



**JIM PETRO**  
**AUDITOR OF STATE**  

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**STATE OF OHIO**

# CUYAHOGA COUNTY JUVENILE COURT PERFORMANCE AUDIT

MAY 2, 2001



STATE OF OHIO  
OFFICE OF THE AUDITOR  
JIM PETRO, AUDITOR OF STATE

To the Citizens of Cuyahoga County:

In response to a joint request from the Cuyahoga County Board of County Commissioners (BOCC) and Cuyahoga County Juvenile Court (CCJC), the Auditor of State's Office is pleased to provide the completed performance audit report of CCJC's major areas of operations. Both organizations were interested in a performance audit as a potential resource in their continuing efforts to improve CCJC operations and service to the public.

This report assesses the operations of CCJC's departments of Organization and Administrative Services, Human Resources, Probation, Court Services, Technology, and the Food and Custodial Services divisions of Detention Services. The Auditor of State's Office conducted an independent assessment of these operational areas with the objective of providing recommendations to the CCJC in areas where it can either recognize financial benefits, achieve efficiency improvements in operations and service delivery or improve program results.

An executive summary has been prepared which includes the project history, CCJC overview, purpose and objective of the performance audit and a summary of findings, commendations, recommendations and financial implications. This report has been provided to the BOCC and CCJC and its contents discussed with key staff members. The BOCC and CCJC have been encouraged to utilize the results of the performance audit as a resource in improving the court's overall operations, service delivery and financial stability. Additional copies of this report can be requested by calling the Clerk of the Bureau's office at (614) 466-2310 or the toll free number in Columbus, (800) 282-0370. In addition, this performance audit can be accessed on-line through the State Auditor's Office website at <http://www.auditor.state.oh.us/> by choosing the "On-Line Audit Search" option.

Sincerely,

A handwritten signature in black ink that reads "Jim Petro".

JIM PETRO  
Auditor of State

May 2, 2001

# **Executive Summary**

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## **Project History**

In an attempt to optimize operational efficiencies and reduce operating costs, the administrative judge of Cuyahoga County Juvenile Court (CCJC) and the administrator of Cuyahoga County engaged the State Auditor's Office in May 2000 to conduct a performance audit of CCJC. According to the county administrator, the Board of County Commissioners (BOCC) historically has had concerns regarding the organizational structure and operating procedures within CCJC as a result of perceived operational inefficiencies and budgetary shortfalls. Meanwhile, the administrative judge expressed interest in a performance audit as a potential resource in the continuing efforts to improve court operations and service to the public.

The overall objectives of this project are to present findings based on data related to court operations and to develop commendations and recommendations concerning selected areas of operations. Additionally, the audit report provides an independent assessment of court operations at CCJC to identify potential areas for cost reduction. Based on discussions with the county administrator, the administrative judge and the court administrator, the following areas of operation were selected for assessment:

- Organization and Administrative Services
- Human Resources
- Probation
- Court Services
- Technology
- Food and Custodial Services of Detention Services

## **Objectives and Scope**

A performance audit is defined as a systematic and objective assessment of the performance of an organization, program, function or activity to develop findings, recommendations and conclusions. Performance audits are usually classified as either economy and efficiency audits or program audits.

Economy and efficiency audits consider whether an entity is using its resources efficiently and effectively. They attempt to determine if management is maximizing output for a given amount of input. If the entity is efficient, it is assumed that it will accomplish its goals with a minimum of resources and with the fewest negative consequences. Program audits, on the other hand, are normally designed to determine if the entity's activities or programs are effective, if they are reaching their goals and if the goals are proper, suitable or relevant. These audits attempt to determine if the actual outputs match, exceed or fall short of the intended outputs. The performance audit conducted on CCJC contains elements of both an economy and efficiency audit and a program performance audit.

## **Methodology**

To complete this report, the auditors gathered and assessed a significant amount of data pertaining to CCJC, conducted interviews with various individuals associated with CCJC, the County and the Ohio Supreme Court staff and assessed available information from selected peer juvenile courts. In evaluating the various performance audit areas, CCJC was asked to provide any previous studies or analyses already prepared on the selected areas, such as the monthly Ohio Supreme Court reports. In addition to reviewing this information, the auditors spent a significant amount of time gathering and reviewing other pertinent documents and information, such as American Correction Association standards and performance measures identified by the National Center of State Courts. Numerous interviews and discussions were held at many levels and with groups of individuals involved internally and externally with CCJC. Furthermore, three peer juvenile courts, Franklin County Court of Common Pleas Division of Domestic Relations and Juvenile Court Branch (FCJC), Hamilton County Juvenile Court (HCJC) and Lucas County Court of Common Pleas Juvenile Division (LCJC) were selected to provide benchmark comparisons with CCJC.

## **Overview of CCJC**

CCJC is a separate division of the Cuyahoga County Court of Common Pleas. Juvenile courts in the state of Ohio hear delinquency cases involving persons less than 18 years of age, and cases dealing with unruly, abused, dependent and neglected children. The Court also handles juvenile traffic cases. CCJC has jurisdiction in adult cases involving paternity, child abuse, non-support, visitation, custody and contributing to the delinquency of a minor. The Court is led by six elected judges, one of whom is elected on an annual basis by his or her fellow judges as the administrative judge. Each of the judges is elected for a six-year term.

CCJC is funded through a combination of local, state and federal revenues. The Cuyahoga County (the County) general fund supports a large portion of the Court's budget. CCJC's FY 2000 general fund expenditures totaled approximately \$43.7 million, which represented nearly ten percent of Cuyahoga County's total general fund expenditures for that year.

Juvenile courts began receiving additional funds in 1995 through a new Ohio Department of Youth Services (ODYS) statewide program known as Reasoned and Equitable Community and Local Alternatives to the Incarceration of Minors (RECLAIM). Furthermore, CCJC receives a reimbursement through the Child Support Enforcement Agency (CSEA). CSEA receives its funding from federal grant dollars through Title IV-D of the amended Social Security Act of 1935. In 1999, CSEA contracted with the CCJC for approximately \$1.1 million in child support-related services.

CCJC also receives reimbursements through the Cuyahoga County Department of Children and Family Services (CFS) from the Ohio Department of Human Services (ODHS) for the Title IV-E program of the amended Social Security Act of 1935. The Title IV-E program governs placement of children and foster care functions. Additionally, CCJC seeks supplemental revenue through the procurement of outside grants. Sometimes grants may be instituted through the initiative of the Board of County Commissioners (BOCC), such as the Juvenile Offender Program. Finally, the collection of fines, fees and court costs provides the County with another source of revenue for CCJC. Fines and costs related to traffic cases account for roughly 90 to 95 percent of all monies collected by the cashier's office.

The leadership at CCJC and the County have acknowledged the need to address operational issues at the Court in order to improve overall performance. Both have also been proactive and should be commended for approaching the Auditor of State for assistance through the performance audit process. The recommendations resulting from the performance audit will provide a framework for change which can result in cost savings, operational improvements and increased quality of service. The high level of support for the audit process exhibited by the Court and the County is an indication of the positive environment for change which currently exists with respect to CCJC operations.

**The performance audit process involved significant sharing of information with staff members from the County and CCJC including preliminary drafts of findings and recommendations as they were being developed. Consequently, the administrative staff of CCJC had the opportunity to consider the implications of recommendations prior to the issuance of the final report and, to their credit, chose to immediately begin the implementation of many recommendations included in the report. The court administrator has indicated that the Court has implemented or is in the process of implementing approximately twenty-six recommendations that are directly related to the performance audit. Included in these recent actions are some major changes such as the reorganization of the Research, Planning and Evaluation department and the consolidation of court magistrate clerks and courtroom coordinators under the direction of the deputy director of caseflow.**

## **Key Findings/Recommendations**

The performance audit report and executive summary contain a number of findings and recommendations pertaining to CCJC's operations. The following are the key findings and related recommendations:

- Administrative turnover has had an adverse effect on CCJC. Since January 1997, there have been four different administrative judges and three different court administrators.

CCJC judges should work together to ensure that there is longer tenure for the administrative judge and the court administrator positions. The six elected judges, and the administrative judge they select, have the ultimate responsibility to create stability and accountability throughout the Court.

- In 1998, CCJC undertook a major reorganization effort. Some reorganization efforts have proven to be beneficial, such as the centralization of the court services department and the establishment of the Community Diversion Program. However, the 1998 reorganization appears to have had some negative impact on certain functions, especially program planning, monitoring and evaluation.

CCJC should reorganize the departmental structure of the Court from four departments and a division reporting to the court administrator (administrative services, court services, detention services and probation services departments; and the human resources division) to eight departments reporting to two deputy court administrators in groups of four (detention services, court services, probation services and operations departments to one deputy court administrator; and human resources, fiscal, technology/information services, and research, planning and evaluation divisions to the other deputy). This would allow the court administrator more time to focus on overall strategic planning and become a facilitator for the implementation of court-wide improvements in the area of customer service and to implement recommendations contained within this performance audit.

- The creation of the administrative services department has not proven effective. Since 1998, divisions within this department have been eliminated, such as operations; removed, such as human resources; or decentralized, such as fiscal. Additionally, the focus of some divisions has shifted, such as Research Planning and Evaluation's (RP&E) shift in responsibility to the implementation of the Juvenile Information Management System (JIMS) instead of its previous focus on research, planning and evaluation of programs.

The RP&E division should be reorganized and one of its responsibilities should be to coordinate, compile, write and distribute a monthly bench status report or a series of reports that would give the reader a concise snapshot of what is happening operationally, programmatically and financially each month at CCJC. Furthermore, CCJC should reestablish the program planning unit within the RP&E division, and consider using outside, objective third parties to occasionally evaluate CCJC's programs. The RP&E division should also assist in monitoring the effectiveness of residential placement as well as develop a collaborative process to identify outside grants for programs and projects throughout CCJC.

- Expenditures for shelter care and assigned counsel/Guardian Ad Litem (GALs) have increased significantly over the past five years. Meanwhile, CCJC has relied on RECLAIM funds to meet its increased expenditures, even though the original intent of RECLAIM was to specifically fund delinquency prevention programs.

CCJC should ensure that felony adjudication information is recorded accurately so that it is receiving the full amount of RECLAIM funds to which it is entitled, as well as monitoring RECLAIM expenditures to ensure they are being spent in accordance with the RECLAIM program goal of delinquency prevention.

- Staffing of the human resources department at CCJC is higher than all of the peer juvenile courts. Furthermore, the ratio between the number of human resources staff and the number of court employees served is the lowest at CCJC when compared to the peer courts.

CCJC should consider moving five clerks and three payroll clerks from the human resources department to the administrative services department based on the functionality of those positions. In addition, CCJC should consider reducing staffing in the human resources department by two employees.

- CCJC uses the Kronos time and attendance system only for employees in the detention services department and uses a manual payroll system for all other employees. Therefore, the absence of a computerized payroll system for most employees hinders CCJC's ability to adequately monitor employee tardiness and attendance.

CCJC should consider implementing the Kronos time and attendance system for all employees and make use of the Kronos scheduling software in order to adequately monitor employee tardiness and attendance.

- Based on a comparison to the peers, CCJC's probation programs funded through RECLAIM have not reported favorable results as measured by successful completion rates and percentage of youth still enrolled in programs.

CCJC should consider contacting the peer courts who have similar probation programs that have reported more successful completions of youths and fewer youths still enrolled in the same program than CCJC. When contacting the peer courts, CCJC should discuss individual program goals, program objectives, performance measures and suggested length of time youths should be enrolled in different types of programs.

- CCJC has not implemented some technology that could potentially improve its efficiency, such as inclusion of the Proware probation module in its new JIMS computer software application. Currently, JIMS is not comprehensive and only provides probation employees with general information. Also, JIMS does not provide the probation department with comprehensive information regarding program effectiveness for youth on probation or case management support. Furthermore, probation officers have limited access to computers that can be used to type reports.

CCJC should contract with PROWARE for the probation module enhancements. The probation department provided a list of desired features for JIMS that would improve day to day operations, and would lead to better overall services for juveniles. Furthermore, each employee should receive training on all the JIMS system capabilities in order for the probation staff to potentially reduce caseloads of probation officers and increase the quality of services provided to youths and their families. Additionally, CCJC should purchase laptop computers for probation officers to increase productivity and potentially reduce the number of secretaries.

- The probation department appears to be not operating as efficiently as the peer juvenile courts and is supervising a significantly higher number of youths compared to the peers.

Prior to hiring additional probation officers to reduce caseloads, CCJC should attempt to implement recommendations from the performance audit that may potentially reduce caseloads through increased efficiency.

- CCJC does not have an effective termination policy for removing youth from probation nor standardized guidelines for length of probation.

CCJC should create a new termination policy for removing youth from probation and new guidelines for length of probation to assist in efforts to increase RECLAIM programs' successful completion rate and decrease the percentage of youth still enrolled in programs.

- CCJC does not ensure that data regarding its caseloads, such as the number of cases reported to the Supreme Court of Ohio, is accurate and reliable. Due to these inaccuracies, CCJC does not have an effective means of assessing either its overall performance or determining the appropriate staffing levels needed to effectively process cases and manage court operations.



In order to have the ability to monitor caseloads, develop performance measurements and assess court operations, CCJC should ensure that data indicating critical court operations, such as the number of cases processed, is entered correctly and consistently for the purpose of producing accurate and reliable reports.

- A centralized docketing system does not exist within CCJC. Consequently, the magistrates and judges docket their cases and schedule all hearings based upon each jurist's individual perception of how many cases can be heard in a typical work day. Furthermore, the judges generally determine the amount and types of cases to be assigned to the magistrates.

CCJC should develop a centralized docketing system for the purpose of scheduling and assigning cases to magistrates and judges which would enhance consistency and uniformity, improve accountability and increase utilization of caseload support staff.

- CCJC has not implemented a Court Appointed Special Advocate (CASA) program, which uses trained citizen volunteers as opposed to paid private attorneys, to represent the best interest of the child in dependency/neglect/abuse cases. CCJC has historically exceeded its annual appropriation for Guardian Ad Litem (GALs).

CCJC should consider developing and implementing a CASA program in an effort to reduce the costs associated with appointing private GALs while potentially enhancing the quality of service provided to juveniles.

- Time frames for transferring juveniles out of the detention center and shelter care facilities to residential placements do not exist at CCJC.

CCJC should establish and develop standard time frames for the process of transferring juveniles from the detention center and shelter care facilities. Additionally, CCJC should consider establishing a review team to monitor the average daily population and average length of stay in these facilities.

- CCJC does not have a formal technology department, causing RP&E to be limited in its function of providing court-wide guidance for the effective use of technology. The Information Services (IS) unit of RP&E is currently responsible for managing technology, but appears to be understaffed according to staffing criteria recommended by the Gartner Group.

CCJC should develop a formal technology department headed by a deputy director and consider enhancing staffing levels, while maximizing the use of technical support contracts.

- CCJC implements technology without the guidance of a long-term strategic plan. Without a strategic plan, IS is functioning on a daily basis, but is unable to fully implement unified goals and objectives.

CCJC should develop and implement a strategic technology plan. The strategic technology plan would guide the Court when implementing new technology such as developing a help desk and a help desk policy.

- The effectiveness and efficiency of food service operations can be measured by applying staffing levels to the cost and number of meals served. The food services division at CCJC had the highest cost per meal and served the lowest number of meals per staff member in 1999 in comparison to the peers.

The detention center at CCJC should assess the staffing levels in relation to the duties and tasks performed within the food services department. Considering the staffing comparisons with the peer courts, the food services division could potentially reduce one position.

- HCJC and FCJC contract out all food service operations to a private vendor. CCJC served about half the number of meals per staff member in 1999 as compared to HCJC and FCJC. In addition, CCJC's cost per meal in 1999 was higher as compared to HCJC and FCJC.

The detention center at CCJC should consider contracting with an external provider for food services. An external provider could perform all of the necessary functions that the current internal food services division is performing, but at a lower cost.

- Workload assigned to custodians is not based upon square footage of the building, which can be a factor contributing to the lower amount of square footage maintained by custodians at CCJC compared to HCJC and the International Facilities Management Association (IFMA) benchmark. Instead, each custodian is assigned to an individual floor.

CCJC's detention center should develop a methodology for allocating custodial staff to areas by using quantitative data such as square footage to determine the most efficient staffing level. Based on comparisons of the current square footage being maintained by the custodians at CCJC to HCJC and the IFMA benchmark, the detention center should consider reducing one custodial position. Additionally, since many private vendors provide custodial services in addition to food services, the detention center should also explore the feasibility of contracting for custodial services.

The remainder of this executive summary is organized by report sections in order to highlight additional findings, recommendations and commendations from those areas of the audit report:

## *Organization and Administrative Services*

**Background:** CCJC is organized into four departments: detention services, court services, probation services, and administrative services. The four departments and the human resources division report to a court administrator who is appointed by the administrative judge. The Court had 609 actual FTEs with 45 vacant positions as of July 31, 2000. CCJC positions are funded through the county general fund, grants and special revenue reimbursements.

The administrative services department is composed of the following divisions: administrative services; research, planning and evaluation (RP&E); and fiscal. Administrative services is responsible for program planning, budgeting and purchasing. The RP&E division is comprised of a network manager, a software specialist and computer technicians, as well as systems analysis, data processing and research staff. The fiscal division includes the cashier's office, as well as building services, couriers and drivers.

**Findings:** A summary of additional findings in the Organization and Administrative Services section includes the following:

- CCJC does not engage in strategic planning on a court-wide basis which could assist in goal setting and effective communication among departments.
- The six CCJC courtrooms tend to operate independently of each other. Policies and procedures which can help ensure uniform operations among courtrooms have not been developed at CCJC. Furthermore, departments and divisions at CCJC also tend to operate independently of each other.
- American Corrections Association (ACA) accreditations that have been previously earned by CCJC have been allowed to lapse.
- CCJC does not effectively monitor its service agreements and service contracts.
- Although CCJC has recently attempted to improve its relationships with outside agencies, lack of attention to these relationships through the years has limited the potential benefits of such relationships.

**Recommendations:** A summary of additional recommendations in the Organization and Administrative Services section includes the following:

- CCJC should develop a court-wide strategic plan to improve long and short-term planning, goal setting and communications.
- The Court should implement policies and procedures for enacting procedural and process changes on a court-wide basis. The detention services department's efforts in this regard could be used as a model for the entire court.

- The Court should actively maintain and update existing policy manuals, and promote policies and procedures that meet or exceed ACA standards. Once this is accomplished, the Court should undertake the accreditation process. In addition to ACA accreditation, CCJC should consider engaging an external, independent agency to undertake a courtroom grading or rating process to evaluate the extent to which courtrooms process cases efficiently, effectively, fairly, and in a uniform manner.
- CCJC should evaluate all service agreements and service contracts it has with vendors on a regular basis and enact a service contract and service agreement assessment and monitoring process.
- CCJC should strive to improve and formalize its relations with outside agencies by developing formalized interagency, as well as interdepartmental, collaboration and communication. This could be accomplished through an information sharing task force.

**Commendations:** A summary of commendations in the Organization and Administrative Services section includes the following:

- Instituting the detention services department's employee signature requirement for enacting any procedural or policy changes helps to ensure that policies are understood by staff and shifts responsibility from the department to the individual.
- Establishing a policy that sets time limits for the submission of invoices from attorneys for assigned council and GAL services helps to ensure that the Court meets its deadlines enabling the County to recoup its allowable percentage for these expenses from the Ohio Office of Public Defenders.
- Documenting Title IV-D and Title IV-E related activities for reimbursement and securing grants totaling \$1.9 million during 1999 and 2000 for Court programs, creates additional revenue streams for CCJC.
- Maintaining commendable inventory policies and procedures in relation to its peers ensures an accurate process for property control.
- Creating and distributing a vendor performance evaluation form to Court directors and superintendents allows for formal feedback from the departments that interact with such vendors on a regular basis.
- Being selected as one of five counties in Ohio to undergo the Comprehensive Strategy for Serious, Violent and Chronic Juvenile Offenders has enabled the Court to participate in a community-oriented evaluation with the intention of reducing juvenile delinquency in Cuyahoga County.

### *Human Resources*

**Background:** The Court has a centralized human resources department which is independent of the Cuyahoga County human resources department. The primary duties of the individuals in the human resources department include recruiting and selecting employees, complying with state and federal employment laws, salaries and benefits administration, administering employee performance evaluations and following through with all disciplinary actions.

**Findings:** A summary of additional findings in the Human Resources section includes the following:

- Cuyahoga County eliminates budgeted positions after they have been vacant for more than a year. However, CCJC continues to leave budgeted positions on the organization chart for further staffing consideration.
- Comparisons of the responsibilities for the human resources departments among the peer juvenile courts revealed that CCJC is responsible for compiling payroll and leave information as well as preparing weekly and monthly payroll reports, while the human resources departments of the peer courts do not handle any payroll functions.
- Job descriptions for employee classifications at CCJC are not updated on a regular basis.
- Annual evaluations are not conducted on all employees as required by CCJC policy.
- CCJC's human resources department is responsible for conducting exit interviews, but the interview results are not compiled in a format that may assist the administration in analyzing issues related to employee retention.
- All CCJC employees must follow the policies and procedures manual which is developed by the human resources department. However, it has not been updated regularly.
- CCJC does not have a formal mentoring program for new employees.

**Recommendations:** A summary of additional recommendations in the Human Resources section includes the following:

- CCJC should consider eliminating all budgeted positions from the organization chart after the positions have been vacant for one year. This will allow the Court to adequately budget the number of positions which are needed in each department and prevent overstaffing.
- CCJC should create detailed job descriptions for all positions within the Court which state the necessary duties and functions of each position.
- CCJC should require that annual evaluations be performed on all employees. In addition, employees should be evaluated against the criteria and responsibilities specified within their individual job descriptions.
- CCJC should consider preparing an annual compilation of all exit interview comments which will assist the administration in analyzing issues raised during the exit interview process.
- CCJC should review and update policies and procedures on a regular basis to ensure that the policies and procedures are current and relevant.

- CCJC should include in its policies and procedures manual guidelines for a formal mentoring program that should be used for all new employees in every department.

**Commendations:** A summary of commendations in the Human Resources section includes the following:

- CCJC utilizes a variety of recruiting activities which increases the likelihood of hiring qualified individuals.
- CCJC conducts exit interviews on all employees who terminate employment, thereby providing employees an opportunity to discuss their reasons for leaving and any concerns or issues they may have related to their term of employment.
- Personnel files are maintained for each employee in accordance with ACA standards allowing CCJC to preserve an accurate history of each individual's employment.

### *Probation*

**Background:** Operations in the probation department revolve around the juvenile case management procedures, from the investigation of the youth to the youth's termination from supervision. All the divisions within the probation department have specific roles in the rehabilitation of youths involved with CCJC. The department includes the following divisions: probation support services 1, probation support services 2, investigation-central region, supervision-eastern region and supervision-western region.

**Findings:** A summary of additional findings in the Probation section includes the following:

- CCJC does not use a needs assessment in conjunction with a risk assessment to determine what services youths and their families require. Therefore, CCJC does not have an effective means to match intervention services to a youth's treatment needs.
- CCJC does not use a weighted average caseload analysis to measure the workload and performance for probation officers. Therefore, probation officers' workloads do not reflect the amount of work required to manage their caseload. Additionally, CCJC is lacking a standard procedure for assigning new cases to probation officers.
- CCJC has not developed a school-based probation program or an intensive probation program that could enhance its early intervention and delinquency prevention offerings.
- CCJC's probation department is responsible for monitoring its own programs and has one probation monitor designated to complete this function. However, the probation monitor only supervises the programs funded through RECLAIM. Furthermore, it is difficult for one person to do a thorough job monitoring all of the RECLAIM programs because of the amount of work it takes to ensure that the program provider and the Court are meeting their contract requirements. The monitoring process for these programs includes quarterly site visits, contract compliance reviews, and progress reports.

**Recommendations:** A summary of additional recommendations in the Probation section includes the following:

- CCJC should use a needs assessment in conjunction with a risk assessment during investigations of youth adjudicated delinquent.
- CCJC should develop a weighted average caseload analysis to measure the workload for probation officers and to aid probation managers in assigning new cases. A weighted average caseload analysis could be used to measure the workloads of supervision probation officers based on the youth's supervision level, risk/need factor and contact requirements.
- CCJC should monitor probation programs more closely to ensure youths and their families are receiving adequate services. Based on similar programs used by the peers, CCJC has a lower successful completion rate and a higher percentage of youth remaining in the same program.
- CCJC should consider developing and implementing early intervention and delinquency prevention programs in an effort to increase the quality of services to youths and their families. Such programs may include a school-based probation program and an intensive probation program.
- CCJC should determine whether providers of probation programs retain youths in these programs longer than necessary. Based on the peer comparison of similar probation program types, CCJC has a higher percentage of youths remaining in programs than the peers.

**Commendations:** A summary of the commendations in the Probation section includes the following:

- Requiring probation officers to work evening hours enhances customer service.
- Using community-based probation programs to serve youths and their families locally makes the probation officers more accessible to their clients.
- Implementing the multi-systematic therapy (MST) program helps to improve family and peer relationships while potentially decreasing behavior problems.

### *Court Services*

**Background:** The operations in the court services department revolve around the juvenile case processing system, from the start of a case to its eventual conclusion. All of the divisions within court services have specific roles in the case processing system of CCJC. The department includes the following divisions: magistrates, intake, clerk's office, drug court, case flow and courtrooms. Court services is CCJC's largest department with a total of 206 full time equivalents (FTEs) and 18 vacancies as of July 31, 2000.

**Findings:** A summary of additional findings in the Court Services section includes the following:

- The operations of a court can be measured by the ratio of case dispositions to official filings, which is the performance measure identified by the National Center of State Courts as an effective means of assessing court operations. Based on this performance measurement, the court services department is not operating as efficiently as the peers and is disposing a significantly lower amount of official cases compared to the peers.
- In addition to inadequately enforcing previously established time frames and rules, such as time frames guiding various case events and rules for granting continuances, CCJC is lacking time frames for processing cases in a typical day.
- The outcomes of the intake division's unofficial hearings and mediations, such as recidivism rates, are not tracked at CCJC.
- All of the courtrooms at CCJC operate differently and lack uniform and standard procedures.
- Time frames outlining the time it should take an intake officer to make critical decisions about a juvenile complaint do not exist at CCJC.
- A risk assessment tool that would provide a direct means of assessing the average daily population and length of stay of juveniles is lacking at CCJC. Without established time frames and a risk assessment tool, the amount of time that the juvenile spends in these facilities and the related daily cost to hold the juvenile potentially increases.
- Through various staffing analyses and peer comparisons, it appears that the clerk's office in the court services department is significantly overstaffed. The total number of new cases filed (three year average) per full-time equivalent in the clerk's office at CCJC is 367, which is less than half the average number of new cases filed per employee in the peer courts' clerk's offices.

**Recommendations:** A summary of additional recommendations in the Court Services section includes the following:

- CCJC should monitor and enforce the local rules regarding continuances and the established time frames guiding certain case events should be tracked and enforced at CCJC. Furthermore, time frames for the purpose of hearing cases in a work day should be established.
- CCJC should track and compile data regarding the results of the intake division's unofficial hearings and mediation sessions.
- CCJC should develop standard and uniform procedures in all of the courtrooms including standard and uniform job functions for each of the judges' employees.
- CCJC should establish written and documented time frames for decisions to be made by the intake officers regarding complaints.
- CCJC should consider using a risk assessment tool to aid in efforts to reduce the average daily population and the average length of stay in the detention center and shelter care facilities by providing a mechanism for determining the most appropriate holding facility.



- CCJC should address staffing levels in all of the divisions in light of the clerk's office staffing analysis, other staffing comparisons discussed in the report and the recent implementation of a new case management computer system in order to ensure that each department is operating efficiently and in a cost-effective manner.

**Commendations:** A summary of commendations in the Court Services section includes the following:

- Establishing internal time frames for various case events improves the timeliness in which cases are processed.
- Scheduling monthly magistrate meetings helps to ensure that open lines of communication exist with the magistrates.
- Creating a centralized clerk's office helps to consolidate operations and improve the overall efficiency of the office.
- Developing and implementing the Community Diversion Program helps to reduce official filings while still providing needed services to juveniles.
- Establishing the Drug Court program provides an essential service to appropriate juveniles in need of that service.

### *Technology*

**Background:** Technology management in the Court is performed by the information services (IS) unit of the Research, Planning and Evaluation (RP&E) division. Employees within this unit along with assistance from the County Information Service Center (CISC) and PROWARE manage the Local Area Network (LAN), repair technical equipment and provide technical training to CCJC staff. Information services has a total of eight full-time equivalents and four vacancies as of July 31, 2000.

**Findings:** A summary of additional findings in the Technology section includes the following:

- CCJC does not have a technical steering committee to develop technical needs of CCJC and prepare proposals for the County's automatic data processing board (ADP) approval.
- CCJC staff members are not required to use all technology implemented in the Court or participate in technical training.
- CCJC does not increase funding for technology by actively seeking technology grants.
- CCJC did not include some of the case management application modules in its original contract with Proware that have potential benefits such as the bar code file folder tracking feature and document imaging software.
- Although some IS personnel have extensive experience, no one is A<sup>+</sup> or N<sup>+</sup> certified for technical repair or software assistance.

**Recommendations:** A summary of additional recommendations in the Technology section includes the following:

- CCJC should develop a technology steering committee to ensure technology activities are coordinated and consistent with overall goals and objectives.
- CCJC should ensure that the staff use all technology implemented in CCJC and participate in the appropriate training.
- CCJC should consider increasing technology funds through grants to provide training to staff, purchase additional Proware modules for JIMS, and purchase equipment such as laptops for the probation department, and purchase help desk software to provide a higher quality of service to CCJC clientele.
- CCJC should consider purchasing additional Proware modules such as the bar code file folder tracking feature and document imaging software.
- CCJC should provide A<sup>+</sup> and N<sup>+</sup> technical certification training for IS staff members.

**Commendations:** A summary of the commendations in the Technology section includes the following:

- Using centralized purchasing for technical equipment helps to ensure consistency with any proposed strategic technology plan and allows for potential cost savings when making volume purchases.
- Implementing a computer use policy provides personnel clear and concise directions regarding the use of CCJC computers.
- Centralizing equipment warranties and software licenses allows IS to have access when repairs and upgrades become necessary.
- Maintaining an equipment inventory listing allows CCJC and CISC to track and monitor equipment warranties and to verify the number of items in use.
- Implementing a case management system compatible with peer courts and County agencies helps CCJC promote sharing of information, improves its case management abilities, and allows it to keep pace with technological advances made by its statewide peers.

*Detention Services Department (Food & Custodial Services)*

**Background:** Of the various operational functions of the Detention Services Department, this report focuses only on the food services and custodial services functions of the department. The food services division's major responsibilities are related to food preparation/service and include receiving and unloading deliveries at the dock, storing and distributing food, documenting all food and storage, and preparing and serving food. The custodial services division's major responsibility is to perform all basic cleaning/housekeeping activities throughout the detention center. In addition, custodial services is responsible for performing limited laundry service and for ordering resident supplies, cleaning supplies and equipment. Food services comprises a total of 12.0 FTEs and custodial services comprises 10.0 FTEs as of July 31, 2000.

**Findings:** A summary of additional findings in the Detention Services section includes the following:

- Based upon the reimbursement rates and number of meals served in 1999, the detention center should have received approximately \$1,600 in additional reimbursements under the National School Breakfast and Lunch program. The discrepancy in the amount of reimbursements can be potentially attributed to the practice of tracking and maintaining meal counts manually as opposed to electronically.
- The food services division provides residents with three hot meals a day, which is inconsistent with the Detention Center Policy and Procedure Manual and American Correctional Association (ACA) standards requiring only two hot meals be served daily.
- There are no clear policies defining the number of staff needed to supervise youth during meals and defining "necessary" or "essential" staff required to stay on-site throughout their eight-hour shift. As a result, all detention staff members are potentially able to eat at no charge in the resident dining room. This practice makes cost-effective meal planning difficult.
- The Detention Center Policy and Procedure Manual does not clearly distinguish what cleaning functions (e.g., kitchen exhaust/ventilation fans and hoods) are to be completed by the food service staff, custodial staff and the County's central services.
- The cleaning responsibilities of adjudicated juveniles held in the detention center are not specified in detail with regard to frequency or type of cleaning.

**Recommendations:** A summary of additional recommendations in the Detention Services section includes the following:

- The food services division should ensure that all eligible costs under the National School Breakfast and Lunch program are accounted for and reimbursed by tracking and monitoring meal counts in an electronic spreadsheet or database.

- The detention center should consider eliminating hot breakfast on weekends. Prior to this, the detention center should take appropriate measures to ensure that the behavioral implications associated with serving a cold breakfast as opposed to a hot breakfast are minimal.
- The detention center should establish a policy that dictates the minimum number of staff necessary to supervise residents during meals (e.g., five are required for two units on the playground) and which categories of staff are required to supervise staff (e.g., detention officers and activity staff). Furthermore, CCJC should establish a policy defining which “essential” employees are to be provided meals at no cost.
- CCJC should develop a policy defining what cleaning activities are the responsibility of the food service staff versus custodial services and/or the County’s central services.
- CCJC should develop a policy delineating the guidelines for juveniles’ cleaning activities that can be incorporated into the Detention Center Policy and Procedures Manual. Furthermore, the detention center should ensure that any cleaning activities assigned to juveniles are in accordance with current laws and regulations.

**Commendations:** A summary of commendations in the Detention Services section includes the following:

- Cross training food services employees in all areas of the operation helps ensure that “down time” due to employee absences is reduced to a minimum.
- Implementing an effective supervision system in food services benefits both management and staff by clearly dictating who is responsible for conducting employee evaluations and who the employees need to contact when pertinent questions and concerns arise.
- Participating in the surplus commodity program and spending the allotted entitlement helps to reduce costs and provides more revenue to potentially fund other critical operations.
- Developing thorough job descriptions in custodial services serves as a valuable tool for guiding employees’ expectations and management of performance measures.

## **Summary of Financial Implications**

The following table summarizes the performance audit recommendations which contain financial implications. These recommendations provide a series of ideas or suggestions which Cuyahoga County Juvenile Court should consider. Detailed information concerning the financial implications, including assumptions, is contained within the individual sections of the performance audit.

Ref. No.	Recommendation	Estimated Cost Savings (Annual)	Estimated Implementation Cost (One-time)	Estimated Implementation Cost (Annual)
<b>Organization &amp; Administrative Services</b>				
R2.6	ACA costs for detention center, probation department and central office accreditation		\$22,800	
R2.13	Net annual cost due to the creation of two deputy court administrator positions after phasing out the director of administrative services and an administrative secretary position			\$92,000
R2.14	Yearly net increase by eliminating the building services manager position and creating a deputy director of operations			\$18,900
R2.16	Redirect RECLAIM funding by reducing one part-time research associate and two part-time research assistants	\$54,800		
R2.16	Scale down the data processing unit from one supervisor and five data processors to one supervisor and one data processor	\$133,300		
R2.16	Redirect general fund allocations for the deputy director of RP&E position to other uses, and replace with RECLAIM funds used for deputy director of court administration position. Phase out the deputy director of court administration position.	\$75,400		
<b>Human Resources</b>				
R3.1	Reduce staff within the human resources department by two position	\$68,500		
R3.15	Implement Kronos for the entire Court		\$100,000	
R3.15	Reduce staff by one payroll officer position after the conversion to Kronos is completed	\$51,800		
<b>Probation</b>				
R4.1	Eliminate one supervision regional chief probation officer	\$62,000		
R4.2	Fill vacancy for supervision probation manager			\$56,000
R4.13	Provide laptop computers to probation officers (average)		\$171,000	

Ref. No.	Recommendation	Estimated Cost Savings (Annual)	Estimated Implementation Cost (One-time)	Estimated Implementation Cost (Annual)
R4.13	Reduce the amount of unproductive time of probation officers by using laptop computers	\$257,000		
R4.14	Eliminate six probation secretary positions	\$170,000		
R4.15	Fill four vacancies in the MST program and the day treatment program			\$156,000
R4.38	Implement the probation module for the JIMS system		\$182,000	
<b>Court Services</b>				
R5.3	Increase amount of court costs and fines collected	\$135,000		
R5.5	Reduce four clerk positions in the caseflow division	\$104,000		
R5.15	Implement a CASA program			\$350,000
R5.18	Reduce average daily population in the detention center and shelter care	\$1,271,000		
R5.26	Hire a full-time chief judicial staff attorney and reduce the 3.5 FTE legal support staff (cost avoidance)	\$14,000		
R5.32	Not filling the seven vacant intake officer positions. (Cost Avoidance)	\$352,000		
R5.37	Reduce ten service clerk, six motion clerk, six journal clerk, four process server and three supervisor positions in the clerk's office	\$838,000		
<b>Technology</b>				
R6.1	Hire a deputy director of technology			\$74,300
R6.2	Hire staff for IS vacancies and eliminating the excessive contracted hours	\$84,800		\$240,000
R6.10	Centralize help desk services and purchase help desk software.		\$4,500	
R6.18	Purchase software and equipment for document imaging and bar coding		\$60,600	
R6.21	Provide A+ and N+ certification training for IS staff			\$5,700
<b>Food &amp; Custodial Services</b>				
R7.4	Reduce one food service worker position	\$23,800		
R7.6	Eliminate hot breakfast on the weekends	\$7,300		

Ref. No.	Recommendation	Estimated Cost Savings (Annual)	Estimated Implementation Cost (One-time)	Estimated Implementation Cost (Annual)
R7.9	Increase reimbursement from the National School Breakfast and Lunch program (revenue)	\$1,600		
R7.13	Reduce one custodian position	\$23,000		
R7.17	Contract with a private vendor of food services	\$151,000		
	<b>Total</b>	<b>\$ 3,878,300</b>	<b>\$ 540,900</b>	<b>\$ 992,900</b>

The financial implications summarized above are presented on an individual basis for each recommendation. The magnitude of cost savings associated with some recommendations could be affected or offset by the implementation of other interrelated recommendations. Therefore, the actual cost savings, when compared to estimated cost savings, could vary depending on the implementation of the various recommendations.

Furthermore, the implementation of some of the cost saving recommendations (see R5.5 and R5.37) are based on potential staff reductions linked to anticipated improvements in CCJC's case data collection and reporting processes. Therefore, although potential cost savings estimates appear valid, they are dependent on the Court's ability to complete the implementation of the corrective actions recently initiated.

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# Organization and Administrative Services

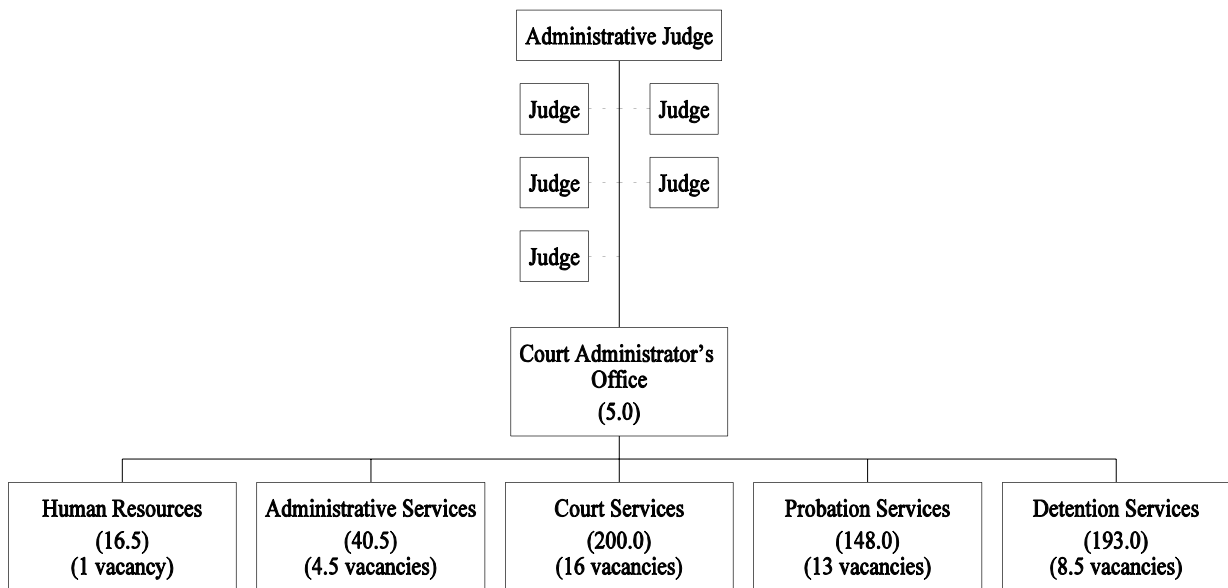
## Background

This section provides a review of the overall organization of the Cuyahoga County Juvenile Court (CCJC or Court) as well as a review of the administrative services department. Comparisons are made throughout the report to the peer juvenile courts of Franklin (FCJC), Hamilton (HCJC) and Lucas (LCJC) counties to illustrate various organizational, fiscal and operational issues.

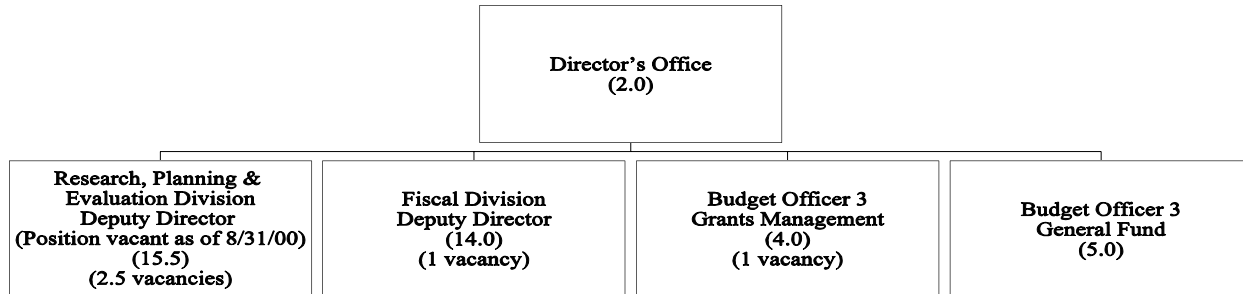
### Organizational Charts

The functions of CCJC are carried out by various departments and divisions. The following charts illustrate the organizational structure and the number of full-time equivalent (FTE) employees at the Court (**Chart 2-1**) and the organizational structure of the administrative services department (**Chart 2-2**) as of July 31, 2000.

**Chart 2-1: CCJC Organizational Structure**



### Chart 2-2: Administrative Services Department Organizational Structure



#### Organization and Departmental Functions

CCJC is a separate division of the Cuyahoga County Court of Common Pleas. Juvenile courts in the state of Ohio hear delinquency cases involving persons less than 18 years of age, and cases dealing with unruly, abused, dependent and neglected children. The Court also handles juvenile traffic cases. CCJC has jurisdiction in adult cases involving paternity, child abuse, non-support, visitation, custody and contributing to the delinquency of a minor. The Court is led by six elected judges, one of whom is elected by his or her fellow judges as the administrative judge. Each of the judges is elected for six-year terms.

According to the Ohio Revised Code (ORC) Section §2153.05, when there is temporary absence or disability of a juvenile judge, or when the volume of cases pending in the juvenile court necessitates the assistance of an additional judge, the presiding judge of the Court of Common Pleas of Cuyahoga County can designate a Common Pleas Court judge. If no judge is available, the Chief Justice of the Ohio Supreme Court can select a judge from another county. CCJC is currently using visiting judges to hear specific dockets such as permanent custody cases.

The administrative judge of Cuyahoga County has prescribed responsibilities as outlined in ORC Section §2153.05. The administrative judge has care and custody of the files, papers, books, records, and moneys pertaining to the juvenile court. The administrative judge is also the clerk of the court, with all the powers and duties of a clerk of commons pleas court as described in the ORC Section §2151.12. The administrative judge may appoint and employ deputies, clerks, stenographers and other assistants reasonably necessary to carry out the work of the court. The administrative judge must file appointments to these positions with the county auditor. Any of these appointees may be dismissed by the administrative judge. The administrative judge is also responsible for determining

the compensation of the employees of the court (Section §2153.09), as well as submitting an annual report to the Supreme Court of Ohio (in accordance with ORC Section §2151.18), the county commissioners and the Ohio Department of Youth Services (ODYS).

The administrative judge appoints and directs a court administrator whose role is to oversee the administration of the court and to manage all essential activities of the court such as planning, budgeting, organizing, staffing and policy development. This is according to the designation of a deputy clerk as described in ORC Section §2153.08.

CCJC is organized into four departments: detention services, court services, probation services, and administrative services (Only the food and custodial aspects of detention services will be examined in this report, all other departments will be examined in depth). The Court had 609 actual FTEs with 45 vacant positions as of July 31, 2000. CCJC positions are funded through the county general fund, grants and special revenue reimbursements.

The administrative services department is composed of the following divisions: administrative services; research, planning and evaluation (RPE); and fiscal. Administrative services is responsible for program planning, budgeting and purchasing. The RPE division houses a network manager, a software specialist and computer technicians, as well as systems analysis, data processing and research. The fiscal division includes the cashier's office, as well as building services, couriers and drivers. The drivers transport juveniles to court hearings or doctors' appointments. The administrative services department had 40.5 actual FTEs with 4.5 vacancies as of July 31, 2000.

### *Summary of Operations*

The number of delinquent and unruly cases referred to the Court has been decreasing in recent years. Juvenile cases referred are incidents of delinquency, unruliness, dependence, neglect, abuse, application for custody and traffic. Adult cases are usually parent/child relationship and support-related. Cases referred either enter the court system, or can be resolved at intake through dismissal, mediation or diversion. According to the CCJC Annual Report, the total number of cases referred to CCJC in 1999 was 38,911. Approximately 91 percent of these cases were juvenile. The total number of cases referred in 1999 is an eleven percent decrease from the 1998 total of 43,694. Juvenile traffic cases were the most common type of case heard in 1999 (15,117 or 43 percent of all cases), followed by delinquency and unruly cases which were 40 percent of all juvenile cases (14,158 in 1999).

Not all referrals to the Court result in actual cases. However, despite a decrease in referrals, a greater percentage of referrals have been entering the court system, thus increasing the caseload. Cases entering CCJC are those referrals that require some type of court action. These types of cases, known as official complaints, are not dismissed, mediated or diverted, and a hearing is typically scheduled. According to the 1999 Annual Report, delinquent and unruly cases referred to CCJC totaled 14,158.

Of that number, 15 percent were resolved at intake. Therefore, 85 percent of all delinquent and unruly cases (totaling 12,037) referred to CCJC in 1999 required some type of official court action.

In 1995, delinquent and unruly cases referred to CCJC totaled 18,076. Therefore, the number of cases referred to the Court has decreased 22 percent in the past five years. Although total cases referred have decreased, in 1998, changes in the intake process resulted in a sharp increase in the number of official complaints entering the Court. In 1995, 47 percent of complaints were resolved at intake. As a result of the change in the intake process, only 15 percent of delinquent and unruly cases were resolved at intake in 1999. The increase in volume of official complaints has had a direct impact on operations, primarily in the areas of shelter care, residential placements and assigned counsel.

### *Financial Data*

The Cuyahoga County (the County) general fund supports a large portion of the Court's budget. The CCJC's FY 1999 general fund expenditures totaled approximately \$42 million. The Court represented nearly ten percent of Cuyahoga County's total general fund expenditures for that year. The only money from the County's general fund that can be carried forward from one year to another is money that had been encumbered on contracts but not spent. When the Cuyahoga County Office of Budget and Management (OBM) creates the budget, it permits input from the Court regarding the programmatic needs of its departments.

The Court has experienced a significant increase in expenditures in recent years. Expenditures have risen by 59.7 percent from 1995 (\$26.2 million) to 1999 (\$41.9 million). According to a Court Status Report dated January 14, 2000, the major factors that led to this growth in expenditures during the past five years include:

- A 59.1 percent increase in official delinquency and unruly complaints resulting from a 1998 change in the intake procedure.
- A 14.6 increase in custody cases filed with the Court.
- A pay equity salary adjustment granted in 1998 (Griffith Study).
- The installation of a \$2.5 million case management system (JIMS).

The Court began receiving additional funds in 1995 through a new ODYS statewide program known as Reasoned and Equitable Community and Local Alternatives to the Incarceration of Minors (RECLAIM). This initiative was designed to meet two primary goals: (1) to empower local judges with more options and alternatives for the juvenile offender, and (2) to increase and/or improve the level of services provided by the ODYS.

The RECLAIM grant starts at the beginning of the state fiscal year (July 1). Each year, ODYS gives the Court a funding amount based on the number of felony adjudications the county had the previous year. This amount is based on the estimated costs of committing a youth to a state facility. The funds left over from commitment costs are allocated for programming along with any previous year carryover.

In addition to funding alternatives to institutionalization, RECLAIM funds may also be used to develop prevention and diversion programs for unruly youth, juvenile traffic offenders and other youth at risk of becoming delinquent. Examples of such programs include: day treatment, alternative schools, intensive probation, electronic monitoring and residential treatment. The only limitations to the use of RECLAIM funds are that they cannot be used for construction, renovation or to supplant local funds. Counties may carry over any remaining funds from one year to the next, and those funds may be used in four areas: salaries related to RECLAIM program administration, services (purchases/contracts), maintenance and equipment. The administrative judge, in partnership with the county commissioners, determines which programs receive funding from the RECLAIM grant. Currently at CCJC, RECLAIM funds 23 separate programs, within 16 RECLAIM program areas.

CCJC receives a reimbursement through the Cuyahoga Support Enforcement Agency (CSEA) for the Title IV-D program. CSEA receives its funding from federal grant dollars through the Title IV-D of the Social Security Act of 1935, as amended. Title IV-D allows CSEA to enter into a written agreement with a court to establish cooperative working arrangements and to specify areas of responsibility for the establishment, modification and enforcement of child support obligations. A written agreement ensures the reimbursement to the Court for the child support-related services it provides.

In 1999, CSEA contracted with the Court for approximately \$1.1 million in child support-related services. Based on the budget in the contract between CCJC and CSEA, the Court estimated that there would be 9,750 support action dispositions in 1999, and CSEA would pay the Court 66 percent of the \$174.60 per support action disposition. A support action disposition includes hearings involving establishment of support, establishment of paternity and enforcement of support.

The Court also receives reimbursements through the Cuyahoga County Department of Children and Family Services (CFS) from the Ohio Department of Human Services (ODHS) for the Title IV-E program. ODHS receives federal grant dollars through the Title IV-E of the Social Security Act of 1935, as amended, which governs placement of children and foster care functions. Title IV-E allows CCJC to seek reimbursement for maintenance costs related to adjudicated youth placed in foster care. In the case of the Court, foster care can consist of shelter care and residential placement.

In order for CCJC to receive Title IV-E reimbursement, a juvenile must be adjudicated by the Court, found to be unruly or delinquent, and be eligible for federal financial participation (FFP) under Title

IV-E guidelines. FFP is based on a determination of a juvenile's family income. If family income is found to meet certain poverty guidelines, CCJC receives a reimbursement for the out-of-home placement of that juvenile. For instance, the Court can bill a portion of residential placement costs for juveniles that come from homes receiving public assistance. CCJC receives reimbursement for 75 percent of the cost of placement, and the County retains the remaining 25 percent for administration costs.

The Court also seeks additional revenue through the procurement of outside grants. A senior program planner within the administrative services department is responsible for seeking and obtaining new grants. This individual conducts needs assessments through interviews and research throughout CCJC departments. New grants are researched through journals and other professional publications. Sometimes CCJC is asked to participate in certain grant projects, or a grant is instituted through the initiative of the Board of County Commissioners (BOCC), such as the Juvenile Offender Program.

The collection of fines, fees and court cost revenue for CCJC is accomplished by the cashier's office that is part of the fiscal division within the administrative services department. The cashier's office provides the mechanism of collecting fines and fees, and distributes them into one of the following accounts: victims of crime and general revenue (deposited with the state treasurer), special revenue funds and costs for the general fund (deposited with the county treasurer). The process is computerized and involves a separate checking account that is used for the sole purpose of dispersing the funds into the aforementioned accounts. The chief cashier is responsible for three cash drawers that are balanced daily. The County contracts with an armored car company to deliver daily deposits from the cashier's office to the bank. Traffic costs and fines account for roughly 90 to 95 percent of all monies collected by the cashier's office.

The growth in expenditures has caused the Court to consistently overspend the initial allocation budgeted to CCJC by the BOCC. This has occurred in spite of the Court seeking special revenue sources and outside grants to meet its increasing programmatic needs. For example, the Court's expenditures of \$42 million in 1999 were \$530,000, or 1.2 percent, over the initial budget for that year. An additional appropriation of \$600,000 was approved by the BOCC in 1999 to offset the \$530,000 deficit.

According to OBM, CCJC's original allocation for FY 2000 was \$42.5 million. The FY 2000 budget was subsequently increased to \$43.9 million. CCJC spent \$43.6 million in FY 2000 which exceeded the original budget by \$1.1 million, but provided a positive budgetary variance of \$300,000 against the revised budget.

The administrative services department is responsible for the financial, budgeting, programming, planning, technological and research functions of the Court. Budget officers within the department develop budgets and monitor revenues and expenditures for CCJC, and are responsible for

generating financial reports. The administrative services department is also responsible for the fiscal management of all CCJC programs.

A program planner within the administrative services department develops all of the contracts and service agreements for the Court. Contracts and agreements go through a chain of review before final approval. Service contracts require the approval of the BOCC. Service agreements, on the other hand, are generated and approved within CCJC, and do not require outside approval from the BOCC.

The fiscal division of the administrative services department is responsible for procuring all equipment, materials and supplies. This division also monitors inventory for the Court. All purchases made by the fiscal division are done to ensure compliance with state, county and court policies and procedures, as well as to strive to obtain the best goods at the lowest prices and to assure a fair and impartial selection process. The fiscal division also utilizes the county purchasing department when appropriate.

Only authorized individuals within the fiscal division can order equipment, materials and supplies for the Court. However, there are three exceptions to the Court's authorization policies due to the responsibilities and duties of certain divisions:

- Food ordering for the detention center is to be performed only by the food service supervisor.
- Pharmaceutical purchases are the responsibility of the nursing supervisor.
- Computer equipment and software ordering is the responsibility of the RPE division (see **technology** section of this report).

CCJC follows the County's purchasing and procurement procedures, that are governed by the state of Ohio. If the total cost of the order is less than \$1,000, the purchase may be made from the supplier indicated on the order request. If a similar purchase was previously made at a lower price than indicated on the request, then the Court typically uses the supplier with the lowest price. For purchases between \$1,000-\$14,999, at least three quotes must be obtained over the phone or via fax. The fiscal division chooses the supplier with the best quality item for the lowest price available. The purchaser maintains a quote sheet for audit purposes, and it is attached to the order request. Finally, for purchases totaling \$15,000 or above, the purchasing assistant prepares a purchase requisition. The requisition is signed by a budget officer, and is then forwarded to the County purchasing department, where the item is competitively bid.

The County sets priorities for capital projects. For example, approximately three to five years ago, an external rehabilitation project for the court building was requested by CCJC. This rehabilitation project is currently underway. The County provides the Court with a schedule for capital projects after hearing requests from CCJC. Depending on the urgency, the Court can submit a request requiring immediate attention. Longer term and “big ticket” items or projects are often included in future County budgets and capital plans.



## **Performance Measures**

The following is a list of performance measures and analyses that were used to review CCJC's organization and the administrative services department:

### *Organizational*

- Analysis of the Court's organizational structure
- Analysis of the administrative services department's staffing levels and organizational structure

### *Fiscal*

- Analysis of the composition of the Court's overall operating revenues and expenditures
- Analysis of the effectiveness of the RECLAIM program funding process
- Analysis of Title IV-D cases and their impact on the Court
- Analysis of how the Court fulfills Title IV-E requirements
- Examination of the effectiveness of grants procurement and monitoring
- Analysis of the Court's fiscal practices involving procurement, purchasing and fixed asset management
- Examination of the Court's budgetary practices regarding service contracts and services agreements including program assessments and monitoring procedures

### *Operational*

- Examination of the Court's interaction with other agencies
- Analysis of how the Comprehensive Strategy process being conducted in cooperation with the Federation for Community Planning might impact the Court

## Findings / Commendations / Recommendations

### Organizational Structure of the Court

F2.1 **Table 2-1** compares CCJC with its peer courts regarding budgeted FTEs versus actual FTEs by department. The following table displays the number of court personnel, by department, for CCJC and the peer courts.

**Table 2-1: Budgeted FTEs vs. Actual FTEs Peer Court Comparison**

Department	CCJC		FCJC <sup>1</sup>		HCJC		LCJC	
	Budgeted FTEs	Actual FTEs	Budgeted FTEs	Actual FTEs	Budgeted FTEs	Actual FTEs	Budgeted FTEs	Actual FTEs
Judges	6.0	6.0	5.0	5.0 <sup>1</sup>	2.0	2.0	2.0	2.0
Courtrooms Personnel	27.5	25.5	12.0	12.0	7.5	7.5	8.0	8.0
Court Administrator's/ Directors Office	5.0	5.0	4.0	4.0	3.0	3.0	2.0	2.0
Court Services <sup>2</sup>	190.5	174.5	174.0	174.0	137.0	137.0	60.5	59.5
Administrative Services	45.0	40.5	12.0	12.0	49.0	47.0	10.0	10.0
Human Resources <sup>3</sup>	17.5	16.5	3.0	3.0	5.0	5.0	2.0	2.0
Probation	161.0	148.0	43.0	43.0	220.0	220.0	49.0	56.0
Detention	201.5	193.0	150.0	150.0	201.5	193.0	100.5	100.5
<b>Total</b>	<b>654.0</b>	<b>609.0</b>	<b>403.0</b>	<b>403.0</b>	<b>625.0</b>	<b>614.5</b>	<b>234.0</b>	<b>240.0</b>

Source: Court organizational charts and staff listings.

<sup>1</sup>FCJC is a shared court. Judges hear both domestic relations and juvenile cases. Each FCJC judge hears juvenile cases one day a week.

<sup>2</sup>Magistrates are included within the Court Services staff.

<sup>3</sup>Human resources is a division of administrative services for HCJC and LCJC. It is a separate department at CCJC and FCJC.

F2.2 CCJC has more judges when compared to its peer courts. According to the ORC Section §2153.02, it is mandated that Cuyahoga County have six elected judges. It is the only county in the state with a specific number of juvenile court judges determined by law.

Franklin County has five judges, but FCJC is a dual court in which its judges hear both juvenile and domestic relation cases. FCJC judges each hear juvenile cases once a week on a rotating basis. For example, one judge hears the juvenile docket on Monday, another judge hears the juvenile docket on Tuesday, and so on. On the other four days, the judges hear domestic relations cases. Both HCJC and LCJC have two juvenile court judges, one of whom serves as the administrative judge.

- F2.3 All of the peer courts are departmentally organized in a similar fashion (see **F2.1**). In each juvenile court, the judges have their own courtroom support staff and, with the exception of FCJC, each have four support staff per courtroom. The six judges at CCJC each have a bailiff, an assistant bailiff, a clerk and an assistant clerk. The two judges at HCJC have four support staff positions: two clerks and two court reporters. The two judges at LCJC each have a court reporter, two office managers and a bailiff. At FCJC, the judges each have a bailiff and a secretary. The FCJC judges share a duty bailiff and a staff attorney.

According to ORC Section §2153.08, the administrative judge is clerk of the court, and has the authority to appoint deputy clerks. Court administrators act as deputy clerks in accordance to this law. Each of the peer courts has a court administrator or a court director who has the responsibility to oversee and manage the court's departments.

Each peer court has departments and divisions responsible for the financial, operational and technological functions of the court. Both CCJC and HCJC have an administrative services department where these functions are located. FCJC has an information services department and an operations and finance department. At LCJC, these functions are found in a court administration department. CCJC is the only juvenile court that does not have a separate technology or information services department (see **technology** section of this report). The human resource functions for the four peer courts are handled either in a separate department or incorporated into the administrative services department (see **F2.30**).

- F2.4 The peer courts all have programs and services that are designed to divert juveniles from court involvement and to prevent juveniles from further court involvement through treatment, education and correction. Each juvenile court in Ohio receives RECLAIM funding in order to provide alternatives to institutionalization. All of the peer courts fund a variety of programs using their RECLAIM allocations (see **F2.66**).

The peer courts each have mediation programs in which parties involved in a dispute are aided in settlement negotiations by a neutral third party called a mediator. CCJC has a custody mediation program. FCJC has several different mediation programs such as the Juvenile Victim Offender Mediation Program, Mediation of Abuse, Neglect and Dependency (MAND Program) and the SMART Program (Student Mediation and Reduction of Truancy). LCJC also has a truancy prevention program entitled Prevention of Truancy through Mediation.

Programs unique to specific courts are CCJC's Drug Court and the Court Unruly Project (see **court services** section), HCJC's work detail and attendance programs, FCJC's Teen Court, and LCJC's Court Appointed Special Advocate (CASA) program.

Each peer court's probation department oversees the referral of juveniles to community-based programs that are intended to provide accountability for the juvenile offender, while developing new opportunities for the youth through treatment, education and training (see the **probation services** section). Examples of these programs include substance abuse treatment, sex offender treatment, wrap-around and day treatment.

- F2.5 Since January 1997, there have been four different administrative judges and three different court administrators at CCJC. **Table 2-2** shows the administrative judges and court administrators since 1991.

**Table 2-2: Administrative Judges and Court Administrators since 1991**

Year	Administrative Judge	Court Administrator
1991	Leodis Harris	William Kurtz (hired May 1990)
1992	Leodis Harris	William Kurtz
1993	Leodis Harris	William Kurtz
1994	Leodis Harris	William Kurtz
1995	Peter Sikora	William Kurtz
1996	Peter Sikora	William Kurtz
1997	Patrick Corrigan	William Kurtz
1998	Betty Willis Ruben	John K. Zachariah
1999	John W. Gallagher	John K. Zachariah
2000	Peter Sikora	Kenneth Lusnia

Source: CCJC human resources division

F2.6 CCJC's peer courts have not experienced the same issue of administrative judge and court administrator turnover as the Court has experienced in recent years. FCJC selects an administrative judge and a lead judge. The administrative judge has held this position for the last four years without challenge. The FCJC administrative judge receives a 15 percent reduction in caseload in order to handle the extra responsibilities. The lead judge focuses primarily on juvenile justice policy, and receives no reduction in caseload for this position.

HCJC and LCJC have also not experienced frequent turnovers in administration. HCJC has had only three juvenile court judges in the last 25 years and only two court administrators. Since there are only two judges at HCJC, the judges tend to trade off the administrative responsibilities every other year. LCJC has also experienced long-term stability in administration by having the same administrative judge and the same court administrator for the past ten years.

F2.7 ORC Section §2151.12 states that a court with multiple judges must select an administrative judge to oversee the operations of the court. In addition, the Rules of Superintendence of the Courts of Ohio (Rules of Superintendence) outlines the selection, term and the powers and duties of the presiding judge, and defines the selection and term, powers and duties, and relief from case or trial duties of a court's administrative judge.

A juvenile court typically selects an administrative judge by a majority vote. In cases where the court is unable to select an administrative judge, the judge with the longest service usually serves for one year as the administrative judge. If two or more judges have an equal longevity, then the administrative judge is usually determined by lot of those eligible judges. According to the Rules of Superintendence, when a court fails to elect an administrative judge, then the judges will rotate the position by order of seniority.

F2.8 Based on the Ohio Supreme Court's Rules of Superintendence, the CCJC can elect an administrative judge to consecutive terms. Rule 4(A)(2) of the Rules of Superintendence states, "the term of the administrative judge shall be one year beginning on the first day of January. An administrative judge may be elected to consecutive terms and also may serve as presiding judge pursuant to Sup. R. 3. The administrative judge shall notify the administrative director of the Supreme Court of his or her election by the fifteenth day of January."

F2.9 Recent administrative changes at CCJC have led to lines of responsibility, accountability and communication becoming unclear, undefined or unorganized. In 1998, a major reorganization occurred at the Court. A veteran judge was elected for the first time as the administrative judge at CCJC by her fellow judges, and changes began immediately. The first two major changes were the termination of a long-serving court administrator and the elimination of the warning letter system that was previously used to divert minor, first-time

offenses from officially being heard at Court. Throughout 1998, entire departments, divisions and units and their designated responsibilities were either reorganized or eliminated entirely.

Since 1998, some of the reorganization efforts have proven to be beneficial to the Court, such as the establishment of the clerk of courts office that centralized the court services department into one location. Another benefit was the establishment of the Community Diversion Program that was set up in conjunction with the elimination of warning letters for minor offenses (see **court services** section).

However, the 1998 reorganization had a major impact on some of the key functions of the Court. For example, the responsibility for program planning, monitoring and evaluating functions were decentralized from the program planning unit, which was eliminated, to individual departments. This change led to undefined responsibility for these functions (see **F2.80**) throughout the Court. Also, before 1998, the CCJC detention center, probation department and central office functions were all accredited by American Corrections Association (ACA). Due to the reorganization, the Court did not seek re-accreditation, and with the exception of the detention services department, CCJC has not formally kept current with policies, procedures and practices according to ACA standards (see **F2.14**).

F2.10 Since CCJC's peer courts have fewer juvenile court judges, or in the case of FCJC, judges assigned to juvenile cases, these courts rarely face administrative instability due to turnover. It is beneficial for a juvenile court judge to seek election as the administrative judge of the court. Their caseload is reduced in order to compensate for the responsibilities required of the position, and they have the legislative authority to administer the court as they deem necessary. With the exception of the BOCC which approves the Court's budget, and the oversight authority of the Ohio Supreme Court, it is the ultimate responsibility of the administrative judge and his or her fellow judges to ensure that the Court is operated in an efficient, effective and fair manner.

**R2.1** CCJC would benefit by encouraging stability in the administrative judge position. Stability within the Court could lead to more comprehensive long and short-term planning. Consistent expectations could be established for departments and divisions, and programs and initiatives could be planned, monitored and evaluated to determine whether or not they were successful. Morale among employees should improve, since clearer and more consistent lines of authority and supervision could be established. Changes in administration usually led to changes in supervisory responsibility throughout the Court, and the lines of communication have become unclear. Stability within the Court should improve communication between employees, supervisors, department heads and judges. The six elected judges, and the administrative judge they select, have the ultimate responsibility to create stability and accountability throughout the Court.

CCJC judges should work together to ensure that there is a longer tenure for the administrative judge and the court administrator. CCJC's administrative turnover is unique and there are several options the judges could explore that would encourage administrative stability within and throughout the Court.

- The judges could make a local rule that would recommend the administrative judge position be at least a three-year term, with votes of confidence from his or her fellow judges on a yearly basis. This would satisfy the Rules of Superintendence, while contributing to stability in CCJC administration.
- The judges could offer the court administrator a renewable contract for the minimum of a two-year period. If a new administrative judge is elected, the court administrator's contract would ensure some consistency.
- The judges could further define the responsibilities of the administrative judge position within the court's local rules so expectations are known and understood.

F2.11 The statutory responsibilities of the juvenile judges do not provide for a system of accountability. The administrative judge is responsible for submitting a budget to the county commissioners and an annual report to the Ohio Supreme Court. However, there is not an accountability system in place at CCJC to ensure uniformity, efficiency, effectiveness and fairness throughout the various courtrooms.

The manner in which the six CCJC courtrooms operate independently of one another impacts the departments, operations, programs and morale of the Court. The procedure by which one courtroom schedules cases or enters file information may be very different from the procedures of another courtroom. If the operations and expectations vary from courtroom to courtroom within the Court, it is more difficult for departments and external agencies that interact with these courtrooms to perform their responsibilities in a uniform, efficient and effective manner. For example, if two different courtrooms enter file information two different ways, it is up to the court services department to ensure that the information reconciles (see the **court services** section). CCJC courtrooms need to be held accountable for their actions and the judges should strive to operate their courtrooms in a common and uniform manner.

Dallas County, Texas produces a periodic judge-by-judge efficiency comparison for the 72 district and county judges and justices of the peace who depend on the Dallas County Commissioners Court for resources. These reports are made public despite the potential political liability for elected judges, and the limitation associated with using efficiency as a useful stand-alone measure of the quality of justice. This report compares the cost-per-case disposition of each judge with costs of every other judge hearing a similar docket, with the understanding that judges have a large degree of control over their dockets and the costs they incur.

**R2.2** An external, independent agency should undertake a courtroom grading or rating process for CCJC. An outside agency like the Cleveland Chapter of the American Bar Association or the Federation for Community Planning could evaluate the judges' courtrooms to determine the extent to which goals, objectives and performance measures are being met. Performance measures need to be developed that apply to all judges and their courtrooms. This would help to ensure that courtrooms process cases efficiently and effectively, and could include:

- cost-per-case disposition
- recidivism rates
- frequency of using assigned counsel to ensure that the public defender's office is being used effectively as possible
- frequency of use of attorneys to ensure fair distribution of cases
- lengths of time juveniles spend in shelter care
- accuracy that file information is entered into JIMS
- dispositions of cases by courtroom

F2.12 It is the responsibility of the administrative judge to appoint a court administrator whose purpose, under the guidance of the administrative judge, is to direct the administration of all the Court's departments, and to manage and oversee all essential activities of the court, such as planning, budgeting, organizing, staffing and policy development. According to the National Association for Court Management's (NACM) manual, *The Court Administrator*, "the administrator's primary role is to facilitate the administrative functions of the court under the general guidance of the chief judge. Together, they provide the court with an executive leadership team, capable of confronting the increased complexity and necessity of change that characterize a modern court system." The NACM defines the roles and responsibilities of the executive leadership team of the administrative judge and the court administrator. One responsibility of the executive leadership team is to provide for the participation of all judges in the development of policy and planning for the court. Through the collaborative efforts of the court administrator and the administrative judge, court policy is implemented, monitored and facilitated by the courtrooms and departments that the executive leadership team oversees.

Collaboration does occur between the court administrator and the administrative judge positions at CCJC. However, participation of all judges in the development of policy and planning does not often occur. In the climate of administrative turnover at CCJC, responsibility for policy development throughout the Court has not been clearly defined, and once policies are made or changed, the intended goals of these policies are typically not communicated effectively. The recent administrative turnovers have also greatly impacted the planning that occurs throughout the Court. The yearly changes in the administrative judge position since 1996 have interfered with any meaningful long and short-term planning processes, as well as any planning processes that solicit participation from all of the judges.



**R2.3** CCJC judges should strive to discourage turnover in the court administrator position through a consensual agreement among the judges or through a formal agreement (**R2.1**) like a contract. The court administrator should be a position that offers some stability since he or she serves as the liaison between the administrative judge, the judges, the departments and the public. The appointment of three different court administrators within the past four years has hampered effective planning and policy development. They should also strive to ensure that the court administrator position does not necessarily change with the election of a new administrative judge.

An effective court administrator should also collaborate with the administrative judge to ensure that the following occurs throughout the Court:

- Follow ACA accreditation standards (**R2.6**).
- Ensure that court wide goal development, long and short-term planning and objectives are set and evaluated at least on a yearly basis (**R2.7** and **R2.8**).
- Develop a schedule for administrative, departmental and court wide meetings for policy development and planning (**R2.9**).
- Develop effective court policies (**R2.10**).
- Enact a system of notification and training for new or amended policies and procedures (**R2.11**).
- Create systems that ensure that those new policies or changes in policy are communicated as comprehensively as possible (**R2.12**).
- Monitor and evaluate the performance of the departments and the programs that the court administers (**R2.27** and **R2.29**).

F2.13 In order to engage the CCJC judges and the administrative staff in policy development and planning for the Court, status reports of operations, programs and finances must be effectively communicated. Departments and divisions throughout the Court produce very informative and comprehensive reports and directories on either a weekly, monthly or annual basis. The RPE division within the administrative services department produces the Monthly Administrative Report. This report gives detailed statistics about the detention center, shelter care and home detention as well as residential placement numbers, intake activity and dispositions. The data processors within the RPE division also compile and submit monthly reports to the Supreme Court of Ohio of cases pending, filed and terminated by each judge. The RPE division compiles the statistics from these reports as well as other data sources to produce the Court's Annual Report.

Financial data for each fund is compiled by the general fund and the grants management budget officers and reported monthly within the administrative services department. These reports include appropriations, expenditures/obligations, projected expenditures and cash management reports. The reports often include narratives on the status of the fund and any

budget overages or shortfalls that may have occurred. These reports give an accurate and comprehensive synopsis of the Court's financial standing each month, and this fiscal data is used for the budget request process each year with the BOCC.

The probation department produces a yearly service directory of all of the community-based programs that are available to felon, misdemeanor and unruly juvenile offenders and their families. The service directory lists the agency and project name, contact persons, area served, type of juvenile served, duration of service and a comprehensive description of services provided as well as any other special requirements. The directory also lists the funding sources for each of the programs such as RECLAIM and the general fund. The service directory is distributed to all probation department staff, judges, magistrates and some external agencies.

**R2.4** The Court should consider producing a single monthly report, or a series of reports on a monthly basis, consisting of information currently provided in the monthly administrative report, the financial reports and the service directory. The coordinated and combined reports could be known as the "bench report(s)," and should be distributed to judges, magistrates, department directors, supervisors, probation officers, intake officers and external agencies. This new report would not have to be as comprehensive as the current reports and directories, but it should give the reader a concise snapshot of what is happening operationally, programmatically and financially each month at CCJC. The suggested report could also be used as the basis for the Court's Annual Report that is submitted to the Ohio Supreme Court and outside agencies. The peer courts produce annual reports that are much more program-oriented than the annual report that CCJC produces.

The bench report(s) suggested above should address the following items based on data from the previous month, as well as year-to-date totals, where applicable:

- detention services' statistics for the detention center, shelter care and home detention
- residential placement statistics
- intake activity statistics
- courtroom activity statistics, such as cases pending, filed, terminated and types of dispositions ordered by courtroom
- program status reports, especially descriptions of new programs, programs that have been terminated, and any program changes. This could include a matrix of available programs, type of juvenile served by the program, and any wait time to get into the program.
- recidivism rates of programs and client satisfaction comments where applicable
- status of the general fund budget, RECLAIM funds and any other grant funds, highlighting areas that are within budget or over budget

The production of the bench report(s) should be the responsibility of the deputy court administrator of administration (see **R2.13**), and should be coordinated, compiled, written and distributed by the RPE division (see **R2.16**).

**R2.5** CCJC should provide budget presentations to all six judges at least twice a year, once for the general fund (around January 1) and once for RECLAIM and other grant funds (around July 1). The budget presentations would identify spending patterns, variances and budget shortfalls as reported in the suggested comprehensive monthly report(s) (see **R2.4**). This type of presentation would help the judges understand the budget situation at CCJC as well as budgetary limitations that may be present. In doing so, the deputy court administrator of administration (**R2.13**) and the court administrator should solicit the judges' input on operational, programmatic and financial issues, make any needed changes, and communicate their input to the BOCC. These presentations should be the responsibility of the administrative judge and the court administrator, and it would be most productive to have this presentation at the recommended annual retreat (see **R2.8**).

F2.14 During the 1990's, the CCJC had actively developed and implemented policies, procedures and practices in order to meet American Corrections Association (ACA) standards. The probation department was the first Court department accredited in 1989, and the department applied for re-accreditation every two years from 1989 to 1996. In 1993, the detention center was accredited, but in 1997 its accreditation expired. The detention services department opted not to reapply for detention center re-accreditation since recommended ACA policy and procedure was not being practiced at that time. Finally, in 1995 the Administrative Policy and Procedure manual was developed, and in 1996, CCJC was the first juvenile court in the country to receive accreditation under the ACA Administration of Correctional Agencies (central office standards). However, by 1998 none of CCJC's departments were accredited.

The purpose of accreditation is to promote improvement in the management of correctional agencies through the administration of a voluntary accreditation program and the ongoing development and revision of relevant, useful standards. The ACA produces standards manuals that it frequently reviews and updates. The standards manuals provide administrators with the tools to develop a plan for creating management controls and upgrading facilities and procedures.

The policy and procedure manuals still exist for the administrative services, the probation services and the detention services departments. However, the only department to actively maintain and update their policy and procedure manual since 1998 has been the detention services department (see **C2.1**).

HCJC is the only peer court that is currently ACA accredited. The Hillcrest Training School is accredited and its probation department was accredited this year. The HCJC Youth Center

(detention center) is currently going through the accreditation process. Neither FCJC nor LCJC have any accredited departments or facilities, but FCJC is using ACA standards at its detention center. According to the FCJC court administrator, they are working on becoming accredited within the next year or so.

- R2.6** CCJC should strive to develop and implement the ACA standards that apply to the court and the detention center. Once these standards are developed, implemented and met, CCJC should once again participate in the accreditation process. Accreditation should be a priority for the administrative judge and the court administrator.

*Financial Implication:* The current direct costs for CCJC to go through the accreditation process is \$9,350 for juvenile detention center accreditation, \$4,150 for probation department accreditation and \$9,350 for administration of correctional agency accreditation (central office standards). For juveniles courts seeking accreditation in more than one area, there is a five percent discount on any additional accreditations they undertake. The indirect costs of updating, creating and enacting policies and procedures are not quantifiable.

- F2.15 CCJC does not have a formalized and collaborative system to develop long-term and short-term goals on a court wide and departmental basis. Due to the recent turnovers in the administrative judge and court administrator positions, it is difficult for the Court to establish a formalized and collaborative system to plan for the future direction of CCJC. Additionally, being placed on quarterly budget allocations by the BOCC has also made it difficult for the Court to plan even on a short-term basis.

The current administrative judge developed the "Action Plan 2000" for the Court at the start of his tenure. The plan focuses on the immediate and long-term areas for improvement throughout the Court. This effort was a compilation of current CCJC initiatives and of projects and programs that were underway or being planned court wide. It was not an actual "plan," in the formal sense of the word, but a comprehensive listing of Court accomplishments, initiatives and programs that the Court was undertaking, or planning on undertaking, within the court or with outside agencies.

- F2.16 The peer courts each develop long and short-term goals in different ways. FCJC is similar to CCJC in that the court's finance divisions meet with court departments to go over budgets and to set priorities. FCJC does not have a formal goal setting process, but it is able to set departmental short-term goals by developing financial priorities for the upcoming year.

HCJC also does not have a formal long and short-term goal setting process on a court wide or departmental basis. However, goal and objective setting and measurement of achievement is part of its performance appraisal process. The court administrator meets annually with each executive director and superintendent to outline accomplishments for the previous year,

and to set goals and objectives for the upcoming year. Executive directors and superintendents do the same with their department heads, who do the same for line staff. The HCJC performance appraisal process assigns weights to goals and objectives being set and met. For example, one third of the executive director and superintendent performance appraisals are based on meeting the outlined goals and objectives for their positions and their departments.

LCJC has the most comprehensive long and short-term goal and objective setting process of the peer courts. Every fall, an administrative retreat is held with the judges, administrators and directors to review goals and objectives from the past year, and to set new goals and objectives for the upcoming year. At this retreat, benchmarks are set in order to gauge the accomplishments of the long and short-term court wide and departmental goals. These goals, objectives and benchmarks are published in the court's annual report. Every couple of months, the agendas set at the fall retreat are reviewed at an administrators' meeting and the status of the year's goals are examined and discussed.

- F2.17 Long-term planning is currently not a priority at CCJC. CCJC does have a mission statement and a mission statement objective that is included in the Court's Annual Report, but it does not have written statements describing the philosophies, goals and purposes of the Court and the detention center.

As outlined in the *ACA Standards for Juvenile Detention Facilities* (3<sup>rd</sup> Edition), Section A: General Administration, a court facility should have "a written body of policy and procedure (that) establishes the facility's goals, objectives, and standard operating procedures and establishes a system of regular review."

ACA standard 3-JDF-1A-03 (Ref. 2-8008) states, "there is a written document delineating the facility's mission within the context of the total system. This document is reviewed at least annually and updated as needed. (*Comment*: The mission statement should address whatever programs and services are available)."

Another ACA standard, 3-JDF-1A-04 (Ref. 2-8003), states that for a juvenile court, "there is a written statement that describes the philosophy, goals, and purposes of the facility. This statement is reviewed at least annually and updated as needed. (*Comment*: Although statutes specify the authorization and the general mission assigned, there is a need for in-depth exposition. The written statement should specify the program's philosophy, goals, and purposes as they relate to the basic concepts of major public policy issues in juvenile detention)."

F2.18 Other than the performance measures listed in the County Administrator's Recommended Budget and the Cuyahoga County Quarterly Financial & Performance Report, there are no measurable objectives established by CCJC and its departments. The County, however, encourages agencies to develop performance measures in collaboration with OBM, and they are as follows:

- The percentage of youth in secure detention that receive a physical examination.
- The response time to detention residents' suicidal gestures with a face-to-face assessment.
- The number of CSEA motions scheduled for first hearing within 60 days.
- The phases achieved and completed for the new Proware information system.
- The number of new filings for youth on probation.
- The error rate of felony cases reported to the state.
- The amount of Title IV-E reimbursements received.

The Monthly Administrative Report currently produced by the Court's administrative services department contains numerous statistics related to detention services, residential placement, intake activity and intake dispositions, and major dispositions processed. The Monthly Administrative Report does not include goals, objectives and measures, but it does report comparisons of previous year-to-date and current year-to-date numbers. According to the administrative services department, the statistics presented in the Monthly Administrative Report drive its mission and planning on an informal basis.

**R2.7** CCJC should benefit by establishing or expanding mission statements, philosophies, goals and purposes for the overall court and for each of its departments. This recommendation is outlined in the following ACA standard, 3-JDF-1A-10 (Ref. 2-8017), which states, "written policy, procedure, and practice provide that the facility administrator (in this case, the court administrator) formulates and reviews goals for the facility at least annually and translates them into measurable objectives. (*Comments: Goals facilitate decision making, especially in an atmosphere of change. Measurable objectives facilitate the process of program review, monitoring, and evaluation.*)"

The Court should review its mission statement and philosophies at least every year, and it should develop long and short-term goals, objectives and measures on a yearly basis. This should be the responsibility of the administrative judge and the court administrator.

**R2.8** CCJC should ensure that all of the judges, the court administrator, the deputy court administrators (**R2.13**) and the departmental directors, as well as the chief magistrate convene for a strategic planning retreat on an annual basis. The purpose of the retreat is for Court administrators to develop consistent goals and objectives. At the retreat, issues affecting the Court should be discussed, goals and objectives should be set, and benchmarks

and indicators should be created to gauge the progress being made toward meeting these goals and objectives. Participants at the retreat should be given a budget presentation (see **R2.5**). It should be the responsibility of the administrative judge and the court administrator to organize and set the agenda for the retreat.

F2.19 Channels of communication are not formalized through written policy and procedure at CCJC, often causing Court departments to act independently. There are informal channels of communication, such as departmental directors meeting with the court administrator, judges meetings and occasional departmental and divisional meetings. However, there is not a formal structure or system in place to ensure that departments meet on a regular basis to discuss court wide issues, whether financial, legislative or procedural, as well as to review court and departmental goals and objectives.

F2.20 All of CCJC's peer courts have scheduled and organized meetings to communicate issues and initiatives that are occurring operationally, programmatically or financially within the courts. At HCJC, executive directors meet once a week to coordinate court wide activities and issues. Every other month on the second Wednesday, there is a court wide managers and middle managers meeting. This meeting also includes managers from the Youth Center and Hillcrest Training School. If there is a new policy initiative or a procedural change, the court administrator uses this meeting to train managers and to solicit feedback. Traditionally, the judges do not attend administrative meetings at HCJC. Every department or division at HCJC has regularly scheduled meetings at the line level, and the current court administrator occasionally makes appearances at these meetings to discuss issues and problems. The court administrator at HCJC also holds management and employee focus groups. He randomly picks managers as well as employees on the line level to discuss issues involving the court. The court administrator uses this forum to address problems and improve communications.

