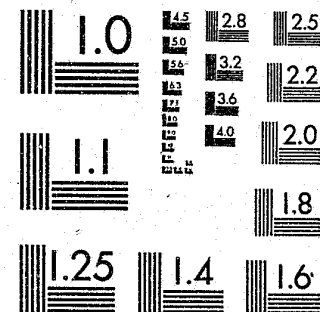


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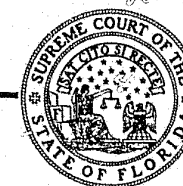
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2/26/86

# CITIZEN DISPUTE SETTLEMENT

95285



## GUIDELINE MANUAL

U.S. Department of Justice  
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## **CITIZEN DISPUTE SETTLEMENT GUIDELINE MANUAL**

**SECOND EDITION, JANUARY, 1981**

**PREPARED BY: DISPUTE RESOLUTION ALTERNATIVES PROJECT**  
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TABLE OF CONTENTS

|   | PAGE |
|---|------|
| PREFACE.....  | v    |
| CHAPTER ONE: PROGRAM DEVELOPMENT STAGE.....   | 1    |
| 1.1 Introduction.....   | 2    |
| 1.2 Determination of the Need for a CDS Program.....  | 2    |
| 1.3 Defining Basic Program Characteristics.....   | 4    |
| A. Program Goals .....  | 4    |
| B. Objectives.....  | 4    |
| C. Dispute/Case Selection Criteria .....  | 5    |
| D. Relationship with Court and Court-Related Agencies .....   | 6    |
| E. Dispute Resolution Techniques .....  | 8    |
| F. Type of Sponsoring/Supervisory Agency .....  | 9    |
| G. Projecting Resource/Funding Requirements .....   | 10   |
| 1.4 Program Funding .....   | 11   |
| A. General Funding Options.....   | 11   |
| B. Funding Resources .....  | 13   |
| 1.5 Techniques for the Organizational Presentation of Program Proposal to Appropriate Funding Sources ..... | 19   |
| CHAPTER TWO: PROGRAM IMPLEMENTATION STAGE.....  | 23   |
| 2.1 Introduction .....  | 24   |
| 2.2 Program Personnel Requirements .....  | 24   |
| 2.3 Program Training and Orientation.....   | 26   |
| 2.4 Public Information/Education .....  | 28   |
| 2.5 Development of Referral Capability .....  | 29   |
| 2.6 Operational Workflow/Paperflow Documentation .....  | 31   |
| 2.7 Management Information System Capability .....  | 36   |
| CHAPTER THREE: LEGAL ISSUES IN CITIZEN DISPUTE SETTLEMENT PROGRAMMING .....                                 | 39   |
| CHAPTER FOUR: TECHNICAL ASSISTANCE RESOURCES.....   | 47   |



|   | PAGE |
|---|------|
| FOOTNOTES.....  | 49   |
| BIBLIOGRAPHY .....  | 51   |
| ADDENDA   |      |
| A. Profile of Florida's Existing CDS Program.....   | 59   |
| B. Dispute Resolution Alternatives Committee [DRAC]<br>Study of Five CDS Programs in Florida..... | 67   |
| C. Supplemental Funding Resources.....  | 71   |
| D. Citizen Dispute Settlement Paperflow Chart .....   | 113  |
| E. Model CDS Program Operational Forms .....  | 117  |
| F. Case Management Statistical Forms .....  | 139  |
| G. Dispute Resolution Information and Technical Assistance Service Pamphlet.....                  | 157  |

## PREFACE

### WHAT IS CITIZEN DISPUTE SETTLEMENT?

In its most elementary form, a Citizen Dispute Settlement (CDS) Program offers an alternative mechanism, outside the formal adjudicatory process, for disputing parties to resolve their problems with the goal of reaching a "lasting solution." The objective of the CDS process is not to determine right or wrong and to impose sanctions based upon legal precedents. Contrastly, the primary goal of a CDS program is to assist the disputants in reaching a mutually-satisfactory settlement resulting in the prevention of future disputes.

The common denominator in the development of a CDS program is that it be directed at the resolution of "minor" types of interpersonal disputes through an informal, nonadversary mediation process. The concept of mediation involves the active participation of a non-coercive, impartial third party in the processing of a dispute. This third party has no authority to impose or stipulate a desired outcome or settlement. On the contrary, in mediation, "the outcomes are produced by the third party only when he can secure the consent of the disputants to proposals of accommodation."<sup>1</sup>

The CDS process is simplistic and structured around the convenience of the disputants. The mediation hearings, which are free of cost to the disputants, are generally held in the evening within ten days of the date of the complaint. (See figure 1 for description of CDS process flow.)

### CITIZEN DISPUTE SETTLEMENT PROGRAM DEVELOPMENT IN FLORIDA

There has been a tremendous growth of and reliance upon Citizen Dispute Settlement projects at the local level in Florida over the last three years. In spite of the emerging importance and popularity of the CDS concept, however, relatively little attention has been directed toward the requirements for effective statewide development or coordination of CDS programming.

One of the pioneer CDS programs in the nation evolved in Miami, Florida. Because of the success of that program and the widespread interest of Florida's judiciary in the CDS concept, a number of programs were established in other counties throughout the state. Currently, there are 15 projects located around the state. Additionally, there are at least six other Florida communities investigating the potential for such programs in their jurisdictions. (See Addendum A for profile of Florida CDS Programs.)

The CDS programs in Florida vary significantly in their structural organization and operating procedures. Of the 15 programs currently operating, eight are set up under the supervision of the court, six operate under the auspices of the state attorney's office and one program is supported by a local bar association.

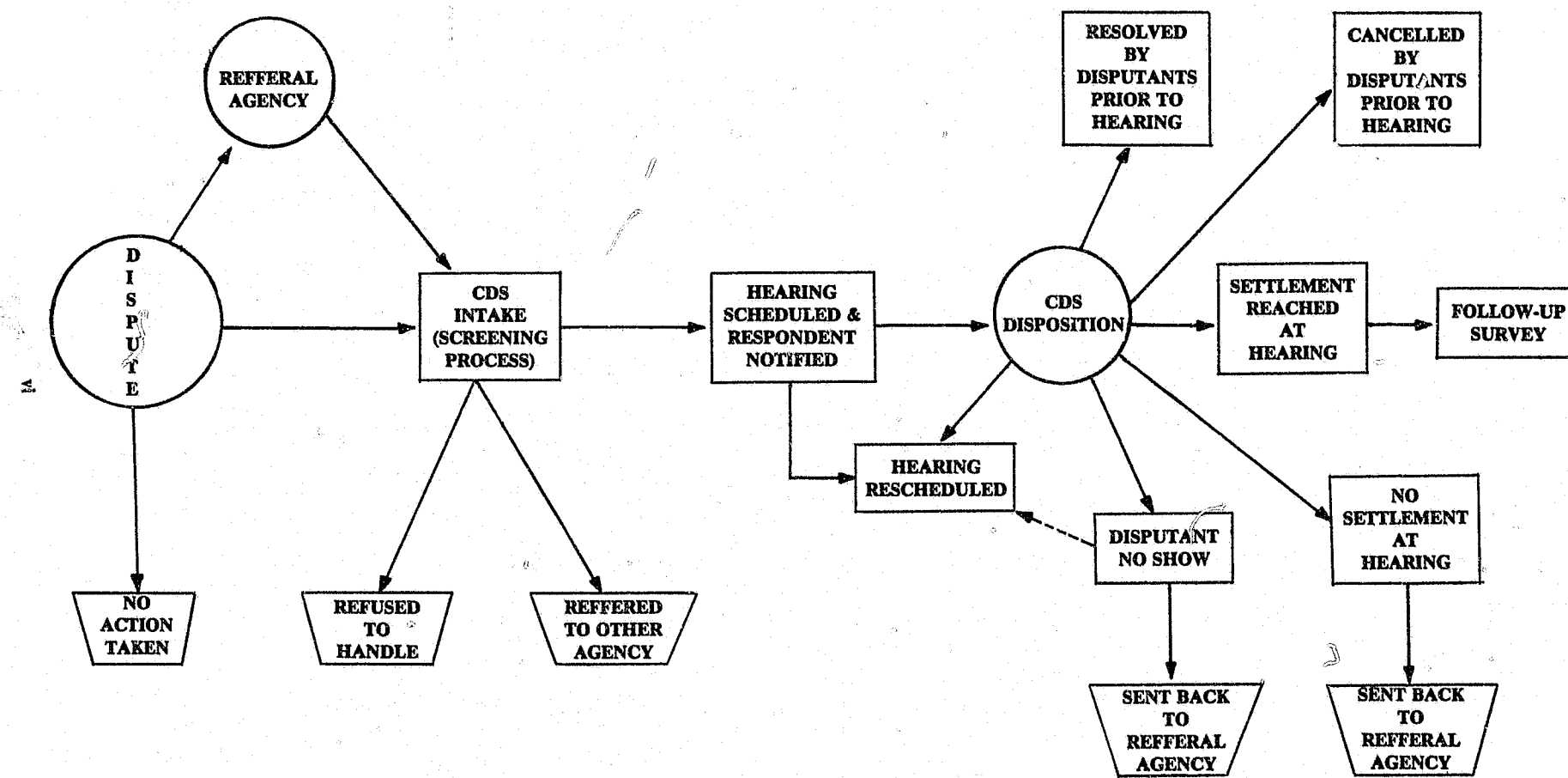
The funding sources vary significantly including LEAA grant funds, CETA funds and state or local general revenue funds. Some of the projects have been funded through a combination of such monetary resources, depending on their budgetary requirements. There are also significant differences in their budgetary requirements. For instance, the programs in Brevard and Alachua Counties originated in the respective prosecuting attorneys' offices and are supported solely through the regular operating budget of those offices. In contrast, the Miami program operates on a budget of approximately \$100,000 per year, obtained from the Metropolitan Dade County Government. The other programs vary in their fiscal requirements from \$13,000 to \$158,000 per year.

The caseloads of the programs range from approximately 400 per year to in excess of 3,000 per year, depending on local policies dictating the types of cases which they are to handle. Most programs have concentrated their efforts on misdemeanor and small claims cases and others are branching into domestic, consumer and juvenile matters. The distribution of caseloads by case type varies from program to program.

The staffing of the programs are not uniform. For example, some utilize volunteer mediators, while others utilize paid professionals. The qualifications of mediators also vary. In many cases, mediators are attorneys, teachers, retired military personnel or lay citizens.

**FIGURE 1**

**CITIZEN DISPUTE SETTLEMENT PROCESS**



## FLORIDA'S STATEWIDE INITIATIVE

The very existence of these CDS program variations has demonstrated the flexibility of the citizen dispute settlement mechanism as a viable dispute resolution alternative for almost any jurisdiction. As a result, the Florida Supreme Court announced in 1977 that one of its major priorities was the need to further investigate and evaluate existing CDS programming in order to determine how and why such programs are successful, and how their continued growth and expansion can be encouraged and supported in Florida.

Initial work on assessment of the requirements for statewide expansion and coordination of citizen dispute settlement programming in Florida began in early 1977. Florida's Judicial Planning Committee, with the support of the staff of the Office of the State Courts Administrator, identified several immediate problems and needs.

- There was lack of definitive guidelines to assist those jurisdictions without a CDS resource in the development of such programming based on the experience of those counties where they already exist.
- There was a lack of coordinative or technical assistance mechanisms to provide direct support and encouragement for CDS program implementation.
- There was a need to ensure that new citizen dispute settlement programs develop in cooperation and not in conflict with established statewide procedures for the handling of criminal, landlord and tenant, small claims, domestic relations and juvenile actions. There was also a need to ensure compatibility of the programs with local court rules and operating procedures and a need to ensure that CDS programming avoids duplication of other non-judicial dispute resolution mechanisms in the various counties such as consumer complaint offices and administrative or arbitration procedures.
- There was a need to develop streamlined methods for screening those types of disputes which might be appropriate for referral to CDS programs.
- There was a need for the development of improved curricula for the actual training of program administrative, intake and mediation staff.
- Due to the limited number of funding resources which might be relied upon to support CDS programs and the assumption of cost provisions usually associated with such resources, there was a need to develop strategies for financing the programs as well as methods for improving their cost effectiveness.

Based on these preliminary findings, the Supreme Court established in January of 1978, a special Advisory Committee on Dispute Resolution Alternatives (DRA) to address such needs. The committee functioned under the leadership of former Justice Joseph W. Hatchett, and included representatives of Florida's judiciary, the legislature, various state attorneys' offices, local government and other affected public, consumer and citizens' groups or organizations.

The Supreme Court has also instituted a state-level project which is believed to be one of the first of its kind in the country. This project provides a research, technical assistance and training mechanism for CDS programs through the Office of the State Courts Administrator.

## DISPUTE RESOLUTION ALTERNATIVES COMMITTEE ACTIVITIES

The committee began its work in March of 1978 with the conduct of the organizational and orientation meeting. At this meeting, the committee heard from representatives of each of the CDS programs that were operating at that time. Based on the testimony of these individuals and the background research of the committee members and staff, the objectives of the committee referred to earlier were outlined and three subcommittees were organized to address these objectives. The three subcommittees were assigned responsibilities in areas of legislation and funding, program policy, and training and education.

Over the next twelve months, the full committee met four times with the various subcommittees also meeting individually and in concert with the full committee. Simultaneously, the committee staff was executing the statewide assessment of the CDS concept through the collection of information and data from a sampling of cases, the questioning of disputants and the interviewing of CDS program staff, mediators, and key participating judicial and social service agencies. The primary result of the committee's deliberations and staff research was the *Citizen Dispute Settlement Guideline Manual*.

## **PURPOSE OF THE MANUAL**

The primary purpose of this manual is to assist in the development and implementation of CDS programs by local jurisdictions considering such an undertaking. Secondly, it is hoped that distribution of this document will promote the concept of CDS and stimulate interest across the state and, potentially, the nation, in the development of this type of dispute resolution alternative.

The manual is structured to provide guidance to a local jurisdiction in all aspects of CDS programming. In most instances, it is indicated that there is no specific activity, function or procedure that is mandatory. Options are presented along with the potential advantages and disadvantages in the selection of such options. It was the firm belief of the committee that the local jurisdiction should tailor its program to the needs, requirements and conditions of that jurisdiction. The utilization of this manual will hopefully assist in such determinations.

It is also envisioned that this manual may be useful to existing CDS programs. Specifically, a program may utilize this manual to assist in dealing with a particular problem that has been identified in their operations or in any anticipated expansion of program operations.

## **CHAPTER ONE**

### **PROGRAM DEVELOPMENTAL STAGE**

## 1.1 INTRODUCTION

This chapter deals with the many issues, procedures and concerns which arise during the transition of a dispute resolution alternative (DRA) *concept* to a dispute resolution alternative *program*, such as a Citizen Dispute Settlement (CDS) Center. There is no one way to ensure the successful development of a program. However, a thorough, broad-based understanding of the multitude of factors which may contribute to the successful development of a CDS project may be of assistance. The information contained within this chapter centers on development concerns relating to the following topics:

- Documenting the problems which suggest the need for a CDS program
- Definition of the basic specifications for the program including goals and objectives, the types of disputes to be handled and screening criteria, the relationship of the program to other dispute resolution alternatives, program sponsorship and resource requirements
- Funding alternatives
- The preparation of funding proposals or applications

## 1.2 DOCUMENTATION OF THE NEED FOR A CITIZEN DISPUTE SETTLEMENT PROGRAM

The very first consideration in the development of a citizen dispute settlement center is the determination of the *need* for such a program. For, if no bona fide need exists, the program would be useless and difficult to sell to policymakers. It is not, however, always easy to document the need for new programming of this nature.

The need for such new programming can be demonstrated through basically two interrelated approaches. The first, and most common, approach is based upon documenting the existence of real or hypothesized problems currently affecting the manner in which "minor" disputes are handled in the community. The second approach involves the documentation and proof that CDS offers, potentially, a better system for the resolution of certain disputes. Certainly, an attempt to prove that CDS offers a *better* system would require some demonstration of the current problems affecting the status quo. However, there are a number of reasons why CDS offers a better system which are *not* necessarily related to any given problem(s) in the current judicial system. For example, the CDS process is geared toward the resolution of disputes by exploring and discussing the underlying causes of each dispute in a non-adversary manner. When programs are successful in this resolution endeavor, the potential benefit to society is great in that a possible formal criminal or civil proceeding may have been avoided due to the early intervention and resolution of the problem. An additional benefit that CDS offers the citizenry is the availability of a new forum in which they can attempt to resolve their disputes in a timely, inexpensive and uncomplicated manner. These are two of many examples of demonstrating the "positive" aspects of CDS without depending solely on problematic characteristics which can be found in the judicial system.

Nonetheless, as stated previously, the most common approach used for justifying the need for a CDS program is documenting the problems of the current system of dispute resolution. The range of problems which have generally served as the impetus for the establishment of CDS and other DRA programs in Florida, as well as nationwide, are outlined below.

- Delays incident to established court procedures for the handling of small claims, juvenile, domestic relations and minor criminal infractions.
- The excessive costs of processing such cases under conventional procedures (this includes the costs to the litigants, e.g., filing fees, attorneys' fees, etc., as well as the costs to the taxpayers).
- The limited amount of time actually devoted to the resolution of each individual dispute under conventional methods.
- The prospect that many more serious disputes grow from minor problems which, while they may have been addressed earlier, were disposed of as a result of determinations of guilt, innocence or liability rather than the elimination of causal factors.

- The reluctance of disputants to seek resolution of their problems via conventional procedures because of lack of knowledge as to their availability and general requirements, and/or perception that the conventional procedures are too formal and complex.

Two steps must be taken to provide sufficient evidence of the need for a program in terms of the existence of these or other related problems. The first involves the gathering of as much information of the *existence* of such problems as possible. The second involves a provision of documentation relating to the potential the proposed CDS program holds for resolving such problems. It should be noted that not *all* of the above problems need to be in evidence in a given jurisdiction to justify the need for a CDS program.

The program designers should ask a number of questions during the problem analysis process, including:

### A. WHAT PROBLEMS EXIST?

This may involve a judgement on the part of the program designer, should that individual have experience in working with minor disputes in that community. It may also be the judgment of others whose input might be solicited for the purpose of documenting the existence of such problems, including personnel from law enforcement and social service agencies, churches, consumer groups and representatives of the more formal dispute resolution processes including judges, state attorneys, public defenders, etc.

### B. HOW EXTENSIVE ARE THE PROBLEMS?

A number of resources can be tapped in order to collect data which might be used to document how extensive the problems are in a particular community or jurisdiction.

1. A primary resource for data relating to delays incident to the processing of certain types of disputes through the court system, as well as the costs incurred by litigants, are case files maintained by the court for:
  - a. Domestic relations matters
  - b. Misdemeanors
  - c. Small claims
  - d. Selected felonies
  - e. Other civil actions
  - f. Juvenile matters
2. Docket forms or books maintained separately from case files may yield data on the time from filing to disposition of such cases.
3. Information on repeat offenses for certain types of disputes (primarily juvenile misdemeanors and minor felonies) may also be available in published reports of the State Youth Services Program Office, the Florida Department of Criminal Law Enforcement and various local social service agencies.
4. Observation of actual court proceedings for small claims, misdemeanors and other matters will provide data on the amount of time available for the hearing of individual cases as a measure of ability of courts to thoroughly explore the issues in a formal hearing.

### C. HOW SERIOUS ARE THE PROBLEMS?

Here again, a determination of the relative severity of the problems may require consultation with individuals in the community. Consultation with the resources cited earlier as well as various private and civic groups, local bar associations, etc., will enable the program designer to place a given problem in perspective in terms of how it is perceived by others. It will also enable the program designer to gauge the priority which would be assigned to specific problems. Documentation on the relative severity of various problems will serve as a basis for design of the program procedures and administrative requirements.

It should be also noted that the process of problem analysis enables the planner to introduce the program in a number of quarters, thereby assisting in the development of broad-based community support.

#### D. WHAT ARE THE CAUSES OF THE PROBLEMS?

The causes of problems pertaining to delay and cost may be directly related to limitations on existing resources in the court system, including:

1. Limited number of judges, prosecutors and other administrative staff, and a resulting backlog of cases.
2. Limitations on the availability of courthouse facilities, or the location of such facilities in areas where they are inaccessible to many citizens.
3. Limitations on resources which preclude the offering of dispute resolution services at hours which are convenient for citizens who must work during the day.

#### 1.3 DEVELOPMENT OF CDS PROGRAM SPECIFICATIONS

After successfully and thoroughly documenting the *need* for a CDS program, the next step in the design or development process is the formulation of specifications relating to the following aspects of the program.

- The general goals and specific objectives of the program
- The types of disputes or cases which will be handled and the criteria for screening
- The manner in which the program will interface with other dispute resolution mechanisms
- The dispute resolution technique which is to be used
- The type of sponsoring agency or organization
- The projection of basic funding requirements

##### A. PROGRAM GOALS

Based on the types of inquiries suggested in the preceding section, certain problems will appear to be more in evidence than others. The existence of those problems and their relative priority should serve as the basis for the establishment of a *general* set of *goals* for the program. Examples of the types of goals often associated with CDS programming are outlined below.

1. The reduction of costs to litigants involved in certain disputes.
2. The reduction of costs to the taxpayers for handling certain disputes.
3. The handling of the disputes in a much shorter period of time.
4. As a result of reductions in workload, improved handling of more important and complex types of litigation by existing judicial resources.
5. The devotion of a greater amount of time to individual cases.
6. Increased availability of or access to a forum for disputes which otherwise would not be resolved or even litigated.
7. The improvement in the quality of the disposition by addressing and eliminating causes to problems, as opposed to focusing on the determination of guilt, innocence or liability and the subsequent application of sanctions.
8. As a result of the above, the prevention of future and more serious disputes and reduction of tension in the community.

##### B. PROGRAM OBJECTIVES

The above goals are to serve as general guidelines in the establishment of a more specific set of objectives. Whereas the goals identify the general targets, the objectives must detail how and to what extent the program will attempt to accomplish the goals. Examples of objectives cited for other programs include:

1. The handling of all disputes within two weeks of the time the initial contact is made with the program.

2. The provision of dispute resolution services in the evenings and on weekends at times which are convenient to the disputants.
3. The diversion of x number of cases from the existing judicial system (small claims, misdemeanors, etc.).
4. The handling of x number of cases which normally would not be referred to the system.

It should be stressed that the objectives of each individual CDS program may vary. Regardless, the objectives should be concentrated on concrete measurable benefits which will be derived from program implementation. All stated objectives should be reviewed to ensure that they are reasonable, realistic and attainable. Broad generalizations forecasting major reductions in court caseload and concomitant savings to the judicial process should be avoided.

##### C. DISPUTE/CASE SELECTION CRITERIA

There are three primary considerations to weigh in identifying criteria for eligibility to participate in a CDS program. Such factors include:

- The nature and type of dispute
- The nature of disputant relationship
- The level of seriousness of the dispute

Provided below is a discussion of these three factors.

##### 1. Nature and Type of Dispute

One of the most crucial decisions to make concerning the development a CDS program pertains to the types of disputes which will be handled. The Florida experience has shown that there are wide variations among the programs in the types of disputes handled. The range extends from approximately 85 percent criminal in one program to over 80 percent civil in another.

However, labels such as criminal, civil, etc., as suggested earlier, can be misleading when measuring program accomplishments. The recent Dispute Resolution Alternatives Committee (DRAC) study (see addendum B) reveals that a significantly higher percentage of criminal disputes are successfully mediated at a hearing and the disputants are more likely to be satisfied with their participation in the CDS process than are disputes of a civil nature. However, the individuals involved in a criminal or civil dispute did not differ in their perceptions of the level of problem resolution.

This pattern, however, does not appear to be present when individual disputes are analyzed. For example, neighborhood disputes, which are classified as civil, had the highest agreement rate and the lowest satisfaction and problem resolution rates. To continue, recovery of money/property disputes also classified as civil had the lowest agreement rates, but the highest satisfaction and problem resolution rates.

Given the above findings, a jurisdiction, in developing a CDS program, should identify those *individual dispute types* which that jurisdiction wishes to address, and not concern itself with the broad categories of criminal, civil and juvenile. Experience has shown that the CDS process holds great potential for successfully handling the following types of disputes:

- Simple Assault & Battery
- Neighborhood Disputes
- Harassment
- Animal Nuisance
- Landlord/Tenant
- Consumer
- Recovery of Money/Property



Specific definitions of the types of matters encompassed in each category are included in Addendum F.

## 2. The Nature of Disputant Relationship

Interrelated with the decision concerning the types of disputes to be handled is a consideration of the nature of the relationship of the parties in dispute. Traditionally, primary focus has been placed upon disputes occurring among individuals with an ongoing relationship such as husband/wife, neighbors or boyfriend/girlfriend, regardless of dispute type. The experience of established programs tends to support this trend. However, the findings of the DRAC study and other research efforts point to the appropriateness of disputes where the disputant relationship is less formal. Disputes involving parties with a less formal and non-personal relationship such as consumer/business or landlord/tenant also are likely to feel the problems are resolved and be moderately satisfied with their experience with the CDS process.

Interestingly, for some types of cases, parties involved in disputes where no relationship whatsoever exists tend to be more satisfied and feel the problem is totally resolved, than parties who have an ongoing personal relationship such as husband/wife, divorced spouses or neighbors.

Given the nature of the findings discussed above, it appears that a CDS program should not totally concentrate its efforts with disputes involving individuals with ongoing, personal relationships. In spite of the fact that the resolution of disputes where such personal relationships exist may tend to result in higher satisfaction on the part of the individual disputants, the resolution of the problem may only be short-term. In contrast, disputes involving individuals with a less formal and personal and more casual relationship will be more difficult to obtain a settlement, but of those that are settled, the disputants will tend to be more satisfied and the resolution of the problem will be more long-term.

## 3. The Level of Seriousness of the Dispute

Another criteria for selection of cases for CDS processing includes considering the level of seriousness of the dispute. There is limited information concerning the effectiveness of the CDS process in handling the more serious disputes such as those resulting in the commission of a felony, civil disputes involving more than \$1500 or property settlements in dissolution cases. However, in the DRAC study, it was found that disputes involving burglaries, rape, aggravated battery, arson, auto theft, property settlements and civil disputes in excess of \$1500 have been handled in small numbers by a few CDS programs. Surprisingly, the settlement rates for these types of disputes were comparable to the rates of more frequently handled disputes. However, one should be cautious in interpreting this finding due to the extremely low number of cases examined.

In considering the criteria for screening of an individual dispute, a CDS program must be cautious in developing the criteria so that the more serious disputes referred to above are screened out, at least initially. The problems resulting from the handling of such matters, centered around public attitudes, may far outweigh any potential benefits that might result during the initial period of implementation.

The best sources of information on the relative success CDS programs enjoy in handling different types of cases involving different disputant relationships, and cases of varying levels of severity are evaluative studies on existing programs. Formal evaluations have been published on the work of the CDS programs in Orange and Dade Counties in addition to the DRAC study previously mentioned. Finally, statistical information is generally available from Florida programs, as well as from other programs throughout the country, in the form of periodic or annual reports.

## D. RELATIONSHIP WITH COURT AND COURT-RELATED AGENCIES

The importance of coordinating a dispute resolution program with other agencies and community service organizations cannot be overemphasized. However, a program intending to operate directly or indirectly within the criminal and civil justice system, must develop a particularly strong and viable relationship with the judiciary and court-related agencies. Generally speaking, a CDS program could not function easily or effectively without the support and cooperation of the court and court-related agencies in such instances.

A CDS program depends heavily on referrals from such entities as the court, law enforcement, state attorney, legal aid, city hall, social service agencies, etc. The relationship between a program and these entities should be a reciprocal one. The development of a good inter-agency relationship will enhance the program as well as the other agencies. More importantly, the public will benefit from a better coordinated system of dispute resolution.

Similarly, there is always a need to ensure that new citizen dispute settlement programs develop in cooperation and not in conflict with established statewide procedures for the handling of criminal, landlord/tenant, small claims, domestic relations and juvenile actions. There is also a need to ensure the compatibility of program operations with local court rules and operating procedures and a need to ensure that CDS programming avoids duplication of other non-judicial dispute resolution mechanisms in the various counties such as consumer complaint offices and administrative or arbitration procedures.

Several techniques might be employed to ensure compatibility with and support from other elements of the local dispute resolution environment, thereby avoiding duplication of effort and conflict.

One option which might be considered in the program development stage is the formation of a council to serve as an advisory body for the CDS program. Such a council could include representatives from the key criminal justice agencies, local governing bodies, and other interested persons or entities. Such councils have played vital roles in the development of CDS programs elsewhere. Generally, such a council could establish rules for the administration of a CDS program without becoming involved in day-to-day decisions and activities.

There are several potential advantages and disadvantages which should be considered regarding the council approach.

### 1. Advantages

- A council could facilitate the actual establishment of a CDS program by providing broad-support for the program.
- A council could add an air of "legitimacy" to the program.
- A council could be very helpful to a program in overcoming various problems or obstacles encountered in the implementation of new operating procedures.

### 2. Disadvantages

- A council may be cumbersome and time-consuming to work with administratively.
- If not a harmonious group, it might create problems or hinderances.
- A council could prove to be a handicap in acquiring funding from certain funding sources (e.g., some philanthropic foundations, by policy, might decline funding assistance to a program sponsored by or aligned with the formal criminal justice system or formal governmental agencies).

A second technique which may be employed at a staff level to ensure compatibility and avoid duplication of efforts involves the conduct of a comparative analysis of the procedures which are currently being utilized to handle cases similar to those which will be handled in the future by the proposed CDS program. This should involve specific consideration of case screening and intake procedures, as well as workflow and paperflow. Information should be collected on the forms which are utilized as well as the personnel who are involved in the conduct of the current procedures.

The above information would then be compared with the procedures which have been outlined for the proposed program to ensure their compatibility. Where cost savings can be realized through the consolidation of certain steps in the handling of minor disputes such as the screening and intake function, the requirements for such activities may be worked out jointly between existing personnel and those who will coordinate the new program. The information will also provide a sound basis for evaluating the effectiveness of a new program relative to established operations.

#### E. RESOLUTION TECHNIQUE

There are basically two main types of resolution techniques considered appropriate to dispute resolution alternatives patterned in the CDS mode — mediation/conciliation and arbitration. The following describes the definition and general characteristics of each.

##### 1. Mediation/Conciliation<sup>2</sup>

These are processes whereby a neutral third party acts to encourage and facilitate the resolution without prescribing what it should be. There is little distinction between the terms mediation and conciliation and the terms can be used interchangeably. (To facilitate a clearer understanding of the process, mediation will be used in reference to both of these dispute resolution processes.)

Mediation is an informal process of dispute resolution between two parties with a third party acting as a facilitator. The process is non-adversary with no intent to determine right or wrong. In some cases, the finding of facts does not have a bearing on the outcome or resolution. Thus, mediation is more therapeutic than judgmental.

The objective of the process is to have the parties in dispute arrive at a mutually acceptable agreement. The process attempts to discover and resolve the underlying cause of the dispute. This may result from consideration and airing of the feelings and attitudes of the individual disputants as well as to the circumstances surrounding the dispute.

The process is directed towards bringing about a more harmonious relationship between the parties, whether this might be achieved through explicit agreement, through a reciprocal acceptance of the social norms relevant to their relationship, or through improved perception and understanding of one another's problems. Further, the process is entirely voluntary and the resolution is not legally binding or enforceable. It is up to the parties involved to voluntarily comply with the agreement which is reached.

It should be stressed that the success of the mediation process is largely dependent upon the mediator's ability to facilitate interaction between the disputants and establish trust between himself and the disputants. This fact is supported by the data collected in the DRAC study in that the disputants' evaluation of the mediator had a very high correlation with both the disputants' overall satisfaction with the CDS process and the level of problem resolution.

##### 2. Arbitration<sup>3</sup>

Arbitration generally involves the submission for determination of a disputed matter to private individuals selected in a manner provided by law or agreement.

Although less formal than the adjudication process, arbitration is a formal proceeding following the standard adversary process, often involving rules of evidence and written briefs. However, there is no restriction of the parties to express and explain their side of the dispute to the fullest extent.

Arbitration is most often used when the parties are seeking a quick and equitable determination of their dispute which the adjudication process may not be able to provide or for which it may not be as appropriate. The disputants also, in most cases, mutually agree on the arbitrators who are to be involved.

Arbitration, like mediation, focuses on trying to resolve the underlying problems that exist between the parties in a manner that will result in an avoidance of future situations in which the parties may become involved in a dispute. However, once an agreement to arbitrate a dispute has been reached, the parties are bound to accept the decision or award of the arbitrator.

Substantive judicial review of an arbitration decision is highly restricted. Judicial review mainly concerns only the process by which the decision was made or the actions and behavior of the arbitrators during the process.

Most of Florida's programs have chosen to rely solely on a mediation approach to the resolution of disputes. However, the option exists for programs to adopt what Joseph Stuiberg of the American Arbitration

Association refers to as "Med - Arb," a process whereby the disputants agree to proceed into mediation with the agreement that if a mutually acceptable solution cannot be found, they will move into an arbitration mode.<sup>4</sup>

#### F. TYPE OF SPONSORING/SUPERVISORY AGENCY

The selection of the form of organizational sponsorship is influenced by a number of factors such as the types of disputes to be handled, the availability of organizations willing and financially able to sponsor the program and the degree of authority desired by the program. The basic decision to be made is whether the program should be sponsored by a private organization, a prosecutor or the court.<sup>5</sup> The major advantages and disadvantages of each type of sponsorship are documented below:

##### 1. Private Organization Sponsorship

###### a. Types

- (1) Local Bar Association
- (2) Private, non-profit corporations
- (3) Community action groups

###### b. Advantages

- (1) Ability of CDS program to project an image of neutrality and provide a solid orientation toward the community.
- (2) Ability to develop a broad base of support among community members in all phases of program development for referral purposes.
- (3) Ability to handle a wide variety of disputes.

###### c. Disadvantages

- (1) The lack of an established relationship with key referral agencies such as law enforcement, prosecutors, court clerks and judges.
- (2) The lack of a capacity to establish a consistent, long-term funding capability.
- (3) The lack of the appearance to the disputants of any enforcement powers related to program participation.

##### 2. Prosecutor Sponsorship

###### a. Advantages

- (1) An established part of an existing dispute resolution system.
- (2) Control over the processing of a large volume of cases appropriate for CDS.
- (3) Appearance to the disputants of enforcement capabilities.
- (4) The ability to start up a program with little additional funds or resources.
- (5) The potential for significant impact on the criminal caseload of the courts.

###### b. Disadvantages

- (1) The stigma attached to any contact with the formal criminal justice system.
- (2) The appearance of non-neutrality.
- (3) The potential lack of a broad base of community support.
- (4) The inability to handle civil-type matters.

### 3. Court Sponsorship

#### a. Advantages

- (1) An established part of an existing dispute resolution system.
- (2) The ability to handle a wide variety of matters including criminal, civil and juvenile disputes.
- (3) The appearance to the disputants of enforcement capabilities.
- (4) The potential to institutionalize the program through the receipt of a relatively consistent funding source.
- (5) The potential for having significant impact upon the caseload of the existing court system.
- (6) The ability to project an image of neutrality.

#### b. Disadvantages

- (1) The stigma attached to any contact with the formal court or criminal justice system.
- (2) The dependence on tax dollars for continued funding in competition with a host of other governmental agencies and services.
- (3) The potential lack of a broad base of community support.

In summary, it appears that, as was stated earlier, a decision as to the form of organizational sponsorship of a CDS program is influenced by a number of factors, each of which must be weighed individually. Certainly, the most important factor will be local jurisdictional conditions and objectives of those individuals responsible for developing the program.

#### G. PROJECTING RESOURCE/FUNDING REQUIREMENTS

A crucial aspect of program development is the identification of minimum funding requirements and the preparation of a prudent and acceptable budget based upon such requirements. This section is intended to document the types of budgetary categories that may be considered. It is emphasized that the budget breakdown provided in Table 1 represents a compilation of the various categories of expenditures which existing CDS programs have utilized. Therefore the table serves as only a checklist for possible budget categories. It in no way implies that each of the categories would or should apply to all jurisdictions.

Specific budgetary requirements of a CDS program will be first governed by the decisions made by the program designer, as discussed under A, B, C, D, E, and F above. The second determinant will be preliminary estimates of the manner in which the program might be organized and staffed as well as the procedures which will be utilized in actual program operations (as discussed in Chapter 2). Obviously, a new program should approach the budgetary process in a prudent and fiscally responsible manner. Every effort should be made to utilize whatever existing resources might be available.

When a CDS program is closely aligned with the court, there exists an important need to accurately assess the cost of the CDS program to determine the financial burden such a dispute settlement alternative process will place on the taxpayer and/or funding agency, and to enable a valid cost comparison between the court system and the CDS program. One of the primary reasons such a need is present is to enable existing and inception CDS programs to cost "justify" providing their services to potential funding sources. Such a cost analysis inherently involves determining the cost of processing a particular type of case through CDS, as compared with disposing of the same type of dispute through the existing judicial process. (Please note: if a CDS program is more community based and less associated with the judicial system, this type of analysis may not be necessary).

This type of rigorous analysis has not been performed to date. There have been a limited number of attempts to access the cost of various CDS programs but the analytic techniques utilized to make such a determination have not been adequate.

Table 1

|   |                             |
|---|-----------------------------|
| 1. Personnel (includes wages, salaries, fringe benefits)        | 5. Other Operating Expenses |
| a. Director   | a. Telephone                |
| b. Assistant Director   | b. Printing                 |
| c. Intake Counselors  | (1) Forms                   |
| d. Secretaries  | (2) Stationery              |
| e. Mediators (if employed full-time)                            | (3) Brochures/Pamphlets     |
|   | (4) Special Reports         |
| 2. Professional (Including contractual and consultant) Services | c. Duplicating              |
| a. Mediators  | d. Postage                  |
| b. Technical Assistance Consultants                             | e. Office Supplies          |
| c. Training Consultants   | f. Insurance                |
|   | g. Office Rental            |
| 3. Travel   | h. Data Processing          |
| a. For program operations                                       | i. Audio/Visual Aides       |
| b. Training   |                             |
| c. Other  | 6. Indirect Costs           |
|   | a. Bookkeeping              |
| 4. Equipment  | b. Purchasing               |
| a. Desks  | c. Payroll                  |
| b. Chairs   | d. Planning and Evaluation  |
| c. Tables   | e. Advertising              |
| d. Typewriters  |                             |
| e. Filing cabinets  |                             |
| f. Calculators  |                             |
| g. Tape recorders   |                             |
| h. Miscellaneous other equipment                                |                             |

It should be noted that the nature and results of any costs assessment study will vary from one jurisdiction to another. The variance will result from a multitude of factors: the organizational structure of the CDS program, the type and amount of funding, the number and type of disputes handled, etc. It should also be realized that such a cost assessment endeavor may not be completely accurate due to the numerous intangible, non-quantifiable benefits (such as avoidance of intensified conflict) disputants may realize from participation in such a program.

#### 1.4 PROGRAM FUNDING

##### A. GENERAL FUNDING OPTIONS

Some of the problems, if not, the most pressing problems relating to the establishment and continued operation of any CDS program are the identification of funding resources, application for such funds and maintenance of funding. A dispute resolution program must give careful consideration to the direction it chooses to take in the funding area. It is important to realize that fund-raising is a difficult craft, and approaches will vary with not only the individual requirements of a given program, but also with the immediate political and economic realities of each local jurisdiction.<sup>6</sup>

There is no "perfect" funding option nor is there one without any drawbacks. There are certain inherent advantages and disadvantages associated with each funding option. This section is intended to expose the pros

and cons which should be taken into account when determining which general funding option(s) to pursue. The next section elaborates the requirements and the relative advantages and disadvantages associated with specific sources of funds.

### 1. Federal Funds

During the past 10 years, the majority of CDS-type programs have been supported as demonstration projects with monies from federal agencies.<sup>7</sup> Federal funds, therefore, have been very instrumental in the development of dispute resolution programs and remain the primary funding source for the initiation of CDS programming. It is very important, however, to realize that federal funds provide only an ephemeral alternative to subsidizing CDS programs. They do not provide a lasting solution to the problem of ensuring an adequate financial base for continued operations. Therefore, in making a decision to seek federal funding for a CDS program, the most important consideration must be the realization that the support will be only temporary. Other important considerations are outlined below.

- a. The procedures in applying for federal grants are often complicated and time consuming. The application review process may take three to four months depending on the specific source which is being tapped.
- b. The conditions associated with most federal grants include: the requirement of matching funds ranging from ten to fifty percent of the total cost of the project (generally provided by state or local government); the approval of the program by several levels of governmental agencies; and fairly comprehensive reporting and/or accounting requirements.
- c. Federal support for CDS demonstration projects is bound to diminish as the number of similar projects demonstrating successful operation increases. Funding priorities logically shift away from those projects which have already evidenced their worth.
- d. Federal appropriations for CDS type projects are declining.
- e. The degree of *formal* linkage with the existing criminal justice system or local government will generally have a substantial impact on the chances of attaining federal funding. The more formal the link, the better the chances of obtaining funds.
- f. Obtaining commitments from other sources to pick up support for the program when the federal funding expires is very important.
- g. Federal funds available for local distribution are often administered by local, regional or metropolitan planning units whose jurisdictional boundaries are inconsistent with those which define the target population or geographical area of a proposed program.

Taking these and other factors into consideration, a program should be able to determine whether or not federal funding is an appropriate option.

### 2. State and Local Funds

Of the major funding options, state revenue is the least likely to become available. Citizen dispute settlement may be implemented under the umbrella of a variety of different organizations and is not clearly associated with any single state governmental entity (the circuit or county courts, the state attorneys' offices, etc.) which might seek an appropriation on behalf of one or more programs. Further, because of the local character of the CDS function, state policymakers generally regard it as a programming option at the county and municipal rather than state level.

Local general revenue funding, on the other hand, is one of the most stable and desirable sources of support for CDS programs. However, this funding source may also be the most difficult from which to obtain total support for a new effort. County and municipal authorities, unlike federal agencies, are much less likely to fund a new program. Generally, total local funding becomes a reality only after a program proves its worth and benefit to the community through successful operation over a given time period.

Regardless of the source of funds used to start the program, it is highly advisable to maintain a close and continuing relationship with local persons or entities which may be instrumental in securing future local funding support. Again, one vehicle for accomplishing this is the establishment of a local advisory board which might include representatives from key funding resources, or agencies which might ultimately, after a demonstration period, be relied upon to seek permanent funding for the project through regular budgeting processes.

### 3. Private Funds

Private, non-government funding of CDS programs serves as yet another option worth exploring. There are many private funding sources which could be utilized to support CDS projects. Specific sources include foundations, churches and local civic groups (Elks, Lions, etc.), among others. Generally, private funding sources are more limited in the amount of funds allocated. However, private funds can serve as an invaluable source for projects which can be run on a lower budget, rely on a number of community resources for assistance or are in need of supplemental dollars. Some CDS programs operate through a combination of funds. Private funds do not generally require near the amount of formality or red tape associated with government funding.

There are, however, two primary limitations generally associated with private funding; one is the limited amount of support that can be expected; the other is the limited duration of support. As with federal monies, private funds are not generally considered long-term solutions to the problem of funding.

### 4. Fee System

An option which has not been utilized in Florida, but might be considered, is a fee system. Basically, such a system would entail a program charging participants a nominal fee for using the services of the CDS program. This would obviously generate revenue from the program and, to some degree, make it self-supporting.

The merits of using a standard fee system in CDS programs are perplexing. Certainly, from an economic standpoint, such a system seems viable. However, careful consideration must be given to the impact a fee system might have on CDS participants as well as the programs themselves. Some of the questions which must be answered in this regard are:

- a. Would disputants be less likely to take their disputes to CDS?
- b. Would complainants expect *more* from the program?
- c. How would the mediation process be affected under such a system?
- d. How would programs administratively handle the fees?
- e. How would such revenues affect other funding sources? (Some federal resources reduce the amount of funds they will make available to income generating programs.)
- f. Would such a system place more "pressure" on a program to successfully resolve disputes?
- g. Would a fee system generate enough revenue to make it worthwhile?
- h. How would a fee system affect referrals?
- i. Would reliance on such a fee system suggest closer ties with the formal court system than desired?
- j. How would a fee system affect appearance and settlement rates?

As traditional sources of funds diminish, new and innovative approaches to fund raising must be developed. This may involve pursuing several funding options concurrently. Availing oneself of as many options as possible will prove to be the most successful approach to any fund-seeking endeavor.

### B. FUNDING RESOURCES

"Resourcefulness" is the key word in fund-seeking endeavors. After deciding upon the most appropriate funding option(s), it is necessary to identify specific sources of funds available under each option.

The following represents some of the most promising available to Citizen Dispute Settlement projects. (Refer to Addendum C for a list of supplemental funding resources).



## 1. Federal Sources

As noted earlier, there exists a vast array of federal programs which have played active roles in the proliferation of CDS projects. The following agencies have allocated the largest amount of funds for such projects:

### a. Law Enforcement Assistance Administration (LEAA)

Historically, LEAA funds have supported a large number of CDS projects. In fact, "LEAA has been best single source of federal funding for the start-up of new programs."<sup>8</sup> Unfortunately, this trend will not continue. Congress, in the process of attempting to balance the federal budget, has decided to discontinue support of LEAA beginning in October of 1981. There will continue to be residual, lapse and other previously appropriated funds which may be available. Maintaining close contact with the LEAA representative at the local and state level is the most efficient way to monitor the availability of such funds.

At the Federal level, small allocations of monies targeted at specific programs areas will remain available on a competitive basis. Moreover, Juvenile Justice and Delinquency Prevention monies are being maintained at a similar level as in previous years. These funds provide for programs which are predominately concerned with juvenile problems. Thus, a local jurisdiction interested in establishing a vehicle for the mediation or arbitration of disputes involving juveniles may wish to pursue this source.

### b. Federal Dispute Resolution Act

On February 12, 1980, President Carter signed into law the Dispute Resolution Act. The act represents the first substantive federal legislation specifically addressing the dispute resolution field.

The Act establishes a Dispute Resolution Resource Center within the Justice Department which is mandated to act as a national clearinghouse on dispute resolution mechanisms; conduct research and provide technical assistance in the field; and undertake a survey of existing practices to determine the current "state of the art". The Center will be funded at a \$1 million level and have at its disposal \$10 million in grant monies to accomplish these goals.

