



**EVALUATION OF THE  
DISPROPORTIONATE MINORITY  
CONFINEMENT (DMC) INITIATIVE**

**North Carolina Final Report**

**U. S. Department of Justice  
Office of Justice Programs  
Office of Juvenile Justice and  
Delinquency Prevention**

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## **EXECUTIVE SUMMARY**

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The disproportionate minority confinement (DMC) mandate of the mandate of the Juvenile Justice and Delinquency Prevention (JJDP) Act requires states to develop and implement strategies to address and reduce the overrepresentation of minority youth in secure facilities. In an effort to facilitate compliance with the mandate, the Office of Juvenile Justice and Delinquency Prevention (OJJDP) sponsored demonstration projects in five pilot states. In Phase I of OJJDP's DMC Initiative, each pilot state assessed the extent of DMC in its juvenile justice system. In Phase II, each state designed and implemented strategies to address the disproportionate representation identified in Phase I. The Initiative also included a National Evaluation to document the lessons learned, identify key factors in the success of state and local efforts, and determine the efficacy of different interventions in reducing DMC. At the request of OJJDP, Caliber Associates, in conjunction with state representatives and Portland State University, conducted the National Evaluation, consisting of separate evaluations of each pilot state and one non-pilot state. This report presents findings from the evaluation of the North Carolina DMC demonstration project that began in February 1992 and concluded in the fall of 1994.

## **METHODOLOGY**

The North Carolina DMC Initiative focused on gaining understanding and acknowledgment at the state, county, and community levels of the DMC problem as well as a commitment to multilevel DMC interventions. A formative, or process, evaluation design was selected to document and analyze the process used by the DMC project team and the state and local stakeholders. Data were collected through document reviews, on-site observations, and during interviews with key DMC informants.

## **NORTH CAROLINA'S DMC INITIATIVE**

Given the state's current conservative political climate together with the historical civil rights struggles, the North Carolina DMC Initiative determined that DMC problems should be addressed through a process of information dissemination, community education and planning and consensus-building among community leaders, county officials and state legislators. Therefore, the North Carolina DMC Initiative had, as a primary emphasis, local- and county-level planning and problem solving. While the focus was on the counties, the participating state agencies and staff provided the context and the support for DMC problem identification and intervention development.



## **Phase I Research Findings**

The major findings of the Phase I research were that minority youth were more likely than Caucasian youth to be arrested and presented to a juvenile intake facility as well as more likely to be committed to training school. While the research demonstrated that minority youth were more likely to be over-represented in the juvenile justice system Statewide and in a majority of the counties, the DMC initiative focused on 10 counties, which were designated the “Pilot Counties.”

## **State Level Phase II Plans and Activities**

During Phase II, the North Carolina DMC Initiative developed five major objectives, which guided state-level activities. These objectives and associated activities were to: (1) obtain community-based input on the DMC issues to inform and direct both phases of the DMC initiative; (2) assist pilot counties to understand the nature of their own DMC problems and plan interventions to reduce DMC; (3) develop state-level commitment by involving agencies that deal with juveniles as stakeholders that in a comprehensive statewide DMC effort; (4) develop program operation manuals to assist juvenile justice officials throughout the state to monitor and address DMC; and (5) develop a statewide, automated information system to obtain aggregate or case-level data to be used to monitor and address the extent of DMC at major points within North Carolina’s juvenile justice system.

## **County Level Phase II Activities**

A major goal of the North Carolina DMC Initiative was to facilitate for DMC resolution through the development of DMC County Action Plans—detailed plans for corrective actions within local juvenile justice and other service delivery systems. To this end, the North Carolina initiative (1) identified potential leadership at the county level; (2) provided formal and informal information gathering and sharing forums including disseminating the Phase I research findings; (3) provided on-site technical assistance to develop County Action Plans; and (4) offered DMC planning grants to support the process.

In the conclusion of the DMC initiative, all 10 counties had developed County Action Plans, which included a range of interventions such as: (1) juvenile justice agency interventions such as cultural awareness training, increased minority staff; (2) creating new programs for minority youths; (3) school-based interventions to reduce

minority youth exclusion; and (4) providing support to minority families through church outreach or parent resource centers.

The pilot counties had differing levels of success in implementing community-based interventions. Although several counties made some changes to either their juvenile justice or other community service delivery systems, almost all of the counties reported that the community planning had increased awareness of the DMC issue and its related problem and identified service delivery gaps within minority communities. The DMC initiative also brought many county stakeholders together and fostered some new working relationships, which may have future benefits for these communities.

## **LESSONS LEARNED**

A primary objective of the state demonstration projects is to provide opportunities for other states and locales to learn from the pilot state experiences. To this end, the evaluation of the North Carolina DMC Initiative identified several lessons learned from the state and local efforts. First, the North Carolina initiative demonstrated that resistance to DMC recognition and acknowledgment can be deeply entrenched at the state, county, and local levels stressing the importance of the DMC research and problem definition process. The need for state-level leadership within state's juvenile justice organization together with adequate resources and organizational support was also demonstrated. Finally, the North Carolina initiative reinforced the recognition that community involvement and "buy-in" are essential to DMC planning. Further, strong county-level leadership is a critical factor in the success of the DMC problem identification and planning process.

## **FUTURE PLANS**

North Carolina's plans for addressing DMC in the future are uncertain and unrefined, primarily because of the limited support being provided by State-level DMC stakeholders. In the near-term, the North Carolina Division of Youth Services (DYS) will work toward accomplishing several DMC objectives at both the state and county levels. These objectives include: (1) to develop a statewide, annual report on DMC; (2) to continue to support the development of the statewide information system; (3) provide technical assistance to two counties that requested help in developing their own DMC initiatives and (4) to continue to work with state government leadership to make DMC a high priority for intrastate and interstate agency planning, policy formulation, program development, and staff training.

## **I. INTRODUCTION**

## I. INTRODUCTION

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) sponsored, in five states, demonstration projects that were designed to address problems of DMC within the juvenile justice system. This report presents findings from the evaluation of the North Carolina DMC project. This chapter presents relevant background information, an overview of the North Carolina demonstration project, and the purpose and organization of the report.

### 1. BACKGROUND

Findings from a large body of literature suggest that disproportionate minority confinement occurs within many juvenile justice systems across the nation. Recent congressional legislation requires states to assess the extent of DMC in their juvenile justice systems and to develop and implement strategies to address DMC problems that are found. OJJDP's DMC initiative seeks to assist states to comply with the mandate. The initiative includes support for the development and implementation of DMC projects in five pilot states, including North Carolina. The DMC initiative also calls for evaluation of pilot state projects to help OJJDP determine the best methods for assisting states to comply with the mandate as well as to suggest strategies and provide useful lessons to non-pilot states that are developing and implementing DMC projects of their own. The following paragraphs provide a summary of the DMC literature followed by a more detailed description of the OJJDP DMC initiative.

#### 1.1 Summary of DMC Literature

Disproportionate minority confinement is defined by OJJDP as a ratio of "the share of the juvenile justice population that is minority relative to the share of the at-risk population that is minority." Since the late 1960s, scores of researchers have published studies assessing the extent to which DMC exists within the juvenile justice system. Approximately two thirds of all published studies found evidence of DMC (Pope and Feyerherm, 1992). One third of the studies, however, did not find evidence of DMC. Researchers note that inherent methodological difficulties contributed to the inconsistent findings. Another factor contributing to the inconsistent findings may be that most DMC studies were restricted to one stage in system processing (Bishop and Frazier, 1988). Such an approach, several authors contend, fails to measure the "cumulative disadvantage" to minority youth within a juvenile justice system. Although race may have a small, statistically insignificant effect on decision making at particular

stages, race may still have a significant, cumulative effect on the juvenile justice system outcomes overall (Zatz, 1987).

Approximately one third of all DMC studies found an overall pattern of DMC, while an equal proportion of studies found DMC only at particular points within the juvenile justice system (Pope and Feyerherm, 1992). Many researchers believe that DMC is most pronounced at the "front end" of the juvenile justice system, yet few DMC studies have focused on the front end (Conley, 1994). Measuring the racial bias that occurs when police officers decide which juveniles to question—or when citizens, social workers, and school officials decide to alert authorities to delinquent behavior—is fraught with methodological challenges (Sampson, 1986).

Studies finding evidence of DMC typically ascribed its causes to either: (1) systematic racial bias against minority youth within the juvenile justice system, or (2) more serious and/or more frequent offenses being committed by minority youth. Both explanations were considered legitimate in the Federal DMC legislation, which was developed, in large part, to answer the research findings, summarized above.

## **1.2 OJJDP's DMC Initiative**

The 1988 amendments to the OJJDP Act included a requirement to states participating in the OJJDP Formula Grants Program to address the growing problem of the disproportionate confinement of minority youth in secure facilities. The 1992 amendments to the JJDP Act included a mandate requiring the states to assess the level of minority youth confinement in their juvenile justice system and to implement strategies to reduce disproportionate representation. To facilitate the states' ability to comply with the mandate of the JJDP Act, OJJDP established the Disproportionate Minority Confinement Initiative. Through a competitive process, OJJDP selected five states—Arizona, Florida, Iowa, Oregon, and North Carolina—to receive training, technical, and financial assistance.

The DMC initiative was designed to include two 18-month phases. During Phase I, each of the five pilot states assessed the extent of disproportionate representation in its juvenile justice system and reported the findings to OJJDP. During Phase II, the pilot states designed strategies to address the disproportionate representation problems identified during their Phase I assessments.

Phase II includes a National Evaluation of the DMC Initiative. OJJDP has requested that Caliber Associates design and conduct the evaluation in collaboration with pilot state representatives and with the national technical assistance providers from Portland State University. The National Evaluation will include separate evaluation reports on each pilot state and one non-pilot state. To complement the pilot states, the National Evaluation will include the State of Michigan, which developed and implemented a DMC plan without OJJDP support. The inclusion of Michigan will provide a more robust picture of state efforts to reduce minority overrepresentation.

The objectives for the National Evaluation are to document the lessons learned and factors key to the success of state and local efforts, as well as to determine the efficacy of different types of interventions in reducing the degree of disproportionate representation. The evaluation findings will be incorporated into training and technical assistance manuals that OJJDP will disseminate to all states as a resource that will assist their planning and implementing approaches to reduce disproportionate representation of minorities in the juvenile justice system.

## **2. NORTH CAROLINA DMC DEMONSTRATION PROJECT**

The North Carolina DMC activities, conducted under the OJJDP Special Emphasis Grant, began in February 1992, with the hiring of the program director, and concluded in Fall 1994. During this time period, North Carolina DMC project participants completed the Phase I research, designed an intervention plan in response to the Phase I research findings, and completed the Phase II activities in accordance with the plan. To provide a context for the evaluation, the North Carolina Phase I and Phase II activities are summarized below.

### **2.1 Phase I Research (1991 -1993)<sup>1</sup>**

The North Carolina Department of Human Resources' (DHR) Division of Youth Services (DYS), with assistance from the University of North Carolina at Charlotte, conducted the Phase I research effort. This included conducting a statewide assessment of minority youth overrepresentation and a more extensive analysis of data in 10 pilot counties. Although the JJDP Act emphasizes overrepresentation in confinement, the North Carolina research team expanded its scope by examining

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<sup>1</sup> Church, V.T. *Embracing Diversity, Expanding Common Ground*. North Carolina Department of Human Resources, Division of Youth Services. 1993.

decision points throughout North Carolina's juvenile justice system. The research had the following three general objectives:

- Assess the extent of minority youth overrepresentation statewide and in 10 pilot counties
- Identify the decision points in North Carolina's juvenile justice system at which overrepresentation most often occurs
- Explore the implications of current research findings for future research on the reasons why overrepresentation occurs.

To address these objectives, North Carolina's research team employed three primary data collection methods:

- Arrest, detention, and commitment data from 1990 were collected from all 100 North Carolina counties to assess the extent of disproportionate representation of minority juveniles throughout the state
- Detailed 1990 law enforcement and juvenile court case processing data were collected in 10 pilot counties representing a cross-section of North Carolina's geographic regions and ethnic populations
- DYS sponsored and conducted two forums and five public hearings to solicit input from researchers, practitioners, and community residents in developing hypotheses about factors that contribute to the overrepresentation of minorities in the juvenile justice system.

Findings from the juvenile justice data analysis indicated that disproportionate minority confinement exists but county differences were notable. In fact, the variations observed across the 100 counties in arrest, detention, and confinement rates for minority youth indicated the need for more intensive analysis <sup>2</sup> to identify factors contributing to overrepresentation at the community level.

## **2.2 Phase II Activities (1993-1994)**

In response to the Phase I research findings, the North Carolina DMC project focused on county-level, community-based planning. Primary project objectives were

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<sup>2</sup> During the Phase II demonstration time period, additional state resources were secured by the DMC project team and additional data collection and analyses were conducted. This second research effort is described in Chapter III.

to inform, assist, and support the development of County Action Plans to address the disproportionate minority confinement.

The community planning effort had three major goals:

- Assess community reaction to, and obtain community involvement with, the decision-making and problem-solving process
- Establish a process for program development at the state and local levels
- In addition to program development, assess and address other implications of DMC at the state and local levels.

The community planning goals were addressed through three major activities:

- Present the results of the analysis of the county's data with guidance, from the research team, on how to interpret the meaning of the statistical information
- Invite participation by representatives from the 10 pilot counties in a conference to discuss issues, policies, and legislation; to review additional analysis of the county data provided by the North Carolina research team; and to begin developing tailored County Action Plans
- Provide ongoing technical support to each of the 10 pilot counties in developing County Action Plans to reduce overrepresentation in their communities and to award to each county a \$1,000 grant to support the planning process.

The purpose of the community action plans is to support individual communities' efforts to pursue their unique approaches to reduce the disproportionate representation in local juvenile justice systems.

In addition to community planning, the North Carolina DMC project provided the following:

- A statewide conference for the purpose of developing programmatic, policy, and legislative recommendations to reduce disproportionate minority confinement within North Carolina's juvenile justice system



- A statewide information system<sup>3</sup> that will enable all 100 counties and appropriate state agencies to obtain ongoing reporting of juvenile court information. The system will be used to obtain case processing reports, which can be used to monitor the number of minority youth involved in the juvenile justice system and the nature and extent of disproportionate representation of minority youth
- A procedural manual that provides procedures for monitoring the involvement of minority youth in the juvenile justice system and a resource manual that describes model programs, potential funding sources, and technical assistance providers for reducing DMC.

The specific county-level planning activities and state-level efforts, their implementation status, and factors that contributed to or inhibited the DMC project's success were the subject of the evaluation and are described in the body of this report.

### **3. PURPOSE AND STRUCTURE OF THE EVALUATION REPORT**

The purpose of this document is to present Caliber Associates' evaluation findings on the DMC initiative in North Carolina. Chapter I provides an overview of the DMC literature, OJJDP's DMC initiative, and North Carolina's approach to addressing the DMC problem. Chapter II describes Caliber's objectives and methodology for conducting the evaluation. Chapter III presents evaluation findings on the state-level component of North Carolina's DMC initiative, and Chapter IV presents findings on county components. Finally, Chapter V summarizes key lessons learned from North Carolina's experience which may be applicable to states that are developing their own DMC initiatives. Throughout the report, specific agencies or organizations are introduced by name and (in parenthesis) by acronym; thereafter, they are referred to only by acronym. To assist the reader, Appendix A provides an alphabetical list of organizations and their acronyms.

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<sup>3</sup> The information system, at the time of the evaluation, was "in process"; a state legislative committee was studying the proposal. The information system was the subject of a major (\$8.8 million) Price Waterhouse study; the study sought to ensure that the system design and development was comprehensive, accurate, appropriate—"right."

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## **II. METHODOLOGY**

## II. METHODOLOGY

This chapter describes the overall approach to conducting the evaluation of the North Carolina DMC Initiative. The approach was collaboratively developed by the North Carolina DYS Program Director for Minority Issues, Portland State University, and Caliber Associates. The following sections describe the evaluation design, data collection methods, and analyses.

