Table of Contents

1. Key Themes (to be explored)

- **"A Review of the Justice System in the Yukon"(1986)** recommended that
  - Diversion program be expanded to serve adults
  - All communities be actively encouraged and assisted by Youth and Adult Probation Services to establish Diversion Programs.
  - Youth and Adult Probation Services assume the costs associated with the administration of the Program.
  - Diversion programs be supervised by trained volunteers who provide positive role models and who are in frequent contact with offenders.
  - Training program be developed to aid volunteers in conducting their supervisory duties

- Restorative community justice programs may prevent crime through public education, crime prevention, and encouraging community members to use mediation to resolve conflicts before they become serious or to prevent a crime from occurring..

- Currently, there are five identified entry points into the criminal justice system where offenders may be referred to a restorative justice program:
  - 1. police (pre-charge)
  - 2. Crown (post-charge)
  - 3. courts (pre-sentence)
  - 4. corrections (post-sentence)
  - 5. parole (pre-revocation)

- The projects rely on support from the mainstream justice workers, particularly as a source of referrals.

- Often restorative community justice is defined/discussed by how it differs from the traditional criminal justice system.
  - However, it may be more appropriate to see restorative community justice as part of a range of responses to crime and conflict.

See 5.4 Referrals from beyond the police entry point proved problematic, and this was identified as the central challenge for the Nova Scotia Program for 2001 and beyond: i.e. the use of restorative justice as a meaningful option at all stages of the criminal justice process - to continue to build the trust of the criminal justice system.

Caseflow problems: The programs sometimes have very limited eligibility criteria: they are usually restricted to juveniles, sometimes to first or early offenders, and eligible offences are often at the trivial end of the spectrum. Because the police, and to a lesser extent the courts, are likely to remain the gatekeepers for entry into any restorative program there must be high levels of consultation between the program administrators and the police at every level.

2. Research Questions

2.1. Prevention

– see chapter on "Crime Prevention"

2.2. Pre-Charge

How many referrals does the community justice project receive/accept at pre-charge?
During what period of time?
Who made the referral?

What is the profile of the clients served at the pre-charge stage by the community justice project?

- Fiscal Year
- Gender
- Ethnicity
- Age
- Disabled
- Group Home/Mission School
- Socio/Economic/Educational/Health status
- Faith/Spiritual Roots
- Type of offence – **see chapter on 'Offences"**
- Previous victimization
- Previous criminal records/experience with the justice system
- Relationships in the community
- Connection to the community
- Previous/type of participation in community justice process

If a victim was involved – was the victim notified/consulted?

What type of approach was used to resolve the underlying cause of the behaviour/conflict? **see chapter on "Activities, Services, Approaches"**
What was the disposition? $ in Restitution?, # Hours of work done?, # of cases returned to police/crown/court?
Was contact maintained with participants after their direct involvement in the project? How many project contacts were made with each client?
How are the demographic, social, educational, employment and economic characteristics of the participants changed through the course of the project service/activities/approaches?

Is a follow-up mechanism in place to address the needs of the client after the disposition and recommendations have been made - to ensure they are being met and the client is getting what he/she needs).

What percentage of time is spent on serving pre-charge clients?

2.3. Post-Charge

How many referrals does the community justice project receive/accept at post-charge?
During what period of time?
Who made the referral?

What is the profile of the clients served at the post-charge stage by the community justice project?

- Fiscal Year
- Gender
- Ethnicity
- Age

- Disabled
- Group Home/Mission School
- Socio/Economic/Educational/Health status
- Faith/Spiritual Roots
- Type of offence – **see chapter on 'Offences"**
- Previous victimization
- Previous criminal records/experience with the justice system
- Relationships in the community
- Connection to the community
- Previous/type of participation in community justice process

If a victim was involved – was the victim notified/consulted?

What type of approach was used to resolve the underlying cause of the behaviour/conflict? **see chapter on "Activities, Services, Approaches"**
What was the disposition? $ in Restitution?, # Hours of work done?, # of cases returned to police/crown/court?
Was contact maintained with participants after their direct involvement in the project? How many project contacts were made with each client?
How are the demographic, social, educational, employment and economic characteristics of the participants changed through the course of the project service/activities/approaches?

Is a follow-up mechanism in place to address the needs of the client after the disposition and recommendations have been made - to ensure they are being met and the client is getting what he/she needs).

What percentage of time is spent on post-charge clients?

2.4. Pre-Sentence

How many referrals does the community justice project receive/accept at pre-sentence?
During what period of time?
Who made the referral?

What is the profile of the clients served at the pre-sentence stage by the community justice project?

- Fiscal Year
- Gender
- Ethnicity
- Age
- Disabled
- Group Home/Mission School
- Socio/Economic/Educational/Health status
- Faith/Spiritual Roots
- Type of offence – **see chapter on 'Offences"**
- Previous victimization
- Previous criminal records/experience with the justice system
- Relationships in the community
- Connection to the community
- Previous/type of participation in community justice process

If a victim was involved – was the victim notified/consulted?

What type of approach was used to resolve the underlying cause of the behaviour/conflict? **see chapter on "Activities, Services, Approaches"**
What was the disposition? $ in Restitution?, # Hours of work done?, # of cases returned to police/crown/court?
Was contact maintained with participants after their direct involvement in the project? How many project contacts were made with each client?

How are the demographic, social, educational, employment and economic characteristics of the participants changed through the course of the project service/activities/approaches?

Is a follow-up mechanism in place to address the needs of the client after the disposition and recommendations have been made - to ensure they are being met and the client is getting what he/she needs).

What percentage of time is spent on pre-sentence clients?

2.5. Post-Sentence

How many referrals does the community justice project receive/accept at post-sentence?
During what period of time?
Who made the referral?

What is the profile of the clients served at the post-sentence stage by the community justice project?

- Fiscal Year
- Gender
- Ethnicity
- Age
- Disabled
- Group Home/Mission School
- Socio/Economic/Educational/Health status
- Faith/Spiritual Roots
- Type of offence– **see chapter on "Offences"**
- Previous victimization
- Previous criminal records/experience with the justice system
- Relationships in the community
- Connection to the community
- Previous/type of participation in community justice process

Was the victim notified or consulted?

What type of approach was used to resolve the underlying cause of the behaviour/conflict? **see chapter on "Activities, Services, Approaches"**
What was the disposition? $ in Restitution?, # Hours of work done?, # of cases returned to police/crown/court?
Was contact maintained with participants after their direct involvement in the project? How many project contacts were made with each client?
How are the demographic, social, educational, employment and economic characteristics of the participants changed through the course of the project service/activities/approaches?

Is a follow-up mechanism in place to address the needs of the client after the disposition and recommendations have been made - to ensure they are being met and the client is getting what he/she needs).

What percentage of time is spent on post-sentence clients?

2.6. Pre-Revocation (Parole) or Post-Release

How many referrals does the community justice project receive/accept at post-release?
During what period of time?
Who made the referral?

What is the profile of the clients served at the post-release stage by the community justice project?

- Fiscal Year
- Gender
- Ethnicity
- Age

- Disabled
- Group Home/Mission School
- Socio/Economic/Educational/Health status
- Faith/Spiritual Roots
- Type of offence – **see chapter on "Offences"**
- Previous victimization
- Previous criminal records/experience with the justice system
- Relationships in the community
- Connection to the community
- Previous/type of participation in community justice process

Was the victim notified or consulted?

What type of approach was used to resolve the underlying cause of the behaviour/conflict? **see chapter on "Activities, Services, Approaches"**
What was the disposition? $ in Restitution?, # Hours of work done?, # of cases returned to police/crown/court?
Was contact maintained with participants after their direct involvement in the project? How many project contacts were made with each client?
How are the demographic, social, educational, employment and economic characteristics of the participants changed through the course of the project service/activities/approaches?

Is a follow-up mechanism in place to address the needs of the client after the disposition and recommendations have been made - to ensure they are being met and the client is getting what he/she needs).

What percentage of time is spent on pre-release clients?

2.7. Diversion Policies and Procedures

– see chapter on "Standards"

3. Relevant Documents, Studies and Practices – Yukon

3.1. Aboriginal Justice Strategy (AJS) Trends – 2000 [1]

3.1.1. Reported Referral Rates: Persons

Province /Territory	# of Referrals		
	1996-97	1997-98	1998-99
Yukon	0	60	135

3.1.2. Reported Referral Rates: Offences

Total # of Reported Types of Offences Referred by Province/Territory: 1996-99[2]								
Province /Territory	Offence Types and # of Times Referred							
	-A- Property	-B- Assault	-C- Mischief	-D- Domestic Violence	-E- Sexual Assault	-F- Drug Offences	-G- Prostitution	-H- Other
Yukon	20	27	20	0	0	0	0	10

3.1.3. Client Incompletions/Refusals

Province /Territory	# of Programs Reporting Unsuccessful Referrals		
	1996-97	1997-98	1998-99
Yukon	0	0	3

3.2. A Framework for Community Justice in the Western Arctic – 1999[3]

- The Yukon is also continuing to implement a **post-charge** alternative measures program.
  - A consultation process is underway to establish criteria and procedures for diverting cases at the post-charge level.

3.3. Alternative Measures in Canada – 1998 [4]

Philosophy of Alternative Measures[5]
Youth
Alternative measures for young people, as defined in the Young Offenders Act (Canada) are measures other than judicial proceedings, that hold youth accountable for offences they commit.