However, as was the case with LEAA funds, the Congress has refused to appropriate the monies necessary to initiate this program during fiscal year 1981. Continuing efforts are being made to secure funding for the Dispute Resolution program, if not during the current fiscal year, by October, 1981.

### c. Department of Labor (DOL)

The DOL funds used to help finance CDS programs are available through the Comprehensive Employment Training Act (CETA). CETA funds may be used to support components of existing programs or to hire staff. The funds are most commonly used to subsidize existing programs unlike LEAA monies which are primarily start-up funds.

CETA authorizes designated Prime Sponsors to provide for and fund certain service-oriented programs. Usually, such Prime Sponsors are the local governmental units (i.e., Board of County Commissioners, City Commissions, etc.). Typically, CETA funds are used only to hire staff for CDS programs and seldom do the funds support the normal operating expenses of a CDS project. CETA funds are available to CDS programs under Titles I, II, III and VI. Titles II and VI are the most appropriate.<sup>9</sup>

- (1) Title I authorizes prime sponsors to spend federal money on manpower training programs. In order to qualify, these programs must offer vocationally-related services for criminal offenders at any stage of the criminal justice process — from arrest to incarceration. Included are alternatives to incarceration such as pretrial diversion, and work release programs that emphasize employment, pre-employment training and special training for the ex-offender.

- (2) Titles II and VI of CETA pay for public service employment.

- (3) Title III authorizes additional manpower services to special target groups, including offenders. CETA funds can be used to hire ex-offenders and people released before their trials. CETA monies can also be used to hire professional and paraprofessional personnel to staff pretrial service agencies.

CETA monies are also being cut substantially as a result of the federal budget tightening efforts.

### d. Department of Health and Human Services (HHS) [Formerly known as Health, Education and Welfare (HEW)]

While HHS is not generally recognized as a traditional source of funds for CDS-type projects, it does offer, through various offices, monies for particular types of services and programs. The two administering agencies of HHS funds are:

- (1) Office of Social and Rehabilitative Services
- (2) Department of Human Development

Most of these HHS programs are administered through state and local agencies. The type of programs funded and the amount of funds available vary by agency. (Refer to Addendum C.2 for a list of specific HHS programs found in the Catalog of Federal Domestic Programs.)

Like other funding resources, HHS also has limitations. Usually, the support from HHS agencies does not represent a large source of revenue. Also, recipients must meet stringent eligibility criteria. The financial support is provided for limited periods of time and the procedures for obtaining HHS funds may prove rather cumbersome.

### e. Other Federal Domestic Sources

There are many other federal agencies which may hold promise for possible funding of CDS type programs (See Addendum C.3). The primary resource document for detailed information on all federal programs is the *Catalog of Federal Domestic Assistance (CFDA)*.<sup>10</sup> It is a government-wide compendium of federal programs and activities available to any interested parties.

The CFDA lists and describes the wide range of benefits and services offered through the various federal programs. It provides: objectives of each program; eligibility requirements; types of assistance (grants, loans, technical assistance, etc.); financial information on past, current and future fiscal years; and, aids in identifying application procedures including information contacts.

It should be noted that many of the specific functions of federal programs are not precisely applicable to all CDS programs. For example, the civil aspects of CDS programs appear to correspond more closely with certain federal programs than the criminal aspects. It is, therefore, important to realize the interests of a given federal program in relationship to your funding request. (refer to Addendum C.4 for an example of a program "write-up" or detailed program description).

An applicant for any type of federal domestic assistance should first consult with the catalog of Federal Domestic Assistance for a complete listing of federal programs, (See Addendum C.2). The specific application procedures for FDA programs will vary depending upon the type of assistance offered under a program. Applicants should contact the federal funding agency listed in the *CFDA Information Contact* section of the program description to obtain detailed and specific guidance on applying for a given federal program. The applicant should then contact the federal headquarters, regional or local office, as appropriate, to find out:

- (1) The current availability of funds and the likelihood of receiving assistance within a given time period.
- (2) The range and/or average amount of funds available for the project.

- (3) Whether the assistance requested is required to fall under state, regional, or local priority ratings.
- (4) What clearances, if any, are required from state, local, or non-governmental units prior to submission of a formal application.
- (5) What type of project proposal or *pre*-application is necessary.
- (7) Whether or not there are matching fund requirements.
- (8) What kind of reports and records will be required to be maintained and retained, etc.

Finally, applicants should request the agency's program guidelines. These guidelines contain detailed information on program eligibility and application procedures. (Addendum C.1 describes grant writing suggestions and guidelines.)

## 2. State and Local Sources

Most state agencies who administer funds for CDS programs are federally funded. The only direct general revenue support from the state level for local CDS-type programs is in the form of matching funds required in most federal grant awards. The only other indirect state level support for a local program is when the local program is operated out of the State Attorney's budget. Prospects in the near future for total state general revenue support for local CDS programs does not seem likely.

Local general revenue support for CDS programs is by far the most desirable situation. Currently, many of the programs are to some degree financed by local general revenue. However, it does appear that a program must demonstrate its worth through successful, efficient and beneficial operation over a given time period before total local support becomes a reality. Several jurisdictions have experienced success through such a transition period when local general revenue matching funds, for a federal grant funded program, increase proportionally to the annual decrease in the federal commitment while the program goes through its "probation" period.

Another viable alternative at the local level worth exploring is the use of revenue generated from filing fees collected in county civil court cases. Chapter 34 of the Florida Statutes contains the statutory provisions for county courts. Section 34.041 establishes the amount of the service charges (i.e., filing fees) that a plaintiff must pay upon filing a civil action in the county court. This section also authorizes the governing body of a county to increase the amount of the service charges (filing fees) by ordinance or special or local law. The excess funds created by raising the service charge, can be expended in a manner established by the ordinance or special or local law. It appears that local governing bodies could invoke their authority in this manner for the purpose of providing funds for CDS programs. In fact, several CDS programs are currently utilizing such funds to supplement their budgets.

## 3. Private Sources

In examining funding alternatives, specific attention must be given to private non-profit sources. All too often, these resources are overlooked when searching for funds. Although these sources generally provide a limited amount of funds, they can serve as a valuable source of supplemental assistance. Often, these funds may be used to finance an additional component of a program (e.g., funds used to create a dispute resolution component for juveniles, the aged, or handicapped, etc.). The following represents some of the private funding possibilities:

### a. Philanthropic Foundations

Private foundations appear to hold considerable potential for at least partial funding assistance to many CDS type programs. In 1977, Florida had 563 foundations with a combined net worth of over 343 million dollars and awarded grants worth just under 24 million dollars. (Refer to Addendum C.5 for a list of all the foundations in Florida). Approximately 11 million dollars worth of grants went to recipients in Florida.

The general definition of a foundation is — "a non-governmental, non-profit organization, with funds and programs managed by its own trustees or directors, and established to maintain or aid social, educational, charitable, religious, or other activities serving the common welfare, primarily through the making of grants."<sup>11</sup> There are basically three types of foundations:

- (1) Private or individual/family sponsored
- (2) Company or corporate sponsored
- (3) Community sponsored

While most people are familiar with the private and company/corporate sponsored foundations, some may not be familiar with the community sponsored foundations. A community sponsored foundation is much like a private foundation, except that their funds are derived from many different sources and the grant programs are almost always directed toward the immediate locality or region. Community foundations are also subject to fewer tax restrictions and regulations than other foundations.

The vast majority of these foundations prefer to give grants in their respective locations. However, practically every area of the state has philanthropic foundations.

The task of actually utilizing foundations as a source of funds cannot be accomplished without a considerable amount of preparation and research. The first stage of inquiry should be the identification of all foundations in your geographic area. The next stage should be the identification of those foundations which might be interested in awarding grants to dispute resolution projects. This can only be accomplished through detailed research of individual foundations to determine their potential interests and capabilities. The DRA committee staff conducted such research on all foundations which gave a minimum of \$10,000 in grants during FY 1976.

Basically, any foundation research will originate from resources compiled by the Foundation Center, which operates two national offices located in New York (888 Seventh Avenue) and Washington, DC (1028 Connecticut Avenue). It is the only non-profit organization in the U.S. dedicated entirely to the gathering analysis and dissemination of factual information on philanthropic foundations. The Foundation Center has two regional collection centers in Florida; one in the Dade Public Library in Miami and the other in the Jacksonville Public Library.

These collection centers house the vast array of resources needed to research foundations. The resources will yield a programmatic and financial profile of a given foundation. If this profile yields a favorable outlook for possible foundation support of DRA projects, then more indepth, detailed research should be carried out.

This is accomplished by reviewing IRS tax returns and annual reports of the given foundation to determine what grant awards were given for what types of projects for current years. All of this information is recorded as a "write-up." (See Addendum C.6 for a sample "write-up.") Ultimately, the process of elimination of unlikely foundations will yield a list of good candidates for possible DRA project funding. (See Addendum C.7 for such a list.)

### b. American Bar Association (ABA)

The ABA is actively involved in the area of dispute resolution alternatives. In fact, the ABA has two special committees specifically designed to address dispute resolution alternatives. They are the:

#### (1) Special Committee on Resolution of Minor Disputes:

This committee was established to facilitate and promulgate the expansion and improvement of dispute resolution alternatives. While the ABA is not a direct funding source, their work in and support of the field of dispute resolution alternatives often



results in the identification and procurement of funding. They are actively involved in supporting federal legislation designed to provide funds for DRA projects. In addition, they have encouraged local bar associations to support DRA projects. The committee has generally served as a clearinghouse for the dissemination of dispute resolution information as well as providing technical assistance.

(2) Special Committee on Housing and Urban Development Law:

This committee has recently undertaken a nation-wide study of how courts handle housing matters. The primary objective of the study is to describe a series of alternatives for handling housing related disputes in a more equitable and expeditious fashion. The project is being funded by an award from the United States Department of Housing and Urban Development. The project is entitled the "National Housing Justice and Field Assistance Program." It is not purely research oriented.

According to the Special Committee Chairman, Judge Laughlin E. Waters, of particular importance will be the program's field assistance effort: "to reach out to communities, bar associations, judges and others and to give them the best possible advice during the entire period our study is underway." Requests for assistance should be forwarded to the ABA offices in Washington, D.C.

In addition, the project or results therefrom, may hold some potential for possible funding consideration. The involvement of the American Bar Association and the Department of Housing and Urban Development in this area certainly seems to fortify the optimism that these entities will become increasingly involved in the support and enhancement of dispute resolution alternative programs which address housing disputes, i.e., landlord/tenant, tenant vs. tenant, home owners warranty, condominium disputes, etc.

c. Local Community Resources

Among the various community resources which many jurisdictions possess are:

- (1) United Way Agencies
- (2) Community Action Organizations
- (3) Urban Leagues
- (4) Junior Leagues

These organizations, among others, are generally social service-oriented and, as such, may be receptive to contributing to the support of a CDS project. They generally award funds for expansion of existing programs.

d. Other Resources

There are variety of other potential resources which may or may not be unique to a given jurisdiction. Such resources might include:

- (1) Local Bar Associations
- (2) Universities (e.g., Service Through Application of Research (STAR) grants)
- (3) Religious organizations, etc.
- (4) Business or corporate organizations

Supplemental updates to this section of the manual will be provided as new sources of funds become available and old sources become depleted.

## 1.5 TECHNIQUES FOR ORGANIZATIONAL PRESENTATION OF PROGRAM PROPOSAL TO APPROPRIATE FUNDING SOURCES<sup>12</sup>

Throughout this manual suggestions have been made to enhance the probability for obtaining monies for Citizen Dispute Settlement programs. However, the process of creating ample funding resources for any agency does not begin and end with the identification of an appropriate funding agency. While not providing the answer to financial problems, this section includes some techniques that have proven helpful, which together with political savvy and ingenuity, can lead to more effective fund-raising. (See Addendum C.1 for a more detailed discussion of grant writing)

### A. START EARLY

One of the greatest problems related to obtaining adequate funding is that, inadvertently not enough time is allocated to planning and preparation for obtaining such monies. As a result, proposals are often submitted which are poorly written and inadequately documented.

It is a good idea to start a search for future funding resources at least *one year* prior to the termination of an existing grant or the anticipated starting date of a new grant. This is particularly important with respect to any reliance on federal funds. As noted in the preceding section, planning for the distribution of block action monies under the LEAA program is generally initiated twelve to fifteen months in advance of the time the monies may actually become available. Other federal programs also plan considerably in advance of the availability of an appropriation.

While the time constraints are not quite as severe, state and local units of government also begin the budgeting process early. Governmental agencies undertake preparations of their budgets approximately ten to eleven months before the start of a new fiscal year (July 1 for state agencies and October 1 for local units).

Even private organizations such as churches, civic groups and foundations operate on annual budgets for which priorities are set in advance.

### B. BUILD A BROAD BASE OF COMMUNITY SUPPORT

An important corollary to early planning is the ability to build a solid and broad base of community support for a program. Program planners should identify key persons in their community who can lend support to or be instrumental at the decision-making level. An informal investigation of the community is helpful in determining who makes decisions; who influences whom and who can offer leadership and assistance in getting the program funded. Program planners should also identify those persons who may not be instrumental in decision making but whose support of the program would be effective. This process serves as a good opportunity for introducing community leaders to the program.

Another way to create a strong advocacy for the program is to form an advisory committee, such as discussed in section 1.3C, consisting of diverse representatives from the courts, social service agencies and the community at large. Currently, only a few of the Florida CDS programs utilize an advisory board; however, their experience with this approach appears quite successful.

### C. DOCUMENT YOUR PROPOSAL

Many programs are unable to secure additional funds because they either cannot demonstrate their effectiveness or, in the instance of a new program, establish and describe the potential the program holds for solving priority problems in the community. Increasingly, programs are being assessed on their ability to demonstrate that the services rendered will provide the stated benefits to the target group or system, and that the program has the support of various persons and organizations within its constituency.

Accordingly, administrators of existing programs should prepare documentation of their program's performance and effectiveness. Those seeking new funding should insure that the problems documented as a result of the steps suggested in section 1.2 are clearly and concisely discussed and that the relationship between the program for which funding is sought is firmly established in terms of measurable impact and benefits.

#### D. HAVE A WELL-DEVELOPED AND WELL-WRITTEN PROPOSAL

Information about the program, including the above documentation, will generally have to be prepared in some written form, i.e., as a concept paper, pre-application or perhaps, later, in a formal application or proposal. It is difficult to give special guidance in the organization and preparation of proposals. The approach taken in writing the program will depend on the type of funding being sought. However, information should be available to answer all the important questions prospective funders will have about a program.

A suggested checklist is included below:

1. Purpose and Definition of Project
  - a. What is the basic purpose of the program and what problems is it designed to resolve?
  - b. Is this a new activity? Has the field been researched to find similar programs? Has a similar program failed? Succeeded? What has been learned from previous programs of this nature?
2. Priority of Project
  - a. How serious is the need?
  - b. Why does this project deserve aid more than others competing for funds in the same field?
  - c. Is this request in effect competing with other requests from the same organization? If so, what priorities would the organization establish among these requests?
  - d. What is the target population? How large is it? How and to what extent will the program benefit the target population?
  - e. What immediate and long-range results are expected? Will these results help other organizations?
3. Personnel Organization and Program Operation
  - a. How many staff are needed and how will they be organized/supervised? What are the professional qualifications for doing the proposed work?
  - b. Will additional staff be required for this program? Are these persons readily available? To whom will they be responsible?
  - c. What are the general procedures required for program implementation?
4. Financial Information
  - a. How long will the program last?
  - b. Is this a continuation of a program or project? How well has it succeeded? Is it a modification? Why?
  - c. What is the current operating budget of the organization?
  - d. What is the anticipated budget for this program? Give a complete budget breakdown. What provisions have been made for independent audit of budget expenditures?
  - e. Will the program continue beyond the funding period? If so, who will provide the funding? How firm a commitment for this future funding has been made? Will this ensure ongoing funding?
  - f. Have requests for financial support of this program been submitted to other foundations, governmental agencies, or other funding sources? Has the program secured funding commitments from any of these sources? If so, for how much and from which source(s)?
  - g. Are requests by this organization for other programs currently pending before other funding organizations? How are they related to this proposal?

#### 5. Evaluation/Monitoring

- a. What provision has been made for objective evaluation of the results, short and long-range? What techniques will be used in making evaluations? Who will do the evaluation?
- b. What special criteria will be used to measure the success or failure of this project?
- c. Has adequate provision been made for the preparation of a final report? What type of progress reports are planned? How often will they be prepared? Who will get them?

#### 6. Background of applicant

- a. How long has the requesting organization or agency been in existence? What has been the performance to date of the requesting organization? List previous foundation or grant-supported programs.
- b. What other organizations are active in the same or similar activities? What are the cooperating organizations, if any?

All grant applications should start with a summary letter outlining purpose, background, amount requested and time limits. Details may be included in the attached proposal.

As suggested earlier, the attached proposal may be either a *concept paper* or *pre-application* or a *full application* including detailed budget narrative, etc. The preparation of the former is advised in all instances in view of the fact each funding resource generally has a package of unique and yet extensive application forms, the preparation of which demand considerable effort. The concept paper or pre-application serves as the most useful vehicle for determining whether a resource is seriously interested in receiving and entertaining a full application. It is, in fact, required for some organizations and programs such as the LEAA.

With regard to the proposal itself, it should be noted that very often it may have gaps of information that are not readily apparent to those who have labored on the project. For that reason, some useful practices to follow when writing the proposal include:

- Keep the proposal short and clear
- Avoid broad and sweeping generalizations
- Test the proposal on others before submitting it to a funding source
- Use a minimum of professional jargon
- Be prepared to rewrite
- Be creative: the more ways the program can be presented, the greater the odds are of attracting a number of different funding sources

#### E. FOLLOW THROUGH

Contacts (personal and telephone) with representatives of the funding agency *prior* to the submission of the proposal are an important component of successful proposal writing. The primary benefit of this approach is that program planners can more effectively "tailor" their proposal to the goals and priorities identified by the agency. Additionally, new funding sources may be revealed or it may be discovered that the agency is not awarding money to that particular type of program.

Once the proposal is submitted, the program planner should follow it through the decision-making process of the funding agency by phone calls or meetings. For many agencies, a personal interview is often a part of the formal application process. When it is not, a useful strategy is to set up an interview with the appropriate representative of the funding agency to discuss the application.

**CHAPTER TWO**  
**PROGRAM IMPLEMENTATION STAGE**

## 2.1 INTRODUCTION

In this chapter, specific documentation of the individual steps in the dispute resolution process or components which are necessary for the implementation and operation of a CDS program are outlined. The items dealt with in this chapter include:

- Identification of program personnel requirements including both composition of the staff as well as qualifications necessary for each position.
- Description and documentation of the staff training and orientation requirements and the methods for meeting such requirements.
- Identification of alternatives for the development of a public information program.
- Identification of requirements for the development of a referral capability including both incoming and outgoing referrals.
- Documentation of the program operating procedures, forms and workflow/paperflow requirements.
- Identification of specifications for a CDS program management information system capability.

## 2.2 PROGRAM PERSONNEL REQUIREMENTS

The staff composition of existing CDS type programs in Florida and across the country offers a variety of options for newly developing programs to consider. Some programs operate with minimal staff support consisting mainly of a director and one intake counselor. There are other more expansive programs which employ a cadre of specialized positions along with the core positions. Such specialized or optional positions include assistant directors, administrative assistants, statistical analysts, liaisons, fiscal officers and legal advisors.

In investigating the many and varied types of CDS programs currently operating, two primary factors influencing the organization of program personnel were identified. These factors are the volume of program workload and the amount and availability of funds allocated for program development. Understandably, as the number of cases increases, additional intake and clerical assistance is required. Even though the potential volume of cases may be substantial in a particular jurisdiction, the actual volume of intake may have to be limited because of inadequate funding to employ the personnel necessary to efficiently and effectively manage the potential workload.

The result of this situation is that a program must balance the volume of the program workload with its ability to manage the activities required for dispute resolution based upon the funding level achieved.

### A. PROGRAM ADMINISTRATIVE PERSONNEL REQUIREMENTS

It is generally assumed that in order to effectively operate a CDS program, it is essential that one individual be assigned to manage the overall operations of the program. The decision as to whether a new position of program director should be established or whether such responsibility should be assigned to an individual already working within the sponsoring organization may be dependent upon the overall workload of that organization.

Regardless of the structure of the administrative position, the individual assigned responsibility for managing the program should possess the following attributes:

1. Knowledge of how Florida's justice system operates and the key individuals who influence its operation.
2. Work experience in an administrative capacity.
3. Successful completion of a college degree program, preferably in a legal or social science field.
4. Experience in public relations activities.
5. Political sensitivity regarding the nature and characteristics of justice system leaders in the particular jurisdiction.

### B. PROGRAM INTAKE PERSONNEL REQUIREMENTS

Vital to the success of a CDS program is the acquisition of competent and well-trained intake personnel. The whole operation of the program depends upon the intake counselor's ability to obtain the essential information from the disputants necessary for successful disposition of the dispute without alienating the disputants. Intake personnel should possess the following attributes:

1. Successful completion of a college degree program in a social science field such as counseling, psychology, sociology, etc.
2. Work experience in a counseling/intake capacity.
3. Ability to listen and work with people.
4. Knowledge of the social service delivery system and how each agency within that system operates.

It should be noted that in smaller programs or those which are housed in an established agency, the same person who directs the program may perform much of the intake function.

### C. PROGRAM CLERICAL PERSONNEL REQUIREMENTS

It is also vital to the successful operation of a CDS program to acquire competent clerical assistance. If possible, at least one clerical position should be provided for in the budget. The individual employed to fill this position should have the basic skills of typing, filing, dictation, reception and telephone answering.

### D. MEDIATION STAFF REQUIREMENTS

As in the case of staff personnel, the existing CDS programs offer different models to consider in developing a mediation staff component. Basically, four major models are being utilized in Florida and across the nation.<sup>13</sup> The first model involves the utilization of paid professional mediators. Programs in Dade, Pinellas, and Hillsborough counties fall under this category. Qualifications of such professional mediators include a variety of disciplines such as law, psychology and social work, along with the completion of specialized training in mediation techniques.

The primary advantage sought in such instances is clearly the availability of a highly skilled mediation staff from whom the program can demand a level of professionalism and sensitivity that may not be immediately available under the other models. Potential disadvantages include the costs of retaining such professionals and the availability of a sufficient pool to cover project needs given their competing professional demands. Those programs which are compensating their mediators are doing so at a rate of eight to ten dollars an hour. Such expenditures amount to approximately 25 percent of the program's total budget allocation.

A second model represented by the Orange and Broward county CDS program includes the mediation staff component made up exclusively of volunteer attorneys. Advantages expected as a result of this approach are similar to those that result from the use of professional mediators. One alleged disadvantage involves a serious reservation regarding the inherent adversarial rather than mediational orientation of law trained individuals.

The third model being utilized in Florida involves the use of volunteer lay persons as mediators. Programs in Duval, Alachua and Polk Counties are operated in this fashion. In this model, there are no preconceived ideas about specific qualifications of the program mediators. Backgrounds of mediators range from housewives, to bankers, to retired military personnel, to lawyers.

The primary concern in the hiring of an individual is a determination of his ability to listen to and understand the disputants major problems and points of contention. It is vitally important that any program utilizing this model ensure the availability of comprehensive training programs to provide and improve the mediation skills required to carry out a successful mediation hearing.

Certainly, the advantages of this model are the reduced costs and the availability of a large group of citizens having an interest in the welfare of the community. The primary disadvantage relates to the problems associated with the management of volunteers and the extended time required to orient and train the lay mediators before such individuals are prepared to effectively mediate disputes.

The last model (not currently being used in Florida) involves the use of law students or graduate students as mediators. An example of a project which uses this model is the Columbus Night Prosecutor Program. Advantages of such a model include a contained source of applicants whose availability can be fairly accurately predicted and controlled at a relatively low cost. A potential disadvantage of this model is the age of the group involved and their current lack of maturity and perhaps sympathy for the community orientation of program efforts.

Citizen Dispute Settlement programs utilizing each of the four mediation staff component models discussed have all been relatively successful in achieving their objectives. In the DRAC study of five CDS programs in Florida, it was found that the type of mediation staff component seemed to have no significant impact on the performance and effectiveness of the programs.

Based upon this study and the experience of other CDS type programs around the country, the nature of the mediation staff component appears to be influenced more by such factors as the nature of program objectives, caseload, budget, community resources and availability of staff support services such as training and public information programs than by a need for individuals with special qualifications.

#### E. OPTIONAL SPECIALIZED PROGRAM PERSONNEL

When the workload demands and the budget permits, a CDS program may consider the acquisition of additional personnel. Priority should be given to additional intake counselors for the reasons stated earlier. Other optional positions that may be considered include the employment of an assistant director, a legal advisor, a statistical analyst or a fiscal officer.

A final comment regarding the management of program personnel is that it may be helpful from both the standpoint of efficiency and effectiveness, as well as the morale of program personnel to set up a task rotation system. With such a system, for example, an intake counselor would be assigned, for a designated period of time, the tasks associated with administration of the program or would assume the role of a mediator. The administrator or a mediator, conversely, would act as an intake counselor. The benefits derived from implementation of such a system include greater understanding on the part of all program personnel of the operations of the program, a broadening of the scope of knowledge and abilities of the program staff, improvement and maintenance of staff morale and an increase in overall efficiency of program.

### 2.3 PROGRAM TRAINING AND ORIENTATION

An important part of a successful CDS program is the development of a comprehensive orientation and training component. Essentially, the component consists of three parts:

- Program Administrative and Intake Staff
- Mediators
- Program users or referral agencies

Summarized below is a description of the content of the training that should be provided to each of the three major components.

#### A. PROGRAM ADMINISTRATIVE AND INTAKE STAFF

As is often the case, those who are in the vanguard of a local initiative to establish a CDS program, end up serving the new program in some administrative capacity. Thus, most of their orientation and training is provided on the job during the development process. This guideline manual is designed to assist in that regard.

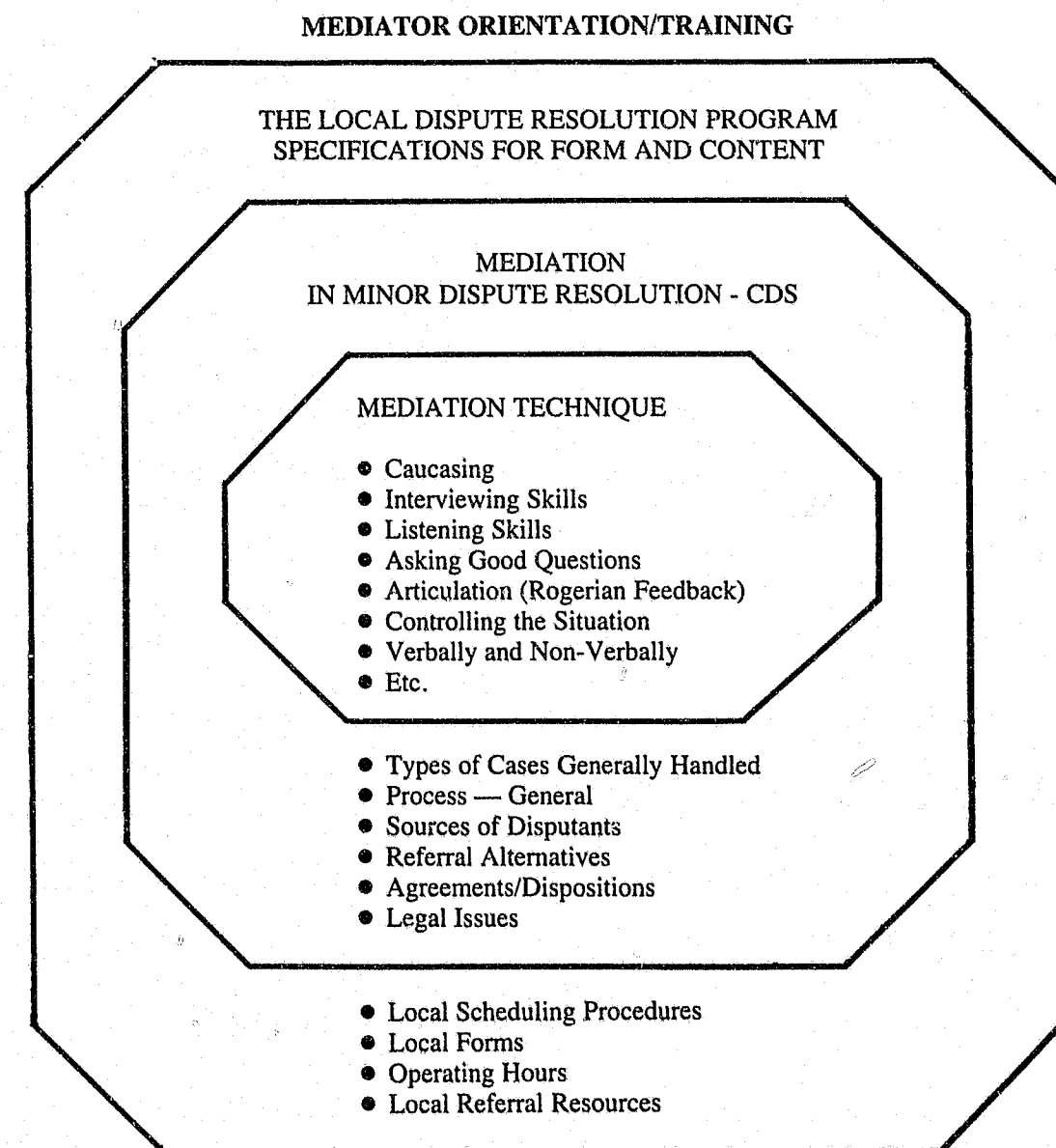
Another vehicle for meeting the instructional requirements of administrative and other core staff is a reliance on established programs in the state. Many of those serving in a leadership capacity in Florida's various programs have obtained invaluable knowledge and insight from those in other jurisdictions. Such consultations are especially beneficial in making them aware of unusual problems or obstacles with which they may be faced. A walk through of the entire set of procedures used in a sister program including observation of hearings is also useful.

It is anticipated that periodic workshops dealing with dispute resolution techniques will be conducted on a statewide basis. These will be designed to provide a forum for the exchange of information on new developments in CDS and similar programming instate as well as nationally. Finally, satisfactory performance by administrative and intake staff will be dependent on a thorough knowledge of the local environment in which the program will operate. This will require them to spend time contacting and learning about all other formal and informal procedures which have been established for dispute resolution, all referring agencies and all dispositional referral resources.

#### B. MEDIATORS

Figure 2 graphically portrays what are regarded as the essential components of a mediation orientation and training program. At the core of the program is instruction on the basic concepts associated with mediation in general as an alternative to such dispute resolution techniques as formal adjudication, arbitration (binding and non-binding), the use of ombudsmen, etc. Also, part of the core curriculum is devoted to the range of skills which can be employed in a mediation setting.

Figure 2





At a secondary level, the focus of the instruction shifts to mediation in the context of a citizen dispute settlement program as opposed to other instances in which mediation techniques are employed. Attention is directed at familiarizing the new mediator with the general concepts and procedures which serve as the foundation of most CDS efforts.

The third and final component would yield knowledge on the unique operating requirements and resources of the respective local programs. The information required by the mediator at this level deals with such things as operating hours, location, forms, and local dispositional or referral resources.

The Office of the State Courts Administrator has available a packaged program which includes a multi-media approach to meeting the core and secondary level requirements as outlined above. The package includes detailed specifications for local personnel to follow in designing materials to meet the in-house training requirements. This is provided in an instructor's guide which can be used by administrative staff to conduct the training. Video-taped lectures and hearing simulations, along with a mediator handbook, have been developed to supplement the instructor's guide.

#### C. REFERRAL AGENCIES

The concentration of the training program related to referral agencies consists primarily of orientation of the agencies to the CDS process. Included within such an orientation is a detailed explanation of program operations and specifically, how a CDS program will be *beneficial to* or may *rely upon* the individual agency.

It is a good idea to preface any personal contact with a letter explaining your intentions. This may then be followed by a phone call to establish a personal meeting to discuss the program, initially with administrative personnel and later with line personnel. If a formal presentation is in order, it can be supported with slides, charts, overheads and any other types of visual aids. Answering questions at the end of a presentation is a valuable part of getting the information to the people. Also, distribution of brochures and pamphlets which further describe the program is helpful. In situations where constant visits to a referral agency are unfeasible, a video tape presentation may be used as an alternative.

In making presentations to law enforcement personnel, efforts should be directed at explaining how the CDS process works and the benefits derived to law enforcement from participation in the process. Specific emphasis should be placed on orienting the law enforcement personnel to the uses and purposes of the various CDS forms that may be utilized by a law enforcement officer. Such a presentation may be made through use of a number of audio-visual aids including slide presentations, overhead projectors and flip charts and possibly through the use of video tape.

Presentations to social service agencies will be very similar. Such agencies may include spouse abuse centers, family counseling, alcohol rehabilitation, consumer affairs, Real Estate Commission, housing boards, as well as judicial branch agencies and individuals including judges, prosecutors, public defenders, attorney organizations and other administrative agencies or individuals.

Aside from individual contact with the key referral agencies, the strategy of periodic meetings, seminars or workshops may be useful to maintain the participation and support of such agencies. This is especially important in agencies such as the state attorney's office where there is considerable turnover in the personnel who normally make referrals to the CDS program. The agenda for the meeting may consist of review of past performance of the program and the individual referral agency's contribution, a discussion of problems that may exist or a discussion of current and future plans for the program modification or expansion.

### 2.4 PUBLIC INFORMATION/EDUCATION

Informing the public about the CDS process is one of the most important ways to ensure an adequate workload. There are several ways to inform the public about the CDS process. Such methods include radio, television, speaking engagements, pamphlets, newspapers, magazines, posters, etc. Suggestions for taping the various communication media to publicize the CDS program are provided below:

#### A. RADIO

Radio communications can fall into two categories. One is the local talk show where you discuss the CDS concept, and possibly answer phone questions over the air.

The second avenue is the use of Public Service Announcements (PSA). PSA's are set up in ten second increments, i.e., 10 sec., 20 sec., 30 sec. . . Usually, the shorter the message, the more often it will get on the air. Assistance in developing radio PSA's can be obtained from local university communications departments as well as local public relations firms.

#### B. TELEVISION

Television presentations fall in the same categories as radio, including the talk show presentation and the Public Service Announcement. Talk shows and documentaries on local CDS programs are effective ways to promote and explain to the public the CDS process. Public Service Announcements are probably the quickest way to get the information out on television. The most effective time to run PSA's on this medium is between 5:00 and 7:00 p.m.

#### C. SPEAKING ENGAGEMENTS

There are two methods of informing the public about the CDS process through personal appearance speaking engagements. One method is to conduct informative talks to interested community organizations.

The second category is conducting instructional talks directed at law enforcement agencies, prosecutors and other governmental and social service agencies involved in the use of the program. Such presentations might involve a description of program operations and the services offered to the individual agency.

#### D. PAMPHLETS

The use of pamphlets is an effective method of contacting a large number of people. Wherever people have to wait, they like to read. Having pamphlets that catch your eye available in these public locations will increase the CDS program's popularity.

Such areas might include the waiting areas of social service agencies, the court clerks' offices, judges' offices, prosecutor's office, recreation centers, police stations and many other areas where people congregate. Also, pamphlets are effective as supplements to presentations before organizations and groups, particularly when the time allotted for the presentation does not warrant going into great detail about the CDS process.

#### E. NEWSPAPERS AND MAGAZINES

Published articles are usually welcome and are especially good to utilize in informing the public of new procedures initiated by a program.

#### F. POSTERS

In areas where people are dealing with conflict, such as in the Clerk's Office, posters are an effective means to bring to their attention an alternative to dealing with their problem.

#### G. DIRECT MAILINGS

Mailings can be used on a wide spread basis to inform agencies and organizations about the CDS program. Religious, civic, and social service organizations will be the initial organizations to be contacted. These contacts can lead to speaking engagements, as well as informing the public and the organizations about the program.

#### H. EDUCATIONAL FILMS AND SLIDE PRESENTATIONS

Films and slide presentations about CDS programs can be made to inform the public about what happens in a dispute resolution program. These can be used to show at local speaking engagements or given to agencies or other social service programs to inform them of your program operation. T.V. stations also could provide 15 minute segments to show such informational films.

Public information/educational assistance may be available from the Office of the State Courts Administrator. Please refer to Addendum G for more information on how such assistance may be obtained.

### 2.5 DEVELOPMENT OF REFERRAL CAPABILITY

The referral process flows in two directions. People in need of aid offered by the CDS program are referred to the program by the court, state attorney, law enforcement agencies, social service agencies, etc.



The CDS program, in turn, refers its disputants to appropriate social service sources for assistance in special problems or when another resource would be more beneficial to the disputants than the mediation process.

#### A. INCOMING

Incoming referrals are the life blood of a CDS program. Without them, a program has no clients. Ideally, a CDS program should establish a process for referrals from as many sources as possible. This will provide the citizenry with more opportunities to take advantage of the program. Research has shown that the following sources contribute the most to CDS programs:

- Law Enforcement
- State Attorney
- Court Clerks
- Legal Aid
- City Hall
- News Media
- Consumer Protection Agencies
- Judges
- Attorneys
- Various other governmental and social service agencies

The DRAC study found that, on a statewide basis, the majority of cases are referred from a minority of potential sources — law enforcement (31.5%), state attorney (31.5%), walk-in (6.7%), and clerk of court (5.1%). Many sources of referrals which possess a great deal of potential are not participating to their full capacity (the news media, private attorneys, consumer protection agencies, and judges account for less than nine percent of all referrals). This may be a consequence of their lack of knowledge as to the existence of and services provided by CDS programs. Certainly, the evidence gathered suggest there are a myriad of agencies which need to be contacted and informed about the CDS process. Also, the distribution of cases referred by individuals or agencies varies considerably by the type of program. For example, it was found in the DRAC study that there are certain programs which receive referrals from a wide range of sources. In contrast, referrals in other counties are dominated by a few agencies, and clearly show a need to inform others as to the benefits of their CDS programs.

The strategy and process for establishing contacts with these sources will depend upon the organization and objectives of the CDS program. However, experience has shown that the most effective referral development approach involves orientation of both the agency head and the line personnel. For example, it has proven necessary and beneficial to start with the chief of a law enforcement agency, then subsequently meet with the management level personnel (i.e., shift supervisors, etc.) and, finally, but perhaps most importantly, meet with the patrol officers - the men who will actually be making the referrals.

The process of acquiring referral sources involves the "selling" of the CDS concept. You must show the potential referral source how and why CDS works and how the agency can benefit from making referrals to the program. If this is done effectively, the process of acquiring new referral sources should be easy. Again, some of the techniques mentioned in the preceding section might assist in this "selling" process.

An essential procedure to ensure that your program of incoming referrals continues to work, is providing the referral source with information on the outcome of the case. This feedback is very important to the referral source - especially to the individual who made the referral. When they are informed of the outcome of the case, they can share in the feeling that they were part of a "helping network." They will be aware of the current status of the dispute or disputants should they encounter them again. A functional relationship between the CDS program and the referral source will only enhance the "helping network."

#### B. OUTGOING

A CDS program is not a panacea for all citizen disputes. Often a program will encounter disputes or disputants which require attention beyond the scope of the services provided by the program. In these cases, a program should possess the capability to make appropriate referrals. Such a capability involves the establishment and coordination of a social service-oriented referral network. One approach to establishing a formal referral network is to conduct a survey of the services and resources which are available. A systematic survey should focus on two principle objectives:

1. Identification of existing resources to which participants can be referred and the exact nature of the services provided by each.
2. Development of inter-agency relationships which will promote a system of smooth referral from the program to agency, and from agency to program. The reciprocal nature of the relationship should not be overlooked. Many social service agencies often find their clients are in need of additional services which they do not provide. The CDS program should be a participating member of the service network and not merely a referral source. CDS programs which are currently operating refer disputants who are involved with problems which should more effectively be dealt with by some other means than the mediation process to a variety of agencies. Some of these interested organizations include:
  - Marital/Family Counseling
  - Alcohol Program
  - Consumer Protection Agency
  - Battered Women's Association
  - Landlord/Tenants Association
  - Building and Zoning Department
  - Mental Health Program
  - Youth Services
  - County Welfare

Beyond the direct benefits to CDS clients, this type of coordination effort should strengthen the community's social service program by increasing service utilization.

#### 2.6 OPERATIONAL WORKFLOW/PAPERFLOW DOCUMENTATION

The operating procedures and forms development for a dispute resolution program may vary in detail according to the individual needs and requirements of each program. However, there exists a basic workflow/paperflow process characteristic of most of the existing CDS programs (see Addendum D). This section is designed to illustrate both the minimum recommendations for workflow/paperflow, as well as some optional features which have been or could be utilized by CDS programs.

The paperflow documentation has been integrated with the workflow process in an effort to illustrate the use of the various forms in the day-to-day operation of a CDS program. (Refer to Addendum E for a complete summary and explanation of the sample forms.) The sample forms discussed in this section were developed as a result of examining all of the variations used in existing programs. These forms are merely exemplary in nature.

#### A. REFERRALS — INCOMING

The source of incoming referrals a program receives is dependent upon the scope and nature of a program's referral outreach capability as discussed in the preceding section. However, a program may enhance and facilitate incoming referrals by utilizing referral cards (see Form #1). These cards can be distributed to law enforcement agencies, social service agencies, as well as any other referral source.

The cards serve two purposes. The first card provides a brief explanation of the CDS program and is given to either or both disputants. The second card is two-sided and the back of the card is to be filled out by the referring officer or agency and contains descriptive information concerning the disputants and the dispute. The front side is business reply mail addressed to the CDS program, allowing the officer or agency to simply drop the card into the nearest mailbox. By utilizing these referral cards, a program should increase the

number of referrals, make the process easier for the referral agency and provide the program with a cross-reference of disputants, the dispute and referring agency prior to intake.

Regardless of the referral source, the CDS program should first attempt to document the following information.

1. The legal and/or personal relationship of the disputants.
2. The legal nature of the dispute.
3. The disputants' willingness to mediate.
4. The probability that the problem resulting in the dispute can be settled through mediation.

After a *prima facie* determination has been made that the dispute is appropriate for mediation, an intake counselor with the CDS program should contact the disputants. Such contact can be made either by letter (see Form #2) or telephone. Experience in the existing programs has shown that a telephone call to the disputants explaining the services of the CDS program and the assistance that can be provided to each is more effective than a letter. At the time of this initial contact, arrangements should be made with the disputants to conduct further investigation of the dispute.

If the disputants, or at least the complainant, have been directly referred to the program, the intake investigation should begin at that point.

#### B. INTAKE

Aside from the hearing process itself, the intake process may be one of the most important program functions. It is at this stage that the screening of the dispute takes place. This is where the intake counselor must exercise prudent discretion in assessing the problem and determining whether the program can actually be of assistance. If it is determined that a case is not suitable for the program, the intake counselor must assume responsibility for making referrals to the appropriate agency (see next section).

Whenever a telephone call is received and such a determination of inappropriateness is made, the date of the call, the caller's name, telephone number and recommendation of intake counselor should be recorded on a telephone log (see Form #3).

The intake interview should be conducted in person, if at all possible (of course, exceptions can be made for people with health or transportation problems). Research has shown that people who are unwilling to personally come into the program office for the intake are less likely to appear at the subsequent mediation hearing. Therefore, it is essential that the complainant be encouraged to appear for intake. Appearance of the respondent at intake is optional. Once the complainant has come in, it is important to try to make the individual feel comfortable and at ease.

The types of information that should be obtained through the intake process include:

1. Name, address and telephone of disputants
2. Demographic characteristics of disputants
3. Referral source
4. Relationship of the disputants
5. Circumstances of the dispute
6. Desired outcome for disputant(s)

This type of information should be documented on the intake form (see Form #4). Very rarely does the respondent appear for intake. However, if this occurs, the same intake form may be utilized. The primary benefits of respondent intake are that both sides of a dispute are revealed prior to a hearing and all other pertinent intake information can be verified. The intake form is the basic document in a case file and should contain all essential information about a case as well as notations concerning the results of the case.

Once the intake information is documented and further CDS action is judged to be warranted, the intake counselor should try to schedule a specific time and location for a mediation hearing. The hearing should be

scheduled in consideration of the disputants' convenience and ability to attend. A master case log form may be utilized to record this information. Also, the log may be used to assign case file numbers as the individual disputes are received (see Form #5).

#### C. REFERRALS — OUTGOING

If, during the intake process or any other stage, it becomes apparent that the CDS program is *not* the most appropriate forum to resolve a particular dispute, a decision to refer the case to a more appropriate organization or agency should be made. A list of all government agencies and private service-oriented organizations with a description of the services offered by each should be made available to all intake personnel.

To facilitate the referral process, it may be appropriate to call the particular agency or organization the disputant(s) are being referred to, explain the circumstances surrounding the dispute, and set up an appointment, if necessary. It should be thoroughly explained to the disputant(s) why the referral is being made.

Finally, in all cases where a referral is made by the program, a notation should be made on the intake form relating to the nature of the referral.

#### D. ORIENTATION OF DISPUTANTS

It is very important that staff provide disputants with an orientation to the CDS concept and process. This should include its purposes, objectives, procedures, limitations and alternatives. Perhaps orienting the disputants to what CDS *is not* is equally as important as explaining what it is. Frequently, CDS participants harbor misconceptions about the power and authority of the program. This situation can lead to counterproductive hearings and disillusioned disputants.

Evidence of the existence of this situation is provided by the DRAC study. Based on responses to mailed questionnaires, it was found that several disputants were uncertain as to the nature and purposes of the CDS program. In many of these instances, the participants were unaware that they were dealing with a non-judicial process independent of the court system. This evidence buttresses the argument for concerted efforts to ensure that disputants are fully cognizant of the CDS concept and process. It is felt that an effective orientation program can fulfill this important end.

Orientation of the disputants can take place at several points in the CDS process. Programs utilizing referral cards only partially orient the disputants before intake. Normally, the complainant will receive orientation during the intake process. The respondent should receive a letter explaining the program along with his or her "notice to appear form". The most opportune time to orient or reorient both parties is just prior to the mediation hearing. Well informed disputants should make better CDS participants.