### 1. EVALUATION DESIGN

OJJDP requested an evaluation of the North Carolina DMC Initiative that would support the National Evaluation objectives—to document lessons learned, to identify factors facilitating or hindering success, and to determine the efficacy of different types of interventions—via an approach tailored to North Carolina's DMC strategy. North Carolina differed from the other pilot states in that the North Carolina DMC team focused its Phase II efforts and resources on gaining understanding and acknowledgment of the problem definition at the state, county, and local levels before facilitating the development of local plans for intervening and ultimately resolving the problem of disproportionate confinement of minority youth within the juvenile justice system.

The potential for resistance to understanding and accepting a DMC problem definition within a state's juvenile justice system as well as the broader community is not unique to North Carolina. Therefore, North Carolina's demonstration project, which focused DMC resources on the process of community problem solving, offered an invaluable learning opportunity to other states, political systems, and localities.

The primary goal of the North Carolina evaluation, therefore, was to develop a comprehensive, in-depth picture of what happened in North Carolina—at the state, county, and local levels—and why. Attaining this goal required a descriptive, qualitative methodology. A classic "process evaluation" design was selected, specifically to:

- Document the process used by the State's DMC project team to assist local acceptance and understanding of the DMC problem
- Document and assess the planning process used at the county level

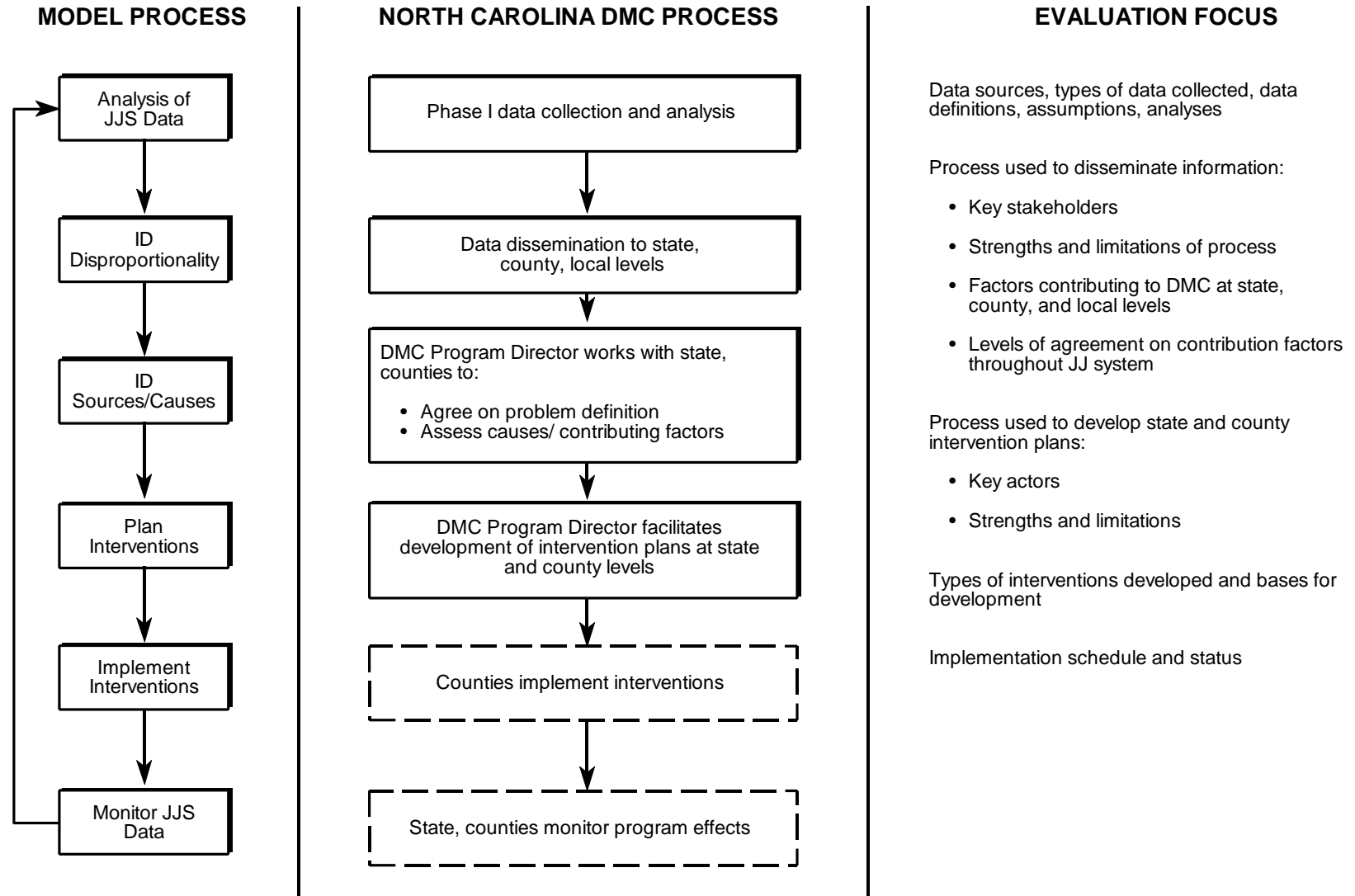
- Document, where possible, the appropriateness of the plans that emerged from this process
- Identify any system or outcome changes related to the DMC initiative
- Assess the extent to which each of North Carolina's DMC objectives were achieved (see Exhibit II-1 below).

<b>EXHIBIT II-1 OBJECTIVES OF NORTH CAROLINA'S DMC INITIATIVE</b>	
<b>Phase I</b>	<b>Phase II</b>
<ul style="list-style-type: none"> <li>• Assess the extent of minority youth overrepresentation statewide and in 10 pilot counties</li> <li>• Identify the decision points in North Carolina's juvenile justice system at which overrepresentation most often occurs</li> <li>• Explore the implications of current research findings for future research on the reasons why overrepresentation occurs.</li> </ul>	<ul style="list-style-type: none"> <li>• Support the 10 pilot counties in developing County Action Plans to address DMC</li> <li>• Involve agencies that deal with juveniles as stakeholders in DMC</li> <li>• Implement uniform data collection protocols to monitor the state's compliance with the JJDP Act, and begin development of ongoing reporting of juvenile court information</li> <li>• Develop a procedural manual and a DMC resource manual to assist North Carolina counties.</li> </ul>

The evaluation design for North Carolina focused on documenting the process used by the DMC project team to assist local acceptance and understanding of the DMC problem. The evaluation also aimed to document and assess the planning process used at the county-level and, where possible, the appropriateness of the plans that emerged from this process. Exhibit II-2 provides a schematic diagram of the proposed evaluation framework.

The evaluation design was strengthened by inclusion of a research strategy termed "triangulation." This strategy incorporates multiple measures of a given concept, activity, or occurrence. Thus, in North Carolina, the DMC initiative was investigated using multiple data sources including document reviews, interviews, and researcher observations.

## EXHIBIT II-2 EVALUATION FRAMEWORK FOR NORTH CAROLINA DMC PROJECT



## **2. DATA COLLECTION METHODS AND SOURCES**

The evaluation design pursued two distinct levels of inquiry: the state level and the county/local level. Given that the problem solving and interventions must occur at the local level, an intensive investigation of county-level environments, activities, perceptions and plans was essential. The state-level inquiries were equally important, however, given that (1) the DMC initiative was initiated by Raleigh and (2) change must occur at both the state and local levels to be truly effective.

The foundation of the evaluation design was the set of specific research questions to be addressed by the evaluation. The evaluation questions assisted in identifying the data elements required, the data sources from which to obtain the data elements, and the most appropriate data collection methods.

A summary list of evaluation questions, which guided the North Carolina DMC evaluation, is presented in Exhibit II-3, following this page. These evaluation questions amplify the key process questions identified for the National Evaluation, including:

- What was the extent of disproportionate representation of minority youth within the North Carolina juvenile justice system
- What were the major factors contributing to disproportionality
- What strategies were developed for responding to disproportionality
- What lessons were learned about how to create change?

These broad evaluation questions, together with the more detailed listing provided in Exhibit II-3, represent the critical issues addressed by the North Carolina evaluation effort. Methods for obtaining information to answer these questions on the state-level component of the DMC initiative are described below followed by a description of how county-level information was collected.

### **2.1 State-level Data Collection**

For the state-level component, data sources included project documents, interviews with key DMC participants representing the state government, and on-site observations. Documentation on project-related planning activities and events were obtained from the DYS Program Director for Minority Issues. The documents included:

**EXHIBIT II-3**  
**SUMMARY LISTING OF EVALUATION QUESTIONS, INFORMATION SOURCES,**  
**AND DATA COLLECTION METHODS**

EVALUATION QUESTIONS	INFORMATION SOURCES	DATA COLLECTION METHODS
<ul style="list-style-type: none"> <li>What was the extent of disproportionate representation of minority youth within North Carolina? Within individual counties?</li> </ul>	Phase I data, researchers, Program Director	Document review Interviews
<ul style="list-style-type: none"> <li>How was the North Carolina DMC project determined? How was disproportionality defined? How were the counties selected?</li> </ul>	Phase I data, researchers, Program Director, DYS Director	Document review Interviews
<ul style="list-style-type: none"> <li>What factors were identified as contributing to disproportionality? What assumptions were made about causality?</li> </ul>	Program Director, DYS Director, researchers, initial planning meetings	Document review Interviews
<ul style="list-style-type: none"> <li>Who were/are the major "stakeholders" related to DMC at the state level? County level? Local level?</li> </ul>	Program Director, DYS Director, other state and local staff	Document review Interviews
<ul style="list-style-type: none"> <li>What were the initial efforts used to engage these stakeholders in problem identification and definition? In the assessment of root causes/contributing factors?</li> </ul>	Program Director, other state and local staff	Interviews
<ul style="list-style-type: none"> <li>What/who was perceived as the most critical event, activity, individual for engaging the key stakeholders in the problem identification and problem clarification process?</li> </ul>	DYS Director, Program Director, other state and local staff	Interviews
<ul style="list-style-type: none"> <li>What were the perceived universal, state, and local system factors that might foster overrepresentation of incarcerated youth</li> </ul>	Initial state and county discussion groups	Document review
<ul style="list-style-type: none"> <li>What were the premises and assumptions underlying the approach to engaging the project counties?</li> </ul>	Program Director	Interviews Document review
<ul style="list-style-type: none"> <li>What activities were planned and used to further the DMC project? Which activities seem to have been the most useful? Least useful?</li> </ul>	Program Director, DYS Director, other state and local staff	Interviews



**EXHIBIT II-3 (Continued)**  
**SUMMARY LISTING OF EVALUATION QUESTIONS, INFORMATION SOURCES,**  
**AND DATA COLLECTION METHODS**

EVALUATION QUESTIONS	INFORMATION SOURCES	DATA COLLECTION METHODS
<ul style="list-style-type: none"> <li>What state and/or county mechanisms were used to guide the process? How were these mechanisms/efforts developed or identified? How effective were these efforts?</li> </ul>	Program Director, county staff	Interviews Participant observation
<ul style="list-style-type: none"> <li>What was the process used for statewide planning? Who were the key personnel? What types of events were planned and held? What were the advantages, and disadvantages of the planning events? What were the outcomes of the planning events? Follow-up to the events?</li> </ul>	DYS Director, Program Director, researchers, other state staff, county staff, planning documents and records	Interviews Document review Participant observation
<ul style="list-style-type: none"> <li>Once the counties received the data, how were the data used?</li> </ul>	Program Director, county staff	Interviews Document review
<ul style="list-style-type: none"> <li>What were the planning processes used by each county? What were the strengths and what were the limitations of the planning processes used?</li> </ul>	Program Director, county staff	Interviews Document review
<ul style="list-style-type: none"> <li>What county resources were available for the planning process? How were county resources made available to the DMC analysis and planning processes at the county level?</li> </ul>	Program Director, county staff	Interviews Document review
<ul style="list-style-type: none"> <li>What program strategies were identified as interventions for the DMC? On what basis were the program strategies adopted?</li> </ul>	Program Director, county staff	Interviews Document review
<ul style="list-style-type: none"> <li>What were the planned interventions within each county? How were the interventions designed; on what basis? What were the type, amount, and source of funding and other resources for the intervention(s)?</li> </ul>	Program Director, county staff	Interviews Document review
<ul style="list-style-type: none"> <li>What were the outcomes from the North Carolina DMC initiative? What changes occurred to the system(s), decision-making processes, and/or dispositions?</li> </ul>	DYS Director, Program Director, researchers, other state staff, county staff	Interviews Document review

**EXHIBIT II-3 (Continued)**  
**SUMMARY LISTING OF EVALUATION QUESTIONS, INFORMATION SOURCES, AND DATA COLLECTION METHODS**

EVALUATION QUESTIONS	INFORMATION SOURCES	DATA COLLECTION METHODS
<ul style="list-style-type: none"> <li>If there were changes in the system(s), decision-making processes, or in the proportion, of minority youth who were confined, what factors contributed to the changes?</li> </ul>	DYS Director, Program Director, researchers, other state staff, county staff	Interviews, Documents

- *Embracing Diversity, Expanding Common Ground: The Disproportionate Incarceration of North Carolina's Minority Children (Preliminary Report)*
- *Embracing Diversity, Expanding Common Ground: The Disproportionate Incarceration of North Carolina's Minority Children (Resource Manual)*
- *The Effect of Minority Group Membership on Juvenile Case Dispositions: An Assessment of the Evidence from Ten North Carolina Counties*
- *1993 North Carolina Juvenile Justice System Minority Overrepresentation Analysis : Summary of Findings.*

These documents were reviewed by the evaluation team to enhance its understanding of North Carolina's DMC initiative, to develop chronologies of events, and to assist in refining the evaluation design and data collection instruments.

In August 1994, a two-person evaluation team conducted an on-site visit to Raleigh where in-depth interviews were conducted with key state-level leaders of the DMC initiative. Individual interviews were conducted with the North Carolina DYS Program Director for Minority Issues, the DYS Director, and researchers from the University of North Carolina at Charlotte. This set of interviews explored each of the four North Carolina state DMC components: community planning, investiture of stakeholders, development of a management information system, and development of procedural and resource manuals. All interviews were conducted with semi-structured interview guides that were tailored to each individual situation as appropriate. A copy of this interview guide is presented in Appendix B.

Finally, the evaluation team observed two North Carolina DMC-related events. The first event, held in November 1993, was the *Ten Site Conference*. This conference provided to representatives of the pilot counties an opportunity to examine and discuss the findings of the Phase I data analyses and to begin developing County Action Plans to address DMC. A second event, *Embracing Diversity, Expanding Common Ground:*

*The Disproportionate Incarceration of North Carolina's Minority Children*, was held in July 1994. This statewide planning conference featured a presentation of findings from the state research team's follow-up study on the extent of DMC in the 10 pilot counties. The conference also featured workshops, conducted by county-level DMC leaders, and updates on Federal and State DMC initiatives.

## 2.2 Pilot County Data Collection

For each of the pilot counties, most data were collected during on-site visits. The evaluation team conducted on-site visits to the 10 pilot counties between August and September 1994. In preparation for the on-site visits, the DYS Program Director for Minority Issues provided the evaluation team with the names and telephone numbers of "county stakeholders" in each county who had participated in Phase I or Phase II DMC activities. While contacting the county stakeholders to request one-on-one interviews, the evaluation team employed a technique termed "chain sampling" to ensure that the final set of interviews to be conducted in each county would yield comprehensive data. Each county stakeholder was asked, during an introductory telephone call, such questions as "Who would know about the root causes of DMC in your community?" or "Who else was involved in implementing the county's DMC action plan?" Individuals and agencies that were identified and repeatedly mentioned in response to such questions were contacted as potential interviewees. In each of the counties, requests for interviews were granted by the great majority of DMC participants.