[1] Department of Justice Canada, The Aboriginal Justice Strategy: Trends in Program Organization and Activity 1996-1997, 1997-1998 and 1998/1999, Prepared for the Aboriginal Justice Directorate, Department of Justice Canada by Naomi Giff, March 10, 2000 -
[2] Department of Justice Canada, The Aboriginal Justice Strategy: Trends in Program Organization and Activity 1996-1997, 1997-1998 and 1998/1999, Prepared for the Aboriginal Justice Directorate, Department of Justice Canada by Naomi Giff, March 10, 2000 -
[3] Campbell Research Associates, Kelly & Associates, Smith & Associates, prepared for Government of Northwest Territories, Department of Justice, A Framework for Community Justice in the Western Arctic – June 1999
[4] Statistics Canada, Barry Mackillop, Correctional Services Program, Canadian Centre For Justice Statistic Alternative Measures in Canada – 1998, Feb 1999 http://dsp-psd.pwgsc.gc.ca/Collection-R/Statcan/85-545-XIE/85-545-XIE.html

[5] Statistics Canada, Barry Mackillop, Correctional Services Program, Canadian Centre For Justice Statistic Alternative Measures in Canada – 1998, Feb 1999 http://dsp-psd.pwgsc.gc.ca/Collection-R/Statcan/85-545-XIE/85-545-XIE.html

In Yukon, the goals of the alternative measures program for youth have been identified as:
1. providing an informal (out of court) means of solving problems involving young people in ways that address the interests of the victim, the young person, parents and the community;
2. involving the community in dealing with young people and their problems, and to promote a better understanding of community rights and responsibilities;
3. reducing the number of young people appearing in court; and
4. providing a meaningful and direct remedy to victims of offences and encouraging young people to accept responsibility for their actions.

Youth are generally referred to the alternative measures program after appearing in court (i.e., at the post-charge stage), although, on occasion, youth may be referred at the pre-charge stage.

The Department of Justice and Health and Social Services of the Government of the Yukon Territory are responsible for authorizing all alternative measures programs. These programs may be offered by designated diversion councils, or where no diversion committee exists, the programs are administered by youth workers or probation officers.
The local youth worker of each field office and the supervisor of the Whitehorse Youth Probation office meet on an ongoing basis and no less than once per year with the Crown Prosecutor and a member of the R.C.M.P. to review the procedures and the practices surrounding alternative measures.

These include reviewing the nature of pre-court enquiry referrals, record keeping practices and information flow, recommendations and outcomes, and the speed and timeliness of reports.

In Yukon, the general practice is to refer youth to the alternative measures program at the post-charge stage, although, on occasion, they may be referred at the pre-charge stage

Adults:
Yukon Justice is presently in the process of developing an adult alternative measures program in conjunction with the Royal Canadian Mounted Police (RCMP) and Federal Crown.

The intent is to design a program that will be similar to the existing alternative measures program for youth. Protocol is currently under development that will establish procedures and areas of responsibility for the program.

Responsibility for the Delivery of Alternative Measures
Youth
The responsibility for the delivery of alternative measures programs for youth rests with a person designated by the provincial/territorial director, or an organization designated by the diversion council within a community. The preference is for a diversion committee to carry out alternative measures, however, where no diversion committee exists, the youth worker, or probation officer, assumes this responsibility.

In communities where no diversion committee exists and there appears to be a suitable demand for one, it is the obligation of the youth worker to initiate and form a committee. In so doing, the youth worker will enlist the assistance of the supervisor of Youth Probation in forming the diversion committee.

Adult
Yukon Justice is presently in the process of developing an adult alternative measures program in conjunction with the Royal Canadian Mounted Police (RCMP) and Federal Crown. The intent is to design a program that will be similar to the existing alternative measures program for youth. Protocol is currently under development that will establish procedures and areas of responsibility for the program.

Referral Agent
Youth

Normally, referrals to alternative measures programs for youth are made by the Crown Prosecutor. The Crown may request that a youth worker complete a pre-court enquiry to assist in making a decision regarding the Appropriateness of a referral to alternative measures.

All referrals to alternative measures programs are made by the Crown Prosecutor once the Crown is satisfied that sufficient evidence exists to proceed with prosecution of the offence and that prosecution is not in any way barred at law.

The young person must meet the eligibility criteria set out in the *Young Offenders Act (Canada)* as well as those set out in the policies and procedures manual of Yukon Justice.

Normally, the decision to refer a youth to alternative measures is made prior to the youth appearing in court although the process is that the youth must make a first appearance before being referred to the Alternative measures program.

On occasion, a youth will be referred pre-charge, and pre-court, to the program. While it is the responsibility of the Crown to refer appropriate young people to the alternative measures program, the Crown, and in some cases the court, may request a pre-court enquiry (an investigative report prepared by a youth worker), to assist in determining the young person's personal suitability for alternative measures.

The pre-court enquiry report shall be completed within ten working days or two weeks from the date the request is received. If further time is required to establish contact, the youth worker will send a letter to the Crown requesting direction. Before proceeding with the investigation, the youth worker will obtain oral consent from the young person or, failing that, will refer the matter back to the Crown.

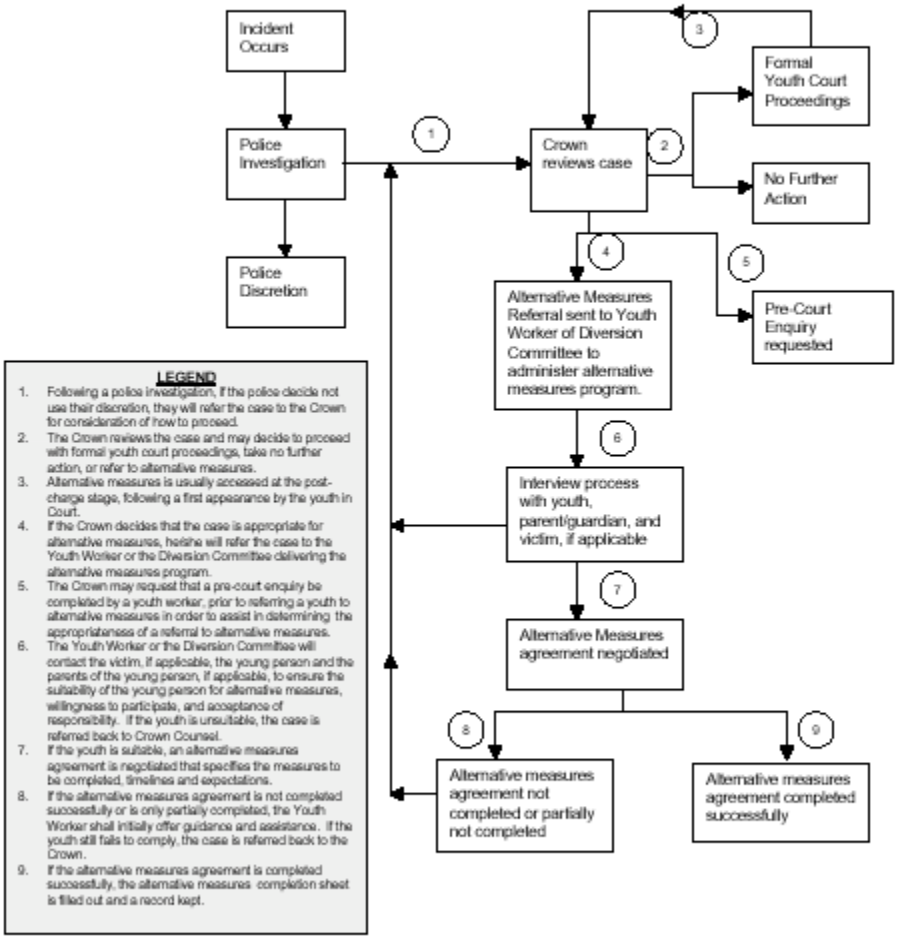
The purpose of the enquiry is to provide the youth worker with an opportunity to discuss the circumstances as set out in the police report with the young person and his/her parents and to obtain an acknowledgement of responsibility. The young person will also be informed, at this time, of his/her right to consult counsel and will be given an opportunity to do so. Where reasonably possible, the youth worker will conduct the interview with the youth and his/her parents at their home. The written report will be forwarded to the Crown to assist the latter in deciding whether or not to refer the young person to alternative measures and will include:
1. previous contact with the criminal justice system;
2. unsolicited agreement or disagreement with the general circumstances as set out in the police report;
3. behaviour at home, the community, and at school;
4. the youth's and parent's/guardian's attitude to the alleged offence;
5. assessment of the parent's/guardian's ability to deal with the situation;
6. a recommendation for or against a plan of alternative measures (diversion);
7. any other information deemed appropriate by the youth worker.

Upon receipt of the report, the Crown will render his/her decision in writing as to whether or not the matter should be referred to an alternative measures program.

Adult

Yukon does not presently offer alternative measures programs for adults. The intent, however, is to develop and design a program that will be similar to the existing youth program in philosophy and in the model of program delivery.

12.9 Alternative Measures Process for Youth



12.16.1. Notice to Parents/Guardians of Referral to Alternative Measures

Whitehorse Diversion Committee, H-6
Box 2703
Whitehorse, Yukon
Y1A 2C6

Dear _____:

Your son/daughter ,_____has been investigated by the police in connection with a charge of _____, section _____ of the *Criminal Code of Canada*.

The Crown Attorney has recommended that your son/daughter be referred to the Diversion Committee instead of proceeding through Youth Court.

The Diversion Committee offers a program which provides for an informal way to solve problems with young offenders. This is done outside of the court and looks after the interests of the victim, young person, parents, and community. The Diversion Committee may require the young person to pay back the loss suffered by a victim, to do work for the community, or to meet such other requirements that the Diversion Committee thinks is appropriate under the circumstances. A young person who participates satisfactorily in a diversion program will not have a criminal record.