The court director at FCJC meets with the top supervisors every Wednesday morning to discuss any concerns, issues or problems. The judges at FCJC meet once a month, and the court director and the administrative judge create the meeting agenda. Court and detention supervisors meet with their directors on a regular basis.

At LCJC, the court administrator holds an administrator's meeting with department heads and the two judges. The court administrator creates the agenda for these meetings where issues are discussed. At least bi-monthly, the administrators and judges at LCJC review the goals and objectives from the annual retreat (see **F2.16**).

**R2.9** Channels of communication and meeting schedules should be formalized as outlined in ACA standard, 3-JDF-1A-23 (Ref. 2-8011) which states, "written policy, procedure, and practice provide for regular meetings between the facility administrator and all department heads and between department heads and their key staff members. Such meetings are to be conducted

at least monthly. (*Comments: Regular channels of communication are necessary for delegating authority, assigning responsibility, supervising work, and coordinating efforts.*)”

An administrative team should be established at CCJC to develop and implement the long and short-term goals, to review objectives, and to discuss issues, problems or concerns. The administrative team should include the administrative judge, the court administrator, the deputy court administrators (**R2.13**), departmental directors and the chief magistrate. This team should meet on a weekly basis to discuss court wide issues, and to discuss how to disseminate any changes in policy and procedure (see **R2.11**). The court administrator, in cooperation with the administrative judge, should schedule the meetings and set the agenda. The court administrator and the administrative judge should encourage the departmental directors and superintendents to schedule weekly meetings with their supervisors and with their staffs to ensure the continuous flow of information.

- F2.21 The Court (with the exception of the detention services department) currently does not have a formal structure in place to develop written policies, procedures and practices, and lacks a method to effectively distribute, train and enact any new or amended policies, procedures and practices.

The majority of ACA standards include written policies, procedures and practices that are to be established and enacted. When the Court underwent the Standards for the Administration of Correctional Agencies (central office standards) accreditation process in 1996, an administrative policy and procedure manual was compiled and developed. However, following the 1998 reorganization of CCJC, the administrative policy and procedure manual was no longer maintained and distributed in a timely or consistent manner. As stated in **F2.14**, the detention services department has been the only department within CCJC to develop, distribute, train and enact policies and procedures according to ACA standards.

CCJC’s peer courts all have identifiable policy and procedure development processes, and all maintain policy and procedure manuals. For example, at HCJC, depending on the type of policy and procedure, it is discussed and developed either at the executive directors’ or the managers’ meetings.

- R2.10** The administrative team, as outlined in **R2.9**, should work together to develop court wide policies, procedures and practices that each department, division and courtroom can follow. CCJC needs to develop and continually update a policy and procedure manual beyond the scope of the Personnel Policies and Procedures Manual (see the **human resources** section), update the Administrative Policy and Procedure Manual, and use the Detention Center Policy and Procedure Manual as an example to follow court wide. Also, the administrative judge should work with the judges to review and update CCJC’s local rules as needed.



This is further outlined in ACA standard, 3-JDF-1A-21 (Ref. 2-8013), which recommends that “the policies and procedures for operating and maintaining the facility and its satellites are specified in a manual that is accessible to all employees and the public. This manual is reviewed at least annually and updated as needed. (*Comment: A governmental agency has an obligation to make public its philosophy, goals, and objectives. A program should be conducted to familiarize employees with the manual.*)”

F2.22 CCJC does not typically distribute written policies, procedures and practices consistently on a court wide basis. With the exception of the detention services department, staff are not typically trained, and the manuals are not consistently reviewed and updated as needed. There is a Personnel Policies and Procedures Manual that is given to court employees upon hire, and employees are given updates as they occur (see **human resources** section). However, many of the standards in the *ACA Standards for Juvenile Detention Facilities* (3<sup>rd</sup> Edition) are not dealt with in CCJC’s Personnel Policies and Procedures Manual.

C2.1 The detention services department has a formal, and rather comprehensive, process for enacting any procedural or process changes. All detention services staff members are instructed on the changes, and they sign a release stating they received and understand the instruction. A copy of the sign-off document is placed in their personnel file. This ensures that all detention services employees are educated on relevant departmental policies, procedures and practices, and it removes the liability from the department in the event policy is not followed by an employee.

F2.23 The most common practice of policy and procedure notification among CCJC’s peer courts is distribution with paychecks. Either the notice is included in a court newsletter or on a single sheet of paper that is distributed along with the employee paychecks. In addition, peer courts also use internal memoranda, e-mail and the court intranet for court wide dissemination.

HCJC follows a practice similar to the CCJC’s detention services department to disseminate and train employees on policy and procedural changes, but it is done on a court wide basis. At the executive director’s meetings, policy is developed and it is decided how best to disseminate the information. At bi-monthly managers’ meetings, the managers are instructed on the new policy, how it should be implemented and who the contacts are. The managers are responsible for disseminating the new policy among their line staff. All employees sign a waiver stating they have received the policy, were trained and understand the policy. The waiver is maintained in each employee’s personnel file, which in turn, helps the court with liability issues.

F2.24 A formal process of policy and procedural change notification and training is beneficial to Court operations. The process that the CCJC detention services department and HCJC

follow helps to ensure that every employee effected by the change is aware and trained on that policy, procedure or practice. This process allows for a coordinated and consistent dissemination. Also, once an employee signs a waiver stating that he or she received the policy, was trained, and understands the policy, the Court has then removed liability from itself in the event an employee does not follow policy or procedure. Furthermore, having a system of policy and procedure notification via paychecks, internal memoranda, e-mail or intranet helps to ensure that the Court is using all means possible to disseminate the information.

**R2.11** The detention services department's policy and procedure change notification and training process should be implemented on a court wide basis at CCJC. Whether it is a procedural change within a department or a process change that effects the whole court, there needs to be a record that those changes were made known and understood by all employees involved. The results of this procedure would lead to court wide continuity and knowledge of issues, processes and procedures. For policy effecting the entire court, notification should be coordinated and distributed by the court administrator and the deputy court administrators (**R2.13**). For individual departments or divisions, notification should be coordinated and distributed by the department director or supervisor in cooperation with the human resources department and the deputy court administrators (**R2.13**).

**R2.12** New policies or procedures, or changes in current policy and procedure enacted by the Court or by a department, should be communicated as throughly and timely as possible. This should be done through training and the signing of waivers, if necessary, as well as via internal memoranda, e-mails, or using the court intranet to inform each employee effected by the change.

Furthermore, all policy and procedure manuals such as those for personnel, administrative services, detention center and probation department (see **F2.14** and **F2.22**) should be given to new hires. These manuals should also be posted on a court intranet in PDF format (see **technology** section) for greater accessibility to court employees. Furthermore, these manuals should be reviewed, updated and maintained as changes and new policies and procedures occur.

*The Administrative Services Department's Organizational Structure*

F2.25 Prior to 1997, the administrative services department did not exist. The divisions that currently comprise the department each reported to the deputy court administrator. During the 1998 reorganization of the Court, the administrative services department was created. The number of staff and the organization of the administrative services department has varied each year since 1998. **Table 2-3** shows the department's divisions and budgeted FTEs, by year.

**Table 2-3: Administrative Services Dept. Organization and Budgeted FTEs**

1997		1998		1999		2000	
Division	Budgeted FTEs	Division	Budgeted FTEs	Division	Budgeted FTEs	Division	Budgeted FTEs
Deputy Court Administrator	4.0	Director's Office (Vacant)	1.0	Director's Office	2.0	Director's Office	2.0
Research Planning & Evaluation	18.5	Research Planning & Evaluation	16.0	Research Planning & Evaluation	15.0	Research Planning & Evaluation	18.0
Fiscal Resources	9.0	Fiscal	16.0	Fiscal	24.0	Fiscal / Transportation	16.0
Human Resources	13.5	Human Resources	22.5			Special Revenue / Grants	5.0
Operations	33.0					General Fund	5.0
<b>Total:</b>	<b>77 FTEs with 13 vacancies</b>	<b>Total:</b>	<b>55.5 FTEs with 2 vacancies</b>	<b>Total:</b>	<b>41 FTEs with 3 vacancies</b>	<b>Total:</b>	<b>45 FTEs with 5.5 vacancies</b>

Source: CCJC human resource division organizational charts

F2.26 The general fund expenditures of the administrative services department, as a percentage of the total general fund expenditures for the Court, have averaged around 22 percent between 1997 to 1999 as shown in **Table 2-4**.

**Table 2-4: Historical Administrative Services General Fund Expenditures**

Category	1997	1998	1999	Change 1997 to 1999
Salaries	\$2,084,243	\$1,936,122	\$1,743,298	(16%)
Fringe Benefits	614,965	530,607	468,880	(24%)
Commodities	56,357	68,742	67,466	16%
Contracts/ Services	312,217	383,573	430,084	27%
Controlled Expenses	3,805,373	4,549,343	5,834,482	35%
Other Expenditures	775,796	691,784	730,452	(6%)
Capital Outlays	35,126	15,897	10,500	(70%)
<b>TOTALS</b>	<b>\$7,684,077</b>	<b>\$8,176,068</b>	<b>\$9,285,162</b>	<b>17%</b>
<b>Percent of the CCJC general fund expenditures</b>	<b>23.5%</b>	<b>21.0%</b>	<b>22.7%</b>	<b>Avg. = 22.4%</b>

Source: CCJC Annual Reports

Overall, general fund expenditures have increased by 17 percent within the administrative services department, from approximately \$7.7 million in 1997 to nearly \$9.3 million in 1999. Salary and fringe benefits have decreased by 16 percent and 24 percent respectively from 1997 to 1999. This is due to a reduction in staff size within the department from 77 budgeted FTEs in 1997 to 41 budgeted FTEs in 1999 (see **Table 2-3**).

The area of the greatest growth in general fund expenditures within the administrative services department from 1997 to 1999 has been in the controlled expenses category. This category increased by 35 percent from approximately \$3.8 million in 1997 to over \$5.8 million in 1999. Controlled expenses are the indirect costs related to county government such as centralized data processing, security and maintenance. The installation of the JIMS system (see **technology** section) is largely attributable to the growth in this area.

F2.27 The administrative services department is currently organized into two divisions: Research, Planning and Evaluation (RPE) (see the **technology** section for a staffing analysis) and fiscal. The department also has a general fund management area with five budgeted FTEs and a grant fund management area with five budgeted FTEs. The budget officers in these two fund management areas report directly to the administrative services director.

The general fund management area is supervised by a budget officer who oversees a senior account clerk and an account clerk. This budget officer also supervises a purchasing assistant and a senior storekeeper. The grants funds management area is supervised by a budget officer as well. This budget officer currently supervises a senior account clerk, a senior program planner (see **F2.72**) and a program planner. Another program planner position is budgeted, but not filled.

The fiscal division is supervised by the deputy director of fiscal who oversees a program planner responsible for contracts and agreements (see **F2.78**), the cashier's office that has four FTEs, the building services manager, and the supervisor of transportation, who oversees six transportation officers.

F2.28 **Table 2-5** is a staffing comparison between the related administrative service department positions of CCJC and its peer courts. These are approximate comparisons because the responsibilities and functions of the courts vary.

**Table 2-5: Staffing Comparison of Peer Court's Administrative Services**

CCJC		FCJC <sup>3</sup>		HCJC		LCJC	
Position Title or Function	No. of FTEs	Equivalent Position Title or Function	No. of FTEs	Equivalent Position Title or Function	No. of FTEs	Equivalent Position Title or Function	No. of FTEs
Director	1	Assistant Court	1	Executive	1	Fiscal Administrator	1
Administrative Secretary	1					Administrative Secretary	1
Budget Officer	2	Budget Analyst	3	Accounting	2	Grants Manager	1
Senior Account Clerk	2	Fiscal Assistant	1	Accounting	2	Chief Bookkeeper	1
Senior Program Planner / Program Planner	3					Special Projects	1
Account Clerk	2	Clerks	2	Account Clerk	2	Bookkeeper	2
Purchasing Assistant	1						
Senior Storekeeper	1			Supply Clerk	1		
Deputy Director of RPE <sup>1</sup>	1						
Information Services <sup>2</sup>	7	Information Services	4	Information Services	17	Information Systems	3
Data Processor Supervisor / Data Processors	6	Supervisor of Central Records	1				
Research Associate and Assistants	4						
Deputy Director of Fiscal	1	Fiscal Officer	1	Business Administrator	1	Business Office Manager	1
Secretary	1						
Cashiers Office	4						
Building Services Manager	1			Director of Operations / Operations Specialist	2	Building Services Assistant	1
Transportation	7			Security Office	13 <sup>4</sup>		
Total Actual FTEs as of July 31, 2000	44	Total Actual FTEs as of July 31, 2000	13	Total of Actual FTEs as of July	41 <sup>5</sup>	Total Actual FTEs as of July 31, 2000	13

Source: Organizational Charts and Human Resource Departments

<sup>1</sup> Research, planning and evaluation

<sup>2</sup> See **technology** section of this report

<sup>3</sup> FCJC is a dual court and some administrative functions, like building services, are done by the domestic relations side of the court and/or Franklin County

<sup>4</sup> HCJC has a security department that transports juveniles but does not deliver warrants.

<sup>5</sup> Not included in the HCJC total is the tuition reimbursement position, director of training, the printer and the court facilitator.

When comparing CCJC's administrative services positions and functions with that of its peer courts, there are some apparent similarities and differences. The main focal points of each peer court's administrative department are fiscal activities, information services and building services/operations. CCJC is the only juvenile court among its peers that has the following within its administrative services department: program planners, data processors, researchers, a cashier's office and an office that transports juveniles.

Program planning and evaluation functions vary between CCJC's peers. HCJC's departments are responsible for developing their own RFPs and monitoring those programs. FCJC uses a team approach for program planning and evaluation. LCJC does program planning and evaluation one of three ways. First, the special projects director evaluates programs along with the court administrator. Second, the court uses its information system to evaluate the effectiveness of programs and to plan new programs. And third, LCJC contracts with outside parties such as the University of Cincinnati's Corrections Program Impact Assessment (see **F2.81**) to do evaluations of LCJC's programs.

None of CCJC's peers have data processors or researchers located within their administrative service departments. Both HCJC and LCJC depend on their information systems (see the **technology** section) to collect data from the various departments and to generate reports. FCJC is in the process of installing a new information system, and currently, the assignment commissioner is responsible for all data collection and report generation within the court.

CCJC's peers also do not have a cashier's office as a function of administrative services. Since FCJC is the only court among the peers that is a dual court, the county clerk of courts office collects its fines, fees and costs. The cashier function is part of the clerk's office in the case management department at HCJC, and is part of the caseflow services department at LCJC.

CCJC and HCJC each have a transportation function within administrative services. It is the responsibility of the security office at HCJC to transport juveniles between the court and its facilities, as well as to other placements or appointments. This transportation function is the responsibility of FCJC's detention center, and at LCJC, it is the responsibility of the Lucas County Sheriff's Department.

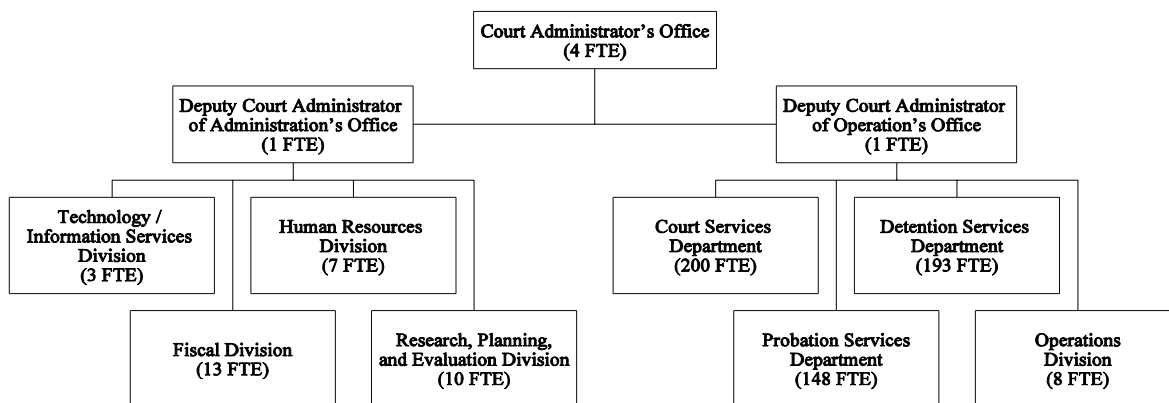
- F2.29 CCJC does not have a clear chain of command and reporting between its divisions, department directors and the court administrator. Some divisions report directly to the court administrator, like the human resources division, while other divisions report to directors who report to the court administrator. CCJC's peers are each organized in a manner where chains of command and responsibility are better defined.

Due to the reorganization of the Court beginning in 1998, the administrative services department has had divisions removed and decentralized (**Chart 2-2**). As a result, the lines of managerial responsibility have become unclear, and staff within this department have often found few opportunities to work as a team on various issues such as staffing needs, program planning and evaluation, and contract negotiations.

The reorganization of CCJC that began in 1998 was intended to decrease the court administrator's span of control. Before 1998, seven divisions and departments (human resources division, research, planning and evaluation division, fiscal division, operations division, court services department, probation department and detention department) reported directly to the court administrator or the deputy court administrator. The 1998 reorganization eliminated the operations division and created an administrative services department with a director to oversee the human resources, fiscal and research, planning and evaluation divisions. Therefore, four departmental directors were reporting directly to the court administrator. However, the reorganization to relieve the court administrator's span of control over the Court did not improve operations, finances or programs.

**R2.13** CCJC should eliminate the administrative services department, and create two positions - the deputy court administrator of administration and the deputy court administrator of operations - to relieve the court administrator's day-to-day supervisory responsibilities and to enable the court administrator to focus on CCJC's strategic planning and the implementation of court improvements. The deputy court administrators would decrease the court administrator's current span of control by directly supervising and coordinating the financial, operational and programmatic functions of the Court. The size and complexity of CCJC and the need to implement efficient operations, programs and fiscal practices should not be the sole duty of the current court administrator. The deputy court administrator of administration would oversee the human resource division, the research, planning and evaluation division (**R2.16**), the fiscal division (**R2.15**) and the technology/information services division (**R2.16**). The deputy court administrator of operations would oversee the operations division (**R2.14**), the court services department, the probation services department and the detention services department. The deputy court administrators would be able to coordinate and manage the functions of the various divisions and departments they supervise. Meanwhile, this would enable the elimination of the administrative service department and its director resulting in a reduction of two FTEs (the department director and an administrative secretary). **Chart 2-3** depicts this recommendation.



**Table 2-3: Proposed Management Reorganization***Financial Implication:*

Creating two deputy court administrators with salaries of approximately \$87,500 plus a 30 percent fringe benefit rate would total approximately \$227,500 annually.

Eliminating the administrative services department director's position and an administrative secretary would result in a savings in general fund expenditures of approximately \$135,337 a year (\$104,105 in salaries and approximately \$31,232 in fringe benefits). Therefore, the net effect of the recommended reorganization of CCJC would result in an approximate \$92,163 increase in salary expenditures.

F2.30 The organization of the Court since 1998 consists of six judges, a court administrator and four departments: administrative services, probation services, detention services, and court services. The human resource division is another function of the Court, and it was removed from the administrative services department in 1998, and placed under direct supervision of the court administrator. See the **human resources** section for a description and analysis of the division's functions.

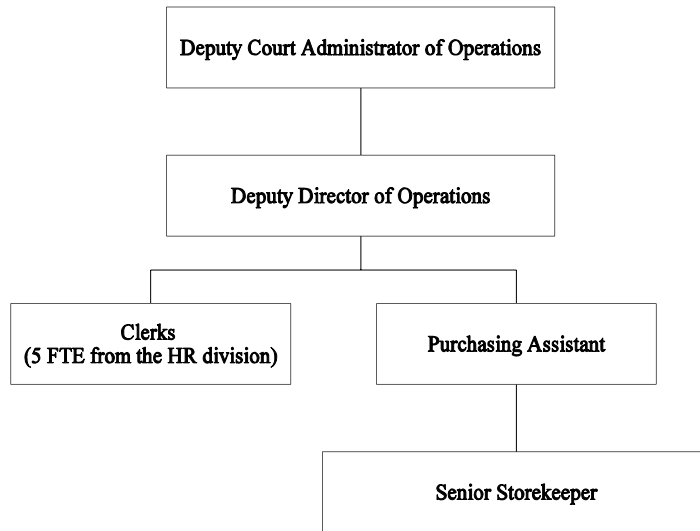
The peer courts all have human resources departments or divisions. HCJC has a personnel department, and its director is supervised by the executive director of administrative services. The human resources department reports directly to the court administrator at both FCJC and LCJC. See **F3.6** and **F3.7** in the **human resources** section for a human resource staffing comparison between the peer courts.

- F2.31 Prior to the 1998 reorganization, the Court had a separate operations department that handled building services, transportation and purchasing (see **Table 2-3**). Currently, the building services manager reports to the deputy director of fiscal, who reports to the administrative services director, who in turn reports to the court administrator. The supervisor of transportation reports to the building services manager.
- F2.32 The operations department at HCJC has a director of operations, an operations specialist, a printer and a supply clerk. LCJC has a building services assistant, and FCJC does not have a operations department with an emphasis on building services since that function is the responsibility of the County. As mentioned in **F2.28**, CCJC is the only juvenile court among its peers that has a transportation office within administrative services.
- R2.14** CCJC should reinstate the operations division in order to consolidate the operational functions of the Court, as well as to relieve the deputy director of fiscal from supervising non-fiscal operations. The building services manager is currently responsible for working with the County to ensure and oversee court facility maintenance and capital improvements. This position is also responsible for all inventory, equipment and equipment maintenance for the Court. CCJC should eliminate the building services manager position, and instead create a deputy director of operations position. This position would encompass the current responsibilities of the building services manager, as well as the responsibility of supervising the purchasing assistant and the senior storekeeper positions that are currently supervised by the general fund budget manager within administrative services. Since the purchasing assistant and the senior storekeeper currently work closely with the building services manager, there should be minimal impact if this change is made. Furthermore, a deputy director of operations should oversee the five clerks that are currently a part of the human resources division (see **R3.1**). The deputy director of operations position would report to the deputy court administrator of operations (see **R2.13**). Finally, the transportation function of the administrative services department should be part of a department that has direct contact with juveniles, such as the detention services department.

*Financial Implications:* The transfer of the five clerks from the human resources division and the transfer of the transportation function to the detention services department will not have an impact on the overall expenditures of the Court. However, eliminating the building services manager position and creating a deputy director of operations would result in an approximate \$18,850 net increase in salary and benefits due to the creation of that position. This amount was calculated by taking the average salary of deputy directors within the administrative services department (approximately \$58,000), and subtracting the building services manager's salary of nearly \$43,500 and multiplying that number by 30 percent to account for fringe benefits.

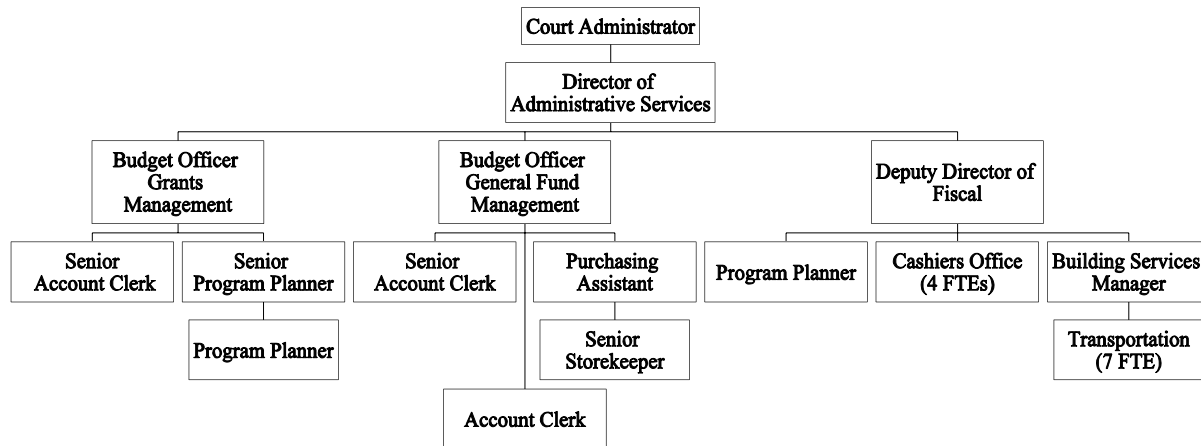
With the above proposed changes, the operations division organizational structure would be as depicted in **Chart 2-4** as follows:

**Chart 2-4: Proposed Division of Operations**



F2.33 As shown in **Table 2-3**, the fiscal division was not as decentralized in 1999 as it is currently organized. The current fiscal operations of the administrative services department has two budget officers responsible for grants management and general fund management reporting to the director of administrative services. The deputy director of fiscal is also supervised by the director of administrative services, but the deputy director of fiscal oversees the program planner responsible for service contracts and agreements, the cashiers office and the building services manager. The current organization of the fiscal operations of CCJC is illustrated in **Chart 2-5**:

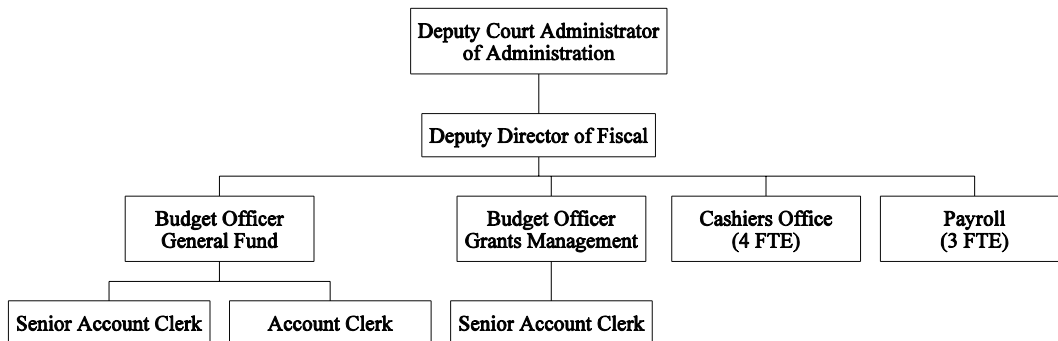
**Chart 2-5: Current Organization of Fiscal Operations**



F2.34 All of the peer courts have distinct financial departments or divisions. HCJC has a director of finance who reports to the executive director of administrative services. The HCJC director of finance supervises a business administrator, three accounting specialists and four accounting clerks. FCJC has an assistant court director of business, operations and finance. This position oversees a fiscal officer, three budget analysts and a fiscal assistant. Finally, LCJC has a director of the fiscal department who reports to the court administrator. The fiscal director supervises a grants manager, two office managers and three bookkeepers. None of the peer court’s have decentralized fiscal functions like that of CJCC. The advantage of having a centralized fiscal department is a recognized organizational structure and clear lines of responsibility.

**R2.15** CCJC should consolidate and coordinate its fiscal functions under the supervision of the deputy director of fiscal operations. This position would report to the deputy court administrator of administration (see **R2.13**). The deputy director of fiscal should supervise the budget officer responsible for the general fund, the budget officer responsible for grants management, the cashiers office and the three payroll positions recommended to be transferred from the human resources department (see **R3.1**). By consolidating the fiscal functions of the Court, the division will have a defined organizational structure and acknowledged lines of responsibility. The proposed fiscal division would be organized as depicted in **Chart 2-6**:

**Chart 2-6: Proposed Fiscal Division**



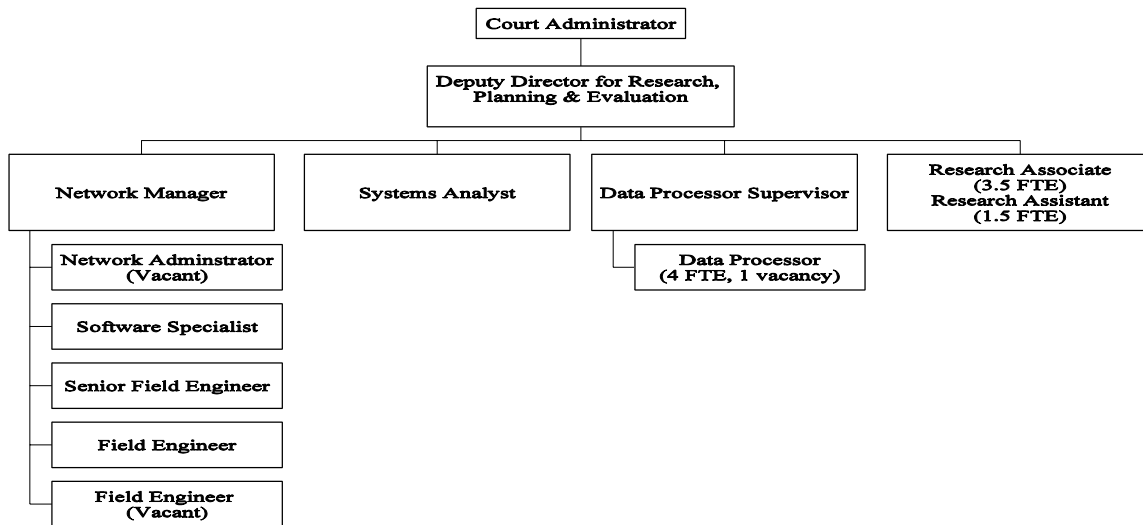
F2.35 The RPE division has been involved with the implementation of the JIMS system since 1997. In recent years, the planning, implementation and training of JIMS has been the most time-consuming function of this division (see **technology** section). All of the technology related RPE staff, as well as the research staff, have been involved in the implementation of JIMS.

The research staff provides the court administration and outside agencies with reports on court information in addition to database management. These reports include, but are not limited to the Ohio Supreme Court Report, Adjudicated Felonies Report , RECLAIM Ohio Report, CCJC’s Annual Report and the Monthly Administrative Report.

The research staff consists of three full-time and one part-time research associate and one full-time and one part time research assistant. The research associates are assigned to the production of the aforementioned reports. The research assistants develop reports as requested by administration and assist the research associates with gathering information as needed.

The data entry staff provides data verification for Court departments. The data entry staff consists of a data processing supervisor and five data processing staff for the detention center, traffic court, youth services and the courtrooms. In addition to data verification, the data processing staff process court forms and enter case information into the computer system. The data entry staff have not been involved in the implementation of JIMS. **Chart 2-7** shows the current organization of the RPE division of the administrative services department.

**Chart 2-7: Current Organization of the RPE Division**



F2.36 CCJC is the only court among its peers that does not have a separate and distinct information services department. However, due to the implementation of JIMS, the RPE division has taken on an information services focus. None of the three peer courts have data entry staff to verify and enter court data. HCJC and LCJC rely on their information systems (JCMS and JIS, respectively) for this function. These two peer courts also use their information systems to create reports. FCJC is in the process of implementing a new information system, and one staff person, the assignment commissioner, is responsible for data collection and report generation within the court.

**R2.16** CCJC should separate its technology functions from the RPE division and become a stand alone division (see **technology** section). Now that JIMS is in place and being used court wide, the RPE division can again devote its efforts to the research, planning and evaluation aspects of the Court. Rather than having an information services focus, the division should be reorganized to meet the apparent need for coordinated research, planning and evaluation functions.

The RPE division should be reorganized to integrate the research and data entry functions with program planning and program evaluation. The program planners currently supervised by the grants management budget officer (**F2.27**) and the deputy director of fiscal (**F2.33**) should be assigned to this division to perform their current functions in coordination with the research and data functions under the supervision of the deputy director of RPE.

CCJC should also fill the vacant program planner position within administrative services. This position could be RECLAIM grant funded, and therefore, would not effect general revenue funding. The responsibilities of this position could include being the RECLAIM program planner and coordinator for the Court. Both FCJC and HCJC have RECLAIM coordinator positions. This position should also assist the program monitor with the probation department with monitoring RECLAIM-funded probation programs (see the **probation** section of this report).

Furthermore, due to the implementation of JIMS, the data entry staff should no longer be needed for data collection and verification. This information will now be entered into JIMS in a uniform manner by different staff throughout the Court depending on the stage of a juvenile's case. Also, due to the implementation of JIMS, CCJC will not need as many researchers who, since 1997, have been used to plan, implement and train court staff on JIMS. However, it would be beneficial for the Court to retain the data processing supervisor, the data processor funded with Youth Services grant funds and at least two research associates. These staff members would be responsible for the collection and assembly of data needed for reports issued by the Court.

CCJC should also reassign one research associate to assist the program planner responsible for service contract and agreement monitoring (**F2.33**).

Another recommendation regarding the reorganization of the RPE division is to replace the vacant deputy director of RPE position with the current position of deputy director of court administration, and remove the deputy director of court administration position entirely. The current position of deputy director of court administration is situated in the court administrator's office, and has no direct supervision over any staff. The current deputy director of court administration position has responsibilities that include program planning, evaluation and monitoring as well as report generation and court liaison work. This position is currently funded using RECLAIM funds. This recommendation would require the shifting of RECLAIM funds dedicated to the deputy director of court administration in order to fund the deputy director of RPE position.

*Financial Implications:*

The one part-time research associate and the two part-time research assistants are funded through RECLAIM funds. Eliminating these positions would enable the court to redirect approximately \$54,798 a year to RECLAIM programming.

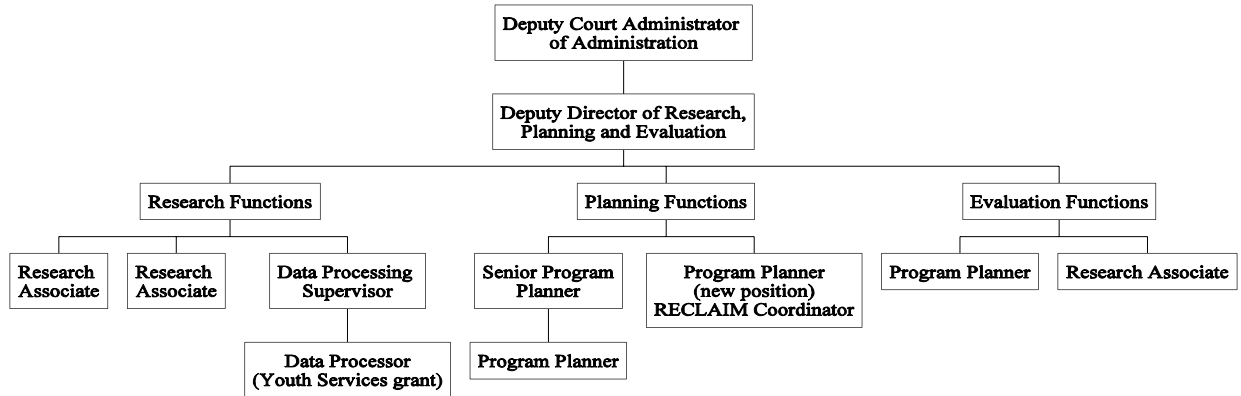
The reduction of the data processing unit from one supervisor and five data processors, to one supervisor and one data processor (funded through the Youth Services grant) would result in a net savings in general revenue expenditures of approximately \$133,297 a year (\$102,536 in salaries and approximately \$30,761 in fringe benefits).

By allocating the RECLAIM funding for the current deputy director of court administration position to deputy director of RPE position, and eliminating the deputy director of court administration position altogether, would result in an approximate savings in general fund expenditures of \$75,400 a year (average deputy director salary of \$58,000 times 30 percent in fringe benefits).



The following (**Chart 2-8**) is an organizational chart of the proposed reorganization of the RPE division:

**Chart 2-8: Proposed Research, Planning and Evaluation Division**



*Revenues and Expenditures*

F2.37 The Court, like its peer courts, receives a majority of its funding from the county general fund. CCJC undergoes two budget processes each year. One process is for the general fund from the County totaling approximately \$41 million, and the other is for Felony Delinquency Care and Custody (FDCC) funds (approximately \$16.5 million), that includes ODYS commitment costs (approximately \$11 million) and RECLAIM funds (approximately \$5.5 million, not including carryover). See **F2.62** for a discussion of how RECLAIM funds are determined and allocated. **Table 2-6** shows the general funds budgeted by the County for CCJC in the year 2000 (this does not include RECLAIM revenues).

**Table 2-6: CCJC 2000 Budgeted General Fund Revenues**

All Funds Budgeted	General Funds Budgeted	Other Intergovernmental Funds Budgeted <sup>1</sup>	Title IV-E Funds Budgeted	Remaining Intergovernmental Funds Budgeted <sup>2</sup>
\$43,114,859	\$40,597,772	\$2,517,087	\$900,000	\$1,617,087

Source: Cuyahoga County 2000 Midyear Financial & Performance Report

<sup>1</sup> All Funds Budget less General Fund Budget

<sup>2</sup> Other Intergovernmental Funds less Title IV-E (primarily Title IV-D reimbursements)

In Cuyahoga County, the fiscal and calendar years coincide. Work on setting the appropriations for operating budgets, that take effect each January 1, begins the previous June when the required tax budget is prepared. There is a uniform budget process for all agencies within the County. In mid-August, CCJC forecasts court expenditures for the upcoming year. By the end of September, the Court meets with OBM to go over the forecasts both agencies' have generated. In mid-October, the Administrator's Meeting occurs between the county administrator, the OBM administrator, the administrative judge and the court administrator to discuss the Court's budgetary needs as well as performance and goal expectations. Between October and November, the county administrator makes budget recommendations to the BOCC, which holds public hearings on the County's budget. Sometime in December, the BOCC adopts the budget for the upcoming year.

F2.38 CCJC's peers also receive a majority of their revenues from their counties' general fund. They also receive funds through contracts and reimbursements such as Title IV-D (**F2.67**) and Title IV-E (**F2.69**). Each juvenile court in Ohio receives ODYS RECLAIM funds (**F2.62**). Juvenile courts also often seek outside grant funds and other subsidies for which they qualify. Finally, juvenile courts collect court costs, fines and fees that are distributed to various state and county funds.

F2.39 The collection of fines, fees and court cost revenue for CCJC is accomplished through the cashier's office that is part of the fiscal division within the administrative services department. The cashier's office provides the mechanism for collecting fines and fees, and distributing them into one of the following accounts: victims of crime and general revenue (deposited with the state treasurer), special revenue funds and the county general fund (deposited with the county treasurer). The process is computerized and involves a separate checking account that is used for the sole purpose of dispersing the funds into the aforementioned accounts. Traffic costs and fines account for roughly 90 to 95 percent of all monies collected by the CCJC cashier's office.

CCJC's peers also assess and collect costs, fees and fines. The clerks' office within HCJC and LCJC each collect this revenue on behalf of the court. The county clerk of court's office collects cost, fee and fine revenue for FCJC, and therefore, it is difficult to obtain exact cost, fine and fee amounts for that juvenile court. **Table 2-7** shows the amounts of costs, fees and fines collected in 1999 by each court, the majority of which are traffic costs and fines.

**Table 2-7: Peer Court Comparison of Costs, Fines and Fees Revenue in 1999**

Type of Collection	CCJC <sup>1</sup>	FCJC <sup>2</sup>	HCJC	LCJC
<b>Fines and Court Costs</b> <sup>3</sup>	\$615,123	\$156,625	\$376,076	\$345,952
<b>Number of Cases Disposed/Total Terminations in 1999</b>	28,340	24,047	40,047	18,130
<b>Fines and Court Costs Revenue per Cases Disposed/Total Terminations in 1999</b>	\$22	\$7	\$9	\$19

Source: Director's of Finance and Cashiers/Clerks Annual Reports.

<sup>1</sup> Costs, fines and fees distributed to the county treasurer.

<sup>2</sup> Since FCJC is a dual-court, the county clerk of courts collects costs, fines and fees and it is difficult to breakdown costs, fines and fees specific to the juvenile court so only traffic fine totals are reported.

<sup>3</sup> Includes court costs, traffic costs, regular fines and traffic fines.

When comparing fine and court cost revenue per cases disposed or terminated among the peer courts, CCJC generates more revenue in fees and fines per case than its peers. However, the Court heard more traffic cases in 1999 than its peers, and traffic cases typically result in court costs and fines being paid. CCJC had approximately 15,000 traffic complaints according to the 1999 Annual Report compared to approximately 8,500 traffic complaints at HCJC that year (1999 traffic data for FCJC and LCJC was unavailable).

F2.40 The general funds allocated to the Court by the BOCC typically have not met the actual expenditures of CCJC. All funds expenditures for out-of-home placements (residential placement and shelter care), assigned counsel and salaries have increased dramatically over the past five years as shown in **Table 2-8**. All funds include general fund revenues and reimbursements such as Title IV-D and Title IV-E, but do not include any grants funds such as RECLAIM.

**Table 2-8: CCJC All Fund Expenditures 1995-1999**

Budget Year	Salaries	G.A.L.	Assigned Counsel	Residential Placements	Shelter Care	Other Expenditures	All Funds Total Expenditures
1995	\$12,263,874	\$497,751	\$241,361	\$1,444,093	\$132,258	\$11,632,114	\$26,211,451
1996	13,135,502	554,255	207,138	2,011,097	271,275	12,412,684	28,591,951
1997	14,086,068	760,448	392,578	3,070,594	343,139	14,103,489	32,756,316
1998	17,122,117	812,481	525,903	3,086,770	1,079,068	16,244,061	38,870,400
1999	17,150,579	815,577	809,997	3,241,979	2,091,050	17,741,347	41,850,529
<b>Change 1995-1999</b>	28.5%	39.0%	70.2%	55.5%	93.7%	34.4%	37.4%
<b>Change 1998-1999</b>	0.2%	0.4%	35.1%	4.8%	48.4%	8.4%	7.1%
<b>Average Increase 1995 to 1999</b>	7.8%	11.0%	22.8%	17.0%	47.2%	10.0%	11.0%

Source: Cuyahoga County OBM and the CCJC Administrative Services Department

F2.41 According to OBM, CCJC expenditures have had the greatest growth of any other agency in the County, and the BOCC has increased the Court's allocations more than any other agency. Delinquent and unruly cases referred have decreased over the past five years, but expenditures have increased.

The total number of cases referred to the Court have decreased by 2.3 percent in the past five years (39,808 total cases in 1995 versus 38,911 in 1999). The largest decrease in cases referred over this time period have been delinquent and unruly cases which have declined by 27.7 percent (18,076 cases in 1995 versus 14,158 cases in 1999). As a result, workloads should have decreased. However, the cases that are the most workload intensive, such as permanent custody, abuse, dependency and neglect, and that can remain in the Court's system for years, have greatly increased over the past five years. The total of abuse, neglect, and dependency cases referred have increased by 24.0 percent since 1995 (3,576 cases versus

4,712 cases in 1999), and applications for custody have almost doubled in five years, increasing by 46.8 percent (694 cases referred in 1995 versus 1,305 cases in 1999).

Custody, abuse, neglect and dependency cases can remain in the Court system for up to 21 years, depending on the specific case. These cases are often heard multiple times throughout the course of a year due to mandated reviews. This has contributed to increased workloads and expenses in order to meet the demand.

Traffic cases referred have also increased over the last five years by 21.1 percent (11,928 cases in 1995 versus 15,117 cases in 1999). Although these cases do not require lengthy hearings, the sheer volume of traffic cases can create a need for additional resources to meet demand.

The type of cases referred that have increased in number over the past five years (abuse, neglect, dependency, applications for custody and traffic), are rarely resolved at intake or diverted. These cases are most often officially accepted into the court system for a hearing.

- F2.42 Delinquency and unruly cases can be resolved at intake through dismissal or diverted to programs like the Community Diversion Program (CDP). However, the percent of delinquency and unruly cases resolved at intake has decreased over the past five years. In 1995, approximately 47 percent of delinquency and unruly cases were resolved at intake. In comparison, roughly 15 percent of these cases were resolved at intake in 1999.

One of the main reasons for the decrease in delinquent and unruly cases being resolved at intake is the elimination of warning letters in 1998. Instead of officially accepting the case, warning letters were sent to the homes of juveniles for first-time, non-felony offenses. Another reason for the decrease of delinquent and unruly cases resolved at intake, was the elimination of mediation at the time of intake in 1998. If the juvenile's case could be resolved at the time of intake through mediation, it did not have to be officially accepted into the court system.

- F2.43 The CDP was established in 1998 with the intention of diverting juvenile's cases from being officially accepted. The CDP was established in response to the elimination of warning letters and mediation. However, only a few communities were in the process of establishing CDP in 1998. As a result, delinquent and unruly cases referred to the court were not typically resolved, and therefore required some type of official court action. See the **court services** section for discussion on this program.

Since 1998, the CDP has greatly expanded and is diverting more delinquent and unruly juveniles from official Court action. According to the court administrator, a mediation program is going to be re-established sometime within the next year. These two programs

should increase the number of resolutions of delinquent and unruly cases referred, so these cases will not be officially accepted for court action. These programs will attempt to reduce the extra workload and expense that has resulted from non-felony delinquent and unruly offenses receiving court hearings.

F2.44 The decrease in the number of cases resolved at intake, coupled with the increase in traffic, application for custody, and abuse, neglect and dependency cases, has led to an approximate 15 percent increase in cases officially accepted by CCJC (31,159 cases in 1995 versus 36,774 cases in 1999). The increase in cases officially accepted is reflected in an increase in workload that has resulted in increased expenditures.

F2.45 Expenditures, however, have grown beyond the increase in caseload of the Court. In 1996, the CCJC received \$28.4 million in County general fund expenditures. Five years later, that amount increased by 30 percent to \$40.8 million in 1999. The areas of the court with the highest expenditure increases are salaries, assigned counsel/Guardian Ad Litem (G.A.L.), shelter care and residential placements.

F2.46 **Table 2-9** presents the all fund expenditures from 1997-1999 for CCJC and its peer courts.

**Table 2-9: All Fund Expenditures**

	FY 1997	FY 1998	FY 1999	% Change from FY 97 to FY 99	% Change from FY 98 to FY 99	Three- Year Average of New Filings	Three-Year Average of Expenditures per New Filing
<b>CCJC</b>	\$32,756,316	\$38,870,400	\$41,850,529	22%	7%	28,789	\$1,314
<b>FCJC</b>	\$14,008,275	\$14,396,968	\$15,081,117	7%	5%	21,509	\$674
<b>HCJC</b>	\$22,519,967	\$25,182,016	\$25,694,891	12%	2%	28,432	\$860
<b>LCJC</b>	\$5,878,865	\$6,168,810	\$6,464,435	9%	5%	15,651	\$394
<b>Peer Average Not Including CCJC</b>							<b>\$643</b>

Source: Annual Reports, Financial Directors, Budget Managers and the Ohio Supreme Court Reports

F2.47 CCJC has the highest amount of all fund expenditures among its peers. The Court also had the largest increase in expenditures amongst its peers from FY 1997 to FY 1999. As shown in **Table 2-9**, CCJC also has the highest all fund expenditures per case processed when compared to its peers. In 1999, the total cost per new case filed at the Court was approximately \$1,314. That is nearly twice the peer average of \$643. Therefore, on average, it is twice as expensive to process a case at CCJC than it is for its peers. Two reasons include CCJC's residential placement expenditures (**F2.56**) and increasing shelter care costs (**F2.58**). These expenditure areas are not as great an issue among the peer courts than at CCJC.

F2.48 Salary expenditures have increased by nearly 29 percent from 1995 (\$12.3 million) to 1999 (\$17.2 million) at CCJC (see **Table 2-8**). This increase is largely a result of the recommendations of the Griffith Study that provided guidelines for raising CCJC salaries to levels comparable to other public agencies. Reasons for raising salary levels were to enable the Court to be competitive in attracting quality job candidates, as well as retaining existing employees. Most of the salary increases occurred in 1998. From 1998 to 1999, the all fund expenditures for salaries at the Court was less than one percent. See **Table 2-10** for a comparison of salary expenditures of the peer courts.

**Table 2-10: Peer Court Comparison of Salary Expenditures**

	FY 1997	FY 1998	FY 1999	% Change from 97- 99	% Change from 98- 99	2000 FTEs <sup>1</sup>	Estimate of FTEs per Salary Expenditures	FY 1999 Salary Expenditures as a % of Total All Fund Expenditures
<b>CCJC</b>	\$14,086,068	\$17,122,117	\$17,150,579	18%	>1%	609.0	\$28,162	41%
<b>FCJC</b>	\$9,751,454	\$10,199,486	\$10,472,617	7%	3%	403.0	\$25,987	70%
<b>HCJC</b>	\$13,172,403	\$13,865,687	\$13,803,802	5%	(1%)	614.5	\$22,463	54%
<b>LCJC</b>	\$3,957,856	\$4,101,659	\$4,291,140	8%	4%	240.0	\$17,880	66%
<b>Peer Average</b>							<b>\$23,623</b>	<b>58%</b>

Source: Annual Reports, Financial Directors, Budget Managers

<sup>1</sup> 1999 FTE data not available for peer courts.

F2.49 The 1998 salary adjustments based on the Griffith Study's recommendations has had an apparent impact on salary expenditures at CCJC as shown in the percent change between FY 1997 and FY 1999. CCJC had an 18 percent increase in salary expenditures during that time, while its peers experienced increases ranging from five to eight percent. However, once these salary adjustments were made, the percent increase in all fund salary expenditures at CCJC from FY 1998 to FY 1999 was less than one percent. FCJC and LCJC had increases of three and four percent, respectively, while HCJC had a decrease in salary expenditures totaling approximately one percent between FY 1998 and FY 1999.

When comparing the FTEs of each court to the FY 1999 salary expenditures, the average among the peer courts totaled \$23,623. CCJC had the highest average salary among its peers of \$28,162. Although this number is the highest, it is not alarmingly high. The amount could also be interpreted to suggest CCJC has salaries in a competitive range for attracting quality employees, one of the goals of implementation of the Griffith Study recommendations.

Finally, CCJC has the lowest salary expenditures as a percentage of total all fund expenditures at 41 percent. This percentage is lower than the peer court average of 58 percent. This figure indicates that CCJC is allocating a lower proportion of its overall expenditures to employee salaries when compared to the percentages of its peers, while allocating the majority of its funds to other areas such as residential placement (**F2.56**) and shelter care costs (**F2.58**).

**R2.17** CCJC should practice stringent position control, and better coordinate salary expenditure forecasts with the County. According to Section §2153.09 of the ORC, "The compensation of the employees of the juvenile court shall be fixed by the administrative juvenile judge, which compensation shall not exceed in the aggregate the amount fixed by the board of county commissioners for such purpose. Such compensation so fixed shall be paid from the county treasury in semimonthly installments on the warrant of the county auditor." Based on this statute, the Court should adjust its salary expenditure needs with what is projected by the County.

Furthermore, ACA Standard 3-JDF-1B-16 (Ref. 2-8057), states, "written policy, procedure, and practice regulate position control regarding position allocation, budget authorization, personnel records, and payroll. (*Comment:* Information on the number and types of positions filled and vacant should be available at all times. The fiscal office should verify that all payroll positions are authorized in the budget, that all persons on the payroll are legally employed, that attendance records support the payroll, and that needed funds are available. The payroll should be based on timekeeping records.)" Based on this standard, CCJC and OBM should coordinate staffing and salary projections using information such as organizational charts, payroll records and trends in budget allocations.



F2.50 Assigned counsel and G.A.L. expenditures have increased by approximately 70 percent and 39 percent, respectively, over the past five years. Assigned counsel expenditures totaled \$241,361 in 1995 versus \$809,997 in 1999, and G.A.L. expenditures totaled \$497,751 in 1995 versus \$815,577 in 1999. The large increases in assigned counsel and G.A.L. expenditures are attributable to the increase in caseloads (all types of cases), the large increase in the types of cases that require continual reviews and hearings (application for custody, abuse, neglect and dependency cases), and the disorganized process by which cases are assigned to attorneys and G.A.L.s.

CCJC courtrooms sometimes assign counsel when a public defender could have taken the case. Also, the County decreased the funding for G.A.L because they wanted the Court to institute a Court Appointed Special Advocate (CASA) program. See the **court services** section of this report for further discussion on this topic.

**C2.2** CCJC has recently instituted a policy that sets time limits for the submission of invoices from attorneys for assigned counsel and G.A.L. services. Under the new policy, the Court will no longer accept invoices from assigned counsel and G.A.L.s for services performed more than 12 months previously. The Court does not receive a reimbursement from the state if an invoice for service is not submitted within a specified time frame. Therefore, by requiring attorneys to submit their invoices timely, CCJC can receive the full reimbursement to which it is entitled.

F2.51 The Cuyahoga County Public Defender's Office represents juveniles charged with delinquent and unruly acts. In 2000, five public defenders were added to represent parents and juveniles in permanent custody and abuse, neglect and dependency cases. There are currently 18 public defenders who handle juvenile cases. The Public Defender's, Juvenile Division is housed within the Whitlach Building. The division consists of two supervisors, the public defenders, a secretary, an office coordinator, two social workers and are part-time investigator. In juvenile delinquency and unruly cases, approximately 80 percent of the cases have a public defender. Public defenders handle most of the cases, unless there is a conflict, in which the client is forwarded to CCJC's assigned counsel office.

When a juvenile receives a summons to appear in court, the summons instructs the person to call or come to the Public Defender's Office if they are in need of an attorney. At an arraignment, the magistrate typically sends the juvenile and their parent to the Public Defender's Office. Furthermore, when a juvenile is brought to the detention center, a public defender is always present at the next day arraignment. In delinquency cases, and a few unruly cases, the clients come to the Public Defender's Office before appearing in court. The clients fill out a financial inquiry form, complete income and expense information, and sign an affidavit stating the information is correct. If the clients meet federal poverty

guidelines, they qualify to be represented by a public defender. If the Public Defender's Office has any conflicts with the case, the client assigned counsel.

**Table 2-11** presents the yearly assigned counsel and G.A.L expenditures for CCJC and its peer courts.

**Table 2-11: Peer Court Comparison of Assigned Counsel and G.A.L Expenditures**

	FY 1997	FY 1998	FY 1999	% Change 1997 to 1999	Three-Year Average of New Case Filings	Estimated Assigned Counsel/G.A.L Expenditures per case 1999 <sup>1</sup>
<b>CCJC</b>	\$1,153,026	\$1,338,384	\$1,625,574	29%	28,789	\$238
<b>FCJC</b>	\$1,510,813	\$1,535,135	\$1,801,604	16%	21,509	\$376
<b>HCJC</b> <sup>2</sup>	N/A	N/A	\$1,761,743 <sup>3</sup>	N/A	28,432	\$310
<b>LCJC</b>	\$904,762	\$793,036	\$845,287	(7%)	15,651	\$271
<b>Peer Average</b>						<b>\$299</b>

Source: Annual Reports, Financial Directors, Budget Managers and Ohio Supreme Court Reports

<sup>1</sup> Measure was determined by taking the three year average of assigned counsel/G.A.L. expenditures divided by 20% of the three-year average of new case filings (an approximation of how many cases are handled by assigned counsel/G.A.L. versus the public defender's office).

<sup>2</sup> Only 1999 information was received from HCJC.

<sup>3</sup> All of HCJC's assigned counsel and G.A.L. are on salary with the Hamilton Co. Public Defenders Office

In FY 1999, CCJC had the second lowest assigned counsel and G.A.L. expenditure amount of \$1.6 million when compared to its peers. CCJC also had an estimated assigned counsel/G.A.L expenditure per case total of \$238. This is below both HCJC's and FCJC's estimates, and lower than the peer average of \$299. This amount represents the Court is spending either on average or less than its peers for these services. This is most likely attributable to the low fee amounts paid to attorneys for assigned counsel and G.A.L. services at CCJC (**F2.54**).

F2.52 Due diligence is typically not followed when assigning counsel at Court. The public defender checks income eligibility for each client the office represents. CCJC does not have any procedures for checking income eligibility, therefore when assigned counsel is appointed, the client is assumed indigent. The Court's current policy of not checking income eligibility when assigning counsel may be a contributor to the increases in assigned counsel expenditures, since individuals may be receiving assigned counsel when they possibly could be able to afford private counsel.

F2.53 The peer courts each have methods within their courts for checking income eligibility before assigning counsel. HCJC and FCJC each use the public defender's office to check and determine income before assigning counsel. LCJC has a bookkeeper within the finance department who follows an income checklist in order to determine eligibility before assigning counsel.

**R2.18** The CCJC should enact policy and procedure for checking income eligibility before assigning counsel, especially when the public defender's office has not seen the client. The Court should also set up a system of invoicing and collecting assigned counsel and G.A.L. fees from parents of juveniles who are found eligible to pay.

F2.54 **Table 2-12** shows the maximum fees permitted to be invoiced by attorneys for assigned counsel and G.A.L. services for CCJC and its peers. CCJC allows a maximum of \$250 per case, regardless of the type. The only exception is that CCJC allows a \$350 maximum for bindovers of juveniles to an adult court.

**Table 2-12: Peer Court Comparison of Assigned Counsel Fee Schedule<sup>1</sup>**

	Felony Cases	Misdemeanor Cases	Temporary Custody Cases	Permanent Custody Cases <sup>2</sup>	Hourly Rate in Court
CCJC	\$250	\$250	\$250	\$250	None
FCJC	\$750	\$400	\$600	\$1,000	\$45
HCJC	\$160-400	\$160-400	\$800	\$1,600	\$40
LCJC	\$500-700	\$100-250	\$500	\$1,000	\$40

Source: Finance Directors / Budget Officers

<sup>1</sup> Maximum fees permitted

<sup>2</sup> Typically handled by G.A.L.s

The peer courts each pay an hourly rate with a limit on the maximum fees permitted. Therefore, if an attorney is assigned counsel on a misdemeanor case at HCJC, and works three hours on the case, the attorney would invoice the court for \$120 (three times \$40). CCJC does not have an hourly rate. If an attorney worked three hours on a misdemeanor case at the Court, that attorney would invoice the court for \$250.

**R2.19** The Court should institute an hourly rate like that of its peers, with a maximum fee cap. By establishing an hourly rate per case, no matter what type of case, CCJC would pay for total work provided, not a flat fee.

F2.55 Although the Court has the lowest maximum fee amount as well as a low assigned counsel/G.A.L. expenditure per case amount, CCJC assigned counsel/G.A.L. expenditures have increased at a greater rate than its peers from 1997 to 1999. **Table 2-11** shows that CCJC assigned counsel/G.A.L expenditures increased by 29 percent during that time versus FCJC's increase of 16 percent and LCJC's decrease of 7 percent. The increase at CCJC may be attributable to the Court using assigned counsel and G.A.L when the public defender could be handling the case. Assigned counsel should only be used when there is a conflict of interest in a case, because the public defender cannot legally represent more than one client in the best interest of the multiple defendants involved. See the **court services** section for more information on this topic.

**R2.20** The Court, the Cuyahoga County Public Defenders Office and the BOCC should strive to improve and enhance the public defender's role at the Court. The use of assigned counsel should be the exception rather than the rule for defending clients who appear before the Court. Assigned counsel should be assigned randomly, but some judges and magistrates claim that they select specific counsel due to the attorney's experience or knowledge on a particular subject. Due to the public defender's experience with all types of cases, it would be to Court's advantage to use the public defender's office as much as possible. This preference should be written as a policy and/or incorporated into CCJC's local rules.

F2.56 Residential placement expenditures have increased by nearly 56 percent over the past five years from \$1.4 million in 1995 to \$3.2 million in 1999. Residential placement expenditures have increased due to the growing number of juveniles disposed to private placements for treatment as opposed to being ordered to probation, ODYS, the Youth Development Center (YDC) or released to parental supervision. In 1996, 73 youths were ordered to private placement. That number grew by 56 percent in 1999 to 165 juveniles placed in residential treatment.

Increases in residential treatment expenditures can be attributed to a change in the judges' philosophy regarding treatment programs for juveniles as opposed to commitment to ODYS or YDC. The growth in the number of unruly and delinquent juveniles facing disposition hearings has also increased over the past four years (5,501 in 1996 versus 8,651 in 1999). The increased number of unruly and delinquent juveniles facing disposition hearings is a direct result of the decrease in the number of youths having their delinquent and unruly offenses resolved at intake, and therefore having their cases heard officially.

F2.57 **Table 2-13** shows the residential placement expenditures among the peer courts as well as the number of youth placed in private placement in 1999. FCJC is not included in this comparison since it relies on probation much more heavily than any use of residential placement. Any residential placement expenditures incurred by FCJC is compensated using RECLAIM funds (see **Table 2-15**).

**Table 2-13: Peer Court Comparison of Residential Placement Expenditures**

	1997	1998	1999	Percent Change from 1997 to 1999	No. of Youth in Private Placement during 1999	1999 Residential Placement Expenditures per Youth Placed
CCJC	\$3,070,594	\$3,086,770	\$3,241,979	5%	165	\$19,648
HCJC <sup>1</sup>	\$269,127	\$247,095	\$353,302	14%	79	\$4,472
LCJC <sup>2</sup>	\$826,321	\$653,390	\$640,679	(23%)	51	\$12,562

Source: Finance Directors or Budget Officers

<sup>1</sup> These amounts do not include the Hillcrest Training School

<sup>2</sup> Totals include some RECLAIM funds

**Table 2-13** shows that CCJC spends more on residential placement than any of the peer courts. The Court also disposed more juveniles to private residential placement than any of its peers in 1999. Therefore, it is apparent from these expenditure totals among the peers that CCJC relies on residential placement as a type of disposition more than any other court. The peer courts either have placement facilities of their own or they rely more heavily on probation and the programs associated with probation.

According to the Court's 1999 Annual Report, there were 14,253 total dispositions that year. Therefore, approximately 1 percent (165 juveniles) of all dispositions in 1999 were to private residential placement. Despite the low percentage, the cost of private residential placement has had a major financial impact on the Court.

**R2.21** The RPE division (**R2.16**) should monitor the effectiveness of residential placement programs. The RPE division, in cooperation with the probation services department (see **probation services** section), should determine the effectiveness or recidivism of the residential placement programs being used. This could be done in-house (**R2.29**) or by using outside contractors (**R2.29**). In doing so, the Court could determine if the private placement programs it is using are as effective in helping juveniles as possible.

F2.58 Shelter care expenditures have increased by nearly 94 percent over the past five years (\$132,258 in 1995 versus \$2.1 million in 1999). Shelter care is an alternative to releasing juveniles to their parents, being placed on electronic monitoring, or being placed in the detention center pending their court date for a delinquent or unruly offense. Shelter care is also used for juveniles awaiting placement in residential treatment.

The average daily population in shelter care has increased by 66 percent from 1996 to 1999 with the average daily population increasing from 43.6 per day to 125.4 per day. The average length in shelter care has increased from 10.0 days in 1996 to 28.1 days in 1999.

The increase in shelter care use can be attributed to the number of delinquent and unruly cases officially accepted, which thereby, increased the number of juveniles awaiting hearings and the number of juveniles awaiting residential placement. Since 1998, CCJC has not had a risk assessment tool at intake. Therefore, juveniles who would not have been placed due to their risk assessment scores prior to 1998, are now being placed in shelter care. Another factor involved with the increase in shelter care placement is a change in philosophy of court officials who feel that some juveniles are better off away from their homes and communities while awaiting their hearings.

The general fund budget and funding from the County are not covering the needs of shelter care at CCJC. There are more juveniles being placed in shelter care than ever, but the Court continues to receive the same level of general fund revenues. This also applies to residential placement funding. Therefore, the Court uses its RECLAIM and Title IV-E reimbursements to fund shelter care expenditures.

F2.59 Most of CCJC's peers do not use shelter care since their detention facilities have enough space to accommodate juveniles awaiting hearings or placement in residential placement programs. The only other peer court that has occasionally used shelter care is HCJC, and its total shelter care expenditures were nearly 66 percent less (\$705,940) than CCJC's total of almost \$2.1 million in 1999. Both FCJC and LCJC had no shelter care expenditures from 1997 through 1999. However, LCJC began using a shelter care provider in mid-2000.

**R2.22** The Court should implement a risk assessment tool at the point of intake to determine if a juvenile needs to be placed in shelter care. See the **court services** section for further discussion. The Court should also consider less costly alternatives to shelter care in order to control the rising expenditures. According to a report published by the Annie E. Casey Foundation, there are five alternatives to shelter care that have lower per diem rates. The average daily cost of alternative programs recommended by the Juvenile Detention Alternative Initiative in 1996 include:

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● home confinement/house arrest	\$10 per day
● electronic monitoring (not including staffing)	\$6-10 per day
● electronic monitoring (including staffing)	\$15-30 per day
● community-based advocate supervision	\$30-44 per day
● evening reporting center	\$32-35 per day
● non-secure residential (shelter care)	\$90-130 per day

Although CCJC already uses home confinement/house arrest and electronic monitoring pending court hearings it should explore using alternative programs such as community-based advocate supervisor and evening reporting centers in order to monitor juveniles prior to their court appearance. These two alternatives monitor the juvenile on a daily-basis within their own communities. Shelter care (non-secure residential) is typically three to ten times more costly than the other alternatives.

**F2.60** The Court has two shelter care providers, Lincoln Place and Applewood, as of October 1, 2000. The per diem rate for Lincoln Place is \$80.00 and Applewood is \$112.00. Lincoln Place is located in Youngstown and Applewood is located in Cleveland. The services provided at these two shelter care facilities are similar except that Lincoln Place begins providing counseling once a juvenile has been there more than 30 days. Lincoln Place is a larger facility and accommodates more juveniles than Applewood. The reason Lincoln Place's per diem rate is lower than Applewood's, is it was the only shelter care provider willing to reduce their per diem rate following countywide budget cuts that resulted from the Cuyahoga County SAFE financial crisis in the mid-1990's. Lincoln Place's per diem rate has lagged behind other shelter care providers ever since. However, since Lincoln Place is in Youngstown, the Court incurs greater costs associated with transporting juveniles to that facility.

**R2.23** The CCJC should develop RFPs and solicit bids on a regular basis to determine a fair per diem cost of care, supervision, and administrative overhead for juveniles in shelter care. Once a rate is established, the Court should use that rate for what it pays all shelter care providers for their services. There should not be a large variance between the two facilities that essentially provide the same service. This would enable the Court to better estimate and project shelter care expenditures.

According to the *ACA Standards for Juvenile Detention Facilities* (3<sup>rd</sup> Edition), the following should be a standard [3-JDF-1B-04 (Ref. New)], “written policy, procedure, and practice provide that when a detention facility provides services on a regional basis, it charges all contract users an equal per diem rate. (*Comment:* Detention facilities providing services on a regional basis should determine the jurisdictions to be served and who will be billed for service. Once this is done, the facility should not negotiate different rates with different users. The per diem rate charged should include costs associated with treatment, care, supervision, administrative overhead, and construction).”

- F2.61 Cooperation and collaboration is necessary between CCJC, OBM and the BOCC. The Court and the County work closely together, but the financial needs identified and requested by the Court are often not granted by the BOCC. This results in CCJC exceeding its budgetary allocation on almost a yearly basis.

The difference between the Court’s annual budget requests and the amount allocated by the County may be the result of different methods being used by CCJC and OBM to forecast the financial needs of the Court. For example, CCJC and OBM use two different methods for estimating salary expenditures. The Court estimates salaries for the next year by doing an end-of-year headcount. OBM, on the other hand, estimates salaries using the amount of hours worked at mid-year. As a result, there is a six-month gap in salary funding between CCJC’s estimates and the funding allocated by the County due to the two different methods of salary estimation.

- R2.24** CCJC and OBM should better coordinate and collaborate on budget projections and forecasting, especially for areas experiencing the greatest growth such as residential placement and shelter care. The two agencies should communicate how they developed their forecasts in order to compare needs and attempt to come to a consensus before the budget request is presented to the BOCC. The County should realize expenditure growth is occurring in certain areas especially salaries, assigned counsel and out-of-home placements, but both CCJC and OBM must agree on what is justifiable growth. Meanwhile, the Court should strive to reduce expenditures through stringent financial control based on establishment and adherence to fiscal policy, procedure and practice. This should be the responsibility of the administrative judge, court administrator and the deputy court administrators (**R2.13**).



*RECLAIM Funds*

F2.62 The annual funding to Ohio counties for the RECLAIM grant begins at the start of the state fiscal year (July 1). At approximately the same time, CCJC submits its grant application to the Ohio Department of Youth Services (ODYS) for the next year's programs. Each year, ODYS grants CCJC an amount that is allocated on a monthly basis as determined by the number of juvenile felony adjudications recorded by the County in the previous year. The grant amount is based on the estimated costs of committing a juvenile in a state facility. Any funds remaining are to be used for programming along with any previous year carryover. The RECLAIM funds dedicated to programs have totaled approximately \$10 million a year in Cuyahoga County since 1995.

A RECLAIM program plan is developed by CCJC, and has to be approved by at least one of the county commissioners before it is sent to ODYS. Once the plan is approved by ODYS, OBM manages the funds on behalf of the Court. Program vendors send invoices to the Court where they are approved and OBM issues the payment.

F2.63 CCJC receives approximately \$1,700 in RECLAIM funds for each felony adjudication. The felony adjudication information is entered by each courtroom, and sometimes the information is not entered accurately. Due to the incidence of information incorrectly entered, the Court has a staff member in the RPE division who reviews the reports. However, if felony adjudication information is not accurate, CCJC could conceivably not receive all of the RECLAIM funds to which it is entitled or may receive funds to which it is not entitled.

F2.64 The Cuyahoga County Department of Justice Affairs conducted an examination in March, 2000 to certify the accuracy and reliability of CCJC felony adjudication data for the period of July 1, 1998 through June 20, 1999 (FY 1999). The department of justice affairs examined 2,200 of 2,204 files at the Court. Through their comparison of file information and internally generated CCJC data, they discovered that 42.2 percent of report data from July 1, 1998 through December 31, 1999 contained errors related to adjudication dates. Of those erroneous adjudication dates, 8.2 percent fell outside the parameter of FY 1999. All but one record with an adjudication date error should have been incorporated in FY 1998 reporting. Therefore, CCJC was reporting and submitting some information to ODYS for the wrong fiscal year. All report errors were eventually corrected, and RECLAIM funding was not adversely affected.

**R2.25** CCJC should take steps to ensure felony adjudication information is accurately recorded and reported throughout the Court. The department of justice affairs made three recommendations to CCJC in order to sustain accurate felony adjudication reporting. These recommendations are:

- “Standardize and Incorporate a Case Flow Form.” The JIMS system should enable a uniform method for felony adjudication data to be inputted by each individual courtroom, thus reducing the chance of incorrect information being placed into the system. See the **court services** section of this report for more information about standardization of data.
- “Management should enhance tracking of files.” Since case files are filed and withdrawn numerous times throughout an individual’s litigation, a bar coding system would allow a CCJC employee to determine the location of a file within the court. See the **court services** and **technology** sections of this report for further discussion on bar coding.
- “Social Security Numbers.” There was a lack of social security numbers recorded in the files justice affairs examined. The Court should consider incorporating Social Security number information as a standard element of intake to ensure that the correct data is being recorded for the correct file.

F2.65 The Court receives over \$20 million a year in ODYS Felony Delinquency Custody and Care (FDCC) funds that are known as the RECLAIM program. Approximately \$11 to 12 million of FDCC funding goes to the commitment costs of incarcerated youth, while the remaining amount (\$11 to 12 million) is to be used for programs to prevent incarceration. **Table 2-14** shows the number of RECLAIM program areas for each peer court. The table also presents the total commitment costs. This amount represents what each juvenile court is being charged by the state for juveniles placed in ODYS secure facilities. The total expenditures are actual dollars spent on RECLAIM-funded programs by each court for the year. Finally, the carryover amounts are funds that were allocated, but not spent on programming within that year.

**Table 2-14: Peer Comparison of RECLAIM Amounts**

		Number of Standard Program Areas	Total Commitment Costs	Adjusted Allocation (Adjusted Variable+ Actual Base+ Carryover Funds)	Total Expenditures	Carryover Amount
CCJC	FY 1998	13	\$11,900,039	\$11,129,878	\$5,895,047	\$5,234,831
	FY 1999	16	10,923,003	12,706,992	5,456,630	7,247,362
	% Change FY 98-FY 99			(8%)	12%	(7%)
FCJC	FY 1998	14	4,450,304	3,753,555	2,606,705	1,146,850
	FY 1999	14	3,972,018	5,050,925	2,535,890	2,515,035
	% Change FY 98-FY 99			(11%)	26%	(3%)
HCJC	FY 1998	14	8,077,199	5,025,727	4,141,537	1,832,937
	FY 1999	12	6,969,877	5,784,203	4,294,718	1,736,344
	% Change FY 98-FY 99			(14%)	13%	4%
LCJC	FY 1998	15	3,886,376	2,944,404	1,477,104	1,467,300
	FY 1999	12	3,143,349	3,422,590	1,456,591	1,966,000
	% Change FY 98-FY 99			(19%)	14%	(1%)
<b>Peer Average % Change</b>			(13%)	16%	(>1%)	26%

Source: County Financial Expenditure Final Reports submitted to the Department of Youth Services

CCJC receives the highest amount of RECLAIM funds among its peers because it has the largest number of adjudicated felony juveniles. Each of the peer courts have witnessed a decrease in juveniles sent to ODYS secure facilities. This accounts for the average annual decrease of 13 percent in total commitment costs among the peer juvenile courts. All of the peer courts have also experienced a decrease in the program expenditures for RECLAIM programs. Finally, all of the courts have carryovers from one year to the next. The amount of RECLAIM dollars granted to juvenile courts is difficult to estimate ahead of time, so it is difficult to plan for programs that take time to establish. As a result, all of the peer courts, with the exception of HCJC, have experienced an increase in carryover amounts from 1998 to 1999.

F2.66 Each of the peer courts spend its RECLAIM grants on a variety of programs. **Table 2-15** shows the type of programs and the amount spent by each juvenile court on these programs for FY 1998 and FY 1999.

**Table 2-15: RECLAIM Ohio FY 1998 - FY 1999 Program Expenditures**

Standard Program Area	CCJC		FCJC		HCJC		LCJC	
	FY 1998	FY 1999	FY 1998	FY 1999	FY 1998	FY 1999	FY 1998	FY 1999
1. Program	\$243,470	\$358,996	\$169,448	\$144,813	\$318,293	\$295,158	\$78,054	\$77,344
2. Day Treatment	692,011	243,354	271,110	235,946	218,465	322,824	N/A	N/A
3. Intensive Probation	0	N/A	124,424	144,018	171,585	N/A	26,184	28,029
4. Probation	N/A	N/A	1,181,621	986,543	663,643	804,007	N/A	N/A
5. Service Enhancement	N/A	32,550	68,134	129,491	N/A	N/A	N/A	N/A
6. Aftercare	857,588	82,000	N/A	N/A	305,584	235,093	119,135	124,586
7. Monitoring /	390,389	753,089	N/A	N/A	43,697	47,891	2,305	2,098
9. Educational Services	N/A	N/A	N/A	N/A	N/A	N/A	375	39
10. Wraparound	1,079,739	896,479	76,481	98,632	470,767	416,432	N/A	N/A
11. Family Preservation	N/A	N/A	122,514	80,249	N/A	N/A	N/A	N/A
13. Independent Living	N/A	0	N/A	N/A	N/A	N/A	N/A	N/A
15. Intervention	444,581	N/A	N/A	N/A	N/A	N/A	N/A	N/A
17. Out of Home Placement	1,194,534	1,135,709	71,899	22,910	741,826	861,418	568,390	549,841
18. Sex Offender	0	118,999	N/A	N/A	N/A	N/A	37,161	39,530
20. Substance Abuse	167,761	670,630	N/A	7,067	N/A	N/A	5,042	N/A
22. Restitution /	194,586	103,243	156,097	183,968	213,637	224,317	129,356	123,264
23. Clinical Assessment	595,489	36,281	N/A	N/A	657,956	721,240	N/A	N/A
24. Mental Health	N/A	995,764	10,965	22,904	N/A	N/A	344,015	350,850
25. Youth Intervention	N/A	N/A	N/A	100,144	N/A	N/A	85,000	85,000
27. Conflict Mediation	N/A	N/A	N/A	N/A	N/A	N/A	31,158	33,762
28. Advocacy	N/A	5,412	97,151	183,802	N/A	N/A	N/A	N/A
29. Mentors	N/A	N/A	N/A	N/A	N/A	N/A	1,200	N/A
32. Drug Testing	N/A	N/A	N/A	N/A	13,929	13,363	N/A	N/A
33. Volunteers	34,898	N/A	N/A	N/A	N/A	N/A	N/A	N/A
35. Employment	N/A	N/A	39,598	N/A	N/A	N/A	N/A	N/A
39. Diversion	N/A	27,125	217,264	195,404	305,864	325,494	40,198	42,249
41. Truancy	N/A	0	N/A	N/A	16,293	27,481	N/A	N/A
<b>Total Expenditures</b>	<b>\$5,895,047</b>	<b>\$5,459,630</b>	<b>\$2,606,705</b>	<b>\$2,535,890</b>	<b>\$4,141,537</b>	<b>\$4,294,718</b>	<b>\$1,477,104</b>	<b>\$1,456,591</b>

Source: County Financial Expenditure Final Reports submitted to the Department of Youth Services

In examining how the various peers spend their RECLAIM grants in **Table 2-15**, it is apparent each juvenile court has different priorities. CCJC spends its RECLAIM funds in six primary areas: day treatment, wraparound, out-of-home placement, substance abuse, sex offender programs and restitution. The priorities for FCJC are also day treatment, restitution and diversion, but the majority of its grant funds go to probation and intensive probation. Day treatment, out-of-home placement, wraparound, restitution and division are priorities at HCJC, but it also emphasizes aftercare, probation and clinical assessments. The largest expenditure areas for LCJC's RECLAIM funds are out-of-home placements and mental health.

**R2.26** CCJC should monitor RECLAIM fund expenditures to ensure they are being spent in accordance with the overall goal of the RECLAIM program of developing prevention and diversion programs for unruly youth, juvenile traffic offenders and other youth at risk of becoming delinquent. Since a large majority of CCJC's RECLAIM funds are going to out-of-home placements, the Court should determine if those programs actually meet the delinquency prevention goal of the RECLAIM program.

Also, the Court should monitor its carryover amount. CCJC should keep some RECLAIM funds in reserve in case ODYS incarceration numbers increase. However, the Court should strive to use its RECLAIM funds on programs that are the most effective in preventing delinquency at the best cost available. The RPE division (**R2.16**), in cooperation with probation department (see **probation services** section of this report), should be responsible for achieving this goal through RECLAIM program planning, monitoring and evaluation.

More careful monitoring the use of RECLAIM funds would enable CCJC to more effectively utilize its general fund resources. Furthermore, through the implementation of many of the recommendations contained within this performance audit, CCJC should be able to make more general fund resources available for some expenses which are currently being charged to RECLAIM funds. Additionally, this would help to ensure that RECLAIM funds are spent for purposes for which the funds were originally intended. Finally, increased fiscal responsibility in this area should enhance the confidence of the BOCC in approving future CCJC budget requests and amendments.

#### *Title IV-D*

F2.67 Title IV-D is a federal program that reimburses counties for child support activities such as child support cases and paternity determinations. CCJC invoices the County's Child Enforcement Agency (CSEA) for any child support-related costs it incurs. CSEA reviews the invoices and the reimbursement goes into the County's general fund.

According to the contract between CSEA and the Court, the two agencies are required to monitor the manner in which the terms and conditions of the contract are being carried out, and to evaluate the Title IV-D program objectives. These objectives are to:

- Improve the timeliness with which child support actions are disposed and of the process used to establish, modify, and enforce support obligations.
- Increase total support payments.
- Reduce the number of support orders in default through the use of income withholding, tax intercept programs, and other methodologies and techniques.
- Increase the average annual value of support orders.
- Bring the support orders in compliance with the Ohio Child Support Guidelines.
- Reduce the support arrearages.

CSEA and the Court are responsible for developing and implementing methods for determining how program objectives are to be met.

F2.68 **Table 2-16** shows how much each court received in Title IV-D reimbursements for activities qualifying as Title IV-D eligible. The table also shows the number of cases considered Title IV-D eligible in 1999. These cases include custody, change in custody, visitation, support enforcement and parenting determination. Additionally, **Table 2-16** presents the estimated amount of Title IV-D reimbursement per eligible case.

**Table 2-16: Peer Court Comparison of Title IV-D Reimbursements**

	1999 Reimbursement	No. of Custody/Change in Custody, Visitation, Support Enforcement & Parenting Cases in 1999	Amount of Reimbursement per case in 1999
CCJC	\$1,121,400	5,515	\$203
FCJC <sup>1</sup>	N/A	3,856	N/A
HCJC	\$2,339,360	17,117	\$137
LCJC	\$356,882	5,662	\$63

Source: Finance Directors or Budget Officers and Ohio Supreme Court Reports

<sup>1</sup> FCJC does not seek Title IV-D reimbursements

CCJC received the highest amount in reimbursements in relation to the number of Title IV-D cases it heard in 1999. The Court averaged approximately \$203 per custody, support or parenting case.

**C2.3** CCJC effectively documents any Title IV-D activities so it can invoice CSEA for those child support-related expenditures. This includes time studies of child support dockets. The Title IV-D funding the Court receives is dedicated to the salaries of staff who work with the child support docket.

### *Title IV-E*

F2.69 Title IV-E is a federal program that reimburses the Ohio Department of Human Services (ODHS) for any out-of-home placements (residential placement or shelter care) of juveniles whose families are eligible for or are receiving any form of government assistance (i.e., TANF, food stamps, SSI). Every youth placed in shelter care or residential placement goes through the Title IV-E eligibility process. The County's Department of Children and Family Services (CFS) completes the actual income eligibility assessment for CCJC. Once a juvenile is determined by CFS to be Title IV-E eligible, the Court invoices CFS for each Title IV-E eligible youth. ODHS (with CFS as the fiscal agent) reimburses CCJC 75 percent of the out-of-home placement costs, and the remaining 25 percent goes to the BOCC for the indirect costs of administering the program.

The Title IV-E reimbursement is directed to the cost of a juvenile's care while in residential facilities as ordered by the court. The Court currently uses its Title IV-E reimbursement to fund shelter care, since shelter care has been identified as a critical area in fiscal need due to the large growth in expenditures (**F2.58**). Title IV-E is one of three revenue sources used to fund shelter care expenses. CCJC also uses general fund revenues and the Youth Services subsidy for shelter care expenditures.

F2.70 The following table, **Table 2-17**, shows the amount each peer court was reimbursed in Title IV-E funds in 1999.

**Table 2-17: Peer Court Comparison of Title IV-E Reimbursement**

Peer Court	1999 Reimbursement
CCJC	\$916,757
FCJC <sup>1</sup>	N/A
HCJC	\$107,383
LCJC	\$238,577

Source: Finance Directors and Budget Officers

<sup>1</sup> FCJC does not seek Title IV-E reimbursements



As shown in **Table 2-17**, CCJC receives more funding in Title IV-E reimbursements than the other peer courts.

**C2.4** CCJC effectively documents the Title IV-E eligibility of juveniles placed in shelter care and residential placement in order to determine if reimbursement is warranted. The Court is also one of the few juvenile courts in the state receiving this reimbursement for eligible juveniles in out-of-home placement. Few juvenile courts seek Title IV-E reimbursement due to the laborious process and paperwork involved in determining eligibility.

