. CONCEPTS AND ORGANIZATION

Almost from the beginning, the jurisdiction of the juvenile courts has gone beyond youths violating the criminal law. Thus, in Illinois where the first juvenile court law was adopted in 1899, jurisdiction over children in danger of becoming involved in delinquent activities was added to that previously granted to the court at the very next legislative session.¹ This pattern was adopted in other jurisdictions and is the general pattern for the country as a whole.

Section 601 of the Welfare and Institutions Code is the California version of this law. It reads as follows:

Any person under the age of 18 years who persistently or habitually refuses to obey the reasonable and proper orders or directions of his parents, guardian, custodian or school authorities, or who is beyond the control of such person, or any person who is a habitual truant from school within the meaning of any law of this State, or who from any cause is in danger of leading an idle, dissolute, lewd, or immoral life, is within the jurisdiction of the juvenile court, which may adjudge such person to be a ward of the court.

A. Project Background and History

Both today and in the period prior to the beginning of the Sacramento 601 Diversion Project, cases falling within section 601 are among the most frequent in the jurisdiction of the juvenile court. In California, for example, in 1969, 601 cases constituted about 30 percent of all cases reaching intake and over 40 percent of all juvenile hall admissions.² More detailed data for Sacramento County indicated that 601 cases comprised over 32 percent of the cases handled at intake, over 40 percent of the detention petitions filed in juvenile court, over 30 percent of the total petitions filed in juvenile court, over 35 percent of the cases handled by probation supervision and over 72 percent of all placements involving delinquents.

Even more important, however, than the workload involved in handling these youths were the dismal results of this attempt to deal with delinquency through the use of the juvenile court. Recidivism figures indicated that a high percentage of all 601 cases came back into the system in a very short time—many as a result of having

committed acts that are violations of the penal code. (These are brought within the jurisdiction of the juvenile court in California by section 602 of the Welfare and Institutions Code.) In Sacramento County nearly 48 percent of all 601 juveniles were charged with a subsequent offense—either 601 or 602—within seven months.

In 1969 the Sacramento County Probation Department and the Center on Administration of Criminal Justice, University of California, Davis, conducted a demonstration project to examine detention decision making at both the intake and court levels. Part of the project entailed extensive interviewing of juveniles detained on 601 offenses and their parents. Interviews were conducted after intake proceedings, but prior to the court detention hearing. Reasons for detention were examined along with the extent and nature of underlying problems.

In situations in which parents did not want their child released to their custody or in which the juvenile did not want to return home, alternative possibilities of places for the juvenile to stay were examined with the juvenile and his parents prior to the detention hearing. In many of these situations, alternatives were discovered that were satisfactory to both the minor and his parents. Based on information to this effect presented by the project personnel to the court at the detention hearing, minors were released to these alternative placements pending their jurisdictional and dispositional hearings. A follow-up study indicated that these placements proved reasonably successful, and several resulted in permanent placements.

In analyzing the problem of how to prevent the recurrence of 601 cases, the study suggested two major factors:

- The traditional structure of the probation department allows too little time for effective handling of 601 cases.
- Legal handling is often an inappropriate method of dealing with the problems involved.

1. *Too little time for handling.* In Sacramento County in 1969 upon referral to the probation department all cases other than project cases were handled by an intake unit. This unit made the decision whether to file a petition and whether to detain. During a sample pre-

project month eight intake officers handled approximately 650 cases. This rate of intake allowed the officer very little time to resolve the underlying problems involved in 601 cases, as well as affording little opportunity to seek alternative placement with relatives or friends where the parents did not want the minor returned home or the minor refused to go home. The tendency necessarily was to detain these juveniles, file petitions on them, and let the court resolve the problems.

Little more information and time was available to the juvenile court at the detention hearing, however. This hearing must be held within 48 hours of the time the juvenile is taken into custody,³ and normally lasts about 15 minutes. As a result many juveniles are detained for a jurisdictional hearing, which takes place within 15 judicial days from the date of the court detention order.⁴ A court officer is assigned to the case and spends about two hours investigating it for the jurisdictional and dispositional hearings. Typically, the outcome of these 601 cases is that the juvenile is made a ward of the court and returned home or placed. A supervision officer is then assigned to the case and spends one-half to one hour per month visiting with the juvenile and his family to see what progress is being made. If indications are that the situation is not improved, additional petitions are filed and additional detention ordered in the expectation that detention and court action will have a deterring effect. The fact that over 65 percent of the cases in one sample period had a prior or subsequent record for 601 offenses, that 59 percent had a record of two or more other such offenses, that 32 percent had a record of three or more other such offenses indicates the general lack of success of this approach.

2. *Inappropriateness of legal handling.* The second factor that stands out is the inappropriateness of handling these cases through the legal system. These cases usually involve family crisis situations and a long history of lack of communication and understanding between family members. Many probation officers feel uncomfortable with the problems posed by 601 cases, and rightly feel that this calls for family counseling or family crisis intervention rather than legal treatment.

B. The Project

The Sacramento 601 Diversion Project was designed as an experiment in order to test an alternative method of handling juveniles charged with 601-type offenses. The objective of this project was to demonstrate the validity of the diversion concept of delinquency prevention by showing that:

- Runaway, beyond control and other types of 601 cases can be diverted from the present system of juvenile justice and court adjudication.

- Detention can be avoided in most 601-type situations through counseling and alternative placements that are both temporary and voluntary.
- Those diverted have fewer subsequent brushes with the law and a better general adjustment to life than those not diverted.
- This diversion can be accomplished within existing resources available for handling this kind of case.

The intent of the project was to keep the child out of the juvenile hall, keep the family problem out of the court and still offer counseling and help to the family.

This approach relies on the following features:

- Immediate, intensive handling of cases rather than piecemeal adjudication.
- Avoidance of compartmentalized service by the creation of a prevention and diversion unit handling cases from beginning to end.
- Spending the majority of staff time in the initial stages of the case—when it is in crisis—rather than weeks or months later.
- The provision of special training to probation staff involved.
- The provision of on-going consultative services on a periodic basis to enable staff to continue to improve their crisis handling skills.
- Avoidance entirely of formal court proceedings.
- Avoidance of juvenile hall through counseling and the use of alternate placements that are both temporary and voluntary.
- Maintenance of a 24-hour, seven-days-a-week telephone crisis service.
- Closer ties with outside referral services.

In addition to the extensive workload involved in handling 601 cases, and the possibilities of delinquency prevention through diversion indicated by the pre-project study, the plan also sought to take into account the growing body of evidence that crisis counseling and short-term case work is one of the most effective ways of dealing with problems arising out of family situations.

One recent study, for example, concluded that:

- Planned, short-term treatment yields results at least as good as, and possibly better than, open-ended treatment of longer duration.
- Improvement associated with short-term treatment lasts just as long as that produced by long-term services.
- Short-term treatment can be used successfully under most conditions if its objectives are appropriately limited.⁵

The report indicated that "extended casework was three times as costly as short-term, with no better results to show for it." In explaining these results the report stated that the brevity of the service period may have "mobilized the caseworker's energies and caused a more

active, efficient and focused approach" while at the same time calling forth "an extra effort from the client producing a better outcome."

A highly successful program in Denver, Colorado, developed by Donald Langsley and David Kaplan demonstrated the potential of family crisis therapy as an effective alternative to psychiatric hospitalization. In light of their experience they concluded that it was "reasonable to assume that the principles of treating families at times of crisis would be equally applicable to less serious crises among more healthy populations."⁶

Projects such as the highly successful family crisis counseling program developed for police officers by Morton Bard and Bernard Berkowitz of the Psychology Department of the City College of New York have demonstrated the utility of using these techniques at the first level of contact in the criminal justice system.⁷

In 1967 the President's Commission on Law Enforcement and Administration of Justice argued that:

The formal sanctioning system and pronouncement of delinquency should be used only as a last resort. In place of the formal system, dispositional alternatives to adjudication must be developed for dealing with juveniles . . . Alternatives already available, such as those related to court intake, should be more fully exploited.⁸

The Sacramento County 601 Diversion Project sought to develop a practical method for implementing this concept and was modeled in part on a paper by Ted Rubin entitled "Law as an Agent of Delinquency Prevention," which was presented to the California Delinquency Prevention Strategy Conference in February 1970.

C. Project Operation

The project began handling cases on October 26, 1970. During the experimental period, the project handled cases on four days of the week with the regular intake unit handling the other three days as a control group. Days were rotated monthly, so that each day of the week would be included approximately the same number of times for both the project group and the control group.

On project days when a referral on a 601 matter was received—whether from the police, the schools, the parents or whatever—the project arranged a family session to discuss the problem. Every effort was made to insure that this session was held as soon as possible and most were held within the first hour or two after referral. Through the use of family counseling techniques the project counselor sought to develop the idea that the problem was one that should be addressed by the family as a whole. Locking up the youth as a

method of solving problems was discouraged and a return home with a commitment by all to try to work through the problem was encouraged. If the underlying emotions were too strong to permit the youth's return home immediately, an attempt was made to locate an alternative place for the youth to stay temporarily. This was a voluntary procedure which required the consent of both the parents and the youth.

Families were encouraged to return for a second discussion with the counselor and depending upon the nature of the problem for a third, fourth or fifth session. Normally, the maximum number of sessions was five. Sessions rarely lasted less than one hour and often went as long as two or two-and-a-half hours. First sessions took place when the problem arose.

All sessions after the first session were essentially voluntary, and whether the family returned was up to the family itself. In many cases counselors were in contact with the family by phone whether there was a follow-up visit or not. All members of the family were encouraged to contact the counselor in the event of a continuing problem or some new additional problem.

In November 1973 the experimental phase ended and the project techniques became the standard approach for all runaway, beyond control, incorrigible type cases in the county.

D. Staff

The Sacramento County Probation Department is generally known as a progressive, well-run department. The minimum requirement for a deputy probation officer is a college degree and increasingly, staff is encouraged to take advanced training. All deputy positions are civil service. The overall organization of the department is shown in Chart 1-A.

The diversion unit staff initially consisted of a supervisor and six counselors. The unit supervisor had approximately ten years experience and his assistant seven years experience. The deputies ranged from no experience in a probation setting to approximately four years of experience. There were three male and three female deputies. The three deputies without probation experience all had some previous experience in a social service agency. All staff members were volunteers for the project and were chosen on the basis of interest and aptitude.

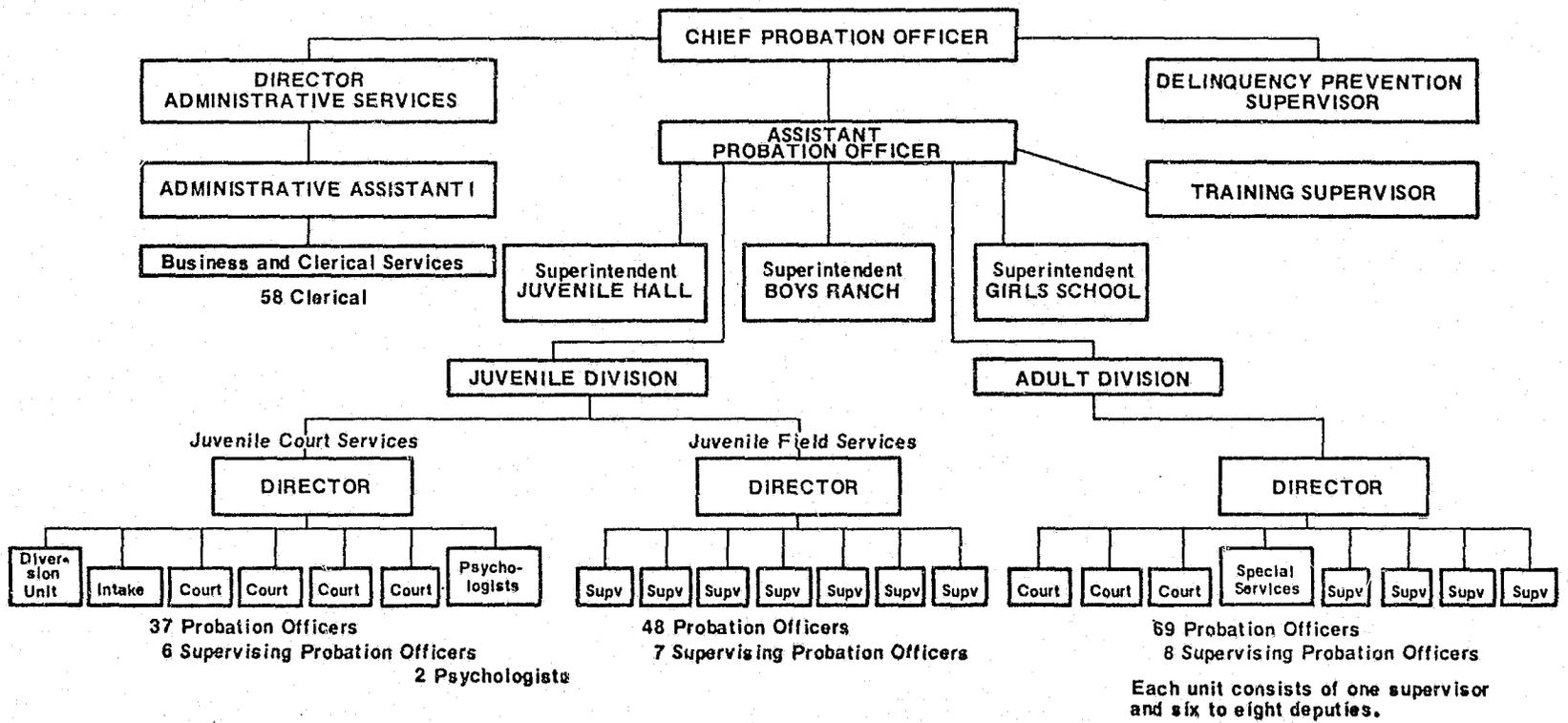
The intake staff which handled both the control group and the exclusions consisted of eight senior deputy probation officers and a supervisor. This unit had two supervisors during the year, each with more than ten years probation experience. Other members of the unit ranged in experience from two to seven years.

**CHART 1-A
ORGANIZATION OF
SACRAMENTO COUNTY
PROBATION DEPARTMENT
650,000 Population - 983 Square Miles**

- 1 Chief Probation Officer
- 1 Assistant Probation Officer
- 1 Administrative Assistant II
- 1 Administrative Assistant I
- 3 Supervising Probation Officers II
- 2 Psychologists
- 23 Supervising Probation Officers I
- 57 Senior Deputy Probation Officers
- 97 Deputy Probation Officers
- 58 Clerical
- 1 Parole Commissioner

245

I-10



37 Probation Officers
6 Supervising Probation Officers
2 Psychologists

48 Probation Officers
7 Supervising Probation Officers

69 Probation Officers
8 Supervising Probation Officers

Each unit consists of one supervisor and six to eight deputies.

E. Family Crisis Counseling

The techniques of crisis intervention and family crisis counseling are crucial to the concept of the project. The central ideas of family crisis counseling are two: (1) that problems should be dealt with immediately as they occur, and (2) that problems are best dealt with in the context of the whole family rather than in the context of the individual person whose conduct is the immediate cause of the problem. The reasons for dealing with the problem in the context of the whole family are well set forth by Langsley and Kaplan:

- The family is not only the source of stress in many cases, but has been a major resource in the resolution of stress. The family is the one social unit through which the troubles of all members usually filter. Each person brings home his problems, and he hopes for the understanding and support which will help him master life's struggles. The family is a potential source of strength for individuals who are bruised in the course of everyday living. When the family is functioning well as a stress mediating system, it is a source of enormous comfort and strength to its members. When the family fails in this function, it often adds to the burdens which individual family members are already experiencing.⁹

The principles of intervention are perhaps most clearly stated by Virginia Satir:

- Those of us who have studied family interaction as it affects behavior in children cannot help wondering why therapy professions have so long overlooked the family as the critical intervening variable between the society and the individual.
- The family system is the main learning context for individual behavior, thoughts, feelings.
- *How* parents teach a child is just as important as *what* they teach.
- Also, since two parents are teaching the child, we must study family interaction if we are going to understand what the family learning context is like.¹⁰

The attempt of the project is to get the family to approach the situation not as a question of blame involving a child to be dealt with by some external agency, but rather as a situation involving the whole family and to which the whole family must seek to respond. The attempt is to loosen the family communication processes and to help the family achieve both the desire and the capability of dealing with the problem.

F. Cases Handled

The project does not handle all 601 cases. Out-of-county and out-of-state cases, cases in which the juvenile

already has a case pending in court or a warrant outstanding, cases involving youths who are in court placement and cases involving youths who are already on probation for serious criminal offenses were excluded from project coverage because of administrative and other problems involved in their handling. Cases involving referral by citation or other non-book referrals were also excluded initially as they are not detained and do not require handling as intensive as that of the project. Cases falling in these categories are handled by the regular intake staff.

Cases which are handled by the project are:

- All 601 cases reaching intake in which the minor is not on probation.
- All 601 cases in which the minor is on informal probation.
- All 601 cases in which the minor is on formal probation for a 601 offense.
- All 601 cases in which the minor is on formal probation for a minor 602 offense. Minor offenses included petty theft, malicious mischief, curfew, alcohol offenses and other misdemeanors. Offenses which are not considered minor include drug offenses, robbery, burglary, grand theft auto and offenses involving violence or sexual assault.

During the experimental phase, all repeat 601 behavior continued to be handled by the project. The one exception to this was a case in which the project filed a 601 petition. Any subsequent 601 behavior for this kind of case was handled by regular intake as diversion was no longer possible. "Handling," in the sense used in this section, refers to unit responsibility for seeing the case and for dealing with it. For statistical purposes and evaluation of unit effectiveness, a project case always remained a project responsibility, irrespective of whether it was at some point operationally "handled" by some other unit or not.

Project cases in which the child subsequently became involved in 602 behavior were handled as follows:

- Minor 602 behavior--remained in project.
- Serious 602 behavior--handled by regular intake.

During the first nine months of the project the total number of project, control and exclusion cases was as indicated below.

Total 601 Intake

(First Nine Project Months)

Project	803
Control	558
Exclusions	1,077
Total intake	2,438

"Control cases" are those 601 cases handled by intake which met the criteria set out above for project cases.

"Exclusions" are all 601 cases which did not meet the criteria for project and control cases. "Exclusions" thus includes excluded cases on both project and non-project days.

A further breakdown of the exclusion cases is given in the table below:

Delivered to Custody of Probation Officer at Juvenile Hall	
Cases already in placement	260
Out-of-county or out-of-state	279
Ward for felony offense	140
Cases pending court	52
Warrant cases	24
Petition filed after project inception	17
Other	60
Subtotal	832
Cited or Referred to Probation Officer Without Being Detained	245
Total	<u>1,077</u>

G. Some Discarded Planning Options

At the outset of the program serious consideration was given to several options other than the model of crisis counseling by the probation department staff members which was finally chosen. The principal alternatives considered were: (a) heavier reliance on referrals to existing community agencies, (b) the creation of a youth services bureau as an independent agency in the community for carrying out this function, and (c) introduction of MSW's or other new kinds of staff to handle this function. These alternatives were rejected because the program adopted was believed to be the most efficient, effective and economical way to achieve the desired diversion.

A canvass of existing community agencies—family service agency, community mental health services, welfare protective services and others—indicated that they were geared to accept some additional referrals and to deal with parts of the problem. In general, however, they appeared to lack the around-the-clock and immediate response capability required to deal fully with the 601 problem. They were felt to be an important part, but not the complete solution.

The creation of a fully staffed youth services bureau with an around-the-clock capability was, on the other hand, seen as an acceptable method of accomplishing the desired diversion. Establishing such an organization for this purpose was felt to be significantly more expensive than the proposal adopted, however, and was in addition felt to lack the self-sustaining aspects that the approach adopted would have after its initial phase.

The use of existing probation staff rather than new types of staff was adopted because existing staff with additional training and professional assistance was felt to be fully capable of handling the job, and because the employment of MSW's or other similar types of staff would be more costly, harder to accomplish and not demonstrated to be any more effective.

In the final analysis the approach chosen was felt to be at least as workable as any of the alternatives and to have the potential for being continued beyond the life of the grant funds. The fact that this is what has occurred does not prove that the judgments made with respect to this were correct. The problems and the lack of staying power exhibited by many other programs attempting to work in this area, however, do indicate the importance of the considerations involved.

H. Sponsorship

The project was a joint effort involving the Sacramento County Probation Department and the Center on Administration of Criminal Justice, a University of California, Davis, research group. The Project Director was Warren Thornton, then Chief Probation Officer, Sacramento County. The Project Coordinator was Roger Baron, Center on Administration of Criminal Justice, University of California, Davis. The Project Officer for the Sacramento County Probation Department was Ray Roskelley, Supervisor of Intake Services. LeRoy Downs was the Diversion Unit Supervisor.

I. Funding

The project was begun with the assistance of grant funds from the California Council on Criminal Justice. The first year grant was \$92,825; the second, \$120,715; and the third, \$17,689 as indicated below. These funds provided for staff, training and evaluation. Matching amounts were supplied by the County of Sacramento and the Center on Administration of Criminal Justice, University of California, Davis, through the use of Ford Foundation funds. A more detailed budget is shown in appendix B.

Sacramento 601 Diversion Project

Year	Grant Funds
1970-71	\$ 92,825
1971-72	\$120,715
1972-73	\$ 17,689

Since the conclusion of grant funding in November 1973, the project has been continued through the use of

county funds. The diversion unit currently is responsible for the handling of all runaway, beyond control type cases within Sacramento County.

NOTES TO CHAPTER I

1. Revised Laws of Illinois, 1901, pp. 141-42. See also Revised Laws of Illinois, 1899, pp. 131-37.
2. California Bureau of Criminal Statistics, Crime and Delinquency in California, pp. 149-80 (1969).
3. California Welfare and Institutions Code §631 (West Supp. 1971).
4. California Welfare and Institutions Code §657 (West Supp. 1971).
5. Department of Health, Education and Welfare, Social and Rehabilitation Service, "Short-term vs. Extended Casework," III Research Demonstration Service No. 1 (August 15, 1969). See also W. Reid and A. Shyne, Brief and Extended Casework (1968).
6. D. Langsley and D. Kaplan, The Treatment of Families in Crisis Intervention (1968), at p. xv.
7. M. Bard, Training Police as Specialists in Family Crisis Intervention, Final Report (no date) (mimeo).
8. President's Commission on Law Enforcement and Administration of Justice, The Challenge of Crime in a Free Society (1967), p. 81.
9. D. Langsley and D. Kaplan, *supra* note 6, at 11.
10. V. Satir, Conjoint Family Therapy (revised ed. 1967), p. 27.

CHAPTER II. DOES THE PROGRAM WORK?

The Sacramento 601 Diversion Project had four basic goals. These were to:

- Reduce the number of cases going to court.
- Decrease overnight detentions.
- Reduce the number of repeat offenses.
- Accomplish these goals at a cost no greater than that required for regular processing of cases.

Based on the project's first year in which over 500 cases each were handled by the project staff and in a control group of regular intake cases, the evaluation indicated that:

- The number of court petitions was reduced by over 80 percent.
- Overnight detention was reduced more than 50 percent.
- The number of youths involved in repeat offenses of any kind was reduced by more than 14 percent.
- The number of youths subsequently becoming involved in criminal behavior was reduced by 25 percent.
- The cost of the new techniques was less than half the cost of the previous procedures.

The results concerning recidivism are particularly impressive. The whole delinquency literature shows less than 20 projects with some proven record of accomplishment in recidivism reduction. Most programs are not evaluated at all. Of those which have been, by far the most frequent finding is that of no improvement or change. The Sacramento approach on the other hand shows a clear record of improvement for a large number of cases.

A. Results—Diversion from Court

The first objective of the Sacramento 601 Diversion Project was to test the idea that 601-PINS type cases can be diverted from the juvenile court. Data for the first 12 months of the project indicate clearly that this objective was accomplished. During this period the project handled 977 referrals to the probation department involving opportunities for diversion, but filed only 36 petitions. Court processing was consequently necessary in only 3.7 percent of these referrals as compared with 19.8 percent for those handled in the control group.

Because a youth may be referred to the probation department two, three or more times before a petition is filed or without a petition being filed, the number of referrals exceeds the number of individuals handled.

Referrals and Petitions

	Number of Referrals	Number of Petitions	Percent
Control	612	121	19.8
Project	977	36	3.7

This table is concerned with petitions filed while there is an opportunity for diversion from court rather than petitions filed as a result of recidivism. Consequently, if a petition is filed on a youth handled by either the project or the control group and that person subsequently returns on another 601 matter and an additional petition is filed, the additional petition is not included in these totals. Similarly, if a youth handled on a 601 matter by either the project or the control group subsequently returns for some kind of 602 behavior and a 602 petition is filed, that petition is also not included.

If these petitions were included, as well as those resulting from referrals involving opportunities for diversion, project data indicate that during a 12-month follow-up period 41 percent of all control group youths and 19 percent of all project group youths ultimately went to court. The total number of petitions filed for the youths handled in the control group in the first year was 401, while the total for the project group youths handled in the first year was 219.

In California a second entry point from intake into the juvenile justice system is through informal probation. Informal probation is provided for by Welfare and Institutions Code section 654 and is a voluntary procedure entered into when the probation intake officer believes the matter can be handled without going to court but requires some probation supervision. During the first 12 months of the project a total of 117 control cases were placed under informal supervision as a result of initial handling as opposed to 22 project cases.

Informal Probation

	Number of Referrals	Informal Probations	Percent
Control	612	117	19.1
Project	977	22	2.3

Taking both petitions and informal supervision together, the number of cases going forward in the system from intake were 38.9 percent of the control cases, but only 6.0 percent of the project cases.

Petitions Filed and Informal Probation

	Number of Cases	Petitions and Informals	Percent
Control	612	238	38.9
Project	977	58	6.0

B. Results—Detention

A second major project concern is that of detention. A great deal of evidence suggests that detention is itself a harmful factor which serves on the one hand as a school for crime and on the other as an embittering factor which makes family reconciliations necessary to the resolution of 601 cases more difficult. The table below compares the extent of overnight detention in juvenile hall as a result of initial arrests.

Under California law all cases involving detention longer than 48 hours (not including weekends and other non-judicial days) must be brought before the juvenile court judge or referee for approval.

Overnight Detention in Juvenile Hall as a Result of Initial Referral

(Youths Referred in
October 26, 1970—October 25, 1971)

	Control (Percent)	Project (Percent)
No overnight detention	44.5	86.1
1 night	20.7	9.9
2-4 nights	19.2	3.0
5-39 nights	14.4	0.7
40-100 nights	1.1	0.3
Over 100 nights	0.0	0.0

These figures indicate that more than 55 percent of all control group youths spent at least one night in juvenile hall as compared with 14 percent for youths handled by the project. These initial differences in the amount of detention are also reflected in the average

number of nights each youth spent in detention. Thus, while project group youths had an average of 0.5 nights in detention as a result of initial handling, control group youths spent an average of 4.6 nights in detention.

In addition to spending more nights in detention as a result of initial referral, control group youths also spent more nights in detention over a 12-month follow-up period.

Overnight Detention in Juvenile Hall Either as a Result of Initial Arrest or Subsequent Arrest Within 12 Months

(Youths Referred in
October 26, 1970—October 25, 1971)

	Control (Percent)	Project (Percent)
No overnight	30.6	57.7
1 night	14.8	12.9
2-4 nights	17.1	12.5
5-39 nights	24.5	10.4
40-100 nights	11.2	6.1
Over 100 nights	1.7	.7

These figures indicate that considering both initial arrest and subsequent case history more than 69 percent of the youths handled by control spent at least one night in juvenile hall as compared with 42.3 percent of the project youths. The average number of nights spent for project youths was 6.7 per case as compared with 14.5 for control youths.

C. Results—Recidivism

Perhaps the single most important test of project results is that of recidivism—the number of youths becoming involved in repeat problems. In order to test the effect of the project all cases—project and control—handled during the first year of the project were followed for a period of 12 months from the date of initial handling. The rate for both groups of repeat behavior involving conflict with the law was high. Project cases, however, did noticeably better than did control cases.

Thus while at the end of the one-year period 54.2 percent of the control group youths had been rebooked for either a 601 offense or for a violation of the penal code (Section 602 of the California Welfare and Institutions Code) the comparable figure for the project group was 46.3 percent. Out of any 100 youths handled, 7.9 fewer will repeat under project handling than will repeat under control handling. In percentage terms this represented a decrease in repeat cases of over 14 percent.

If consideration is limited to felony and 602 drug cases, generally regarded as the more serious cases, the improvement is greater still. The percentage of project youths having rebookings for these offenses was 13.1 as compared with 22.1 percent for the controls, a decrease of over 40 percent.

There are also substantially fewer project youths who are rebooked twice, 24.6 percent as compared with 31.6 percent for two or more rebookings of any kind; 7.4 percent as compared with 12.2 percent for two or more 602 rebookings and 3.6 percent project versus 5.9 percent controls for two or more rebookings for felony or drug offenses.

Percent of Juveniles Rebooked Within 12 Months

(Youths Initially Referred October 26, 1970–October 25, 1971)

	Project (674 Youths)	Control (526 Youths)	Net Reduction*	Percentage Reduction*
Any recidivism	46.3	54.2	-7.9	-14.6
602 recidivism	22.4	29.8	-7.4	-24.8
Serious 602 (drug or felony)	13.1	22.1	-9.0	-40.7
Two or more	24.6	31.6	-7.0	-22.2
Two or more 602	7.4	12.2	-4.8	-39.3
Two or more serious 602	3.6	5.9	-2.3	-39.0

*The net reduction is the difference between the percentage of rebookings for project and control cases (col. 2 - col. 1). The percentage reduction is the net reduction as a percent of the control rebooking rate (col. 3 as a percent of col. 2).

The figures above reflect the number of youths rebooked for a new offense within the 12-month period. Since each youth may be rebooked more than one time, the figures above do not show differences in the total

number of new offenses. This aspect of the problem was consequently examined separately. In the table below, one repeat offense is counted as one and four repeat offenses by the same youth as four. In the previous table each of these two situations counted as one.

Number of Bookings for a New Offense Within 12 Months Per 100 Youths Initially Handled

(Youths Initially Referred October 26, 1970–October 25, 1971)

	601 Repeat Bookings (per 100 Youths Handled)	602 Repeat Bookings (per 100 Youths Handled)	601 or 602 Repeat Bookings (per 100 Youths Handled)
Control (526 youths)	71	49	120
Project (674 youths)	64	35	99

What this table shows is that for each 100 youths initially handled, the control group had 71 subsequent bookings for 601 offenses, 49 subsequent bookings for 602 offenses, and a total of 120 subsequent bookings. This compared with totals of 64, 35 and 99 for the

project. These figures in effect indicate that for each 100 project youths there were 17.5 percent fewer new bookings than there were for the same number of control youths, 9.9 percent fewer 601 new bookings and 28.6 percent fewer 602 bookings.

These and other figures suggest that most of the project impact comes early in the process. Given the project emphasis on providing immediate help to youth and families, this is not too surprising. The fact that the difference in the number of repeat bookings persists over a period as long as a year suggests in addition that the improvement is of relatively long duration and not simply temporary.

In order to provide additional information as to the important issue of repeat offenses, all project cases handled during the second year were followed for 12 months from the date of initial handling. Available funds did not permit a similar follow-up of control cases but the second year project follow-ups were compared with both control and project follow-ups from the first year.

This comparison indicates that the project cases handled during the second year have had fewer repeat cases than those handled in the first year. While 46.3 percent of the first year project follow-up had some kind of repeat cases during the follow-up period, only 41.8 percent of the second year cases had such a repeat case.

Other recidivism indicators, including 602 repeat cases, showed similar improvement.

Percent of Juveniles Rebooked Within 12 Months

	Project-1st year (674 Youths)	Project-2nd year (522 Youths)
Any recidivism	46.3	41.8
601 recidivism	22.4	19.5
Serious 602 (drug and felony)	13.1	13.0
Two or more	24.6	21.3
Two or more 602	7.4	7.1
Two or more serious 602	3.6	3.4

If the figures for the second year project cases are compared with first year control cases, project results appear even more substantial.