It is important to note that participation in a diversion program is wholly voluntary. Before a young person may be accepted into a diversion program, the law requires that:

* the young person fully and freely consents to participate in the diversion program,

* the young person accepts responsibility for the offence (this admission of the offence can never be used against the young person in court).

If the young person does not wish to participate in the diversion program or does not satisfactorily complete the program, they may be referred back to Youth Court.

You will be contacted shortly by a Diversion Committee volunteer for the purpose of arranging a meeting with you and your son/daughter. The meeting will be comprised of parent or guardian, young person and two committee members: _____ and _____. Your son/daughter is entitled to be represented by a lawyer at any time in this matter, and this includes the right to have a lawyer present at any meeting with the Diversion Committee member.

If you have any problems or concerns in the meantime, please feel free to contact e at the number I have provided below.

Sincerely,

Coordinator
Whitehorse Diversion Committee
Phone:
Date:

12.16.2. Alternative Measures Intake Sheet

R.C.M.P. File: _____
Crown File: _____

ALTERNATIVE MEASURES
INTAKE SHEET

Name: _____ Referral Date: _____

Address: _____ Ethnicity: _____

Birthdate: _____

Parent's Names: _____ Telephone: _____

Relevant others: (i.e., school counsellor, social worker, relative, lawyer (if any)).

_____

School: _____ attends _____ does not attend _____

Employment: _____Yes _____No Employer: _____

Victim's Name: _____ Address: _____

Telephone: _____ Offence: _____

Date: _____ Amount of Damage or loss: _____

Accepted into program: Yes _____ No _____ Date: _____

If no, give reason: _____

Special Conditions: _____

_____

_____

Period of Contract: _____ to _____

Supervisor's Names: _____

cc. Crown
R.C.M.P.
Youth Probation

ALTERNATIVE MEASURES IN CANADA **12.21** YUKON

12.16.3. Alternative Measures Agreement

YuKon
Health and Human Resources **DIVERSION AGREEMENT**

On the _____ day of _____19 _____, I _____
appeared before the Diversion Committee having committed:

1. _____
2. _____

And accept responsibility for my involvement in this offence.

_____
Signature

I was placed on a diversion agreement for the period of
(from _____ to _____).

The conditions of my agreement are:

1. to keep the peace and be of good behaviour.
2. If at any time checked by the police, to report the circumstances immediately to the supervisor.
3. To report and accept the supervision of the Supervisor.

Special Conditions:

4. _____
5. _____
6. _____
7. _____

(This is to notify you that _____ has the right to seek the advice of Counsel before entering into this agreement).

I have read this agreement. I understand the conditions of this agreement and agree to follow them. If I do not follow these conditions, or if I choose to, I can go to Youth Court instead to have these charges dealt with.

_____ _____
Name of Young Person Diversion Supervisor

I, _____ the parent/guardian of _____
have read this agreement and discussed it with the Supervisor and the young offender. I understand the conditions set down in this agreement.

_____
Parent/Guardian or Advocate

_____
Diversion Committee Chairman or Representative

ALTERNATIVE MEASURES IN CANADA **12.22** YUKON

12.16.4. Alternative Measures Completion Sheet

R.C.M.P. File: _____
Crown File: _____

ALTERNATIVE MEASURES
COMPLETION SHEET

Name: _____

Address: _____

Birthdate: _____

Did the young person complete the Diversion Agreement?
(a) Yes (b) No (c) Partially

_____
_____

Completion Date: _____

If the young person did not complete, give reason:
(a) terminated for non-compliance
(b) unable to meet conditions
(c) other (explain below)

Provide information on the young person's response to alternative measures. Your comments will be useful to the Crown Prosecutor when deciding if the matter should go to court. It may also be used for court purposes if the young person re-offends.

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

cc. Crown
R.C.M.P.
Youth Probation

Diversion Committee Representative(s)

ALTERNATIVE MEASURES IN CANADA **12.23** YUKON

3.4. Building Community Justice Partnerships - 1997

See diagram p. 40 [6]

[6]. Building Community Justice Partnerships: Community Peacemaking Circles. 1997, Ottawa: Aboriginal Justice Learning Network, Department of Justice authored by Judge Barry Stuart

3.5. A Review of the Justice System in the Yukon - 1986[7]

- The Diversion Program was not well understood by the communities.
    - The Panel explained the concept of the program and communities' reactions were very positive.
- The Diversion Program was seen as a method by which a harmonious solution could be found to resolve conflicts in a small community, rather than have conflicts lingering for long periods as a result of the court process.
    - This type of programs was seen to be useful for specific offences and should be available in both juvenile and adult situations.

Recommendations:

- Diversion program be expanded to serve adults
- All communities be actively encouraged and assisted by Youth and Adult Probation Services to establish Diversion Programs.
- Youth and Adult Probation Services assume the costs associated with the administration of the Program.
- Diversion programs be supervised by trained volunteers who provide positive role models and who are in frequent contact with offenders.
- Training program be developed to aid volunteers in conducting their supervisory duties

[7] John Wright and Joanne Bill – A Review of the Justice System in the Yukon, 19 December 1986 – The Government of the Yukon, in response to concerns expressed about the justice system, appointed a panel to review the Justice System in the Yukon.

4. Relevant Documents, Studies and Practices – Other Northern Territories

4.1. Inuit Women and the Nunavut Justice System – 2000 [8]

Diversion[9]
Question Do you consider that it would be possible to implement this method for resolving conflicts in your community?
Answer
· -yes for cases for youth who are in trouble with the law
· -there are **no resources in the communities to take on diversion** and, more importantly**, deliver the appropriate measures or sanctions** for adults who commit criminal offences of assault and abuse against others
· -the type of alternative measures described in the Working Document **would be too lenient** for adults or even youth who are involved in sexual assault, abuse or other similar violent acts
· -if diversion is considered for adult offenders it should be **restricted to summary offence type incidents** that relate to property, for example vandalism, break and enter, theft under $200, but not for assaults or sexual assaults

Diversion programs have been **implemented before community healing and development.** One must be careful not to put the "cart before the horse."(p. 16)[10]

Diversion must begin at the regional level only when comprehensive development training has been undertaken and completed. (p. 16) [11]

4.2. Alternative Measures in Canada – 1998 [12]

Philosophy of Alternative Measures
Youth
Community Justice Committees are authorized by the Northwest Territories Department of Justice to administer alternative measures programs for youth. These programs are generally offered at the pre-charge stage with an option to access the program post-charge.

The *Young Offenders Act (Canada)* defines alternative measures programs as measures other than judicial proceedings that hold youth accountable for offences they commit.

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[8] Department of Justice Canada, Research Report, Research and Statistics, Mary Crnkovich and Lisa Addario with Linda Archibald Division, Inuit Women and the Nunavut Justice System, 2000-8e, March 2000, http://canada.justice.gc.ca/en/ps/rs/rep/rr00-8a-e.pdf.
[9] Pauktuutit, *Inuit Women and the Administration of Justice, Phase II: Project Reports –Progress Report #1* (July 1, 1994 -December 31, 1994), Appendix 3 - Presentation to the Advisory Committee on the Administration of Justice in Inuit Communities *cited in* Department of Justice Canada, Research Report, Research and Statistics, Mary Crnkovich and Lisa Addario with Linda Archibald Division, Inuit Women and the Nunavut Justice System, 2000-8e, March 2000, http://canada.justice.gc.ca/en/ps/rs/rep/rr00-8a-e.pdf. The participants of the justice workshop held in Ottawa August 12-16, 1994 presented their views, recommendations and response to the working document of the Quebec Advisory Committee on the Administration of Justice for Native Communities. Two representatives from the Ungava Coast and two representatives from the Hudson Coast accompanied Martha Flaherty and Ruby Arngna'naaq in the oral presentation to the Committee members. This presentation took place in Ottawa on August 16th before the Committee Chair, Judge Coutu. This was an Advisory Committee established in Quebec however, the issues raised parallel the issues and concerns identified by women in Nunavut.
[10] Department of Justice (Canada), Record of Proceedings: Aboriginal Women and Justice –Consultations - Inuit Women, November , 1993 cited in Department of Justice Canada, Research Report, Research and Statistics, Mary Crnkovich and Lisa Addario with Linda Archibald Division, Inuit Women and the Nunavut Justice System, 2000-8e, March 2000, http://canada.justice.gc.ca/en/ps/rs/rep/rr00-8a-e.pdf.
[11] Department of Justice (Canada), Record of Proceedings: Aboriginal Women and Justice –Consultations - Inuit Women, - November , 1993 cited in Department of Justice Canada, Research Report, Research and Statistics, Mary Crnkovich and Lisa Addario with Linda Archibald Division, Inuit Women and the Nunavut Justice System, 2000-8e, March 2000, http://canada.justice.gc.ca/en/ps/rs/rep/rr00-8a-e.pdf.

[12] Statistics Canada, Barry Mackillop, Correctional Services Program, Canadian Centre For Justice Statistic Alternative Measures in Canada – 1998, Feb 1999 http://dsp-psd.pwgsc.gc.ca/Collection-R/Statcan/85-545-XIE/85-545-XIE.html

In the Northwest Territories (NWT), alternative measures programs are offered at the pre-charge stage, generally, with a post-charge option, and are administered by Community Justice Committees that exist in most communities although they may be in different stages of development in different places.