Interviews were conducted with individuals representing an expansive range of organizations that regularly engage with youth or serve their needs. Exhibit II-4, below, presents the types of DMC county stakeholders interviewed by the evaluation team.

<b>EXHIBIT II-4 TYPES OF DMC PILOT COUNTY INTERVIEWEES</b>	
<i>Law Enforcement</i>	<i>Juvenile Services</i>
<ul style="list-style-type: none"> <li>• Police Officer</li> <li>• Sheriff</li> <li>• Sheriff's Deputy</li> <li>• Juvenile Diversion Program Director</li> <li>• Drug Prevention Program Supervisor</li> </ul>	<ul style="list-style-type: none"> <li>• Detention Center Director</li> <li>• Intake Supervisor</li> <li>• Staff Psychologist</li> <li>• Chief Court Counselor</li> <li>• Court Counselor</li> <li>• Training School Specialist</li> </ul>
<i>City/County Government</i>	<i>Courts</i>

<ul style="list-style-type: none"> <li>• City Councilperson</li> <li>• County Commissioner</li> <li>• Administrative Assistant, County Manager</li> </ul>	<ul style="list-style-type: none"> <li>• Assistant District Attorney</li> <li>• Clerk of Courts</li> </ul>
<b><i>Schools</i></b>	<b><i>Social Services</i></b>
<ul style="list-style-type: none"> <li>• School Board Member</li> <li>• High School Student Counselor</li> <li>• <i>Upward Bound</i> Director</li> </ul>	<ul style="list-style-type: none"> <li>• Mental Health Services Supervisor</li> <li>• Therapeutic Foster Care Supervisor</li> <li>• CBA Program Director</li> <li>• Youth Services Program Director</li> </ul>

Pilot county interviews, like state-level interviews, were conducted using a semi-structured data collection instrument with primarily open-ended questions. A copy of the instrument is presented in Appendix B. Interviews focused on problem identification, understanding of the DMC initiative, and county planning efforts. Data elements were selected based on their ability to describe:

- Perceptions on the extent of DMC in the county
- Assumptions about the root causes of DMC
- DMC problem identification and definition methods
- Processes for identifying stakeholders
- DMC planning components, including key players, processes, and outcomes
- Lessons learned from DMC efforts
- Future DMC plans.

Thirty-six interviews were conducted in the 10 pilot counties. One additional respondent submitted written responses on a copy of the instrument.

The evaluation team attempted to schedule site visits to coincide with DMC planning meetings in the pilot counties. One such meeting was observed by the evaluation team in Guilford County.

In addition to pilot county data collected on-site, the evaluation team reviewed County Action Plans, obtained from the state DMC team. County Action Plans were developed by nine of the ten pilot counties to guide their DMC planning and implementation efforts. The evaluation team reviewed the plans, which described

county goals and objectives, identified agencies or groups responsible for completing specific objectives and tasks, and imposed timetables for their completion. Copies of the County Action Plans are presented in Appendix C.

### **3. DATA ANALYSIS**

The types of analyses conducted were driven by the evaluation objectives. For both the state-level and pilot county components, project documents were analyzed primarily for background and context information. To ensure a systematic, comprehensive, and accurate summary of interview data and observation notes, the evaluation team applied content and consistency analysis techniques. These techniques involve recording and tabulating responses from individual interviews and observation notes in a series of matrices. In the matrices, the substance of, or keywords from, responses from each data source are recorded. Data were tabulated by each specific question or topic, from each individual source, in order to aggregate the data and make comparisons. The aggregation of data was a structured process that yielded an affordable means for providing a reasonably complete and accurate picture of what happened and why.

For all analyses, the content of individual responses to a specific question or topic was compared to determine the diversity as well as the commonalities of findings or experiences reported. One set of data analyses focused on state-level DMC activities; findings are presented in the next chapter. Another set of analyses focused on what happened within each of the 10 pilot counties. A comparative analysis of the 10 pilot sites was the basis for the county-level findings presented in Chapter IV. Combined, the three sets of analyses revealed the key lessons and formed the foundation for the recommendations presented in Chapter V.

**III. NORTH CAROLINA DMC INITIATIVE—STATE LEVEL  
PARTICIPATION**

### **III. NORTH CAROLINA DMC INITIATIVE—STATE LEVEL PARTICIPATION**

The North Carolina Disproportionate Minority Confinement Initiative had, as a primary emphasis, local and county level planning and problem solving. While the focus was on the counties, the participating state agencies and staff provided the context and the support for DMC problem identification and intervention development.

The purpose of this chapter is to describe the DMC activities that were initiated and directed by the state DMC team. The chapter begins with a description of the DMC project initiation and organization. The Phase I research activities and findings are summarized to provide the context for the description of the Phase II activities at the state level. The chapter concludes with a description of North Carolina's future plans for addressing DMC.

#### **1. NORTH CAROLINA'S DMC INITIATIVE**

The North Carolina Division of Youth Services (DYS) resides within the Department of Human Resources. The juvenile justice functions of DHS include the operations of the detention centers and training schools and the community-based alternative programs. The Governor's Crime Commission within the Department of Crime Control and Public Safety operates the Juvenile Justice Delinquency Prevention Committee which is the North Carolina State Advisory Group (SAG).

During the Fall of 1991<sup>4</sup>, the Governor's Crime Commission, in partnership with the DHS and the Criminal Justice Department of the University of North Carolina at Charlotte, conducted a comprehensive assessment of the disproportionate minority confinement issue in North Carolina. North Carolina then applied for an OJJDP Special Emphasis Grant to become a pilot state in addressing the disproportionate confinement of minorities.

DYS was awarded an OJJDP Special Emphasis Grant to address the problem of disproportionate minority confinement in October 1991. In February 1992, the DHS Director hired a Program Director for Minority Issues. This full-time position was devoted entirely to North Carolina's DMC initiative.

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<sup>4</sup> Church, V.T. *Embracing Diversity, Expanding Common Ground Commencement: North Carolina Department of Human Resources, Division of Youth Services.* 1994.

The North Carolina DMC project was organized functionally. OJJDP, as the funding agency, was organizationally at the top, with a direct line relationship with DYS. DYS had program operational responsibility for the North Carolina DMC. Providing technical assistance and evaluation services to DYS and funded directly by OJJDP were Portland State University, Community Research Associates, and Caliber Associates, respectively.

Working directly with DYS on this project was the University of North Carolina at Charlotte; staff contributed to the North Carolina DMC grant proposal and had responsibility for data analysis and the development of a DYS statewide information system. The Governor's Crime Commission worked collaboratively with the DYS-based DMC project staff. Operating under the guidance of DYS were the 10 DMC pilot counties. They had responsibility for DMC planning in their respective counties and currently have direct program implementation responsibility. An unofficial organization chart is presented in Exhibit III-1.

The organizational location of the DMC project within DYS is considered less than optimal by the DMC project staff. The current location subjects the project staff and activities to a level of political scrutiny which might be minimized if the DMC project were operated outside of a governmental organization.

Overall, the North Carolina DMC initiative had, as its mission, the promulgation of knowledge, understanding and acknowledgment of the DMC problem definition at the state, county and local levels. Once the DMC problem is understood, the primary North Carolina DMC project goal was to facilitate the development of local plans for intervening and ultimately resolving the problem of disproportionate confinement of minority youth within the juvenile justice system.

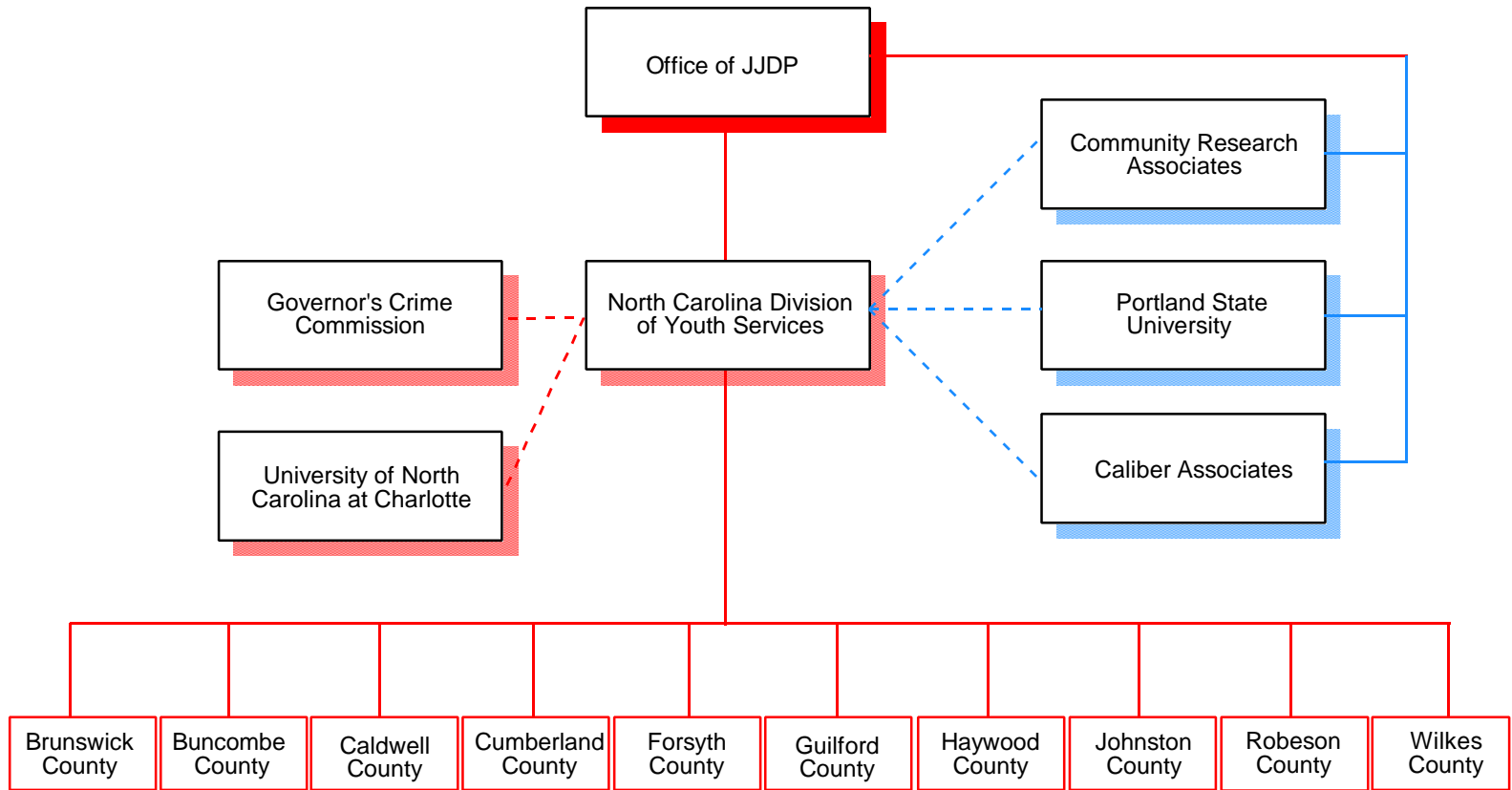
The North Carolina DMC team recognized that a strong potential for resistance to understanding and accepting the DMC problem existed within juvenile justice systems and communities throughout the state. The major objectives therefore were to assist key decision makers and community leaders at the state and county levels to:

- Determine the extent of the DMC problem on a state-wide and county basis
- Garner agreement on the extent of the DMC problem and factors which contribute to the problem





**EXHIBIT III-1  
NORTH CAROLINA DMC PROJECT ORGANIZATION CHART**



- Develop a plan or approach to solving the DMC problem.

Although another objective of North Carolina's DMC initiative was to support the implementation of plans to reduce DMC, few implementation efforts were expected to be initiated during the pilot project period.

## **2. PHASE I RESEARCH ACTIVITIES AND FINDINGS**

During Phase I of the state's initiative, DYS, with assistance from the University of North Carolina at Charlotte, twice conducted data analysis to assess the extent of minority overrepresentation in the juvenile justice system of North Carolina. The first analysis activities were conducted in 1991-92 using 1990 data, the second in 1994 using 1993 data. Both the 1992 and 1994 research projects are summarized below as well as in Exhibit III-2 on the following page.

### **2.1 1990/91 Research Study**

Beginning in 1991, the state research team conducted analyses on two separate data sources: (1) arrest, detention, and commitment data from calendar year 1990, collected from all 100 North Carolina counties; and (2) law enforcement and juvenile court case processing data from calendar year 1990, collected from ten pilot counties, representing a cross-section of North Carolina.

This study found that minority youth were over-represented at each stage of the juvenile justice process. Although much of this overrepresentation was accounted for by offender characteristics that were not race-based, analyses suggested that some minority overrepresentation persisted even after accounting for offender characteristics. Analyses of statewide juvenile justice data also found considerable variations in the extent of the disproportionality among North Carolina's 100 counties. In a majority of counties, however, minority youth were more likely to have been arrested, detained, and committed to a training school.

Findings from the state-wide analyses guided the selection of ten counties for more intensive analysis. The ten counties included five (Buncombe, Caldwell, Cumberland, Forsyth, and Johnston) in which minorities were over-represented in their arrest, detention and commitment rates. These five were paired with five neighboring counties (Brunswick, Guilford, Haywood, Robeson, and Wilkes) in which minorities were not over-represented or only slightly over-represented. Together, the ten

**EXHIBIT III-2  
NORTH CAROLINA PHASE I RESEARCH**

Phase I Study - 1990/91	Phase I Update - 1993/94
<p><b>Data Sources:</b></p> <p><i>All counties:</i> Population data on arrest, detention and commitment for the calendar year 1990</p> <p><i>Pilot counties:</i> 1990 population data for juvenile court intake decisions from nine pilot counties</p> <p>1990 population data for adjudication and commitment decisions from seven non-urban counties; 25% random sample data from three urban counties</p>	<p><b>Data Sources:</b></p> <p><i>Pilot counties:</i> 1993 population data for juvenile court intake decisions for all pilot counties</p> <p>1993 population data for juvenile court adjudication decisions for seven pilot counties; data from three counties were incomplete</p>
<p><b>Types of Analyses:</b></p> <p><i>All counties:</i> DMC indices (number of minority youth arrested, detained and committed divided by the number of minority youth in the county) for all 100 North Carolina counties</p> <p><i>Pilot counties:</i> Multiple logistic regression (sample data were weighted)</p>	<p><b>Types of Analyses:</b></p> <p><i>Pilot counties:</i> Probit regression on juvenile justice data from the 10 pilot counties</p>
<p><b>Major Findings:</b></p> <p><i>All counties:</i> A majority of North Carolina counties showed evidence of DMC; these findings were the basis for selecting five DMC pilot counties and five non-DMC pilot counties for further study</p> <p><i>Pilot counties:</i> Minority youth were more likely to be arrested and presented to intake in all counties</p> <p>Minority youth were most likely to be referred to juvenile court than Anglo youth in DMC pilot counties and more likely to be committed to training school in all counties</p>	<p><b>Major Findings :</b></p> <p><i>Pilot counties:</i> Levels of DMC did not significantly vary across pilot counties</p> <p>Minority youth were more likely to be arrested and presented to intake</p> <p>All youth were equally likely to be referred to juvenile court</p> <p>Minority youth were more likely to be committed to training school than Anglo youth</p>

counties represented the geographic and demographic diversity of the state. Two represented the mountainous region, two represented the urban piedmont, two represented the rural piedmont, two represented the coastal plains region and two counties had significant Native American populations.<sup>5</sup>

Multivariate analyses of the case processing data from the ten pilot counties indicated that prior involvement with community-based alternatives and home instability were generally the strongest determinants affecting the decision to refer youth to court and to commit. Race also influenced decision-making; however, the effect of race varied by the stage of the process and between high and low overrepresentation counties. The following indicates the findings with regard to race:

- African American youth were more likely than other youth to be referred to court in high overrepresentation counties while Native American youth were more likely to be referred in low overrepresentation counties
- In counties with low overrepresentation, African American youth were more likely to be committed to a training school, whereas Native Americans were more likely to be committed in high overrepresentation counties
- Across all counties, being African American and Native American was a significant factor in being referred to court; however, the effect of race was less pronounced in predicting commitment.