### *Grants Procurement, Monitoring and Management Processes*

F2.71 As of July 2000, CCJC has been a primary or joint applicant for nine separate grants totaling approximately \$1.8 million. The grants are typically federal or state grants with the intention of serving a variety of purposes. Grants range from the federal CLEFS grant for stress reduction training for detention and probation staff, to the Court Security Grant from the Ohio Judicial Conference for improving security for the court through the installation of duress alarms.

One of the largest grants the Court has received in recent years is the Federal Drug Court Grant. As a result of the \$400,000 grant, the Court was able to establish a drug court in 1998 as a new division within the court services department. The CCJC drug court provides comprehensive substance abuse treatment to juveniles. A youth's involvement in the drug court program lasts between nine and 12 months, during at which time the juvenile is expected to remain substance-free and not commit any additional offenses. Originally, the program was designed to serve ten juveniles at a time, but the capacity has been increased to 30. The program's goal is to treat substance abuse problems that often contribute to delinquency (see the **court services** section).

Another grant is the Felony Delinquency Care and Custody - RECLAIM Ohio Challenge Grant. This grant is separate from the annual RECLAIM funds the Court receives, and was a match for the Court's contribution to the contract with the Federation for Community Planning to undertake the Comprehensive Strategy Initiative (see **F2.83**). CCJC funded its \$60,000 commitment to the Comprehensive Strategy Initiative from this grant of \$33,000 as well as using \$27,000 of CCJC's RECLAIM Program Administration funds.

**Table 2-18** shows the number and amount of outside grants that CCJC and its peers have received during 1999/2000 either independently or in partnership.

**Table 2-18: Peer Court Comparison of Outside Grants in 1999/2000**

	CCJC	FCJC <sup>1</sup>	HCJC <sup>2</sup>	LCJC <sup>3</sup>
<b>No. of Grants</b>	9	5	3	2
<b>Total Amount of Grants</b>	\$1,850,275	\$657,464	\$1,676,091	\$462,411

Source: Finance Directors and Budget Officers

<sup>1</sup> Includes a \$522,050 JAIBG grant for detention center renovation

<sup>2</sup> Includes a \$803,185 JAIBG grant in 1999 and a \$499,906 JAIBG grant in 2000

<sup>3</sup> Includes a \$458,263 JAIBG grant for construction of a new detention facility

All of CCJC's peers have received large Juvenile Accountability Incentive Block Grants (JAIBG) from the Office of Juvenile Justice and Delinquency Prevention of the Department of Justice in 1999 and 2000. CCJC has one JAIBG grant for the Drug Court program and one pending for a program to reduce the proportion of minority juveniles in confinement.

**C2.5** CCJC should be commended for the number and amount of outside grants it has sought and partnered with. The Court should continue the excellent job it is doing in seeking outside funds.

F2.72 One Court staff member is responsible for seeking, researching, writing and submitting applications for outside grants. A senior program planner within the administrative services department does the grant research and writing for all the departments and divisions of the Court. It is this position's responsibility to work with department directors or other supervisors to determine what grants should be sought to address the needs and problems of the Court and the population it serves.

CCJC is lacking a formal system to determine the programmatic needs of the Court, so it is often difficult to determine what types of outside funds to seek. The Court does not have a process to solicit ideas from staff, through client satisfaction surveys or from incident reports from existing programs in order to assess what issues the Court is facing. If such a system were in place, CCJC would be better able to assess issues. Further, the Court does not have a process or formal system to come up with possible solutions once problems and issues are identified. There is not a formal method for determining what stakeholders to include, what research needs to be done and how to come up with the resources to solve the problem when seeking grants.

F2.73 Before the reorganization that occurred in 1998 at CCJC, there was a program planning unit within the probation department that employed a collaborative team approach to addressing court wide and departmental issues. This unit addressed issues, developed programs, sought funds and evaluated programs.

One of the reasons for the elimination of the program planning unit was the perception that it involved too many committees and its resources were not being used effectively. As a result, the unit was eliminated during the 1998 reorganization and the responsibilities of the unit were shifted to individual departments. Since the probation department manages a majority of programs for the Court, the unit was also perceived as a redundancy and created a process that was considered too time consuming.

**R2.27** The Court should develop a collaborative process to identify grants for programs and projects throughout CCJC. This could include the creation of programming teams on a departmental and interagency basis (see **R2.40**). This should be a responsibility of the RPE division (**F2.15**).

### *Procurement, Purchasing and Fixed Assets*

F2.74 The Court uses and follows the County’s purchasing policy and procedure as prescribed by the ORC Section §307.86. CCJC’s purchasing policy and procedure was formally written into Court policy in 1995 during the development of the Administrative Policy and Procedure Manual. The procurement process states that purchases less than \$15,000 shall be accomplished using “Request to Order” forms, and purchases \$15,000 and over will be submitted to bid. All three peer courts follow county purchasing policies and procedures that are based on ORC Section §307.86.

F2.75 According to the ACA *Standards for Juvenile Detention Facilities* (3<sup>rd</sup> Edition), the following is the standard regarding purchasing supplies and equipment. Standard 3-JDF-1B-15 (Ref. 2-8054) states, “written policy, procedure, and practice govern the requisition and purchase of supplies and equipment, including at a minimum the purchasing procedures and criteria for the selection of bidders and vendors. (*Comments: All supplies and equipment for the facility should be procured on a competitive bid basis, preferably through a central purchasing agency.*)” The Court’s current policy and procedure appears to continue to meet this ACA standard.

**R2.28** The Court should update its purchasing policy to include the responsibilities of the authorized individuals within the newly formed Operations Division (**R2.14**), and to reflect any exceptions to the policy, such as food service for the detention center, purchases for the pharmacy and computer related equipment and software. CCJC should also create an additional policy to update the vendor list on a routine to basis, in order to ensure that the best quality and price for supplies, equipment and materials is obtained.

F2.76 The Court continues to use the inventory policy and procedure that were formally established in 1995 during the development of the Administrative Policy and Procedure Manual for ACA accreditation. When items valued at \$50 or more are delivered to CCJC, the purchasing assistant within the fiscal division of the administrative services department places an inventory tag on them before they are distributed to the respective department. The purchasing assistant maintains a daily computerized inventory indicating what items are received and what items are recycled or disposed of throughout the course of the year. In November of each year, the County sends a fixed asset report to CCJC. Any items that are no longer on the premises are indicated on this report. The building services manager retires inventory when items are damaged and when items exceed their useful life. The building services manager also oversees the movement of inventory between buildings or offices.

F2.77 Among the peer courts, CCJC has the most comprehensive inventory policy and procedure, requiring coordination between the County and the Court. HCJC is the only other peer court that keeps its own inventory and annually submits an inventory list to the county. At FCJC and LCJC, the County has sole responsibility for maintaining a master list of inventory at those juvenile courts.

**C2.6** When compared to its peers and in relation to ACA standards, the CCJC does an excellent job of tagging and cataloging inventory. According to the *ACA Standards for Juvenile Detention Facilities* (3<sup>rd</sup> Edition), the following standard, 3-JDF-1B-14 (Ref. 2-8053), states, “written policy, procedure, and practice govern inventory control of property, supplies, and other assets. Inventories are conducted at time periods stipulated by applicable statutes but at least every two years. (*Comment*: Current and complete inventory records should be maintained for all property and equipment. Property records should include the following information: purchase date and price; source of funds; current value (if applicable); unit and location to which assigned; and name of person charged with custody).” It appears that CCJC continues to meet and exceed this ACA standard.

*Service Contracts and Service Agreements*

F2.78 The majority of CCJC’s programs are contracted using service agreements written on a per unit of service basis. CCJC contracts on a unit of service basis because it is difficult for the Court to determine how many juveniles will need program placement, or the types of services those juveniles will require. Therefore, service agreements are preferred over service contracts at CCJC. The main benefit of using service contracts is they encumber funds enabling the Court to better project expenditures. However, service agreements allow for flexibility since the Court cannot predict program use.

The RFP process is the same for both the service agreement and contract processes. The only difference is who ultimately approves the contract or agreement. A “blue back” contract is any contract over \$1,000 (service or goods) requiring BOCC approval. The court administrator is solely responsible for approving and signing service agreements.

F2.79 The CCJC is the only juvenile court among its peers to use “service agreements.” Each of the peer courts uses contracts for all services, and the county commissioners are the ultimate contract authority.

Program evaluation and monitoring are the responsibility of individual departments at HCJC. LCJC’s court administrator has ultimate authority for program evaluation with the assistance of the special projects director. LCJC also contracts with outside parties to perform evaluations such as the University of Cincinnati’s Corrections Program Impact Assessment (CPIA) (F2.81). The FCJC is currently revising its methods for program evaluation and monitoring.

C2.7 Early this year, the administrative services department distributed a vendor performance evaluation form to the directors and superintendents of the various Court departments who deal directly with service providers. This has been the first attempt in recent years to compare the terms and conditions of the service agreement or service contract with the vendor’s actual performance. The evaluation criteria were intended to take into account the timeliness, quality and effectiveness of service(s), and the vendor’s ability to meet the objectives and performance indicators stated in the service agreement or service contract.

F2.80 CCJC’s practices regarding service contracts and service agreements need to be analyzed in the context of pre-1998 practices (before the major court reorganization) and post-1998 (the current situation as a result of reorganization). Before 1998, there used to be a program planning unit that wrote RFPs and grants, recommended providers, and monitored and assessed all direct services to juveniles (see F2.73). After 1998, there was no longer a program planning unit. The responsibilities of this division at CCJC is either scattered throughout the Court, or was no longer done by the Court. There was a process of who

reviewed the applications when the RFPs were received, and there was a clear-cut chain of reviews. Currently, it is no longer clear who is to review the program applications and proposals.

Before 1998, after the service agreement or service contract negotiation process was over, the program planning unit started the monitoring stage of the process for every agreement or contract. It was not a formalized process (i.e., no written guidelines), but the program planning unit conducted on-site visits, produced quarterly reports on the vendor's program, and produced annual reports that had both an operational and fiscal emphasis for each program. The program planning unit also regularly checked up on the juveniles in the programs and the facilities where the program took place.

After 1998, the monitoring of programs was done by the department administering the program, and this has not been as effective as anticipated. Program monitoring is currently done for each program of the Court by the RPE division, which examines program outcomes via numbers and statistics. However, the RPE division does not look at the quality of the program and its cost effectiveness or ineffectiveness. The extent of contract and program monitoring depends on the department and the type of program, and this is not done on a formal and consistent court wide basis.

Although the shelter care program and contract monitoring is supposed to be done by the detention services department, it is not occurring. The court reporter contract is not being monitored by the court services department. The probation services department attempts to monitor the contracts and the programs related to the RECLAIM funds, but they do not have enough staff dedicated to this function. Residential placement contracts and programs are not monitored at all since it is supposed to be done by individual placement probation officers who have the responsibility to check up on facilities. The placement probation officers do not have time to do this in addition to their case loads (see the **probation services** section).

**R2.29** CCJC should continue to evaluate all service agreements and service contracts it has with vendors on a regular basis, and preferably before service agreements and service contracts are renegotiated. This routine evaluation process needs to be written into formal policy as outlined in the following ACA standard 3-JDF-1A-05 (Ref. 2-8107) which states, "programs are periodically analyzed and evaluated to determine their contribution to the mission of the facility (see **R2.7**). (*Comment*: Facility programs should be clearly defined in terms of their objectives, cost, and relation to overall philosophy and goals. Periodic programs analyses and evaluations assist in the identification of productive and nonproductive programs, determination of needed changes, and indication of the need of reordering priorities)." The formal evaluation process for all CCJC service agreements and service contracts should be the responsibility of the RPE division (see **R2.16**).

CCJC should also enact a service contract and service agreement assessment and monitoring process. This is outlined in the *ACA Standards for Juvenile Detention Facilities* (3<sup>rd</sup> Edition) standard 3-JDF-1A-28 (Ref. 2-8018), which states “written policy, procedure, and practice provide for a system to monitor space requirements, operations, and programs through inspections and reviews. This monitoring includes measuring progress toward achieving previously identified goals and objectives and is conducted by the facility administrator or designated staff at least annually. (*Comments: Timely and periodic assessment can reveal how well a facility’s operations and programs are complying with policy and procedure. This internal administrative audit should be separate from any external or continuous inspection conducted by other agencies.*)”

This is currently being done to some extent by the probation services department (see the **probation** section of this report). However, the Court should coordinate the functions undertaken by the probation services department with the program planning, monitoring and evaluation responsibilities of the RPE division (**R2.16**). This could be accomplished through reestablishing the program planning unit with representatives from the probation department, the detention services department and the RPE division. The program planning unit should be in the form of a committee, and the RPE division should staff and organize it.

- F2.81 Two of CCJC’s peer courts, HCJC and LCJC, have used the University of Cincinnati’s Corrections Program Impact Assessment (CPIA) to evaluate the effectiveness of their programs. A March 1999 report, *An Evaluation of Selected Juvenile Justice Programs in Ohio Using the Correctional Program Assessment Inventory*, examined nine community corrections facilities for juveniles and showed a very high correlation between scores on the CPIA and measures of recidivism.

The CPIA assesses program implementation and leadership; client pre-service assessment; characteristics of the program; characteristics and practices of the staff; evaluation and quality control; and miscellaneous items such as ethical guidelines and levels of community support. The scores from these six areas are totaled and the same scale is used for the overall assessment score. Not all of the six areas are given equal weight.

CPIA data is collected through structured interviews with selected program staff. Other sources of information include policy and procedure manuals, treatment materials and curriculum, a sample of case files, and other selected program materials. Once the information is gathered and reviewed, the program is scored and a report is generated that highlights the strengths, areas that need improvement and recommendations for each of the six areas. Program scores are also compared to the averages from across all programs that have been assessed.

**R2.30** The Court should consider bringing in outside, objective third parties such as the University of Cincinnati's Corrections Program Impact Assessment, to occasionally evaluate CCJC's programs. This would benefit the Court by determining what programs are effectively meeting their intended purpose. The RPE division could use the assessments of outside parties such as the CPIA as a model in determining the effectiveness or ineffectiveness of CCJC programs, especially those monitored by the program planning unit (**R2.29**).

### *Interaction with Other Agencies*

F2.82 As a county agency, CCJC has formal and informal interaction with a variety of agencies. These agencies include, but are not limited to: the Cuyahoga County Department of Justice Affairs, the Prosecutor's Office, the Public Defender's Office, Children and Family Services Department and the Child Support Enforcement Agency.

The ACA standard, 3-JDF-1A-26 (Ref. 2-8023), outlines the need for effective communication between all levels of government. It states, "written policy and procedure provide a mechanism for communication with executive, legislative, and judicial bodies at all governmental levels. (*Comments:* The facility administrator should be able to fully respond to requests for information about programs and specific cases, consistent with confidentiality statutes. The administrator should also provide advice and information regarding relevant legislation and/or court decisions.)" This standard stresses the need for formal systems of communication and collaboration, not only within the Court, but with all of its stakeholders.

**R2.31** CCJC should strive to develop formalized interagency, as well as interdepartmental collaboration and communication. *ACA Standards for Juvenile Detention Facilities* (3<sup>rd</sup> Edition) standard 3-JDF-1A-20 (Ref. 2-8009) recommends the establishment of "written policy, procedure, and practice for regular meetings and case conferences between staff of probation agencies, shelter facilities, the court, the local law enforcement agency, and the detention facility staff to develop and maintain sound interagency policies and procedures. (*Comment:* Regular meetings of the agencies responsible for referring, screening, and providing residential care to juveniles in the detention process are necessary for early identification of the need for and development of policies and procedures to overcome problem areas such as overutilization, inappropriate lengths of stay, weakness in admission control, and detention program deficiencies.)"

This can be accomplished through the development of an information-sharing task force, such as the one convened by the Allegheny County Court Services and funded by JAIBG in 1999. The multi-disciplinary working group, comprised of county education and human services representatives, law enforcement officials and juvenile court services staff, recently completed the process of negotiating and drafting a proposed memorandum of understanding



on local interagency information sharing. The working group developed an interagency information-sharing process that includes the appointment of an information management committee, the evaluation of each partner agency's information needs, the determination of overall system goals, and the drafting, funding, building and maintaining an interagency information sharing system.

In order to formalize an interagency information-sharing process, a memorandum of understanding (MOU) should be created and signed by all parties involved. A MOU formalizes the interagency arrangement, and outlines the responsibilities of participating agencies.

### *The Comprehensive Strategy process*

F2.83 The Comprehensive Strategy for Serious, Violent and Chronic Juvenile Offenders (Comprehensive Strategy) is a community-focused, research-based, data-driven approach to juvenile delinquency and prevention developed by the Office of Juvenile Justice and Delinquency Prevention of the United States Department of Justice (OJJDP). The Ohio Department of Youth Services selected Cuyahoga County in 1998 as one of five counties in Ohio to design and implement a Comprehensive Strategy.

In July 1999, the BOCC and the Court contracted with the Federation for Community Planning to facilitate the Comprehensive Strategy process. An advisory counsel of 22 members was formed representing local government, social service agencies, law enforcement and other local institutions. The advisory counsel was brought together to meet on a regular basis to discuss juvenile justice issues based on the data collected for the Comprehensive Strategy. The advisory counsel also discussed solutions to juvenile justice issues within Cuyahoga County, and how to implement those solutions.

**C2.8** The Court and the BOCC should be commended for applying and being selected as one of five counties in the state to undergo the Comprehensive Strategy process. It has brought together key community leaders to discuss difficult juvenile justice issues, and to attempt to create solutions to problems and issues related juvenile justice.

F2.84 In July 2000, the advisory counsel released part one of Comprehensive Strategy which focused on prevention and graduated sanctions. The findings and recommendations in this report focus on: a risk factor assessment that examined five factors contributing to juvenile delinquency, resource assessment of juvenile justice resources within Cuyahoga County, an objective decision making and graduated sanctions that influence juvenile justice, and a neighborhood/community strategy for implementing the Comprehensive Strategy on a county-wide basis.

## Financial Implications Summary

The following table represents a summary of the annual cost savings and implementation costs discussed in this section. For the purposes of this table, only recommendations with quantifiable financial impacts are listed.

### Summary of Financial Implications for Organization and Administrative Services

Recommendation		Estimated Cost Savings (Annual)	Estimated Implementation Cost (One-time)	Estimated Implementation Cost (Annual)
R2.6	ACA costs for detention center, probation department and central office accreditation <sup>1</sup>		\$22,800	
R2.13	Net annual cost due to the creation two deputy court administrator positions after phasing out the director of administrative services and an administrative secretary positions			\$92,000
R2.14	Yearly net increase by eliminating the building services manager position and creating a deputy director of operations			\$18,900
R2.16	Redirect RECLAIM funding by reducing one part-time research associate and two part-time research assistants	\$54,800		
R2.16	Scale down the data processing unit from one supervisor and five data processors to one supervisor and one data processor	\$133,300		
R2.16	Redirect general fund allocations for the deputy director of RPE position to other uses, and replace with RECLAIM funds used for deputy director of court administration position. Phase out the deputy director of court administration position.	\$75,400		
<b>Totals</b>		<b>\$263,500</b>	<b>\$22,800</b>	<b>\$110,900</b>

<sup>1</sup> One time initial cost with re-accreditation costs every two years. There is a five percent discount on multiple accreditations.

## **Conclusion Statement**

CCJC has been greatly affected by frequent turnover in both the administrative judge and court administrator positions, as well as the residual effects of the 1998 reorganization. The Court has witnessed four different administrative judges and three court administrators since January 1997. Administrations since 1997 have established several successful initiatives such as the drug court program, the community diversion program and JIMS. However, the turnover has also led to the cessation of effective initiatives such as the establishment and implementation of policies and procedures that met ACA accreditation standards, the decentralization of the administrative services department and the elimination of the program planning unit. The turnovers at CCJC have led to undefined lines of supervision and communication. Since 1998, when the Court's ACA accreditation expired, CCJC became deficient in establishing and implementing policies and procedures that are communicated and enacted consistently.

Prior to 1997, the administrative services department did not exist. All of the divisions and departments reported directly to the court administrator. During the 1998 reorganization of CCJC, an administrative services department was established to oversee the RPE, fiscal and human resources divisions. Since then, divisions, such as human resources, have been removed from the department, while others, such as fiscal, have been decentralized. This has led to ineffective supervision and communication within the department and between other departments. The Court would benefit by creating two deputy court administrator positions to oversee operations and administration, eliminating the administrative services department, creating technology and operations divisions, changing the focus of the RPE division and centralizing the fiscal division. In order for the administrative judge and court administrator to make needed changes to the Court to improve operations and programs and to reduce expenditures, they should direct the supervision over all divisions and departments to the respective deputy court administrators.

CCJC has had the greatest growth in general fund expenditures over the last five years when compared to other agencies in the County. Meanwhile, the BOCC has increased the Court's budget allocations more than any other agency in the County. CCJC has experienced extraordinary growth in three areas: salaries, assigned counsel/G.A.L and out-of-home placements (residential placements and shelter care). Several of these expenditure areas are the responsibility of CCJC. However, as a county agency, some expenditure areas are beyond the Court's control.

Salary increases were primarily the result of recommendations made by the Griffith Study in 1998. However, the Court should work with OBM in the area of position control. The increases in assigned counsel and G.A.L. expenditures are partially the responsibility of judges and magistrates assigning counsel instead of using public defenders. Residential placement as a disposition option is used more often at CCJC than among its peers. The Court should explore other, less expensive, yet effective, alternatives to private residential placement. Finally, increases in shelter care are directly attributable to the lack of space at the CCJC detention center. There are not enough beds

at the detention center, so the Court must go to outside service providers, one as far away as Youngstown, to meet the need. However, the BOCC is currently seeking a site to build a new detention center.

CCJC is effective in obtaining special revenue reimbursements such as Title IV-D for child support cases and paternity determinations and Title IV-E for eligible juveniles in residential placement. The Court also is effective in obtaining outside grant funds for programs, such as the Drug Court. However, CCJC does not effectively manage its RECLAIM funds. CCJC is awarded RECLAIM funds based on the number of felony adjudications each year. The method by which the Court records felony adjudication data has been found to be deficient in an audit by the Cuyahoga County Department Justice Affairs. CCJC also has the largest carryover amount in RECLAIM funds when compared to its peers. Any remaining RECLAIM funds carried over from one year to the next were not spent on needed delinquency prevention and diversion programming for unruly and at-risk youth.

The ineffective management of RECLAIM funds is largely due to the lack of policies, procedures and assigned responsibility for program planning, procurement and monitoring. CCJC is lacking a formal system to determine the programmatic needs of the Court. Before the reorganization that occurred in 1998 at CCJC, there was a program planning unit within the probation department that employed a collaborative team approach to addressing court wide and departmental issues. The unit was responsible for identifying issues, developing programs, issuing RFPs, seeking funding sources, evaluating programs, and developing contracts and agreements. The Court would benefit by reestablishing a program planning unit, staffed and organized by the RPE division, with representatives from the probation, detention and fiscal departments.

CCJC has formal and informal interaction with a variety of agencies as a result of the continuum of juvenile justice. The Court cannot operate independently in preventing and correcting juvenile unruly and delinquent actions, and addressing and remedying abuse, neglect dependency and custody issues. CCJC is currently participating in the Comprehensive Strategy for Serious, Violent and Chronic Juvenile Offenders with local governments, social service agencies, law enforcement and other local institutions. The Court should be commended for participating in the Comprehensive Strategy, but should also strive to develop formalized interagency collaboration and communication.

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# Human Resources

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## Background

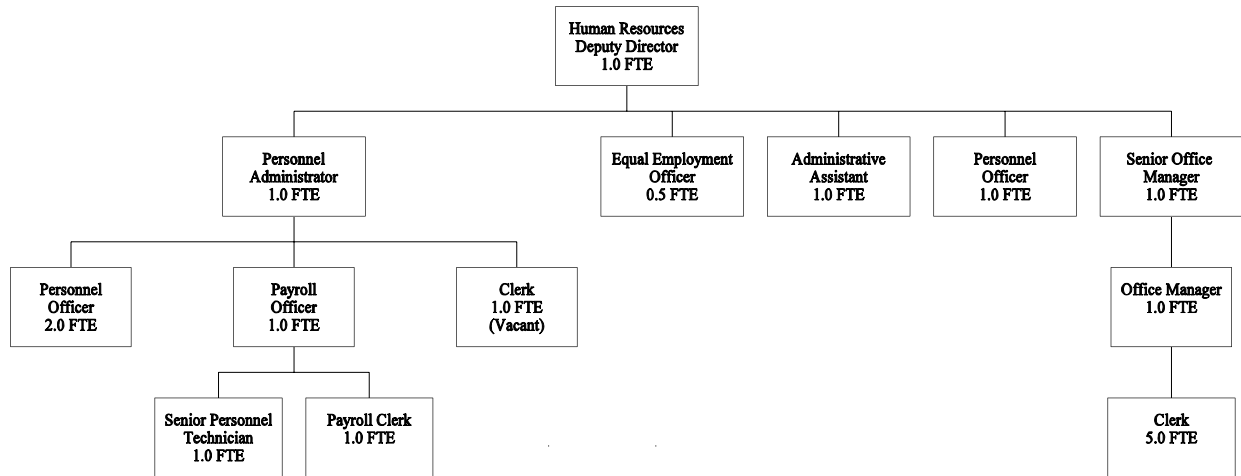
This section summarizes the human resources functions of Cuyahoga County Juvenile Court (CCJC or Court). Comparisons are made to the following peer juvenile courts: Franklin County Court of Common Pleas, Division of Domestic Relations and Juvenile Court Branch (FCJC); Hamilton County Juvenile Court (HCJC) and Lucas County Court of Common Pleas, Juvenile Division (LCJC).

In addition, comparisons are made to the standards set by the American Correctional Association (ACA). The ACA is a private, nonprofit organization which, along with the Commission on Accreditation for Corrections, administers the only national accreditation program for all components of adult and juvenile corrections. The standards developed by the ACA are continually reviewed and revised based upon changing practices, law and experience. Standards have been and are used in the following areas: administrative and fiscal controls, staff training and development, physical plant, safety and emergency procedures, rules and discipline, food services and other subjects which constitute good business practice.

### *Organizational Chart*

CCJC has a separate department dedicated to performing human resources functions. The human resources department (HR) is not an official department within CCJC; however, it is a stand-alone entity and is not overseen by any of the four official departments within the Court. **Chart 3-1** below provides an overview of the individuals responsible for carrying out the human resources functions in the Court. See **Table 3-1** for a comparison between the budgeted positions and the actual positions.

**Chart 3-1: Organization Chart**



*Organization Function*

The individuals performing human resources functions are responsible for coordinating the activities and programs for the recruiting and selecting of employees, monitoring compliance with employment standards, facilitating employee performance evaluations, administering and monitoring grievance policies and procedures, negotiating and administering union contracts, compiling payroll information and reports, conducting disciplinary hearings and participating in new employee training.

### *Summary of Operations*

The deputy director of human resources (deputy director) reports directly to the court administrator. The deputy director manages, plans, supervises and directs the operations of the human resources department. The deputy director is also responsible for overseeing training and staff development, managing the payroll processing function, coordinating and administering wage and salary policies, writing policies and procedures, updating the policies and procedures manual and maintaining accurate personnel records/files. In addition, the deputy director is responsible for providing advice and assistance on policies and procedures, managing the administration of employee benefits, facilitating employee performance evaluations and responding to complaints from employees and the public. The deputy director also serves as a liaison between the Court and the human resources department of Cuyahoga County (County).

The administrative assistant reports directly to the deputy director of human resources and is responsible for drafting memos and letters, scheduling training sessions, providing clerical support, maintaining records and files and serving as a liaison between the human resources department and employees of the Court. The equal employment officer is a part-time position and reports to the deputy director. The equal employment officer is responsible for conducting investigations, preparing responses to the Equal Employment Opportunities Commission (EEOC) as well as other federal and state agencies, performing internal investigations and representing the Court at compliance hearings.

The personnel administrator also reports to the deputy director. The personnel administrator is responsible for supervising the personnel officers and payroll officer; providing advice, instruction and training to employees; managing the recruiting and selection program; preparing interview questionnaires and job postings, interviewing job applicants; coordinating orientation for new employees and assisting the deputy director in addition to many other functions. The personnel officers are responsible for maintaining human resources information in databases and spreadsheets, developing periodic reports, including reports on leaves of absence, auditing personnel files, performing recruiting functions, preparing new employee files, performing employment and background checks, processing tuition reimbursement requests and conducting exit interviews for all Court departments.

The payroll officer is responsible for processing payroll for all Court employees, supervising the senior payroll technician and payroll clerk and presenting benefit information to all CCJC employees. The senior payroll technician and payroll clerk are responsible for compiling, calculating, monitoring and recording attendance, hours worked and overtime information. In addition, these two positions are also responsible for preparing reports related to attendance and payroll, as well as performing payroll audits and benefits administration.

The senior office manager is responsible for managing the telephone communication system in the absence of the office manager and ensuring compliance with various organizations, including the Bureau of Workers' Compensation (BWC) and the Occupational Safety and Health Administration (OSHA). The office manager is responsible for managing the telephone communication system, updating staff distribution lists and telephone directories and supervising the clerks. The clerk positions are responsible for handling and distributing mail and directing callers and the public to the appropriate department in the Court.

### Staffing

**Table 3-1** represents the budgeted positions and the current staffing of the human resources department for the Court as of July 31, 2000. The staffing levels are indicated in full-time equivalents (FTEs) and are analyzed by following functions: human resources functions, payroll functions and miscellaneous functions.

**Table 3-1: Human Resources Staffing**

Function/Position	Budgeted Positions in FTEs	Filled Positions in FTEs
Deputy Director of Human Resources	1.0	1.0
Administrative Assistant	1.0	1.0
Personnel Administrator	1.0	1.0
Equal Employment Officer	0.5	0.5
Personnel Officer	3.0	3.0
Senior Officer Manager	1.0	1.0
<b>Total for human resources functions</b>	<b>7.5</b>	<b>7.5</b>
Payroll Officer	1.0	1.0
Senior Personnel Technician	1.0	1.0
Payroll Clerk	1.0	1.0
<b>Total for payroll functions</b>	<b>3.0</b>	<b>3.0</b>
Office Manager	1.0	1.0
Clerk	6.0	5.0
<b>Total for miscellaneous functions</b>	<b>7.0</b>	<b>6.0</b>
<b>Total for all human resources department functions</b>	<b>17.5</b>	<b>16.5</b>

Source: Human resources department



*Performance Measures*

The following is a list of performance measures that were used to review CCJC's human resources operations coupled with the functions typically performed by a human resources department (HR):

- Assessment of staffing levels for the entire Court
- Assessment of staffing levels within the human resources department
- Assessment of recruiting practices and exit interview process
- Assessment of policies and procedures manual CCJC and the peer juvenile courts
- Assessment of the pending union agreement with the detention center employees
- Assessment of previous studies conducted for the CCJC HR department
- Assessment of the evaluation process
- Analysis of staff development measures including position control, personnel files, orientation programs, training, discipline policies and termination procedures
- Assessment of the utilization of technology within the human resources department
- Assessment of the existing and potential use of the automated payroll system

## Findings / Commendations / Recommendations

### Staffing Analysis

F3.1 The total FTEs from all four juvenile courts were divided into six classifications of personnel as defined in **Table 3-2**. These classifications are used for further assessments in **F3.2**, **Table 3-3**, **F3.3** and **Table 3-4**.

**Table 3-2: Personnel Classifications and Position Titles**

Classification	Position Titles
<b>Court Personnel</b>	Judges; Bailiff; Assistant Bailiff; Judges Clerk; Assistant Judges Clerk; Summer Intern; Court Administrator; Deputy Director; Juvenile Rights Advocate; Senior Administrative Assistant
<b>Administrative Services</b>	Director of Administrative Services; Administrative Secretary; Budget Officer; Senior Account Clerk; Senior Program Planner; Account Clerk; Purchasing Assistant; Senior Storekeeper; Deputy Director of Research, Planning and Evaluation; Network Manager; Network Administrator; Software Specialist; Senior Field Engineer; Field Engineer; Systems Analyst; Data Processor Supervisor; Data Processor; Research Associate; Research Assistant; Deputy Director of Fiscal; Program Planner; Secretary; Fiscal Officer; Fiscal Review Officer; Senior Account Clerk; Cashier; Building Services Manager; Warrants & Transportation Supervisor; Senior Transportation Supervisor; Transportation Officer
<b>Human Resources</b>	Deputy Director of Human Resources; Administrative Assistant; Personnel Administrator; Equal Employment Officer; Senior Office Manager; Office Manager; Personnel Officer; Payroll Officer; Senior Personnel Technician; Payroll Clerk; Clerk
<b>Probation</b>	Chief Probation Officer; Deputy Chief Probation Officer; Administrative Secretary; Secretary; Multi-systematic Therapy Supervisor; Multi-systematic Therapist; Day Treatment Program Manager; Youth Development Coordinator; Teacher; Administrative Assistant; Youth Services Worker; Driver, Diagnostic Clinic Manger; Clinic Social Worker; Senior Clerk; Psychometrist; Probation Officer; Victim Aid Liaison; Receiving & Assignment Coordinator; Receiving & Assignment Assistant; Clerk; Probation Assistant; Probation Manager; Regional Chief Probation Officer; Senior Projects Counselor; PO3/Placement Officer; Youth Development Coordinator
<b>Detention Services</b>	Superintendent; Administrative Officer; Administrative Secretary; Assistant Superintendent; Unit Manager; Social Worker; Detention Officer; Activities Assistant; Medical Services Manager; Licensed Practical Nurse; Secretary; Manager for Admissions & Release; Population Manger; Shelter-care Coordinator, Transportation Officer; Detention Services Manager; Detention Services Coordinator; Senior Clerk; Food Service Supervisor; Assistant Food Service Supervisor; Cook; Food Service Worker; Office Manager; Lead Detention Clerk; Detention Clerk; Home Detention Supervisor; Home Detention Officer; Volunteer Coordinator; Custodial Work Supervisor; Custodial Worker; Storekeeper; Laundry Worker; Compliance Officer
<b>Court Services</b>	Court Services Director; Administrative Secretary; Drug Coordinator; Drug Assessment Specialist; Drug Court Care Manager, Office Manager; Magistrate Supervisor; Senior Administrative Officer; Law Clerk; Magistrate; Magistrate Clerk; Deputy Director of Intake; Senior Intake Officer; Intake Officer; Legal Services Clerk; Community Diversion Coordinator; Administrative Assistant; Chief Deputy Clerk; Secretary; Senior Superior of Clerk's Office; Legal Services Clerk; Clerk; Assistant Bailiff; Process Server Supervisor; Process Server; Data Processor; Service Team Leader; Service Clerk; Deputy Director of Caseflow; Case Management Coordinator; Caseflow Manager; Courtroom Coordinator

F3.2 **Table 3-3** illustrates the number of FTEs for each of the six classifications at CCJC in comparison to the number of FTEs of the six classifications at the peer juvenile courts. The peer average calculations include CCJC.

**Table 3-3: Breakdown of Total FTE Employees and Percentage of Total Employee Classification**

Classification	CCJC		FCJC		HCJC		LCJC		Peer Average	
	FTEs	Percent	FTEs	Percent	FTEs	Percent	FTEs	Percent	FTEs	Percent
Court Personnel	36.5	6.0%	21.0	5.2%	12.5	2.8%	12.0	5.0%	20.5	4.8%
Administrative Services	40.5	6.7%	12.0	3.0%	47.0	10.5%	10.0	4.2%	27.4	6.5%
Human Resources	16.5 <sup>1</sup>	2.7%	3.0	0.7%	5.0	1.1%	2.0	0.8%	6.6	1.5%
Probation	148.0	24.3%	43.0	10.7%	52.0	11.7%	56.0	23.3%	74.8	17.6%
Detention Services	193.0	31.7%	150.0	37.2%	193.0	43.2%	100.5	41.9%	159.1	37.5%
Court Services	174.5	28.6%	174.0	43.2%	137.0	30.7%	59.5	24.8%	136.3	32.1%
<b>Total</b>	<b>609.0</b>	<b>100.0%</b>	<b>403.0</b>	<b>100.0%</b>	<b>446.5</b>	<b>100.0%</b>	<b>240.0</b>	<b>100.0%</b>	<b>424.7</b>	<b>100.0%</b>

Source: Organizational charts and interviews

<sup>1</sup> This includes all personnel included in the human resources department according to the organizational charts. All personnel do not perform human resources functions.

In comparison to the peer juvenile courts, **Table 3-3** illustrates that CCJC has the highest percentage of FTEs categorized as court personnel, human resources and probation. When compared to the peer average, CCJC has the highest percentage of FTEs categorized as court personnel, administrative services, human resources and probation. **Table 3-4** presents the number of new case filings per FTE as indicated in **Table 3-3**. The number of new case files was based upon a three-year average of new case files as reported in the Ohio Supreme Court reports.

**Table 3-4: New Case Filings (Three-Year Average) per FTE**

Classification	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>New Case Filings, three-year average</b>	<b>28,789</b>	<b>21,509</b>	<b>28,432</b>	<b>15,651</b>	<b>23,595</b>
<b>Court Personnel</b>	788.7	1,024.2	2,274.6	1,304.3	1,534.4
<b>Administrative Services</b>	710.8	1,792.4	604.9	1,565.1	1,320.8
<b>Human Resources</b>	1,745.0	7,169.7	5,686.4	7,825.5	6,893.9
<b>Probation</b>	194.5	500.2	546.8	279.5	442.2
<b>Detention Services</b>	149.2	143.4	147.3	155.7	148.8
<b>Court Services</b>	165.0	123.6	207.5	263.0	198.0
<b>All Court Personnel</b>	<b>47.3</b>	<b>53.4</b>	<b>63.7</b>	<b>65.2</b>	<b>60.8</b>

Source: Organization charts, interviews and Ohio Supreme Court reports

When compared to the peer average, CCJC has the fewest number of new filings per FTE in the following classifications: court personnel, human resources and probation. In addition, CCJC has the fewest number of new filings per FTE compared to the peer juvenile courts in the court personnel classification. This indicates that court-wide, CCJC has the highest number of staff when compared to the peer juvenile courts. See the individual sections of this performance audit for a more detailed assessment of staffing levels.

F3.3 **Table 3-5** revises **Table 3-3** to include 168.0 FTEs into the HCJC probation classification. These FTEs are applicable to the Hillcrest Training School which is a service (including the education of middle and high school students, vocational programs and general education development) provided by HCJC.

**Table 3-5: Breakdown of Total FTE Employees and Percentage of Total Employee Classification**

Classification	CCJC		FCJC		HCJC		LCJC		Peer Average	
	FTEs	Percent	FTEs	Percent	FTEs	Percent	FTEs	Percent	FTEs	Percent
<b>Court Personnel</b>	36.5	6.0%	21.0	5.2%	12.5	2.0%	12.0	5.0%	20.5	4.4%
<b>Administrative Services</b>	40.5	6.7%	12.0	3.0%	47.0	7.7%	10.0	4.2%	27.4	5.9%
<b>Human Resources</b>	16.5 <sup>1</sup>	2.7%	3.0	0.7%	5.0	0.8%	2.0	0.8%	6.6	1.4%
<b>Probation</b>	148.0	24.3%	43.0	10.7%	220.0	35.8%	56.0	23.3%	116.8	25.0%
<b>Detention Services</b>	193.0	31.7%	150.0	37.2%	193.0	31.4%	100.5	41.9%	159.1	34.1%
<b>Court Services</b>	174.5	28.6%	174.0	43.2%	137.0	22.3%	59.5	24.8%	136.3	29.2%
<b>Total</b>	<b>609.0</b>	<b>100.0%</b>	<b>403.0</b>	<b>100.0%</b>	<b>614.5</b>	<b>100.0%</b>	<b>240.0</b>	<b>100.0%</b>	<b>466.7</b>	<b>100.0%</b>

**Source:** Organizational charts and interviews

<sup>1</sup> This includes all personnel included in the human resources department according to the organizational charts. All personnel do not perform human resources functions.

The employees of the Hillcrest Training School are employees of the Hamilton County Court. In comparison, CCJC contracts out these services to other entities. When the Hillcrest Training School staff is included in the probation classification for HCJC, CCJC no longer has the highest percentage of FTEs categorized as probation when compared to the peers or the peer average. **Table 3-6** presents the number of new case filings per FTE as indicated in **Table 3-5**. The number of new case files was based upon a three-year average of new case files as reported in the Ohio Supreme Court reports.

**Table 3-6: New Case Filings (Three-Year Average) per FTE**

Classification	CCJC	FCJC	HCJC	LCJC	Peer Average
New Case Filings, three-year average	28,789	21,509	28,432	15,651	23,595
Court Personnel	788.7	1,024.2	2,274.6	1,304.3	1,534.4
Administrative Services	710.8	1,792.4	604.9	1,565.1	1,320.8
Human Resources	1,745.0	7,169.7	5,686.4	7,825.5	6,893.9
Probation	194.5	500.2	129.2	279.5	303.0
Detention Services	149.2	143.4	147.3	155.7	148.8
Court Services	165.0	123.6	207.5	263.0	198.0
All Court Personnel	47.3	53.4	46.3	65.2	55.0

Source: Organization charts, interviews and Ohio Supreme Court reports

When compared to the peer average, CCJC no longer has the fewest number of new case filings per FTE in the probation classification. See the following sections of this report for further analysis on staffing within these classifications: **organization and administrative services, food and custodial services, court services, probation and technology.**

F3.4 According to human resources personnel at CCJC, the following is a brief description regarding the duties for each position:

- The *deputy director of human resources* manages, plans, supervises and directs the operations of the human resources department; oversees training and staff development; manages the payroll processing function; coordinates and administers wage and salary policies; writes policies and procedures; provides advice and assistance on following policies and procedures, facilitates employee performance evaluations and manages the administration of employee benefits.

- The *administrative assistant* drafts memos and letters; schedules training sessions; serves as a liaison between the human resources department and employees of the Court; provides clerical support to the human resources department and maintains human resources records and files.
- The *equal employment officer* is a part-time position which conducts investigations; prepares responses to the EEOC and other federal and state agencies; performs internal investigations and represents the Court in compliance hearings.
- The *personnel administrator* supervises the personnel officers and payroll officer; provides advice, instruction and training to employees; manages the recruiting and selection program; prepares interview questionnaires and job postings, interviews job applicants; coordinates orientation for new employees and conducts exit interviews.
- The *personnel officers* maintain human resources information; develop periodic reports, including reports on leaves of absence; audit personnel files; perform recruiting functions; prepare new employee personnel files; perform employment and background checks; process tuition reimbursement requests and conduct exit interviews.
- The *senior payroll technician, payroll officer and payroll clerk* compile, calculate, monitor and record attendance, hours worked and overtime information. In addition, these positions prepare reports on attendance and payroll, as well as perform payroll audits and benefits administration.
- The *senior office manager* manages all aspects of communication for the Court; ensures compliance with various organizations including BWC and serves as a liaison for the Court on OSHA standards.
- The *office manager* manages the telephone communication system, updates staff distribution lists and telephone directories and supervises the clerks.
- The *clerks* handle and distribute mail, and direct callers and the public to the appropriate department in the Court.

F3.5 **Table 3-7** compares the functions and responsibilities of the Court human resources employees and each peer juvenile court based upon interviews with representatives from each juvenile court.

**Table 3-7: Comparison of Human Resources Duties and Functions**

CCJC	FCJC	HCJC	LCJC
Maintain personnel files on all employees	Maintain personnel files on all employees	Maintain personnel files on all employees	Maintain personnel files on all employees
Develop and prepare policies and procedures	Develop and prepare policies and procedures	Develop and prepare policies and procedures	Develop and prepare policies and procedures
Negotiation and administration of labor union contracts	Negotiation and administration of labor union contracts	Negotiation and administration of labor union contracts	Negotiation and administration of labor union contracts
Ensure compliance with state and federal laws	Ensure compliance with state and federal laws	Ensure compliance with state and federal laws	Ensure compliance with state and federal laws
Recruit applicants from various organizations	Recruit applicants from various organizations	Recruit applicants from various organizations	Recruit applicants from various organizations
Conduct and coordinate employee interviews	N/A	Conduct and coordinate employee interviews	Conduct and coordinate employee interviews
Develop and update job position descriptions	Develop and update job position descriptions	Develop and update job position descriptions	Develop and update job position descriptions
Conduct and administer employee evaluations, grievances and internal investigations	Conduct and administer employee evaluations, grievances and internal investigations	Conduct and administer employee evaluations, grievances and internal investigations	Conduct and administer employee evaluations, grievances and internal investigations
Provide an orientation program for all new employees	Provide an orientation program for all new employees	Provide an orientation program for all new employees	N/A
Follow through with disciplinary actions	Follow through with disciplinary actions	Follow through with disciplinary actions	Follow through with disciplinary actions
Conduct all exit interviews	Conduct all exit interviews	Conduct all exit interviews	Conduct all exit interviews
Compile payroll and leave information, as well as prepares weekly and monthly payroll reports			

**Source:** Interviews with representatives from CCJC and the peer juvenile courts



F3.6 As indicated in **Table 3-5**, approximately 2.7 percent of all court personnel are in the human resources department. This is higher than FCJC (0.7 percent), HCJC (0.8 percent) and LCJC (0.8 percent). In addition, staffing in the human resources department is higher than the peer average of 1.4 percent. **Table 3-8a** illustrates on average that each employee in the human resources department is responsible for 36.9 FTEs; however, employees in the human resources department at FCJC, HCJC and LCJC are responsible for 134.3 FTEs, 122.9 FTEs and 120.0 FTEs, respectively. Furthermore, **Table 3-8a** indicates that the peer average of court FTEs per human resources FTE equals 127.0 FTEs

**Table 3-8a: Court FTE per Human Resources Personnel**

	CCJC	FCJC	HCJC	LCJC	Peer Average <sup>1</sup>
<b>Total Court FTEs</b>	609.0	403.0	614.5	240.0	419.2
<b>Total Human Resources FTEs</b>	16.5	3.0	5.0	2.0	3.3
<b>Court FTE per Human Resources FTE</b>	<b>36.9</b>	<b>134.3</b>	<b>122.9</b>	<b>120.0</b>	<b>127.0</b>

Source: Human resources department and interviews

<sup>1</sup> The peer average does not include CCJC.

F3.7 Based upon **Table 3-1** and the description of duties in **F3.4**, there are six individuals (6.0 FTEs) which have no human resources functions but are included within the human resources department. These individuals are the five clerks and one office manager. In addition to these six individuals, there are also three individuals (3.0 FTEs) which perform payroll functions for the Court operations. **Table 3-8b** illustrates what the Court FTE per human resources personnel ratio would be if these nine positions (9.0 FTEs) were not included in the human resources department.

**Table 3-8b: Court FTE per Human Resources Personnel (Revised)**

	CCJC	FCJC	HCJC	LCJC	Peer Average <sup>1</sup>
<b>Total Court FTEs</b>	609.0	403.0	614.5	240.0	419.2
<b>Total Human Resources FTEs</b>	7.5	3.0	5.0	2.0	3.3
<b>Court FTE per Human Resources FTE</b>	<b>81.2</b>	<b>134.3</b>	<b>122.9</b>	<b>120.0</b>	<b>127.0</b>

Source: Human resources department and interviews

<sup>1</sup> The peer average does not include CCJC.

**R3.1** The Court should consider making the following adjustments to the staffing within the human resources department:

- The five clerks (who perform no human resources functions) should be moved to the operations department within administrative services (see **R2.14** in the **organization and administrative services** section of this report). Because of the operational functions of these five positions and the nature of an operations department, this reorganization will create a clearer organizational structure and better supervision and guidance.
- The three payroll positions should be reclassified into the fiscal unit of the administrative services department. Payroll functions are not normally considered human resources functions and are usually connected to the department which encompasses fiscal management. The reclassification of these positions would create a clear line of communication and organization clarity.
- The Court should eliminate the office manager's position. If the five clerk positions are reorganized to either the court services department or the operations department, then the office manager's position will no longer be required.
- The Court should eliminate the vacant clerk's position in the human resources department. This position is primarily responsible for filing and drafting memos and letters and based upon the staffing analysis in **Table 3-8b**, it appears that the human resources department could absorb these functions.

In addition to these adjustments within human resources, the Court should also perform a staffing analysis of the human resources department after the new human resources management system has been implemented (**F3.35**). As illustrated in **Table 3-7**, the duties of the CCJC human resources department compared to the peer juvenile courts are comparable. However, the lack of a human resources management system requires CCJC to use additional staff in order to achieve its objectives. HCJC has implemented a human resources management system which has allowed it to provide services to the same number of employees with few human resources employees.

*Financial Implication:* According to the salary survey report produced by David M. Griffith & Associates, Ltd. (**F3.11**) and the salary schedule in effect for FY 2000, the average annual salary for a full-time office manager is \$31,720 while the average annual salary for a full-time clerk is \$20,946. Assuming benefits equal to 30 percent of annual salaries, the Court could realize annual savings of approximately \$68,500 by eliminating the full-time office manager and clerk positions.

F3.8 **Table 3-9** illustrates the amount of employee turnover during FY 1997, FY 1998 and FY 1999.

**Table 3-9: Employee Turnover**

Classifications	FY 1997	FY 1998	FY 1999
Court Personnel and Court Services	24	28	24
Administrative Services	6	14	3
Human Resources	0	2	0
Probation	27	29	12
Detention Services	51	83	65
<b>Total</b>	<b>108</b>	<b>156</b>	<b>104</b>

Source: Human resources department

As indicated in **Table 3-9**, CCJC has experienced a consistent amount of employee turnover during the past three years. In FY 1998, the Court experienced a court-wide reorganization that was initiated by the new administrative judge which contributed to the higher employee turnover. The human resources department has indicated that the position which experiences the highest amount of employee turnover is the detention officer position in the detention services department. The main reason which employees give during exit interviews (**F3.11**) for leaving employment of CCJC is, in part, the atmosphere and environment in which detention officers must work. In addition, detention officers have used the Court as a “stepping stone” in order to obtain other jobs.

F3.9 As indicated in **Table 3-9**, the Court is experiencing employee turnover of approximately 120 individuals per year. The human resources department is responsible for recruiting qualified individuals for vacant positions. **Table 3-10** compares the recruiting resources used by CCJC and the peer juvenile courts.

**Table 3-10: Comparison of Recruiting Resources Used**

CCJC	FCJC	HCJC	LCJC
Post openings at juvenile court and Board of County Commissioners	Post openings at juvenile court and Board of County Commissioners	Post openings at juvenile court and Board of County Commissioners	Post openings at juvenile court and Board of County Commissioners
Ohio Bureau of Employment Services	Ohio Bureau of Employment Services	Ohio Bureau of Employment Services	Ohio Bureau of Employment Services
Minority and social services agencies	Minority and social services agencies	Minority and social services agencies	Minority and social services agencies
Universities/Colleges and career fairs	Universities/Colleges and career fairs	Universities/Colleges and career fairs	Universities/Colleges and career fairs
Various county agencies	N/A	Various county agencies	Various county agencies
Trade journals and newspapers	Newspapers	Trade journals and newspapers	Trade journals and newspapers
Employee referrals <sup>1</sup>	Employee referrals <sup>1</sup>	Employee referrals	Employee referrals <sup>1</sup>
Job line <sup>2</sup>	Job line	Job line	Job line
Internet recruiting	Internet recruiting	Internet recruiting	Internet recruiting

**Source:** Interviews with representatives from CCJC and the peer juvenile courts

<sup>1</sup> See **F3.10** and **R3.12** for further discussion on the utilization of employee referrals.

<sup>2</sup> The job line is a designated phone line that individuals can call to find out which positions are available.

**C3.1** The utilization of various types of recruiting activities increases the likelihood of hiring qualified individuals. Furthermore, using organizations like the Spanish American Committee and the Hill House to recruit candidates increases diversity among employees, while placing advertisements with trade journals targets specific individuals who meet certain qualifications.

F3.10 The Hamilton County Court has instituted a policy which rewards employees for recruiting candidates to fill vacant positions. Upon successful completion of the new employee four-month probationary period, the employee who made the referral receives a “Recruitment Incentive Day.” The recruitment incentive day is one day of paid leave which can be accrued from year to year.

**R3.2** CCJC should examine the benefits of implementing a policy which rewards employees for recruiting candidates to fill vacant positions. The policy should include a reward to employees after a candidate has successfully completed the Court probation period. Implementing such a policy will encourage employees to recruit for vacant job positions as well as increase the number of candidates eligible for each position.

F3.11 CCJC has a formal exit interview process which assists the human resources department in identifying issues related to employee turnover. The exit interview consists of a one-on-one interview between the employee and a human resources representative. If an employee is not available for a one-on-one interview, then the employee is given the option of having an exit interview over the telephone or filling out an exit interview form and returning it to the human resources department. During the exit interview, the employee and human resources representative discuss the employee’s reasons for leaving and the employee’s opinions on such topics as job classification, training and evaluations. Feedback is also received regarding any suggestions the employee has to improve operations and working conditions. Upon completion of the exit interview and appropriate forms, copies of the forms are sent to the deputy director of human resources, the court administrator and the appropriate deputy director of the department where the individual worked. These three individuals are then required to review the exit interview in order to possibly enhance operations within the Court. Recently, one employee who left the employment of CCJC made a recommendation during the exit interview of how to enhance the efficiency of the telephone operator. The recommendation was researched and later implemented.

Representatives from the peer juvenile courts have indicated that exit interviews are conducted on all employees. LCJC has implemented a practice of preparing a compilation of all exit interviews throughout a year and submitting the compilation to the supervisors for review. Preparing an annual compilation will assist the juvenile court administration in analyzing issues raised during the exit interviews.

**C3.2** CCJC conducts exit interviews of all employees who terminate employment. By providing an opportunity for employees to discuss their reasons for leaving and any concerns or issues they may have regarding their employment, CCJC is in a position to identify and track the reasons for employee turnover, as well as develop programs designed to minimize future turnover.

**R3.3** CCJC should consider preparing an annual compilation of exit interview comments. The annual compilation should summarize key points emphasized during the exit interview. This would assist the administration in analyzing issues raised during the exit interview process.

### *Employment Issues*

F3.12 In September 1997, the Court implemented the use of a new Personnel Policies and Procedures Manual which outlines important employment issues. The Personnel Policies and Procedures Manual includes guidelines for employment, compensation, benefits, leave, conduct and discipline, performance appraisal and the employee complaint review procedure. All employees are required to follow the personnel policies and procedures manual.

Included in the personnel policies and procedures manual is a form titled “Personnel Policies and Procedures Manual Acknowledgment.” An employee is required to complete this form and give it to the human resources department. Completion of this form is evidence of an employee’s receipt of the Personnel Policies and Procedures Manual and their agreement to abide by the policies and procedures contained within the manual.

**C3.3** Requiring every employee to complete the “Personnel Policies and Procedures Manual Acknowledgment” form provides evidence of CCJC’s effort to inform employees of its policies and procedures and the agreement of the employees to follow all policies. In addition, it places responsibility for knowing and following the policies of CCJC with the employee, not with the Court administration.

**R3.4** The Court should review and update the Personnel Policies and Procedures Manual on a regular basis and ensure that the policies and procedures are current. In addition to ensuring that the policies and procedures of the County are accurate and up-to-date, reviewing policies and procedures regularly helps to ensure they are applied consistently for all employees.

F3.13 In 1994, the Cuyahoga County Board of Commissioners (County) engaged the services of David M. Griffith & Associates, Ltd. (DMG) to develop a comprehensive classification and compensation plan. This plan was intended to be internally equitable, externally competitive and affordable to implement. A report was released and was based upon 1992 salary survey data. However, the County was unable to make the recommended annual pay range adjustments and, the resulting pay scales were not externally competitive. As a result, the County again requested the assistance of DMG to conduct another salary survey. That report was released on December 8, 1997.

Since the release of the report in 1997, DMG has continued to provide services to Cuyahoga County. Some of the services which are performed for the Court include the annual updates of the salary schedule and determination of the qualification specifications for each position.

The qualification specifications are used by the Court to create job descriptions. In addition, DMG combines the results of the performance evaluations and other relevant information from the performance based evaluation to determine the overall composite rating score necessary to get an increase in salary (**F3.20**).

F3.14 As stated in **F3.13**, the Court can not create job descriptions until the qualification specifications of a position are obtained from DMG. As indicated in **F3.20**, CCJC is implementing a performance based evaluation procedure with the assistance of DMG. Because of the importance of the evaluation process, it has taken priority over the creation of job descriptions. While CCJC is waiting for the necessary information to prepare the formal job descriptions, it is using the job postings as the temporary job descriptions.

**R3.5** CCJC should create detailed job descriptions for all positions within the Court which state the necessary duties and functions of each position. The job descriptions should also state the proper education required to fulfill the position as well as the relevant work experience and knowledge needed. Once the job descriptions are properly created, management should be better able to evaluate all employees and ensure that the staff remain qualified. As stated in **R3.8** and **R3.9**, evaluations should be performed annually on all employees against the criteria and responsibilities specified within the job descriptions.

F3.15 **Table 3-11** compares some significant employment related policies and procedures of the Court to the policies and procedures of the peer juvenile courts.

**Table 3-11: Employment Issues**

Policy/Procedure	CCJC	FCJC	HCJC	LCJC
<b>Length of Work Week</b> Court Detention Services	36.25 hours 40.00 hours <sup>1</sup>	40.00 hours 40.00 hours	35.00 hours 40.00 hours	40.00 hours <sup>1</sup> 40.00 hours <sup>1</sup>
<b>Probationary Period</b>	6 months	6 months	4 months	No probationary period
<b>Overtime Policy</b>	More than 40 hours per week <sup>2</sup>	More than 40 hours per week	More than 40 hours per week <sup>3</sup>	More than 40 hours per week
<b>Maximum number of sick days accrued</b>	Unlimited	Unlimited	Unlimited	Unlimited
<b>Sick/Personal leave incentives</b>	None stated	None stated	None stated	None stated
<b>Maximum number of sick days paid at retirement and the percentage of payout</b>	10 years of service will receive 25% of all days accumulated not to exceed 30 days.	8 years of service will receive 25% of all days accumulated up to a maximum of 360 days 10 years of service will receive 50% of all days accumulated	10 years of service will receive 50% of all days accumulated not to exceed 90 days.	10 years of service will receive 33.3 % of all days accumulated not to exceed 40 days.
<b>Number of personal days</b>	0 days	3 days with no accumulation	2 days with no accumulation	0 days
<b>Vacation time to accumulation</b>	1-8 years: 15 days 9-15 years: 20 days 16-24 years: 25 days 25+ years: 30 days	0-4 years: 10 days 5-9 years: 15 days 10-14 years: 20 days 15-19 years: 22 ½ days 20+ days: 25 days	1-8 years: 10 days 9-15 years: 15 days 16-25 years: 20 days 25+ years: 25 days	1-7 years: 10 days 8-14 years: 15 days 15-25 years: 20 days 26+ years: 25 days
<b>Maximum number of vacation days accrued</b>	3 years of vacation accumulation	3 years of vacation accumulation	3 years of vacation accumulation	3 years of vacation accumulation
<b>Number of paid holidays</b>	10 holidays <sup>4</sup>	10 holidays	10 holidays <sup>4</sup>	10 holidays
<b>Number of days to file a grievance</b>	No time limit	No grievance policy	3 working days	No grievance policy

**Source:** Personnel policies and procedures manual

<sup>1</sup> The eight hour work day includes a one-hour paid lunch.

<sup>2</sup> Employees who are considered direct care staff are not eligible for overtime payment until more than 43 hours are worked.

<sup>3</sup> Employees who are considered direct care staff are not eligible for overtime payment until more than 80 hours are worked in a pay period.

<sup>4</sup> Employees also receive four hours of holiday pay on election day.



F3.16 According to the Personnel Policies and Procedures Manual, court employees are required to work 36.25 hours per week and detention center employees are required to work 40.00 hours per week. All employees, except direct care staff are eligible for overtime after 40.00 hours are worked each week. Those employees who are direct care staff (detention officers and activities assistants) are required to work 43.00 hours before they are eligible to receive overtime. This policy falls under the 7-K Exemption in the Fair Standards Labor Act (FLSA). Employees receive either compensatory time or compensation at straight time for all hours worked between the required hours per week and the hours required for overtime eligibility. According to the director of the Cuyahoga County Office of Budget and Management (OBM), the majority of employees who work for Cuyahoga County are only required to work 35.00 hours per week.

F3.17 **Table 3-11** indicates that CCJC employees receive 30 days of vacation in their 25<sup>th</sup> year of employment. In comparison, employees at all of the peer juvenile courts receive 25 days of vacation in their 25<sup>th</sup> year of employment and there is no provision receive to 30 days of vacation in any year of employment. Furthermore, the policy manual for Cuyahoga County employees states that employees will receive 25 days of vacation in their 25<sup>th</sup> year of employment. **Table 3-12** illustrates the vacation schedule according to ORC §325.19(A)(1), Cuyahoga County and the current vacation schedule at CCJC.

**Table 3-12: Vacation Schedule Comparison**

ORC Years of Service	ORC Vacation Schedule	Cuyahoga County Years of Service	Cuyahoga County Vacation Schedule	CCJC Years of Service	CCJC Vacation Schedule
1 to 7 years	10 days	1 to 4 years	10 days	1 to 8 years	15 days
8 to 14 years	15 days	5 to 14 years	15 days	9 to 15 years	20 days
15 to 24 years	20 days	15 to 25 years	20 days	16 to 24 years	25 days
25 or more years	25 days	25 or more years	25 days	25 or more years	30 days

Source: ORC §325.19(A)(1), Cuyahoga County policies and procedures manual and CCJC personnel policies and procedures manual

**R3.6** In the future, the Court should possibly consider revising the vacation schedule to one comparable to the ORC vacation schedule or the County vacation schedule. Providing a higher number of vacation days in comparison to other County agencies could potentially increase overtime costs and potentially decreases the productivity of Court employees. Adjusting the CCJC vacation schedule comparable to the County or ORC could increase efficiencies in the Court.

F3.18 The Court has a grievance procedure entitled the “Employee Complaint Review Process.” This procedure is designed to ensure that all employees receive impartial and prompt administrative consideration for any work-related problem or complaint. **Table 3-13** illustrates the details of each step within the employee complaint review process.

**Table 3-13: Employee Complaint Review Process Analysis**

Step Number	Description	Days Allowed for a Complaint	Days Allowed for a Decision
1	The employee shall discuss with the immediate supervisor regarding any duties, responsibilities, performance, working conditions and other job-related concerns or complaints.	Undefined	Undefined
2	If the concern or complaint is not satisfactorily resolved, the employee may request a review by the department director. The request must be submitted in writing stating the specific details of the complaint, the facts upon which it is based and the relief or remedy requested.	5 working days from the date of the previous step	Undefined
3	If the concern or complaint is not satisfactorily resolved, the employee may request a review by the court administrator.	5 working days	5 working days

**Source:** CCJC personnel policy and procedures manual

**C3.5** An inclusion of an informal step in the grievance procedure allows an employee to talk with the supervisor at the lowest possible level who has the authority to resolve the problem. An informal process minimizes the administrative time spent in meetings and writing reports, and eliminates the need for all grievance procedures to go through a formal process.

**R3.7** The Court should establish a time frame for the internal complaint review procedure. The time frame should include a limit on the number of days an employee is permitted to make a complaint (approximately three to five days). Establishing a maximum number of days to file a complaint would restrict employees to filing a complaint for only current issues.

F3.19 According to ORC §4117.01(C)(8), employees and officers of courts are not included in the statutory definition of public employees who are entitled to collective bargaining rights. However, ORC §4117.03 states that public employers have the discretionary authority to bargain collectively with a union for all employees, including those who do not meet the statutory definition of a public employee. In late 1996, Service Employees International Union Local 47 (SEIU Local 47) presented the Court with signed union authorization cards for the detention center employees. Meanwhile, a competition ensued in 1997 between SEIU Local 47 and Teamsters Union Local 244 (Teamsters Local 244) regarding who was going to be the bargaining representative for the detention center employees. In 1998, there was no resolution to the competition between SEIU Local 47 and Teamsters Local 244. In 1999, an invitation was made by the administrative judge for both unions to re-solicit eligible employees and present new authorization cards. As a result Teamsters Local 244 eventually withdrew from consideration as the bargaining unit for detention center employees. In February 2000, the negotiations between SEIU Local 47 and the Court commenced.

F3.20 The Court is in the process of implementing a performance based evaluation process which will determine pay increases for the next fiscal year. This is the same type of evaluation process which is utilized by other Cuyahoga County agencies. Under this evaluation process, an employee's score (which is based upon the evaluation) is intended to assist in determining the amount of pay increase to be received during the following fiscal year (**F3.13**). The following are the step-by-step procedures of the evaluation process:

- The HR department distributes evaluation forms to all managers and supervisors around the middle of June. The evaluations are required to be completed within one month after the end of the fiscal year (June 30<sup>th</sup>) and returned to the appropriate personnel in the HR department.
- The HR department has approximately two months to enter the overall composite rating of each evaluation into a database which is used to prepare the required information for DMG. After the information has been compiled, it is sent to DMG.
- As stated in **F3.13**, DMG is responsible for completing the performance evaluation analysis. The analysis is performed to determine what score must be received by an employee in order to receive a salary increase during the next fiscal year. All scores are analyzed in comparison to the dollar amounts which have been allocated for salary increases. Based upon the results, an employee will receive either a zero, one or two step increase. After the analysis is complete, the results are communicated back to the Court. This process assists in the accurate budgeting of salary amounts for the next fiscal year.

In comparison, FCJC and LCJC do not perform evaluations on employees while HCJC has also implemented a performance based evaluation. According to the director of human resources at HCJC, each employee receives a performance evaluation each year. Based upon the score received on the evaluation, an employee will receive either a zero, two, four or six percent pay increase for the next fiscal year.

- F3.21 In order to adequately prepare employees for the new evaluation process and the new evaluation forms, a “dry run” was conducted for the period of November 1, 1999 through March 31, 2000. For this period, evaluations were performed on employees following the guidelines specified above. However, salary increases were not determined because this was only a “dry run” to allow the Court and employees to become familiar with the process and forms.

In order to adequately prepare the Cuyahoga County budget, it is necessary for the Court to be on the same evaluation cycle as the County. Therefore, the first “official” evaluation utilizing the new process will take place for the period of April 1, 2000 through August 31, 2000. The amount of time which the managers and supervisors have to complete the evaluation process will be shortened in order to allow the HR department and DMG ample time to complete its portion of the process. After the August 31, 2000 evaluations are completed, the evaluations will be completed at the end of each fiscal year (June 30<sup>th</sup>).

F3.22 **Table 3-14** indicates key information in regards to the performance based evaluation process of juvenile court employees.

**Table 3-14: Evaluation Process**

<b><i>Frequency of evaluations</i></b>	
During the introductory “probation” period	Employees who are in the introductory period will be evaluated once after three months of employment and a second time after six months of employment.
After the introductory “probation” period	All employees will be evaluated on an annual basis except for the elected officials and the judge’s immediate personnel who do not receive annual evaluations.
Is there a process which assist employees who exhibit poor performance?	A performance improvement plan is required to be completed by an employee and the supervisor in areas where an employee needs to improve their performance.
Are evaluation forms included in the personnel policies and procedures manual?	No
When was the last update of the evaluation forms?	1999
<b><i>Quality of evaluation forms</i></b>	
Number of criteria evaluated	11
Is the evaluation form aligned with job descriptions? Rating System	No Substantially exceeds expectations, Exceeds expectations, Meets expectations, Below expectations and Substantially below expectations
Is attendance a rated criteria?	Yes

**Source:** CCJC Personnel Policies and Procedures Manual

F3.23 As stated in **Table 3-14**, employees on probation are evaluated once after three months of employment and a second time prior to the end of the probation period. After the first year of employment, all employees are evaluated on an annual basis. The judges have indicated that personnel who report directly to them do not receive an annual evaluation.

During the evaluation process, if it is determined that employees need to improve their performance in certain areas, a performance improvement plan is required. The policy requires that a performance improvement plan be created by the employee and the supervisor to assist the employee in taking certain actions in order to improve their performance.

**C3.6** The frequency of evaluations allows CCJC to evaluate employees efficiently. Including attendance in the evaluation process permits a higher degree of accountability for attendance in the evaluation process. Furthermore, not including a sample evaluation in the personnel policies and procedures manual allows the Court to modify evaluations for efficiency.

The creation of a performance improvement plan is a tool that CCJC uses to help employees improve their performance in particular areas. Not only does it let the employees know where their performance needs to be improved, but it also assists in improving their performance in those areas.

**R3.8** Because evaluations are helpful to both employers and employees, the Court should require that annual evaluations be performed on all employees, including the judges' staff. The evaluation should be prepared by the employee's immediate supervisor. An annual evaluation can provide information to the employee, supervisor and Court on areas for improvement. This process should help to increase employee productivity which will allow the Court to better serve the public.

F3.24 **Table 3-14** states that employee evaluations are not directly tied to individual job descriptions. This is due, in part, to the lack of job descriptions for every employee within the Court (**F3.14**). As stated in **F3.14**, CCJC is currently in the process of working with DMG to develop job descriptions for each position. However, this is a time consuming process and it has not been completed.

**R3.9** Employees should be evaluated against the criteria and responsibilities specified within the job descriptions. After the Court has created job descriptions for each position (**R3.3**), managers and supervisors should ensure that all evaluations are related to the job description for each position. Job descriptions are utilized to provide employees a clear understanding as to their responsibilities and the criteria by which they will be evaluated.

### *Staff Development*

F3.25 The human resources department has implemented a system to monitor and maintain position control. Under this system each supervisory position is given a position control number (PCN) and each support position is given a PCN which is a derivative of the supervisor's PCN. Using this type of system allows the Court to accurately maintain internal organization of positions, control over budgeted positions and the ability to track employees. None of the peer juvenile courts have implemented the use of PCNs in order to monitor budgeted and filled positions. In comparison, the peer juvenile courts use the organizational charts to show which positions are budgeted and which positions are filled.

If a supervisor at CCJC has a vacancy which they want to fill, they must complete a position requisition indicating the PCN of the position. This requisition is submitted to the court administrator for approval. If a supervisor would like to request a new position, he must again complete a position requisition, obtain approval from all immediate supervisors and submit the requisition to the court administrator. However, the court administrator has final authority to determine whether positions will be created or filled when vacated. When a position has been approved to be filled, it is submitted to the human resources department which posts the job and begins contacting individuals from its resume pool. If the court administrator does not approve of a position being filled, the budgeted position remains on the organization chart as a budgeted position until the Court is certain that the position is no longer needed and will not be filled. However, the director of the Cuyahoga County OBM has stated that once a position has been vacant for more than one year, it is no longer considered to be a budgeted position when determining the financial budget of the Court.

**R3.10** The Court should consider eliminating all budgeted positions from the organization chart after the positions have been vacant for one year. This will allow the Court to adequately budget the number of positions which are needed in each department and prevent overstaffing. In addition, it will better allow the Court and the County to prepare an accurate financial budget each year for the operations of the Court.

F3.26 As stated in **Table 3-7**, the human resources departments of CCJC and the peer juvenile courts are all responsible for maintaining personnel files on every employee within the juvenile court. The CCJC personnel files include six subsections which are categorized as follows: employment, payroll and benefits; work history; recommendations, commendations and evaluations; leave usage; corrective action; and miscellaneous. In comparison, the personnel files maintained at each of the peer juvenile courts are also separated into various subsections in order to organize the files effectively and efficiently.

According to standards issued by the ACA, personnel records should be maintained for each employee which include such information as “initial application, reference letters, results of employee investigations, verification of training and experience, wage and salary information, job performance evaluations, incident reports, if any and commendations and disciplinary actions, if any.”

**C3.7** Maintaining personnel files on each employee in compliance with ACA standards allows the Juvenile court to maintain an accurate history of the employment of each individual. Furthermore, it permits the safeguarding of important documents which may be needed for further reference in the immediate or distant future. In addition, the use of the new PROWARE human resources system will enhance the tracking of human resources information and the availability of information quickly and efficiently (**F3.36** and **C3.10**).

F3.27 The Court HR department has an orientation program for all new employees which lasts approximately eight hours. During the orientation, a representative from the human resources department introduces the employee to the court, key court personnel and explains important points of focus such as work day, daily time keeping, building layout, organization and discusses policies in the policies and procedures manual. FCJC has a one hour orientation program while LCJC does not have an orientation program for its new employees. HCJC has implemented a two-day orientation program for all new employees where they become familiar with the “ins and outs” of the juvenile court and its operations. In addition, the employees are taken to each building and are introduced to as many of the supervisors as possible.

According to ACA standards, all new employees should receive 40 hours of orientation training. The orientation training should include but not be limited to the following: a historical perspective of the facilities, goals and objectives, program rules and regulations, job responsibilities and personnel policies.

F3.28 As stated in **Table 3-14**, all new employees must complete a 6-month introductory “probation” period. During this probation period employees are given an opportunity to learn their jobs and the general operations of the Court.

The detention center has implemented a three week mentoring program for all new employees. During the first week, employees are required to complete 40 hours of classroom training. In the second and third weeks, the new employees are placed with a senior staff member in order to receive on-the-job experience. No mentoring program has been implemented for new employees within in the court. Furthermore, guidelines for the mentoring program in the detention center are not included in the policies and procedures manual for CCJC. Some mentoring programs have also been implemented in probation and court services; however, policies guiding these programs are also not included in the policies and procedures manual.

**R3.11** The Court should implement a formal mentoring program into its daily operations for all departments and guidelines should be included in the policies and procedures manual. The training coordinator for the court should be responsible for contacting the individual departments to determine who will be the senior staff member assigned to mentor the new employee. The mentoring program policy should include the following:

- The policy should state the length of time that the mentoring program will be in effect for each new hire. It is recommended that each new employee interact with their mentor for at least 30 days. However, during the mentoring period, interaction between the new employee and the mentor can take place in the form of direct or indirect interaction.



- There should be daily interaction between the mentor and the new employee. The daily interaction does not necessarily need to last for an entire day; however, it should give an opportunity for the new employee to ask pertinent questions, as well as receive guidance on different job tasks and assignments.
- A schedule should be prepared and followed for each day of the mentoring program. The schedule should include discussions on policies and procedures applicable to the entire Court, specific policies and procedures to the individual department, job tasks and other related topics.

As stated in an article titled “The Mentor” in the February 2000 issue of *Training & Development*, “The traditional use of the word *mentor* connotes a person outside one’s usual chain of command who ‘helps me understand this crazy organization.’” By implementing a mentoring program, the Court will be making an effort to assist new employees to feel comfortable, learn their jobs and be effective and efficient in their new daily tasks.

- F3.29 Prior to February 1998, the Court had a training department within administrative services which consisted of one training supervisor, one administrative assistant and three trainers. There was one trainer for probation, one trainer for detention services and one trainer for the court. In February 1998, the training department was disbanded and each department was responsible for training its own employees. This resulted in no department being responsible for the adequate training of new employees or continuing professional education training being provided to existing employees. Providing adequate training to new employees became the responsibility of individual departments within CCJC.
- F3.30 The detention center created a position which is responsible for coordinating training in detention services, as well as monitoring quality assurance and special projects. The responsibilities for the training coordinator are to ensure that each employee receives the required amount of training, maintain proper certifications and schedule different training sessions. Training is conducted in coordination with curriculums and standards outlined by the American Correctional Association (ACA), the National Juvenile Detention Association (NJDA) and other organizations.

All training performed in the detention center is documented and stored in an ACCESS database. In addition, whenever employees are trained or notified of policy changes, they are required to sign off on a training form indicating that the training was received or the policy change was communicated. This helps the detention center document the information and training supplied to staff.

**R3.12** The Court should consider reclassifying the duties of one individual in the human resources department to function as a training coordinator similar to the position which is in place within the detention center. This employee should be responsible for scheduling training sessions, monitoring training for CCJC employees and ensuring that proper certifications are maintained. In addition, this employee should develop programs and ensure that each new employee receives the proper amount of new hire orientation (**F3.27**) and all existing employees receive the correct amount of training (**F3.30**) in accordance with ACA standards. This position should also work with the individual departments to ensure that the employees are receiving the appropriate level and amount of training. The training coordinator for the court operations and the training coordinator for the detention center should work together to develop the appropriate types of training, as well as assist each other in the training of employees.

F3.31 CCJC has one employee recognition reward program entitled “The Alice Z. Palmer Recognition Award.” This award is given out yearly to one employee who is considered to be the employee of the year. An employee must be nominated by a supervisor of the Court, meet pre-selected criteria (including attendance) and be selected as a finalist by a committee. The committee is made up of 12 volunteers who are responsible for submitting nomination forms to the supervisors, selecting the finalists from the nomination forms and counting the ballots. After the committee chooses the finalists, the supervisors are asked to cast a ballot to determine the winner. Historically, the winner of the Alice Z. Palmer Recognition Award has received an engraved plaque, a day off work, an assigned parking space for a year and a gift certificate.

**C3.8** The annual recognition award program is an effective tool to reward employees for exceptional work performed and encourage employees to take pride in their work. Furthermore, the Court is taking steps to increase employee morale which could, in turn, encourage employees to value their employment.

**R3.13** In addition to providing professional training to employees to further staff development, the Court should consider implementing programs which recognize employees for exceptional work performed. The following are two programs which exist at FCJC which may be potential programs for the Court to implement.

- A quarterly recognition program which awards employees based upon the recommendations of co-workers and supervisors. In addition to the recommendations from CCJC employees, other factors which could be considered are attendance records, letters of appreciation from the public and supervisors’ statements of work performance during the nomination period.

- A program that rewards employees for suggestions which are made to enhance or improve the operations of the Court.

Implementation of reward programs like those stated above are not costly to implement. However, rewards and recognition should help to increase employee morale and encourage employees to take pride in their work for the benefit of the public and the Court.

F3.32 CCJC has implemented the use of a progressive disciplinary action plan. HRNext.com (a Web site dedicated to providing practical and comprehensive human resources information) states the following reasons why a progressive disciplinary action plan is necessary:

- An employer may be able to “turn the employee around and gain a well functioning employee.”
- An employer may be able to “find out what is wrong with the work rules and policies which can be changed to make the work environment for the employees more effective.”
- An employer may be able to discover a problem in the hiring process through training and assistance.
- An employer will communicate fairness and willingness to employees prior to disciplining employees.

All of the peer juvenile courts also have implemented the use of a progressive disciplinary action plan. **Table 3-15** illustrates a comparison of the progressive disciplinary action plans at CCJC and the peer juvenile courts.

**Table 3-15: Comparison of Progressive Disciplinary Action Plan**

Step		CCJC	FCJC	HCJC	LCJC <sup>1</sup>
1	<b>Disciplinary Action</b>	Verbal warning	Verbal warning	Informal discussion	Verbal warning
	<b>Administered By</b>	Immediate supervisor	HR department	Immediate supervisor	Department heads
2	<b>Disciplinary Action</b>	Written warning	Written warning	Verbal warning	Written warning
	<b>Administered By</b>	Immediate supervisor	HR department	Immediate supervisor	Department heads
3	<b>Disciplinary Action</b>	Suspension	Suspension	Written warning	Suspension
	<b>Administered By</b>	Court administrator	HR department <sup>2</sup>	Immediate supervisor	HR director <sup>2</sup>
4	<b>Disciplinary Action</b>	Termination	Termination	Suspension	Termination
	<b>Administered By</b>	Court administrator	HR department <sup>2</sup>	HR department <sup>2</sup>	HR director <sup>2</sup>
5	<b>Disciplinary Action</b>	None <sup>3</sup>	None <sup>3</sup>	Termination	None <sup>3</sup>
	<b>Administered By</b>	n/a	n/a	HR department <sup>2</sup>	n/a

**Source:** Interviews with representatives from CCJC and peer juvenile courts

<sup>1</sup> The progressive disciplinary action plan used at LCJC is not a formally adopted plan. However, these are the steps which are followed and used.

<sup>2</sup> Before this disciplinary action can be taken, approval must be obtained from the juvenile court judges.

<sup>3</sup> These juvenile courts only have four steps in the progressive disciplinary action plan.

As illustrated in **Table 3-15**, HCJC has implemented a policy which consists of an informal discussion between the immediate supervisor and the employee prior to issuing a verbal warning. The HCJC human resources director indicated that this allows a supervisor to address a situation informally without documenting the incident in the employee's personnel file. Under most circumstances, the human resources department is not made aware that an informal discussion took place until a verbal warning is given.

F3.33 The ACA recommends that the termination or demotion of employees should only be permitted for good reasons and, if requested by the employee, a subsequent hearing on specific charges be held. As stated in **F3.32**, the Court has implemented a progressive disciplinary action plan with the most severe step being the termination of an employee. Human resources personnel at CCJC have indicated that a convincing argument must be made to the court administrator regarding why an employee must be terminated. In addition, the Court recommends that documentation be maintained stating the reasons why an employee should be terminated. All disciplinary steps taken to assist an employee are documented in the personnel file (**F3.26**). The court administrator has the final authority regarding the termination of employees. Employees are permitted to have a hearing if they choose.

**C3.9** Requiring documentation to support the reasons why an employee should be terminated allows the Court to substantiate any action which is made in helping (through the use of the performance improvement plan), disciplining or terminating an employee. In addition, allowing the court administrator to handle all discipline and termination actions allows the judges to spend more time in the court rooms rather than handling personnel matters and helps to ensure uniform and consistent personnel actions.

### *Technology*

F3.34 All computerized documents and records maintained in the human resources department are not centrally located in a single computer system. There are multiple software applications which are used including Microsoft Access, Microsoft Excel and a WANG-based computer system. Because the human resources information is not maintained in a central database, there is limited availability and a lack of timely accessibility of information by the human resources staff. If a particular type of information is requested (including address, phone number, rate of pay), the appropriate human resources representative must be contacted who has the access to the information. In addition, the WANG computer system is not completely year 2000 (Y2K) compliant. The system functions adequately to meet the HR department's minimal needs; however, because of the lack of complete Y2K compliance, there is a limit on reporting capabilities.

F3.35 The County human resources department has begun implementing a human resources management system (HRMS) called Systems Applications Programming (SAP) into all County agencies. The agencies are not required to utilize the SAP system; however, the goal of the County is that all County entities will eventually utilize the same HRMS as the County human resources department. Some of the SAP benefits compared to the current methods utilized by the Court include the following:

- As stated in **F3.34**, the Court system is based upon WANG which is obsolete and not Y2K compliant. The WANG-based computer system, software applications and Kronos are not integrated into one system which prevents CCJC from obtaining information quickly and easily. In addition, the County is not able to provide technical support thereby incurring expensive repair costs when required. The County will be able to provide technical support for SAP and all human resources information will be integrated into one system.
- The applicant and vacancy tracking application will monitor vacant positions and individuals who have applied for a position. This will prevent County agencies from competing against each other when trying to fill vacant positions.
- The SAP system will store all information gathered during the new-hire process which includes fingerprints, background checks, education requirements, race, gender and other equal employment opportunity (EEO) data.
- The time data application manages employee work schedules, as well as employee time worked and not worked based upon the amount and type of leave used.
- The payroll application allows for the management of payroll information to accurately calculate tardiness and control overtime. In addition, the Kronos automated timekeeping system which CCJC presently uses for detention center employees (**F3.38**) will be compatible with the SAP system.
- The benefits application provides information on what benefits the employees are entitled to and which benefits have been selected.

The Court HR department plans to obtain the SAP system. Based upon priorities established by the County, the Court was placed into the second phase of implementation. The first phase of implementation was scheduled to be completed in August, 1999. As of the date of this report, the first phase of implementation has not been completed. Based upon conversations with personnel from the Cuyahoga County Office of Budget and Management, the Board of County Commissioners have agreed to provide the funding needed to any County agency that plans to obtain the SAP system.