#### E. SCHEDULING OF THE HEARING

As expressed in an earlier section, the procedures and forms for the scheduling of cases will vary significantly depending upon the scope and requirements of each program. However, the general considerations involved in the scheduling process appear to be standard. These include:

1. Disputants availability
2. Mediators availability
3. Hearing room availability
4. Program Personnel availability (if necessary)

Often, particular mediators exhibit special talents in mediating certain types of disputes. This might also be taken into account in the scheduling process.

Once a case is scheduled, it is important to notify the disputants as soon as possible. This is accomplished through "notice to appear" forms. Although, the complainant is generally informed of the hearing date at the time of the intake, he or she should still receive a notice to appear (see Form #6) to reconfirm the exact time and place. The respondent should receive both a notice to appear (see Form #7) and a letter explaining the CDS program (see Form #8). Experience has shown that the more "official" looking

the notice to appear form, the higher the response rate. It may also be advisable to telephone both disputants on the day of the hearing to confirm their attendance.

Evidence concerning the time frame between filing a complaint and having a hearing as well as the percentage of cases which result in no-shows was obtained in the DRAC study. The data revealed that the average time span between complaint and hearing is 11.2 days. This fact may result in the high level of satisfaction disputants express in terms of the time in which hearings were scheduled (96% of the complainants and 81% of the respondents were satisfied with the time set for hearings). Based upon this information, it is recommended that, in order to enhance the disputants' level of satisfaction and encourage attendance at hearings, the hearings be scheduled at least within a two week period.

The data also reveals that 27.6 percent of the cases are terminated because complainants and/or respondents failed to appear for the scheduled hearings. This suggests that there are a large number of disputants who must be encouraged by every means possible to attend the hearings.

There are two methods which can be employed to facilitate a decrease in the no-show rate, the first of which is related to when hearings are scheduled. The fact that, of those disputants who appeared, five percent of the complainants and eighteen percent of the respondents were not satisfied with the time set for the hearing indicates there is room for improvement in this area. Also, disputants who failed to appear may have been affected by a perception of inconvenience in the time set for hearings. This assertion is supported by the data which shows that the level of satisfaction is less among respondents than complainants (81% versus 96%) and that of those disputants who fail to appear, the vast majority are respondents (19% of the cases were disposed of by the respondent failing to appear, while 4.3% were terminated because the complainant failed to appear).

A second method to reduce barriers that inhibit disputants from appearing is to make the place at which hearings are held more accessible. Most of the negative comments disputants made to the questions concerning the convenience of the location of the hearing indicated the distance traveled was too great. This evidence points to the need to explore alternative methods for holding hearings such as the use of branch office and hearing facilities. In fact, those programs examined in the DRAC study which utilized branch facilities tended to have the lowest no-show rates.

Of course, the use of this option is contingent upon the population density and geographical area covered within the jurisdiction of the CDS program.

#### F. CONDUCTING THE HEARING

Hearings are conducted similarly throughout all of the existing CDS programs in Florida. The primary resolution technique utilized is mediation. Some programs utilize arbitration in resolving certain cases involving juveniles.

When the mediation technique is employed to settle disputes, there is a need for mediators to develop various types of skills to enable them to deal with the variety of disputes that are currently handled by CDS programs. The DRAC study reveals that the different forms of agreements made by complainants and respondents are largely a function of the type of dispute the mediator is dealing with. Hence, there exists a wide variety of behavioral changes or compensatory agreements that are made in the mediation hearing. In addition, the nature of the relationship between disputants (e.g., personal/long-term, casual/short-term, or no relationship), is found to be related to the types of disputes and agreements that emerge. For example, assault cases generally involve individuals who have long-term personal relations, while animal and noise nuisance cases usually involve neighbors who are only casually related. These documented trends suggest the mediators who assume the responsibility to aid in resolving a wide range of disputes must be equipped with the necessary skills to deal with a variety of types of human relationships and the outcomes disputants are seeking. There are several general recommendations that can be applied to the conduct of mediation hearings.

##### 1. Location of the Hearings

Hearings should be held in as authoritative a location as possible. A courtroom is the ideal setting. The authoritative air is important in the psychological process of the mediation. An integral element of the CDS process is providing a forum in which both parties to a conflict are able to air

their sides of the dispute in the presence of an "authority figure" (the mediator). This ability to fully explain their side of the story fulfills their psychological needs to have their views "acknowledged." Once both parties feel satisfied that they have been able to voice their views, they will be more willing to mediate.

##### 2. Conduct of the Hearings

In the conduct of the hearing, it is important that all communication go through the mediator. This ensures that the mediator can control the hearing process and the level of emotions of the participants.

There are two basic forms associated with the hearing stage. The first is the mediation contract or agreement (see Form #9). This document is utilized if and when the parties have reached some resolution of their dispute and mutually agree to sign a written statement verifying that resolution. The agreement is written by the mediator and signed copies are given to both parties. The original is kept with the case file and returned to the CDS program. The second form is a mediator comment sheet (see Form #10). This form is also filled out by the mediator and is used to convey the mediator's views and observations concerning the hearing. The information may assist the program staff in gaining a more accurate impression of what took place in the hearing, what the staff might look for if the dispute or disputants re-appear at the CDS program, etc.

##### 3. Specificity of Agreements

It should be noted that the DRAC study data has suggested that the level of dispute satisfaction and dispute resolution may be heavily influenced by the type of agreement. A potential explanation for the variations in agreement, disputant satisfaction, and long-term success rates across types of disputes may be the specific provisions of the agreements disputants reach for various types of cases (i.e., what the parties agree to do or not to do, to resolve their differences). If the agreement reached is composed of statements of behavioral changes of a relatively noncommittal nature such as agreeing to "leave the other party alone," the satisfaction level may be high (80% are satisfied), but the long-term resolution rate is low (only 45% of the complainants say the problem is totally resolved). In contrast, when agreements are very specific in nature, such as an agreement whereby the respondent is obligated to pay money or detail *how* he or she plans to change their behavior, the satisfaction rate is low (50%), but the long-term resolution rate is high (71%).

Therefore, mediators should encourage disputants to agree upon specific elements rather than more general provisions. This can be accomplished by delineating within the written agreement these specific commitments.

##### 4. Time Constraints On Hearings

Some CDS programs place a general time limit on the mediation hearings. There are two basic reasons for placing a time limit on the hearings. The first concerns the administrative advantage of being able to maintain an accurate schedule for hearing. Experience has shown that the average mediation hearing lasts approximately one hour. The second reason relates to the psychological influences of setting a time constraint for the mediation hearing. If the disputants are told at the beginning of the hearing that they have sixty minutes in which to mediate their dispute, the progression of the hearing encourages the disputants to focus on the primary issues and also facilitates concessions and agreements.

##### 5. Waiver Of Speedy Trial

There is an optional form which may be beneficial under certain circumstances or conditions. A waiver of speedy trial form (see Form #11) can be utilized as a condition of the agreement. If one or both disputants have formal criminal charges pending against them, it is recommended that they sign a waiver of speedy trial. This will allow the prosecutor the *option* to proceed with formal processing in the event that no agreement is reached or an agreement reached is broken. It is normally stated in the hearing agreement that no formal criminal proceeding will take place as long as the agreement remains in force. Often, a person charged with a criminal offense will be required

by the State Attorney to waive his or her rights to a speedy trial as a condition of referral to a CDS program. If a program wishes to use the speedy trial waiver, it is imperative that they attain the official sanction of the particular form from the court and prosecutor to ensure their support and cooperation.

#### G. MANAGEMENT OF AGREEMENT

The CDS process does not end when the dispute is successfully mediated and the disputants sign an agreement. It is important to convey to the participants that their agreement is only as good as the honor and obligation each party attaches to it. It is recommended that a letter of thanks for participation (see Form #12) be given to the participants. This letter not only thanks the participants, but also explains what to do in the event the agreement is broken or a future problem develops.

Agreements which contain provisions for some specific performance by one or both parties (e.g., the payment of \$25.00 within 10 days) should be flagged and placed in a special follow-up section so that the program can check back with the parties to determine if the performance has been executed (money paid).

#### H. FOLLOW-UP

In considering follow-up procedures and forms, there are two recommended areas of involvement: follow-up reports to referral agencies and follow-up efforts involving the CDS participants themselves.

##### 1. Follow-up Reports to Referral Sources

It is very important to provide the original referral source follow-up reports on the disputes they referred to the CDS program. These reports (see Form #13) should reflect the final program involvement with and/or knowledge of the dispute. It might be advisable to send the report immediately following the last program action taken in an effort to avail the referral source with current, relevant information in the event they become re-involved with the dispute or disputants. In cases where an agreement was reached, it may be appropriate to attach a copy of the agreement to the report. The importance of providing this feedback to the referring agencies is elaborated in Section 2.5 of this chapter.

##### 2. Follow-up on CDS Participants

The participant follow-up contact is an important function of a dispute resolution program - both to monitor program achievements in terms of gauging client satisfaction, and to identify needs for further mediation or other social service assistance. This follow-up may be accomplished by mailing out questionnaires (see Forms #14, #15, and #16) to both the complainant and respondent. These questionnaires will aid the program by revealing:

- How disputants found out about the CDS program (i.e., public information/relations and referral outreach indicators).
- The disputants' satisfaction with the agreement reached.
- The disputants' opinion as to whether or not the underlying problem has been resolved.
- The disputants' opinions about the mediator.
- The disputants' opinions concerning the convenience of the time and place set for the hearing.
- Any other comments or remarks which might come from the CDS participants.

#### 2.7 MANAGEMENT INFORMATION SYSTEM CAPABILITY

The importance of regularly compiling information concerning the handling of disputants and their problems by CDS programs throughout the state cannot be overemphasized. Data collected by various programs is essential for the purpose of monitoring the operations of such agencies and to enable accurate and comprehensive evaluation of their progress. These end results, in turn, may provide the basic tools essential for making sound recommendations as to the optimal policy procedures instituted in CDS programs.

Several concerns relating to the implementation of management information, monitoring and evaluation systems based on information recorded from CDS case files are addressed below.

#### A. THE TYPES OF INFORMATION TO BE COLLECTED

The first concern relates to a determination of the types of information deemed necessary for collection to implement an effective management information system. The following are descriptions and definitions of the forms of information considered relevant for such a task:

- The date when the complaint was filed.
- Where the case originated - i.e., what agency or organization referred the complainant to the CDS program or what was the complainant's source of information as to the existence of CDS.
- The type of dispute - criminal, civil, or juvenile - and more specifically in terms of what the conflict involved, e.g., assault, theft, etc.
- The complainant's and respondent's zip code.
- The relationship between the complainant and respondent.
- The nature of the complaint - i.e., the actions sought by the complainant to resolve the dispute.
- The type of disposition which occurred as a result of the complaint, e.g., referred to another agency, a hearing with agreement, failure to appear, etc.
- The actions the complainant and respondent agreed to take to solve the dispute in the event that a hearing was held and an agreement was reached.
- The number of days that elapsed between the complaint and the disposition.
- Whether or not the complainant or respondent had prior contact with the CDS program.
- The type of complainant and respondent - e.g., individual, couple, business or governmental agency.
- The sex and ethnic background of complainants and respondents.

#### B. SPECIFICALLY WHAT THE DATA WOULD BE USED FOR

The next concern to be dealt with is crucial for justifying the time and expense necessary to implement and employ a management information system. There are several functions the information can be used for, all of which are related to improving the operations and effectiveness of CDS programs and facilitating the inception of new programs. These include:

- The identification of individual problems or needs where special emphasis should be directed.
- To supply information to new programs as to the operation of existing programs. This information would include: where cases are originating, types of disputes most often handled, the types of disputants aided, and the ways in which cases are disposed.
- To aid programs when attempting to procure additional funding from governmental or private agencies in terms of having the capability of justifying the need for such funds and stating the benefits citizens accrue from the services provided by CDS programs.
- The evaluation of programs over extended periods of time in terms of evidence concerning the types of cases handled most successfully by CDS, the impact of CDS on the workload of the court system, and the effectiveness of procedural changes within the CDS programs.

#### C. TYPES OF STATISTICAL MANAGEMENT FORMS

There are three separate forms which may be used to document the types of information necessary for an effective management, monitoring and evaluation system. Copies of the following forms as well as instructions and guidelines as to their use are provided in Addendum F.

##### 1. Case File Statistics Form

This form may be used for initial documentation of the information in the case files.

2. **Monthly Statistics Form**

This form may be used to summarize the data collected on the case file statistics sheet during each month of the year.

3. **Record of Information in Other and Multiple Categories**

This form may be used only in instances where a particular case file contains information that cannot be adequately recorded on the case file statistics form: Specifically, it may be used when a case involves a multiple dispute, agreement, etc., or when an "other" category is used for any of the items on the case file statistics form.

**CHAPTER THREE**

**LEGAL ISSUES IN CDS PROGRAMMING<sup>14</sup>**



### 3.1 INTRODUCTION

It is essential in a discussion of the legal issues surrounding the citizen dispute settlement process to narrow the focus of such discussion to those issues of the greatest concern to the CDS programs. Taking this into consideration, this chapter attempts to identify and describe four major issues which appear to be the most critical to program operations. Such issues are:

- The Legal Nature of CDS Programs
- Applicability of Constitutional Guarantees to Due Process and Right to Counsel in the Mediation Process
- Confidential Nature of the CDS Mediation Process
- Legal Liability of CDS Personnel

### 3.2 LEGAL NATURE OF CDS PROGRAMS

In Florida, CDS programs have been implemented without any formal statutory authority. Most of the programs have been created through the auspices of the state attorney's office or the court through the chief judge. Therefore, no CDS program has been given subpoena powers to compel disputants to appear for mediation. A state attorney's office does have subpoena powers relating to the prosecution of criminal cases, but it would not be appropriate to exert such power to compel participation in the CDS mediation process.

The result of this lack of legal authority to compel attendance has been the occurrence of a relatively high non-appearance rate. To overcome this problem, many programs have increased their appearance rates through the issuance of formal looking "Notices to Appear." Such notices which are sent using state attorney or court letterhead are not binding or enforceable but do have a look of authority which may have coercive effects upon the individuals receiving such notices. As long as the notice states that appearance of the party is voluntary, there is nothing legally wrong with utilizing this method to increase appearance rates. It is important to stress to the individual disputant the voluntary nature of their participation in the CDS process on the notice to appear form.

Once the disputants do appear and submit their dispute to mediation, the voluntary nature of the process should again be explained. If an agreement is reached and is reduced to writing and signed by the disputants, the written instruments assume the nature of a contract and may be enforceable.

A contract is defined as an agreement between two or more people to give up something or to do or refrain from doing a particular act. The agreement contract is not enforceable by the CDS program, but is by one of the disputants raising the issue in court through the filing of the appropriate action.

### 3.3 APPLICABILITY OF CONSTITUTIONAL GUARANTEES TO DUE PROCESS AND RIGHT TO COUNSEL IN THE MEDIATION PROCESS

This section discusses the applicability of fifth amendment rights, right to counsel and due process rights to the CDS mediation process.

#### A. FIFTH AMENDMENT RIGHTS

Should people who appear at a CDS program in response to complaints or claims made by others be given Fifth Amendment warnings, e.g. "What you say may be used against you; you may remain silent, etc."? There are no judicial opinions on this issue, and it most probably is not necessary ordinarily to give Fifth Amendment warnings, a practice which would directly inhibit the process of open discussion that is central to the success of a center's activities. Nevertheless, a program well may encounter some cases in which either the law or a sense of fairness may require that a Fifth Amendment warning be given.

From the thousands of cases reviewing Fifth Amendment protection against self-incrimination and the admissibility of dispute confessions, some basic principles have emerged. Courts require that the Fifth Amendment warnings articulated in *Miranda v. Arizona*, 384 U.S. 436 (1966), be given whenever an individual is (1) subjected to interrogation; (2) while in custody; (3) in a criminal investigation. Custodial interrogation, moreover, has been defined as "questioning initiated by law enforcement officers after a person has been taken into custody or otherwise deprived of his freedom of action in any significant way." *Orozco v. Texas*, 394 U.S. 324 (1969).

Most courts have adopted the view that questioning by a person who is not a law enforcement agent is not custodial interrogation provided that the questioning was not conducted at the request or direction of a law enforcement agent. *Miranda* defined "custody" as the deprivation of freedom of action in any significant way. The question of whether an individual is in custody for the purposes of the *Miranda* rule has been litigated frequently and presents some difficult issues.

The location of an interview is an important factor in determining whether it is custodial. Interviews which take place in a person's home or office are frequently held to be non-custodial because of the non-coercive, familiar surroundings. Conversely, interviews at a police station or in a prosecutor's office are generally considered to be custodial. In 1977, the Supreme Court held that an interrogation conducted in a police station did not require *Miranda* warnings, *Oregon v. Mathiason*, 429 U.S. 492 (1977), but an important consideration for the court in that case was the fact that the defendant had appeared at the station voluntarily.

Interrogation, as used in *Miranda*, means questions or interviews conducted in the course of a criminal investigation. The Supreme Court has stated that interrogation under *Miranda* does not mean interrogation conducted in the course of deportation proceedings or civil tax investigations. One federal appellate court, after drawing a distinction between trivial and serious criminal offenses, has held that it does not apply to custodial interrogation during an investigation of a traffic offense. Finally, after criminal proceedings have commenced, government representatives or agents may not question a defendant without offering him or her the opportunity to have an attorney present. Some courts have interpreted this rule as requiring notice to the attorney of the intention to question the defendant, as well as notice to the defendant that he/she has a right to counsel.

On the basis of these principles, a Citizen Dispute Settlement Center may conclude that Fifth Amendment warnings need not be given to individuals who participate in its hearings because they are not forced or compelled to appear. As long as it is made very clear to the disputants that their participation in the CDS process is totally voluntary, there is no apparent need to read the disputants the "Miranda" warnings.

#### B. RIGHT TO COUNSEL

The Sixth Amendment provides that "an accused" has the right to counsel in all "criminal prosecutions." In effect, "criminal prosecutions" has been held to mean "criminal cases following the initiation of judicial proceedings and when counsel's absence might impair the defendant's right to a fair hearing . . ." A person does not have a right to counsel at all times but only after criminal charges have been filed, which usually occurs at the time of arrest. It is unlikely that a Citizen Dispute Settlement Center would become involved in the filing of new criminal charges, and there is no constitutional right to counsel in civil cases.

Strong support can be found for the proposition that attorneys are not required in proceedings at a CDS Center, even when the basis of the Center's jurisdiction falls somewhere between criminal and civil. In the past few years, the Supreme Court has ruled that there is no constitutional right to counsel in school suspension hearings, welfare denial hearings, prison discipline hearings, driver license suspension hearings, and employment suspension hearings. Some of these hearings were at least quasi-criminal. An administrative hearing, for example, can result in a sanction (e.g., the loss of a driver's license) that is identical to those imposed in criminal prosecutions (e.g., drunken driving).

In these quasi-criminal cases, the trend of recent Supreme Court opinions seems to be toward eliminating the right to counsel, because the proceedings are viewed as essentially informal and the presence of counsel would tend to create an atmosphere antithetical to that informality. In a word, the court treats such hearings as nonadversarial.

The absence of a constitutional right to an attorney at a hearing before a CDS Center does not mean that a Center may forbid those who can afford an attorney from being represented, even though the presence of counsel may result in a hearing that is more adversarial than desirable.

Faced with a similar issue, the Supreme Court held that the "government interest in denying parties the right to have counsel present . . . (was) not sufficient to overcome the benefits which could result from his presence."



Some CDS centers inform parties that they may bring counsel to the center; others give no such notice. Whatever policy a center adopts, it must be applied uniformly (i.e., all individuals must receive the same information). It does appear a center should not *forbid* an attorney from attending the mediation hearing.

#### C. DUE PROCESS RIGHTS

Any proceeding at a CDS Center which may result in sanctions against a participant must include procedural safeguards to ensure fair and impartial determination of facts on which the sanctions are based. While procedures may vary from jurisdiction to jurisdiction, certain procedural safeguards assume a constitutional dimension. This does not mean that procedural safeguards are required as part of every hearing that occurs in a CDS Center. Constitutional due process attaches only to those hearings in which an individual, as the result of an award or decision, may suffer a loss of rights, property, privileges, or benefits. Nonetheless, in the interest of fairness, some form of procedural due process probably ought to be a part of all hearings. Procedural due process seems clearly to be required in at least the following cases:

1. Where property rights of any kind are involved: A "property right" may be a right to possess or occupy land and may also be a right to benefit from someone else's property, e.g., as the beneficiary of a will. The definition of "property" used here is in the broadest sense of the term.
2. Where a person may be required to give up the right to contract or engage in any common occupation.
3. Where, by agreement or otherwise, a person consents to avoid being with his/her own children, or gives up almost any right connected with his/her children.

The three basic procedural due process rights include the right to an impartial decisionmaker, the right to be heard at any hearing before the decisionmaker, and the right to fair notice of the hearing and the issues to be decided at the hearing.

Of course, an individual may waive any or all of his rights discussed above. However, any waiver of these rights must be "knowing, intelligent and voluntary" and must constitute an "intentional relinquishment of a known right or privilege." The validity of a waiver is determined by an examination of what the disputant was told and whether the waiver was voluntary.

#### 3.4 CONFIDENTIAL NATURE OF THE CDS MEDIATION PROCESS

The confidentiality of the CDS Center can be breached in several ways:

- Subpoena
- Request for production of records
- Direction to a person by a judge or other tribunal to reveal a confidence

In either civil or criminal cases, subpoenas may be issued for testimony at a trial or any other proceeding, such as depositions, grand jury investigations, and administrative or legislative hearings. In civil cases, either party may issue a subpoena. Similarly, in criminal cases, both the prosecution and the defense may issue a subpoena, although only a prosecutor can issue a subpoena for attendance at a grand jury.

In many jurisdictions, a party does not need the permission of the court to subpoena a witness, and as long as there is a case or proceeding pending, attorneys may issue stacks of subpoenas (with appropriate witness fees) literally to anyone. In other jurisdictions, a judge or magistrate must sign the subpoena.

A contempt citation can result if a subpoenaed party fails to appear. In some jurisdictions, in civil cases, a witness does not have to appear in response to a subpoena unless appropriate witness fees and transportation costs have been paid in advance. For a party who does not wish to obey a subpoena other excuses exist, such as failure to serve the party subpoenaed personally or defects on the face of the subpoena. However, because of the seriousness of a contempt citation (in some jurisdictions, depending on the circumstance, contempt is punishable summarily, without trial or appeal), a subpoena should under no conditions, no matter how flawed you may consider it, simply be ignored without consulting an attorney.

There are two ways to challenge a subpoena. One can refuse to obey it and argue subsequently that the subpoena was defective and, therefore, need not have been obeyed. A person also may apply to the court in which the matter is pending to quash the subpoena on the grounds that its validity or scope is faulty. In most cases, it makes more sense to try formally to quash a subpoena rather than simply to refuse to obey it. In the former case, as indicated, the person testing the validity of the subpoena may be risking summary punishment. Thus, if an employee of a CDS Center is subpoenaed to testify about his or her participation in the resolution of a dispute at the Center, the Project Director, after consultation with a local attorney, should, in most cases, seek to quash the subpoena to preserve the confidentiality of the Center's work.

A request for a CDS Center to produce records may come in the form of a subpoena *duces tecum*, requiring the individual served to provide testimony and to bring along as well certain records or documents. The requested documents, which must be specified so there is no doubt about what is being sought, may be inspected and/or copied by the party who has caused the subpoena to be issued.

In some jurisdictions (and usually only in civil cases), a party may file a Motion for Production of Documents in order to obtain records or documents. Such a motion, which usually can be executed only against parties to an action, has the same effect as a subpoena *duces tecum*.

In addition to the claim of privilege, discussed below, a CDS Center faced either with a formal request to produce records or a subpoena, may attempt more limited defenses. If the subpoena or request is overly broad, or compliance with it may disrupt the ordinary operation of a business or office, the request may be set aside or modified. In addition, a party seeking review is required to show a particular need for the requested records or documents. Finally, the requesting party may be required to inspect or copy the records where they are maintained, rather than having them produced elsewhere.

A privilege or confidential non-disclosure rule can be established by case law or by legislative action. For the past three years, attempts have been made in the Florida Legislature to provide for confidentiality of the CDS process. These attempts proved to be unsuccessful.

There is a similar scarcity of case law on the subject, since only two courts to date have ruled on this matter. However, both decisions were highly supportive of the confidentiality of the CDS process. In *Francis v. Allen* (no. 78-0008-46, County Court, Sixth Judicial Circuit of Florida), Judge Howard H. Whittington ruled on March 6, 1978, that a subpoena issued to two employees of the Pinellas County Citizen Dispute Settlement Center should be quashed. The Court found that "[T]he only knowledge concerning the [case in Court] which [the employees] have was learned because of the participation of the Plaintiff and Defendant in the mediation process of the Citizen Dispute Settlement Program." The Court rules that "[S]tatements made by participants in the Citizen Dispute Settlement Program shall be considered to be privileged and not admissible . . ." It extended this same privilege to "All documents signed by participants in the mediation process . . . and all documents prepared by the Citizen Dispute Settlement Program . . ." It is difficult to imagine a broader or more favorable opinion to ensure the confidentiality of communications and documents within CDS Centers. In the second and most recent court case, IN RE: *Charles v. Charles* (no. 79-9164-FC-04, Circuit Court, Eleventh Judicial Circuit of Florida), Judge Edmund W. Newbold quashed a subpoena issued to the Director of the Dade County CDS program to produce records relating to a prior CDS case. The attorney for the CDS program successfully argued that communications arising from the mediation hearings are treated as settlement negotiations and thereby are inadmissible pursuant to Florida Evidence Code § 90.408.

Although direct judicial or legislative actions to establish a privilege for CDS Centers are as yet scarce, there are some strong policy arguments for creating one. The reasons for establishing a privilege based on a special relationship, such as that existing between attorney and client, clergyman and parishioner, physician and patient, are equally applicable to mediators and disputants in a CDS Center. It is important that people feel free to say anything they want to their attorneys, doctors, and clergymen without fearing that a court may order the professional to divulge the information. Obviously, an attorney, doctor or clergyman is better able to respond to the needs of the client on the basis of full and frank disclosure. The argument is no less true in a CDS Center where full and frank discussion of problems is essential to successful dispute resolution.

Even though there are encouraging signs pointing towards making the CDS process in Florida confidential, under the current conditions, *it is not*. This is not to say that a mediator cannot keep people out of the hearing room during mediation. A mediator can certainly limit the involvement of anyone who is not a party in the dispute (except for attorneys). The real problem concerning confidentiality does not relate to keeping the actual hearing private. It relates to the possibility that someone at the hearing or the records may later be subpoenaed in relation to a court proceeding.

There are technical rules of evidence about when statements made by parties at mediation can and cannot be used in court. The Florida Evidence Code, Section 90.501, F.S., provides that, except as otherwise provided by law, no person in a legal proceeding has the right to:

- (1) Refuse to be a witness;
- (2) Refuse to disclose any matter;
- (3) Refuse to produce any object or writing;
- (4) Prevent another from being a witness, from disclosing any matter or from producing any object or writing

This provision essentially abolishes all common-law privileges and makes the creation of such privileges dependant upon legislative action or pursuant to the rule-making power of the Supreme Court.

The implication of this provision is that in Florida, an attorney may subpoena a mediator, an intake officer or other program employee as well as any related documents, papers, etc., that may be relevant. If this occurs, legal counsel should be retained.

It is highly unlikely that the mediator or other program employee can avoid appearing for such investigation. There are some safeguards, however, to protect the confidentiality of the process pending the anticipated passage of legislation.

1. Attempt to direct the disputants to stick to the subject at hand and have them not dwell on past conflict but rather on how to avoid future conflict.
2. If notes are taken during a mediation hearing or other contact with a disputant, once the procedure is over, discard whatever is not required to adequately maintain the files. If a mediator or other program employee cannot remember what exactly was said and no notes are available to refer to, reliable testimony cannot be given. One should be careful not to destroy or discard the notes after a subpoenae has been served or obstruction of justice charges may be filed.
3. No one is under any obligation to discuss the proceeding with anyone unless compelled by subpoena, so do not volunteer information.

### 3.5 LIABILITY OF CDS PERSONNEL

In all jurisdictions, judges, acting within the scope of their authority and exercising their judicial functions, are immune from civil liability for their acts, regardless of how erroneous or illegal they may be. Public policy considerations of judicial independence, impartiality, and freedom from undue influence are proffered as justification for granting such broad civil immunity to every judicial officer and person closely associated with the judicial process.

This judicial immunity has been extended to protect individuals or groups of individuals acting in a quasi-judicial capacity. Although opinions differ on the meaning of "quasi-judicial," the term generally is used to describe a discretionary power of judgment, judicial in nature that is vested in an individual other than a judicial officer.

People who conduct hearings at a CDS Center, whether they be conciliators, mediators or arbitrators, are individuals involved in the settlement of disputes. The Supreme Court has described such people as "judges chosen by the parties to decide the matters submitted to them." The nature of their function requires them to exercise independent discretion—a discretion that is quasi-judicial in character. Acting within their official

capacity, arbitrators, mediators, and conciliators in a CDS Center should, therefore, be clothed with judicial immunity from civil liability.

Expansion of the immunity rule for arbitrators appears to be the current trend. It has been held that an arbitrator's immunity should be extended to protect participants in all "indispensable proceedings" in the arbitration process, including the receipt of, and an argument on, evidence to be introduced at the hearing. To limit immunity to the arbitrator would be similar to limiting immunity in judicial proceedings solely to the judge, a restriction that has been expressly rejected. *Corbin v. Washington Fire*, 278 Fed. Supp. 393.

It should be noted that all of these immunity cases refer specifically only to arbitrators. While one may argue analogously from the holdings in these cases to establish similar immunity for CDS mediators, there is presently no case law establishing broad immunity for anyone except arbitrators.

Nevertheless courts have been generous in protecting individuals from civil liability if, in fact, they acted in the capacity of arbitrators, even though they were not specifically called arbitrators. In so finding, the courts have considered the degree of discretion permitted the individuals and the finality of their decisions.

The consistent ruling by courts that arbitrators are protected by judicial immunity is made without benefit of express statutory language. The legislation referred to earlier also attempted to deal with this problem.

With the absence of such legislative protection, a mediator may very basically be liable to someone when they have a legal right or when the mediator has a legal duty to that person and that right or duty is violated and damage to the individual results. Furthermore, this duty does not have to be required by law, but rather may be a duty which the mediator voluntarily agrees to perform.

In essence, if a mediator agrees to refer a disputant to an agency or organization to assist the disputant with a particular problem but such agency is not appropriate and damage to the individual results, there is a distinct possibility that the mediator may be liable for the damage. This is an example of a type of duty which is assumed voluntarily.

This situation presents a grim picture and may lead to doubts on the part of mediators as to why they are subjecting themselves to potential legal problems. However, there is room for real optimism. First of all, the CDS Center may initiate the use of disclaimers whereby the disputants sign a document which states that the use of the CDS mediation process is a privilege for them, that they are voluntarily participating in the process and that in consideration of this, the disputants agree to relieve the program and staff of all liability which may arise out of the process of mediation.

Secondly, the courts may decide that the staff of the CDS Centers have limited immunity from liability. For example, in 1975 the U.S. Supreme Court ruled that school board members could only be liable for acts where they "knew or should have known" that they were violating a person's rights. Thus, there was no liability for official acts performed in good faith. Though such legal opinions have not yet been extended to include CDS mediators, there is reason to believe that such a trend will continue.

In summary, there are no clear answers to the various legal issues relating to the CDS mediation process. Until such time as such questions are answered through legislation or court decision, the best advice that can be given is to use common sense, be careful and conscientious and if legal problems occur, seek the counsel of an experienced attorney.

**CHAPTER FOUR**  
**TECHNICAL ASSISTANCE RESOURCES**

This chapter deals briefly with the availability of a Florida-based *information and consultation* resource service accessible to a variety of agencies and individuals interested in the area of dispute resolution alternatives. The focus here will be to provide a general overview of what the service involves, who coordinates and provides the assistance, etc. Specific information concerning the technical assistance program is available in the *Dispute Resolution Alternatives Information and Technical Assistance Service* pamphlet contained in Addendum G.

The dispute resolution technical assistance service is a resource wherein agencies or individuals can obtain direct information on the availability, operation and structure of dispute resolution alternative programs and/or consultation from various sources. This service is free of charge and provided by and under the auspices of the Office of the State Courts Administrator (OSCA). A variety of governmental agencies and other interested organizations are eligible to obtain technical assistance, including judges, state attorneys, court administrative personnel, local bar associations, etc.

The technical assistance information pamphlet specifies the appropriate, relatively easy, procedures one must follow to obtain the services available. The first step in the procedures involves contact with the OSCA by the requesting agency for the purpose of identifying the specific nature of the question on which assistance is desired. If the OSCA staff can provide a direct response, the assistance will be offered immediately upon request. Requests which demand informational or consultative assistance unavailable in the OSCA will be dealt with via liaison with any or a combination of the following resources:

- Existing local CDS or DRA programs and their staff
- The staff of successful out-of-state programs
- Individuals working as professional consultants in the field
- National programs and organizations familiar with the requirements for and operations associated with DRA programming such as the ABA, American University, National Center for State Courts, etc.

Subsequent to a consultant providing technical assistance to a DRA recipient, the OSCA will require an evaluation of the technical assistance provided by the recipient and will evaluate the information report provided by the consultant.

More specific information about the scope of technical assistance offered, the duration, other services available, and who should be contacted to obtain services is provided in the above referenced addendum.

## FOOTNOTES

<sup>1</sup> Felstiner, William L.F., "Influences of Social Organization on Dispute Processing," 9 *Law & Society Review* 63, 1974.

<sup>2</sup> For more detailed discussion of this technique, see Felstiner, "Influences of Social Organization on Dispute Processing"; Fuller, Lon L., "Mediation - Its Forms and Functions," 44 *Southern California Law Review* 305 (1971); Johnson, Earl & Kantor, V., *Outside the Courts: A Survey of Diversion Alternatives in Civil Cases*, National Center for State Courts, 1976; McGillis & Mullen, *Neighborhood Justice Centers, An Analysis of Potential Models*; Sander, Frank, "Varieties of Dispute Processing," 70 *Federal Rules Decisions* III (1976).

<sup>3</sup> For more detailed discussion of this technique, see Felstiner, "Influences of Social Organization on Dispute Processing"; McGillis & Mullen, *Neighborhood Justice Centers: An Analysis of Potential Models*; Sander, Frank, "Varieties of Dispute Processing"; Guttel, Stephen M., "An Analysis of a Technique of Dispute Settlement, The Expanding Role of Arbitration," *Suffolk University Law Review* 618.

<sup>4</sup> Stulberg, Joseph B., "A Civil Alternative to Criminal Prosecution," 39 *Albany Law Review* 359 (1975).

<sup>5</sup> McGillis, Daniel, & Mullen, Joan, *Neighborhood Justice Centers: An Analysis of Potential Models*, National Institute of Law Enforcement and Criminal Justice, LEAA, U.S. Dept. of Justice, October, 1977.

<sup>6</sup> Fitzgerald, Delores, *Funding Resources and The Pre-Trial Field*; Washington, D.C.: Pre-trial Services Resource Center, 1978, p.1.

<sup>7</sup> *Ibid.*, p.5

<sup>8</sup> *Ibid.*, p.10

<sup>9</sup> Refer to Comprehensive Employment and Training Act of 1973.

<sup>10</sup> Refer to *Catalog of Federal Domestic Assistance and Updates*, 1978 Superintendent of Documents, U.S. Government Printing Office, Washington, D.C., 20402.

<sup>11</sup> Lewis, Marianna ed., *The Foundation Directory*, New York: The Foundation Center, 1977, p. ix.

<sup>12</sup> Much of this section was taken from a Report by Fitzgerald, Delores, *Funding Resources and the Pre-trial Field - 1978*, Pre-trial Services Resource Center, Washington, D.C., 1978, pp 23-26. This report was modeled after guidelines suggested by: Seymour, Harold, *Design For Funding*, New York: McGraw Hill, 1966; Jacquette, F. Lee, and Jacquette, Barbara, *What Makes a Good Proposal?*, New York: The Foundation Center, 1973; Mayer, Robert, *What Will A Foundation Look For When You Submit A Grant Proposal?*, New York: The Foundation Center; Hill, William, *A Comprehensive Guide to Successful Grantsmanship*, Colorado: Grant Development Institute.

<sup>13</sup> McGillis & Mullen, *Loc. Cit.*

<sup>14</sup> Much of this chapter is taken from a report by David Austin entitled "Legal Issues Involved in the Operation of a Neighborhood Justice Center," 1979.

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## ADDENDUM A

### PROFILE OF FLORIDA'S EXISTING CDS PROGRAMS

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| Program                 | Coordinator              | Address  |  |
|-------------------------|--------------------------|--|--|
| Alachua County          | John Morris              | Citizen Dispute Settlement Program<br>Eighth Judicial Circuit<br>State Attorney's Office<br>Post Office Box 1437<br>Gainesville, Florida 32601                             | 904/374-3670   |
| Brevard/Seminole County | James Graham/Gayle Hair  | Citizen Dispute Settlement Program<br>Eighteenth Judicial Circuit<br>State Attorney's Office<br>Brevard County Courthouse<br>400 South Street<br>Titusville, Florida 32780 | Juvenile Arbitration<br>Program<br>Seminole County<br>Courthouse<br>Sanford, Florida 32771<br>305/269-8401<br>305/322-7534 |
| Broward County          | Barbara Greenbaum        | Citizen Dispute Settlement Program<br>305 South Andrews Avenue, Suite 218<br>Fort Lauderdale, Florida 33301  | 305/765-5724   |
| Collier County          | Judge Hugh D. Hayes, Jr. | Citizen Dispute Settlement Program<br>Office of the Judge Hugh Hayes<br>3174 East Tamiami Trail<br>Naples, Florida 33940   | 813/774-8116   |
| Dade County             | William Purnell          | Citizen Dispute Settlement Center<br>Eleventh Judicial Circuit<br>Metropolitan Justice Building<br>1351 Northwest 12th Street<br>Miami, Florida 33125                      | 305/547-7062   |
| Duval County            | Bill Schneider           | Citizen Dispute Settlement Program<br>Fourth Judicial Circuit<br>State Attorney's Office<br>Duval County Courthouse<br>330 East Bay Street<br>Jacksonville, Florida 32202  | 904/633-6643   |
| Gadsden County          | Judge Richard Hood       | Citizen Dispute Settlement<br>P.O. Drawer 469<br>Quincy, Florida 32351   | 904/627-6452   |

| Program                 | Coordinator     | Address   |              |
|-------------------------|-----------------|---|--------------|
| Hillsborough County     | Richard Muga    | Citizen Dispute Settlement Program<br>Thirteenth Judicial Circuit<br>Hillsborough County Courthouse<br>Room 227<br>Tampa, Florida 33602               | 813/272-5642 |
| Lee County              | Jo Ann Bradley  | Citizen Dispute Settlement<br>Lee County Courthouse<br>Ft. Myers, Florida 33901   | 813/335-2258 |
| Orange County           | Tom Barron      | Citizen Dispute Settlement Program<br>14 East Washington Street<br>Suite 702<br>Orlando, Florida 32801  | 305/420-3700 |
| Palm Beach County       | Bill Bollinger  | Citizen Dispute Settlement Program<br>Fifteenth Judicial Circuit<br>State Attorney's Office<br>Post Office Box 2601<br>West Palm Beach, Florida 33402 | 305/837-2460 |
| Pasco County            | Eugenia L. Ryan | Citizen Dispute Settlement<br>Bay Area Legal Services, Inc.<br>701 Troublecreek Road<br>New Port Richey, Florida 33552                                | 813/847-5494 |
| Pinellas County         | Lynn Ball       | Citizen Dispute Settlement Program<br>150 Fifth Street, North<br>St. Petersburg, Florida 33701  | 813/893-5796 |
| Polk County             | Ed McDonald     | Citizen Dispute Settlement Program<br>Hall of Justice<br>Bartow, Florida 33830  | 813/533-1161 |
| Sarasota/Manatee County | Faye Rice       | Citizen Dispute Settlement<br>Sarasota County Courthouse<br>Sarasota, Florida 33577   | 813/365-1000 |



FLORIDA CDS PROGRAMS PROFILE CHART

| PROGRAM<br>FEATURES                             | ALACHUA  | BREVARD  | BROWARD  | COLLIER   | DADE  | DUVAL   |
|---|--|--|--|---|---|---|
| Program Commencement Date                       | February, 1977   | February, 1977   | October, 1976  | September, 1978                                       | June, 1975  | September, 1975   |
| Community Served Name                           | Gainesville/<br>Alachua County                                       | Titusville/Melbourne<br>Rockledge/Brevard County         | Ft. Lauderdale/<br>Broward County                      | Collier County<br>Naples                              | Miami/ Dade County  | Jacksonville/<br>Duval County   |
| Sponsoring/<br>Supervisory Agency               | 8th Judicial Circuit<br>State Attorney                               | 18th Judicial<br>Circuit<br>State Attorney's<br>Office   | 17th Judicial<br>Circuit - Chief<br>Judge's office     | Collier County Bar<br>Association and<br>County Court | 11th Judicial Cir.<br>Administrative<br>Office of the Cts.                                      | 4th Judicial Circuit<br>State Attorney's<br>Office  |
| Source of Funds                                 | State Attorney<br>Budget   | State Attorney's<br>Budget                               | County General<br>Revenue                              | Using Existing<br>County Personnel                    | County General<br>Revenue   | State Attorney's<br>Budget  |
| Annual Operating Budget                         | No additional Funds<br>uses State<br>Attorney's budget               | No additional funds<br>uses staff of SAO                 | \$91,347   | \$300   | \$108,000   | No Additional Funds<br>uses State<br>Attorney's budget  |
| Types of Cases/<br>Disputes                     | Criminal<br>Civil  | Criminal<br>Civil  | Criminal<br>Civil<br>Juvenile                          | Criminal<br>Civil                                     | Criminal<br>Civil   | Criminal<br>Civil   |
| Referral Sources                                | State Attorney<br>Law Enforcement                                    | State Attorney<br>Law Enforcement                        | State Attorney<br>Law Enforcement<br>Courts            | Law Enforcement<br>Courts<br>State Attorney           | State Attorney<br>Law Enforcement<br>Court  | State Attorney<br>Law Enforcement<br>News Media   |
| Program<br>Administrative/<br>Staff Composition | Uses State<br>Attorney's Staff                                       | Existing staff of<br>SAO                                 | Four<br>1 Director<br>2 Intake Officers<br>1 Secretary | Existing Personnel                                    | Eight<br>1 Director<br>1 Admin. Officer<br>3 Intake Counselors<br>1 Social Worker<br>2 Clerical | Three<br>1 Director<br>1 Asst. Director<br>1 Secretary  |
| No. of Mediators                                | 6-8  | 30   | 30   | 10  | 20  | 30  |
| Rate of Compensation<br>of Mediators            | Volunteers   | Volunteers   | Volunteers   | Volunteers  | Volunteers  | Volunteers  |
| Mediator<br>Qualifications                      | No specific quali-<br>fications - must<br>attend training<br>program | Attorneys<br>Retired Military<br>Officers<br>Secretaries | Retired Attorneys                                      | Retired Judges<br>Attorneys                           | Professional Media-<br>tors, i.e. attorneys<br>psychologists, etc.                              | Persons with legal,<br>sociological or<br>psychological<br>experience/arbitra-<br>tion background |
| Monthly<br>Caseload                             | 3-4  | 30-35  | 40-50  | 5-10  | 150-160   | 160-170   |

FLORIDA CDS PROGRAMS PROFILE CHART

| PROGRAM<br>FEATURES                       | GADSDEN  | HILLSBOROUGH  | LEE   | ORANGE  | PALM BEACH                                      | PASCO  |
|---|--|---|---|---|---|--|
| Program Commencement Date                 | February 1980  | October, 1978   | January, 1980   | October, 1975                                     | Feb. 1977                                       | Still in Planning Stages                                 |
| Community Served Name                     | Quincy/Gadsden County                                  | Tampa/Hillsborough County   | Ft. Myers/ Lee County   | Orlando/Orange County                             | West Palm Beach/ Palm Beach County              | New Port Richey  |
| Sponsoring/ Supervisory Agency            | 2nd Judicial Circuit-County Judges's Office            | 13th Judicial Circuit-Court Administrator's Office  | Department of Community Relations                                     | Orange County Bar Association                     | 15th Judicial Circuit - State Attorney's Office | Bay Area Legal Services and Pasco County Bar Association |
| Source of Funds                           | Using Existing County Personnel                        | LEAA  | Lee County Government   | Orange County Government                          | Operating under State Attorney's Budget         | N/A  |
| Annual Operating Budget                   | N/A  | \$138,000   | \$27,000  | \$40,000  | No additional funds<br>SAO budget               | N/A  |
| Types of Cases/ Disputes                  | Criminal<br>Civil<br>Juvenile                          | Criminal<br>Civil   | Criminal<br>Civil<br>Juvenile   | Criminal<br>Civil<br>Juvenile                     | Criminal<br>Civil<br>Juvenile                   | N/A  |
| Referral Sources                          | Judges' Office<br>State Attorney                       | State Attorney's Office<br>Walk-ins   | State Attorney's Office;<br>Public Defender's Office; Law Enforcement | Law Enforcement<br>State Attorney's Office        | State Attorney's Office<br>Law Enforcement      | N/A  |
| Program Administrative/ Staff Composition | Three<br>1-Director<br>1-Asst. Director<br>1-Secretary | Seven<br>1 Director<br>1 Asst. Director<br>3 Intake Counselors<br>1 Secretary<br>1 Clerk Typist | Four<br>1-Director<br>1-Asst. Director<br>2-Clerical                  | Three<br>1 Director<br>1 Admin. Clerk<br>1 Intern | Existing staff in State Attorney's Office       | N/A  |
| No. of Mediators                          | 6  | 18  | 28  | 40  | 3   | N/A  |
| Rate of Compensation of Mediators         | Volunteers   | \$8 per hr.   | Volunteers  | Volunteers  | Volunteers                                      | N/A  |
| Mediator Qualifications                   | No Specific Qualifications                             | Masters in social science or law and experience   | No Specific Qualifications but must attend Training Program           | Members of the Florida Bar                        | No Specific Qualifications                      | N/A  |
| Monthly Caseload                          | 3-5  | 150-160   | 25-30   | 60-70   | 5-10  | N/A  |

FLORIDA CDS PROGRAMS PROFILE CHART

| PROGRAM                                   | PINELLAS  | POLK  | SARASOTA  |  |  |  |
|---|---|---|---|--|--|--|
| FEATURES                                  |   |   |   |  |  |  |
| Program Commencement Date                 | October, 1977   | October, 1977   | September, 1980   |  |  |  |
| Community Served Name                     | Clearwater-St. Petersburg/Pinellas County                               | Bartow/Polk Lakeland/Winter Haven/Polk County               | Sarasota/ Manatee County  |  |  |  |
| Sponsoring/ Supervisory Agency            | 6th Judicial Circuit-Chief Judge's Office                               | Pretrial Diversion Service of Polk County, Inc.             | 12th Judicial Circuit-Court Administrators Office                                 |  |  |  |
| Source of Funds                           | County Gen. Rev. Circuit Crt. Filing Fees, Juv. Welfare Brd.            | LEAA  | Sarasota County Government  |  |  |  |
| Annual Operating Budget                   | \$149,865   | \$65,000  | \$13,000 plus existing county personnel   |  |  |  |
| Types of Cases/ Disputes                  | Civil Criminal Juvenile   | Criminal Juvenile Worthless Checks                          | Criminal Civil  |  |  |  |
| Referral Sources                          | Law Enforcement State Attorney Court Clerk                              | State Attorneys Law Enforcement Judges Walk-ins             | State Attorney Law Enforcement Judges Walk-ins                                    |  |  |  |
| Program Administrative/ Staff Composition | Six<br>1 Director<br>1 Asst. Dir.<br>3 Intake Counselors<br>1 Secretary | Five<br>1 Director<br>3 Counselor/ Mediators<br>1 Secretary | Three<br>1 Director<br>1 Asst. Dir.<br>1 Administrative Assistant<br>• Volunteers |  |  |  |
| No. of Mediators                          | 35  | 45  | N/A   |  |  |  |
| Rate of Compensation of Mediators         | \$10 per hour   | Volunteers  | Volunteers  |  |  |  |
| Mediator Qualifications                   | Professional Mediators, i.e. attorneys, psychologists, ministers, etc.  | Attorneys or Retired Military Officers                      | N/A   |  |  |  |
| Monthly Caseload                          | 350   | 250-275   | N/A   |  |  |  |

**ADDENDUM B**  
**DISPUTE RESOLUTION ALTERNATIVES COMMITTEE [DRAC] STUDY**  
**OF FIVE CDS PROGRAMS IN FLORIDA**  
**EXECUTIVE SUMMARY**

**I. INTRODUCTION**

This is a documentation of the objectives, methodology, and synopsis of the findings and conclusions of an extensive research study of the Citizen Dispute Settlement process as it is practiced in Florida.