Community Justice recognizes crime as a violation of individuals and the community. The underlying philosophy is that solutions that repair, heal, and restore harmony must include the victim, the offender, and the community. Community Justice is based on two concepts; restorative justice and the teachings of Aboriginal peoples. The teachings of Aboriginal peoples emphasize healing, respect, cooperation, and balance. Restorative justice means that the focus is on the healing of damaged relationships to restore harmony in the family and the community. It requires offenders to take responsibility for their actions and the harm they have caused, and seeks redress for victims, recompense by offenders, and reintegration of both within the community.

Restorative justice views criminal acts more comprehensively, and involves more parties by including the victims and communities as well as the government and the offender. The concept of restorative justice allows success to be measured differently by examining how much harm has been repaired or prevented instead of how much punishment has been inflicted.

Restorative justice principles also recognize the importance of community involvement and builds on the strengths of the Community. Community Justice Committees receive their authority through being recognized by the community. Formal appointments are made by the Minister of Justice for the NWT under Section 69 of the *Young Offenders Act (Canada*). The NWT Department of Justice provides support to community development through Community Justice Specialists who assist community justice activities in each region and through contribution funding to communities.

Adults:
In the Northwest Territories, informal adult diversion may occur at the pre-charge stage through Justice Committees. Often a protocol agreement exists that may be signed by the Committee, the RCMP, the Northwest Territories Department of Justice and Justice Canada to recognize the diversion activity.

Currently, there are no formal pre-charge alternative measures programs for adults, although informal pre-charge diversion is used.

There are currently no formal alternative measures programs for adults established in the NWT pursuant to Section 717 of the *Criminal Code of Canad*a.

Adults may, however, be referred, informally at the pre-charge and post-charge stage, to a Community Justice Committee and proceed through a process similar to that which youth follow in alternative measures. One difference, though, is that youth may be prosecuted for non-compliance with the measures whereas adults, given the informal nature of the pre-charge diversion referral, cannot be prosecuted for non-compliance. With the post-charge diversion, criminal proceedings may be initiated or reinstated if the offender fails to complete the alternative measure.

The Royal Canadian Mounted Police (RCMP), Justice Canada (Northwest Territories Region), and the Department of Justice, Government of the Northwest Territories have established a protocol agreement between themselves and any Community Justice Committee that wishes to offer informal diversion programs to adults. Although a Community Justice Committee is not required to sign this protocol in order to offer adult diversion, and this protocol does not officially recognize the Community Justice Committee as an authorized alternative measures program, it does provide written confirmation that adult cases will be diverted to the Justice Committee.

These agreements, however, are not mandatory and do not constitute formal authorization as an alternative measures program pursuant to section 717 of the *Criminal Code Canada*). Post charge diversion decisions through the Attorney General's Policy on Alternative Measures, are the responsibility of Federal Prosecutors in the Northwest Territories. The utilization of Justice committees are the same as with pre-charge diversion.

Responsibility for the Delivery of Alternative Measures
Youth
The primary responsibility for the delivery of alternative measures programs for youth rests with local volunteer Community Justice Committees established pursuant to Section 69 of the *Young Offenders Act (Canada).* Many communities have chosen to establish Community Justice Committees that are recognized by the Department of Justice, the RCMP, and the Courts.

These committees have the authority to deal with cases that are referred to them, and may in some cases, advise the Judges or the Justices of the Peace about cases going through the court.

The Department of Justice of the Government of the Northwest Territories has established guidelines and procedures to be followed by a community wishing to develop a Community Justice Committee. These guidelines, set out in *Your Community Justice Committee: A Guide to Starting and Operating a Community Justice Committee,* allow each community to develop programs to meet their particular needs with support provided by the Department of Justice through Community Justice Specialists who assist community justice initiatives in each region, and through contribution funding to communities.

In identifying potential members for a Community Justice Committee, the community should look for people who are respected members of the community, local volunteer community-based Justice Committees are responsible for administering alternative measures programs for youth. Although no formal alternative measures programs for adults exist, Community Justice Committees may offer informal diversion for adults at the pre-charge stage.

Community Justice Committee members are appointed by the Minister of Justice for the Northwest Territories. Any community wishing to establish a Community Justice Committee will be provided support by a Community Justice Specialist, from the Department of Justice, as well as funding to help with the costs of running a committee who are not involved in criminal activities, who represent a broad cross-section of the community including elders, youth, women, and men, and who can contribute a wide range of experience and knowledge. Formal appointments to the Committee are made by the Minister of Justice for the NWT. The guidelines do not establish a set number of members for a Committee; however, it is suggested that the Committee have at least six members.

There are currently no formal GNWT authorized alternative measures programs for adults. There is, however, a protocol agreement that can be signed by the Community Justice Committee, the RCMP, the NWT Department of Justice, and Justice Canada. Under this agreement, a Justice Committee can be recognized to handle adult cases diverted, at the pre-charge stage only, from the formal justice system. These agreements are not essential in order for diversion to take place, but they provide written confirmation that cases will be diverted to the Community Justice Committee. Post-charge diversion falls under the federal 1997 Attorney General's Policy on Alternative Measures (Diversion). This policy allows the federal Crown Counsel to refer cases to Community Justice Committees in the NWT and allows formal authorization of post-charge adult alternative measures in the NWT by the federal Minister of Justice and Attorney General.

Once a Committee is established, they may determine how they would like to be involved in community justice. There are several ways this may occur in the NWT and a committee may choose one or more of these:
- **Crime Prevention**: This can include a range of activities such as identifying individuals who appear to be "headed for trouble" and offering support to them and their families, establishing a "neighbourhood watch" program in the community, encouraging healing and wellness in the community, etc.
- **Advice to the Court**: **Sometimes** a Judge or a Justice of the Peace will ask a panel of elders or others from the community to sit with them and provide advice on sentencing.
At other times, the Justice Committee may review a situation before court and advise the Judge about the most appropriate sentence. Sometimes, a Circle Sentencing process is used, where the Judge invites community members to sit in a circle and assist in deciding on the sentence: the Justice Committee could organize this.
- **Diversion**: This is where cases are referred directly to the Justice Committee by the police instead of laying charges (for alternative measures). This option gives the community the greatest scope in what it can do.
- **Counselling/Supervision**: Members of the Community Justice Committee, or others in the community identified by the Committee can counsel offenders and victims, provide cultural opportunities such as time in a camp, or supervise offenders who are doing work for elders or others in the community. This could be in relation to offenders who have been through

either the courts or the Justice Committee. Support and guidance may also be offered to offenders after they are released from correctional facilities.

Referral Agent
Youth
Alternative measures programs for youth in the Northwest Territories are based primarily on a pre-charge model with referrals to the program originating with the police. Although the final decision rests with the Crown, power is devolved to the police level to refer post-charge. The Crown may also refer cases to alternative measures, particularly at the post-charge stage.

Upon reception of a referral from the police, the Community Justice Committee reviews the case and makes a decision as to whether to accept the referral. If the case is accepted, it may be dealt with through a number of models that include justice panel hearings, mediation, family group conferencing, and healing circles.

If the case is rejected by the Committee, it may be returned to the police for processing through the courts.

Adult
Community Justice Committees may accept referrals of adults from the police at the pre-charge stage, only, for informal diversion. The Committee may accept referrals at the post-charge stage from the federal Crown as part of a formal program.

13.16.1. Community Justice Initiative Questionnaire

COMMUNITY JUSTICE INITIATIVE QUESTIONNAIRE

(Department of Justice - GNWT)
(RCMP, "G" Division)

The following information is required for the periods:

Jan 1/98 to June 30/98

Community _____ **Period** _____

CRIME PREVENTION INITIATIVES

1. Number of crime prevention initiative undertaken by the RCMP Detachment in the community during the appropriate time period _____.
2. List the type of crime prevention initiatives during this period:[1]