F3.36 As stated in the **technology** section of this report, the Court has contracted with PROWARE for a Juvenile Information Management Systems (JIMS) and related software applications. A human resources management system was not part of this contract.

Because the WANG-based human resources information system is not Y2K compliant (**F3.35**) and the County has fallen behind in the implementation of its SAP system (**F3.35**), CCJC asked PROWARE to develop a HRMS which could be used temporarily until the County SAP system could be implemented. The estimated costs for the PROWARE system was approximately \$12,000. This amount was paid by utilizing contingency dollars which were set aside for unplanned needs on the JIMS contract.

The goal of the new HRMS system is to both organize and streamline human resources record keeping. In addition, the new system from PROWARE will aid the HR department in completing the record keeping requirements resulting from federal and state legislation. In addition, it will aid in the organization and streamlining of human resources record keeping. The PROWARE HRMS system will include, but not be limited to the following features:

- Transfer information from the WANG-based human resources information system to the PROWARE HRMS
- Maintain general employee information such as addresses and telephone numbers
- Monitor employment history from the date of hire and including CCJC employment history
- Maintain previous employment information from other public sector agencies
- Contain information regarding contacts in the event of an emergency
- Track the amount and type of leave used and accrued
- Track donors and recipients in the voluntary leave donation program
- Maintain and track performance appraisals for each employee

**C3.10** Contracting with PROWARE for the creation of a HRMS to be utilized while waiting for the County HRMS system should help to ensure that all human resources information is preserved and enhance the operations human resources. Continuing to utilize the WANG-based system exclusively would subject the Court to the possibility that important personnel information would be lost.

**R3.14** Because the Court does not when it will obtain the County SAP (Systems Application Programming) system, the Court should work together with PROWARE in order to complete and implement the new human resources information system in a timely and efficient manner. This will enhance information management and record keeping within the human resources department, as well as consolidate the numerous databases and spreadsheets currently maintained into one central system.

In addition, the Court should contact the County HR department to determine which information will be tracked within the County SAP system. This will allow the Court sufficient time to gather the information which it does not currently possess on CCJC employees. Therefore, when the Court data is transferred to the County HRMS, it will have the relevant information that it needed, thereby decreasing the amount of transition time.

F3.37 Kronos is a company which provides employers with automated tools to manage employee time and activity data, workforce schedules and tools to measure and improve labor productivity. Kronos has been used in such markets as manufacturing, healthcare, retail, government, education, financial services and transportation services.

Three governmental entities which currently use Kronos systems are Euclid City School District, Franklin County Juvenile Court and City of London in Ontario, Canada. Representatives from all three entities stated that the Kronos timekeeping systems increase management controls, provide better monitoring capabilities, and save time. One key factor which was mentioned by the FCJC representative was that the Kronos system allows management to track tardiness. The director of business affairs at Euclid City School District stated that the Kronos system helps the school system to better manage the workdays of more than 400 employees. Furthermore, the payroll supervisor for the City of London in Ontario, Canada indicated that the Kronos system helps to manage the workdays of more than 3,000 employees. Additional benefits of the Kronos system are as follows:

- Kronos is a real-time online system designed to collect time and labor information.
- Kronos has a configurable rules engine that enables entities to set up rules on demand. The rules can be changed or added as permitted.
- Kronos is an exception-based system which reduces the time spent by personnel entering time into time systems.

F3.38 Currently, daily work hours for Court employees are maintained utilizing either a manual record keeping system or an automated Kronos system. The manual record keeping system is utilized by those personnel in administrative services, court services and probation services. The Kronos system is used only by personnel who work in the detention center. As stated in **F3.4**, the human resources department employs three individuals to compile, calculate, monitor and record attendance, hours worked and overtime information. In addition, these positions prepare reports on attendance, leaves of absence, benefits, deductions and payroll.

F3.39 The following list illustrates some major differences between the manual record keeping system and the Kronos system.



- Under the manual system, times sheets are utilized to track hours worked and leave hours taken. Conversely, the Kronos system is an automated system which records hours worked when an employee swipes a time card at the beginning of the day, during the day when breaks are taken by the employee and at the end of the day.
- Because the manual system is dependant upon time sheets, the payroll supervisor for the manual record keeping system can not determine when leave is utilized until the end of the pay period, when the time sheets are received. In contrast, as long as set schedules are maintained, the Kronos system can monitor whenever an employee does not work on a scheduled day. Therefore, the payroll supervisor will know the amount and type of leave used by the employee.
- Using the present system, the hours worked and leave hours taken on the time sheets must be manually calculated. However, the Kronos system is designed to automatically calculate the total hours worked and total leave hours taken for each employee. The probability of making errors increases by utilizing the manual record keeping system.

**R3.15** The Court should consider implementing the Kronos payroll system for all employees. Using two different payroll systems (one manual and one automated) increases the amount of time spent on payroll functions thereby increasing payroll costs. As stated in **F3.35**, at some point in the future CCJC will be joining the County on the SAP system which is compatible with Kronos. Furthermore, after the transition has been made to the Kronos system, the Court may be able to eliminate one of the three payroll positions.

*Financial Implication:* If CCJC decides to implement the Kronos timekeeping system for all employees, the Court will need to purchase additional swipe card machines for the other areas of CCJC, increase its software license and increase its multi-user network license. Based upon conversations with representatives from Kronos, the estimated cost to install the Kronos timekeeping system for the entire Court is approximately \$100,000.

Assuming that CCJC implements the Kronos timekeeping system, CCJC could possibly reduce one of its payroll officers after the conversion has been completed. According to the salary survey report produced by David M. Griffith & Associates, Ltd. (**F3.11**) and the salary schedule in effect for FY 2000, the average annual salary for a full-time payroll officer is \$39,811. Assuming benefits equal to 30 percent of annual salaries, CCJC could realize annual savings of approximately \$51,750 by eliminating one payroll officer position after the implementation of the Kronos timekeeping system.

F3.40 The human resources department and detention center have not agreed on using all of the Kronos functions which are available. A key function which is not being used is the scheduling software. The detention center has implemented the use of a flexible schedule. Because the schedules of employees who use the flexible schedule change from week to week, the human resources department and detention center have not designed a way to enter the hours into the Kronos system for each pay period.

The personnel administrator, who functions as the payroll supervisor, indicated that the problem is not changing the hours in the Kronos system for each pay period. The problem is obtaining the scheduled hours in an adequate time frame which would allow the human resources department to enter the hours into the system before the pay period begins. In addition, schedules are often changed because of scheduling conflicts, sick leave usage and other reasons. Furthermore, the human resources department is not provided with the schedules or notified of the scheduling changes. If the human resources department is not notified of the scheduling changes, it may appear in the Kronos system that an employee did not show up to work (because of no time card swipes). Furthermore, the employee who covered the shift would not have made the required time card swipes because they would not have been scheduled to work.

Because of the failure to communicate schedules between the two departments, the human resources department has given each employee in the detention center an open swipe function. Under the open swipe function, no schedules are entered into the Kronos system and employees can swipe in and swipe out freely with no restrictions.

**R3.16** CCJC should use the Kronos scheduling software in order to adequately monitor employee tardiness and attendance as well as overtime. Because the scheduling software is not being utilized, the human resources department is unaware of when employees are scheduled to work and are unable to monitor tardiness or attendance.

The human resources department and detention center should also work out a way to share information on a regular basis so that the scheduling software usage can be maximized. The following are some potential solutions:

- The detention center could have each of its managers enter the schedules for their employees into the Kronos system. This will eliminate the need for the payroll officers to be contacted on short notice for schedule changes.

- The detention center could send a copy of all schedules to the payroll officers in a timely fashion so that it has adequate time to enter the information into the system. In addition, all schedule changes should be communicated by the supervisor to the appropriate person so the changes can be made. The scheduling information can be exchanged using one or all of the following: interoffice mail, E-mail or other media capabilities.
- As evidenced by the City of London in Ontario, Canada, the Kronos system can be used by employees who do not report to the office. In this instance, employees complete a manual time sheet and personnel in the payroll office make “simulated” punches in the Kronos system based upon the information on the time sheets.

## Financial Implication Summary

The following table is a summary of total estimated annual cost savings and one-time implementation costs from the above recommendations.

<b>Recommendations</b>	<b>Estimated Annual Cost Savings</b>	<b>Estimated One-time Implementation Costs</b>
<b>R3.1 Elimination of two position in the human resources department</b>	\$68,500	
<b>R3.15 Elimination of one position after the implementation of Kronos</b>	\$51,750	
<b>R3.15 Implementing Kronos for the entire Court</b>		\$100,000
<b>Total</b>	<b>\$120,250</b>	<b>\$100,000</b>

## **Conclusion Statement**

According to the staffing level comparisons of CCJC and the peer juvenile courts, CCJC has a higher percentage of employees classified as court personnel, administrative services and human resources. Furthermore, when compared to the peer average, CCJC has the fewest new case filings (three-year average) per FTE in the following classifications: court personnel, human resources and probation. In addition, CCJC has the fewest number of new case filings per FTE court-wide compared to the peer juvenile courts and the peer average. Because of these indicators, it appears that CCJC will have to make some difficult decisions to reduce staffing levels in order to reduce operating costs. Some areas where the Court may be able to make staff reductions are within administrative services, human resources, probation and court services. In addition, CCJC may also be able to conduct some reorganization of staff in order to increase operational efficiencies.

The human resources department includes 16.5 FTEs with each individual being responsible for approximately 36.9 Court FTEs. Included in the CCJC human resources department are five clerks and one office manager who perform no human resources functions, three individuals who are responsible for payroll functions and one vacant clerk's position. CCJC should consider reorganizing the five clerks and the three payroll clerk's to other departments which could potentially increase efficiency. Furthermore, CCJC may be able to eliminate the office manager position and the vacant clerk's position within the human resources department.

All departments within the Court must follow the "Personnel Policies and Procedures Manual" which outlines policies and procedures specific to Court operations. Some provisions which provide management the flexibility to effectively manage the work force include a six-month introductory period, an informal step in the grievance procedure and the creation of a performance improvement plan. However, CCJC should possibly consider revising the vacation schedules to those outlined by the ORC or Cuyahoga County.

The Court has begun to increase the use of technology within the human resources department in order to enhance its operational efficiencies. This includes contracting with PROWARE to obtain a new human resources management system which it can use until CCJC obtains the SAP system which Cuyahoga County is implementing. CCJC has been requiring the detention center employees to use a Kronos timekeeping system; however, all other employees record the hours worked using manual time sheets. The Court should consider using the Kronos time keeping system for all employees to increase efficiency in compiling payroll information.

The human resources department and detention center have not agreed on using all of the Kronos functions which are available. This is due, in part, to a lack of communication between the two departments. Therefore, the payroll officers and detention center should design an appropriate work scheduling plan in order to obtain maximum efficiency.

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# Probation

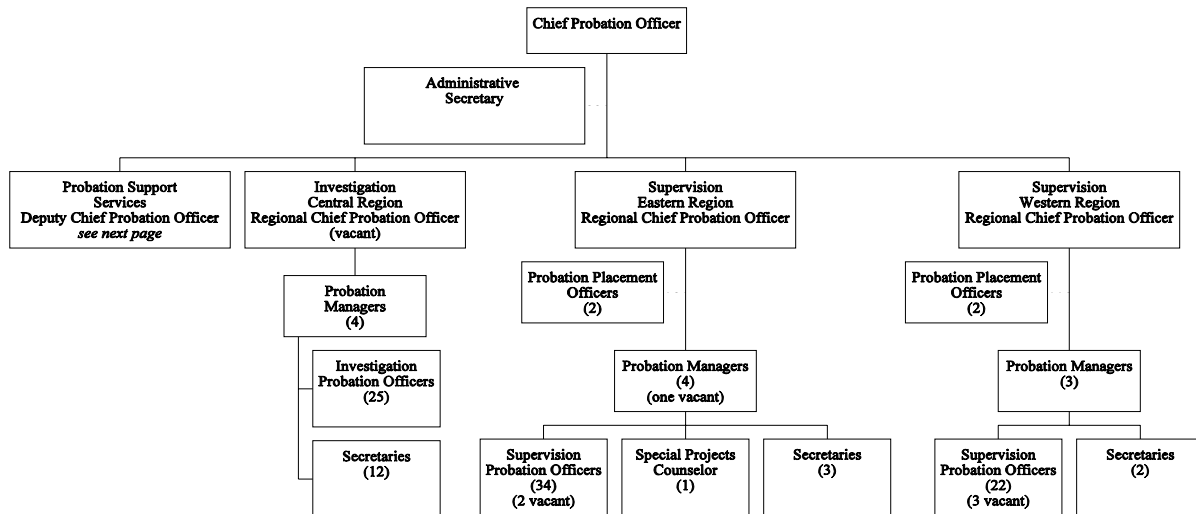
## Background

This section summarizes the functions of the probation department of the Cuyahoga County Juvenile Court (CCJC). Comparisons of the department’s operations are made to the peer juvenile courts: Franklin County Court of Common Pleas Division of Domestic Relations and Juvenile Court Branch (FCJC), Hamilton County Juvenile Court (HCJC) and Lucas County Court of Common Pleas Juvenile Division (LCJC).

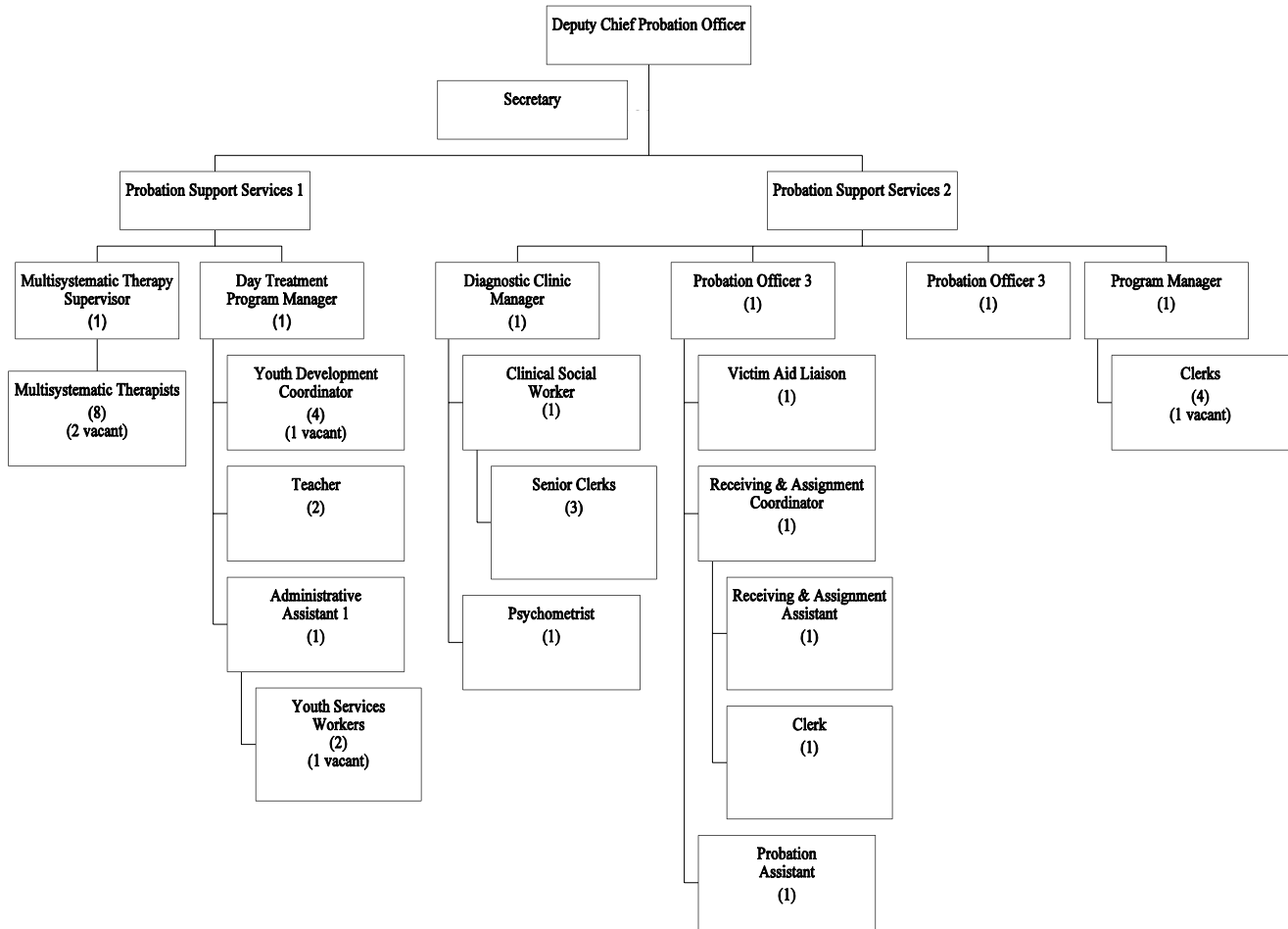
### Organizational Chart

The probation department has 161 FTEs and 13 vacancies as of July 31, 2000. The department consists of four divisions: probation support services, investigation-central region, supervision-eastern and western regions. The following chart graphically depicts this organization.

**Chart 4-1: Probation Personnel**



# Probation Personnel





### *Organization Function*

The chief probation officer, under the direction of the court administrator, is responsible for the work of the probation department. The probation department has two primary functions:

- To provide investigation services to the court on an offender's background and other relevant information prior to the sentencing hearing.
- To supervise offenders sentenced to probation in the community.

The deputy chief probation officer, under the direction of the chief probation officer, is responsible for the probation support services (PSS) office. Once a juvenile is formally placed on probation, the PSS office is responsible for ensuring that the juvenile is referred to the correct probation district office based on his or her residence and explaining the rules of probation to juveniles and their parents. This office is also responsible for monitoring probation programs with which the Court has contract and service agreements. These programs must meet their intended objectives and goals in order for the probation department to keep using their services.

The regional chief probation officers in the eastern and western regions, under the direction of the chief probation officer, are responsible for overseeing probation managers and probation officers that administer supervision to youth placed on probation. Each district in the eastern and western region is supposed to have one probation manager, at least five probation officers, and one secretary.

The regional chief probation officer in the central region, under the direction of the chief probation officer, is responsible for overseeing probation managers and probation officers that conduct investigations on youth who have to appear before the court for committing a delinquent act. The central region is organized in a similar fashion as the eastern and western regions. Currently this position is vacant, but the duties of this office are still being fulfilled by the deputy chief probation officer.

### *Summary of Operations*

The mission of probation is to assist in protecting the community from delinquency by establishing accountability for offenses, and utilizing department and community resources to offer opportunities to meet the needs of youth and their families. Probation is a sentence rendered by the court that the offender serves out in the community under supervision, as opposed to being held in a detention or commitment facility.

Probation has long been recognized as a useful alternative to incarceration for offenders who represent a low risk to the community and to themselves. The most recent national statistics available show that in 1996, once a youth was adjudicated, the juvenile was sentenced to probation in 54 percent of all cases. The term "adjudicated" refers to a youth who has been judged to be a delinquent after admitting to the charges in the case, or after the court finds sufficient evidence to

conclude, beyond a reasonable doubt, that the youth committed the acts alleged in the petition. Under Ohio law, a juvenile is any person under 18 years of age.

The department's operations are subject to various laws mandated by the Ohio Revised Code. The following lists the department's key mandated juvenile probation responsibilities pursuant to state law:

- Conduct any investigation that the judge directs, keep a written record of the investigation, and submit the record to the judge or deal with them as the judge directs.
- Furnish to anyone placed on probation a statement of the conditions of the probation and shall instruct the person regarding them.
- Stay informed of the conduct and conditions of each person under its supervision and shall report on their conduct and condition to the judge as the judge directs.
- Use all suitable methods to aid persons on probation and to bring about improvements in their conduct and condition.
- Maintain full records of the department's work, keep accurate and complete accounts of money collected for persons under its supervision, give receipts for the money, and make reports on the money as the judge directs.

While the probation department performs these duties, some duties are performed more efficiently than others. For example, methods for serving youths on probation and collecting reimbursement money can be improved (see **F4.25**). In addition to these mandated responsibilities, the probation department provides contracted services through private providers to youth and their families as allowed by Ohio law. The department is responsible for brokering services and monitoring the progress and delivery of services to juveniles and their families assigned to residential and nonresidential community-based programs.

When a youth is referred to juvenile court, usually by the police, but sometimes by parents or school officials, the first stage the youth encounters is the intake process. During this stage, the intake officer reviews the case to determine whether the youth is in the proper jurisdiction and whether the facts of the case, and the background of the child, warrant a formal hearing, in which case a delinquency petition is filed. Alternatively, the youth may be referred out of the system for informal handling and treatment, usually by social service agencies, or placed in some type of diversion program. The youth remaining in the system then move onto the next stage, which is the adjudicatory hearing, carried out before the juvenile court judge or magistrate.

The purpose of the adjudicatory hearing is to determine whether the youth is delinquent. The term "delinquent" refers to individuals who are under the age of 18 that have committed an unlawful offense. The juvenile court judge has considerable discretion in handling the juveniles who come before the court. The judge can determine that the youth is delinquent, based on the testimony and evidence presented during the hearing. The judge can also refer the youth out of the system to

various social service agencies, place the youth on probation without a finding of delinquency, or dismiss the case all together.

Once it is determined that the youth is delinquent, the youth proceeds to the next and final stage in the juvenile court process - the disposition hearing, which is similar to a sentencing hearing in adult criminal court. To determine an appropriate disposition for the delinquent youth, the judge considers the presentencing investigation report prepared by the juvenile probation officer, which describes the youth's background and contains a disposition recommendation for the judge. Based on the report and recommendation, the judge determines an appropriate punishment, which can range anywhere from a simple scolding, to restitution, to some form of probation, to incarceration in a juvenile detention or commitment facility.

### *Probation Support Services*

The PSS office receives cases from the court rooms that require background investigations to be completed before the youth's disposition hearing. The office assigns the case to one of the investigation units based on the youth's residence.

If a youth is placed on probation, his or her case goes from the court rooms to the PSS office where it is assigned to a regional office for supervision based on the location of the youth's residence. The PSS office is responsible for validating the youth's information and explaining the rules of probation to the youth. CCJC terms and conditions of probation include provisions such as an agreement not to violate any federal or state statutes or municipal ordinances; not to consume or possess any alcohol or controlled substance; not to use or possess a firearm or illegal weapon; attend school or work regularly at suitable employment; report to a probation officer as directed and pay restitution and victim compensation fees as ordered by the court. In addition, this office tells the youth and their families what to expect and where to report. The youth must contact the designated regional probation office within twenty-four hours of being placed on probation. The probation manager at the office will tell the youth who his or her probation officer will be.

### *Investigation Unit*

There are four branch offices for the investigation function of the probation department. These offices are responsible for conducting background investigations of youths adjudicated by the court. Once an office receives a case from the PSS office, the probation manager of the office assigns the case to a probation officer. The probation officer is responsible for collecting information on the youth before the disposition hearing. This information includes the youth's family background such as family income, insurance, sources of income, and prior relationship with the court. Additional information is gathered from the youth's school, which includes attendance records, grades, and past disciplinary actions. The probation officer is required to conduct an interview with the youth and his or her guardian in their home. During this home visit, the probation officer assesses the living conditions of the youth's environment.

Once investigation probation officers gather all the necessary information, they present the facts of the case for the disposition hearing. The collected information and recommendations are then given to a secretary, who types the information into a report. After the probation manager reviews and approves the report, it gets logged into the computer and sent to the record room. This report is very important because it is read by the judges, magistrates, various program providers, the diagnostic clinic, and the supervision probation officers.

The investigation probation officer may or may not be required to attend the disposition hearing. If the case goes before a judge, the probation officer is required to be present. However, if the case goes before a magistrate, the probation officer does not have to be present unless there is some extenuating circumstance. If the probation officer is present at the disposition hearing, he or she may be asked by the judge or magistrate what he or she recommends as an appropriate disposition. The judge or magistrate is not required to follow a probation officer's recommendations. If the judge or magistrate orders the youth to be placed on probation, the case goes back to the PSS office where it is assigned to one of the supervision unit's district offices based on the youth's residence.

### *Supervision Unit*

Once a district office of the supervision unit receives a case from the PSS office, the probation manager will assign the case to a supervision probation officer. The probation officer is responsible for supervising the youth while he or she is on probation. It is the responsibility of the probation officer to ensure that the youth complies with all court orders and that the youth receives appropriate rehabilitation services. The probation officer has the ability to decide what additional rehabilitative services a youth may need by reviewing the assessment sheet of the investigation report. The report aids the probation officer in determining the appropriate probation program because it states the type of behavior exhibited by the youth in addition to the youth's background. There are several programs to which the probation officer can refer probationers to fulfill their probationary requirements.

## Staffing

**Table 4-1** presents the FTE staffing levels for CCJC's probation department as of July 31, 2000. Budgeted positions are the number of staff allotted for each job classification within the department's PSS unit, investigation unit, and supervision units. Actual positions are the number of staff actually employed by the court to carry out each job classification in each unit. The differences between budgeted and actual positions are vacancies.

**Table 4-1: Staffing Level of CCJC's Probation Department**

Job Classification	Budgeted	Actual	Difference
<b>Administrative</b>			
Chief Probation Officer	1.0	1.0	0
Administrative Secretary	1.0	1.0	0
<b>Total Administrative</b>	<b>2.0</b>	<b>2.0</b>	<b>0</b>
<b>Probation Support Services</b>			
<b>Probation Support Services - 1</b>			
Deputy Chief Probation Officer	1.0	1.0	0
Secretary	1.0	1.0	0
Multi-Systematic Therapy Manager	1.0	1.0	0
Multi-Systematic Therapist	8.0	6.0	2.0
Day Treatment Manager	1.0	1.0	0
Youth Development Coordinator	4.0	3.0	1.0
Teacher	2.0	2.0	0
Administrative Assistant	1.0	1.0	0
Youth Service Worker	2.0	1.0	1.0
Driver	1.0	1.0	0
<b>Total Probation Support Services -1</b>	<b>22.0</b>	<b>18.0</b>	<b>4.0</b>
<b>Probation Support Services - 2</b>			
Diagnostic Clinic Manager	1.0	1.0	0
Clinical Social Worker	1.0	1.0	0
Senior Clinic Clerk	3.0	3.0	0
Psychometrist	1.0	1.0	0
Probation Officer- Expediter	1.0	1.0	0
Probation Officer - Program Monitor	1.0	1.0	0
Victim Aid Liaison	1.0	1.0	0
Receiving and Assignment Coordinator	1.0	1.0	0
Receiving and Assignment Assistant	1.0	1.0	0
Clerk	6.0	5.0	1.0
Probation Assistant	1.0	1.0	0
Probation Referral Coordinator	1.0	1.0	0
<b>Total Probation Support Services - 2</b>	<b>19.0</b>	<b>18.0</b>	<b>1.0</b>
<b>Total Probation Support Services</b>	<b>41.0</b>	<b>36.0</b>	<b>5.0</b>
<b>Investigation Central Region</b>			
Regional Chief Probation Officer	1.0	0	1.0
Probation Manager	4.0	4.0	0
Secretary	12.0	12.0	0
Probation Officer 3	6.0	6.0	0
Probation Officer 2	19.0	19.0	0
<b>Total Investigation Central Region</b>	<b>42.0</b>	<b>41.0</b>	<b>1.0</b>

<b>Supervision Eastern Region</b>			
Regional Chief Probation Officer	1.0	1.0	0
Probation Manager	4.0	3.0	1.0
Secretary	3.0	3.0	0
Probation Officer 4	3.0	3.0	0
Probation Officer 3	6.0	6.0	0
Probation Officer 2	25.0	23.0	2.0
Special Projects Counselor	1.0	0	1.0
PO3/Placement Officer	2.0	2.0	0
<b>Total Supervision Eastern Region</b>	<b>45.0</b>	<b>41.0</b>	<b>4.0</b>

<b>Job Classification</b>	<b>Budgeted</b>	<b>Actual</b>	<b>Difference</b>
<b>Supervision Western Region</b>			
Regional Chief Probation Officer	1.0	1.0	0
Probation Manager	3.0	3.0	0
Secretary	2.0	2.0	0
Probation Officer 4	2.0	2.0	0
Probation Officer 3	6.0	4.0	2.0
Probation Officer 2	14.0	13.0	1.0
PO3/Placement Officer	2.0	2.0	0
Youth Development Coordinator	1.0	1.0	0
<b>Total Supervision Western Region</b>	<b>31.0</b>	<b>28.0</b>	<b>3.0</b>
<b>Total Probation</b>	<b>161.0</b>	<b>148.0</b>	<b>13.0</b>

Source: CCJC organizational chart and staff interviews

The chief probation officer oversees the deputy chief probation officer of the probation support services, the investigation regional chief probation officer of the central region, the supervision regional chief probation officer of the eastern region, and the supervision regional chief probation officer of the western region. An administrative secretary is assigned directly to the chief probation officer.

The deputy chief probation officer oversees an administrative secretary, 16 FTEs in the PSS-1 unit, and 18 FTEs in the PSS-2 unit. The PSS-1 unit consists of seven FTEs in the multi-systematic therapy (MST) program and nine FTEs in the day treatment program. The PSS-2 unit consists of six FTEs in the diagnostic clinic and 12 FTEs who carry out the support function for the probation department. It is the responsibility of the deputy chief probation officer to ensure that the PSS-1 and PSS-2 units are serving youths and their families effectively.

The investigation regional chief probation of the central region officer oversees 41 employees whose position titles include probation manager (four FTEs), secretary (12 FTEs), probation officers 3 (six FTES), and probation officer 2 (19 FTEs). Currently, the investigation regional chief probation officer position is vacant, and the duties of that office are being fulfilled by the deputy chief probation officer. The investigation regional chief probation officer is responsible for ensuring youths who have been adjudicated delinquents by CCJC are investigated before the youth’s disposition hearing.

The supervision regional chief probation officer of the eastern region oversees 41 employees. There are four vacant positions (one probation manager, two probation officers 2, and one special project's counselor) in the eastern region. Two placement probation officers report directly to the supervision regional chief probation officer. Three probation managers and one acting probation manager report directly to the supervision regional chief probation officer and are responsible for supervising three secretaries, three probation officers 4, six probation officers 3, and 23 probation officers 2. The supervision regional chief probation officer of the eastern region is responsible for ensuring youths who live in the eastern region and are placed on supervision probation receive appropriate rehabilitative treatment.

The supervision regional chief probation officer of the western region oversees 28 employees. There are three vacant positions (two probation officers 3 and one probation officer 2) in the western region. Two placement probation officers and one youth development coordinator report directly to the supervision regional chief probation officer. Three probation managers report directly to the supervision regional chief probation officer and are responsible for supervising two secretaries, two probation officers 4, six probation officers 3, and 13 probation officers 2. The regional chief probation officer of the western region is responsible for ensuring youths who live in the western region and are placed on supervision probation, receive appropriate rehabilitative treatment.

### *Financial Data*

CCJC's probation department is funded through a combination of state and federal resources. The probation department receives money from the County's General Fund and grant funds from the state through the Felony Delinquency Care and Custody Fund (FDCC), also known as RECLAIM Ohio (Reasoned and Equitable Community and Local Alternatives to Incarceration of Minors). The monies from the General Fund and RECLAIM Ohio are used for the probation department's salaries, benefits, commodities, various contracts and agreements and capital outlays. CCJC's probation department used approximately \$3.2 million in RECLAIM dollars. The majority of RECLAIM Ohio monies are used to fund programs and services for youth who are in danger of being removed from home and placed into a commitment facility. **Table 4-2** presents the probation department's actual expenditures for 1998 and 1999 from the General Fund as presented in the CCJC's annual reports.

**Table 4-2: Probation Department Financial Data**

Category	Actual 1998	Actual 1999	Increase/(Decrease)
Salaries	\$4,567,846	\$4,199,936	(\$367,910)
Fringe Benefits	1,162,354	1,127,415	(34,939)
Commodities	2,450	3,492	1,042
Contracts/Services	3,024,660	1,793,459	(1,231,201)
Other Expenditures	3,228,314	3,391,001	162,687
Capital Outlay	3,862	19,055	15,193
<b>Total</b>	<b>\$11,989,486</b>	<b>\$10,534,358</b>	<b>(\$1,455,128)</b>

Source: CCJC annual reports

**Table 4-2** only depicts expenditures paid for through the county's General Fund. Contracts and services decreased \$1,231,201 from 1998 to 1999. This was caused by the Board of County Commissioners (BOCC) reallocating money from the probation department and giving it to the court services department for the Court Unruly Program (CUP). CUP was designed to divert the increasing numbers of unruly cases coming into the court and being placed on probation. Since diversion attempts are made at intake, which is a part of court services, the BOCC decided that the money for such a project should be moved from the probation department to court services.



*Performance Measures*

The following is a list of performance measures that were used to review the probation department:

- Analysis of staffing levels and organizational structure
- Analysis of the investigation unit's operational performance
- Analysis of the supervision unit's operational performance
- Evaluation of caseload per probation officer
- Analysis of case assignment process for probation officers
- Analysis of required evening hours for probation staff and the impact of implementing night court services
- Analysis of community-based resources as a form of probation
- Analysis of service contracts and service agreements
- Analysis of early intervention capabilities of probation officers
- Analysis of automated reporting processes for non-felons

## Findings/Commendations/Recommendations

### Operations/Case Assignment

F4.1 **Table 4-3** provides the total number of FTEs and the percentage of total employees in each classification for CCJC and each of the peer courts.

**Table 4-3: Number and Percent of Employees by Classification**

Classification	CCJC		FCJC		HCJC		LCJC		Peer Average
	# of Emp.	% of Total Employees	# of Emp.	% of Total Employees	# of Emp.	% of Total Employees	# of Emp.	% of Total Employees	% of Total Employees
Administrative	4.0	2.7%	2.0	4.6%	3.0	5.8%	2.0	3.6%	4.2%
Support Staff	57.0	38.5%	3.0	7.0%	17.0	32.7%	18.0	32.1%	27.6%
Managers	10.0	6.8%	4.0	9.3%	5.0	9.6%	11.0	19.6%	11.3%
Officers	77.0	52.0%	34.0	79.1%	27.0	51.9%	25.0	44.7%	56.9%
<b>Total</b>	<b>148.0</b>	<b>100.0%</b>	<b>43.0</b>	<b>100.0%</b>	<b>52.0</b>	<b>100.0%</b>	<b>56.0</b>	<b>100.0%</b>	<b>100.0%</b>

Source: Organizational chart and staff interviews.

Administrative employees include the chief probation officers, deputy chief probation officers, and regional chief probation officers. Compared to the peers, CCJC is the only probation department that employs regional chief probation officers. The peers' administrative employees only include chief probation officers and deputy chief probation officers. Therefore, the regional chief probation officer positions represent an additional layer of management that the peer courts do not possess. Support staff includes secretaries, probation program staff, and other clerical staff. Managers include probation managers and supervisors. Officers include all probation officers that perform the investigation function or the supervision function. In comparison to the peer average, CCJC has a lower percentage of administrative employees, probation managers and probation officers. In contrast, CCJC has a higher percentage of FTEs categorized as support staff when compared to the peer average. The higher percentage of support staff can, in part, be attributed to the fact that CCJC categorizes probation as its own department, whereas the peer courts classify probation as a part of court services.

F4.2 The highest position vacant in CCJC's probation department is that of the regional chief probation officer of the central region. This position was formerly held by the deputy chief probation officer, and the duties of the regional chief probation officer of the central region are still being carried out by the deputy chief probation officer. According to managerial positions within the probation department, the central region's operations have not been hindered by the vacancy of this office. However, as a result of the vacancy, the workload for the deputy chief probation officer has increased.

**R4.1** CCJC should consider not filling the vacancy for the investigation regional chief probation officer in the central region. Meanwhile, CCJC should reassign one of the regional chief supervision probation officers to oversee investigations. This change would result in the supervision regional chief probation officer overseeing seven probation managers and a staff of 52 probation officers, while the investigation regional chief probation officer would oversee four probation managers and 25 probation officers. The following list summarizes the benefits of consolidating the supervision regional chief probation officer position:

- The workload of the deputy chief probation officer, who is presently filling the role of the investigation regional probation officer, would be reduced.
- One supervision regional chief probation officer could better analyze staffing needs and reallocate resources from the eastern and western regions as needed.
- The supervision regional chief probation officer could implement uniform policies and procedures for all supervision probation officers in the eastern and western regions.

*Financial Implication:* Eliminating one supervision regional chief probation officer position would save CCJC approximately \$62,000 annually in salary and benefits.

F4.3 A key vacancy in the probation department that has remained vacant for an extended period of time is for a supervision probation manager in the eastern region. The probation manager's position is a vital role in the probation process. Probation managers are responsible for running the district offices, monitoring staff, assigning and reviewing cases with probation officers, training new staff, and attending meetings that deal with the probation department. In addition, the probation manager meets with the regional chief to discuss caseloads, policies and procedures, case closures, and any other issues that relate to the probation process. The vacancy for the supervision probation manager in the eastern region is being filled by an acting manager. There has been no official word if this position will be filled or not and by whom.

**R4.2** The probation manager position in the eastern region has been vacant for several months and should be filled. CCJC should prioritize filling this key vacancy with a permanent placement. The County needs to initiate policies to fill vacancies in a more timely manner so that the probation department can operate more efficiently. The benefits of using probation managers are an increase in accountability of probation officers, an increase in the amount of training on policies and procedures, and having a person with extensive experience relating to probation issues for staff members to reference.

*Financial Implication:* Filling the vacancy for a probation manager would cost CCJC approximately \$56,000 annually in salary and benefits.

F4.4 **Table 4-4** depicts support functions performed by CCJC's probation department compared to similar functions performed by personnel throughout the peer courts. This analysis does not include CCJC employees who work in the MST program, day treatment program, or diagnostic clinic. Also, this analysis does not include administrative employees or investigation and supervision probation officers for CCJC and the peer courts.

**Table 4-4: Support Staff for CCJC, HCJC, FCJC, and LCJC**

Function	CCJC	FCJC	HCJC	LCJC	Peer Average <sup>1</sup>
Secretary	19.0	3.0	2.0	4.0	3.0
Probation Managers	10.0	4.0	5.0	11.0	6.3
Restitution <sup>2</sup>	0	3.0	1.0	9.0	4.3
Program Monitor <sup>3</sup>	1.0	1.0	1.0	1.0	1.0
Probation Expediter <sup>4</sup>	1.0	0	1.0	1.0	.70
Clerks	5.0	3.0	4.0	3.0	3.3
Receiving Assignment Coordinator	1.0	2.0	1.0	1.0	1.3
Receiving Assignment Assistant	1.0	0	0	0	N/A
Referral Coordinator	1.0	1.0	1.0	1.0	1.0
Probation Assistant	1.0	0	0	0	N/A
Victim Aid Liaison	1.0	1.0	1.0	1.0	1.0
<b>Total</b>	<b>41.0</b>	<b>18.0</b>	<b>17.0</b>	<b>32.0</b>	<b>22.3</b>

Source: CCJC, HCJC, FCJC, and LCJC personnel and organizational charts

<sup>1</sup> The peer average does not include CCJC

<sup>2</sup> Restitution at CCJC is collected by supervision probation officers. Restitution at LCJC is collected by staff members in probation whereas restitution at HCJC and FCJC is collected by personnel in the court services department.

<sup>3</sup> CCJC has one program monitor in the probation department to monitor RECLAIM programs. The peer courts have separate RECLAIM staff to monitor programs. FCJC's programs are monitored by a RECLAIM coordinator, an assistant RECLAIM coordinator, and a court inspector. The time by these three staff members is almost equivalent to one FTE. HCJC has four contract managers who monitor probation program. The time by these four staff member is almost equivalent to one FTE.

<sup>4</sup> FCJC is not responsible for placing youths in residential placement facilities. This function is completed by children services.

CCJC has more full-time employees classified as support staff than the peers. More specifically, CCJC employs 84 percent more secretaries than the peer average. Of CCJC's 19 secretaries, 12 secretaries work in the probation department's four investigation district offices located throughout Cuyahoga County while the peer courts operate under one centralized office. CCJC's secretaries are responsible for typing the investigation probation officers interview notes and dictations from investigations conducted on youths and their families. After the secretary completes all the necessary paperwork, the investigation probation manager reviews the report and makes any necessary changes to it and logs it into the computer and sends a copy to the probation clerks in the record room for storage.

Secretaries at the peer courts do not perform this function. It is the responsibility of the probation officers to complete investigation paperwork. If CCJC had laptop computers for investigation probation officers, it may potentially reduce the need for secretaries (see **F4.19** and **R4.13**).

CCJC employs more probation managers than the peer average because there are seven supervision unit locations and four investigation unit locations, which are overseen by a probation manager. Since the peers operate under one centralized location, they employ fewer secretaries and probation managers. CCJC is the only court that does not have any staff designated to collect restitution within the court. This function is the responsibility of the supervision probation officers, who do not have adequate time to effectively and efficiently complete this function. CCJC is also the only court that employs a probation assistant, whose main responsibilities are helping the referral coordinator track referrals and statistics of probation programs.

F4.5 **Table 4-5** presents a five-year summary of the number of youths placed on probation and the number of probation officers employed by the court.

**Table 4-5: FTE Supervision Probation Officer Staffing Summary - Last Five Years**

Annual Report	Youth on Probation	Percent Change of Youth on Probation	# of Probation Officers	Percent Change in Probation Officers
FY 1996	2,942	N/A	78	N/A
FY 1997	2,644	(10.1)%	83	6.4%
FY 1998	2,954	11.7%	83	0%
FY 1999	3,094	4.7%	77	(7.2%)
FY 2000 <sup>1</sup>	N/A	N/A	76	(1.3)%

Source: Organizational Charts for 1996 thru 2000. Number of youth on probation figures developed from annual reports and staff interviews.

CCJC has had a history of not increasing or decreasing staffing levels to correspond with the number of youth on supervision probation. More specifically, in FY 1998 and FY 1999 CCJC did not increase the number of probation officers it employs based on the number of youth placed on probation. The main reason why the probation department was unable to hire more probation officers to correspond with the increased number of youth placed on probation was due to budget constraints. Decreasing the number of probation officers from FY 1998 to FY 1999 caused probation managers and probation officers to contend with larger numbers of youth. The decreased numbers of probation officers along with other factors that affect caseloads (see **F4.6**) may negatively influence staff morale and the quality of services provided.

F4.6 The probation department's primary functions are to provide investigation services to adjudicated youth and to supervise youth sentenced to probation in the community. The investigation probation officers are responsible for providing evaluations and risk

assessments to the courts before the youth's disposition hearing. If a youth is placed on probation, it is the responsibility of the supervision probation officer to supervise the youth until he or she meets the requirements of probation established by the court. **Table 4-6** depicts the number of youth on probation at CCJC and the peer courts as of July 31, 2000.

**Table 4-6: Number of Youth on Probation in CCJC and Peer Courts**

Key Statistics	CCJC	FCJC	HCJC	LCJC	Peer Average
Number of investigation probation officers	25	7	N/A	5	N/A
Number of supervision probation officers	51	27	N/A	20	N/A
Total number of probation officers	76	34	27	25	29
Youth population	179,123	137,742	117,159	66,123	107,008
Youth population per total probation officer	2,357	4,051	4,339	2,645	3,678
Total presentence investigations conducted in 2000	2,075	490	1,100	459	683
Investigations conducted per investigation probation officer	83	70	41	92	68
Youths currently under supervision	2,628	1,000	575	631	735
Current average caseload per supervision probation officer	52	37	27	32	32

Source: Staff interviews and Research and Planning Unit

CCJC employs more investigation and supervision probation officers than the peer courts, which can be attributed to a higher youth population and more youth entering the court system in Cuyahoga County. Therefore, it is reasonable to conclude that CCJC conducts more investigations and supervises more youths than the peer courts. The number of presentence investigations and the number of youth on probation as indicated in **Table 4-6** is current as of July 31, 2000. The number of youth currently on supervision probation is a combination of youth placed on probation during the month of July and the number of youth who continued on probation. Although CCJC employs the most probation officers, CCJC's investigation probation officers conducted 22 percent more investigations per investigation probation officer than the peer average. CCJC's supervision probation officers are currently managing caseloads that are 62.5 percent higher than the peer average.

A review of the literature suggests that probation professionals have been more concerned than most other juvenile justice professionals about the issue of caseload standards. The literature on the topic of caseload standards for probation officers is extensive and, by one account, dates to at least 1917, when a consensus of probation administrators is said to have established a probation caseload standard of 50 offenders per officer. That remained the accepted figure until 1967, when the President's Commission on Law Enforcement and Administration of Justice lowered the ideal caseload to an average of 35 offenders per

officer. Both of these numbers bore the stamp of "professional consensus." The National Probation Association, the American Correctional Association, the National Council on Crime and Delinquency, the U.S. Children's Bureau, and the National Council of Juvenile and Family Court Judges all endorsed both the original 50-case standard and its successor, the 35-case standard.

**R4.3** Since case management affects every aspect of the probation department's operations, including the effectiveness and timeliness in providing services to youths and their families, CCJC should develop strategies and take appropriate measures to improve the operations of the probation department. Considering that CCJC's average caseload of 52:1 is in excess of the national standard, it appears that additional probation officers need to be hired to reduce the caseload average. However, this audit suggests several recommendations that if implemented, could have the potential of reducing the caseload average without hiring additional probation officers. Therefore, CCJC should consider implementing these recommendations and analyzing the effect prior to hiring any additional probation officers. The analysis in **F4.6** and **Table 4-6** indicates that there is a significant potential to enhance CCJC's current probation operations. All of the recommendations provided in this report are intended to benefit the operations of the probation department. The intent of these recommendations is to subsequently reduce the average caseload per probation officer. The key findings that directly impact the case management operations of the probation department include the following:

- Number of youths coming into the court system (see **F4.6**)
- Policy of separating the investigation and supervision function (see **F4.7**)
- Investigation paper work completed by probation secretaries (see **F4.8**)
- Assessment tools used during investigations (see **F4.9**)
- Procedure for assigning cases (see **F4.10, F4.11 and F4.12**)
- Number of contacts required by probation officers based on supervision level (see **F4.13 and F4.14**)
- Decision to abolish warning letters ( see **F4.15**)
- Increase in the number of unruly youth placed on probation (see **F4.16**)
- Procedure for terminating youth from probation (see **F4.17**)
- Length of time youth are placed on probation (see **F4.18**)
- Procedure used for scheduling court appearances for probation officers (see **F4.19**)
- Method for monitoring probation programs (see **F4.21**)
- Procedure used for collecting restitution from juveniles (see **F4.25**)
- Decision to disband the training department (**F4.26**)

If the probation department's operations do not achieve a higher level of efficiency after analyzing and implementing the above findings and recommendations, CCJC should consider conducting a detailed staffing analysis for the positions of probation manager, probation officer and secretary. A detailed staffing analysis would determine the necessary staffing level to make the probation department's operations more efficient in providing services to youths and their families.

- F4.7 At CCJC, the investigation function and the supervision function are completed by two different probation officers. This means that once an investigation is completed by an investigation probation officer and the youth is placed on probation, the case moves from the courtroom to one of the probation department's supervision units to be assigned to a supervision probation officer. The department previously assigned one probation officer to complete both the investigation and supervision function.

HCJC has one probation officer perform both the investigation and supervision functions. Probation officers at HCJC are assigned to specific geographical areas. Therefore, using one probation officer to complete the investigation and supervision functions allow probation officers to increase their knowledge of specific geographical areas and to become very familiar with the youths they investigate and supervise. Also, combining the investigation and supervision functions allows youths and their families to deal only with one probation officer throughout their involvement with the probation department instead of two different probation officers. The disadvantage of using one probation officer to complete both functions is that investigations require probation officers to spend more time in court, which can take time away from supervising youth in the community. FCJC and LCJC have two different probation officers perform the investigation and supervision functions. By separating these functions, the probation department is able to use probation officers who have better assessment skills and research skills as investigation probation officers and use probation officers who are better at working directly with youths as supervision probation officers. However, separating the investigation and supervision functions does not allow the investigation probation officers to fully understand the supervision function and the supervision probation officers to fully understand the investigation function. Since investigation probation officers do not have to supervise youths, they do not have a complete knowledge of the neighborhoods in which youth live, which helps when making assessments during investigation. Also, since supervision probation officers do not have to investigate youths, they do not have many opportunities to enhance their assessment skills, which helps when creating a case plan for supervision.

Probation staff at CCJC had different opinions on whether or not one probation officer could perform both the investigation and supervision functions efficiently and effectively. Some staff believe that caseloads would be reduced if the two functions were combined. The theory behind this reasoning is that if the investigation and supervision functions were combined, there would be more probation officers to supervise youths placed on probation. However, other staff do not believe that combining the two functions would be beneficial for youths



and their families. These staff members stated that when more cases come in for investigation, the supervision cases get neglected. The only benefit that all CCJC's probation staff agreed on was that having the investigation and supervision function combined allowed youths and their families to deal with only one probation officer instead of two.

**R4.4** The probation department should reevaluate the feasibility of combining the investigation and supervision function to be completed by one probation officer. A committee of probation staff should be formed to discuss the benefits and disadvantages of combining the two functions to ascertain if caseloads will be reduced or if supervision cases would be neglected as a result of more investigations coming into the system. This committee should objectively evaluate what policies and procedures are needed to perform these functions properly in order to potentially enhance service quality to youths and their families. In addition, this committee should assess what type of staff training will be needed. If CCJC has probation officers perform both the investigation and supervision functions, CCJC should consider contacting HCJC to discuss how the functions can be combined effectively.

F4.8 Once a youth is adjudicated delinquent, an investigation probation officer is required to complete an investigation report before the youth's disposition hearing. After the investigation probation officer completes the investigation, the information obtained is given to a secretary to compile into an investigation report. CCJC is the only peer court that uses secretaries to type up investigation reports. The peers require probation officers to type up all the paperwork obtained in their investigations. The investigation report contains information about the youth's social history such as family background, school records, and medical history. If a youth is placed on probation, the investigation report serves two purposes:

- The jurist can use the information in the report to establish the terms and conditions to which the youth must adhere during the probation sentence.
- The probation department uses the report to develop the case plan for the youth and to make supervision decisions and decisions about the services the youth needs.

F4.9 CCJC's probation department investigation report includes a risk assessment of a youth but not a needs assessment. The probation department used to complete a needs assessment with its risk assessment, but this procedure was changed because it was believed that the needs assessment slowed down the evaluation process.

A risk assessment is a tool that is used to measure the risk that a youth will commit another offense. In conjunction with a risk assessment, the peer courts conduct a needs assessment of adjudicated youth. A needs assessment is an evaluation tool that is used to determine and prioritize the services needs of youths and their families. The risk assessment and needs assessment tools are used to develop an appropriate treatment strategy for youths placed on probation. **Table 4-7** summarizes the risk score categories used by CCJC's probation department. The risk score is used to determine the supervision level in which youths will be placed during their probation period.

**Table 4-7: CCJC's Supervision Level Based on Risk Score**

Supervision Level	Risk Score
High	24 and above
Medium	14-23
Low	0-13

Source: Staff Interviews

FCJC uses both a risk assessment tool and a needs assessment tool during investigations. FCJC uses these tools to determine an appropriate supervision level for youths placed on probation. **Table 4-8** summarizes the risk score categories and the needs score categories used by FCJC to determine which supervision level a youth should be placed.

**Table 4-8: FCJC's Risk Score and Needs Score**

Supervision Level	Risk Score	Needs Score
High	21 and above	22 and above
Medium	20 to 10	21 to 10
Low	9 and below	9 and below

Source: Risk assessment sheet and needs assessment sheet

Based on the youth's combined risk score and needs score, a youth can either be placed on high, medium, or low supervision. If a youth scores 21 or above on the risk assessment and 22 and above on the needs assessment, the youth will be placed on high supervision. If a youth scores between 10 and 20 on the risk assessment and between 10 and 21 on the needs assessment, the youth will be placed on medium supervision. If a youth scores 9 or below on the risk assessment and 9 or below on the needs assessment, the youth will be placed on low supervision. The benefit of using a risk assessment in conjunction with a needs assessment is a better match of intervention services to a youth's treatment needs.

**R4.5** The probation department should consider using a needs assessment in conjunction with its risk assessment when conducting an investigation. The areas that a needs assessment should address include the youth's family relationships, educational needs, substance abuse history, health condition, employment history, community service needs, and peer relationships.

Through this assessment process, the evaluation tools help the probation department meet its goal of providing services to youth that directly address the reduction in criminal behavior. Research in the criminal justice field supports the concept that matching intervention services to a youth's treatment needs increases youths' motivation to stay in treatment. Research also shows these youth have better outcomes, meaning that they are less likely to commit another crime.

- F4.10 There is no consistency for case assignment procedures within CCJC's probation department. Once a case goes to the PSS unit, it gets assigned by the receiving and assignment coordinator to a district office based on the youth's residence. After the case reaches the district office, it is the probation manager's responsibility to assign the case. Some probation managers assign cases based on geographic regions or school districts. However, some probation managers assign cases based on how many cases the probation officer closed the previous month. For example, if a probation officer closed ten cases last month, he or she will receive ten new cases the next month. This process is used in an effort to keep caseloads even among probation officers. Probation managers also do not use a workload analysis tool to aid them in assigning new cases based on the probation officer's current work requirements (See **F4.12**). Probation officers that were interviewed stated the process that their probation manager used were fair, and that they did a good job in trying to make caseloads even.

At HCJC and FCJC, the case assignment process is always based on geographic location. In HCJC specifically, general probation case assignments are based on what school the probationer attends. Intensive probation case assignments are based on offense and the probationer's risk/need score.

At LCJC, cases are assigned to district unit managers by the intake unit manager. Cases are assigned by the district unit manager to the probation officers according to the geographical location in which the youth resides. Assignments outside a probation officer's designated region are made when caseload size or special circumstances dictate. All assignments are at the discretion of the unit manager. Exceptions may be made by the unit manager based upon youth and staff requirements.

- R4.6** The probation department needs to establish a better procedure for assigning cases to supervision probation officers. CCJC should consider making case assignments by geographical area within each supervision district office. Probation officers should be strategically assigned to supervise specific geographical areas rather than being randomly assigned to offenders as they are placed on probation. This concept, referred to as "place-based supervision," affords an excellent opportunity for developing law enforcement and corrections partnerships. It also keeps probation officers close to their wards, allowing them to keep an eye on an offender even when they are not spending time with them. This also enables probation officers to become familiar with particular neighborhoods to better serve youths and their families. However, when an excessive number of cases come from a specific geographical area, the probation manager should assign these excess cases to

probation officers who have lighter caseloads from their own geographical area. This is a practice already used by some of the probation managers and should be used by all of them.

- F4.11 There are no caps on probation officer caseloads for regular probation. As long as cases come into the probation department, they must be assigned to a probation officer for investigation or supervision. Probation managers that were interviewed stated that they did not have any incidences where supervision probation officers deliberately were keeping youth on probation longer in order to avoid getting more new cases. If a supervision probation officer was deliberately keeping youths on probation longer than necessary or if the supervision probation officer was not maintaining an appropriate contact level with youths, probation managers stated that they would eventually find out about it because parents or agencies would call and complain. Also, all supervision probation officers are required to submit a weekly schedule of when and where they are working to their probation manager. CCJC also provides all probation officers with pagers so that they can be reached while they are in the field. Supervision probation officers are also required to keep track of the number of contacts they have with youths and submit the number of contacts to their probation manager. If a youth returns to court, the supervision probation officer is responsible for preparing an investigation report and presenting it to the court. This report would state the amount of time and contacts the probation officer had with the youth, and the parents and the youth have a chance to dispute the report if the probation officer was not seeing the youth.

FCJC also requires probation officers to submit contact sheets that outline how probation officers use their time. If it is suspected that a probation officer is not seeing youths, the probation manager can review the probation officer's contact sheets and follow up with the youths and their parents to find out if the probation officer saw the youth. In addition to contact sheets, FCJC provides probation officers with pagers and cellular phones so that probation officers can be reached at any time while they are in the field.

Over the next eighteen months, HCJC is creating a workload analysis in which the efficiency and effectiveness of probation officers are measured. The workload analysis will include performance measures such as goals and objectives that must be met by each probation officer. The workload analysis will also be used as a strategic planning tool to help the probation department ascertain where resources need to be focused.

- R4.7** CCJC should consider creating a workload analysis similar to HCJC in which the efficiency and effectiveness of probation officers are measured. The workload analysis should include performance measures such as specific goals and objectives that must be met by probation officers. The workload analysis could also be used as a strategic planning tool to help the probation department ascertain where resources need to be focused.

- F4.12 Workload management and measurement efforts in probation have proceeded from the assumption that cases vary in their supervision requirements. Proceeding from such an assumption, case classification becomes necessary for probation workload measurement regardless of whether the ultimate goal is the economical use of probation personnel,

improved outcomes for probationers, or both. Although CCJC's probation managers try to keep the number of youths even among supervision probation officers, caseloads may not be even because higher at risk youths require more supervision.

**Table 4-9** summarizes five hypothetical weighted caseloads for supervision probation officers. Each caseload consists of youths who have been assigned to high, medium, or low supervision. Based on the youth's supervision level, the youth is assigned a risk/need factor. High supervision level youths are assigned a weighted risk/need factor of three, medium supervision level youths receive a weighted risk/need factor of two, and low supervision level youths receive a weighted risk/need factor of one. The weighted risk/need factor is multiplied by the caseload size to equal an adjusted caseload by risk/need factor. Then, the number of contacts the supervision probation officer is required to have with the youth is multiplied by the adjusted caseload by risk/need factor to equal a weighted value. The weighted value is divided by the caseload size to equal a weighted workload per case. Youths who are assigned to high supervision require more of the supervision probation officer's time because they are more at risk of committing new offenses and need to be seen more often. Therefore, two supervision probation officers who supervise the same number of youths would not have the same amount of work if one of those supervision probation officers had more youths assigned to high supervision.

**Table 4-9: Weighted Caseloads for Supervision Probation Officers**

Supervision Level	Caseload Size	Risk and Need Weighted Factor	Caseload by Risk and Need Factor	Contact Level	Weighted Value	Weighted Workload per Case
<b>Probation Officer A</b>						
High	10	3.0	30	2	60	
Medium	20	2.0	40	1	40	
Low	15	1.0	15	1	15	
<b>Total</b>	<b>45</b>		<b>85</b>		<b>115</b>	<b>2.55</b>
<b>Probation Officer B</b>						
High	20	3.0	60	2	120	
Medium	25	2.0	50	1	50	
Low	10	1.0	10	1	10	
<b>Total</b>	<b>55</b>		<b>120</b>		<b>180</b>	<b>3.27</b>
<b>Probation Officer C</b>						
High	15	3.0	45	2	90	
Medium	30	2.0	60	1	60	
Low	15	1.0	15	1	15	
<b>Total</b>	<b>60</b>		<b>120</b>		<b>165</b>	<b>2.75</b>
<b>Probation Officer D</b>						
High	10	3.0	30	2	60	
Medium	20	2.0	40	1	40	
Low	25	1.0	25	1	25	
<b>Total</b>	<b>55</b>		<b>95</b>		<b>125</b>	<b>2.27</b>
<b>Probation Officer E</b>						
High	30	3.0	90	2	180	
Medium	15	2.0	30	1	30	
Low	15	1.0	15	1	15	
<b>Total</b>	<b>60</b>		<b>135</b>		<b>225</b>	<b>3.75</b>

Based on **Table 4-9**, probation officer B and probation officer D both supervise 55 youths. However, probation officer B has 20 youths on high supervision whereas probation officer D only has 10 youths on high supervision. Therefore, probation officer B has a total case weighted value of 180 and probation officer D only has a total case weighted value of 125. Probation officer B's weighted workload per case of 2.55 is greater than probation officer D's weighted workload per case of 2.27, which indicates probation officer B's caseload

requires more work than probation officer D's caseload. The same situation occurs when probation officer C and probation officer E's caseloads are compared. Probation officer A's caseload is also more time consuming to manage than probation officer D's caseload even though probation officer A has fewer youths to supervise.

The benefit of a weighted caseload analysis is to measure the workloads of supervision probation officers based on the youth's supervision level, risk/need factor and contact requirements. Probation managers may use a weighted caseload analysis when assigning new cases to supervision probation officers. For example, based on the weighted workload per case for supervision probation officers, a probation manager would assign new cases in the following order: first to probation officer D, then probation officer A, then probation officer C, then probation officer B, and lastly to probation officer E. In addition to assigning new cases, a weighted caseload analysis could also be used to determine staffing levels in the supervision district offices. If the weighted caseload analysis reflects uneven workloads among the supervision district offices, supervision probation officers in districts with lower workload requirements could be moved to districts with higher workload requirements.

**R4.8** CCJC should consider using a weighted caseload analysis to measure their supervision probation officer's workloads. The analysis could be used as a management tool to aid probation managers in assigning new cases to supervision probation officers and in determining appropriate staffing levels in the supervision district offices. The benefit of a weighted caseload analysis is that it gives a more accurate picture of supervision probation officers' workloads based on the youth's supervision level, risk/need factor, and contact requirements instead of just the total number of youths supervised. Supervision probation officers who have more high supervision youths on their caseloads have more work involved in managing their caseload than a supervision probation officer who has more low supervision youths on their caseloads. If used, the effects of a weighted caseload analysis would be an increase in the quality of services rendered to youths and their families.

F4.13 Once a youth is placed on supervision probation, the supervision probation officer is required to make a required number of contacts with the youth while he or she is on probation. CCJC bases the number of contacts on the youth's risk assessment, while the peer courts base the number of contacts on the youth's risk assessment and needs assessment. **Table 4-10** summarizes the number of contacts required by CCJC and the peer courts per month.

**Table 4-10: Contacts Based on Risk/Need Level**

Number of Contacts	CCJC	FCJC	HCJC	LCJC
<b>Low Risk</b>	1 every other month	1 per month	1 per month	1 per month
<b>Medium Risk</b>	1 per month	1-2 FF Weekly 1 Parent Weekly 1-2 Collateral Weekly	1 FF Bi-weekly <sup>1</sup> 1 phone bi-weekly	2 per month
<b>High Risk</b>	2 per month	1 FF Weekly 1-2 Parent Weekly 2-3 Collateral Week <sup>2</sup>	1 FF weekly 1 phone weekly	4 per month

Source: Staff interviews

<sup>1</sup>Face to face (FF) contact

<sup>2</sup>Collateral includes contacts at school, employment, and other agencies.

CCJC has the lowest number of contacts with probationers per month compared to the peer courts. The peer courts require every youth to be seen at least once per month, while CCJC allows low risk youth to be seen every other month. Some supervision probation officers at CCJC stated that they try to see every youth on their caseload at least once per month, but sometimes it is not possible when they supervise a large number of probationers. The peer courts make contacts with youth classified as medium risk at least twice per month, while CCJC only sees them once per month. The peer courts see high risk youth on probation at least four times per month, while CCJC sees high risk youth only twice per month. **Table 4-10** only summarizes the required guidelines for contact standards of supervision probation officers. Some supervision probation officers do exceed the required number of contacts when they have extra time or if a youth requires more supervision.

F4.14 The probation department does not have adequate contact standards for supervising youth on probation. The number of contacts should increase with risk, based on the initial risk assessment. However, the implications of increased supervision contacts at higher levels of risk are less clear. There are no national standards for contact levels or research specifically linking contact levels with outcomes. However, it does seem reasonable that doing a better job of meeting its own supervision standards for high risk/maximum supervision youth, supervision probation officers would have greater ability to ensure youths are receiving appropriate services, meeting terms and conditions of probation, and generally making satisfactory progress. Ultimately, developing pro-social behavior in youth who are on probation is the best way to protect public safety and ensuring that community resources are used in the most productive manner.



CCJC and the peer courts require probation officers to make contacts through a combination of home, school, community visits and office visits. LCJC allows office visits, but requires they should be kept to a minimum. The rationale for this policy is that a probation officer who sits behind a desk, and ventures out occasionally, is not doing his job. The problems associated with delinquency and the youth on probation require interaction with the youth in the community and cannot be solved solely with office visits.

- R4.9** CCJC should assess the probation department's current contact standards to increase the number of contacts to a level comparable to the peers (**Table 4-10**). Increasing the number of contacts should increase the quality of services to youths and their families.

Contacts should continue to consist of a combination of home, school, community visits and office visits. While adhering to the required number of contacts is important, the quality of those contacts is just as important. Supervision probation officers should allot an appropriate amount of contact time with youths in order for the contact to be meaningful and helpful to the youth. Supervision probation officers need to carefully construct their weekly schedules so that they supervise youths in the same geographical areas on the same days. Supervision probation officers should also telephone youths and their families to confirm appointments before meeting with them so that contact time is not wasted.

- F4.15 The use of warning letters, which served as the most direct means of bypassing an official filing as a method of handling certain minor offenses was abolished in 1998. CCJC stopped using warning letters because the court's leadership at that time felt they lacked sufficient authority to serve as a deterrent to further delinquency. As a result, more cases came into the court system to be filed instead of being diverted at intake. CCJC's decision to abolish warning letters could be directly correlated to the increased number of youth coming into the system and the increase in the number of youth placed on probation (see **court services** for a description of warning letters).

F4.16 CCJC has experienced an increase in the number of youth being placed on probation. More specifically, the number of unruly youth being placed on probation has increased over the last few years. **Table 4-11** illustrates the number of unruly youth placed on probation from 1996 to 1999. CCJC is in the process of implementing the Court Unruly Project (CUP), which is designed to divert unruly youth from the official juvenile court system by providing high quality alternative services to the youth (see **court services** for a description of CUP).

**Table 4-11: Unruly Youth on Probation**

	1996	1997	1998	1999	Change 98 - 99	Change 96 - 99
Unruly Youth	267	219	218	579	165.6%	116.9%
Supervision probation officers	56	60	62	49	(21.0%)	(12.5%)
Unruly youth per supervision probation officer	5	4	4	12	200%	140%

Source: CCJC annual reports and organizational charts from 1996 to 1999

**R4.10** CCJC should consider using a risk assessment tool and needs assessment tools in order to classify youths based on the services they require. Using these tools, CCJC would improve the quality of services rendered to youths and their families (See **F4.9**). If used, these tools could classify and divert more unruly youth from probation to CUP, which provides services that specifically target unruly offenses. If unruly youth were diverted from probation in 1999, the average caseload would have decreased by 12 unruly youth per supervision probation officer.

F4.17 In addition to an increase in the number of unruly youth placed on probation, the length of time it takes to terminate a case can greatly affect the number of cases probation officers carry. If the termination process is not efficient, caseloads will be inflated because cases maintain active status until they complete the termination process. This means that probation officers are required to maintain contact with probationers even if the youth has fulfilled his or her probation requirements.

CCJC's probation department has had difficulty in finding an efficient and effective way for terminating cases. Since 1998, there have been three different procedures used to terminate cases. Before 1998, cases were terminated by the probation officer filling out a card that stated the youth had completed his or her probation requirements. The decision to close the case was made by the probation officer and his or her manager. Most probation officers preferred this process because it gave them more authority in closing cases and it was faster. In 1998, this process was changed. The altered process required probation officers to file a motion, provide notice to the client, check to see if the juvenile had picked up any new charges, and obtain a copy of the journal entry, which is a document that states the court

orders. This process proved to be ineffective and inefficient because it was difficult for the supervision probation officers to locate the youth's journal entry causing the process to require three months to complete. In June 2000, the termination process changed again. According to the guidelines for the new process, probation officers no longer have to file motions. The new procedure involves the probation officer completing a dictation, locating the journal entry, and checking the computer to see if the probationer has picked up any new charges. Once this is done, the probation officer consults with his or her manager and they jointly decide whether it is appropriate to terminate the case. If the manager approves it, the case is sent to the regional chief probation officer for final approval. This new process only takes three to four weeks, however, probation officers do not like it as well as the pre 1998 procedure that gave them more authority in the case termination process. In addition, some magistrates like the motion process and still require them. This inconsistency creates inefficiencies because it requires probation officers to learn and follow various policies and procedures for different magistrates.

**R4.11** CCJC needs to do a better job at removing youth from probation in a more timely manner. Caseloads increase when youth who should have been removed from probation remain on probation because of a slow termination process. A process should be created so that probationers are not on probation any longer than necessary. CCJC should make some modifications to the existing termination process so that youth are removed from probation soon after completing their probationary requirements. When this is accomplished, caseloads for supervision probation officers will be reduced.

FCJC's case termination process requires the supervision probation officers to complete a probation termination report. The report provides background information on the youth such as the date the youth was placed on probation, the youth's offense and gender, the supervision level at termination, and the date of termination. The report also lists the goals accomplished and modified during the probation period that are used to measure the youth's success. In addition to goals, the report lists programs to which youths and their families were involved during the probation period. Each program provider must submit a discharge summary which states the dates the youth was involved in the program and if the youth was successful or unsuccessful at completing the program. The report also allows the supervision probation officer's to comment on how well the youth adjusted during the probationary period.

LCJC's case termination process requires probation officer to conduct a final contact with the youth and family prior to termination. Before a youth is terminated, the probation officer reviews with the youth the final recommendations of whether or not he or she has been successful or unsuccessful during the probationary period. Appropriate termination is of the utmost significance to the youth and family to assure that the closing contains a final message regarding the youth's experience on probation. Youth should never be left hanging, or just "disappear" from supervision. Termination signifies a message to the youth and provides a final "teachable moment."

F4.18 **Table 4-12** provides CCJC's guidelines regarding the length of time probationers should serve based on the risk assessment conducted by the investigation probation officer.

**Table 4-12: CCJC Length of Time on Probation Based on Risk Assessment**

Risk Assessment	Length of Time on Probation
Low	3 months
Medium	6 months
High	9-12 months

Source: Staff interviews

At CCJC, the length of time a youth spends on probation is based on the risk assessment. Youth who score low on the risk assessment are supposed to be placed on probation for three months. Youths who score in the medium range should spend six months on probation, whereas high risk youth should spend nine to twelve months on probation. However, **Table 4-12** only provides a guideline of the length of time a youth should be placed on probation. The jurists can require youth to remain on probation as long as they view as necessary. In addition, supervision probation officers can require youths to be on probation longer if the youth is not doing well on probation.

Caseloads can be greatly affected by the length of probation a youth has to serve. At CCJC, the jurists have the greatest authority to render how long a youth must be on probation. Interviews of probation managers and probation officers stated that some of their probationers have been placed on probation for an inappropriate length of time. When a youth is placed on probation for a long period of time, caseloads will increase greatly. The time spent on probation directly correlates to caseload sizes.

The peer courts base the length of probation a youth serves in a similar fashion as CCJC. However, HCJC also basis the length of time on probation on the type of offense a youth commits. **Table 4-13** outlines the lengths of time youths spend on probation based on the youth's risk and needs assessments and the type of offenses committed.

**Table 4-13: HCJC's Length of Time on Probation**

Classification	Length of Time on Probation
Low	2 months
Medium	4 months
High	5 months
Specialized Girl Offenders	4 - 5 months
Sex Offender Felony 1 or 2	1 year
Sex Offender Felony 3, 4, or 5 and misdemeanor	6 months
Intensive	6 months minimum

**Source:** HCJC probation department

**R4.12** CCJC should consider basing the length of time a youth spends on probation on a risk and needs assessment tools (See **F4.9** and **R4.5**). CCJC jurists should use the information provided in the risk assessment and needs assessment in determining the appropriate length of probation. By having more complete information available, jurists may be able to reduce the length of probation, which would have an impact on current caseload averages. Based on these assessment tools, youth who score low should be placed on probation for three months, youth who score medium should be placed on probation for six months and youth who score high should be placed on probation for nine to twelve months. The jurists should still have considerable discretion in determining the length a youth spends on probation, but the risk and needs assessment scores should be used as a guideline in order to prevent youth from being placed on probation for an extended length of time. CCJC should also consider basing the length a youth spends on probation on the type of offense the youth committed, which is a practice used by HCJC.

F4.19 Probation officers are also required to attend court hearings of youths. Interviews with several probation staff members indicated that probation officers waste a lot of time when they have to go to court. For example, if a youth has his or her hearing scheduled at 8:00 a.m., it can be hours before the case is actually heard by a jurist ( for more information in case scheduling, see the **court services** section of this report). There is no space close to the courtrooms for the probation officers to work nor are there any computers or phones accessible to them in a designated area. Therefore, during the time probation officers wait for the hearings to begin, they can rarely do any work. Consequently, this situation may cause probation officers to be unproductive for up to several hours per week.

Other probation departments across the United States have increased productivity by supplying probation officers with laptop computers. In North Carolina, probation officers have been given laptop computers that enable them to quickly enter their reports into offender records and provide access to important court forms while they are away from the office. Laptop computers have also reduced the need for probation officers to compete for access to a computer in the office because the computers are equipped with battery-powered units and car adapters. The Florida Department of Corrections also is examining the possibility of providing laptop computers to probation officers by implementing a pilot program called probation officer workstations (POW). The goal of the POW program is to enhance public safety by increasing the amount of time probation officers are on the streets supervising offenders in the community. POW automates offender case management through monitoring and documenting an offender's compliance with court orders. POW advises the probation officer of high-risk contact requirements, program participation needs, urinalysis requirements, monetary obligations, and other information related to an offender's case. Offender information is on a live, statewide accessible database that improves investigative cross feeds, data gathering for new offenses or probation violations if they occur. In addition to keeping more information on probationers, POW improves the probation officer's time management and case documentation accuracy and gives the probation officer more opportunities to be out of the office and into the community.

**R4.13** Since probation officers spend a lot of time waiting for court hearings for youth, they should be able to work while they wait for a court hearing to begin. CCJC should make space available close to the courtrooms so that probation officers can complete paperwork or consult with youths while they wait. The benefit of making space available to probation officers while they wait for court hearings is a reduction of idle time. The time that can be saved could be used to help probation officers manage their caseloads.

In addition to making space available, CCJC should provide probation officers with laptop computers in an effort to reduce probation officers idle time while waiting for court hearings and as an effort to reduce the amount of time spent in the office. The benefits of giving probation officers laptop computers are improvements in the probation officer's time management and case documentation as well as reducing the amount of time probation officers spend in the office and increasing the amount of time they spend in the community.

*Financial Implication:* The cost of providing each probation officer with a laptop computer range from \$1,500 to \$3,000 each depending on the computer model, desired features and hardware and software requirements. The total cost of providing CCJC's 76 probation officers with a laptop computer would be \$114,000 to \$228,000. This cost would potentially be offset by the increased productivity of probation officers. According to a sample of probation managers and probation officers, the average probation officer spends approximately two to six hours per week waiting at the court for hearings. This translates to an average of four hours per week or about ten percent per week of unproductive time for each probation officer for an annual cost estimate of approximately \$257,000.

F4.20 There are presently 19 secretaries within the probation department which account for one-third of the probation department's support staff. The majority of secretaries (10) work in the four investigation district offices. Their duties relate to compiling and typing reports for investigation probation officers. If CCJC purchases laptop computers for investigation officers to assist in the report writing process, fewer secretaries would be needed. The cost savings in salaries and benefits could help to offset the cost of purchasing laptop computers for probation officers.

**R4.14** CCJC should consider reducing the number of investigation probation secretaries by six positions. Following these reductions, there will still be one secretary at each district office for investigational support.

*Financial Implication:* Eliminating six investigation probation secretaries would save CCJC approximately \$170,000 annually in salary and benefit expenditures.

F4.21 The probation department's PSS-1 unit provides rehabilitative services directly to youths and their families. The PSS-1 unit consists of the multi-systematic therapy (MST) program and the day treatment program, which are both funded through RECLAIM Ohio. The MST program has two vacancies for MST therapists as of July 31, 2000. The MST program is best suited for the treatment of serious antisocial behavior in adolescents who are in danger of being removed from their homes and represents a significant departure from more traditional strategies. MST is a home-based services approach developed in response to the lack of scientifically proven, cost-effective treatment. With its focus on family preservation through home-based services, MST shows real promise of achieving lasting results. The day treatment program has a vacancy for a youth development coordinator and a youth services worker. The day treatment program provides a structured environment consisting of education, life skills, cultural activities and mentoring sessions for at risk youth. Interviews with probation staff members stated that both of these programs have been successful forms of probation, but both programs have been hindered by vacant positions not being filled in a timely manner. According to the budget manager, there is sufficient money in the RECLAIM budget for vacant positions to be filled. Therefore, if positions are not filled, it is an internal departmental issue and not a budget constraint problem.

**R4.15** The vacancies in RECLAIM Ohio programs should be analyzed and filled as soon as possible to ensure that the programs are operating effectively and efficiently. Interviews with the MST supervisor, the day treatment program manager, and several other probation staff have supported the view that these programs have been very effective forms of probation. Between January and June 2000, the MST program has had an 89 percent success rate as measured by the youth who have completed the program, have not committed any new violation and are still living at home. The day treatment program achieved a 74 percent success rate as measured by successful completion of the program as of December 31, 1999. However both of these programs have experienced shortages of staff that have hindered the services that the programs can provide to the highest at risk youth.

*Financial Implication:* Filling the two vacancies in the MST program and the two vacancies in the day treatment program would further increase the success both programs have achieved at rehabilitating youth on probation. The cost to fill these vacancies would cost approximately \$156,000 annually in salaries and benefits.

F4.22 Currently, only the probation expediter within the probation department is responsible for placing youth in residential placement facilities. This person is only responsible for completing the paperwork and making sure the youth gets placed. The decision of which residential facility a youth will be sent to resides with the jurists and depends in part, on which facility will accept the youth based on the referral packet sent out by the placement expediter. There are four placement probation officers who are required to monitor the residential facilities in which youth are placed. The placement probation officers main concerns are that they visit youth while they are in residential facilities and that youths are receiving the appropriate treatment. Monitoring the facilities and its staff is a secondary concern. There are objectives and performance indicators stated in the contracts between CCJC and the residential placement facilities. However, there is a lack of proper monitoring of these residential placement facilities to ensure that the facilities are meeting the specified performance measures.

Under the current organizational structure, the placement probation officers report to the regional chief probation officers. In previous years, placement probation officers were centralized and worked under the direction of a manager. Placement probation officers only see youths who are already in residential placement facilities. CCJC's four placement probation officers visit all the residential facilities in which youths are placed. Therefore, if four different youth are assigned to four different placement probation officers and are placed in the same residential facility, each of the placement probation officers must go to that facility to visit the youth. In previous years, placement probation officers were assigned to youth based on the residential placement facility in which the youth was placed. This allowed the facility to deal with only one placement probation officer instead of four.

**R4.16** There should be a centralized residential placement unit that consists of a manager and placement probation officers. The number of placement probation officers should be determined by the number of youth in placement and the number of facilities. This unit should be dedicated to placing juveniles into appropriate residential placement facilities based on the youth's needs instead of available space and cost. This unit should also be responsible for monitoring residential placement facilities, which is currently not being done appropriately. In addition, each placement probation officer should be assigned to specific residential facilities instead of each placement probation officer visiting all the facilities. This would allow each placement probation officer to establish good rapport with the facility and would allow the residential facility to deal with only one placement probation officer instead of four. This type of arrangement would also save the court money in travel expenses because it would prevent four placement probation officers from going to the same facility several times.



The manager of the residential placement unit should be responsible for supervising the placement probation officers so that youth are receiving the appropriate treatment. In addition, it should be the manager's responsibility to ensure that all residential facilities in which CCJC places youth are being evaluated based on specific performance measures. The manager should also be responsible for rotating staff to different facilities so that one placement probation officer does not become too familiar with one facility.

A residential placement unit should have specific performance measures in place to evaluate facilities such as recidivism rates and the number of juveniles who have successfully completed the program. In addition, this unit should also be responsible for administering aftercare services to youth who have been released from residential facilities. Having a separate placement unit would ensure that youth are being placed in appropriate, safe residential facilities based on six critical areas of residential facility operations. These six areas include safety, order, security, programming (including education and treatment), health/mental health, and justice.

F4.23 Currently, the probation department is responsible for monitoring its own programs and has only one probation monitor designated to complete this function. However, the probation monitor only supervises the programs funded through RECLAIM Ohio. One person cannot do a thorough job monitoring all of the RECLAIM programs because of the amount of work it takes to ensure that the program provider and the Court are meeting their contract requirements. The monitoring process for these programs includes quarterly site visits, contract compliance reviews, and progress reports. Progress reports include the number of contacts the program had with the youth, the number of contacts it had with the youth's probation officer, and the program's recidivism rate. Measuring and keeping track of recidivism rates is a new concept that the probation department is implementing. In addition, the monitoring process helps to ensure that the program and the department are within state guidelines (For further information regarding program monitoring, see **organizational and administrative services**).

F4.24 Until it was reorganized in 1998, the probation department was called probation and community services. Under this organization, the department was responsible for intake and assessment, probation investigations, probation supervision, program management, and program planning and development. During 1998, the department was reorganized and renamed to the probation services department. Under this organization, the department is responsible for the PSS unit, probation investigation, and probation supervision. The intake and assessment function was moved to the court services department and the program planning and development function was moved to the administrative services department. Most of the program management functions remained within the probation department under the PSS unit.

F4.25 Since the reorganization of 1998, the probation department no longer has any staff solely designated to track and collect restitution payments from probationers. This function is now

overseen by the supervision probation officers. However, this function is not being adequately completed because of high caseloads and the complications that occur when more than one probationer has to pay restitution to the same victim. For example, when two or more youths are required to pay restitution to the same victim and the youths are assigned to different probation officers, victims have to talk with two or more probation officers to find out about the status of the restitution owed them.

Restitution at HCJC and FCJC is not collected by probation staff, but restitution is collected by probation staff at LCJC. At HCJC, it is the responsibility of the clerk's office to collect restitution from probationers. FCJC has a juvenile restitution unit in its court services department that is responsible for ensuring youth meet their court ordered restitution obligations. The juvenile restitution unit finds sites for youth to work at in the community and are paid five dollars per hour. LCJC has nine employees within the probation department who are designated to help probationers meet their restitution obligations and collect restitution payments from probationers.

**R4.17** CCJC needs to establish a better procedure to collect restitution from probationers. One option could be to transfer the function of collecting restitution from supervision probation officers to the clerk's office. Another option could be to hire additional employees within the probation department to collect restitution. By removing restitution collection, supervision probation officers would have more time to spend with youths, which could potentially reduce caseloads. Victims would be able to contact designated staff instead of several supervision probation officers to find out the status of their restitution payments. Also, centralizing the function would make restitution payments easier to track and collection could be made more efficiently. Therefore, CCJC should consider moving the function of collecting restitution to the clerk's office (For further information regarding the collection of restitution payments, see **court services**).

F4.26 The elimination of the training department resulted in decreased training within the probation department. When the court had a separate training department, new probation officers received six months of training before they were assigned their own caseload as opposed to the current system where new probation officers only receive a minimum of forty hours of orientation. Under the current training procedures, it is the responsibility of the probation managers along with their senior probation officers to train new staff. The problem with this method is that probation managers and senior probation officers have several other duties and responsibilities to attend, including managing caseloads.

**R4.18** CCJC should increase the training requirements for new probation officers. This could greatly improve the communication lines within the probation department and increase efficiency of operations. The training component for probation officers should include the following:

- New employee orientation
- In-service training that updates the policies, practices and procedures of the probation department and the Juvenile Court.
- Professional and skill development through training, education and/or professional affiliations on current trends in the profession.