The study was conducted by the staff of the Office of the State Courts Administrator under the supervision of a special advisory committee of the Supreme Court on Dispute Resolution Alternatives.

A unique characteristic of the study was that the research methodology was developed and executed as a cooperative venture between the project staff and the local program staffs. The research study was planned to ensure that it actually provides data and information that the staff of the individual CDS programs need to monitor and evaluate their own efforts.

**II. OBJECTIVES**

The major objectives of the DRAC study are outlined below:

- To obtain descriptive information on the CDS process and its participants.
- To assess the overall performance of the CDS process.
- To assess the relationship, impact and effect of specified variables on the various performance measures.
- To assess the potential impact of the CDS process on existing dispute resolution processes.

For a more detailed description, the major findings associated with each of these objectives, along with the research methodology which guided the execution of the study, see the special report, *The Citizen Dispute Settlement Process in Florida, A Study of Five Programs*, prepared by the Office of the State Courts Administrator, August, 1979.

**III. SYNOPSIS OF MAJOR FINDINGS**

Provided below is a listing of the major findings and conclusions of the Dispute Resolution Alternatives Committee study of five CDS programs in Florida:

- There exists a need for CDS programs to solicit referrals from a wider range of sources than are currently being utilized.
- It was found that referrals from criminal/civil justice personnel had the lowest no-show rates, the highest agreement rates, and were the most likely to refer disputants who would be satisfied with the CDS process.
- Disputes involving property and/or money were found to exhibit the lowest appearance and agreement rates, yet, when an agreement was reached, the problem was very likely to be resolved on a long term basis.
- Domestic/Child Welfare disputes were found to be the most difficult to deal with in the CDS process in terms of no-show rates, agreement rates, satisfaction levels and probability of long term resolution.
- Personal and neighborhood disputes were more likely to be dealt with successfully on short term basis (i.e., higher appearance and agreement rates), however, the likelihood of long term resolution was low relative to other types of disputes.
- CDS programs handle disputes in an expeditious manner — the average time from complaint to disposition was eleven days.
- Program facilities and services are generally very accessible and convenient for participants but there is some area for improvement in this regard.
- There is a good chance a settlement will be reached if participants appear for scheduled hearings (80.7% agreements).
- One-fourth of *all* complaints ultimately result in complete *resolution* of the dispute.

- Based on the percentage of disputants who fail to appear for scheduled hearings, there is a need for CDS programs to utilize every means available to reduce the no-show rates.
- Disputants were found to have very positive opinions concerning the competence and effectiveness of the mediators.
- Disputants opinions of the mediators performance and effectiveness on long term resolution rates were not found to differ significantly across programs utilizing paid mediators versus programs using volunteer mediators.
- Reasonably high levels of satisfaction and degree of problem resolution were found to be produced via the CDS process.
- The rate of satisfied disputants and those perceiving the problem to be totally resolved remained constant for a period of up to one year after the mediation hearing and agreement.
- The data indicate agreements of a specific nature produce more positive assessment of the mediators performance, higher levels of satisfaction, and a greater likelihood of long term resolution of the problem.
- It was found that as the disputants opinions of the mediator became more positive, the level of satisfaction and rate of problem resolution increased.
- CDS program caseloads comprise a very small percentage of cases in the judicial system.
- It was found that although disputants with relationships characterized as personal in nature had a greater likelihood of agreeing on a settlement in the hearing, such relationships were not conducive to long term resolution of the problem.

## ADDENDUM C

### SUPPLEMENTAL FUNDING SOURCES



# TABLE OF CONTENTS

## PAGE

|  |     |
|--|-----|
| C.1 Program Planning & Proposal Writing .....                            | 74  |
| C.2 List of Selected Federal Domestic Assistance Programs .....          | 85  |
| C.3 List of Favorable Federal Domestic Assistance Programs .....         | 88  |
| C.4 Example of a Federal Domestic Assistance 'Write-up' .....            | 90  |
| C.5 Philanthropic Foundations in Florida .....                           | 92  |
| C.6 Example of a Foundation 'Write-up' .....                             | 107 |
| C.7 Foundations Identified as Favorable Sources of Potential Funds ..... | 108 |
| C.8 A Bibliography of Funding Sources .....                              | 109 |

## ADDENDUM C.1

### PROGRAM PLANNING AND PROPOSAL WRITING\*

Grant writing is often viewed as a complicated paper exercise to obtain funding. Many view the information requirements of a grant application as excessive, irrelevant and bureaucratic. It is often asked, "Why is grant writing such a difficult task?" Well, it needn't be so difficult if it is approached in an organized and logical fashion.

This addendum is designed to assist those faced with grant writing responsibility. A basic format for proposal writing is presented and if followed should prove to be useful planning and writing assistance tool.

Proposals written for foundations and those written for federal grants will differ markedly in final form. Foundations, for example, usually require brief letter, while federal agencies usually require you to complete an extensive array of forms and possibly attach your own narrative. However, if you utilize the following basic planning format, you will be able to think through the various sections and draw from the content virtually all that either a private or public funding source will ask from you.

Thinking through the various components will also enable you to develop a logical way to approach your plans and programs and hopefully this planning will make your programs more effective. The proposal format looks like this:

- Proposal Summary
- Introduction
- Problem Statement or Assessment of Need
- Program Objectives
- Methods
- Evaluation
- Future Funding
- Budget

The following is a description of each of the above proposal format headings.

#### PROPOSAL SUMMARY

The summary is a very important part of a proposal — not just something you jot down as an afterthought. There may be a box for a summary on the first page of a federal grant application form. In writing to a foundation, the summary may be presented as a cover letter, or the first paragraph of a letter-type proposal. The summary is probably the first thing that a funding source will read. It should be clear concise and specific. It should describe who you are, the scope of your project, and the projected cost.

Some funding sources may screen proposals as a first step in grant-making. That is, they briefly examine each proposal to see if it is consistent with their priorities, if it is from an agency eligible to apply for their funds, etc. As a further step, the "screeners" may draw up a summary of their own and these proposal summaries may be all that is reviewed in the next step of the process. It is much better to spend the time to draw up a summary of your own that the funding source can use than to hope that the reviewer sees the importance of your program in his brief initial look at your proposal.

\*©The Grantsmanship Center 1978. This article appeared in The Grantsmanship Center NEWS which is published six times per year by The Grantsmanship Center, 1031 S. Grand Avenue, Los Angeles, CA 90015. An expanded 48-page version of "Program Planning & Proposal Writing" is available from The Center: 1-10 copies, \$2.45 each; 11-25 copies, \$2.25 each; 26-100 copies, \$2.15 each; 101 copies or more, 2.00 each.

## I. INTRODUCTION

This is the section of a proposal where you tell who you are. Many proposals tell little or nothing about the applicant organization and speak only about the project or program to be conducted. More often than not proposals are funded on the basis of the reputation or "connections" of the applicant organization or its key personnel rather than on the basis of the program's content alone. The Introduction is the section in which you build your credibility as an organization which should be supported.

### Credibility

What gives an organization credibility in the eyes of a funding source? Well, first of all, it depends on the funding source. A traditional, rather conservative funding source will be more responsive to persons of prominence on your Board of Directors, how long you have been in existence, how many other funding sources have been supporting you, and other similar characteristics of your organization. An "avant garde" funding source might be more interested in a Board of "community persons" rather than of prominent citizens and in organizations that are new rather than established, etc.

Potential funding sources should be selected because of their possible interest in your type of organization or your type of program. You can use the introduction to reinforce the connection you see between your interests and those of the funding source.

What are some of the things you can say about your organization in an introductory section?

- How you got started.
- How long you have been around.
- Anything unique about the way you got started, or the fact that you were the first thus-and-so organization in the country, etc.
- Some of your most significant accomplishments as an organization or, if you are a new organization, some of the significant accomplishments of your Board or staff in their previous roles.
- Your organizational goals — why you were started.
- What support you have received from other organizations and prominent individuals (accompanied by some letters of endorsement which can be in an appendix).

We strongly suggest that you start a "credibility file" which you can use as a basis for the introductory section of future proposals you write. In this file you can keep copies of newspaper articles about your organization, letters of support you receive from other agencies and from your clients. Include statements made by key figures in your field or in the political arena that endorse your kind of program even if they do not mention your agency.

For example, by including a presidential commission's statement that the type of program which you are proposing has the most potential of solving the problems with which you deal, you can borrow credibility from those who made the statement (if they have any).

Remember, the credibility you establish in your introduction may be more important than the rest of your proposal. Build it! But here, as in all of your proposal, be as brief and specific as you can. Avoid jargon and keep it simple.

## II. PROBLEM STATEMENT OR ASSESSMENT OF NEED

In the introduction you have told who you are. From the introduction we should now know your areas of interest — the field in which you are working. Now you will zero in on the specific problem or problems that you want to solve through the program you are proposing.

### Pitfalls

There are some common pitfalls which agencies face when they try to define problems.

Sometimes an organization will paint a broad picture of all the ills plaguing people in a part of the community. Proposal writers do not narrow down to a specific problem or problems that are solvable, and they leave the funding source feeling that it will take a hundred times the requested budget even to begin to deal with the problems identified. This is overkill. It often comes from the conviction of the applicant that it must draw a picture of a needy community in all its dimensions in order to convince the funding source that there are really problems there. All that this does is to leave the funding source asking: "How can this agency possibly hope to deal with all of those problems." Don't overkill.

Narrow down your definition of the problem you want to deal with to something you can hope to accomplish within a reasonable amount of time and with reasonable additional resources.

#### Document the Problem

Document the problem. How do you know that a problem really exists? Don't just assume that "everybody knows this is a problem. . . ." That may be true, but it doesn't give a funding source any assurance about your capabilities if you fail to demonstrate your knowledge of the problem. You should use some key statistics here. Don't fill your proposal with tables, charts and graphs. They will probably turn off the reader. If you must use extensive statistics, save them for an appendix, but pull out the key figures for your problem statement. And know what the statistics say.

We saw one proposal where an agency presented demographic (population statistics) pictures of two communities, one in which the program was to be conducted and another nearby community where there would not be a program. Every statistic (percentage unemployment, ethnic breakdown, number of youth, number of juvenile arrests, etc.) pointed to a vastly greater problem in Community B than Community A yet Community A was the proposed site of the new program. Any reviewer would seriously question the program based on those accompanying statistics.

To summarize, you need to do the following:

- Make a logical connection between your organization's background and the problems and needs with which you propose to work.
- Support the existence of the problem by evidence. Statistics, as mentioned above, are but one type of support. You may also get advice from groups in your community concerned about the problem, from prospective clients, and from other organizations working in your community and professionals in the field.
- Define clearly the problems with which you intend to work. Make sure that what you want to do is workable—that it can be done within a reasonable time, by you, and with a reasonable amount of money.

### III. PROGRAM OBJECTIVES

One of your concerns throughout your proposal should be to develop a logical flow from one section to another. Whereas you can use your introduction to set the context for your problem statement, you can likewise use the problem statement to prepare the funding source for your objectives.

An objective is a specific, measurable outcome of your program.

Clearly, if you have defined a problem, then your objectives should offer some relief of the problem. If the problem which you identify is a high incidence of drug abuse by youth in your community (substantiated, of course), then an objective of your program should be the reduction of the incidence of drug abuse among youth in your community. If the problem is unemployment, then an objective is the reduction of unemployment.

#### Distinguish between Methods and Objectives

One common problem in many proposals is a failure to distinguish between means and ends — a failure to distinguish between methods and objectives.

For example, many proposals read like this:

"The purpose of this proposal is to establish a peer-group tutoring program for potential drop-outs in the \_\_\_\_\_ area of Los Angeles," or

"The objective of this program is to provide counseling and guidance services for delinquent youth in \_\_\_\_\_."

What's wrong with these objectives? They don't speak about outcome! If I support your project for a year, or for two years, and come back at that time and say, "I want to see what you have done—what you have accomplished," what can you tell me? The fact that you have established a service, or conducted some activities, doesn't tell me whether you have helped to solve the problem which you defined. I want to know what you have accomplished. I want to know the outcome of your activities. I want to know whether you have, through your tutoring program, reduced the number of drop-outs with whom you have worked, or whether the delinquent youth with whom you worked got into less trouble over the past year. Knowing that you worked at it is not enough!

Some organizations, trying to be as specific as they can, pick a number out of the air as their measurable objective. For example, an agency might say that their objective is to "decrease unemployment among adults in the XYZ community by 10 percent." The question I ask is where did they get that figure? Usually it is made up because it sounds good. It sounds like a real achievement. But it should be made of something more substantial than that. Perhaps no program has ever achieved that high a percentage. Perhaps similar programs have resulted in a range of achievement of from 2 to 6 percent decrease in unemployment. In that case, 5 percent would be very good, and 6 percent would be as good as ever has been done. Ten percent is just plain unrealistic. And it leads me to expect that you don't really know the field very well.

If you are having difficulty in defining your objectives, try projecting your agency a year or two into the future. What differences would you hope to see between then and now? What changes would have occurred? These changed dimensions may be the objectives of your program.

In addition, I want to examine your objectives in a little more detail. Maybe some programs create jobs for people that are very temporary in nature, and they reduce the unemployment problem in the short term, but after a year or two the problem will be back with us, as bad, or worse, than ever. This gets into the question of evaluation, which clearly relates to the setting of measurable objectives, for a good set of well-drawn and realistic objectives becomes a set of criteria for the evaluation of the program and thus serves another purpose.

### IV. METHODS

By now you have told me who you are, the problem(s) you want to work with, and your objectives (which promise a solution to or reduction of the problems), and now you are going to tell me how you will bring about these results. You will describe the methods you will use — the activities you will conduct to accomplish your objectives.

#### Research

The informed reviewer wants to know why you have selected these methods. Why do you think they will work? This requires you to know a good deal about other programs of a similar nature. Who is working on the problem in your community and elsewhere? What methods have been tried in the past and are being tried now and with what results? In other words, can you substantiate your choice of methods?

One agency recently brought a proposal into class that dealt with the provision of counseling services to delinquent youth by professional social workers with MSW degrees. Each of these two professional staff members was to receive a salary in excess of \$15,000 per year. The agency was concerned about the limited number of MSW's they could hire within their budget limitations.

A number of questions were raised about this program. One key question was this — why did you decide that professional social workers with MSW degrees and \$15,000 salaries were necessary to the success of your program? Do you have any evidence that similar programs have been effective elsewhere? What other

models exist that you could work with? Is it possible that para-professionals (non-degreed workers, even ex-offenders themselves) could do the job as well as or perhaps better than the trained professionals you want to hire? Do you know of programs using para-professionals in this capacity and have you assessed the results of such programs? How can you complain of lack of sufficient money to employ more than these two highly-trained staff when you don't know if there is a less expensive, and perhaps more successful, model to follow.

The consideration of alternatives is an important aspect of describing your methodology. Showing that you are familiar enough about your field to be aware of different models for solving the problems, and showing your reasons for selecting the model that you have, gives a funding source a feeling of security that you know what you are doing, and adds greatly to your credibility.

One planning technique which you might want to use is this. Take a sheet of paper and divide it into columns. The first column is the "problem" column, the second is headed "objectives," the third "methods" and the fourth "evaluation." If you list all your objectives separately in the second column, you can then identify the problem that it relates to, the specific methods in your program that deal with the objective, and the criteria of success in reaching the objective as well as the method of evaluation.

This helps you to see whether you are truly dealing with all of the problems you talked about, whether your objectives relate to the problem(s), whether you have a method of reaching each objective and whether you have set up an evaluation mechanism to deal with your entire program. This leads us into the next proposal component — evaluation.

## V. EVALUATION

Evaluation of your program can serve two purposes for your organization. Your program can be evaluated in order to determine how effective it is in reaching the objectives you have established — in solving the problems you are dealing with. This concept of evaluation is geared towards the results of your program.

Evaluation can also be used as a tool to provide information necessary to make appropriate changes and adjustments in your program as it proceeds.

As we have stated, measurable objectives set the stage for an effective evaluation. If you have difficulty in determining what criteria to use in evaluating your program, better take another look at your objectives. They probably aren't very specific.

### Subjective and Objective Evaluations

Also, be sure you understand the difference between subjective and objective evaluations.

Subjective evaluations of programs are rarely evaluations at all. They may tell you about how people feel about a program, but seldom deal with the concrete results of a program. For example, we saw an example of an evaluation of an educational program that surveyed opinions about program success held by students, parents, teachers and administrators of the program. This is a pretty "soft" evaluation, and doesn't really give much evidence to support the tangible results of such a program.

In addition, this particular evaluation solicited comments from students when they completed the program, failing to deal with over 50 percent of the students who started but did not complete the program. Clearly, those students who finished the program are going to react differently, as a group, from those who didn't complete the program. And we might, as an agency, learn a great deal from those who didn't finish. From the nature of this evaluation, one might suppose that the educational institution involved was committed to producing what they thought would look like a good evaluation, but it wouldn't pass muster with a critical reviewer.

Subjectivity — introducing our own biases into an evaluation — will often come in when we evaluate our own programs. Particularly if we feel that continued funding depends on producing what looks like a good evaluation.

One way of obtaining a more objective evaluation, and sometimes a more professionally prepared evaluation, is to look to an outside organization to conduct an evaluation for you. You might go to other non-profit agencies, colleges and universities in your community which will work with you in developing an evaluation for your program. Sometimes it is possible to get an outside organization to develop an evaluation design and proposal for evaluation that can be submitted to a funding source, complete with its own budget, along with your proposal. This not only can guarantee a more objective evaluation, but can also add to the credibility of the evaluating institution.

It is essential to build your evaluation into your proposal and to be prepared to implement your evaluation at the same time that you start your program, or before. If you want to determine change along some dimension, then you have got to show where your clients have come from. It is very difficult to start an evaluation at or near the conclusion of a program, for you usually don't know the characteristics of the people you are working with as they existed prior to being in your program.

### An Excellent Program Evaluation

I'd like to give you an example of what I think was a very fine program evaluation. It took a lot of time and resources to conduct, and it may look like a pretty big project in and of itself. That is true. The agency that conducted this evaluation had the resources to do it. But evaluations of this nature may have enough value in and of themselves to be able to be funded quite separately and distinctly from the programs to which they are attached.

Some years ago the Los Angeles County Probation Department operated what was called the Group Guidance Program. Group Guidance was a program that employed "streetwise" Probation Officers as gang workers, with the goal of orienting gangs away from criminal behavior and into more productive activities. Some agencies questioned the effectiveness of the program and an evaluation design was created. (This is not a particularly good practice in setting up evaluations, in that evaluations set up to justify the continued existence of a program, and conducted by the agency itself, tend to be biased in favor of the agency.)

What is interesting is the evaluation design itself. It was an attempt to gather information about the presumed reduction in delinquent behavior among gang members involved in the project, and to put this data into an economic context which would justify the cost of the program. This is the basic evaluation design.

Gangs were identified which had reputations of being violent, moderate and quiet. It was proposed that the violent gangs got into far more trouble than the other two, and that this would be reflected in their court records — they would be arrested more often, would be in jail and juvenile hall more often and for longer periods of time, would spend more time at correctional facilities, etc. The Probation Department, with access to court records, examined the records of all members of these varied gangs. They identified all contacts that a youth could have with one institution or another and then went to each institution, conferred with their business department, and came away with a cost figure, in dollars and cents, that could be attached to a particular entry on a court record. In other words, it cost X dollars for a youth to spend the night in Juvenile Hall and Y dollars for 24 hours in a Probation Camp. Each gang member's record had a dollar value attached to it.

The result of this was the finding that the three kinds of gangs in question did cost the community a varying amount of money, with much higher costs being attributed to the violent gang.

The agency had done a number of things in designing this evaluation. It had established a measurable "index of delinquency" and it had created a "dollar and cents" measure which could demonstrate to the funding source, the Board of Supervisors of the County of Los Angeles, a possible saving which could be realized were the records to show that the decrease in cost for the gangs worked with in the program was greater than the cost of conducting the program itself. Pretty ingenious!

The project proceeded with the involvement of the Group Guidance worker with the most violent gang, the provision of some form of peripheral services to the moderate gang by another agency and no "treatment" at all for the quiet gang.

The evaluation was a log of further contacts by gang members with social agencies, a determination of their cost, and an examination of whether the cost of the gang worker was paid for by the reduction in recorded offenses on the part of gang members with whom he worked.

VI. FUTURE FUNDING

This is the last section of your proposal, but by no means the least important. Increasingly, funding sources want to know how you will continue your program when their grant runs out. This is irrelevant for one-time only grant applications such as requests for vehicles, equipment, etc. But if you are requesting program money, if you are adding to your projects through this proposal, then how will you keep it going next year?

A promise to continue looking for alternate sources of support is not sufficient. You must present a plan that will assure the funding source, to the greatest extent possible, that you will be able to maintain this new program after their grant has been completed. They don't want to adopt you — they don't want you continually on their back for additional funds. Moreover, if you are having problems keeping your current operations supported, you will probably have much more difficulty in maintaining a level of operation which includes additional programs. The funding source may be doing you no favor by supporting a new project and putting you in the position of having to raise even more money next year than you do now.

What is a good method to guarantee continued support for a project? One good way is to get a local institution or governmental agency to agree to continue to support your program, should it demonstrate the desired results. But get such a commitment in writing. A plan to generate funds through the project itself — such as fees for services that will build up over a year or two, subscriptions to publications, etc.—is an excellent plan. The best plan for future funding is the plan that does not require outside grant support.

VII BUDGET

As with proposals themselves, funding source requirements for budgets differ, with foundations requiring less extensive budgets than federal agencies. The following budget design will satisfy most funding sources that allow you to design your own budget and, with minor changes that the sources will tell you about, can be adapted to fit most federal agency requirements. Our recommended budget contains two components — the first is Personnel and the second is Non-Personnel. You can expect that in most social service and related programs, approximately 80 percent of the budget will fall into the three components of the Personnel section.

I. PERSONNEL

A. Wages & Salaries

In this section you list all full and part-time staff in the proposed program. We suggest the following layout:

| (No. of persons in each position) | (Title) | (Monthly salary) | (% time on project) | (No. of mos. employed in grant period) | Total     |         |
|-----------------------------------|---------|------------------|---------------------|--|-----------|---------|
|                                   |         |                  |                     |  | Requested | Donated |

How does this look on a completed budget? Well, if you are employing an Executive Director at a salary of \$1,000 a month, working full-time (100 percent) for the entire grant period (12 months) and you are asking

|   | Requested | Donated |
|---|-----------|---------|
| (1) Executive Director at \$1,000 per mo. (100% time) × 12 mos. | \$12,000  |         |

You can list all of your staff this same way. If any of your staff are being paid out of another source of funds (for example, a staff person assigned to your project by a County agency) then you total up their salary and put it in the "donated" column. This column might also be called "non-federal" share in the case of federal programs, or also "matching" or "in-kind" contribution. Like this:

|   | Requested | Donated |
|---|-----------|---------|
| (2) Counselors at \$700 per mo. (50% time) x 6 mos. |           | \$4,200 |

This means that you will have two half-time counselors on your staff for six months and their salaries are being paid by somebody other than the funding source you are applying to. You still put their full-time salary in the budget (\$700 per month), take half of it (they are only working 50 percent time), multiply the \$350 by the six months they will be working on this project (giving you \$2,100), and multiply by 2 (the number of people employed in this capacity). This gives you a total of \$4,200 of donated counselor services in this project.

What does the \$1,000 per month figure for the salary of the Executive Director represent?

It may represent his or her actual salary for each month of the year. However, particularly in a new program, it may not. Our suggestion is that all organizations develop a five-step salary schedule for each job in the organization. The salary range for an Executive Director in the above agency may look like this:

| Step A    | Step B    | Step C      | Step D      | Step E      |
|-----------|-----------|-------------|-------------|-------------|
| \$900/mo. | \$950/mo. | \$1,000/mo. | \$1,050/mo. | \$1,100/mo. |

If you have developed this kind of salary schedule for each position, then you can place in the monthly salary column of your budget the middle step of the salary range for each position, place an asterisk next to each quoted salary, and a note at the bottom of the salary section telling the reader that all salaries are listed at the middle step of the salary range for that position. Then you can attach your salary schedule to the budget. This method allows for a good deal of flexibility in fixing salaries for individuals that are hired.

For example you may have somebody in mind for the Executive Director's job who is presently earning \$825 per month, and who would be delighted to come to work for you at the first step of the salary range for Executive Director (\$900 per month). On the other hand, there may be an outstanding candidate for the job who is presently earning \$1,000 per month, and who wouldn't come to work for you for less than \$1,050 per month. Using salary range in this manner allows you to employ either person, at the appropriate salary, with the assumption being that all persons' salaries will average out toward the middle of the salary range.

How do you determine what the salary range for an Executive Director for your agency ought to be?

The federal government requires that all of your salaries are comparable to the prevailing practices in similar agencies in your community. To justify the salaries you build into your budget you must obtain information from other local agencies regarding the salaries of persons with job descriptions, qualifications and responsibilities similar to those of the jobs in your agency. You might go to the local city and/or county government, the school district, the United Way or United Fund, etc. By comparing the jobs in your agency with the jobs at other local agencies, you plan a salary for each position, and you keep the "Comparability data" on hand, should you be asked by the funding source to justify your staff salaries.

B. Fringe Benefits

In this section you list all the fringe benefits your employees will be receiving, and the dollar cost of these benefits. Some fringe benefits are mandatory — but these vary from state to state, so you will have to determine what they are for your agency in your state. Mandatory fringe benefits may include State Disability Insurance, Unemployment Compensation, Retirement Contributions, etc. Most nonprofit agencies may vote, when they are started, not to participate in Social Security. These fringe benefits are all based on a percentage of salaries. For example, FICA, which is going up, has been based on 5.85 percent of the first \$10,000 of each person's salary. Therefore, an entry for FICA on your budget might look like this:

|                          | Requested | Donated |
|--------------------------|-----------|---------|
| FICA at 5.85% × \$87,000 | \$5,090   |         |

\$87,000 is the total of all your salaries, up to \$10,800 for any one person.

Some fringe benefits may be paid not on a percentage of salary, but with an absolute dollar amount for each employee. For example:



**CONTINUED**

**1 OF 2**

Health Insurance at \$10 per mo.  $\times$  8 employees  $\times$  12 mos.

| <u>Requested</u> | <u>Donated</u> |
|------------------|----------------|
| \$960            |                |

How do you determine what fringe benefits to provide to employees in your agency?

If you already operate a variety of programs your answer is simple. Employees in a new project receive the same fringe benefits as those you already employ in some other activity. The federal government requires this parity, and it is a good practice. If you are starting a new agency, or haven't formulated a fringe benefit policy yet, then you go to the same kinds of figures as you did when establishing your salary schedule — you provide in fringe benefits what is comparable to the prevailing practice in similar agencies in your community.

### C. Consultants & Contract Services

This is the third and final part of the Personnel section of your budget. In this section you include paid and unpaid consultants, volunteers and services for which you contract. For example, your project may not be large enough to warrant hiring a full-time bookkeeper, and you may want to use a bookkeeping service to keep up your books. An entry in your budget will look like this:

Bookkeeping Service at \$75 per mo.  $\times$  12 mos.

| <u>Requested</u> | <u>Donated</u> |
|------------------|----------------|
|                  |                |

You should be running your two totals columns — requested and donated — through your entire proposal, so you have a choice of where you put the total for this service. If you are going to pay for it, it goes in the "requested" column:

Bookkeeping Service at \$75 per mo.  $\times$  12 mos.

| <u>Requested</u> | <u>Donated</u> |
|------------------|----------------|
| \$900            |                |

If the services are being provided free by a friend of the project then it goes in the "donated" column:

Bookkeeping Service at \$75 per mo.  $\times$  12 mos.

| <u>Requested</u> | <u>Donated</u> |
|------------------|----------------|
|                  | \$900          |

It is important to develop as much donated services and equipment as possible. No funding source likes to feel it is being asked to carry the entire burden of a project. If the project really means something to you and to your community, then you should have been able to develop a substantial "matching" contribution in your budget. Other kinds of contract services that might be included would be for auditing, public relations, etc.

In this section you can include all of your volunteer assistance. How do you value a volunteer's time for budgetary purposes? Well, federal agencies maintain lists of various types of jobs, and assign a value to each hour of volunteer time for each position. For example, the time of a professional Social Worker may be valued at \$7.50 per hour, and would look like this in your budget:

|  | <u>Requested</u> | <u>Donated</u> |
|--|------------------|----------------|
| (1) Volunteer Social Worker at \$7.50 per hr. $\times$ 4 hrs. per wk. $\times$ 40 wks. |                  | \$1,200        |

The figure which you get from a federal agency volunteer valuation list may be less than the actual current hourly salary of the volunteer. In that case, you may use the actual hourly salary, but be prepared to substantiate that figure. Or, the volunteer may have worked as a paid consultant for \$10 per hour. You can use that figure if you can document it.

With all of your volunteers you are required to deliver the promised volunteer services, just as if the funding source was actually paying their salary, and you will be asked to document the work performed by volunteers and keep records of their volunteer time which may be audited in the case of a federal grant.

## II. NON-PERSONNEL

### A. Space Costs

In this section you list all of the facilities you will be using, both those on which you pay rent and those which are being donated for your use. Rent you pay, or the valuation of donated facilities, must be comparable to prevailing rents in the geographic area in which you are located. In addition to the actual rent, you should also include the cost of utilities, maintenance services and renovations, if they are absolutely essential to your program.

### B. Rental, Lease or Purchase of Equipment

Here you list all of the equipment, donated or to be purchased, that will be used in the proposed program. This includes office equipment, typewriters, Xerox machines, etc. Let discretion be your guide in this section. Try to obtain as much donated equipment as you can. It not only lowers the cost of the program, but it shows the funding source that other people are involved in trying to make the program happen.

### C. Consumable Supplies

This means supplies such as paper clips, paper, pens, pencils, etc. A reasonable figure to use is \$75 per year for each of your staff. If you have any unusual needs for supplies — perhaps you are making a workroom available for community persons — then put in a separate figure for that. For example:

|   | <u>Requested</u> | <u>Donated</u> |
|---|------------------|----------------|
| 18 staff $\times$ \$75 per year   | \$600            |                |
| Supplies for community work-room $\times$ \$30 per mo. $\times$ 12 mos. |                  | \$360          |

### D. Travel

Divide the section up into local and out-of-town travel. Don't put in any big lump sums which will require interpretation or raise a question at the funding source. Remember, on local mileage all of your staff won't be driving on the job, and not all who do will drive the same amount. For example

|  | <u>Requested</u> | <u>Donated</u> |
|--|------------------|----------------|
| Out-of-town travel   |                  |                |
| (1) Community Organizer to NACD training program in Detroit, July 5-8, \$242 round-trip airfare plus 4 days per diem at \$25 per day |                  | \$342          |

|   | <u>Requested</u> | <u>Donated</u> |
|---|------------------|----------------|
| Local travel  |                  |                |
| Exec. Director at 100 mi. per $\times$ 12 mos. $\times$ 10¢ per mi.               | \$120            |                |
| (2) Community Organizers at 500 mi. per mo. $\times$ 12 mos. $\times$ 10¢ per mi. |                  | \$1,200        |

Out-of-town travel is a very vulnerable section of your budget. Plan and justify as completely as you can.

### E. Telephones

Remember installation costs! Put in the number of instruments you will need times the expected monthly cost per instrument. Justify any extensive out-of-town calling that you will have to do.

### F. Other Costs

This catch-all category can include the following:

1. Postage
2. Fire, theft and liability insurance
3. Dues in professional associations paid by the agency
4. Subscriptions
5. Publications, the cost of which may be broken up into:
  - a. printing
  - b. typesetting

- c. addressing, if done by a service
- d. mailing (separate and distinct from office postage above)
- 6. Any other items that don't logically fit elsewhere

#### A NOTE about Indirect Costs

Some programs, particularly those conducted within a large institution, such as a college or university, also include an indirect cost figure. Indirect costs are paid to the host institution in return for its rendering certain services to the project. The host may manage the bookkeeping and payroll, assume some responsibility for overseeing the project, take care of maintenance and utility costs, etc. The first time an institution conducts a federally funded program it projects what these indirect costs will be. Subsequently there is an audit by the federal government, and an indirect cost figure is fixed which will hold for the institution for all subsequent federal grants until the time of the next audit.

#### ADDENDUM—C.2

#### LIST OF FEDERAL DOMESTIC ASSISTANCE PROGRAMS BY AGENCY

*The alphabet(s) in parentheses following the program title, shows the type(s) of assistance available through that program. The alphabet codes with accompanying types of assistance are as follows: A—Formula Grants; B—Project Grants; C—Direct Payments for Specified Use; D—Direct Payments with Unrestricted Use; E—Direct Loans; F—Guaranteed/Insured Loans; G—Insurance; H—Sale, Exchange, or Donation of Property and Goods; I—Use of Property, Facilities, and Equipment; J—Provision of Specialized Services; K—Advisory Services and Counseling; L—Dissemination of Technical Information; M—Training; N—Investigation of Complaints; O—Federal Employment; P—Research Contracts.*

#### DEPARTMENT OF COMMERCE

##### NATIONAL TECHNICAL INFORMATION SERVICE

- 11.650 National Technical Information Service (L)

#### DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

##### PUBLIC HEALTH SERVICE—I

- 13.210 Comprehensive Public Health Services—Formula Grants (A)
- 13.217 Family Planning Projects (B)
- 13.224 Community Health Centers (B)
- 13.226 Health Services Research and Development—Grants and Contracts (B,P)
- 13.227 Health Statistics Training and Technical Assistance (K,M)
- 13.231 Maternal and Child Health Research (B)
- 13.232 Maternal and Child Health Services (A,B)
- 13.233 Maternal and Child Health Training (B)
- 13.235 Drug Abuse Community Service Programs (B)
- 13.242 Mental Health Research Grants (B)
- 13.254 Drug Abuse Demonstration Programs (B)
- 13.257 Alcohol Formula Grants (A)
- 13.259 Mental Health—Children's Services (B)
- 13.260 Family Planning Services—Training Grants and Contracts (B,P)
- 13.269 Drug Abuse Prevention Formula Grants (A)
- 13.273 Alcohol Research Programs (B,P)
- 13.274 Alcohol Clinical or Service Related Training Programs (B)
- 13.275 Drug Abuse Education Programs (B)
- 13.277 Drug Abuse Research Scientist Development and Research Scientist Awards (B)
- 13.278 Drug Abuse National Research Service Awards for Research Training (B)
- 13.279 Drug Abuse Research Programs (B,P)
- 13.280 Drug Abuse Clinical or Service Related Training Programs (B)
- 13.281 Mental Health Research Scientist Development and Research Scientist Awards (B)

- 13.282 Mental Health National Research Service Awards for Research Training (B)
- 13.290 Special Alcoholism Projects to Implement the Uniform Act (B)
- 13.293 State Health Planning and Development Agencies (B)
- 13.294 Health Planning—Health Systems Agencies (B)
- 13.295 Community Mental Health Centers—Comprehensive Services Support (B)
- 13.297 National Research Service Awards (B)

##### OFFICE OF EDUCATION

- 13.491 University Community Service—Grants to States (A)
- 13.557 University Community Service—Special Projects (B)
- 13.563 Community Education (B)
- 13.564 Consumers' Education (B)

##### OFFICE OF HUMAN DEVELOPMENT SERVICES

- 13.600 Administration for Children, Youth and Families—Head Start (B)
- 13.608 Administration for Children, Youth and Families—Child Welfare Research and Demonstration (B,P)
- 13.623 Administration for Children, Youth and Families—Runaway Youth (B)
- 13.624 Rehabilitation Services and Facilities—Basic Support (A)
- 13.628 Child Abuse and Neglect Prevention and Treatment (B,P)
- 13.636 Special Programs for the Aging—Research and Development (B,P)
- 13.637 Special Programs for the Aging—Training (B)
- 13.640 Administration for Children, Youth and Families—Youth Research and Development (B,P)
- 13.642 Social Services for Low Income and Public Assistance Recipients (A)
- 13.644 Public Assistance Training Grants—Title XX (A)
- 13.645 Child Welfare Services—State Grants (A)
- 13.646 Work Incentives Program—Child Care—Employment Related Supportive Services (A)
- 13.647 Social Services Research and Demonstration (B,P)
- 13.648 Child Welfare Services Training Grants (B)
- 13.649 Rehabilitation Services and Facilities—Innovation and Expansion (A)
- 13.650 Special Programs for the Aging—Title II, Section 204, National Clearinghouse on Aging (L,M)

##### OFFICE OF THE SECRETARY

- 13.678 Consumer Affairs (K,L)
- 13.679 Child Support Enforcement (A,J)

##### NATIONAL INSTITUTE OF EDUCATION

- 13.950 Educational Research and Development (B,P)

#### DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

#### COMMUNITY PLANNING AND DEVELOPMENT

- 14.203 Comprehensive Planning Assistance (B)
- 14.218 Community Development Block Grants/Entitlement Grants (A)
- 14.219 Community Development Block Grants/Discretionary Grants (B)
- 14.221 Urban Development Action Grants (B)

#### OFFICE OF FAIR HOUSING AND EQUAL OPPORTUNITY

- 14.440 Equal Opportunity in Housing (N)

#### OFFICE OF POLICY DEVELOPMENT AND RESEARCH

- 14.506 General Research and Technology Activity (B,P)

#### DEPARTMENT OF JUSTICE

##### DRUG ENFORCEMENT ADMINISTRATION

- 16.001 Law Enforcement Assistance—Narcotics and Dangerous Drugs—Laboratory Analysis (J,K,L)
- 16.002 Law Enforcement Assistance—Narcotics and Dangerous Drugs—State Legislation (K)
- 16.003 Law Enforcement Assistance—Narcotics and Dangerous Drugs—Technical Laboratory Publications (L)
- 16.004 Law Enforcement Assistance—Narcotics and Dangerous Drugs—Training (M)
- 16.005 Public Education on Drug Abuse—Technical Assistance (K)

##### COMMUNITY RELATIONS SERVICE

- 16.200 Community Relations Service (K)

##### LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

- 16.500 Law Enforcement Assistance—Comprehensive Planning Grants (A,B)
- 16.501 Law Enforcement Assistance—Discretionary Grants (B)
- 16.502 Law Enforcement Assistance—Improving and Strengthening Law Enforcement and Criminal Justice (A,B)
- 16.503 Law Enforcement Assistance—Technical Assistance (B,K,L,M)
- 16.504 Law Enforcement Education Program—Student Financial Aid (C)
- 16.505 Law Enforcement Research and Development—Graduate Research Fellowships (B)
- 16.507 Law Enforcement Research and Development—Project Grants (B,P)
- 16.508 Law Enforcement Research and Development—Visiting Fellowships (B)
- 16.509 Criminal Justice—Statistics Development (B)
- 16.510 Statistics on Crime and Criminal Justice (L)
- 16.511 Law Enforcement Assistance—Educational Development (B)
- 16.512 Law Enforcement Assistance—Internships (B)
- 16.513 Law Enforcement Assistance—Training (B)

- 16.514 Organized Crime Prosecutorial Training (B,M)
- 16.515 Criminal Justice Systems Development (B)
- 16.516 Law Enforcement Assistance—Juvenile and Delinquency Prevention Act Allocation to States (A)
- 16.517 Law Enforcement Assistance Administration—OJJDP Special Emphasis Prevention and Treatment Programs (B)
- 16.518 Law Enforcement Assistance Administration—JJDP National Institute (B)
- 16.519 Law Enforcement Assistance Administration—Office of Community Anti-Crime Programs (B)
- 16.520 Public Safety Officers' Benefits Program (D)
- 16.521 Crime Prevention—Mobilization of Public and Non—Public Resources (A)

#### DEPARTMENT OF LABOR

##### EMPLOYMENT AND TRAINING ADMINISTRATION

- 17.200 Apprenticeship Outreach (B)
- 17.201 Apprenticeship Training (K)
- 17.207 Employment Service (B,J,K)
- 17.211 Job Corps (B)
- 17.218 Doctoral Dissertation and Small Grant Research Projects Programs (B)
- 17.219 Institutional Grant Program (B)
- 17.228 National On-the-Job Training (B)
- 17.232 Comprehensive Employment and Training Programs (A,B)
- 17.233 Employment and Training Research and Development Projects (B)
- 17.235 Senior Community Service Employment Program (B)
- 17.236 New Initiatives in Apprenticeship (B)
- 17.239 Youth Community Conservation Improvement Program (A,B)
- 17.240 Youth Employment and Training (A,B)
- 17.241 Youth Incentive Entitlement Pilot Projects (B)
- 17.242 Summer Programs for Economically Disadvantaged Youth (A,B)

##### OFFICE OF PERSONNEL MANAGEMENT

- 27.001 Federal Civil Service Employment (O)
- 27.002 Federal Employment Assistance for Veterans (O)
- 27.003 Federal Employment for Disadvantaged Youth—Part—Time (O)
- 27.004 Federal Employment for Disadvantaged Youth—Summer (O)
- 27.005 Federal Employment for the Handicapped (O)
- 27.006 Federal Summer Employment (O)
- 27.008 Intergovernmental Cooperation in Recruiting and Examining (J)
- 27.009 Training Assistance to State and Local Governments (K,L,M)
- 27.010 State and Local Personnel Merit Systems and Other Technical Assistance (K,L)
- 27.011 Intergovernmental Mobility of Federal, State, and Local Employees (J,K)
- 27.012 Intergovernmental Personnel Grants (A,B)
- 27.013 Presidential Management Intern Program (J)

##### FEDERAL MEDIATION AND CONCILIATION SERVICE

- 34.001 Labor Mediation and Conciliation (J,K)

#### GENERAL SERVICES ADMINISTRATION

- 39.009 Consumer Information Center (L)

#### NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

##### NATIONAL ENDOWMENT FOR THE HUMANITIES

- 45.104 Promotion of the Humanities—Media Grants (B)
- 45.105 Promotion of the Humanities—General Research Program (B)
- 45.109 Promotion of the Humanities—Fellowships and Stipends for the Professions (B)
- 45.113 Promotion of the Humanities—Public Program Development (B)
- 45.123 Promotion of the Humanities—Consultant Grant Program (B)
- 45.128 Promotion of the Humanities—Planning and Assessment Studies (B)

##### NATIONAL SCIENCE FOUNDATION

- 47.009 Scientific Personnel Improvement (B)

- 47.036 Intergovernmental Programs (B)
- 47.038 Science and Society Program (B)
- 47.041 Applied Science and Research Applications (B,P)
- 47.048 Science Education Research and Development and Resources Improvement (B)
- 47.051 Biological, Behavioral, and Social Sciences (B)

#### COMMUNITY SERVICES ADMINISTRATION

- 49.002 Community Action (B)
- 49.010 Older Persons Opportunities and Services (B)
- 49.011 Community Economic Development (B)
- 49.013 State Economic Opportunity Offices (B)

#### ACTION

- 72.001 The Foster Grandparent Program (B)
- 72.002 Retired Senior Volunteer Program (B)
- 72.003 Volunteers in Service to America (B,J,K)
- 72.004 University Year for Action (B)
- 72.005 National Student Volunteer Program (J,K,L,M)
- 72.008 The Senior Companion Program (B)
- 72.009 The Youth Challenge Program (B)
- 72.010 Mini—Grant Program (B)
- 72.011 State Volunteer Services Coordinator Program (B)

**ADDENDUM—C.3**

**LIST OF FAVORABLE FEDERAL DOMESTIC ASSISTANCE PROGRAMS**

**FDAC #**

**13.557 TITLE:** University Community Service - Special Projects

**FEDERAL AGENCY:** Office of Education, Dept. of Health, Education, and Welfare

**RELATED INTERESTS:** Special Projects Developed to Provide New Approaches, Methods, and Materials for Increasing the Effectiveness of Programs of Community Service; Setting up a Consumer Law Training Center; Developing Models for Reducing Citizen Alienation from Governmental Processes at the Local and State levels.