Percent of Juveniles Rebooked Within 12 Months

	Project 2nd Year (522 Youths)	Control 1st Year (526 Youths)	Net Reduction*	Percentage Reduction*
Any recidivism	41.8	54.2	-12.4	-22.9
602 recidivism	19.5	29.8	-10.3	-34.6
Serious 602 (drug or felony)	13.0	22.1	- 9.1	-41.2
Two or more	21.3	31.6	-10.3	-32.6
Two or more 602	7.1	12.2	- 5.1	-41.8
Two or more serious 602	3.4	5.9	- 2.5	-42.4

*The net reduction is the difference between the percentage of rebookings for project and control cases (col. 2 - col. 1). The percentage reduction is the net reduction as a percent of the control rebooking rate (col. 3 as a percent of col. 2).

While this is not an altogether legitimate way of measuring results, it is suggestive of the improvement achieved by the project.

D. Workload and Diversion

1. *Costs.* From the beginning one important objective of the diversion project has been to demonstrate not only that the diversion idea was sound from a treatment point of view, but also that this kind of

service was no more costly and perhaps less costly than the kind of service more regularly provided.

Prior to the project a detailed analysis of the time and workload factors involved in the regular intake and court processing procedures was made. This analysis was based on extensive observation of the procedures involved as well as discussions with officers engaged in the process. The figures below were developed as estimates of the time involved. (See appendix E for more detailed figures.)

Process Involved	Time Required
Decision as to filing a petition	2 hours
Total time file and disposed of petition	9 hours
Probation supervision	2 hours per month
Placement	10 hours
Placement supervision	3 hours per month

month (April 1968) was chosen and the cases for that month analyzed to see what processes they actually went through. Using the time estimates indicated above, calculations were made based on what happened in the individual cases. Not counting juvenile hall time these figures indicated a total time of 3,955 hours for handling the 186 youths in the sample for a period of one year beginning with the date of initial handling.

In order to determine how these time and workload factors were employed in regular operations a sample

Handling of 601 Youths Referred to Probation-- Time Factors Involved in the First Year

(186 Youths Referred in April 1968)

Disposition	Number of Youths	Hours per Case	Total Hours
Dismissed at intake	52	2	104
Informal probation	39	14	546
6 months court probation	5	23	115
Formal	54	35	1,890
Placement	16	51	816
Dismissed in county	3	11	33
Commitments (county)	11	35	385
Commitments (non-county)	6	11	66
Total	186		3,955

Based on these figures an average handling time of 21.3 hours was estimated for handling a youth from the point of referral to probation through one year.

In order to compare these pre-project figures with experience from operation of the project, the same time estimates were applied to youths handled in February 1971 by both the project and the control groups. Because these are based on seven-month follow-up data,

these figures are not fully comparable with the earlier projections. The results for the control group, including all repeat cases, are indicated in the table below.

Because the table reports actions involved in the handling of repeat cases as well as initial handling, the number of occurrences exceeds the number of youths handled.

Control Group Handling of 601 Referrals-- Time Factors Involved in the First Year

(49 Youths Referred in February 1971)

Disposition	Number of Occurrences	Hours per Occurrence	Total Hours
Dismissed at intake	44	2	88
Informals	10	2	20
Petitions	30	11	330
Months of probation supervision	122	2	244
Placements	6	10	60
Months of placement supervision	30	3	90
Total number of consumed hours			832
Average time per youth	17.0 hours		

In order to compute comparable time estimates for youths handled by the project, it was necessary to develop the time factors involved in the diversion method of handling. This method, as previously indicated, involves greater expenditures of time and effort at the outset of cases and less at later points. Calculations were consequently made as to the average length of each crisis counseling session. Based on February 1971 cases, these calculations indicated an average time for each session—including dictation and telephone follow-up—of

three hours. Each case not involving a repeat booking was found to require 1.4 counseling sessions, while repeat cases involved approximately the same number of sessions prior to the repeat booking. Each repeat situation was also treated as involving one additional session. Formal court actions were assigned the same time value as comparable actions involving the control cases. Since project counselors sometimes meet families in teams, additional time was added to the project cases where this occurred.

**Project Group Handling of 601 Referrals—
Time Factors Involved in First 7 Months**

(67 Youths Referred in February 1971)

Disposition	Number of Occurrences	Hours per Occurrence	Total Hours
Dismissals			
No repeats	55	4.2	231
1 repeat	9	7.2	65
2 repeats	3	10.2	31
Other	3	2.0	6
Teaming	11	4.2-7.2	49
Informal probation	5	2.0	10
Petitions	13	11.0	143
Months of probation supervision	37	2.0	74
Placements	3	10.0	30
Months of placement supervision	8	3.0	24
Total number of consumed hours			663
Average time per youth		9.9 hours	

Based on this method of calculation, each control group youth consumed an average of 17 hours in handling time as compared with 9.9 hours for each project youth. Recomputation of these figures based on all cases referred during the first year of the project and following these for a one-year period shows the average total handling time for each of the 674 project youths to be 14.2 hours. The comparable time for the 526 control youths was 23.7 hours.

Based on these figures the average cost of handling a single control group youth at intake, in the court and in probation supervision is considerably higher than the average cost of handling a project group youth. (Costs are figured at \$8 per hour, the average figure during the pre-project cost study.) Costs are indicated both for handling arising out of the initial offense ("initial handling") and for "all handling" which includes handling resulting from repeat offenses.

Average Handling Cost per Youth

	Project	Control
Initial handling	\$ 27.72	\$ 74.94
All handling (including repeats)	\$113.60	\$189.60

In addition to these costs for handling there are substantial costs involved for juvenile hall. These also show higher costs for the control group. Using the detention figures above and an average cost of \$14.75 per night, the figures are as follows:

Average Detention Cost per Youth

	Project	Control
Initial handling	\$ 1.76	\$ 77.96
All handling (including repeats)	\$98.98	\$214.27

A further important cost is that involved in cases placed in foster homes, boys ranch or other out-of-home care. On the average these cases involve both a high monthly cost and a substantial number of months per case. The figures below are based on average monthly placement costs during the pre-project period (\$180 per month).

Average Placement Cost per Youth

	Project	Control
Initial handling	None	\$ 69.00
All handling (including repeats)	\$61.43	\$157.76

If placement, detention and handling costs are combined, the total cost to the county for the first year of handling is as follows:

Average Total Cost per Youth

	Project	Control
Handling	\$113.60	\$189.60
Detention	\$ 98.98	\$214.27
Placement	\$ 61.43	\$157.76
Total	\$274.01	\$561.63

These figures do not include the cost of training the diversion unit. Part of this cost is a one-time expense. Part, however, should be regarded as an on-going cost. Amortizing these expenses over a year's period, a reasonable estimate is \$5 per youth for initial training and \$5 for on-going training and consultation. If these figures are included, the average cost for complete handling of each project youth would be \$284.01 as compared with \$561.63 for each control youth.

The cost to the probation department of regular intake care for this type case is thus nearly twice as expensive as the cost of diversion.

2. *Workload displaced.* The cost advantage that the diversion method of handling 601 cases has over the normal method should necessarily result in manpower savings as well. One method of evaluating the extent to which this occurs is by comparing the manpower required to handle the diversion caseload with that which would be required to handle the cases in the normal way.

In making this comparison it will be helpful to refer to the established departmental workload measures.

These are:

Intake	Post position. 1 for each 60 cases per month
Court	1 for each 15 cases per month
Supervision	1 for each 70 cases per month
Placement	1 for each 35 cases per month

At first blush the use of these figures is not very favorable to the diversion concept, since the present unit has 6 officers handling approximately 90 cases per month. Under the formula the diversion unit would, as an intake unit, be entitled to only one and one-half officers.

The concept of service involved in the diversion unit is quite different, however, from that generally involved in probation work, and none of these measures is very appropriate for use in measuring the diversion workload. The diversion concept, which emphasizes providing total one-stop service at the beginning of the client's problem rather than dispersing service at various points along the way, embodies some aspects of each of the other kinds of service listed above. The diversion unit is a specialized intake, but performs other functions as well.

Despite the inappropriateness of established measures for measuring the diversion workload, it is possible to use the established measures for estimating the impact of the diversion project on departmental workload. This involves estimating the extent to which diversion displaces work at intake and at each of the stages of regular service beyond intake.

The table below indicates the average amount of work required to handle an average youth for the initial referral and the following seven months.

Average Work Required for Handling in First Year

(Based on First Year Referrals)

	Project	Control
Average number of petitions per youth	.32	.76
Average months of supervision per youth	1.06	3.67
Average months of placement supervision per youth	.34	.88

In each category youths handled by the project required less work. If both the project and control figures are multiplied by the number of youths that the diversion unit handled during a month and the results subtracted, the difference will be the work displaced by

diversion at points past intake. The table below indicates the results of this kind of calculation based on the average number of youths handled in the first year of the project.

Work Displacement

Number of Work Units Displaced	Number of Officers Displaced
25 court cases per month	1.7 court officers
147 supervision hours per month	2.1 supervision officers
30 placement supervision hours per month	.9 placement officers
90 intake cases per month	<u>1.5 intake officers</u>
Total	6.2 positions

Taking these figures all together the total is 6.2 positions. This is the total workload displacement resulting from operation of the diversion unit. Given the fact that the unit itself has only 6 officers, it is easily seen that the work of the unit is resulting in a net displacement of two-tenths of a position within the probation department—not including such other savings as detention, court or placement costs.

3. *Observed changes in workload.* If the workload data developed in the two preceding sections is valid, actual workload figures for the project year should show a substantial drop over the preceding year in terms of petitions filed, days of detention and the amount of supervision and placement.

In order to test the accuracy of these projections, a comparison of this kind was made. This kind of comparison assumes, of course, that the intake caseload initially arriving at the probation department was essentially similar for the two years. It also assumes that the impact of the diversion project is large enough relative to the total departmental workload to show up in the general statistics.

The table below indicates the total departmental intake by project year (November-October) for four relevant years.

Total Probation Intake

(Project Years)

	1968	1969	1970	1971
Boys	7,662	8,257	8,111	8,171
Girls	2,315	3,012	3,497	3,360
Total	<u>9,977</u>	<u>11,269</u>	<u>11,608</u>	<u>11,531</u>

As this table indicates, the total intake for the project year differs by less than 1 percent from that of the

preceding year. Girls' intake is down about 3.6 percent and boys' intake is up about 0.7 percent.

Intake for the two years is thus reasonably similar. The number of petitions, detention days, supervision cases and placement cases, however, is down.

Net Change in Workload— 1970 Versus 1971 Project Years

	Pre-Project (1970)	Project (1971)	Net Change
Petitions	4,057	3,703	- 354
Detention days	54,623	53,361	-1,262
Supervision cases (at the end of October)	1,665	1,558	- 107
Placement supervision cases (at end of October)	283	234	- 49

Although these figures indicate a substantial downturn in petitions, detention, supervision and placement, they do not fully show changes due to the project because project cases make up a limited portion of the departmental workload. As indicated by the table below, boys' cases handled by the project in particular make up a relatively small percentage of the department's total work load for boys.

Departmental Workload

(Project Year)

	Boys	Girls
All cases	8,171	3,360
All 601 cases (estimated)	1,730	1,730
601 cases handled (estimated)	400	600
Cases handled as percent of department cases	5%	18%

Because the proportion of boys' cases handled by the project make up only about 5 percent of the department total, changes in the number of petitions, or the amount of supervision or placement would be hard to distinguish from normal yearly variations. Even a drop of 50 percent in project boys' petitions, for example, would mean a change of less than 100 out of a total of more than 3,000 cases.

The table below compares all boys' cases for the department for the project year with those for the pre-project year.

**Net Change in Boys' Workload—
1970 Versus 1971 Project Years**

	Pre-Project Year	Project Year	Net Change
Intake	8,111	8,171	+60
Petitions	3,104	3,056	- 48
Detention days	36,865*	40,458*	+3,593
Supervision cases	1,259	1,235	- 24
Placement cases	155	142	- 13

*10 months each year

The percentage of girls' cases handled, however, is much higher. The changes are consequently much more visible.

**Net Change in Girls' Workload—
1970 Versus 1971 Project Years**

	Pre-Project Year	Project Year	Net Change
Intake	3,497	3,360	-137
Petitions	953	647	-306
Detention days	17,758*	12,903*	-4,855
Supervision cases	406	323	-83
Placement cases	128	92	-36

*10 months each year

What this table shows is a 3.6 percent drop in intake, but drops of 32.1 percent in petitions, 27.3 percent in detention days, 20.4 percent in supervision cases and 28.1 percent in placement cases.

While some part of the drop in petitions, detention, supervision and placement for girls' cases can be explained by the 3 percent drop in girls' intake, it seems clear that the greater portion is not explainable in this way. The impact of this project can be even more clearly seen by comparing these results for girls with those determined by comparison with the standard workload measures in the prior section.

**Net Change in Girls' Workload—
Caseload Sample Estimate Compared
With Observed Change**

	Caseload Sample Estimate of Work- load Displaced*	Observed Drop in Department Workload
Petitions (per month)	-18.9	-25.6
Detention days	-15,040	-4,855
Supervision cases (per month)	-83.4	-83.0
Placement cases (per month)	-22.2	-36.0

*Calculated by taking 60 percent of the totals in chapter 2-D(2).

Since these two sets of figures were developed on wholly different bases—one from a comparison of

project and control caseload samples and the other from a comparison with pre-project departmental workload figures—the fact that they each reach essentially the same conclusion tends strongly to confirm the soundness of the finding that the project has resulted in substantial cost and manpower savings.

E. Characteristics of Cases

The most striking characteristic of the cases handled is the extent to which at least one natural parent was absent from the home. Thus, while in the general Sacramento community over 80 percent of all children live with two parents,¹ only 65 percent of those handled by the project in the first year lived in a home in which two parents were present and less than 40 percent in a home in which both natural parents were present.

Minority groups were represented in the cases handled to about the same extent as in the general population. Approximately eight percent involved black and six percent Mexican-American children. This compares with overall totals of six percent black and nine percent Mexican-American for Sacramento County.²

Somewhat surprising is the extent to which the cases handled came from families at higher income and education levels. Thus, while the largest proportion of cases came from the lower end of the scale, over 10 percent came from families with an income of over \$15,000 per year, and over 14 percent from families in which at least one person had some college education. About 25 percent of all Sacramento families have incomes above \$15,000 and about 30 percent have one member with some college education.³

Otherwise the characteristics of the group are largely what might be expected. The peak ages are 14-16; there are somewhat more females than males; more kids are in school than not (85 percent to 15 percent); the youths tend to be average students; more are not suspected of drug involvement than are (44 percent versus 30 percent); and at least half have run away from home at least once. Case characteristics are described in greater detail in appendix D.

NOTES TO CHAPTER II

1. 1970 U.S. Census of the Population: Characteristics of the Population, Vol. I, Part 6, Section I, U.S. Department of Commerce, page 1040, table 120.
2. 1970 Facts and Figures for the County of Sacramento, prepared by Sacramento County Planning Department.
3. 1970 U.S. Census of the Population, supra note 1, pp. 1040, 1060, tables 120, 124. The figures for college education are based on averaging the levels for men and women.

CHAPTER III. THE SACRAMENTO 602 DIVERSION PROJECT

The early results of the 601 project were highly encouraging, and led to a decision to expand the experiment beyond the runaway--beyond control categories originally covered, to include some criminal categories as well.

This expansion was known as the Sacramento 602 Diversion Project, as section 602 of the California Welfare and Institutions Code is the section which brings all behavior which is criminal for adults within the jurisdiction of the juvenile court.

A. The Project

The expanded project began in April 1972. The principal cases handled were petty theft, possession of drugs, auto theft not involving damage to the car taken, and minor offenses, such as drunk and disorderly conduct. Serious assaultive or sexual offenses, drug selling and similar offenses were excluded as being too serious for a technique that had not been tried with criminal offenses. Less serious behavior, including cases referred to the probation department but normally handled without being booked into juvenile hall were also not included at the outset because the majority were felt to be minor matters not necessarily warranting the time, expense, and intrusion of diversion handling.

Also excluded from the project were cases in which the juvenile already had a case pending in court or a warrant outstanding; cases involving juveniles currently on any form of probation; and cases involving juveniles with a prior commitment to the California Youth Authority, the Sacramento County Boys Ranch or Girls School. Initial project plans called for the inclusion in the caseload of minor burglaries. Ultimately, however, it was decided that this category should not be included initially but should be considered for later inclusion.

Some indication of the appropriateness of diversion-type handling for the cases selected was provided by the high percentage of cases in the 602 categories selected in which there was a history of prior or subsequent behavior. During a sample period, for example, there was a prior 601 record in 26 of 55 grand theft auto offenses, 37 of 78 burglary cases, and in nearly one-half of all other 602 offenses in which a petition was filed.

The general approach of the 602 diversion project has been essentially the same as that of the 601 project: the

use of intensive family crisis counseling at the earliest point of contact by transforming the normal intake procedure from a time of decision as to whether a petition will be filed in the case into a time for delving into the problems faced by the youth and his parents.

As with the 601 project, the week initially was divided into four project and three non-project days in order to establish a control group for measuring the effectiveness of the approach. Project and non-project days were rotated monthly.

The rules above essentially defined whether a given case became a part of the experiment when it was initially handled. If the youth involved subsequently again became involved in some kind of delinquent behavior, additional rules were necessary to establish who had responsibility for handling the case. This was because a project might come back on a non-project day, or because a project youth might become involved in an offense too serious to be handled by the project. For statistical purposes and evaluation of unit effectiveness, a project case always remained a project responsibility, irrespective of whether it was operationally "handled" by some other unit or not. The same was true for control cases.

Actual handling of repeat behavior was governed by the rules adopted for the 601 project. Under these rules once a case was handled by the project, it continued to be handled by the project insofar as any 601 behavior was concerned regardless of the day of the week. Repeat handling brought about by minor 602 behavior also continued to be handled by the project. Repeat handling caused by major 602 behavior, however, was handled by regular intake. Offenses which are not minor include robbery, burglary, grand theft auto, drug offenses and offenses involving violence and sexual assault.

B. Organization and Staffing

Initially it was contemplated that the 602 project would be established as a separate organizational unit. As the unit was to have only four officers, however, further planning indicated that the workload could more easily be handled and that the training process would be enhanced by combining the 601 and 602 project staffs. This provided a better pattern of coverage and made it possible for new staff to work with more experienced

staff. The combined staff for the two projects thus became the six officers from the original 601 project and four additional officers selected for the 602 project. The four new staff members for the project were also volunteers and chosen on the same basis. They included three males and one female officer. The supervisor of the original unit, with over ten years of experience at the outset of the 601 project, became the supervisor of the combined unit. No distinction was made between the two staffs and each was expected to handle both 601 and 602 cases.

The control group was handled as with the 601 control group by the regular intake staff. The staff included six deputies with two to seven years of experience and was headed by a supervisor with over ten years of experience. At the outset of the project the intake staff was reduced by one from its previous level because of the cases to be handled by the project. Because the intake staff must provide coverage for up to 16 hours a day this created some problems for the intake staff and caused some reshuffling of hours and workload. To the great credit of this staff and its supervisor these changes were accomplished in good grace and the close working relationship which is required for the operation of both the diversion and regular intake units was maintained. Particular credit is due to the regular intake staff for their willingness to participate in the experiment as the control group.

C. Training

The training program for the project was similar to that at the outset of the 601 project. Both old and new staff underwent an initial week of training, supplemented throughout the year by regular consultation with the project psychiatrist and the project psychologist and by special short-term programs.

The initial training was based on the assumption that the family counseling techniques appropriate to 601 cases were also appropriate to 602 cases. The legal factors involved in the handling of 602 cases were also covered in this period.

Project experience during the year indicated that the problems encountered in handling 602 cases of the types covered were for the most part similar to the kinds of problems encountered in handling 601 cases. There was one area, however, in which a substantial difference was noted. In 601 cases conflict between the youth involved and his parents was often quite high in the initial counseling session. In many instances this session of necessity was focused entirely on reducing this hostility and establishing conditions under which both the youth and the family were willing to try to work out their problems.

In 602 cases, however, this initial hostility was often not so visibly present. This changed the dynamics of the counseling session and sometimes made the counseling more difficult, particularly as the staff was not accustomed to the new situation. Several training sessions were subsequently developed to assist in dealing with this problem.

D. Funding

As with the 601 project, the 602 project also began with a grant from the California Council on Criminal Justice. The 602 first year grant was \$52,187 and subsequent years were as indicated below. These funds provided for staff, training and evaluation. Matching amounts were supplied by the County of Sacramento and the Center on Administration of Criminal Justice, University of California, Davis, through the use of Ford Foundation funds. A more detailed budget is provided in appendix F.

Sacramento 602 Diversion Project

Year	Grant Funds
1972-73	\$52,187
1973-74	\$26,094
1974-75	\$13,047

Because the 602 project operated as a single unit with the 601 project, there were some savings in the 602 project over what would have been required for a wholly independent unit.

E. Results

The objectives of the 602 project are essentially the same as those of the 601 project. The accomplishments—based on available data—are for the most part even better:

- Court petitions were reduced by over 99 percent.
- The number of youths committing new criminal acts was reduced over 50 percent.
- The number of youths involved in any type of repeat behavior was reduced over 40 percent.
- The cost comparisons developed for the 601 project are essentially valid for the 602 concept as well.

1. *Results—diversion from court.* As with the 601 project one important objective of the project is to test the idea that 602 cases can be diverted from the juvenile court. Data to date indicate rather clearly that this objective has been accomplished. During the first two years 982 youths were received for handling by the project. Six petitions were filed on these youths as a

result of initial handling. Sixty-two petitions were filed, however, for the 211 youths handled in the control group in the first six project months.

Petitions at Initial Handling

	Number of Cases	Number of Petitions	Percent
Control (first six months)	211	62	29.4
Project (first two years)	982	6	0.1

This table is concerned with petitions filed on the initial referral rather than petitions filed as a result of the recidivism of project or control cases. Consequently, if a petition is filed on a youth handled by either the project or the control group and that person subsequently returns and an additional petition is filed, the additional petition is not included in these totals.

If these kinds of petitions were included as well as those resulting from the initial referral, project data indicate that during a seven-month follow-up period 42.2 percent of all control group youths and 14.7 percent of all project group youths ultimately went to court. The total number of petitions filed for 211 youths handled in the control group was 89, while the total for 218 project group youths handled in the same period was 32.

During the first six months of the project 43 control cases were placed under informal supervision as a result of initial handling. This compares with 22 project cases during the first two years.

Informal Probations at Initial Handling

	Number of Cases	Informal Probations	Percent
Control (first six months)	211	43	20.4
Project (first two years)	982	22	0.2

2. *Results—repeat offenses.* A second major test of project results is the extent to which cases become involved in repeat offenses. Results for cases handled in the first six months of project operation indicate a substantial difference in repeat cases between project and control groups.

Each group of cases—project and control—was followed up for a period of seven months. At the end of this period, 35.1 percent of the control group youths had been rebooked for either a 601 or a 602 offense. The comparable figure for the project group was 25.7.

Considering only offenses involving criminal conduct, the improvement was even greater. For these cases the repeat rate for control group cases was 33.2 percent and 22.9 percent for the project group. For felony or drug repeat offenses, project handling results in an even greater improvement as indicated below.

Recidivism Within Seven Months

(Youths Referred Between April 11, 1972 and October 10, 1973)

In Percent

	Project (111 Youths)	Control (105 Youths)	Net Reduction*	Percentage Reduction*
Any recidivism	21.6	38.1	-16.5	-43.4
602 recidivism	17.2	36.2	-19.0	-52.5
Serious 602 recidivism (drug or felony)	11.7	24.8	-13.1	-52.8

* The net reduction is the difference between the percentage of rebookings for project and control cases (col. 2 - col. 1). The percentage reduction is the net reduction as a percent of the control rebooking rate (col. 3 as a percent of col. 2).

For these cases project handling is more than 40 percent better for all forms of recidivism and more than 50 percent better for 602 and serious 602 repeat behavior.

3. *Cases handled.* The most frequent type of

project case during the first two years was drug-related. This category totaled 33.8 percent of the 982 cases handled. The second most frequent category was that of petty theft totaling over 22 percent of all cases. No other single category constituted as much as ten percent.

Type and Number of Offenses Handled

(April 11, 1972--April 10, 1973)

Type of Offense	Number	Percent
Drug-related	332	33.8
Petty theft	217	22.1
Curfew	86	8.8
Alcohol-related	83	8.5
Grand theft auto	64	6.5
Possession of stolen property	51	5.2
Other minor offenses (loitering, trespassing, prowling, illegal entry, disturbing the peace)	99	10.1
601 repeat offenses	50	5.1
Total	982	100.1*

*Total is greater than 100 percent due to rounding.

4. *Citations.* During the latter part of the second year the project began to handle citations as well as custody referrals. In these cases the youth involved receives a citation from the police officer which requires his appearance before a probation officer at the probation department. Generally, these are cases which the police feel do not require detention. Upon receiving a copy of this citation, the probation officer schedules an appointment for the youth and his family, usually within a two-week period from receipt of the citation. The project handled these cases on two days of the week while intake handled them on three days. Days were rotated monthly, so as to get a random sample of cases.

These citation cases were handled by the project in a fashion similar to that for custody referrals, that is, as a family problem. In this way 345 cases were handled resulting in four petitions and 26 informal probations.

Citations

(September 27, 1973--April 10, 1974)

Petitions at Initial Handling

	Number of Cases	Number of Petitions	Percent
Project	345	4	0.1

Informal Probations at Initial Handling

	Number of Cases	Informal Probations	Percent
Project	345	26	7.5

The largest groups of cases handled in this way were petty theft, burglary, drug-related offenses and malicious mischief.

Citations

(September 27, 1973--April 10, 1974)

Type and Number of Offenses Handled

Type of Offense	Number	Percent
Petty theft	62	18.0
Burglary*	53	15.4
Drug-related	51	14.8
Malicious mischief	49	14.2
Curfew	30	8.7
601's (runaway, truancy, beyond control)	18	5.2
Possession of alcohol	17	5.0
Other minor offenses (loitering, illegal entry, trespassing, disturbing the peace)	37	10.7
Other felony type offenses* (grand theft auto, grand theft, assault, receiving stolen property)	28	8.1
Total	345	100.3**

*Note: These two categories accounted for all four of the petitions filed and over 60 percent (16/26) of those placed on informal probation.

**Total is greater than 100 percent due to rounding.

CHAPTER IV. A PROGRAM FOR YOUR COMMUNITY

A. Evaluating the Need

Perhaps the most difficult part of deciding whether a Sacramento-type program makes sense for your community is evaluating the need for a program. The first issue is simply how many cases there are. Available data show that the problem of the status offender is common in almost every state—that many of these youths are referred, detained, the subject of petitions and ultimately recidivists. Inevitably, however, someone will ask: "What data do we have for this county or city to indicate that such a problem exists here?" In fact someone might just state that there is no such problem in your community. Therefore, either prior to an organizational meeting or as a result of such a meeting, it is important to initiate a study which can answer this kind of question.

Other questions which such a study should answer are:

- the extent to which cases of this kind are being detained and adjudicated
- the extent to which such cases recidivate or reappear in the system.

The conclusions to be drawn from the study results are a matter which each community must settle for itself—using its own sense of values and its own priorities.

There are some indicators, however, which may be of some value. Because communities differ so greatly in both their character and in the way that their juvenile justice systems operate, these indicators should be taken as broad guidelines rather than precise prescriptions. Each is intended as a separate measure of need. The indicators suggest that if:

- the number of 601-PINS type cases is 20 percent or more of the total number of cases going to court,

OR

- 20 percent or more of the 601-PINS type cases received at intake recidivate within one year of the date of handling (this figure depends a great deal on police practices),

OR

- 20 percent or more of the 601-PINS type cases that are received at intake go to court,

OR

- 30-40 percent or more of the 601-PINS type cases received at intake recidivate within one year of the date of handling (this figure depends a great deal on police practices),

OR

- there is a substantial amount of feeling among probation officers and court personnel that they are not successful with these cases,

then, there is a good chance that a Sacramento-type program may be useful for your community. In the last analysis the decision is one that must be made at the local level.

1. *Persons to be included in the planning process.* Generally the most important people in establishing a diversion program for status offenders are the juvenile court judge and the chief probation officer. Other important people are the district attorney, the public defender and the police. In some communities the mental health and welfare departments are also important. In other jurisdictions these agencies need not be included until a later time when other community agencies are brought into the planning process. Essentially the key people are those involved in or responsible for the intake decision.

The juvenile court judge is probably the single most important person in the planning process, since many of the cases handled in the program will be diverted from the juvenile court. Generally the judge will be interested both in the fact that there will be fewer cases coming before the court and in the kind of services to be provided as an alternative.

The chief probation officer is the official most likely to have administrative responsibility for the program. Generally this officer will be concerned with the program concept, staffing, details of operation, costs and the effect a new program can be expected to have on other departmental units. Creating a diversion unit will almost inevitably cause staff reassignments and some restructuring of intake and court functions. Other top probation administrators will also be highly interested in program operation.

The district attorney or the representative of the district attorney's office in charge of the juvenile court office may also be a key figure. This is true particularly

in those jurisdictions in which the district attorney has control over which cases go to juvenile court.

The public defender should also be brought into the planning process at an early date. Because the decision to divert is usually made prior to assignment of counsel and because of the generally beneficial nature of the program, the public defender is likely to encourage rather than object to the program. It is best, however, to avoid any misunderstanding by including the public defender from the very beginning.

The local police department and sheriff's office should also be included at an early stage in the planning, as they are usually the main source of referrals for a family crisis diversion unit.

2. *The organizational meeting.* This meeting should include the juvenile court judge, the chief probation officer and representatives of all other agencies directly concerned with intake into the juvenile court. If a successful 601 type diversion program exists in a nearby county or area, the program director or supervisor would be a useful additional participant. Similarly if someone within the community has been heavily involved in developing the idea for the program, that person should also be included.

The purpose of the meeting should be to introduce the idea of a possible project, describe the approach, get some initial reactions, and develop a plan for analyzing the problem. If a study of the need for a program has not already been completed, responsibility for making such a study should be assigned or determined.

3. *The study.* The study should begin with a preliminary determination as to the kinds of cases that a project might encompass. If the project is to be limited to 601 or PINS type cases, the study should primarily concern itself with this kind of case. If criminal cases are also to be included, these should be tabulated as well. If no decision has yet been made as to the kinds of cases that a project might handle, the study should analyze separately the categories under consideration. If it is clear that some cases are likely to be excluded from any project—probation cases, for example—they should either be excluded from the study or kept as a separate group.

The starting place for this kind of study is the intake logs, the written records of youths booked into juvenile hall—whether by the police, their parents, the schools or whomever. Most departments have such an intake log and from this the number of youths coming into the department can be determined. The intake log also generally provides the names of youths and the offenses they are charged with.

As the first objective of the study is to determine how many cases there are now and are likely to be in the future, the most important figure is the number of cases

in recent months. If possible the number of cases in each category should be given for each month for a year or more. This will show whether there is an even flow and whether the problem is a continuing one.

The next step is to make a list by name of the last 100 referrals to intake in the categories under study. These names can then be checked to see whether they were detained or if they went to court.

Finally, a third set of data should be collected. This should be based on a list of names taken from referrals to intake a year or more prior to the date of the study. The case file for these cases should then be pulled and analyzed to determine how many of the cases recidivated and how many were placed outside the home. Generally all cases should be followed for one year from the date of referral. This information, along with that from the other parts of the study, should then be tabulated, put into report form and presented to the planning group. The report should provide answers to three basic questions: how many cases, how often are they detained and sent to court, and how frequently do they recidivate?

B. Developing a Plan for Action

If the planning group decides that there is a need for a program, the next step is to develop a plan for action.

As with any plan, there are a great many different considerations which somehow must be woven together into a workable package. The most important initial questions are:

- the kinds of cases to be handled
- the number of cases to be handled and the size of staff required
- the relationship of the project to other intake functions
- the financing of the program.

1. *The kinds of cases to be handled.* If an agreement to have a project has been reached, there is likely to be little disagreement that it should include 601-PINS type cases. Even within this category, however, some projects have excluded or limited the coverage of truancy cases and cases in which the youth involved is already on probation. Cases from out of the jurisdiction are also often excluded.

A more complicated issue is whether any criminal cases should be included. Generally, there is less agreement that these cases should be diverted. On the other hand, the data indicate that there are many criminal cases that can be effectively dealt with and a number of jurisdictions have programs which have handled criminal cases from the beginning.

Generally, if there is serious resistance to the idea of including criminal cases, it is better to limit a new

project to the 601-PINS type case. If this works out successfully, the question of whether the approach should be extended to some criminal cases can be faced at that later time.