HCJC has a training program that is jointly coordinated and implemented by court services' training committee, co-chaired by the special services coordinator, a probation team supervisor and the director of the intervention unit, with input from the court services lead team. At least one member of the committee will have completed a 40-hour "train the trainer" course. Additional input may be sought from court services staff on an annual basis. All new employees receive a minimum of 40 hours of orientation based on policies, programs, regulations, and procedures. Provisions exist for acknowledging and giving credit for prior training received. Full time professional employees are required to receive a minimum of 40 hours of training annually. All support staff are required to receive a minimum of 16 hours of training annually. Part time employees working less than 35 hours per week receive orientation and training appropriate to their positions. Employees are encouraged to further their education

F4.27 The probation department no longer has a designated staff person dedicated to seeking grants and other types of funding solely for the probation department. Before the reorganization of the Court in 1998, staff were designated within the probation department to seek grants and other types of funding. Currently, grant writing and finding other funding sources are left to management who do not have adequate time or resources to fulfill this function. Staff members have stated that they do not feel the department is receiving all the funding it is eligible to receive. In addition, staff members feel that a person dedicated to seeking grants would help the department fulfill needed services. None of the peer courts have staff designated within the probation department to grant writing. However, the peer courts do have staff within the court for grant writing that work with probation staff to find other sources of funding (See **organization and administrative services**).

**R4.19** CCJC should have its grant-writing staff meet with the probation department on a regular basis to discuss the needs of the department. Having the grant-writing staff secure additional grants and funding sources for CCJC should help fund existing programs that need more resources, while making possible the establishment of additional programs to meet the needs identified by the probation staff.

F4.28 Recent national statistics from the Office of Juvenile Justice and Delinquency Prevention reported that 20% of the violent crimes committed by juveniles occur after school hours, between 2:00 p.m. and 7:00 p.m. During this time, juveniles who are not involved in structured activities are more likely to become involved with illegal drugs, weapons, gang activities, and other delinquent acts.

F.29 Based on a comparison to the peer courts, CCJC and FCJC are the only courts that have mandatory evening hours for probation officers. CCJC requires probation officers to work on either Monday or Wednesday. Probation officers are allowed to choose which night they prefer to work. Evening hours are from 12:00 p.m. to 8:15 p.m.. The purpose of evening hours is increase accessibility to juveniles and their families. During evening hours, probation officers are supposed to spend a majority of the time in the field making contacts with youth on probation.

FCJC's probation department also mandates evening hours for probation officers, but the probation officer's schedule is taken into consideration to determine which evenings will be worked. FCJC has evening hours until 8:00 p.m. Monday through Friday. General probation officers work evening hours two nights per week from 12 noon to 8:00 p.m. Probation officers who work in the intensive probation unit work evening hours two nights per week. Intensive probation officers only work evening hours two nights per week for the following reasons:

- Three evenings per week greatly limits the times that a youth can be seen at school.
- If a probation officer is scheduled to work liaison duty on a 8:00 a.m. - 5:00 p.m. day, this only leaves one day per week that a youth can be seen at school.
- Three evenings per week limits the time that can be spent in the building doing paperwork.
- Agency contacts often have to be made in the morning in order to catch workers who often go into the field in the afternoon.

HCJC's probation department is in a transition period of requiring evening hours for all probation officers. Currently, only some positions are required to work during the evening. A lot of discretion is given to the staff in determining when evening hours can be worked. On average, probation officers in HCJC only work one to two evenings per month. HCJC believes that requiring evening hours for probation officers will better help the court to accomplish its mission of providing services for the positive development of children and the safety of the community.

LCJC also does not have an official evening hour policy for its probation officers. However, LCJC stated that it would most likely create a formal policy in which probation officers will be required to work evening hours in order for the probation department to be more accessible to the public. Some probation officers at LCJC currently work evening hours without being required to do so.

**C4.1** The chief probation officer has done a good job in recognizing the need for probation officers to work evening hours and creating a policy that requires probation officers to work at least one evening per week. The probation department needs to be accessible to the public, and having evening hours for probation officers is a good way to accomplish that goal.

**R4.20** CCJC should evaluate the benefits of expanding the evening hour policy for probation officers to two nights per week. The benefits of probation officers working evening hours include greater public safety and a better understanding of the youth being supervised. Public safety cannot come first if supervision, such as it sometimes is, takes place in the probation officer's office. Effective probation supervision should take place where youthful offenders live and work. While the office is rightfully the base of probation supervision, the neighborhood should be the place of supervision. Firsthand knowledge of where the youth lives, his family and his immediate and extended environment are critical elements of meaningful supervision. Such community probation should be highly visible, and this visibility should be positive in nature. Meaningful supervision also means that it is conducted at times not confined to the traditional 8:00 a.m. to 5:00 p.m., Monday through Friday, workday. To be effective, it must also be delivered during evening hours.

F4.30 CCJC does not have night court services nor does HCJC, FCJC, or LCJC. Interviews with probation staff at CCJC revealed different opinions about the potential effectiveness of night court services. Some staff believe that the court needs to be more accessible to the public. Other staff members feel that the court should not accommodate the public's desire for increased accessibility because night court services would take away from court staff's families.

Proponents of providing night court services believe it could alleviate the problems associated with new welfare reform policies. Under this new reform, welfare recipients must work, which causes problems for parents who work during the day and have to go to court with their children.

The extra costs of implementing night court services, along with staff resistance, are the two key factors preventing the Court from providing night court services. If night court services were offered, there would be a substantial increase in security costs. In addition, the opinions of several members of the court's staff would have to be changed in order to make them see the necessity of such a service.

F4.31 Chicago, Illinois implemented night court services for narcotics cases in 1989. During the early 1980s, Cook County experienced a great increase in the number of felony prosecutions brought in the criminal courts. The increase in the number of indictments for drug-related crimes caused dangerous over crowding in the county jail facilities. The Cook County Narcotics Night Court Program established the following goals:

- To decrease the caseload-to-judge ratio in order to facilitate an effective and efficient adjudication of cases;
- To decrease pretrial time
- To allocate appropriate attention to both narcotics cases and more serious crimes.

Chicago had both problems and successes in implementing its Narcotics Night Court Program. Problems included judges, clerks, public defenders, Assistant State Attorneys, sheriffs, probation officers, and other court staff raising concerns with the evening hours, the safety issues, and the likelihood of the program's success. Another problem that the narcotic's court encountered was coordinating the various departments involved in the criminal court system. These departments include the County Board, the Chief Judge's Office, the Sheriff's Office, the State Attorney's Office, and the Public Defender's Office. This coordination involved alleviating the fears, through interdepartmental meetings, surrounding the implementation of a new program within the criminal court system. The coordination required selecting judges from within the legal system as well as gathering volunteers from the various departments to work the night court division.

The Cook County Night Narcotics Court could adapt easily to a variety of settings across the country such as large, urban areas that have experienced a rapid increase in drug-related crimes. Any court system with a commitment to control the inflow of narcotics cases can accomplish what Cook County has done. Cooperation by all court agencies, along with leadership from the presiding judge's office, is the key to success.

**R4.21** CCJC should continue to examine the feasibility of implementing night court services. The benefits of night court services would make the court more accessible to the public, and would reduce the number of cases heard during the day. The disadvantages of implementing night court services are the extra cost of running the court during evening hours and the potential resistance that may result from staff members.

If CCJC was to seriously consider providing night court services, the judges and magistrates would have to take a leading role in its implementation. An increased commitment to better customer service would be required from the leaders of the court from the planning stage to its final implementation in order for night court services to be successful.

## Programs

F4.32 Throughout the United States, increasing attention has been given to both the “Balanced Approach” and “Restorative Justice” models in dealing with juvenile offenders. The “Balanced Approach” seeks to involve the community, while the “Restorative” model reflects a disposition that is concerned with restoring victims to more positive health. Across the nation, several juvenile courts have implemented these models by developing community and teen courts as well as appointing a juvenile court community court liaison coordinator.

F4.33 The amount of involvement of parents, probationers, and the community in the juvenile probation system depends on several factors. To better understand these factors, a report developed by the Department of Criminology and Criminal Justice of the University of Maryland entitled “Preventing Crime: What Works, What Doesn’t, What’s Promising” was presented to the United States Congress and prepared for the National Institute of Justice. This report stated that the most basic structural feature of any community is the condition of its families. Basic family practices in child-rearing, marriage, and parental employment appear to have an enormous impact on the criminality of both children and parents. The failure of many parents to marry has been the target of many programs for preventing extramarital pregnancy, especially among teenagers. The failure of many parents to provide consistent affection and discipline to children has been the target of other programs, from parent training to home visitations.

CCJC does not have any programs teaching parenting skills to refer parents of delinquent youth. FCJC refers youth and their families to three different programs that offer parenting services. These services include two planned parenthood and a children’s hospital teen program.

**R4.22** CCJC should consider establishing a program similar to FCJC that is designed to educate parents of probationers on how they can improve their parenting skills. Research has shown that among the most powerful predictors of mental health problems among adolescents are poor family relationships. Children whose parents are hostile, punitive or neglectful, are at risk for developing numerous mental health problems, and children with mental health problems are at risk for developing patterns of antisocial and violent behavior.

F4.34 Probation under community supervision is the most popular choice of disposition for the juvenile justice system. Numerous traditional community-based programs began during the community corrections movement of the 1970s. Nonviolent offenders were placed on community supervision in an effort to avoid or alleviate crowding in commitment facilities and to provide the court with additional options. The benefits of having community-based probation include the following:

- The requirements of probation are easier to complete because services are more accessible to clients.
- Providers of probation services are very familiar with the neighborhoods in which they serve.
- Resources in the community enable the probation department to give juveniles more chances to succeed without sending them to a commitment or detention facility.
- Community services also give juveniles an opportunity to stay at home with their families. Several probation services are geared toward helping the juvenile and their family.
- It is cheaper to keep juveniles in the community instead of confining them in a commitment or detention facility.

**C4.2** CCJC has done a good job in recognizing the trend of using community-based programs to rehabilitate youth. The probation department offers and refers probationers to several programs and services that are located within the youth's community. These programs and services address a wide variety of issues that affect youths and their families. Some of these programs and services include wraparound services, in-home treatment, substance abuse counseling, mental health services, and sex offender treatment.

F4.35 CCJC has a service directory that is a reference for programs that are available for felon, misdemeanor and unruly male and female offenders and their families. The community-based programs in the service directory are intended to provide accountability for the juvenile offender, while developing new opportunities for youth to make productive contributions, build competency and establish a sense of belonging. The service directory lists agencies with which the court has contracts and other programs with which the court does not have contracts but to which it can refer youths for services. The core services provided by the CCJC probation department are administered through the following programs:

- Substance abuse - chemical dependency assessment and treatment programs
- Sex offender programs
- Day treatment programs (education, cultural, and mentoring)
- Family focused programs
- Mental health programs
- In-home treatment programs
- Weapons programs
- Positive education programs
- Mentoring programs/project restoration
- Counseling and diagnostic services



**C4.3** The multi-systematic therapy (MST) program is a family focused program that has enjoyed a great deal of success both locally and nationally. CCJC's MST program reported an 89% success rate as measured by youth who have not committed any new offenses since completion of the program. The Office of Juvenile Justice and Delinquency Prevention (OJJDP) reported several MST programs on a national level have been successful in reducing recidivism rates, improving family and peer relationships, decreasing behavior problems, and decreasing rates of out of home placements.

**R4.23** Although CCJC has done a good job of recognizing the trend of using community-based probation programs, there are still gaps in the services it provides. Currently, there is only one program that is specifically designated for female offenders. The number of female offenders who need specialized services is rising. In addition to additional programs for female offenders, more programs that deal with domestic violence, hate crimes, and parenting programs are needed. CCJC should assess these program needs and fill them in order to ensure youths are receiving the most appropriate services.

F4.36 The probation department operates under a centralized budget. CCJC utilizes a centralized budget in order to hold each department head accountable for his or her department's expenditures. Having the budget function concentrated in one area helps prevent departments from overspending.

The chief probation officer is responsible for the probation department's budget. He meets with the budget managers of the General Fund and RECLAIM Ohio fund in order to discuss the department's budget. They attempt to meet every month to discuss the budgetary issues that affect the department. However, the chief probation officer does not receive monthly management reports that state the department's monthly expenditures and whether or not the department is spending over its budget. Regular management reports are important because they could act as an aid for program and staffing planning.

**R4.24** The probation department should monitor its budgetary practices and spending more closely. The chief probation officer should receive management reports that state the department's monthly expenditures and provide comparisons to its budget. Having monthly management reports will aid the chief probation officer in making decisions about what services the department can obtain.

F4.37 The chief probation officer is responsible for the department's budgetary practices regarding service contracts and service agreements. The two main responsibilities of the chief probation officer in creating new service contracts and service agreements are to discuss the needed services with probation staff and to find out what the needs of the community are. Once this is accomplished, the chief probation office meets with the budget staff to discuss these needs. The chief probation officer and the budget manager discuss the needs and a decision is made whether or not there is money in the budget to fulfill the requests.

The chief probation officer meets with his regional chief probation officers at least once per week. The regional chief probation officers meet with their probation managers twice per month. The probation managers vary in the amount they meet with their probation officers that meet with them. Several probation managers stated that they meet with their probation officers individually and as a unit. Probation officers that were interviewed stated that their probation managers fostered an open door policy where they could talk about issues at any time. The entire probation department attempts to have departmental meetings every three months. However, the department has had trouble finding space large enough to accommodate the entire staff.

During the departmental meetings, the staff has the opportunity to discuss the needs of the department as well as any other concerns. The purpose of departmental meetings is to ascertain what the service needs of the probation department are and to assess whether or not the department can enter into a service contract or service agreement to fulfill those needs. Some probation managers and probation officers have stated that issues are discussed, but nothing ever comes of it. Several suggestions and ideas are mentioned but they are not implemented, and there is no communication why nothing was done. Several staff members stated that they are more concerned about knowing why the suggestions and ideas were not implemented than they were about not having the suggestions and ideas implemented.

LCJC has policies and procedures regarding service needs reviews. LCJC requires that the service needs of the youth population under the supervision of the probation department are reviewed annually. The service needs of youth are determined through:

- Surveys initiated by administrative staff on youth service needs as identified by probation staff.
- Analysis of annual probation statistics which assist in determining those programs to be funded by the court.
- Information generated on court-funded programs in the community.

Results of these surveys, statistical analyses and court-funded programs are reported to the probation department for review.

**R4.25** CCJC should use some of the methods used by LCJC to assess the needs of the probation department. Although the chief probation officer does ask all staff for input about the needs of the department, there is a lack of communication about what needs can be fulfilled. Good management practice requires keeping staff informed about the issues facing the department. If specific services and programs cannot be created, the chief probation officer along with the deputy chief probation officer and the regional chief probation officers should communicate the reasons with the rest of the staff. Reasons should include strategies on what can be done until the department can fulfill the needs.

F4.38 The probation department does not have a detailed list of procedures for its budgetary practices regarding service contracts and service agreements. Furthermore, the chief probation officer does not have a formal method of ascertaining the needs of the department.

HCJC has a detailed list of procedures for budgetary practices regarding its probation department. In order to prepare a budget, all facets of ongoing programs, new programs proposed, and long range goals are evaluated. By approximately June 1<sup>st</sup>, a solicitation of needs is sent to each administrative staff. This solicitation includes a due date for submittal in order for the needs to be used in the production of the budget request. Items to be considered when developing the requests are:

- Evaluating existing and projected staff needed
- Evaluating existing space and projected needs for capital improvements
- Evaluating existing and projected needs for consumable and non-consumable items.
- Evaluating existing and projected travel and staff training needs.

HCJC personnel (i.e., DYS coordinator, chief probation officer, executive director of court services and designees) draft written agreements with approximately licensed, community residential and non-residential programs. All agreements are signed by the administrative judge, Hamilton County Board of Commissioners or their designee, and each community group residential or non-residential program signatory authority.

**R4.26** CCJC should implement some of the policy and procedures used by HCJC for budgetary practices regarding its probation department. CCJC's probation department should have a detailed list of procedures regarding its budgetary practices for service contracts and service agreements. The chief probation officer should evaluate all existing programs, new programs proposed, and long range goals in order to ascertain the needs of the department. Once this is completed, the chief probation officer would be better able to communicate with budget personnel about the probation department's budget.

F4.39 The probation department does not effectively monitor allocated funding for each of its programs. The district probation offices receive a list of program referrals that were made by each district probation office and by program. However, these referral reports do not indicate the number of available spaces that each program can service. In addition, these reports do not tell the user which programs need to have fewer referrals because of a lack of funding. In August 2000, referrals to in-home treatment programs which are funded through the General Fund had to be stopped because of lack of money in the budget to pay for the services. In-home treatment programs provide services to youth who have problems with parent/child conflict, adolescent adjustment, mental health issues, or are at risk of removal from home. Staff interviews indicate that in-home treatment programs are excellent programs for rehabilitating youth.

**R4.27** All probation programs should be monitored to ensure that referrals to programs nearing budgetary limits are admitting only youths who have the highest need for the services. The district probation offices should receive a list of program referrals that indicate the number of available spaces that each program can service. In addition, these reports should tell the user which programs need to have fewer referrals because of a lack of funding. The benefit of this report would be to inform staff who makes referrals aware that the program has used most of its funding, and that they should place their highest need youth first and refer the rest of the youth to different but appropriate programs.

### *RECLAIM Ohio Programs*

F4.40 **Table 4-14** summarizes RECLAIM program statistics for CCJC, FCJC, HCJC, and LCJC during FY 1999. Each county that uses RECLAIM funds is required to report the following information to the Ohio Department of Youth Services.

**Table 4-14: RECLAIM Statistics for CCJC, FCJC, HCJC, and LCJC for FY 1999**

	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>Total Admissions</b>	1,135	465	1,656	123	748
<b>Successful Completions</b>	355	160	739	40	313
<b>Successful Completions %</b>	<b>31%</b>	<b>34%</b>	<b>45%</b>	<b>33%</b>	<b>37%</b>
<b>Still in Program</b>	548	139	524	31	231
<b>Still in Program %</b>	<b>48%</b>	<b>30%</b>	<b>32%</b>	<b>25%</b>	<b>29%</b>
<b>Missing Data</b>	3	40	123	5	56
<b>Missing %</b>	<b>0.3%</b>	<b>8.6%</b>	<b>7.4%</b>	<b>4.1%</b>	<b>6.7%</b>
<b>Other <sup>1</sup></b>	229	126	270	47	148
<b>Other %</b>	<b>20%</b>	<b>27%</b>	<b>16%</b>	<b>38%</b>	<b>27%</b>

Source: Ohio Department of Youth Services, Office of Research

<sup>1</sup> Other program status can include AWOL, adult arrest, parole violation, adjudication on a new offense, youth moved from county, or youth deceased.

During FY 1999, CCJC admitted the second most number of youths (1,135) to RECLAIM programs than the peer courts. CCJC reported a 31 percent successful completion of youth who were enrolled in RECLAIM programs, which was the lowest successful completion rate reported by the peer courts. In addition to the lowest successful completion rate, CCJC also reported 48 percent of youths admitted to RECLAIM programs were still enrolled in the same program at the end of FY 1999, which was 66 percent higher than the peer average. This may indicate that youths at CCJC are on probation longer than necessary. CCJC had the lowest percentage of missing data compared to the peers, which indicates that CCJC keeps adequate records of the youths enrolled in RECLAIM programs. CCJC also reported the second lowest percentage (20 percent) of youths classified as other status.

CCJC used 12 different program types to rehabilitate youths in FY 1999. However, seven program types accounted for a majority of the number of youths admitted to RECLAIM programs. **Table 4-15** breaks down the total number of youths admitted to RECLAIM programs by program type for CCJC and the peer courts.

**Table 4-15: RECLAIM Statistics by Program Type for CCJC, FCJC, HCJC, and LCJC**

Program Type	Admitted Youths	Successful Complete	Still in Program	Missing Data	Other	Success Comp. %	Still in Program %	Peer Average	
								Success Complete %	Still in Program %
<b>Day Treatment</b>									
CCJC	179	46	72	1	60	26%	40%	<b>28%</b>	<b>27%</b>
FCJC	62	20	14	5	23	32%	23%		
HCJC	16	4	5	1	6	25%	31%		
LCJC	0	-	-	-	-	-	-		
<b>Aftercare Enhancement</b>									
CCJC	90	4	83	0	3	4%	92%	<b>N/A</b>	<b>N/A</b>
FCJC	0	-	-	-	-	-	-		
HCJC	49	40	2	0	7	82%	4%		
LCJC	0	-	-	-	-	-	-		
<b>Wrap Around Services</b>									
CCJC	118	19	85	0	14	16%	72%	<b>N/A</b>	<b>N/A</b>
FCJC	0	-	-	-	-	-	-		
HCJC	8	0	6	0	2	0%	75%		
LCJC	0	-	-	-	-	-	-		
<b>Out of Home Placement</b>									
CCJC	49	28	7	0	14	57%	14%	<b>27%</b>	<b>33%</b>
FCJC	5	0	3	1	1	0%	60%		
HCJC	656	403	36	64	153	61%	5%		
LCJC	31	6	11	2	12	19%	35%		
<b>Sex Offender</b>									
CCJC	86	15	42	0	29	17%	49%	<b>N/A</b>	<b>N/A</b>
FCJC	0	-	-	-	-	-	-		
HCJC	0	-	-	-	-	-	-		
LCJC	11	6	3	0	2	55%	27%		
<b>Substance Abuse</b>									
CCJC	16	0	13	0	3	0%	81%	<b>30%</b>	<b>28%</b>
FCJC	24	5	6	4	9	21%	25%		
HCJC	11	4	4	0	3	36%	36%		
LCJC	9	3	2	0	4	33%	22%		
<b>Mental Health</b>									
CCJC	589	238	245	0	106	40%	42%	<b>27%</b>	<b>20%</b>
FCJC	11	3	2	1	5	27%	18%		
HCJC	0	-	-	-	-	-	-		
LCJC	27	10	7	1	9	26%	22%		

Source: Ohio Department of Youth Service, Office of Research

Based on a comparison of the peers of CCJC's seven most used program types, CCJC had higher percentage rates of successful completions for wrap around services, out of home placements, and mental health services at 16 percent, 57 percent and 40 percent respectively, which indicates these programs are effective forms of probation. However, CCJC was below the peer average for successful completion rates for day treatment, aftercare enhancement services, sex offender services, and substance abuse treatment. More specifically, CCJC reported a 26 percent successful completion rate for day treatment while the peer average was slightly higher at 28 percent. CCJC had a 4 percent successful completion rate for aftercare enhancement services compared to HCJC's 82 percent, which indicates CCJC needs to make improvements to their aftercare enhancement services. CCJC reported a 17 percent successful completion rate for sex offender services while the LCJC reported a 55 percent. CCJC did not report any successful completions for substance abuse treatment while the peer average was 30 percent. CCJC was below the peer average for the percentage of youths still enrolled in wrap around services and out of home placements at the end of FY 1999, which indicates that CCJC was more successful at rehabilitating youths more efficiently for these types of programs than the peers. However, CCJC reported the highest percentages of youths still enrolled in day treatment, aftercare enhancement services, sex offender treatment, substance abuse services, and mental health counseling services at the end of FY 1999 than all of the peers. These higher percentages may indicate that youths at CCJC may be spending a longer time on probation than necessary based on similar probation programs used by the peer courts.

**R4.28** CCJC should assess if providers of probation programs keep youths enrolled in these programs longer than necessary. Based on the peer comparison of similar probation program types, CCJC has a higher percentage of youths remaining in programs than the peers. CCJC should consider contacting the peer courts who have similar probation programs that have reported more successful completions of youths and fewer youths still enrolled in the same program than CCJC. More specifically, CCJC should contact HCJC to ascertain how HCJC is able to successfully complete more youths and have fewer youths remaining in their aftercare enhancement services, out of home placements, and substance abuse services. Also, CCJC should consider contacting FCJC to ascertain how FCJC is able to successfully complete more youths and have fewer youths remaining in their day treatment services. CCJC should also consider contacting LCJC to ascertain how LCJC is able to successfully complete more youths and have fewer youths remaining in their sex offender services and substance abuse services. When contacting the peer courts, CCJC should discuss individual program goals, program objectives, performance measures and suggested length of time youths should be enrolled in different types of programs.

F4.41 In addition to submitting statistics to ODYS regarding RECLAIM programs, CCJC also internally tracks recidivism rates for their probation programs. Recidivism is defined as an adjudication or adult conviction for a new offense or an adjudication for a probation violation or a violation of court order. Recidivism rates used in conjunction with program objectives and performance indicators, which are stated in CCJC's service agreements, determine a program's success. **Table 4-16** summarizes recidivism rates for CCJC's programs from April 1, 1999 to December 31, 1999.

**Table 4-16: Recidivism Rates**

Programs	# of Youth who did Recidivate	# of Successful <sup>1</sup> Completions	Recidivism Rate <sup>2</sup>
Multi-systematic therapy	8	62	13%
Linkages	13	110	12% <sup>3</sup>
Residential	11	30	37% <sup>3</sup>
Wraparound	12	47	26%
Sex Offenders	0	18	0% <sup>3</sup>
Substance Abuse	8	89	9%
Day Treatment	14	49	29%
Domestic Violence	13	109	12%
YDC Aftercare	5	22	23%
Youth Advocacy	47	289	16%
Probation Villages	0	3	0%
Drug Court	0	4	0%
Leaders of Tomorrow	4	16	25%
Clinical Assessments	0	0	0%
Intake Diversions	0	0	0% <sup>3</sup>
<b>Totals</b>	<b>136</b>	<b>848</b>	<b>16%</b>

Source: Research, Planning & Evaluation Unit, Administrative Services Department

<sup>1</sup> Successful terminations are based on programs that had releases as of 12/31/99

<sup>2</sup> Success rate for recidivism was based on successful terminations as of 4/1/99 to 12/31/99

<sup>3</sup> Some of the linkages programs, residential placement facilities, sex offender programs, and the intake diversion program did not have any releases as of 12/31/99.



It is apparent from **Table 4-16** that some of CCJC’s programs are more successful at preventing youths from recidivating than others. This is because different programs are designed to treat different types of youth. For example, wrap around services are most appropriate for youth who have severe behavioral or emotional problems, psychiatric or substance abuse issues or entire families with a multiple of needs. Since this program is geared toward youths and their families that have multiple needs, wrap around services had a lower percentage rate of successful completions and a higher recidivism percentage rate. Youths who have multiple needs are more likely to commit new offenses and to not complete programs than youths who have fewer needs.

The peer courts do not internally track recidivism rates for probation programs like CCJC. Since HCJC believes recidivism is a weak indicator of a program’s success, the probation department does not have immediate access to this data. However, in the future, HCJC plans on integrating recidivism information into a comprehensive performance measurement system and will use recidivism information in conjunction with many other indicators to measure a program’s success. Therefore, no recidivism data is available either from the recent past or currently to compare to CCJC’s recidivism rates. FCJC and LCJC also do not keep statistics on youths after probation has been completed.

F4.42 In its service contracts and service agreements, CCJC requires that program providers ensure objectives and performance indicators are met. For example, Bellfaire, Berea Childrens’ Home, and Parmadale all have service agreements with the court to provide wraparound services. The service agreements stated the following objectives and performance indicators:

Objectives	Performance Indicators
1. 75% of adjudicated youth admitted to the program during the contract period will successfully complete the program	1. Number of adjudicated youth admitted to the program during the contract period who successfully complete the program.
2. 40% of adjudicated youth admitted to the program will not recidivate within 3 months of successful release from the program	2. Number of adjudicated youth who do not recidivate within 3 months of release from the program.

The above objectives and performance indicators are Ohio’s minimum standards for wrap around services. The second objective is a poor standard because it takes longer than three months to adjudicate a youth. In other words, a youth could complete the wrap around program and commit an unlawful offense the next day and still be counted as successfully completing the program because it would take longer than three months to adjudicate the youth. Therefore, every youth who completes the program will meet the second objective, which gives a false sense of the program’s success. According to internal RECLAIM program tracking information, the three wraparound program providers that CCJC uses have a combined successful termination rate of 53 percent and a combined recidivism rate of 26 percent. Bellfaire, Berea Childrens Home, and Parmadale had successful termination rates

of 16 percent, 66 percent, and 62 percent respectively. Therefore, none of the program providers met the first objective of the service agreement. Individually, Bellfaire, Berea Childrens' Home, and Parmadale had recidivism rates of 33 percent, 24 percent, 26 percent respectively. All three program providers meet the second objective of the service agreement. However, as previously mentioned, the second objective is not an accurate measure of success because it takes longer than three months to adjudicate a youth.

The chief probation officer is required to complete a vendor performance evaluation form for each program. When a program is being evaluated, the terms and conditions of its service contract or service agreement are to be compared to the vendor's actual performance. An evaluation criterion takes into account the timeliness, quality and effectiveness of the services and the vendor's ability to meet the objectives and performance indicators stated in the contract or agreement. All three vendors who operate wraparound programs received the highest rating of good for its overall performance despite the fact that all three programs did not meet the objectives stated in the service agreement.

One agency provider of wraparound services was asked to comment on their failure of meeting the first objective of their service agreement. The agency stated that they did not meet the stated objective in their contract, and that no corrective action was taken by the probation department. The probation department's program monitor discussed ways the contract objectives could be met with the agency.

HCJC recently started to create specific performance measures for some of its probation programs in which program providers must meet. These specific performance measures are in addition to the state's minimum objectives and performance indicators. For example, HCJC's residential treatment program for female offenders has the following performance measures and state requirements:

- Each female has short term and long term goals that must be met. The goals are specific to the female's personal needs. Each female must meet a majority of the goals set for her.
- The parent or guardian of the female must have an 80 percent attendance rate
- The program must have a 70 percent successful completion rate
- Females who successfully complete the program should not commit any new offenses and be adjudicated within three months.

**R4.29** CCJC should monitor the performance of the agencies with which it has service contracts and service agreements. The fact that CCJC has objectives and performance indicators in its service contracts and service agreements are only meaningful if they are measured and assessed. The purpose of implementing program objectives and performance measures is to ensure that the program meets the service needs of youths and their families. If an agency is not meeting those objectives or performance measures, the probation department should ascertain why they were not met and should work with the agency to make sure that youth are receiving appropriate care. Since it takes longer than three months to adjudicate a youth at CCJC, this fact should be taken into consideration when CCJC creates their service agreements with program providers. CCJC should also create specific program objectives and performance measures for each of its probation programs in a manner similar to HCJC. Performance measures should include individual short term and long term goals for youths that must be met. This would allow CCJC to have another measure to gauge a program provider's performance.

### *Residential Placements*

F4.43 Residential placement is the most expensive form of probation. The budget allocates \$3.4 to \$3.5 million for residential placement per year from a combination of the General Fund and RECLAIM monies. However, in recent months the Court has spent \$700,000 per month for residential placements. CCJC has been able to fund all residential placements because of excess money in the RECLAIM budget. However, at the current rate of residential placements, this excess will be completely depleted by the end of fiscal year 2001.

The peer courts do not have issues with overspending for out of home residential placements. HCJC's Hillcrest Training School is able to service youth who need to be removed from home. In addition to Hillcrest Training School, HCJC contracts with a local agency that conducts a clinical assessment on youths to determine what types of services the youth requires so that out of home residential placement can be avoided and youths can be placed in appropriate community-based programs while remaining at home. FCJC's probation department is not responsible for placing youth in out of home residential treatment. When the probation department determines that a youth needs to be placed in an out of home residential treatment program, a referral is sent to the children's service board. The youth is placed in temporary custody of children services until the court hearing determines if the youth needs to be sent to a out of home residential treatment facility. FCJC also has improved their aftercare programs so that youths may be removed from out of home residential treatment more quickly and treated in the community. LCJC has a committee that assesses a youth's progress in out of home residential treatment every 90 days. If the youth is not making adequate progress, the committee will recommend the youth be removed from the residential treatment facility. However, LCJC's residential placement coordinator works with the agency so that youths placed in residential treatment facilities successfully complete the program.

**R4.30** CCJC should create strategies for reducing placement costs. A program evaluation report on juvenile out-of-home placement was conducted by the Office of the Legislative Auditor, State of Minnesota in January 1999. This report revealed several strategies that counties could use to reduce placement costs. Some of the strategies included the following:

- Having pre-placement panels or committees review and screen placement recommendations
- Increasing interagency (social services, corrections, schools, law enforcement, etc.) cooperation through collaboratives.
- Reducing caseloads for probation officers
- Using community-based programs, such as intensive supervision, mental health counseling, and mentoring
- Accessing family-based programs, such as in-home family counseling and parental education.
- Creating school-based programs, such as in-home family counseling and probation officers based in the schools.
- Developing truancy programs, including alternative schools for truants
- Making culturally specific programs available
- Using electronic home monitoring
- Making services available to children and families after the children return home.
- Using treatment foster care as an alternative to residential treatment facilities
- Placing children for shorter periods of time
- Aggressively pursuing parental fees
- Making available to each probation officer monthly statistics about the placements they made - the number of placements, days of care, and costs

CCJC has the capability to use some of these suggested strategies. For example, the court uses community resources for mental health programs, mentoring programs, in-home counseling, and electronic monitoring. CCJC should make certain that these resources are being used to their maximum effectiveness. CCJC should also provide reports to probation managers and probation officers that depict monthly statistics about the placements they made. These reports should include the number of placements, days of care, and the costs involved in the youths care. CCJC should also ensure their aftercare programs are suitable to treat youths and their families after the youth has been released from residential treatment facilities in order to reduce recidivism rates. In addition, the probation department should convene a committee that reviews and screens cases that have been referred to residential placement facilities by probation officers. This committee should assess whether or not placing a youth in a residential facility is the most appropriate treatment option.

F4.44 The number of youths being placed into residential facilities by CCJC has tripled since 1998. According to the probation expediter, the increased number of youth in residential facilities can be attributed to the changing philosophy of jurists, who do not want to commit youth to

the Ohio Department of Youth Services (ODYS). ODYS operates nine state institutions and two residential centers. The two residential centers operate programs designed to treat youths who need intensive substance abuse services, are medically fragile or mentally retarded. However, there appears to be a greater stigma attitude to youth being sent to ODYS than to those placed in residential treatment despite the fact that ODYS has excellent treatment programs.

**R4.31** CCJC should assess why youth are being sent to out-of-state residential facilities when the Ohio Department of Youth Services (ODYS) has two residential treatment centers. One is a drug treatment center and the other is for medically fragile and mentally retarded youth. Both provide intensive residential treatment to youths committed to ODYS who have high needs in these areas. All residential centers provide program orientation, individual counseling, group sessions, religious services, and family treatment and recreation, as well as specialized services.

In addition, CCJC should assess whether or not using excess RECLAIM Ohio funds to finance residential facilities is appropriate. Using RECLAIM dollars to commit juveniles to residential placement defeats the purpose of the initiative plan. RECLAIM Ohio was developed in 1993 by the ODYS to help alleviate the burden on the juvenile justice system. RECLAIM Ohio enables local courts to target specific areas where funds can be used to divert youth from being institutionalized. Programs funded by RECLAIM Ohio serve youth who are eligible for a commitment to ODYS, as well as misdemeanor offenders. Each program and each person served by RECLAIM Ohio is tracked and monitored (see **organization and administrative services** for more information on the use of RECLAIM funds).

### *Model Programs for Early Intervention and Delinquency Prevention*

F4.45 Communication with the community is an important factor in preventing delinquency. Interviews with various probation staff indicated that CCJC does not effectively communicate with the community about what the juvenile court can and cannot do. Research has shown that each community may have a different set of risk factors for delinquency and other problem behaviors, or a different combination of factors. Therefore, it is important for every community to conduct its own assessment of factors that lead to delinquency, dependency, abuse and neglect, and to select its own interventions from a variety of program options.

**R4.32** CCJC should engage in more community relations within the county in order to improve its juvenile justice system. Making the public aware of the operations and capabilities of the juvenile court would help the probation department better serve youth and their families. In addition, CCJC needs to work with the community to find solutions to juvenile crime. A series of professional speakers is an excellent way to engage diverse community leaders on juvenile justice issues. Suggested topics could include: overview of the juvenile justice

system in Cuyahoga County; history and importance of the juvenile court; current challenges in the juvenile justice system; myths and facts about juvenile crime; and minority youth in the juvenile justice system. The Juvenile Court Centennial Initiative, which is supported by the Office of Juvenile Justice and Delinquency Prevention, suggests a series of professional speakers should include the following components:

- Ask a local university, high school, civic association, faith organization or business to host the speaker series.
- Schedule the speaker series over several weeks, at varying times, at locations near public transportation, and make child care available to ensure maximum community participation
- Ask a juvenile court judge, a juvenile defender, juvenile court administrator, juvenile probation officer, community-based juvenile justice program director, or juvenile justice state advisory group chair to come speak.
- Involve youth in the planning and organizing of the speaker series.
- Invite an author to speak about their latest book on juvenile justice issues.
- Ask community and business leaders to participate by giving brief opening remarks or hosting a pre or post event reception.
- Post flyers with a calendar for your speaker series.
- Send the speaker series calendar to local newspapers to include in their weekly schedule of community events.

F4.46 The critical importance of early prevention and intervention for reducing delinquency, crime, and violence has been consistently documented by research findings. There is clear indication that problem behavior often begins early in life, and there is strong evidence of substantial continuity between problem behavior in early childhood and later adolescent delinquency and serious adult criminality. Not only can early prevention and intervention reduce future crime and delinquency, but waiting until the mid-to-late teenage years to intervene in serious, persistent delinquency commonly reduces the chance of successful rehabilitation.

F4.47 National research states that juvenile courts need to engage in delinquency prevention and intervention programs. According to the Janiculum Project, which provides recommendations that are designed to serve as a model for action for legislators, executive branch officials, and members of the judiciary for juvenile court reform, juvenile courts should engage in more community-oriented problem solving to identify the sources of delinquency, dependency, abuse, and neglect. The Janiculum Project, which was supported by the national State Justice Institute and the federal Office of Juvenile Justice and Delinquency Prevention, stated that the juvenile court should be a leading participant in community planning teams that use a research-based framework to develop prevention and early intervention programs, including family preservation, family strengthening, parent training, and pre- and post-natal home visitation, and child care.

**R4.33** CCJC should engage in comprehensive approaches to delinquency prevention and intervention which include collaborative efforts between the juvenile justice system and other service provision systems, including mental health, physical health, child welfare, and education. Delinquency prevention and early intervention are the most cost-effective strategies in reducing juvenile crime. CCJC should also provide community-based programs for youth at greatest risk of involvement in delinquent activity and should allocate more resources to early intervention with children in dysfunctional families. These families can be identified using objective risk and needs assessment instruments, such as those recommended by the national State Justice Institute and the federal Office of Juvenile Justice and Delinquency Prevention.

F4.48 CCJC's probation officers do not provide intervention counseling services to siblings of youths who are on probation. Supervision probation officers only tries to get the youth on probation and the parents involved in the probation process. The current focus on older youths does little about the younger children who could soon follow the same nonproductive paths as the older, seriously delinquent youths in their families and communities. The current focus on older juveniles is at best a stopgap measure; in the coming years, in the absence of effective early prevention and intervention, younger delinquents will replace today's older serious delinquents. Research supports the opinion that siblings who have brothers or sisters on probation are more likely than other youths to commit an offense and be placed on probation themselves. This fact was collaborated by several members of the probation staff who stated many of the same families are involved with the probation department for more than one child.

**R4.34** CCJC's probation officers should provide intervention counseling services to siblings of youths who are on probation. The Balanced Approach model of juvenile justice supports that probation officers should refer younger siblings of probationers to preventive programs to break the delinquency cycle. Involving younger brothers and sisters in the probation process could prevent them from committing an offense and being involved with the juvenile court.

F4.49 Despite the wide variety of programs offered by or through the probation department, there are no early intervention or prevention programs such as school-based probation that try to deter youth from committing delinquent acts. Since 1990, the Pennsylvania Commission on Crime and Delinquency has provided more than \$5 million in funding support for school-based probation programs in 50 of Pennsylvania's 67 counties. Through this program, some 150 probation officers, working in about 300 schools, have served more than 16,000 juveniles. The goals of this program are too more effectively monitor day-to-day behavior of youths under supervision, reduce school violence and disciplinary incidents, improve school attendance, reduce school suspensions and expulsion, improve academic performance and reduce recidivism among targeted youth. However, the real, hidden value of school-based probation is the way it brings experienced probation officers into routine contact with at-risk youth - both formally and informally, as mentors, speakers, role models, and cautionary advisors. Some probation officers who have participated in school-based

probation programs in Pennsylvania have stated that the program has had a profound effect on kids who were not on probation. Probation officers located in the schools are often allowed to give classroom presentations about the probation process and county juvenile detention facilities, which clears up some misconceptions youths have about juvenile detention centers being a great place to go. The results of the program vary from county to county in Pennsylvania, but a large scale study found that school-based probation officers, school administrators, and students on school-based probation across the state strongly believed that the program was effective in boosting attendance and academic performance and reducing misbehavior in school.

- F4.50 Pennsylvania is not the only state that has implemented school-based probation programs as an early intervention method. California, Arizona, and Maryland have also had implemented similar programs. In Bakersfield, California, the Kern County probation department's office of community partnerships and preventive services operates the nation's longest running school-based probation program. The first Kern County probation officer was placed in Bakersfield High School under a Juvenile Justice Advocacy Grant from the Office of Juvenile Justice and Delinquency Prevention in 1975. Currently the department has what it calls prevention specialists in each of the nine high schools in metropolitan Bakersfield, sharing office space with school administrators and counselors, supervising caseloads, handling referrals, and conducting teacher training and law related education classes. The program is paid for out of the county budget.

The Sacramento County, California probation department sends juvenile probation officers into area schools under a variety of special programs. Apart from the direct probation supervision, Sacramento County's school-based probation officers are involved in gang identification, truancy reduction, conflict prevention, intensive counseling, and teacher training. Some are paid by the county, some by the school district, and some under special grants with their own funding sources.

In Maricopa County (Phoenix) Arizona, the safe schools program, which has been in operation since 1995, currently assigns 24 juvenile probation officers to full-time work in the schools. The safe school program's overall purpose has more to do with prevention and law-related education than with direct probation supervision; however, most participating probation officers carry minimal caseloads or none at all, merely serving as liaisons for the probation officers who are assigned to supervise students in their schools. Instead, they concentrate on making class presentations and providing teacher training, counseling individual students, moderating support groups, overseeing conflict resolution activities, and smoothing communications between the educational and court systems. A total of 35 schools in 12 school districts participate in the program, which is paid for by a state grant.

The Maryland Department of Juvenile Justice recently initiated its state-funded Spotlight on Schools program, which has placed a probation officer in at least one school in each of the state's counties. Spotlight on Schools is based on a pilot program operated in a cluster of



schools in southern Prince George's County during the 1996-97 and 1997-98 school years. A preliminary evaluation of the pilot program - under which juvenile probation officers supervised students on probation, handled intake for new referrals, and conducted staff development classes, among other activities - found a significant decline in absenteeism, disciplinary referrals, and suspensions among probationers during the program's first year.

**R4.35** Based on the success of other states' school-based probation programs, CCJC should consider implementing some form of school-based probation. At a minimum, CCJC should establish a rapport with Cleveland area schools that would enable probation officers to make classroom presentations and talk to youth about the facts of probation and the juvenile justice system. This type of program should be geared toward youth under the age of 12. There is a lot of potential for a school-based probation program in Cleveland area schools because probation officers already make contact with several school officials during investigations and supervision of youth.

There are several benefits to a program like school-based probation. One benefit is that the probation officer has the ability to see the youth interact with their peers on a day to day basis. School is where most of the youth's time is spent, most of their challenges faced, and most of their struggling and growing done. School is the best place to get to know youth, who their friends and enemies are, what pressures they are under, what matters to them and why. In addition, the probation officer is able to initiate contact with the youth frequently, while standard probation supervision may entail only one or two scheduled meetings a month. Only seeing a youth once per month does not give a realistic view of what is going on within the youth's life. School-based probation enables the probation officer to have a continuous picture of the youth in order to better rehabilitate him or her. Another benefit of school-based probation programs is that it increases the quality of the contacts that the probation officer has with the youth.

F4.51 CCJC's probation department does not have an intensive probation program. The department utilized an intensive probation program until it was cut in 1998. The program utilized a team approach in an effort to provide high levels of supervision to the highest risk youth.

HCJC's probation department has a team approach for its intensive probation program. The team consists of a probation team supervisor, seven to eight probation officers with some handling only special cases, and a probation monitor. The team is supplemented by a support team, which consists of intake clerks and a receptionist, and a victim's unit team, which consists of four victims officers and one clerk. According to the chief probation officer, HCJC's intensive probation program has been fairly successful. The probation department is currently making changes to the program so that youths who are at the highest risk from being removed from their homes are being placed in the program first.

FCJC's probation department also has an intensive probation (ISP) program. This unit consists of probation officers, who are committed to providing structured supervision and comprehensive services to high risk youth with a continual attention to community safety. Intensive probation is a highly structured, community-based program in which there is greater frequency of contacts and linkages with other community programs in an effort to diminish the risk of subsequent delinquent behavior. FCJC's intensive program's structure has changed over the years because the number of probationers increased and it became clear to the court that the intensive probation unit needed to expand and evolve to fit those needs. Currently there are nine officers in the intensive probation unit. Three of those officers work with extreme at-risk youth and carry caseloads of 15 to 20 probationers. These officers are called ISP -I. The other six officers are called ISP - II. These officers work with probationers who are considered high risk, but not as high as probationers in the ISP-I program.

When FCJC's probation department was creating its intensive probation unit, it researched other counties across the country that have intensive probation units. All of the counties that FCJC researched used a team-based approach and had fairly small caseloads. Cook County (Chicago), Illinois has three person teams with a maximum caseload of 40. Phoenix, Arizona has two person teams with a maximum caseload of 25 and three person teams with a maximum caseload of 40. In Jasper County, Southwestern Missouri, an intensive probation unit caseload is 25 with three contacts per week. For the most part, the probation officers at FCJC have become comfortable and accustomed working their own caseloads and do not feel that a team approach is workable at this time with the number of youth on ISP probation. FCJC's intensive probation program is funded through RECLAIM Ohio funds and had a 60 percent success rate as measured by youths who were not committed to ODYS after completing the program. If FCJC did not have an intensive probation program, the youth who did not successfully complete the program might have been committed to ODYS earlier.

**R4.36** CCJC should develop an intensive probation program for its youth assessed to be most at risk. The benefit of such a program would be a higher level of supervision by the probation officers. Close supervision of youth could enhance compliance with terms of probation and law-abiding behavior. The costs associated with placing a young offender on intensive probation are considerably less than incarceration. However, to fund an intensive probation program, CCJC should consider the feasibility of using RECLAIM Ohio dollars. Successful completion of an intensive probation program could result in fewer commitments to a residential placement or detention facility, thus reserving space for more serious offenders.

## Technology

F4.52 Although CCJC did not implement the probation module, the probation department has access to the following information through the Juvenile Information System (JIMS).

- Identity of the juvenile on probation
- CCJC personnel involved with the juvenile
- Juvenile's family members background information
- Other agencies or programs with which the juvenile is involved
- Case disposition
- Duration of the probation sentence
- Fines or court fees associated with the case
- Probation termination status
- Case notes or narratives
- Procedures for court ordered community service
- Information regarding whether or not the conditions of the court order were satisfied
- Placement location
- Date probation officer was assigned or terminated
- Risk assessment total score
- Probation officer who completed the risk assessment
- Additional background information CCJC has on the juvenile

Probation department personnel have the ability to produce reports based on the above listed information. The probation department module provided by PROWARE provides a more comprehensive case management system that could assist the probation department in conducting daily operations in an effective and efficient manner.

**R4.37** If CCJC implements the probation module, the probation department could use the JIMS system to improve probation officer case assignments, obtain more information on facilities and programs, schedule and track contacts by probation officers to youths, and enhance management reports. By not implementing the JIMS system's probation module, CCJC ability to increase accountability of the probation department has decreased.

F4.53 PROWARE provides separate modules for the probation and the detention departments. However, due to financial constraints, CCJC did not include a probation system in its contract. The specialized features for probation and detention departments include the following:

- Officer Assignments
- Contact Tracking
- Special Programs
- Intervention Unit
- Work Detail
- Electronic Monitoring
- Visitation Tracking
- Incident Tracking
- Medical Processing
- Facilities/ Programs

**R4.38** CCJC should contract with PROWARE for the probation module enhancements. The probation department provided a list of desired features for the Juvenile Information Management System (JIMS) that would improve day to day operations, and would lead to better services for juveniles overall. Currently, JIMS is not comprehensive and only provides probation employees with general information. Furthermore, JIMS does not provide probation with comprehensive information regarding the program effectiveness for the youth or case management support.

*Financial Implication:* According to the court administrator, the probation module would cost approximately \$182,000.

F4.54 Only select probation staff had received training on JIMS before its implementation date of July 24, 2000. The training occurred three months prior to the implementation, which has hindered some users' ability to use the system because a significant length of time has passed since they last used it. The benefits of having the entire staff trained on the JIMS system are that the available technology would be used to its full capabilities and users would be able to use the new system to complete their job functions more efficiently.

**R4.39** The chief probation officer should make sure that the entire probation staff receives training on the JIMS system. The regional chief probation officers should be responsible for ensuring that the probation managers under their supervision know how to use the JIMS system. In addition, the probation managers should be responsible for assuring that probation officers that are under their direction are using the JIMS system to its full capabilities. Training should be provided by the research, planning and evaluation department.

F4.55 CCJC does not use any automated processes to monitor youth who have been placed on probation. However, across the county several probation departments are using a high-tech tool for monitoring short-term, low risk probationers. For example, the Marion Superior Court Probation Department in Indianapolis, Indiana implemented the PAM (Probation Automated Monitoring System) kiosk, developed by AutoMon Corporation, which allows specific probationers to report using an ID card and then verifying their identity by placing their fingerprint into a fingerprint reading device. This combination triggers an ATM type machine to complete an interview with the probationer. During that interview the probationer is asked to verify some specific information, including any changes such as employment, where they live and if there has been any contact with the police. Questions about drug use can also be included.

Since its inception, this expedited caseload system has taken more than 650 cases that would have otherwise gone to the regular probation caseloads. This is a savings of between 15 & 20 cases per casework officer over a two-month period, and has saved casework officers more than 8-10 hours of work that would have been spent on new cases. Caseloads are down in numbers to their lowest in the past few years. The response from these "expedited" probationers has been very positive. There are currently plans to place other kiosks in other secure areas around town with 24 hour access.

F4.56 In the winter of 1992, the New York City Probation Department was told to cut \$3.3 million over four years, the salary equivalent of one-third of its 350 probation officers. A design team was hired to develop a new process based on the goal of protecting public safety through the treatment and rehabilitation of violent, high-risk offenders. The process uses a well-researched risk-assessment instrument to predict an offender's risk of arrest for a violent criminal act. It makes better use of scarce resources by focusing probation officer time on the most violent-prone offenders, and saves officers from time-consuming chores through the use of information technology. It replaces the old "one-size-fits-all" approach with a system of triage that sorts probationers according to risk and needs and provides different treatments for each. The following lists the key elements of the new system:

- Gain Sharing - To provide an incentive for staff to look for ways to save money and improve its business operations, and to gain the support of the union representing clerical workers and the probation officers association. The department worked out a gain-sharing agreement that provided one-third of any financial savings gained from the new system would be shared with employees. The money may be passed on in the form of higher salaries, increased training, or other direct benefits.
- Automated Case Tracking - The goal is to reduce administrative time spent by probation officers searching for items like reporting dates and re-arrest dates, and to bring information from a variety of sources to the officer's desk easily and quickly so that probationers can be tracked through all stages of adult supervision.

- Automated Reporting Kiosks - One of the more creative aspects of the process is the use of technology for those at low risk of violence. Probationers in the non-enforcement track will soon report to kiosks being installed around New York City. There, they can engage in an interactive "interview" and enter data on their name, place of residence and current job status.
- Goals - Based on 10 factors established by the research on violence-prone people, the probation officer does a needs assessment and focuses on two or three major long-range goals such as maintaining steady employment with a career path. Short-term goals that support the long-term targets are also set so that the probationer can achieve small but important steps that demonstrate change.

The \$3.3 million cut took place and the department lost 78 employees. The re-engineered process was implemented across New York City in a phased plan. The new kiosk technology was developed over a two-year period

**R4.40** CCJC should continue to examine the possibility of using an automated reporting method for non-felons. At this time, there are very few juvenile courts using such a system to examine its effectiveness. However, several adult probation departments across the country have had success with the implementation of an automated reporting system. The benefits of an automated reporting system for non-felons are reduced caseloads for probation officers, increased supervision of youth, increased convenience for the youth and probation officer and a more automated system for collecting information on youth.

New York City's probation department spent \$925,000 implementing an automated reporting system. CCJC should consult with an automated reporting system provider to ascertain how much a similar system would cost in Cuyahoga County.

## Financial Implications Summary

The following table represents a summary of the revenue enhancements, annual cost savings and implementation costs discussed in this section. For the purposes of this table, only recommendations with quantifiable financial impacts are listed.

### Summary of Financial Implications for the Probation Department

Recommendation	Estimated Cost Savings (Annual)	Estimated Implementation Cost (One-time)	Estimated Implementation Cost (Annual)
<b>R4.1</b> Eliminate one supervision regional chief probation officer	\$62,000		
<b>R4.2</b> Fill vacancy for supervision probation manager			\$56,000
<b>R4.13</b> Provide laptop computers to probation officers		\$171,000	
<b>R4.13</b> Reduce the amount of unproductive time of probation officers by using laptop computers	\$257,000		
<b>R4.14</b> Eliminate six probation secretary positions	\$170,000		
<b>R4.15</b> Fill four vacancies in the MST program and the day treatment program			\$156,000
<b>R4.38</b> Implement the probation module for the JIMS system		\$182,000	
<b>Totals</b>	<b>\$489,000</b>	<b>\$ 353,000</b>	<b>\$212,000</b>

In order to implement many of the recommendations suggested within the report, CCJC will need to incur the one-time costs associated with the technology improvements listed above. However, the use of improved technology should enhance the productivity of its probation officers and its program monitoring capabilities, while potentially reducing the number of support staff positions. Therefore, the payback in technology expenditures should be in potential savings which, when realized, could be allocated for other expenses such as filling vacancies in the MST and day treatment programs.

## **Conclusion Statement**

According to the operating statistic comparisons of CCJC and the peer juvenile courts, CCJC conducts more investigations per investigation probation officer and supervises more youth per supervision probation officer. CCJC's supervision probation officer also manage higher caseloads than recommended by professional standards. Because of these indicators, it appears that the quality of services provided to youths and their families have been negatively affected. In order to improve the quality of services rendered by the probation department and potentially decrease the average caseload of probation officers, CCJC should include a needs assessment in conjunction with a risk assessment during investigations, use a weighted average caseload analysis for assigning new cases, monitor RECLAIM Ohio programs more closely, implement alternative probation programs, and use existing technology through the JIMS system to gain efficiencies.

CCJC's investigation probation officers do not include a needs assessment in conjunction with a risk assessment when conducting investigations. These investigations include information about the youth's background and family history. Based on this report, the investigation probation officer completes a risk assessment of the likeliness of the youth committing another offense. In addition to a risk assessment, the probation department should conduct a needs assessment, which is a current practice used by the peers. A needs assessment determines and prioritizes the service needs of the youth and his or her family. Research supports the concept of matching intervention services to a youth's treatment needs would increase a youth's motivation to stay in treatment. Research also shows that when intervention services are matched to a youth's treatment needs, these youth have better outcomes, meaning that they are less likely to commit another offense. Therefore, by using a needs assessment to better match intervention services to a youth's treatment needs, CCJC could enhance the quality of services rendered to youths and their families.

CCJC does not have a uniform procedure for assigning new cases to supervision probation officers such as using a weighted average caseload analysis to determine each probation officer's workload. Without established uniform procedures for assigning new cases, the probation managers have no guidelines by which they can measure a supervision probation officer's performance and may perceive workloads differently. Therefore, a weighted caseload analysis could be used to measure the workloads of supervision probation officers based on the youth's supervision level, risk/need factor and contact requirements. If the weighted caseload analysis reflects an uneven workload among the supervision district offices, supervision probation officers in districts with lower workload requirements could be moved to districts with higher workload requirements. If used, the effects of a weighted caseload analysis would be an increase in the quality of services provided to youths and their families.



Based on a comparison to the peers, CCJC's probation programs funded through RECLAIM Ohio have not reported as favorable results as measured by successful completion rates and percentage of youth still enrolled in programs. CCJC reported a 31 percent successful completion of youth who were enrolled in RECLAIM programs, which was the lowest successful completion rate reported by the peer courts. In addition to the lowest successful completion rate, CCJC also reported 48 percent of youths admitted to RECLAIM programs were still enrolled in the same program at the end of FY 1999, which was 66 percent higher than the peer average. This may indicate that youths at CCJC are on probation longer than necessary. Therefore, CCJC should increase the monitoring process of RECLAIM Ohio programs to ensure youths and their families are receiving the highest quality of services available. In order to improve the monitoring process for RECLAIM Ohio programs, CCJC should also analyze the probation department's termination policy and guidelines for length of probation to determine if youth are spending an extended period of time on probation than necessary. The termination policy and guidelines for length of probation could be potential reasons why the RECLAIM Ohio program's successful completion rate was below the peer average and the percentage of youth still enrolled in programs exceeded the peer average.

CCJC does not use any early intervention or delinquency prevention programs such as school-based probation or intensive probation programs that try to deter youths from committing delinquent acts. Based on national statistics, school-based probation programs across the United States have been effective in boosting attendance and academic performance and reducing misbehavior in school. In addition to school-based probation programs, intensive probation programs have achieved positive results in several juvenile court systems, including the peer courts. The benefit of such a program would be a higher level of supervision by probation officers. Close supervision of youth could enhance compliance with terms of probation and law-abiding behavior. Therefore, CCJC should consider implementing a school-based probation program and an intensive probation program in order to enhance early intervention and delinquency prevention services to youths and their families.

CCJC should use the JIMS system to its full capabilities to help the probation department gain efficiencies. The JIMS system can provide the probation department with several different types of reports which could aid management in increasing accountability of probation officers and shifting resources where they are needed.

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# Court Services

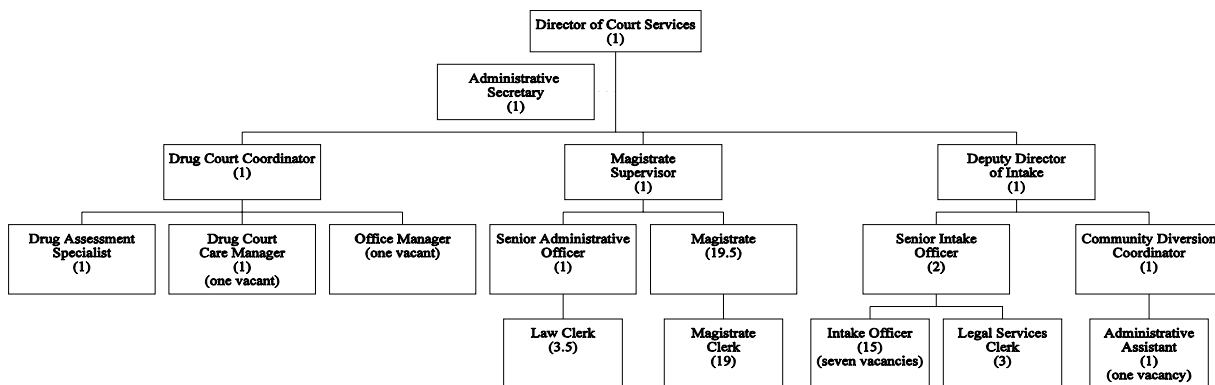
## Background

This section summarizes the court services department organization and departmental functions of Cuyahoga County Juvenile Court (CCJC or the Court). Comparisons are made to the following peer juvenile courts: Franklin County Court of Common Pleas Division of Domestic Relations and Juvenile Court Branch (FCJC), Hamilton County Juvenile Court (HCJC) and Lucas County Court of Common Pleas Juvenile Division (LCJC). The court services department handles all juvenile cases including delinquency, unruly, dependency/neglect/abuse custody, application for custody and traffic cases. In addition, the department processes some adult cases including parent/child relationship, child support and contributing delinquent/unruly cases.

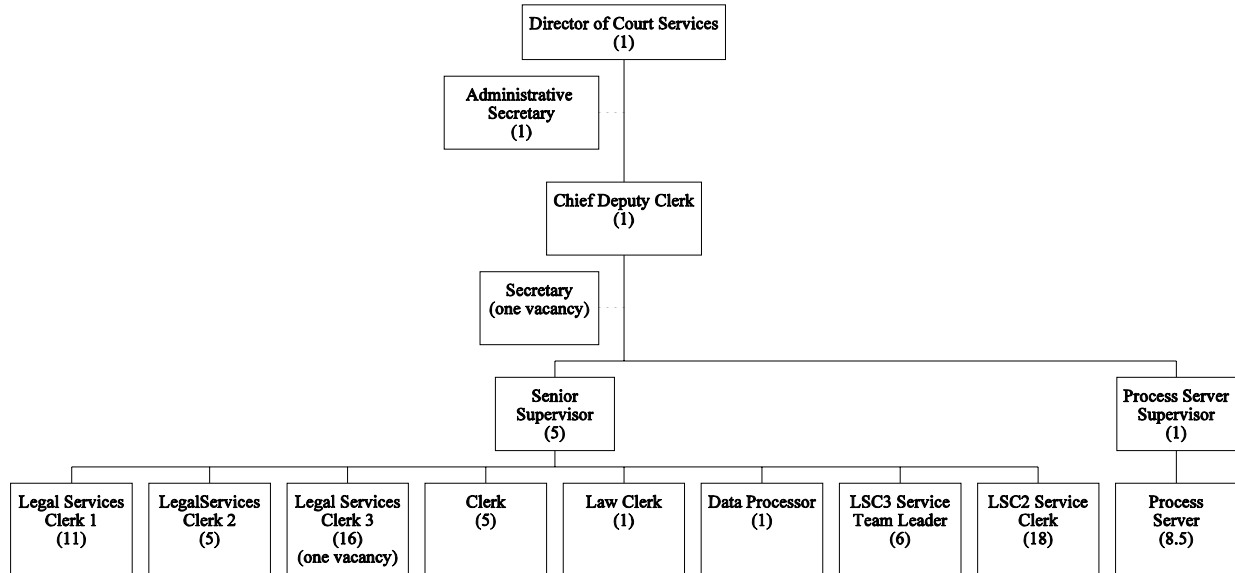
### Organizational Chart

The court services department is CCJC’s largest department with a total of 206 full time equivalents (FTEs) and 18 vacancies as of July 31, 2000. The department comprises five divisions: drug court, magistrates, intake, clerk’s office, and case flow. The courtrooms division, comprising six judges with a staff of 25.5 FTEs (two vacancies), is also considered a part of court services and is included in the staffing totals for the department. However, the judges hire their own staff and the courtrooms are autonomous entities with links to court services. Excluding the courtroom staffing, the court services department has a total of 174.5 FTEs and 16 vacancies as of July 31, 2000. **Charts 5-1(A), 5-1(B) and 5-1(C)** displays the organizational structure of the court services department, excluding the courtrooms.

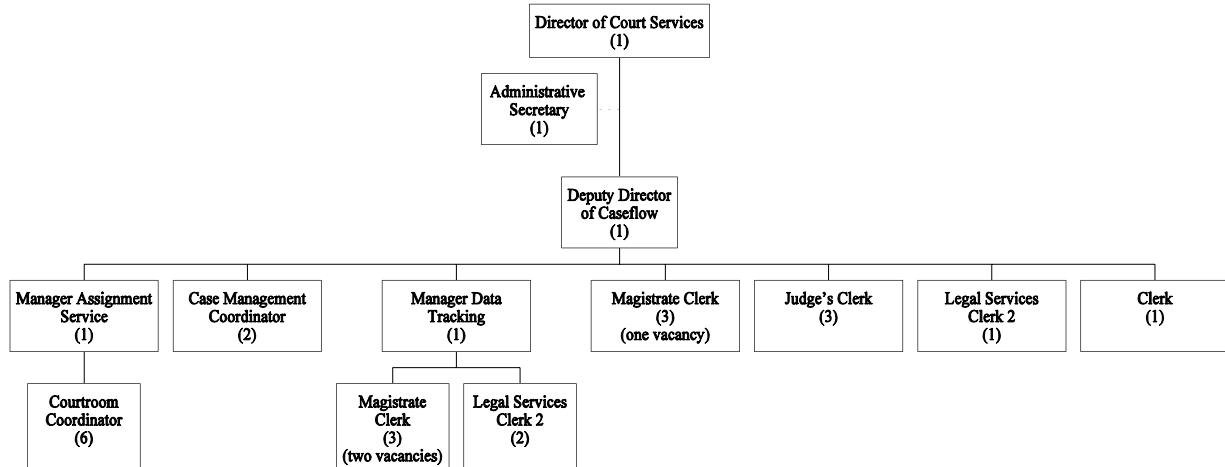
**Chart 5-1(A): Court Services (Drug Court, Magistrate, Intake)**



**Chart 5-1(B): Court Services (Clerk's Office)**



**Chart 5-1(C): Court Services (Caseflow)**



### *Organizational Function*

The court services department oversees the juvenile case process from start to finish. Ohio Revised Code (ORC) § 2153 establishes a juvenile division within the court of common pleas in Cuyahoga County. In carrying out the various responsibilities for juvenile cases, the department performs the following functions:

- Receives complaints and determines appropriate course of action, such as creating an official filing, resolving the matter at intake or diverting the juvenile to other court programs
- Initiates cases, schedules initial hearings and conducts the case process
- Manages the flow of cases throughout the courtrooms
- Creates and maintains case files
- Conducts activities related to hearings, such as journal entries and judge's/magistrate's orders
- Disseminates and processes information, such as motions, notices, complaints and other legal information
- Performs necessary procedures for attorney appointments
- Prepares subpoenas and summons for people to appear before the Court
- Prepares appeals work
- Responds to records and documents requests by the general public

### *Summary of Operations*

The court services department's operations revolve around the juvenile case processing system, from the start of a case to its eventual conclusion. All of the divisions within court services are involved in this system and each has its specific role in the case processing system of CCJC.

The intake office receives complaints concerning delinquent and unruly juveniles and determines if the complaints should be filed officially or bypassed from the court system. The intake officers are trained mediators, so they have the ability and authority to hear and resolve cases without sending the juvenile through the court system. In addition, the intake officers can hold an unofficial hearing to divert the case from an official filing. Another course of action considered by the intake officers is diverting the juvenile to other programs, such as the Community Diversion Program (CDP) and Court Unruly Project (CUP). The objective of these diversion programs is to provide the needed services without having to file an official case, which would require the juvenile to go through the entire court process. The remaining alternative for the intake officer is to create an official filing to send the juvenile offender to court and forward the filing to the clerk's office. In addition to the diversion programs, CCJC has implemented a drug court to provide drug treatment programs. The goal of the drug court program is to treat substance abuse that often contributes to delinquency.

If juveniles are directed to the court system, the caseflow division is responsible for the day-to-day operations consisting of the management and flow of cases throughout the courtrooms. The caseflow division provides the leadership and resources to develop policies and procedures for effective caseflow management. In addition, the caseflow division randomly assigns cases, except for child support cases, to the judges. Child support cases are assigned by the clerk's office. The clerk's office serves as the court's "unofficial center for information" by providing various information to different parties, such as attorneys and the general public. The clerk's office creates and maintains case files and is the division where cases are officially filed. The division staff enters case information into the court information system and enters court orders into journals. Additionally, the clerk's office assigns attorneys and actual case numbers to cases, enters sign-in/sign-out information and performs imaging functions (storage). Furthermore, the clerk's office generates all summons, subpoenas and notices, and routes them to their proper designations and processes transcripts and appeals.

The magistrate division has the responsibility of hearing assigned cases. After hearing a case, a magistrate develops recommendations for the case that need to be approved by the assigned judge. The judge's final ruling and decision is entered into journals by the clerk's office. Files are eventually closed by the clerk's office and if appropriate, the office expunges (removing the offense from the juvenile's record) individual cases.

*Staffing*

**Table 5-1** displays the court services department's staffing for CCJC as of July 31, 2000.

**Table 5-1: Court Services Staffing**

Position	# of Budgeted FTEs	# of FTEs	Vacancies
Director	1.0	1.0	0
Administrative Secretary	1.0	1.0	0
<b>Division</b>			
Magistrates	44.0	44.0	0
Intake	31.0	23.0	8.0
Clerk's Office	81.5	78.5	3.0
Caseflow	27.0	24.0	3.0
Drug Court	5.0	3.0	2.0
Courtrooms	33.5	31.5	2.0
<b>Total</b>	224.0	206.0	18.0

Source: Court Services Department

The director of court services oversees the magistrate supervisor, the intake deputy director, the chief deputy clerk, the deputy director of case flow and the drug court coordinator. An administrative secretary is assigned directly to the director of court services.

The magistrate supervisor oversees 19.5 FTE magistrates. The magistrates are supported by 19 magistrate clerks. In addition, a senior administrative officer is assigned to the magistrate division supported by three full-time law clerks and one part-time law clerk. It is the responsibility of the magistrate supervisor to supervise all magistrates, to reassign magistrates to cover absences and to initiate and maintain training programs for magistrates.

The intake deputy director manages a staff of 22 employees. Currently, there are eight vacant positions (seven intake officers and one administrative assistant) in the intake division. Two senior intake officers supervise 15 intake officers and three legal services clerks (the three legal service clerk positions were removed in October 2000). The Community Diversion Program is also housed in the intake division, comprising a community diversion coordinator, administrative assistant and one vacant position.

Since the ORC establishes the Administrative Judge as the Juvenile Court's Clerk of Court, the Administrative Judge appoints a chief deputy clerk who performs the duties of clerk of court. The chief deputy clerk position manages 77.5 FTEs. This division comprises five senior supervisors and one process server supervisor. The rest of the staff includes legal services clerks (I, II, III), clerks, a law clerk, a data processor, LSC3 service clerks, LSC2 service clerks and process servers.

The deputy director of caseflow oversees 23 employees whose position titles include manager of assignment services (one FTE), courtroom coordinator (six FTEs), case management coordinator (two FTEs), manager of data tracking (one FTE), magistrate clerk (six FTEs), judge's clerk (three FTEs), clerk (one FTE) and legal services clerk 2 (three FTEs). Caseflow management is the control of a case from its entry into the court system to its final outcome. The deputy director of case flow is responsible for the control, management and supervision of all processes involved in the case flow management continuum. The caseflow division is responsible for the control of the random assignment of cases to prospective judges. The division is also in charge of courtroom coordinators whose responsibility is to facilitate the flow of cases from the courtroom to the clerk's office.

The juvenile drug court is a new division that was implemented in 1998 to provide comprehensive substance abuse treatment to juveniles. Programs in the drug court division last between nine and 12 months, during which the juvenile must remain substance-free and not commit any additional offenses. Originally, the program was designed to serve ten juveniles at a time, but the capacity has been increased to 15. The goal is to treat substance abuse that often contributes to delinquency.



*Financial Data*

**Table 5-2** presents the court services department's actual expenditures for 1998 and 1999 and the budgeted expenditures for fiscal year (FY) 2000 as presented in the annual and budget reports. The revised 2000 budget as of May 2000 is also presented

**Table 5-2: Court Services Department Financial Data**

<b>Appropriation Account</b>	<b>Actual 1998</b>	<b>Actual 1999</b>	<b>Original Budgeted 2000</b>	<b>Budgeted 2000 as of 5/31/2000</b>
<b>Salaries</b>	\$4,345,553	\$4,481,010	\$4,575,751	\$4,256,746
<b>Fringe Benefits</b>	\$1,095,309	\$1,158,920	\$1,339,879	\$1,238,729
<b>Commodities</b>	\$1,353	\$2,777	\$5,573	\$5,573
<b>Contracts/Services</b>	\$1,847,508	\$2,083,559	\$3,379,050	\$3,435,084
<b>Controlled Expenses</b>	\$0	\$0	\$0	\$0
<b>Other Expenditures</b>	\$268,968	\$245,408	\$284,641	\$315,999
<b>Capital Outlay</b>	\$8,399	\$26,250	N/A	\$27,000
<b>Totals</b>	<b>\$7,567,090</b>	<b>\$7,997,924</b>	<b>\$9,584,894</b>	<b>\$9,279,131</b>
<b>Title IV-D Program</b>				
<b>Salaries</b>	\$1,087,615	\$1,491,027	\$1,363,312	\$1,569,930
<b>Fringe Benefits</b>	\$282,885	\$402,884	\$429,530	\$486,432
<b>Commodities</b>	\$2,727	\$2,662	\$1,371	\$1,371
<b>Contracts/Services</b>	\$29,243	\$1,124	\$1,692	\$31,692
<b>Controlled Expenses</b>	\$254,150	\$338,344	\$352,821	\$420,162
<b>Other Expenditures</b>	\$175,455	\$138,034	\$153,753	\$127,911
<b>Capital Outlay</b>	\$20,720	\$4,086	N/A	\$9,000
<b>Totals</b>	<b>\$1,852,795</b>	<b>\$2,378,161</b>	<b>\$2,302,479</b>	<b>\$2,646,498</b>
<b>Totals including IV-D</b>	<b>\$9,419,885</b>	<b>\$10,376,085</b>	<b>\$11,887,373</b>	<b>\$11,925,629</b>

Source: CCJC annual and budget reports, Monthly Fiscal report

Explanations for the significant variances in the court services expenditures are listed below.

- The county allocated extra funds for the purchase of office supplies in the commodities line item for each year presented.
- The increase in contracts/services for 2000 was the result of transferring the funding of the Court Unruly Project (CUP) from the probation department to the court services department.
- The increase in capital outlay in 1999 was utilized for building improvements and furniture.

The Title IV-D program, a federal program targeted at child support enforcement, is operated by CCJC in conjunction with the Cuyahoga County Child Support Enforcement Agency (CSEA). The federal government reimburses the court a portion of all costs related to handling Title IV-D cases. In addition, CCJC obtains monies from CSEA to process cases and to pay for salaries and benefits (CCJC acts as a contractee). Explanations for the significant variances in the court services Title IV-D program expenditures are listed below.

- The increase in salaries for 1999 was the result of transferring staff from the court services department to Title IV-D. In the past, there was one group of staff solely dedicated to Title IV-D, which is no longer the case. The department reorganized in 1999 by involving all employees with various court services and Title IV-D functions. This resulted in more staff involvement with Title IV-D. CCJC hired additional employees in 1998 under the court services budget, which is the reason for the relatively constant level of salary expenditures in 1998, 1999 and 2000.
- CCJC decided to store certain case file information on microfilm in 1998. Service was provided by a microfilming vendor and is encompassed in the contract/services category.
- Controlled expenses are CCJC's indirect costs associated with the county government. The county charges CCJC for use of various services provided by the county, including a centralized data processing unit and space maintenance (security guards).
- The county appropriated a one-time capital outlay in 1998 for the purchase of a document imaging machine.

Explanations for the significant variances in the original FY 2000 budget and revised budget as of May 2000 are listed below.

- The department transferred salary appropriations from court services to Title IV-D because numerous staff were moved to the child support payroll. More staff are involved with the Title IV-D program, as discussed previously, and as a result can be charged in part to the program. In addition, a cost-of-living salary increase of 0.5% was applied to the 2000 budget.
- The department originally determined that all of the microfilming would be accomplished in 1998, but this was not the case. The department has transferred funds from the other expenditures category (\$30,000 for 2000, as of 5/31/2000) to the contracts/services category in the Title IV-D program to finish the microfilming project.
- The department has provided additional funding necessary for the vendor contract that provides staff training on the Juvenile Information Management System (JIMS).

The administrative services department is responsible for establishing and enforcing the fiscal policies for all departments, including court services. The administrative services department informs the other departments about their spending limits and the court services department needs to obtain approval from the county commissioners for any additional funding. The court services department's expenditures accounted for approximately 25 percent of all general fund expenditures for the Court in 1999.

### Key Operating Statistics

Key statistics and information relating to caseloads of CCJC and peer courts are shown in **Tables 5-3** through **5-6**. Comparative analysis and assessments performed throughout this section include information on CCJC and peer courts from the following tables. All peer averages in this report include CCJC unless otherwise noted.

**Table 5-3: Cases Processed in 1999 <sup>1</sup>**

	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>Delinquency</b>	9,591	9,186	13,857	7,878	10,128
<b>Unruly</b>	1,235	1,552	3,632	976	1,849
<b>Dependency/Neglect/Abuse</b>	6,543	3,615	647	488	2,823
<b>Motions for Permanent Custody</b>	445	90	6	173	179
<b>Custody/Change of Custody/ Visitation</b>	1,810	780	2,107	1,469	1,542
<b>Support Enforcement</b>	1,115	1,064	8,232 <sup>4</sup>	1,909	3,080
<b>Parentage</b>	2,590	2,012	3,423	2,284	2,577
<b>Adult</b>	37	178	1,603	797	654
<b>Traffic</b>	18,334	9,187	8,675	4,985	10,295
<b>UIFSA <sup>2</sup></b>	0	300	0	125	106
<b>Other</b>	161	76	1	48	72
<b>Total Official Cases</b>	<b>41,861</b>	<b>28,040</b>	<b>42,183</b>	<b>21,132</b>	<b>33,304</b>
<b>Total Unofficial Cases <sup>3</sup></b>	<b>1,684</b>	<b>5,893</b>	<b>3,442</b>	<b>2,255</b>	<b>3,319</b>

Source: Supreme Court of Ohio Reports

<sup>1</sup> See **F5.1** for more information regarding the number of cases processed

<sup>2</sup> Uniform Interstate Family Support Act

<sup>3</sup> Complaints resolved at intake without having to file an official case

<sup>4</sup> Adjusted to include only cases heard by HCJC and exclude those heard by the Child Support Enforcement Agency

**Table 5-4** indicates the total number of official cases disposed and percent of total official cases disposed in 1999 for CCJC and the peer courts.

**Table 5-4: Cases Disposed in 1999 <sup>1</sup>**

	CCJC		FCJC		HCJC		LCJC		Peer Average	
<b>Delinquency</b>	6,477	67.5%	7,832	85.3%	12,652	91.3%	6,871	87.2%	8,458	83.5%
<b>Unruly</b>	851	68.9%	1,292	83.2%	3,422	94.2%	889	91.1%	1,614	87.3%
<b>Dependency/ Neglect/Abuse</b>	4,754	72.7%	3,126	86.5%	510	78.8%	428	87.7%	2,205	78.1%
<b>Motions for Permanent Custody</b>	351	78.9%	83	92.2%	6	100%	143	82.7%	146	81.7%
<b>Custody/Change of Custody/ Visitation</b>	970	53.6%	578	74.1%	1,525	72.4%	1,132	77.1%	1,051	68.2%
<b>Support Enforcement</b>	583	52.3%	791	74.3%	5,702 <sup>3</sup>	69.3%	1,465	76.7%	2,135	69.3%
<b>Parentage</b>	953	36.8%	1,353	67.2%	3,238	94.6%	1,701	74.5%	1,811	70.3%
<b>Adult</b>	24	64.9%	177	99.4%	1,381	86.2%	679	85.2%	565	86.5%
<b>Traffic</b>	13,235	72.2%	8,522	92.8%	8,255	95.2%	4,683	93.9%	8,674	84.3%
<b>UIFSA <sup>2</sup></b>	0	N/A	219	73.0%	0	N/A	91	72.8%	78	72.9%
<b>Other</b>	142	88.2%	74	97.4%	1	100%	48	100%	66	92.7%
<b>Total Dispositions</b>	<b>28,340</b>	<b>67.7%</b>	<b>24,047</b>	<b>85.8%</b>	<b>36,692</b>	<b>87.0%</b>	<b>18,130</b>	<b>85.8%</b>	<b>26,802</b>	<b>80.5%</b>

**Source:** Supreme Court of Ohio Reports

<sup>1</sup> Each percentage reflects the percent of official cases disposed per that case type for the particular court in 1999.

<sup>2</sup> Uniform Interstate Family Support Act

<sup>3</sup> Adjusted to include only cases heard by HCJC and exclude those heard by the Child Support Enforcement Agency

**Table 5-5** presents the total number of cases pending and percent of total official cases pending in 1999 for CCJC and the peer courts.

**Table 5-5: Cases Pending End of 1999 <sup>1</sup>**

	CCJC		FCJC		HCJC		LCJC		Peer Average	
<b>Delinquency</b>	3,114	32.5%	1,354	14.7%	1,205	8.7%	1,007	12.8%	1,670	16.5%
<b>Unruly</b>	384	31.1%	260	16.8%	210	5.8%	87	8.9%	235	12.7%
<b>Dependency/ Neglect/Abuse</b>	1,789	27.3%	489	13.5%	137	21.2%	60	12.3%	619	21.9%
<b>Motions for Permanent Custody</b>	94	21.1%	7	7.8%	0	0.0%	30	17.3%	33	18.3%
<b>Custody/Change of Custody/ Visitation</b>	840	46.4%	202	25.9%	582	27.6%	337	22.9%	490	31.8%
<b>Support Enforcement</b>	532	47.7%	273	25.7%	2,530	30.7%	444	23.3%	945	30.7%
<b>Parentage</b>	1,637	63.2%	659	32.8%	185	5.4%	583	25.5%	766	29.7%
<b>Adult</b>	13	35.1%	1	0.6%	222	13.8%	118	14.8%	89	13.5%
<b>Traffic</b>	5,099	27.8%	665	7.2%	420	4.8%	302	6.1%	1,622	15.7%
<b>UIFSA <sup>2</sup></b>	0	N/A	81	27.0%	0	N/A	34	27.2%	29	27.1%
<b>Other</b>	19	11.8%	2	2.6%	0	0.0%	0	0.0%	5	7.3%
<b>Total Pending</b>	<b>13,521</b>	<b>32.3%</b>	<b>3,993</b>	<b>14.2%</b>	<b>5,491</b>	<b>13.0%</b>	<b>3,002</b>	<b>14.2%</b>	<b>6,503</b>	<b>19.5%</b>

**Source:** Supreme Court of Ohio Reports

<sup>1</sup> Each percentage reflects the percent of official cases pending per that case type for the particular court in 1999.

<sup>2</sup> Uniform Interstate Family Support Act

**Table 5-6** indicates the total number of cases pending beyond the Supreme Court of Ohio time guidelines and percent of total official cases pending beyond these time guidelines in 1999 for CCJC and the peer courts.