_____

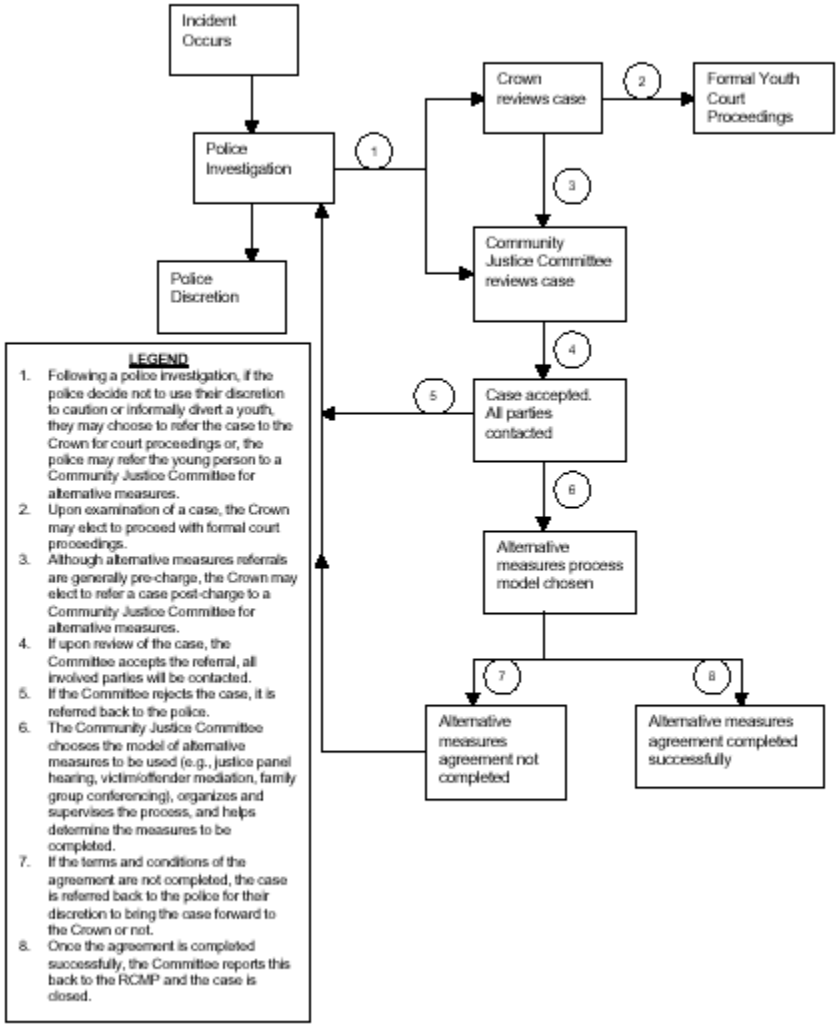
_____

_____

3. Is there an active Community Justice Committee formed in your community?
   Yes ☐ No ☐

[1] Includes all initiatives identified in RCMP Operational policy with exception of detection of crimes and apprehension of offenders & fugitives. Any endeavour that focuses on preventing the desire, ability, and opportunity for an individual from committing a crime in the first place. These types of strategies may include: Programs such as Neighbourhood Watch, Block Parents, Crime Stoppers, which help reduce opportunity; Community-based actions to limit the availability of solvents, a program to lock up firearms and ammunition, or making sure buildings are well lit at night; RCMP involvement in coaching sports, developing youth programs, or other community relations activities which help reduce desire and ability in committing crime. Crime prevention strategies between the RCMP and community to address what they see as the underlying social, economic, cultural, and political elements that seem to be fostering crime in their community. The above examples are not all encompassing.

13.9 Alternative Measures Process for Youth



POLICE DISCRETION STATISTICS

4. Number of individuals dealt with informally[2].

   Youth (DQ54) _____ Adult (DQ53) _____

5. Number of offences dealt with informally.

   Youth _____ Adult _____

6. Number of individuals referred to the Community Justice Committee.

   Youth (DQ56) _____ Adult (DQ55) _____

7. Number of offences referred to the Community Justice Committee.

   Youth _____ Adult _____

8. Number of offences cleared through the Community Justice Committee.

   Youth _____ Adult _____

9. Number of cases referred back to the RCMP by the Community Justice Committee for further processing.

   Youth _____ Adult _____

10. Of the cases referred back to the RCMP (as per question 9) how many of these individuals were then referred to the court?

    Youth _____ Adult _____

11. How many charges for individuals (as per question 10) were referred to the court?

    Youth _____ Adult _____

[2] One example of dealing informally with an individual is when the youth is brought home to the parents by the investigating officer, the offence is explained to his/her parents, and the parents are allowed to deal with the youth. This type of information is normally viewed as "diversion" by the RCMP and is captured on a statistical code.

COURT STATISTICS

The final two questions are not directly related to the use of informal discretion or justice committees. They pertain directly to court referrals. The statistics needed should be available from your court dockets.

12. How many individuals were referred to the court?

Youth _____ Adult _____

13. How many charges were referred to the court?

Youth _____ Adult _____

_____

_____

Please submit the results of this questionnaire directly to the Officer In Charge, RCMP "G" Division, Criminal Operations at the end of the designated periods.

5. Relevant Documents, Studies and Practices – Other Canadian

5.1. Ph.D. Thesis on Alternative Justice in Canada

Dr. David Challen, University of Toronto

5.2. Survey of Pre-charge Restorative Justice Programs -?[13]

Executive Summary
Introduction
A widespread movement to develop alternative ways of delivering justice in society is taking place across a broad range of countries. Most commonly referred to as Restorative Justice, or Community Justice, the movement has recently become the subject of increasing interest from governments and sectors of the justice system, including the police.

Canada has been well represented in the development of restorative justice in terms of past practice and recent innovation. As part of the re-orientation of policing to community policing, the RCMP and the OPP as well as other police forces and components of the Canadian justice system have recently begun to embrace a much more active role in restorative justice. As key components of the justice system, the police have a central gate-keeping role through their exercise of discretionary decision-making.

For many the current justice system is seen as failing to reduce crime and to attend to the needs of victims, offenders or the community, but while many claims have been made about the ability of restorative justice to address these issues, there has also been criticism about its limitations, and concern about the wholesale adoption of restorative practices particularly by the police.

The purpose of this report is to set these initiatives in the context of the development of restorative justice practices in Canada and elsewhere. It considers the historical development of restorative justice ideas, the underlying philosophy and goals of the movement and the characteristics of the main practices; the development of restorative practices in Canada and current initiatives; the benefits and limitations of restorative justice; and some of the wider issues concerning the role of the police in the use of restorative justice, particularly at the pre-charge stage.

Section I outlines what restorative justice is in terms of principles, aims and underlying assumptions. See chapter on "Definitions"
Section II considers the historical development of restorative justice approaches internationally. See chapter on "History"
Section III provides an overview of the development of restorative justice in Canada. See chapter on "History"
Section IV considers the main benefits and limitations and development issues. See chapter on "Successes" and "Challenges"
Section V considers the challenges for the police and communities in Canada. See chapter on "RCMP"

5.3. Restorative Justice: Directions and Principles –Developments in Canada - 2002[14]

[13] Shaw, Margaret and Frederick Jané, Department of Sociology & Anthropology, Concordia University, Montréal, Québec, Network for Research on Crime and Justice, Survey of Pre-charge Restorative Justice Programs, http://qsilver.queensu.ca/rcjnet/projects/execsum.htm

[14] Robert B. Cormier Restorative Justice: Directions and Principles –Developments in Canada 2002-02, Department of the Solicitor General Canada http://www.sgc.gc.ca/EPub/Corr/e200202/e200202.htm

Because restorative justice is an "approach" to justice, it has a potentially broad application to the field of justice. It can be applied to prevent crime in the first instance in various contexts, for example, where mediation is used to resolve conflicts before they escalate to reach the threshold of criminal behaviour. Restorative justice has been applied in Canada at every stage of the criminal justice system from police diversion to the post-sentence (incarceration and parole) stage (Department of Justice, Canada, 2000; Latimer, Dowden and Muise, 2001). Although it has been applied more in cases of youth crime, it is also suitable for adults. Similarly, although it has been used more often to deal with less serious crimes, it can be applied in cases of serious crimes (Gustafson and Smidstra, 1989; Roberts, 1995), taking into account the more challenging interpersonal dynamics in these cases.

5.4. Restorative Justice - A program for Nova Scotia - 2001[15]

– Referrals from beyond the police entry point proved problematic, and this was identified as the central challenge for the Program for 2001 and beyond: i.e. the use of restorative justice as a meaningful option at all stages of the criminal justice process.

Summary

The challenge ahead for the Restorative Justice Program is to continue to build the trust of the criminal justice system and in particular those entry points beyond the police. A process which gives victims a voice, holds youth accountable and offers a meaningful role for the community has an important place in the criminal justice system and in Nova Scotia communities.

- The Nova Scotia Program is different from many restorative programs which are typically available at the pre-conviction stage and often target minor offences. The Nova Scotia Program framework offers restorative justice as an option at four distinct entry points in the system, with more serious matters passing to an entry point that is more formal, and which is subject to greater public scrutiny.

- The entry points are:

Police Entry Point: pre-charge (referral by police officers)

Crown Entry Point: post-charge (referral by Crown attorneys)

Court Entry Point: post-conviction/pre-sentence (referral by Judges)

Corrections Entry Point: post-sentence (referral by Correctional Services or Victims' Services staff)

Four Entry Points to the System[16]
The Steering Committee recognized early on that for a Restorative Justice Initiative to be truly effective, it needed to be flexible enough to meet the specific needs of many different offenders, victims and communities. Despite restorative alternatives being most prevalent at pre-charge and post-charge/pre-conviction entry points, it was recognized that there is nothing to preclude the use of restorative programs at post-conviction and post-sentence entry points as well. The Steering Committee therefore supports a more systemic approach to restorative justice, one which provides for the referral of cases at all entry points in the system.[15] These four entry points can be summarized in the following way:

1. Police Entry Point (pre-charge)

[15] Restorative Justice - A program for Nova Scotia, Update 2001, http://www.gov.ns.ca/just/rj/rj-update.htm
[16] http://www.gov.ns.ca/just/rj/rj-framework.htm

- referral by police officers
- referral of Level 1 and Level 2 offences (see "Included and Excluded Offences", Infra, at p.16)

2. Crown Entry Point (post-charge/pre-conviction)
   - referral by Crown attorneys
   - referral of Level 1 and Level 2 offences
3. Court Entry Point (post-conviction/pre-sentence)
   - referral by Judges
   - referral of Level 1, Level 2 and Level 3 offences
4. Corrections Entry Point (post-sentence)
   - referral by Correctional Services/Victims' Services staff
   - referral of Level 1, Level 2, Level 3 and Level 4 offences

Continuum of Options

These four entry points make possible a continuum of options. The important notion to keep in mind is that for more serious cases, the matters would pass to an entry point that is more formal and which is subject to greater public scrutiny. For example, serious robbery charges would not be referred to restorative justice at the police (pre-charge) entry point.