Although multivariate analyses indicated that minorities were over-represented and that race was a significant factor, the most significant factor affecting decision-making was prior involvement in community-based alternatives. In this state, prior to commitment, community resources must be exhausted or deemed inappropriate and the juvenile must be a threat to person(s) or property. Juveniles who had previously participated in a community-based alternative program were significantly more likely to be referred to court and then be committed to the Division of Youth Services.

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<sup>5</sup> Church, V.T. *Embracing Diversity, Expanding Common Ground*. Department of Human Resources, Division of Youth Services. 1993.

## 2.2 1993/94 Research Study

Upon completion of the 1990/91 research project, the state research team raised concerns about the validity of some of its own findings. At the behest of the North Carolina General Assembly Subcommittee on the Minority Male, the research team completed a follow-up DMC study in 1994. Concerns about the 1990/91 research findings had focused on issues of sampling within the three urban pilot counties (populations, rather than samples of populations, had been studied in the seven other pilot counties). Therefore, the 1993/94 study was based on population data from each county. In seven of the ten pilot counties, state researchers collected and analyzed official record data on all cases at intake and at adjudication for the calendar year 1993. Three counties—Guilford, Robeson, and Johnston—were unable to provide complete data on adjudication decisions and were not included in all analyses.

In important ways, the 1993/94 research findings differed from the 1990/91 research findings. Most significantly, the 1993/94 analyses concluded that:

- Differences in minority overrepresentation did not vary much from county to county
- Upon being presented to a juvenile intake facility, African American, Native American, and Anglo youth were referred to juvenile courts at the same rates.

Like the 1990/91 findings, however, minority youth were more likely than Anglo youth to be arrested and presented to a juvenile intake facility.

The 1993/94 research findings also reflected the 1990/91 findings concerning what happened to minority youth within the court system. African American youth in all counties were significantly more likely than Caucasian youth to be committed to a secure juvenile facility. Native American youth were also more likely than Anglo youth to be securely committed (but because most of the study's Native American population resides in a single pilot county, Robeson County, this finding should not be generalized to the entire state).

The state research team regarded the 1993/94 findings as "suggestive" evidence that race affects how youth are treated by the juvenile justice system in North Carolina. If DMC exists, the research team concluded, it most likely exists in every county at the arrest and confinement stages of the juvenile justice system.

### **3. STATE-LEVEL PHASE II PLANS AND ACTIVITIES**

Once the Phase I background research on overrepresentation was completed, the North Carolina DMC project team developed five major objectives to guide state-level activities during Phase II of the DMC demonstration. The Phase II objectives were to:

- Obtain community-based input on the DMC issue to inform and direct both phases of the DMC initiative
- Assist pilot counties to understand the nature of their own DMC problems and plan interventions to reduce DMC
- Develop state-level commitment by involving agencies which deal with juveniles as stakeholders in a comprehensive statewide DMC effort
- Develop program operation manuals to assist juvenile justice officials throughout the state to monitor and address DMC
- Develop a statewide, automated information system to obtain aggregate or case-level data to be used to monitor and address the extent of DMC at major points within North Carolina's juvenile justice system.

Each of the objectives are respectively described in the next five sections, followed by a description of North Carolina's future plans for addressing DMC.

#### **3.1 Obtain Community-Based Input**

The first major DMC state-level objective was to obtain community-based input to inform both phases of North Carolina's DMC initiative. The DMC team believed that the primary impetus for change would have to be provided by localities if the DMC initiative was ever to truly impact North Carolina's minority youth population. By incorporating community viewpoints into Phase I and Phase II strategies, the DMC team sought to increase the efficacy of the initiative and the likelihood that communities would embrace the initiative and ultimately commit to planning and implementing strategies to address DMC. Therefore, a series of events were conducted which were designed to obtain a broad base of input from minority community leaders, academicians, service providers, and law enforcement officials from throughout the state. These events included two forums and several public hearings. Findings from these events were ultimately incorporated into both phases of North Carolina's DMC initiative. Participants of these events generated hypotheses that were explored during

the Phase I research project. Participants also made recommendations that were later developed into major components of North Carolina's Phase II strategy. Proceedings and major findings of the two forums are summarized below, followed by a similar summary of the public hearings.



## Community Forums

There were two major forums: (1) the Academicians' Forum and (2) the Practitioners' Forum. The forums were held in September and October 1991, respectively.

The Academicians' Forum included representatives selected by chancellors and presidents of all four year institutions of higher learning, presidents of community colleges with justice-related curricula, and researchers known to be studying either juvenile justice or racial minority issues. The forum included three small group discussions which examined the legal and demographic aspects of DMC and programming implications.<sup>6</sup>

The Practitioners' Forum was designed to elicit information from persons who worked within the field of juvenile justice. Invitees included representatives from training schools, detention centers, law enforcement programs, juvenile court counseling services, and judges. Again, three small group discussions were held to identify factors contributing to DMC and programming implication.<sup>7</sup>

Participants from both forums reached a consensus on the most important factors which contribute to the overrepresentation of minority youth in the juvenile justice system. These factors may be classified into the following types:

- Family related factors. Cited factors included a disproportionate percentage of minority youth from impoverished families and single-parent homes as well as a disproportionate percentage of minority youth who lacked parental supervision or who had experienced abandonment
- Education related factors. Cited factors included a lack of social skills and training in mediation among minority populations, a lack of effective literacy and trade programs for minorities, a lack of cultural sensitivity/awareness (e.g., textbooks that include minority achievements) among minority and majority populations; and a lack of programs to address the needs of at-risk children who are disproportionately minority children

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<sup>6</sup> DYS. *A Closer Look: Overrepresentation of Minority Children in the North Carolina Juvenile Justice System.* 1991.

<sup>7</sup> Ibid.

- Juvenile justice system factors. Cited factors included a lack of culturally competent service providers and minority service providers, a shortage of minority youth advocates, a shortage of effective prevention programs, inadequate legal representation for minority youth and families, and a lack of communication between minority communities and police and other system decision makers.

In addition, participants cited community factors such as a dearth of early intervention programs, after-school programs, and African American role model programs.

Forum participants made a large number of procedural and programmatic recommendations to address DMC. The most popular recommendations were to:

- Develop an automated statewide information system for juvenile court records
- Provide cultural awareness training to juvenile justice professionals and other agencies that provide services to youth and families
- Encourage effective programming for at-risk youth and youth involved in the juvenile justice system
- Encourage ongoing evaluation of the effectiveness of programs targeted at juveniles
- Conduct a study of the juvenile justice system to learn more about how decisions are being made at various stages.

The first recommendation, listed above, was developed into a major component of North Carolina's DMC initiative. The DMC project team later promulgated the other recommendations to pilot counties to help them plan DMC interventions.

## **Public Hearings**

The public hearings on DMC were held during late 1991 in Asheville, Charlotte, Elizabeth City, Durham and Pembroke. Each event was well attended by minority community leaders as well as representatives of many agencies within the juvenile justice system. The proceedings at each of the public hearings included a presentation of information on the DMC issue.

The consensus among participants of the public hearings was that minority youth were being treated differently than Anglo youth throughout the North Carolina juvenile justice system. Public hearing participants generally concurred with the sources of DMC identified by forum participants yet identified additional sources.

Many public hearing participants cited school problems as a major contributing factor. These participants believed that minority youth were more likely than Anglo youth to experience feelings of alienation toward school. Minority youth therefore were more likely to drop out of school as well as engage in delinquent behaviors within the community. In addition, public hearing participants asserted that minority youth were more likely than Anglo youth to be subjected to peer pressure to commit delinquent acts.

Finally, many public hearing participants asserted that minority youth faced greater difficulty in obtaining employment which increased their chances of becoming involved in the juvenile justice system for several reasons. First, joblessness hinders the ability of youth to acquire several desirable traits, including self-discipline and self-reliance. Second, joblessness leaves youth with more unstructured leisure time which, in turn, increases the opportunity for minority youth to become involved in delinquent activities. Third, joblessness increases the likelihood that minority youth will feel alienated toward society and acquire a nihilistic outlook which licenses acts of delinquency.

### **3.2 Assist Pilot Counties to Understand and Address DMC**

The primary focus of the DMC project during Phase II was to inform, assist, and support each of the ten counties in developing county action plans to address the disproportionate representation of minorities. The DMC project team's community planning effort included three major activities:

- Explaining the results of the statistical analysis of each county's data to representatives from the localities
- Conducting a conference, involving representatives from all ten pilot counties, to review additional analysis of the county data; to discuss issues, policies and legislation; and to begin developing tailored county action plans
- Providing technical support to each of the ten pilot counties in developing county action plans to reduce overrepresentation.

Based on the evaluation interview data, each of these activities is described below.

### **Explaining Statistical Results**

Primarily to increase community awareness of DMC and educate pilot county stakeholders on the extent to their own DMC problem, the state DMC team conducted pilot site meetings in each of the pilot counties. Overall, the purpose of these meetings was to (1) get local clarification on data needs and (2) begin formulation of state and local DMC plans. During the meeting, the DMC Project Director distributed relevant sections from the Phase I report. The project director then reviewed the county DMC data through a slide presentation which included graphics and tables. A copy of the slide presentation was also provided to a key county representative perceived to be a "sparkplug" for the DMC initiative.

Following the slide presentation, attendees participated in small group discussions. The discussions were designed to reinforce and make palpable the message of county-level DMC. The project director attempted to address disagreements with the data and provided additional analyses, as requested.

### **Conducting County Conferences**

In November 1993, the DMC team sponsored a conference, entitled the *Ten Sites Conference*, of the ten pilot counties to discuss issues and factors which contribute to disproportionate representation of minorities. The conference provided representatives of the pilot counties an opportunity to examine and discuss the findings of the data analyses and begin developing community action plans to address overrepresentation in their communities.

Specific conference objectives included:

- To convene a working conference of ten pilot counties
- To provide county representatives with opportunity to discuss issues and factors which contribute to overrepresentation
- To generate input and suggestions from participants about causes of and interventions for disproportionate representation
- To assist pilot counties in developing community action plans.

To meet the objectives, the conference agenda included (1) a presentation of updated Phase I data and the distribution of county data reports (2) small group working sessions which identified DMC contributing factors and potential interventions at the county level and (3) small group discussions and a report-out of ideas for development of a state plan to address DMC.

To facilitate the development of County Action Plans, a worksheet was provided to all participants for completion. A sample worksheet is provided in Exhibit III-3. The results of the County Action Plan development process, which was started during the *Ten Sites Conference*, are discussed in Chapter IV.

The *Ten Sites Conference* participants provided over 50 suggestions for the development of a state-level plan. A review of the suggestions reveals that the perceived needs for state interventions relate to one of four major categories; the categories and examples of the suggestions include:

- Juvenile justice system-related: specific suggestions were numerous and varied. Examples include:
  - Revise laws and codes to more adequately meet minority needs
  - Promote communications among all levels of government and between racial and ethnic groups
  - Create a state central registry for information gathering
  - Develop more alternatives to confinement.
- Socio-economic-related: the majority of the suggestions related to socio-economic conditions of society as a whole, and the racial and ethnic minority communities. Specific suggestions primarily focused on the creation of new, or re-enforcement of existing, community-based resources, services and agencies
- Education-related factors that were identified were few but important; examples include: culturally sensitizing the system through diverse staffing; provision of screening and additional services to at-risk youth; provision of financial aid to college-bound minority students
- Family-related factors: implicit in a few suggestions was the view that minority families need "strengthening" so as to prevent DMC.

Suggestions for the state plan were used by the DMC Project Director in subsequent discussions with state-level stakeholders and in planning the July 1994 state-level stakeholders' conference (see Section 3.3).

**EXHIBIT III-3  
COUNTY ACTION PLAN—WORK SHEET**

<b>Action Needed</b>	<b>Action Steps</b>	<b>Agent</b>	<b>Timetable</b>

## Providing Technical Assistance

Beginning with the presentation of county data at the pilot site meetings, the DMC Project Director provided technical assistance to each county. The focus of the technical assistance was two-fold:

- Provide DMC data and information, interpret the information and facilitate broad-based understanding and acceptance of the DMC definitions
- Provide training in and support for the county-level planning process and the ultimate development of the county plans.

Technical assistance was provided both in person and via the telephone. The DMC project team, however, recognizing that face-to-face contacts were more effective in eliciting understanding, made every effort to visit the pilot counties.

### 3.3 Develop State-Level Commitment

A third major project objective was to develop a broad base of state-level support for the DMC initiative. By developing a network of state-level DMC stakeholders who agreed on the nature of the problem and actively supported its resolution, the DMC project team sought to garner additional resources, reduce apathy and opposition, increase levels of collaboration and cooperation, and sustain focus on the DMC issue. The DMC project team's efforts to develop state-level stakeholder commitment were conducted concurrently with the county-level activities, described above.

To garner the support of state-level stakeholders, the DMC project team provided a series of formally and informally organized information meetings. Beginning in 1991, two multi-purpose forums were provided which helped to elicit support for the DMC initiative from potential state-level stakeholders. These forums, which targeted academicians and practitioners, were described previously.

Later, in 1993-94, the DMC project team invited state-level DMC stakeholders to participate in two state-wide conferences. The first, the *Ten Sites Conference*, was specifically designed to facilitate county-level commitment and was described in the preceding section (see Section 3.2).



The second conference, *Embracing Diversity: Expanding Common Ground*, was held in Raleigh in July 1994. This conference ultimately aimed to encourage a lasting commitment to resolving DMC problems among key state elected officials and agency personnel. During the conference, the state DMC team presented an update of the Phase I research findings on DMC within the pilot counties. The conference then allowed state-level and county-level DMC stakeholders to share information on their DMC experiences and activities. One particular conference goal was to provide the ten pilot counties with an opportunity to share lessons learned from their planning experiences. This opportunity was not fully realized because representatives from just three pilot counties—Caldwell, Forsyth, and Guilford—attended the Raleigh conference. Representatives from two pilot counties, however, did present a description of their planning experiences and summarized the lessons they had learned.

In approaching DMC stakeholders at the state level—and later, at the county level—the DMC team provided objective data about DMC so that stakeholders were able to draw their own conclusions. On one occasion, the DMC team also identified the economic implications of DMC.

The DMC presentation pointed out that reducing DMC within the juvenile justice system would reduce future state costs by lowering the total number of youth who would be arrested, adjudicated, and confined. Similarly, state costs would be reduced by DMC interventions to prevent minority youth from committing delinquent offenses. Finally, the DMC initiative would increase the percentage of youth who become contributing members of society and thus give North Carolina a competitive edge in attracting new businesses to the state and retaining existing ones.

Several state-level stakeholders ultimately supported the DMC initiative. These stakeholders included academicians from the University of North Carolina at Charlotte; the State Advisory Group (SAG); the Governor's Crime Commission; the Administrative Office of the Courts (AOC); state legislators; and leaders of several government agencies. Examples of state-level stakeholder contributions are summarized below:

- The Juvenile Justice Committee of the Governor's Crime Commission conducted content analyses of data collected at a series of DYS-sponsored DMC forums
- State legislators from the North Carolina General Assembly Subcommittee on the Minority Male called for a follow-up research study on DMC

- The Department of Human Resources, [see Phase I update report] provided funds for the follow-up research study
- District Court Judges voluntarily cooperated with the Phase I data collection effort by authorizing review of juvenile records.

The DMC team's efforts to develop state-level DMC stakeholders were hindered by two major factors. First, many DMC stakeholders expressed reservations about participating because they doubted that the DMC initiative would receive adequate support from the state government. These doubts were primarily based on the recent election of a Governor who had run for office on a platform that advocated "tough on crime" policies. Second, DMC stakeholders expressed reservations about supporting the initiative because juvenile justice data were suggesting an increase in the frequency of "Black on Black" crime across the state. Some DMC stakeholders feared that the DMC initiative might exacerbate the trend. Others feared that the trend might hinder widespread community-based support for the DMC initiative.