**Table 5-6: Cases Pending End of 1999  
Beyond Supreme Court of Ohio Time Guidelines <sup>1</sup>**

	CCJC		FCJC		HCJC		LCJC		Peer Average	
<b>Delinquency Time Guideline: 6 months</b>	364	3.8%	122	1.3%	3	0.1%	15	0.2%	126	1.2%
<b>Unruly Time Guideline: 3 months</b>	140	11.3%	41	2.6%	4	0.1%	12	1.2%	49	2.7%
<b>Dependency/Neglect/Abuse Time Guideline: 3 months</b>	900	13.8%	26	0.7%	0	0.0%	2	0.4%	232	8.2%
<b>Motions for Permanent Custody Time Guideline: 9 months</b>	67	15.1%	0	0.0%	0	0.0%	1	0.6%	17	9.5%
<b>Custody/Change of Custody/ Visitation Time Guideline: 9 months</b>	255	14.1%	39	5.0%	0	0.0%	20	1.4%	79	5.1%
<b>Support Enforcement Time Guideline: 12 months</b>	106	9.5%	5	0.5%	1	0.1%	15	0.8%	32	1.0%
<b>Parentage Time Guideline: 12 months</b>	200	7.7%	22	1.1%	0	0.0%	43	1.9%	66	2.6%
<b>Adult Time Guideline: 6 months</b>	0	0.0%	0	0.0%	0	0.0%	6	0.8%	2	0.2%
<b>Traffic Time Guideline: 3 months</b>	0	0.0%	65	0.7%	21	0.2%	15	0.3%	25	0.2%
<b>UIFSA <sup>2</sup> Time Guideline: 3 months</b>	0	N/A	29	9.7%	0	N/A	18	14.4%	12	11.1%
<b>Other Time Guideline: 6 months</b>	0	0.0%	2	2.6%	0	0.0%	0	0.0%	1	0.7%
<b>Total Pending beyond Time Guidelines</b>	<b>2,032</b>	<b>4.9%</b>	<b>351</b>	<b>1.3%</b>	<b>29</b>	<b>0.1%</b>	<b>147</b>	<b>0.7%</b>	<b>641</b>	<b>1.9%</b>

**Source:** Supreme Court of Ohio Reports

<sup>1</sup> Each percentage reflects the percent of official cases pending beyond the Supreme Court of Ohio's time guidelines per that case type for the particular court in 1999.

<sup>2</sup> Uniform Interstate Family Support Act

*Performance Measures*

The following is a list of performance measures that were used to review the court services department:

- Assessment of expenditure practices of the department
- Adequacy of the caseload procedures
- Effectiveness of the caseload management process
- Effectiveness of the case assignment system
- Assessment of the process of assigning juveniles to shelter care and residential placements
- Adequacy of courtroom operations
- Assessment of the decision options available to the court's intake officers
- Assessment of the programs and alternatives to divert juveniles from the court system
  
- Adequacy of staffing levels and organizational structure
- Effectiveness of the court's records compilation, transmittal and retention procedures
- Impact of previous studies examining the case management and case assignment process
- Comparison of best practices in juvenile court case management

## Findings/Commendations/Recommendations

### *Caseflow Management*

F5.1 CCJC does not ensure that data regarding its caseloads is accurate and reliable. Specifically, CCJC has been historically reporting inaccurate case data to the Supreme Court of Ohio. Consequently, the number of cases reported may have been potentially under counted in some reporting categories and over counted in others. The number and types of cases processed by a court is the most direct means of measuring court workload and staffing levels. However, due to the numerous inaccuracies in reporting case data, CCJC does not have an effective means of assessing either its overall performance or determining the appropriate staffing levels needed to effectively process cases and manage court operations. In addition, a study conducted by the Supreme Court of Ohio in 1994 on CCJC operations indicated that the Court had problems reporting accurate caseload data and recommended that CCJC take action to correct the problems. As is evident by the current inaccuracies and unreliability in caseload data, CCJC has previously failed to take corrective action on this issue. Consequently, the absence of reliable operational information hinders CCJC's efforts to effectively forecast and manage its staffing resources.

According to the court administrator, CCJC is currently attempting to resolve the case reporting problem by working with consultants to computerize the case data collection and reporting processes to subsequently improve the accuracy and reliability of the case data reported to the Supreme Court of Ohio. However, although the case reporting process is currently being developed to more accurately report case data in the future, accurate and reliable case data pertaining to previous years (e.g., 1999) will be unable to be retrieved. Furthermore, during the course of the audit, CCJC was unable to produce corrected data pertaining to cases processed. Specifically, it appears that some categories such as *Dependency, Neglect and Abuse* may have been under counted while categories such as *Traffic* were over counted.

Since CCJC has been unable to provide entirely accurate case processing data during the time period of this engagement, this report has attempted to supplement the available data on total cases with data pertaining to new case filings. After discussions with staff from the Ohio Supreme Court, it was determined that new case filing data would be a measure less affected by potential over counting or under counting and thus more reliable than data pertaining to cases processed. **Table 5-7** indicates an analysis of this data, which is the average number of new cases filed from 1997 to 1999 at CCJC and the peer courts.



**Table 5-7: Average of New Cases Filed from 1997 to 1999**

Types of Cases	CCJC	FCJC	HCJC	LCJC	Peer Average
Delinquency	6,372	6,340	11,289	5,759	7,440
Unruly	747	587	3,073	596	1,251
Dependency/Neglect/Abuse	4,423	2,362	270	432	1,872
Motions for Permanent Custody	401	53	10	31	124
Custody/Change of Custody/Visitation	861	469	1,422	706	865
Support Enforcement	860	447	1,658 <sup>2</sup>	1,048	1,003
Parentage	1,447	1,504	2,274	1,780	1,751
Adult	35	91	958	427	378
Traffic	13,528	9,396	7,476	4,607	8,752
UIFSA <sup>1</sup>	0	251	0	207	115
Other	115	9	2	58	46
<b>Total New Filings</b>	<b>28,789</b>	<b>21,509</b>	<b>28,432</b>	<b>15,651</b>	<b>23,597</b>

Source: Supreme Court of Ohio Reports

<sup>1</sup> Uniform Interstate Family Support Act

<sup>2</sup> Two year average of new filings adjusted to reflect only cases heard by HCJC and exclude those heard by the Child Support Enforcement Agency

Various juvenile court officials at CCJC and the peer courts, and Supreme Court of Ohio staff indicated that the number of new cases filed would be the most comparable and accurate method of assessing caseloads. Consequently, data affecting the number of new cases filed, rather than the total cases processed, was used to compare work load among CCJC and the peer courts. As indicated by **Table 5-7**, CCJC processed the largest number of new filings in 1999 compared to the peers.

In addition to having problems producing reliable case data, CCJC does not consistently utilize performance measurements to determine the effectiveness of its caseload management system. The National Center of State Courts has developed the Trial Court Performance Standards and Measurement System (TCPS), which identifies and outlines various performance measurements. The measurements identified for caseload management include:

- *Time to Disposition:* This is determined by calculating case processing information collected from a random sample of cases disposed of during the preceding year. The major task is to randomly select a sample from a list of all cases of each type to be examined.
- *Ratio of Case Dispositions to Case Filings:* This can be easily tracked from the information entered in the monthly reports sent to the Supreme Court of Ohio (see **Tables 5-3** and **5-4**). The closer the ratio is 1:1 indicates that a court is effectively managing its caseload.
- *Age of Pending Caseload:* The number of pending cases beyond the Supreme Court time guidelines can be easily tracked from the information entered in the monthly reports sent to the Supreme Court of Ohio (see **Table 5-6**). The filing date of these cases can be retrieved from the computer system to determine the age of the pending caseload.
- *Certainty of Trial Dates:* This measurement can be tracked by monitoring the frequency of continuances and schedule changes entered in the computer system.

As noted above, this report has attempted to utilize performance measurements to assess court operations at CCJC and the peer courts. However, these performance measurements are affected by data compiled by CCJC and the peer courts. Although the effect of CCJC's lack of not ensuring the accuracy and reliability of data has been taken into account with the various staffing analyses throughout this report, CCJC was unable to assess the effect on the reported number of dispositions. Consequently, it must be assumed that whatever the effect may be, CCJC would still have a disposition rate lower than the peer courts. For instance, even if the true number of cases processed at CCJC was 50 percent higher than 1999's caseload and assuming that every single one of these cases were disposed, CCJC's disposition rate would be 78 percent, approximately 8.2 percentage points lower than the peer average disposition rate of 86.2 percent (see **Table 5-9**).

**R5.1** For CCJC to have the ability to monitor caseloads, develop performance measurements and assess court operations, its administrative staff should ensure that data indicating critical court operations, such as the number of cases processed, is accurate and reliable. The employees responsible for compiling these reports should be trained on entering the data correctly into the JIMS system and on the various Supreme Court of Ohio rules for case reporting. CCJC should make correcting the case reporting process a top priority. Furthermore, CCJC's goal should be to complete its corrective efforts within six months of the release of this report.

Since CCJC currently does not have an effective means of assessing staffing levels, it should not hire any additional employees and should not fill any vacancies (see **R5.32**) within the court services department until the case reporting process has been fully resolved. This would ensure that the most accurate and reliable data is used to assess staffing levels. Furthermore, CCJC should consider delaying the implementation of the staffing recommendations that are based upon the three year average of new cases filed within this report (see **R5.5** and **R5.37**) to allow time to assess the recommendations in light of the expected improvement in its case data collection and reporting processes. However, CCJC should consider implementing recommendations **that are** not based upon new cases filed **such as hiring a chief judicial staff attorney and reducing support staff positions** (see **R5.26**). In addition, it must be emphasized that, as in the past, the primary responsibility for the accuracy of all data lies with CCJC's administrators.

By ensuring the accuracy and reliability of operational information critical to effective management of court operations, CCJC should be able to produce more accurate and reliable reports that can be utilized to monitor caseloads and develop realistic performance measurements. Additionally, the performance measurements identified in this report and by the National Center for State Courts should also be utilized to ensure that CCJC complies with the Supreme Court of Ohio time guidelines for timely case processing, while at the same time keeping current with its incoming caseload.

- F5.2 The operations of a court can be measured by the total number of cases processed, the number of dispositions (closing the case), the number of cases pending and the number of cases pending beyond the Supreme Court guidelines. These measurements indicate the effectiveness of the caseflow management process for an entire court. As indicated in **Tables 5-3** through **5-6**, it appears that CCJC may not be processing and managing caseloads as effectively as the peers. The data in **Tables 5-3** through **5-6** has been aggregated into the following table to indicate the overall effectiveness of CCJC and peer court caseflow management operations.

**Table 5-9: Case Processing**

	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>Total Official Cases</b>	41,861	28,040	42,183	21,132	33,304
<b>Dispositions</b>	28,340	24,047	36,692	18,130	26,802
<b>% of Total</b>	67.7%	85.8%	87.0%	85.8%	86.2% <sup>1</sup>
<b>Cases pending end of period</b>	13,521	3,993	5,491	3,002	6,503
<b>Cases Pending beyond Time Guideline</b>	2,032	351	29	147	641
<b>% of Total Pending</b>	15.0%	8.8%	0.5%	4.9%	4.7% <sup>1</sup>
<b>% of Total Cases</b>	4.9%	1.3%	0.1%	0.7%	0.7% <sup>1</sup>

Source: Supreme Court of Ohio Reports

<sup>1</sup> Peer Average does not include CCJC.

As indicated by **Table 5-9**, CCJC is disposing a significantly lower percentage of official cases compared to the peer courts, approximately 18.5 percentage points less than the peer average. In addition, CCJC has the highest percentage of cases pending beyond the time guidelines compared to the peers. By disposing cases at such a lower rate than the peers, CCJC has the potential to collect a lesser amount of court costs and fines (see **F5.3**) and increase the average daily population and average length of stay in the detention center and shelter care, which subsequently increases costs associated with maintaining these facilities (see **F5.25**).

**R5.2** Since caseload management affects every aspect of court operations, including the timeliness and effectiveness in providing needed services to juveniles and their families, CCJC should develop strategies and take appropriate measures to improve caseload management. The analysis in **F5.2** and **Table 5-9** indicates that there is a significant potential to enhance CCJC's current caseload management operations. All of the recommendations provided in this report are intended to benefit the case management operations of the Court. The intent of these recommendations is to subsequently increase the number of cases that are disposed and reduce the number of total cases pending, as well as reducing the cases pending beyond the time guidelines. In addition, by increasing the number of dispositions and reducing backlog, CCJC has the potential to assess more court costs and fines, to subsequently increase collections and provide additional revenue for the Court. Furthermore, the average daily population and length of stay in the detention center and shelter care facilities could potentially decrease thereby reducing costs associated with holding juveniles in these facilities. Therefore, managing caseloads more effectively should subsequently increase the disposition rate of all cases. The key recommendations that directly impact the caseload management operations include the following:

- Ensure that caseload reports are accurate and reliable (see **R5.1**)
- Develop and implement a centralized docketing system for the purpose of scheduling cases for magistrates and judges (see **R5.4**)
- Restructure the caseload division to ensure that the centralized docketing system is adequately implemented (see **R5.5**)
- Enforce and track the general time frames to hear and complete cases (see **R5.6**)
- Enforce the established guidelines for granting continuances (see **R5.7**)
- Establish time frames for processing cases in a typical day (see **R5.8**)
- Establish and develop standard time frames for the purposes of processing juveniles in the detention center and shelter care facilities (see **R5.18**)
- Establish standard and uniform processes in all of the courtrooms (see **R5.19** to **R5.24**)
- Assign magistrates specifically to cases, as opposed to judges (see **R5.27**)
- Establish written and documented time frames for decisions to be made by the intake officers (see **R5.33**)
- Track and monitor the amount of time it takes to send various service, such as summons, subpoenas and notices (see **R5.40**)
- Address staffing levels in all of the divisions of court services (see **R5.5**, **R5.25**, **R5.26**, **R5.32** and **R5.37**)

F5.3 The court services department is not responsible for the collection of fines and costs or entering the assessment of fines and costs ordered by the judge into the computer system. This is a responsibility and function of the administrative services department. According to the court services director, the amount of assessments should increase with the implementation of the Juvenile Information Management System (JIMS), which tracks all costs that are incurred during a case. The costs are summarized into three groups: court costs, fines and damages. The system tracks all payments/receipts and related disbursements to the general ledger accounts. In addition, the system automatically assesses costs and fines to a case. However, the judge or magistrate has the ability to go into the system and reverse this assessment to waive court costs and fines. In addition, reports are available for management and other key personnel.

In HCJC, the clerk's office is responsible for processing financial transactions for restitution, fines, court costs, purges, bonds and other ordered fees. In addition, the clerk's offices in LCJC and FCJC are responsible for the collections activity. **Table 5-10** indicates the total amount of juvenile court costs and fines collected in 1999 for CCJC and peer courts.

**Table 5-10: Collection For Court Costs and Fines Assessed in 1999**

	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>Population</b> <sup>1</sup>	1,371,717	1,027,821	840,443	446,482	921,616
<b>Per Capita Income</b> <sup>2</sup>	\$30,846	\$29,425	\$31,708	\$26,335	\$29,579
<b>Unemployment Rate</b>	4.6%	2.5%	3.5%	5.2%	4.0%
<b>Total Dispositions</b>	28,340	24,047	36,692	18,130	26,802
<b>Traffic Court Costs and Fines Collected</b>	\$423,072	\$349,545	\$173,442	\$89,999	\$259,015
<b>Other Court Costs and Fines Collected</b>	\$563,932	\$91,946	\$749,247	\$657,191	\$515,579
<b>Total Collections</b>	\$987,004	\$441,491	\$922,689	\$747,190	\$774,594
<b>Total amount collected per Disposition</b>	\$34.83	\$18.36	\$25.15	\$41.21	\$29.89

Source: CCJC and peer court reports, Ohio Department of Development, U.S. Census Bureau, Supreme Court of Ohio

<sup>1</sup> 1999 Estimate by the U.S. Census Bureau

<sup>2</sup> For 1998

As indicated by **Table 5-10**, CCJC had the highest dollar amount of traffic costs and fines collected in 1999 in comparison to the peers. However, CCJC had the second lowest amount of other court costs and fines collected in 1999. Approximately 42.9 percent of CCJC's total collections are attributed to traffic dispositions while about 18.8 and 13.7 percent of HCJC's and LCJC's collections, respectively, are attributed to traffic dispositions. One of the direct benefits of improving the caseflow management process and subsequently increasing the number of cases disposed within CCJC is to have the ability to assess and collect more revenue on a greater amount of disposed cases. Another variable impacting collections is the degree to which court costs and fines are assessed by a court.

- R5.3** CCJC should implement the key recommendations in this report (see **R5.2**) to improve the caseflow management process and subsequently increase the number of dispositions. By disposing more cases in a timely manner, CCJC has the ability to assess a greater amount of court costs and fines and potentially collect more revenue.

*Financial Implication:* If CCJC increased the disposition rate of cases to the peer average of 86.2 percent, assuming a 50 percent collection rate and that court costs and fines are assessed at the same rate as in 1999, the Court could potentially increase the amount of court costs and fines collected and distributed to the County by approximately \$135,000 annually.

- F5.4 A centralized docketing system does not exist within CCJC. The magistrates and judges docket their cases and schedule all of the hearings after the cases are received from the clerk's office. Each courtroom docket cases differently. In addition, there is no central area in which the case files are stored during an open case, as the case files are forwarded to the appropriate courtroom. According to the magistrate supervisor, a centralized docketing system will be piloted when the three child support magistrates are hired. This system will allow the clerk's office to set up only the first hearing date. After this, the judges and magistrates are free to establish subsequent hearing dates and still have the ability to docket their cases anyway they wish. In addition, the judges and magistrates have the ability to change all hearing dates in JIMS. Furthermore, since all court personnel have access to case file information in JIMS, all of the hard copy case files can remain centrally located in the clerk's office, which will ensure that files are adequately monitored and tracked.

HCJC, which has been designated as a “model court” by the American Bar Association and National Conference of Special Court Judges, has a centralized docketing system in place. The docketing and case management department is responsible for docketing and presenting all complaints filed and scheduling all hearing dates. The docketing system is based on the established amount of time given to hear a specific type of case proceeding (see **F5.8**). Each morning, ten dockets are scheduled for delinquency and unruly cases. Of those ten dockets, five are scheduled strictly for arraignments and five are scheduled for trials and dispositions. An unofficial docket is scheduled daily for first time offenders charged with minor misdemeanor offenses. In addition, the department schedules a daily average of two dockets for contempt motions and two dockets for paternity complaints and motions. A motion docket for support issues is scheduled two days a week.

LCJC has also implemented a centralized docketing system. The clerk’s office is responsible for scheduling all hearing dates. A rotating schedule is used for assigning cases to magistrates. For example, one magistrate will do arraignments one week, trials the next week and dispositions the third week. In addition, the clerk’s office serves as the centralized area for the support staff involved in scheduling and docketing cases.

**R5.4** CCJC should develop a centralized docketing system for the purpose of scheduling cases for magistrates and judges. The system in place at HCJC or LCJC could be modeled and implemented at CCJC. Considering that it is a significant task to effectively manage the flow of cases throughout the court, the caseflow division should be ultimately responsible for docketing the cases. In addition, with all of the case information available on the new JIMS system, all of the hard copy case files should be centrally maintained in the clerk’s office and only assigned out when absolutely necessary. Maintaining the hard copy case files centrally should reduce the likelihood of misplacing or losing file information. Although maintaining all hard copy case files centrally and having staff utilize JIMS to obtain all case information may not be immediately practical, CCJC should consider this option when the centralized docketing system has been fully implemented. The issue of case file tracking and accountability is addressed directly in **F5.32** and **R5.23**. A centralized docketing system should support a more efficient flow of cases throughout the court system by providing the following benefits.

- Enhanced consistency and uniformity, as similar dockets will be scheduled based on uniform time guidelines (see **R5.8**) for all magistrates to provide a more equitable distribution of work load.
- Improved accountability by having one division responsible for all scheduling.
- Increased utilization of caseflow support staff by pooling similar caseflow functions.



The ultimate goal of implementing a centralized docketing system is to improve the processing of caseloads by increasing the disposition rate of official cases and reducing the number of pending cases. By reducing the pending caseload, CCJC will provide the needed services to juveniles in a more timely manner. In addition, with a higher number of cases being disposed, CCJC could assess a greater amount of court costs and fines which can subsequently provide additional revenue to the County through increased collections. All of the peer courts have a centralized docketing system in place and the reasoning for this system is supported by the higher rate of cases that are disposed, the lower rate of pending cases and the lower rate of cases pending beyond the Supreme Court time guidelines (see **F5.2** and **Table 5-9**) as compared to CCJC. Furthermore, CCJC should ensure that all of the employees receive an adequate amount of caseload management training with the centralized docketing system to ensure that everyone understands their role in the centralized docketing system.

F5.5 **Table 5-11** presents staffing levels for various caseload positions in CCJC and the peer courts.

**Table 5-11: Staff Caseload for Caseload Management Function**

	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>Director of Caseload</b>	1.0	0.0	1.0	1.0	0.8
<b>Case Management Coordinator / Manager</b>	4.0	3.0	4.0	0.0	2.8
<b>Staff Case Managers / Coordinator / Docket Clerks</b>	9.0 <sup>1</sup>	11.0	30.0 <sup>1</sup>	16.0 <sup>3</sup>	16.5
<b>Data Tracking/Statistics</b>	0.0	0.0	1.0	0.0	0.3
<b>Clerks</b>	10.0 <sup>2</sup>	0.0	2.0	0.0	3.0
<b>Magistrate Staff</b>	19.0	14.0	0.0	0.0	8.3
<b>Total</b>	43.0	28.0	38.0	17.0	31.5
<b>Total New Cases Filed (Average 1997-1999)</b>	28,789	21,509	28,432	15,651	23,597
<b>New Cases Filed per Staff</b>	670	768	748	921	777

Source: Caseload Division of CCJC and peer courts information

<sup>1</sup> One FTE for assigning cases to judges

<sup>2</sup> Included two clerks specifically assigned to judges

<sup>3</sup> This includes 6.0 FTE staff who perform the majority of scheduling

The following is a summary of the major activities performed by the above positions:

- Director of Caseflow: oversees and manages caseflow department operations
- Case Management Coordinator/Manager: directly oversees the support staff involved with the case management functions
- Staff Case Managers/Coordinator/Docket Clerks: involved with scheduling caseloads, sending/retrieving files, ensuring that dockets are filled and ensuring that cases are being heard as scheduled
- Data Tracking/Statistics: tracking and monitoring various statistical data regarding caseflow, such as cases pending and timeliness of case processing
- Clerks: data entry of journal information
- Magistrate Staff: function like the staff case managers/coordinator/docket clerk, except that they are specifically assigned to a magistrate

As indicated in the table, it appears that CCJC is overstaffed in the clerk caseflow function, and understaffed in the staff case managers/coordinator/docket clerk function. In addition, with the implementation of a centralized docketing system (see **R5.4**), the magistrate support staff should be assigned to the caseflow division as opposed to being assigned to a specific magistrate. This is the manner in which HCJC has structured its caseflow function. In addition, LCJC has recently restructured its caseflow function by transferring assigned magistrate support staff to the caseflow department to implement a centralized docketing system. Furthermore, both HCJC and LCJC assign caseflow support staff to the courtrooms. For example, each work day, HCJC assigns 24 of their staff case managers to the 24 courtrooms. The five remaining staff case managers serve as back-up to the 24 staff case managers and provide further support for various caseflow functions on a daily basis.

**R5.5** CCJC should consider restructuring the caseflow division to ensure that the centralized docketing system is adequately implemented. The magistrate support staff should be transferred to the staff case manager/coordinator positions and assigned specifically to the caseflow division. These employees would still provide support to the magistrates. However, the support would be provided in a different organizational structure and under the job function and responsibility of the caseflow division. With this staff reorganization, CCJC would have 28 FTEs staff case managers/coordinators to support the 28 courtrooms.

According to the deputy director of court services, CCJC will add two courtrooms in November 2000. To adequately ensure that these extra courtrooms will be supported and that CCJC has enough back-up support staff to cover for absences and perform various other caseflow functions, the Court should consider transferring and training seven of the ten clerk positions as staff case managers/coordinators. Out of these seven positions, CCJC should ensure that one employee performs the data/statistics function. CCJC should consider eliminating the remaining three clerk positions. CCJC has clerks in the clerk's office that perform the same type of functions that the clerk's in caseflow perform. The following table summarizes the staffing levels incorporating the changes in this recommendation.

**Table 5-12: Revised Staff Caseload for Caseflow Management Function**

	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>Director of Caseflow</b>	<b>1.0</b>	0.0	1.0	1.0	0.8
<b>Case Management Coordinator / Manager</b>	<b>4.0</b>	3.0	4.0	0.0	2.8
<b>Staff Case Managers / Coordinator / Docket Clerks</b>	<b>34.0<sup>1</sup></b>	11.0	30.0 <sup>1</sup>	16.0 <sup>2</sup>	22.8
<b>Data Tracking/Statistics</b>	<b>1.0</b>	0.0	1.0	0.0	0.5
<b>Clerks</b>	<b>0.0</b>	0.0	2.0	0.0	0.5
<b>Magistrate Staff</b>	<b>0.0</b>	14.0	0.0	0.0	3.5
<b>Total</b>	<b>40.0</b>	28.0	38.0	17.0	30.8
<b>Total New Cases Filed (Average 1997-1999)</b>	<b>28,789</b>	21,509	28,432	15,651	23,597
<b>New Cases Filed per Staff</b>	<b>720</b>	768	748	921	789

Source: Caseflow Division of CCJC and peer courts information

<sup>1</sup> One FTE for assigning cases to judges

<sup>2</sup> This includes 6.0 FTE staff who perform the majority of scheduling

With the revised caseload staffing, CCJC could potentially handle 50 more cases per staff member. It is important to note that this reorganization may be hindered by the current physical structure of the CCJC building. However, the County is in the process of planning a new facility to house detention services. Therefore, CCJC and the County should make the planning of the new detention facility a top priority and determine how this recommended reorganization can be adequately implemented in light of the space being available in the building formerly occupied by detention services. Furthermore, prior to implementing this recommended staffing reorganization, CCJC should ensure that data indicating critical court operations, such as the number of cases processed, is accurate and reliable (see **R5.1**) for the purposes of further assessing court operations and staffing levels.

*Financial Implication:* By reducing three clerk positions in the caseload division, CCJC could save approximately \$104,000 in salary and benefits costs annually.

**F5.6** CCJC is one of the two peer courts that has established internal time frames for various case events, which is outlined in The Cuyahoga County Court of Common Pleas: Rules of the Juvenile Division (Rule 20). For example, disposition hearings should occur within 30 calendar days from the entered admission date or the adjudicatory hearing. However, these time frames have not been adequately adhered to or enforced at CCJC, as indicated by the higher rate of cases pending beyond the Supreme Court time guidelines (see **F5.2** and **Table 5-9**). In addition, these internal time frames are not consistently tracked to ensure that they are being adhered to.

**C5.1** CCJC has attempted to address the timeliness for processing cases by establishing internal time frames for various case events. This provides a basis from which CCJC could begin to assess the overall case processing time frames and determine if they are being met.

**R5.6** The time frames to hear and complete cases should be tracked and enforced at CCJC. However, CCJC should first take measures to reduce the number of pending cases which are beyond the Supreme Court guidelines and ensure that these guidelines are being met by all of the courtrooms. The centralized docketing system should help address the time frames, but CCJC should take any additional measures necessary to consistently monitor and enforce time frames to ensure that they are being met.

**F5.7** CCJC has time frames and rules for granting continuances, which are stipulated in Rule 10 of the Rules of the Juvenile Division. However, considering the backlog of cases at CCJC (see **Tables 5-5 and 5-6**), the rules and time frames are not enforced or adhered to. HCJC stipulates in their case management program that continuances are to only be granted for “no longer than the period necessary to resolve good cause” and grants no more than one continuance to both the prosecution and defense. In addition, HCJC enforces these rules, which is evidenced by their low amount of cases pending as compared to CCJC (see **Tables 5-5 and 5-6**). **Table 5-13** indicates the most frequent codes utilized to track continuances at CCJC. The Court granted a total of 85,085 continuances in 1999.

**Table 5-13: Coding for Continuances in 1999**

	Number of Continuances	Percent of Total
<b>Continued for Hearing</b>	32,149	37.8%
<b>Continued for Disposition</b>	10,620	12.5%
<b>Subject Failed to Appear</b>	8,514	10.0%
<b>Continued for Trial</b>	6,437	7.6%
<b>Committed to Emergency Custody</b>	4,418	5.2%
<b>Continued Indefinitely</b>	3,555	4.2%
<b>Docket Adjustment</b>	2,776	3.3%

Source: Caseflow Division of CCJC

As presented in the **Table 5-13**, the most frequent cause for granting a continuance is due to establishing another hearing. As mentioned in **F5.1** and **F5.19**, CCJC does not ensure the accuracy of its reports concerning caseloads and coding to relate essential information, so the accuracy of this information should be questioned. Regardless, granting an excessive amount of continuances directly affects the number of cases pending at the end of the period. As indicated in **Table 5-9**, CCJC has the highest number of pending cases of the peers.

**R5.7** CCJC should monitor and enforce the local rules regarding continuances. In addition, the current rules should be reviewed to determine if they need to be updated considering that the rules were established over ten years ago. The likelihood of granting continuances could potentially be reduced by monitoring and enforcing the rules and guidelines, which can subsequently reduce the number of cases pending at the end of the period.

F5.8 There are no standard written time frames established at CCJC for the purpose of processing cases in a typical day. The magistrates develop their own dockets using the number of cases that they expect to be able to hear in one day as their guideline. According to the magistrate supervisor, an average of 15 child support cases or 30 delinquency cases can be processed per day by one magistrate. Magistrates have a general idea of how long case proceedings should take. However, each magistrate may perceive the case processing time differently. Without established standard time frames for hearing cases, the magistrates have no guidelines by which they can measure their performance and can perceive case processing time differently. According to the director of court services, the new case management system, JIMS, has a time guideline and enforcement function by not allowing a jurist to schedule cases beyond certain time frames.

The following table reveals the time frames established by HCJC by which various case activities should be heard. The time frames were established by the executive director of case management and were based upon historical knowledge on how long a typical case may take, how many cases could be heard in one day and a need to ensure that dockets would be filled.

**Table 5-14: HCJC's Time Frames for Various Case Proceedings**

Type of Proceeding	Number of Minutes
Arraignments (Delinquency & Unruly)	20
Trials (Delinquency & Unruly)	60
Disposition, Probation Investigation, Continuance	15
Paternity & Child Support	20
Motions for Contempt (IV-D cases)	20
Visitation/Custody Pre-trials	30
Visitation/Custody Trials	120
Traffic	10

Source: HCJC, Executive Director of Case Management

These time frames have been established within HCJC's computer system and are the mechanism by which the cases are docketed (see **F5.4**). For example, delinquency trials, based on the above time frames, are scheduled every 60 minutes. According to the executive director of case management, these time frames have not changed because the time frames to hear these cases have remained constant over the last 20 years. In addition, the magistrates function as a team. If a magistrate has a case during the course of the day that surpasses these time frames, other magistrates will hear more cases to ensure that all of the magistrates' dockets are heard. The establishment of and adherence to these time frames directly contribute to HCJC's effective processing of cases (see **Tables 5-3** through **5-6**).

**R5.8** Time frames for the purpose of hearing a case should be established within CCJC. HCJC's time frames could be used as a model and reference to assist in determining the most appropriate time frames for CCJC (see **Tables 5-3** through **5-6**). Once the time frames have been established, they should be used as the mechanism by which cases are assigned to jurists. CCJC's new computer system, JIMS, has the ability to docket these cases in accordance with established time frames. In addition, the time guideline feature in JIMS should be reviewed and altered if necessary in accordance with the recommended overall time frames. Furthermore, these time frames should be monitored by the deputy director of caseflow to ensure that they are being adhered to. The magistrates and judges should work as a team and assist one another if certain cases exceed these time frames during the course of the day. By adhering to established time frames, CCJC could potentially reduce the number of pending cases and improve the case management system in general.

**F5.9** The Supreme Court of Ohio conducted a review of caseflow management within CCJC and submitted a report to the Court in June 1994. Various recommendations from this study were implemented, such as implementing a new computer case management system and creating a director of caseflow management position. However, critical recommendations that were not fully implemented by CCJC include:

- Establishing time standards between case events (see **F5.30**)
- Tracking the results of cases handled unofficially (see **F5.52**)
- Acting upon collected data that reveals the frequency of continuances (see **F5.7**)
- Standardizing courtroom operations and responsibilities of courtroom staff (see **F5.28**)
- Controlling the inventory of pending cases (see **F5.2** and **F5.6**)

It should be noted that CCJC has developed time frames between certain case events as is discussed in **F5.30**. However, this report provides additional time frames to guide other critical activities between case events and they are included in **F5.6** through **F5.8**, **F5.24**, **F5.30**, **F5.47**, **F5.62** and **F5.64**. The remaining issues are addressed throughout this report (see **F5.52**, **F5.7**, **F5.28**, **F5.2** and **F5.6**). Controlling the inventory of pending cases is one of the goals of implementing the centralized docketing system and is also discussed throughout this report.

F5.10 As mentioned in **F5.50**, the court services department has a caseflow management procedures manual. However, according to the deputy director of caseflow, the manual is not current. In addition, the deputy director of caseflow did not have a significant amount of input into the development of the manual. The recent implementation of the new computer system has altered some of the caseflow management procedures and necessitates a need for an update of the current caseflow procedures manual.

**R5.9** The court services department should update the caseflow management procedures manual. The deputy director of caseflow should be the individual overseeing this task. All areas of the Court should be involved in the revision of the manual to ensure that it is accurate and up-to-date. In addition, the updated caseflow management procedures manual should be incorporated into an overall court services department policy manual (see **F5.13** and **R5.12**). By updating the caseflow procedures manual, CCJC will have a valuable resource that could be utilized by all employees and serve as a training document for new employees.

F5.11 Currently, the caseflow division is under the control and authority of the court services department. By not being independent of another department's jurisdiction, there is the potential for caseflow to lack in the authority needed to ensure an effective caseflow management system. For instance, considering that both the caseflow and magistrate divisions are in the same department, the caseflow division could have problems approaching the magistrates about the timeliness in which cases are scheduled and requiring the magistrates to be more efficient. In HCJC, the caseflow management process is a separate and distinct department entitled Docketing and Case Management. It is under the authority of the executive director of case management, who is ultimately accountable to the court administrator.

**R5.10** CCJC should consider moving the caseflow division under the auspices of the court administrator and structuring it as a separate and independent department to have more authority within CCJC. The whole caseflow management system would be more visible and would more appropriately reflect its integral role in overall court operations.



F5.12 **Table 5-15** indicates the number of official cases, number of dispositions, number of pending cases, number of pending cases beyond the time guidelines and the number of unofficial cases in CCJC over the last four years. Unofficial cases are those complaints resolved at intake without having to file the complaint as an official case.

**Table 5-15: Case Processing from 1996 to 1999**

	1996	1997	1998	1999	Change 98-99	Change 96-99
<b>Total Official Cases</b>	38,952	45,188	39,952	41,861	4.8%	7.7%
<b>Dispositions</b>	32,030	37,209	26,224	28,340	8.1%	(11.5%)
<b>% of Total</b>	82.2%	82.3%	65.6%	67.7%	3.2%	(17.6%)
<b>Cases pending end of period</b>	6,922	7,979	13,697	13,521	(1.3%)	95.3%
<b>Cases Pending beyond Time Guideline</b>	1,484	1,865	1,735	2,032	17.1%	36.9%
<b>% of Total Pending</b>	21.4%	23.4%	12.7%	15.0%	18.1%	(29.9%)
<b>% of Total Cases</b>	3.8%	4.1%	4.3%	4.9%	14.0%	28.9%
<b>Total Unofficial Cases</b>	11,645	10,606	1,862	1,684	(9.6%)	(85.5%)

Source: Supreme Court of Ohio

**Table 5-15** reveals that the disposition rate drastically declined after 1997. In addition, the number of unofficial cases significantly declined after 1997. According to the court services department, the decline in unofficial cases in 1998 is largely attributed to the change in intake procedure. The use of warning letters, which served as the most direct means of bypassing an official filing as a method of handling certain minor offenses, was abolished in 1998. It was determined by the court leadership at that time that the warning letter lacked sufficient authority to serve as a deterrent to further delinquency. This can be attributed to the relatively higher caseloads in 1996 and 1997. If the unofficial hearing proves to be unsuccessful, an official case is filed.

Instead of receiving warning letters, juveniles are now required to appear in court. As a result of this change in procedure, most of the cases which, by previous policy, would have been resolved at intake were either assigned for hearing in the newly established Community Diversion Program or filed officially and sent to the prosecutor's office. Rule 9 of the Ohio Rules of Juvenile Procedure states that "in all appropriate cases formal court action should be avoided..." The court has not considered re-implementing the warning letters as an option to divert youth from going through the court system. LCJC does utilize warning letters as a method of diverting youth from the juvenile court system, and as indicated in **Table 5-3**, LCJC is able to divert 9.6 percent of the cases from an official filing while CCJC diverts only 3.9 percent of cases from an official filing.

In addition, the number of cases pending beyond the Supreme Court time frames has increased over the five year trend period. This indicates that CCJC has not adequately ensured that the court is meeting time frames and effectively processing cases. The implementation of a centralized docketing system could potentially reduce the number of cases pending beyond the Supreme Court time guidelines and ensure that these time frames are being adhered to (see **F5.4** and **R5.4**).

**R5.11** CCJC should establish an appropriate policy for when a warning letter can be used as an option, such as utilizing warning letters for first-time minor and misdemeanor offenses that CCJC deems appropriate to be resolved by issuing a warning letter. In addition, the warning letters should be sent by certified mail and require the signatures of the parents or guardians to ensure that the letter is received. Another option CCJC could utilize to ensure that the parents receive the warning letter is to require the parent to contact the Court directly and provide identification, such as a drivers license or social security number. By developing a policy for when a warning letter can be utilized, CCJC would ensure that the spirit of Rule 9 of the Ohio Rules of Juvenile Procedure is followed and thereby potentially reduce overall official filings. It is important that CCJC not overuse the option of warning letters because if it fails, CCJC would have to deal with the same juvenile twice as a second complaint would require an official filing.

F5.13 The court services department lacks a departmental policy and procedures manual. The department had a contract in 1998 with a vendor to develop a policy manual, but a final manual was never created or produced. The staff within court services have no written document to which they can turn to if they are uncertain about any departmental policy. The staff may be spending unnecessary time trying to locate certain policies or procedures when most information could be provided to each employee in a written manual thus saving the staff time and reducing employee frustration.

**R5.12** The court services department should develop a policy manual for its staff. Considering that each division has its own separate and distinct responsibilities, the manual should address each of the different divisions within the department. For example, the updated caseflow (see **R5.9**) and intake (see **R5.34**) procedures manuals should be incorporated in the court services department policy manual. Management would benefit from written policies, especially when an employee needs guidance or reprimand. An example of the type of information/procedures that should be addressed in the policy manual include the following.

- Numbering cases
- Entering case information into the computer system
- Using the various functions in the computer system
- Processing the filing fee for security costs
- Assigning cases to attorneys, judges and magistrates

### *Case Assignment*

F5.14 The clerk of court's office in the court services department is responsible for selecting and assigning attorneys to certain cases in which the Public Defender's Office can not provide an attorney. Two clerks within the clerk's office are responsible for this function. Attorneys must apply to be eligible for the selection pool for consideration as assigned counsel and/or guardian ad litem (GAL). Assigned counsel and GALs receive compensation for services performed at a rate of \$40 per hour for in-court time and \$30 per hour for out of court time and are limited to the maximum fee in effect at the time of the acceptance of the assignment. To be considered for assigned counsel for all cases, an attorney needs to have served as a GAL for any party on seven prior juvenile court cases, as assigned counsel on seven juvenile delinquency cases or must currently be on the General Division's assigned counsel list for murder cases. To be considered for all cases except aggravated murder, murder and first and second degree murder, an attorney needs to have served as a GAL for any party on seven prior juvenile court cases or must currently be on the General Division's assigned counsel list for major felony cases.

A GAL is a "guardian for the case" and is appointed to primarily dependency/neglect/abuse cases. In some instances, a GAL can also be appointed to delinquency and custody cases. CCJC recruits attorneys to be GALs by getting lists of individuals who pass the Ohio Bar Association, contacting law schools and bar associations and ensuring that the attorneys are in good standing. New GALs are required to attend training and are teamed up with another GAL for at least their first case to act as a mentor. A GAL will remain assigned to a case until permanency is achieved for the child, which may not occur until the child reaches the age of 18.

There are two separate assignment lists for GALs and assigned counsel, the master list and the short notice list. Assignments from the master list are for cases that have court dates usually ranging from two to four weeks before trial and occasionally further in advance. The clerk's office usually calls attorneys once a month and they are required to return calls within one business day. Attorneys may accept at least one and not more than four cases a month. When they receive a call from the clerk's office, they are given a court date, time and judge. The short notice list is for assignment to cases received in the clerk's office with court dates ranging anywhere from one to five days notice. CCJC has developed an in-house database that categorizes the attorney assignment list in the following manner:

- Assigned Counsel
- Assigned Counsel, except aggravated murder
- Assigned Counsel for delinquency only
- GALs
- Emergency Custody
- Master List, which is comprised of all of the attorneys

The database tracks information about attorneys who practice at CCJC. The database also tracks GALs and assigned counsel processing and maintains records of which attorneys participate in these programs.

F5.15 Attorneys are randomly assigned based on alphabetical rotation, which is the process also utilized by LCJC. However, attorneys can also be appointed by the bench without utilizing random selection. The Ohio Rules of Superintendence state, in Rule 8, that the procedure used for making assignments "shall ensure an equitable distribution" of attorney assignments. By not using random selection for all assignments, there is a potential to assign certain attorneys more cases than other qualified attorneys. In addition, there is a potential to show favoritism by assigning certain attorneys more cases and in turn tarnish CCJC's reputation for making attorney assignments. According to the court services director, the appointment of attorneys by the bench occurs in approximately 50 percent of all case assignments. Furthermore, a report generated by CCJC indicating assigned counsel and GAL payments by each courtroom appears to suggest that certain attorneys are being utilized more by certain courtrooms than others.

In HCJC, the public defender's office is responsible for assigning all attorneys to cases. The juvenile court refers parties in need of an attorney to the public defender's office, which is not a part of, or compensated by, the court. The Board of County Commissioners (BOCC) in Cuyahoga County allocated additional dollars in FY 2000 to the public defenders office for the purpose of hiring approximately five more public defenders.

**R5.13** Assignment of cases to attorneys should always be made by utilizing a random selection process, which ensures an equitable distribution of attorney assignments. By using random selection for all attorney assignments, CCJC would be basing assignments more objectively and thereby avoid any accusations of bias or favoritism in the selection process. The court services department should communicate the importance of this policy with the judges. In addition, attorney assignments by the judges should be monitored and data compiled on a regular basis to ensure that random selection is being implemented. Furthermore, CCJC, the Public Defender's Office and BOCC should consider increasing the number of case assignments to the Public Defender's Office once the centralized docketing system has been fully implemented by the Court (see **R5.4**). Some of the benefits of utilizing the Public Defender's Office as opposed to private attorneys include:

- *Increase Accountability:* Since the Public Defender's Office is under the jurisdiction of the County, the office can be held more accountable for the cases assigned to them.
- *Enhance Quality of Service:* Since the Public Defender's Office can be held more accountable to the County, there is more of an incentive for the public defenders to put forth their maximum effort to process these cases in a timely manner and provide juveniles with the appropriate services.

It is important to note that increasing the number of cases assigned to the Public Defender's Office is contingent upon the ability of the expanded staffing levels within the Public Defender's Office to handle more case assignments.

F5.16 CCJC's expenditures for assigned counsel and GAL funds have historically exceeded the initial amount appropriated by the County to these funds. The following table indicates the amounts initially appropriated and actually spent on assigned counsel and GALs over the last two years and the amounts appropriated and forecasted in FY 2000.

**Table 5-16: Appropriation and Expenditures for Assigned Counsel and GALs**

	Appropriated 1998	Expenditure 1998	Expenditure <sup>1</sup> 1999	Appropriated 2000	Forecasted 2000
<b>GAL</b>	\$546,250	\$769,653	\$817,027	\$800,000	\$1,000,000
<b>Assigned Counsel</b>	\$332,500	\$525,904	\$808,820	\$170,000	\$850,000

Source: Administrative Services - Fiscal

<sup>1</sup> No amount was specifically appropriated for 1999.

As indicated by **Table 5-16**, CCJC has spent more than was appropriated in 1998 and is forecasted to spend more than the appropriation in 2000. In 1998, the expenditure for GAL was \$223,403 or approximately 40 percent more than originally appropriated and for assigned counsel was \$193,404 or about 58 percent more than the initial appropriation. In addition, CCJC has forecasted that the amount expended for assigned counsel will be five times what was initially appropriated while \$200,000 or 25 percent more will be spent on GAL. Although the Court is obligated to assign counsel to all juveniles in need of counsel, CCJC has the potential to experience significant fiscal problems by continually overspending the amounts appropriated for GAL and assigned counsel.

**R5.14** CCJC should address the spending problems with the GAL and assigned counsel funds by either reducing costs (see **F5.17** and **R5.15**) or developing methods to adequately fund these items. For more information on this issue, see the supporting recommendations in **organization and administration** section of this report.

**F5.17** The Court Appointed Special Advocate (CASA) program is not utilized at CCJC. CASAs are trained citizen volunteers serving as GALs and represent the best interest of the child in dependency/neglect/abuse cases. According to the director of the CASA program at FCJC, the CASA volunteers do not have to be attorneys.

**Table 5-17** provides operational information for the CASA programs implemented at FCJC and LCJC. The CASA program at FCJC is operated as an independent non-profit organization with FCJC providing some funding to the program while the CASA program at LCJC is operated as a part of the juvenile court.

**Table 5-17: CASA Program Data in 1999**

	FCJC	LCJC
<b>Total Funding</b>	\$376,000	\$278,941
<b>Cost to Juvenile Court</b>	\$70,000	\$278,941
<b>Total Cases Assigned to CASA</b>	370	182
<b>Percent of Total Dependency/Neglect/Abuse Cases</b>	10.2%	37.3%
<b># FTEs</b>	8.0 <sup>1</sup>	4.5

Source: FCJC and LCJC CASA program

<sup>1</sup> Consists of 8.0 FTEs (4.0 FTEs staff attorneys)

<sup>2</sup> Consists of 1.0 FTE director, 1.0 FTE staff attorney, 2.0 FTE secretaries and 0.5 FTE recruitment/training coordinator

As indicated by the table, a nonprofit CASA program structure can potentially cost less to operate for a juvenile court. However, a greater collaboration and partnership would have to be developed between the BOCC and CCJC to initially establish the nonprofit CASA program. Funding for the FCJC's CASA program comes from FCJC, National CASA Association, Ohio Children's Foundation, Victims of Crime Act, Greater Columbus Community Shares, corporations, special events and individuals. An internal CASA program may be easier to initially implement at a higher annual cost, but would be subject to the juvenile court's authority and jurisdiction. In addition, the ultimate goal of a CASA program is to eventually assign all dependency/neglect/abuse cases to volunteers so that private GALs would not have to be utilized.

**R5.15** CCJC should consider developing and implementing a CASA program in an effort to reduce the costs associated with appointing private GALs. In addition, utilizing a CASA program can enhance the quality of service provided to juveniles considering that the CASA volunteers are dedicating their time and effort, knowing that they will not be compensated, to represent the best interests of the juvenile. The options of structuring the program in-house or as a nonprofit entity should be evaluated by CCJC and BOCC to determine which structure would be most appropriate for the Court. CCJC has estimated that to develop a CASA program in-house with staffing levels similar to those in LCJC, it could potentially cost approximately \$350,000 annually. If CCJC developed an independent nonprofit CASA program similar to FCJC's and was able to obtain funding as effectively as FCJC, it could potentially cost the court \$70,000 annually.

*Financial Implication:* Assuming that CCJC develops an in-house CASA program similar to LCJC it would cost CCJC about \$350,000 annually to operate the program. However, in the long run, the implementation of a CASA program has the potential to save CCJC additional monies as more cases are assigned to CASA volunteers.

F5.18 In April, 1995, the assignment guidelines for judges were simplified as follows:

- All cases will be assigned by random draw directly to the judges with the following exceptions:
  - ▶ If the subject of a new case has a pending matter before the court, all new cases will be assigned to that judge
  - ▶ If the subject of a new case is currently on probation or in active custody status of the Department of Children and Family Services, the new matter will be placed on the docket of the judge that made the probation or custody order.
  - ▶ If a case was dismissed and the same action was re-filed, the case will be assigned to the judge that made the dismissal order.

- ▶ Motions for permanent custody will be assigned to the judge that made the temporary custody order.
  - ▶ If the subject of a neglect, abuse or dependency case is a sibling of anyone meeting the above criteria, the case will be assigned to the judge of record.
- If new delinquency complaints are filed with respect to two or more children who are known to more than one judge, the cases will be assigned to the judge who has the subject with the earliest active case number.
    - ▶ Cases with a pending hearing date hold precedent over all other matters when considering multiple case assignments.
    - ▶ If there are two or more subjects with pending cases, the matter will be assigned to the judge with the most recent pending case scheduled.

In August, 1996, the judges modified the assignment guidelines in the following manner. When a parentage or child support case is pending or open in the system and a new parentage or application to determine custody case is filed, the new case will be assigned to the judge assigned to the pending case. All traffic offender cases are assigned to magistrates, which is permitted under the Traffic Court Rule 14 (D) of the Ohio Traffic Rules. One child support magistrate is assigned to hear child support cases assigned to two judges.

JIMS provides for two methods of assigning cases to judges. The first method is a purely random assignment based on the number of available judges regardless of their caseload. The other option in JIMS is a leveling method that assigns cases evenly among all available judges. These methods can also be used to assign other court personnel to cases. In addition, the system has the ability to directly assign a judge to a case.

F5.19 The assignment of cases to the judges is not centralized within the department and is done by the caseload division except for child support cases, which are assigned by the clerk's office. There is a lack of accountability and consistency by having two different divisions performing the same procedure.

**R5.16** The assignment of cases should be done by one central area. Central assignment would ensure consistency of the case assignment procedure and is included in the overall recommendation for the implementation of a centralized docketing system (see **R5.4**).



F5.20 **Table 5-18** indicates the number of hearings held by the judges and magistrates from January 1 through September 18, 2000. The 335 dependency/neglect/abuse cases heard by the Citizens Review Board, which is established in every Ohio juvenile court as mandated by State law, are not included in this comparison. The Citizens Review Board is comprised of volunteers who review the services and plans provided by the Department of Children and Family Services to the juveniles and families for these cases referred to the Board by a judge or magistrate.

**Table 5-18: CCJC Hearings From 1/1/2000 to 9/18/2000**

	Judges	Visiting Judges	Magistrates
Delinquency	3,204	348	7,213
Unruly	92	6	860
Dependency/Neglect/Abuse	2,443	2,320	10,413
Motions for Permanent Custody	0	0	5
Custody/Change of Custody/ Visitation	64	82	981
Support Enforcement	5	330	1,943
Parentage	6	736	4,206
Adult	78	6	32
Traffic	3	0	9,888
Other <sup>1</sup>	31	23	191
<b>Total</b>	<b>5,926</b>	<b>3,851</b>	<b>35,732</b>
<b>FTEs</b>	<b>5.2 <sup>2</sup></b>	<b>3.8 <sup>3</sup></b>	<b>20.0 <sup>4</sup></b>
<b>Cases Per FTE</b>	<b>1,140</b>	<b>1,013</b>	<b>1,787</b>

Source: Casflow Division

<sup>1</sup> Cases that were converted from prior system

<sup>2</sup> One FTE judge was not with the Court for the entire period, so the total FTEs were adjusted

<sup>3</sup> According to the court services department, the 10 visiting judges used by CCJC during this time period equate to 3.0 FTE.

However, one of these visiting judges replaced the absent FTE judge, so the total FTEs were adjusted.

<sup>4</sup> Includes the magistrate supervisor spending half of his time hearing cases (see **F5.36**)

As indicated by **Table 5-18**, it appears that the magistrates have a much greater workload than the judges. In addition, the magistrates have the authority to hear all types of cases, except for certain felonies. However, the judges have a staff support team of four employees while the magistrates have a maximum staff support team of 2.5 full-time employees. The magistrates hear approximately six times the number of cases heard by the judges. Furthermore, on average, a FTE magistrate conducts over 1.5 hearings for every one hearing conducted by a FTE main court judge.

F5.21 A uniform court procedure for assigning cases to magistrates does not exist in CCJC and contributes to the fact that the magistrates carry a larger workload. As mentioned in **F5.18**, cases are randomly assigned to judges. Each of the judges assigns a different amount of cases to the magistrates. In addition, there is no uniformity in the various types of cases that are assigned to the magistrates. A majority of one magistrate's caseload may be hearing delinquency and unruly cases while another magistrate's may be predominantly hearing custody cases. By not having a uniform process of assigning cases between magistrates, it is difficult to measure the magistrate's effectiveness.

HCJC appears to have an equitable system in place for assigning cases to magistrates. After a case has been assigned to the judges in the computer system, the case is docketed on the first available magistrate's schedule; to be heard in the established time frame of 21 to 25 days after the filing. In addition, the magistrates rotate on a biweekly basis to hear certain types of cases, which are predominantly delinquency and unruly cases (see **F5.4**). In addition, as indicated in **F5.4**, LCJC also has implemented a standard process of assigning cases to magistrates.

**R5.17** CCJC should develop and implement a uniform policy for assigning cases to magistrates. A uniform policy for assigning cases to magistrates would benefit CCJC's operations in the following ways:

- Enhance consistency and uniformity, as similar dockets would establish a more equitable distribution of work load for all magistrates.
- Improve caseflow management throughout CCJC as each magistrate will have a comparable number of cases to process.
- Provide effective cross-training for magistrates to effectively hear various types of cases.

The processes utilized in HCJC and LCJC could serve as models to assist CCJC in developing its assignment process. The implementation of a centralized docketing system (see **R5.4**) and termination of the current process of assigning magistrates to judges (see **R5.25**) should also alleviate the problem of inconsistent assignment of cases to magistrates.

*Detention Center, Shelter Care and Residential Placements*

- F5.22 A court order assigns juveniles to one of the shelter care facilities or residential placements, but it does not specifically state which placement. The detention center is responsible for assigning juveniles to these placements. The process of assigning juveniles to shelter care facilities is conducted on a first come, first served assignment process based on the number of available beds. The social history is reviewed to ensure that the juvenile does not have a prior record of being admitted to shelter care and is not a violent offender. The shelter care facilities have the right to refuse a juvenile under these circumstances. All first time offenders must be admitted into shelter care facilities, if so ordered by the judge. However, there is no review team in place to review orders to place juveniles in shelter care. The three Ohio based shelter care facilities are located in Hudson, Youngstown and Cleveland. The maximum amount of time that a juvenile can spend in shelter care is 90 days for each court action. The shelter care facilities offer no services, therapy or treatment and only serve as a holding facilities for less aggressive juveniles. The youth services program referral form must be completed before the juvenile is placed in shelter care.
- F5.23 The process for assigning juveniles to residential placements begins with a judge's order to assign a juvenile to one of the placement facilities. A Service Review Team (SRT) consisting of a social worker, probation manager, psychologist and community support worker review the case and make a recommendation to the judge. The judge has the final authority to determine where the juvenile will be placed. For instance, if the SRT recommends a different placement facility from the one ordered by the judge or recommends a community program, the judge can override the recommendation and order that the juvenile be placed in the facility originally ordered. The juvenile's social history, a psychological assessment and other related information are reviewed by the SRT. A two page private residential placement referral form must be completed before the juvenile is placed. While the SRT is reviewing the case, CCJC contacts various placement facilities to determine if these facilities will accept the juvenile. A residential placement facility has the right to refuse to accept a juvenile. These facilities provide services such as therapy and treatment to rehabilitate juveniles placed in them.
- F5.24 There is no established time frame to limit the amount of time between when a court orders that a juvenile be placed in a residential placement facility and when the juvenile is actually placed in the facility. The time lapse depends upon when all of the information is received and reviewed by the SRT. In addition, there is no established time frame for moving juveniles out of the detention center or shelter care facilities to residential placements. Without an established time frame for transferring juveniles from the detention center or shelter care, the amount of time that the juvenile spends in these facilities and the related daily cost to hold the juvenile potentially increases.

At LCJC, the judges, chief magistrate, court administrator and director of the detention center meet each week to determine whether juveniles are being moved from the detention center in an efficient and timely manner. In addition, LCJC has developed and implemented a risk assessment tool to determine whether or not a juvenile should be placed in the detention center or if another holding facility would be more appropriate. By developing and utilizing such a tool, LCJC has a basis for assessing whether the length of stay for juveniles is appropriate. This process has the potential of reducing the number of days a juvenile spends in the detention center.

F5.25 **Table 5-19** indicates the cost associated with operating the detention center, shelter care and residential placements.

**Table 5-19: Costs of Facilities**

	Detention Center	Shelter Care	Residential Placement
<b>Total 1999 Costs</b>	\$10,529,401	\$4,123,997 <sup>1</sup>	\$4,719,897 <sup>1</sup>
<b>Average Daily Population</b>	141.2	125.4	105.7
<b>Average Length of Stay (Days)</b>	10.1	28.1	180 - 240 <sup>2</sup>
<b>Average Daily Cost per Child</b>	\$204.30	\$90.10	\$122.34

Source: 1999 Annual Report & Administrative Services: Fiscal

<sup>1</sup>Expenditures from all CCJC funds, including RECLAIM

<sup>2</sup>This is an estimation.

As indicated by **Table 5-19**, the total annual costs in 1999 to operate these facilities, the average daily population and the average daily cost per child were the highest in the detention center. The average length of stay was the highest in the residential placement facilities, which unlike the detention center and shelter care facilities, actually provides services and programs for the juveniles. In addition, the average length of stay in the shelter care facilities was close to three times the average length of stay in the detention center.

F5.26 **Table 5-20** indicates the trend in average daily population while **Table 5-21** presents the trend in the average length of stay in these facilities. The average daily population has increased significantly in all of these facilities, which can be potentially attributed to the lower number of cases disposed in CCJC as compared to the peers (see **F5.2**). The average length of stay in the detention center has been steadily declining each year since 1996, while the average length of stay in shelter care facilities has been fluctuating over the same time period.

**Table 5-20: Trend in Average Daily Population by Facility Type**

	1996	1997	1998	1999
<b>Detention Center</b>	158.6	140.8	126.7	141.2
<b>Shelter Care</b>	43.6	46.9	72.2	125.4
<b>Residential Placement</b>	N/A	N/A	68.60	105.7

Source: 1999, 1998, 1997 and 1996 Annual Reports

**Table 5-21: Trend in Average Length of Stay (Days) by Facility Type**

	1996	1997	1998	1999
<b>Detention Center</b>	18.0	15.9	11.2	10.1
<b>Shelter Care</b>	27.3	29.9	23.9	28.1
<b>Residential Placement</b>	N/A	N/A	N/A	180 - 240

Source: 1999, 1998, 1997 and 1996 Annual Reports

**Table 5-22** compares CCJC's average daily population and length of stay in holding facilities with the peer courts in 1999.

**Table 5-22: Data for Holding Facilities**

	CCJC	FCJC	HCJC	LCJC	Peer Average <sup>4</sup>
<b>Average Daily Population</b>	266.6 <sup>1</sup>	106.0	168.1	73.5	115.9
<b>Average Length of Stay (Days) - Detention Center</b>	10.1	9.1	9.5	12.7	10.4
<b>Average Length of Stay (Days) - Shelter Care</b>	28.1	N/A <sup>2</sup>	N/A <sup>3</sup>	N/A <sup>2</sup>	N/A <sup>2</sup>

Source: CCJC 1999 Annual report, peer courts' information

<sup>1</sup> The average daily population is for detention center and shelter care.

<sup>2</sup> FCJC and LCJC do not utilize shelter care facilities.

<sup>3</sup> Could not be provided.

<sup>4</sup> Does not include CCJC.

As indicated by the table, CCJC's average daily population is significantly greater in the holding facilities, which includes the detention center and shelter care facilities, as compared to the peers. HCJC is the only other peer court that utilizes shelter care facilities. The average daily population of HCJC's shelter care facilities in 1999 was 3.4 juveniles, which is not included in the above table. CCJC's average length of stay in the detention center is comparable to the peer courts. However, the average length of stay in CCJC's shelter care facilities is significantly greater compared to the average length of stay in its own detention center and in those of the peer courts.

**R5.18** CCJC should establish and develop standard time frames for the process of transferring juveniles from the detention center and shelter care facilities. In addition, CCJC should consider establishing a review team, as is used by LCJC, to monitor the average daily population and average length of stay in these facilities. Also, CCJC should consider establishing another team to review orders to place juveniles in shelter care facilities. This monitoring function should help to ensure that assignments to the detention center and shelter care are being adequately monitored. Additionally, a risk assessment tool similar to the one utilized by LCJC could aid in efforts to reduce the average daily population and the average length of stay in these facilities by providing a mechanism for determining the most appropriate holding facility. Furthermore, by implementing a centralized docketing system (see **R5.4**), CCJC should be able to better manage its caseload and dispose of a larger amount of cases, which can directly impact the average daily population and length of stay in the detention center and shelter care facilities

*Financial Implication:* By developing standard time frames, review teams, a risk assessment tool and a centralized docketing system, it is assumed that CCJC could potentially reduce the average daily population in the detention center and shelter care facilities by at least ten percent. Reducing 1999's average daily population in the detention center and shelter care facilities by ten percent would equate to a new average daily population of 240, which is still significantly greater than the peer average (see **Table 5-22**). If CCJC were able to reduce the average daily population by ten percent and assuming that operational costs are proportionate to the average daily population, it could save approximately \$859,000 annually in the detention center and \$412,000 annually in the shelter care facilities for a total annual cost savings of \$1,271,000. The annual cost savings for the detention center is based solely upon operational costs, which excludes overhead costs.

*Courtrooms*

F5.27 One measure of operational efficiency for a courtroom can be calculated by determining the total number of cases processed, the number of dispositions and the number of cases pending by each courtroom. **Table 5-23** indicates the data compiled regarding these variables for each main courtroom in 1999.

**Table 5-23: Cases Processed by Courtroom in 1999 <sup>1</sup>**

	<b>Court 1</b>	<b>Court 2</b>	<b>Court 3</b>	<b>Court 4</b>	<b>Court 5</b>	<b>Court 6</b>	<b>Average</b>
<b>Total Cases</b>	3,188	4,687	3,998	4,755	3,278	3,621	3,921
<b>% of Total Cases</b>	13.5%	19.9%	17.0%	20.2%	13.9%	15.5%	16.7%
<b>Dispositions</b>	2,148	3,364	2,580	3,037	1,888	2,088	2,518
<b>% of Total</b>	67.4%	71.8%	64.5%	63.9%	57.6%	57.7%	64.2%
<b>Cases pending end of period</b>	1,040	1,323	1,418	1,718	1,390	1,533	1,404
<b>% of Total</b>	32.6%	28.2%	35.5%	36.1%	42.4%	42.3%	35.8%
<b>% of Dispositions</b>	48.4%	39.3%	55.0%	56.6%	73.6%	73.4%	55.8%
<b>Cases Pending beyond Time Guideline</b>	283	473	231	376	348	321	339
<b>% of Total Pending</b>	27.2%	35.8%	16.3%	21.9%	25.0%	20.9%	24.1%
<b>% of Total Cases</b>	8.9%	10.1%	5.8%	7.9%	10.6%	8.9%	8.6%

Source: Judge reports to the Supreme Court of Ohio

<sup>1</sup> Does not include traffic cases

**Table 5-23** indicates that courtroom #4 processed the greatest number of cases in 1999 while courtroom #1 processed the fewest. Courtroom #4 processed approximately 49 percent more cases than courtroom #1. Courtroom #2 closed the most cases, about 78 percent more than was terminated by Courtroom #5. Since all cases are randomly assigned to the courtrooms and all have the same amount of staff, all of the courtrooms should be getting an equal number of cases and have the same level of resources to process the assigned cases. If all of the courtrooms operated equally efficiently, the total number of cases processed, the number of dispositions and the number of cases pending should be relatively the same. However, these figures suggest that the operations in some of the courtrooms need to be reviewed to determine where improvements may be made (see **R5.19** through **R5.24**). In addition, the implementation of a centralized docketing system (see **R5.4**) should help to improve overall courtroom operations.

F5.28 The roles for some of the judge's staff members are unclear and defined differently from courtroom to courtroom. For example, the scheduling of cases in one courtroom may be done by the bailiff and in another courtroom it may be done by the clerk. More specifically, in one courtroom, the bailiff and assistant bailiff schedule cases, which is not the process used in all of the courtrooms. This may help to explain the reason why some courtrooms operate more effectively than other courtrooms (see **F5.27**). In addition, CCJC lacks a uniform procedures manual that could explain the standard roles and responsibilities of all of the judges' staff members.

**R5.19** CCJC and judges should establish standard responsibilities and roles for all of the judges' staff members. This could be best accomplished by developing a procedure/policy manual with job descriptions that explain the responsibilities of each staff member. At a minimum, the manual should address who is responsible for performing the following functions.

- Organizing the case files received from the courtroom coordinators
- Scheduling the daily cases
- Preparing journal entries
- Entering information into the computer, such as disposition codes (see **F5.29**)
- Entering necessary information into the appearance docket sheet
- Checking in all of the necessary parties to a case
- Ensuring that cases are ready to be heard
- Providing notice to the parties of the next hearing date
- Returning files to the clerk's office with all of the necessary information accurately completed



F5.29 According to the caseflow division, there are instances where the courtrooms code the same type of dispositions differently in the computer system. There are codes that are strictly defined for a certain disposition, but there are some codes that are not defined for a specific disposition, such as the code for “other.” By not ensuring that all of the courtrooms use the same disposition code, CCJC has the potential of producing inaccurate reports that may misrepresent important information (see **F5.1**). In addition, caseflow may be disrupted by having to re-route the case file to the courtrooms for proper coding.

**R5.20** The staff assigned to the courtrooms should ensure that the same disposition codes are used in all of the courtrooms. The policy manual discussed in **R5.19** should explain which codes are to be used for the various dispositions. The judges and other necessary CCJC management personnel should meet to determine the standard coding of dispositions. Caseflow will benefit from standardizing the disposition coding and consistency in coding will help ensure that reports are accurate.

F5.30 There are no established time frames by which case files are to be returned to the clerk’s office after the case has been heard. However, as recommended in the 1994 Supreme Court Study, CCJC has developed written time frames for the administrative processing of case information between case events and they include the following:

- A new court date is to be set immediately after the current hearing and service is to be issued at that time on the pre-printed forms.
- The flow sheet and summary sheet are to be completed within one work day after the hearing.
- The journal entry is to be completed within five work days after the hearing.
- The clerk’s office is to journalize the file within two work days of receipt.
- The assignment office is to process the file within two work days of receipt.
- The data entry staff is to complete the process within three work days of receipt of the file.

However, according to the deputy director of caseflow, these time frames are not tracked and monitored to ensure that they are being met and adhered to due to the inability of the previous computer system to track this information. In addition, these time frames were established in 1995 and were based upon the functionality of the previous computer system. By not monitoring these time frames, case files may not be returned to the clerk’s office in a timely manner in order to generate and send out the appropriate service, which may cause a disruption in caseflow management. Furthermore, time delays have the potential of increasing the number of continuances granted due to service not being generated on time. Such delays prolong the life of a case in the court system. CCJC has the ability to track and monitor these time frames with the new JIMS system.

**R5.21** CCJC should monitor and track the written time frames for the administrative processing of case information between case events. In addition, CCJC should determine if these time frames need to be updated to accommodate the JIMS system. For example, some of the tasks discussed in **F5.30** may be easier to process with the JIMS system, allowing the time frames to be lowered and improving the case processing time in general. Furthermore, monitoring and updating these time frames should better ensure that case files are returned to the clerk's office in a reasonable amount of time so that the appropriate service can be generated and sent in an adequate amount of time before the next hearing date. Where applicable, service guidelines similar to those developed at LCJC (see **F5.62**) could provide assistance in updating CCJC's time frame.

F5.31 Currently, there is no one responsible for reviewing case files before they are sent back to the clerk's office. By not consistently reviewing case file information, there is the potential for errors. The Cuyahoga County Department of Justice Affairs conducted a review of case file information at CCJC from July 1, 1998 to June 30, 1999 and found that 42 percent of the reviewed files contained errors relating to adjudication dates. At FCJC, one employee assists the front counter clerks in verifying the paperwork by checking the case number, case type and filings before the case file information is finalized. By having one person verify the content and quality of case file information, the likelihood of errors decreases.

**R5.22** With the transfer of the magistrate clerks to the caseload division (see **R5.25**), CCJC should consider utilizing other caseload staff, such as the "back-up staff" (see **R5.5**), to review case file information before the files are returned to the clerk's office. This would ensure that all of the necessary information has been included and improve the accuracy of that information.

F5.32 The file accountability and tracking systems are different in each courtroom. Even though a database was created internally for the courtrooms to track and account for case files, some courtrooms use handwritten logs instead. The database tracks when the files were received and returned to the clerk's office. By not requiring the use of this tracking system, CCJC is wasting a valuable technological tool that can make it more efficient to track and account for files.

**R5.23** The courtrooms' staff should be trained to use the database to track and account for files. Since all of the case files have a unique case number, it should be relatively easy to track the files in the database. Important information such as the case number, date received/returned, employee receiving/returning the case file and where the file was received/returned should be documented and included in the database to capture all appropriate information. Additionally, CCJC could purchase and implement a file folder tracking module from the JIMS vendor as another option to ensure that files are appropriately accounted for. For more information on this option, see the **technology** section of this performance audit.

F5.33 The judges' staff do not receive performance evaluations. Cost of living salary increases are provided annually, but merit raises for performance are not given. The bailiff works at the discretion of the judge while the clerk, assistant clerk and assistant bailiff are regular court employees.

**R5.24** The judges' staff should receive annual performance evaluations. Considering the organizational structure of CCJC, each judge should be responsible for performing the bailiff's evaluation and the court administrator should be responsible for evaluating the remaining staff members,. Since the judges interact with the staff on a daily basis, it would be appropriate for them to have direct input into their evaluations and be present during the clerks, assistant clerks and assistant bailiffs performance evaluations. Performance evaluations should help to ensure that above-average performance is recognized and rewarded while unsatisfactory performance is addressed and actions are developed for its improvement.

### Magistrates

F5.34 **Table 5-24** indicates magistrate and magistrate support staffing levels for CCJC and the peer courts.

**Table 5-24: Magistrate Staffing Analysis**

	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>Magistrates (FTEs)</b>	19.5	18.0	22.0	9.0	17.1
<b>Total New Cases Filed (Average 1997-1999)</b>	28,789	21,509	28,432	15,651	23,597
<b>New Cases Filed per Staff</b>	1,476	1,195	1,292	1,739	1,426
<b>Staff Assigned to Magistrates</b>	19.0	14.0	0	0	N/A
<b>New Cases Filed per Staff</b>	1,515	1,536	N/A	N/A	N/A

Source: CCJC Staffing Information and peer court information

As indicated by **Table 5-24**, the number of new cases filed per magistrate at CCJC is comparable to the peer average. According to the director of court services, CCJC will hire three additional FTE child support magistrates (see **F5.38**) in the future, which are not included in the above table. However, CCJC and FCJC are the only courts that have support staff specifically assigned to the magistrates. LCJC has transferred the support staff previously assigned specifically to the magistrates to the caseflow department of the juvenile court. In addition, HCJC has dedicated the staff that could be assigned to the magistrates to the caseflow department.

**R5.25** CCJC should consider transferring the support staff specifically assigned to the magistrates to the caseflow department of the court. The effect of this is assessed in the caseflow management subsection of this report in **F5.5** and **Table 5-11**. By centralizing and pooling the magistrate support staff, the caseflow management system should benefit. According to the director of caseflow services at LCJC, pooling magistrate support staff has been a benefit to the court because they no longer have to find a replacement for an absent magistrate clerk. In addition, centralizing magistrate support staff that perform similar job functions should enhance the consistency and uniformity of court operations.

It is important to note that this reorganization may be hindered by the current physical structure of the CCJC building. However, the County is in the process of planning a new facility to house detention services. Therefore, CCJC and the County should determine how this recommended reorganization can be adequately implemented in light of the space being available in the building formerly occupied by detention services. Furthermore, prior to implementing this recommended staffing reorganization, CCJC should ensure that data indicating critical court operations, such as the number of cases processed, is accurate and reliable (see **R5.1**) for the purposes of further assessing court operations and staffing levels.

F5.35 Private Judicial Services, Inc. conducted a study and submitted a report to CCJC in December 1998 regarding the work of the magistrates. Various recommendations were implemented as a result of this study, such as the hiring of a magistrate supervisor and additional magistrates. However, according to the magistrate supervisor, various recommendations that were never fully implemented by CCJC include:

- Scheduling regular meetings between the judge and magistrate assigned to take referrals from that judge (see **F5.43**)
- Creating a uniform practice of assigning cases to magistrates (see **F5.43**)
- Providing appropriate training to ensure effective case management (see **F5.40, F5.44, R5.1, R5.4, F5.10 and F5.32**)
- Ensuring the accuracy of reports (see **F5.1**)

F5.36 After reviewing job descriptions and interviewing the magistrate supervisor, it appears that the magistrate supervisor has been delegated many functions that may hinder his ability to adequately fulfill his supervisory duties. The responsibilities of the magistrate supervisor include the following:

- Supervises and coordinates the day-to-day administrative activities of the magistrates, such as scheduling, assigning magistrates to judges, approving vacation requests and reassignments/substitutions.
- Maintains a competent workforce and conducts employee performance appraisals
- Assembles monthly docket report for magistrates.

- Hears assigned judges' cases, which takes up approximately half of his work load.
- Advises judges and magistrates on changes in the law.
- Reviews, modifies and creates journal entries.
- Acts as a consultant to other divisions within court services.

The magistrate supervisor is also responsible for acting as the chief judicial staff attorney. As chief judicial staff attorney, the magistrate supervisor is responsible for overseeing a small legal office, comprising a senior administrative officer, three full-time law clerks and one part-time law clerk. The major responsibilities of this job function include the following:

- Resolves legal inquiries from the judges and magistrates.
- Monitors and reviews all state and federal legislation and informs appropriate individuals of changes in relevant legislation.
- Drafts and directs new legislation and testifies regarding proposed legislation before the Ohio State Senate.
- Implements approved legislation.
- Develops, updates and distributes legal forms for use in all areas of the court.
- Maintains a quality team of judicial staff attorneys and legal clerks.
- Conducts performance evaluations of these employees.

**Table 5-25** indicates staffing levels in CCJC and the peer courts for the legal counsel function.

**Table 5-25: Legal Counsel Staffing**

	CCJC	FCJC	HCJC	LCJC	Peer Average <sup>1</sup>
Chief Judicial Staff Attorney	0.0	1.0	1.0	1.0	1.0
Support Staff	3.5	0.0	0.0	0.0	0.0

**Source:** CCJC and peer courts staffing information

<sup>1</sup> Peer Average does not include CCJC

As indicated by **Table 5-25**, CCJC is the only court in the comparison utilizing legal support staff. The peer courts are able to utilize one full-time chief legal position for the purposes of performing the necessary "legal counsel" activities.

**R5.26** The court services department should consider hiring a chief judicial staff attorney and eliminating the support staff positions. The magistrate supervisor should be functioning in a management position, considering the fact that the supervisor is ultimately responsible for the performance of the magistrates. By employing a chief judicial staff attorney, the magistrate supervisor will have the ability to effectively manage the magistrates and perform the other appropriate activities originally delegated to the magistrate supervisor.

*Financial Implication:* The average salary and benefits cost of hiring a full-time chief judicial staff attorney is about \$74,000 annually. Eliminating the 3.5 FTE support staff would save CCJC approximately \$88,000 annually in salary and benefits costs. The net financial implication of this recommendation is an annual cost savings of approximately \$14,000.

F5.37 According to the magistrate supervisor, magistrates are involved with the caseload system by performing the following tasks:

- Docketing cases, setting up hearings and determining what notices are sent out.
- Entering data into the system including dispositions, continuances, new service to be generated and new court dates. A new court date is confirmed by having all of the present parties sign a form that states the new court date and serves as the new notice.
- Completing the legal forms and informing the clerk's office of what service needs to be issued.

F5.38 The informal process of assigning magistrates to cases is as follows. However, it is important to note that even though an informal case assignment process exists, the judges ultimately determine the amount and type of cases heard by their assigned magistrates.

- Six magistrates hear predominantly delinquency and unruly cases, in addition to other cases assigned by the judge to which the magistrate is assigned.
- Six magistrates hear predominantly child support, private custody, custody review and enforcement cases, in addition to other cases assigned by the judge to which the magistrate is assigned.
- Three magistrates hear traffic cases assigned to all of the judges.
- One magistrate hears detention center arraignments, which are mainly comprised of delinquency cases.
- One magistrate hears child welfare cases.
- One magistrate hears only child support cases.
- Three part-time magistrates hear a variety of cases.
- Most of the magistrates hear dependency/neglect/abuse cases.

Although this informal cases assignment process appears to indicate that magistrates are assigned to specific cases, the judges serve as the primary mechanism by which cases are assigned to magistrates. In practice, the only magistrates that are assigned to specific cases are the traffic, detention center, child welfare and child support magistrates. HCJC has a formal policy that dictates how cases are to be assigned to the magistrates and the magistrates are not assigned to any of the judges. The judge who has the same assigned case reviews the magistrate's decisions. The magistrate has the authority to issue orders which are not reviewed by the judges, which is also the case at CCJC. Additionally, LCJC has a formal policy of assigning magistrates specifically to cases and not to judges.

**R5.27** CCJC should consider instituting a formal policy of assigning cases to magistrates, such as having the primary mechanism by which cases are assigned to magistrate be dictated by the case type. The system of assigning magistrates to judges should be eliminated. The centralized docketing system and time frames proposed in **R5.4** and **R5.8** should be considered as the means for assigning cases to magistrates. This assignment process should ensure a more equitable distribution of cases among the magistrates and judges (see **F5.20**).

F5.39 The current organizational structure within the magistrate division is not well defined. As mentioned in **F5.36**, the magistrate supervisor is responsible for overseeing the day-to-day activities and for evaluating the employees. However, the judges also provide guidance and supervision to the magistrates on an informal basis by reviewing the content and quality of their assigned magistrates' court dispositions. Each judge is assigned two magistrates. The remaining magistrates are considered "floating" and hear cases assigned to numerous judges. The floating magistrate's final dispositions are reviewed by the judge assigned to that specific case. The magistrate supervisor has to obtain input from the judges in regards to these reviews to adequately assess the performance of the magistrates. This may cause reporting conflicts and confusion among the magistrates as to whom they are ultimately accountable and how their performance will be measured. In addition, the judges are not present during the magistrates' performance appraisals. A sense of organizational structure can be lost with the current organizational hierarchy within the magistrate division.

**R5.28** In order to adequately evaluate the performance of the magistrates, the judges should be present during magistrates' evaluations. Considering that the magistrates work so closely with the judges, the judges should provide information to the magistrate supervisor that may contribute to the employee evaluations and development. A written policy manual should be developed in the magistrate division outlining this policy and providing other essential information, which can be incorporated in a court services department policy manual (see **F5.13** and **R5.12**).

F5.40 The process in which magistrates are hired is not structured effectively. The magistrate division has a formal job posting procedure for openings. Initial applicants are interviewed by the magistrate supervisor and court administrator. When the magistrate supervisor and court administrator narrow the pool of applicants to the top two or three most qualified, the decision on who to hire is made at a meeting incorporating all of the judges' input. The magistrate supervisor is experienced and has the ability to screen and interview all initial applicants. With the current process, the court administrator may be spending time interviewing initial applicants that could be spent on other management activities. In addition, the magistrate supervisor has more knowledge of the magistrate division and therefore, has the ability to determine which initial applicant would be best suited to the magistrate division. The court administrator's involvement could be best suited at the end of the hiring process when the pool of applicants has been narrowed by the magistrate supervisor. In addition, the court administrator and administrative judge do not make the final hiring decision.

**R5.29** The magistrate division should consider enhancing the process of selecting new magistrates by doing the following:

- The magistrate supervisor should screen and interview the qualified applicants.
- After these initial interviews, the magistrate supervisor should forward the top two or three most qualified applicants to the administrative judge and court administrator.
- After conducting thorough interviews, the administrative judge and court administrator should make a decision on who should be hired.

If CCJC continues with the current system of having magistrates assigned to specific judges, the following process should be considered for hiring magistrates:

- The magistrate supervisor should screen and interview the qualified applicants.
- After these initial interviews, the magistrate supervisor should forward the top two or three most qualified applicants to the judge who has the opening.
- After conducting thorough interviews, the judge should make a recommendation on who should be hired. This applicant should then be interviewed lastly by the court administrator and administrative judge to make the final decision.

The division should consider going through the following application process for the hiring of "floating" magistrates:

- The magistrate supervisor should screen and interview the qualified applicants.
- After these interviews, the magistrate supervisor should forward the top two or three most qualified applicants to the court administrator and administrative judge for final consideration.



- F5.41 Newly hired magistrates are paired with more experienced magistrates to receive necessary training. Reference materials including the Ohio Juvenile Law, Rules of Court, legal research and a packet of journal entries are provided to all magistrates. In addition, the Supreme Court requires magistrates to complete a minimum number of legal education credit hours each year and training sessions are provided by the Supreme Court for this purpose.
- F5.42 The magistrate supervisor holds meetings with all of the magistrates once a month. Magistrate issues and concerns are addressed in this meeting. An agenda is developed by the magistrate supervisor, which includes new case laws, legislation and procedural issues, along with other pertinent information. The magistrates discuss unusual cases that they have heard and the meeting serves as a mechanism to facilitate interaction between the magistrates. In addition, the magistrate supervisor is always available to answer questions and concerns as needed.
- C5.2** By scheduling monthly magistrate meetings, the magistrate supervisor is making an effort to ensure that open lines of communication exist with the magistrates. These meetings allow a regular forum for the magistrates to inform the supervisor of any critical issues that may be impacting on their ability to function effectively in their positions.
- F5.43 Aside from the quarterly meetings that the magistrate supervisor coordinates between the magistrates and judges, the judges do not establish regular formal meetings with the magistrates. According to the magistrate supervisor, the judges and magistrates communicate on an informal basis.
- R5.30** The judges and magistrates should meet formally on a regularly scheduled basis to discuss pertinent issues. This could be accomplished by incorporating the judges into the monthly magistrates' meetings, or the judges and magistrates could establish separate meetings. Issues that impact the magistrates will most likely impact the judges and vice versa. By having regular and ongoing meetings, the judges and magistrates would have the opportunity to fully address concerns and develop strategies to resolve these concerns.
- F5.44 The magistrates have the ability to hear all types of cases. However, according to the magistrate supervisor, different cases have different legal aspects that make each case type unique. In addition, the magistrates are assigned to hear only certain types of cases. To have the ability to effectively hear and process all cases, magistrates would need to be cross trained. Currently, the magistrate supervisor is the only individual that can adequately hear all different types of cases and because of this, is used to hear cases when certain magistrates are absent. By having all of the magistrates cross trained in all of the various case types, they would have the ability to be used to cover for absences and emergencies.

At HCJC, six magistrates are dedicated to hearing dependency/neglect/abuse cases. The remaining magistrates hear all other cases on a biweekly schedule. Ten dockets are scheduled for the two-week period and comprise the following: three trial, three plea, two paternity, one contempt and one motion. With this rotating schedule, the magistrates have become effectively cross-trained to hear all types of cases and the schedule ensures that they hear a variety of case proceedings. Also, LCJC ensures that the magistrates are effectively cross trained to hear all types of cases and implements a rotating schedule for magistrates so they hear every type of case.

**R5.31** CCJC's magistrates should be cross trained to effectively be able to hear all case types. The ability of the magistrates to hear all types of cases should allow more time for the magistrate supervisor to handle the management function of the department while other magistrates are used to cover for absences and hear cases that the judges are unable to hear. The cross training could be accomplished by assigning a mentor to a magistrate for the initial exposure to all case types who can guide the magistrate through the process. CCJC should also consider implementing a rotating schedule similar to the one in HCJC so that the magistrates hear all types of cases. The magistrate supervisor should take the lead in this effort and create a procedures manual explaining all of the necessary steps involved with each case type.