2. *The number of cases to be handled and the size of the staff required.* Like most other parts of the plan, the number of cases to be handled necessarily relates to many other things: the kind of cases to be handled, the staff and finances available, and so on. Ultimately the number of cases to be handled can be arrived at in two different ways: either by determining the number of cases it is desirable to have handled in this way or by determining the amount of staff available and calculating the number of cases they can handle.

How is this computation to be made? How many cases can a counselor handle? How many workers will be needed to handle the cases in our jurisdiction?

In Sacramento the caseload for diversion counselors was planned for 17 to 20 new cases per month. This was based on an estimate that the counselor would see 40 percent of the families one time, 40 percent three times, and 20 percent five times. It is also assumed that family crisis situations may take from one to three hours to handle effectively, with the average time per case being one and a half to two hours.

Under this system each counselor would have roughly three sessions per day—one new and two follow-up sessions. A unit of six was planned for 100 new cases per month.

In practice the number of follow-up sessions turned out to be something less than the number originally planned. The workload calculation as a whole, however, turned out to be reasonably correct. The need to do telephone follow-ups, allowances for the use of co-therapy and the time required for other matters compensated for the lower number of follow-ups.

At various times in the Sacramento project the workload varied both up and down. When the number of cases dropped below the 17 to 20 level, the project counselors tended to have time on their hands and not enough to do. In theory this time could have been put to good use through stronger efforts to carry out follow-up counseling. Urgings to this effect, however, seemed to have little impact in practice.

On the other hand, when the workload increased beyond the 17 to 20 level, the counselors tended to become rushed in their handling of cases, to become even less involved in follow-up counseling, and the whole process began to look like the intake system the project had been intended to replace. Among other things as workload increased, both the petition rate and the recidivism rates increased. These considerations underline the importance of estimating caseload accurately.

This is not always as easy as it sounds. In Virginia Beach five people were hired to handle an estimated caseload of 100 cases per month. For the first several months, however, the caseload ran between 10 and 20, or only two to four new cases per month per officer. This resulted in staff getting discouraged and bored. The reverse problem occurred in Humboldt County, California. There two or three officers were planned to handle what was thought to be 40 to 50 cases a month. The initial estimates were too low, however, and coupled with the fact that new cases had been solicited from the police and schools, created the possibility of over 100 cases per month or over 30 cases per counselor.

3. *Relationship to other intake functions.* The Sacramento approach is not an approach that can be applied to all cases referred to probation or the juvenile court. No matter how widely it is applied, some cases will remain to be handled through other procedures. One major organizational issue therefore is the relationship between the diversion unit and the unit which handles the other intake functions.

How this issue is handled will depend upon many factors: the number and type of case being handled by the diversion unit, the number and type of case being handled by the other unit, the physical location of the units, the general level of staffing available, the geographical coverage to be provided, hours of operation, the size of the department and perhaps others.

Because these factors vary greatly, it is difficult to specify ideal forms of organization. It is possible, however, to state some general principles:

- The diversion unit should handle only diversion cases.
- Diversion cases and phone calls should go directly to the diversion unit rather than by referral through some other unit.
- Both units should report to the same supervisor.

The first principle is directed to the problem of how to handle work overflows. Suppose the police bring in at one time more youths than intake can handle. This puts a strain on the intake personnel and the temptation is to ask the diversion staff to help out. Or if more diversion cases come in at the same time than diversion can handle, does intake help out?

While it may seem logical in these situations for the two staffs to cooperate, it is neither feasible nor desirable for them to do this. The most important reason for this is the difficulty in switching back and forth between the roles required. Each position requires a certain attitude and approach which is substantially different from that of the other. These attitudes are complicated to create and cannot be taken on and off like hats. To switch is to create confusion and reduce overall effectiveness.

Crossing back and forth to handle overflow also creates a high likelihood that the appropriate staff will not be available to handle the next incoming situation—thus muddying further the already murky line between units when switching is permitted.

If matters are properly planned, a no-switching policy should not present serious problems. There will be some overflow situations in which crossing over would have been helpful, but the overall problem should not be great.

A second problem is that of the allocation of cases between regular intake and the diversion unit. This should be as automatic as possible and the categories of cases to be handled by each should be specified in advance. Referral from one unit to the other should be avoided if possible, as this creates confusion as well as making workload difficult to predict.

There is no question that having two intake units rather than one poses some important problems of coordination and cooperation. These problems can be minimized by having both units report to a single person who has administrative responsibility for the entire intake function. To the extent that size warrants it, it is desirable that each of the two units have its own supervisor.

4. *Financing the program.* A Sacramento-style diversion program is essentially self-financing or cost-saving. In Sacramento the staff costs of the program were consistently the same or less than the staff costs of traditional handling. If the costs of detention and placement are included, the program clearly resulted in substantial dollar savings. The only unusual program cost is the cost of training. While this cost is large by traditional probation standards, it is small in terms of total dollars and easily covered by the overall savings generated.

These facts do not answer the question totally, however. There are start-up costs involved in any program and there may be doubts about whether the Sacramento approach will work in any particular jurisdiction. Basically there are two approaches for dealing with these problems:

- through a grant for operation of the program
- through a program created in stages.

a. *Grants.* The Sacramento program, the program in Contra Costa County and the program in Virginia Beach, Virginia, all began with grants from the state planning agencies in their states. Generally the grants covered the cost of training, evaluation and some or a large part of the cost of operating the unit itself.

This approach has obvious advantages. The principal burden of starting up is shifted to the granting agency, as are whatever financial risks there are that the program will not work. In particular the cost of training is often

easier to cover in this way than through a regular departmental budget. Outside financing may also make it easier to solve some of the organizational and administrative problems that new programs are likely to have by creating a little breathing space within which the program can experiment and adapt.

b. *Beginning in stages.* One alternative to beginning with a grant is to begin in stages. In this approach a size is set for the program to grow to—such as four or six officers. All the officers that are expected to become a part of the unit are then trained in the new approach. Rather than begin with the full group, however, the program begins with two. After several weeks it should be apparent whether these two officers are making a dent in the number of cases going to court. If this is progressing as expected, the next two officers are then released to the unit. And so on until the full unit size has been reached.

Generally, the impact that the beginning members of the unit are having will be highly obvious. Even if it is not, however, it is usually easy to calculate this effect. If the petition rate for 601-PINS type cases generally is 40 percent and the unit is referring no one to court, unless something unusual is happening the number of petitions is being reduced by 40 percent of the total number of cases handled by the new unit.

This approach is harder than beginning with a full complement of officers and puts a great deal of pressure on the unit members at a time when they are already trying to learn a new and difficult job. It is a feasible way of beginning, however. A procedure something like this was used in Alameda County, California.

C. More Detailed Planning

Once the basic outlines of the program have been settled, a myriad of other details must then be worked out. These include:

- the details of program operation, including how to handle repeat behavior and referrals to court
- scheduling and availability of staff
- location of the unit
- evaluation
- the type of record keeping needed.

1. *Repeat behavior and referrals to court.* Families with children who run away or who become involved in incorrigible or beyond control behavior frequently have subsequent problems. Family counseling is more likely than other methods to prevent these kinds of problems, but it is not a panacea. Even with the use of family counseling, therefore, it can be expected that there will be a sizeable number of repeat problems.

In Sacramento this fact led to an additional preventive step—an attempt to deal with new problems prior to

bright as possible. It should be informal rather than formal, and situated so that it is private and that outside noise and interruptions are kept to a minimum.

Many juvenile halls are not set up for this kind of counseling as they were designed for individual interviewing. Every effort should be made, however, to provide facilities as adequate as possible. If adequate facilities are not present, it may be possible to make arrangements for using larger, more comfortable offices at night and on weekends.

In addition to counseling rooms, it is desirable that each counselor have a separate workspace of his own. This can be used for developing case reports, making telephone calls and carrying on other unit business not involving counseling.

A second issue concerning space is its location with respect to other intake facilities. As there must necessarily be a close working relationship between these two units, it is desirable that they be located physically close to each other.

In Sacramento County the diversion unit was located in a wing of the juvenile hall near the normal intake facilities but separate from them. Physically this worked out reasonably well. Other departments have approached the problem differently. The unit in Virginia Beach is located in a two-bedroom house about two blocks from the probation department. The use of the house created a nice atmosphere for both staff and families. The living room provided a lot of space to work with families and the caseload was such that some space was always free. Initially there were some problems with referrals, however, because all cases went through the intake unit in the probation building. As a consequence, many never got to the diversion unit. The initial contact was made by intake officers who did not fully understand what the diversion unit was doing, did not fully agree with the approach, and wanted to handle things their own way. Families decided that they didn't want "to go over and see those people"; they wanted to go to court; and preferred dealing with the intake officer before them, rather than the diversion unit down the road.

This situation was corrected by creating better communication between intake and diversion and by making intake more aware of what diversion was about, what kinds of cases they handled, and what the procedures for referral were. In addition the receptionist was instructed to refer incoming cases to the diversion unit directly rather than calling the intake officer who would in turn do the referral.

It is essential that the diversion unit be located at a place acceptable to law enforcement. Experience with youth service and other community programs indicates that the police may be suspicious of programs physically located outside juvenile hall or other places with which

they are familiar. The closer the facility to the probation department, the less confusion there will be as to what the unit is and what it is doing.

Physical location also has some other aspects. There are always problems in creating a new specialized unit that may be seen as different from the rest of the organization. The more such a unit is isolated in a physical sense, the more these problems are likely to surface.

4. *Evaluation.* There are two basic ways of conducting the evaluation. One is to compare what happens during the project with what happened in the period just prior to the project—what happened in 1974, for example, with 601-PINS type cases handled by regular intake with what happened in 1975 with the same kinds of cases handled by a family crisis diversion project. This kind of evaluation has a number of advantages and some drawbacks. One problem is that the time periods are not always comparable. In 1974 the police may have referred all status offenders to the probation department, whereas in 1975 they developed their own diversion program and reduced the proportion of kids referred. This means that the 1975 case is different from the 1974 case and makes it difficult to draw conclusions about the results of the new program.

A second way to conduct an evaluation is to use a control group—to divide the incoming cases into two groups—one handled by the project and one handled in the same way as in the previous year. This is what was done in Sacramento. The project handled 601 cases four days of the week and regular intake handled them three days a week. Both groups handled the same kind of case and the days in which they operated were rotated monthly so as to eliminate any bias.

From a research standpoint this second method is preferable to the before and after evaluation. It does create some serious problems, however. Administratively it is much more cumbersome. It is likely to create uneven work flows, and since most cases come back into the system later there is likely to be some confusion as to which case belongs to which group. It may foster or create a competitive atmosphere between the two staffs involved, and the difference in treatment provided will almost surely be seen as unfair or discriminatory by some.

This form of evaluation may also create some additional problems at the completion of the project. Because the project handles less than all of the cases during its life, full institutionalization will be somewhat more complicated. In addition to the decision to make the project permanent, there will likely be a need for additional staff or for some restructuring to deal with the cases previously handled by the control group.

If a decision is made to use the control group type of evaluation, this decision must be made early in the

any new involvement with the legal system. The counselor was instructed to tell the family—both parents and children—that if any member felt a new problem was arising, he should either call the counselor to talk about the problem or arrange for the family to come back in voluntarily. The idea of this was to deal with the problem as it was occurring rather than after it had resulted in some new problem behavior.

Even with the policy—which worked reasonably well—there were many cases in which repeat behavior involving the legal system occurred. The instructions as to these situations were as follows:

- Repeat 601-PINS type behavior—handle through family counseling and project procedures.
- Minor criminal behavior—handle through family counseling and project procedures.
- Serious criminal behavior—refer to court.

It seems clear that repeat 601-PINS type behavior is attributable to the same kind of family problem that leads to such behavior in the first instance. It is likewise clear that it is both amenable to handling by the same techniques and that these techniques are effective for handling it.

Minor criminal behavior is also often attributable to family problems, and in Sacramento repeat behavior of this kind proved highly amenable to handling through project techniques. Indeed it was the project's success in handling this kind of behavior that ultimately led to the creation of the Sacramento 602 Diversion Project.

How many times should a case be allowed to repeat? Again, this is a question which each jurisdiction must answer for itself. In Sacramento the initial instructions were that no matter how many times the case came back, 601-PINS type and minor criminal behavior was to be handled through family counseling and project techniques. In theory this is sound, and many cases were handled successfully in this way. If a case repeated itself too often, however, counselors often felt that there was nothing more they could do. In this situation they were encouraged to turn the case over to one of their colleagues or to seek assistance from one of the training consultants. If this did not help, they were authorized to use informal probation or refer the case to court. Every effort was made, however, to limit the extent to which this was done.

When it is necessary to file a petition, it is better that the project file the petition rather than some other unit. The project officer is more familiar with the case than anyone else, and can best present the information to the court. This means project officers must have the training necessary to be able to know what the elements of a petition are and how to set out a proper allegation. In jurisdictions in which this function is carried out by the

district attorney or some other officer, this is, of course, less important.

2. *Scheduling and availability of staff.* Since crises can occur at any time, morning or night, workday or holiday, a family counseling program should ideally be a 24-hour, seven-day-a-week service. Practically it may not be possible to have staff available to this extent. To whatever extent staff can be supplied, however, it is important that coverage correspond to workload. If most cases come in the evening or on Friday and Saturday night, then that is when the largest amount of staff should be scheduled. It is not possible to operate a successful Sacramento-type diversion program on a 9 to 5, five-day-a-week basis. If possible, the operating hours should be sufficient to handle at least 80 percent of all cases on an immediate crisis basis. In Sacramento this was accomplished through coverage from 9 a.m. to 2 a.m.

In Sacramento an attempt was made to cover the remaining hours through a crisis hotline system under which the juvenile hall staff would contact a project duty officer at home. This procedure never worked as planned, however, partly because the procedures were unclear and partly because of the reluctance of project staff to undertake the role of duty officer. What generally occurred was that families calling in at 3 or 4 a.m. were told that the diversion unit would be in at 9 a.m. This experience suggests that if diversion-type services are not provided on a 24-hour, seven-day-a-week basis, care should be taken to work out effective procedures during hours in which the project is not operating.

One real problem in family crisis intervention work is seeing families. Often it is easier to see working parents during the evening or on weekends, and project coverage should take this into account. To the extent possible, follow-up sessions should be scheduled when new cases are least likely. If only two counselors are working on a given shift, no more than one follow-up session should be scheduled at the same time so that at least one counselor will always be available to handle any new intake. Particular attention should be paid to having enough hours available to cover return visits.

Whenever possible it is desirable to have at least two staff members working during program hours. This provides the staff with the opportunity to work together as co-therapists and helps in providing emotional support.

3. *Location of the diversion unit.* The first requirement is having enough space for counselors to work with families. Since family counseling includes all members of the family, typically there is a need for space for four to ten people for counseling sessions. It is desirable that this space be as open, comfortable and

planning process as it will affect the workload to be handled and other important details of operation. If there is to be an evaluation, it is generally a good idea to select the evaluator during the planning period. If the control group method is to be used, this is essential.

5. *Record keeping.* The project should seek to keep record keeping to a minimum, but as any other unit it must have an adequate record keeping system. The exact nature of this depends upon the kind of records maintained in other parts of the department and any special needs for evaluation purposes. The basic records to be maintained should include:

- an intake log
- an intake and evaluation report
- a personal or family history form
- an alternative placement consent form.

a. *Intake log.* This lists the date and time the youth first came in, what the offense was, who handled the case, and what the disposition was. (See appendix G for examples of these forms).

b. *Intake and evaluation report.* This provides an account of the counseling session. In Sacramento it was generally dictated shortly after the counseling session. Separate reports were dictated for each subsequent session.

Due to the nature of family crisis counseling, the counselor gets into a variety of very personal issues--extramarital affairs, alcoholism, etc. As the counselor's report usually becomes part of the departmental records, the counselor must exercise great care and discretion in handling this kind of information, limiting the report to that which is necessary and relevant. Before the project begins the specific information needed should be identified and the uses to which this information will be put determined.

Many probation departments allow probation officers some discretion as to whether or not a record should be made in certain situations. It is important to take a close look at this possibility, particularly for situations involving walk-in problems. If one goal of the program is to encourage families with problems to come to juvenile hall or to the family crisis intervention unit to talk about what is going on in the family, it seems inappropriate to create a regular probation department file on matters initiated by family as opposed to agency action. Some departments use informal records in this situation, often simply some handwritten notes which are available in the event the family recontacts the counselor but which can be destroyed after a time if not further needed.

c. *Personal or family history form.* Some method for providing background information about the youth and his family--name, age, sex, school, etc., is necessary. In Sacramento a family history form was used. This covered all the basic background about the family plus a

great deal of additional information. The additional information was very useful in learning about the kinds of families seen. The specific form used is lengthy, however, and the information included may be more than some projects feel necessary.

One concern in gathering this information is how to do it. Traditionally, probation officers at the point of intake gather this information themselves. Often the first communication from a probation officer to a family is a series of questions about where they live, how long have they lived there, where the father works, the child's birthdate and so on. In a diversion project it is desirable if possible to stay away from that kind of information gathering. The counselor should seek to create an atmosphere in which there is a free exchange of ideas and feelings rather than one of questions and answers. In order to avoid this process which sets the tone for the family session, a form was designed for the family to complete themselves immediately prior to or following the family session. Any problems with completing the form were dealt with after the session.

d. *Alternative placement consent forms.* This records the agreements of the parties in alternative placement situations.

Some additional forms used in Sacramento were:

e. *Family inventory form.* This was designed to help in the therapeutic process. Each family member was given a copy at the close of the first counseling session, asked to complete it and bring it back to the next session.

The form first asked the family member to describe his or her own perception of the family problem. After completing this part of the form, each family member was also asked to participate in completing a form for the family as a whole.

These forms were designed to accomplish two things. First, they were structured so as to require the family to communicate with each other in certain ways--the effort being to get the family to work on their problem even in the absence of the counselor.

Secondly, they were intended to provide the counselor with information that would be useful in the next session. How did the family go about completing the task? What happened when they sat down together with the family inventory and tried to agree as to what the family problem was? Were they able to talk together? Were they able to exchange ideas freely? Were they able to agree and complete the form? If not, what went on in the process that made that difficult to do? Did people have difficulty listening to each other? Were certain family members left out?

f. *Referral forms.* This was a form used in Sacramento to determine how many referrals took place and how successful they were.

D. Beginning the Program

Once the details of the program have been worked out, action can be taken to get the program underway. This involves:

- selecting a supervisor
- selecting staff
- developing a training program
- developing procedures for alternative placements and referrals.

1. *Selecting a supervisor.* The selection of an effective supervisor is one of the most important elements in developing a worthwhile family crisis intervention unit. The supervisor of this unit must have all the traditional administrative skills needed by any good supervisor, plus the capacity to work effectively in a family crisis unit.

Ideally the supervisor should have prior administrative experience and be skilled in family crisis counseling before beginning, because the staff will want to have help with problems involving families. If the supervisor has no prior training in family crisis counseling, the staff may rapidly become more expert in the use of family counseling techniques than the supervisor—even if the supervisor goes through the same training as the staff. This tends to undermine the supervisor's authority and to create problems in case supervision. The supervisor may feel out of touch and uncomfortable. Because family crisis counseling is a relatively new field, however, supervisors with prior training may not be available. In that case it is essential that the supervisor maintain a minimum caseload so that the supervisor's expertise grows along with that of the staff. In this way the supervisor can maintain a supervisory role and be able to help the staff with their cases.

In a family crisis intervention unit, one of the ways in which the staff learns about families is by learning to communicate more clearly with each other. Just as members of a family must learn to express their feelings toward each other if they are going to change and grow, members of the unit must learn to express their feelings toward one another if they are going to work effectively together. As a result of this training experience, the staff may feel freer to criticize their supervisor than in some other setting. They probably will also be freer in their praise and more understanding of the supervisor's problems.

This kind of sharing requires a strong individual with a great deal of emotional stability. A supervisor should be aware of these aspects of the program before taking the job or being assigned to it. Generally it is desirable that the supervisor be a department member who volunteers for the position rather than one who is assigned to it.

The supervisor must also be a person who is sensitive to the concerns of the departmental administration, the court and the unit staff. The supervisor must not only be aware of each of these concerns, but also be able to communicate effectively about them. In a new program there are bound to be problems and questions. The supervisor must be able to identify these as they occur and provide rapid information about them to the administration and court.

The supervisor must also be able to communicate about the program with agencies having an interest in it—the police, the schools and the community generally. The supervisor must have a good grasp of the program concept and be dedicated to its success.

2. *Selecting the project staff.* Family crisis counseling in a probation setting is a highly demanding job. Generally, the position requires an open person with a willingness to work and learn, and a great deal of emotional stability. Among other things it is not possible to do effective counseling without becoming emotionally involved to some extent with the families seen. This means that the counselor must be capable of dealing with a high degree of emotional stress on a daily basis. Because the emotions of the families encountered are at a peak, the counselor must expend a great deal of energy just to stay on top of the situation, much less get down to counseling. In addition the experience of working with another family often brings up memories and feelings from one's own family and life—often in a very intense way.

Staff members should be persons willing to examine their own attitudes, values and family backgrounds. By far the best method of selection is from probation staff interested enough to volunteer after being fully informed as to what will be expected of them.

Previous probation is not essential but is helpful. The Sacramento program started with three female counselors who had worked in the welfare system and with three male counselors all of whom had been probation officers for at least three years. All developed into effective counselors. Probation experience is helpful in that the officer knows the system, how it works, and why change could be beneficial. On the other hand, the experienced probation officer may have some difficulty in changing to a new system.

Someone new to the department may be easier to train in the new approach. On the other hand, since the project must interact with the existing system and the people in it, a lack of understanding about that system is likely to lead to communication and other problems. Particularly if the whole unit is new, there is likely to be distrust and suspicion. Having staff members who are known and respected in the department can help to prevent or dispel this.

It is desirable, if possible, that there be some balance of male and female staff. Often, in working with families, there is a particular need for either a male or female therapist. Many families seen in a juvenile hall setting, for example, are single parent families. In such situations a therapist of the sex opposite to that of the head of the family can often be helpful in working out the problems which exist because of the missing family member. Having both male and female counselors provides the unit with the capacity of modeling--through joint counseling--what effective parents can be like.

The general experience of the staff, both in the Sacramento project and elsewhere, has been one of great satisfaction with the job. Initially there was some concern that the staff might "burn out" within a year or two because of the pace of the work. At the end of the first year in Sacramento, however, the whole staff volunteered to stay with the program, and it was not until the fourth year that they started requesting to leave the unit. Even then this was largely because they felt that this was necessary to gain other experience for promotional purposes. Generally, the reasons given for staying in the unit so long were the challenge of the job, the feeling of accomplishment and personal growth.

3. *Alternative placements.* If the counselor is successful in getting the family to begin to open up about the situation within the family, they will generally leave together at the close of the session and there will be no major issue as to whether the youth should stay in juvenile hall or not.

Sometimes the issue is not resolved so simply, however, and either the parents or the youth insist that he not return home. In that event an effort should be made to see if some place other than juvenile hall can be worked out for the youth to stay. If asked, either the parents or the youth often can come up with a place that is acceptable to both. This may be the home of a grandparent, some other relative or a family friend. If an agreement about this is worked out, it should cover both the length of time the stay is to last and what each family member is to do in the meantime about trying to resolve the problem. This may be no more than simply "come back in for another counseling session on Tuesday," but it should be specific enough that the next steps are clear.

This type of alternative placement avoids the problems of juvenile hall and keeps the family working on the problem. Often the procedure is much easier to work out than expected and very constructive in its effect.

As a part of getting the program underway, the procedures for making these kinds of placements must be worked out and the staff trained in their use. Generally, because the procedure is based on the consent

of the parties, it does not require processing through the court. It is generally desirable, however, to have a record of the agreement signed by the parties.

4. *Referrals.* As a program based on short-term therapy the Sacramento approach of necessity must refer long-term problems to other community agencies. Program staff will also encounter many problems that require some kind of specialized handling--drug overdoses, mental retardation, etc. In order to deal effectively with these problems, it is important that the program have a well-developed set of referral procedures and sources.

If the likely referral agencies have not been involved in the planning process, they should be visited prior to the program getting underway and informed about program plans. The help of the agencies should be solicited and methods of referral worked out.

E. Some Problems of Implementation

1. *Controlling caseload.* Just as it is important to estimate caseload accurately in the beginning, it is also important to maintain it at the right level. One problem in this regard may be how the unit is viewed by the community. If it is not made clear at the outset that the function of the diversion unit is to handle only those cases that would traditionally have come to juvenile hall or the probation department, there is a risk that the unit will be swamped by a large number of new cases from throughout the community.

The schools or the police may think well enough of the approach to refer cases that they would never send through regular probation channels.

If there is a conscious desire by the program organizers that the family crisis unit handle this kind of case--and it is staffed to do so--this of course poses no problem. In most cases, however, such an increase would pose a serious problem. The project director or supervisor must be very careful therefore about how far he goes in encouraging this kind of referral.

If the mission of the unit is extended to cover cases that would not normally come to probation, consideration should also be given to what this extension will accomplish. At some point it is possible that the unit might be providing counseling to families who are not in need or for whom the services provided will not be particularly effective.

2. *Should the unit be limited to family counseling?* There are many approaches to delinquency and delinquency prevention other than family crisis counseling. Among these are group therapy, transactional analysis, behavior modification, 1-level and parent-effectiveness training. How successful these approaches are in the intake setting and how successful they are in

comparison to family crisis counseling is not something that has been adequately researched.

In this situation there are three major reasons for advocating the use of family crisis counseling. First, and most important, is that family crisis counseling has demonstrated its effectiveness in this kind of setting. This cannot be said of any other approach. Second, while other kinds of techniques are perhaps useful in other kinds of settings, there are both theoretical and practical reasons for thinking that family crisis counseling may be particularly effective in this setting. At the very least the fact that so many seemingly promising techniques have, when put to the test of a controlled experiment, failed to show any change in the experimental group suggests caution in the use of other approaches outside a research setting. Finally, the family crisis counseling approach is one within the means of most jurisdictions if they care to use it. As compared with individual and group counseling techniques of longer duration, it is highly efficient in terms of the amount of staff time required.

The fact that other approaches exist, however, and are currently being used in the probation field, suggests that one issue that is likely to come up in developing and operating a family crisis intervention unit is whether the unit must be limited to this one approach.

Generally it seems desirable that they be so limited. Aside from the reasons discussed above, there are several operational considerations involved. The most important of these is that mastering any of the techniques currently in use is a major task. Developing good techniques of family crisis counseling takes several years of intensive training and experience and mastering them fully even longer. This is particularly difficult for probation officers with little theoretical background and whose prior experience may conflict with some of the basic techniques such as avoiding blame, taking sides, and giving advice. Trying to learn other new approaches at the same time is not only likely to add confusion but delay the learning process. It seems far preferable to master one technique well rather than several poorly.

It is also important from an organizational perspective that the unit as a whole be trained uniformly. Much of the value of an intake trained in counseling is lost if each member goes his own particular way. Families are inevitably shifted from counselor to counselor to some degree and this is traumatic enough without involving a change in treatment techniques as well. The same point applies to consistency over time. The unit that succumbs to each passing fad—and the temptation to do so is great—will not only find itself unclear as to its purposes and techniques but will transmit this uncertainty to the families it is supposed to serve as well.

Since probation officers traditionally utilize several different forms of intervention and because family crisis intervention is a difficult approach to master, there may be some resistance from the staff to this limitation—particularly after several years of operation. One positive way to deal with this is to distinguish between actually *doing* other forms of therapy and *learning* about them. This is useful because it is important that the staff know something about other forms of intervention.

Because family crisis intervention is based on a brief therapy model of no more than five sessions, long-term problems may need to be referred to various community agencies. The problem is when to refer and to whom to refer. Learning diagnostic skills and something about different approaches to problems is useful in making appropriate referrals. Providing staff with an overview of different therapeutic approaches will give them a broader perspective on the therapy process as a whole.

In addition, as the training program progresses, it may be possible to introduce certain other forms of therapy that fit well with the family model. One technique used in psychodrama, for example, is called "doubling." Here the therapist "doubles" or becomes the patient and expresses what the therapist believes is on the patient's mind. This turns out to be very useful in working with youngsters who are extremely quiet or who refuse to talk. The probation officer-family therapist simply "doubles" for the youngster and talks to the parents: "I feel like you are glad I ran away and you don't want me at home." This starts the communication going and often the youngster involved will start talking once these more difficult issues are out in the open.

Even with a rather comprehensive and intense training program limited to this one approach, it took at least three years for the Sacramento staff to become competent family therapists. It took several months for them to be merely comfortable in the same room with a family in crisis, and probably a year before they felt in control of the situation.

The purpose of this section is not to say that family crisis counseling is the best and only approach for all time and that others should not be used. It undoubtedly is desirable that experience be gained as to the results of other approaches. Generally, however, given the state of the art it is probably better that these approaches be attempted in a research setting in which their effectiveness can be measured.

3. *The problems of change.* As with any new program, the Sacramento approach as it develops is likely to generate some mixed feelings. Some will inevitably feel that the old way of doing things was better. In addition, some problems are likely to arise that no one thought of or that are more serious than was expected.

This kind of problem can be minimized through sound planning but probably cannot be eliminated. It is helpful if the court and the departmental leadership stay in close touch with what is going on. Similarly it is essential that the program director manage to communicate effectively with all concerned. In the end the best solution is simply a commitment by all concerned to giving the approach a fair chance to show what it can and cannot do. This means a trial period of a year or more in which the program can develop its staff and its procedures without having to be concerned about every little wind that blows.

This does not mean of course that an ineffective program should be allowed to continue indefinitely. If the program fails to jell after a fair run, as with any other new program, it should be reformulated or abandoned.

F. Some Special Questions

1. *Is this program applicable to small communities?* The Sacramento approach is adaptable to almost any size community. It originated in a major metropolitan county (600,000 population) requiring a unit of six to handle the 601-PINS type cases in the jurisdiction. A number of other smaller communities have successfully developed similar programs, however, including Humboldt County, California, and others.

2. *Will the program work with minority families or in the inner city?* While the Sacramento metropolitan area is one of the 50 largest in the country, it does not have a particularly large minority population. Roughly ten percent of the families seen by the project were from minorities, however, and while the data is not as clear as one would like, the project appears to have been as successful with these as with other cases.

The communities served by the Contra Costa County and the Alameda County programs both include larger minority populations. These programs have found no particular difficulty and only minor differences in handling cases from minority families. These two programs serve portions of the San Francisco Bay Area—the

nation's seventh largest metropolitan area—that are essentially inner city areas.

3. *Would the program work as successfully after court?* One question which might be asked is whether family counseling would work as well after adjudication as before. Generally the answer to this would appear to be that it will not. This is not to say that family counseling after court is not useful; on the contrary, there are indications that it can be.

There are also reasons, however, to believe that this kind of counseling is not as likely to be effective after adjudication as before. If counseling is delayed many of the attitudes that are tentative at the time of the crisis will become fully set and much more difficult to deal with. It is particularly likely that the youth involved will be permanently labeled as a troublemaker by all concerned. For these and other reasons a few hours of counseling at the time of crisis is often equal to a great many more hours at some later time.

4. *What are the limits of the program?* The program has shown itself to be successful in handling both the 601-PINS type cases and medium level criminal offenses. Could it be used successfully with other cases? What are the limits of the program?

These questions cannot be fully answered on the basis of present knowledge. At least two issues are involved: are the treatment methods used likely to be successful in reducing recidivism, and to what extent is the community willing to use this approach for additional offenses?

The data available suggests that the treatment methods involved could be used successfully with additional offenses. Many youths involved in burglaries exhibit characteristics similar to those of youths already being handled through family crisis diversion programs. Some other offenders could perhaps be included as well.

The questions involved generally stir deep feelings, however, and it is probably better for programs at least initially to include only those categories with which the community will feel generally comfortable. If the program is successful with these cases, then consideration can be given to including other kinds of cases.

CHAPTER V. TRAINING

Family crisis counseling and crisis intervention are techniques normally employed by therapists who have undergone long periods of training. In addition, the application of these techniques at the intake point of probation presents some novel and difficult questions. The training portion of the Sacramento approach is therefore one of its most crucial aspects.

The aim of the training program is to enable probation officers to become effective counselors. Among other things this requires that they learn:

- the concepts of family process and family rules and the extent to which the way that families make decisions is often as important as the decisions themselves;
- the concept of the family as a system and the ways in which the actions of one family member affect other members of the family;
- how to enlist the family's own efforts to work on its problems;
- techniques for improving communication among family members;
- how understanding one's self and one's own family system is important in becoming an effective family counselor.