### **3.4 Develop Program Operation Manuals**

A DMC planned Phase II activity was the development of a procedural manual and a resource manual for use by juvenile justice professionals and county task forces. The procedural manual would profile procedures for monitoring the involvement of minority youth in the juvenile justice system. The resource manual would profile model programs for reducing the disproportionate representation of minority youth in the juvenile justice system, and identify potential funding sources and technical assistance providers.

The procedural manual and the resource manual described in the grant application were combined into one document. The manual has three sections. The first section describes a process for planning and implementing a DMC monitoring system at the local level. The second section includes a copy of the state DMC research team's data collection protocols which lists the data elements to be collected and how they should be coded for analyses. The third section contains program descriptions of community programs for minority youth.

### **3.5 Develop a Statewide Information System**

North Carolina lacks an automated information system to obtain aggregate or case-level data on juvenile justice involved youth. Therefore, DYS, in conjunction with

the Juvenile Services Division of AOC and other state agencies which provide services to youth, planned to establish a workgroup to develop a statewide information system to enable all counties and appropriate state agencies to obtain ongoing reporting of juvenile court information.

During Phase II, DYS formed a project working group composed of the representatives from each of the agencies which collect juvenile data. Since its formation, the group has elected to reduce the scope of the objective. The information generated by this system will be available to all 100 counties in North Carolina and appropriate state agencies.

The goals of the state-wide information system are (1) to monitor DMC and (2) to provide information to assist children in need. Data needed to support these goals include: age, race, gender, current charge and severity, and past charges and severity, as well as data on needs and services that are available to address those needs.

The University of North Carolina at Charlotte has a contract through the Governor's Crime Commission to help develop a model system as well as a grant to work on the DYS system. At the time of the evaluation, system development work was underway. The detention centers, training schools and community-based agency programs are in the process of being computerized. Automation of the state-wide juvenile justice system records has been postponed, due to insufficient "buy-in." During the evaluation interviews, DYS reported that system-related recommendations would be made to the state legislature in early 1995.

#### **4. FUTURE PLANS TO ADDRESS DMC IN NORTH CAROLINA**

North Carolina's plans for addressing DMC in the future are uncertain and unrefined primarily because of the limited support being provided by state-level DMC stakeholders and because DYS will no longer lead the initiative in the near future. DYS believes that DMC leadership should be provided by an organization outside state government so as to minimize the political pressures and enable the sponsoring agency to advocate on behalf of DMC. At the time of the evaluation interviews, DYS was responding to a Request for Proposals (RFP) for a non-profit foundation to take over leadership of North Carolina's DMC initiative. As long as DYS is in the lead, the agency will work toward accomplishing several DMC objectives at both the state and county levels.

First, DYS plans to develop a state-wide annual report on DMC, modeled after the Anne B. Casey Foundation's "Kids Count Report." Second, DYS plans to contribute to refinement of the state's DMC information system and oversee the ongoing collection of DMC-related information. Third, DYS will provide technical assistance to two North Carolina counties that requested assistance in developing their own local DMC initiatives. Fourth, the North Carolina legislature sponsored a study of youth which investigated (1) appropriateness of youth in training schools, (2) effectiveness of probation, and (3) effectiveness of community-based alternatives. The study resulted in AOC "buy-in" and may lead to a follow-up study.

DYS will also advocate to state government leaders that they should implement a set of recommendations which hundreds of DMC stakeholders generated over the course of the DMC initiative. These recommendations are to:

1. Understand that if the State wants children to adopt positive societal values, the State must positively value all her children
2. Create a uniform information system for children in the juvenile justice system
3. Promote collaboration and cooperation of youth serving agencies to alleviate fragmented services and create a common agenda
4. Ensure cultural competence in all juvenile justice agencies, schools and human services
5. Provide more effective programming for at-risk and juvenile justice involved children
6. Examine State and federal laws and policies that may have negative impact on the disproportionate incarceration of minority children
7. Require the certification and specialization in juvenile procedures of judges, district attorneys, court officers and lawyers involved in juvenile cases.

These recommendations are described in detail in *Embracing Diversity, Expanding Common Ground: Commencement*, which represents North Carolina's Final Report to OJJDP.

#### **IV. PILOT COUNTY COMMUNITY PLANNING**

## **IV. PILOT COUNTY COMMUNITY PLANNING**

Because the Phase I data analysis demonstrated that minority youth were over-represented in the juvenile justice system statewide and in a majority of the state's counties, DYS decided that community-based approaches would have the most significant impact in reducing the overrepresentation of minority youth in North Carolina's juvenile justice system. The primary focus of the North Carolina DMC project therefore was to inform, assist, and support each of the ten counties in developing county action plans to address the disproportionate representation of minorities.

With support from the state-level DMC leaders, each pilot county conducted community-wide efforts to understand the extent of the local DMC problem, determine its sources, and develop and implement interventions to reduce DMC. The evaluation found that community planning in each of the pilot counties involved four steps:

- Establishing county DMC stakeholders—individuals who actively supported or participated in the community planning process
- Garnering agreement as to the local DMC problem
- Identifying factors which contribute to DMC
- Addressing DMC through the development and implementation of County Action Plans—interventions to reduce disproportionate minority confinement in the juvenile justice system.

These four steps provide the framework for presentation of findings on community planning in the pilot counties.

### **1. ESTABLISHING COUNTY STAKEHOLDERS**

The North Carolina DMC demonstration project is, in large part, dependent on voluntary support for the project's missions. This demonstration project did not provide an infusion of new money for the development of local programs and/or DMC interventions. Rather, the DMC demonstration project provided information and support for county-level DMC problem definition and for community-based development of solutions to the DMC problem.

Therefore, the success of the North Carolina DMC demonstration project is predicated on the DMC team's ability to instill within the community leadership a sense of ownership for the DMC problem. Further, the commitment of resources by and cooperation of local agencies which provided services to youth are deemed critical to North Carolina's efforts to address the disparate treatment of minority youth by the juvenile justice system.

Community leadership, including political, civic and professional (i.e., official organizations and agencies) comprise the DMC "stakeholders." For purposes of this report, stakeholders are defined as individuals who are positioned, through their professional activities or civic/political activities, to influence the community's adoption of the DMC issue. County-level stakeholders include district court judges, law enforcement, court counselors, detention and training facility staff, community service providers, elected officials and community leadership (e.g., a local minister, president of the PTA, community volunteers). Each of the stakeholders either plays a role in the processing of juveniles in the justice system or is positioned to influence policies governing youth and community perceptions of youth. Obtaining stakeholder input, cooperation and commitment therefore was seen, by the DMC team, as essential to address the disproportionate representation of minority youth in a comprehensive manner.

Overall, the evaluation found, that within each of the pilot counties, a large and diverse group of individuals were identified as DMC stakeholders. The evaluation also found, however, that within and across pilot counties, the commitment and participation levels of county stakeholders varied greatly.

Given that the short and long term success of North Carolina's efforts to reduce overrepresentation is closely tied to stakeholder commitment and activities, the evaluation focused on these county-level individuals and processes. Specifically, the evaluation assessed methods through which stakeholders were identified, the specific agencies represented by local stakeholders and the levels of commitment and activity among these county-level DMC representatives. The following paragraphs present these findings.

## **1.1 Stakeholder Identification**

County DMC stakeholders were identified in similar fashion across pilot counties through a combination of state and local efforts. Four junctures in North Carolina's

DMC initiative provided specific opportunities to encourage county-level participation in the DMC activities and county-level responsibility for planning DMC interventions. These junctures, in chronological order, were:

- Phase I data collection activities in the pilot counties
- State-sponsored public hearings on DMC in the pilot counties
- State-sponsored DMC community planning conference for all pilot counties
- Pilot county DMC planning activities.

Brief descriptions of how county DMC stakeholders were identified during each of these four junctures are presented below.

During Phase I of the project, DYS made a concerted effort to solicit the input, participation and commitment of the various stakeholders in the initiative through the practitioners' and academic forums, and efforts to collect statewide and county level data. These early "recruits" were primarily from the juvenile court system because implementation of the data collection plan required permission of district court judges and the collaboration of pilot county court counselors to obtain juvenile records.

During this time, 11 county meetings were held; at least one meeting was conducted in each of the 10 counties. During these meetings, DYS (1) presented the Phase I data, (2) assessed county reaction to the data ("Do the data make sense?"), and (3) encouraged county representatives to provide ideas for a local and state response to the data.

Following completion of the Phase I statewide data assessment and the indepth analysis of the ten pilot counties' data, DYS provided each of the pilot counties with the results of county data analysis for their review and comment. DYS presented the county data at county forums (3 counties), through ad hoc committees (3 counties) and/or to individual representatives of the courts, juvenile justice councils and related agencies. These data presentations were a vehicle to enhance community awareness of the DMC issue and encourage recognition and ownership of this public issue.

Early in Phase II, DYS sponsored a working conference for the ten pilot counties to examine additional data provided by DYS, discuss issues and factors which contribute to disproportionate representation of juvenile minorities that occur



throughout the state and the pilot counties, and to begin developing community action plans. This *Ten Sites Conference* was attended by representatives from each of the ten counties; the number of attendees ranged from one to ten per county. Conference attendees functioned as stakeholders during the conference working sessions and many continued in this role for the duration of the DMC project.

Finally, individuals became DMC stakeholders shortly following the planning conference by agreeing to participate on interagency community planning teams. Nearly all pilot counties formed teams of stakeholders to plan and implement strategies to reduce DMC.

## **1.2 Stakeholder Representation**

In all counties, DMC stakeholders were from racially and professionally diverse backgrounds. In fact, the ethnicity of active DMC stakeholders reflected—in a few counties, mirrored—the racial diversity of the county population. In all counties, DMC stakeholders represented an expansive range of agencies, and held vastly different professional positions in private, public and non-profit organizations. In one county, for example, DMC stakeholders included a county commissioner; the chief court counselor of the Administrative Office of the Courts (AOC); the district attorney; a sheriff's deputy; a college administrator; school social workers; and public and non-profit agency chief executive officers, mid-level managers, and line staff.

Among all pilot counties, AOC produced the highest number of DMC stakeholders. In nearly all pilot counties, DMC stakeholders included at least two—and frequently several more—AOC employees. DMC stakeholders from AOC were often chief court counselors, court counselor supervisors, or court counselors. In Cumberland County, an AOC staff psychologist was identified as an active DMC stakeholder.

## **1.3 Stakeholder Participation**

Across pilot counties, the total number of DMC stakeholders ranged from approximately 10-40 individuals. In each county, however, interviewees distinguished between different types of DMC stakeholders based on style or frequency of participation as well as level of contribution to the DMC county planning process. Most interviewees distinguished between "active" and "inactive" DMC stakeholders. According to interviewees, active stakeholders were frequently:

- Middle managers and line staff who participated regularly in community planning activities
- Agency CEOs who did not regularly participate in community planning activities but who supported DMC planning through vocal exhortation, provision of in-kind support, or commitment to provide funds for DMC interventions.

The number of active DMC stakeholders ranged, across pilot counties, from approximately 7-20 individuals, per county. Analyses of interview data revealed that, across pilot counties, active stakeholders represented a wide variety of organizations including AOC, Department of Social Services, public schools, community mental health agencies, Juvenile Detention Center, County Sheriff's Department, County Juvenile Justice Council, District Attorney's Office, local law enforcement and community leadership.

Most interviewees characterized DMC stakeholders as inactive if their participation in community planning activities had been infrequent or reluctant. Analyses of interview data revealed that, across pilot counties, inactive stakeholders were not likely to represent any particular type of organization.

Within each county, according to the DMC stakeholder interviews, there were several agencies or organizations which were perceived as important to the DMC initiative but which failed to participate in the planning activities. The non-participating agencies varied across the ten counties. For example, local law enforcement was not represented in the planning activities in several counties but was represented in other counties.

## **2. GARNERING AGREEMENT AS TO THE DMC PROBLEM**

Problem solving within a public policy context involves four critical steps including: (1) identifying the problem, (2) garnering agreement of the problem definition among key decision makers and/or community leaders, (3) developing a plan or approach to solving the problem and (4) implementing that plan or approach. Within North Carolina, the DMC problem identification was accomplished during the Phase I research. The state DMC leadership recognized, early in Phase II, that the second step, garnering agreement as to the DMC problem definition at the local level, was absolutely essential to the county-level planning and problem solving process.

Despite the enormous effort from the state DMC team as well as individual DMC stakeholders within some pilot counties, most pilot counties experienced difficulty understanding the extent of DMC in their own communities. Moreover, DMC stakeholders within only two pilot counties came to an agreement on the extent of the local DMC problem. In eight counties, the extent of the DMC problem remains a subject of contention.

The state DMC team assisted all pilot counties to understand the extent of DMC during public hearings, held in each pilot county in 1993, and later, during state-sponsored conferences for all pilot counties in 1993/94. In addition, the ten pilot counties attempted to determine and agree upon the extent of the local DMC problem during their own community planning meetings. The next three subsections describe the state DMC team's three major efforts to assist pilot counties to determine and agree upon the extent of the DMC problem. The last subsection describes individual pilot county initiatives.

## **2.1 Public Hearings**

Primarily to increase community awareness of DMC and to educate pilot county stakeholders on the extent of their own DMC problem, the state DMC team conducted public hearings, forums or meetings in each of the pilot counties.

During hearings in some counties, the statistical data on the extent of DMC sparked mild disagreement. Interviewees who had attended a public hearing, however, generally agreed that the event enhanced community awareness of the DMC issue. Some interviewees reported that the public hearings in their area had attracted media publicity, primarily local newspaper coverage. Public hearings also benefitted the North Carolina DMC initiative by providing the DYS Program Director for Minority Issues with a personal opportunity to encourage county DMC stakeholders to form an interagency planning team to send to the upcoming *Ten Sites Conference*.

## **2.2 *Ten Sites Conference: Greensboro, North Carolina***

The *Ten Sites Conference* was described earlier as a forum for identifying DMC stakeholders and reinforcing their roles and functions. The conference, however, had a much broader agenda and included the following objectives:

- Provide county representatives with the opportunity to discuss issues and factors which contribute to DMC

- Generate input and suggestions from participants about causes of and interventions for disproportionate representation
- Assist pilot counties in developing community action plans.

In meeting these objectives, the conference provided several opportunities for county representatives to understand the DMC issue and reach agreement amongst themselves as to the problem definition.

The first opportunity was provided by North Carolina's DMC research team who presented additional findings from the Phase I research during early sessions of the *Ten Sites Conference*. Presenters described their research methodology and state-wide DMC findings as well as findings for individual pilot counties. In addition, the researchers discussed their own methodological concerns with the findings. Any additional research findings were given in response to requests.

The research presentation achieved mixed results, according to information collected during the evaluation. Representatives from five counties praised the data presentation for helping them to understand the issue of DMC and the extent of the problem in their own county. Some interviewees stated that the research findings confirmed their personal observations that minority youth were treated differently than Anglo youth within the juvenile justice system.

The remaining five counties' representatives were more critical of the *Ten Sites Conference* presentation of research findings. Common criticisms were that the analyses of county data were based on so few juvenile cases that the results were likely spurious. One conference attendee reported that a large majority of pilot county attendees found the presentation "hard to follow" and suggested the reason: most attendees lacked a social science research background. A few attendees who worked within the juvenile justice system reported feelings of resentment during the presentation, believing that the findings represented an oblique accusation of racial bigotry.

The conference also included two work group sessions which were designed to encourage county teams' working together. The assignments for these working sessions were to (1) discuss and seek concurrence on the DMC problem definitions, (2) develop ideas and proposals for the county-level action plans and (3) develop ideas for future state-level interventions.