The referring body (police, Crown attorney, judge, Correctional Services/Victims' Services staff) will conduct an assessment of the case using the overall guidelines for program participation.[16] If a referral is made, an assessment will then be conducted to determine which restorative model is appropriate for that case.[17]

Understanding the directions a case may take can perhaps be best understood with reference to the diagram at Appendix D.[18] Beginning with the first entry point, the police have a variety of options. They may choose to provide an informal warning or a formal caution to the offender for the least serious offences. The next option would be to refer the matter directly to alternative measures or to a restorative justice process. All of this would happen without the laying of a charge. If a police officer lays a charge, he/she may still believe a restorative option is preferable, and may therefore recommend such an option to the Crown attorney.

After a charge has been laid, a Crown attorney, upon reviewing the guidelines, may also refer a case to a community agency for assessment, or proceed with prosecution of the case.

For the most serious cases, a conviction may need to be entered in formal court. The judge, on his/her own motion, or on the recommendation of the Crown attorney or defence counsel, may make a referral to a community agency. The matter would be adjourned to provide the agency an opportunity to perform an assessment, and for a restorative justice forum, such as a sentencing circle, to be held. The judge may also decide to adjourn sentencing until the offender has had time to complete the terms set forth in the agreement arising out of the forum.

The use of restorative options is also possible after an offender has been sentenced. A restorative option at this point in the system could be used as a tool to achieve healing for the victim, offender and community during the time the sentence is being served, or to assist in the reintegration of the offender into the community after the sentence has been served. Cases at this entry point would be referred by Correctional Services/Victims' Services staff to a community agency for assessment.

Informal Warnings and Formal Cautions

Dealing appropriately with "low end" offences and first time offenders continues to be a priority under the Restorative Justice Initiative. Police officers have always exercised their discretion in the form of informal warnings. Warnings are an effective way of diverting less serious offenders quickly and simply.

For an officer to give a warning, there must be enough evidence to lay a charge, and the offender must accept responsibility for his actions. Informal warnings typically are delivered by the investigating officer, as soon as possible after the incident has occurred. In the case of young offenders, the officer may also contact the youth's parent/guardian in person or by telephone.

The next step is the formal caution. The notion of a formal cautioning program was discussed not only with the police subcommittee, but also with a focus group of police officers who assisted in the development of a protocol. The consensus was that a formal caution would be appropriate for less serious offences, or perhaps for minor repeat offenders. Appropriate cases would be provincial statute offences; minor property offences; disorderly conduct offences; assaults not resulting in bodily harm; and mischief.

Experience in the use of cautions has demonstrated that it has a major impact in decreasing the number of cases proceeding through the formal justice system.*

A study conducted in 1993 [in England] found that of those between the ages of 10 and 16 who had either been cautioned or convicted, 90% of males under 14 were cautioned; 97% of females under 14 were cautioned; 69% of males aged 14 to 16 were cautioned; and 87% of females aged 14 to 16 were cautioned.[19]

The decision to caution is made by the police in accordance with established procedures. A formal caution can be administered if there is enough evidence to lay a charge, the offender accepts responsibility for the offence, and the offender gives informed consent to being formally cautioned.

A caution is recorded by a letter mailed to the offender from the supervising officer. Depending on the circumstances of the case, a caution may also require the offender to attend at the police station for a more formal administration of the caution by a supervising officer, or to attend an educational program specific to the offence committed. The victim will be informed of the decision to caution, and be given an opportunity to express their feelings about the use of a caution. Lack of agreement by the victim however, does not preclude the use of a caution. During the actual caution the officer will explain the consequences of the caution, the seriousness of the situation, and the impact the offender's behaviour has had on the victim and the community.

Youth and Adult Diversion Programs

Police and Crown attorneys already have the option of referring offenders to diversion programs in Nova Scotia. A post-charge Adult Diversion Program currently exists pursuant to s. 717 of the Criminal Code. If the offender meets the eligibility criteria set out in that section, and the offender and the offence meet the criteria set out in the provincial guidelines, the Crown attorney may, usually in consultation with the investigating officer, refer the offender to the Adult Diversion Program. The Program is administered by probation officers, who, in interviewing the offender, reach a formal adult diversion agreement.

For youth, a pre-charge/post-charge Diversion Program exists under the rubric of Alternative Measures, pursuant to s. 4 of the Young Offenders Act. Youth are referred by police officers and Crown attorneys to a community-based alternative measures society which conducts a mediation session run by volunteers. The mediation session is held with the offender, his/her parents, two volunteer mediators, a police officer and in some cases, the victim, and his/her support people. As is the case with the Adult Diversion Program, the provincial policy guidelines exclude certain types of offences, and offenders who have participated in the Program in the past two years.

5.5. The Effectiveness Of Restorative Justice Practices: A Meta-Analysis" – 2001 [17]

- A restorative justice program may be initiated at any point in the criminal justice system and need not be used simply for diversionary purposes.
- Currently, there are five identified entry points into the criminal justice system where offenders may be referred to a restorative justice program:
    - 1. police (pre-charge)
    - 2. Crown (post-charge)
    - 3. courts (pre-sentence)
    - 4. corrections (post-sentence)
    - 5. parole (pre-revocation)

5.6. Aboriginal Justice Strategy (AJS) Evaluation -2000[18]

5.6.1. Referral Sources

- The projects rely on support from the mainstream justice workers, particularly as a source of referrals.
- Though many projects have noted progress in their relationships with, and referrals from mainstream justice, there were a few who were continuing to have problems.
    - One community relies on referrals from courtworkers, Crown and defence attorneys.
- In the first year of operation, **52% of clients had three or more court appearances prior to referral** and in the **second year 57% had three or more appearances.**
    - While there were a number of reasons why clients may not have been referred earlier, such as remands to allow the accused to retain counsel, the late referrals were also attributed in part to a lack of knowledge of the project.

5.7. Aboriginal Justice Strategy (AJS) Trends – 2000 [19]

5.7.1. Number of Referrals

Province /Territory	# of Referrals		
	1996-97	**1997-98**	**1998-99**
British Columbia	47	103	36
Saskatchewan	403	2490	2989
Manitoba	0	6	401
Ontario	277	550	283
Quebec	0	0	0
Nova Scotia	71	61	56
Newfoundland	0	0	0
Nunavut	*0*	*80*	*119*
Northwest Territories	*0*	*159*	*177*
Yukon	***0***	***60***	***135***

[17] Department of Justice Canada, Research and Statistics Division, Jeff Latimer, Craig Dowden Danielle Muise, "The Effectiveness Of Restorative Justice Practices: A Meta-Analysis", 2001, http://canada.justice.gc.ca/en/ps/rs/rep/meta-e.pdf
[18] Department of Justice Canada, Evaluation Division, Final Evaluation Aboriginal Justice Strategy, Technical Report, October 2000
[19] Department of Justice Canada, The Aboriginal Justice Strategy: Trends in Program Organization and Activity 1996-1997, 1997-1998 and 1998/1999, Prepared for the Aboriginal Justice Directorate, Department of Justice Canada by Naomi Giff, March 10, 2000 -

5.7.2. Reported Types of Offences

Total # of Reported Types of Offences Referred by Province/Territory: 1996-99[20]								
Province /Territory	**Offence Types and # of Times Referred**							
	-A- Property	**-B- Assault**	**-C- Mischief**	**-D- Domestic Violence**	**-E- Sexual Assault**	**-F- Drug Offences**	**-G- Prostitution**	**-H- Other**
British Columbia	54	16	0	36	34	0	0	28
Saskatchewan	2004	626	424	0	0	10	112	185
Manitoba	186	626	424	0	0	10	112	185
Ontario	302	335	92	1	2	49	33	593
Quebec	0	0	0	0	0	0	0	0
Nova Scotia	25	9	13	0	0	0	0	49
Newfoundland	0	0	0	0	0	0	0	0
Nunavut	*52*	*14*	*3*	*4*	*0*	*0*	*0*	*6*
Northwest Territories	*3*	*6*	*0*	*0*	*0*	*0*	*0*	*3*
Yukon	***20***	***27***	***20***	***0***	***0***	***0***	***0***	***10***

A: Property refers to such offences as theft, break and enter, possession of stolen property and vandalism.
B: Assault refers to any form of assault that is non-sexual and non-domestic.
C: Mischief refers, generally, to a situation where an individual willfully destroys or damages property, obstructs or interferes with another's use of property, or where an individual willfully destroys or alters data, or obstructs or interferes with another's use of that data, as defined in the *Criminal Code* of related offences.
F: Drug Offences refers to possession of drugs, trafficking, and all drug related offences.
G: Prostitution refers to the act of soliciting and not to the act of making a proposition.
H: Other is a category that is often used in the project files, so many details are left unexplained. It also used here to capture offences that are not captured in the previous columns. Some of the other offences that have been reported on include municipal, provincial and federal offences such as: arson, suicide threats, indecent exhibition, liquor-by-laws, fraud, breach of probation, failure to appear, obstructing justice/police, threats, weapons, failure to stop, willful damage, impaired driving, non-criminal disputes.

5.7.3. Sources for Client Referrals

- This section highlights where and from who programs get client referrals from.
  - This was not always determined (in isolation) by the program.
  - It is dependent upon the attitudes, policies, and philosophies of the surrounding justice and social services agencies as well as the relationship the program has with agencies.
  - In fact, programs may want to expand their referral sources, but are unable to.
- By 1998-99, 87% of the projects reported on their sources for referrals.
  - While most projects report one of or both the Crown/Court and the Police/RCMP as a referral source, a large number also report 'other'.
- Other sources include a referral base of agencies and institutions at the local level, both justice related and non-justice related. Such referral sources, as indicated in the project activity reports, include, but limited to:
  - probation,
  - self,
  - community members,
  - local agencies,

[20] Department of Justice Canada, The Aboriginal Justice Strategy: Trends in Program Organization and Activity 1996-1997, 1997-1998 and 1998/1999, Prepared for the Aboriginal Justice Directorate, Department of Justice Canada by Naomi Giff, March 10, 2000 -

- courtworkers,
- high schools,
- band councils,
- tribal councils,
- friendship centres,
- the John Howard Society,
- tribal police,
- legal aid,
- victims,
- victim services and
- social services.
    - Very few projects use only criminal justice agents as referral source.
    - There is a wide referral base to draw upon that includes community residents, schools, local agencies, self and band council.
    - These 'other' referral sources can highlight some important links that the project can develop with the community.