In establishing a training program there are a number of important points to bear in mind:

- It is extremely helpful but not essential that the training consultant have extensive experience in family counseling.
- Cases which probation counselors handle differ in significant ways from those seen in clinical or private practice settings, particularly in the degree to which there are voluntarily present.
- Training for the most part must be conducted on the job—thus posing important questions of access and continuity for the trainers.
- It is important to get across at the earliest possible time that becoming good family counselors means in part learning to understand themselves, their own family system, and the way in which they interact with others, particularly the families they see and their co-workers.

A. Initial Training

There were two components to the training program ultimately developed in Sacramento. The first was an initial training week designed to familiarize the project staff with family counseling and project concepts. The second was a program of on-going training and consultation.

It is important in developing a project such as this that the staff be provided with some very intense initial training experiences. In Sacramento, the initial training took place over a week's period of time, prior to the handling of cases. The schedule for this week was as follows:

Monday, October 19th

9:00 a.m. — *Opening Remarks*

10:30 a.m. Warren E. Thornton, Chief Probation Officer, Sacramento County
Floyd Feeny, Executive Director, Center on Administration of Criminal Justice
LeRoy Downs, Unit Supervisor, 601 Diversion Project
Roger Baron, Project Coordinator
Dr. Doris Gilbert, Consulting Clinical Psychologist

10:30 a.m. — *Laboratory Exercise - Patterns of Family*

12:00 noon *Communication*

Ike Sofaer, Psychodramatist

1:00 p.m. — *Laboratory Demonstration and Discussion*

5:00 p.m. Dr. Doris Gilbert, Consulting Clinical Psychologist
Dr. Stephen Silberstein, Consulting Psychiatrist

Tuesday, October 20th

9:00 a.m. — *Family Conjoint Therapy, Theory, Observation and Techniques*

3:00 p.m. Mr. Preston Wright, Psychiatric Social Worker, Marin Family Therapy Institute
Mrs. Cynthia Werthman, Psychiatric Social Worker

Wednesday, October 21st

- 8:30 a.m. — *The Treatment of Families in Crisis*
9:30 a.m. Dr. Donald Langsley, Chairman, Dept. of Psychiatry, College of Medicine, University of California, Davis, and Director, Sacramento County Mental Health Services
- 10:00 a.m. — *Probation Officers and Family Therapy*
1:00 p.m. Dr. Charles Fulweiler, Clinical Psychologist in private practice, Berkeley (10 years experience as Staff Psychologist with Alameda County Probation Department)
- 2:00 p.m. — *Delinquent Behavior as a Family Problem*
5:00 p.m. Dr. Paul Watzlawick, Research Associate and Principal Investigator, Mental Research Institute, Palo Alto

Thursday, October 22nd

- 8:30 a.m. — *General Discussion*
9:30 a.m.
9:30 a.m. — *Laboratory Demonstration and Discussion*
5:00 p.m. Dr. Alan Leveton, Director of Psychiatry, The Family Therapy Center, San Francisco
Eva Leveton, Associate, The Family Therapy Center, San Francisco

Friday, October 23rd

- 8:30 a.m. — *General Discussion*
9:30 a.m.
9:30 a.m. — *Laboratory Demonstration and Discussion*
12:30 p.m. Dr. Doris Gilbert, Consulting Clinical Psychologist
- 1:30 p.m. — *Summary and Review*
5:00 p.m.

One of the goals of this initial training was for the staff to experience some of the best family therapists in the area working with families. In particular, there was interest in having the family therapists work with situations similar in nature to those that the probation officers would be seeing once the project started. To accomplish this, several demonstrations were set up at the juvenile hall with the families of youths who had been booked into juvenile hall for 601-type offenses.

Generally, the therapists opened by providing some background on their theoretical approach to families, some of the techniques they used and their goals for the initial interview. After the demonstration, they discussed the case. The staff was encouraged to express what the experience was like for them, what touched them in the family, with whom they identified most, what they understood was happening in the session, and what confused them. The therapists provided some perspective on what the experience was like for them as therapists—what they felt good about and where they could have done better.

Most of the didactic material presented to the staff was presented in the context of the case demonstrations or in group workshops. Lecture presentations were kept to a minimum. Experiential training was seen as more interesting and having a more lasting impact on the staff.

The group workshops provided a setting in which the staff could get to know each other and to begin work on communication processes, how people communicate and how to tell which communication is clear and which dysfunctional. The workshops helped emphasize the fact that the unit was really like a family, with shared problems and goals and differences in the way they think and feel. Finally, by watching and experiencing the family therapists work on their own group process, the staff began to learn in a very personal and powerful way some of the techniques useful in working with families. The group workshops also emphasized role-playing. Staff role-played family members. In one game, for example, each was given a rule to be followed no matter what the conversation was about. ("When a decision must be made, don't decide.") This got the staff in touch with what a strong system a family is and how difficult it is to change. It also helped develop empathy for the family members.

Staff also role-played some special problems, such as the initial phone call to a parent at 12 midnight to come down to juvenile hall for a family session. This gave the staff some understanding of how they came across to the parents receiving the calls and also what it was like to be the parents. Other problems dealt with were how to introduce oneself to a family and how to close the initial session.

Staff was exposed to several different therapists. They began to understand that there are different ways of working and that each person must develop his own unique style and approach to family counseling.

Readings were assigned to help the probation officers organize what they were learning into some basic theoretical framework. The most important of the readings was Virginia Satir's book, *Conjoint Family Therapy*. Questions about this were handled in the workshops or in discussions.

In summary, the goals of the initial training period were to expose the staff to various styles of family crisis intervention, to see how these styles were applied to cases similar to those the staff would be handling, to get them started looking at their own individual and group processes, to provide some basic information on the theory and practice of family crisis counseling and in general to prepare the staff for the kinds of problems they would be facing once the job started.

B. On-Going Training and Consultation

While the initial training week is important, it is even more important that the training continue on an on-going basis—not just during any period of funding but during whatever time period the program operates. On-going training provides expertise in the handling of difficult cases and a method for developing and improving skills. In Sacramento, a number of different training methods have been used in the on-going training: case demonstration, individual consultation, role-playing, videotape feedback, and group process workshops.

1. *Case demonstration.* In the case demonstration, an experienced family therapist works with a family in the staff's presence. Staff can hear the therapist's theory, see it applied, and finally have an opportunity to discuss it afterwards. A big advantage of this method is that it is not very threatening, yet it is one of the best ways of learning how to do family counseling.

Another variation of the case demonstration is for the family therapist to work as a co-therapist with one of the staff members. In this way, the probation officer gets a sense of exactly what the therapist is doing and why. As a result, his involvement and learning is probably more intense and lasting. This is also a good way for the probation officer to get help on a difficult case.

A third variation, which is really quite different, is for the staff member to work with the family with the training consultant present as an observer rather than as a co-therapist. This gives the training consultant a chance to observe more carefully what the trainee does. Of course, the training consultant always has the option of coming in if the situation warrants.

2. *Individual consultation.* This involves setting aside a certain time for the training consultants to work with each member of the staff individually. Staff can present a troublesome case or raise other matters that the staff member wants to work on. While this kind of consultation is highly necessary and less threatening to the staff than some other training methods, some may view it as "therapy" and be resistant. A lot depends on the style of the training consultant and the degree of trust the staff has for that person.

3. *Role-playing families.* Role-playing families is useful not only in the initial training period but as a part of on-going training as well. This can usefully be done after case demonstrations as a way of discussing problem cases, or in a variety of other situations. If the staff role-plays a problem family, for example, the consultant can demonstrate some of the techniques he might use in working with that family. In this way the staff can experience in a very personal way what the intervention was like. An alternative is for staff to role-play the therapist as well as the family, with the training consultant then commenting on the therapist's work.

While most people have no difficulty role-playing and the experience is very real to them, some will be resistant to "acting" and see it as a poor substitute for a real family.

4. *Videotape feedback.* Videotaping family sessions can be extremely valuable in training staff. The simplest way to do this is for one staff member to videotape the session of another. The videotape can then be presented to the training consultant with some or all of the staff present, and the consultant can discuss what he observed on the tape. Staff can also provide input as to their observations and reactions. Videotape gives consultants a chance to see what goes on when they are not present and to observe the progress of any or all staff members. Certain staff can be given an assignment each week or month to make a videotape to be used during training. It also provides the probation officer with an opportunity to see how he comes across to the family, which is very valuable information that is otherwise not available to him.

One disadvantage of this is that being exposed in this fashion to anyone, especially to one's peers, can be a traumatic experience. While much can be learned from this approach, there may well be a great deal of resistance. The staff should all have training in how to use the equipment, since not knowing is the simplest way to avoid using it.

5. *Group process workshops.* Once the staff are acquainted with each other and know some of the basic concepts of family counseling, it is easier for them to understand the parallel between how they work with families and how they relate to one another. To become good family therapists and be able to teach families how to express feelings and communicate clearly with one another, they must be able to do this themselves. One way to learn this is for a training consultant to work on their group process.

How does the staff feel about their supervisor, their training consultants, each other? Can they express these feelings? If not, why not? What is it about themselves or other persons that makes it difficult to express feelings? Can they ask for help from a co-worker when they are

struggling with a difficult case or are tired? How does the staff handle differences of opinion? These are all questions that are important for the staff to explore with families. Learning how to deal with them in the context of the group will provide some valuable insight into both the nature of the problem and the techniques that are effective in dealing with it.

While working on the group process has many benefits for the staff and the families they see, there is likely to be some staff resistance to working on themselves. A second problem is finding a training consultant skilled enough to work with the group process and the resistance. The third is being able to hold these sessions on a regular basis (at least once a month) over a sizeable period of time (at least six months). In Sacramento, it took over two years to get these workshops going, and while they provided a very important training experience for the staff, a lot of its value was lost because they were held too sporadically. Much of what was gained in one session was lost before the next.

6. *Sequence of training.* In the Sacramento program, almost all the consultation in the first year took place in the form of case demonstrations in which the therapist worked a case with a staff member and if possible discussed it afterwards. The pressure for the staff to handle other cases was so great, however, that there was often little time to talk about it afterwards. The staff members went on to handle another case, while the consultant went on to work with somebody else.

During the second year, emphasis was placed on individual consultation. This worked reasonably well but not always as planned. On some days the staff member who was supposed to consult was tied up with a case. Part of the problem was resistance to the format, but much was just the nature of the work involved.

During the third year, the individual consultations continued but group process workshops were emphasized. Even at this late date, the workshops met with some resistance.

In retrospect, it seems clear that staff in Sacramento was so hungry for training that something was to be gained from almost any kind of training offered. When asked which training was the most useful, they found it difficult to say because each contributed something to fill the vast gap between their experience and their understanding.

Generalizing on the basis of the Sacramento project, it seems important to use all the various methods from the beginning to the extent possible. The training consultants should do family demonstrations in front of the group and work individually with staff members in closed sessions. Time should be provided after these

sessions for feedback and discussion. Each staff member should have a certain time to meet individually with the training consultant but the staff member should have the freedom to use that time in whatever way he sees fit. This will insure that this process actually takes place and yet minimize any problems of resistance.

Group process workshops should start at the very outset so that problems are dealt with immediately as they occur. These workshops should be on a regular basis. Some of the staff problems can be dealt with in weekly staff meetings, but the more personal issues are probably best left for training consultants.

C. Developing a Training Program

The most immediate task is to train the staff in the theory and practice of family crisis counseling. Staff must learn how to handle the initial crisis, to avoid detaining the youngster and still provide meaningful help to the family. They will also need to know: (a) how to best use the sessions they have to work with, (b) when to try to handle the case themselves and when to refer, and (c) if referring, to whom they should refer and how to make sure the referral is completed.

The staff will also need to take a good look at how they personally feel about therapy. As long as they feel that therapy is only for "sick" people or people who are "bad" or "evil," they are going to function poorly as family counselors. They must begin to view family crisis counseling as a learning experience, in which both they and the family learn how to communicate better and how to handle problems which previously seemed insurmountable.

The training program should include both an initial training period and some provision for regular, on-going training. Both parts are essential, and it is almost impossible to overemphasize the importance of the training program. The on-going training is particularly critical and should be included as a part of the program if at all possible.

1. *Selecting a consultant.* To develop these attitudes and skills it is important to have an outside training consultant if possible. Generally, the training consultant should be a person trained in counseling and therapy—a psychiatrist, a clinical psychologist or someone with other developed skills in this area. It is very helpful but not essential that the training consultant be an expert in family crisis counseling. This is important to bear in mind because it is very difficult to find people who are expert in this field. It is essential, however, that the consultant understand and believe in family crisis counseling and be dedicated to the goals of the program.

It is also important that the training consultant be someone that the staff will be able to trust. Effective

training requires a close, personal relationship, and in the long run this is probably more important than technical expertise. The trainer must also be a good teacher as well as a good clinician.

The training consultant must be flexible in approach and able to adapt to working in a probation setting. This poses some problems for a clinician. He may not be used to meeting with families in a crisis situation or familiar with the problem of detention, and how to deal with it in a therapy session. If it is possible, as in Sacramento, to find someone who has experience with the probation setting, this is helpful. Again, however, this is not essential, and it is more important to get the best therapist and teacher available.

If several different consultants are to be involved in the training as was the case in Sacramento, it is important to plan in advance what each is to do, taking into account what each would like to do and what the person responsible for developing the training programs feels should be done. It is also important that the staff, the unit supervisor and the training consultant all have some input into the final plan.

2. *Cost factors.* One problem involved in getting good training consultants is the amount of money that can be paid. The training money available is generally below that which a clinician can earn in private practice. On the other hand, the opportunity presented to the clinician is an attractive one, both in terms of his own learning experience and in the excitement of being involved in an innovative and meaningful program. It is generally possible, therefore, to get good consultants to work with the program. In order to do this, however, it may be necessary to mold the training schedule to fit the consultant's available time.

The cost of the training program will vary by the size of the unit, the community involved, and the amount of money available. As a general proposition, it is not possible to "overtrain" the staff, while even a small amount of training is likely to be worthwhile.

In Sacramento the cost of outside consultants for the initial training week for a unit of six to ten persons ran \$1,000 to \$1,500—primarily for demonstrations and discussions of counseling techniques. The cost of on-going training for the same six to ten person unit was in the vicinity of \$500 to \$700 per month (in 1975 prices), primarily but not exclusively for four days of consultation per month. Neither of these figures include the cost of organizing and arranging the training or the staff time involved in receiving the training.

The cost per consultant day varies enormously. A nationally known therapist brought in for a single session can run \$300 to \$400 per day. A highly competent local person may be available for one-half to one-third this amount. Generally a consultant who

works with the unit on a regular basis will receive somewhat less than one brought in for a single session or two. Generally also it is desirable to reserve some part of the training budget for other events that are scheduled in the larger community and which provide highly unique training opportunities (a workshop by Virginia Satir, for example, arranged by a local college or psychiatric association).

Training should *not* be viewed as a one-time cost. In addition to staff turnover which obviously creates new training needs, the need for on-going training will continue throughout the life of the program and should be budgeted for if at all possible. Without this kind of continuous contact the staff will rapidly become stale, fall into bad habits, lack the resources to deal with particularly troublesome cases and in general be much less effective than they might be.

This concept of training is largely a new one in the probation field although commonplace in other professions. Despite their best efforts, some agencies will not be able to budget in this way at the outset of the program. It is highly important, however, that every effort continue to be made to develop the resources necessary to make it possible. While the dollar cost involved is sizeable in terms of the size of training budgets in probation departments generally (often zero), the cost involved is very small in terms of the overall program cost and only a small fraction of the amount saved by the program in most jurisdictions. On a per dollar basis a soundly developed training program for this kind of project may well be the most efficient and effective expenditure in the whole department.

Suppose that no training funds are available at all. Is it still possible to develop a Sacramento-type program? The answer to this is yes. A program that is superior to the methods generally used for handling 601-PINS type cases can be developed. It is clear, however, that progress will be slower and the ultimate effectiveness less than if training funds were available.

Even where little or no training money is available, however, there may still be ways to develop a training program. The chief ingredients required are ingenuity and persistence. The family crisis intervention project in Alameda County operated without a training budget and still received a substantial amount of good training. Some of the methods which can be used are:

- demonstrations by agencies or individual therapists
- LEEP or other state or federal funds
- university or college extension courses
- assistance from local mental health agencies
- assistance from a local graduate school.

a. *Demonstrations by agencies or individual therapists.* Family crisis intervention units often refer cases for long-term treatment to community agencies and

private practitioners. These agencies and individuals can be invited to visit and make presentations. This often provides excellent training in addition to providing good information about referral possibilities. Alternatively the unit can visit the agencies or individuals and go through the same process there.

b. *LEEP or other state or federal funds.* There may be federal or state money available for training criminal justice personnel. It is worth exploring this with your local or state criminal justice planning agency. In particular it may be possible to structure some or all of the training needed so as to qualify for LEEP funds. There is also some possibility that training funds may become available under the provisions of the federal Juvenile Justice and Delinquency Prevention Act of 1974. If there are other jurisdictions with programs in your state it may also be worthwhile seeking special training funds from the legislature.

c. *University and college extension courses.* Extension courses offered at a nearby University or college also might fit your training needs. These are often inexpensive and worthwhile. Also some staff may be motivated to work toward a master's degree in psychology or correctional counseling. In some jurisdictions there are programs specially designed to make this possible for staff members who carry full-time jobs.

d. *Assistance from local mental health agencies.* The local mental health department may have funds to train or consult with other local agencies. By contacting them, it may be possible to get some free consultation time. Even if no specially-funded program is available, they may be willing to provide some free

training as a community service. There may also be some private practitioners who are so motivated.

e. *Assistance from a local graduate school.* If there is a graduate school in the area with a clinical program, it may be possible to find advanced students who are looking for some clinical experience and who would be willing to come out and work cases with the staff.

3. *Training aids.* If training funds are available, there are also several training aids your program may wish to consider.

a. *Videotape equipment.* This equipment is highly useful both for training and counseling purposes. Counseling sessions can be videotaped and later replayed for the training consultant. This enables the training consultant to comment on a wider variety of cases and makes it possible for the counselor to see for himself how he comes across to a family. The same tape can also be useful for the family. They can see how they interact with each other, and what they look like to other members of the family. This is particularly valuable where there is a discrepancy between what a family member says he feels and how he looks.

b. *Films.* Films can also be a valuable training tool by providing examples of therapists doing family counseling. There are a number of these available which are helpful and interesting.

c. *Additional training materials.* A selected listing of training materials, films and resource persons is in appendix I, a discussion of training problems and issues by four training consultants in appendix J, and a syllabus on family counseling in appendix K.

CHAPTER VI. SOME POINTERS FOR SUPERVISORS

Perhaps no single individual has more to do with the success or failure to a diversion program based on family counseling than the program supervisor.

As with any other program or unit, he will be responsible for scheduling, maintaining harmonious relationships within the unit, the handling of personnel problems generally, consultation on individual cases, the handling of major problems, and communication to and from the upper echelons of the department.

As the supervisor of a new program, he will also find himself charged with a great many additional duties. The most important of these is that of defining the program itself. In the ordinary supervisory job the question of what the caseworker is supposed to do is more or less determined by expectations that are widely known and commonly shared. In a new program, however, this is not the case. Things are much more open and up for grabs. The supervisor involved may or may not have been involved in working out the program concepts. Whether he was or not, however, he will be the person primarily responsible for translating these concepts into reality for the staff members.

Not only will the staff be looking to the supervisor to define the program, the administration is likely to do so as well, at least to some degree. Because the program is new, the administration will be more eager than usual to know what is going on and how the new concepts are working out. They will also have less familiarity with what actually is done, and the supervisor may find that a big part of his job is educating the department about this. Because the process is new and uses a new terminology the supervisor may also find that he must deal with some hostility and suspicion as well as simple curiosity.

The supervisor may also find that because of the training and experience in working with the communication process, his staff members feel freer to criticize or let him know what they expect than in a more traditional situation. Similarly, they are also likely to be freer in their praise and more understanding of his problems.

It is desirable that the supervisor be skilled in family crisis counseling before the program begins. This makes

it possible for the supervisor to provide help with cases right from the start and minimizes the problem that the staff will become more expert than the supervisor. It is feasible, however, for the supervisor to begin with no prior training in this kind of counseling. If the supervisor does begin in this way, however, it is important that he be included in the initial training and that he carry a minimum caseload so that his expertise grows along with that of his staff and so that he will develop some capability of helping them with cases.

The supervisor is also likely to find that many tasks which supervisors normally do—such as scheduling—will be much more complicated than in the more usual situation. Workloads will not already be adjusted to the availability of staff in the same degree as in the more usual situation. The requirements of the new task are likely often to require new solutions even to old problems.

These facets of the job are both problems and opportunities for the supervisor. They are part of the challenge which has made this a very interesting and rewarding position for those who have had the job in other communities.

Some of the most important points about the supervisor's job are:

- The urgent need at the beginning of the program for the supervisor to help the staff to have confidence that they can do the job.
- The continuing need as the program progresses to provide the staff with support—to be the therapist's therapist, able to listen to discussion of cases without being judgmental or critical.
- The problem as projects succeed and grow of maintaining contact with staff and cases.
- The fact that project success does not seem to lessen the uncertainty as to the future of the program; the everpresent concern that the program may be discontinued or radically altered to meet some unknown administrative contingency.
- The excitement and challenge that the job provides; surprise at the depth of involvement in the program.

CHAPTER VII. SOME POINTERS FOR PROBATION COUNSELORS

The use of family counseling as a method of diverting cases from juvenile court is a new idea in most jurisdictions. For many the use of family counseling in any way is a new concept and a new approach.

The purpose of diversion through family counseling is to keep the child out of the juvenile hall, the family problem out of the court and still offer counseling and help to the family.

The basic idea involves:

- immediate, intensive handling of cases rather than piecemeal adjudication.
- spending the majority of staff time in the initial stages of the case—when it is in crisis—rather than weeks or months later.
- avoidance entirely of formal court proceedings.
- the provision of special training to staff involved.
- the provision of on-going consultative services on a periodic basis to enable staff to continue their crisis handling skills.

This approach has worked well in Sacramento, California, and other communities, and can work in your community, too.

The most important aspect of the family counseling approach to diversion is the work of the family counselor-probation officer. Making it possible for the probation counselor to apply his or her skill to the problems of the youth and the family is essentially what the concept is all about.

A. What Is the Job Like?

Different projects handle different kinds of cases. Many start with the 601-PINS or status offender—the runaway, beyond control, incorrigible or truant. They usually do not handle runaways from other jurisdictions since there is little likelihood of getting the family in for counseling. They often do not handle youngsters already on probation, since they have already been exposed to the system and working with them creates many organizational problems, one of which is the fact that they are already being supervised by someone else in the department. If successful in handling the status offenders, projects may expand into handling the minor criminal matters, such as petty theft, disorderly conduct,

and possession of drugs. Some handle this kind of case from the start.

For the staff member, being involved with a juvenile family crisis intervention unit can be a highly unique and rewarding experience. One member of the Sacramento unit, after three years, had this to say:

The training has been great, both in terms of the new approach I have learned, and in making me more aware of who I am. I enjoy working with families and feel good about what we are trying to accomplish. I have been able to relate a lot of what I see going on in families to my own family, and this has brought about some real positive changes in my personal life. I highly value the relationships I have with others in the unit.

Like most jobs there may also be some negative aspects, however. Another comment:

Although I've gone through some real personal growth, this change is surprising and confusing to other members of my family. Working in this unit has also isolated me from other members of the department. I sometimes feel I am gaining the image with some of my peers as being in a unit of do-gooders who let everyone out instead of sending them to court.

When an eligible case is received whether from the police, the schools, the parents or whatever—you must arrange a family session to discuss the problem. Every effort should be made to insure that this session is held as soon as possible. Most should be held within the first hour or two after referral. Through the use of family counseling techniques you should seek to develop the idea that the problem is one that should be addressed by the family as a whole. Locking up the youth as a method of solving problems should be discouraged and all should be encouraged to return home with a commitment to try to work through the problem. If the underlying emotions are too strong to permit the youth's return home immediately, you should attempt to locate an alternative place for the youth to stay temporarily. This should be a voluntary procedure which requires the consent of both the parents and the youth.

Families should be encouraged to return for a second discussion and depending upon the nature of your project and the problem for a third, fourth or fifth session. In many projects the maximum number of sessions is five. Sessions rarely last less than one hour and may go as long as two or three hours.

All sessions after the first session should be voluntary, and whether the family returns, left to the family itself. In many cases you may be in contact with the family by phone whether there is a follow-up visit or not. Members of the family should be encouraged to contact you in the event of a continuing problem or some new additional problem.

While it is difficult to predict how any particular day will be spent, you are most likely to be involved in:

- Handling a new intake situation, arranging a family session and seeing the family.
- Holding a follow-up session with a family you have seen before.
- Handling an incoming phone call from someone in the community who has a problem and wonders whether you can be of help.
- Handling an incoming phone call from someone you are currently seeing or have previously seen who wants some more help.
- Phoning families on your caseload that you are concerned about.
- Dictation and paperwork; dictating information on families you have seen and entering information in intake logs, case files and various other forms you are required to complete for departmental records and research purposes.
- Discussing cases with your colleagues or training consultants.

B. Am I Qualified?

Generally there are no formal qualifications for becoming a probation counselor. The job is a very demanding one, however, and should be undertaken only if one is interested in working with families as a whole and willing to undergo the introspection and self-examination necessary to do that successfully. The experience is likely to have a powerful emotional impact both on your work and your personal life. You must be both prepared for this and stable enough to handle it.

The qualities thought most important by the Sacramento staff were:

- "A sense of humor to help you keep your balance; willingness to take a chance, to risk giving of yourself; time and energy; willingness to change and adapt to situations."
- "Willingness to look at self and own family rules: someone who is genuinely concerned about people

and *their pain*; willingness to be open with people."

- "Desire to learn and experience new and perhaps radical ways of dealing with old problems--flexibility."
- "Someone who has a goal of becoming a therapist."
- "The demonstrated ability to work in concert with co-workers; commitment to family therapy as a valid technique; desire to help families; and *patience*."

C. Should I Volunteer?

This is a question which only you can answer, and which should be carefully considered. Here are some of the reasons offered by the Sacramento staff:

- "It sounded like a very intriguing experiment and captured my imagination."
- "Sounded like something I believed in. Opportunity for self-development."
- "It was a challenge--something new and I liked the concept."
- "Wanted to get involved in some counseling. Needed it for my own professional growth. Job sounded exciting."
- "I volunteered for the training offered and to broaden my experience as a probation officer. I had no juvenile probation experience when I volunteered. The experimental nature of the project appealed to me."

D. The Concepts of Family Counseling

All probation departments recognize that working with families is an important part of their work to some degree. Many seek to involve the family in some way in the decision-making process--having the parents come to the probation office to talk about the youth's problem. Some even call this kind of activity "family counseling" or a "family crisis program."

"Family counseling," in the sense that it is used in the Sacramento and similar projects, means something quite different, however. It is a whole system of counseling that you will learn more about during your training and involvement in the unit. For now it is important to emphasize three basic concepts: (1) counseling with the family as a unit rather than as individuals, (2) focusing on the family as a whole rather than on the individual wrongdoer, and (3) insuring that communication during the counseling session is basically between the family members directly rather than through the counselor as an intermediary.

1. *Seeing the family as a whole.* This means not talking to the child separately and the parents sepa-

rately, but seeing the child and his family together at the same time for counseling. "The family" is for this purpose not just the mother and the father, but also brothers, sisters or anyone else who is involved in the home or the situation, including grandparents, boy-friends and others.

The importance of this principle is illustrated clearly in the situation of the split family in which the child is continually running away from the parent with whom he lives to be with the other parent, who lives elsewhere. This problem is obviously difficult to solve if the only people present are the child and the parent he lives with. Part of the problem clearly is communication between the two households, and this can best be dealt with if all the parties can be brought together in the same room. If one member of the group is left out, it will be very easy for that person to sabotage whatever plans are worked out.

Another common situation involves a grandparent or other relative, not in the immediate family. In such situations the mother may be out of the house a lot, leaving the grandmother to supervise the child. If the grandmother's rules for the child are very different from the mother's, this can get the child confused and angry. By trying to please one, he may be displeasing the other. If the only persons included in the therapy sessions are the parents and the child, it will be difficult to understand that process. If, on the other hand, the grandmother is included, the kind of conflicts that arise at home will generally surface in the counseling sessions. The parents may be saying, "Detain him. He's bad and should be locked up;" the grandmother, "This child is really good. I would like to have him come home." The counselor is in a good position to point this process out to the family by saying, "If I were Johnny, I'd be really confused about how you all feel about me. Do you usually disagree when it comes to dealing with Johnny?" The process is out in the open and can be dealt with.

There is some difference of opinion as to what age children to include in the session. Some family therapists will see all kids no matter what age. Others feel children should be at least around five years old so as not to create too distracting an influence. Including all members of the family clearly gives the most information. Suppose the problem is a 16-year-old runaway whose mother has remarried and has a one-year-old daughter. If the baby comes to the counseling session a great deal can be learned from the way in which the parents deal with her. Perhaps the parents are overly attentive to the younger child, and the son's facial expressions show that he resents it. Having the child there will make the problem more apparent. On the other hand, the one-year-old might cry a lot or cause some other problems

that the counselor would rather not deal with. Essentially the decision is one of personal choice.

2. *Focusing on the family as opposed to the child.* Very often the child that is arrested is the one who is referred to in family counseling terms as the "identified patient," the one who is conceived to be responsible for all problems in the family. This is rarely, if ever, the case.

Often there are problems between the parents, between the parents and other children and between the children themselves. They all might be grieving the loss of a loved one, worried about Dad's losing his job, or fearful that Mom's going crazy.

The theory of family crisis counseling is that the acting out of one member of a family is usually a symptom of a family problem and by bringing together members of that family at a time of crisis, you have the best chance of helping the family learn better ways of handling their situation.

3. *Direct communications.* Another important principle of family crisis counseling is that communications between family members should be made directly rather than through the counselor. Direct communications avoids the temptation to provide the family with answers to questions and to take sides with one person or another about issues such as what time should curfew be or should a 16-year-old girl go out with a 23-year-old man.

Communicating directly also assists in understanding the family process—the way in which family members relate to one another. Is one child the scapegoat in the family so that all blaming statements are directed at him? Is there a rule in the family which says protect Mom, so that whenever the therapist gets close to Mom's pain, the children start creating a rumpus or the father changes the subject? These are the kinds of things that can best be learned from watching the family talk directly with each other.

Requiring the family to talk to each other rather than through an intermediary also helps in determining whether they can, in fact, communicate with each other. Often family members do not hear each other or communicate what they want clearly.

This is a serious problem for many families. Topics such as drugs or sex may make parents too angry or upset to talk, or may find children too shy or inhibited. As kids grow up and reach 16 or 17, they may find these are the things that concern them the most, while at the same time they are the things that are most threatening for the parents. A lot of yelling and screaming can result—with the parent saying, "No, you can't do that. I

won't allow it," and the child saying, "I'll do what I want to. You can't stop me."

It is important for families to find some way of communicating about this kind of topic. The counseling session can provide an opportunity to do this. By talking about these topics in the family counseling session, the family will have opened the possibilities for further communication when they return home. If all communication between father and daughter is through the probation officer, however, they may feel comfortable talking to him, but still feel uncomfortable talking to each other when they return home. Direct communication on the other hand promotes a learning process within the family. Communicating with one another in counseling sessions shows that it is possible to talk with one another about this kind of topic.

Another example of not communicating clearly is referred to in family therapy as a "double message." A father might say to his son, for example, "That was really terrible that you stole that car." What you see on the father's face when he says this, however, is a smile, and what you pick up is some sense of excitement or pleasure about what the child did. Thus the child receives a conflicting message. The father's words indicate one attitude and his non-verbal behavior another. Direct communication makes the process easier to understand.

Having the family members communicate directly with one another as opposed to through the probation officer is a technique that is not used by all family therapists. Some professional family therapists work in the old psychiatric tradition of having the patient talk only to them. For probation settings and in brief therapy, however, it seems clear that direct communication is much better.

E. Some Problem Areas

1. *Detention.* Whether the youth involved in a 601-PINS type case should be detained or not is a crucial issue. In part, the issue is a philosophical one--there is no apparent reason why kids who run away or are labeled "beyond control" or "incorrigible" should be locked up. There is an obvious family problem, but no clear reason why one member of the family should be punished because the family is having difficulties.