In hindsight, according to the evaluation data sources, the work group sessions were not totally successful in building consensus as to the DMC problem definition. The sessions were highly successful, however, in generating (1) interest in and commitment to the DMC planning process, (2) ideas for county-level interventions and (3) suggestions for state-level activities. These positive results were reported by representatives from nine of the ten counties.

### **2.3 Pilot County Initiatives to Determine and Agree Upon the Extent of DMC**

Following the Greensboro planning conference in 1993, all pilot counties continued attempts to determine and agree upon the extent of their own local DMC problem. In most counties, the attempt consisted of discussions between interagency teams of DMC stakeholders during a few early pilot county planning meetings. In a few counties, one or two early meetings were devoted to the topic. During discussions within many pilot counties, DMC stakeholders referred to the Phase I data analyses with mistrust or confusion. A few county representatives reported conducting their own "informal" study of local DMC data to inform the discussions. Yet, attempts to determine and agree upon the extent of the local DMC problem were seldom easy, long-lasting or fruitful. Based on analyses of interview data, DMC stakeholders within only two pilot counties came to an agreement on the extent of their local DMC problem. The extent of the problem within the other eight counties remains a subject of contention.

## **3. IDENTIFYING FACTORS WHICH CONTRIBUTE TO DMC**

Devising appropriate, community-based intervention strategies to address DMC first requires accurate identification of factors which contribute to DMC as well as widespread agreement on those factors. During the North Carolina DMC demonstration project, opportunities for identifying and agreeing on the factors which contribute to DMC occurred during: (1) the Phase I forums and public hearings, (2) the *Ten Sites Conference* and (3) less formally, during local committee and/or task force meetings.

The purpose of this section is to present a summary of factors perceived as contributing to the DMC problems. This summary provides both a description of the factors and an assessment of county-level agreement—the prerequisite to developing appropriate interventions.

### **3.1 Factors Seen As Contributing to DMC**

The primary sources of information on the factors which are believed to contribute to DMC are the evaluation interviews with county-level stakeholders. For the analysis, this information has been supplemented by the written record of public hearings and the evaluators' notes from their observations of the *Ten Sites Conference*.

Information collected during the evaluation interviews was analyzed and the analysis is summarized in Exhibit IV-1. As shown, factors which are perceived by county representatives cover the gamut from systemic racism to perceived characteristics of the minority youth. In other words, the county representatives' perceptions range from "blaming the system" to "blaming the individual" or, as some would argue, "blaming the victim." Understanding these distinctions is theoretically important since presumably the perceived causes of or factors which contribute to DMC determine the appropriateness of the intervention.

While perceptions of factors which contribute to DMC are wide-ranging, the majority of perceptions relate to the individual minority youths, his or her family and/or his or her economic, social or educational failings. The following paragraphs present a description of the types of factors perceived as contributing to DMC and examples of each type.

#### **Juvenile Justice System**

At least one representative from nine of the ten pilot counties identified problems with the juvenile justice system as contributing to DMC. Systemic racism was identified as a frequent problem. Comments included: "prejudice among law enforcement personnel"; "prejudice in the judiciary"; "racism in the system"; and "juvenile justice system-related laws and attitudes are discriminatory." Other factors related to the juvenile justice system, which were identified by the interviewees, included: insufficient alternatives to confinement, "misuse" of the training schools, the perception that minority parents lacked sufficient information on their children's legal rights, and lack of cultural awareness among juvenile justice system staff.

As described in the literature,<sup>8</sup> the DMC issue must be seen from a systemic perspective rather than from a legal, sociological, service delivery or individual perspective. At least one and occasionally two representatives from a large majority of North Carolina pilot counties were in apparent agreement with this national perspective.

### **Socio-Economic Factors**

The majority of representatives from nine of the ten counties identified economic and/or social factors as contributing to DMC. The perception of poverty, low incomes,

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<sup>8</sup> Feyerherm, W. *Disproportionate Minority Confinement: Lessons Learned from the Pilot State Experiences*. Prepared for the Office of Juvenile Justice and Delinquency Prevention. Portland State University. 1995.

**EXHIBIT IV-1  
PILOT COUNTY PERCEPTIONS OF FACTORS CONTRIBUTING TO DMC**

	DMC COUNTIES					COMPANION COUNTIES				
	1	2	3	4	5	6	7	8	9	10
<b>1. Juvenile Justice System</b>										
• Systemic racism	X	X	X	X	X		X			
• No alternatives/diversions						X				X
• Misuse of training schools								X		
• Minority parents lack information on youth rights							X			
• Lack of cultural awareness				X				X		
<b>2. Economic</b>										
• Low income		X	X		X		X			
• Lack of opportunities						X	X			
<b>3. Social</b>										
• No role models		X					X			
• "Doomed to fail" syndrome					X					
• Urban congestion				X						X
• Lack of positive activities	X			X				X		
<b>4. Education</b>										
• Early school failures					X				X	
• Lack of prevention programs							X			



• System fails the youth				X	X	X				
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**EXHIBIT IV-1 (Continued)**  
**PILOT COUNTY PERCEPTIONS OF FACTORS CONTRIBUTING TO DMC**

	DMC COUNTIES					COMPANION COUNTIES				
	1	2	3	4	5	6	7	8	9	10
<b>5. Family</b>										
• Breakdown of values	X								X	
• Inadequate supervision		X		X						
• Single family homes					X					
<b>6. Youth</b>										
• Drug use, trafficking		X		X		X			X	
• Gangs									X	
• Criminality						X				
• Negative peer pressure					X					
• Lack of ambition		X							X	

and lack of economic opportunities among minority youth and their parents were described by several as contributing to DMC. Social factors identified included: lack of cultural awareness among the majority society, lack of role models for minority youth, urban congestion, and a "doomed to fail" syndrome. Several respondents identified a lack of positive social activities for minority youth as contributing to DMC.

For the most part, individual minority youth and their parents were not perceived as responsible for their socio-economic conditions. Rather, these factors were seen as being the responsibility of the wider society.

## **Education**

Several factors related to the educational system were seen by representatives from five counties as contributing to DMC. These include: early school failures and drop-outs; lack of vocational education and other programs which would help minority youth overcome economic adversity and the lack of resources for prevention programs.

Education-related factors appear to hold society and the individual, in combination, responsible for DMC. According to these perceptions, the educational system must be strengthened in order to better serve minority youth. Minority youth must also be more diligent in completing their education.

## **Family and Youth**

The categories of DMC contributing factors entitled *Family* and *Youth* are at the opposite end of the continuum from the juvenile justice system category. Several respondents from six of the ten pilot counties clearly believed that DMC resulted from minority youth behaviors and/or their family structures. Examples of perceived *Family* factors which contributed to DMC included a breakdown in family values, inadequate parental supervision, and the fact that minority families frequently have only one parent.

*Youth*-related factors perceived as contributing to DMC included juvenile crime, drug use, and gang membership among minority youth. Other factors that were cited included "negative peer pressure" and a "lack of ambition" among today's youth.

### **3.2 County-level Agreement on DMC Contributing Factors**

As previously stated, county-level agreement as to the factors that caused or contributed to DMC is essential to determining the most appropriate DMC interventions. Given this importance, the evaluation included an assessment of the extent to which counties achieved consensus on DMC contributing factors.

The evaluation found that there was little agreement within or across counties as to the factors that contributed to DMC. The most frequently cited factor related to racism or prejudice within the juvenile justice system. At least one representative from nine of the ten pilot counties identified this as a contributing factor.

There was also intra- and inter-county concurrence on the perceptions that socio-economic factors contributed to DMC. Again, representatives from nine counties identified these factors and, within five counties, multiple respondents identified socio-economic factors.

Education-, family-, and youth-related factors were cited by representatives from the fewest number of counties. Among these respondents, however, there was at least some agreement that minority youth and their families are responsible for disproportionate confinement. These reported perceptions perpetuate the belief that minority youth are more likely to be involved with delinquent or criminal behavior. As will be demonstrated in subsequent sections, the perceptions of over involvement in delinquency lead to specific types of prevention and intervention activities.<sup>9</sup>

#### **4. ADDRESSING PROBLEMS OF DISPROPORTIONATE MINORITY CONFINEMENT**

Following the process of developing knowledge and commitment among the stakeholders and laying the groundwork for understanding DMC and its contributing factors, the North Carolina DMC planning process shifted to the pilot counties. The state-level DMC team envisioned that their strategies to support community planning would result in the grassroots creation of planning organizations or other mechanisms at the local level. What, in fact, resulted was varying levels of involvement and activity related to developing DMC County Action Plans.

Findings from the evaluation's assessment of the local planning activities are presented in the following paragraphs. The discussion focuses on (1) county planning

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<sup>9</sup> For a fuller discussion of defining the DMC problem, see Feyerherm, W., *Disproportionate Minority Confinement: Lessons Learned from the Pilot State Experiences*.

processes, (2) county action plans and (3) current status and future plans for the ten pilot counties.

## 4.1 County Planning Processes

Following the *Ten Sites Conference*, which laid the groundwork for each county to create its local response to DMC, technical assistance and a \$1,000 planning grant were available to the pilot counties to support the county planning process. The state-level DMC team anticipated that each group of county representatives would return to their home towns and continue working together to develop an Action Plan with an associated implementation plan.

The planning activities, in chronological order, included:

- Participate in *Ten Sites Conference*
- Form a local DMC committee/task force
- Apply for/receive a DYS Planning Grant
- Develop County Action Plans
- Contribute to state-level *Stakeholders Conference*.

The extent to which the ten pilot counties conducted these planning activities is summarized in Exhibit IV-2 and described below.

The *Ten Sites Conference* participation was described previously. In summary, each of the ten pilot counties were represented at the conference; the number of county representatives ranged from one to ten.

Three of the originally designated DMC counties and one of the originally designated "companion" counties formed a ***DMC committee or task force***. A fourth DMC county did not form a special group because an existing youth task force absorbed the anticipated functions.

The counties that implemented the DMC task force or committee structure reported mixed success for this mechanism. Advantages included the fact that the committee or task force structure enabled the local stakeholders to formalize their planning discussions and activities. Interviewees noted, however, that these organizations ultimately faltered due to the absence of strong leadership, poor attendance, conflicting agendas among the stakeholders, or a general lack of interest.

As previously described, DYS offered a **\$1,000 planning grant** to each of the counties to cover costs of the planning process. Only four counties pursued this

**EXHIBIT IV-2  
PILOT COUNTY PLANNING PROCESSES**

PLANNING ACTIVITIES	DMC COUNTIES					COMPANION COUNTIES				
	1	2	3	4	5	6	7	8	9	10
Participated in the Ten Sites Conference	X	X	X	X	X	X	X	X	X	X
Formed a DMC Committee	X	X		X	X		X			
Received a DYS Planning Grant		X			X					
Developed a County Action Plan		X	X	X	X	X	X	X	X	X
Contributed to the State-level Stakeholders Conference		X		X						

resource. Explanations for not requesting the grant, offered during the evaluation interviews, focused on the "cost" of applying versus the "benefit" of the grant. According to one respondent "for the small amount of money, the application was too lengthy and complicated."

The fact that the counties did not seek the planning grants suggests a more serious issue. Implicitly, the counties lacked sufficient organization and/or commitment to pursue and make use of the \$1,000 resource. One county representative stated that the county did not apply for the grant because "\$1,000 could not get a miracle started."

Despite the lack of formal organization and the reluctance to apply for a planning grant, each of the ten counties produced a **County Action Plan**. The content of the County Action Plans is described in the next section.

Representatives from the county that did not develop a County Action Plan described feelings of discomfort with the process. These county representatives expressed interest in what other pilot counties and states are doing to address DMC. These respondents also reported that new state and local initiatives which offer alternatives to secure detention, such as electronic monitoring and group homes, will have an impact on DMC, despite the lack of a formal plan.

The final, formal planning activity was county participation in the state-level **Stakeholders Conference**. (See Chapter III for a description of the conference.) two of the ten pilot counties were invited to participate in this event and share their experiences. There were few explanations offered for this low participation rate. Implicit, however, is that county representation at the state conference was directly related to perceived success at the local levels in addressing DMC.

## 4.2 County Action Plans

Nine of the ten counties, as previously stated, developed a County Action Plan which contained actions planned, action steps needed to complete the plan, organizations with lead responsibility, and a timetable. These County Action Plans are published in one of the North Carolina project reports<sup>10</sup> and are included in Appendix C. For purposes of the evaluation, the nine County Action Plans have been analyzed in

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<sup>10</sup> Church, V.T. *Embracing Diversity, Expanding Common Ground: Commencement*. North Carolina Division of Youth Services. 1995.



terms of the categories of DMC causes/contributing factors (See Section 3). This analysis is summarized in Exhibit IV-3 and described below.

**EXHIBIT IV-3  
SUMMARY OF COUNTY ACTION PLANS**

DMC COUNTIES				COMPANION COUNTIES				
1	2	3	4	5	6	7	8	9
<b>JUVENILE JUSTICE SYSTEM</b>								
<ul style="list-style-type: none"> <li>• Develop a committee to assess existing JJS services</li> <li>• Enhance relationships among agencies and the minority community</li> <li>• Develop awareness of cultural diversity needs</li> </ul>	<ul style="list-style-type: none"> <li>• Develop a case management system for JJS</li> </ul>	<ul style="list-style-type: none"> <li>• Broader reps. on community task force</li> <li>• Cultural sensitivity and diversity training</li> <li>• Diversity in workforce</li> <li>• Early intervention</li> </ul>	<ul style="list-style-type: none"> <li>• Prioritize probation caseloads and intervene with highest risk youth</li> <li>• Identify high risk geographic areas for intervention</li> <li>• Develop alternatives for repeat offenders</li> </ul>	—	—	<ul style="list-style-type: none"> <li>• Cultural sensitivity training</li> </ul>	<ul style="list-style-type: none"> <li>• Juvenile justice forum for info. sharing and conflict resolution</li> <li>• JJS advisory group to ensure plan is realized</li> </ul>	<ul style="list-style-type: none"> <li>• Long term care facility</li> <li>• More prevention programs</li> <li>• Court system to review all community resources</li> </ul>

**EXHIBIT IV-3 (Continued)  
SUMMARY OF COUNTY ACTION PLANS**

DMC COUNTIES				COMPANION COUNTIES				
1	2	3	4	5	6	7	8	9
<b>SOCIO-ECONOMIC</b>								
<ul style="list-style-type: none"> <li>Promote minority involvement in community based resources</li> </ul>	<ul style="list-style-type: none"> <li>Develop community based programs that target at-risk youth</li> </ul>	<ul style="list-style-type: none"> <li>Home-based and school-based programs to provide counseling services</li> <li>Positive role models</li> </ul>	<ul style="list-style-type: none"> <li>Assess needs and services to meet the needs</li> </ul>	<ul style="list-style-type: none"> <li>Provide add'l recreational opportunities for youth</li> <li>Provide youth transportation</li> </ul>	<ul style="list-style-type: none"> <li>Create interventions for at-risk youth</li> <li>Assess needs and services to meet needs for minorities</li> <li>Promote a positive community attitude to youth</li> </ul>	<ul style="list-style-type: none"> <li>Create a community center for youth</li> <li>Create better job opportunities for minorities</li> </ul>	<ul style="list-style-type: none"> <li>Community youth center and community sites</li> </ul>	<ul style="list-style-type: none"> <li>Create a interagency community group to consult on "hard core" cases</li> </ul>

**EXHIBIT IV-3 (Continued)  
SUMMARY OF COUNTY ACTION PLANS**

DMC COUNTIES				COMPANION COUNTIES					
1	2	3	4	5	6	7	8	9	
<b>EDUCATION</b>									
<ul style="list-style-type: none"> <li>• Develop black parenting education programs</li> <li>• Investigate multi-cultural development for curriculum</li> </ul>	—	<ul style="list-style-type: none"> <li>• Provide educational experiences for incarcerated youths</li> </ul>	—	<ul style="list-style-type: none"> <li>• Target high risk students for prevention</li> <li>• Establish alternative school, grades 6-9</li> <li>• Provide alternative to out-of-school suspension</li> </ul>	—	<ul style="list-style-type: none"> <li>• Stop violence in schools</li> </ul>	—	—	—
<b>FAMILY</b>									
—	—	<ul style="list-style-type: none"> <li>• Build stronger families</li> </ul>	—	<ul style="list-style-type: none"> <li>• Establish community parenting network</li> </ul>	—	—	—	<ul style="list-style-type: none"> <li>• Improve family preservation/ home remedy programs</li> </ul>	

terms of the categories of DMC causes/contributing factors (See Section 3). This analysis is summarized in Exhibit IV-3 and described below.