### *Intake*

F5.45 **Table 5-26** presents comparisons of the employees directly involved with the peer courts' intake function who have duties similar to those performed by intake employees at CCJC. These functions include:

- Referring and reviewing complaints as official or unofficial filings
- Conducting unofficial hearings and mediations

FCJC and LCJC's intake officers perform all unofficial hearings and mediations in-house. However, HCJC's intake officers only perform unofficial hearings as HCJC contracts out mediation services to a private agency. The agency is contracted to perform 225 mediations annually. The magistrates at HCJC hear the remaining mediations. All of the intake officers refer complaints to either the official or unofficial process.

**Table 5-26: Intake Officer Staffing for 1999**

	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>Intake Officers (FTEs)</b>	17.0	15.0 <sup>1</sup>	17.0 <sup>2</sup>	4.5 <sup>3</sup>	13.4
<b>Total New Cases Filed (Average 1997-1999)</b>	28,789	21,509	28,432	15,651	23,597
<b>Total Unofficial Cases</b>	1,684	5,893	3,442	2,255	3,319
<b>Total Cases</b>	30,473	27,402	31,874	17,906	26,916
<b>New Cases Filed per Intake Officer</b>	1,693	1,434	1,672	3,478	2,069
<b>Unofficial Cases per Intake Officer</b>	99	393	202	501	299
<b>Total Cases per Intake Officer</b>	1,792	1,827	1,874	3,979	2,368

Source: CCJC staffing reports and peer information

<sup>1</sup> Includes 3.0 FTEs performing only mediations

<sup>2</sup> Includes one person specifically for unofficial hearings. In addition, HCJC contracts out mediations.

<sup>3</sup> Includes 2.0 FTEs performing only mediations

The above table indicates that CCJC's intake officers are processing a similar amount of new cases as compared to FCJC and HCJC. However, CCJC is processing significantly fewer unofficial cases per intake officer. Since the intake officers are involved in new cases and unofficial cases, the most appropriate method of assessing staffing is by applying new cases filed and unofficial cases per intake officer. Utilizing this method, CCJC is processing the lowest number of cases per intake officer. It is important to note that HCJC contracts out mediations, so the number of cases per intake officer may be overstated. Currently, the intake division at CCJC has seven vacant intake officer positions. In addition, as mentioned in **F5.48**, the prosecutor's office will be taking over a portion of the intake officers' duties.

**R5.32** Considering the above analysis of total cases per intake officer, CCJC should not consider filling the seven vacant intake officer positions. The staffing within the intake division should be further evaluated when the prosecutor's office begins to handle the intake functions. In addition, prior to implementing this recommendation, CCJC should ensure that data indicating critical court operations, such as the number of cases processed, is accurate and reliable (see **R5.1**) for the purposes of further assessing court operations and staffing levels.

*Financial Implication:* CCJC could realize a cost avoidance of approximately \$352,000 annually in salary and benefit costs by not filling the seven vacant intake officer positions.

F5.46 The intake officers are required to participate in the basic and advanced training courses to have the ability to adequately function in their role. The basic training course is provided by various organizations, such as the Cleveland Mediation Center. In addition, the Supreme Court of Ohio requires the intake officers to participate in advanced training that consists of a five-day course.

F5.47 There are no established time frames outlining the time it should take an intake officer to forward a complaint to the clerk's office or divert the complaint from the court. According to the deputy director of the intake division, it does not take longer than five days for an intake officer to review all of the necessary information and make a decision either to create an official filing or bypass the court system. However, at LCJC, the informal time frame for a decision to be made by intake occurs within 48 hours of the time the complaint was initially referred to the court. Without established time frames, the intake officers have no standards on which their performance can be measured.

**R5.33** CCJC should establish written and documented time frames for decisions to be made by the intake officers regarding complaints. The deputy director of intake, along with the director of the department, should develop these time frames. These time frames could then be utilized as a performance measure in assessing the intake officers' performance. In addition, establishing and enforcing these intake time frames should improve the caseload management system and potentially reduce the number of pending cases.

F5.48 The prosecutor's office will be taking on more intake functions in the near future. However, the intake office will still be the first entry point of all complaints and will be responsible for routing the complaint to the County prosecutor's office. The types of cases that are to be directed to the prosecutor's office are the felony and misdemeanor delinquency cases, which are considered more criminal in nature. After receiving these complaints, the prosecutor's office will decide the most appropriate action to take.

In the past, the intake office sent an official filing to the clerk's office. The clerk's office assigned the filing a case number and forwarded it to the prosecutor's office for review. If the prosecutor's office deemed the charges to be insufficient or needed them changed, it would be sent back to the intake officer where they were changed per the prosecutor's instructions. With the proposed new system, the caseload process from intake to the prosecutor's office will remain the same, except that the prosecutor's office will be responsible for the clerical functions involved with the major delinquency cases.

F5.49 CCJC has established written intake guidelines. The guidelines require the intake officers to document all decisions and consider the following factors in making the determination to file or divert a referral received at intake:

- Severity of the offense
- Nature and the degree of the harm or damage done
- Potential for harm or damage
- Age of the victim and subject
- Intent of the subject as indicated by the subject's actions
- Prior court involvement (nature and extent) of the subject
- Attitude of the subject
- Family dynamics affecting subject
- Other resources for resolving the referral, such as counseling, supportive services, mediation, probation and parole
- Availability of all reports, such as police, school and medical reports

The general rule that applies in considering diversion is that misdemeanors are appropriate for diversion and felonies are not. The intake officer has the authority to arrange an intake hearing without creating an official filing. Current policy requires that diversion be considered on minor offenses. If a child has had a previous delinquency or unruly complaint, an official case is supposed to be filed. The intake officer is required to consult with their supervisor concerning case processing of any offenses not identified in the intake guidelines or that has been recently changed or enacted. Complaints of unruliness are to be handled in accordance with the Court Unruly Procedure. All civil neglect, dependency and abuse complaints are to be accepted only from the Department of Children and Family Services (CFS) or child care/placing agencies and all are to be processed as complaints.

F5.50 CCJC has a caseflow management operations manual explaining various intake procedures that must be followed by the intake officers. According to the deputy director of caseflow, the intake procedures and caseflow management manual (see **F5.10**) needs to be updated. The purpose of the written intake procedures is to explain the approved procedures for handling various issues at intake, which include the following:

- Processing complaints as official filings, diversions or unofficial
- Conducting unofficial hearings and mediations
- Issuing and requesting warrants
- Referring matters to probation officers and/or magistrates

The cases that are bypassed by the intake officers and held for hearings, mediations or diversion are stored and reviewed in a database by the deputy director of intake to ensure that the intake procedures are being followed.

**R5.34** The intake procedures manual for caseload management should be updated. The deputy director of intake should work with the deputy director of caseload to ensure that all of the intake procedures are updated. By updating the intake procedures, the manual will effectively function as a reliable resource document for the intake officers to follow. In addition, the updated intake procedures manual should be included in the court services department policy manual (see **R5.12**).

F5.51 CCJC has a contract with the Cuyahoga County Bar Association (CCBA) to conduct mediations involving custody cases with private mediators. The mediators receive 60 hours of initial training and 12 additional hours annually to adequately perform custody mediations. According to the executive director of CCBA, its custody mediations program with CCJC is nationally recognized for its success in conducting mediations and ensuring that the mediation agreements remain intact. The mediators bring together all relevant parties including the juvenile, parents and any other relatives and associates that are needed to adequately determine the most appropriate resolution. The major benefits of contracting custody mediations to the CCBA include:

- Utilizing mediators that are specifically trained to conduct custody mediations.
- Eliminating time and costs associated with training the intake officers to adequately conduct custody mediations.
- Lessening the volume of time consuming cases that CCJC would be responsible for, which could hinder CCJC's efforts to process the current backlog of cases (see **F5.2** and **Table 5-9**).

Although there are benefits of utilizing the CCBA to conduct custody mediations, there are also potential drawbacks. Since the intake officers at CCJC perform all other types of mediations, the Court may not be fully utilizing the capabilities of its own intake officers. According to the deputy director of intake, the officers would only require minimal training to have the ability to mediate custody cases. In addition, CCJC funds the cost of the contract with CCBA. The contract cost with CCBA for the time period of May 1, 1998 to April 30, 2000 was \$315,462. This contract has been subsequently renewed for the time period of May 1, 2000 to April 30, 2001 at a cost to the Court of \$165,000, which is based on CCJC reimbursing the association for mediation services at a rate of \$165 per case. The contract estimates that 1,000 cases will be referred for mediation in the contract period.

**R5.35** Considering the current backlog of cases (see **F5.2** and **Table 5-9**) and CCBA's success in conducting custody mediations, it appears that CCJC should continue to utilize the services provided by CCBA. However, CCJC should fully evaluate the potential of utilizing the intake officers some time in the future to conduct custody mediations. The intake officers are trained to perform other types of mediations, but would require additional training to mediate custody and visitation cases. By contracting for these services, the Court may not be fully utilizing all of its personnel resources. Furthermore, the Court is spending monies for these services, which could potentially be saved or spent on other critical functions.

F5.52 The outcomes of the intake division's unofficial hearings and mediations, such as recidivism rates, are not tracked in CCJC. However, FCJC does track this information. For example data on cases mediated at FCJC in 1997 revealed:

- 75 percent of juvenile offenders had no charges one year after their mediation.
- 8 percent of juvenile offenders returned to the court for the same type of charge within one year of their mediation.
- 17 percent of juvenile offenders returned to the court for a different type of charge within one year of their mediation.

By not tracking this type of information, CCJC's intake division can not fully assess the effectiveness of the division in diverting juveniles from the court system.

**R5.36** The intake division at CCJC should begin to track and compile data regarding the results of its unofficial hearings and mediations. After the division obtains these results, it would be better able to develop strategies to improve the overall effectiveness of the unofficial hearing and meditation process. In addition, these results should also be tracked for each intake officer and could be used as a performance evaluation tool.

F5.53 The intake division performs employee evaluations annually. The deputy director of intake is responsible for evaluating the Community Diversion Program (CDP) coordinator and the two senior intake officers. Subsequently, the CDP coordinator and senior intake officers evaluate the employees that report to them.

### *Clerk's Office*

F5.54 **Table 5-27** indicates staffing levels for various functions performed in CCJC and those similar functions performed by the peer courts' clerk offices.

**Table 5-27: Clerk's Office Staffing for 1999**

	CCJC	FCJC <sup>2</sup>	HCJC	LCJC	Peer Average
Total New Cases Filed (Average 1997-1999)	28,789	21,509	28,432	15,651	23,597
<b><u>Chief Deputy Clerk/Manager</u></b>	1.0 <sup>1</sup>	1.0	1.0	0.5	0.6
<b><u>Assistant Manager</u></b>	0.0	1.0	1.0	0.5	0.9
Secretary/Receptionist	0.0	0.0	0.0	2.5	0.6
<b><u>Service Clerk Supervisor</u></b>	1.0	0.0	0.0	1.0	0.5
Service Clerks	25.0	3.0	4.0	3.0	8.8
<b><u>Process Server Supervisor</u></b>	1.0	0.0	0.0	0.0	0.3
Process Servers	8.5	2.0 <sup>3</sup>	4.0 <sup>3</sup>	1.0	3.9
<b><u>Counter/Motion/Assigned Counsel Clerk Supervisor</u></b>	1.0	0.0	0.0	0.0	0.3
Counter Clerks	3.0	5.0	2.0	4.0	3.5
Motion Clerks	6.0	0.0	0.5	0.0	1.6
<b><u>File/Expungement Clerk Supervisor</u></b>	1.0	1.0	1.0	0.0	0.8
File Clerks	3.0	5.0	5.0	1.0	3.5
Expungement / Microfilm Clerks	1.0	1.0	1.0	0.5	0.9
<b><u>Journal Clerk Supervisor</u></b>	1.0 <sup>1</sup>	1.0	0.0	0.0	0.5
Journal Clerks	16.0	3.0	2.0	3.0	6.0
<b><u>General Clerk Supervisor</u></b>	1.0	0.0	0.0	0.0	0.3
Case Initiation Clerks	3.0	2.0	5.0	3.0	3.3
Appeals Clerks	2.0	1.0	0.5	0.25	0.9
Warrant/Bond Clerks	1.0	1.0	1.0	0.25	0.8
Attorney Assignment Clerks	2.0	1.0	0.0	1.5	1.1
Law Clerks/General Clerk	1.0	1.0	0.0	0.0	0.5
<b>Total</b>	<b>78.5</b>	<b>29.0</b>	<b>28.0</b>	<b>22.0</b>	<b>39.4</b>
<b>Cases per FTE</b>	<b>367</b>	<b>741</b>	<b>1,015</b>	<b>711</b>	<b>709</b>

Source: CCJC staffing information and peer court information

<sup>1</sup> The journal clerk supervisor was functioning as the chief deputy clerk until CCJC hired a chief deputy clerk in October 2000.

<sup>2</sup> Juvenile Division within the clerk's office, which is separate from the Juvenile Court.

<sup>3</sup> The sheriff's office in FCJC and HCJC process service.



The following is a summary of the major activities performed by the above positions:

- Chief Deputy Clerk/Manager: manages and oversees overall operations
- Assistant Manager: assists in the overall management of the department and functions as the chief deputy/manager when they are absent
- Secretary/Receptionist: performs clerical duties such as answering phones and opening mail
- Service Clerk: generates service by entering essential information. All of the peer courts, except CCJC, also mail all of the appropriate service.
- Process Server: delivers service, such as subpoenas and summons. In CCJC, the process servers also mail all of service except certified mail, which is done by the service clerks.
- Counter Clerk: mans the front counter, answer phones and perform some data entry functions
- Motion Clerk: processes motions received from the courtrooms by entering all of the necessary information into the computer system
- File Clerk: responsible for pulling files, storing files and signing-out files
- Expungement/Microfilm Clerk: storage of files and ensuring that the appropriate files are expunged
- Journal Clerk: enters and processes journal entries into the computer system
- Case Initiation Clerk: enters case numbers and prepare initial case file information
- Appeals Clerk: enters and processes appeals into the computer system
- Warrant/Bond Clerk: enters and processes warrant and bond information
- Attorney Assignment Clerk: assigns attorneys to cases
- Law Clerk/General Clerk: provides assistance in a variety of clerk operations, such as data entry and clerical functions
- All of the supervisors noted perform general supervisory functions for their assigned group of workers.

As indicated by the above **Table 5-27**, CCJC's clerk's office has more staff than the peers in five areas: service clerks, process servers, motion clerks, journal clerks and supervisors. **Table 5-28** indicates the number of new cases processed by each of these positions for CCJC and the peer courts. As presented in the table, CCJC processes the lowest number of new cases per staff member for all of these positions in comparison to the peers.

**Table 5-28: Cases Processed per Selected Positions in the Clerk's Office**<sup>1</sup>

	CCJC	FCJC	HCJC	LCJC	Peer Average
<b>Total New Cases Filed (Average 1997-1999)</b>	28,789	21,509	28,432	15,651	23,597
<b>Service Clerks</b>	1,152	7,170	7,108	5,217	5,162
<b>Process Servers</b>	3,387	10,755	7,108	15,651	9,225
<b>Service Clerks and Process Servers</b>	859	4,302	3,554	3,913	3,157
<b>Motion Clerks</b>	4,798	N/A <sup>2</sup>	N/A <sup>2</sup>	N/A <sup>2</sup>	N/A <sup>2</sup>
<b>Journal Clerks</b>	1,799	7,170	14,216	5,217	7,101
<b>Supervisors</b>	4,798	10,755	28,432	15,651	14,909

<sup>1</sup> Calculated by dividing total number of new cases filed by total number of FTEs.

<sup>2</sup> FCJC and LCJC do not have any FTE motion clerks and HCJC devotes 0.5 FTE for processing motions.

The ratios computed in **Table 5-28** are solely based on the total number of new cases filed in 1999. In practice, the workloads of the clerk's offices in the courts relative to the number of cases is affected by the amount of service mailed and personally delivered, motions generated and journal information entered, which may be processed multiple times for each separate case. However, since data pertaining to these issues could not be provided by CCJC and all of the peer courts, these other influences which affect all of the courts' actual workloads could not be compared. Although the frequency of issuing service and filing motions multiple times during a case due to errors affects all of the courts' workloads, the effect at CCJC could potentially decrease by implementing a centralized docketing system (see **R5.4**) and effectively utilizing the new case management computer system. For more information regarding JIMS and other related technology issues, see the **technology** section of this performance audit.

**R5.37** CCJC should consider reducing the staffing levels of the following positions to be more comparable to the peers.

- Reduce ten service clerk positions
- Reduce four process server positions
- Reduce three motion clerk positions
- Reduce six journal clerk positions
- Reduce three supervisor positions

**Table 5-29** indicates revised figures for cases processed by adjusting for suggested reductions in staffing levels for the selected positions.

**Table 5-29: Revised Staffing Levels in the Clerk's Office**

	<b>CCJC</b>	<b>FCJC</b>	<b>HCJC</b>	<b>LCJC</b>	<b>Peer Average</b>
Total New Cases Filed (Average 1997-1999)	<b>28,789</b>	21,509	28,432	15,651	23,597
Service Clerks	<b>1,919</b>	7,170	7,108	5,217	5,354
Process Servers	<b>6,398</b>	10,755	7,108	15,651	9,978
Service Clerks and Process Servers	<b>1,476</b>	4,302	3,554	3,913	3,311
Motion Clerks	<b>9,596</b>	N/A <sup>1</sup>	N/A <sup>1</sup>	N/A <sup>1</sup>	N/A <sup>1</sup>
Journal Clerks	<b>2,879</b>	7,170	14,216	5,217	7,371
Supervisors	<b>9,596</b>	10,755	28,432	15,651	16,109
Total FTE	<b>52.5</b>	29.0	28.0	22.0	32.9
Cases processed per Revised Total FTE	<b>548</b>	741	1,015	711	754

<sup>1</sup> FCJC and LCJC do not have any FTE motion clerks and HCJC devotes 0.5 FTE for processing motions.

As presented in **Table 5-29**, the staffing levels within the clerk's office would be more comparable to the peer staffing levels by implementing the suggested reductions. However, after incorporating the suggested reductions, CCJC would still process the lowest number of cases per position. The Court should reassess the allocation of staff and consider transferring the process server function to the sheriff's office, considering they perform this function for adult court, after JIMS and the centralized docketing system have been fully implemented. In addition, prior to implementing this recommendation, CCJC should ensure that data indicating critical court operations, such as the number of cases processed, is accurate and reliable (see **R5.1**) for the purposes of further assessing court operations and staffing levels. Reducing additional staffing levels at this time could adversely affect current court operations, especially considering the current backlog of cases.

*Financial Implication:* The service clerk, motion clerk and journal clerk positions are all encompassed in the “legal service clerk” job category. By reducing ten service clerks, three motion clerks and six journal clerks, CCJC could save approximately \$595,000 in salary and benefit costs annually. By reducing four process servers, CCJC could save about \$109,000 in salary and benefit costs annually. In addition, CCJC could save approximately \$134,000 in salary and benefit costs annually by reducing three supervisor positions. In total, CCJC could save about \$838,000 in salary and benefit costs annually by reducing these positions within the clerk’s office.

F5.55 CCJC attempted to improve the clerk’s office operations by creating a clerk’s office in November, 1998 and by consolidating its operations to one office. Prior to this consolidation, the clerk of court functions were scattered throughout the court system. This change also consolidated clerical staff and functions into one office. According to the director of court services, the new clerk’s office should ultimately reduce the time it takes juveniles to receive services by providing prompt availability of legal files from a centralized office, thereby facilitating the hearing process.

**C5.3** CCJC is to be commended for creating a centralized clerk of court’s office to consolidate operations and for implementing new policies to promote efficiency, such as housing legal files in one area and providing quicker availability of these files.

F5.56 Cases are numbered and filed in the clerk’s office. A six digit case number is assigned to each case. The first two numbers indicate the year of the case, the third number indicates the case type and the remaining numbers indicate the chronological ordering of the case. For example, a case number of 997345 indicates that this was the 345<sup>th</sup> child support case (7) in 1999. JIMS will allow the user to supply the case number and will alert the user as to the last sequential case number that was utilized. Cases are labeled as active, live or inactive.

F5.57 The clerk’s office collects money when people pay a filing fee. One cash drawer is used by everyone in the clerk’s office and it is monitored by the supervisor. According to the director of court services, the clerk’s office has never had a situation where the cash drawer was over or short of money. This may be partially due to the fact that the office collects an insignificant amount of money, which is approximately \$300 per day. Clerks bring these monies back to a centralized area and it is then submitted to the cashier’s office. In addition, according to the director of court services, State law does not permit a filing fee to be applied to delinquency, unruly and dependency/neglect/abuse cases.

F5.58 The filing fee is paid by the party initiating the filing. However, according to the director of court services, state law prohibits assessing a filing fee on delinquency, unruly and dependency/neglect/abuse cases. For a significant amount of delinquency and unruly cases, the local law enforcement agency, prosecutor's office, or intake office initiates the filing. Dependency/neglect/abuse cases are filed by the Department of Children and Family Services (CFS). A filing fee can be charged for custody, visitation, child support and parentage cases. If an individual cannot pay the filing fee due to insufficient funds, an indigent affidavit can be filed and must be approved by the judge or magistrate. As stated in the Rules of the Juvenile Division, no civil action or proceeding will be accepted by the clerk's office unless the party initiating the action first deposits funds to secure the payment of costs.

F5.59 The clerk's office lacks a standardized and uniform filing fee schedule. The amount of the filing fee paid by the party initiating the action varies, with \$74 and \$84 being the most common amounts assessed. Without a uniform filing fee schedule, the clerk's office has the potential to charge an incorrect amount for filing. In addition, individuals who are in similar situations or who have been charged with the same offense may be paying a different filing fee, which could tarnish CCJC's reputation and cause legal problems. According to the director of court services, a simplified and uniform filing fee schedule was recommended to the judges for implementation sometime in the near future. The suggested amount for an original filing would be \$85 and \$35 for any subsequent filings. According to the court services director, the proposed fee schedule will be easy to implement with the new computer system.

According to HCJC's executive manager of caseflow, HCJC has the following standardized fee schedule:

- \$100 for custody/visitation, paternity action and support action filings
- \$50 for filings of contempt and motions

**R5.38** The clerk's office should communicate with the judges as to the status of the simplified and uniform filing fee schedule. A standardized filing fee schedule should be used for all cases subject to a filing fee. Such a schedule would ensure that CCJC is basing the amount of the fee on an objective system.

F5.60 The clerk's office restricts payment options by not accepting credit cards. Some potential benefits of using credit cards as a method of payment include the following:

- Increase the certainty of collection.
- Accelerate payments and the availability of funds.
- Improve the audit trail.
- Increase customer convenience.

**R5.39** The clerk's office should consider accepting credit/debit card payments. By allowing for a broader range of payments, it should be easier for the individual to pay the filing fee and should help move the related case through the court system in a more timely manner.

F5.61 The clerk's office compiles a majority of the case file information, which includes:

- Fact sheet information to initiate a case
- All of the service: notice, subpoenas, summons
- Requests for service from the attorney
- Summary sheet
- Legal documents, such as the appearance docket, indicating court date, who appears and what happened
- Journal entries
- Motions
- Copy of the complaint

The courtrooms are responsible for entering the necessary information into the appearance dockets and any other legal documents, including journal entries. According to the deputy director of caseload, all case file information should be computerized within five years. In addition, with JIMS, there is the possibility of not having to physically transport files to courtrooms because all of the required information is available on-line.

F5.62 Time frames to process service vary according to the type of case, type of service and hearing date. However, the amount of time it takes to send service (notices, summons, subpoenas) after the file has been received from the clerk's office is not tracked. According to the service clerk supervisor, if the case file is received in a timely fashion from the courtrooms and is correct, the service is printed one day and is sent to the appropriate parties the next day. However, at LCJC, service tracking is built into the computer system. Service for civil cases (dependency, parentage, support, visitation) are guided by the "five to six week rule" and arraignments are guided by the "two week rule," which is the time period from the file stamp date to the first hearing.

In addition, the clerk's office at CCJC has written expectations for the service clerk and journal clerk staff positions encompassed in the job descriptions and they include the following:

- After first 30 days of employment, error rate should be less than five percent and after 90 days, error rate should be less than one percent.
- Assigned tasks should not take longer than 15 minutes per case. Therefore, no less than 28 cases should be processed daily.

However, these performance standards are not continuously tracked by the clerk's office. By not continuously tracking these performance standards, there is the potential for service errors, which can increase the number of pending cases.

**R5.40** The clerk's office should track the amount of time it takes to send service. This could be accomplished by the JIMS system, which will indicate the date and results of previous proceedings and the date that service was sent. In addition, this tracking procedure could be utilized as a measure of the effectiveness of the service clerks' efforts in sending out the appropriate service in a timely fashion. Furthermore, the clerk's office should consistently monitor the written expectations encompassed in the service clerk job descriptions. This should help ensure that the frequency of service errors is low and service is being processed according to the appropriate time frames.

F5.63 The clerk's office also processes bonds, warrants and appeals. A participant can file an objection to a magistrate's decision. The assigned judge is responsible for reviewing these objections and determining an appropriate course of action. In addition, a judge's final order can be appealed. The clerk's office sends the file to the court of appeals which reviews the case and makes a decision. JIMS has the capability to enter bond information. A manual copy is generated and signed by the person posting the bond.

F5.64 The warrant process is initiated when the probation or parol offices file a request for the issuance of a warrant. Within 24 hours, it is entered into the system and mailed to the appropriate law enforcement agency, which is supposed to find the juvenile and bring them to the detention center. When the juvenile is brought into the detention center, the warrant is recalled. If the juvenile fails to appear, the warrant remains outstanding. The effectiveness of the warrant system depends upon when the courtroom issues the recall and sends it to the clerk's office. If a child appears in court, the judge or magistrate is responsible for issuing a recall. A bench warrant may also be issued by the judge or magistrate if the juvenile does not appear in court. The judge or magistrate must notify the clerk's office of the bench warrant. However, there are no established time frames for sending the recall or bench warrant to the clerk's office to be processed. By not having established time frames for issuing recalls and bench warrants, there is the potential for case file information to not be sent to the clerk's office in a timely manner for processing.

**R5.41** CCJC should develop standard and uniform time frames for sending the recalls and bench warrants to the clerk's office. The time frames established in the Supreme Court of Ohio study could be utilized as a basis of establishing time frames for recalls and bench warrant. Time frames will ensure that recalls and bench warrants are processed in an efficient and timely manner.

F5.65 According to court services department, the Cleveland Police Department does not accept and follow up on warrants that are issued to them by CCJC. According to the magistrate supervisor, the police department has not followed up on these warrants because of low staffing levels. ORC § 2151.19 does not permit a law enforcement officer to refuse to accept or follow up on a warrant issued by CCJC. In addition, the warrant states that the police department is required to comply with all of the conditions of the warrant.

**R5.42** CCJC and Cleveland Police Department should work together in processing warrants. The police department is required by law to accept and follow-up on these warrants. By not accepting or following up on these warrants, juveniles that should be in custody are not being brought in, which increases the number of outstanding warrants.

F5.66 The deputy director of intake reviews outstanding warrants as time permits and determines if a warrant should be removed, but a full and formal review system for the purposes of verifying outstanding warrants does not exist at CCJC. An individual who is now 24 years old could have an outstanding warrant that was issued when he was 15 years old. In addition, there are no established criteria to determine if an outstanding warrant should be removed. The JIMS system has the ability to track all outstanding warrants issued by the court. It tracks the date the warrant was issued, the judge who issued the warrant and the warrant number issued by the local police department. The issuance of a warrant causes an individual's name to appear in red while in the system and quickly alert users that a warrant is outstanding.

**R5.43** The court services department should develop and implement a system to verify and check outstanding warrants. The JIMS system should be fully utilized to create periodic reports to determine which warrants are outstanding. Criteria, such as the severity of the offense committed and the date that the warrant was issued, should be established to provide justification for a decision to remove or maintain the warrant. Furthermore, this warrant verification system should be documented in a written procedural manual which could serve as an information and reference document. As these warrants are consistently reviewed, the number of outstanding warrants should decrease.



## Programs

F5.67 A new program entitled the Community Diversion Program (CDP) began in 1998. Participation in the program is voluntary. CDP is a collaboration between the Court and participating communities to prevent delinquency and in turn, offer the child the opportunity to avoid a juvenile court record. CDP is designed for misdemeanor offenders who have no other significant history with CCJC. Sanctions include community service, restrictive curfew, restrictive television privileges, written apology, referral to counseling and restitution. Youth with continuing difficulties with the law and/or who have committed felony crimes are not eligible for this program. In addition, traffic citations can not be referred to CDP.

CCJC considers the following guidelines within CDP's manual in making a decision to refer a child to the program:

- Severity and type of offense
- Previous and current involvement with the court and/or law enforcement
- Demonstrated willingness to admit involvement and accept responsibility
- Demonstrated denial of involvement or uncooperative nature
- Willingness to accept consequences for actions
- Other related information

Written principles and goals have been established within CDP. The goals and principles include the following:

- Provide immediate consequences for illegal activity
- Prevent the child from involvement in CCJC and avoid juvenile court record
- Decrease negative behaviors
- Instill and improve positive behaviors
- Strengthen and support families through increased parental involvement

The program empowers communities to tailor treatment and sanctions to fit the needs of the individual child and the concerns of the community. CDP uses volunteer magistrates for certain first time unruly and nonviolent misdemeanor offenders, many of whom would have received warning letters. Juveniles committing these offenses receive a sentence of community service and other appropriate sanctions as dictated by the volunteer magistrate. CCJC has no involvement in the scheduling or coordination of any community's diversion program activities. The number of communities participating in the Community Diversion Program increased from eight in 1998, to 24 in 1999 and to 33 in 2000. **Table 5-30** indicates that the number of juveniles who participated in the program has increased significantly in 1999.

**Table 5-30: Juveniles Served in the Community Diversion Program**

	1998	1999	% Change 1998 - 1999
<b>Delinquency</b>	N/A	688	N/A
<b>Unruly</b>	N/A	192	N/A
<b>Curfew</b>	N/A	50	N/A
<b>Total</b>	148	930	528%

Source: CCJC 1999 & 1998 Annual Report

HCJC has developed and implemented a similar community-type diversion program, entitled the Volunteer Referee Program, and has 33 participating communities. In 1999, 780 youth were served by the program and of this number, 643 juveniles were handled unofficially and diverted from the official system. The remainder were referred back to the police or school for further action. FCJC utilizes a Teen Court as a diversion program for first time misdemeanor offenders. The program attempts to use the powerful influences of peer pressure in a positive manner as teenagers receive sentencing alternatives from other teens. In 1998, less than 7 percent of the 367 youth that completed the program re-offended and returned to the court system. In addition, LCJC has a community mediation program that functions similarly to the CDP.

**C5.4** By developing and implementing CDP, the court is reducing official filings while still providing needed services to juveniles. The number of youth referred to CDP in 1999 represents approximately 55 percent of all unofficial cases in 1999.

F5.68 The manner in which the court provides funding to the communities participating in the program appears to be inadequate. CCJC provides an allocation to the different communities not to exceed \$1,000 per month regardless of the number of juveniles participating in the program. Some communities may need more or less funding depending on the number of participants in the program. From January 1, 2000 to December 31, 2000, the court will allocate a total of \$321,000 to the 33 participating communities.

**R5.44** CCJC should develop a funding formula for each community based on the number of participants. To accomplish this, the court should determine an appropriate amount of funding per participant. By funding the program in this manner, the Court would better administer the program and provide the communities with the required funding needed to implement the program.

F5.69 **Table 5-31** indicates the success, failure and recidivism rates of CDP for those who participated between June 1, 1998 to July 31, 1999.

**Table 5-31: CDP Participants**

	Number	Percent of Total
<b>Successfully Completed</b>	521	77.8%
<b>Failed to Complete</b>	149	22.2%
<b>Total</b>	670	100%
<b>Successfully Completed</b>		
<b>Filing Free</b>	356	68.3%
<b>Turned 18 without official charges</b>	159	30.5%
<b>Re-offended After Completion (Recidivism Rate)</b>	6	1.2%
<b>Total</b>	521	100%
<b>Failed to Complete</b>		
<b>Unruly Cases</b>	67	45%
<b>Other</b>	82	55%
<b>Total</b>	149	100%

Source: CDP Program Coordinator

As indicated by **Table 5-31**, over 77 percent of the juveniles who participated in the program successfully completed all 12 months. Out of the 521 who completed the program, 1.2 percent recidivated during months 13 to 24. In addition, 45 percent of the juveniles who failed to complete the 12 month program were attributed to unruly cases, which the Court Unruly Project (CUP) may be better suited to handle.

**R5.45** Since a significant portion of the juveniles who fail to complete CDP are attributed to unruly offenses, the court should consider referring more unruly offenders to CUP. CUP is specifically targeted for unruly youth and may serve as a more effective mechanism of diverting those offenders. However, CCJC should fully evaluate the consequences of referring more youth to CUP, especially considering that the program is operated in only one location while CDP serves numerous locations.

F5.70 Without a CDP established in every municipality within Cuyahoga County, there is the potential to treat juveniles with the same offenses differently because one of the communities can offer CDP and the other does not. However, since CDP is a relatively new program, CCJC is just beginning to obtain results (see **F5.69**) and is beginning to gain a better understanding of the program in general. In addition, there are issues that the Court has not fully addressed and resolved, such as appropriate funding to communities (see **F5.68**). According to the community diversion coordinator, the Court is beginning to audit the participating communities in an attempt to gain a full understanding of program needs and outcomes. By expanding CDP into additional municipalities without addressing current issues of the program, CCJC may not be adequately implementing the program.

**R5.46** CCJC should ensure that CDP is functioning in an effective capacity in all of the current communities before it is expanded into additional municipalities. The community diversion coordinator, along with necessary court personnel, should develop a plan and methodology to be utilized for the purposes of assessing the current operations in communities offering CDP. After CCJC has gained a full knowledge of the program and related outcomes, the Court should then consider methods to improve existing programs and expand the program into additional municipalities. CDP's coordinator could develop a marketing program to target those communities not utilizing CDP, which explains all of the benefits that CDP provides to juveniles and potential member communities.

F5.71 In late 1999, the Court issued a request for proposal (RFP) for the delivery of services for a program entitled the Court Unruly Program (CUP) and awarded the contract to a provider in Berea, Ohio. The court sought responses from providers interested in planning and implementing a comprehensive program to provide a range of services to the juvenile court's unruly population in lieu of official juvenile court intervention. The goal of CUP is to divert unruly youth from the official juvenile court system by providing high quality alternative services. The intention of these services is to identify and address the problems and needs of this juvenile population. CUP is one of the tracks that the Court will implement in serving unruly juveniles that come before it who do not live in communities that offer CDP. A juvenile begins the CUP process when the Court determines that a complaint made on a youth constitutes an unruly offense. When it is determined that the youth does not reside in a CDP community, the youth is evaluated to determine his/her needs. Referrals are sent to CUP by an intake officer. Upon receipt of the referral, the provider provides, within 48 hours, intake services to the youth and his/her family referred by the Juvenile Court. The provider's program staff completes an instrument that identifies and prioritizes needs. This instrument may include a risk assessment for determining the youth's potential for re-offending. The service plan must be provided to both the youth and his/her family, and treatment should allow for intensive care management services.

F5.72 The provider of CUP has not been consistently submitting the service plans to CCJC for review, as required in the contract. The intake officer, detention center staff and magistrate are supposed to review the service plans to ensure that the juvenile is receiving the appropriate service. According to the director of court services, CCJC staff has met with the provider in an effort to ensure compliance with this requirement.

**R5.47** CCJC should ensure that the CUP provider complies with the requirement of submitting the service plan to CCJC for review and should take further measures if the provider continues not to comply. It is critical that the service plans be reviewed by CCJC to verify that the juvenile has received the appropriate service and has successfully completed the program. If the juvenile does not receive the appropriate services, there is a potential for the juvenile to re-offend, thereby increasing the number of official filings with CCJC.

F5.73 Senate Bill 181 is the new truancy bill passed in the 123<sup>rd</sup> General Assembly. CCJC is supposed to work with the school authorities to prevent truancy filings with the court. This is a prevention tool to start with younger juveniles.

The HCJC has implemented a program with the Cincinnati Public Schools to reduce truancy. With five elementary schools participating, the court provides one magistrate and one case manager daily to hear the dockets for truancy and failure to send a child to school. HCJC did not have to hire additional staff to implement this program. FCJC has implemented the Student Mediation and Reduction of Truancy Program (SMART) in 1998. In contrast to HCJC, FCJC hired an additional six employees to operate the program. SMART is designed as an early intervention program for the prevention of continued un-excused absences and school truancy. Four elementary schools and one middle school participated in the program during the 1998 - 1999 school year. The program diverted approximately 80 percent of these cases from formal court intervention.

**R5.48** CCJC should consider the effects of Senate Bill 181. Actions and strategies should be developed to ensure that all of the ramifications of this bill are addressed. The newly hired chief judicial staff attorney (see **R5.26**) should be responsible for this task. CCJC should consider developing a program similar to the programs implemented at HCJC or FCJC in order to comply with Senate Bill 181 and reduce truancy offenses in general. Since HCJC was able to implement the program without hiring additional staff, it is assumed that CCJC could also have the ability to implement a similar program without hiring additional staff. If CCJC determines that additional staffing would be necessary to implement this program, it should consider combining the truancy program with the school based probation program recommended in the **probation** section of this report.

F5.74 CCJC allows juvenile offenders to perform community service. However, the court stopped tracking the frequency of its use sometime in 1998. According to the director of court services, it is uncertain why the administrative judge at the time decided to eliminate this function. FCJC does track data relating to community service. In 1998, 732 juveniles were referred to community service and 76 juveniles did not successfully completed the service. By not tracking community service, CCJC is unsure of the effectiveness of this program as an option for diverting juveniles from future encounters with the court system and subsequently correcting behavior.

**R5.49** The employees in the court services department should consistently monitor those offenders performing community service. The department should communicate with the probation department to determine the appropriate number of hours of service to be performed, where the service is to be performed and the date it is to be completed. Documentation should be maintained in the clerk's office, which could then be used to assess the effectiveness of community service. For example, recidivism could be easily tracked and would serve as one of the most appropriate measures of success for the community service program.

F5.75 The Title IV-D program, which is targeted at child support enforcement and is a federal program, is operated jointly by CCJC and the Cuyahoga County Child Support Enforcement Agency (CSEA). When a child is born out of wedlock, the case is brought to the attention of the juvenile court and processed there to ascertain the parentage of the child. By state statute, if parentage is established and visitation is set, it becomes a live case for the next 18 years. The CSEA brings about 99 percent of these case to the attention of the Court, while the remaining one to two percent are filed privately. CSEA assists parents by finding the delinquent parent, establishing a parent-child relationship, ordering child support payments and collecting the payments. CCJC enforces the child support order.

The federal government reimburses the court a portion of all costs related to handling Title IV-D cases. The amount of the monthly federal reimbursement to CCJC is calculated by dividing the total costs related to child support cases by the total number of child support dispositions. The budget for the program is submitted for approval to CSEA and county commissioners and the court invoices CSEA for reimbursement. CCJC, represented by the deputy director of court services, court administrator, magistrate supervisor and deputy director of caseflow, has quarterly and monthly meetings with CSEA to discuss critical issues. CSEA is a county agency, receives federal monies and is subject to federal mandates. CCJC involves CSEA from the start of each case. CCJC obtains monies from CSEA to process cases and to pay for salaries and benefits. The 1999 contract between CSEA and CCJC totaled \$1.1 million.

F5.76 According to the director of court services, the collaboration between CCJC and Children and Family Services (CFS) has improved dramatically through the efforts of the established leadership within CCJC. However, there is no written policy or contract that exists between the two organizations. If the leadership within the court changes, there is the possibility that the collaboration with the CFS could be altered.

The cases that CFS forwards to CCJC are filed by the county prosecutor's office, which comprise three divisions: a general division, a division serving clients of CSEA and a division serving clients of CFS. Cases originate with an emergency custody hearing to determine if there is a need to remove a child from the home. CCJC is required to conduct hearings annually and assess certain issues related to these cases. The two organizations meet monthly and whenever necessary to address all pertinent issues. In addition, CFS needs CCJC's approval to take control of the child. However, in extreme emergency cases, CFS has the authority to remove a child from the home and must then inform the court of this action.

Ohio House Bill (HB) 484, a state mandate passed in 1999, has programmatic and fiscal impacts on a court regarding the cases forwarded by CFS. It states that if a juvenile has spent 12 months out of a 22 month period in the county's custody, it is required that the county file for permanent custody. There was an initial anticipation that this legislation would increase the number of permanent custody cases. However, this was not the case as 862 motions for permanent custody were filed in 1998, while 445 were filed in 1999. If the court grants permanent custody to the county, the rights of the parents are terminated entirely

**R5.50** CCJC and CFS should develop a written policy or agreement delineating their relationship and indicating the responsibilities of each organization. This document would help to ensure that this collaboration stays intact when the leadership or administration changes. Issues that should be stipulated in the agreement include the following.

- Each organization's specific responsibilities
- Requirement that both organizations meet at least monthly, and whenever necessary for emergency cases
- Condition that each organization share with the other related case information
- Describe how cases are to be processed

F5.77 Rule 22 of the Rules of the Juvenile Division establish a drug court program. The judges of the court select annually a judge from CCJC to serve as the presiding judge for the drug court. The presiding judge serves a one year term and may serve an unlimited number of consecutive terms as the presiding judge. Felony 4, Felony 5 or misdemeanor drug offenses or drug related offenses where the offender is not considered violent and has no prior history of Felony 1 or 2 convictions, violent offenses, weapons offenses or sex offenses can be forwarded to the drug court. The offender must be considered drug dependent, amenable to treatment, have no prior ODYS commitments and CCJC and the prosecutor's office must agree that the offender is eligible for the drug court program.

The participants of the drug court program need to go through three phases to successfully complete the program. The following summarizes the drug court procedures.

- Referrals are taken from the detention center, police departments, magistrates, treatment providers, prosecutors and probation department
- Assessments are completed, contracts are signed and initial urine screenings are conducted
- Referrals are forwarded to a provider and a treatment plan is developed for the family and juvenile
  - ▶ Mentor may be introduced
- Assessments are updated at the end of each phase (mentor can enter during any phase)
  - ▶ Phase I = 12 weekly court appearances
  - ▶ Phase II = 12 weeks, biweekly appearances
  - ▶ Phase III = 6 monthly appearances and case workers make weekly home visits
  - ▶ Phase IV = Graduation with 3, 6 and 12 month follow up
- Contact notes include case worker, treatment provider, school and family reports, urine screen results

F5.78 A drug court case is assigned to a case manager who is responsible for the following:

- Contact with the provider each week prior to drug court hearing to provide support and input for the treatment plan
- Conduct family assessment and support that encompasses weekly visits for the first four months, or through phase 1 of the treatment
- Review family needs upon movement to the next phase
- Develop goals with the participant family
- Communicate with and involve probation when necessary
- Ensure weekly face-to-face contact with the participant
- Provide support throughout educational process



- Assist with Alcohol Anonymous (AA) orientation and location of sponsor
- Maintain current, accurate and complete progress notes
- Monitor closely the movement of participants throughout the phases and adjust plans when needed

The contents of the case file must include the referral to the program, assessments, referral to treatment provider, signed contracts, progress notes, urine screen results, goals for the participant and family, and any other supporting documents relative to the drug court activity.

**C5.5** The drug court program provides essential services to appropriate juveniles in need of those services. The program provides a direct means of correcting juvenile behavior and substance abuse problems that may not be directly addressed by sending the juvenile through the regular court system. By providing these services at an early stage to the appropriate juveniles, the likelihood of these juveniles re-offending potentially decreases which can potentially reduce the number of cases processed at CCJC.

### *Records Compilation, Transmittal and Retention Procedures*

F5.79 The clerk's office is responsible for the records compilation, transmittal and retention procedures. There are two types of records that CCJC handles: legal records and social history records. The legal records comprise all of the journals and legal case file information. The social history records are made up of information compiled by the probation department. The detention center has its own set of records for juveniles that have been admitted which document the juvenile's activity and stay at the detention center. Case files are put together by the clerk's office and include the following information.

- Fact sheet information to initiate a case
- All of the service issued, such as the notice, subpoenas and summons
- Requests for service from the attorney
- Summary sheet
- Legal documents including the appearance docket (arranged from latest to earliest date), court date, and what happened at the court date
- Journal entries
- Motions
- Copy of the complaint

F5.80 CCJC has written procedures for storing and retaining records. All records ready for storage are sent to the County archives. In addition, CCJC has a schedule of records retention and disposition that has been approved by the court administrator, chairman of the records commission, the authorized individual from the Ohio Historical Society and the authorized individual from the Bureau of Inspection and Supervision of the Auditor of State and lists the following information required to accompany records for storage.

- The related schedule number
- Record title and description
- Retention period
- Listing of agencies that may use the records.

F5.81 CCJC has written procedures for handling the expungement of cases and sealing records. However, the written procedures do not specifically state that CCJC must initiate the sealing procedures after two years have elapsed since the termination of the court's order or at any time after two years since the individual was released from CCJC. As defined by ORC § 2151.358, for an unruly adjudication, a court must order the record of that person sealed. For delinquent and traffic adjudications, a court can order the record sealed or must send a notice to the person 90 days after the two year period stating the right to have the record sealed. CCJC would save time and resources by sealing records without sending a notice, since the court has the authority to do so.

**R5.51** CCJC should update the written procedures for expungement of sealed cases to include the requirement of initiating the sealing procedures after two years have elapsed since the termination of the court's order or when two years have elapsed since the individual was released from the court. This should ensure that CCJC is following ORC procedures and should help enforce the requirement of the procedure. In addition, the court would save time and resources by automatically sealing records after the two year period, considering the time and resources required to mail the notices to the appropriate individuals.

## Financial Implications Summary

The following table represents a summary of the revenue enhancements, annual cost savings and implementation costs discussed in this section. For the purposes of this table, only recommendations with quantifiable financial impacts are listed.

### Summary of Financial Implications For Court Services

Recommendation	Revenue Enhancements	Cost Savings (Annual)	Implementation Cost (Annual)
R5.3 Increase amount of court costs and fines collected	\$135,000		
R5.5 Reduce four clerk positions in the caseflow division		\$104,000	
R5.15 Implement a CASA program			\$350,000
R5.18 Reduce average daily population in the detention center and shelter care		\$1,271,000	
R5.26 Hire a full-time chief judicial staff attorney and reduce the 3.5 FTE legal support staff		\$14,000	
R5.32 Not filling the seven vacant intake officer positions.		(Cost Avoidance) \$352,000	
R5.37 Reduce ten service clerk, six motion clerk, six journal clerk, four process server and three supervisor positions in the clerk's office		\$838,000	
<b>Totals</b>	<b>\$135,000</b>	<b>\$2,579,000</b>	<b>\$250,000</b>

## **Conclusion Statement**

The court services department at CCJC could improve the efficiency of its operations in a number of ways. However, since CCJC does not ensure that data indicating critical courtroom operations is accurate and reliable, the Court does not have an effective means of assessing either its overall performance or determining the appropriate staffing levels needed to effectively process cases and manage court operations. Prior to addressing other issues, it is critical that CCJC ensure that data indicating critical operations that are essential to effective management of the Court is accurate and reliable. Once CCJC has resolved the issue of data accuracy and reliability, it could further improve the efficiency of court operations by implementing a centralized docketing system, establishing and enforcing time frames for various processes and addressing staffing levels in all of the divisions of court services.

Currently, CCJC appears to be managing caseloads at less than optimal efficiency. The weakness in this area is evidenced by the low disposition rate, high percentage of pending cases and high percentage of cases pending beyond the Supreme Court of Ohio time guidelines in comparison to the peer courts. By improving the caseflow management process, CCJC could enhance the service quality afforded to its juveniles. In addition, the number of cases disposed could potentially increase by improving the caseflow management process, which could potentially increase the dollar amount of juvenile court costs and fines collected and reduce the costs associated with the detention center and shelter care facilities.

CCJC does not utilize a centralized docketing system and allows the jurists to schedule their own dockets based upon each jurist's perception of how long it should take to process cases in a typical day. Without established standard time frames for hearing cases, the jurists have no guidelines by which they can measure their performance and may perceive case processing time differently. In addition, judges determine the amount and type of cases to assign to the magistrates.

Both HCJC, which has been designated as a "model court" by the American Bar Association and National Conference of Special Court Judges, and LCJC utilize a centralized docketing system and manage their caseloads more effectively as compared to CCJC. A centralized docketing system enhances consistency and uniformity by scheduling similar dockets based on uniform time guidelines for all magistrates and helps to provide a more equitable distribution of work load. In addition, a centralized docketing system improves accountability by having one division responsible for all scheduling and increases effective utilization of caseflow support staff by pooling similar caseflow functions.

CCJC has implemented various programs, such as the Community Diversion Program and Court Unruly Project, that provide services to juveniles in need of these programs and divert the appropriate juveniles from the court system, which has the potential of reducing the official caseload. However, a Court Appointed Special Advocate (CASA) program is not utilized by CCJC. LCJC and FCJC have implemented a CASA program, which utilizes trained citizen volunteers, as opposed to paid private attorneys, to provide the necessary function of ensuring that the best interest of the child is represented in dependency/neglect/abuse cases. In addition, utilizing a CASA program has the potential of reducing Guardian Ad Litem expenditures in the long term.

Through various staffing analyses and peer comparisons, it appears that the clerk's office in the court services department is significantly overstaffed. The total number of new cases filed per full-time equivalent in the clerk's office at CCJC is 367, which is less than half the number of new cases filed per employee in the peer courts' clerk's offices. Considering the clerk's office staffing analysis, other staffing comparisons discussed in this report and the recent implementation of a new case management computer system, it is essential that the court services department address staffing levels in all of the divisions to ensure that the department is operating efficiently and in a cost-effective manner.

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# Technology

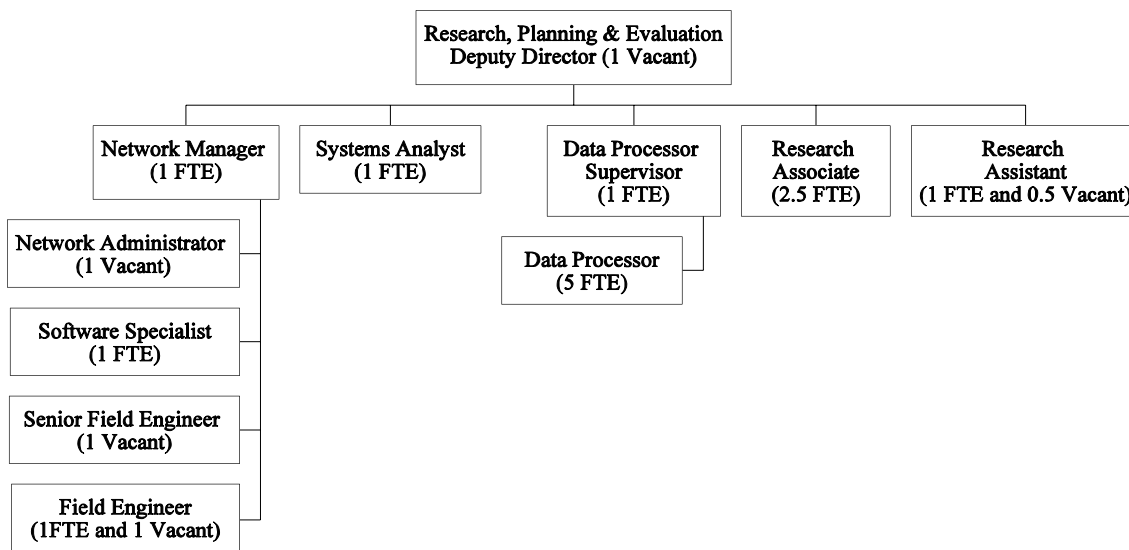
## Background

This section summarizes the organization and departmental functions of technology management within Cuyahoga County Juvenile Court (CCJC). Comparisons are made to the following peer juvenile courts: Franklin County Court of Common Pleas Division of Domestic Relations and Juvenile Court Branch (FCJC), Hamilton County Juvenile Court (HCJC) and Lucas County Court of Common Pleas Juvenile Division (LCJC).

### Organization Chart

Technology implementation and management at CCJC are performed by the division of Research, Planning and Evaluation (RP&E) within the department of Administrative Services. RP&E consists of the information services unit (IS), the data entry unit and the research unit. Technology related functions are primarily performed by IS, the data processing unit verifies the accuracy of data entered into the system, and the research unit develops reports based on verified data in the system and manages databases. **Chart 6-1** illustrates the organizational structure of RP&E with the total number of positions (FTE) and the number of vacant positions shown in the parentheses.

**Chart 6-1: Research, Planning & Evaluation Personnel**



CCJC also receives technical support from Cuyahoga County Information Service Center (CCISC) upon request.

### *Organization Function*

The role of the deputy director of RP&E is to monitor the delivery of information and technology services to CCJC. IS personnel maintain CCJC's local area network (LAN) and strive to ensure that computers and printers are functioning appropriately. Personnel in this unit include:

- Network manager
- Network administrator
- Software specialist
- Senior field engineer
- Field engineers
- Systems analyst

They are responsible for conducting the following services for CCJC:

- Providing maintenance and access to the LAN
- Providing help desk assistance, trouble shooting for problems with the hardware, software applications, and network
- Confirming that contract services have been rendered for payment
- Submitting requests for new technology
- Installing peripheral equipment to the workstations
- Managing warranties and software licenses
- Scheduling personnel for technical training
- Providing technical maintenance

The data processing unit provides data verification for CCJC departments. The data processing unit consists of a data processor supervisor and five data processor staff for the detention center, traffic court, youth services and the court rooms. The research unit provides the court administration and outside agencies with reports on CCJC information in addition to database management. This unit consists of two full-time and one part-time research associate and one full-time and one part-time research assistant.

As written in Ohio Revised Code (ORC) §307.84, the Board of County Commissioners (BOCC) may establish a county automatic data processing board (ADP) consisting of the county treasurer, the county recorder, the clerk of court of common pleas, a member of the county commissioners' office, two members of the board of elections and the county auditor. The members listed above may vote by majority to add additional board members.



After the initial meeting of ADP, county offices must make purchases, lease, operate, or contract for the use of any technical equipment only with the approval of the board. ORC §307.842 allows ADP to establish a technical center which shall provide a centralized system for the use of technical equipment for all county offices. CCISC serves this function for the County, and all technical purchases or changes to technical configuration for CCJC must receive the approval of ADP.

### *Summary of Operation*

CCJC relies on CCISC for technology support and PROWARE for maintenance through the use of service agreements and maintenance contracts respectively. In addition, CCJC provides training on all computer and software applications received as a result of implementation of new technology through contracts managed by CCISC or PROWARE contracts. The office software applications used within CCJC are provided through CCISC. PROWARE provides CCJC with the case management capabilities and its temporary human resources application. IS also provides CCJC with technical assistance.

In July 2000, CCJC implemented a new case management system, the Juvenile Information Management System (JIMS), to assist with improving the efficiency of court operations. CCJC also uses the County mainframe to access its old case management system, the Juvenile Court Information System (JCIS.) CCJC is currently in the process of implementing a temporary human resources system that will also be part of the PROWARE client server system until the County human resources system, the Systems Application Programming system (SAP), is implemented.

### *Technical Configuration*

CCJC's LAN is connected to the County's wide area network (WAN), which is maintained by CCISC, for access to the mainframe database and other County applications. CCJC has LAN computer users at sixteen sites and other County agencies can connect to CCJC through the WAN. Six agencies have the JIMS application installed onto their servers so access to JIMS can be achieved through the WAN. CCJC also provides Internet access, through its LAN, to 10 percent of CCJC staff whose job duties necessitate its use.

There are 200 users gaining access to the JIMS database and printers through a T1 line from ten CCJC sites. There are four sites that access the database through 3COM US Robotics V.90 56K modems, while two other sites gain access through 56K routers.

## Applications

**Table 6-1** lists the software applications that CCJC personnel use to conduct daily business operations and identifies departmental areas with access to the application, the software vendor, and the platform on which it operates.

**Table 6-1: Juvenile Court Software Applications**

Software Application	Departmental Area	Vendor	Application Platform
Juvenile Court Information System (JCIS)	All departments	Program was written in house	IBM 9672
Juvenile Information Management System (JIMS)	All departments	PROWARE	Client-server (written in UNIFACE with Oracle database)
EXTRA!/ Office 97	All departments	Microsoft	Windows 95/98
Human Resources Information System (HRIS)	Human Resources	Program was written in house	WANG
Human Resources Management System (HRMS)	Human Resources	PROWARE	Client server system (written in UNIFACE with Oracle database)
Kronos	Detention Center and Human Resources	Kronos	Windows 95/98

**Source:** Interviews with CCJC personnel

## Application Functional Overview

The following briefly describes the key software applications at CCJC.

### Case Management Applications

EXTRA! is the application used to access JCIS, the case management system CCJC personnel used prior to the implementation of JIMS. There are a few staff members who access JCIS to verify discrepancies in JIMS and to retrieve old cases. JIMS is the new case management system for CCJC. JIMS allows personnel to access more information than was available with JCIS.

Human Resources Applications

CCJC's human resources department uses a WANG HRIS to store basic employee data and uses the Kronos time keeping system for detention center staff. The human resources department has contracted with PROWARE to develop a temporary HRMS to perform human resources operations more effectively. Upon completion of the County human resources management system, CCJC will have the opportunity to implement SAP as its HRMS. The County has estimated that it will be at least one year before CCJC can be integrated into the SAP system. Refer to the **human resources** section for further discussion of human resources applications.

*Staffing*

**Table 6-2** illustrates staffing level information, by primary responsibility, for key staff involved in the implementation and management of CCJC's technology. The number of staff was calculated using full-time equivalent (FTE's) as applied to the individual's responsibilities.

**Table 6-2: Technology Staff**

Position/Responsibility	Number of Budgeted Staff	Actual Positions	Number of Vacancies
<b>Deputy Director of Research, Planning and Evaluation</b>	1.0	0.0	1.0
<b>Network Manager</b>	1.0	1.0	0.0
<b>Systems Analyst</b>	1.0	1.0	0.0
<b>Network Administrator</b>	1.0	0.0	1.0
<b>Software Specialist</b>	1.0	1.0	0.0
<b>Computer Technician</b>	2.0	1.0	1.0
<b>Senior Field Engineer</b>	1.0	0.0	1.0
<b>Totals</b>	<b>8.0</b>	<b>4.0</b>	<b>4.0</b>

**Source:** CCJC organization charts as of July 31, 2000, and interviews with CCJC personnel

Assessment of data entry and research staff are contained within the **organization and administrative services** section of this report. Staff in data entry and research units were not included in **Table 6-2** because they do not provide, nor are they responsible for implementing, technology within CCJC.

*Contracts*

IS has contracted with three vendors to assist in efficient functioning of CCJC's technology. Two technology contracts are funded through CCJC's general fund while PROWARE has received appropriations directly from the Board of County Commissioners (BOCC). The general fund contracts include the Cuyahoga Regional Information Systems (CRIS) and ComSys (formally known

as Cotelligent.) CRIS allows CCJC access to other County agency systems while ComSys serves as a consultant for the Oracle database, for computer training on JIMS, and to assist with data conversion from JCIS to JIMS.

### Financial Data

**Table 6-3** shows summary information for CCJC's fund expenditures pertaining to technology during FY 2000 and FY 1999 actual expenditures.

**Table 6-3: Financial Summary**

Account	FY 1999 (Actual)	FY 2000 (Actual)
<b>General Fund</b>		
Salaries	\$231,000	\$241,000
Benefits	\$69,000	\$72,000
Purchased Services:		
Contractual Services	\$899,000	\$1,026,000
Data Processing	\$2,074,000	\$1,509,000
Supplies	N/A	N/A
<b>Total General Fund</b>	<b>\$3,273,000</b>	<b>\$3,343,600</b>
<b>Other Funds</b>		
Legal Computerization Fund (BOCC)	\$58,000	\$132,000
<b>Total All Funds</b>	<b>\$3,331,000</b>	<b>\$2,980,000</b>

**Source:** Data supplied by CCJC personnel as of January 23, 2001

- *The increase in contractual services in FY 2000:* The increase for contractual services reflects the end of the implementation of JIMS. Upon implementing JIMS, CCJC required additional IS support from ComSys and PROWARE.
- *The decrease in data processing in FY 2000:* The decrease in data processing reflects the reduced reliance on CCISC for services as a result of JIMS implementation. CCJC staff no longer need to use JCIS for case information which has resulted in fewer chargeable transactions.

### *Performance Measures*

The following is a list of performance measures that were used to conduct the review of technology at CCJC:

- Assessment of the adequacy and appropriateness of technology personnel, including level of support in relation to CCJC requirements
- Assessment of the extent to which technical support is adequately provided to CCJC personnel
- Analysis of CCJC's technology staffing levels compared to peer courts
- Assessment of the effective and efficient management of technology activities
- Assessment of CCJC's strategic planning efforts and review of technology
- Assessment of technical architecture (hardware, networking and system software)
- Assessment of CCJC's use of software applications
- Assessment of the functionality of JIMS
- Assessment of the impact of personnel needs that may be created by the implementation of JIMS
- Assessment of CCJC's communication technology
- Assessment of CCJC's use of technology grants
- Assessment of the extent and effectiveness of CCJC's technology training program
- Assessment of the impact of decentralization of CCISC
- Assessment of previous studies which may impact CCJC's technology

## Findings/Commendations/Recommendations

### *Organization and Staffing*

F6.1 There is no department formally charged with overall responsibility for the development, implementation and management of CCJC's technology. The deputy director of RP&E is responsible for monitoring the development of new technology while maintaining current systems. The deputy director also ensures compliance with CCJC, Cuyahoga County (County), State of Ohio and federal court reporting requirements. The deputy director of RP&E reports to the director of Administrative Services and supervises the following three units:

- Information Services
- Research
- Data Processing

The three units provide the following services for CCJC:

- IS personnel are responsible for the administration and maintenance of the LAN. The IS unit ensures that the network is functioning properly and that individual computers are in good working condition. The IS unit also performs minor repairs on computer equipment that is not covered under warranty and assists CCJC staff by resolving technical problems.
- The research unit develops databases for use by various departments, develops analysis of information entered into the databases, assists with JIMS training and develops reports for CCJC and other government agencies. These reports include, but are not limited to, the Ohio Supreme Court Report, Adjudicated Felonies Report, Reclaim Ohio Report and CCJC's annual report.
- The data processing unit is responsible for processing court forms to enter case information into the computer system, verifying the accuracy of the information gathered, entering the correct data for court reporting purposes, and distributing reports.

The deputy director of RP&E is the immediate supervisor for the network manager, the systems analyst, the data processing supervisor, 2.5 research associates and one research assistants. At the time of this report, the deputy director of RP&E position is vacant. Therefore, the network manager, systems analyst, data entry supervisor, and research unit temporarily report to the director of Administrative Services.

Having technology function structured as a separate department would allow key technology issues to receive a high level of attention. This would help to ensure that major technology purchases achieve CCJC's goals of participation in the integration of Ohio courts' information as recommended by the Ohio Future's Court Commission. Additionally, it would ensure all technology standards are applied resulting in standardized technology training, maintenance and operational efficiencies. Furthermore, this organization structure would facilitate understanding of CCJC's technology expectations by more personnel. This understanding would be beneficial in training employees, addressing network problems, and implementing future upgrades to the network.

Until 1998, CCJC employed a director of information services who supervised a separate IS department. During the 1998 restructuring of CCJC's departments, IS and RP&E were combined and the deputy director of RP&E began supervising IS in addition to RP&E. The restructuring of RP&E has limited the focus of CCJC technical issues because of the responsibility to balance the needs of the three units.

**R6.1** CCJC should reorganize technology operations into a separate department, independent of Administrative Services, charged with overall responsibility for developing, implementing and managing CCJC's technology. Having a separate department dedicated to CCJC's technology would help to effectively resolve technology issues throughout CCJC.

CCJC should also fill the deputy director position for the new technology department with an individual who has extensive technical experience and education. The deputy director of technology should report directly to the proposed Deputy Court Administrator of Administration (see **R2.13**) and have general responsibility for court wide technology issues. In addition, CCJC should specify the responsibilities of the new deputy director of technology position by including the following duties in the official position description:

- Develop, evaluate and update CCJC's strategic technology plan (see **R6.5**)
- Assist in the development and administration of the technology budget
- Assist in CCJC's acquisition, use and maintenance of technology hardware and software
- Manage CCJC's network system
- Assist in grant planning and proposal writing
- Provide technical assistance to CCJC personnel regarding technology
- Establish ongoing and systematic professional growth opportunities for personnel in computer education
- Coordinate with departments within CCJC in the use of computers
- Act as a liaison between CCJC and other County agencies
- Work cooperatively with the technology departments of other Ohio court IT directors and administrators to develop a network between CCJC and other Ohio courts.

*Financial Implications:* Based on CCJC's current salary schedule, the estimated cost for filling a position of deputy director of technology including benefits is approximately \$74,333.

F6.2 The goal of IS staff is to develop complete functionality among all technology within CCJC. IS staff strives to achieve this by performing the following duties. The network manager is responsible for the following duties:

- Managing the server
- Maintaining technical workstations
- Installing hardware and software applications
- Upgrading hardware and software applications
- Analyzing CCJC's technical configuration and developing recommendations for improvements
- Serving as the immediate manager for the network administrator, the field engineers, and the software specialist

The software specialist's daily duties include the following:

- Operating the help desk
- Resolving computer problems involving software complications
- Preparing templates, forms and any other documents that are on the network
- Assisting with computer equipment repairs
- Training staff with software programs
- Assisting the network manager as needed

The network administrator position is vacant and the following duties of this position have been absorbed by the network manager:

- Overseeing the functionality of the network
- Ensuring technical connections are correct and sufficient
- Ensuring hardware and software respond appropriately to end user requests

The senior field engineer and one of the two field engineer positions are vacant. The field engineer and network manager work together to complete the following duties:

- Trouble shoot for computer problems
- Deliver hardware and software to workstations
- Complete minor computer repairs
- Assist with network maintenance as needed or requested through the help desk



The systems analyst's duties include the following:

- Writing specifications for network program changes
- Testing new programs
- Training employees to use new programs
- Designing and cataloging forms for use throughout CCJC

F6.3 The Cuyahoga County Information Services Center (CCISC) is an integral part of CCJC's technology support system and was established for efficient processing of data from all County offices. Pursuant to ORC §307.842, CCISC serves as the centralized County authority, governing technology in County agencies. IS serves as a subset of CCISC. CCJC cannot acquire any technical equipment or make technical changes without the approval of the Automatic Data Processing Board (ADP). Additionally, CCJC cannot enter into a technical contract without ADP approval. CCISC provides CCJC with the following technical support:

- Maintaining and providing access to the wide area network (WAN)
- Providing help desk assistance
- Managing contracts for payment
- Conducting purchases of technical equipment
- Managing warranties and software licenses
- Contracting with vendors for technical training
- Providing field engineer support
- Providing technical maintenance
- Providing mainframe support
- Providing tape storage of files from the mainframe

F6.4 **Table 6-4** presents staffing levels by category for technical staff at CCJC and the peer courts. The staffing figures represent FTEs as applied to the individual's responsibilities. For purposes of this analysis, research associates, research assistants and data processing staff were not included in the staffing table because their job duties do not include technical support. Contract staff were calculated according to the billing summary provided by CCISC and the PROWARE maintenance contract. Compared to the peer courts, CCJC has the second highest staffing level.

**Table 6-4: Technical Staffing Comparison of Employees and Contractors**

Staffing Categories	CCJC		FCJC		HCJC		LCJC	
	FTE	Contract	FTE	Contract	FTE	Contract	FTE	Contract
<b>Deputy Director, Director</b>	1.0 <sup>1</sup>	0.0	1.0	0.0	1.0	0.0	1.0	0.0
<b>Network manager</b>	1.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Network administrator, Network Specialist</b>	1.0 <sup>1</sup>	0.0	0.0	0.0	1.0	2.0	0.0	0.0
<b>Field Engineer, Computer Technician</b>	3.0 <sup>2</sup>	1.9	2.0 <sup>1</sup>	0.0	3.0	2.2	0.0	2.0
<b>Software Specialist, Project Manager</b>	1.0	0.1	0.0	0.0	2.0	0.0	0.0	0.5
<b>Systems Analyst</b>	1.0	2.4	0.0	0.0	5.0	0.0	1.0	0.0
<b>Totals</b>	<b>8.0</b>	<b>4.4</b>	<b>3.0</b>	<b>0.0</b>	<b>12.0</b>	<b>4.2</b>	<b>2.0</b>	<b>2.5</b>

**Source:** Court organization charts and interviews with court personnel

**Note:** Contract FTEs were calculated according to the billing report that CCJC receives from CCISC and the maintenance contract from PROWARE as of August 2000. Additional support from CCISC and PROWARE after implementation is not included in totals.

<sup>1</sup> Includes one vacancy

<sup>2</sup> Includes two vacancies

F6.5 The Gartner Group, a leading information technology consulting firm, advises organizations to examine the makeup of their computer user population to determine appropriate staffing levels, (rather than devising a single staffing formula.) The firm suggests a classification consisting of three levels based on the following formula ratios of technical support personnel to end users:

- Power users (technologically sophisticated users) 1:30
- Office users (uses office software and business applications, e-mail and Internet) 1:60 to 1:100
- General (minimal users of computers) 1:125 to 1:300

**Table 6-5** illustrates the number and the classifications of users to whom IS provide technical support. There are no general users identified among CCJC staff. According to the network manager, general users would include outside agencies accessing the JIMS application, and the only technical support provided would involve repairing network-related problems. Therefore, this support is captured in the technical support for CCJC users.

**Table 6-5a: Amount of Staff Time Dedicated to Technical Support**

Staffing Category	CCJC Staff	CCISC Staff	Contract Staff	Total
Field Engineer	1.0	1.9	0.0	2.9
Software Specialist	0.5	0.0	0.1	0.6
Systems Analyst	0.5	0.2	1.0	1.7
<b>Total</b>	<b>2</b>	<b>2.1</b>	<b>1.1</b>	<b>5.2</b>

**Source:** CCJC staff interviews and staffing tables.

**Note:** The staff time is an estimation of the information provided by CCJC in the staffing tables and staff interviews combined.

Using the Gartner Group ratios as shown in **Table 6-5a**, CCJC appears to be slightly under staffed when providing support. There are three staffing categories (field engineer, software specialist, and systems analyst) that have direct workstation support responsibilities. The field engineer positions are 100 percent dedicated to workstation support while the software specialist and systems analyst spends 50 percent of their time providing support. CCJC has the equivalent of 5.2 FTEs, which includes support from CCISC and PROWARE, who maintain and repair approximately 570 computer workstations. This amounts to one FTE for every 110 workstations as illustrated in **Table 6-5b**.

**Table 6-5b: CCJC Computer User Classification**

	Power Users	Office Users	All Users
CCJC Users	25	545	570
Technical Support Staff <sup>1</sup> (5.2)	1.04	4.16	5.2
Ratio	1:24	1:131	1:110
Recommended Ratio	1:30	1:100	1:100

Source: CCJC deputy director of RP&E, Gartner Group

<sup>1</sup> The support staff's time is reportedly split about 20 percent with power users and 80 percent with office users.

CCJC has vacancies in the senior field engineer position, field engineer position (2 FTEs) and network administrator position (0.5 FTE). Filling these positions would provide an additional 2.5 FTEs. According to the Gartner Group criteria, filling the vacant positions would result in a total 1:74 ratio for all users. In addition, to assist with technical support, IS requests assistance from CCISC when staff are not capable of completing all service requests. Furthermore, CCJC maintains service agreements with CCISC for service of equipment that is not covered by warranties and a maintenance contract with PROWARE for technical support related to the PROWARE system.

F6.6 Throughout FY 2000 during the development of JIMS, CCJC used 5,508 contracted hours totaling approximately \$480,000. This cost is in addition to the \$241,000 for current IS staff (figure does not include staff benefits). The use of contracted staff has served as a staffing alternative for technology departments in some of the peer courts. The service provided by contracted staff is generally determined on an as needed basis. For example, HCJC employs 12 FTE IS staff and contracts 4.2 FTEs for assistance with maintaining its networks and additional PC support. Additionally, LCJC employs two FTE IS staff (the IS director and data analyst) and receives additional support from two Lucas County Information Service employees and it acquires systems analyst support from a vendor. Lucas County pays an average of \$4000 for systems analyst support hours each year for LCJC. When services are requested, the hours are subtracted from the available balance. However, to employ a full IS staff at CCJC would cost \$395,200 (includes benefits) and it would not be cost effective for CCJC to continue to contract staff for all technical support.

**R6.2** CCJC should hire a senior field engineer, a field engineer and a network administrator. Hiring these individuals would provide a total of 7.7 FTE for technical support and the ability to eliminate the need to contract for technical support. Thus IS should have sufficient staff to ensure maintenance and administration of the network while using vendor warranties and/or CCISC service agreements when equipment repairs are necessary. Overextending staff to manage the LAN and repair equipment covered by warranties proves to be inefficient technology management. Analyzing components of CCJC's hardware, network, software and user population is necessary to determine an appropriate staffing level that would provide adequate technical support. CCJC should also periodically perform this analysis to ascertain whether the level of support discussed in **F6.5** is adequate to provide needed technical support.

*Financial Implications:* As result of achieving optimal staffing levels according to the Gartner Group, hiring a senior field engineer, a field engineer and a network administrator and eliminating 5,508 contract hours would save CCJC \$84,800 based on the salaries listed in the David M. Griffith and Associates, LTD study and the estimated benefits and charges for contract hours.

F6.7 Some position descriptions for IS personnel are not up to date. The creation of the deputy director of RP&E position was the result of reorganization, but there is no job description available. Position descriptions are not usually updated for CCJC until there is a vacancy and administration is prepared to fill the vacancy. However, the constantly changing nature of technology makes it difficult to evaluate staff performance if the position description is not current. Refer to the **human resources** section of this report for additional discussion on CCJC position descriptions.

**R6.3** CCJC should update the position descriptions for technical personnel so duties, required knowledge, and skills more accurately reflect basic functions needed to support CCJC's technical operations. In addition, the position descriptions should also state proper education and certification required for the position, as well as relevant work experience and knowledge needed to manage technology throughout CCJC. Technical position descriptions should be reviewed and revised periodically to reflect frequent changes in technology. Additionally, personnel cannot be properly evaluated when criteria they are to be evaluated against are no longer relevant. In determining criteria for technical positions, CCJC should also take into consideration future activities needed to maintain the PROWARE system. Once position descriptions have been updated, CCJC will be better able to properly evaluate technical personnel and help ensure technical personnel remain qualified.

F6.8 The implementation of JIMS has automated several job functions within CCJC. Consistencies between the case management and detention modules give CCJC the ability to reduce duplication of effort involved in entering and retrieving case information. Additionally, entering a case number provides the user with several screens to receive information for that case. The system includes the following screens:

- Case names
- Address history
- Physical characteristics
- School information
- Family information
- Psychology information

Common identification fields such as name and case number are filled allowing for input of new information.

At this time, CCJC has not determined the potential impact JIMS may have on staffing levels. The majority of manual tasks will be eliminated within CCJC. Some tasks which will become unnecessary with the automation of the case management system include the courtroom docket and detention center logs. To receive the docket for the day, courtrooms contact court services to get a copy of the docket which is now available through JIMS. Previously, identifying the number of children in the detention center at a given time would involve staff manually comparing the previous day's log with the admission log for the current day and contrasting that list with the dismissal log. With JIMS, the information is documented and updated as children are released and admitted to the detention center. It is also possible that other tasks will require more data entry and programming. The data entry staff for traffic court, for example, state JIMS has limited the ability to complete job duties in a timely manner because information is entered on the individual case, not the offense the individual committed as was the case in JCIS.

Other courts which have implemented the PROWARE case management system did not immediately reduce staff. Cuyahoga County Domestic Relations Court, after four years of implementation, lost staff as result of attrition and did not need to replace them. Hamilton County Domestic Relations Court has enhanced job duties of their staff, providing more time to perform other job duties. HCJC offered the example of an employee who only processed case expungement which is now automated. This employee was reassigned to another relevant position within the court.

**R6.4** CCJC should conduct a staffing analysis for all court departments once JIMS is fully implemented and functioning effectively with future implementations. This staffing analysis would be to determine areas where the system has reduced and increased time involved in completing tasks. CCJC should then examine methods of reorganizing staff to fill staffing needs that develop. Areas to focus on for possible staff reduction include secretaries, data entry, CCISC support, process servers, service clerks, motion clerks, and journal clerks (see **R5.37**).

### *Planning*

F6.9 The division of RP&E evaluates what has occurred during the current year and develops a budget identifying what technology should be implemented the following year. However, a comprehensive strategic technology plan does not exist for CCJC. While the current process provides a basic starting point for technology development, it does not contain the following key elements necessary for an effective strategic technology plan:

- Implementation time line
- Individuals responsible for ensuring that specific action steps are achieved
- Resource requirements
- Proposed funding sources
- Specific benchmarks and milestones indicating progress toward achieving goals
- Staff development and training policy
- Equipment replacement policy
- Cost/benefit analysis

Without a comprehensive strategic technology plan, CCJC cannot accurately plan for technology reviews, upgrades and purchases, or prepare a long-term budget plan which allocates money for technology related purchases.

HCJC has recently completed a detailed five-year strategic technical plan. This plan identifies current technical equipment and lists equipment to be purchased throughout the life of the plan. Furthermore, HCJC's plan lists the accomplishments of 1999 and items to be completed in subsequent years.

**R6.5** CCJC should develop a comprehensive long-term strategic technology plan that incorporates business operations and case management system enhancements. The plan should establish CCJC's long-term objectives and describe how technical personnel, funding and resources will facilitate their achievement. The technology plan should be consistent with, and support, the court-wide strategic plan as recommended in the **organization and administrative services** section. The plan should be presented to CCJC management, the judges, the County and ADP who must fully support the objectives and goals and ensure that adequate funding is provided. In addition, an annual review and revision process should be established allowing the strategic plan to reflect changes in CCJC and technology.

With implementation of JIMS, a strategic technology plan that covers all CCJC operations is necessary to effectively manage and use the system. The coordination of business operations and case management applications will help prevent purchasing or developing incompatible systems that must later be redesigned or replaced. CCJC's plan should address sequential implementation of different business operation systems that use similar data to ensure these systems will be able to properly interface with each other.

CCJC should ensure all other technology areas are addressed by the strategic technology plan proposed herein. The following steps should be considered when proceeding with the planning process:

- Identify and analyze the business and case management environment that the strategic technology plan must support
- Define key business goals and objectives and establish measurable success factors for those business and case management areas
- Evaluate how existing hardware and software applications support long-term goals and objectives
- Determine what additional technology is needed to achieve long-term goals and objectives
- Research significant industry trends relating to technology and juvenile justice institutions
- Identify user requirements for software applications as well as e-mail and Internet software
- Develop an implementation plan and time line

The result of this strategic planning process should be a step-by-step action plan detailing how CCJC expects to meet its long-term goals and objectives. The technical architecture is a blueprint that specifies technical infrastructure (hardware and network configuration,) software applications, systems and database design. The proposed strategic plan should contain the following elements:



- A realistic and detailed timetable
- Funding requirements and funding sources
- Individuals responsible for implementation
- Estimated resource requirements to implement actions, including consultants, contractors or in-house staffing
- Staff training
- Expected benefits
- Benchmarks to determine progress in meeting stated goals
- Expected upgrades
- Expected replacement of equipment
- Personnel training

The timetable should be realistic in estimating CCJC's commitment to implementing new technology. Although CCJC may not be able to quickly fund or support major changes in technology, a sound methodology will assist in implementing high quality applications with less risk and at a lower cost.

F6.10 CCJC does not have a technology steering committee. There was a design team (not a steering committee) during the earlier planning stages of the JIMS project, but the team has been disbanded. The members of the team were from various departments within CCJC and they met on a weekly basis to resolve issues during the development of JIMS. A steering committee would work with CCJC administration to develop technical needs of CCJC and prepare a proposal for ADP approval. The lack of a steering committee has led to information gaps among CCJC departments. For example, the probation department does not receive information in a timely fashion to conduct daily activities effectively although needed information is available within other departments (see **probation** section of this report). A technology steering committee would close the gap of information between departments by ensuring all departments have the same accurate information to conduct CCJC business.

**R6.6** CCJC should create a technology steering committee consisting of individuals from the various functional areas in all departments and facilities. This broad representation should help to ensure technology activities are coordinated and consistent with overall goals and objectives. Minutes of meetings should also be maintained. In order to bring additional technical knowledge and expertise, CCJC should also consider inviting community members, business leaders, technology experts and representatives from CCISC and BOCC to be part of the technology steering committee. The functions of the technology steering committee should include the following:

- Set technology priorities and rank technology projects accordingly
- Evaluate the justification for new initiatives to determine if the project is consistent with CCJC's master technology plan and priorities

- Provide recommendations to CCJC administration and ADP
- Review progress of technology projects
- Help resolve significant organizational issues impeding project progress
- Assess implementation of new technology
- Establish and approve technology standards
- Ensure implementation of new technology is consistent and compatible with business and case management goals
- Oversee implementation, progress and effectiveness of new technology

The technology steering committee should meet on a periodic basis. CCJC administration should ensure this committee remains active and is involved in CCJC's strategic technology plan implementation which is discussed in **F6.9 and R6.5**. The committee members can be used to evaluate proposals and form subcommittees to research possible technology solutions, identify specific hardware and software that would meet the needs of CCJC and make appropriate recommendations.

The technology steering committee should take a strong role in the CCJC's technology future. Active oversight is necessary to ensure appropriate technology is implemented in an efficient and cost-effective manner. Without this oversight, there is a risk that CCJC could continue to experience situations where complete information is not shared between departments.

F6.11 According to CCISC and CCJC staff, CCJC does not have a written computer disaster recovery plan. According to the March 2000 report titled "Recommended Practices for State and Local Governments" from the Government Finance Officers Association (GFOA), "state and local governments have a duty to ensure that disruptions in the provision of essential services are minimized following a disaster." CCJC may not be able to provide the required information to clients, personnel, or other governmental entities in the event of a disaster. CCISC provides this service for County agencies, but CCJC has not established a written agreement for the safety of its data in the event of an emergency.

**R6.7** CCJC should establish policies and procedures for minimizing potential disruptions following a disaster. The policies and procedures should be updated on a regular basis and should include the following:

- Assign individuals responsible for implementing and monitoring the disaster recovery plan
- Require data to be backed-up and preserved at an off-site location on a regular basis
- Make provisions for processing data following a disaster at a location other than the current daily operations facility
- Provide detailed instructions for restoring disk files

In addition, a copy of CCJC's computer disaster recovery plan should be kept at a secure, off-site location to ensure its availability in the event of a disaster. The computer disaster recovery plan should be tested on a periodic basis to eliminate any potential problems and to ensure all individuals are familiar with their responsibilities.

### Management and Operations

F6.12 CCISC charged CCJC approximately \$3 million for services rendered in FY 1999 (January to December). As of September 2000, CCISC has charged CCJC \$1.7 million for FY 2000.