There are also practical considerations. The youth may already be the "scapegoat" of the family. By detaining him, this role is confirmed. In effect the detention says: "Yes, you're right. He's the problem, and he needs to be punished." This makes the problem more difficult to resolve. Detention also seriously affects the opportunity to deal with the crisis. If the child is detained for a day or two, the emotions, although still high, will not be at the level they were when the youth

was first brought in. The defenses will be back in operation, and it will be more difficult to get at feelings. In addition, in some states detention for any period of time or for some particular period of time automatically means the case must be referred to court.

By detaining a youngster in this kind of case, the probation department is, in effect, taking control of the family's problem. The message to the parents is "Okay, we'll lock up your kid, provide him room and board, and see what we can do to straighten him out." By far the better message is: "Hey, parents. This is your kid and this is your problem. Get down here so we can get to work and find out what's going on in the family that caused him to run away." Once a family gets the idea that the police or the court will take the problem off their hands, it becomes that much easier for the family to look to probation departments or the police to solve their future problems.

Often, however, the issue is not--at least initially--the agency's posture toward detention, but rather that of the parents or the child. The parents are angry and want the child locked up. The youth refuses to go home, saying he'd rather stay in jail.

How do you avoid detention in this situation? What strategy does the counselor apply?

The best approach is to avoid confrontation, to stay out of a power struggle with the family over who is in control. Don't argue with either the parents or the child about detention. Go instead directly to the basic problem. Find out what is upsetting the family and give them a chance to express their feelings, including whatever anger and concerns they may have. The counselor can say to the parents, "If you want to lock up your kid, you must really be angry. I wonder if you could tell me a little bit about what's going on." To the child the counselor can say, "It sounds like you're really angry at Mom and Dad and you want to live somewhere else. Maybe you can let them know what the anger is all about. What goes on at home that gets you so upset that you want to leave home." The counselor should try to deal with the feelings behind the anger that have led the family to decide that they don't want to stay together. Generally, it is real caring and concern for each other, but that somewhere along the way someone began to feel unloved or unwanted. If the counselor can break through some of the resistances and allow family members to get in touch with some of the caring and concern that is underneath the anger, detention will no longer be an issue.

At all costs the counselor should avoid arguing with parents about whether or not kids should be detained. Lecturing is equally bad. In one case observed, a probation officer met with a couple who wanted their child locked up. She gave them a lecture on how wrong

that was, arguing that the child would only learn more about crime and would become even angrier and less cooperative. She concluded by stating that it was the worst way to handle this kind of situation. While everything she said may have been true, the effect was to tell the parents that they were wrong, that she knew best, that she was in control of the situation and was going to tell them what to do with their kid. This is no way to start a counseling session.

This approach is as bad as siding wholly with the parents. The problem is to get parents and child to work with each other. If either side is pushed into something with which they do not agree, there will be no lasting solution. Both the parents and the child ultimately have the power to force the issue if they choose. The child can run away or act out. The parents can refuse to take responsibility or accept the child back.

Another problem is that if the counselor gets into a power struggle over detention, this will lock the family into positions. Suppose the counselor confronts the parents and they tell him, "I absolutely refuse to take him home." Then the family is in a position of trying to save face by not going back on what they've already said. The rule to follow as to power struggles is if you can't win them, avoid them.

There is nothing wrong with the counselor indicating at some point late in the session why he feels detention would not be a solution. Generally, however, this should be done only as a last resort when the issue cannot be ducked.

If in spite of the counselor's efforts, the parents refuse to have the child home, or the child refuses, an attempt should be made to work out a temporary placement. It is important that the parents and temporary foster parents understand that this is a voluntary procedure on their part, and all that you are doing is merely assisting them in working it out. Generally the law permits this, but because the law varies you should check with your supervisor as to when these kinds of placements are permissible in your jurisdiction. In some states, as long as the child is 16 or over, there is no problem involved in a voluntary and temporary placement. If the child is under 16 and the placement is with a non-relative, a consent form signed by the parties will alleviate legal problems that might arise from having the probation department involved in placing a child without consent of court.

Where a child is temporarily placed outside the home, it is important to stay on top of the situation by calling up and checking with the temporary foster parents, the child and the parents to see how things are going. Also, you should continue to work with the parents, child and perhaps the temporary parents in continuing sessions to see if more permanent solutions to the family problems

can be found. In the event that further counseling is not effective and a longer-term placement seems necessary, it is essential that this issue be talked about with the family. There is no sense hiding the fact that they can't live together. They know it and you know it, and the sooner that is put on the table and talked about, the more progress you are able to make. It is important for the family to realize that this is their lives, they are in control, and they have to make the decisions. They are better qualified to make them than you are or the juvenile court judge. Your role, as before, will be to assist them in working things out.

If a permanent placement becomes necessary, there is no reason why this has to go through the juvenile court. Sacramento and other projects have found that voluntary placements can be made with many agencies including the county welfare department. You have to keep in mind, however, that this is something the family must decide for itself and your job as the family counselor is to help them work this problem out. They need a lot of encouragement and must be open and honest in dealing with a most difficult situation.

2. *The initial approach: consent and miranda warnings.* The Sacramento diversion approach is based on consent. No one is forced to go through the process who does not wish to. This point must be carefully covered in the initial discussion between the counselor, juvenile and the parents.

It is also necessary that the Miranda warnings be given in this same discussion. How to cover both these points without creating confusion requires some care.

On suggested approach is as follows:

My name is _____. I am a probation officer specially trained to help families deal with the kinds of problems that have led you here today. I would like to work with the family as a whole so that together we can better understand what led to this present crisis and learn ways in which to avoid further contact with law enforcement. You are not required to work with me in this way, however, and can if you wish choose to go to court. If you do decide to work with me, this case will be dismissed after our talk today. If you find this talk helpful, you are invited to return for further sessions if you like. Whether you choose to come or not, however, is strictly up to you. You will be under no compulsion to do so.

Do you have any questions about what I have said?

Understanding what I have just said, would you like to work with me?

Assuming that the answer is yes, proceed as follows:

There is one further matter which I must cover with

you. While I am basically not interested in what _____ has done or whether he is guilty or innocent, there is some possibility that anything which might be said could be used in court at some time in the future. I am therefore required to advise you that you have the right to remain silent, that anything you say can be used against you, that you have the right to an attorney, and that if you cannot afford an attorney, one will be appointed for you.

Do you understand what I have just said?

Keeping in mind both what I have just said and what I said earlier, would you still like to proceed ahead with me?

If the minor or the parents refuse or are reluctant to proceed, be sure they understood what was said. Make it clear that it is not necessary for the minor to speak about the alleged offense in order for you to work together. You are more concerned with helping the family and avoiding any future contact with law enforcement than determining guilt or innocence. At the same time, indicate their option to proceed to regular intake and fully explain that process to them.

If the minor or the parents indicate that they have or plan to get an attorney, ask for the attorney's name and permission to speak to him. If they agree, discuss the project with the attorney and see if he wishes you to proceed. If not, refer the case to intake.

If explained clearly, most families will choose to go ahead with the diversion process. It is important that they understand, however, that they are doing so on a purely voluntary basis. In addition, it should be made clear at the end of the initial session that the case has been dismissed, that the youth is not on probation, and that the family is perfectly free to come back for further sessions or not come back as they choose. It is central to this kind of program that this voluntary aspect be made crystal clear, because the whole approach depends upon the family taking responsibility for themselves, with your providing encouragement that this is something that they can do. The notion that the child has to be on probation labels him as *the* problem and the notion that they have to come back for counseling indicates that they are not capable of handling their own lives.

In most jurisdictions, discussions between a probation officer, counselors, and family members are not confidential in a legal sense. The probation officer can be subpoenaed to testify in court as to what was said to him. If the youth starts to talk about some criminal act in which he was involved—a burglary, for example—it is important that he immediately be rewarned of his rights so that he understands that even though the probation officer is talking to him as a family counselor and wants

to work on the family problems, he may still be obligated under the law to testify at some future time as to any admission made.

3. *Setting up initial interviews late at night.* Setting up initial interviews late at night (particularly after midnight) can be a serious problem. Much turns on the way the issue is approached. One way is that below:

Hello, Mrs. Brown? I'm from the family crisis intervention unit here at juvenile hall. Your son has just been arrested. I know it's really late at night, you're probably tired, and it will be most inconvenient for you to come down here tonight, but I was just wondering if it might be possible for you to get down here or would you rather come in the morning? The response to this kind of invitation is usually, "I'll see you in the morning" A different approach is:

Hello, Mrs. Brown? I'm from the family crisis intervention unit. Your son has just been brought in here by the police. He is very upset. I've set an appointment for you in a half hour and I look forward to seeing you and your husband then so we can make some sort of decision about what to do in this situation.

This kind of affirmative statement is much more apt to get the family in. If they give excuses or raise problems, you can say, "I know it's inconvenient but it is essential that some kind of decision be made tonight. I'll be happy to discuss any other concerns you have when you get here."

Obviously a lot revolves around your own feelings about getting a parent in at the particular time involved. If you feel that this is inconvenient or an imposition, the family is probably not going to come down. If you feel that it is important—that if it was your kid down there, you'd sure be there—you are much more likely to be able to persuade the family as well.

4. *Follow-up sessions.* The same type of dynamics is involved in the success of getting families back for follow-up sessions. If your approach is negative or wishy-washy, the family is likely to have doubts about whether they are wanted back:

Well, this has been a fairly good session. I hope that you possibly got something out of it and that you feel somewhat better about what's happening. I wish I could have done better. I Hope that maybe you'll come back to see me again, maybe next week. Do you think that would be at all possible?

On the other hand, if your approach is positive, they are much more likely to return:

Well, I feel really good about the way you and your husband conveyed your feelings to your son and about the way he expressed himself to you. I see a great improvement in the way you communicate with one another. I feel a lot of concern on your part, a lot

of caring and a lot of closeness, and it seems to me that if we were to work for two or three more sessions that things would really improve dramatically. I would really enjoy seeing you next week at the same time. How do you feel about that?

The therapist has conveyed that he or she enjoys working with the family and is optimistic about the way things are going. Of course, you can also convey your concerns if you have specific concerns. It is important to be absolutely clear that returning for any follow-up sessions is completely at the family's option. It is equally important, however, that you be clear about wanting them to return if that is the case.

Ultimately, the question again boils down to one of attitude. How available am I as a person to this family? How do I come across to them? Am I open? Do I seem interested in them as individuals and as a family? Do I care what happens to them and does my caring come through? If you come across in the right way as a person, then you will have much less trouble having those families you wish to see again come back.

F. Role Conflict—Probation Officer vs Family Therapist

One of the problems you should be aware of is that each counselor is really two people rolled into one—part is a probation officer and the other part is a family therapist. The probation officer is the symbol of authority—the one who meets the police officer at the door, accepts custody of the youngster, introduces himself to the family as a representative of the department, the one who has been trained in some of the legal aspects of probation—what constitutes a burglary or robbery, who knows what kinds of cases usually go to court and what the rules and regulations of probation are. Parents often come with the notion that the probation officer is going to solve the problem of the youngster's behavior by threatening him with juvenile hall and court, and by telling him not to do it again.

In the family therapist role, however, you must not blame or take sides with the child against his parents or with the parents against the child. Instead of giving advice, you must help the family solve its own problem. You are there as a facilitator to help them communicate better with each other, not to tell them what is best for them to do.

The tendency is for family members to tell you what the problem is so they can get your advice about what they should do. So a parent might turn to you and say, "Look, my daughter is only 16 and she often comes home at two in the morning. What would you do if that were your daughter?" The probation officer might very well say, "Well, I think two o'clock is too late, and according to the law there is a 12 o'clock curfew, and I

think until she is 18 she should maintain that curfew." The family therapist does not want to get trapped in that way. As soon as you say that, you have sided with the parents against the child and it is going to be very hard to reach the child in any meaningful way in any further sessions. She has already said to herself, "The probation officer is against me. I am all by myself, and he is not going to listen to me any more than my parents do. I might as well just keep my feelings to myself and if things get worse, I will just run away."

The family therapist, when confronted with this question about what they would do in a particular situation, would simply ask the parent to discuss that with the child: "Why don't you talk to her about it rather than to me? I understand that I am here and you think this information is important for me to know and it seems silly for you not to be talking to me, but the way in which I work is that I want you to talk to each other. You need to learn better ways of communicating clearly with each other so that you can work out your problems and that is what I can help you do."

One of the first situations in which the conflict between probation officer-family therapist shows itself is in how you introduce yourself. Do you introduce yourself as a probation officer, a family therapist, or both? You have to be very clear in introducing yourself as to who you are, and it seems that what you are is really a combination of both—you are a probation officer who is specially trained to work with families.

Role conflict also shows itself in the referral of cases. The Sacramento program and most similar family crisis intervention programs work on the brief therapy model—up to five sessions and referral of long-term problems to community agencies. At the outset there usually is the assumption that there are a lot of agencies which are available to deal with problems. The initial feeling is, "I am a probation officer, not a family therapist. Maybe I am learning to be one, but at least for now I am going to refer these cases to other people who are more competent to deal with them than I am." The Sacramento experience, as the project progressed, was that counselors became aware that the agencies supposedly available to help really weren't. They would not handle delinquents or families on welfare or they would handle them but not for another month because they already had too many cases on the waiting list.

The longer the project was in operation, and the more experienced they became in working with families, the more they realized they really were the experts in the field. They could do a better job with these kinds of situations than the "professionals" out in the community.

The Sacramento staff had this to say in describing the conflicts they saw in the dual role:

- "Keeping out of the advice-giving role of P.O. This is often expected by the families we see before the ground rules are set up. Some families cannot accept probation officers in a therapist role."
- "Some families expect an authoritarian approach from a P.O. and are disappointed when responsibility is shifted back to the family with a different kind of help."
- "I get stuck with some families or parents who want us to discipline and lock their kid up without getting involved in any family process."

These themes are also echoed in the differences seen by the Sacramento staff between their role in the diversion unit and their prior work in the department:

- "There has been no similarity between prior probation experience and the diversion unit except I *'worked with families.'* The difference is that my potential for working with people was cultivated and began to grow.
- "It is different in that I am able to understand the family process and make contact with the family. I didn't feel regular probation made any impact or helped change what was happening."
- "In supervision I did some family counseling but never at the level I have done in diversion. It has been different because you work as a counselor rather than as a probation officer."
- "The biggest difference has been the time available to work with families and the degree and intensity of my own professional involvement with the families."
- "No major similarities. I feel a real attempt to 'treat' rather than offer surveillance."

G. The Need for Training

Most people who do family counseling have undergone a great deal more training than you will be able to receive. The training that you do receive, however, is likely to be one of the most important and most rewarding aspects of the job.

The Sacramento staff found almost all the different kinds of training helpful. When asked what they found most helpful, they responded:

- "Originally, watching experts work. Now I need more work on myself, and where I am stuck."
- "Role playing; group encounters; observing other therapists work."
- "So far, I have enjoyed and felt that I got the most from structured consultation days (teaching, or observing consultants work) plus working cases with a consultant."

When asked, "Do you think more training would help?", the staff was unanimous in emphasizing its importance:

- "Continuous training is needed if for no other reason than to rejuvenate you."
- "I need rejuvenation every now and then. Sometimes I'm afraid my approach is becoming 'institutionalized.'"
- "Staff on-going training is essential in all areas: self, marital, family. Increase in knowledge equals an increase in effectiveness."
- "More training would help. After a year's experience the concepts would be grasped by workers. They would have a frame of reference from which to work."
- "Yes, training provides me with a 'shot in the arm' and I need this periodically. I get stale and almost indifferent until rejuvenated."

H. How Well Does the Experience Wear?

The Sacramento staff is made up of deputy probation officers who volunteered to become part of the diversion unit. After three years all of the original staff were still with the unit. When asked how they felt about their experience, they had these comments:

- "I'm neutral right now. I enjoy the work. I'm comfortable with the unit. Sometimes I feel that being involved in diversion is risking later needing personal therapy. It's a hazard of the job!"
- "It's been highly successful with the intended goal and a tremendous experience for me. I hope that the concept will continue to expand within the department."
- "I feel it is very vital to the department. I can't imagine having to go back to old intake way of handling 601's—it would be a big loss to families."
- "We have reached a plateau. Our techniques are excellent, but we are struggling to become better *long-term* therapists with families."

When asked whether their expectations had been met, they made these comments:

- "Yes. I feel it has been the most rewarding work I've ever done."
- "I could not have expected to get as much as I have out of the program. Everything that has happened to me has been above my expectations. My growth as a person, my ability to work with families and skills as a therapist—all are above expectations."
- "Yes, I feel better about myself and understand more about families—feelings, processes, etc."
- "Yes. Training has been generally what I was hoping for. The experience has been intense and the experiment had its glamorous side."

The staff was also asked how they anticipated the diversion experience would affect their future careers:

- "It has affected me which means I'm a different person than I was three years ago. Who knows beyond that?"
- "It should be helpful in *any* form of supervision, adult or juvenile. I know a lot more about me."

- "I think it will benefit me as I doubt I would be assigned to a court unit or other routine job since it is known I have special training and experience."
- "I will always be striving to understand the process rather than the content."

CHAPTER VIII. HOW OTHER COMMUNITIES HAVE DONE IT

No two communities are likely to go about tackling a problem in exactly the same way. Some will want to begin in one way and others from exactly the opposite direction. This section is intended to give some insight into how several communities other than Sacramento have gone about trying to create Sacramento-type programs.

The purpose of this is not to suggest that other communities should try to emulate either Sacramento or the other communities here described. Rather the purpose is to show some of the issues and some of the solutions developed in other communities.

The Sacramento 601 Diversion Program began in October 1970. Almost from the beginning there was great interest from other communities. In the first year alone over 200 inquiries were answered from throughout the country and a few from abroad as well. Over 20 other jurisdictions visited the program itself. In succeeding years the number of inquiries has not diminished and the flow of visitors has remained high. No attempt has been made to keep track of the results of all these inquiries. What follows therefore is not a systematic attempt to cover the progress of the ideas involved wherever they have been considered but rather a sampling of what has happened in several specific communities. Other approaches or developments may have occurred in other communities.

Four communities will be discussed: Alameda, Contra Costa and Humboldt Counties, California, and Virginia Beach, Virginia.

A. Alameda County

With a population of over one million, this county is California's fifth largest. It includes both the inner city core of Oakland (350,000 population) as well as a broad variety of other urban and suburban areas.

The program began as a result of an internal probation department study committee. Meeting on its lunch hours and whenever it could find time, this committee was concerned about the problem of run-aways and status offenders. Several members of the committee visited and observed the Sacramento program and decided to try the approach. Their recommendation was approved and in September 1971 the program got underway.

This was done entirely by reallocating resources within the department. No grant was sought or obtained. The person assigned to supervise the unit was an experienced administrator and a member of the committee which planned the program. The program began with the assignment of seven staff members of the juvenile division to the Family Crisis Intervention Unit. Initially the program operated only at juvenile hall in San Leandro, a largely suburban area. In September 1972 a second unit was opened in Oakland. The program now has a staff of 16 and two supervisors.

Before work was even started, the seven original deputies and the supervisor were freed from regular duties to enter a two-week training program with various family therapists from the Bay Area. As the Alameda County program was not funded by a grant, this placed an additional burden on the other deputies in the department who had to "pick up the slack" while the unit was training; but once the work was underway, the reduction in the number of juveniles being sent to court or placed on probation made integration of the new program into departmental operations an easy matter.

The initial training was provided through a departmental training budget. The staff was also able to attend a LEEP-financed training program. Other training was provided through various community agencies and private practitioners on a voluntary basis, and some was paid for by the staff themselves.

The unit staff all work a ten-hour day, four-day week. Since the unit is open seven days a week and holidays from 8:00 a.m. to 11:00 p.m., the staff works a rotating schedule which allows for one four-day weekend off every third week. Shifts are rotated between day and evening every six weeks and, whenever possible, a man and a woman work together to facilitate the team approach. Appointments are scheduled at three-hour intervals if possible but since this is a crisis unit, it is often necessary for the staff to quickly adapt to whatever comes in. Times of extremely heavy intake have been experienced but the unit appears to run most comfortably when intake is limited to approximately 15 to 16 new cases per deputy per month.

As a result of the program, the petition rate has dropped from about 30 to 4.5 percent with respect to the cases it handles.

B. Contra Costa County

This county of 550,000 plus population is also located in the San Francisco Bay Area. In 1971 under a grant from the California Council on Criminal Justice (\$133,962), two more or less separate diversion programs were started in the county. One was located in Richmond, an inner core city of 80,000 with a 40 percent minority population and a high crime rate. The other was located in Concord and covered the more suburban and middle class areas in the remainder of the county.

The director of the project was appointed in November 1971. A casework supervisor, five deputy probation officers, two probation aides, and two clerks made up the original project staff. Based upon the apparent success of the program, the probation department assigned two additional deputy probation officers to the Concord unit in October 1972.

Both units lease office space in facilities nearby but separate from the probation department and the juvenile hall. Project staff assigned to the Concord unit were scheduled from 8:00 a.m. to 10:00 p.m., Monday through Friday, and 8:00 a.m. to 6:00 p.m. on Saturday. A similar pattern is followed by the Richmond unit except they do not have staff coverage on Saturday. Cases were accepted into the project in January 1972.

The Probation Intervention Unit, as the Richmond program was called, was one of four components of the Richmond Youth Service Program. The others are a drug education program and an out-reach component designed to provide supplemental education, recreation and counseling services to the area's youth. The staff consists of a supervisor, two caseworkers (deputy probation officers), two intervention specialists (probation aides) and a full time clerk-secretary. The two caseworkers have intake and counseling responsibility, with an estimated caseload of 15 families per worker per month. The intervention specialists are normally responsible for case follow-up or recontacting families that have been referred to outside agencies or closed out by the unit. They also act as co-therapists with the two caseworkers.

As soon as possible after the youth in the 601 category arrives at the juvenile hall, a deputy from the Probation Intervention Unit will contact the family in an effort to arrange for his release. At the same time, the deputy confers with the child and his family regarding the behavior or conditions which might have caused the referral. The deputy spends as much time as necessary to work out a method whereby the youth and the family can deal with the behavior or condition in a constructive way. He provides follow-up service to the youth and his family as frequently as necessary for up to 90 days. Most cases come from the police or other parts of the

probation department, but cases may also come from the schools, the social services department (welfare) or from other agencies. Essentially the same service is provided, whatever the source of referral.

In some cases, it is necessary for the deputy to arrange for temporary placement for a youth pending his return home. The Richmond unit can take advantage of the Richmond Youth House for temporary placement. Follow-up assistance to the family may require referral to a counseling program, help in getting the youth readmitted to school, arranging for tutoring, introduction to a drug therapy program or placement in a group counseling program. Again, in the Richmond unit many of these services are provided by the Youth Services Bureau.

The Richmond unit handled 165 cases in its first year and the Concord unit handled 266. Together petitions were filed on 19.5 percent of the cases as opposed to 43 percent of a similar group of pre-project cases. Juvenile hall detention days for the project were also substantially reduced.

C. Humboldt County

This is a small coastal county in Northern California near the Oregon border (population 100,000). The program was started in 1974 under a grant from the California Council on Criminal Justice (\$53,530). Both 601-PINS type and minor criminal cases were included. The project is staffed with three probation officers and a clerk-typist. An initial training period of two weeks was included in the grant as was provision for on-going consultation with a local psychiatrist.

The unit is located in the probation department and operation is essentially from 12 noon to 10 p.m. except for Fridays and Saturdays when coverage is extended to 2 a.m.

During scheduled hours, the unit handles all eligible diversion cases brought into custody and placed in the waiting room at juvenile hall. Any minor already on probation who is referred for a new evaluation is not eligible for entry into the diversion project; his assigned probation officer handles the case. This also pertains to school problems if the minor is on probation.

D. Virginia Beach

Virginia Beach is a city of 100,000 plus located in the Norfolk metropolitan area. This area was one of eight in the nation involved in the pilot cities program. In 1973 the local pilot cities staff developed what became the Virginia Beach Juvenile Status Offender Diversion and Treatment Program.

The program is staffed with five probation officers and one supervisor and is located in a house near the

main probation department. Initially there was a problem in receiving the eligible cases from intake. This was solved, however, through better education of the intake officers and more automatic procedures. None of the staff had prior probation experience.

The program has the objective of reducing the caseload of the juvenile court and preventing recidivism.

To achieve these goals, the program provides intensive, short-term family counseling to the youth and his family prior to and in lieu of a formal judicial hearing.

The program began operation in December 1973. Early reduction returns indicate that the unit has been effective in diverting cases from court. No data is yet available as to recidivism.

APPENDIX A
A PRE-PROJECT CASE EXAMPLE

A PRE-PROJECT CASE EXAMPLE

On April 19, 1968, Susan L. was brought to juvenile hall by her parents in the hope that a probation officer could prevent any further misbehavior and dissuade Susan from wanting to leave home and live in a foster home. At this time Susan was a very attractive 15-year-old.

According to the probation officer who handled the situation and wrote the intake report:

During Easter vacation her father hit her for wearing a girlfriend's skirt, calling her a liar and a bitch. The parents indicated they did not want Susan wearing the girl's skirt, that they do not like Susan in those kind of clothes. Susan admits that she deliberately turned up the hem of her already short dress in order to be kicked out of the house by her parents so she could come to juvenile hall. She stated that they are constantly fighting and picking on her over everything.

The probation officer offered to place Susan on informal probation, without going to court. She refused, stating that going home would not do any good and that she would rather stay in juvenile hall. After a short stay in juvenile hall, however, Susan changed her mind and returned home on informal probation.

A second probation officer was assigned to supervise Susan. On April 25—one week after the initial trip to juvenile hall—this officer reported the results of her initial home visit:

This officer stated to Susan the terms and conditions of probation and made specific emphasis on the fact that she was required to obey her parent's wishes and she was not to leave the home without their permission. This officer also advised Susan that she would prefer that she not associate with other children who were on probation since they seemed to be a very poor influence on her.

Two months later, on June 18, the second probation officer paid another visit to Susan's house because some trouble had arisen. In her report of this visit, she stated:

This officer gave Susan quite a lecture about leaving home without permission and also remaining away from home overnight. At this time Susan was placed on restriction for two weeks, at the probation officer's recommendation. Her parents felt that this was suitable punishment for what Susan had done.

The parents advised the officer that if this happened again, they would most likely not be happy to have her in their home on a permanent basis. The officer advised that if Susan left home without permission again and remained away all night, they should most likely bring her down to juvenile hall for being beyond their control. The parents felt that Susan was psychologically unstable and felt that there were certain things in her actions and behavior that they felt were abnormal for a girl Susan's age. The officer recommended that if they felt she needed some kind of counseling or help that they take advantage of psychiatric services.

On October 27, Susan was released from informal probation. She had been seen six times over a six-month period. Probation officer #2 in the release summary stated:

At this time the situation seems to have stabilized somewhat; however, it could blow up at any time. This officer would say that Susan's adjustment has been marginal and the prognosis only fair.

Three months later (January 31, 1969) Susan was again brought to juvenile hall by her parents for being beyond their control.

A third probation officer handled the situation and wrote the intake report:

Mother seems to be extremely cold and is not realistic in attempting to understand this minor. Father appears to have the same difficulty but appears to care for the minor more than the mother. Both parents are complimentary about the girl's intelligence and future but seem inadequate in helping her.

After several days in the juvenile hall, Susan was again placed on informal probation and the case assigned to a fourth probation officer.

Five weeks later (March 5, 1969) Susan ran away again. A fifth probation officer screened the case and referred it back to probation officer #4.

Probation officer #4 tried to work the situation out, but since the parents refused to have Susan back home, had to refer the matter to court.

At the detention hearing two days later, the judge ordered that Susan be detained and that a psychological examination be performed.

The clinical psychologist assigned to this evaluation had this to say in his report to the court:

The psychological interview and the data available within the file indicate long-term difficulties within this family which will have to be solved in some way other than through strict authoritarianism on the part of the father. Even the mother has apparently recognized that the father is unfairly rigid at times and upon occasion has lied for this girl. The mother has given Susan permission to do some things while keeping them from the father simply because the mother feels that the girl is entitled to it. This of course can be quite misleading, offering many forms of inconsistency...This examiner is of the belief that without family counseling this girl stands little chance of making an adequate adjustment within her own home...Replacing this girl in her own home as a Ward of the Court without any form of professional intervention or assistance will do no more than to encourage the parents to further inhibit this girl's behavior and at the same time make it almost impossible for her to operate in any way other than a rebellious manner. To prevent such a failure, this examiner feels that outside professional help will be the only method which can assist the family in correcting the distortions that exist between them. Probationary services, per se, will be of little value in this instance, as the parents, particularly the father, will merely rely upon the probation officer [the judge] to enforce whatever rules her father deems necessary. This is a family problem with the girl showing the symptoms. In order to help this girl and her symptoms, the difficulties within the family must be worked out.

The probation officer writing the court report—who coincidentally was officer #2, the first to supervise Susan—stated:

Susan will continue to have difficulty in the home unless the probation officer is extremely supportive

of the parents' position and makes the minor realize and accept the fact that as long as she is residing in their home that she will have to abide by their rules.

After considering these reports the court adjudged Susan a ward of the court and returned her home on March 26. The court recommended a change in probation officers and also recommended that the minor and parents seek professional counseling.

On April 10, probation officer #6 was assigned to the case. On April 15, Susan was booked back into juvenile hall for truancy.

Probation officer #7 handled the intake and referred the matter to court. In his intake report he stated:

The minor has been advised that if she is again truant from school, that she will be picked up by the court officer and booked into juvenile hall.

On April 29, Susan was again booked into juvenile hall for truancy. Probation officer #8 handled the intake and referred the matter to probation officer #2 who had written the first court report and was writing the court report on the previous truancy. At the detention hearing held the same day, Susan was ordered detained. One month later on May 23, the court continued her as a ward and returned her home with a requirement that she work six days on the county juvenile work project.

On July 4, two months later, Susan again ran away from home, was picked up by the police and taken to juvenile hall. Probation officer #5 handled the intake and filed another petition alleging a violation of probation in that the minor ran away from home.

In 15 months Susan had been booked into juvenile hall six times—all for 601-type offenses—and had spent over 30 days in detention. She had seen eight different probation officers and a clinical psychologist. She had been referred to court on three occasions and appeared before a judge and two referees. Several probation officers, the clinical psychologist and the court had recommended on various occasions that the family get professional counseling, but this never happened.

APPENDIX B
SACRAMENTO 601 DIVERSION PROJECT --
FIRST YEAR BUDGET

SACRAMENTO 601 DIVERSION PROJECT — —

FIRST YEAR BUDGET

BUDGET SUMMARY FOR GRANT PROJECT

Budget Category	1st Year	2nd Year	Total
Personal Services	\$ 92,715	\$12,040	\$104,755
Travel	-	-	-
Consultants	5,500	500	6,000
Supplies and Operating Expenses	5,407	1,766	7,173
Equipment	-	-	-
Total Project Cost	\$103,622	\$14,306	\$117,928
Total Grantee Contribution	\$ 22,766	\$ 2,337	\$ 25,103

BUDGET NARRATIVE

This is a joint application on the part of the Sacramento County Probation Department and the Center on Administration of Criminal Justice, U. C. Davis. The special prevention and diversion unit proposed in the application will operate as an integral part of the Probation Department. Training, evaluation and research will be primarily the responsibility of the Center on Administration of Criminal Justice. Sacramento County will act as financial agent for the project, and will contract with the University for the services to be performed by the Center on Administration of Criminal Justice.

There are three principal items of cost in the project budget: training, operations, and evaluation and research. The training cost estimates are based on the cost of training and the experience of programs such as the New York City police family crisis intervention program. The operations cost component is based on a detailed analysis of the present workload involving cases coming under section 601 of the Welfare and Institutions Code (prejuvenants) of the Sacramento County Probation Department. Based on assumptions developed during the test period, it is anticipated that operation of the diversion concept would in time result in a significant reduction in total workload. There are some significant start-up costs, however, and several of the major

assumptions concerning the length of counseling required have not yet been tested far enough to warrant the major organizational shifts of personnel required without outside financial assistance.