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SUMMARY OF COUNTY ACTION PLANS**

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**EXHIBIT IV-3 (Continued)  
SUMMARY OF COUNTY ACTION PLANS**

DMC COUNTIES				COMPANION COUNTIES				
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**EXHIBIT IV-3 (Continued)  
SUMMARY OF COUNTY ACTION PLANS**

DMC COUNTIES				COMPANION COUNTIES					
1	2	3	4	5	6	7	8	9	
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<b>FAMILY</b>									
—	—	<ul style="list-style-type: none"> <li>• Build stronger families</li> </ul>	—	<ul style="list-style-type: none"> <li>• Establish community parenting network</li> </ul>	—	—	—	<ul style="list-style-type: none"> <li>• Improve family preservation/ home remedy programs</li> </ul>	

Seven of the nine plans proposed activities which would address systemic problems particularly within the **juvenile justice system**. Cultural awareness and sensitivity training are implicit or explicit components of five of the seven plans. Other proposed activities focus on (1) strengthening relationships between the juvenile justice system and the minority community, (2) strengthening system performance through such mechanisms as case management, (3) increasing racial and ethnic diversity among system staff, and (4) creating diversions and/or other mechanisms to inhibit the rates of minority confinement.

All nine plans proposed actions that would address **socio-economic** factors perceived as contributing to DMC. The vast majority of the proposed actions, in this category, focus on creating new community-based programs and activities for minority youth or extending existing resources to the minority communities.

Four of the nine plans proposed actions related to the **educational** system. These proposed actions include providing additional, culturally sensitized services to the minority community and/or to incarcerated youth. One plan proposed that the county "stop the violence in the schools" through higher levels of parental involvement and stricter law enforcement.

Relatively few (three or one-third of the plans) County Action Plans targeted the **family** for services or interventions. The actions proposed in this category included: (1) "building stronger families" through church outreach and parent resource centers; (2) establishing community-based parenting networks; and (3) improving family preservation/home remedy programs.

To determine the extent to which the County Action Plans were informed by and/or responsive to the perceived causes of DMC, the proposed actions (Exhibit IV-3) were compared to the perceived factors that contribute to DMC.

While there was rarely a one-to-one match, the counties, in broad terms, developed action plans which targeted the perceived DMC causes. For example, all but one county identified perceived problems with the juvenile justice system and seven of the counties that developed a plan targeted the justice system for improvements. Similarly, county-level perceptions that socio-economic factors contribute to DMC appear to have influenced the county plans.

And, as previously mentioned, while representatives from several counties appeared to hold minority youth and their families responsible for DMC, this did not translate to action plans with punitive intentions.

### **4.3 Assessment of the Planning Process**

As demonstrated in the previous sections of this chapter, North Carolina's ten pilot counties achieved varying levels of success in committing to and solving the problems of DMC. Several factors contributed to the success, or lack thereof, of the North Carolina DMC project, at the county level. The following paragraphs present a description of the strengths and positive attributes of the county-level planning process following a delineation of the limitations of or barriers to successful county-level DMC planning. These assessments are based on the perceptions of the county informants; our overall evaluation assessment is provided in Chapter V, Lessons Learned.

#### **Strengths and Positive Attributes of the Planning Process**

The pilot county representatives identified several strengths and positive attributes of the planning process and the DMC project, in general. First, the project provided an opportunity for county stakeholders to rethink or re-evaluate county services and resources. This re-evaluation was conducted for the total county population and several counties developed County Action Plans with all of their youth in mind. The planning process raised levels of consciousness sufficiently, that most counties also re-evaluated the distribution of services and resources among Anglo and minority youth.

The second advantage of the planning process was that it brought together a diverse group of stakeholders. The *Ten Sites Conference* and subsequent committees/task forces created working groups with representatives from a wide range of community agencies, the juvenile justice system, and community leadership. Representatives from two counties reported that the DMC committees also created culturally diverse working groups which enhanced overall communication and understanding.

Thirdly, the planning process provides information which educated the stakeholders about the DMC issue. The "companion" county stakeholders especially felt that the DMC planning process was useful for its education and to sensitize county officials as to the potential problems of DMC within their counties.



## **Weaknesses of the Process/Barriers to Success**

The overwhelming barrier to the success of the local level planning efforts was the fact that representatives in many of the pilot counties did not accept the Phase I research findings. Representatives from one half of the pilot counties, including four of the DMC counties, reported skepticism about or disbelief of the Phase I research. For these individuals, DMC was not a problem in their county and so planning for DMC interventions was not a priority activity.

The second most influential barrier to the success of the county planning process, according to the evaluation informants, is the fact that DMC is a difficult issue to address. DMC is complex and it takes time for the county-level representatives to understand and begin to plan appropriate interventions. Also, according to several interviewees, many attribute socio-economic factors as contributing to DMC and solving economic inequities, for example, far exceeds the sphere of influence of the juvenile justice system.

Other weaknesses in the planning process or barriers to its success were identified by several of the pilot counties. For many counties, there was a lack of strong community leadership and interest in DMC. Another commonly reported barrier was that not all of the relevant stakeholders were involved in the planning process; for example, law enforcement and the judiciary were not represented in several county planning groups. A final barrier, according to the interviewees, was the lack of new resources with which to create DMC interventions.

### **4.4 Summary**

The pilot counties had differing levels of success in planning and implementing community-based interventions during Phase II of the DMC initiative. Although several counties made some changes to either their juvenile justice or other community service delivery systems, almost all of the counties reported that the community planning component of the initiative has made them aware of the DMC issue and its related problems. Several counties said that the process has alerted them to service delivery gaps within minority communities. Some counties also reported that working on the DMC initiative has brought many county stakeholders together and fostered some new working relationships, which may have residual benefits for their communities.

**EXHIBIT IV-3 (Continued)**  
**SUMMARY OF COUNTY ACTION PLANS**

## **V. CONCLUSIONS AND LESSONS LEARNED**

## V. LESSONS LEARNED FROM THE NORTH CAROLINA DMC INITIATIVE

A primary objective of the Disproportionate Minority Confinement (DMC) demonstration, sponsored by the Office of Juvenile Justice and Delinquency Prevention (OJJDP), is to "test" various approaches to DMC intervention so that other states can learn from these experiences. To this end, the evaluation of the North Carolina DMC initiative was structured to support the objective of documenting lessons learned and factors key to the success of state and local efforts.

The purpose of this chapter is to present the thoughts and ideas of the evaluators—as well as the North Carolina DMC project staff—as to the strengths and limitations of the North Carolina DMC approach and processes. The chapter is organized according to the major steps and activities associated with the North Carolina DMC demonstration.

### 1. OVERVIEW

The OJJDP DMC demonstration implicitly required that the participating states engage in the following problem identification and problem solving process:

- Designate organizational entity (assign organizational responsibility) *[Step 1]*
- Define the extent of disproportionate minority confinement using quantitative data and statistical techniques *[Step 2]*
- Identify factors that contribute to DMC *[Step 3]*
- Create interventions that are responsive to the root causes/contributing factors *[Step 4]*
- Monitor the impact of the interventions on DMC *[Step 5]*
- Recognize system effects of the DMC activity *[Step 6]*.

As described in previous chapters, the North Carolina DMC initiative focused on the first four steps listed above. As with all of the pilot states, North Carolina assigned to an organizational entity DMC responsibility and completed the Phase I research that defined the extent of DMC. North Carolina differed from other states, in that once the

problem of disproportionately was identified (Step 2), the North Carolina DMC team focused efforts and resources on gaining understanding and acknowledgment of the problem definition at the state, county and local levels (Step 3) and then facilitating the development of local plans (Step 4) for intervening and ultimately resolving the problem of disproportionate confinement of minority youth within the juvenile justice system.

The potential for resistance to understanding and accepting a DMC problem definition within a state's juvenile justice system as well as the broader community is not unique to North Carolina. Therefore, the North Carolina demonstration project, which focused the DMC resources on the process of community problem solving, offers an invaluable learning opportunity to other states, political systems and localities.

A schematic overview of the DMC process is provided in Exhibit V-1. The "lessons learned" at each stage in the process are summarized. As previously stated, the North Carolina DMC project concluded with the development of County Action Plans (Step 4). Therefore, there was insufficient opportunity to monitor the impact of the interventions on DMC (Step 5). The DMC project staff, as well as the evaluation, however, have identified early system effects of the DMC activities (Step 6).

## **2. SPECIFICATION OF LESSONS LEARNED**

The following paragraphs describe the DMC process and corresponding lessons learned in more detail. The chapter concludes with a description of the state- and county-level benefits of the DMC project activities.

### **2.1 Lessons Associated with Organizational Issues**

The first step in the OJJDP DMC demonstration was the designation of the OJJDP grant recipient who assumed responsibility for the DMC project. While the designation of a grantee organization may be unique to the demonstration project, all states must assign responsibility for compliance with the DMC federal mandate. Therefore, the lessons associated with North Carolina's organizational issues are relevant to the wider, national community.

#### ***Optional Organization Location***

North Carolina was unique among the pilot states in that the grantee agency was the Division of Youth Services (DYS) rather than the Governor's Crime Commission

# EXHIBIT I OVERVIEW OF NORTH CAROLINA DMC PROCESS AND CORRESPONDING LESSONS LEARNED

## DMC PROCESS

## LESSONS LEARNED

Designate organizational entity/  
assign responsibility [Step 1]

- Optimal organizational location
- Need for organizational support and adequate resources



Define DMC [Step 2]

- Difficulty of establishing DMC definition



Identify factors that contribute to  
DMC [Step 3]

- Addressing racial bias
- Importance of community involvement
- Need for adequate leadership



Create interventions that rectify DMC  
[Step 4]

- Importance of broad-based stakeholder involvement
- Difficulty of matching interventions and root causes/contributing factors



Monitor impact of interventions on DMC  
[Step 5]

- Statewide juvenile justice information system



Recognize system effects of the DMC  
activity [Step 6]

- Institutionalized DMC
- Development of resource manuals
- Development of new MIS
- Reevaluation of county resources; targeted minority youth programs
- Improved communication among state and county stakeholders
- Increased levels of DMC awareness

which includes the State Advisory Group (SAG), the recipient of all other OJJDP funds. Organizational tensions were created by the fact that the SAG has responsibility for complying with the federal mandate while DYS planned and operated the demonstration project.

Meanwhile, the DMC project team reflected that the overall DMC project might have been better served if it was operated by an organization outside of state government. Reduced political pressures together with the fact that a non-government agency would be better able to lobby and advocate on behalf of DMC were cited as advantages to an alternative organizational location.

### ***Need for Adequate Resources and Organizational Support***

While the adequacy of resources is always an issue for publicly funded initiatives, changes to the North Carolina demonstration design exacerbated this issue for the DMC project team. The original design for the DMC initiative included only two pilot counties. To reflect the racial and geographic diversity of the state, however, the demonstration design was changed to include ten pilot counties. This change occurred with no associated increase in resources and resulted in increasing the required amount of data collection. To compensate, the state DMC research team collected a 25 percent sample of the juvenile justice data from the three urban counties and the complete universe from the other seven counties in the initial Phase I data collection. (The 25 percent sample proved controversial later in the project.) The increase in pilot counties also contributed to the reduced amount of technical assistance provided to the pilot counties.

The lack of organizational support which would typically be provided by a steering committee was identified as an operational hinderance by the DMC project team. The planning process might have progressed further and/or more smoothly if guided by an advisory body with representatives from government, service providers and/or the community.

## **2.2 Lessons Associated with DMC Definition and Intervention Planning**

The next steps in the North Carolina DMC process, as previously described, include defining DMC (Step 2), identifying factors that contribute to DMC (Step 3) and creating DMC interventions (Step 4). During the North Carolina DMC demonstration,

these activities were not conducted discretely and sequentially but rather these activities were overlapping. Therefore, the lessons learned from these activities are applicable to the whole planning process.

### ***Difficulty of Establishing DMC Definition***

One of the major findings from the evaluation is that county level planning for DMC interventions, in some counties, was stalled due to a lack of acceptance, among some stakeholders, that a DMC problem existed in those counties. One factor that contributed to this disbelief was the way Phase I data were presented by the academic researchers. The academics who conducted Phase I concluded that their results should not be the basis for planning interventions. When the academics were asked to assist the practitioners to plan interventions based on the Phase I findings, the academics presented so many caveats that the practitioners had difficulty utilizing the Phase I findings to plan interventions.

Also, it is well understood from the ever growing body of DMC research literature, that DMC is a difficult phenomenon to measure. Researchers have expressed concerns about the validity and usefulness of their analyses due to difficulties conceptualizing the issue, obtaining adequately specified data and the limitations of the statistical models. This issue underscores a broader concern. Since states are responsible for assessing their own DMC problem, reluctant state leaders might capitalize on the fact that the measurement of DMC is fraught with difficulty and complexity and thus affords an easy opportunity to minimize the extent of the problem.

### ***Addressing Racial Bias***

During the evaluation, representatives from the African American communities reported their perceptions that the DMC project team avoided focusing on racial bias as a potential source of DMC to avoid alienating DMC stakeholders. This perception resulted in alienating representatives from the African American communities. It is possible that, by avoiding an examination of systemic racial bias, the juvenile justice system was let off the hook. The evaluation raises the concern that many county stakeholders never examined DMC from a systemic perspective but rather identified socio-economic or family-based causes of DMC.



### ***Importance of Community Involvement***

The entire North Carolina demonstration was based on the recognition that community involvement and "buy in" are essential to DMC planning. This is not, therefore, offered as a new lesson learned. Rather, through their experiences of garnering community involvement, the DMC project team learned the importance of broad-based stakeholder involvement.

For example, North Carolina's updated DMC research findings suggest that DMC does not exist at the court referral stage, however, county DMC stakeholders were best represented by AOC employees. More effort might have fruitfully been placed on developing county-level stakeholders who work at points where DMC was documented. DMC research—in North Carolina and in general—suggests that DMC is most likely to exist at the front and back ends of the system. In North Carolina, therefore, representatives from all agencies who make the training school decisions—such as the police, judiciary, and training school administrators—should have been better represented.

### ***Need for Adequate County Leadership***

County-level stakeholders identified strong leadership, or the lack thereof, as a critical factor in the success of the problem identification and planning process. One of the DMC project team's reported regrets was that there was insufficient time to devote to each county to develop the local leadership for the initiative.

## **3. STATE- AND COUNTY-LEVEL BENEFITS**

The North Carolina demonstration project concluded prior to major implementation activities of the County Action Plans. Therefore, monitoring the impact of the interventions on DMC (Step 5 in the DMC process) was not possible, during the demonstration period.

Despite the fact that DMC interventions had not yet been implemented, the DMC activities have had recognizable effects on the state and county juvenile justice systems. These effects are described below, in terms of state- and county-level benefits.

### **3.1 State-Level Benefits**

Many benefits have resulted for the State of North Carolina as a result of their participation in this pilot project. A statewide juvenile justice information system is in the process of being developed and funded because of the valuable data collection and analyses that were conducted during Phase I. Also, the themes of the DMC initiative have become instituted statewide in the juvenile justice system. A DMC resource manual has been developed and widely disseminated among North Carolina counties.