	# Programs		
Source of Referral	**1996-97**	**1997-98**	**1998-99**
Police	8	21	49
Crown	8	16	35
Other	6	18	34
TOTAL	**22**	**55**	**118**

- Clearly the most common reported referral source, especially in the last two years, was Police.

5.7.4. Points of Entry (Pre- and Post-Charge Distribution)

- The majority of the projects operate both pre and post charge projects. However, there are some that accept only pre-charge referrals and some that only accept post-charge referrals.
- **Pre-Charge Only:** In 1996-97 there were no projects that identified as pre-charge only.
    - In 1997-98, however, one did (in the Northwest Territories). In 1998-99, two projects indicated they were pre-charge only (Nunavut and Saskatchewan)
- **Post-Charge Only:** In 1996-97, two projects (one in Manitoba and one in Ontario) reported being post-charge only projects.
    - That figure increased to four in 1997-98 (three in Ontario and one in Manitoba).
    - By 1998-99, 5 projects were operating post-charge only projects (three in Ontario, one in Manitoba and one in Nunavut).
- **Pre and Post Charge:** This is by far the largest category. In 1996-97, 13 projects identified as both pre and post-charge (87% of those that reported on this variable).
    - In 1997-98 that figure increased to 26 projects (84% of those projects that reported on this variable) and by 1998-99 to 46 projects (87% of those projects that reported on this variable).

5.7.5. Reported Referral Rates: Persons

- The jurisdiction with the highest number of reported referrals was Saskatchewan, where almost 3,000 people-cases were referred to community-based justice projects in 1998-99.
- These figures, however, are qualified by a number of factors.
    - First they are limited to the extent that they represent the figures that were not reported on, by those projects that did in fact report on the number of referrals they received.
    - Second, these figures do not reflect the variety of activities that are being undertaken at the community level, activities that do not represent 'people cases'.

- Such things are not accounted for here include development activities, training activities, workshops hosted or organized.
- These activities may account for all the activities of some of the projects operating and they do not lend themselves to being incorporated into people cases referrals.

- Third, these figure may be somewhat misleading because of the types of projects operating within each jurisdiction: jurisdictions with urban projects will generally have much higher rates because urban projects by far receive the most referrals once they become operational.

5.7.6. Pre-charge and Post-Charge Rates

- It was found that in 1998-99 post-charge referrals were occurring far more commonly than pre-charge.
  - In fact, while pre-charge referrals totaled 690, the total number of post-charge referrals received was 2,023.
- This finding does not represent common thinking about community-based justice projects.
  - The commonly held belief that pre-charge operations, because they are easier to facilitate and coordinate at the community level, are the more common activity.
  - In some cases they are not.

5.7.7. Reported Referrals Rates: Offences

- Offers the number of times assault, property offences, mischief, domestic violence, sexual assault, drug offences, prostitution and others were referred to the projects funded by AJS.
- It is important to remember that these figures are as reported on in mid and final activity reports by the projects.
  - Many projects did not engage in quantifiable activities, did not accept criminal diversions, or did not adequately report on their referral rates.
  - If this latter group had reported more thoroughly these numbers would be significantly higher.
- The most common offences referred were property related, followed by assault.
  - Offences in the 'other' category were also prominent.
  - The offence categories represent the most common cited offence types.

5.7.8. Reported Referrals Characteristics (Age and Gender)

- By providing breakdowns on the age and gender of clients they serve, these projects offer a cursory examination of the people who are often using these justice initiatives.
- **Age:** In 1998-99, adults accounted for approximately 23% more of the referrals than did youths.
  - The total number of adult clients for that year totaled 2,640.
  - The total for youths was 2,108.
- **Gender:** In 1998-99 males accounted for approximately 33% more of the referrals than women.
  - The total number of male clients in 1998-99 was 1,304.
  - Female clients in the same year totaled 991.

5.7.9. Client Incompletion/Refusals

- This figure refers to:
  - person referrals that were 'unsuccessful' in the program;
  - client who failed to complete the program requirements, defaulted or were considered inappropriate referral by the program and diverted back to the mainstream justice system.
- In other words, this variable simply refers to persons that did not complete the program, even though they were referred.

Province /Territory	# of Programs Reporting Unsuccessful Referrals		
	1996-97	1997-98	1998-99
British Columbia	0	0	2
Saskatchewan	2	8	9
Manitoba	0	0	2
Ontario	2	3	3
Quebec	0	0	0
Nova Scotia	1	1	1
Newfoundland	0	0	0
Nunavut	0	1	2

Province /Territory	# of Programs Reporting Unsuccessful Referrals		
Northwest Territories	0	2	2
Yukon	**0**	**0**	**3**
TOTAL	**5**	**15**	**24**

- The following list highlights the reasons for 'unsuccessful' referrals as they re reported in their files:
  - Client denied offence
  - Client disrespectful of the program
  - Terminated due to behaviour of client
  - Client withdrew from process
  - Client reoffended while participating in the program
  - Charges reactivated
  - Past criminal history
  - Age of client
  - Client diverted, but failed to attend
  - Poor attendance in the program
  - Client refused to comply with conditions
  - Client did not comply
  - Unable to make contact with client
  - Prison was deemed to be more helpful for the individual
  - Guardian preferred probation
  - Inappropriate referral for the program to address
  - Client moving so the impact of program and the community involvement negligible
  - Problems with support team
  - Client left to attend school
  - Agreement could not be reached

5.8. Restorative Justice in Canada - 2000 [21]

- Practitioners and academic writers often define restorative justice by how it differs from the traditional criminal justice system.
  - However, it is more appropriate to see restorative justice as part of a range of responses to crime and conflict.
  - Restorative justice cannot replace the criminal justice system; there will always be a need to protect society from those who would harm others, to clearly denounce serious crimes, and to provide a way for accused persons to assert their innocence.
  - Less-serious crimes and issues of personal and community conflict are often best resolved without getting the justice system involved, while other crimes may require some formal intervention or diversion to social services agencies.
  - Even in more serious cases, however, there is room for restorative options at many points in time after a conflict has occurred or a crime has been committed.
- Restorative processes ideally involve crime prevention and conflict resolution to prevent crime from occurring, but restorative options can play a role in meeting the needs of victims, offenders and communities even after an offender has been convicted and sentenced.
- Some of the points at which restorative justice can be applied include:
  - Restorative justice programs may **prevent crime** through public education, crime prevention, and encouraging community members to use mediation to resolve conflicts before they become serious.
  - Police officers may refer matters to alternative measures or other diversion programs **before** they lay **charges.**

[21] Federal-Provincial-Territorial Working Group on Restorative Justice *Restorative Justice in Canada: A Consultation Paper* (May 2000) available from the Department of Justice Canada, http://canada.justice.gc.ca/en/ps/voc/rjpap.html.

- Alternative measures are programs that offer offenders a way to take responsibility for their behavior and to address the harm that they have committed.
- These programs, which are legislated under section 717 of the *Criminal Code* and section 4 of the *Young Offenders Act* , are developed within provincial guidelines.
- Diversion programs typically involve sending an offender to programs that may help with the underlying causes of the offending behavior, such as substance abuse or anger management.

- **After** the accused has **been charged**, matters may be referred to alternative measures programs or community justice committees.
  - If the matter is successfully resolved at this stage, the charges may be suspended.
- **At the sentencing stage,** sentencing circles may assist a judge in determining a fit sentence.
  - Judges may be able to order more restitution to victims, and circles may involve the community in helping the offender.
- **After the offender has been sentenced**, Victim-Offender Reconciliation Panels, circles of support, and reintegration circles can help to meet the emotional needs of victims and offenders.
  - Restorative measures may also include efforts to create safer prison environments and to rehabilitate offenders.

5.9. Alternative Measures in Canada – 1998 [22]

– The report, which represents the first phase of a special study commissioned by the National Justice Statistics Initiative 1 , is intended as a reference document on administrative and operational policies with respect to alternative measures for both youth and adults in Canada. The study focused on the collection of national descriptive information on the organization and delivery of youth and adult alternative measures established pursuant to the Young Offenders Act (Canada) (1984) and the Sentencing Reform Act (1996). This is viewed as an important and necessary step in order to subsequently place quantitative jurisdictional differences in proper context.

– In an effort to ensure a consistent focus across all jurisdictions in Canada, it was essential that the underlying terms of diversion and alternative measures be clearly defined. For the purposes of this report, the term diversion is used to identify the **process** of diverting youth or adults who commit acts that could be considered criminal away from the traditional court system. The concept of diversion encompasses several different actions or approaches including, but not limited to, the use of police discretion not to lay charges, informal police warnings, and informal police referrals to community-based recreation services and informal police referrals to individual or family intervention services. The process of diversion may also include formal referrals to authorized Alternative Measures programs.