The major portion of the funds requested in this application are to absorb the start-up costs and to test the major assumptions of the diversion concept. Funding of three staff positions and the supervisory position requested would enable the Sacramento County Probation Department to train a special prevention and diversion unit and operate that unit for a one-year trial period without major organizational disruption. Given three positions and a supervisor as a beginning for the unit, the department would be able to shift sufficient additional personnel to make up the basic staffing pattern. If the diversion concept works out as anticipated, the department would be able to absorb and continue the unit at the conclusion of the trial period. Costs for the operation of this unit are based on Sacramento County salary schedules and previous cost experience. These amounts are considered the key to the entire prevention and diversion program.

The evaluation and research costs are based on University of California salary and expense schedules and on the experience of the Center of Administration of Criminal Justice over the past year. More than \$15,000 has already been expended in the collection of baseline data and other research related to the proposed project.

DETAILED BUDGET SUMMARY – OVERALL PROJECT

	1st Year	2nd Year	Total		1st Year	2nd Year	Total
Personal Services				Student Research Assistant*--8 man months at \$571 per month	1,713	2,855	4,568
(1) 601 Prevention and Diversion Unit							
1 Supervisor--12-1/2 months at \$1165 per month (the present civil service range is \$1000-1213 per month and will go up 5 percent on October 1)	\$13,983	\$582	\$14,565	Total	\$92,715	\$12,040	\$104,755
				Consultants			
				60 consultant days at \$100 per day* (training, once-a-week consultation, and evaluation)	\$ 5,500	\$ 500	\$ 6,000
4 Senior Deputy Probation Officers--12 1/2 months at \$1050 per month (the present county civil service range is \$905-1102 per month and will go up 5 percent on October 1)	50,400	2,100	52,500	Supplies and Operating Expenses			
				Administrative costs* (based on percentage of salaries and wages negotiated annually by University-U.S. Dept. of HEW for all federally funded programs)	4,032	1,641	5,673
1 Typist-Clerk--12 months at \$486 per month (the present range is \$436-530 per month and will go up 5 percent on October 1)	5,346	486	5,832	Telephone and postage--12 months at \$50 per month	550	50	600
Fringe benefits (10 percent)	6,973	317	7,290	Materials, supplies, reproduction -- 12 months at \$75 per month	825	75	900
(2) Training, Evaluation and Research				Total	\$ 5,407	\$ 1,766	\$ 7,173
Project Coordinator and Evaluation Director*--15 months at \$1150 per month	12,650	4,600	17,250	Total			
				Personal Services	92,715	12,040	104,755
				Consultants	5,500	500	6,000
				Supplies and Operating Expenses	5,407	1,766	7,173
Clerical*--5 man months at \$500 per month plus fringes (10 percent)	1,650	1,100	2,750		\$103,622	\$14,306	\$117,928

GRANT FUNDS REQUESTED

Personal Services				1 Supervisor--12 1/2 months at \$1165 per month (the present civil service range is \$1000-1213 per month and will go up 5 percent on October 1)	\$13,983	\$582	\$14,565
(1) 601 Prevention and Diversion Unit							

*University items

	1st Year	2nd Year	Total		1st Year	2nd Year	Total
3 Senior Deputy Probation Officers—12 1/2 months at \$1050 per month (the present county civil service range is \$905-1102 per month and will go up to 5 percent on October 1)	37,800	1,575	39,375	Consultants			
Fringe benefits (10 percent)	5,178	216	5,394	60 consultant days at \$100 per day* (training, once-a-week consultation, and evaluation)	\$ 5,500	\$ 500	\$ 6,000
(2) Training, Evaluation and Research				*University items			
Project Coordinator and Evaluation Director*—15 months at \$1150 per month	12,650	4,600	17,250	Supplies and Operating Expenses			
Student Research Assistant*—8 man months at \$571 per month	1,713	2,855	4,568	Administrative costs* (based on percentage of salaries and wages negotiated annually by University-U.S. Dept. of HEW for all federally funded programs)	\$ 4,032	\$ 1,641	\$ 5,673
Total	<u>\$71,324</u>	<u>\$9,828</u>	<u>\$81,152</u>	Total			
				Personal Services	71,324	9,828	81,152
				Consultants	5,500	500	6,000
				Supplies and Operating Expenses	4,032	1,641	5,673
					<u>\$80,856</u>	<u>11,969</u>	<u>92,825</u>

MATCHING CONTRIBUTION

The matching contribution will be supplied through in-kind contributions from the Sacramento County Probation Department and the Center on Administration

of Criminal Justice, U. C. Davis. These are computed at standard salary and expense schedules and include:

Personal Services				Supplies and Operating Expenses			
1 Senior Probation Officer—12-1/2 months at \$1050 per month	\$12,600	\$ 525	\$13,125	Telephone and postage — 12 months at \$50 per month	550	50	600
1 Typist-Clerk—12 months at \$486 per month	5,346	486	5,832	Materials, supplies, reproduction—12 months at \$75 per month	825	75	900
Fringe benefits (10 percent)	1,795	101	1,896	Total	<u>\$ 1,375</u>	<u>\$ 125</u>	<u>\$ 1,500</u>
Clerical*—5 man months at \$500 plus fringes	1,650	1,100	2,750	Total			
Total	<u>\$21,391</u>	<u>\$2,212</u>	<u>\$23,603</u>	Personal Services	21,391	2,212	23,603
				Supplies and Operating Expenses	1,375	125	1,500
					<u>\$22,766</u>	<u>\$2,337</u>	<u>\$25,103</u>

*University items

APPENDIX C
SACRAMENTO 602 DIVERSION PROJECT —
FIRST YEAR BUDGET

SACRAMENTO 602 DIVERSION PROJECT — FIRST YEAR BUDGET

BUDGET SUMMARY

Budget Category	Grant Funds	Matching Funds	Total
Personal Services	\$50,303	\$17,176	\$67,479
Travel	—	—	—
Consultants	1,500	—	1,500
Supplies and Operating Expenses	384	—	384
Equipment	—	—	—
Total Project Cost	—	—	\$69,363
Grant Funds Requested	\$52,187	—	—
Grantee Contribution	—	\$17,176	—

PROJECT SUMMARY

This project will test the possibilities of preventing 602-type delinquency by diverting 602 cases from the present system of juvenile justice. It seeks to determine whether immediate, intensive family crisis counseling at the point of probation intake can provide an effective alternative to referral to the juvenile court.

The Sacramento 601 Diversion project is now demonstrating these techniques to be more successful than traditional techniques in dealing with 601 cases. This project will test their applicability in a wholly new area. Approximately one-half of some important categories of 602 cases will be assigned to a specially trained 602 prevention and diversion unit. In the first interview if possible and up to five if necessary, project staff will attempt to bring the youth and his family to a point where they can deal with their own problems, thus avoiding juvenile hall detention and formal court action.

The effectiveness of the project will be determined by the extent to which 602 cases are diverted, do as well or better than the control group and prior experience, and are more or less costly to handle.

DETAILED PROJECT BUDGET

	Grant Funds	Matching Funds	Total
Personal Services			
2 Senior Deputy Probation Officers—12 months at \$1213 per month	\$14,556	\$14,556	\$29,112
2 Deputy Probation Officers—12 months at \$1102 per month	26,448	—	26,448
Field Work Assistants*—700 man hours at \$2.74 per hour	1,918	—	1,918
Fringe benefits for county employees (18 percent)	7,381	2,620	10,001
Consultants			
Training, once-a-week consultation*—15 days at \$100	\$1,500	—	1,500
Supplies and Operating Expenses			
Administrative costs* (based on percentage of salaries and wages negotiated annually by University-U.S. Dept. of HEW for all Federally funded programs)	\$384	—	384
Total	\$52,187	\$17,176	\$69,363

*University items

APPENDIX D
DATA FROM SEVEN-MONTH
FOLLOW-UP PERIOD

DATA FROM SEVEN-MONTH FOLLOW-UP PERIOD

Table C-1

Youths Going to Court Either as a Result of
Initial Arrest or of Subsequent Arrest
During Seven-Month Follow-Up

(October 26, 1970–February 28, 1971 Referrals)

	Number Of Youths	Number Going To Court	Percentage Going To Court Within Seven Months
Control	244	83*	34.0
Project	300	42*	14.0

*This does not include three control and five project referrals that went to court as Section 600 matters.

Table C-3

Summary of Intake Dispositions for Initial
Arrest and all Subsequent Arrests During
Seven-Month Follow-Up

(October 26, 1970–February 28, 1971 Referrals)

	Control (244 Youths) (Percent)	Project (300 Youths) (Percent)
Dismissed only	47.1	84.0
Informal probation only	18.9	2.0
One petition	21.3	11.0
Two petitions	9.8	2.7
Three petitions	2.1	0.3
Four petitions	0.0	0.0
Five petitions	0.8	0.0
Total	100.0	100.0

Table C-2

Petitions Filed Either as a Result of
Initial Arrest or of Subsequent Arrest
During Seven-Month Follow-Up

(October 26, 1970–February 28, 1971 Referrals)

	Number Of Youths	Number Of Petitions	Number of Petitions Per Youth
Control	244	125	.51
Project	300	52	.17

Table C-4

Youths Going Into Probation Supervision (Formal
or Informal) Either as a Result of Initial Arrest
or of Subsequent Arrest During Seven-Month
Follow-Up

(October 26, 1970–February 28, 1971 Referrals)

	Number Of Youths	Number Going Into Probation Supervision (Formal or Informal)	Percentage Going Into Probation Supervision (Formal or Informal)
Control	244	129	52.9
Project	300	48	16.0

Table C-5

Percent of Referrals Returned to Juvenile
Hall For a New Offense Within Seven Months
By Month of First Return

(October 26, 1970–February 28, 1971 Referrals)

	Time After Initial Contact						
	One Month	Two Months	Three Months	Four Months	Five Months	Six Months	Seven Months
<u>Percent Returned 601 or 602</u>							
Control	9.4	20.9	30.3	36.9	41.4	43.4	45.5
Project	10.0	17.3	22.3	27.0	30.3	32.7	35.0
<u>Percent Returned 601 only</u>							
Control	5.7	12.3	18.9	23.4	26.2	27.5	28.7
Project	6.3	10.0	14.7	17.7	19.0	20.7	22.7
<u>Percent Returned 602 only</u>							
Control	4.5	10.2	15.2	18.9	21.3	22.1	23.4
Project	4.0	7.3	8.3	9.7	13.3	14.3	15.3

Table C-6

Percent of Juveniles Rebooked for New Offense
(Either 601 or 602)

(Initially Handled October 26, 1970–February 28, 1971)

	After 2 Months	After 4 Months	After 7 Months
Pre-project period (July 1–Sept. 30, 1970)	22.3	34.5	48.6
Control group	20.0	36.9	45.5
Project group	17.3	27.0	35.0

Table C-7

Percent of Juveniles Booked for a New 602 Offense

(Initially Handled October 26, 1970–February 28, 1971)

	After 2 Months	After 4 Months	After 7 Months
Pre-project period (July 1–Sept. 30, 1970)	10.1	15.5	27.0
Control group	10.2	18.9	23.4
Project group	7.3	9.7	15.3

Table C-8

Number of Bookings for a New Offense Within 7 Months

(October 26, 1970--February 28, 1971 Referrals)

601 Repeat Bookings

Control (244 youths)	113
Project (300 youths)	110

602 Repeat Bookings

Control (244 youths)	77
Project (300 youths)	54

601 and 602 Repeat Bookings

Control (244 youths)	190
Project (300 youths)	164

Table C-9

Number of Nights Spent in Juvenile Hall
As a Result of Initial Arrest

(February 1971 Referrals)

Number of Nights	Control	Project
0	19	61
1	11	4
2	5	2
3	3	-
4	-	-
5-9	2	-
10-14	-	-
15-19	-	-
20-24	8	-
25-29	-	-
30-39	1	-
Number of referrals	49	67

Table C-10

Total Number of Nights Spent in Juvenile Hall
As a Result of Initial Arrest During February
1971 and Detention Cost

	Total Number Of Nights	Detention Cost (\$14.75 per day)
Control (49 referrals)	259	\$3,820.25
Project (67 referrals)	8	118.50

Table C-11

Number of Nights Spent in Juvenile Hall
Either as a Result of Initial Arrest
During February 1971 or as a Result of
Subsequent Arrest During 7-Month Follow-up

Number of Nights	Control	Project
0	13	44
1	10	8
2	2	5
3	4	1
4	-	2
5-9	3	1
10-14	-	1
15-19	1	-
20-24	10	1
25-29	-	-
30-39	-	-
40-59	2	1
60-79	1	2
80-99	-	-
100-119	-	-
120-139	1	-
	<hr/>	<hr/>
	49	67

Table C-12

Total Number of Nights Spent in Juvenile
Hall Either as a Result of Initial Arrest
During February 1971 or as a Result of
Subsequent Arrest During 7-Month Follow-Up

	Total Number Of Nights	Detention Cost (\$14.75 per day)
Control (49 referrals)	652	\$9,617.00
Project (67 referrals)	298	4,395.00

APPENDIX E
CHARACTERISTICS OF FIRST YEAR
PROJECT CASES

CHARACTERISTICS OF FIRST YEAR PROJECT CASES

Table D-1

Sex		
	Number	Percent
Male	271	40
Female	398	59
Unknown	6	1
Total	675	100

Table D-4

Is Child In School?		
	Number	Percent
Yes	504	75
No	89	13
Unknown	82	12
Total	675	100

Table D-2

Ethnic Group		
	Number	Percent
White	514	76
Black	53	8
Mexican-American	41	6
Others	7	1
Unknown	60	9
Total	675	100

Table D-5

What Were the Child's Last Grades?		
	Number	Percent
A's or B's	45	7
B's	73	11
B's and C's	23	3
C's	228	34
C's, D's, and F's	35	5
D's and F's	102	15
Unknown	133	20
Not Asked	36	5
Total	675	100

Table D-3

Age		
	Number	Percent
Below 14	127	19
14 years old	134	20
15	137	20
16	165	24
17	93	14
No information	20	3
Total	675	100

Table D-6

What Were Child's Previous Grades?		
	Number	Percent
Better	103	15
Worse	55	8
Same	194	29
Unknown	154	23
Not Asked	169	25
Total	675	100

Note: The average is 14.4; the median age, 14.9.

Table D-7

Grade in School

	Number	Percent
Elementary school	20	3
Seventh	48	7
Eighth	80	12
Ninth	113	17
Tenth	145	22
Eleventh	115	17
Twelfth	52	8
Unknown	102	14
Total	675	100

Table D-10

Has The Child Ever Attempted or Talked About Suicide?

	Number	Percent
Neither	404	60
Talked about	77	12
Attempted	22	3
Talked about and attempted	14	2
Unknown	158	23
Total	675	100

Table D-8

Did Child Cut School In The Last 3 Months?

	Number	Percent
Yes	237	35
No	188	28
No information	158	23
Not asked	92	14
Total	675	100

Table D-11

Has The Child Ever Been Involved With Drugs?

	Number	Percent
Yes or think so but not sure	205	30
No	299	44
Don't know	46	7
Unknown	125	19
Total	675	100

Comment: Some early questionnaires asked "Did the child *ever* cut school?" while the later questionnaires asked if the child had cut school "in the last 3 months."

Table D-9

Has The Child Ever Seen A Psychologist or Psychiatrist?

	Number	Percent
Yes	156	23
No	385	57
Not asked	15	2
No information	119	18
Total	675	100

Table D-12

Is The Child Employed?

	Number	Percent
Yes	46	7
No	489	72
No information	140	21
Total	675	100

Table D-13

Has The Child Ever Run Away Before?

	Number	Percent
No, never	225	33
Yes, once	143	21
Yes, more than once	169	25
At least once, number unspecified	24	3
Subtotal, ran away at least once	336	50
No information	114	17
Total	675	100

Table D-16

Has The Child Ever Been in Juvenile Center Before?

	Number	Percent
Yes	136	20
No	444	66
No information	95	14
Total	675	100

Table D-14

Number of Moves The Child Has Made?

	In Last 2 Years (Percent)	In Last 5 Years (Percent)
No moves	46	27
One move	21	19
More than one move	12	30
No information	21	24
Total	100	100

Table D-17

Has The Child Been on Probation?

	Number (Percent)	Previous Probation (Percent)
Yes	4	14
No	81	70
No information	15	16
Total	100	100

Table D-15

Has The Child Ever Been Arrested Before?

	Number	Percent
No, never	426	63
Yes, in Sacramento County	113	17
Yes, elsewhere	32	5
No information	104	15
Total	675	100

Table D-18

Who Called The Police On The Present Complaint?

	Number	Percent
Police not called	141	21
Mother called	249	37
Father called	71	11
Other person called*	86	13
No information	128	18
Total	675	100

*"Other" includes step-parents, siblings, relatives, school authorities, and miscellaneous others.

Table D-25

Number of People in Family Other Than the Child

	Number	Percent
One or two	98	15
Three or four	247	37
Five or six	180	27
Seven or more	61	9
No information	89	12
Total	<u>675</u>	<u>100</u>

Table D-27

Did the Family Receive Outside Help of any Kind?*

	Number	Percent
No	325	48
Yes	133	20
No information	217	32
Total	<u>675</u>	<u>100</u>

*Such as religious person or school counseling

Table D-26

Natural Parents Not in Home

	Number	Percent
Both in home	215	32
Father or mother deceased	53	8
Father elsewhere	240	36
Mother elsewhere	38	6
Other	5	1
No information	124	17
Total	<u>675</u>	<u>100</u>

Table D-19

Man Or Woman In The House

	Man in House (Percent)	Woman In House (Percent)
Yes	62	87
No	27	3
No information	11	10
Total	100	100

Table D-20

What Is The Relationship Between The Man
Or Woman In The House And The Child?

	Man (Percent)	Woman (Percent)
Not in house	27	3
Father/mother	40	78
Step-father/step-mother	18	6
Other*	4	3
No information	11	10
Total	100	100

*"Other" includes grandfather, adopted father, uncle, guardian, and mother's boyfriend for the men, and grandmother, adopted mother, aunt, guardian, and father's girlfriend for the women.

Table D-21

Is Man Or Woman In House Employed?

	Man (Percent)	Woman (Percent)
Not in house	27	3
Yes, full-time	44	27
Part-time	0	11
Retired	3	0
Not employed	7	40
No information	19	19
Total	100	100

Table D-22

How Did Man Or Woman In House Previous Marriages End?

	Man (Percent)	Woman (Percent)
Not in house	27	3
No previous marriage	27	25
Death	2	4
Divorce	22	42
Other	1	1
No information	21	25
Total	100	100

Table D-23

Educational Level Of Man Or Woman In House

	Man (Percent)	Woman (Percent)
Not in House	27	3
Didn't finish high school	16	24
High school graduate	19	32
Some college	17	14
No information	21	27
Total	100	100

Table D-24

Family Income Per Year

	Number	Percent
\$0-4,999	108	16
\$5,000-9,999	178	26
\$10,000-14,999	115	17
\$15,000 or more	77	11
No information	197	30
Total	675	100

APPENDIX F
TRAINING RESOURCES

BIBLIOGRAPHY

Family Counseling

By far the single most important work is:

Virginia Satir, *Conjoint Family Therapy* (Palo Alto: Science and Behavior Books, Inc., 1967).

This gives a clear view of both the theory and practice of family counseling. Each counselor should have a personal copy. The current cost in soft cover is about \$6.

Other Important Books Include:

Ackerman, *The Psychodynamics of Family Life* (New York: Basic Books, 1958).

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FILMS

CHILDREN IN TROUBLE; FAMILIES IN CRISIS

A five-hour set of training films in the theory and practice of family crisis counseling in a probation setting. The series draws on the experience of the Sacramento 601 Diversion Program.

Videotape copies will be available on loan through the National Criminal Justice Reference Service in Spring, 1976. Copies in color film, videotape or videocassette may be purchased from the Center on Administration of Criminal Justice, University of California, Davis, California 95616.

PROBATION OFFICERS AND FAMILY CRISIS COUNSELING

A 45-minute film showing probation officers handling some typical family counseling problems: the beginning of an interview, a non-talkative teenager, the closing of a session.

Videotape copies will be available on loan through the National Criminal Justice Reference Service in Spring, 1976. Copies in color film, videotape or videocassette may be purchased from the Center on Administration of Criminal Justice, University of California, Davis, California 95616.

TROUBLE IN THE FAMILY

NET Film Service, U.S.A., 1965, 90 minutes, sound, black and white 16mm motion picture.

Presents subjects from a middle-class New England family with emotional problems not unlike those of many families across the country. Bobby, their 15-year-old son, though bright and capable, was not doing well in school, and the family, under the advisement of a school guidance counselor, decided to enter family therapy. Through extensive use of the one-way mirror technique, the candid reactions of the family were recorded. Scenes from nine of the thirteen actual therapy sessions are included in this film. Dr. Norman L. Paul attempts to discover the roots of this family's emotional problems and their lack of communication. As background for the therapy sessions, Dr. Nathan W. Ackerman, clinical professor of psychiatry at Columbia University, discusses the technique of family therapy with producer Harold Mayer.

For borrow or sale from Indiana University, Audio-Visual Center, Bloomington, Indiana 47405.

THE ENEMY IN MYSELF

Excerpts from three family interviews by Dr. Nathan Ackerman over an eighteen-month period; initial and follow-up interviews after treatment by another therapist. Family includes mother, father and two boys.

Available on rental (\$24.00) from Family Institute, 149 East 78th Street, New York, New York 10021.

IN AND OUT OF PSYCHOSIS

Excerpts from three family interviews by Dr. Nathan Ackerman over an eighteen-month period. Initial and follow-up interviews after treatment by another therapist. Family includes mother, father, daughter and grandmother (briefly).

Available on rental (\$25.00) from the Family Institute, 149 East 78th Street, New York, New York 10021.

HILLCREST FAMILY SERIES

A series of eight films—four family interviews with same family by (1) Nathan Ackerman, (2) Murray Bowen, (3) Don Jackson, and (4) Carl Whitaker; and four brief talks following each of the interviews by the above therapists. Family includes mother, father, two sons and two daughters.

Can be rented or bought from the Pennsylvania Cinema Register, Pennsylvania State University, University Park, Pennsylvania 16802 for about \$75.00 rental or \$1,895 sale.

A FAMILY THERAPY WITH FOLLOW-UP

Gerald Zuk, Ph.D., commenting on his handling of an interview. The first reel (from the eighth interview with the family) reveals elements of pathogenic relating in the family and shows steps taken by the therapist to oppose it. Reel II is a follow-up four months later discussing the outcome of the therapy. Family includes mother, father, and two adolescent daughters.

Film currently available from Eastern Pennsylvania Psychiatric Institute (EPEI), Henry Avenue and Abbottsford Road, Philadelphia, Pennsylvania 19129. No price has yet been set.

TWO COUPLES — TWO SESSIONS EACH

Complete one-hour sound color films of the third and fourth interviews with two couples who continue in therapy. The couples are young, lower middle-class, anxious and fun. Therapist is Andrew Ferber, M.D.

The films are paid for by Hoffman LaRoche, Inc. They may be rented from the Family Studies Section, Bronx State Hospital, 1500 Waters Place, Bronx, New York 10461.

Further videotapes and films in this series may become available in the near future.

APPENDIX G

FAMILY COUNSELING: A SYLLABUS FOR TRAINERS

FAMILY COUNSELING: A SYLLABUS FOR TRAINERS

The heart of the Sacramento approach is the use of family counseling as a method of dealing with families. This is a technique which requires a considerable amount of training. Because of the widespread interest in these techniques and the relative lack of good training materials, this syllabus has been included as reference material. It was prepared by Eva Leveton, who with her husband Dr. Alan Leveton, served as special consultants to the Sacramento project. Dr. Leveton is a psychiatrist and co-director of the San Francisco Family Therapy Center. Eva Leveton has a master's degree in psychology and is an associate with the San Francisco Family Therapy Center. Together the Levetons have conducted a number of training courses both for the Sacramento project and for those in Alameda and Contra Costa counties.

The syllabus which follows serves as an excellent short introduction to the theory and techniques of family counseling.

A. The Family: A Living System

A system is an assemblage of objects unified by some form of regular interaction or dependence (Webster).

In a living system, such as the human body, linear notions of cause and effect prove to be oversimplifications, at best. In the human body, for example, the CO₂ level in the blood can be assigned a single numerical value. This value, although it can be strongly affected by many single factors, such as exercise, is dependent on the interactive functioning of many other physiological systems—heart rate, kidney, respiration, to name a few. We also know that when something is altered in any part of that system, other parts of the whole chain start to compensate. For example, through vigorous exercise, heart rate may go up, and respiration deepen. In this instance, the purpose of these particular compensations is to keep the carbon dioxide level at a safe level in the circulating blood.

A family is also a living system. Its members interact regularly and with various degrees of dependence on one another. Any event affecting one member spreads its ripples of influence over the others. If one member of

the family comes to our attention because of problems of social adjustment, school functioning, etc., his dilemma will cause other family members to shift their position in some way in order to compensate, to keep the family in balance. In the same way a shift in the family structure—mother starts to work, father goes away on business, brother becomes ill—may produce compensations. These shifts and compensations are often labelled symptoms.

For example, school phobia on the part of a younger child may represent a way of attempting to compensate for the gap left by the change in structure. Mary is 11 years old. Her life in her family, school and social circle seemed normal and happy until her parents were called to school because of Mary's increasing absences. As the family talked it became apparent that Mary's absences from school coincided with a change in Dad's job which required him to be away from home several days out of each week. Mary had always been a special friend and companion to her mother. Now, as she saw her mother more lonely and in need of cheering up, Mary had decided to stay home with her during the day, inventing excuses about minor illnesses with which her mother—in her time of need—went along. Mary's behavior is labelled symptomatic: a change has affected her whole family.

1. *Homeostasis.* Every family develops a range of expectable behaviors. Some families move several times a year; others have stayed in one town for generations. In some families feelings are expressed loudly and clearly while other families handle feelings with "kid gloves." We each have a notion of a balance in our family, of some boundaries and limits, the breaking of which would constitute a shock or a crisis to the family's existence. We call this concept of dynamic balance *homeostasis*. In Mary's family, for example, the family balance or homeostasis had depended, to a large degree, on her father's presence in the home every morning and evening. When that homeostasis was upset, the family re-grouped, and in the process, Mary developed the symptom of school phobia.

The processes by which families attempt to maintain their homeostasis are called homeostatic mechanisms. In other words, every family develops predictable patterns of interaction which help the family maintain a feeling

of stability and sameness in the face of the difficult changes and crises that occur normally. When Mom gets sick, the oldest sister is overheard dealing with her brothers in the same way that Mom usually does. In a family where there has always been a family clown, this job is passed from one child to another as circumstances change. In some families homeostasis depends on some dysfunctional processes. A family may require one "bad" member for example. In one family Dad is the "saint" and Mom the "sinner." In the small town where they live, everyone pities him because of her embarrassing escapades. He finally divorces her and marries another "saint." Suddenly, his oldest son starts to get in trouble. There is a new "sinner" in the family. Homeostatic mechanisms are evidence of a natural economy and repetitiousness which occurs in all living systems.

Homeostatic mechanisms help heal family wounds, to restore balance after it has been disrupted. The cost of this kind of restoration is often a symptom in one or more family members, for example, Mary's school phobia. But homeostatic mechanisms are ever-present in family life. A crisis only serves to throw them into relief.

These same homeostatic mechanisms that produce a certain amount of comfortable (though not necessarily painless) predictable sameness in every family work against our goals for the family in treatment. As the mechanisms promote sameness, they operate against change, any change, whether it's for better or for worse.

We, who work with families in trouble, often see ourselves as the very best kind of helpers and rescuers, and seeing ourselves in this way, have a bad time explaining to ourselves why the family is giving us such a hard time. They don't seem to want what we want for them. They seem to want to stay the way they are—miserable. They are getting better but they're fighting us all the way.

The family, however, has developed its ways of coping without a family therapist. They know how to behave with each other—the way they've always behaved. *You don't upset Mother. Period. No outsider's going to change that. Nobody talks about Dad's drinking. Period. If you do, there's no telling what will happen. You don't even think about what would happen if you did. And here's this lady asking about if he has anything hurting or if we know when he's hurt! Better do something to change the subject. This is getting scary. Anyway, what's Dad got to do with Junior? He's the one that stole the car. We should be talking about him.*

The family therapy situation usually occurs at a time of crisis when the family homeostasis has been disrupted and continues with a further disruption of the family balance caused by the presence of the family therapist. Because the therapist will suggest new ways of relating, the family will resist. The old ways are the safe ways. A

lot of the hard work in therapy lies in getting the family to recognize: (1) that part of the family process is not working and (2) that they will need to adopt new ways. The latter requires some confidence and willingness to risk something unknown—qualities hard to come by in troubled times.

2. Process and content. One of the very basic concepts underlying our way of looking at family systems has to do with what we call the family's process, as differentiated from its content. The family therapist is usually deluged with information about every family he sees. The family comes to see him at a moment of crisis. Mother and father feel certain that the therapist will be able to help the family better in direct relation to how much he learns about what happened in the crisis, exactly what was said, who said it, etc. If the crisis involves Jane wanting to drop out of school, it is not unusual for parents to come prepared with Jane's school history (special attention being paid, of course, to the three terrible boys who were bussed over to the neighborhood when Jane was in fourth grade, and the teacher, whom father regards as a pantywaist and mother suspects of "having problems" for which her daughter paid). This is the information which the family wants us to digest. It is the kind of information we classify as "content"—information about family members, circumstances relating to the family, history, etc.

Beginning family therapists tend to feel overwhelmed by content and rightly so. Some content is helpful to the family therapist, of course, but too much can be blinding. We lose the forest for the trees. How can we ever learn to know the forest, we think despairingly, when each tree seems to have such a complicated appearance? The family is the expert on content. The beginning therapist is right—we can never hope to understand the complexities of the family's experience in terms of its factual events anywhere near as well as the family can. We are beaten at the start.

In looking at the living systems that are families, we need landmarks. These landmarks are defined by the family process. Unlike content, process is limited. There are only so many ways families can interrelate. The events that occur in any family are infinite in their variety and detail. The way the family functions in each event will be similar. We are talking about how the family relates. Dad is the boss at all times. Mom defends the kids against Dad. When Jane stayed home from school, Mom made it easier for her by asking her if she was sick when she got up in the morning. These interactions provide clues to repetitious family processes—processes which will need changing if the symptoms are to disappear. Once we understand the family process—how the family functions—we can formulate a plan for working with the family.

How does a given family function? The answers to this question should tell us something about some major areas of concern. Here are some questions which should be of some help.

How does the family handle feelings?

- are feelings expressed openly?
- can members express pain to one another?
- is there a taboo about the expression of anger, of tenderness?
- is anyone in the family depressed?
- how is sexuality handled?

Who's in charge?

- are the parents in charge?
- the father more than the mother or vice versa?
- are there conflicts about the use of authority?
- are the children in charge?
- is it a pseudo democratic family where everyone is supposed to be equal but the children really rule?
- is one of the children in charge of a parent who is symptomatic?

Who is counted out?

- has Junior always been a failure?
- does Mom look at herself as a "nothing" except for her children?
- is anyone in the family consistently labelled as stupid, crazy, sick or bad?
- does Dad feel he didn't make it?

What is the parents' marriage like?

- are they friends?
- are they enemies?
- do they have any contact?
- do the children carry messages between them, side with either one in an argument?
- are they satisfied with each other, disappointed?

Are there coalitions in this family?

- do they remain stable, change?
- do Dad and Sister make a team against Mom and Brother?
- do some sibs regularly gang up and exclude another?
- is there one member of the family who usually plays helpless and forms a coalition with another member against whoever is on the offensive?

How does this family handle closeness and distance?

- are they a family that touches easily? a lot? only on ritual occasions?

- is there room for privacy in this family or is physical and/or mental space easily invaded?
- can family members tolerate intimacy? to what degree?
- if there is trouble in intimacy, how does the family regulate distance? by fighting, departing, living parallel non-touching lives?

What is the style of communication of the various family members?

- are they soft-spoken, careful to avoid hurting feelings?
- are they loud, boisterous, melodramatic?
- are they matter-of-fact, unemotional in tone?
- do they send clear messages?
- do they listen to each other?
- do they interrupt each other, conduct parallel conversations?
- is it easy or hard to understand their meaning?
- do they seem to say one thing and mean another?

How does the family handle differences?

- can Dad and Mom disagree? How do they go about it?
- is it possible for a younger child to disagree without being punished, ridiculed, or pooh-poohed?
- is this a family that discusses issues, openly airing differences?
- are differences hidden in this family for fear of hurting someone's feelings?
- do differences cause arguments which end in fights and in someone getting hurt physically and/or psychologically?
- do the parents sermonize about or discuss issues of discipline with the elder children?
- could you imagine a child in this family feeling free to grow up to be quite a different person from both of his parents?