**13.564 TITLE:** Consumer Education

**FEDERAL AGENCY:** Office of Education, Dept. of Health, Education, and Welfare

**RELATED INTERESTS:** Expansion or Development of Pilot Programs of Consumer Education in Community Programs Potentially Serving Persons of All Ages Within the Community.

**13.647 TITLE:** Social Services Research and Demonstration

**FEDERAL AGENCY:** Administration for Public Services, Dept. of Health, Education, and Welfare

**RELATED INTERESTS:** To Discover, Test, Demonstrate, and Promote Utilization of New Social Service Concepts Which Will Provide Service to Vulnerable Populations Such as the Poor, the Aged, Children and Youth.

**13.678 TITLE:** Consumer Affairs

**FEDERAL AGENCY:** Office of the Secretary, Dept. of Health, Education, and Welfare

**RELATED INTERESTS:** To Broaden and Improve Consumer Complaint Handling; Encourage Resolution of Consumer Issues by State and Local Governments.

**16.501 TITLE:** Law Enforcement Assistance - Discretionary Grants

**FEDERAL AGENCY:** Law Enforcement Assistance Administration, Dept. of Justice

**RELATED INTERESTS:** Demonstration Projects Aimed at Citizen Initiatives and Action.

**6.502 TITLE:** Law Enforcement Assistance - Improving and Strengthening Law Enforcement and Criminal Justice

**FEDERAL AGENCY:** Law Enforcement Assistance Administration, Dept. of Justice

**RELATED INTERESTS:** Improvement and Strengthening of the Criminal Justice System Through Diversionary Programs.

**FDAC #**

**16.517 TITLE:** Law Enforcement Assistance Administration - Office of Juvenile Justice and Delinquency Prevention

**FEDERAL AGENCY:** Law Enforcement Assistance Administration, Dept. of Justice

**RELATED INTERESTS:** Develop and Implement Programs Which Utilize Community-Based Alternatives to Traditional Forms of Official Juvenile Justice System Processing.

**16.518 TITLE:** Law Enforcement Assistance Administration - Juvenile Justice and Delinquency Prevention National Institute

**FEDERAL AGENCY:** Law Enforcement Assistance Administration, Dept. of Justice

**RELATED INTERESTS:** Development or Improvement of Programs which Show Promise of Treating Juvenile Delinquency; to Provide Training or Distribute Information to Those Whose Activities Related to Juvenile Delinquency Programs.

## ADDENDUM—C.4

### EXAMPLE OF A F.D.A. "WRITE-UP"

#### 13.647 SOCIAL SERVICES RESEARCH AND DEMONSTRATION [AFS RESEARCH]

**FEDERAL AGENCY:** ADMINISTRATION FOR PUBLIC SERVICES, OFFICE OF HUMAN DEVELOPMENT SERVICES, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

**AUTHORIZATION:** Social Security Act, as amended, Title XI, Sections 1110 and 1115; Public Laws 86-778, 90-248, and 88-452; 42 U.S.C. 626, 1310, and 1315.

**OBJECTIVES:** To discover, test, demonstrate, and promote utilization of new social service concepts which will provide service to dependent and vulnerable populations such as the poor, the aged, children and youth.

**TYPES OF ASSISTANCE:** Project Grants; Research Contracts.

**USES AND USE RESTRICTIONS:** Grants and contracts are awarded for innovative research and demonstrations of regional and national significance that are responsive to OHDS program priorities in social services, child welfare, and for coordination, administration, and provision of services to these target populations. Funds authorized by Section 1115 of the Social Security Act are limited to State public assistance agencies. All applicants must meet standards of excellence in research or evaluation design.

**JOINT FUNDING:** This program is considered suitable for joint funding with closely related Federal financial assistance programs in accordance with the provisions of OMB Circular No. A-111. For programs that are not identified as suitable for joint funding, the applicant may consult the headquarters or field office of the appropriate funding agency for further information on statutory or other restrictions involved.

#### ELIGIBILITY REQUIREMENTS:

**Applicant Eligibility:** Grants may be made to states and non profit organizations. Contracts may be executed with nonprofit or profit organizations. Grants cannot be made directly to individuals.

**Beneficiary Eligibility:** The poor, the aged, children and youth.

**Credentials/Documentation:** Applicants should present written evidence of other agencies' willingness to cooperate when the project involved their cooperation or the utilization of their facilities or services. Costs will be determined in accordance with Part 79 of Title 45 of the Code of Federal Regulation, Appendix C of which implements the requirements of FMC 74-4.

#### APPLICATION AND AWARD PROCESS:

**Preapplication Coordination:** The OHDS research and demonstration strategy for each fiscal year is publicized through central and regional office meetings, "Commerce Business Daily", "Federal Register," issuance of grant guidelines and requests for proposals, and other appropriate means. Some funds are reserved for creative, unsolicited proposals. The standard application forms as furnished by the Federal agency and required by OMB Circular No. A-102 must be used for this program.

**Application Procedure:** Application forms are submitted to the Grants and Contract Management Division, OHDS HEW, 330 C Street, S.W., Room 1427, Washington, DC 20201. This program is subject to the provisions of OMB Circular No. A-110.

**Award Procedure:** Official notice of approved applications is made through issuance of a Notice of Grant Award.

**Deadlines:** Established when grants and contracts are solicited by Grant Guidelines and Request for Proposals. Unsolicited applications may be submitted any time.

**Range of Approval/Disapproval Times:** Range from 30 to 365 days. Generally, solicited grants and contracts will be acted upon within 60 days.

**Appeals:** No formal appeals procedures. If an application is disapproved, the reasons for disapproval will be fully stated. In the case of unsolicited proposals, applicants are free to resubmit applications with attention to the changes suggested proposals, reworking time may be allowed to prepare addenda which clarify various aspects of projects.

**Renewals:** Extensions and continuations are available if formally applied for and approved. If an application is recommended for approval for 2 or more years, the grantee or contractor must submit each year a formal request for continuation accompanied by a progress report which will be evaluated prior to a recommendation of continuation.

#### ASSISTANCE CONSIDERATIONS:

**Formula and Matching Requirements:** Grantees are required to share in the cost of projects. The average cost sharing is 10 percent of total project costs (not for 1115 projects). Although matching funds for 1115 projects can be provided, they are not required.

**Length and Time Phasing of Assistance:** Funds are granted on a 12-month basis, with support beyond the first year contingent upon acceptable evidence of satisfactory progress, continuing program relevance, and availability of funds.

#### POST ASSISTANCE REQUIREMENTS:

**Reports:** Reports of progress and expenditures are required on all projects. Comprehensive final reports are due on termination dates of the projects.

**Audits:** All fiscal transactions identifiable to Federal financial assistance are subject to audit by HEW audit agency.

**Records:** Proper accounting records, identifiable by grant or contract number and including all receipts and expenditures, must be maintained for 3 years. Subsequent to audit, they must be maintained until all questions are resolved.

#### FINANCIAL INFORMATION:

**Account Identification:** 75-0581-0-1-999.

**Obligations:** (Grants and research contracts) FY 77 \$2,975,000; FY 78 est \$2,975,000; and FY 79 \$2,975,000.

**Range and Average of Financial Assistance:** Grants and contracts range from \$10,000 to \$300,000. Individual project grants average about \$65,000 a year. However, these figures vary with type of program.

**PROGRAM ACCOMPLISHMENTS:** In the fiscal year 1978, 29 projects are expected to be funded.

**REGULATIONS, GUIDELINES, AND LITERATURE:** Grants Administration policies may be obtained from the Grants and Contracts Management Division, OHDS, 200 Independence Avenue, S.W. Room 345F, Washington, DC 20201.

#### INFORMATION CONTACTS:

**Regional or Local Office:** Appropriate OHDS Regional R&D Specialist (see address appendix for Regional Offices).

**Headquarters Office:** Philip Grossmann, Chief, Research and Demonstrations Branch, Program Monitoring and Evaluation Division, Administration for Public Services, Department of

Health, Education, and Welfare, 330 C Street S.W., Washington, DC 20201. Telephone: (202) 245-0877.  
**RELATED PROGRAMS:** 13.431, Educationally Deprived Children in State Administered Institutions Serving Neglected

or Delinquent Children; 13.608, Administration for Children, Youth and Families Child Welfare Research Demonstration Grants; 13.642, Social Services for Low Income and Public Assistance Recipients; 13.645, Child Welfare Services.



# ADDENDUM C.5 PHILANTHROPIC FOUNDATIONS IN FLORIDA

| FOUNDATION NAME  | GRANTS PAID        | CARE OF NAME  | STREET                              | CITY                 | ZIP            |
|--|--------------------|---|-------------------------------------|----------------------|----------------|
| BUSH CHARITABLE FOUNDATION INC, EDYTH DAVIS FOUNDATION NO 3, THE ARTHUR VINING | 2340749<br>1958388 | 650 BARNETT BANK BLDG<br>% SE FIRST NATIONAL<br>BANK OF MIAMI | P. O. DRAWER F<br>P. O. BOX 2500    | WINTER PARK<br>MIAMI | 32789<br>33131 |
| SELBY FOUNDATION, WILLIAM G SELBY AND MARIE                                    | 1646797            | % SOUTHEAST BANKS TRUST<br>CO                                 | P. O. BOX 267                       | SARASOTA             | 33578          |
| AURORA FOUNDATION  | 1376786            |   | P. O. BOX 1894                      | BRADENTON            | 33506          |
| GOODWIN FOUNDATION OF FORT, LEO  | 901320             |   | 1400 NW 62ND ST                     | FT LAUDERDALE        | 33309          |
| WHITEHALL FOUNDATION INC   | 738141             |   | 249 ROYAL PALM WAY                  | PALM BEACH           | 33480          |
| CRANE FOUNDATION, RAYMOND E AND ELLEN F  | 685288             |   | 2900 FIRST FEDERAL BLDG             | MIAMI                | 33131          |
| MCINTOSH FOUNDATION  | 650460             |   | 170 OKEECHOBEE BLVD                 | WEST PALM BEACH      | 33401          |
| PHILLIPS FOUNDATION, DR P  | 648807             |   | P. O. BOX 3753                      | ORLANDO              | 32802          |
| LETOURNEAU FOUNDATION  | 571200             |   | 341 N MILLS AVE                     | ORLANDO              | 32803          |
| WINN-DIXIE STORES FOUNDATION   | 524923             |   | 5050 EDGEWOOD COURT                 | JACKSONVILLE         | 32205          |
| POYNTER FUND   | 508856             |   | 490 FIRST AVENUE SOUTH              | ST PETERSBURG        | 33701          |
| CONN MEMORIAL FOUNDATION INC   | 362031             |   | 512 FLORIDA AVE P. O. BOX<br>229    | TAMPA                | 33601          |
| ALFRED I DUPONT FOUNDATION   | 325649             |   | P. O. BOX 1380                      | JACKSONVILLE         | 32201          |
| DUNSPAUGH-DALTON FOUNDATION INC  | 317000             | FIRST FEDERAL BLDG<br>SUITE 2550                              | 1 SE THIRD AVE                      | MIAMI                | 33132          |
| TRUST UNDER ARTICLE SIXTH OF THE WILL OF ELEANOR E RITCHEY                     | 295457             | % BROWARD NATIONAL BANK                                       | P. O. BOX 14728                     | FORT LAUDERDALE      | 33302          |
| EAGLES MEMORIAL FOUNDATION INC   | 260840             |   | 4710 14TH ST WEST                   | BRADENTON            | 33511          |
| UNITED STATES SUGAR CORPORATION CHARITABLE TRUST                               | 257358             |   | P. O. DRAWER 1207                   | CLEWISTON            | 33440          |
| GRIFFIS FOUNDATION INC   | 254241             | % C MERRILL BRANCH  | 44 COCOANUT ROW                     | PALM BEACH           | 33480          |
| HOLLADAY FOUNDATION NO 2 INC, DURAND A   | 248285             |   | 5915 PONCE DE LEON BLVD<br>SUITE 60 | CORAL GABLES         | 33146          |
| HOLLADAY FOUNDATION NO 1 INC, DURAND A   | 248071             |   | 5915 PONCE DE LEON BLVD<br>SUITE 60 | CORAL GABLES         | 33146          |
| BASTIEN FOUNDATION   | 242000             |   | 66991 W BROWARD BLVD                | FT LAUDERDALE        | 33317          |
| NATIONAL MEDICAL CENTER OF ST PETERSBURG INC                                   | 0                  |   | 3125 5TH AVE N                      | ST PETERSBURG        | 33705          |
| ANIMAL RESCUE FOUNDATION INC   | 0                  |   | P. O. BOX 613                       | OCALA                | 32670          |
| ONE TO ONE VOLUNTEER TUTORS INC  | 0                  | % G SCHENCK   | 1408 S BAYSHORE DR                  | MIAMI                | 33156          |
| ISGETTE FDN INC, LAWRENCE B  | 0                  |   | 4160 RAVENSWOOD ROAD                | FORT LAUDERDALE      | 33312          |
| SARASOTA BANK AND TRUST COMPANY STUDENT LOAN FOUNDATION                        | 0                  | P. O. BOX 4295  | ELLIS SARASOTA BANK AND<br>TRUST CO | SARASOTA             | 33578          |
| FELLOWS MEMORIAL FUND, J HUGH AND EARLE W                                      | 0                  |   | P. O. BOX 12950                     | PENSACOLA            | 32576          |
| CATHEDRAL FOUNDATION   | 0                  | % J S TRUMBOWER   | 33 E ROBINSON ST                    | ORLANDO              | 32801          |
| HOLLAND & KNIGHT FOUNDATION  | 0                  |   | P. O. BOX 1068                      | BARTOW               | 33830          |
| GADSDEN EDUCATIONAL FOUNDATION   | 0                  |   | 4 EAST WASHINGTON<br>STREET         | QUINCY               | 32351          |
| MANATEE RIVER PRAM FLEET   | 0                  |   | P. O. BOX 699                       | BRADENTON            | 33505          |
| UNGAR-ABESS FOUNDATION   | 0                  |   | CITY NATIONAL BANK BLDG             | MIAMI                | 33101          |
| LIPTON FOUNDATION, JOSEPH M  | 0                  |   | DADE FEDERAL BUILDING               | MIAMI                | 33131          |
| LOWRY FOUNDATION INC, SUMTER L   | 0                  |   | 3622 HENDERSON BLVD                 | TAMPA                | 33609          |
| ZIEGLER TRUST, BESSIE M  | 0                  |   | 170 EAST WASHINGTON<br>STREET       | ORLANDO              | 32801          |
| GLASSMAN RESEARCH FOUNDATION INC, JACOB A                                      | 0                  |   | 600 S SHORE DR                      | MIAMI BEACH          | 33141          |
| TOUCHBERRY RESEARCH FOUNDATION INC   | 0                  |   | 7185 BOCOLINK CT                    | LAKE WORTH           | 33460          |
| MERRICK MANOR FOUNDATION INC   | 0                  | % W L PHILBRICK   | 837 PONCE DE LEON BLVD              | CORAL GABLES         | 33134          |
| CARTER FOUNDATION INC, GEORGE B  | 0                  |   | 32 WEST GORE STREET                 | ORLANDO              | 32802          |
| ALDERMAN MEMORIAL TRUST, ROSSIE EVANS  | 0                  | % TR DEPT THE FIRST<br>NATL BANK                              | 2400 FIRST STREET P. O.<br>BOX 130  | FT MYERS             | 33902          |

| FOUNDATION NAME  | GRANTS PAID | CARE OF NAME                               | STREET                                | CITY            | ZIP   |
|--|-------------|--|---------------------------------------|-----------------|-------|
| SAM R MARKS TRUST U/W  | 215562      |  | 231 E FORSYTH ST PO BOX 447           | JACKSONVILLE    | 32201 |
| HECHT FAMILY FOUNDATION  | 196608      |  | 401 NW 38TH COURT                     | MIAMI           | 33135 |
| GUSMAN FOUNDATION INC, MAURICE                                 | 168002      |  | SUITE 1136 INGRAHAM BLDG              | MIAMI           | 33131 |
| BICKEL CHARITABLE TRUST, KARL A                                | 165000      |  | PO BOX 2018                           | SARASOTA        | 33578 |
| WALTER CORPORATION FOUNDATION, JIM                             | 155372      |  | P. O. BOX 22601 1500 N DALE MABRY HWY | TAMPA           | 33622 |
| DUDA FOUNDATION  | 149495      | % J K LASSER & COMPANY                     | BOX 257                               | OVIEDO          | 32765 |
| KIPNIS FAMILY FOUNDATION, SAMUEL                               | 142558      | % MORRIS ENGELBERG                         | 2401 INDEPENDENT SQUARE               | JACKSONVILLE    | 32202 |
| ECHLIN FOUNDATION  | 138380      |  | 125 WORTH AVE                         | PALM BEACH      | 33480 |
| ECKERD CORPORATION FOUNDATION, JACK                            | 127654      |  | 2120 US HIGHWAY 19 SOUTH              | CLEARWATER      | 33516 |
| SWISHER FOUNDATION INC, CARL S                                 | 125675      |  | P O BOX 2230                          | JACKSONVILLE    | 32206 |
| WOLFSON FAMILY FOUNDATION INC                                  | 121405      |  | P. O. BOX 4                           | JACKSONVILLE    | 32201 |
| BROAD FOUNDATION INC, SHEPARD                                  | 117702      | BARNETT BANK BLDG                          | 1108 KANE CONCOURSE                   | BAY HARBOR IS   | 33154 |
| LAW FOUNDATION INC, ROBERT O                                   | 115724      |  | 2120 N E 21ST ST                      | FT LAUDERDALE   | 33304 |
| ROSENBERG FOUNDATION INC, WILLIAM J & TINA                     | 113000      | % SOUTHEAST FIRST NATL BK OF MIAMI TR DEPT | 100 BISCAYNE BLVD                     | MIAMI           | 33131 |
| SAMPLE TRUST 2, ADRIAN M                                       | 105005      | % SUN BANK OF ST. LUCIE COUNTY             |                                       | FT PIERCE       | 33450 |
| PHIPPS FLORIDA FOUNDATION                                      | 104800      | % BENJAMIN K PHIPPS                        | P O BOX 1351                          | TALLAHASSEE     | 32302 |
| RIVER BRANCH FOUNDATION  | 101633      |  | 1514 NIRA STREET                      | JACKSONVILLE    | 32207 |
| BLANK & FAMILY FOUNDATION, SAMUEL                              | 89250       | 11077 NW 36 AVENUE                         | PO BOX 680310                         | MIAMI           | 33168 |
| TURNER FOUNDATION INC, ROBERT LEE                              | 88706       |  | 300 S OCEAN BLVD                      | PALM BEACH      | 33480 |
| CHASTAIN CHARITABLE FOUNDATION, ROBERT LEE CHASTAIN & THOMAS M | 88500       | % ATLANTIC NATIONAL BANK OF WEST PALM      | DRAWER G                              | WEST PALM BEACH | 33402 |
| DAVIS FOUNDATIONS, ARTHUR VINING                               | 86000       |  | FIRST NATIONAL BANK BLDG SUITE 1714   | MIAMI           | 33101 |
| YABLICK CHARITIES INC  | 83155       |  | 301 ARTHUR GODFREY ROAD               | MIAMI BEACH     | 33140 |
| DAVIS FOUNDATION INC, TINE WAYNE                               | 82180       |  | 5050 EDGEWOOD COURT                   | JACKSONVILLE    | 32205 |
| ADAMS FOUNDATION INCORPORATED, ARTHUR F                        | 82160       | % R. G. BARRS                              | 444 BRICKELL AVE THIRD FLOOR          | MIAMI           | 33131 |
| BAY BRANCH FOUNDATION  | 79387       | % ANTHONY J BEISLER                        | 1650 NE 26TH ST                       | FORT LAUDERDALE | 33306 |
| SOREF CHARITABLE TRUST, SAMUEL M                               | 78983       |  | 3850 GALT OCEAN DR                    | FT LAUDERDALE   | 33308 |
| RINKER COMPANIES FOUNDATION INC                                | 78623       |  | 433 SEVENTH STREET                    | WEST PALM BEACH | 33402 |
| FALK MANDEL CHARITY FOUNDATION INC                             | 76300       | % FIRST NATIONAL BANK OF TAMPA             | P O BOX 1810                          | TAMPA           | 33601 |
| WENTWORTH FOUNDATION INC                                       | 74250       |  | PO BOX 6316                           | CLEARWATER      | 33518 |
| LEE FOUNDATION INC, LOUIS F AND SELMA                          | 72750       |  | 1750 RINGLING BLVD PO BOX 3979        | SARASOTA        | 33578 |
| DUPONT AWARDS FOUNDATION, ALFRED I                             | 67750       | % TRUST DEPT FLORIDA FIRST NATL BANK OF    | GENERAL MAIL CENTER                   | JACKSONVILLE    | 32231 |
| PARSONS FOUN INC, VERA DAVIS                                   | 67200       |  | 5050 EDGEWOOD CT                      | JACKSONVILLE    | 32205 |
| BUCKNER FOUNDATION, THAD & LOCA LEE                            | 67146       | % ATLANTIC NATL BK JACKSONVILLE TTE        | TRUST DEPT                            | JACKSONVILLE    | 32203 |
| MCARTHUR FOUNDATION INC, J N                                   | 64711       |  | 5851 NORTH EAST 2ND AVENUE            | MIAMI           | 33138 |
| TRUST UNDER THE WILL OF HYMAN C BERKOWITZ                      | 63745       |  | P. O. BOX 61000                       | NORTH MIAMI     | 33161 |
| COMMUNITY SERVICE FOUNDATION                                   | 61811       |  | 155 BLUFF VIEW DR APT 202             | LARGO           | 33540 |
| TRUST U/W JAMES EBLEN  | 61234       |  | 210 BAYSHORE VILLAS II BELLEVIEW BLVD | BELLEAIR        | 33516 |

| FOUNDATION NAME                                   | GRANTS<br>PAID | CARE OF NAME                                   | STREET                                | CITY            | ZIP   |
|---|----------------|--|---------------------------------------|-----------------|-------|
| BAKER FOUNDATION INC, GEORGE T                    | 59656          |  | P O BOX 370606 BUENA<br>VISTA STATION | MIAMI           | 33137 |
| STUART FOUNDATION INC, EDWARD C                   | 58000          |  | PO BOX 250                            | BARTOW          | 33830 |
| MEYER FOUNDATION, BARON DE HIRSCH                 | 57083          |  | 407 LINCOLN ROAD                      | MIAMI BEACH     | 33139 |
| DAVIS FAMILY FOUNDATION, ELSWORTH                 | 56225          |  | 5050 EDGEWOOD COURT                   | JACKSONVILLE    | 32205 |
| THOMAS FOUNDATION INC, DOROTHY                    | 53875          |  | P O BOX E                             | TAMPA           | 33675 |
| EATON CHARITABLE TRUST FUND, CHARLES M            | 51144          | % SOUTHEAST NATIONAL<br>BANK                   | DRAWER 150                            | BRADENTON       | 33505 |
| EATON AND ELIZABETH M                             |                |  |                                       |                 |       |
| HENDERSON FOUNDATION INC, A D                     | 48750          | % LUCY E HENDERSON                             | 750 SO OCEAN BLVD                     | BOCA RATON      | 33432 |
| FORMAN CHRISTIAN, HAMILTON M AND BLANCHE<br>C     | 46553          |  | 3600 N FEDERAL HWY<br>SUITE 301       | FORT LAUDERDALE | 33308 |
| WILLIAMS FOUNDATION, CHARLES J                    | 46000          |  | 737 FLORIDA NAT BANK<br>BLDG          | JACKSONVILLE    | 32202 |
| GORE FAMILY MEMORIAL FOUNDATION TRUST<br>3298-4   | 44850          |  | 25 S ANDREWS AVENUE                   | FT LAUDERDALE   | 33302 |
| TAYLOR FOUNDATION INC, JACK                       | 44623          |  | 941 N E 79TH STREET                   | MIAMI           | 33138 |
| ALLEN FOUNDATION INC, DON                         | 43598          | % HASKINS & SELLS                              | 1 SE 3 AVENUE SUITE 200               | MIAMI           | 33131 |
| PRICE FOUNDATION INC, THE JOHN E & ALIESE         | 43464          |  | P O BOX 936                           | FORT MYERS      | 33902 |
| TAYLOR TRUST, GRACE WEBSTER                       | 42997          | % FLORIDA FIRST NATL BK<br>OF JACKSONVILLE     | GENERAL MAIL CENTER                   | JACKSONVILLE    | 32203 |
| FINLEY FOUNDATION, THE ROSE MCFARLAND             | 42933          | % FLORIDA FIRST<br>NATIONAL BANK               | PO BOX 850                            | VERO BEACH      | 32960 |
| DAVIS FOUNDATION INC, MILTON AUSTIN               | 42892          |  | 5050 EDGEWOOD COURT                   | JACKSONVILLE    | 32205 |
| HUGHEY FOUNDATION INC                             | 42293          |  | 901 BAYSHORE BOULEVARD                | TAMPA           | 33606 |
| ARTZT FOUNDATION, WALTER AND BETTY                | 41948          |  | 333 SUNSET AVE SUITE<br>210           | PALM BEACH      | 33480 |
| JOHNSON FUND INC, HAROLD F                        | 41388          |  | 1140 NORTH OCEAN<br>BOULEVARD         | DELRAY BEACH    | 33444 |
| BRIGGS FAMILY FOUNDATION                          | 41200          |  | PO BOX 1617                           | NAPLES          | 33940 |
| BUCKINGHAM SMITH BENEVOLENT ASSN                  | 40471          |  | P O BOX 298                           | ST AUGUSTINE    | 32084 |
| BATEMAN SCHOLARSHIP FUND, WILL PAUL               | 40000          | SOUTHEAST FIRST<br>NATIONAL BANK BLDG          | 100 SOUTH BISCAYNE BLVD               | MIAMI           | 33131 |
| GEIGER CHARITY FOUNDATION INC, RUTH AND<br>AUGUST | 40000          | % SUN BANK OF BAL<br>HARBOUR                   | COLLINS AT 96 STREET                  | BAL HARBOUR     | 33154 |
| FIRST NATIONAL BANK OF MIAMI FOUNDATION           | 40000          | % TRUST DEPT SOUTHEAST<br>FIRST NATL BANK OF * | 100 S BISCAYNE BLVD                   | MIAMI           | 33131 |
| TRUST UNDER WILL OF WILLIAM NELSON                | 40000          | 1600 FIRST NATL BK BLDG                        | 100 BISCAYNE BLVD SOUTH               | MIAMI           | 33131 |
| G A C FOUNDATION INC                              | 39150          |  | 201 ALHAMBRA CIRCLE                   | CORAL GABLES    | 33134 |
| SHAPIRO FOUNDATION INC, SAMUEL T                  | 39150          | % N FRIEDLANDER                                | 951 NE 167TH ST                       | NORTH MIAMI BE* | 33162 |
| HUBBARD FOUNDATION                                | 38682          | % SUN FIRST NATL BK OF<br>ORLANDO              | 200 S ORANGE AVE                      | ORLANDO         | 32802 |
| COURSHON FOUNDATION INC, JACK R                   | 38076          |  | 1701 MERIDIAN AVE                     | MIAMI BEACH     | 33139 |
| GRUBB FOUNDATION INC, HUNTER                      | 37747          |  | 2120 NE 21ST STREET                   | FT LAUDERDALE   | 33305 |
| SUNNESS FOUNDATION INC                            | 37100          |  | 1450 MADRUGA AV SUITE<br>403          | CORAL GABLES    | 33146 |
| LYONS BAPTIST MISSION FOUNDATION INC,<br>LENA     | 36000          |  | P O BOX 6135                          | POMPANO BEACH   | 33060 |
| MORRIS FOUNDATION, ALLEN                          | 35880          |  | 1000 BRICKELL AVE                     | MIAMI           | 33131 |
| BISCAYNE FOUNDATION                               | 35250          | % 817 DADE FEDERAL BLDG                        | 101 EAST FLAGLER ST                   | MIAMI           | 33131 |
| KELLY FOUNDATION INC                              | 35100          |  | P O BOX 998                           | CLEWISTON       | 33440 |
| WOLFSON FOUNDATION, LOUIS E                       | 34765          |  | 5700 COLLINS AVE                      | MIAMI BEACH     | 33140 |
| DAVIS FAMILY FOUNDATION, A DARIUS                 | 34625          |  | 5050 EDGEWOOD COURT                   | JACKSONVILLE    | 32205 |

| FOUNDATION NAME                                     | GRANTS<br>PAID | CARE OF NAME                               | STREET                            | CITY            | ZIP   |
|---|----------------|--|-----------------------------------|-----------------|-------|
| POPICK FOUNDATION INC, RUTH & JACK                  | 34509          |  | 20 ISLAND AV BELLE ISLE           | MIAMI BEACH     | 33139 |
| BELLAMY FOUNDATION INC, ROBERT R                    | 33000          |  | 810 ALFRED I DUPONT<br>BLDG       | MIAMI           | 33131 |
| BRADSHAW FOUNDATION, CHAS H & RUTH D                | 31774          |  | 110 E PALMETTO PARK<br>ROAD       | BOCA RATON      | 33432 |
| BRADSHAW FOUNDATION, CHAS H & RUTH D                | 31774          |  | PO BOX 1257                       | BOCA RATON      | 33432 |
| CHAPMAN FOUNDATION INC, ALVAH H & WYLINE<br>P       | 31716          | % COMMUNITY BANK OF<br>SEMINOLE TRUST DEPT | 7700 SEMINOLE BOULEVARD           | SEMINOLE        | 33542 |
| CALKINS FOUNDATION, WILLIAM B                       | 31447          | % SUN FIRST NATIONAL<br>BANK OF ORLANDO    | 200 S ORANGE AVE                  | ORLANDO         | 32801 |
| SISLER FOUNDATION INC, MARY                         | 31175          |  | 353 COCOANUT ROW                  | PALM BEACH      | 33480 |
| PENINSULAR INSURANCE FOUNDATION                     | 30948          |  | 645 RIVERSIDE AVENUE              | JACKSONVILLE    | 32203 |
| OAK FOUNDATION INC, CALVIN & FLAVIA                 | 30811          |  | 60 N W 12TH AVENUE                | MIAMI           | 33135 |
| FLANIGAN FOUNDATION, THE AIMEE M & HORACE<br>C      | 30685          |  | 270 ALGOMA ROAD                   | PALM BEACH      | 33480 |
| VERSAGGI BROTHERS FOUNDATION INC                    | 30640          |  | PO BOX 1329 48 VALENCIA<br>ST     | ST AUGUSTINE    | 32084 |
| WISEHEART FOUNDATION INC                            | 29900          |  | 1401 BRICKELL AVE                 | MIAMI           | 33131 |
| WCKT FOUNDATION                                     | 28892          |  | PO BOX 1118                       | MIAMI           | 33138 |
| OVERSTREET FOUNDATION                               | 28350          | % HAZEL O JACOBS                           | PO BOX 111                        | ORLANDO         | 32802 |
| LEE FOUNDATION                                      | 27890          | % THOMAS G LEE TTEE                        | PO BOX 2113                       | ORLANDO         | 32802 |
| EDUCATION AND RESEARCH FOUNDATION OF<br>FLORIDA INC | 27813          | % 12TH FL CHARTER OIL<br>BLDG              | 208 N LAURA ST                    | JACKSONVILLE    | 32202 |
| SWENSRUD CHARITABLE TRUST, S A                      | 26917          |  | 2790 GORDON DR                    | NAPLES          | 33940 |
| RADEBAUGH FOUNDATION                                | 26450          |  | PO BOX 1928                       | ORLANDO         | 32802 |
| INTERNATIONAL MEDICAL FOUNDATION INC                | 26042          |  | 2505 RIVERSIDE AVE                | JACKSONVILLE    | 32204 |
| KEYES FOUNDATION INC                                | 25772          |  | 100 N BISCAYNE BLVD<br>20TH FLOOR | MIAMI           | 33132 |
| HAVEN CHARITABLE FDN, NINA                          | 25284          |  | 201 FIRST NATIONAL BANK<br>BLDG   | STUART          | 33494 |
| ANSIN FOUNDATION                                    | 23940          |  | 228-40TH STREET                   | MIAMI BEACH     | 33140 |
| SURTMAN FOUNDATION                                  | 23875          |  | 100 LOWRY ST                      | DELRAY BEACH    | 33444 |
| MCCONNELL FOUNDATION, ROBERT EARLL                  | 23700          | % M. F. BAUGHER, ESQ.                      | PO BOX 109                        | PALM BEACH      | 33840 |
| GREGORY FOUNDATION                                  | 23692          |  | PO BOX 71                         | PALM BEACH      | 33480 |
| PRIOR FOUNDATION, FRANK O                           | 23650          | % FIRST NATIONAL BANK<br>IN PALM BEACH     | 324 ROYAL PALM WAY                | PALM BEACH      | 33480 |
| BORNS TRUST, HARRY                                  | 23361          | % SOUTHEAST NATIONAL<br>BANK               | MANATEE AVE W                     | BRADENTON       | 33505 |
| GRAHAM FOUNDATION                                   | 22553          |  | 14420 NW 60TH AVENUE              | MIAMI LAKES     | 33014 |
| TOWEY FOUNDATION, JAMES P                           | 22500          |  | BOYS RANCH                        | LIVE OAK        | 32060 |
| MYERS FOUNDATION                                    | 22450          |  | 6420 N BAY RD                     | MIAMI BEACH     | 33141 |
| TOOR FOUNDATION INC, H O                            | 22314          |  | 44 COCONUT ROW                    | PALM BEACH      | 33480 |
| ANDERSEN FOUNDATION, MARTIN<br>ANDERSEN-GRACIA      | 21312          |  | 1717 EDGEWATER DRIVE              | ORLANDO         | 32804 |
| KING FAMILY EDUCATIONAL FUND, WILBUR C              | 21184          |  | 1055 LAKE HOLLINGSWORTH<br>DR     | LAKELAND        | 33803 |
| REINHOLD FOUNDATION INC, PAUL E & IDA<br>KLARE      | 21097          |  | 1725 BARNETT BLDG                 | JACKSONVILLE    | 32202 |
| KRAUSMAN TRUST U/W, ESSIE W                         | 21048          | % LANDMARK UNION TRUST<br>BANK TRUSTEE     | PO BOX 11388                      | ST PETERSBURG   | 33733 |
| MCGEHEE FOUNDATION, RAY SUTTON                      | 20715          |  | 1424 BARNETT BANK BLDG            | JACKSONVILLE    | 32202 |
| JACOBS FOUNDATION INC, LT J G WALTER A              | 20623          |  | 9424 WEST BROADVIEW<br>DRIVE      | BAY HARBOR ISL* | 33154 |

| FOUNDATION NAME   | GRANTS<br>PAID | CARE OF NAME                              | STREET                                   | CITY            | ZIP   |
|---|----------------|---|--|-----------------|-------|
| COMMUNITY FOUNDATION OF SARASOTA                        | 20500          | % M F VORDERBURG                          | PALMER FIRST NATIONAL<br>BANK & TRUST CO | SARASOTA        | 33578 |
| COLLIER FDN INC   | 20000          |   | 3003 N TAMiami TRAIL                     | NAPLES          | 33940 |
| BROWN FOUNDATION, VICTOR & LILLIAN                      | 19791          | % HAROLD BROWN                            | 7300 PONCE DE LEON RD                    | MIAMI           | 33143 |
| BOULWARE CHARITABLE AND EDUCATIONAL<br>TRUST, LEMUEL R  | 19643          | % LEMUEL R BOULWARE<br>TRUSTEE            | 1045 S OCEAN BLVD                        | DELRAY BEACH    | 33444 |
| AKSTON FOUNDATION, ZIUTA & JOSEPH JAMES                 | 19000          |   | 444 N LAKE WAY                           | PALM BEACH      | 33480 |
| LONGDEN SCHOLARSHIP FUND FOUNDATION INC,<br>RALPH L     | 18983          |   | 7500 RED ROAD                            | SOUTH MIAMI     | 33143 |
| WARD FOUNDATION, HARRY E                                | 18750          | % HARRY E WARD JR<br>TRUSTEE              | 130 BRAZILIAN AVE                        | PALM BEACH      | 33480 |
| HATCHER FOUNDATION-2                                    | 18600          | % ATLANTIC NATL BK OF<br>JACKSONVILLE     | GENERAL MAIL CTR                         | JACKSONVILLE    | 32203 |
| SMITH TRUST, JASON L SMITH AND CARRIE M                 | 18591          | % FLA COAST BANK OF<br>POMPAÑO BEACH      | 1101 E ATLANTIC BLVD                     | POMPAÑO BEACH   | 33060 |
| MCDONALD BENEVOLENT FOUNDATION INC                      | 18510          |   | 141 ALMERIA AVE                          | CORAL GABLES    | 33134 |
| GERSTENZANG FOUNDATION, LEO                             | 18500          |   | 444 N LAKE WAY                           | PALM BEACH      | 33480 |
| VERO BEACH FOUNDATION FOR THE ELDERLY                   | 18276          | % FIRST NATIONAL BANK<br>IN PALM BEACH    | 255 SOUTH COUNTY RD                      | PALM BEACH      | 33480 |
| RAINFORTH FOUNDATION                                    | 18250          |   | 3001 PONCE DE LEON BLVD                  | CORAL GABLES    | 33134 |
| SENNINGS FOUNDATION INCORPORATED, ALMA                  | 18140          |   | 2222 PONCE DE LEON BLVD                  | CORAL GABLES    | 33134 |
| WRAY MEMORIAL FOUNDATION, FLOYD L                       | 18000          |   | PO BOX 23274                             | FORT LAUDERDALE | 33307 |
| FITZGERALD BROTHERS FOUNDATION                          | 18000          |   | 1400 N E 103 RD ST                       | MIAMI SHORES    | 33158 |
| METAL INDUSTRIES FOUNDATION INC                         | 17750          |   | 1310 NORTH HERCULES AVE                  | CLEARWATER      | 33515 |
| PEACOCK FOUNDATION INC                                  | 17664          |   | 51 NORTHWEST FIRST<br>STREET             | MIAMI           | 33128 |
| BASSETT FOUNDATION INC                                  | 17500          | % SOUTHEAST FINANCIAL<br>CONSULTANTS INC  | 100 SOUTH BISCAYNE<br>BOULEVARD          | MIAMI           | 33131 |
| APPLESTEIN FOUNDATION TRUST, ALLAN H                    | 17409          |   | 7600 RED ROAD SUITE 300                  | SOUTH MIAMI     | 33143 |
| LAND TRUST, HARRY L                                     | 15913          | % SOUTHEAST NATIONAL<br>BANK OF BRADENTON | 920 MANATEE AVE WEST                     | BRADENTON       | 33505 |
| SARASOTA BANK AND TRUST COMPANY COMMUNITY<br>FOUNDATION | 15590          |   | PO BOX 4295                              | SARASOTA        | 33578 |
| LAFFERTY FAMILY FOUNDATION INC                          | 15581          |   | 5425 SW 92ND ST                          | MIAMI           | 33156 |
| LAUFFER TRUST, CHARLES A                                | 15484          | % LANDMARK UNION TRUST<br>BANK TRUSTEE    | PO BOX 11388                             | ST PETERSBURG   | 33733 |
| ROSENBERG FOUNDATION INC, WILLIAM J &<br>TINA           | 15000          | % SULLIVAN ADMIRE AND<br>SULLIVAN         | 2505 PONCE DE LEON BLVD                  | CORAL GABLES    | 33134 |
| PATTON MEMORIAL FUND, FLORENCE H                        | 14912          |   | PO DRAWER 479                            | CLEARWATER      | 33517 |
| GOLDSTEIN FOUNDATION, GORDON                            | 14640          | % JULES B GORDON                          | 3901 S OCEAN DR APT 16E                  | HOLLYWOOD       | 33019 |
| ARNOLD FOUNDATION                                       | 14380          |   | PO BOX 568                               | PALM BEACH      | 33480 |
| BARNETT FOUNDATION TRUST, GORDON J                      | 14285          | % SUN FIRST NATIONAL<br>BANK OF ORLANDO   | PO BOX 3631                              | ORLANDO         | 32802 |
| DENIUS FOUNDATION                                       | 14010          |   | 600 COURTLAND ST SUITE<br>490            | ORLANDO         | 32804 |
| MERITED RIEGEL CHARITABLE TRUST                         | 13467          |   | 702 LAKE SHORE DRIVE                     | DELRAY BEACH    | 33444 |
| PRINCETON UNIVERSITY EDUCATIONAL<br>FOUNDATION INC      | 13256          |   | 2934 WEST BAY DRIVE                      | BELLE AIR BLUF* | 33540 |
| WILSON TRUST U/W, GERTRUDE R                            | 13015          | % BARNETT BANK<br>OF JACKSONVILLE NA      | PO BOX 40200                             | JACKSONVILLE    | 32231 |
| PLUMER FOUNDATION INC, RICHARD                          | 13000          |   | 155 N E 40TH STREET                      | MIAMI           | 33137 |
| HUTZLER FUND, IDA                                       | 12995          | % SECURITY TRUST CO                       | 700 BRICKELL AVE                         | MIAMI           | 33131 |

| FOUNDATION NAME   | GRANTS PAID | CARE OF NAME                           | STREET                            | CITY            | ZIP   |
|---|-------------|--|-----------------------------------|-----------------|-------|
| ABOLY FOUNDATION INC  | 12900       |  | 512 FLORIDA AVE                   | TAMPA           | 33602 |
| FISHER FAMILY FOUNDATION  | 12822       | % PHILIP FISHER                        | 44 COCOANUT ROW APT 208           | PALM BEACH      | 33480 |
| MERTZ ART FUND  | 12750       | % HAROLD E MERTZ                       | 131 VARIETY TREE CIRCLE           | ALTAMONTE SPRI* | 32701 |
| COHEN RESEARCH FOUNDATION INC, ALBERT                             | 12694       |  | 1545 NE 123RD ST                  | NORTH MIAMI     | 33161 |
| BOYCE FOUNDATION  | 12501       |  | PO BOX 1212                       | NEW PORT RICHEY | 33552 |
| ROUNTREE FOUNDATION   | 12340       |  | 641 ROUNTREE DRIVE                | SARASOTA        | 33577 |
| ROPER BROTHERS FOUNDATION INC                                     | 12050       |  | PO BOX 218                        | WINTER GARDEN   | 32787 |
| SHIMBERG FOUNDATION INC   | 12000       |  | 1013 SKOKIE                       | TAMPA           | 33609 |
| TRAYLOR FOUNDATION INC, W LEROY & ELIZABETH                       | 11977       |  | 1911 LOCKWOOD WAY                 | ORLANDO         | 32804 |
| JOHNSON FOUNDATION INC, D MEAD                                    | 11800       |  | PO BOX 346                        | PALM BEACH      | 33480 |
| LIONS CLUB FOUNDATION   | 11681       |  | 808 OLYMPIA BLDG                  | MIAMI           | 33131 |
| POOLE MEMORIAL FUND, S FRANK & TILLIE B                           | 11607       | % EXCHANGE NATIONAL BANK TRUSTEE       |                                   | WINTER HAVEN    | 33880 |
| COURSHON FOUNDATION INC, ARTHUR H                                 | 11505       |  | 1701 MERIDIAN AVENUE              | MIAMI BEACH     | 33139 |
| WILLIFORD FOUND INC, ROBERT P & OLGA                              | 11500       |  | 3209 S OCEAN DR APT 2 A           | HALLANDALE      | 33009 |
| JANE FOUNDATION INC   | 11462       |  | 76 ISLA BAHIA DRIVE               | FT LAUDERDALE   | 33316 |
| STROUD TRUST, HAZEL C   | 11420       | % SOUTHEAST NATIONAL BANK OF BRADENTON | DRAWER 150                        | BRADENTON       | 33505 |
| GROTTO CEREBRAL PALSY ENDOWMENT INC, SELAMA                       | 11417       |  | 1117 ARLINGTON AVENUE NORTH       | ST PETERSBURG   | 33705 |
| MARY FOUNDATION INC   | 11361       |  | 76 ISLA BAHIA DRIVE               | FT LAUDERDALE   | 33316 |
| SAV-A-STOP FOUNDATION INC   | 11200       | % JOHN E O'DONNELL                     | 2050 ART MUSEUM DR                | JACKSONVILLE    | 32207 |
| SAMPLE FOUNDATION INC   | 11159       |  | 2900 FORT CHARLES DR              | NAPLES          | 33940 |
| FRIEDMAN FOUNDATION INC, ROBERT TAFT                              | 11125       |  | 76 ISLA BAHIA DRIVE               | FT LAUDERDALE   | 33316 |
| HOLLOWAY FOUNDATION INC, JACK                                     | 11000       |  | 8981 S ORANGE AVE PO 13688        | ORLANDO         | 32809 |
| GREATER JACKSONVILLE AREA COMMUNITY FOUNDATION                    | 10976       |  | 1424 BARNETT BANK BLDG            | JACKSONVILLE    | 32202 |
| BUFFINGTON FOUNDATION   | 10935       |  | 2840 NE 55TH ST                   | FORT LAUDERDALE | 33308 |
| PADOLF FOUNDATION, LOU & LILLIAN                                  | 10900       | % FIRST NATIONAL BANK OF CLEARWATER    | 400 CLEVELAND ST                  | CLEARWATER      | 33517 |
| SWENSON FOUNDATION  | 10875       |  | 1515 FIRST NATIONAL BANK BUILDING | MIAMI           | 33131 |
| CHARITY INCORPORATED  | 10800       | % FIRST BANK & TRUST BLDG              | PO BOX 447                        | JACKSONVILLE    | 32201 |
| AMERICAN LEGION MEMORIAL SCHOLARSHIP FUNDS INC PALM BEACH POST 12 | 10789       | % BANK OF PALM BEACH TRUST DEPT        | 40 COCOANUT ROW                   | PALM BEACH      | 33480 |
| GALLOWAY FOUNDATION   | 10752       | % J K GALLOWAY                         | GALLOWAY DRIVE                    | WINTER PARK     | 32789 |
| ABRAHAMSON FOUNDATION INC, D L                                    | 10725       |  | 100 WORTH AVE APT 517 F           | PALM BEACH      | 33480 |
| TAMPA WHOLESALE LIQUOR CO INC FOUNDATION                          | 10701       |  | 5501 ANDERSON RD. PO 15397        | TAMPA           | 33614 |
| WEINTRAUB LANDFIELD CHARITY FOUNDATION INC                        | 10630       |  | PO BOX 3131                       | MIAMI           | 33101 |
| JENNIFER FOUNDATION INC   | 10622       |  | 76 ISLA BAHIA DRIVE               | FT LAUDERDALE   | 33316 |
| K-F FOUNDATION INC  | 10500       |  | 516 84TH STREET NW                | BRADENTON       | 33505 |
| PADDOCK FOUNDATION, JEROME & MILDRED                              | 10231       |  | PO BOX 2108                       | SARASOTA        | 33578 |
| ELIZABETH FOUNDATION INC  | 10105       |  | 76 ISLA BAHIA DRIVE               | FT LAUDERDALE   | 33316 |
| PEEBLES FOUNDATION  | 10000       | % FIRST NAT BANK                       | 255 S COUNTY RD                   | PALM BEACH      | 33480 |
| EPSTEIN FOUNDATION INC  | 10000       |  | 3112 W TARPON DRIVE               | MIRAMAR         | 33023 |
| MEDICAL RESEARCH FOUNDATION OF DADE COUNTY                        | 9947        | % DR GEORGE D LILLY                    | 101 W DILIDO DR                   | MIAMI BEACH     | 33139 |