**Table 6-6** below lists CCISC's FY 2000 rate schedule.

**Table 6-6: CCISC 2000 Rates**

Service Classification	Service Type	Rate	Method of Accrual
CPU- Batch	CPU Time	\$1,222.16	Hourly
Personnel	Field Engineer	\$69.60	Hourly
	Account Managers	\$76.00	Hourly
IMS Network <sup>1</sup>	Transactions	\$0.01	Each Transaction
CICS Network <sup>2</sup>	Transactions	\$0.01	Each Transaction
Direct Charge	Tape Storage	\$1.28	Monthly per Tape
	Original Microfiche	\$1.74	Each Microfiche
	Maintenance	By device	Monthly
	Tape Backup & Delivery	\$270.00	Per Month Daily Pickup
WAN	Ameritech Contract	At Exact Cost	Monthly
	Connectivity	\$16.25	Monthly per P.C./Node

**Source:** CCISC 2000 Rate Chart for County agencies

<sup>1</sup>IMS Network is used to access CCJC's database on the mainframe.

<sup>2</sup>CCJC uses the CICS mainframe application to access other county agencies such as the sheriff's office.

Currently, most hardware within CCJC is under warranty, so repairs are provided by the manufacturer. There are some WANG hardware in the human resources department that is not covered under warranty or through a maintenance contract with CCISC. Options for servicing this equipment include contracting with one of the few and costly technicians qualified to make repairs or not repairing the equipment. Upon expiration of warranties, CCJC has the option of entering into a service agreement with CCISC for equipment maintenance. According to both the former deputy director of RP&E and the director of CCISC, there are no contracts defining the responsibilities for technical support between the

two entities. There is an unofficial agreement that CCISC will maintain the WAN and sign and make payments for vendor contracts upon CCJC approval. Additional services, such as field engineer assistance or increasing the speed of data transmission lines would be covered in a customer service request (CSR). As stated in the ORC, CCJC cannot acquire any technical equipment or make technical changes without the approval of ADP. Additionally, CCJC cannot enter into a technical contract without ADP approval. IS do not always contact CCISC to complete the repairs, IS has completed repairs on equipment when response from CCISC has been delayed.

F6.13 A maintenance contract with PROWARE details the amount of support hours CCJC receives and lists future enhancements PROWARE will implement for CCJC. This maintenance contract with PROWARE is effective through December 31, 2000 and renewal is subject to the approval of ADP and BOCC. The contract totaled \$539,239 for FY 2000 and provided 240 project management hours; 1,500 systems analyst hours; and 2,550 program analyst hours. As result of JIMS implementation, contracted hours have been exhausted as of July 2000. The current maintenance contract with PROWARE itemizes the following support features for the three levels of support. The project manager hours were used for the following support:

- Conducting monthly status meetings with CCJC
- Submitting monthly written reports on the status of the project
- Managing, assigning and coordinating the work effort of the support team
- Tracking hours and billing requirements
- Resolving issues that arise

The systems analyst hours provided the following support:

- Assisting with JIMS design
- Analyzing the need for support of maintenance items
- Coordinating with IS to implement programming revisions
- Providing help desk assistance to IS
- Helping to resolve technical issues related to the JIMS application
- Evaluating and prioritizing new requests for existing programs
- Evaluating and prioritizing new requests for business rule changes
- Managing the testing/ promotion process for JIMS
- Assisting CCJC with any training related needs

The programmer analyst hours provided the following support:

- Conducting all program modifications and enhancements
- Providing phone support to answer questions from IS
- Programming changes to fix any problems reported via the software action request (SAR) procedure
- Tracking all SAR's reported
- Maintain a log of SAR status
- Promoting fixed programs reported by SAR
- Evaluating existing programs as needed to improve efficiency
- Providing support for testing data
- Making cosmetic and other minor enhancements to JIMS
- Managing security for test facilities or temporary databases
- Monitoring data created by new programs for integrity

In addition to the support listed above, CCJC anticipates implementing a bar code file tracking system, an automated recidivism program to track the success of programs, and a document imaging system. Implementation planning for these additions began in August 2000, with discussion of the maintenance contract for FY 2001 and is contingent on additional funding and the effective functioning of JIMS.

**R6.8** CCJC should develop and implement a written policy which describes who and how technical services will be provided to its computer users considering services provided by IS, CCISC and PROWARE. Although many technical requirements are identified in the ORC, establishing sound and effective technical support is not addressed. IS should avoid performing services provided and charged by CCISC and PROWARE and implement a written policy for computer maintenance. In addition, the support contract with PROWARE expired on December 31, 2000. CCJC should identify options for continued support of the new PROWARE system. These options could include the following:

- Renewing the PROWARE maintenance contract for technical support for at least one year
- Providing the appropriate training to IS for technical support in-house through CCISC training vendors and PROWARE
- Identifying appropriate technical support among the CCISC technicians and developing a contract with CCISC for technical support of the system

When making this decision, CCJC should consider future enhancements to the system and the technical services needed to implement future enhancements successfully. Upon making a decision on technical support for the PROWARE system, CCJC should take measures to prevent the use of other technical support agents, thereby reducing the possibility of duplication of services.

F6.14 CCJC employs a centralized purchase order review process with respect to technology. Purchases of hardware and software are approved by ADP. CCISC has master licensing contracts with Microsoft and Novell for all County offices. The purchasing process for all technical equipment is as follows:

- CCJC identifies technical items to be purchased and submits this request to CCISC
- CCISC identifies a vendor and the appropriate configuration for the purchase and returns the vendor and configuration information to CCJC for confirmation
- Upon confirmation, the request is sent to ADP for approval
- Once approval is granted, CCISC makes the purchase and delivers the items to CCJC
- CCISC charges CCJC for the equipment in the monthly billing report

**C6.1** ORC§307.84 stipulates that after the initial meeting of the county ADP, no county office shall purchase, lease, operate, or contract for the use of any automatic data processing equipment without prior approval of the board. CCJC is in compliance with the ORC as result of making a diligent effort to follow the procedures identified for making purchases and changes related to technology. Maintaining a centralized purchasing process will help to ensure consistency with CCJC's strategic technology plan when adopted, and allows for advantages when making volume purchases for CCJC. Having a second layer of approval for purchases ensures that configurations are appropriate.

F6.15 CCJC does not currently have written standards for hardware, operating systems or software applications, although they strive to comply with CCISC's preferred standards. CCISC encourages County agencies to choose from the following:

- Dell computers
- Novell operating systems
- Oracle database
- Microsoft software
- Corel software
- ManageWise software
- GroupWise e-mail

Although these standards are not written, CCJC decided to implement technology according to CCISC's recommended standards to receive additional technical support if necessary. CCISC's technology recommendations are intended to encourage compatibility among the County agencies, better communication of court information, and effective integration of data. When CCJC began preparing the new client server system, CCISC and PROWARE developed the requirements and specifications.

**R6.9** CCJC should develop written standards for acquiring hardware, network operating systems and software applications. These standards should be approved by the technology steering committee and be compatible with the preferred standards of CCISC. Due to the rapidly changing nature of technology, hardware models and software applications frequently change. Therefore, the standards should describe a range of versions that CCJC plans to use to conduct its operations. By standardizing hardware, network operating systems, and software applications, CCJC can more effectively control the cost of implementing and maintaining technology.

F6.16 CCJC employs a computer use policy for all personnel. The presence of this policy protects CCJC from risk of personnel using equipment for improper or inappropriate personal use. This policy requires personnel to obtain approval from a director to receive Internet access.

**C6.2** CCJC employs a computer use policy for all personnel which specifies use of computers is restricted to CCJC business. Use for personal reasons is prohibited. The policy also states that Internet access is determined by the director of the department based on the employee's job duties. Having a computer use policy provides personnel clear and concise directions which should limit the likelihood of misuse of CCJC computers.

F6.17 CCJC's equipment warranties and software licenses are centralized in the CCISC office. Warranty information, such as telephone numbers and serial numbers, are kept on file with IS. This assists CCISC's help desk and IS when addressing requests for repairs. Additionally, centralizing the location of warranties and software licenses provides accessibility to manufacturing information for equipment enhancements.

**C6.3** Centralizing the warranties and licences allows staff to have access when repairs and upgrades become necessary. CCISC manages its warranties and owns software licences for Microsoft and Novell applications. Accessibility to the warranties and licenses reduces the time and effort involved in making repairs on equipment.

F6.18 CCJC has a computerized and up-to-date inventory listing that is maintained in a database at CCISC and provided each month to CCJC with its billing summary. The inventory listing identifies equipment that is warrantied or under a service agreement, as well as items that are not covered by warranty or a CCISC service agreement. According to the September 2000 inventory, there are a total of 457 personal computers (PCs), 463 monitors, 25 terminals and 199 printers available for use by CCJC personnel. Currently, there is one computer lab in the Annex with nine computer workstations and one printer.

**C6.4** The provision of a technology equipment inventory on a monthly basis allows CCJC and CCISC to track and monitor the equipment warranties and to verify the number of items in use. This practice aids in the management of technology by identifying what equipment can be serviced through a warranty and which need to be serviced by IS or CCISC technical support. Also, the inventory helps to identify the age of the equipment and assists in planning the purchase of new equipment.

F6.19 CCJC does not have a written policy for help desk assistance. Requests for help desk services are made to anyone within IS, as well as to the help desk at CCISC. The lack of a written policy creates confusion and frustration for computer users. Lack of a written policy also creates the possibility of IS making repairs themselves and not properly using maintenance contracts or warranties.

According to IS, the response time for repairs is determined by the nature of the request and other priorities. If the problem is minor, such as trouble logging onto the network or trouble printing a document, IS attempts to make the repairs before contacting the manufacturer. Although IS attend periodic training, no one in the unit is A+ or N+ certified for computer repairs.

**R6.10** CCJC should develop a centralized help desk and help desk policy for its computer users. The policy should identify the procedures to follow when requesting help desk services. This could include instructions to call or e-mail requests to IS for assistance. To ensure that the protocol is followed, IS should collaborate with CCISC to divert any CCJC computer users to IS for technical support. The central help desk should have A+ and N+ certified computer technicians (see **F6.40** and **R6.22**) to provide effective service to CCJC's computer users. Trained IS staff would complete all requests involving the LAN, JIMS and equipment not covered by warranty or service agreement. Requests involving CCISC repairs would be referred to CCISC by IS for assistance.

To improve the quality of help desk services, help desk software should be used. The software should include features that would allow help desk dispatchers to customize a knowledge tree of common equipment malfunctions with corresponding solutions. The dispatcher could then compare the symptomatic data provided by the users against the pre-designed problem assignment checklist. If a problem matches a predetermined solution, the process would end with the dispatcher providing the solution. If the problem does not match a predetermined solution, the help desk dispatcher would forward the request to a field engineer. Help desk software would assist in the following:

- Tracking the type of problems reported by computer users
- Analyzing problems to determine recurrence
- Taking appropriate action to correct widespread problems through training or software modification



- Focusing training to address widespread problems
- Determining the reliability of computer hardware and software
- Reducing the number of calls field engineers have to be sent on
- Dispatching field engineers to users for appropriate requests

To assess the effectiveness of the CCJC help desk, IS should administer a semi-annual customer satisfaction questionnaire for computer users to evaluate the help desk services. This questionnaire could serve as a tool evaluate IS and assist in future staffing analysis for technical support.

*Financial Implications:* Help desk software is expected to cost CCJC approximately \$4,500 and should provide IS call tracking, knowledge base search capability and report generation. See **R6.21** for financial implications for training.

F6.20 No one at CCJC is responsible for seeking new technology grant funding. Priority is given to grants for children involved with CCJC and all other needs are adjunct. When a technology grant is identified by the senior program planner, the deputy director of RP&E is notified to start the proposal process.

**R6.11** CCJC should consider assigning personnel to seek new technology grants. Without targeting technology when seeking grants, CCJC may not be aware of all available technology grants. As a result, CCJC is at risk of missing opportunities to provide additional resources for advancing CCJC's technology, improve the services provided to the children, and reduce duplication of effort by its personnel. See the **organization and administrative services** section of this report for further discussion of the grant writing process at CCJC.

### *Technology Infrastructure*

F6.21 In 1975, CCJC established a case management database on the County's mainframe with connection through the WAN. CCJC continues to use this 9672R32 IBM mainframe because case management information is on the database. CCJC staff use the IBM mainframe to access case information for verification of data in the new client server system and to access old case information that was not converted to the new client server system.

In 1997, Cuyahoga County contracted with PROWARE to install a client server system for CCJC. CCJC uses three Novell servers, two located in the Annex and one is in the Walter G. Whitlatch Building, to log onto the WAN and the LAN and to access CCJC's office applications. There are also, two Unix database servers used to access the database for the new case management system. It has not been determined when CCJC will delete all data from the mainframe database because of its reliance on the historical information stored on tapes which is only retrievable by the mainframe.

F6.22 There are 200 computer users gaining access through T1 lines from ten CCJC sites to the JIMS database and printers. IS is unable to identify the exact number of T1 lines used by CCJC to connect its facilities with the servers. Additionally, there are four sites with access to the database through 3COM US Robotics V.90 56K modems, while two sites gain use through 56K routers.

IS has submitted a request to ADP for approval to purchase an additional eight Novell servers. One is to replace the server at the Whitlatch Building and the other seven are to be installed at the East Cleveland, University Circle, Near West, South West, South East, St. Clair and Metzenbaum facilities to increase the speed of access to the JIMS application.

**R6.12** IS should review and document the technical infrastructure for CCJC. This information should be made available to all staff responsible for detecting network problems and suggesting enhancements. To provide better connection time for CCJC staff, IS should continue to upgrade technical equipment and document these upgrades for future reference. By examining technical infrastructure, IS should also develop and implement a plan to become reliant only on JIMS to access all case information.

F6.23 CCJC provides the Cleveland Police Department (CPD) and the Cleveland Municipal Schools (CMS) access to JIMS using 3COM US Robotics V.90 56K modems, but there is no direct link to CCJC. The JIMS users at CPD and CMS log onto the WAN and CCISC routes the connection to CCJC's database server. Access to JIMS has been provided to six additional county agencies. PROWARE has loaded the JIMS application onto the servers present within the agencies, allowing them to log onto CCJC's database server through the WAN to access JIMS data.

**R6.13** CCJC should encourage the development direct T1 connections for CPD and CMS to improve access to JIMS. Routing the connection through CCISC is ineffective when the capability exists for a direct connection to the system. A direct connection would enhance the connection time for the agencies involved. In addition, providing a direct connection for the agencies would reduce charges incurred for accessing the WAN for CPD and CMS. Providing this connection for CPD and CMS would not have any financial implications for CCJC.

F6.24 CCJC recently replaced its mainframe with a client server system to operate the new case management system developed by PROWARE. The change from the mainframe to the new client server system was an attempt to improve CCJC's case management abilities. The client server system allows CCJC's employees and those of interrelated agencies to have faster access to information within CCJC. The system was developed using an Oracle database and written in UNIFACE language.

F6.25 According to CCISC staff, County agencies are moving toward client server systems and are slowly becoming less reliant on the County mainframe. CCISC does not currently possess the technical expertise to provide support for all client server systems. Therefore, agencies have become reliant on vendors to provide technical support and on ADP to approve any changes vendors deem necessary to upgrade the client server systems. Contracts for vendors are managed by CCISC and are between the vendor and the County for the individual agencies.

The transition to client server systems allows agencies within the County to share common information. For example, the Department of Human Services has proposed a tracking system and a resource database of service providers to share information throughout the county. A new County system entitled OPAL allows any employee of a County agency to determine if a client is involved with any other County agency at that time. The \$1.8 million project has initiated Phase I which involves pulling information from various systems to compile reports on individuals receiving County services. Provider GATEWAY is the management system used to gather information supplied by service providers and will allow direct contact with vendors while speeding up the service process. Both OPAL and Provider GATEWAY will be compatible resources to assist CCJC in evaluating and monitoring programs, and identifying a child's involvement with other County agencies such as Children and Family Services or the Child Support Enforcement Agency.

Another effort to centralize processing among Cuyahoga County agencies involves a new human resources system, the Systems Application Programming system (SAP). This application will provide county agencies with complete human resource information system functions and will provide standardization of processing human resources and payroll information.

F6.26 PROWARE has installed the JIMS application onto the server at six County agencies in order to connect each with CCJC and JIMS through the WAN. These agencies are able to provide access to JIMS to all necessary users within their agency. The sharing of CCJC's information with other County agencies complies with a county-wide effort to better serve children and families. Prompt data entry is key for JIMS to function effectively.

F6.27 Many Ohio courts are implementing client server systems through PROWARE contracts. PROWARE has provided new case management systems for Hamilton County Juvenile and Domestic Relations Court and Cuyahoga County Domestic Relations Court and is in the process of implementing systems for Cuyahoga County Clerk of Courts, Court of Common Pleas and the Ohio Supreme Court. The purchase of the PROWARE system sets the foundation for the electronic sharing of information not just to county agencies but, to judicial entities throughout the state. Uniformity of judicial case management systems would be beneficial to the implementation of a statewide integrated justice system as recommended by the Ohio Futures Court Commission.

**C6.5** CCJC has selected a system that will keep its technology capabilities consistent with other County agencies and justice entities in the state of Ohio. Also, it supports the efforts and goals for sharing common information among County agencies and justice entities as recommended by the Ohio Futures Court Commission. When complete, the technology will establish an integrated system which can provide information in a timely manner electronically to all justice entities within the state. Selecting a network and hardware system consistent to other entities allows CCJC to keep pace with technological advances made by its statewide peers.

F6.28 CCJC currently has an Intranet in use which is accessible through the LAN. The Intranet is for internal use and gives CCJC staff the ability to access, download and print internal information. Access to the Intranet is generally not provided to individuals external to CCJC such as parents and community members. CCJC's Intranet includes the following information:

- Departmental phone directory
- Personnel forms
- CCJC's Annual report

**R6.14** CCJC should consider expanding the information provided on its Intranet. The Intranet could contain the following additional items:

- Training Schedules
- Strategic plans
- CCJC maps identifying building locations
- CCJC policies and procedures
- Reference materials, such as the ORC
- Technical memos on common software questions or problems
- Standard forms to include, but not limited to, address change requests, training requests and fax cover sheets
- Bulletin boards where CCJC staff can share information on specific topics or projects with other CCJC staff
- E-mail directories
- Internal newsletters

Having information such as telephone and e-mail directories and internal newsletters available in electronic format saves on paper and makes information available in a more timely manner. All staff would have access to information as soon as it was posted. CCJC staff would also be able to work more efficiently because of the increased ability to research and obtain internal information electronically.

F6.29 CCJC has developed an Internet Web site at <http://www.cuyahoga.oh.us/juvenile/index.htm>. The Web site includes the home page, location/services page, annual report and a photo history of CCJC. The Web site provides information to individuals interested in CCJC and includes the following:

- Names of CCJC judges
- The name of the court administrator
- The names, addresses, and phone numbers for CCJC facilities
- Services provided at each CCJC facility
- CCJC's annual report
- Photos related to the history of CCJC

In addition, the Web site also provides a link to the Cuyahoga County Web site. The Web site was developed by the former deputy director of RP&E.

**R6.15** CCJC should expand its Web site to improve the quality and quantity of information available to interested individuals, such as community members, attorneys, other judges in the community, other government agencies and parents. The following are additional items that could be added to CCJC's Web site:

- Answers to frequently asked questions
- Access for attorneys to file complaints and motions on-line
- Case docketing information
- A personnel directory with the phone numbers and e-mail addresses to encourage electronic communication between CCJC and external individuals
- Job opportunities
- Monthly status reports produced by CCJC
- CCJC press releases to the media and summary of recent news media coverage
- CCJC policies and procedures, such as the case flow process
- Procedures on how to request legal assistance for delinquent/unruly children
- Access/links to other child services agencies, such as the Ohio Department of Youth Services and the Ohio Department of Job and Family Services
- Description and notification of CCJC projects for community service and child and public safety

Prior to providing access to case information on-line, CCJC should establish security measures to limit access to authorized persons. For example, once an individual clicks on the filing complaints and motions icon, further access would be authorized using a CCJC provided user name and password.

### *Technology Use and Training*

F6.30 Cuyahoga County owns a master license with both Microsoft and Novell for all county offices. All CCJC employees have access to the Microsoft Office 97 suite of software for word processing, spreadsheet, database, graphics and calendar applications. The Novell operating system supplies CCJC access to the GroupWise e-mail system.

According to IS, these applications are used adequately for the specific job duties of the individual employees. Meanwhile, in 1999, CCJC personnel were encouraged to attend voluntary technical training. However, all employees did not participate in the training sessions and for those who attended need for additional training to reinforce the information. Furthermore, personnel have tailored their computer skills to their job duties within CCJC and lessons that do not pertain to the duties are not retained. Additionally, software applications are accessible to, but not necessarily used by all departments with the exception of human resources applications.

**R6.16** CCJC should require staff to use all technology implemented for CCJC use. Encouraging staff to use all software applications and the case management system would enhance CCJC operations. Currently, staff members are only using applications related to their job duties. If they are not exposed to other applications, they are not aware if CCJC has an application that better meets their job requirements. While CCJC is implementing new technology, staff should not be given the option of whether or not to use the new technology. CCJC should ensure that all staff are properly trained to use the new technology as discussed in **F6.38 and R6.20** and administration should provide clear expectations that new technology is to be used by all staff.

F6.31 JCIS is an antiquated system that operates from the County's IBM mainframe and does not adequately meet the needs of CCJC. It is also limited when providing users with case information. For example, staff cannot track the progress of a case throughout the case flow system, the system does not provide the ability for personnel to track recidivism among various programs, to monitor the effectiveness of programs or to track the status of adjudatory motions. Therefore, obtaining this information has been a manual process, prone to human error and duplication of effort.

Because JCIS is a mainframe application, personnel at CCJC cannot perform all inquiries needed to complete their job duties when maintenance is done to the mainframe. Furthermore, the ability to create new reports is limited by capabilities of the application. For example, when a new report was requested, a programmer had to develop a program instructing JCIS to run the report with the specified information included. Depending on the detail of the report requested, the process has taken up to a week to complete.

F6.32 The JIMS application provides CCJC the ability to generate thorough reports based on information provided in JIMS. JIMS has the ability to track the time it takes a case to flow through CCJC from filing to disposition, as well as providing demographics of individual youth involved with CCJC. Data regarding incidents and visitation occurrences in the detention center are also available in JIMS. Each module implemented in JIMS has multiple functions. The modules included in JIMS will provide CCJC with several case management features including the following:

- Case initiation
- Case scheduling
- Judge/ Magistrate assignment
- Case incident management
- Case appearance docket information
- Case notes
- Case charges and disposition tracking
- Case demographic information
- Detention center information
- Youth services information
- Warrant and capias tracking
- Motion tracking
- Notification tracking
- Case accounting
- Management reporting
- Administrative services
- Security information

Although the various JIMS modules allow CCJC to track and report mandated information for the Ohio Supreme Court and provide information requested by other pertinent entities, the lack of complete training and use court-wide prohibits this from happening. JIMS gives personnel the ability to retrieve more information than with JCIS when the information is entered into the system. However, as of September 2000, data entry of case information was not occurring in a timely fashion which delays CCJC staff from retrieving information. When information is entered into JIMS, CCJC staff is provided with ample information for servicing youth and reporting to county, state and federal authorities. With continued training, and as personnel become more familiar with the system, CCJC should be able to use JIMS to conduct business more efficiently.

**C6.6** The effort expended implementing JIMS has been essential in improving case management operations at CCJC. Because of this effort, CCJC should have immediate access to mandated information and have the capability to create reports for CCJC’s internal monitoring and external reporting requirements. JIMS will eventually allow all personnel to develop and complete reports without relying on the research unit to develop and deliver the reports.

**R6.17** CCJC should consider implementing practices to ensure case information is entered into JIMS in an accurate and timely manner. By limiting the methods of documenting case information, CCJC staff should be encouraged to document case information directly into JIMS. An option CCJC should consider is eliminating courtroom forms on which case information is recorded to process journal entries. Encouraging courtroom staff to enter case information into the case management system as soon as possible will expedite the availability of case data for CCJC departments and other agencies. The result should be an improved level of services provided to the children of Cuyahoga County.

F6.33 PROWARE provides separate modules for the probation and the detention departments. However, due to financial constraints, CCJC did not include a probation system in the contract. Some of the features included in the probation module include the following:

- Officer assignments
- Contact tracking
- Special programs
- Intervention unit
- Work detail
- Electronic monitoring
- Visitation tracking

For additional discussion of probation technology, please see **R4.35** in the **probation** section of this report.

F6.34 PROWARE also markets other modules which are specifically designed for case management applications in juvenile courts and which were not included in CCJC’s original contract with PROWARE. These applications include the following:



- Court officer assignment
- Attorney management
- Imaging
- Internet/Intranet
- File folder tracking
- Photo identification
- Exhibit tracking
- Fingerprint integration

HCJC has implemented a feature which allows judges and magistrates to complete journal entries on the computer with a word processing application. When the document is saved, the entry is journalized as an official document of the court. This process allows court staff and other agencies with access to HCJC's case management system to have real time access to court documents.

Hamilton County Domestic Relations Court has implemented a folder tracking system based on a UPC bar code format which allows monitoring the location of case files at any given time. The application also allows staff with authorized access to view the case information and add information to the case on the computer when a bar code is scanned. Additionally, the court sells \$25 diskettes to attorneys containing court forms which customize all court paper work in preparation for computerized files.

**R6.18** CCJC should assess the benefits of potentially implementing additional modules from PROWARE through the technology steering committee (see **R6.6**). Specific consideration should be given to the probation module, document imaging, and the folder tracking system for JIMS to achieve the maximum functionality. The features listed above would further assist in the completion of court operations. If CCJC modeled HCJC and saved word processing forms in JIMS, this would reduce the time involved for court documents to be available for staff and agencies with JIMS access. Additionally, developing standardized word processing forms in JIMS for agencies involved with CCJC would allow electronic transmission and the possible reduction of costs related to document imaging. For example, developing a complaint form in JIMS would allow attorneys to complete these documents in the system for the approval of the clerk's office. The complaint would be saved in the system as part of the computerized case file. Additionally, implementation of file folder tracking similar to the Hamilton County Domestic Relation Court's system would assist CCJC staff in effectively maintaining their files and keeping case information current. Implementing a file folder tracking system also would give the clerk's office the ability to electronically monitor who has a case file and determine the day it was given to them.

*Financial implications:* CCJC estimates the document imaging software to cost \$40,000 and the bar coding software for folder tracking to cost \$15,000. Equipment costs for these applications would be an additional \$5,000 and \$600 respectfully.

- F6.35 The Human Resources department at CCJC currently uses KRONOS for the detention center timekeeping and a WANG human resources information system which records basic human resource data for CCJC. The two systems are not integrated and they are not functioning to meet the needs of the human resources department. PROWARE is working with CCJC to develop a new temporary human resources management system. This temporary system will be phased out when CCJC is integrated into the County's SAP system. Further discussion of human resources technology can be found in the **human resources** section of this report.
- F6.36 Probation officers spend a lot of time waiting at CCJC when required to be in court. During the time probation officers wait for the hearings to begin, they can rarely do any work. They are not equipped with personal laptops and do not have access to courtroom computers. This causes the probation officer to be unproductive for hours while waiting for court hearings to begin as discussed in the **probation** section of this report.
- R6.19** Since probation officers spend a lot of time waiting for court hearings for youth, they should be able to work while they wait for a court hearing to begin. CCJC should consider the following options for improving probation officers' productivity while waiting in court:

*Option A*

Probation officers should make use of the computer lab on the third floor of the Annex. There are nine computer workstations equipped with access to the LAN and WAN for probation officers to complete paperwork. The benefit of making space available to probation officers while they wait for court hearings to begin is a reduction of idle time. The time that can be saved could be used to help probation officers better manage their caseloads. When it is time for them to enter the courtroom, they could be paged.

*Option B*

When probation officers do not need to access the LAN or WAN, the use of a laptop computer would reduce probation officers idle time while waiting for court hearings. The benefits of giving probation officers laptop computers are improvements in the probation officer's time management and case documentation, a reduction in the amount of time probation officers spend in the office, and an increase in the amount of time they spend in the community.

*Financial Implications:* See **probation** section for financial implications for purchasing laptop computers for probation officers.

F6.37 PROWARE included the cost for a “train the trainer” session for five CCJC personnel within the original contract. The session was conducted to train CCJC personnel on JIMS so that they, in turn, could train other CCJC personnel. JIMS training took place from January through May 2000 and approximately 250 staff members were trained.

F6.38 There is no central staff training program used to increase the technical skills of CCJC personnel, and technical training is not mandatory. Sessions are contracted with outside organizations periodically to provide technical training on software applications to interested personnel. CCJC attempts to advance technology without requiring personnel to attend the appropriate training sessions. This inconsistent training policy may hinder a smooth transition to use new technology.

JIMS is a menu-driven system which provides personnel with access to information that was not available with JCIS. However, as of July 2000, only half of CCJC staff members received training for JIMS which was activated on July 24, 2000. User manuals were given to staff and a few employees were trained to assist others in each department. Ongoing JIMS training will be provided to personnel for both introductory and task specific training sessions as needed throughout CCJC. However, CCJC does not have a registration tracking procedure or a centralized database to keep formal training records and identify who has attended technical training.

If CCJC personnel are not sufficiently trained, they may not know how to use JIMS to assist in completing their job duties. Personnel using JIMS to complete job related tasks who have not received the appropriate training, may experience delays in completing those tasks.

As of November 2000, CCJC had the support of PROWARE, CCISC and ComSys personnel to assist with problems that arise during the implementation of JIMS. If staff are not using JIMS effectively during this troubleshooting period, additional concerns may arise when all CCJC staff are using the system.

**R6.20** CCJC should assign resources to develop a central staff training program for technology. Training is critical to the effective use of technology within CCJC. CCJC has purchased 500 new computers and implemented a new case management system which differs greatly from its old system. Inadequate training of personnel could cause such technology to go unused which would have an adverse effect on the quality of CCJC operations. In developing a central staff training program, CCJC should consider the following:

- Develop a central database to track and monitor training information
- Target personnel who are not attending training
- Monitor the amount of technical training each individual is receiving on an annual basis
- Obtain feedback on the training sessions

- Evaluate the effectiveness of training courses
- Structure course materials and agenda for future training sessions based on individual needs
- List courses on the Intranet (see **R6.14**) and eliminate hard copy schedules
- Make basic technical training mandatory
- Arrange training for staff based on an evaluation of individual technical skills

F6.39 Although some IS personnel have extensive experience, no one is A+ or N+ certified for technical repair or software assistance as discussed in **F6.19** of this report which could result in warranty violations if repairs are done inaccurately. IS staff are not required to have any technical certification and have not attended the appropriate training courses for certification. Technical personnel require frequent training to stay current on the latest technology implemented in CCJC. Without adequate training IS staff may not be able to solve network, hardware and software problems.

A+ training and certification were developed by the technology industry leaders to provide a formal certification process for computer repair technicians and help desk personnel. Some topics covered in A+ training are:

- PC troubleshooting
- Printer management
- DOS memory management and optimization
- Corrective maintenance and repair
- Preventive maintenance
- Network infrastructures and Internet basics

As a follow up to A+ certification, the technology industry has developed N+ or network + training and certification. N+ training was designed to expand on network infrastructure training. Topics covered in the N+ training include:

- Basic networking technology
- Physical layer
- Data link layer
- Network layer
- Transport layer
- TCP/IP fundamentals
- TCP/IP suite utilities
- Remote connectivity
- Implementing the installation of the network
- Administering the Change Control System
- Maintaining and supporting the network
- Identifying, assessing, and responding to problems
- Troubleshooting the network

**R6.21** CCJC should consider having IS staff obtain A+ and N+ certification. Staff providing technical support should have the appropriate training and certification to provide the level of support required by CCJC's technical systems. Also, the training would be helpful when technicians are at regional sites because they would be more knowledgeable of the computer software, hardware, and network systems.

*Financial Implications:* Staff could participate in both A+ and N+ training through Magellan University on-line courses for \$950 per individual. To provide the four computer staff members A+ training would cost \$3,800. N+ training for the network manager and field engineer would cost \$1,900.

## Financial Implications Summary

The following chart represents a summary of the implementation costs, cost savings, and revenue enhancements discussed in this section. For purposes of this table, only recommendations with quantifiable financial impacts are included.

<b>Recommendations</b>	<b>Estimated Cost Savings (Annual)</b>	<b>Estimated Implementation Cost (One-time)</b>	<b>Estimated Implementation Costs (Annual)</b>
<b>R6.1 Hiring a deputy director of technology</b>			\$74,300
<b>R6.2 Hiring staff for IS vacancies and eliminating the excessive contracted hours</b>	\$84,800		\$240,000
<b>R6.10 Centralizing help desk services and purchase help desk software.</b>		\$4,500	
<b>R6.18 Purchasing software and equipment for document imaging and bar coding</b>		\$60,600	
<b>R6.21 Provide A+ and N+ certification training for IS staff</b>			\$5,700
<b>Total</b>	<b>\$84,800</b>	<b>\$65,100</b>	<b>\$320,000</b>

## **Conclusion Statement**

CCJC has made significant strides to improve technical capabilities with CCJC information. The implementation of JIMS and the purchase of new computers has improved CCJC's case management process ability and allows other agencies to access information to better serve the children of Cuyahoga County. Implementing a computer use policy assists CCJC in clarifying expectations to computer users regarding the use of CCJC technology. CCJC's collaboration with CCISC regarding equipment warranties, software licenses, and the purchase of technology helps to ensure compliance with state law and serves as a means for ensuring compatibility with other County agencies. Additionally, the installation of the client server system has positioned CCJC for compatibility among judicial entities.

CCJC should take interest in CCJC technology by increasing technology funds through grants. Increasing technical funding would allow CCJC to provide training to staff, purchase additional modules for JIMS, and purchase equipment such as laptops for the probation department, and help desk software to provide a higher quality of service to CCJC clientele. In order to maximize use of additional technology funding, CCJC should develop a committee to monitor and implement technology and develop technical standards for CCJC. The committee would be instrumental in developing documentation for the technical infrastructure, establishing policies on the use of technology and phasing out redundant paperwork.

CCJC implements technology in the absence of a comprehensive long-term strategic technology plan. CCJC has not identified long-term technology objectives and how technical personnel, funding and resources will help CCJC achieve these long-term objectives. A long-term strategic technology plan would outline necessary steps for implementing additional enhancements to JIMS such as the probation module, document imaging, and bar coding features to assist CCJC in carrying out operations more efficiently and effectively.

Developing a formal technology department with clear reporting lines to manage and implement CCJC technology would also be beneficial to CCJC operations. The department should consist of IS staff who are certified to perform necessary repairs in addition to providing and encouraging CCJC computer users to develop comprehensive knowledge of CCJC technology through continuous computer training. Inconsistent training expectations hamper use of new technology. Provision of proper training to CCJC computer users will help to ensure all technology is used effectively.

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# Food and Custodial Services of the Detention Services Department

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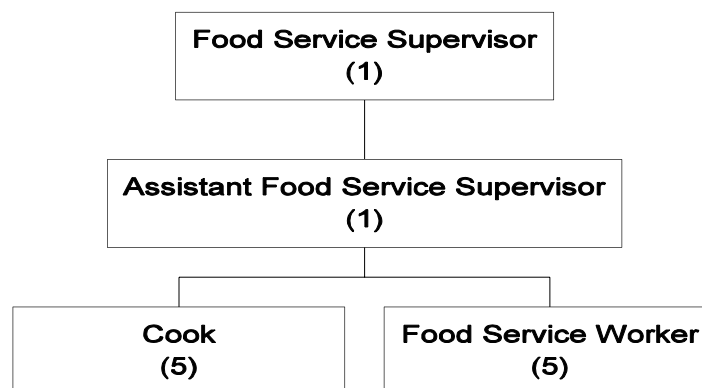
## Background

This section conducts a performance review of the food and custodial services of the detention services department at the Cuyahoga County Juvenile Court (CCJC or the Court). Comparisons are made throughout the report to the peer juvenile courts of Franklin (FCJC), Hamilton (HCJC) and Lucas (LCJC) counties to illustrate various organizational, fiscal and operational issues. In addition, CCJC and LCJC operate in-house food service operations while FCJC and HCJC contract out all food service operations to a private vendor.

### *Organizational Charts*

Food services comprises a total of 12.0 full time equivalents/employees (FTEs) and custodial services comprises 10.0 FTEs. Both divisions report to the assistant superintendent and superintendent of detention services. The food and custodial service functions of the CCJC detention services department are shown in the following charts (**Chart 7-1** and **Chart 7-2**) to illustrate the organizational structure and the actual number of FTEs providing these services as of July 31, 2000.

**Chart 7-1: Food Services**



**Chart 7-2: Custodial Services***Organization and Departmental Functions*

The detention services department consists of three major programs: secure detention, shelter care and home detention. The secure detention is adjacent to the main court building. It is an 87-bed facility that houses juveniles awaiting court hearings. The detention center has seven units where juveniles are placed according to gender, age and aggressive tendencies. Shelter care contracts out beds to three separate facilities for juveniles awaiting court hearings, assessments and residential placements, which has reduced from 180 to 130 contracted beds throughout Fiscal Year (FY) 2000. Home detention typically consists of approximately 240 juveniles, some of whom are supervised using electronic monitoring. The detention services department is currently overseeing about 500 juveniles throughout the system.

The detention services department is headed by a superintendent and four assistant superintendents. As of July 31, 2000, the department had a staff of 193 total FTEs. Of that number, 12 FTE staff members are responsible for food services within the detention center and ten FTE employees are charged with the custodial responsibilities.

The food services division is responsible for many activities related to food preparation/service including the following:

- Receiving and unloading deliveries at the dock
- Storing and distributing food
- Documenting all food and storage
- Preparing and serving food
- Cleaning dishes, utensils and the kitchen area including the food preparation equipment, counters and floor

The custodial division is responsible for three basic job functions with regard to its detention center facilities including:

- Ordering resident supplies, cleaning supplies and equipment
- Performing basic cleaning activities
- Performing limited laundry service

Cuyahoga County's Department of Central Services is responsible for the maintenance of Juvenile Court facilities including the detention center. This includes maintaining the grounds, responding to work orders (e.g., building and some equipment repair) and removing snow during the winter months for the Juvenile Court and detention center facilities. It also includes any trades-related activities like carpentry, painting, plumbing and electrical. Repairs falling outside the areas of expertise of the County's central services are generally assigned to the party that initially installed the equipment. Central services is also responsible for cleaning activities in other buildings housing CCJC staff and activities. There is a space maintenance line item in the CCJC budget that covers these types of activities which are charged-back to CCJC by the County.

### *Summary of Operations*

The food service division of the detention services department provides residents and various staff members with a hot meal at breakfast, lunch and dinner and an evening snack which is served cold. Although the evening snack (usually a sandwich and milk) is prepared by the food service staff, it is given to residents of respective units by direct care staff.

Meals are served in the dining room "cafeteria style" with residents and staff taking trays through the food service line. With the exception of special (medically or religiously prescribed) diets, there is one menu for staff and juveniles. Breakfast is served from 6:15 a.m. - 8:45 a.m., lunch from 11:30 a.m. - 1:15 p.m., dinner from 4:30 p.m. - 6:15 p.m., and a snack at 8:00 p.m.

Food services staff clean the kitchen area including equipment, counter and food preparation areas, utensils, dishes and trays. The dining room floor is cleaned by custodial staff. Some cleaning activities that border on maintenance activities are to be done by the County's central services. Food service staff is also responsible for receiving deliveries at the dock and unloading them from the delivery truck, storing and distributing food and documenting all food and storage.

The CCJC detention center custodial staff maintains detention center facilities including the center's administrative offices which are housed in the detention center. Through the storekeeper function, the division purchases resident supplies, toiletries, cleaning supplies and equipment. These items are kept in a storeroom that is monitored or staffed by a storekeeper who makes regular deliveries to each unit's storerooms.

The custodial division also performs basic cleaning including sweeping and mopping of hallways, emptying wastebaskets, vacuuming offices, cleaning and disinfecting restrooms, waxing and buffing floors and performing other cleaning duties and responsibilities, as assigned, for the detention center common areas and offices. Staff does limited cleaning of resident units. General clean up of resident units is handled by the juveniles, as outlined in CCJC's detention center policy manual and the resident handbook. There are seven employees who take care of the basic cleaning activities. These employees are assigned to floors by the custodial worker supervisor and are responsible for all cleaning duties on those floors.

The custodial divisions' in-house laundry facility cleans t-shirts, gym shorts and pajamas. There is one laundry worker performing these duties. In case of shortages in sheets, towels, youth uniforms, socks and shoes cleaned by the outside contractor, the laundry staff maintains a backup supply and will clean a sufficient supply until more are available through the contractor. Although CCJC's detention center purchases uniforms for some employees (e.g., detention officers), the employees are responsible for cleaning their own uniforms.

### *Financial Data*

The food service provided at the detention center receives funding under the National School Breakfast and Lunch program. In 1999, the total cost of meals served at CCJC's detention center was \$619,800. Of this amount, CCJC receives minimal reimbursements for breakfast, lunch and milk from the federal government, which totaled \$171,700 in 1999. Since federal funding is insufficient to cover the cost of food, labor and overhead for three meals and a snack provided for residents, the County general fund provides the balance of meal costs. The food services supervisor estimates that the division spends \$20,000 per month on raw food costs.

In addition to providing meals for resident juveniles, the food services division provides two meals on weekends for children in CCJC's day treatment programs. According to the food service supervisor and assistant superintendent, the detention center receives about \$2.50 per meal from the County which was set up to cover food and salaries. Based on the number of meals provided for the day treatment program participants in 1998 and 1999, CCJC received approximately \$26,770 and \$25,758 from the County, respectively.

The food service division participates in the United States Department of Agriculture's (USDA) surplus commodity program. This program provides a dollar value or entitlement which may be applied toward commodities stocked by the USDA through the government donated food entitlement program. The detention center is required to pay for processing and shipping charges. A list or inventory of stock is available from which the division and other eligible entities may select and apply its entitlement. This entitlement is based on the number of reimbursable lunches served during the prior year. In the FY 1998-99, the detention center qualified for and spent \$6,896 on commodity items. For FY 1999-2000, CCJC detention center qualified for \$7,416 in USDA entitlements.

*Performance Measures*

The following is a list of performance measures and analyses that were used to review the food and custodial divisions of the detention services department:

- Assessment of each division's organizational structure
- Assessment of the adequacy of each division's staffing levels
- Examine, compare and contrast peer courts' food and custodial services with CCJC's
- Examine option of contracting food and custodial services

## Findings / Commendations / Recommendations

### Food Services

F7.1 **Table 7-1** indicates the staffing levels for various positions of the food services division as of July 31, 2000.

**Table 7-1: Detention Services Food Service Staffing**

Classification	Total	FTEs
Superintendent	1	0.25
Assistant Superintendent	1	0.15
<b>Total Administration</b>	<b>2</b>	<b>0.40</b>
Food Service Supervisor and Assistant Supervisor	2	2.00
Cook	5	5.00
Food Service Worker	5	5.00
<b>Total Food Service</b>	<b>12</b>	<b>12.00</b>
<b>Total</b>	<b>14</b>	<b>12.40</b>

**Source:** Superintendent, Assistant Superintendent and Food Service Supervisor

As indicated by **Table 7-1**, the food services division of the detention services department has 12 full-time employees including a supervisor, assistant supervisor, 5 cooks/chefs and 5 food service workers. Food services has been staffed at 12 FTE positions since September 1995, including the supervisor and assistant supervisor positions. In addition, the superintendent and assistant superintendent attribute a total of approximately 0.4 FTEs to supervising the food services division. Food service workers and cooks are currently under consideration for participation in a union, which is negotiating a bargaining agreement.

F7.2 The responsibilities of the food service workers and cooks include the following:

- Receiving and unloading deliveries at the dock
- Storing and distributing food
- Documenting all food and storage
- Preparing and serving food
- Cleaning dishes, utensils, and the kitchen area including the food preparation equipment, counters and floor.
- Applying heat to the food, which is the cook's responsibility

The food service workers and cooks perform essentially the same activities, with the exception of the cooks being responsible for applying heat to the food. The food service workers function as the cooks' assistants. According to the food services supervisor, the staff functions as a team and is cross-trained in all food service areas (with the exception of food service workers being trained to do a cook's job). The staff members understand their roles and perform their duties accordingly. There are no pre-assigned duties such as dishwasher.

**C7.1** Since the staff is cross trained in all food service areas, "down time" due to employee absences is reduced to a minimum. This leads to increased efficiency in the functioning of the division. Upon completion of a task, any staff member can go on to the next task without the need for constant supervision and direction.

F7.3 In addition to overseeing the daily activities of food service staff, the supervisor and assistant supervisor are responsible for filling out a state participation report for the amount of milk and the number of breakfasts and lunches served. Additionally, the supervisor is responsible for meal planning. Some cross-training has occurred within the division, but the need for this has decreased as the use of ready-prepared foods has increased. The assistant supervisor serves as a backup for the cooks and for the supervisor. Furthermore, both the supervisor and assistant supervisor conduct the employee evaluations.

**C7.2** Although ultimate authority for hiring, firing and promoting rests with the court administrator, both the assistant supervisor and supervisor have input in the process. The lines of authority seem clear and appropriate as the assistant supervisor reports to the supervisor; the supervisor reports to the assistant superintendent; and the assistant superintendent reports to the superintendent. These lines of authority benefit management and staff employees by clearly dictating who is responsible for conducting employee evaluations and who the employees need to contact to address pertinent questions and concerns.

F7.4 The food services staff is responsible for receiving deliveries at the dock and unloading them from the delivery truck; storing and distributing food; and documenting all food and storage. The senior storekeeper within CCJC and the storekeeper in the detention center also perform various storage and inventory activities, such as receiving, unloading, distributing and documenting inventory and supplies. In addition, these activities require these two positions to spend a certain amount of time at the loading dock area.

Because of the timing and number of deliveries during the week, the receiving, unloading, storing, distributing and documenting can be a time-consuming process for the food services staff. At the present time, the staff is "at the mercy" of the delivery driver as to delivery time. The only restriction placed on delivery is that it be made before 1:00 p.m. It is realistic that

one staff member could be called out to handle deliveries throughout breakfast and lunch hours given that delivery of produce is one to two times per week, dairy two to three times per week, breads three times per week and dry goods one to three times per week.

**R7.1** The detention center should consider the feasibility of assigning the food service deliveries to the senior storekeeper within the juvenile court or the storekeeper in the detention center. Since the major job responsibilities of these positions include storage and inventory activities, they may be better suited to handle the storage and inventory activities related to food services. Food service workers should assist with the deliveries when necessary (e.g., for heavier deliveries). By training one of these employees on food storage, safety and documentation, the senior storekeeper at CCJC or the detention center's storekeeper could adequately handle food service deliveries. This could result in a substantial increase in the amount of time formerly spent traveling to and from the loading dock that could be allocated for activities more suited for the expertise of the food service division. However, if the detention center determines that this is not a feasible option, it should consider assigning one food service worker this specific job function, considering the staffing levels at CCJC compared to the peer courts (see **F7.8** and **F7.9**).

In addition, the detention center should attempt to place more strict time constraints on the delivery of food products. A delivery schedule should be developed with the entity responsible for these deliveries to ensure that food products are delivered in a timely manner. A delivery schedule should help to ensure that this job function is completed in a more effective and efficient manner.

**F7.5** There are two shifts for food service division employees. Three people are assigned to work the 5:30 a.m.-1:30 p.m. shift. The second shift overlaps the first shift in order to provide adequate staff coverage (five people, plus supervisors) for the increased number of people served during lunch. There are two employees assigned to the 10:30 a.m.-6:30 p.m. shift. The work week for food service staff consists of five (8-hour) days. Employees should receive two 15-minute breaks and one-half hour lunch within the eight-hour day. However, due to the nature of the service provided and levels of staffing, it is difficult for the staff to maintain a standard break and lunch schedule. This could potentially increase the likelihood of employees working through breaks and lunch.

Food service operates seven days per week. Weekend coverage is the same as weekday, with the exception of the early shift starting at 6:30 p.m. and ending at 2:30 p.m. Although employees rotate weekends, their shift usually stays the same. The supervisor and assistant supervisor generally start work at 5:00 a.m. and leave work between 2:00 p.m. and 4:00 p.m., depending on the number of staff and any crises that may need to be addressed. The division has commonly used overtime to provide the number of staff needed to operate seven days per week.



F7.6 From January 1, 2000 through July 15, 2000, the division averaged 71 overtime hours or \$1,205 in overtime costs per pay period. The use of overtime can be partially attributed to a vacancy in the cook position which was subsequently filled and the division's relatively high employee turnover rate (see **F7.7**). The cooks averaged 25.1 overtime hours per pay period and food service workers averaged 22 overtime hours. In addition, the supervisor and assistant supervisor received an average of \$496 and \$49 per pay period, respectively, in paid overtime compensation. The detention center does have a policy governing the use of overtime. The policy "prohibits any employee from working more than 16 hours of overtime in any week without prior approval from the superintendent." In addition, it appears that CCJC food services division is adequately staffed as compared to the peers(see **F7.8** and **F7.9**).

**R7.2** The detention center should ensure that overtime use is kept to a minimum. Eliminating hot breakfasts on the weekends (see **R7.6**), implementing pay-for-performance evaluations to lower the turnover rate (see **R7.3**) and transferring food service deliveries (see **R7.1**) should reduce the use of overtime. In addition, the detention center should consider developing more stringent policies/rules governing overtime, such as prohibiting employees from working over a certain amount of hours (e.g. 20 hours) in a given pay period.

F7.7 According to the food services division and detention center, the division has experienced difficulty in maintaining a full staff, which is attributed to low unemployment and the inability of the detention center to match or exceed competing organizations' wages. Employees classified in the food service worker position stay with the detention center for an average of one year. The cooks turnover rate averages two to three years. Although the employees receive a cost of living increase, they have not received merit raises in the detention center for the last five years. This seems to be a contributing factor to employees leaving. The inability to attract new employees has created a situation which, according to the supervisor, five employees have been unable to take a vacation for the past 2 years. Two of the five cooks had an available balance of vacation time of 169 to 262 hours. The food service supervisor has accumulated over 400 hours of vacation. Only one employee classified in the food service worker position has been with the division for more than one year. This food service worker had 229 hours of vacation available as of the July 15, 2000 pay period.

**R7.3** The food services division and detention center should take the appropriate measures to deal with the problem of high employee turnover. The detention center should consider compiling information obtained from exit interviews to create periodic management reports indicating reasons for employee turnover. In addition, the human resources department at CCJC should be more involved in the recruitment of new employees and obtain essential information from employee exit interviews to determine reasons for high employee turnover.

For more information on the exit interview process and overall human resource issues, see the **human resources** section of this report.

F7.8 **Table 7-2** indicates staffing levels for food services at CCJC and peer courts. Staffing levels at FCJC and HCJC indicate employees working for the contracted private vendor.

**Table 7-2: Food Services Budgeted Staff (FTEs)**

	CCJC	FCJC <sup>1</sup>	HCJC <sup>1</sup>	LCJC	Peer Average
<b>Food Service Workers/Cooks</b>	10.0	5.0 <sup>2</sup>	7.0 <sup>2</sup>	4.0	6.5
<b>Assistant Supervisor/Supervisor</b>	2.0	1.0	1.0	1.0	1.3
<b>Total</b>	12.0	6.0	8.0	5.0	7.8

Source: CCJC and peer detention centers

<sup>1</sup> FCJC and HCJC contract all Detention Center food services

<sup>2</sup> Perform food preparation and service deliveries (inventory activities)

As indicated by **Table 7-2**, CCJC has the highest number of FTEs in the food services function. It is important to note that FCJC and HCJC have a contract with a private vendor to provide food services for the related detention center.

F7.9 **Table 7-3** presents staffing levels based upon the number of meals served and costs related to providing these meals at CCJC and the peer courts. It is important to note that the peers do not count snacks separately and include the cost of providing snacks into the total cost per meal. To ensure an adequate comparison with the peers, CCJC's total cost per meal was adjusted to include the cost of providing and serving snacks. In addition, the total number of snacks served at CCJC were not included in the total number of meals served.

**Table 7-3: Meals Served in 1999**

	CCJC	FCJC <sup>2</sup>	HCJC <sup>2</sup>	LCJC	Peer Average <sup>4</sup>
<b>Total # FTEs</b>	12.0	6.0	8.0	5.0	6.3
<b>Total Meals Served</b>	201,166	134,352 <sup>3</sup>	241,238	143,716	173,102
<b>Number of Meals Served per staff member</b>	16,764	22,392	30,155	28,743	27,097
<b>1999 total cost per meal</b>	\$3.08 <sup>1</sup>	\$2.48	\$2.18	\$2.95	2.54
<b>1999 Total Costs</b>	\$620,000	\$333,000 <sup>3</sup>	\$526,000	\$424,000	\$428,000

**Source:** CCJC and peer detention centers

<sup>1</sup> Adjusted to account for costs associated with serving snacks.

<sup>2</sup> FCJC and HCJC contract all Detention Center food services.

<sup>3</sup> Since the private vendor began operations on April 15, 1999, the total meals served is projected for the entire year based on the total meals served after April 15, 1999 and the 1999 total costs is projected for the entire year based on the 1999 cost per meal.

<sup>4</sup> Peer Average does not include CCJC.

As indicated by **Table 7-3**, the food services division at CCJC has the highest cost per meal in 1999 in comparison to the peers. Furthermore, CCJC served the lowest number of meals per staff member in 1999 in comparison to the peers. Again, it is important to note that FCJC and HCJC have contracted with a private vendor for the purposes of providing food services at their detention centers and both have lower costs per meal as compared to CCJC and LCJC.

**R7.4** The detention center at CCJC should assess the staffing levels in relation to the duties and tasks performed within the food services department. Considering the staffing comparisons with the peer courts, the food services division could potentially reduce three positions in food services. However, reducing three FTE positions could adversely impact overtime use, which the division is currently not adequately controlling (see **F7.6**). Taking this into account, it would be more feasible for the division to reduce one FTE position. Furthermore, additional staffing reductions could be more feasible in the future after the division has effectively controlled the use of overtime and if the detention center reassigns a portion of the food services duties recommended in **R7.1**.

*Financial Implication:* By reducing one food service worker position, the detention center could save approximately \$23,800 annually in salary and benefits costs.

F7.10 Food service has purchased bulk food through the County's office of procurement and diversity's purchasing division for 10 years. According to the supervisor, this accounts for about 80 percent of the division's purchases. Items include most dairy products (milk, eggs, butter, cheese), canned fruit and vegetables, rice and fresh fruit. Three months in advance, the food service supervisor sends monthly requests for bids to the county procurement office.

County procurement sends the bids to the food service supervisor, who accepts or rejects the bid for each item. The food service supervisor also purchases bulk food through brokers and maintains a list of vendors for other purchases. The food service supervisor offers brokers a specified amount for items including pizza, pizza crust, cereal, cookies, bacon and some meat products. However, the brokers may accept or reject the dollar amount offered by the supervisor depending on the brokers' level of overstock for each item. According to the food services supervisor, the County and food services division contact each other when a new vendor has been identified. However, the detention center does not have formal written procedures to ensure that the food services vendor list is current and comprehensive.

**R7.5** To further ensure that the lowest prices are obtained for purchases while not compromising the quality of the food, CCJC's detention center should establish formal written procedures that ensure its vendor list is current and comprehensive. This objective can be accomplished by ensuring that quotes are sought or obtained from new vendors for all service, equipment and supplies. The vendor list should be reviewed by the superintendent and new vendors sought annually. This will help ensure that the CCJC detention center is obtaining products and services at the lowest possible cost.

F7.11 Residents receive a hot meal at breakfast, lunch and dinner. According to the Detention Center Policy and Procedure Manual, the detention center food service staff is only required to provide two hot meals per day (the other one can be cold). This policy is consistent with American Correctional Association (ACA) standards that also requires two hot meals be served daily. Despite these standards, participation in the federal school breakfast and lunch program does not require a hot breakfast meal to be served on the weekdays to qualify for reimbursement. The federal school and lunch program's prerequisite for reimbursement is that the meals must fulfill the daily nutrition and protein requirements for youths. The food service supervisor estimated needing one less staff person to prepare and serve a cold (continental) breakfast.

**R7.6** The detention center should consider eliminating hot breakfast on weekends. Switching to continental breakfast on weekends would reduce the number of employee hours by 16 hours per week or 832 hours per year and potentially reduce the excessive use of overtime (see **F7.6**) throughout the division. Additionally, the detention center should take appropriate measures to ensure that the behavioral implications associated with serving a continental breakfast as opposed to a hot breakfast are minimal. After the behavioral implications have been adequately assessed and if it is determined that there is little to no behavioral implication associated with serving continental breakfasts, the detention center should consider altering the meal structure to serving two hot meals per day as opposed to three considering that continental breakfasts are reimbursed and require less staff to prepare and serve. Furthermore, the detention center should ensure prior to altering the meal structure and serving continental breakfast that these meals meet all of the nutritional requirements.

If the detention center switched to serving continental breakfasts on the weekends, a cook or food service worker could be removed from the weekend shift. If the division removed a food service worker from the weekend breakfast shift, the division could save approximately \$7,300 per year in regular labor costs assuming an average food service worker's wage of \$8.80 per hour. If a cook was removed from the breakfast shift, this would result in an approximate savings in regular labor costs of \$9,400 per year assuming an average cook's wage of \$11.26 per hour.

*Financial Implication:* Assuming that the food services division removes a food service worker from the weekend shift, CCJC could save approximately \$7,300 annually in regular labor costs by eliminating hot breakfast on weekends.

F7.12 In 1999, the food services division staff prepared and served a daily average of 165 breakfasts, 200 lunches, 186 dinners and 175 snacks to an average daily population of 141.2 juveniles, in addition to serving detention center staff. The juvenile detention center's youth population in a given day had an annual high occupancy rate of 177 in 1998, 179 in 1999, and 178 in 2000 (as of May 2000). The lowest juvenile occupancy rate on a given day for the past three years was 84 in 1998, 100 in 1999 and 114 in 2000 (as of May 2000). The variation in meals served in a given day can be accounted for primarily by the number of detention center staff members eating at a given meal.

In order to provide a more orderly experience in the dining room, it has been the practice of the detention center to provide meals to "necessary" or "essential" staff who stay with the youths during their meals. There are two detention center policies that address this issue, in general terms. One policy states that meal service supervision shall be provided by direct service and other staff (Policy No.10.2, F 4). The other policy states that security supervision should be provided at a level determined appropriate by the shift supervisor (Policy 10.2, G 3). There are also policies with regard to staff monitoring and controlling resident movement within the detention center and the number of staff needed in a group setting (playground security, policy number 9.13, III A). There is no policy defining the number of staff needed to supervise during meals.

In practice, "necessary" or "essential" staff has also included other staff that are required to stay on-site throughout their eight-hour shift. However, there is no clear policy or procedure for defining necessary staff. As a result, any staff member is able to eat at no charge in the resident dining room. This practice makes cost-effective meal planning difficult.

**R7.7** The detention center should establish a policy that dictates the minimum number of staff necessary to supervise residents during meals (e.g., five are required for two units on the playground) and which categories of staff are required to supervise staff (e.g., detention officers and activity staff). This policy should be modeled after the existing policy for playground security.

In addition, the detention center should establish a policy that allows for greater efficiency in the provision of food service for residents, while allowing for an orderly dining experience. This policy should explain which employees are to be provided with a meal at no cost. Furthermore, the detention center should consider including in the policy a procedure that requires staff to submit a meal ticket and/or weekly schedule in advance to the food service division. This policy is utilized by the detention center at HCJC. This would allow the division to order and prepare an adequate, but not excessive amount of food and determine which staff are permitted to eat at no cost in the detention center.

F7.13 In addition to providing meals for resident youths, the food services division also provides two meals on weekdays for children in juvenile court day treatment programs. Program staff pick up the meals and serve them to program participants at a location outside the detention center. This program was established through an agreement with CCJC. According to the food service supervisor and assistant superintendent, the detention center receives about \$2.50 per meal from the Court, which is intended to cover food and salaries. Based on the number of meals provided for day program participants in 1998 and 1999, the CCJC received approximately \$26,770 and \$25,758, respectively. **Table 7-4** indicates the total cost of providing these meals to program participants, which was \$28,376 and \$27,406 in 1998 and 1999, respectively.

**Table 7-4: Day Program Meal Costs**

	1998	1999
<b>Breakdown of Cost per Meal</b>		
Labor cost	\$1.21	\$1.12
Benefits cost	0.20	0.39
Raw food	0.83	0.78
Non-food supplies	0.08	0.07
Purchased services	0.33	0.30
Total cost per meal	\$2.65	\$2.66
<b>1998 &amp; 1999 Annual Cost</b>		
# of Day Program Meals	10,708	10,303
Total Annual Cost	\$28,376	\$27,406

Source: Food Services Division at CCJC

**R7.8** The detention center should increase the amount billed to CCJC to accurately reflect the total cost of meals for the day treatment program. In addition, the detention center should consistently monitor and track the cost of these meals and the amount charged for the program should be updated annually to reflect the cost per meal of the prior year.

The CCJC detention center could potentially increase revenues by approximately \$1,600 annually by increasing the charge to the court to accurately reflect the cost of the meals provided to the day treatment program participants. The estimated increase is based on the number of meals served to participants in 1998 and 1999. However, unless the reimbursements received from this program are ultimately from another source beyond the County's general fund, this financial implication is essentially an exchange of funds between the detention center and the Court.

F7.14 The CCJC detention center received reimbursements of \$171,654 in 1999 from the National School Breakfast and Lunch program. However, based upon the reimbursement rates and number of meals served in 1999, the detention center should have qualified for approximately \$173,300 in reimbursements. The discrepancy in the amount of reimbursements can be potentially attributed to tracking and maintaining meal counts manually. The food service supervisor and assistant supervisor complete daily reports indicating the number of juvenile, staff and day program meals served. This documentation is necessary for participation in the breakfast and lunch program and also allows for an assessment of the cost to provide meals to staff.

In addition, the food services division participates in the United States Department of Agriculture's (USDA) surplus commodity program. This program provides a dollar value or entitlement which may be applied toward commodities stocked by the USDA. However, the detention center is required to pay for processing and shipping charges. Food service places orders through the Ohio Department of Education's Child Nutrition Services in Columbus. There is a list or inventory of stock available toward which the division and other eligible entities may select and apply their entitlement. This entitlement is based on the number of reimbursable lunches in the prior year. In the FY 1998-99, the detention center qualified for and spent \$6,896. For FY 1999-2000, the CCJC detention center qualified for \$7,416 in USDA .

**C7.3** The food services division at CCJC is reducing costs associated with food services by participating in the surplus commodity program and spending the allotted entitlement. By taking advantage of this entitlement, the detention center at CCJC has more revenue available to fund other critical operations.

**R7.9** The food services division should ensure that all eligible costs under the National School Breakfast and Lunch program are accounted for and reimbursed. This could be accomplished by documenting and tracking meal counts in a spreadsheet or database as opposed to only manually tracking the information. In addition, the food services supervisor should periodically review the data and reconcile the reimbursements received from the program to the amount CCJC is entitled to receive.

*Financial Implication:* The detention center could increase revenues by approximately \$1,600 annually by ensuring that all eligible costs under the National School Breakfast and Lunch program are accurately accounted for and subsequently reimbursed.

F7.15 Although a computer is used to order food from the USDA surplus program, the food services division does not currently use information systems technology for meal planning or inventory. When a product arrives, it is unloaded, the quantity is verified and then it is stored. The product is added to the inventory manually as it is brought in and taken out of inventory as it is used. The assistant food services supervisor oversees the physical count of inventory which is done on the last day of every month. At least two staff are assigned to this task. It usually takes one to one and one-half days because it is completed while staff maintains dining room service. There is no temporary or additional staff available for inventory.



The assistant superintendent overseeing the food services division recently set up a computer inventory and accounts payable monitoring program. The software will allow the division to monitor inventory, the amount received, date it was received and expiration dates for inventory received. Given the current set-up, the software allows staff to track and monitor the status of payment for inventory received.

**R7.10** The detention center should utilize the available technology for the purposes of monitoring, tracking and documenting inventory. The food service workers should be responsible for entering the appropriate information into the computer. These employees should have the capacity to perform this function considering that the storekeeper at the detention center or senior storekeeper at CCJC should be performing more of the manual and labor intensive activities associated with inventory and food storage (see **F7.4** and **R7.1**). The food services supervisor should be responsible for ensuring that all of the inventory data is entered in a timely manner and reviewing the information periodically to ensure accuracy and completeness. Although the current manual system does meet the criteria established by the detention center's policy and procedures manual and the ACA accreditation standards, computerizing inventory should increase efficiency and enhance accuracy of the inventory by eliminating mathematical errors. It should also increase accessibility of information for the assistant superintendent and superintendent.

**F7.16** The kitchen area including equipment, counter and floor in food preparation areas, utensils, dishes and trays are cleaned by the food services staff. Some cleaning activities that border on maintenance activities are completed by the County's central services. The floor in the dining room and the area in front of the serving line is cleaned by custodial staff. However, the detention center policy and procedures manual does not clearly distinguish what cleaning functions, e.g., kitchen exhaust/ventilation fans and hoods, are to be done by the food service staff, custodial staff and the County's central services. Without a clear policy, there is the potential that certain cleaning activities currently being performed by the food services division should actually be performed by the County's central services and vice versa.

**R7.11** The CCJC should establish a policy that clearly defines what cleaning activities are the responsibility of the food service staff versus custodial and central services. A clear and definitive policy should ensure that the food services division performs the appropriate cleaning activities and does not waste work time performing unassigned cleaning activities.

F7.17 The Quality Assurance Review Process, which is a survey addressing food, cleanliness, unit programming and a variety of other issues in a detention center, was tested this year at CCJC's detention center. This review process was developed based on the ACA accreditation standards for juvenile courts. The (94) measures used in the trial run reflect only those factors that can be controlled by the resident units or divisions (e.g., food service). There are factors such as room size that are not part of the review because they cannot be controlled. The review process was envisioned as a way of ensuring that the policy and procedure manual guides the practice of the organization.

The food services division was included in the test run. However, the full study was postponed for a certain time until the detention center could assign a staff person to lead the project. The full study was intended to be performed annually and a review of the results was to be conducted with each unit manager. In addition, a social climate survey was to be performed among residents. According to the superintendent of the detention center, staff will be trained on social climate by the National Juvenile Detention Association in FY 2000.

**R7.12** The detention center should ensure that the Quality Assurance Review Process is implemented and that an appropriate staff member is assigned to lead the process. In addition, the project should be an annual priority for the detention center considering that it measures critical aspects of detention center operations, including food services. By implementing this review process, the detention center will have the ability to measure the affect of policies and procedures outlined in their internal policy manual.

### *Custodial Services*

F7.18 The CCJC detention center custodial division currently has 10 FTE employees, including the supervisor. The supervisor oversees seven cleaning staff, a storekeeper and laundry worker. Floor assignments for the cleaning staff are made by the supervisor on a permanent basis. Changes to work weeks are made in response to quarterly shift changes. Although the days of the week that an employee works may change on a quarterly basis, the shift (i.e., work hours) stays the same.

All custodial staff are cross-trained to handle the various positions in the division and all work a standard 8-hour day, 5-day work week. Custodial staff cover shifts of 5:00 a.m. to 1:00 p.m. (two cleaning staff and laundry), 1:00 p.m. to 9:00 p.m. (2 cleaning), or 9:00 p.m. to 5:00 a.m. (3 cleaning). The storekeeper and supervisor work 6:00 a.m. to 2:00 p.m., although the supervisor will work the second and third shifts at least once a month in order to monitor cleanliness and staff performance. Staff coverage for cleaning is 7 days a week and 24 hours per day. Laundry and storerooms are staffed Monday through Friday. Custodial division employees (non-supervisory) are currently under consideration for participation in a union which is negotiating a bargaining agreement.

F7.19 The lines of authority in the custodial services division are clear and appropriate. The supervisor reports to an assistant superintendent who reports to CCJC's detention center superintendent (director of detention services). The superintendent and assistant superintendent devote a combined 0.5 FTEs to the custodial services division. The staffing levels in the division as of July 31, 2000 are shown in **Table 7-5**.

**Table 7-5: Custodial Service Staffing**

Classification	Total	FTEs
Superintendent	1	0.12
Assistant Superintendent	1	0.38
<b>Total Administration</b>	<b>2</b>	<b>0.5</b>
Custodial Worker Supervisor	1	1.0
Custodian	7	7.0
Storekeeper	1	1.0
Laundry Worker	1	1.0
<b>Total Custodial</b>	<b>10</b>	<b>10</b>
<b>Total</b>	<b>12</b>	<b>10.5</b>

Source: Superintendent, Assistant Superintendent and Custodial Worker Supervisor

F7.20 One laundry worker and one storekeeper work the same shift Monday through Friday. In addition, seven custodial staff are responsible for cleaning activities and two to three of these staff are scheduled on each shift, Monday through Friday. There is one custodian assigned to each shift during the weekend. Each custodian is assigned to one or two floors, depending on the shift and day of the week. The following is a brief description of the responsibilities of the custodians according to their job description.

- Custodian - The custodian is responsible for cleaning units, offices, common areas including hallways and other areas of the building as assigned. Tasks performed include dusting, sweeping and mopping floors, emptying trash containers, cleaning and disinfecting restrooms, and performing other duties and responsibilities as assigned.
- Laundry Worker - The laundry worker is responsible for cleaning t-shirts, gym shorts and pajamas. In case of shortages in sheets, towels, youth uniforms and shoes cleaned by the outside contractor, the laundry worker maintains a backup supply and will clean a sufficient supply until more are available through the contractor.

- Storekeeper - The storekeeper is responsible for purchasing resident supplies and toiletries such as clothing, toothbrushes, toothpaste, and soap; cleaning supplies and equipment including buffing machines, mops, and cleaning fluids; and office supplies. These items are kept in a storeroom that is monitored by the storekeeper. The storekeeper makes regular deliveries to each unit's storerooms. If supplies are needed before the next delivery, units can also request the supplies from the storekeeper over the phone. The storekeeper will deliver the requested items to the unit.

F7.21 **Table 7-6** presents a comparison of the custodial staff at CCJC's detention center and the peers. Since each detention center's custodial division is structured somewhat differently, this analysis attempts to include all staff members that perform the same functions performed at CCJC's detention center. CCJC's custodial staff are assigned by the detention center while FCJC's, HCJC's and LCJC's custodial staff at the detention center are employed and assigned by the associated county. In addition, FCJC is in the process of contracting with a private vendor for the purposes of providing the custodial services at its detention center.

**Table 7-6: Comparison of Facilities Divisions: Custodial Services**

	CCJC	FCJC <sup>2</sup>	HCJC <sup>2</sup>	LCJC <sup>2</sup>
Number of Sites	1	1	1	1
Building Square Feet Maintained by Custodians	81,600	N/A <sup>3</sup>	150,000	N/A <sup>3</sup>
Custodial supervisor	1.0	0.0	0.0	N/A <sup>3</sup>
Custodians	7.0	3.0	7.0	8 to 12
Total	8.0	3.0	7.0	8 to 12
Square Feet Per Custodial Staff <sup>1</sup>	11,657	N/A <sup>3</sup>	21,429	N/A <sup>3</sup>

**Source:** CCJC superintendent's office; CCJC payroll office; peer information

<sup>1</sup> Excludes supervisor

<sup>2</sup> FCJC's, HCJC's and LCJC's custodial staff are assigned by the County

<sup>3</sup> Information could not be provided.

As presented in **Table 7-6**, HCJC's custodians maintain approximately twice as many square feet as compared to CCJC. In addition, the International Facilities Management Association (IFMA) compiles data from a wide array of industries indicating staffing benchmarks. Based upon this IFMA data, the average square footage per custodian in a multiple use facility, which is comparable to a detention center, is about 14,300 square feet per custodian. At CCJC, workload assigned to the custodians is not based upon square footage of the building, which can be a factor contributing to the lower amount of square footage maintained by custodians at CCJC compared to HCJC and IFMA. Instead, each custodian is assigned to an individual floor. Furthermore, CCJC's detention center does not have a quantitative methodology to assign custodial staff. As a result of not utilizing a quantitative method to assign custodial staff, the workload is not evenly distributed among the custodial staff.

**R7.13** CCJC's detention center should develop a methodology for allocating custodial staff to floors by using quantitative data such as square footage to determine the most efficient staffing level. Factors that should be taken into consideration when establishing an allocation methodology are the square footage to be cleaned, the number of juveniles or residents, the number of restrooms, the number of special facilities, the type of floor covering and desired level of cleanliness.

Based upon the current square footage being maintained by the custodians at CCJC, the detention center should consider reducing one custodian position. This staffing reduction would increase the amount of square footage maintained by a custodian at CCJC to 13,600, which is still less than the square footage maintained at HCJC and IFMA. In addition, this staffing reduction should be feasible to implement considering juveniles at the detention center also perform cleaning functions (see **F7.23**) resulting in a lesser amount of custodial activities that need to be performed at CCJC compared to other facilities. Furthermore, after the detention center has developed and implemented the aforementioned methodology, the adequacy of staffing levels should further be assessed and evaluated to ensure that custodial services are being provided in a cost-effective manner.

*Financial Implication:* The detention center at CCJC could save approximately \$23,000 annually in salary and benefits costs by reducing one custodian position.

F7.22 From January 1 to July 15, 2000, CCJC's detention center spent a total of \$3,061 and used 228.5 hours for custodial overtime. This computes to a division average of 16.3 hours and \$219 per pay period. Of the total overtime hours, the laundry service worker averaged 2.2 per pay, the storekeeper averaged 1.9 hours, a custodial worker averaged 2.1 hours and the supervisor averaged 1.6 hours.

**R7.14** Although the use of overtime in the custodial services division is less than in the food services division, the detention center should ensure that overtime use in custodial services is kept to a minimum. Since it appears that the custodial staffing level at CCJC is adequate as compared to the peers (see **F7.21**), the need for overtime should be minimal. Developing more stringent policies/rules governing overtime (see **R7.2**) and developing a methodology for allocating custodial staff (see **R7.13**) could potentially reduce overtime.

F7.23 ACA accreditation standards recommend that a facility have a written housekeeping plan for its physical plant. This cleaning schedule should specify duties assigned to personnel and juveniles. The policy and procedures manual for the detention center specifies that juveniles have the responsibility of helping clean and maintain the living area and units. It also states that supervisory staff prepare housekeeping plans that identify a cleaning schedule and duties for staff and youth.

ACA accreditation standards also recommend that a facility have a written policy, procedure, and practice requiring weekly sanitation inspections of all facility areas beyond the inspections of government officials. The CCJC detention center manual states that it will have a system in place for regular monitoring of housekeeping and sanitation practices. The custodial worker supervisor conducts daily inspections. According to the custodial worker supervisor, any problems uncovered during the inspections are documented and discussed with the custodian.

F7.24 According to the custodial supervisor, juveniles are responsible for general clean up such as sweeping and mopping the living quarters, their rooms, and the restroom and shower area. However, the juveniles' responsibilities are not specified in detail with regard to frequency or type of clean up of the unit or individual living space. By detailing the clean up responsibilities of juveniles, the detention center could potentially use juveniles on a more routine and consistent basis to perform various clean up activities. This could free up more time for custodial staff to perform other activities.

**R7.15** The juveniles' cleaning activities should be developed and incorporated in the detention center policy and procedures manual. In addition, the juveniles' cleaning responsibilities should be developed as a schedule in the same manner as cleaning personnel duties are outlined in a cleaning schedule (see **F7.25**). This should be included in the orientation packet or manual provided to juveniles when they arrive or incorporated as part of an operating manual for the units. In an effort to become more cost effective, the detention center should consider the option of compensating juveniles that have not yet been adjudicated at the minimum wage rate to perform cleaning activities and subsequently reduce the cleaning activities performed by the custodians. Furthermore, the detention center should ensure that any cleaning activities assigned to juveniles are in accordance with current laws and regulations.

F7.25 The custodial supervisor has developed thorough job descriptions, which are provided to each employee and are tailored to his or her position. These descriptions also function as a cleaning schedule. They explain to the employee what his or her responsibilities are, including the areas in the building they are responsible for maintaining, what is supposed to be cleaned, and the frequency (daily, weekly, monthly and quarterly) and type of cleaning to be performed. Any work outside the scope of the day to day duties or not described in the job description is stated in a special assignment memo to the employee.

**C7.4** The custodial services division has developed thorough job descriptions that serve as a valuable tool for staff employees and management. The job description provides critical information to an employee, such as roles and responsibilities in the division. In addition to providing clear directions for the employee, thorough job descriptions improve management's ability to evaluate custodians.

F7.26 ACA standards for juvenile detention facilities suggest that juveniles be provided complete sets of clean clothing three times a week and that juveniles be issued clean bedding and linen at least once a week. CCJC's detention center purchases and provides pillows, mattresses, sheets, coveralls, socks, underwear, t-shirts, gym shorts and sweatshirts to residents. These items are cleaned or laundered on-site or by a contractor and returned to residents. ACA standards for juvenile detention facilities also prescribes that articles necessary for proper hygiene are provided to juveniles. The detention center provides juveniles with toiletries including toothpaste, combs, soap and toothbrushes. These and other purchases are made through custodial division vendors. The existing vendor list has been in place since the current supervisor was first employed as a storeroom clerk. This list consists of vendors that have historically been used. Additional vendors have been added to the list when prices of existing vendors got too high. Since the current supervisor has been there, only one or two vendors have been added. The instances in which the division contacts multiple vendors are for purchases over \$1,000. The only purchases presently made through the county are wax and sealer.

**R7.16** To ensure that the lowest prices are obtained for purchases while not compromising the quality of the work, CCJC's detention center should establish procedures that ensure its vendor list for custodial services is current and comprehensive. The same process outlined in **R7.5** for the food services vendor list should be applied to the custodial services vendor list, such as ensuring that quotes or catalogs are sought or obtained from new vendors for all service, equipment and supplies. In addition, the detention center should consider developing and implementing a competitive purchasing process using term agreements. This process should further ensure that the lowest prices are obtained for purchases while not compromising quality.

*Private Vendor Services*

F7.27 The detention center at CCJC should consider the following factors in assessing whether to contract out food services to a private vendor:

- Is the volume of work associated with food services sufficient to justify internal performance?
- Are the management, oversight and control requirements associated with external performance of food services excessive?
- Is the food services function too complex to be performed by an external vendor?
- Are the regulatory issues related to food services significant and complex?
- Are significant capital investments required with the internal performance?
- Are high quality, external providers available to perform the food services function?
- Will the potential benefits of utilizing an external provider likely offset/exceed the potential costs?
- Is there a high probability that external performance of food services would reduce quality and service levels?

Based on an initial assessment of the above criteria, it appears that the food services functions have a high potential for privatization. In addition, the cost of utilizing a private vendor for food services could potentially be lower as compared to maintaining an internal food services division (see **F7.9**).

F7.28 As mentioned in **F7.9**, FCJC and HCJC utilize a private vendor for food services. There are private vendors that specialize in food services and facilities management. Private vendors have the ability to provide enhanced services at low costs. Additionally, private vendors can ensure quality and control through the following practices:

- Containing cost: bids guarantee the costs of meals for a specific time period.
- Increasing efficiency: a computerized recipe and menu management system reduces waste and accurate meal accounting prevents the ordering of excessive meals.
- Improving food quality: registered dietitians plan and certify nutritional value of the basic menu cycle and food service directors determine the acceptability of meals for the local population.
- Meeting applicable standards: meet or exceed all of the mandatory local and state standards.
- Preparing for contingencies: comprehensive plans account for such situations as loss of power or water, lockdowns, natural disasters and other unexpected emergencies.
- Staffing a team with qualified managers: all managers have experience in correctional food service.
- Satisfying tastes and preferences: recipes are modified to reflect local tastes and specific needs of the facility.



F7.29 In addition to providing food services management, private vendors can also provide facility maintenance services, including custodial and laundry service management. Certain private vendors have provided state and county clients with 25 to 43 percent savings in annual operating costs. Additionally, in collaborating with a University, one private vendor reduced the custodial operations by more than \$300,000 in the first two years after the University contracted with the company. Over a five-year period, the cost savings against the supply budget are expected to reach \$750,000.

**R7.17** The detention center at CCJC should consider contracting with an external provider for food services. An external provider could perform all of the necessary functions that the current internal food services division is performing, but at a lower cost (see **F7.9**). Since many private vendors provide custodial services in addition to food services, the detention center should also explore the feasibility of contracting for custodial services. In addition, the detention center should consider the impact of the detention center's new collective bargaining agreement, which has not yet been fully developed or implemented, on contracting for private vendor services

*Financial Implication:* Based upon the private vendor's cost per meal at FCJC and HCJC (see **F7.9** and **Table 7-3**), CCJC could save approximately \$151,000 in annual operating expenditures if the detention center contracted food services to a private vendor. In addition, CCJC could potentially realize cost savings by contracting for custodial services. However, these costs savings could not be quantified.

## **Financial Implications Summary**

The following table represents a summary of the annual cost savings for the recommendations in this section of the report. For the purpose of this table, only recommendations with quantifiable financial impacts are listed.

### **Summary of Financial Implications for Food & Custodial Services**

<b>Recommendation</b>		<b>Cost Savings (Annual)</b>
R7.4	Reduce one food service worker position	\$23,800
R7.6	Eliminate hot breakfast on the weekends	\$7,300
R7.9	Increase reimbursement from the National School Breakfast and Lunch program	\$1,600
R7.13	Reduce one custodian position	\$23,000
R7.17	Contract with a private vendor of food services	\$151,000
<b>Total</b>		<b>\$206,700</b>

The above financial implications are presented on an individual basis for each recommendation. The magnitude of the cost savings associated with some recommendations will be affected or offset by the implementation of other interrelated recommendations. Therefore, the actual costs savings versus estimated cost savings noted above could vary depending on the recommendations CCJC implements. For example, utilization of a private vendor for food services would eliminate the need for CCJC to reduce one food service worker position.

## **Conclusion Statement**

There are certain aspects of the food and custodial services at CCJC's detention center's that could be improved. CCJC served the lowest number of meals per food services staff member as compared to the peers and the cost per meal at CCJC's detention center was the highest of the peers. The custodians at CCJC's detention center maintain approximately half the square footage maintained by the custodians at HCJC and about 23 percent less than the International Facilities Management Association (IFMA) benchmark. In addition, the workload assigned to the custodians is not based on a quantitative methodology, such as square footage. As a result, the workload is not evenly distributed among the custodial staff. Furthermore, technology that could monitor, track and document inventory is not fully utilized by the food services division.

The detention center at CCJC does have a departmental policy and procedures manual outlining important procedures for all areas of the detention center, including food and custodial services. However, certain policies that can be utilized to enhance the operational efficiency are lacking at CCJC's food and custodial services, such as a policy defining the number of staff needed to supervise youth during meals, a policy explaining "necessary" or "essential" staff required to stay on-site throughout their eight-hour shift, and a policy defining the cleaning activities to be performed by the food services, custodial services and central services staff.

There are areas in which the food and custodial services at CCJC are operating effectively. The food services division ensures that staff are cross trained in all food service areas and has developed a strong organizational structure evidenced by clear and appropriate reporting lines of authority. The food services division has reduced costs by participating in the surplus commodity program. However, the food services division has not ensured that it receives all of the entitled reimbursements under the National School Breakfast and Lunch program. In addition, the custodial services division has developed thorough and up-to-date job descriptions that benefit both staff employees and management.

The detention center should assess the feasibility of contracting with a private vendor for food services. Currently, FCJC and HCJC contract food services to a private vendor, which provides food services at a lower cost than CCJC's in-house division. In addition, the detention center should assess the feasibility of contracting for custodial services considering that private vendors also provide custodial services.

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