These are only some of the questions that can be asked about a family's process. They are intended to convey a picture of what family process consists of, not as a complete overview of family process. As you fill in the picture of the process of a given family, using the above as some of the major areas, you will come up with more questions of your own which will help you complete your view.

In order to give you a flavor of the strategies used to make the family process explicit, let us follow the first few minutes of an initial family counseling interview. In this case the child in trouble is Kenny, one of four siblings. The family's homeostasis has been badly dis-

rupted by the sudden and unexpected death of the mother a few months ago.

The interview starts with our usual question to the family, "Well, why don't you discuss among yourselves what needs changing in the family?" We use this opening to give several messages about our interest in process:

- 1) We are addressing ourselves to the whole family, not just the identified patient (the one who got in trouble).
- 2) We are announcing our somewhat paradoxical intention that, though we will be listening, the family is expected to talk among themselves. On a deeper level this is the preparation for the general paradox of therapy—the family comes to see the expert for help but the expert is helpless unless the family does the work.
- 3) We are interested in the family as a total system, rather than the event which brought them to us.
- 4) We would like to find out about and observe how the family interrelates.
- 5) We would like the family to become curious about what might be going wrong, what needs changing. We would like the family to become aware of its own process.

As often happens the interview begins with the father's almost total ignorance of our request as he launches into a long diatribe against Kenny and the two other boys, recounting the details of their misbehavior. We call this part of the communication "the blame frame." Father blames Kenny. Kenny is bad. He seems to be getting worse. Nobody knows why but he's going to drag the other two along as he goes down the primrose path. Kenny has few choices in this conversation. He can be contrite, confessing his sins and asking to be forgiven, or he can become defensive in any number of ways—defiant-Loud, defiant-silent, rationalizing, distracting, developing a sudden bad stomach ache, etc. No matter what he says his father's questions will continue—"But *why* did you do it, Kenny? How could you do it again? Didn't I tell you time and time again?" These questions in turn will lead Kenny into further defensive or contrite behavior. The blame frame is circular and non-productive—except perhaps in allowing for the airing of feelings the first time the discussion occurs. As long as Kenny and his father are in it, we will learn very little about this particular family, and the family will experience a familiar hopelessness.

The blame frame is also useless for us as therapists. Dad's diatribe leaves room for a very limited number of responses. We can agree with him that Kenny is on the road to perdition. In that case, we will lose Kenny and Dad will probably be angry with us as well because it's one thing when he says these things about his boy and it's another if we do. Another possibility lies in giving

Dad advice on how to handle Kenny. Chances of this succeeding are also very small. We hardly know this family so our advice will be an exchange of generalities which may or may not apply in Kenny's case. If we take up Dad's invitation, we will lose our opportunity to re-emphasize our opening gambit and work toward an understanding of the family system.

In order to get out of the blame frame, and get an idea of the family process, we ignore Dad's sermon and ask the family to tell us something about Mom's recent death and how it has affected each of them. We learn that this is a close family that has done a lot of the necessary grieving openly. We are moved by the children's directness and the freshness of their grief.

The talk of grieving leads back to Kenny, apparently the only one of the children who holds back his tears. We become curious about how he learned to hold them back and learn that he feels afraid to show feeling for fear of being teased, and recounts incidents where he has felt excluded from the family.

We ask Kenny to do a sociogram of his family where he physically places each person at a distance from himself which he feels is characteristic of their relationship and gives each a sentence to say which he feels is typical of how they talk to him. He gives them sentences such as "You're stupid" (Dad), "I hate you" (Sister), "You're dumb" (Brother), "You smart aleck" (Mother). As the other family members go through this process, we encourage them to comment on Kenny's perceptions. Are they accurate? The other members of the family protest that they didn't know how Kenny felt excluded because he doesn't usually say how he feels.

For us, the first part of the family process is clear. We have learned that Dad takes charge. We have learned that Dad tries to control Kenny unsuccessfully by blaming. We have learned that this is a family in which some emotions can be expressed directly. And we have learned that Kenny and his family cooperate in keeping him an outsider. We now know that Dad will play an important role in any change in the family process. We want to help him exert authority in more positive ways. We want the whole family to understand the roles they play in Kenny's hurt exclusion from much of the family's interaction. The family has various reactions to what we've learned. The younger brothers seem to feel appropriately guilty. Michelle, the sister, gives Kenny a sermon on the expression of feelings. Father shakes his head, stating he never knew Kenny felt so isolated. The family is making a first step toward awareness.

B. Family Rules

All systems, living and mechanical, are governed by rules. The rules of the system provide the key to the

question of how a given pattern in a system repeats itself. If we can discover some of the rules by which a given family operates, we are well on the way toward understanding the family process.

Our first reaction to the words "family rule" is to think about rules which govern discipline—"Don't interrupt your father...Children over eight take turns washing dishes...No one touches Dad's stereo set..." You have probably already guessed that we aren't discussing this kind of explicit family rule. We are talking about something much more elusive. We are talking about implicit rules which, though they govern much of our behavior, are out of our awareness unless we make a special effort to understand them. Rules in a given system are formed very quickly by the marital couple when they meet. John, meeting Mary, sees her as an out-going, happy-go-lucky person who might be able to help him with his shyness. Mary sees John as an intellectual, a powerhouse mind who can give some direction to her somewhat aimless existence. John and Mary are aware of these thoughts. They are not aware that concurrently each is developing a set of rules about how to relate to the other. (These rules, of course, are not entirely new to either of them, as they bring some of them from their original family systems.) John learns that Mary cries easily and is embarrassed by her tears, so he finds ways of ignoring or circumventing potentially painful subjects of conversation. He learns that although Mary is a great gossip who loves to discuss all of her many friends in great detail, she does not wish to be confronted about any of her own shortcomings. He discovered this when he found her lemon chiffon pie "a little too sticky" and found her unconsolably hurt and upset for the rest of the day. One rule for John, then, becomes "don't upset Mary" either by talking about painful subjects or by confronting her personally. Later, this may become a rule for the entire family, i.e., "don't upset Mother."

Mary learns that, although John really seemed to be delighted by her lively talkativeness in the beginning, he cannot be counted on to listen all the time. She has come to recognize a certain absent look and sudden start, when she asks him a question, followed by many reassurances that he has, indeed, been listening. She learns two things: (1) she feels John doesn't really pay constant attention to her when she talks and (2) she has to make a special effort to get his ear when she has something important to say. Her conversations thus have two openings—one, used most frequently, intended to help her save face if John is not listening, is "I'm not sure if you're interested, but..." or "of course I don't know much about these things, but my opinion is..." or any other version of predicting that she will not be listened to. Her second method, reserved for important

occasions, is to start a conversation in tears—tears that flow in recognition of how difficult it is for her to be heard, in anticipation of another failure, and in confronting a painful subject, something it has never been easy for her to do. And she soon finds out that when she cries, John will pay attention to her. In short, the rule for Mary with John is "Mary counts herself out." This may also become a family rule later on in the form "children don't have to listen to Mother but should do what they want and ask Dad if a decision has to be made."

It would of course be farcical to assume that, on meeting one another or shortly thereafter, Mary and John would have a conversation that goes like this:

John: Hi, I'm John and I like to be looked up to. I don't listen very well, but if I see any sign that you are in emotional pain, I'll do anything to protect you.

Mary: Thanks for telling me, John. I don't like emotional pain either, so I think we will get along well. I have been pretty aggressive and confident in my life in some situations but timid in others, so I think I can learn to count myself out and look up to you for everything that's really important in our family.

Clearly, then, family rules are formed out of awareness and are largely implicit rather than explicit. As the family grows, some of these rules may come to awareness, others may not. For example, many of the children may be able to tell you very quickly that "Dad's the boss, what Mom says really doesn't count." On the other hand, there may be a rule in the family such as "share anger, but not tenderness" that no family member has ever consciously considered.

C. Experimental Techniques

1. *Talking directly.* You have already learned something about our aversion to content, to the grocery list of last week's events, to what we call "about-ism." In fact, we want to do only a very minimum of "talking about"—about why the family is here, about why Johnny gets into trouble, about why the marriage never worked. "Talking about" something almost always involves a member of the family addressing the therapist directly in making a reference to someone else also present in the room, something suspiciously akin to gossip—"Johnny never did well in school, doctor, they thought he was kind of slow but we know he was just lazy"—and all the time Johnny is just sitting there! We will want to know some facts about the family's existence. We will request that the family tell us about those facts. Most of our talking, however, will involve "talking directly to each other."

Why do family members want to address us? Because we are the experts who will be able to cure them, because they want to tell us all about it so we can do our work once we know the whole situation; in short, for all the wrong reasons. Why should they talk to each other? Because they have to talk to each other anyway, and because they aren't talking to each other in a way that is working. With us as coaches there to help them to talk directly to each other, to help the process, perhaps they can learn directly both what's going awry in their process and how to do something about it. Most of all, we want them to talk directly to each other because a direct statement has a hundred times the emotional zip that a statement about someone else has. Picture the difference between someone talking about his father and saying to us, "My father never thought anything I did was right," and conversely, picture him speaking directly to his father, saying, "I felt I could never please you, Dad." To all biased ears the first is an abstraction about someone's childhood which we will have to pursue with many questions in order to get its real flavor, its emotional tone and content. The second version short-cuts this pursuit to the degree that the appropriate emotion naturally accompanies the statement when it is addressed to the person it's intended for. The context is the here and now. Most important perhaps, a process is going on before our eyes, a process which will help us learn how father and son interact when they talk about an emotionally loaded issue. We will learn as we work, by following the interaction and using ourselves to give feedback and provide structure for further interaction.

Our most frequent direction to family members talking about some aspect of their process, then, involves asking that family member to communicate directly:

Father: Johnny never could get to school on time.

Therapist: Why don't you say that to Johnny?

Father: Okay. Well, Johnny, you never get to bed no matter how many times we ask you.

Therapist: Could you also tell Johnny how that makes you feel.

Father: Frustrated.

Therapist: Tell him.

Father: I feel really frustrated in the mornings when I'm trying to get you up and you're just lying there.

In this interaction, the therapist is no longer carrying messages for the family. He is no longer the middle man. Instead, he is helping them talk to each other. Moreover, by this time in the interaction above, the responsibility for solving the problem has shifted from us to Dad, where he can deal with it more effectively. It is no longer up to us to get Junior out of bed. It is up to Dad. Further work, of course, will involve our teaching Dad, too, to stop taking on so much responsibility and let Junior know that he alone has to learn to make decisions

about his schooling and suffer the consequences of those decisions. In other words, when the father asks our advice about his son, or asks us to tell him how to punish his son, he is taking full responsibility for his son and that's a large part of the problem. As long as he feels it's truly up to him to get his son out of bed, all Junior has to do is lie there and wait. Using the above approach we can begin to ask the father about how he puts himself on the spot of having to get Junior to school. What would happen if he didn't? In the same way, we can then help the son take responsibility for his own words and actions. In short, working toward family members speaking directly to one another helps each take greater responsibility for what he is saying and thus is a beginning toward accomplishing one of the goals of therapy—namely, that each individual take responsibility for himself.

Of course, we cannot be rigid in asking the family to perform this new task. There will be times—many in some families—where talking about something or someone is unavoidable. What we want to stress is that with some firmness and consistency on the part of the therapist, families do learn to talk directly to each other and that process is helpful to the family's progress in treatment.

Talking directly represents the first of the experiential techniques we are discussing in this section. We use it to activate families to direct interaction from which both we and they can learn both to understand old behavior and to acquire the new.

2. *Family drawing.* The family drawing is pure gold for the family therapist who enjoys active techniques. It's an activity most families enjoy as it has an element of play and involves all family members. Materials are few and directions simple. The family drawing provides a graphic representation of family process. It is a technique which can be used over and over again. It is appropriate whenever the therapist is curious about how the family is functioning.

The materials required are: (1) a large pad of drawing paper, large enough for a whole family to sit around and draw, and (2) a package of color crayons. The instructions are as follows: After explaining to the family that they are about to do something a little different, a task which involves the whole family, the therapist says, "This is a nonverbal task. We're not going to talk at all from here on in. First, and remember this all has to be done silently, I want each of you to select a crayon which is a different color from the rest of the family's. Secondly, I want you to work together on this piece of paper. After you've worked for awhile—again without saying any words—you may decide you've finished and you want to work on another piece of paper. There'll

probably be time for that so go ahead." The therapist then allows five or ten minutes for the task. It is important that the therapist limits himself to these instructions. Any elaboration tends to slant the goals of the task in a particular direction. Should the family all draw one particular drawing? Should they each have separate space? Should they draw something abstract or concrete? These are just the questions we want the family to decide because their decisions will illuminate their process.

When the family has finished the drawing, the therapist can help them look at their own process in a new and unique way. Clearly, most of the secrets of their interaction will be unlocked in this simple task of drawing together. If father feels as though he has to be the leader in the family, we will see it by the way he nonverbally takes over the theme of the drawing and gives some kind of direction to the others in his family as to where and how to draw. If one of the children feels excluded, there is no doubt that we will see this child interact less with the others in the drawing and we will see what they do about inviting him in, and how he handles it. Some of the following questions may prove helpful in talking about the family's process:

- a. How did the drawing get started? Who decided to start and why? Does that person often take this kind of responsibility? How did the others react?
- b. How did the family members use the space? Did each stay in his own corner? Did they interact—make a common space, use each other's space? Did anyone feel excluded? Intruded upon? Did anyone try to join anyone else? How did that go? How is the family's use of space on paper similar to the family's use of space at home?
- c. How did the family communicate? Were there times when anyone sent any specific messages? Were there messages about the kind of drawing it was to be, when to stop, something someone didn't like? How was it received? Any similarities to the way the family usually communicates?

Obviously, the most important aspect of the discussion is to observe the process in drawing and find the analogies to the family's functioning at home. The drawing is pure process—there is no content to cloud the issue. Often the family members can make a beginning step toward self-awareness in talking about this task which is so different from and yet so similar to the family's everyday life.

The family drawing can be used for many purposes to work on any part of the process the therapist deems relevant. Families may be encouraged to fight and then make up, using only the family drawing as communication. Families may be asked to rotate leadership. For example, if Dad automatically starts every drawing, we

may ask Mom to start the next one and then carefully explore both his and her feelings about his change. Families who get stuck on content (what to draw, who draws the right thing, and who the wrong) may learn something new by limiting themselves to an abstract drawing or a design. This, as all other experiential techniques, has the advantage of being adaptable to suit the specific needs of each therapeutic session.

3. *Family sculpture.* Here is another method which allows both the family and the therapist to actually experience process. The basic directions are as follows: "We're going to do something a little different that will help us learn to know what's happening in the family. First of all, it involves everyone getting up out of their seats. [Therapist stands as an example.] Now we need someone who will make a family sculpture [general confusion]. What I mean is, I want someone—without talking—to arrange the family into a picture which if I were walking through the park would tell me something about who you are. Who's close to whom, who is far away, might be a way to start. The rest of the family has to let the sculptor sculpt. That means being as much like clay as possible. Some sculptors have sculpted the parents with Mom standing on Dad and ruling the roost. Others show us kids who are represented as still sitting on Momma's lap even though they are adolescents. You can get the idea. Who wants to try it?"

Frequently, there is someone in the family who volunteers to do the first sculpture. Sometimes, a family member seems interested but needs support and encouragement from the therapist to start. Once a person has molded the first family member, the rest usually follows easily. The therapist needs to watch that the sculptor really sculpts, instead of verbalizing his instructions which can result in tedious arguments and keep family members from playfully touching—one of the positive by-products of this technique. Children often understand quickly if one likens the process to molding the family in Playdoh. When the sculptor has finished molding everyone in the family, the therapist asks him to fit himself into the picture. Now the sculpture is complete. The first inquiry is as follows: "Let's see if each of you can tell me something about how it feels to be in the spot you're in. [Starting with the first person sculpted and continuing in sequence.] What's it like to be where you are? Comfortable, uncomfortable? Whom can you touch, see? Who is far away? Does this position fit how you actually feel in the family?" If not, one way to proceed is to let each member do another sculpture after the first inquiry is over. Obviously, the first inquiry may provide a great deal of material for working on the family process. If the sculptor is sensitive, he may place people in positions which evoke poignant statements. A

father who has been placed outside and facing away from the family circle, for example, may say, "This feels so lonely. I really feel left out." Before going on to the next person, the therapist can work with the father for awhile, asking him to say the sentence to various members of the family, checking to see whether they believe him, asking both him and the family what they put in the way of more closeness with Dad. After the first inquiry is complete, the therapist may then wish to ask Dad to sculpt the family as he would like it to be.

The family sculpture is a very flexible technique. After the family has been sculpted, they can be asked to make a collective movement—to step in a given direction, for example—and note the consequences. For example, if one member of the family has been lying down, this instruction would probably involve all of the rest of the family stepping over that member in an effort to get anywhere. Similarly, a certain member of the family may be asked to move (an adolescent who is about to leave home, for example) and again the consequences and the actual sculpture can be discussed with relevance to the family process. Mom may feel empty handed, for example, if the child whom she has been touching leaves the family circle. Another sibling may feel he has no one to talk to.

The family sculpture is often used as a diagnostic technique when the family first enters therapy. At this time it can be done in the context of the present, past and future. The instructions are to sculpt the family in terms of "how you see the family now," and "how would you sculpt your husband and yourself when you were first married?" and "how do you picture the family in one year?" The context can vary from ideal to the most feared circumstance. "Sculpt the family as you would like to see it." Or, "Let's see you sculpt the family as you are afraid it would look if worse came to worst." Each therapist can find new uses as he familiarizes himself with the family sculpture.

4. *Doubling.* The doubling technique was originated as part of the psychodramatic method. It is extremely valuable to the clinician as an adjunct to individual, group or family therapy.

Basically, doubling involves speaking for another person in order to make explicit something that he may be thinking or experiencing but is not saying. The therapist can introduce the technique simply by taking a seat next to the person for whom he wishes to double, and saying "I'm going to be another part of you now and say some of the things you might be thinking or feeling, but not saying." In order to set the patient's mind at ease the therapist may wish to add, "You don't have to agree with what I say. Remember, I can only guess at what might be going on with you. So if I'm on

the wrong track, let me know. Or if you feel like it, argue with me. We often argue in our own minds. Okay?" There is one other direction which is helpful for the use of doubling. "Our rule is going to be only you can hear me because I'm part of you. The others can't hear me or respond to me. If you want to use any of the things I say to respond to the others, you have to say them yourself." This rule helps simplify a situation which could become quite confusing as to who is addressing whom in a conversation. Further, this way of using doubling facilitates one of our therapeutic goals, namely, to help the patient take responsibility for his own thoughts and feelings. If the double could speak for him, he could use the double to hide behind, as a shield. Having to speak for himself lessens this possibility. The directions don't need to be given simultaneously in the beginning, but can be fed in as the initial doubling proceeds.

There are many different kinds of doubling. The double can range from quiet reflection of the family member's feelings (Double 1) to a squeaking counterpoint (Double 2) to the family member's tight, inhibited demeanor:

Family member: I don't want to go out with you, Lenny.

Double (1): I feel uncomfortable saying this.

Double (2): I can't stand you! Go away! Quit bothering me!

The kind of doubling done at any given time depends largely on the skill and sensitivity of the therapist. In learning this technique two methods of doubling are quite helpful. First, it is helpful to involve the family member in his own internal dialogue by asking questions while doubling.

Family member: I don't want to go out with you, Lenny.

Double: Don't I?

Family member: No, I really didn't like it last time.

Double: But I kind of like his asking me all the same?

Family member: No, I wish he'd go away.

Double: Then why am I talking to him?

Family member: Go away!

In this way the double puts himself in a position of constantly checking with the family member. He can get continuous feedback on his doubling and at the same time help strengthen the family member's acceptance of his doubling. This is one of the quietest, least dramatic methods of doubling—only slightly removed from the therapist's usual communications.

Another, equally helpful learning technique is to verbalize extreme versions of what might be happening:

Family member: I don't want to go out with you, Lenny.

Double: I think you're a creep! I'm frightened of you. I hate you. Please take me out no matter what I say, I really love you, Lenny.

The therapist must risk being quite dramatic and emotional in this use of the technique. If he persists, he will be able to explore and develop his own abilities to spontaneously express feelings and thus give permission to the family member to do the same. Further, this way of doubling also insures feedback and will give the therapist clear messages about the next step.

Doubling may occur at any time during an interview. It may involve only one sentence said to facilitate the expression of a single feeling. It may involve a lengthy internal dialogue or conversation in which one person is continuously assisted by a double. All these are matters of clinical judgment. An added bonus is that doubling is infectious. After the therapist has modeled it for awhile, other family members often take it up with excellent results.

5. *Role reversal.* We get so locked into our own position—certainly into our family role—that we seldom have any idea about how others experience the same situation we are in. Another technique culled from psychodramatic methods helps us work with this problem, namely, role reversal. If the therapist sees two people in conflict, obviously unaware of how the other feels, he asks them to switch chairs and role play the other person, continuing the same conversation.

Joe and Pearl have spent many years in working out conflicts in the area of responsibility for housework. Pearl seemed willing to blame Joe endlessly, and Joe seemed equally willing to sit quietly and listen. Maybe she could get a little insight into how it felt to be on the receiving end of the blame while he could get some notion of how frustrated she felt. It was difficult for Joe to get started. We could help him by reminding him "You're Pearl now. What do you have to say to Joe? Pearl, what do you think of him?" As both Joe and Pearl warmed to their roles it became clear that neither felt valued by the other. "I never do anything right for her," said Joe played by Pearl. "All he likes is my cooking," said Pearl played by Joe. We switched back again. I commented on their apparent awareness of each other's feelings of worthlessness. "Sometimes I just feel like a *thing* in this marriage," said Joe in response and Pearl listened.

It is important to ask the participants to actually switch chairs when using this technique to help structure the role-playing. "In this chair you are yourself. In Pearl's chair you are Pearl." If people don't actually change places, they often become confused as to which role they are playing.

The timing of role-reversal is often determined by an impasse in which two people keep reiterating the same dialogue. The request to reverse roles may be preceded by your picking up a typical line of dialogue and asking each person to start with that. "Harry, I want you to start role-playing Violet by saying, 'Harry you don't love me.'" "Violet, let your first response be, 'Don't pressure me.'" Sometimes an impasse in conversation is indicated when one person keeps repeating the same sentence over and over. Again, role reversal may be helpful in exploring the answers that person may want to hear or dread hearing. For example, the therapist could say, "I keep hearing you say to Violet, 'You're overwhelming me. Go away.' I want you to switch roles and I want Violet to be you, saying your sentence, 'You're overwhelming me. Go away.' Now, what do you answer?" The individual may respond with some realization of the hurt his repeated message carried. He may become aware of how rejecting he can be. Or he may respond in a way he wishes Violet to respond, i.e., "All right, I'll go away for awhile, but I'll be back." In any case, his response can be used for further exploration of the process between himself and Violet.

6. *The empty chair.* Fritz Perls, the founder of Gestalt therapy, developed the use of the empty chair to dramatize internal conflicts. Like the double, the empty chair is used to make explicit and to find hidden aspects of a given conflict. The difference from doubling is that by using the empty chair, the patient works out each part of the process himself. This technique requires the presence of a therapist, who directs the action; a family member who provides the problem; and the empty chair, which can represent any aspect of a conflict, any person in the family member's life, any physical sensation—any entity which the therapist deems important for the family member to confront. The directions are simple: Pearl, for example, wants to talk about her high standards of housekeeping. The therapist can anticipate her various hurt routines in which she depicts herself as a hard-working, much abused martyr and the rest of the family as unfeeling, ungrateful towards her. The therapist wants to avoid the routine, to find some ways of helping Pearl look at herself rather than wasting her energy blaming others. He asks Pearl how she became such a responsible, dutiful person. Pearl mentions her mother. Here we can use the empty chair. The therapist pulls up an empty chair and places it directly opposite Pearl and asks her to sit there and to show us how her mother would talk to Pearl when she was a little girl. Pearl portrays a busy woman who doesn't seem to realize that her little girl wants to play some of the time. She laid one responsibility after the other on Pearl. "Take

CONTINUED

1 OF 2

care of the house. Take care of the dinner. Take care of your little brother." Pearl was asked to switch over and become herself again, "Yes, ma'am." What she would have liked to have said was, "I'm so tired." We asked her to say that to her husband, "I'm so tired." Pearl considers for a moment that she may have a choice now, a choice that she didn't know about when she was little.

The empty chair can be used to characterize aspects of dreams. "Be the car that was about to run you over. Talk for it. Sit in the empty chair and fly as you did in the dream. Close your eyes if it helps. Tell your other self over here how it feels, how it's different." The empty chair can be used to act out parts of the self: "Do you hear yourself giving yourself orders? Go and sit down over there and give those orders. 'Do this. Do that. Don't make mistakes.' Now come back and answer. Put your whining part over here. Let's hear you really complain and carry on. Show us how helpless you are to change things." The empty chair can be used to dramatize the internal conflicts relating to objects. "Be your house demanding you take care of it. Be your car refusing to work." The object in the use of this technique is to allow the family member to experience his conflict in a new way which lets him confront himself and actively work out a new adjustment.

The counselor, in using this technique, must continue to check with the family member about how he feels and use the information to further direct the dialogue. Pearl, for example, says "Yes, ma'am" to her mother's demands. When we ask how she feels we find out that there is a lot of conflict in that response. "Yes, ma'am," really covers, "No, I don't want to. I'm tired of working all the time." We use the last sentence to continue our work. Present conflicts often embody old conflicts in the original family. For this reason, it is often helpful for the therapist working with someone engaged in a dialogue with his conscience, some other person, or a part of a dream, to ask "Does this part of you remind you of anyone else in your life?" If the answer is mother or father, the therapist can then ask the patient to actually play that role in the empty chair and continue from there. If the family member's conscience is unreasonable, chances are that there was an unreasonable parent, as with Pearl. In order for the conflict to be resolved, the family member must work at finishing the conflict with the parent who no longer has the power over him that he did when the family member internalized his orders. Pearl will gradually realize that she is no longer a little girl who "has to" fulfill all her myriads of responsibility. When she was a child, she could not argue with her mother. Now, she can. She will learn to speak up for herself and to make some room for her playful, relaxed side. When she is able to do this, a part of her conflict will be resolved.

7. *The body talks.* Physical symptoms often represent a way of expressing feelings otherwise suppressed. We don't intend to convey that there is a simple one-to-one causal relationship between physical symptoms and emotional problems. Physical symptoms, whatever they may be, usually represent the result of a complex set of interactions between physiological and psychological stimuli. The counselor needs to be very sure that the family member is getting proper medical help for the psychological aspects of his problems and that counseling is in no way a substitute for this medical care. Gestalt therapy has developed a technique which helps us work with the emotional aspects of any given physical problem.

What do we mean by a physical symptom? Anything psychological which interferes with the person's functioning or which he describes as painful—tension in the neck muscles, headaches, stomach pain, back pain, trembling hands, clenched fists, tight mouth. These are frequent visitors to the therapy session. We can find out something about their meaning by asking, "What is your headache (or other symptom) saying? Become your headache, let's see what kind of headache you are, what you have to say for yourself." The family member, John, may answer, "I am pounding John's head. Pounding on and on." The therapist can now use John's answer to continue with an empty chair dialogue. "Okay. That's the headache, now come over here and be John answering," pulling up an empty chair in front of John and/or he can ask John whether he would like to say that to anyone currently in the room or in his life, "I'd like to pound you!" As John works on expressing the feeling contained in his symptom he will usually feel some relief of the symptom itself. In addition, of course, the symptom will provide clues about what he is feeling and what the psychological component of his pain represents.

8. *The active fantasy.* What if? What if I lost my job? What if I didn't take care of the children? What if I made a mistake? What if I just dropped out and went to a desert island? We are all plagued by our fantasies—catastrophic, fanciful, paradoxical. Most of us live our lives hemmed in by them and yet examining them fully only in our dreams. We develop our routines for survival and seldom question them. "I must work hard. I must stay away from emotional scenes. I can't tolerate a messy house. I can't stand routines. I can't stand feeling hemmed in. If I could only get away from all this, I'd be a different person. If I had only married Peter, none of this would have happened." The active fantasy is a technique with a purpose of exploring a given fantasy picture to the point where the family member has a clearer picture of its meaning and consequently of his

own options. The overly hard worker, for example, may find that he is working under the delusion that if he stopped even for a moment, he'd turn into a useless, lazy-good-for-nothing—a delusion, which on examination seems highly exaggerated.

9. *Facilitating physical movement.* As family therapists, we are often the victims of family homeostasis. The family functions in its own way and goes on repeating its same pattern whether in our office or outside. The more destructive the pattern, the more the therapist feels the burden of observing its ongoing process if there is no change. All of the techniques we have discussed represent efforts to upset the family homeostasis—to help the family break old patterns so that new, more familiar ones can be formed.

One way the therapist can find himself stuck in a family system is by blindly accepting the family's seating arrangements. Since everything a family does represents an expression of its process and therefore occurs according to the family rules, the way the family members arrange themselves in the room will represent a family pattern. For example, the oldest sister sits between Mom and Dad enabling both to talk to her and often to talk both to each other and to the younger children through her. In another family, the parents sit facing each other, each surrounded by children of the opposite sex. Dad and his daughter face Mom and her two sons. It is not surprising that the seating arrangement is representative of coalitions in the family. Mom often feels envious of her daughter, who seems to have taken her place. Her sons protect her fiercely whenever they see a need to, attacking Dad who has failed them somehow.

We're not saying, of course, that the seating arrangement causes the family process. That would be absurd. The process is developed through many complex family interactions as the family grows. We are saying, however, that the way a family sits helps the family continue an old process and therefore changing the seating arrangements may help the family stop and look at its own process and thus begin to change. If, in the first example, we move the oldest daughter's chair out from between her parents we may be facilitating two new processes in her family. One, the parents can now be asked to confront each other directly. They now face each other rather than the oldest daughter. How long has it been since they have talked to each other directly? What is it like? What are the advantages and disadvantages of their daughter being in the middle? Of talking directly? Two, the daughter can examine her spot with new objectivity. What is it like to be sitting together with the other kids? Does she feel like a parent or like one of them? What are the advantages and disadvantages of being in the middle? Of not being in the middle?

In this section, we have presented a large assortment of experiential techniques. All of them serve as active processes in which the family and the therapist can learn more about how the family relates. All of the techniques are flexible. They can be used at many different times in working with a family and in many different ways. We have given examples with the purpose of clarifying the directions. The directions, of course, can be varied to suit specific therapeutic needs. We have found all of these techniques helpful in changing the expectations of a dull "talk about our problem" therapy session to one of exploration and adventure. We hope they will accomplish the same for you.

APPENDIX H
DIVERSION UNIT FORMS
AND PROCEDURES

DIVERSION UNIT FORMS AND PROCEDURES

Sample Work Schedule	90
Intake Officer's Log of Minors Taken Into Custody	91
Intake and Evaluation Form Initially Used	92
Intake and Evaluation Form Currently Used	93
Sample Completed Diversion Unit Intake and Evaluation Form	94
Sample Completed Follow-up Form	95
Child's Family History	96
Family Inventory	102
Son or Daughter's Views	103
Father's Views	108
Mother's Views	110
Voluntary Placement Agreement	112
Statistical Summary (Individual Officer)	113
Statistical Summary (Unit)	114
Procedure for Referrals	115
Sessions and Appointments	116
Criteria for Handling 602 Cases	117

INTAKE AND EVALUATION FORM INITIALLY USED

NAME: _____ AGE: _____ DOB: _____
Last First

Race and Sex:

Address:

School:

Grade:

Father:

Address:

Phone:

Mother:

Address:

Phone:

Stepfather or mother:

Address:

Phone:

Referring Agency:

If walk-in, indicate parents.

Date Booked or entered Hall:

Day of week:

Time:

Violation:

Prior Record:	Date	Agency	Charge	Disposition
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(If more than 3 priors, attach copy of CJI card)

Length of Interview:

**Minor advised & waived _____
Parents advised & waived _____

Persons present at interview:

- A. **OFFENSE: (Use on 602 only)
- B. DESCRIPTION OF PROBLEM:
1. JURISDICTIONAL FACTS: (Brief sentence)
2. FAMILY DYNAMICS
- C. RESOLUTION (Plan):
- D. PROBLEMS ENCOUNTERED:
- E. PROGNOSIS

DISPOSITION:

FOLLOW-UP FORM (for subsequent visits) Session #; Date; Persons present; Length of interview.