| FOUNDATION NAME                            | GRANTS<br>PAID | CARE OF NAME            | STREET                 | CITY            |       |
|--|----------------|-------------------------|------------------------|-----------------|-------|
| BRODSKY FOUNDATION INC, ETHEL & SAUL       | 9915           | % ETHEL BRODSKY         | 333 SUNSET AVE         | PALM BEACH      | 33480 |
| LOWELL FOUNDATION                          | 9861           |                         | 2375 NE 29TH STREET    | LIGHTHOUSE POI* | 33064 |
| STEIN FAMILY FOUNDATION INC                | 9825           |                         | PO DRAWER U            | JACKSONVILLE    | 33022 |
| TRUST U/W FLORENCE E SINCLAIR A/K/A        | 9802           | % FLA NATL BANK & TR CO | PO BOX 010625          | MIAMI           | 33101 |
| FLORENCE E SINCLAIR MEMORIAL FUND          |                | AT MIAMI                |                        |                 |       |
| SOUTHERN FRUIT DISTRIBUTORS FUND INC       | 9754           |                         | POST OFFICE BOX 8367   | ORLANDO         | 32806 |
| REINHARD FAMILY FOUNDATION, SAMUEL         | 9731           |                         | 4180 CHASE AVENUE      | MIAMI BEACH     | 33139 |
| CHARITABLE FOUNDATION INC                  | 9729           |                         | 2934 WEST BAY DRIVE    | BELLEAIR BLUFFS | 33540 |
| LEONARD BROS TRUCKING FOUNDATION INC       | 9698           |                         | 1411 S ORANGE BLOSSOM  | ORLANDO         | 32805 |
|  |                |                         | TRAIL                  |                 |       |
| PRICE FOUNDATION                           | 9520           | % REVELLA PRICE         | 590 CHIPPING LANE      | SARASOTA        | 33577 |
|  |                | STEINBERG               |                        |                 |       |
| ZAGAYSKI FOUNDATION INC, MICHAEL AND DORA  | 9500           |                         | 335 CRESCENT DR        | PALM BEACH      | 33480 |
| DEVOE BUICK CADILLAC SCHOLARSHIP TRUST,    | 9387           | % BANK OF NAPLES        | 796 FIFTH AVENUE S     | NAPLES          | 33940 |
| DICK                                       |                | TRUSTEE                 |                        |                 |       |
| SMITH FOUNDATION, MCGREGOR                 | 9372           | % WILSON SMITH ESQ      | 1400 SE FIRST NATIONAL | MIAMI           | 33131 |
|  |                |                         | BANK BLDG              |                 |       |
| PARKS FOUNDATION INC                       | 9351           | % BERT PARKS            | 1151 S NORTHLAKE DRIVE | HOLLYWOOD       | 33020 |
| EVANS FOUNDATION INC                       | 9000           | % OCEAN SUMMIT APT 803  | 4010 GALT OCEAN DR     | FORT LAUDERDALE | 33308 |
| COHEN FOUNDATION, CECIL AND CZERNA         | 8542           |                         | 7797 GOLF CIRCLE DRIVE | MARGATE         | 33063 |
|  |                |                         | APT 302J               |                 |       |
| TOBIN FOUNDATION, THE BEN                  | 8450           |                         | 1101 HILLCREST DRIVE   | HOLLYWOOD       | 33021 |
| TRISMEN FOUNDATION                         | 8205           |                         | PO BOX 1660            | WINTER PARK     | 32789 |
| STORER FOUNDATION INC, GEORGE B            | 8200           | % BAY HARBOR ISLAND     | 1177 KANE CONCOURSE    | MIAMI BEACH     | 33154 |
| SCHUSTER FOUNDATION INC                    | 8158           | % B SCHUSTER            | PO BOX 546012          | SURFSIDE        | 33154 |
| KUGELMAN FOUNDATION INC, SYLVIA K & EDGAR  | 8000           |                         | 211 NORTH PALAFOX ST.  | PENSACOLA       | 32573 |
| M  |                |                         |                        |                 |       |
| WINTER CHARITABLE TRUST, SAMUEL AND EVELYN | 7975           |                         | 2333 BRICKELL AVE      | MIAMI           | 33129 |
| KIRBO & IRENE B KIRBO, T M                 | 7922           | % BANK OF JACKSONVILLE  | PO BOX 40200           | JACKSONVILLE    | 32202 |
|  |                | NA                      |                        |                 |       |
| LEIPOLD FOUNDATION INC                     | 7836           |                         | PO BOX 1927            | DELRAY BEACH    | 33444 |
| GARDNER FOUNDATION                         | 7800           |                         | PO BOX 340717          | CORAL GABLES    | 33134 |
| HEEDE FOUNDATION INC, B M AND RUTH C       | 7775           | % GUNSTER YOAKLEY       | PO BOX 71              | PALM BEACH      | 33480 |
|  |                | CRISER STEWART          |                        |                 |       |
| BLUME FOUNDATION INC, JACK TEIGH           | 7749           | % WILSON STONBERG       | 4700 BISCAYNE BLVD     | MIAMI           | 33137 |
|  |                | RADLER & COMPANY        |                        |                 |       |
| MCKILLIPS FOUNDATION, SARAH                | 7746           | % SECURITY TRUST CO     | 700 BRICKWELL AVE      | MIAMI           | 33131 |
| DOYLE TRUST U/W, JOHN                      | 7708           | % LANDMARK UNION TRUST  | PO BOX 11388           | ST PETERSBURG   | 33733 |
|  |                | BANK                    |                        |                 |       |
| INSTITUTE FOR HUMAN VALUES INC             | 7700           |                         | 3012 ESTRELLA ST       | TAMPA           | 33609 |
| KINDLE FOUNDATION FOR EDUCATION            | 7650           |                         | 881 OCEAN DR APT 27G   | KEY BISCAYNE    | 33149 |
| MANN MEMORIAL FUND, LOLA                   | 7642           |                         | RT 1 BOX 375           | WINTER HAVEN    | 33880 |
| LAND TRUST, HELEN B                        | 7600           | % SOUTHEAST NATIONAL    | 920 MANATEE AVE WEST   | BRADENTON       | 33505 |
|  |                | BANK OF BRADENTON       |                        |                 |       |
| STOCKTON FOUNDATION INC                    | 7500           |                         | % ATLANTIC NATL BK OF  | JACKSONVILLE    | 32203 |
|  |                |                         | JACKSONVILLE           |                 |       |
| TAYLOR FOUNDATION, SAMUEL C                | 7500           |                         | 1424 BARNETT BANK BLDG | JACKSONVILLE    | 32202 |
| WILEY FOUNDATION INC, TOM                  | 7450           |                         | 467 LAKEWOOD DRIVE     | WINTER PARK     | 32789 |
| FLEMING FOUNDATION INC                     | 7400           |                         | 150 E PALMETTO PK RD   | BOCA RATON      | 33432 |
| MORGAN FOUNDATION INC, LOUIE R & GERTRUDE  | 7390           |                         | PO BOX 550             | ARCADIA         | 33821 |
| SELIG FOUNDATION                           | 7181           | % MENDELL M SELIG       | 7160 HARDEE DR         | MIAMI           | 33143 |
| ECCLESTON-CALLAHAN MEMORIAL TRUST          | 7092           | COMBANK OF WINTER PARK  | 750 S ORANGE AVENUE    | WINTER PARK     | 32789 |

| FOUNDATION NAME  | GRANTS<br>PAID | CARE OF NAME                             | STREET                                     | CITY                          | ZIP            |
|--|----------------|--|--|-------------------------------|----------------|
| MENDEZ FOUNDATION INC, C E   | 7081           |  | 3818 BAY VISTA AVE                         | TAMPA                         | 33611          |
| ALBRECHT FOUNDATION, HENRY   | 7080           |  | 1255 GULF SHORE BLVD                       | NAPLES                        | 33940          |
| MCANLEY FOUNDATION   | 7000           | % HERBERT T MCANLY                       | 100 N OCEAN BLVD                           | DELRAY BEACH                  | 33444          |
| AMERICAN FOUNDATION INC  | 7000           |  | 2031 HENDRICKS AVENUE                      | JACKSONVILLE                  | 32207          |
| SCHIZOPHRENIA BIOLOGICAL RESEARCH<br>FOUNDATION INC  | 6975           | % ALBERT J BEER                          | 1200 AINSLEY BLDG                          | MIAMI                         | 33132          |
| MARY E LENGLE ORCHESTRAL FUND  | 6916           | % ATLANTIC NATL BK OF<br>JACKSONVILLE    | GENERAL MAIL CENTER                        | JACKSONVILLE                  | 32231          |
| GERSON TRUST, B MILFRED  | 6910           | % GARY GERSON                            | 666 71ST STREET                            | MIAMI BEACH                   | 33141          |
| STAR BEACH RETREAT INC   | 6684           |  | PO DRAWER 890                              | MILTON                        | 32570          |
| MAROON FOUNDATION, HOKE  | 6666           |  | 950 SOUTH WEST 57TH<br>AVENUE              | WEST MIAMI                    | 33144          |
| RUSSELL FOUNDATION OF JACKSONVILLE   | 6610           |  | PO BOX 2670                                | JACKSONVILLE                  | 32203          |
| TWEED SCHOLARSHIP ENDOWMENT TRUST, ETHEL<br>H TWEED AND GEORGE W<br>CHRISTIAN FOUNDATION   | 6600           | % FIRST GULF BEACH BANK<br>AND TRUST     | 7500 GULF BLVD                             | ST PETERSBURG                 | 33706          |
| PAUL AND HELEN DATE CHARITABLE TRUST   | 6450           |  | 121 LAKE HOLLINGSWORTH<br>DR               | LAKELAND                      | 33801          |
| HOPKINS RESEARCH FOUNDATION  | 6405           |  | 174 GOLDEN GATE TRUST<br>APT 53            | SARASOTA                      | 33577          |
| RUSSACK FAMILY FOUNDATION  | 6337           | % SECURITY TRUST CO                      | 700 BRICKELL AVE                           | MIAMI                         | 33131          |
| BREVARD HEART FOUNDATION INC   | 6337           | % NANCY ABRAHAM                          | 4445 ALTON ROAD                            | MIAMI BEACH                   | 33140          |
| FRANK FOUNDATION   | 6325           |  | PO BOX 1450                                | MELBOURNE                     | 32901          |
| SARGENT SCHOLARSHIP FUND, HARRY J  | 6310           | % PAUL THIBADEAU                         | 249 ROYAL PALM WAY                         | PALM BEACH                    | 33480          |
| MANLY FOUNDATION, J D  | 6154           | % LANDMARK UNION TRUST<br>BANK           | PO BOX 11388                               | ST PETERSBURG                 | 33733          |
| SNYDER FOUNDATION INC, ALICIA WATCHORN<br>OUR LORDS FUND CHARITABLE TRUST  | 6150           | % SUN FIRST NATIONAL<br>BANK OF LEESBURG | PO BOX 8                                   | LEESBURG                      | 32748          |
| THOMAS FOUNDATION INC, BERT L<br>RADER CHARITABLE FOUNDATION INC, HILDA<br>AND EARLE M<br>BESSEMER EDUCATIONAL FOUNDATION INC, MARY<br>A | 6123           | % MARYLANE S MACMILLAN                   | 305 LIVE OAK ROAD                          | VERO BEACH                    | 32960          |
| KALTENBORN FOUNDATION, H V<br>GUALALA FOUNDATION   | 6102           |  | 1714 SOUTH LAKE SHORE<br>DRIVE             | SARASOTA                      | 33579          |
| TELFORD FOUNDATION INC<br>HEATH EDUCATIONAL FUND   | 6087           |  | 5050 EDGEWOOD COURT                        | JACKSONVILLE                  | 32205          |
| POPE JR FOUNDATION, GENEROSO<br>PRESS FOUNDATION, JACOB<br>KIRBO MEMORIAL SCHOLARSHIP FUND, IRENE B                                      | 6067           |  | 922 ALFRED I DUPONT<br>BLDG                | MIAMI                         | 33131          |
| DONNELL-KAY FOUNDATION INC<br>GRIFFIN SR FOUNDATION INC, C V<br>MITCHELL FAMILY FOUNDATION INC   | 6016           | % L L HOCHEN                             | PO BOX 330754                              | MIAMI                         | 33133          |
| EAKIN TRUST, PERRY V<br>WINN FOUNDATION TRUST  | 6000           | % ROLF KALTENBORN                        | 349 SEAVIEW AVE                            | PALM BEACH                    | 33480          |
|  | 6000           | % FLA 1ST NATL BANK OF<br>JACKSONVILLE   | GENERAL MAIL CENTER                        | JACKSONVILLE                  | 32231          |
|  | 6000           | % ST PETERSBURG BANK &<br>TRUST COL      | PO BOX 385<br>PO BOX 11209                 | NAPLES<br>ST PETERSBURG       | 33940<br>33733 |
|  | 5997           | % JACOB PRESS                            | 600 SE COAST AVE                           | LANTANA                       | 33462          |
|  | 5931           | % BARNETT BANK OF<br>JACKSONVILLE N A    | 5161 COLLINS AVE<br>PO BOX 40200           | MIAMI BEACH<br>JACKSONVILLE   | 33140<br>32202 |
|  | 5893           |  | BOX 2002                                   | PALM BEACH                    | 33480          |
|  | 5800           | % FRANCIS R JACOBS                       | PO BOX 126<br>2295 S OCEAN BLVD APT<br>623 | HOWEY IN THE H*<br>PALM BEACH | 32737<br>33480 |
|  | 5787           | % ROBERT E POYSELL JR<br>TRUST OFFICER   | 33 OCEAN AVENUE<br>PO BOX 850              | RIVIERA BEACH<br>VERO BEACH   | 33404<br>32960 |

| FOUNDATION NAME                                       | GRANTS<br>PAID | CARE OF NAME                               | STREET                                    | CITY            | ZIP   |
|---|----------------|--|---|-----------------|-------|
| HOFFMAN FOUNDATION INC, CARL T                        | 5700           |  | 9999 N E 2ND AVE RM 201                   | MIAMI           | 33138 |
| DEARHOLT FOUNDATION INC                               | 5450           |  | 1550 GALLEON DR                           | NAPLES          | 33940 |
| MORDECAI CHARITABLE FOUNDATION, FRANCES<br>AND DANIEL | 5415           |  | 2295 GULF OF MEXICO DR                    | SARASOTA        | 33577 |
| GENIUS FOUNDATION, ELIZABETH MORSE                    | 5400           | % JOHN W HEDDENS                           | P O BOX 40                                | WINTER PARK     | 32789 |
| LEE TRUST U/W, PEARL B                                | 5390           | % LANDMARK UNION TR BK                     | PO BOX 11388                              | ST PETERSBURG   | 33733 |
| CORNELIUS FAMILY FOUNDATION INC, JOSEPH F             | 5343           |  | P O BOX 479                               | CLEARWATER      | 33517 |
| SCHMITT FOUNDATION, KILIAN J & CAROLINE F             | 5300           | % KILIAN J SCHMITT                         | ONE LAS OLAS CIRCLE                       | FORT LAUDERDALE | 33316 |
| SCHULTZ FOUNDATION INC                                | 5300           | % SCHULTZ BLDG                             | 118 W ADAMS ST SUITE<br>3-B               | JACKSONVILLE    | 32202 |
| ABRAMS FAMILY FOUNDATION, DR AND MRS<br>JACOB J       | 5250           |  | 3111 NORTH OCEAN DRIVE                    | HOLLYWOOD BEACH | 33020 |
| ORLICH CHARITY FUND, WILLIAM A                        | 5192           |  | EXCHANGE NATL BK OF<br>WINTER HAVEN TR    | WINTER HAVEN    | 33881 |
| BIBLE ALLIANCE INC                                    | 5176           |  | PO BOX 1894                               | BRADENTON       | 33506 |
| PAGE FOUNDATION INC, MICHAEL F                        | 5107           |  | 135 REEF ROAD                             | PALM BEACH      | 33480 |
| ANNIS FOUNDATION INC, MINNIE AND JULIUS               | 5047           | % DR. LEONARD S. ANNIS                     | 617 MARINE BANK & TRUST<br>BLDG           | TAMPA           | 33602 |
| FALK CHARITABLE TRUST, GEORGE AND MILDRED             | 5045           |  | 3475 S COUNTY RD                          | PALM BEACH      | 33480 |
| CHAPIN FOUNDATION, FRANCES                            | 5000           |  | 248 THATCH PALM DRIVE                     | BOCA RATON      | 33432 |
| JANIRVE FOUNDATION                                    | 5000           | % THE FIRST NATIONAL<br>BANK IN PALM BEACH |   | PALM BEACH      | 33480 |
| SELBY BOTANICAL GARDENS, MARIE                        | 5000           | % PALMER 1ST NATL BK &<br>TR CO            | PO BOX 2018                               | SARASOTA        | 33578 |
| LEO FOUNDATION INC                                    | 4952           |  | 391 SE SPANISH TRAIL                      | BOCA RATON      | 33432 |
| DUKE CHARITABLE FOUNDATION                            | 4915           |  | 8824 SAN JOSE BLVD                        | JACKSONVILLE    | 32217 |
| SCHULMAN FAMILY, MAURICE S                            | 4912           | % SCHULMAN SUITE 8-R                       | 5401 COLLINS AV.                          | MIAMI BEACH     | 33140 |
| GRAHAM FOUNDATION, DAVID                              | 4850           | % DAVID GRAHAM                             | RFD 755 VILLAGE OF GOLF                   | DELRAY BEACH    | 33444 |
| VETERAN'S HOLDING COMPANY OF SARASOTA INC             | 4800           |  | 2445 FRUITVILLE RD PO<br>BOX 35           | SARASOTA        | 33578 |
| BRADSHAW DON, CHARLES J AND ARLINE G                  | 4763           |  | PO BOX 1613 LITTLE<br>RIVER STATION       | MIAMI           | 33138 |
| ROBERTS FOUNDATION INC, GEORGE SCARBORO               | 4718           |  | 8501 PONCE DE LEON ROAD                   | MIAMI           | 43443 |
| ADAMS FOUNDATION INC, JOE A                           | 4700           |  | 5050 EDGEWOOD CT                          | JACKSONVILLE    | 32205 |
| HOLLINGSWORTH FOUND INC, J E & MILDRED                | 4700           |  | 425 WORTH AVE                             | PALM BEACH      | 33480 |
| LANEY CHARITABLE FOUNDATION INC                       | 4687           |  | 3540 SUNNYSIDE DR                         | JACKSONVILLE    | 32207 |
| CARPENTER MEMORIAL FOUNDATION INC, W J                | 4619           |  | 1156 WHITFIELD AVE                        | SARASOTA        | 33580 |
| ROSOFF FOUNDATION, SAMUEL                             | 4596           | % REUBEN B SPERBER                         | 7005 NW 17TH CT                           | MARGATE         | 33063 |
| LOUBESS FOUNDATION INC                                | 4550           |  | 2101 S OCEAN DR APT<br>2601               | HOLLYWOOD       | 33019 |
| BRIGHT FOUNDATION, MICHAEL AND ESTHER                 | 4548           |  | 10140 W BROADVIEW DRIVE                   | MIAMI BEACH     | 33154 |
| PARKER THEATRE INC                                    | 4525           |  | 2040 NORTH DIXIE<br>HIGHWAY               | FORT LAUDERDALE | 33305 |
| ANDREAS FOUNDATION, ALBERT M                          | 4523           |  | 1100 E 125TH ST                           | NORTH MIAMI     | 33161 |
| VASSET MEMORIAL FUND, GEORGE J AND<br>MARGARET I      | 4500           |  | DRAWER 150 SOUTHEAST<br>NATIONAL BANK     | BRADENTON       | 33505 |
| WEIN CHARITY FOUNDATION INC, LEONARD A                | 4477           |  | 1666 JOHN F KENNEDY<br>CAUSEWAY SUITE 605 | NORTH BAY VILL* | 33141 |
| MILLER & FAMILY FOUNDATION, JACK                      | 4299           | % LLOYD L RUSKIN ESQ                       | 407 LINCOLN ROAD                          | MIAMI BEACH     | 33139 |
| COPE TRUST, ELIZABETH                                 | 4226           | % COBB-COLE-SIGERSON-ET<br>AL              | PO BOX 191 444<br>SEABREEZE BLVD          | DAYTONA BEACH   | 32015 |
| WEISS FAMILY FOUNDATION, MORTIMER & ANNE              | 4175           |  | 3450 S OCEAN BLVD APT<br>407              | PALM BEACH      | 33480 |

| FOUNDATION NAME  | GRANTS<br>PAID | CARE OF NAME                           | STREET                            | CITY            | ZIP   |
|--|----------------|--|-----------------------------------|-----------------|-------|
| NEWTON DAY NURSERY FOUNDATION, HELEN R<br>PAYNE              | 4156           | SOUTHEAST BANKS TRUST<br>CO NA         | PO BOX 267                        | SARASOTA        | 33578 |
| SOUTHSIDE LIONS CHARITABLE TRUST                             | 4118           | % JACK C NOLAN                         | 808 BARNETT BANK BLDG             | JACKSONVILLE    | 32202 |
| FLORIDA CHARITIES FOUNDATION                                 | 4114           | % 1ST NATL BANK AT<br>ORLANDO, TRUSTEE | 200 S. ORANGE AVENUE              | ORLANDO         | 32802 |
| FRIEDMAN FOUNDATION, DAN & TEAL                              | 4105           |  | 1800 NE 114 ST APT 1804           | NORTH MIAMI     | 33181 |
| BROWN, MATHEW JOHN AND ROSE ANNE                             | 4104           | % LANDMARK UNION TRUST<br>BANK         | PO BOX 11388                      | ST PETERSBURG   | 33733 |
| KRAUS FOUNDATION INC   | 4091           |  | PO BOX 1994                       | HOLLYWOOD       | 33022 |
| MCCREA FOUNDATION INC  | 4050           | % W S MCCREA                           | 1990 TIGERTAIL AVENUE             | MIAMI           | 33133 |
| EIDLITZ FOUNDATION INC, DOROTHY MEIGS                        | 4002           |  | 213 W COMSTOCK AVE PO<br>BOX 1660 | WINTERPARK      | 32790 |
| TRUST UNDER WILL OF FLORENCE WEIGLE                          | 4000           | % BARNETT BANK OF<br>CLEARWATER NA     | 1130 CLEVELAND ST PO<br>BOX 5128  | CLEARWATER      | 33158 |
| LANDA EDUCATIONAL FOUNDATION                                 | 3952           |  | PO BOX 2405                       | PALM BEACH      | 33480 |
| BOKA FOUNDATION INC  | 3827           |  | 6740 NW 37TH COURT                | MIAMI           | 33147 |
| WARD FOUNDATION INC, WILLIAM F                               | 3735           |  | PO BOX 846                        | AVON PARK       | 33825 |
| FOULKROD FOUNDATION  | 3665           |  | 3900 N OCEAN DR APT<br>17-C       | FORT LAUDERDALE | 33308 |
| FLORENCE AND BAMA FOUNDATION                                 | 3650           | % SUN FIRST NATL BANK<br>OF ORLANDO    | PO BOX 3631                       | ORLANDO         | 32802 |
| CHILDRENS FOUNDATION OF LAKE WALES<br>FLORIDA INC            | 3600           | % HUGH B ALEXANDER                     | PO BOX 1020                       | LAKE WALES      | 33853 |
| LEU FOUNDATION, HARRY P                                      | 3600           |  | PO BOX 2513                       | ORLANDO         | 32802 |
| MARCUS FOUNDATION, LEO & FRANCES                             | 3575           |  | 2860 S COUNTY RD                  | PALM BEACH      | 33480 |
| POS FOUNDATION, ARTHUR S & MAE L                             | 3556           |  | 9721 E BAY HARBOR DR              | BAY HARBOR ISL* | 33154 |
| HOWARD FUND FOR CHARITABLE GIVING INC, J<br>BLAINE           | 3527           | % W E RODDENBERRY                      | PO BOX 157                        | VERO BEACH      | 32960 |
| SWEET FOUNDATION INC   | 3500           |  | PO BOX 939                        | WINTER HAVEN    | 33880 |
| SAUNDERS FOUNDATION  | 3500           | % TRUST DEPT                           | FIRST NATIONAL BANK OF<br>TAMPA   | TAMPA           | 33601 |
| WOLFSON FAMILY FOUN INC, RICHARD F                           | 3495           |  | 630 UNIVERSITY DRIVE              | CORAL GABLES    | 33134 |
| COFFIN CHARITABLE FOUNDATION, LLOYD AND<br>RUTH              | 3300           |  | 3700 NELSONS WALK                 | NAPLES          | 33940 |
| DERMER FOUNDATION  | 3285           | % M J GRUNDWERG TTEE                   | SUITE 608 AINSLEY BLDG            | MIAMI           | 33132 |
| KELLER FOUNDATION, CATHRYN C                                 | 3255           | % FIRST NATL BK TRUSTEE                | PO BOX 130                        | FORT MYERS      | 33902 |
| ST DENIS FOUNDATION INC                                      | 3197           |  | 903 RIVEROAKS ROAD                | JACKSONVILLE    | 32207 |
| MARCUS CHARITIES INC, EDWIN                                  | 3168           |  | 11 ISLAND AVENUE                  | MIAMI BEACH     | 33139 |
| TRUST MARTHA BRIGGS PHELPS FBO SPCA OF<br>CLEARWATER FLORIDA | 3163           |  | PO BOX 179                        | CLEARWATER      | 33517 |
| ZAIN MEMORIAL FOUNDATION FUND, GEORGE K                      | 3150           | % FLAGSHIP FIRST<br>NATIONAL BANK OF   | 100 MIRACLE MILE                  | CORAL GABLES    | 33134 |
| BESSEY SCHOLARSHIP FUND, HUBERT WILBUR                       | 3141           | % ATL NATL BK W PALM<br>BCH TRUSTEE    |                                   | WEST PALM BEACH | 33402 |
| HOPKINS FOUNDATION, LEONORA B                                | 3100           | % SECURITY TRUST CO                    | 700 BRICKELL AVE                  | MIAMI           | 33131 |
| GORFINKLE FOUNDATION INC                                     | 3075           | % H M GORFINKLE                        | PO BOX 6274                       | SARASOTA        | 33578 |
| STOKES FOUNDATION INC  | 3054           |  | 213 N E 2ND AVE                   | MIAMI           | 33132 |
| NICKELSBURG FOUNDATION INC, DAVID                            | 3015           | % DOLLY WARREN                         | 5055 COLLINS AVE                  | MIAMI BEACH     | 33140 |
| JONES FOUNDATION INC, WALDON                                 | 3000           |  | 401 EAST SUNRISE BLVD             | FORT LAUDERDALE | 33304 |
| LIGHT SCHOLARSHIP FOUNDATION, RUDOLPH A                      | 3000           | % C ROBERT BURNS                       | 205 WORTH AVE                     | PALM BEACH      | 33480 |
| HOUCK FOUNDATION, MAY K                                      | 3000           |  | 1851 HILLVIEW ST                  | SARASOTA        | 33579 |
| HOUSE OF HUSTON FOUNDATION INC                               | 2940           |  | 1001 MANATI AVE                   | CORAL GABLES    | 33146 |

| FOUNDATION NAME                                    | GRANTS<br>PAID | CARE OF NAME                               | STREET                          | CITY            | ZIP   |
|--|----------------|--|---------------------------------|-----------------|-------|
| SCADRON MEMORIAL EDUCATIONAL FUND, IRENE<br>HAAS   | 2862           | % QUINCY STATE BANK<br>TREE                | 4 E. WASHINGTON ST              | QUINCY          | 32351 |
| EPSTEIN FOUNDATION, THE SAMUEL P                   | 2860           | % CARPENTER MAY &<br>BREMER                | 310 OKEECHOBEE BLVD             | WEST PALM BEACH | 33401 |
| POSNER FOUNDATION INC, VICTOR                      | 2825           |  | DRAWER K NORMANDY<br>BRANCH     | MIAMI BEACH     | 33140 |
| ROTARY CLUB OF ST PETERSBURG TRUST FUND            | 2800           | % LANDMARK UNION TRUST<br>COMPANY, TRUSTEE | 9TH ST. & CENTRAL AV            | ST PETERSBURG   | 33701 |
| KIPNIS FOUNDATION INC, JEROME AND NORMA            | 2800           | % J K LASSER & CO                          | 2401 INDEPENDENT SQUARE         | JACKSONVILLE    | 32202 |
| KAY FOUNDATION INC, DAVE AND LAURA                 | 2744           |  | 550 BAYVIEW DR APT 1524         | NORTH MIAMI BE* | 33164 |
| EXLEY FOUNDATION INC, EDWARD WILKES                | 2736           |  | 4549 ORTEGA FOREST<br>DRIVE     | JACKSONVILLE    | 32210 |
| REYNOLDS FOUNDATION                                | 2609           |  | 1470 S OCEAN BLVD               | POMPANO BEACH   | 33062 |
| NELSON FOUNDATION INC                              | 2581           |  | 3175 GREEN DOLPHIN LANE         | NAPLES          | 33940 |
| SOCHET FOUNDATION INC                              | 2561           |  | PO BOX 756                      | SOUTH MIAMI     | 33143 |
| GOLUB FOUNDATION INC, RACHEL AND DAVID             | 2560           |  | 400 DIPLOMAT PARKWAY            | HALLANDALE      | 33009 |
| SEIGAL CHARITABLE FOUNDATION, CHARLES AND<br>EDITH | 2542           |  | 2200 SO OCEAN LANE              | FORT LAUDERDALE | 33316 |
| CHAPIN FOUNDATION                                  | 2532           |  | PO BOX 789                      | PALM BEACH      | 33480 |
| EVANS FOUN INC, J E                                | 2500           |  | PO BOX 1137                     | DADE CITY       | 33525 |
| FITZPATRICK FOUNDATION, RONEY                      | 2500           | % HASKINS & SELLS                          | 1 SE 3 AVENUE SUITE<br>2000     | MIAMI           | 33131 |
| MELTZER FOUNDATION INC, HERMAN AND DAVID           | 2434           |  | 2295 S OCEAN BLVD               | PALM BEACH      | 33480 |
| POLLAK FOUNDATION, ALBERT                          | 2400           |  | 1701 MERIDIAN AVE               | MIAMI BEACH     | 33139 |
| MCCANN TRUST U/W 2500, HENRY C                     | 2400           | % LANDMARK UNION TRUST<br>BANK             | PO BOX 11388                    | ST PETERSBURG   | 33733 |
| ST JOSEPH FAMILY FOUNDATION INC                    | 2354           | % WHITCOMB HARRISON &<br>CO.               | ELLIS FIRST NATL BK<br>BLDG     | BRADENTON       | 33505 |
| HIRSCHBERG FDN, MORTON R                           | 2321           |  | 1217 BLVD PO BOX 1035           | JACKSONVILLE    | 32201 |
| WEICHELT MEMORIAL FUND                             | 2233           | % BARNETT BANK OF<br>TALLAHASSEE           | PO BOX 870                      | TALLAHASSEE     | 32302 |
| DUBOIS FOUNDATION, T V                             | 2218           |  | 1120 N LAKE WAY                 | PALM BEACH      | 33480 |
| WHITFIELD FOUNDATION INC                           | 2200           | % SUN FIRST BK AT<br>ORLANDO               | PO BOX 3631                     | ORLANDO         | 32802 |
| GRAHAM TESTAMENTARY TRUST, LETITIA V               | 2200           | % FLAGSHIP BANK OF<br>TAMPA                | POST OFFICE BOX 1498            | TAMPA           | 33601 |
| HUFTY FOUNDATION                                   | 2155           | % CALLAWAY CARPENTER<br>MAY & BREMER       | 310 OKEECHOBEE RD               | WEST PALM BEACH | 33401 |
| PEPPARD FOUNDATION INC, GEORGE M                   | 2125           |  | 3000 BISCAYNE BLVD<br>SUITE 511 | MIAMI           | 33137 |
| HOWARD FOUNDATION INC, J ALEX                      | 2100           |  | PO BOX 295                      | JACKSONVILLE    | 32201 |
| PALM BEACH COUNTY SCHOLARSHIP FOUNDATION           | 2100           | % ATLANTIC NATIONAL<br>BANK                | 302 DATURA ST                   | WEST PALM BEACH | 33402 |
| KASPER EDUCATIONAL TRUST                           | 2099           | % ELLA KASPER TRUSTEE                      | 1800 BIMINI DRIVE               | ORLANDO         | 32806 |
| SHOLES CHARITABLE FOUNDATION                       | 2016           | % SAMPSON SHOLES                           | 8140 COLLINS AVE                | MIAMI BEACH     | 33141 |
| SEYMOUR FOUNDATION INC, DON                        | 2000           | % DON SEYMOUR                              | BOX 163                         | CAPTIVA         | 33924 |
| GOMORY FOUNDATION INC, ROSELLA                     | 2000           |  | 130 SUNRISE AVE                 | PALM BEACH      | 33480 |
| JENKINS SCHOLARSHIP FUND, HARRY L & ORA M          | 2000           | % LANDMARK UNION TRUST<br>BANK             | PO BOX 11388                    | ST PETERSBURG   | 33733 |
| LILLIAN S WELLS FOUNDATION INC                     | 2000           |  | 620 E LAS OLAS BLVD             | FT LAUDERDALE   | 33301 |
| NEWMAN FOUNDATION INC                              | 2000           |  | PO BOX 2030                     | TAMPA           | 33601 |
| RUSKIN EDUCATIONAL FOUNDATION INC                  | 2000           |  | PO BOX 128                      | RUSKIN          | 33570 |

| FOUNDATION NAME                                      | GRANTS PAID | CARE OF NAME                         | STREET                        | CITY            | ZIP   |
|--|-------------|--------------------------------------|-------------------------------|-----------------|-------|
| ETHEL M KENNEDY CHARITABLE FOUNDATION INC            | 2000        |                                      | 1365 NORTH VIEW DRIVE         | MIAMI BEACH     | 33140 |
| CLARK FOUNDATION INC, ALLEN                          | 2000        |                                      | SUNSET ISLE #1                | ST PETERSBURG   | 33703 |
| DUBE FOUNDATION, HARRY S                             | 1975        |                                      | 1948 IOWA AVENUE NE           | MIAMI BEACH     | 33140 |
| TRAVERS FOUNDATION INC                               | 1975        |                                      | 5151 COLLINS AVE              | NAPLES          | 33940 |
| WOMANS CLUB OF WINTER HAVEN SCHOLARSHIP              | 1975        |                                      | 2340 GORDON DR                | WINTER HAVEN    | 33880 |
| FUND EXCHANGE NATIONAL BANK OF WINTER HAVEN TRUSTEE  |             |                                      | PO DRAWER 800                 |                 |       |
| MAXCY FOUNDATION INC                                 | 1957        |                                      | PO BOX 158                    | FROSTPROOF      | 33843 |
| RUDERMAN FOUNDATION, JACK                            | 1941        |                                      | 5161 COLLINS AVE              | MIAMI BEACH     | 33140 |
| ROTHKOPF FOUNDATION                                  | 1903        | % PAUL ROTHKOPF                      | 3725 SOUTH OCEAN DR APT 924   | HOLLYWOOD       | 33020 |
| KATZ FOUNDATION, HERMAN M AND MYRTLE                 | 1850        |                                      | 1980 S OCEAN DR APT 22 G      | HALLANDALE      | 33009 |
| SEPIELLI JR MEMORIAL MUSICAL SCHOLARSHIP FUND, JIMMY | 1830        |                                      | 2013 HARDING ST               | HOLLYWOOD       | 33020 |
| KISLAK FOUNDATION, JAY I                             | 1821        |                                      | 1101 BRICKELL AVE             | MIAMI           | 33131 |
| BEACHAM FOUNDATION INC, CHARLES R                    | 1820        |                                      | 839 PONTE VEDRA BLVD          | PONTE VEDRA BE* | 32082 |
| MCMULLIN FOUNDATION, C M                             | 1765        |                                      | 1541 SE 14TH ST               | OCALA           | 32670 |
| WRIGHT III TRUST, REVEREND ROBERT H                  | 1759        | % ATLANTIC NATL BANK OF JACKSONVILLE | GENERAL MAIL CENTER           | JACKSONVILLE    | 32231 |
| MOORE FAMILY TRUST                                   | 1750        |                                      | POST OFFICE BOX 3103          | TALLAHASSEE     | 32303 |
| BETTIN FOUNDATION INC                                | 1700        |                                      | PO BOX 3974                   | LANTANA         | 33462 |
| MARKS LTD, HERBERT                                   | 1642        |                                      | 9100 WEST BAY HARBOR DR       | BAY HARBOR ISL* | 33154 |
| COWEN FAMILY FOUNDATION INC, MARTIN I                | 1616        |                                      | 10275 COLLINS AVE             | MIAMI BEACH     | 33154 |
| COFFIN CHARITABLE FOUNDATION, BRUCE AND MADELEINE    | 1610        |                                      | THE KENILWORTH HOUSE          | BAL HARBOUR     | 33154 |
| MOURE FOUNDATION INC                                 | 1590        |                                      | 5611 CASTANEDA STREET         | CORAL GABLES    | 33146 |
| CROSSLEY FOUNDATION                                  | 1550        | % RICHARD C CROSSLEY TRUSTEE         | 1845 57TH STREET              | SARASOTA        | 33580 |
| WILDERMAN MEMORIAL FOUNDATION                        | 1550        |                                      | 121 E DAVIS BLVD              | TAMPA           | 33606 |
| SALIT FOUNDATION                                     | 1533        |                                      | 1950 S OCEAN DR APT 18Q       | HALLANDALE      | 33009 |
| JOHNSON FOUNDATION, EDWARD H                         | 1530        |                                      | 3050 NE 48TH ST APT 101       | FORT LAUDERDALE | 33308 |
| THOMPSON FOUNDATION                                  | 1530        |                                      | POST OFFICE BOX 1046          | CLEARWATER      | 33517 |
| REDSTONE CHARITABLE TRUST, MICHAEL                   | 1500        | % MICHAEL REDSTONE                   | 10275 COLLINS AVE             | BAL HARBOUR     | 33154 |
| PHILLIPS FOUNDATION INC, DELLA                       | 1500        |                                      | 60 W ROBINSON ST PO BOX 3753  | ORLANDO         | 32802 |
| NOONAN FOUNDATION, W J                               | 1500        | % BARNETT BANK OF PENSACOLA          | PO BOX 631                    | PENSACOLA       | 32502 |
| SAFERIAN TRUST, PAUL                                 | 1500        | % ST PETERSBURG BANK & TRUST COMPANY | PO BOX 11209                  | ST PETERSBURG   | 33733 |
| GREENE FOUNDATION INC                                | 1500        |                                      | PO BOX 400                    | BRADENTON       | 33506 |
| ZALOOM FOUNDATION, BASIL J AND MARIE-THERESA         | 1455        |                                      | 418 QUADRANT RD               | NORTH PALM BEA* | 33408 |
| FLEIGH FOUN INC, BOB                                 | 1450        |                                      | 2016 SUNRISE KEY BLVD         | FT LAUDERDALE   | 33304 |
| NEWCOMBE FOUNDATION INC                              | 1440        | % FRANK A NEWCOMBE                   | 3443 RUM ROW                  | NAPLES          | 33940 |
| WALTON TRUST, GEORGE T                               | 1440        |                                      | 801 NE 33RD STREET            | POMPANO BEACH   | 33064 |
| LEBAN FOUNDATION INC                                 | 1436        |                                      | 2131 HOLLYWOOD BLVD SUITE 201 | HOLLYWOOD       | 33020 |
| WOLFSON FOUNDATION INC, LOULYFRAN                    | 1425        |                                      | 316 N MIAMI AVENUE            | MIAMI           | 33128 |
| BENJAMIN FOUNDATION INC                              | 1389        |                                      | 2600 N FLAGLER DR             | WEST PALM BEACH | 33407 |
| MAHONEY HADLOW, CHAMBERS & ADAMS FOUNDATION          | 1370        |                                      | 100 LAURA ST                  | JACKSONVILLE    | 32202 |



| FOUNDATION NAME   | GRANTS PAID  | CARE OF NAME                               | STREET                                 | CITY                        |                |
|---|--------------|--|--|-----------------------------|----------------|
| PALM BEACH COMMUNITY TRUST FUND   | 1350         | % FIRST NATIONAL BANK<br>IN PALM BEACH     |  | PALM BEACH                  | 33480          |
| SIMONE FOUNDATION INC, HARRY<br>KIRBO JR TRUST, T M & G L                 | 1350<br>1293 | % BARNETT BANK OF<br>JACKSONVILLE NA       | 4700 BISCAYNE BLVD<br>PO BOX 40200     | MIAMI BEACH<br>JACKSONVILLE | 33137<br>32202 |
| MCGEARY FOUNDATION INC  | 1289         |  | 8340 NORTHEAST 2ND<br>AVENUE RM 221    | MIAMI                       | 33138          |
| CHERTKOF FOUNDATION INC, ETHEL  | 1283         | % E. POSNICK                               | 2501 S OCEAN DRIVE APT<br>1510         | HOLLYWOOD                   | 33020          |
| SCHECHTER FOUNDATION INC, SELMA   | 1250         |  | 151 S W FIRST ST                       | MIAMI                       | 33130          |
| LONGACRE FOUNDATION INC   | 1232         |  | 420 49TH ST E LOT 103                  | PALMETTO                    | 33561          |
| LICHTENSTEIN CHARITABLE AND EDUCATIONAL<br>FOUNDATION, SAMUEL L & LILLIAN | 1225         |  | 1701 CLEVELAND ROAD                    | MIAMI BEACH                 | 33141          |
| HOROVITZ CHARITABLE FOUNDATION, ELLIOTT S                                 | 1200         |  | 934 FLORIDA NATIONAL<br>BANK BUILDING  | JACKSONVILLE                | 32202          |
| CRANDALL MEMORIAL SCHOLARSHIP TRUST FUND                                  | 1200         | % ERNEST J HEWETT TTEE                     | 1414 FIRST NATL BANK<br>BLDG           | MIAMI                       | 33131          |
| JEFFRESS FOUNDATION   | 1179         |  | 103 52ND AVENUE TERRACE<br>WEST        | BRADENTON                   | 33507          |
| ENGLAND CHARITY FUND, MARTHA L  | 1169         |  | PO DRAWER 800                          | WINTER HAVEN                | 33880          |
| MOTE SCIENTIFIC FOUNDATION INC  | 1100         |  | 580 SPINNAKER LANE                     | SARASOTA                    | 33577          |
| HUFFSTETLER FOUNDATION, LESLIE R & MYRA                                   | 1100         | % ATLANTIC BANK OF<br>EUSTIS               |  | EUSTIS                      | 32726          |
| JOHNSON & AGNES M JOHNSON CHARITABLE<br>TRUST, THOMAS E                   | 1075         |  | 75 PALM CLUB                           | POMPAHO BEACH               | 33062          |
| LAPIDUS, JOSEPH AND HANNAH  | 1053         |  | 5 ISLAND AVE APT 12D                   | MIAMI BEACH                 | 33139          |
| MARKOWITZ FAMILY FOUNDATION INC, BEN                                      | 1049         |  | 5600 NE 4TH ST                         | MIAMI                       | 33137          |
| WHITE BELT FOUNDATION   | 1025         |  | 6045 NE 2ND AVENUE                     | MIAMI                       | 33137          |
| WITZ FOUNDATION INC   | 1000         |  | 150 SE SECOND AVE                      | MIAMI                       | 33131          |
| WASMUTH FOUNDATION, THOMAS C  | 1000         |  | 5660 COLLINS AVE APT 18<br>AB          | MIAMI BEACH                 | 33140          |
| WELLHOUSE JR FOUNDATION INC, RHODA &<br>LOUIS                             | 1000         |  | 9501 EXPRESSWAY NO 1<br>REGENCY SQUARE | JACKSONVILLE                | 32211          |
| KOEPPPEL FOUNDATION INC, LOUIS D  | 900          |  | 3725 SO OCEAN DRIVE                    | HOLLYWOOD                   | 33019          |
| SABEL FOUNDATION INC  | 900          |  | 6053 EXPRESSWAY                        | JACKSONVILLE                | 32211          |
| DUVAL FOUNDATION  | 860          |  | 816 ATLANTIC BANK ANNEX                | JACKSONVILLE                | 32202          |
| EDWARDS FOUNDATION  | 855          |  | 3546 S OCEAN DR                        | PALM BEACH                  | 33480          |
| LAZARUS CHARITABLE TRUST  | 812          |  | 5704 BAMBOO CIRCLE                     | TAMARAC                     | 33313          |
| YOUNG FOUNDATION INC  | 800          |  | PO BOX 65                              | MAITLAND                    | 32751          |
| FLORIDA FOUNDATION INC  | 775          |  | PO BOX 2500                            | JACKSONVILLE                | 32203          |
| EDUCATION SERVICES CONSORTIUM INC   | 771          |  | 705 NORTH RIDE                         | TALLAHASSEE                 | 32303          |
| GOLDSTEIN FAMILY FOUNDATION, SAM A & B B                                  | 757          |  | PO BOX 01-1310                         | MIAMI                       | 33101          |
| WEIL FUND, ALVIN B  | 730          | % PALMER FIRST NATIONAL<br>BANK & TRUST    |  | SARASOTA                    | 33578          |
| RUTENBERG FAMILY FOUNDATION INC, CHARLES<br>& ISA                         | 725          |  | 2400 WEST BAY DRIVE                    | LARGO                       | 33540          |
| BLUN FOUNDATION   | 710          |  | 510 WEDGE LANE                         | SARASOTA                    | 33577          |
| DEE CHARITABLE FUND, VIRGINIA P   | 700          | % WILLIAM CUDAHY                           | FIRST NATIONAL BANK                    | PALM BEACH                  | 33480          |
| HAYS MEMORIAL TRUST, JOHN HULSEY  | 700          | % EXCHANGE NATIONAL<br>BANK OF WINTER PARK | PO BOX 800 250 MAGNOLIA<br>AVE SW      | WINTER HAVEN                | 33880          |
| MEYER FOUNDATION, JOHN J  | 675          |  | 5100 WASHINGTON AV                     | HOLLYWOOD                   | 33021          |
| MESSINGER FOUNDATION INC, ABE & GERTRUDE                                  | 628          |  | 1670 BAY DRIVE,<br>NORMANDY ISLE       | MIAMI BEACH                 | 33141          |