In addition, DYS has made a lasting commitment to the on-going resolution of DMC problems. The conclusion of the OJJDP group will result in DYS abdicating DMC leadership responsibility. Until DYS abdicates its lead role, however, the agency will work toward accomplishing several DMC objectives including: (1) develop a statewide, annual report on DMC; (2) continue to support the development of the statewide information system; (3) provide technical assistance to two counties that requested help in developing their own DMC initiatives and (4) continue to work with state government leadership to make DMC a high priority for intra- and inter-state agency planning, policy formulation, program development and staff training.

### **3.2 County-Level Benefits**

The county stakeholders identified three main benefits of their participation in the DMC initiative. One benefit of pilot county participation is that it gave county stakeholders a chance to rethink county services and resources for youth. Almost all of the counties placed previously planned or developed actions in their DMC County Action Plans. Involvement in this process may have allowed them to reevaluate the value or placement of resources in their community to optimally benefit minority youth.

Another frequently mentioned benefit was that the DMC initiative brought together a diverse group of county-level government officials, agency representatives and community leaders. Several of these stakeholders said that their participation has allowed them to form new professional contacts. Also, DMC committees in two counties had both juvenile justice system and African American community leaders as active members. In counties where the minority populations are isolated, stakeholders said that this initiative allowed the minority community to be involved in a community-wide planning effort.

**EXHIBIT IV-3 (Continued)**  
**SUMMARY OF COUNTY ACTION PLANS**

Finally, participation in the DMC initiative educated the stakeholders about the DMC issue. The companion county stakeholders especially felt that the DMC planning process was useful in educating them about the issue and alerting them about potential problems within their counties. One county representative said "the value of this data is that it turned on a lot of people's light bulbs." DMC has been talked about in many forums as a result of this process.

**APPENDIX A -  
GLOSSARY OF ACRONYMS**

**APPENDIX A**  
**GLOSSARY OF ACRONYMS**

AOC -	Administrative Office of the Courts
CBA -	Community-based agencies
CBO -	Community-based organizations
DHR -	North Carolina Department of Human Resources
DMC -	Disproportionate Minority Confinement
DYS -	North Carolina Division of Youth Services
JJS -	Juvenile Justice System
OJJDP -	Office of Juvenile Justice and Delinquency Prevention
SAG -	The State Advisory Group

**APPENDIX B-  
COUNTY INTERVIEW GUIDE**

**APPENDIX B  
DISPROPORTIONATE MINORITY CONFINEMENT (DMC) INITIATIVE  
NORTH CAROLINA**

**COUNTY INTERVIEW GUIDE**

NAME: \_\_\_\_\_ POSITION/TITLE: \_\_\_\_\_

SITE: \_\_\_\_\_ PROGRAM: \_\_\_\_\_

GENDER: \_\_\_\_\_ ETHNICITY: \_\_\_\_\_

OVERREPRESENTATION  
COUNTY: \_\_\_\_\_

INTERVIEWER \_\_\_\_\_ DATE \_\_\_\_\_

Introduction:

Good morning/afternoon.

Caliber Associates is a consulting firm located near Washington, DC, specializing in the evaluation of social service programs. Caliber is currently under contract with the Office of Juvenile Justice and Delinquency Prevention (OJJDP) to provide evaluation services for the North Carolina Minority Overrepresentation (MO) activities.

In 1988, the JJDP Act was amended to require that OJJDP address the problem of the disproportionately high, and growing rate of minority youth within the juvenile justice system. As part of this initiative, the North Carolina Department of Human Resources, Division of Youth Services was awarded a grant in 1991 from OJJDP for training, technical and financial assistance to facilitate North Carolina's ability to comply with the requirements of the JJDP Act.

Based on the data required for an evaluation of the North Carolina MO initiative, one-on-one interviews are being conducted with key staff, personnel and community representatives at the state, county and local levels. We are here today to document the process used for the MO initiative from the county perspective. We will also assess the effectiveness of the planning and implementation of North Carolina MO approach.

Do you have any questions before we begin?





4. Please describe your role with respect to the minority overrepresentation project.

I would now like to discuss North Carolina's involvement with the DMC initiative.

## **II. ASSESSMENT OF THE EXTENT OF DMC**

1. What was the extent of disproportionate representation of minority youth within your county?

2. How was disproportionality defined?







**EXHIBIT IV-3 (Continued)**  
**SUMMARY OF COUNTY ACTION PLANS**





#### **IV. PLANNING AND IMPLEMENTATION OF THE NORTH CAROLINA DMC APPROACH**

1. What plans has this county developed to address the DMC issues, problems?

2. How was this plan(s) developed? Please describe the process?

- When did the planning begin?
  
  
  
  
  
  
  
  
  
  
- How were the overrepresentation data used in the planning process?
  
  
  
  
  
  
  
  
  
  
- Who were the key personnel involved in the planning process?



- For each person involved, what was his/her role, was he/she from the County or local level, and what were the advantages/disadvantages of the involvement?

<u>Personnel</u>	<u>Role</u>	<u>County or Local Level</u>	<u>Advantages</u>	<u>Disadvantages</u>
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- What activities were used as part of the planning process? (E.g., town meetings, other meetings, informal interactions).

[Interviewer: probe -- no detail is too small; particularly look for examples of informal processes.]

- What county resources were available for the planning process?

- Did your organization apply for and receive a planning grant from the North Carolina Department of Youth Services?

- Were resources from other sources acquired? If so, what were the sources and amount/type of resources?

- If you did not apply for the grant, why not?



6. What were the limitations of the planning process?

7. In retrospect, what other resources could have assisted in the planning process?

## **V. PROGRAMS, INTERVENTIONS, OTHER DMC RESPONSES**

The next set of questions ask about the plans and/or programs designed to correct minority overrepresentation problems in this county.

1. Describe the planned interventions for your county.  
[If required, define intervention]

**EXHIBIT IV-3 (Continued)**  
**SUMMARY OF COUNTY ACTION PLANS**



**EXHIBIT IV-3 (Continued)**  
**SUMMARY OF COUNTY ACTION PLANS**

- Limitations, problems

5. What additional activities, events, do you think could/could have improve(d) the implementation process?

6. What changes are expected/have been realized from the Action Plan programs?

Expected

Realized

- Arrests

- Intake



**EXHIBIT IV-3 (Continued)**  
**SUMMARY OF COUNTY ACTION PLANS**

- Prosecutorial
  
- Detention
  
  
  
  
  
  
  
  
  
  
- Confinement
  
  
  
  
  
  
  
  
  
  
- Please list any other changes that are expected/have taken place that you attribute to the minority overrepresentation project.

7. Have any future plans for the minority overrepresentation in your county been formulated? If so, please discuss them with us. [ask if they have been documented, if so request a copy]



**APPENDIX C -  
COUNTY ACTION PLANS**

## BRUNSWICK COUNTY ACTION PLAN

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE
Target high risk students at primary level to provide prevention services.	Screen and identify high risk students.	Health Dept., DSS, Judicial System, Mental Health, Public Schools	94-95
Establish three alternative schooling sites within county for grades six through nine.	Conduct parenting preventative, supportive workshops.		
	Obtain community, local, and financial support.		
	State, site locations, staffing, and equipping.	S/A/A	94-95
Establish community parenting network.	Solicit and train community volunteers.	S/A/A	94-95
	Establish telephone networks.	VIC Brunswick Buddies, Senior Centers, Local Community Services, Media	
	Advertise and promote through media.		
Provide additional recreational opportunities for youth.	Coordinate and expand existing programs.	Parks and Recreations, County Commissioners, Local Business	94-95
	Expand financial support.		
Provide a structure and alternative to out-of-school suspension.	Gain financial, community, and public services agency support.	Community Services Organizations, Board of Education, County Commission	94-95
	Train staff to organize and implement alternative program.		
	Student tutor and participating in a structured community service program.		
Provide transportation system for youth.	Expand existing services.	County Commissioners, Local Industries	94-95

## BUNCOMBE COUNTY ACTION PLAN

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE

## CALDWELL COUNTY ACTION PLAN

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE
Develop a committee to compile information regarding existing services.	Request a copy of goals and mission statements from each organization.	Committee	60 days
	Evaluate information and edit for duplication and gaps.	HRS	30 days
Enhance liaison between agencies and ties with minority participants and agencies needing services.	Make sure information distributed and implemented in program.		
Develop awareness in community of cultural diversity needs.	Support leadership development in minority communities.	FCDC	On Going
Develop a black parenting educational program.	Have more workshops in the community similar to previously organized one.	Chamber of Commerce FCDC	On Going
Promote minority involvement in community-based resources.	Implement existing curriculum.	FCDC, BRCA	On Going
	Follow up with leadership development.	FCDC, County Commissioners, All Youth Serving Agencies	On Going
	Promote active participation and follow up.	FCDC	On Going
Investigate change in curriculum and multicultural development.	Obtain a new school superintendent.	School Board	On Going
	Encourage open curriculum for teachers.	Committee	On Going
	Provide examples of information to teachers.	Committee	On Going

## CUMBERLAND COUNTY ACTION PLAN

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE
<p>Develop community-based programs located in neighborhood schools, administered by neighborhood partnerships (churches, community watch, minority organizations) that conduct needs analyses, plan and court involved middle-school aged minority youth.</p>	<p>Pilot Site: Notify and recruit area churches, community leaders; conduct peer nomination surveys and door-to-door canvassing of community leaders.</p> <p>Offer incentives for participation (i.e., survey/query participants and develop plan to offer.</p> <p>Develop integrated funding plan to implement.</p>	<p>School Board, Church, Parks and Recreation (City and County), Law Enforcement (resource officers), Community Policy (No lead agency. Look at partnership level of participation).</p> <p>Federal Agencies (OJJDP), University Staff and Students</p>	<p>6-12 Months</p>
<p>Develop appropriate identification and linkages (case management) system for youth already involved in the juvenile court system.</p>	<p>Construct database of resources and referral services. Match potential opportunities to youth. Extend planning and linkages services to neighborhood Partnerships and/or other public agencies. Philosophy: Make neighborhood responsible for raising youth, distributing consequences, and monitoring progress.</p> <p>Recruit/hire staff to plan, implement, and evaluate success of system.</p> <p>Institute philosophy/goal of 24 hour, wrap-around accessibility of resources to minority families.</p> <p>Provide technical and capital resources for computerization and resource/referral mechanisms.</p>	<p>Juvenile Court Staff, Law Enforcement, Community/Neighborhood Partnerships, Public Agency Staff (MH, DSS, PH, CCAP, Businesses)</p>	<p>6-12 Months</p>



## FORSYTH COUNTY ACTION PLAN

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE
Broader representation on community task force (males/minorities).	JJC Community Meeting. Grant Writers for Monies.	This Group	
Cultural Sensitivity Training and Cultural Diversity Training.	Target human service providers, juvenile law enforcement, assistant principals, guidance counselors, social workers, and home-school coordinators.	Urban League OFF	
Diversity in the workforce in agencies.	Recruit for vacancies. Increase network. Promote careers for guidance counselors, teachers, social workers, and law enforcement. Explore incentives for minorities.	John Jessup (?)	
Computerized data-based system.	Identify key personnel/agency heads. Seek funding source. Expand current Emergency Assistance Network.		
Home-based and school-based programs to provide counseling services.	Provide culturally trained counselors. Reexamine need for true pupil personnel service delivery model in the school.	Bob Bridges	





## GUILFORD COUNTY ACTION PLAN

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE
<p>Convene a <i>Task Force To Address The Disproportionate Incarcerations Of Minorities In Guilford County</i> (Juvenciles &amp; Adults)</p> <p>Develop short term (corrective) and long term (preventive) interventions for youth at risk.</p> <p>Promote collaborative efforts within the Guilford County community.</p> <p>Conduct a review to identify services, policies, and procedures to minorities that exist that are positive and negative and identify additional needed services, policies and procedures.</p> <p>Create a positive individual and community attitude towards all its youth.</p>	<p>Reconvene the area participates and identify others to become involved.</p> <p>Ask Guilford County to provide supportive services to start task force process.</p>		

## HAYWOOD COUNTY ACTION PLAN

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE
Community Center for youth and senior citizens.	Secure the funds needed to construct the center.	State, County, City Governments	ASAP
Cultural training to stop racial slurs.	Teach minority cultures about their importance and contributions to society.	Superintendents	ASAP
Better job opportunities.	Afford qualified minorities the opportunities for county and city jobs.	Town Managers and Commissioners	ASAP
Stop violence in schools.	Get parents more involved.	Parents, Judges	ASAP
	Hold parents accountable.		
	Stricter law enforcement.		

## JOHNSTON COUNTY ACTION PLAN

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE
<p>Assessment of the needs of juveniles in the community which could include the gathering of accurate data to define the problems and an assessment of services available to prevent and resolve problems and meet needs. The outcome would hopefully be the formation of an Interdisciplinary Team which could prioritize needs and develop a plan of action.</p>	<p>Have a public forum where community agencies, services, civic groups, law enforcement, and interested individuals are invited to provide input and data. The purpose of the forum would be to provide public awareness and create opportunity for an Interdisciplinary Team to be formed.</p>	<p>Johnston County Youth Task Force</p>	<p>Present idea of forum at the meeting on 12/16/93</p>
<p>Identify current minority juveniles on probation and determine factors which may influence the juveniles and that may increase the potential for training schools commitment. Intensify efforts to prevent and intervene with those who are most at risk; prioritize probation caseloads.</p>	<p>Probation officers could immediately prioritize caseloads.</p>	<p>Juvenile Services</p>	<p>Immediately</p>
<p>Identify geographical areas that have potential for having high risk juveniles.</p>	<p>Juvenile Services and law enforcement can provide data for a forum and/or an Interdisciplinary Team,</p>	<p>Johnston County Youth Task Force, Juvenile Services, Law Enforcement</p>	<p>Task Force meeting on 12/16/93</p>
<p>Postpone disposition for 30 days on cases of repeat offenders or probation violation in order for a Review Committee to meet and plan interventions to help prevent and make recommendations to the court for disposition.</p>	<p>Juvenile Intake Counselor can recommend disposition be postponed for 30 days after adjudication</p>	<p>Juvenile Services</p>	<p>Immediately</p>

**ROBESON COUNTY ACTION PLAN**

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE
<p>Each County/State Agency needs to be first and foremost goal and objective (measurable) directed. Must be focused.</p> <p>Establish a juvenile justice forum for information sharing and conflict resolution.</p> <p>Establish a Robeson County Juvenile Justice Advisory Group that would review a grant request for juvenile funds to ensure collaboration and meeting of goals established by a plan.</p> <p>County Youth Center and community sites</p>	<p>Each agency should submit goals and objectives as a county.</p> <p>Written commitment from each department head.</p> <p>MOR - Task Force will address a letter to County Agents - C.M. to establish/appoint 1 year appointments.</p> <p>1. MOR - Task Force can make recommendations.</p> <p>Needs assessment of each community.</p> <p>Research models.</p>	<p>County Commissioners</p>	

## WILKES COUNTY ACTION PLAN

ACTION PLANNED	ACTION STEPS	AGENT	TIMETABLE
Long term care facility/program for children.	Develop a local residential program placement for youth age 14-16 years. (Long term being 2-4 years of placement.) Joint funding by local and state monies.	Community, Board of Directors	2-3 years
More preventive programs.	<p>Identify high risk youth at a younger age and develop program program for individual needs. (i.e., tutoring, short term out-of home placement, parenting classes).</p> <p>Job placement for younger teens 14-18 years old in combination with school study program. (Who would hire other than fast food?).</p> <p>More group homes for younger youth 9-11.</p>	School system (Need experienced coordinator)	1-2 years
Improve upon family preservation/home remedy programs.	Expand by hiring additional counselors.	Mental Health	Within 1 year
Court system needs to review all community resources.	All court personnel (judges, DA's, public attorneys) visit community resources, become active members of community programs and become active in developing new programs.	Program Directors, Juvenile Court	6 months
Need an interagency community group committee for staffing and consultation of "hard core" or "difficult" cases.	Identify agencies and groups working with youth. Develop one large group consisting of a member of each agency or group. Identification and publicity of interagency group.	Experienced coordinator from juvenile justice system.	6 months