- A. WHAT HAS HAPPENED SINCE THE LAST SESSION?
- B. HAS THE SITUATION IMPROVED?
IF SO, IN WHAT WAY?
IF NOT, WHY NOT?
IF ANY CHANGE, REASON FOR CHANGE.
- C. PROBLEMS ENCOUNTERED:

CLOSE-OUT FORM

- A. WHY HAS CASE BEEN TERMINATED OR REFERRED?
- B. HOW DO YOU THINK THEY REGARD THE FAMILY SESSIONS?
- C. HOW DO YOU REGARD THE FAMILY SESSIONS?
- D. PROGNOSIS

SAMPLE COMPLETED
DIVERSION UNIT – INTAKE AND EVALUATION FORM
VOLUNTARY RETURN

Legal Name: _____ AKA: _____
First Middle Last

Age 16 Birthdate _____ Birthplace Calif. Sex/Race C/F

Minor's Address: _____ Calif. _____

Height 5' 5" Weight 115 Eyes blue Hair brn Ident. Marks _____

School _____ Grade 11th Religion _____

Father: _____ Address _____ Ph. _____

Occupation _____ Employer _____ Bus. Ph. _____

Mother: _____ Address _____ Ph. _____

Occupation _____ Employer _____ Bus. Ph. _____

Other: _____ Address _____ Ph. _____

Occupation _____ Employer _____ Bus. Ph. _____

	DATE	AGENCY	VIOLATION	DISPOSITION
Prior Record	<u>2/20/73</u>	<u>SSD</u>	<u>Incorrigible/runaway</u>	<u>Code 15; C-16 5/15/74</u>

REFERRING AGENCY Parent Time & Date of Counseling: 3/12/75 Referral Date _____

VIOLATION Family Problems

ACCOMPLICES: _____

Probation Officer's Report:	Contacted: _____	Advised and Waived: _____
	Minor Interviewed: _____	Advised and Waived: _____
	Minor Telephoned: _____	Time and Date: _____

Length of interview: 1 hour.

Persons present at interview: Minor; mother; sisters, and _____
 and Frank White, probation officer.

A. DESCRIPTION OF PROBLEM:

I have not seen this family since September 1974, at which time things were going relatively well. The mother called and indicated that things were again tense in the family system and she wished to have another session.

It appears that Kathy's acting out in an attempt to take care of the mother in some way. The mother and father are having marital problems and my fantasy is Kathy acts in such a way to get the mother back involved in counseling for the mother's benefit rather than for hers.

2. Family Dynamics:

Mother and father have marital problems for the last year and a half. The mother does not feel that her husband is measuring up to her expectations as to what a husband should be. They fight a lot, have had an agreed upon separation, at which time the mother and daughter saw more of the father than they did when he was actually living in the home. Kathy, on the other hand, seemed to be striving for her independence and autonomy which has created some strain in the family system. My fantasy is, in a lot of ways Kathy is acting out some of the mother's fantasies.

B. RESOLUTION:

The plan in this case is to continue to see the family for several visits in hopes that we can resolve some of the problems in the family system. However, this is partially unrealistic in that the father does not appear at the sessions, and maybe in the future, I can set a condition that I will not see the family unless the father appears.

C. PROBLEMS ENCOUNTERED:

The major problem was dealing with the father in his absence. He is a large part of what is going on in the family, and we spent a great deal of time gossiping about his behavior.

D. PROGNOSIS: Guarded, primarily because of the marital relationship. Kathy seems to have grown up some, and is doing a much better job of managing her personal affairs.

DISPOSITION: VOLUNTARY RETURN: Code 15; follow-up scheduled for 4/9/75.

SAMPLE COMPLETED FOLLOW-UP FORM

VOLUNTARY RETURN

NAME _____ D#: D--2,240
 First Middle Last

Session: 15 Date: 3/24/75

Persons present: Minor, mother, _____, and Frank White, probation Officer.

Length of interview: 1 hour.

A. WHAT HAS HAPPENED SINCE THE LAST SESSION?

Since the last session there have been some other pressures in the family system. While Kathy was "conforming" to the parents' expectations, they purchased a horse for her. There have been a lot of issues around the horse and the father took the horse away because Kathy would not do something he wanted her to do. She felt the horse was being used to blackmail her and she gave the horse up willingly rather than give in on a principle. As a result she and her father are at odds with each other and again I suspect she is acting out some of the mother's fantasies or symptoms within the family between she and her father.

B. HAS THE SITUATION IMPROVED?

Definitely not as far as overall symptomatology of the family. Kathy is still acting out, whether it is her symptoms or mother's, which creates some strain in the family system.

On the other hand the father seems to be sabotaging any attempts made by the mother and his daughters to make things better in the family. It appears that the family needs someone to act out in order to function or maintain its homeostasis.

C. PROBLEMS ENCOUNTERED:

The major problem again was dealing with the father in his absence. He refuses to come in for sessions, which makes it easier for us to gossip about him, and he can become the bad guy in the family with very little help.

Prognosis definitely guarded. Follow-up scheduled for 4/9/75.

Intake Officer: F. White

FW:dw
4/8/75

Child's Family History

Please complete the following about the child and his family.

Child's Name _____ Sex _____ Race or ethnic group _____

Age _____ Birthdate _____ Birthplace _____

Child's Address _____ Phone _____

Religion _____ Does child attend church regularly? Yes No

Is child in school now? Yes No School _____ Grade _____
(If not in school, answer above with name of last school child attended and highest grade completed.)

During the last 3 months that the child was in school did the child cut school? (Check closest)

No times 3 to 5 times
 1 or 2 times 6 times or more

Has child ever been suspended from school? Yes No

How many times? _____ When was the last time? _____

For what? _____

What were the child's grades on his last report card?

All A's or A's & B's Mostly C's
 Mostly B's Mostly D's & F's

Before that were his grades: Better Worse
 About the same Don't remember

About how many days did the child miss from school or work during the last 12 months because of sickness? 0 - 3 days 4 - 10 days
 11 days or more

Does child have any health problems? Yes No

If yes, what? _____

Has the child ever seen a psychologist or psychiatrist? Yes No

If yes, who? _____

Has the child ever been in a mental hospital or received psychological treatment? Yes No

Has the child ever? Attempted Suicide Talked about Neither

If attempted or talked about, when? _____

Explain _____

Has the child ever been involved with drugs?

Yes I think so but am not sure No Don't know

If yes or think so, what kind of drug or drugs? _____

Is child employed? Yes No Where? _____

What kind of work? _____ How long? _____

Child's Family History – Continued

Before this visit to Juvenile Center has child ever run away from home?

Yes No How many times? _____

When was the last time? _____

Were police notified? Yes No

How long has the child lived at current address _____
Years Months

How long has the child lived in Sacramento County? _____
Years Months

How many times has the family moved during the past five years? _____

How many times has the family moved during the past two years? _____

Reason for the last move? _____

Before this visit to Juvenile Center, has the child ever been arrested: Yes No

Was this in: Sacramento County Elsewhere

List below any arrests, what for, and whether the case went to court.

Year (approximately)	Arrest was for	Case went to Court (Yes or No)
-------------------------	----------------	-----------------------------------

Before this visit to Juvenile Center, has the child ever been in Juvenile Hall overnight or longer? Yes No

Is the child now on probation? Yes No

Has the child ever been on probation? Yes No

Were the police called by the family about the current problem? Yes No

If yes, who called? Mother Father Someone else (Who? _____)

What were the police told?

- Notified that child was a runaway or a missing person
- Notified that child was beyond control
- Other (What? _____)

These questions are about the man in the current household. (This means the father if he is living in the household.)
If there is no man in the house, check this box.

Name _____ Age _____ Phone _____

Relationship to Child: Father Stepfather Grandfather
 Adopted Father Guardian
 Other _____

Example: Uncle, Mother's Boyfriend

At this time, is he: Married Married but separated Other

Has he ever been married before? Yes No

Child's Family History – Continued

If yes, how many times? _____

How did the last marriage end? Death Divorce Other

Is he now employed? Yes No Retired

What is his occupation? _____
(List last employment if unemployed)

What kind of firm or company is he employed by? (last firm if unemployed)

- Private company or business
- Military Service
- U.S. Government
- State Government
- County Government
- School Board
- Own business
- Own professional office
- Own farm
- Rented or tenant farm
- Other (What? _____)
- None

What is the highest grade in school that he completed? _____

(If more than 12, indicate as follows: One year of college, 13; 2 years, 14; etc.)

These questions concern the woman in the current household. (This means the mother if she is living in the house.)
If there is no woman in the house check here.

Name _____ Age _____ Phone _____

Relationship to child: Mother Stepmother Grandmother Adopted Mother
 Guardian Other (What? _____)

At this time, is she: Married Married but separated Other

Has she ever been married before? Yes No

If yes, how many times? _____

How did the last marriage end? Death Divorce Other

Is she: Employed full time outside the home
 Employed part-time outside the home
 Not employed outside the home

What is her occupation? _____

What kind of firm or company is she employed by?

- Private company or business
- Military Service
- U.S. Government
- State Government
- County Government
- School Board
- Own business
- Own professional office
- Own farm
- Rented or tenant farm
- Other (What? _____)
- None

What is the highest grade in school that she completed? _____

(If more than 12, indicate as follows: One year of college, 13; 2 years, 14; etc.)

The family's approximate annual income from the husband, wife and other sources is:

- \$ 0 – 3,000
- 3,000 – 4,999
- 5,000 – 6,999
- \$ 7,000 – 9,999
- 10,000 – 14,999
- 15,000 and over

Child's Family History – Continued

- Child lives there part-time
- Other (How? _____)

Has the child ever lived with anyone outside his present family group? Yes No

If yes, please indicate where else the child has lived. (Check one or more.)

- With other parent
- With grandparents
- With other relative
- In mental hospital or other institution (What? _____)
- Other (Where? _____)
- In foster home

How long did the child live in or stay at the last home away from his present family group? _____

Counting his present home as one, in how many family groups or homes has the child lived altogether? _____

How long ago did the child come to live in his present family group? At birth Other _____
Years Months

Has any other child now living in the home ever: (Check as many as are applicable.)

- Run away from home
- Been brought to Juvenile Center as beyond control of his parents
- Been arrested for some other offense

Does the child have a brother or sister who is not living in the home who has ever:

- Run away from home
- Been brought to Juvenile Center as beyond control of his parents
- Been arrested for some other offense

Other than the child, has anyone in the family ever seen a psychologist or psychiatrist?

- No Yes (Who? _____)
- Name of psychologist or psychiatrist? _____

Other than the child has anyone in the family ever been in a mental hospital or received psychological treatment?

- No Yes (Who? _____)
- Place of treatment _____

Has any brother, sister or parent not living in the home ever committed or attempted suicide?

- No Yes (Who? _____)

Other than the child, has anyone in the family ever committed or attempted suicide?

- No Yes (Who? _____)

Has any brother, sister, or parent not living in the home ever committed or attempted suicide?

- No Yes (Who? _____)

Has the family received help outside the family or asked someone outside the family for help in working out its problems within the past two years? Yes No

If yes, who helped? Example: George Jones, minister

Child's Family History – Continued

Has the child or anyone else in the family had any contact with any of the following during the past two years:
(Check as many as are applicable.)

- | | |
|---|--|
| <input type="checkbox"/> Family Service Agency | <input type="checkbox"/> Sacramento Children's Home |
| <input type="checkbox"/> Welfare Department | <input type="checkbox"/> County Mental Health Out-patient Clinic (V St) |
| <input type="checkbox"/> The Aquarian Effort | <input type="checkbox"/> County Medical Center (Hospital) (Stockton Blvd.) |
| <input type="checkbox"/> Lutheran Welfare Social Service | <input type="checkbox"/> Catholic Welfare Bureau |
| <input type="checkbox"/> Court of Conciliation
(Marriage Counselors) | <input type="checkbox"/> San Juan Unified Counseling Center |
| <input type="checkbox"/> Mental Hospital (DeWitt, Napa, etc.) | <input type="checkbox"/> Other Social Agency _____
(which?) |
| <input type="checkbox"/> St. Paul Center | <input type="checkbox"/> None of the above |

Have any of the following things happened to the family during the past year? (Please check as many as are applicable)

1. Death of close family member (Who? _____)
Did he live in the home? Yes No
2. Divorce or separation
3. Birth of a child
4. Child or other relative moved out
(Temporarily or permanently)
5. Child or other relative moved in
(Temporarily or permanently)
6. Visit from some family member not ordinarily living in household
7. Serious household accident (serious enough to require seeing doctor)
8. Someone out of work one week or more
9. Someone lost a lot of money
10. Unpaid debts (payments past due)
11. Job change
12. Retirement of family member
13. Auto accident (serious)
14. Law suit
15. Family member in jail
16. Family member arrested (other than the child)
17. Driver's license revoked
18. Serious argument with someone within or outside the family
19. Excessive drinking (more than isolated episode)
20. None of the above

Family Inventory

These questions are for the family to answer together. It is generally helpful for someone to read the question aloud and for the family to talk about the question together for several minutes before trying to answer it. The answer should be the answer for the whole family.

1. What do you most enjoy doing together as a family?

2. What do you argue about most?

3. We agree together that the present problem is:

4. a. What was the last problem the family had that was like this?

b. How did the family work this problem out?

5. Does this family talk together about its problems?

6. What are this family's strong points? In what ways are things ok?

7. We want to work on the following during our next visit: (Answer only if the family is to return to Juvenile Center.)

Father

Other Family Member

Mother

Other Family Member

Son or Daughter

Son or Daughter's Views

1. Please describe the problem.

2. Why do you think this happened now?

3. Do any of the things listed below bother you? Check any that you think are problems about people living in your house. These questions are only about people who live where you, live now. If you live with a step-mother or step-father, the question is about your step-mother or step-father even if your real parent is still living.

- | | | |
|----|---|--|
| a. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | Will not listen to me |
| b. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | b. Says one thing and does something else |
| c. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | c. Will not let me do some things others my same age get to do |
| d. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | d. Fight too much with each other |
| e. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | e. Drink too much |
| f. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | f. Fight too much with my brother or sister |
| g. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | g. Does not understand me |
| h. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | h. Doesn't understand kids my age |
| i. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | i. Is unfair – how? _____
_____ |
| j. | <input type="checkbox"/> Mother
<input type="checkbox"/> Father
<input type="checkbox"/> Both | j. Other – what? _____
_____ |

Son or Daughter's Views – Continued

4. Has your family ever talked together about the kinds of problems mentioned in 1, 2, and 3 above?
a. Never b. Seldom c. Sometimes
d. Often e. Yes, but only in arguments
5. Do you find it hard to talk with someone in the family about these problems? If so, who?
6. List the three things you like best about your parents.
1.
2.
3.
7. What things could your parents do to help work out the problem?
8. What things could you do to help work out the problem?
9. What do you want to talk about or get done during your next meeting at Juvenile Center? (Answer only if the family is returning to Juvenile Center.)
10. How do you feel about school?
11. How are you doing in school?
12. How are you doing compared to your brothers and sisters?
13. How are you doing compared with your friends?
14. Is it important to your parents that you do well in school?
15. Are your parents satisfied with your school work?

Son or Daughter's View -- Continued

16. Are you satisfied?
17. Are your teachers fair?
18. Are the rules fair?
19. If you have been to more than one school, is this one better or worse?
 Better Worse Same
20. Do you feel you are popular with the other kids at school?
21. What is your biggest problem at school?
22. What do you like best about school?
23. What clubs, organizations, or activities do you belong to at school? (Examples: student council, football team, photography club)
24. Which ones at church or other places? (Examples: choir, Methodist Youth Fellowship, Scouts, YMCA)
25. How late can you stay out?
26. How do you get money?
27. Is there anything you are especially interested in or like to do?
28. Who is your favorite singer or musician?
29. Do you feel that your parents get upset about things you do:
 more often than most parents about the same less often
30. What upsets your parents most?
31. How do your parents feel about your friends?

Son or Daughter's Views – Continued

32. How do your friends feel about your parents?
33. Have any of your friends turned against you recently?
34. What do your parents think of your dates?
35. Do you feel that you can invite your friends to your house?
36. What is the biggest problem you have with kids your age?
37. What is the biggest problem you have with yourself?
38. To whom would you go for help with a personal problem?
39. How many kids your age do you know who need personal help?
 Most A lot Only a few None
40. What is the biggest problem kids your age have?

Answer the next 4 questions ONLY if you have run away from home recently.

41. Did you have a specific reason for running away? What was it?
42. How did you feel that running away would help?
43. Where did you go?
44. Who suggested leaving home or running away to you?
 My own idea Friend Someone said why don't you get out of the house (who? _____)
 Other (who? _____)
45. Who went with you?

Son or Daughter's View – Continued

46. Have you ever run away from home before? Yes No
- a. If yes, how many times?
 - b. If yes, why did you run away last time?
 - c. Where did you go then?
 - d. Why did you come back?

Answer these questions if you have NOT run away from home recently.

47. Have you ever run away from home? Yes No
- a. If yes, how many times?
 - b. If no, have you ever thought about running away? Yes No
48. Has anyone suggested leaving home or running away to you?
- No one
 - Friend
 - Someone in the house said why don't you leave (who? _____)
 - Other (who? _____)

Name

Father's Views

If the father is not living in the home, this is for the man of the house.

1. What do you see as the family's current problem?
2. Why do you think this problem happened now?
3. Are you concerned about the child who was in for interview doing any of the following things?
(Check if you are.)
 - a. Keeps late and unusual hours
 - b. Will not follow my directions
 - c. Drinks
 - d. I suspect is involved in the use of drugs
 - e. Grades are not as good as he could do
 - f. Has bad friends
 - g. Fights too much with brother or sister
 - h. Does not go to school regularly
 - i. Will not listen to me
 - j. Runs away from home
 - k. Other _____
4. Would you say the child generally seems:
 Happy Nervous Afraid
 Unhappy Insecure Other _____
5. How many times have you seen the child cry in the last two months?
 None 1 or 2 3 to 5 More than that
6. Has your family ever talked together about the kinds of problems mentioned in 1, 2, and 3 above?
 - a. Never b. Seldom c. Sometimes
 - d. Often e. Yes, but only in arguments
7. Do you find it hard to talk with someone in the family about these problems? If so, who?

Father's Views — Continued

8. List the three things you like most about the child who was in for interview.
 - 1.
 - 2.
 - 3.

9. What things could the child who was in for interview do to help work out the family's current problem?

10. What things could the child's mother or stepmother do to help work out the problem?

11. What things could you do to help work out the problem?

12. What do you want to talk about or get done during the next meeting at Juvenile Center? (Answer only if the family is to return to Juvenile Center.)

Name

Mother's Views

If the mother is not living in the home, this is for the woman of the house.

1. What do you see as the family's current problem?
2. Why do you think this problem happened now?
3. Are you concerned about the child who was in for interview doing any of the following things?
(Check if you are.)
 - a. Keeps late and unusual hours
 - b. Will not follow my directions
 - c. Drinks
 - d. I suspect is involved in the use of drugs
 - e. Grades are not as good as he could do
 - f. Has bad friends
 - g. Fights too much with brother or sister
 - h. Does not go to school regularly
 - i. Will not listen to me
 - j. Runs away from home
 - k. Other _____
4. Would you say the child generally seems:
 Happy Nervous Afraid
 Unhappy Insecure Other _____
5. How many times have you seen the child cry in the last two months?
 None 1 or 2 3 to 5 More than that
6. Has your family ever talked together about the kinds of problems mentioned in 1, 2, and 3 above?
 - a. Never b. Seldom c. Sometimes
 - d. Often e. Yes, but only in arguments
7. Do you find it hard to talk with someone in the family about these problems? If so, who?

Mother's Views – Continued

8. List the three things you like most about the child who was in for interview.
 - 1.
 - 2.
 - 3.
9. What things could the child who was in for interview do to help work out the family's current problem?
10. What things could the child's father or step-father do to help work out the problem?
11. What things could you do to help work out the problem?
12. What do you want to talk about or get done during the next meeting at Juvenile Center? (Answer only if the family is to return to Juvenile Center.)

Name

VOLUNTARY PLACEMENT AGREEMENT

I have legal custody of my child and I hereby consent to have my child, _____, stay in the home of _____ . I understand that this arrangement is not permanent, and upon completion of the stay, my child will return to my home. I further understand that I am in no way relinquishing legal responsibility or custody for my child. Should any problems arise during the placement or its length, the probation officer will be contacted for assistance.

LENGTH OF PLACEMENT:

MOTHER

FATHER

ADDRESS

TELEPHONE

CHILD'S SIGNATURE

PROBATION OFFICER

DATE

I agree to have the child named above stay in my house on the conditions indicated. Should any problems arise during this placement, the probation officer will be contacted for assistance.

IN CASE OF EMERGENCY WHEN PARENTS CANNOT BE REACHED

NAME

ADDRESS

TELEPHONE

WILL KNOW WHERE PARENTS CAN BE REACHED

RECIPIENT OF CHILD

RELATIONSHIP

ADDRESS

TELEPHONE

STATISTICAL SUMMARY (Unit)

MONTH OF _____

TOTALS

CASELOAD AT BEGINNING OF MONTH

- 1. Active _____
- 2. Holding (this means referral to other agency) _____

CASES RECEIVED DURING MONTH

- 1. Referral by law enforcement Boys _____ Girls _____ _____
- 2. Returning cases booked Boys _____ Girls _____ _____
- 3. Referral by walk-in Boys _____ Girls _____ _____

- 4. Referral by Court unit Boys _____ Girls _____ _____
- 5. Referral by Field Supervision Boys _____ Girls _____ _____

DISPOSITION

- 1. Closed after initial contact _____
 - a. With referral _____
 - b. Without referral _____
 - c. Open for service _____
- 2. Closed after subsequent contact _____
 - a. With referral _____
 - b. Without referral _____
 - c. Petitions filed _____
 - d. Informal supervision _____

CASES SEEN DURING MONTH

- 1. Number of active cases seen from last month (follow-up) _____
 - a. Number of families seen _____
 - b. Number of sessions held _____
- 2. Number of initial sessions (new cases) Minors _____
 Parents _____
- 3. Number of follow-up sessions (new cases) Minors _____
 Parents _____
 Families _____
- 4. Number of group counseling sessions _____
- 5. Total number of sessions _____
- 6. Number of sessions with doubling when you did not have prime case responsibility _____
- 7. Other Assignments – specify: _____

NUMBER OF DIVERSION CASES REPROCESSED DURING MONTH (not to be counted as walk-in) Voluntary Returns

CASELOAD END OF MONTH

- 1. Active _____
- 2. Holding (this means referral to other agency made) _____

PROCEDURE FOR REFERRALS

When to Refer. Normally the time of the referral will depend upon the nature of the problem. If the minor is mentally disturbed or overdosed on drugs, referral should be made to the Crisis Clinic as soon as possible.

If the problem is the need for long-term family counseling the referral should normally not be made until after several sessions with the family (at least 2 but preferably 3). This allows the family an opportunity to get into the swing of things and see the utility of the referral. If the situation looks as if there will be a referral to Family Service, they should be called as early as possible and the name placed on the waiting list. If referral then does not develop, the name can simply be withdrawn.

The choice of alternative referrals and the decision to accept a referral is for the family to make. The unit's job is to make appropriate suggestions.

How to Refer. The following steps should be followed whenever a referral of any sort is made:

1. Contact the agency to whom the referral is being made to apprise them of the referral and to offer information. This contact should be made wherever possible with the individual who will handle the case rather than the agency generally.

2. Give the family specific *written* information (name, telephone number and address) for making contact. It is very important that this be in the form "See Mrs. Pamela Jones at the Crisis Clinic" rather than

"You ought to try the Crisis Clinic." Let the family know of your continued availability.

3. Send a written report to the agency to whom the referral was made. This would include the intake report and other pertinent material. Let the agency referred to know of your continued availability for discussion.

4. Contact the agency later to see that contact was made.

- 4a. If contact was not made, contact the family to see what happened. Handle as appropriate depending on the situation. The principal options are: re-refer, refer to another agency, call back for further unit sessions, or terminate. If the case is re-referred or a new referral is made, follow the same procedure as above.

Does Referral End Involvement? Referral may or may not end involvement with the case. In many instances referral is made because some other agency can provide more effective or longer term treatment. In other instances referral is made for a more limited purpose and the unit will continue to see the family. Or in still other cases another agency may be brought into the case simply to participate.

Handling by Other Agency. The case will be handled by the other agency in its regular manner. The unit will be available. How far the unit will be involved depends on what was intended by the referral. In any event the other agency should be encouraged to call if it looks like the case may end back up in custody.

SESSIONS AND APPOINTMENTS

The first session is a must for the family, and every effort should be made to insure the family's attendance. Sessions past the first session are optional with the family. Families are generally open to suggestion, however, and the project plan calls for a minimum of two sessions insofar as possible.

Appointments. It is highly desirable that the time for the next appointment be set while the family is still at the hall.

If the family misses an appointment for which it is scheduled, the family should be contacted to determine why the appointment has been missed. Depending upon the response the unit officer must decide whether it is best to let things stand and terminate the case or

whether to encourage the family to come in again. The officer should not necessarily accept the family's statement that things are all right but should make his own judgment about the usefulness of further sessions.

If the case is terminated, a close-out form should be completed.

Crisis Line Service. It is important in setting up the next appointment and in closing out cases that the family be encouraged to call if there are any problems. This encouragement should be given separately to both the parents and the adult and the phone number to call given to *both*. The child should not be made to feel that the service is just for the parent, and vice versa.

CRITERIA FOR HANDLING 602 CASES

Exclusions (Prior Record)

- (1) Cases in which the juvenile already has a case pending in court or a warrant outstanding.
- (2) Cases involving juveniles currently on any form of probation (wards and non-wards)
- (3) Cases involving juveniles with a prior Boys Ranch, Girls School or CYA *commitment*.

Exclusions (Current Offense)

- (1) Out-of-county and out-of-state cases.
- (2) Cases in which the juvenile is charged with any of the following offenses:
 - (a) Murder-manslaughter
 - (b) Robbery
 - (c) Assault, (assault and battery, assault with a deadly weapon, battery, fighting, etc.)
 - (d) Grand theft (pursesnatch)
 - (e) Burglary
 - (f) Sale of drugs (possession for sale)
 - (g) Weapon offense (possession, concealed, etc.)
 - (h) Sex offense (rape, indecent exposure, prostitution, etc.)
 - (i) Extortion
 - (j) Kidnapping
 - (k) Arson
 - (l) Drunk driving (driving without license, any C.V.C. violations)
 - (m) Escape (juvenile hall, ranch, or girl's school)
 - (n) Work project failures
- (3) Cases in which the acceptance of custody indicates that property has been damaged or unrecovered.

Charges Handled

- (1) Grand theft auto (car clout, tampering with auto)
- (2) Possession of drugs (under influence of drugs, present where drugs used, possession of drug paraphernalia)
- (3) Receiving stolen property (possession)
- (4) Malicious mischief
- (5) Petty theft (shoplifting)
- (6) Trespassing (illegal entry, prowling)
- (7) Alcohol offense (possession; drunk, etc.)

(8) Disturbing the peace (loitering)

(9) Curfew

(10) Glue sniffing

(11) Resisting arrest

(12) Failure to identify (false ID)

(13) Throwing objects at moving vehicle

(14) All other minor offenses not specifically excluded

(15) Any attempts or conspiracies to commit above offenses

Problem situations regarding more than one charge

- (1) Where combination 601 and 602 offense, handle unless 602 offense exclusion (example: Runaway/GTA — handle unless prior record exclusion; Runaway/Sale of drugs — exclude)
- (2) Where multiple 602 charges relating to same incident, handle unless 602 offense exclusion (examples: Drunk/prowling/possession alcohol — handle unless prior record exclusion; GTA/possession of weapon — exclude)
- (3) Where more than one juvenile arrested on same charge relating to the same incident but not all are booked on the same day:
 - (a) If first juvenile booked on project day and handled by project, project handles all other codefendants booked on *any* subsequent day who is otherwise eligible for project handling.
 - (b) If first juvenile booked on nonproject day and handled by regular intake, regular intake handles all other codefendants booked on *any* subsequent day.
- (4) Where multiple 602 counts relating to separate incidents, handle only if juvenile has no prior record and total number of such incidents does not exceed two.
- (5) Where officer, acceptance of custody, or offense report indicates that additional charges will follow, include these charges in your assessment of the situation.
- (6) Where officer, acceptance of custody, or offense report is unclear as to whether additional charges will follow, PTA unless additional charge may involve serious injury to another. If in doubt as to what additional charge may

entail and/or supplemental police reports or information can be obtained in 24 hours, keep case pending until that information is received. Don't hesitate to call SPD or SSO for clarification or advance information. Where additional information establishes exclusion, refer to intake.

- (7) In any situation where it is still unclear after 24 hours and a PTA cannot be used, the case should be referred to regular intake.

NOTE:

In any situation not covered here, where it is unclear whether the case is to be handled by the project, the case will be accepted only where both the Project Officer and the intake officer agree that the case is

within the scope of the project. Where there is any disagreement the case will be handled by regular intake.

The project officer should be available to attempt to clarify some of these issues with the police officer booking the juvenile.

Subsequent difficulties

Once a case becomes a project case it remains a project case for all 601 behavior regardless of day of week. Project cases in which the child subsequently becomes involved in 602 behavior will be handled as follows:

- a. Minor 602 behavior — remains in project.
- b. Major 602 behavior — handled by regular intake (offenses which are *not* minor include drug offenses, robbery, burglary, grand theft auto and offenses involving violence or sexual assault).

**EXEMPLARY PROJECT: "JUVENILE DIVERSION
THROUGH FAMILY COUNSELING"**

To help LEAA better evaluate the usefulness of Exemplary Project documentation, the reader is requested to answer and return the following questions.

1. What is your general reaction to this document?

- Excellent Average Useless
 Above Average Poor

2. To what extent do you see the document as being useful in terms of: (check one box on each line)

	Highly Useful	Of Some Use	Not Useful
Modifying existing projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Administering ongoing projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing new or important information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Developing or implementing new projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. To what specific use, if any, have you put or do you plan to put this particular document?

- Modifying existing projects
 Training personnel
 Administering ongoing projects
 Developing or implementing new projects
 Other: _____

4. Do you feel that further training or technical assistance is needed and desired on this topic? If so, please specify needs.

5. In what ways, if any, could the document be improved: (please specify, e.g. structure/organization; content/coverage; objectivity; writing style; other)

6. If you would like to receive information on how to submit a program for consideration as an Exemplary Project, please check this box.

7. How did this document come to your attention? (Check one or more)

- LEAA mailing of package LEAA Newsletter
 Contact with LEAA staff National Criminal Justice Reference
 Your organization's library Reference Service
 Other (please specify) _____

8. Have you contacted or do you plan to contact the Exemplary Project site for further information?

CUT ALONG THIS LINE

9. Check ONE item below which best describes your affiliation with law enforcement or criminal justice. If the item checked is an asterisk (*), please also check the related level, i.e.,

- | | | | |
|--|---|---|---|
| <input type="checkbox"/> Federal | <input type="checkbox"/> State | <input type="checkbox"/> County | <input type="checkbox"/> Local |
| <input type="checkbox"/> Headquarters, LEAA | <input type="checkbox"/> LEAA Regional Office | <input type="checkbox"/> State Planning Agency | <input type="checkbox"/> Regional SPA Office |
| <input type="checkbox"/> College, University | <input type="checkbox"/> Commercial Industrial Firm | <input type="checkbox"/> Citizen Group | <input type="checkbox"/> Police* |
| | | <input type="checkbox"/> Court* | <input type="checkbox"/> Correctional Agency* |
| | | <input type="checkbox"/> Legislative Agency* | <input type="checkbox"/> Other Government Agency* |
| | | <input type="checkbox"/> Professional Associations* | <input type="checkbox"/> Crime Prevention Group* |

FOLD

Director
Office of Technology Transfer
National Institute of Law Enforcement
and Criminal Justice
U.S. Department of Justice
Washington, D.C. 20531

(CUT ALONG THIS LINE)

FOLD

10. Your Name _____
Your Position _____
Organization or Agency _____
Address _____

Telephone Number _____ Area Code: _____ Number: _____

11. If you are not currently registered with NCJRS and would like to be placed on their mailing list, check here.

END