| FOUNDATION NAME  | GRANTS<br>PAID | CARE OF NAME                                | STREET                                | CITY                        | ZIP            |
|--|----------------|---|---------------------------------------|-----------------------------|----------------|
| GOLDMAN FOUNDATION INC, FRANK AND ANNA<br>WINTER HAVEN HOSPITAL CHARITY FUND | 626<br>619     | % EXCHANGE NATIONAL<br>BANK OF WINTER       | 9424 BYRON AVENUE<br>P. O. DRAWER 800 | MIAMI BEACH<br>WINTER HAVEN | 33154<br>33880 |
| SCHNEIDER FUND, AUSTIN AND BETTY   | 605            |   | 2780 NE 183RD ST 1617C                | NORTH MIAMI BE*             | 33160          |
| HUGHES MEMORIAL FOUNDATION INC   | 600            |   | PO BOX 3189                           | ORLANDO                     | 32802          |
| LEWIS FOUNDATION INC, CHISLAINE & J<br>NORMAN                                | 590            |   | 2142 BAY AVE SUNSET<br>ISLE 4         | MIAMI BEACH                 | 33140          |
| MARIAN TRUST, JOSEPH & OPHELIA   | 581            | % JOSEPH B MARIAN                           | 116 SEABREEZE BLVD                    | DAYTONA BEACH               | 32018          |
| GOLDSTEIN FOUNDATION, ARNOLD AND VIVIEN                                      | 550            |   | 4273 NO CASPER COURT                  | HOLLYWOOD                   | 33021          |
| MARCUS MEMORIAL FOUNDATION, DOCTOR NATHAN<br>L                               | 500            |   | 413 FIRST NATIONAL BANK<br>BUILDING   | TAMPA                       | 33602          |
| SIMPSON MEMORIAL TRUST, SCOTT  | 500            |   | 875 LINCOLNSHIRE<br>ESTATES           | LARGO                       | 33540          |
| LEVOWICH CHARITABLE FOUNDATION IN MEMORY<br>OF MARY LEVOWICH, HYMAN N        | 500            | % FIRST NATL BK OF<br>MIAMI TRUST & IN      |                                       | MIAMI                       | 33131          |
| LESTER TRUST FUND, HELEN W   | 500            |   | 1400 FIRST NATIONAL<br>BANK BLDG      | MIAMI                       | 33131          |
| MOORE JR MEMORIAL FOUNDATION INC, COYLE E                                    | 500            |   | 2021 MISSION RD                       | TALLAHASSEE                 | 32304          |
| GREEN FOUNDATION, JOHN B GREEN AND<br>LILLIAN MAE                            | 500            | LANDMARK UNION TRUST<br>BANK                | P O BOX 11388                         | ST PETERSBURG               | 33733          |
| STROH SCHOLARSHIP TESTAMENTARY TRUST,<br>CORA                                | 500            |   | 350 SO INDIANA AVE P O<br>BOX 1305    | ENGLEWOOD                   | 33533          |
| PAUL & HELEN LAZARUS FOUNDATION  | 500            |   | PO BOX 2018                           | SARASOTA                    | 33578          |
| SOREY MUSIC FOUNDATION INC, VINCENT  | 470            |   | 1039 18 STREET                        | MIAMI BEACH                 | 33139          |
| CORAL GABLES WAR MEMORIAL YOUTH CENTER<br>ASSOCIATION                        | 434            | % J D VAN ATTEN                             | 226 SAN SEBASTIAN AVE                 | CORAL GABLES                | 33134          |
| ROY S LETOURNEAU FOUNDATION INC  | 425            |   | 104 LAKE BRANTLEY<br>TERRACE          | LONGWOOD                    | 32750          |
| WATERMAN FUND INC  | 385            |   | 2801 EAST OAKLAND PARK<br>BLVD        | FORT LAUDERDALE             | 33306          |
| RESNIK FOUNDATION, REUBEN & HELGA  | 379            |   | 500 MADISON DR                        | SARASOTA                    | 33577          |
| PINELLAS FOUNDATION INC  | 375            |   | 1771 BRIGHT WATERS BLVD<br>NE         | ESTERO                      | 33705          |
| HERZFELD FOUNDATION INC, BERNIE & MIN  | 350            |   | 2751 S OCEAN DR APT N<br>506          | HOLLYWOOD                   | 33019          |
| DAMRON SCHOLARSHIP FOUNDATION, DOLORES<br>AND DARLENE                        | 335            |   | P O BOX 14728                         | FT LAUDERDALE               | 33302          |
| CARY CHARITABLE TRUST, FRANCES W CARY &<br>ELTON M                           | 325            |   | 306 NO MIAMI AVE                      | MIAMI                       | 33128          |
| HANLEY FOUNDATION, HILDRETH FRANCIS  | 318            | % ELLIS SARASOTA BANK<br>AND TRUST CO       | P O BOX 4295                          | SARASOTA                    | 33578          |
| BRAMS FOUNDATION, STEWART L AND FLORENCE<br>G                                | 310            |   | 203 SUNRISE DR 105                    | KEY BISCAYNE                | 33149          |
| RAY SCHOLARSHIP TRUST, WALTER CARL   | 308            | % SUN BANK OF OCALA                         | P. O. BOX 310                         | OCALA                       | 32670          |
| FRIEDWALD FOUNDATION INC, LYNNE  | 300            |   | 1288 101 ST BAY HARBOR<br>ISLAND      | MIAMI BEACH                 | 33154          |
| STOWELL FOUNDATION INC   | 300            | % WM. C. KOPPEL                             | 2040 N E 164 ST. SUITE<br>207         | NORTH MIAMI BE*             | 33162          |
| CHIP MILLER CHARITABLE TRUST   | 300            |   | 1626 BAY VIEW DR                      | SARASOTA                    | 33579          |
| YARDLEY MEMORIAL TRUST   | 300            | % EXCHANGE NATIONAL<br>BANK OF WINTER HAVEN | P. O. DRAWER 800                      | WINTER HAVEN                | 33881          |
| KATZEN CHARITABLE TRUST, PAUL & BELLE H                                      | 265            |   | 7133 BAY DRIVE                        | MIAMI BEACH                 | 33141          |

| FOUNDATION NAME  | GRANTS PAID | CARE OF NAME                         | STREET                        | CITY            | ZIP   |
|--|-------------|--------------------------------------|-------------------------------|-----------------|-------|
| GRUNDWERG FOUNDATION INC                                 | 261         |                                      | 608 AINSLEY BLDG              | MIAMI           | 33132 |
| SUTHERLAND FOUNDATION                                    | 250         |                                      | 4411 NE 27TH AVENUE           | LIGHTHOUSE POI* | 33064 |
| ROSENFELT FOUNDATION                                     | 250         |                                      | 1930 SUMMERLAND AV            | WINTER PARK     | 32789 |
| DAUGHERTY FOUNDATION INC                                 | 235         |                                      | 12 SOUTH BAY STREET           | EUSTIS          | 32726 |
| HENDERSON FOUNDATION, A D                                | 225         |                                      | 750 S OCEAN BLVD              | BOCA RATON      | 33432 |
| PHILLIPS FOUNDATION INC, A P                             | 220         |                                      | 1045 LEGION PLACE             | ORLANDO         | 32804 |
| GRACEMAN FOUNDATION                                      | 215         |                                      | 3015 PINE TREE LANE           | BOYNTON BEACH   | 33435 |
| LERNER FOUNDATION, THE LOUIS C                           | 210         | % LERNER & COMPANY                   | 315 GOLF VIEW DR              | BOCA RATON      | 33432 |
| LERNER FOUNDATION, THE LOUIS C                           | 210         | % LERNER & COMPANY                   | 315 GOLF VIEW DR              | BOCA RATON      | 33432 |
| HEARN FOUNDATION, LYDIA & SAM B                          | 207         |                                      | P O BOX H                     | PANAMA CITY BE* | 32401 |
| HIBEL ART FOUNDATION, EDNA                               | 150         |                                      | PO BOX 10607                  | RIVIERA BEACH   | 33404 |
| KRUG FOUNDATION INC, STEWART L                           | 141         |                                      | 1641 PALMETTO ST              | CLEARWATER      | 33315 |
| WINOKUR CHARITABLE FOUNDATION, HARRY & ETTA              | 140         |                                      | 4280 N OCEAN BLVD             | FT LAUDERDALE   | 33308 |
| HAGER FAMILY FOUNDATION INC                              | 120         |                                      | 2611 N RIVERSIDE DR APT 302   | POMPANO BEACH   | 33062 |
| SANTINI MEMORIAL CHILDRENS, LEONARD                      | 100         | % FIRST NATIONAL BANK IN FORT MYERS  | P O BOX 130                   | FORT MYERS      | 33902 |
| BOTHERS FAMILY FOUNDATION                                | 100         |                                      | PO BOX 32 GEN DEL             | CHULUOTA        | 32766 |
| ECKERD FOUNDATION, JACK AND RUTH                         | 100         |                                      | RT 1 BOX 575M                 | BROOKSVILLE     | 33512 |
| MIGRANT SERVICES FOUNDATION INC                          | 38          |                                      | PO DRAWER 520337              | MIAMI           | 33152 |
| NATIONAL FOUNDATION FOR HIGHWAY SAFETY INC               | 0           | % HAROLD J HOUSE                     | 1850 LOMBARDY DRIVE           | CLEARWATER      | 33515 |
| CARVIN FOUNDATION INC, CHARLES W                         | 0           |                                      | PO BOX 2655                   | PALM BEACH      | 33480 |
| POLLOCK FOUNDATION                                       | 0           | % DAVID S POLLOCK                    | 3901 S OCEAN DR APT 80        | HOLLYWOOD       | 33019 |
| BELK RESEARCH FOUNDATION                                 | 0           |                                      | P O BOX 2163 AMF              | MIAMI           | 33159 |
| BOOB INC   | 0           | % JUNE UFFOND                        | 230 AVENIDA CENTRAL           | INDIALANTIC     | 32903 |
| SANSON FOUNDATION INC                                    | 0           | % DR SAMUEL TUCK                     | 250 SAN MARINO DRIVE          | MIAMI BEACH     | 33139 |
| NATIONAL DIVIDEND FOUNDATION INC                         | 0           | % JOHN H PERRY                       | 100 E 17TH ST                 | RIVIERA BEACH   | 33404 |
| NICHOLAS S ACEA ELEEMOSYNARY FOUNDATION                  | 0           |                                      | 701 S 21ST AVE                | HOLLYWOOD       | 33020 |
| WHITE FOUNDATION, EARTHA M M                             | 0           |                                      | 613 W ASHLEY STREET           | JACKSONVILLE    | 32202 |
| WESTMINISTER FOUNDATION INC                              | 0           |                                      | 1087 A1A HIGHWAY              | HILLSBORO BEACH | 33062 |
| GOLD COST SUMMER CAMP INC                                | 0           |                                      | 10124 NW 7TH AVE              | MIAMI           | 33150 |
| FULL LIFE MINISTRIES INC                                 | 0           |                                      | PO BOX 113                    | CLEARWATER      | 33517 |
| NEW LIFE FOUNDATION INC                                  | 0           |                                      | 2900 72ND STREET NORTH        | ST PETERSBURG   | 33710 |
| OCONNELL YOUTH ASSISTANCE FUND TRUST, PHIL               | 0           | % ATLANTIC NATIONAL BANK             |                               | WEST PALM BEACH | 33402 |
| LIVING INSTITUTE FOR EDUCATION INC                       | 0           | % CAPLAN, HARRISON, BROWN, & CO.     | P. O. BOX 560068              | MIAMI           | 33156 |
| TOWERS OF LOVE INC                                       | 0           |                                      | 212 ST GEORGE ST              | ST AUGUSTINE    | 32084 |
| HAYWARD FOUNDATION CHARITABLE TRUST, JOHN T AND WINIFRED | 0           | % TRUST DEPT THE FIRST NATL BANK OF* | 121 N OSCEOLA AVE             | CLEARWATER      | 33515 |
| TAYLOR FAMILY FOUNDATION INC                             | 0           |                                      | 303 N RIVERSIDE DR APT 706    | POMPANO BEACH   | 33062 |
| HOLLAND TRUST, GEORGIA SEAGLE                            | 0           | % FLA NATL BANK TRUSTEE              | PO BOX 790                    | GAINESVILLE     | 32601 |
| DAG HAMMARSKJOLD FELLOWSHIP INC                          | 0           |                                      | 2365 RIVERSIDE AVENUE         | JACKSONVILLE    | 32204 |
| HUMAN RESEARCH FOUNDATION INC                            | 0           |                                      | 2455 E SUNRISE BLVD SUITE 518 | FORT LAUDERDALE | 33304 |
| POLASEK FOUNDATION INCORPORATED, ALBIN                   | 0           |                                      | 633 OSCEOLA AVE               | WINTER PARK     | 32789 |
| DADE COUNTY BAR ASSOCIATION EDUCATIONAL FOUNDATION INC   | 0           |                                      | 111 NW FIRST AVE              | MIAMI           | 33131 |
| ORGANIZED MIGRANTS IN COMMUNITY ACTION INC               | 0           |                                      | 278 S KROME                   | HOMESTEAD       | 33030 |

**ADDENDUM C.6**

**EXAMPLE OF FOUNDATION "WRITE-UP"**

**BUSH (EDYTH) CHARITABLE FOUNDATION, INC.**

**650 BARNETT NATIONAL BANK BLDG.**

**WINTER PARK, FLA. 32789**

**INCORPORATED in 1973 in FLORIDA**

**DONOR: EDYTH BUSH**

**PURPOSE AND ACTIVITIES:** Support for charitable, educational, and cultural organizations, with emphasis on welfare, higher education, community service and welfare agencies and youth agencies, in Florida and especially central Florida. No grants to individuals or endowment funds.

**FINANCIAL DATE:** (yr. ended 8/31/77) Assets, \$28,610,029;  
Incoming gifts, \$300,915; Grant awards, \$1,322,624

**CHIEF OFFICER:** David R. Roberts, President

**DIRECTOR:** Charlotte B. Hueser

**CONTACT:** David R. Roberts

**GRANT APPLICATION INFORMATION:** Program policy statement and grant application guidelines available; initial approach by letter or phone; submit 2 copies of proposal; no application deadline; board meets 3 times a year.

**IRS ID#:** 237318041

**GRANT INFO**

\$467,864 was spent on Welfare and Social Services programs, including:

\$14,200 - to Youth Program, Inc. of Orlando

\$17,000 - to Division of Family Services for dealing with Court involved boys and girls

\$27,825 - to various United way projects etc., etc.

**SUMMARY INFO**

Large foundation with huge assets and relevant grant awards. Good potential for grants in central Florida area, especially community and juvenile related programs.

## ADDENDUM C.7

### FOUNDATIONS IDENTIFIED AS FAVORABLE SOURCES OF POTENTIAL FUNDS\*

| NAME                             | LOCATION                     |
|----------------------------------|------------------------------|
| CHARITY INCORPORATED             | JACKSONVILLE (DUVAL)         |
| RIVER BRANCH FOUNDATION          | JACKSONVILLE (DUVAL)         |
| SWISHER FOUNDATION               | JACKSONVILLE (DUVAL)         |
| WINN-DIXIE STORES FOUNDATION     | JACKSONVILLE (DUVAL)         |
| WOLFSON FAMILY FOUNDATION        | JACKSONVILLE (DUVAL)         |
| BUSH CHARITABLE FOUNDATION       | WINTER PARK (ORANGE)         |
| JENKINS FOUNDATION               | LAKELAND (POLK)              |
| PHILLIPS FOUNDATION              | ORLANDO (ORANGE)             |
| LEE FOUNDATION                   | ORLANDO (ORANGE)             |
| DAVIS FOUNDATION                 | CORAL GABLES (DADE)          |
| DUNSPAUGH-DALTON FOUNDATION      | MIAMI (DADE)                 |
| ROSENBERG FOUNDATION             | MIAMI (DADE)                 |
| COMMUNITY FOUNDATION OF SARASOTA | SARASOTA (SARASOTA)          |
| LOUIS & SELMA LEE FOUNDATION     | SARASOTA (SARASOTA)          |
| SELBY & MARIE SELBY FOUNDATION   | SARASOTA (SARASOTA)          |
| CONN MEMORIAL FOUNDATION         | TAMPA (HILLSBOROUGH)         |
| CHASTAIN CHARITABLE FOUNDATION   | PALM BEACH (PALM BEACH)      |
| MCCONNELL FOUNDATION             | PALM BEACH (PALM BEACH)      |
| MCINTOSH FOUNDATION              | WEST PALM BEACH (PALM BEACH) |
| PALM BCH. CO. COMMUNITY TRUST    | PALM BEACH (PALM BEACH)      |
| BASTIEN FOUNDATION               | FT. LAUDERDALE (BROWARD)     |
| HUNTER GRUBB FOUNDATION, INC.    | FT. LAUDERDALE (BROWARD)     |
| PRICE FOUNDATION                 | FT. MYERS (LEE)              |

\* It must be noted that this list is in no way totally inclusive of all foundations which might provide funds for DRA projects. Besides the limitations previously noted concerning the amount of research done, it must also be recognized that foundations which didn't appear to have an interest in the dispute resolution area, might still be susceptible to such an interest if approached. Secondly, many of the smaller foundations not researched (those with annual givings under \$10,000) could prove susceptible as well.

## ADDENDUM C.8

### A Bibliography of Sources of Information on Funding Alternatives

#### GOVERNMENT GRANTS AND CONTRACTS

*Catalog of Federal Domestic Assistance and Updates*. 1975. Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402

Lists and describes many of the financial assistance programs of the federal government. Information is included on the purpose of the programs, types of assistance provided, eligibility requirements, application and award process, matching requirements, appropriations for the program and program accomplishments.

Lists and describes many of the financial assistance programs of the federal government. Information is included on the purpose of the programs, types of assistance provided, eligibility requirements, application and award process, matching requirements, appropriations for the programs and program accomplishments. The Catalog also lists references to literature about the program and places to contact for more information. Updates to the Catalog are issued periodically; there is, however, a delay from the time the changes are made until the time the information gets published. Consequently, any information obtained from the Catalog should be checked out with the agency administering the program to insure its accuracy.

*Commerce Business Daily*, Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402

*Commerce Business Daily* is a publication in which the Federal Government announces bids for contracts and contract awards. An agency wishing to bid on a contract must submit a statement of its qualifications to the funding source.

*Federal Register*, Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402

The *Federal Register* includes rules and regulations governing programs as well as announcements of funding priorities, guidelines for applying the programs, closing dates for the receipt of applications, and information on the distribution of funds to state and local agencies.

Fitzgerald, Delores, *Funding Resources and the Pre-Trail Field* - 1978. Washington, D.C.: Pre-trial Services Resource Center, 1978.

This publication serves as an excellent reference tool addressing the problem of how and where to look for funding.

*Florida Handbook of Assistance to Local Governments*. 1977. State Department of Community Affairs, 2571 Executive Center Circle, East, Tallahassee, Florida 32301

Lists updated sources of state and federal services and grants available to Florida municipal governments and non-profit organizations.

#### GRANTSMANSHIP

Allen, Herb, Editor, *The Bread Game: The Realities of Foundation Fundraising*, Glide Publications, 330 Ellis Street, San Francisco, California 04102



Church, David M., *Seeking Foundation Funds*, The National Public Relations Council of Health and Welfare Services, inc., 815 Second Avenue, New York, New York 10017

Hill, William J., *A Comprehensive Guide to Successful Grantsmanship*, Grant Development Institute, 2552 Ridge Road, Littleton, Colorado 80120

MacIntyre, Michael, *How to Write a Proposal*, Volt Information Sciences, Inc., 1828 L Street, N.W., Washington, D.C. 20036

Margolis, Judith B., *About Foundations: How to Find the Facts You Need to Get a Grant*, The Foundation Center, 888 Seventh Avenue, New York, New York 10019

Mirkin, Howard R., *The Complete Fund Raising Guide*, Public Service Materials Center, 335 Lexington Avenue, New York, New York 10017

*The Grantsmanship Center*, P.O. Box 44759, 1015 W. Olympic Boulevard, Los Angeles, California 90015

The Grantsmanship Center conducts week-long training seminars in large cities across the country. Participants represent non-profit organizations lacking grant-seeking expertise.

#### FOUNDATION GRANTS

Davis, Jerry C., Editor, *A Guide to Foundations of the Southeast*, Office of Development, Cumberland College, Williamsburg, Kentucky 40769

*Foundation Annual Reports*. Available from individual foundations; free; Also can be purchased from The Foundation Center, 888 Seventh Avenue, New York, New York 10019, on microfiche cards.

Reports on each foundation's grants, including the amount, recipient, and purpose. Approximately 300 foundations publish annual reports.

*The Foundation Center Source Book*, 1975/1976, Columbia University Press, 136 South Broadway, Irvington, New York 10533

Contains profiles of approximately 200 foundations, including all grants made in the year of record plus detailed statements of policies, programs, application procedures, and recent fiscal data under each foundation's name.

*The Foundation Grants Index* 1974, Columbia University Press, 136 South Broadway, Irvington, New York 10533. 1975

Lists approximately 10,000 grants of 45,000 or more from about 250 mostly large national foundations, cross referenced by subject, foundation and recipient. Information about each grant includes: amount of the grant, recipient name and location, grant authorization date, grant description (in most cases), grant identification number (for cross reference purposes). Many of the grants also are coded by type of population group benefiting from the activity, phase of activity, site of activity, if other than the recipient location, program, geographic or other limitation set by the foundation and source of grant date.

*Foundation Grants Index-Bimonthly Edition*, published in *Foundation News*, Council on Foundations, 888 Seventh Avenue, New York, New York 10019

Published as a removable center section of the six-times-a year *Foundation News* magazine. At the end of the year, the six issues are combined and become the following year's *Foundation Grants Index*.

*Funding Sources Clearinghouse, Inc.*, 2600 Bancroft Way, Berkeley, California 94704. Available only to members, open only to non-profit organizations.

Conducts searches of foundations for member organizations seeking grants. Prepares a complete list and supplies an analysis of the 5 to 10 foundations which it feels to be the most likely sources of support. Membership fee includes one free project-grant search, a free monthly digest of current grant-seeking and a funding alert. Additional project-grant searches and biographical profiles on foundation officials are also available.

*Foundation News*, Council on Foundations, 888 Seventh Avenue, New York, New York 10019

Contains articles on new developments in foundation program areas as well as the Foundation Grants Index-Bimonthly Edition (see above).

*Grantsmanship Center News*, The Grantsmanship Center, Post Office Box 33759, 1015 West Olympic Boulevard, Los Angeles, California 90015

Includes information on foundation funding patterns.

*State Directories of Foundations Bibliography*, The Foundation Center, 888 Seventh Avenue, New York, New York 10019. Free

This bibliography provides information on where to obtain state directories of foundations. States now publishing these directories include: California, Connecticut, District of Columbia, Georgia, Indiana, Kentucky, Maine, Massachusetts, Michigan, Minnesota, New Hampshire, New Jersey, North Carolina, Ohio, Oklahoma, Oregon, Rhode Island, South Carolina, Tennessee, Texas, Vermont, Virginia, and Wisconsin.

*The Foundation Center National Data Book*, Vols. I & II, The Foundation center, 888 Seventh Avenue, New York, New York 10019

Lists 26,000 private foundations in U.S. It is the most comprehensive foundation data base.

*Where America's Large Foundations Make Their Grants*, 1974-75 Edition, Public Service Materials Center, 335 Lexington Avenue, New York, New York 10017

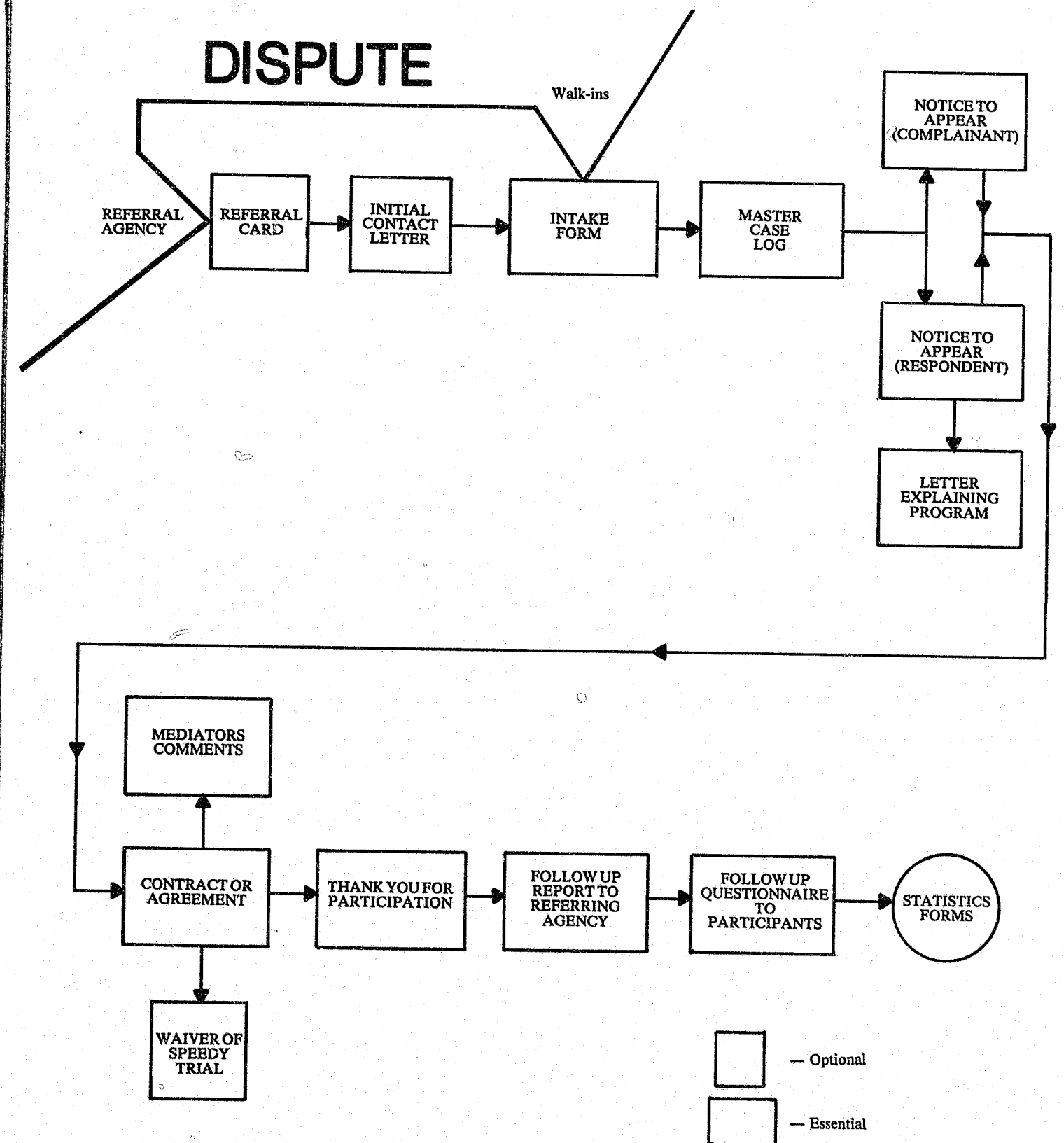
Gives a select sampling of grants awarded by 750 foundations having at least \$1 million in assets.

**ADDENDUM D**  
**CDS PAPERFLOW CHART**

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# CDS PAPERFLOW

## DISPUTE



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**ADDENDUM E**  
**MODEL CDS PROGRAM OPERATIONAL FORMS**

**SUMMARY OF SAMPLE FORMS**

**Form #1 Agency Referral Cards (1 ARC)**

These cards are distributed to law enforcement agencies, social service agencies, as well as other referral sources to facilitate the referrals to CDS. The cards serve two purposes:

- Card #1 - Explains the CDS program to the disputants and provides information necessary for them to contact the program.
- Card #2 - Is filled out by the referral agency and mailed to the CDS program by business reply mail. This provides the program with information about the dispute and the disputants.

**Form #2 Initial Contact Letter (2 ICL/C)**

This letter is sent to the complaining party informing them again of the CDS process and asking them to contact the CDS program.

**Form #3 Telephone Log Sheet (3 TLS)**

This phone log is used to document the total number of calls a program receives. It also will reflect the number and nature of out-going referrals by the program.

**Form #4 Intake Form (4 IF/B)**

This form contains all the essential information about a case. The intake officer completes this form during the intake screening process. This form is the most comprehensive document in a CDS program. This intake form could be used for both complainant intake or respondent intake though the latter occurs very infrequently.

**Form #5 Master Case Log (5 MCL/B)**

This form is used by program personnel to provide a means for quick access to cases as well as a means of case organization and tracking. It contains information as to the case number, date, names of disputants, hearing date and mediator.

**Form #6 Notice to Appear/Complainant (6 NTA/C)**

This notice to appear is to inform the complainant of the exact time and place of the hearing. It can be given to the complainant at the time of intake or mailed out later.

**Form #7 Notice to Appear/Respondent (7 NTA/R)**

This notice to appear is sent to the respondent to inform him or her that a complaint has been filed against them, who made the complaint, and the time and date set for a hearing. This notice should be sent out as soon after intake as possible.

**Form #8 Letter Explaining Program (8 LEP/R)**

This letter is sent to the respondent along with the notice to appear. The letter explains the CDS program to the respondent.

**Form #9 Mediation Agreement (9 MA/B)**

If the disputing parties are able to reach an agreement during the mediation hearing, they are encouraged to sign this mutual agreement. This agreement is written up in contract form by the mediator. Copies are given to both parties.

**Form #10 Mediator Report (10 MR)**

This is a confidential form between the staff and the mediator where the mediator expresses his view on any underlying problems he may have seen during the mediation and what the staff might look for if there are any future problems with the dispute or disputants.

**Form #11 Waiver of Speedy Trial (11 WST)**

This document is utilized if either or both disputants have formal criminal charges pending against them and they have not already signed a speedy trial waiver agreement with the prosecutor. This will enable the prosecutor to maintain the option of prosecuting if the disputant does not comply with an agreement reached through CDS.

**Form #12 Thank You for Participation (12 TYFP)**

This letter is given to the participants along with their copies of the contract. This not only thanks the participants but also explains to them what to do if there is a breakdown in the agreement or in the event of a future problem.

**Form #13 Follow-up Report to Referring Agency (13 FUR/RA)**

This form is to inform the referring agency of the outcome of the case. This may simply involve enclosing a copy of the agreement, if one was reached. It will also serve to inform the agency on the expected behavior of the two parties should they encounter them.

**Form #14 Letter Accompanying Follow-Up Questionnaire (14 LAFQ/B)**

This letter is sent to both participants a few weeks following their CDS hearing. The letter solicits them to fill out and return the accompanying questionnaire to the CDS program.

**Form #15 Follow-Up Questionnaire/Complainant (15 FUQ/C)**

This is the attitudinal questionnaire sent to the complainant. It is designed to gauge the complainants satisfaction with the agreement reached and the CDS process in general.

**Form #16 Follow-Up Questionnaire/Respondent (16 FUQ/R)**

This is the attitudinal questionnaire sent to the respondent. It is designed to gauge the respondents satisfaction with the agreement reached and the CDS process in general.

**FORM #1 -- AGENCY REFERRAL CARDS**

**AGENCY  
REFERRAL**

**CARD#1**

**CITIZEN DISPUTE SETTLEMENT PROGRAM**

123 Palm St.  
Anywhere, FL 0000

Telephone: 347-7883  
Hours: Mon.-Fri. 8:30-5:00

The Citizen Dispute Settlement Program is designed to offer an alternative to the usual criminal court proceedings for citizens who may have disputes or personal problems with other persons in the community. The Citizen Dispute Settlement Program is available to you at no cost. It is set up to provide a hearing where both parties may present their side of the problem. An impartial third person will serve as the hearing officer to assist in resolving the dispute.

For further information about the program, contact the Citizen Dispute Settlement Program at the above address and telephone number.

**AGENCY  
REFERRAL**

**CARD#2/A SIDE**

BUSINESS REPLY MAIL  
FIRST CLASS PERMIT NO. 00000 ANYTOWN, U.S.A.  
POSTAGE WILL BE PAID BY ADDRESSEE

CDS  
P.O. BOX 1234  
ANYWHERE FL. 00000

**CITIZEN DISPUTE SETTLEMENT PROGRAM**

123 Palm St.  
Anywhere, FL 00000

Telephone: 347-7883  
Hours: Mon.-Fri. 8:30-5:30

DATE: \_\_\_\_\_ TIME: \_\_\_\_\_ LOCATION: \_\_\_\_\_  
COMPLAINANT: \_\_\_\_\_ RESPONDENT: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_ ADDRESS: \_\_\_\_\_  
PHONE: \_\_\_\_\_ PHONE: \_\_\_\_\_  
BRIEF DESCRIPTION OF FACTS: \_\_\_\_\_

Report by Officer \_\_\_\_\_ Agency: \_\_\_\_\_

Copy to Citizen Dispute Settlement Program

**CARD#2/B SIDE**

TWENTY-FIRST JUDICIAL  
CIRCUIT IN AND FOR  
NEW COUNTY



**CITIZEN DISPUTE SETTLEMENT  
PROGRAM**  
**P.O. BOX 1234**  
**122 PALM STREET**  
**ANYWHERE, FL 00000**  
**347-7883**

Dear

The Citizen Dispute Settlement Program (C.D.S.) has received information from the  
regarding a complaint made by you on \_\_\_\_\_ concerning \_\_\_\_\_.

Accordingly, we are required to review your complaint, and prepare a report of our findings.

A hearing will be arranged by CDS, at which time both parties will be present and permitted to explain their version of the incident before an impartial hearing officer.

It is important that this matter be pursued as quickly as possible. Therefore, within five (5) days of your receipt of this letter, telephone our office for an appointment.

CDS will keep advised of the progress of this matter prior to our final recommendation.

**Phone: 347-7883**

Very truly yours,

2 ICL/C

[illegible]

3 TLS

FORM #4 - INTAKE FORM / BOTH

**CITIZEN DISPUTE SETTLEMENT  
INTAKE FORM**

TODAY'S DATE      Mo.      Day      Yr.      CDS# \_\_\_\_\_

**COMPLAINT:**

|         |  |  |       |      |                   |   |   |
|---------|--|--|-------|------|-------------------|---|---|
| Last    |  |  | First | M.I. | Sex               | M | F |
| Address |  |  |       |      | Ethnic Background |   |   |
|         |  |  |       |      | Bus. No.          |   |   |
| City    |  |  | State | Zip  | Home No.          |   |   |

RESPONDENT:

|         |  |  |       |      |                   |   |   |
|---------|--|--|-------|------|-------------------|---|---|
| Last    |  |  | First | M.I. | Sex               | M | F |
| Address |  |  |       |      | Ethnic Background |   |   |
|         |  |  |       |      | Bus. No.          |   |   |
| City    |  |  | State | Zip  | Home No.          |   |   |

★ ★

REFERRED BY: \_\_\_\_\_

TYPE OF DISPUTE: Criminal \_\_\_\_\_ Civil \_\_\_\_\_ Juvenile \_\_\_\_\_

TYPE OF CASE: \_\_\_\_\_

NATURE OF RELATIONSHIP: Cohabitating \_\_\_\_\_ or Non-cohabitating \_\_\_\_\_  
 Personal \_\_\_\_\_ or Casual \_\_\_\_\_  
 Other \_\_\_\_\_

SPECIFIC RELATIONSHIP: \_\_\_\_\_

CIRCUMSTANCES OF DISPUTE: \_\_\_\_\_

DESIRED OUTCOME: \_\_\_\_\_

HEARING SCHEDULED FOR: M-T-W-Th-F-S   /  /   at    PM AM

MEDIATOR: \_\_\_\_\_

DATE NOTICES SENT:       

PRIOR CDS CONTACT: Respondent \_\_\_\_\_ Complainant \_\_\_\_\_ Both \_\_\_\_\_

**FINAL DISPOSITION:** \_\_\_\_\_ Referred to: \_\_\_\_\_  
 \_\_\_\_\_ Unable to Contact Respondent  
 \_\_\_\_\_ No Show: Respondent \_\_\_\_\_ Complainant \_\_\_\_\_ Both \_\_\_\_\_  
 \_\_\_\_\_ Dispute Cancelled by Complainant Prior to Hearing  
 \_\_\_\_\_ Dispute Settled Prior to Hearing  
 \_\_\_\_\_ Mediation Hearing and Agreement  
 \_\_\_\_\_ No Agreement Reached at Hearing  
 \_\_\_\_\_ Other \_\_\_\_\_

4 IF / B

**FORM #5 - MASTER CASE LOG**[illegible]5 MCL/B<sup>9</sup>



FORM #6 - NOTICE TO APPEAR/COMPLAINANT

TWENTY-FIRST JUDICIAL  
CIRCUIT IN AND FOR  
NEW COUNTY



CITIZEN DISPUTE SETTLEMENT  
PROGRAM  
P.O. BOX 1234  
122 PALM STREET  
ANYWHERE, FL 00000  
347-7883

CDS NO.

Please be advised that a hearing on your complaint of

Dispute Settlement Program of the 21st Judicial Circuit of Florida. You are hereby notified to appear at the County Courthouse, Room , Anywhere, FL, at PM/AM, on against will be held by the Citizen for a hearing on your complaint. Please present yourself promptly. No excuse for non-appearance will be permitted without 48 hours advance notice.

6NTA/C

FORM #7 - NOTICE TO APPEAR/RESPONDENT

TWENTY-FIRST JUDICIAL  
CIRCUIT IN AND FOR  
NEW COUNTY



CITIZEN DISPUTE SETTLEMENT  
PROGRAM  
P.O. BOX 1234  
122 PALM STREET  
ANYWHERE, FL 00000  
347-7883

CDS NO.

Please be advised that a complaint of

County Courthouse, Room , Anywhere, FL, at PM/AM, on has been made against you by You are hereby notified to appear at .A hearing on the complaint will be conducted on the above date and time. Please present yourself promptly. Failure to appear may result in the aggravation of the situation, and may lead to future legal action. No excuse for non-appearance will be permitted without 48 hours advance notice.

7NTA/R

FORM #8 - LETTER EXPLAINING PROGRAM/RESPONDENT

TWENTY-FIRST JUDICIAL  
CIRCUIT IN AND FOR  
NEW COUNTY



CITIZEN DISPUTE SETTLEMENT  
PROGRAM  
P.O. BOX 1234  
122 PALM STREET  
ANYWHERE, FL 00000  
347-7883

Dear

A complaint has been filed against you and after careful examination, it has been determined that this matter might best be resolved by the Office of the Citizen Dispute Settlement Program of the 21st Judicial Circuit of Florida. This program makes possible a speedier hearing than would be available if the case were heard in any other manner.

The Citizen Dispute Settlement Program will provide a hearing on this matter before a trained mediator, skilled in conflict resolution. This mediator, together with you and the complainant, will attempt to reach a lasting solution to the problem.

Attached to this letter is a Notice to Appear, giving you the date, time and place at which a hearing will be held in this matter. If you have any questions regarding the hearing, please feel free to contact us at 347-7883.

Sincerely,

8LEP/R

FORM #9 - MEDIATION AGREEMENT/BOTH

21ST JUDICIAL CIRCUIT OF FLORIDA  
CITIZENS DISPUTE SETTLEMENT CENTER

CDS NO. \_\_\_\_\_

THE MATTER OF \_\_\_\_\_ AND \_\_\_\_\_

WAS HEARD THIS \_\_\_\_\_ DAY OF \_\_\_\_\_, 19 \_\_\_\_\_, BEFORE \_\_\_\_\_

MEDIATOR. THE PARTIES HAVE AGREED TO THE FOLLOWING.

THE PARTIES AGREE THAT THIS AGREEMENT SHALL CONSTITUTE A FAIR, JUST AND EQUITABLE SETTLEMENT BETWEEN THEM AND SHALL ABIDE BY THE FINDINGS, TERMS AND CONDITIONS HEREIN ABOVE SET FORTH.

SIGNED THIS \_\_\_\_\_ DAY OF \_\_\_\_\_, 19 \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

MEDIATOR

9MA/B

FORM #10 - MEDIATOR REPORT

CITIZENS DISPUTE SETTLEMENT PROGRAM  
MEDIATOR REPORT

COMPLAINANT \_\_\_\_\_

VS

RESPONDENT \_\_\_\_\_

DATE/

FAILED TO APPEAR

Complainant \_\_\_\_\_ Respondent \_\_\_\_\_ Both \_\_\_\_\_

HEARING

Held \_\_\_\_\_ Not Held \_\_\_\_\_ Rescheduled \_\_\_\_\_

AGREEMENT

Reached \_\_\_\_\_ Not Reached \_\_\_\_\_

REMARKS \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

RECOMMENDATION: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Mediator's Name \_\_\_\_\_

10MR

FORM #11 - WAIVER OF SPEEDY TRIAL/BOTH

IN THE CIRCUIT COURT OF THE  
TWENTY-FIRST JUDICIAL CIRCUIT,  
IN AND FOR THE NEW COUNTY,  
NO.

FLORIDA

STATE OF FLORIDA

Plaintiff,

v.

Defendant.

I understand that I am under consideration for the New County Citizen Dispute Settlement Program, and as long as I am a Program participant in good standing, my case will not come to trial during that time.

I understand further that I have a right to have my case filed and brought to trial under Florida Rule of Criminal Procedure 3.191 within one hundred and eighty (180) days if a felony, and ninety (90) days, if a misdemeanor and I have a right to a Preliminary Hearing as provided in Rule 3.131.

In order to participate in the Citizen Dispute Settlement Program, I do hereby freely and voluntarily waive my right to a speedy trial, and my right to a Preliminary Hearing, with the realization that my case may be scheduled for trial if an agreement cannot be reached, or if the terms of the agreement, if one is reached, are not fulfilled, through the Citizen Dispute Settlement Program. In either of these events, the time during the period between the signing of this waiver and the occurrence of an inability to reach an agreement, or a default in an agreement reached, shall not apply towards the time allowed for a speedy trial.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 19 \_\_\_\_\_

(Witness)

(Witness)

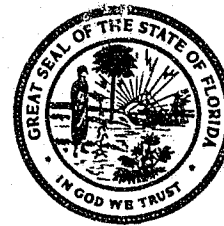
(Witness)

Attorney for Defendant

11 WST/B

FORM #12 - THANK YOU FOR PARTICIPATION/BOTH

TWENTY-FIRST JUDICIAL  
CIRCUIT IN AND FOR  
NEW COUNTY



CITIZEN DISPUTE SETTLEMENT  
PROGRAM  
P.O. BOX 1234  
122 PALM STREET  
ANYWHERE, FL 00000

Dear

You have participated in a New County Citizen Dispute Settlement hearing. At the hearing, the conflict between you and the opposing party was resolved by a written resolution. Attached, please find a copy of such resolution for your information and your files.

It is the belief of the Citizen Dispute Settlement Program that this method of resolving interpersonal disputes is an effective way of putting an end to such problems. All that is necessary is the honor and the word of the participating individuals. At your hearing, both parties voluntarily agreed to cease adverse behavior toward one another. It is now up to each of you to show that you are honorable, respectable adults who will abide by the findings and resolution of the Citizen Dispute Settlement Mediator. We are all hoping that such is the case with your particular problem.

The Citizen Dispute Settlement Program stands ready to assist you again; we sincerely believe that we will not have to. If, however, you feel the need to consult us regarding this resolved dispute, or perhaps on another matter, please feel free to call us at 347-7883. With hope that we have been of service,

Best regards,

12 TYFP/B

FORM #13 - FOLLOW UP REPORT TO REFERRAL AGENCY

TWENTY-FIRST JUDICIAL  
CIRCUIT IN AND FOR  
NEW COUNTY



CITIZEN DISPUTE SETTLEMENT  
PROGRAM  
P.O. BOX 1234  
122 PALM STREET  
ANYWHERE, FL 00000  
347-7883

MEMORANDUM

TO:

FROM: Citizen Dispute Settlement

RE: \_\_\_\_\_ vs \_\_\_\_\_

On \_\_\_\_\_, we received information from your regarding these parties. Attached is the latest information we have regarding the situation.

13 FUR/RA

FORM #14- LETTER ACCOMPANYING FOLLOW-UP QUESTIONNAIRES

TWENTY-FIRST JUDICIAL  
CIRCUIT IN AND FOR  
NEW COUNTY



CITIZEN DISPUTE SETTLEMENT  
PROGRAM  
P.O. BOX 1234  
122 PALM STREET  
ANYWHERE, FL 00000  
347-7883

Dear

You will recall that a few weeks ago you were one of the participants in a hearing of the Citizen Dispute Settlement Program. It is our desire to determine if the hearing was successful, and invite any comments you might have as to the nature of the program itself. We believe that the Citizen Dispute Settlement Program is an opportunity for a citizen to voice his complaints and differences about another, and reach a resolution to these issues in an informal setting.

We appreciate your participation in the program and ask that you fill out the enclosed questionnaire to the best of your abilities and return it to us promptly. The primary purpose of this follow-up is to help the program provide better service to yourself and others in the future.

Thank you in advance for your cooperation.

Sincerely,

FORM #15- FOLLOW-UP QUESTIONNAIRE/COMPLAINANT

EXPERIENCE OF CITIZEN DISPUTE SETTLEMENT (CDS) COMPLAINANT

1. How did you first find out about the Citizen Dispute Settlement (CDS) program? (please check one)

- ☐ 1. From a law enforcement officer or agency
- ☐ 2. From the State Attorney's Office
- ☐ 3. From a Judge
- ☐ 4. From the Clerk of the Court
- ☐ 5. From news media (specify which)
- ☐ 6. Other (please specify)

2. How satisfied were you with the agreement reached at the CDS mediation hearing you participated in? (please circle one)

Very Satisfied      Satisfied      Unsatisfied      Very Unsatisfied  
FOR EACH OF THE FOLLOWING STATEMENTS, PLEASE CIRCLE THE ANSWER WHICH SHOWS HOW YOU FEEL

3. The mediator was impartial and gave both me and the other party an equal opportunity to explain our sides to the dispute during the mediation hearing.

Strongly Agree      Agree      Disagree      Strongly Disagree

4. The mediator kept the discussion directed at the main issues of the dispute during the mediation hearing.

Strongly Agree      Agree      Strongly Disagree      Disagree

5. The mediator was genuinely interested and encouraged us to reach an agreement in our dispute.

Strongly Agree      Agree      Strongly Disagree      Disagree

6. In your opinion, is the problem which resulted in the complaint being made by you, with the CDS Program, resolved?

- ☐ 1. Yes, the problem is *totally* resolved
- ☐ 2. The problem has only been *partially* resolved
- ☐ 3. No, the problem still exists

7. If you have future problems resulting in disputes of a similar nature, what would you do?  
(please check one of the following)

- ☐ 1. I would try to ignore it and do nothing  
☐ 2. I would try to work out a resolution myself  
☐ 3. I would file a complaint with the CDS program  
☐ 4. I would file a complaint with the court  
☐ 5. Other (please specify) \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

8. Was the *time* set for your hearing with the CDS Program convenient for you?

- ☐ 1. Yes  
☐ 2. No (If no, please explain) \_\_\_\_\_

9. Was the *place* set for your hearing with the CDS Program convenient for you?

- ☐ 1. Yes  
☐ 2. No (If no, please explain) \_\_\_\_\_

10. Please use the space below for anything else you would like to add about your experience with the CDS Program. (please use additional sheets of paper, if necessary)

# FORM #16 - FOLLOW-UP QUESTIONNAIRE/RESPONDENT

## EXPERIENCE OF CITIZEN DISPUTE SETTLEMENT (CDS) RESPONDENT

1. How were you first notified that a complaint had been made against you with the Citizen Dispute Settlement (CDS) Program? (please check one)

- ☐ 1. I received a telephone call from the CDS Program  
☐ 2. I received a letter from the CDS Program  
☐ 3. I was directed to contact the CDS Program by a law enforcement officer or agency  
☐ 4. I was directed to contact the CDS Program by the State Attorney's Office  
☐ 5. I was directed to contact the CDS Program by the Clerk of the Court's Office.  
☐ 6. Other (please specify) \_\_\_\_\_

2. How satisfied were you with the agreement reached at the CDS mediation hearing you participated in? (please circle one)

|                   |           |             |             |                     |
|-------------------|-----------|-------------|-------------|---------------------|
| Very<br>Satisfied | Satisfied | Unsatisfied | Unsatisfied | Very<br>Unsatisfied |
|-------------------|-----------|-------------|-------------|---------------------|

FOR EACH OF THE FOLLOWING STATEMENTS, PLEASE CIRCLE THE ANSWER WHICH SHOWS HOW YOU FEEL

3. The mediator was impartial and gave both me and the other party an equal opportunity to explain our sides to the dispute during the mediation hearing.

|                   |       |                      |          |
|-------------------|-------|----------------------|----------|
| Strongly<br>Agree | Agree | Strongly<br>Disagree | Disagree |
|-------------------|-------|----------------------|----------|

4. The mediator kept the discussion directed at the main issues of the dispute during the mediation hearing.

|                   |       |                      |          |
|-------------------|-------|----------------------|----------|
| Strongly<br>Agree | Agree | Strongly<br>Disagree | Disagree |
|-------------------|-------|----------------------|----------|

4. The mediator kept the discussion directed at the main issues of the dispute during the mediation hearing.

|                   |       |          |                      |
|-------------------|-------|----------|----------------------|
| Strongly<br>Agree | Agree | Disagree | Strongly<br>Disagree |
|-------------------|-------|----------|----------------------|

5. The mediator was genuinely interested and encouraged us to reach an agreement in our dispute.

|                   |       |          |                      |
|-------------------|-------|----------|----------------------|
| Strongly<br>Agree | Agree | Disagree | Strongly<br>Disagree |
|-------------------|-------|----------|----------------------|

6. In your opinion, is the problem which resulted in the complaint being made against you, with the CDS Program, resolved?

- ☐ 1. Yes, the problem is *totally* resolved  
☐ 2. The problem has only been *partially* resolved  
☐ 3. No, the problem still exists



7. If you have future problems resulting in disputes of a similar nature, what would you do?  
(please check one of the following)

- ☐ 1. I would do nothing
- ☐ 2. I would try to settle the dispute myself
- ☐ 3. I would submit the dispute to the CDS Program
- ☐ 4. I would file a formal complaint with the court
- ☐ 5. Other (please specify)

8. Was the time set for your hearing with the CDS Program convenient for you?

- ☐ 1. Yes
- ☐ 2. No (If no, please explain)

9. Was the place set for your hearing with the CDS Program convenient for you?

- ☐ 1. Yes
- ☐ 2. No (If no, please explain)

10. Please use the space below for anything else you would like to add about your experience with the CDS Program. (Please use additional sheets of paper, if necessary)

## ADDENDUM F

### CASE MANAGEMENT STATISTICAL FORMS

This addendum consists of the three forms necessary to implement a management information system, as well as instructions and guidelines for their utilization. More specifically, the addendum contains the instructions and form for compiling statistical case file information on a case-by-case basis, instructions and the necessary form to summarize the case file data into monthly statistics, and a form to deal with information in "other" and "multiple" categories.

#### **INSTRUCTIONS FOR UTILIZATION OF CASE FILE SUMMARY STATISTICS FORMS**

##### ***A. General Instructions***

1. Recording the information from the case files onto the case files statistics form will be in one of three ways.
  - a. In most cases, an "X" mark in the box indicating one of the categories for each item is appropriate.
  - b. For some items, such as the date of the complaint and zip codes, specific information must be recorded in the space provided for each case.
  - c. When one of the designated categories is not appropriate, an X should be placed in the box for "Other" and the information should then be recorded on the "Record of Information in Other and Multiple Categories Form" provided.
2. The case file statistics will be collected on a case-by-case basis by the intake officer responsible for the particular case. All the requested information should be available in the case files.
3. It is recommended that the information be recorded as quickly as possible after a case is fully disposed of by CDS, i.e. when a final disposition is rendered.
4. Please do not guess or make inferences. If a case file is missing the necessary information on any item, it should be indicated by using the missing value category provided.
5. If the category on the summary statistics form is followed by a dollar sign, and a specific dollar amount is designated in the case file, please record the dollar amount in the available space for that case. The recorded figure can be rounded to the nearest dollar figure. If the value designated reflects a monthly amount (e.g., rent) which cannot be compiled into a total, an "X" mark is all that is necessary.
6. In some instances, more than one category can be designated for one item (e.g., nature of complaint may involve a complainant seeking "disengagement" and "payment/return of money"). This should be dealt with by placing an "X" in the multiple dispute, multiple complaint, etc., category and then recording the different categories in the attached form entitled "Record of Information in Other and Multiple Categories." It should be emphasized that the multiple category should only be used when the various of complaints, agreements, etc., are of equal importance in the case. In other words, if an area appears to be of minor importance to the disputants, use the category indicating the primary complaint, agreement, etc.

##### ***B. Specific Instructions***

1. Case Number - adapt to local jurisdiction.
2. Sequence Number - this number is primarily to aid in the documentation of individual case file information on the several pages of the case file statistics sheets.
3. Date of Complaint - month and date the complaint was filed.

4. Case Origination - the agency or organization which referred the complainant to the CDS program or what the complainant's source of information was as to the existence of CDS.

5. Complainant's Zip Code — record only the last three digits. Leave blank if information is not available.

6. Respondent's Zip Code — record only the last three digits. Leave blank if information is not available.

#### 7. Type of Dispute - Generally

a. Criminal — involves an act by an adult where a possible violation of a State Statute or municipal/county ordinance has occurred. An adult is anyone 18 years of age older.

b. Juvenile - involves an act by a juvenile where a possible violation of a State Statute or municipal/county ordinance has occurred. A juvenile is anyone under the age of 18. Only classify cases juvenile where the respondent is a *juvenile*.

c. Civil - is a dispute where no possible governmental sanction or penalty can be levied.

#### 8. Type of Dispute - Specifically

a. Assault - a threat by word or act to intentionally injure another person. It does not involve the actual carrying out of the threat.

b. Assault & Battery - a threat of bodily injury plus the actually and intentional carrying out of the threat.

c. Recovery of money and/or property - a dispute usually involving the loan of money or property and the subsequent non-return of property or not repaying money and no criminal act was involved. Record estimated value of property and/or amount of money involved in dispute.

d. Larceny - the taking of money and/or property without authorization of owner. If available, record the estimated value of the property stolen.

e. Retail theft - shoplifting. If available, record the estimated value of property stolen.

f. Criminal Mischief — the damaging or destruction of real or personal property (vandalism). If it can be determined, record the value of the property damaged.

g. Neighborhood — dispute between neighbors not already designated. Examples include; property disputes, disputes related to the relationship of the disputants' children, or a combination of a number of disputes or problems that emulate from the neighbor relationship.

h. Animal Nuisance — involves the creation of a nuisance involving an animal such as dog running loose, barking, destruction of property by an animal, unsitely premises as a result of the keeping of animals, disturbing odors, etc.

i. Noise Nuisance - a noise other than an animal noise which causes problems or disturbs the complaining party.

j. Landlord/Tenant - a civil dispute between landlord and tenant such as rental rates, security deposit, damages, etc., which does not involve a criminal act.

k. Consumer - the whole realm of disputes that may arise between a business and an individual customer. Does not include criminal fraud.

l. Harassment — it does not include any of the other identified disputes such as assault, animal or noise nuisance, landlord/tenant or any other previously mentioned dispute. Primarily, any other dispute where the complaining party is alleging being unnecessarily annoyed by the respondent.

m. Truancy - skipping school.

n. Child Custody - dispute where the custody of a child, or children, is sought by one parent.

o. Child Support - post dissolution/separation problem or dispute related to the provision of child support by one spouse to the other for care of children. Child support includes both financial and/or physical support.

p. Child Visitation - post dissolution/separation problem or dispute related to the right of one spouse to visit his/her children who are not in his/her custody.

q. Other Delinquent Act - any act committed by a juvenile not specified in the categories provided. The nature of the behavior should be recorded on the Record of Other and Multiple Categories form.

r. Other — any other dispute not previously specified. The nature of behavior should be recorded on the Record of Other and Multiple Categories form.

#### 9. Relationship of Disputants

a. Most are self-explanatory.

b. Explanation of Selected Data Elements

(1) Male/Female - Personal Cohabiting - involves a personal relationship between persons of the opposite sex who are living together. In most cases, the individuals, at the time the CDS receives case, have split up.

(2) Friends /Casual Cohabiting - involves a casual relationship between two or more individuals who are living together, i.e. roommates.

(3) Friends/Casual Noncohabiting — involves a casual relationship between two or more individuals who are not living together.

(4) Male/Female Personal Noncohabiting - involves a personal relationship between persons of the opposite sex who are not living together, i.e. boyfriend/girlfriend.

(5) Relatives - involves a dispute between or among relatives not including husband/wife. Primarily includes extended family members such as brothers, sisters, aunts, uncles, nieces, nephews, cousins, grandparents, grandchildren, in-laws and step-parents and children.

#### 10. Nature of Complaint

A. Most are self-explanatory.

b. Explanation of Selected Data Elements

(1) Seek Alteration of Past Behavior - involves the complainant seeking a change in the behavior of the respondent which instigated the dispute.

(2) Seek Disengagement - involves the complainant seeking to end any contact/relationship with the respondent.

11. Nature of Disposition

- a. Referral to Criminal Jurisdiction - Program staff decision to refer case to State Attorney and not schedule hearing. This decision is made at intake.
- b. Referred to Civil Jurisdiction - Program staff decision to refer case to the court. This decision is made at intake.
- c. Referral to Social Service Agency - Program staff decision to refer case to appropriate social service or governmental agency. This decision is made at intake. Record the agency name.
- d. Refused to handle, no referral specified - The program staff, for specified reasons, refused to handle a dispute. Recorded only when it is specifically mentioned in the case file, and when no referral was made by the program to another agency.
- e. Unable to contact/notify one or both disputants - Because of incorrect address, one or both disputants cannot be notified of hearing date.
- f. No shows - One or both parties do not show for scheduled hearing and there is evidence that the parties were notified.
- g. Hearing cancelled by complainant - It was indicated that the complainant called and cancelled the hearing or withdrew the complaint and did not indicate that the dispute had been resolved.
- h. Dispute settled by disputants before hearing - Disputants indicated that they have settled their dispute among themselves prior to the holding of the mediation hearing.
- i. Mediation hearing and agreement - a hearing was scheduled, a hearing was held and an agreement was reached.
- j. No settlement reached at hearing - a hearing was held but no settlement was reached.

12. Nature of the Agreement - Respondent

a. Most elements self-explanatory.

b. Explanation of Selected Date Elements.

- (1) Alteration of past behavior — The respondent agrees to change the behavior which caused the complaint.
- (2) Disengagement - The respondent agrees to end all contact-relationship with the complainant. Included within this category are agreements to vacate his place of living.
- (3) Child Support - Involves both financial and physical support of family.
- (4) Volunteer to attend/participate in designated program - Involves a commitment to attend and/or participate in any extracurricular activity for which the respondent is not presently involved.

13. Nature of Agreement — Complainant.

a. Same Explanation as Provided Above in 12.

14. Number of Days from Complaint to Disposition - Record the number of days from the date of complaint to the hearing date. The figure is not to be inclusive, i.e., do not count both the day the complaint was made and the day the disposition occurred. For example, if the complaint was filed on the 10th day of the month and the case was resolved on the 20th day, the correct figure would be 10 days. If the dispute was dealt with on the same day as the complaint, record it as one (1) day.

15. Prior Contact with CDS Program - Complainant - Self-Explanatory.

16. Prior Contact with CDS Program - Respondent - Self-Explanatory.

17. Complainant - Type - If there is more than one complainant unrelated by marriage, record the number of individuals involved (note: do not include incidental complainants who are not playing a primary role in the dispute). The couple category is indicated only for spouses.

18. Respondent - Type - If there is more than one respondent unrelated by marriage, record the number of individuals involved. The couple category is indicated only for spouses.

19. Complainant Sex — If complainant type is a couple, business, governmental agency, or more than one individual, the appropriate category is "not applicable."

20. Respondent Sex - If respondent type is couple, business, governmental agency, or more than one individual, the appropriate category is "not applicable."

21. Complainant Ethnic Background - If complainant type is couple, business, governmental agency, or more than one individual, the appropriate category is "not applicable."

22. Respondent Ethnic Background - If respondent type is couple, business, governmental agency, or more than one individual, the appropriate category is "not applicable."

# **CASE SUMMARY STATISTICS FORM**

Program \_\_\_\_\_

Year \_\_\_\_\_

| CASE NUMBER                    | 1 | 2 | 3 | 4 | 5 | 6 |
|--------------------------------|---|---|---|---|---|---|
| SEQUENCE NUMBER                |   |   |   |   |   |   |
| DATE OF COMPLAINT (Month, Day) |   |   |   |   |   |   |

## **CASE ORIGINATION**

|                            |  |  |  |  |  |  |
|----------------------------|--|--|--|--|--|--|
| Law Enforcement            |  |  |  |  |  |  |
| State Attorney             |  |  |  |  |  |  |
| Walk-In (Self)             |  |  |  |  |  |  |
| Judge                      |  |  |  |  |  |  |
| Clerk of Court             |  |  |  |  |  |  |
| Legal Aid                  |  |  |  |  |  |  |
| Private Attorney           |  |  |  |  |  |  |
| Consumer Protection Agency |  |  |  |  |  |  |
| News Media                 |  |  |  |  |  |  |
| City Hall                  |  |  |  |  |  |  |
| Other Governmental Agency* |  |  |  |  |  |  |
| Other*                     |  |  |  |  |  |  |
| Missing Value              |  |  |  |  |  |  |

## **TYPE OF DISPUTE — GENERALLY**

|               |  |  |  |  |  |  |
|---------------|--|--|--|--|--|--|
| Criminal      |  |  |  |  |  |  |
| Civil         |  |  |  |  |  |  |
| Juvenile      |  |  |  |  |  |  |
| Missing Value |  |  |  |  |  |  |

## **TYPE OF DISPUTE — SPECIFICALLY**

|                                      |  |  |  |  |  |  |
|--------------------------------------|--|--|--|--|--|--|
| Assault                              |  |  |  |  |  |  |
| Assault & Battery                    |  |  |  |  |  |  |
| Recovery of Money and or Property \$ |  |  |  |  |  |  |
| Larceny \$                           |  |  |  |  |  |  |
| Retail Theft \$                      |  |  |  |  |  |  |
| Criminal Mischief \$                 |  |  |  |  |  |  |
| Neighborhood                         |  |  |  |  |  |  |
| Animal Nuisance                      |  |  |  |  |  |  |
| Noise Nuisance                       |  |  |  |  |  |  |
| Landlord/Tenant                      |  |  |  |  |  |  |
| Consumer                             |  |  |  |  |  |  |
| Harassment                           |  |  |  |  |  |  |
| Truancy                              |  |  |  |  |  |  |
| Child Custody                        |  |  |  |  |  |  |
| Child Support                        |  |  |  |  |  |  |
| Child Visitation                     |  |  |  |  |  |  |
| Other Delinquent Act*                |  |  |  |  |  |  |
| Other*                               |  |  |  |  |  |  |
| Multiple Dispute                     |  |  |  |  |  |  |
| Missing Value                        |  |  |  |  |  |  |

## **RELATIONSHIP OF DISPUTANTS**

|                                     | 1 | 2 | 3 | 4 | 5 | 6 |
|-------------------------------------|---|---|---|---|---|---|
| Husband/Wife                        |   |   |   |   |   |   |
| Divorced Spouses                    |   |   |   |   |   |   |
| Parent/Child                        |   |   |   |   |   |   |
| Neighbor/Neighbor                   |   |   |   |   |   |   |
| Landlord/Tenant                     |   |   |   |   |   |   |
| Employers/Employees                 |   |   |   |   |   |   |
| Male/Female Personal Cohabiting     |   |   |   |   |   |   |
| Friends Casual Cohabiting           |   |   |   |   |   |   |
| Friends Casual Non-cohabiting       |   |   |   |   |   |   |
| Relatives                           |   |   |   |   |   |   |
| Male/Female Personal Non-cohabiting |   |   |   |   |   |   |
| Friend/Other*                       |   |   |   |   |   |   |
| No Relationship                     |   |   |   |   |   |   |
| Other*                              |   |   |   |   |   |   |
| Missing Value                       |   |   |   |   |   |   |

## **NATURE OF COMPLAINT**

|  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|
| Seek Alteration of Past Behavior                       |  |  |  |  |  |  |
| Seek Disengagement                                     |  |  |  |  |  |  |
| Seek Payment/Return of Money and/or Property           |  |  |  |  |  |  |
| Seek Maintenance/Removal of Property                   |  |  |  |  |  |  |
| Seek Maintenance/Removal of Property                   |  |  |  |  |  |  |
| Seek Apology   |  |  |  |  |  |  |
| Seek Eviction  |  |  |  |  |  |  |
| Seek to Avoid Eviction                                 |  |  |  |  |  |  |
| Seek Counseling/Participation of Respondent in Program |  |  |  |  |  |  |
| Seek Control of Animals                                |  |  |  |  |  |  |
| Seek Child Support                                     |  |  |  |  |  |  |
| Seek Child Visitation Rights                           |  |  |  |  |  |  |
| Seek Custody of Child                                  |  |  |  |  |  |  |
| Multiple Complaint                                     |  |  |  |  |  |  |
| Other*   |  |  |  |  |  |  |
| Missing Value  |  |  |  |  |  |  |

## **NATURE OF DISPOSITION**

|                                       |  |  |  |  |  |  |
|---------------------------------------|--|--|--|--|--|--|
| Referred to Criminal Jurisdiction     |  |  |  |  |  |  |
| Referred to Civil Jurisdiction        |  |  |  |  |  |  |
| Referred to Social Service Agency     |  |  |  |  |  |  |
| Refused to Handle, No Referral Stated |  |  |  |  |  |  |
| Unable to Contact/Notify Disputant(s) |  |  |  |  |  |  |
| Complainant Did Not Appear            |  |  |  |  |  |  |
| Respondent Did Not Appear             |  |  |  |  |  |  |
| Both Parties Did Not Appear           |  |  |  |  |  |  |
| Hearing Cancelled by Complainant      |  |  |  |  |  |  |
| Dispute Settled Before Hearing        |  |  |  |  |  |  |
| Mediation Hearing and Agreement       |  |  |  |  |  |  |
| No Settlement Reached at Hearing      |  |  |  |  |  |  |
| Other*                                |  |  |  |  |  |  |
| Missing Value                         |  |  |  |  |  |  |

| NATURE OF AGREEMENT — RESPONDENT    | 1 | 2 | 3 | 4 | 5 | 6 |
|-------------------------------------|---|---|---|---|---|---|
| Alteration of Past Behavior         |   |   |   |   |   |   |
| Disengagement                       |   |   |   |   |   |   |
| Payment of Designated Sum of Money  |   |   |   |   |   |   |
| Return of Designated Property       |   |   |   |   |   |   |
| Make Designated Repairs/Service     |   |   |   |   |   |   |
| Volunteer to Participate in Program |   |   |   |   |   |   |
| Establish Cooperative Relationship  |   |   |   |   |   |   |
| Maintenance of Property             |   |   |   |   |   |   |
| Control of Animals                  |   |   |   |   |   |   |
| No Specific Obligation Designated   |   |   |   |   |   |   |
| Allow Child Visitation              |   |   |   |   |   |   |
| Provide Child Support               |   |   |   |   |   |   |
| Multiple Agreement                  |   |   |   |   |   |   |
| Other*                              |   |   |   |   |   |   |
| Not Applicable                      |   |   |   |   |   |   |
| Missing Value                       |   |   |   |   |   |   |

| NATURE OF AGREEMENT — COMPLAINANT                  | 1 | 2 | 3 | 4 | 5 | 6 |
|--|---|---|---|---|---|---|
| Alteration of Past Behavior                        |   |   |   |   |   |   |
| Disengagement                                      |   |   |   |   |   |   |
| Payment of Designated Sum Money and/or Property \$ |   |   |   |   |   |   |
| Make Designated Repairs/Service                    |   |   |   |   |   |   |
| Volunteer to Participate in Program                |   |   |   |   |   |   |
| Establish Cooperative Relationship                 |   |   |   |   |   |   |
| Maintenance of Property                            |   |   |   |   |   |   |
| Control of Animals                                 |   |   |   |   |   |   |
| No Specific Obligation Designated                  |   |   |   |   |   |   |
| Not to Pursue Prosecution                          |   |   |   |   |   |   |
| Not to Pursue Civil Action                         |   |   |   |   |   |   |
| Multiple Agreement                                 |   |   |   |   |   |   |
| Other*   |   |   |   |   |   |   |
| Not Applicable                                     |   |   |   |   |   |   |
| Missing Value                                      |   |   |   |   |   |   |

| PRIOR CONTACT WITH CDS PROGRAM — COMPLAINANT | 1 | 2 | 3 | 4 | 5 | 6 |
|--|---|---|---|---|---|---|
| Yes  |   |   |   |   |   |   |
| No   |   |   |   |   |   |   |
| Missing Value                                |   |   |   |   |   |   |

| PRIOR CONTACT WITH CDS PROGRAM — RESPONDENT | 1 | 2 | 3 | 4 | 5 | 6 |
|---|---|---|---|---|---|---|
| Yes   |   |   |   |   |   |   |
| No  |   |   |   |   |   |   |
| Missing Value                               |   |   |   |   |   |   |

| COMPLAINANT — TYPE  | 1 | 2 | 3 | 4 | 5 | 6 |
|---------------------|---|---|---|---|---|---|
| Individual(s)       |   |   |   |   |   |   |
| Couple              |   |   |   |   |   |   |
| Business            |   |   |   |   |   |   |
| Governmental Agency |   |   |   |   |   |   |
| Missing Value       |   |   |   |   |   |   |

| RESPONDENT — TYPE   | 1 | 2 | 3 | 4 | 5 | 6 |
|---------------------|---|---|---|---|---|---|
| Individual(s)       |   |   |   |   |   |   |
| Couple              |   |   |   |   |   |   |
| Business            |   |   |   |   |   |   |
| Governmental Agency |   |   |   |   |   |   |
| Missing Value       |   |   |   |   |   |   |

| COMPLAINANT SEX | 1 | 2 | 3 | 4 | 5 | 6 |
|-----------------|---|---|---|---|---|---|
| Male            |   |   |   |   |   |   |
| Female          |   |   |   |   |   |   |
| Not Applicable  |   |   |   |   |   |   |
| Missing Value   |   |   |   |   |   |   |

| RESPONDENT SEX | 1 | 2 | 3 | 4 | 5 | 6 |
|----------------|---|---|---|---|---|---|
| Male           |   |   |   |   |   |   |
| Female         |   |   |   |   |   |   |
| Not Applicable |   |   |   |   |   |   |
| Missing Value  |   |   |   |   |   |   |

| COMPLAINANT ETHNIC BACKGROUND | 1 | 2 | 3 | 4 | 5 | 6 |
|-------------------------------|---|---|---|---|---|---|
| White                         |   |   |   |   |   |   |
| Black                         |   |   |   |   |   |   |
| Hispanic                      |   |   |   |   |   |   |
| Other*                        |   |   |   |   |   |   |
| Not Applicabale               |   |   |   |   |   |   |
| Missing Value                 |   |   |   |   |   |   |

| RESPONDENT ETHNIC BACKGROUND | 1 | 2 | 3 | 4 | 5 | 6 |
|------------------------------|---|---|---|---|---|---|
| White                        |   |   |   |   |   |   |
| Black                        |   |   |   |   |   |   |
| Hispanic                     |   |   |   |   |   |   |
| Other*                       |   |   |   |   |   |   |
| Not Applicable               |   |   |   |   |   |   |
| Missing Value                |   |   |   |   |   |   |



MONTHLY STATISTICS FORM INSTRUCTIONS

The major task here is to compute the total number of cases found within the various categories of the items in which information is collected. This is accomplished by simply counting the number of "X"'s on the summary statistics form. If more specific information is recorded on the case files statistics form, such as dollar amounts, treat them as X's.

The cases to be included is determined by the *date of the complaint*. The monthly statistics form should include cases complained between the first and the end of the month.

Complainant and respondent type — *do not* count the total number of individuals indicated on the summary statistics form. Only count the number of times the dispute involved one or more individuals.

The average number of days from complaint to disposition is computed by adding the number of days for all cases in which the information is available, then dividing by the total number of valid cases (i.e., non-missing responses).

A check on the completeness of the statistics can be made by adding the total number of responses for all the categories of each item and determining if the figure equals the number of cases reported in the upper left-hand corner of the first page.

MONTHLY STATISTICS FORM

Program \_\_\_\_\_  
Month \_\_\_\_\_  
Year \_\_\_\_\_  
# Cases \_\_\_\_\_

|                                   | TOTAL<br>NUMBER |  |
|-----------------------------------|-----------------|--|
| CASE ORIGATION                    |                 |  |
| Law Enforcement                   |                 |  |
| State Attorney                    |                 |  |
| Walk-In (Self)                    |                 |  |
| Judge                             |                 |  |
| Clerk of Court                    |                 |  |
| Legal Aid                         |                 |  |
| Private Attorney                  |                 |  |
| Consumer Protection Agency        |                 |  |
| News Media                        |                 |  |
| City Hall                         |                 |  |
| Other Governmental Agency         |                 |  |
| Other                             |                 |  |
| Missing Value                     |                 |  |
| TYPE OF DISPUTE — GENERALLY       |                 |  |
| Criminal                          |                 |  |
| Civil                             |                 |  |
| Juvenile                          |                 |  |
| Missing Value                     |                 |  |
| TYPE OF DISPUTE — SPECIFICALLY    |                 |  |
| Assault                           |                 |  |
| Assault & Battery                 |                 |  |
| Recovery of Money and or Property |                 |  |
| Larceny                           |                 |  |
| Retail Theft                      |                 |  |
| Criminal Mischief                 |                 |  |
| Neighborhood                      |                 |  |
| Animal Nuisance                   |                 |  |
| Noise Nuisance                    |                 |  |
| Landlord/Tenant                   |                 |  |
| Consumer                          |                 |  |
| Harassment                        |                 |  |
| Truancy                           |                 |  |
| Child Custody                     |                 |  |
| Child Support                     |                 |  |
| Child Visitation                  |                 |  |
| Other Delinquent Act              |                 |  |
| Other                             |                 |  |
| Multiple Dispute                  |                 |  |
| Missing Value                     |                 |  |

| RELATIONSHIP OF DISPUTANTS                                | TOTAL<br>NUMBER |  |
|---|-----------------|--|
| Husband/Wife  |                 |  |
| Divorced Spouses  |                 |  |
| Parent/Child  |                 |  |
| Neighbor/Neighbor   |                 |  |
| Landlord/Tenant   |                 |  |
| Employers/Employees                                       |                 |  |
| Male/Female Personal Cohabiting                           |                 |  |
| Friends Casual Cohabiting                                 |                 |  |
| Friends Casual Non-cohabitating                           |                 |  |
| Relatives   |                 |  |
| Male/Female Personal Non-cohabitating                     |                 |  |
| Friend/Other  |                 |  |
| No Relationship   |                 |  |
| Other   |                 |  |
| Missing Value   |                 |  |
|   |                 |  |
| NATURE OF COMPLAINT                                       |                 |  |
| Seek Alteration of Past Behavior                          |                 |  |
| Seek Disengagement  |                 |  |
| Seek Payment/Return of Money and/or Property              |                 |  |
| Seek Repair/Service of Property                           |                 |  |
| Seek Maintenance/Removal of Property                      |                 |  |
| Seek Apology  |                 |  |
| Seek Eviction   |                 |  |
| Seek to Avoid Eviction                                    |                 |  |
| Seek Counseling/Participation of<br>Respondent in Program |                 |  |
| Seek Control of Animals                                   |                 |  |
| Seek Child Support  |                 |  |
| Seek Child Visitation Rights                              |                 |  |
| Seek Custody of Child                                     |                 |  |
| Multiple Complaint  |                 |  |
| Other   |                 |  |
| Missing Value   |                 |  |
|   |                 |  |
| NATURE OF DISPOSITION                                     |                 |  |
| Referred to Criminal Jurisdiction                         |                 |  |
| Referred to Civil Jurisdiction                            |                 |  |
| Referred to Social Service Agency                         |                 |  |
| Refused to Handle, No Referral Stated                     |                 |  |
| Unable to Contact/Notify Disputant(s)                     |                 |  |
| Complainant Did Not Appear                                |                 |  |
| Respondent Did Not Appear                                 |                 |  |
| Both Parties Did Not Appear                               |                 |  |
| Hearing cancelled by Complainant                          |                 |  |
| Dispute Settled Before Hearing                            |                 |  |
| Mediation Hearing and Agreement                           |                 |  |
| No Settlement Reached at Hearing                          |                 |  |
| Other   |                 |  |
| Missing Value   |                 |  |

| NATURE OF AGREEMENT — RESPONDENT                | TOTAL<br>NUMBER |  |
|---|-----------------|--|
| Alteration of Past Behavior                     |                 |  |
| Disengagement                                   |                 |  |
| Payment of Designated Sum of Money              |                 |  |
| Return of Designated Property                   |                 |  |
| Make Designated Repairs/Service                 |                 |  |
| Volunteer to Participate in Program             |                 |  |
| Establish Cooperative Relationship              |                 |  |
| Maintenance of Property                         |                 |  |
| Control of Animals                              |                 |  |
| No Specific Obligation Designated               |                 |  |
| Allow Child Visitation                          |                 |  |
| Provide Child Support                           |                 |  |
| Multiple Agreement                              |                 |  |
| Other   |                 |  |
| Not Applicable                                  |                 |  |
| Missing Value                                   |                 |  |
|   |                 |  |
| NATURE OF AGREEMENT — COMPLAINANT               |                 |  |
| Alteration of Past Behavior                     |                 |  |
| Disengagement                                   |                 |  |
| Payment of Designated Sum Money and/or Property |                 |  |
| Make Designated Repairs/Service                 |                 |  |
| Volunteer to Participate in Program             |                 |  |
| Establish Cooperative Relationship              |                 |  |
| Maintenance of Property                         |                 |  |
| Control of Animals                              |                 |  |
| No Specific Obligation Designated               |                 |  |
| Not to Pursue Prosecution                       |                 |  |
| Not to Pursue Civil Action                      |                 |  |
| Multiple Agreement                              |                 |  |
| Other   |                 |  |
| Not Applicable                                  |                 |  |
| Missing Value                                   |                 |  |
|   |                 |  |
| PRIOR CONTACT WITH CDS PROGRAM — COMPLAINANT    |                 |  |
| Yes   |                 |  |
| No  |                 |  |
| Missing Value                                   |                 |  |
|   |                 |  |
| PRIOR CONTACT WITH CDS PROGRAM — RESPONDENT     |                 |  |
| Yes   |                 |  |
| No  |                 |  |
| Missing Value                                   |                 |  |
|   |                 |  |
| COMPLAINANT — TYPE                              |                 |  |
| Individual(s)                                   |                 |  |
| Couple  |                 |  |
| Business  |                 |  |
| Governmental Agency                             |                 |  |
| Missing Value                                   |                 |  |

|                                      |                         |
|--------------------------------------|-------------------------|
|                                      | <b>TOTAL<br/>NUMBER</b> |
| <b>RESPONDENT — TYPE</b>             |                         |
| Individual(s)                        |                         |
| Couple                               |                         |
| Business                             |                         |
| Governmental Agency                  |                         |
| Missing Value                        |                         |
| <b>COMPLAINANT SEX</b>               |                         |
| Male                                 |                         |
| Female                               |                         |
| Not Applicable                       |                         |
| Missing Value                        |                         |
| <b>RESPONDENT SEX</b>                |                         |
| Male                                 |                         |
| Female                               |                         |
| Not Applicable                       |                         |
| Missing Value                        |                         |
| <b>COMPLAINANT ETHNIC BACKGROUND</b> |                         |
| White                                |                         |
| Black                                |                         |
| Hispanic                             |                         |
| Other                                |                         |
| Not Applicable                       |                         |
| Missing Value                        |                         |
| <b>RESPONDENT ETHNIC BACKGROUND</b>  |                         |
| White                                |                         |
| Black                                |                         |
| Hispanic                             |                         |
| Other                                |                         |
| Not Applicable                       |                         |
| Missing Value                        |                         |

**AVERAGE NUMBER OF DAYS FROM COMPLAINT TO DISPOSITION** \_\_\_\_\_

# **RECORD OF MULTIPLE AND OTHER CATEGORIES FORM INSTRUCTIONS**

In instances where the case file statistics form is not adequate for recording information from the case files because the data entails some "other" of "multiple" category, the record of multiple and other categories form can be used. The case number and specific information reflecting what the case involved should be recorded on the form. For example, if the dispute involves to pay damages to her property, this information would be recorded on the form in the category termed "nature of complaint", along with the case number.

Whenever information is recorded on this form, the case file statistics form would still be used by indicating, with an "X" mark, that the information involved a multiple or other category.

It should be emphasized that multiple categories should only be used when the various categories are of equal importance or prominence to the disputant(s). If a woman complains of being assaulted and her property damaged, but appears to be mainly concerned with receiving results that would prevent further attacks and is not worried about being compensated for the property damage, the multiple category should not be used.

**RECORD OF INFORMATION IN "OTHER"**  
**AND "MULTIPLE" CATEGORIES**

Program \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_

|  |  |  |  |  |
|--|--|--|--|--|
| <b>CASE NUMBER</b>                     |  |  |  |  |
| <b>CASE ORIGINATION</b>                |  |  |  |  |
| <b>TYPE OF DISPUTE - SPECIFICALLY</b>  |  |  |  |  |
| <b>RELATIONSHIP OF DISPUTANTS</b>      |  |  |  |  |
| <b>NATURE OF COMPLAINT</b>             |  |  |  |  |
| <b>NATURE OF DISPOSITION</b>           |  |  |  |  |
| <b>NATURE OF AGREEMENT-RESPONDENT</b>  |  |  |  |  |
| <b>NATURE OF AGREEMENT-COMPLAINANT</b> |  |  |  |  |

**ADDENDUM G**  
**DISPUTE RESOLUTION INFORMATION AND TECHNICAL**  
**ASSISTANCE SERVICE PAMPHLET**

**I. WHAT IS THE DISPUTE RESOLUTION INFORMATION AND TECHNICAL ASSISTANCE SERVICE?**

It is a centralized information and consultation resource for local jurisdictions who are interested in developing or who have implemented alternative dispute resolution mechanisms including citizen dispute settlement programming, juvenile arbitration, family courts, etc.

**II. WHO ADMINISTERS THE DISPUTE RESOLUTION INFORMATION AND TECHNICAL ASSISTANCE SERVICE?**

The service is administered by the Florida Supreme Court and the Office of the State Courts Administrator.

**III. WHO IS ELIGIBLE TO UTILIZE THE TECHNICAL ASSISTANCE SERVICES OFFERED BY THE OFFICE OF THE STATE COURTS ADMINISTRATOR?**

The following organizations, agencies or individuals may utilize the service:

- Judges
- Court Administrators
- State Attorneys
- Court Clerks
- Existing CDS Programs
- Colleges and Universities
- County and City Commissioners
- Local Bar Associations
- Other interested local governmental agencies
- Interested private and community organizations

**IV. WHAT ARE THE MAJOR FUNCTIONS OF THE TECHNICAL ASSISTANCE SERVICE?**

The primary function of the service is to provide technical assistance through on-site or written consultations to jurisdictions interested in developing an alternative dispute resolution mechanism or to existing dispute resolution alternative programs where a specific problem or need has been identified. Consultations are directed at providing local personnel with the free advice and guidance of experts in the field of dispute resolution at the local, state or national levels, as well as that of persons in Florida who have successfully developed and implemented programs.

A secondary function of the service is to act as a central clearinghouse for all information related to dispute resolution, and to create channels of communication among those who have an interest in the dispute resolution field.

**V. WHAT KIND OF TECHNICAL ASSISTANCE SERVICES ARE AVAILABLE?**

Technical assistance services are available in the following areas:

- New Program Development
  1. The Conduct of Needs and Resource Assessments
  2. Documentation of Existing Procedures
  3. Identification and Projection of Program Requirements related to:

- \* Personnel
- \* Funding
- \* Goals and Objectives
- \* Procedures
- \* Referrals
- \* Training
- \* Monitoring/Evaluation

4. Forms and Records Development

5. Statistical/Recordkeeping Procedures

6. Workflow/Paperflow

• Program Funding - (New or Existing Programs)

1. Assessment and Projection of Funding Requirements

2. Identification of Funding Sources

3. Development of Application for Funding

4. Organization of Presentation to Funding Source

• Program Staff Training - (New or Existing Programs)

1. Administrative

2. Intake

3. Mediators

• Public Education/Information/Relations

• Specialized Needs or Problem Assessment and Resolution including:

1. Forms Development

2. Evaluation

3. Statistical/Recordkeeping Procedures

4. Procedures Documentation

5. Case Selection Criteria

6. Other TBA

• Special Research/Evaluation in Specific Areas Such As:

1. No Shows Rates

2. Participant Satisfaction Rates

3. Program Effectiveness

4. Benefit/Cost Analysis

5. Other TBA

**VI. WHAT TECHNICAL ASSISTANCE RESOURCES WILL BE UTILIZED?**

The following organizations and/or individuals may be utilized in the provision of technical assistance:

*Statewide*

- Local staff in existing programs
- DRA committee members and staff
- Private consultants
- University personnel/consultants
- Local attorneys interested in dispute resolution
- Executive agency or legislative personnel
- Other TBA

*Nationwide*

- Neighborhood Justice Center Evaluation Project — Institute for Research
- American Arbitration Association
- Institute for Mediation and Conflict Resolution
- ABA Committee on Minor Dispute Resolution
- ABT Associates
- U.S. Department of Justice
- National Association for Dispute Resolution
- Grass Roots Citizen Dispute Resolution Clearinghouse
- Individual DRA program staff
- Private consultants
- Other TBA

**VII. WHAT ARE THE PROCEDURES FOR REQUESTING TECHNICAL ASSISTANCE FROM THE OFFICE OF THE STATE COURTS ADMINISTRATOR (OSCA)?**

The procedures for requesting technical assistance are as follows:

- Identification of a problem or need by local jurisdiction.



- \* Personnel
- \* Funding
- \* Goals and Objectives
- \* Procedures
- \* Referrals
- \* Training
- \* Monitoring/Evaluation

#### 4. Forms and Records Development

#### 5. Statistical/Recordkeeping Procedures

#### 6. Workflow/Paperflow

#### • Program Funding - (New or Existing Programs)

##### 1. Assessment and Projection of Funding Requirements

##### 2. Identification of Funding Sources

##### 3. Development of Application for Funding

##### 4. Organization of Presentation to Funding Source

#### • Program Staff Training - (New or Existing Programs)

##### 1. Administrative

##### 2. Intake

##### 3. Mediators

#### • Public Education/Information/Relations

#### • Specialized Needs or Problem Assessment and Resolution including:

##### 1. Forms Development

##### 2. Evaluation

##### 3. Statistical/Recordkeeping Procedures

##### 4. Procedures Documentation

##### 5. Case Selection Criteria

##### 6. Other TBA

#### • Special Research/Evaluation in Specific Areas Such As:

##### 1. No Shows Rates

##### 2. Participant Satisfaction Rates

##### 3. Program Effectiveness

#### 4. Benefit/Cost Analysis

#### 5. Other TBA

### VI. WHAT TECHNICAL ASSISTANCE RESOURCES WILL BE UTILIZED?

The following organizations and/or individuals may be utilized in the provision of technical assistance:

#### *Statewide*

- Local staff in existing programs
- DRA committee members and staff
- Private consultants
- University personnel/consultants
- Local attorneys interested in dispute resolution
- Executive agency or legislative personnel
- Other TBA

#### *Nationwide*

- Neighborhood Justice Center Evaluation Project — Institute for Research
- American Arbitration Association
- Institute for Mediation and Conflict Resolution
- ABA Committee on Minor Dispute Resolution
- ABT Associates
- U.S. Department of Justice
- National Association for Dispute Resolution
- Grass Roots Citizen Dispute Resolution Clearinghouse
- Individual DRA program staff
- Private consultants
- Other TBA

### VII. WHAT ARE THE PROCEDURES FOR REQUESTING TECHNICAL ASSISTANCE FROM THE OFFICE OF THE STATE COURTS ADMINISTRATOR (OSCA)?

The procedures for requesting technical assistance are as follows:

- Identification of a problem or need by local jurisdiction.

- Contact representatives of the Office of the State Courts Administrator by telephone or letter.
- If the request can be satisfied by staff, the information will be provided directly by phone or letter.
- Request for assistance of a scope beyond the immediate capabilities of the service staff will be handled in the following manner:
  1. Upon receipt of the request, a meeting will be scheduled between the staff of the Office of the State Courts Administrator and the jurisdiction requesting the assistance to discuss the nature of request in detail.
  2. A review of the resources which may be appropriate for providing the assistance requested will be conducted by the OSCA staff. (See question #VI)
  3. Selection of consultant or consultants to provide the technical assistance will be made jointly by the OSCA staff and the recipient jurisdiction.
  4. At the convenience of the recipient jurisdiction, an on-site visit by the consultant(s) will be scheduled by the OSCA staff or written input by the consultant(s) will be solicited.
  5. The provision of technical assistance requested by consultant(s) selected. The nature of the TA will vary by the type of assistance requested and, thus, the procedures for providing the TA will be developed in detail after the selection of the consultant(s).
  6. The filing of a report by consultant with the recipient jurisdiction and the OSCA.
  7. Evaluation of TA provided by both the recipient jurisdiction and the OSCA.
  8. The conduct of a follow-up assessment of results/impact of TA.

#### **VIII. HOW WILL THE TA PROVIDED TO AN INDIVIDUAL JURISDICTION BE EVALUATED?**

A post-technical assistance evaluation will be completed by both the jurisdiction receiving the assistance and the OSCA. The recipient of the assistance will be asked to rate the overall performance of the consultant while the OSCA staff will only address the TA report submitted by the consultant.

#### **IX. IS THERE A LIMIT ON THE DURATION OF THE TECHNICAL ASSISTANCE PROVIDED?**

Yes, the duration of the TA will be limited to no more than ten days of on-site consultant assistance, unless it can be exceptionally justified.

If it is determined by the Office of the State Courts Administrator that the subject matter of the TA request is not appropriate, the reporting jurisdiction will be advised.

#### **X. WHAT OTHER SERVICES ARE AVAILABLE?**

The following services are offered:

- Maintenance of an updated bibliography on relevant articles, papers and reports written on Dispute Resolution.
- Maintenance of files on all in-state DRA programs and selected out-of-state programs.
- The conduct of research in specialized areas.

**END**