– The term Alternative Measures, which is the focus of this report, refers to formalized programs other than judicial proceedings which may be at the pre or post-charge stage, and that are designed to balance society's right to protection with the needs of youth and adults in conflict with the law. With respect to youth, Alternative Measures include programs which have been **authorized** by the Attorney General or his/her delegate or authorized by a person, or a person within a class of persons, designated by the Lieutenant Governor in Council pursuant to **S.4** of the Young Offenders Act. Within jurisdictions, these authorized Alternative Measures may be offered at the **pre-charge** stage, the **post-charge** stage, or **both.**

– The **delivery** of Alternative Measures may be through government agencies such as probation or corrections, through non-governmental organizations, or through Youth Justice Committees which have been **established and designated** as such by the Attorney General or other such Minister as the Lieutenant Governor in Council pursuant to **S.69** of the Young Offenders Act. With respect to adults, Alternative Measures include programs which

[22] Statistics Canada, Barry Mackillop, Correctional Services Program, Canadian Centre For Justice Statistic Alternative Measures in Canada – 1998, Feb 1999 http://dsp-psd.pwgsc.gc.ca/Collection-R/Statcan/85-545-XIE/85-545-XIE.html

have been **authorized** by the Attorney General or his/her delegate or authorized by a person, or a person within a class of persons, designated by the Lieutenant Governor in Council pursuant to **S.717** of the Criminal Code of Canada. Within jurisdictions, these authorized Alternative Measures may be offered at the **pre-charge** stage, the **post-charge** stage, or **both.**

Canadian Centre for Justice Statistics[23]

- In 1981, the Chief Statistician and the federal and provincial / territorial Deputy Ministers with justice responsibility in Canada established the National Justice Statistics Initiative. Its purpose is to develop Canada's system of justice statistics and information in order to support the administration of justice in Canada, and to ensure that accurate information regarding the nature and extent of crime and the administration of justice is available to the Canadian public.

- The responsibility for Canada's system of justice is shared between the federal and provincial / territorial governments representing some twenty-nine government departments. The lead responsibility for the development of Canada's statistical system rests with Statistics Canada. Its Mandate is to inform Canadians on the conditions and prospects of Canadian society. The term "Initiative" refers to the "partnership" among the federal and provincial / territorial departments with justice responsibility and Statistics Canada. The National Justice Statistics Initiative is unique in that it represents a collaborative effort in which all jurisdictions share authority and responsibility for developing and achieving common objectives.

- The governing body of the Initiative is the Justice Information Council (JIC). The JIC is chaired by the Deputy Minister of Justice, Canada and consists of the federal and provincial / territorial Deputy Ministers with justice responsibility and the Chief Statistician. The operational arm of the Initiative is the Canadian Centre for Justice Statistics. The work of the Centre is overseen by the Liaison Officers Committee (LOC). The LOC is chaired by a member of the JIC. Its membership consists of one departmental official appointed by each member of the JIC and a representative of the Canadian Association of Chiefs of Police. With their guidance, the Centre develops and implements statistical surveys, assists with the development of automated operational systems, and provides information products and services to the Partners in the Initiative and to the public.

Project Background

- During the 1996 strategic planning exercise, alternative measures was identified as an important existing information gap. It was suggested that the CCJS undertake a special study on alternative measures (AM) for youth and adults in Canada. The descriptive aspect of the study proposed to gather information on the legal and operational responsibilities of federal, provincial, territorial and local agencies involved in AM. This type of information was seen to be valuable for understanding the administration of AM within jurisdictions and to explain and provide context to jurisdictional data.

- After a pilot test and two annual data collection cycles (1990-91 and 1991-92), the CCJS published Alternative Measures for Young Persons in Canada in June 1993. The publication provided an overview of alternative measures as well as jurisdictional profiles describing policy and process, and data on numbers referred and their characteristics, offences, agreements reached, types of alternative measures employed, and compliance. The subsequent evaluation report titled A Review of the Alternative Measures Survey: 1991-92, found that although the information contained in the 1993 report was useful insofar as the information cited above was concerned, two objectives of the national survey had not been achieved.

- First, program differences undermined inter-jurisdictional comparability. Second, the unavailability of data from some jurisdictions made it impossible to measure national volumes. At that time, however, alternative measure programs were still relatively new, and the state of jurisdictional data collection relatively undeveloped. An

[23] Statistics Canada, Barry Mackillop, Correctional Services Program, Canadian Centre For Justice Statistic Alternative Measures in Canada – 1998, Feb 1999 http://dsp-psd.pwgsc.gc.ca/Collection-R/Statcan/85-545-XIE/85-545-XIE.html

important component of this study was to assess the current state of data collection and recommend whether or not to restart a national alternative measures survey.

- In recent years, there has been a move toward the use of alternative measures for adults. The Sentencing Reform Bill (C-41), proclaimed on September 3, 1996, encourages the use of alternative measures and sets out guidelines governing the establishment of programs and eligibility criteria. It was seen as opportune, therefore, that the Initiative establish national data requirements for adult alternative measures programs in order to provide guidance to jurisdictions in the area of data gathering.

Methodology

- The first phase of the descriptive alternative measures project was to design and circulate a consultation document to assist Working Group members with the identification of specific descriptive information requirements of national interest about the organization and delivery of alternative measures in Canada for both youth and adults. This document also served an exploratory function in assessing jurisdictional capabilities to provide certain data and in identifying associated respondent burden.

- Working Group members were asked to complete the consultation document and comment on the content of the proposed report to ensure that their jurisdictional interests were being addressed. Working Group members forwarded the required information to the CCJS, which was then incorporated into this report. Each jurisdictional chapter, as well as the national overview chapter, was then circulated to the affected jurisdictional Working Group member for review and verification.

Organization of the Report

- This report begins with a National Overview of alternative measures for both youth and adults in Canada. The National Overview chapter includes specific references to applicable sections of the Young Offenders Act (Canada) and the Criminal Code of Canada and is used as a reference for such throughout the other chapters. Each jurisdiction is then presented in successive chapters or sections. Each chapter is designed with its own Table of Contents with the format maintained throughout all chapters in order to facilitate cross-referencing information between jurisdictions.

- Topics covered include;
    - the philosophy of alternative measures,
    - responsibility for program delivery,
    - referral agent,
    - the role of the police, see chapter on "RCMP"
    - the Crown, see chapter on "Crown Prosecutors"
    - and the victim, see chapter on "Victims"
    - the right to legal counsel,
    - eligibility criteria, see chapter on "Standards"
    - a flowchart outlining the alternative measures process,

- a description of the alternative measures agreement,
- the range of alternative measures,
- the supervision of and completion of the agreement, and
- information regarding record keeping requirements.

– Where available, appendices have been attached that provide samples of forms currently in use in the jurisdictions as well as any currently available alternative measures data. It is important to note that the data contained in the jurisdictional appendices are provided as a sample only. No analysis has been performed on the data nor has any inter-jurisdictional comparisons been made as there has been no attempt to ensure standard definitions or time frames for the data.

Philosophy of Alternative Measures[24]
National Overview
Alternative Measures refers to formalized programs other than judicial proceedings which may be at the pre or post-charge stage, and that are designed to balance society's right to protection with the needs of youth and adults in conflict with the law.

Alternative measures are available in all jurisdictions for youth and in several jurisdictions for adults. Most of those jurisdictions that do not presently offer programs for adults are in the process of developing these. Alternative measures may be offered at the pre-charge stage, the post-charge stage, or both and are intended as an alternative to the formal criminal justice system process.

Youth: Section 4 of the Young Offenders Act (Canada) establishes the legal framework for the operation of alternative measures programs for youth and states:
4. (1) Alternative measures may be used to deal with a young person alleged to have committed an offence instead of judicial proceedings under this Act only if
(a) the measures are part of a program of alternative measures authorized by the Attorney General or his delegate or authorized by a person, or a person within a class of persons, designated by the Lieutenant Governor in Council of a province;
(b) the person who is considering whether to use such measures is satisfied that they would be appropriate, having regard to the needs of the young person and the interests of society;
(c) the young person, having been informed of the alternative measures, fully and freely consents to participate therein;
(d) the young person has, before consenting to participate in the alternative measures, been advised of his right to be represented by counsel and been given a reasonable opportunity to consult with counsel;
(e) the young person accepts responsibility for the act or the omission that forms the basis of the offence that he is alleged to have committed;
(f) there is, in the opinion of the Attorney General or his agent, sufficient evidence to proceed with the prosecution of the offence; and
(g) the prosecution of the offence is not in any way barred at law.
(2) Alternative measures shall not be used to deal with a young person alleged to have committed an offence if the young person
(a) denies his participation or involvement in the commission of the offence; or
(b) expresses his wish to have any charge against him dealt with by the youth court.

This section was designed to provide considerable flexibility to the Provinces/territories in the implementation of programs while protecting the rights of the youth. For instance, a young offender must acknowledge responsibility for the act and consent to the alternative measure that is being suggested. The Youth also has the right to consult a lawyer and the right to choose to have the Case proceed to court.

[24] Statistics Canada, Barry Mackillop, Correctional Services Program, Canadian Centre For Justice Statistic Alternative Measures in Canada – 1998, Feb 1999 http://dsp-psd.pwgsc.gc.ca/Collection-R/Statcan/85-545-XIE/85-545-XIE.html

Although section 4 was held by the Supreme Court of Canada to not require a province/territory to establish a program of alternative measures (R.v.S.(S)(1990), 57 C.C.C. (3d) 115, [1990] 2 S.C.R. 254,)and further that failure of the Attorney General to authorize alternative Measures does not violate s.15 of the Charter, all provinces/territories do currently provide alternative measures programs for youth.

With the exception of New Brunswick, Ontario and Yukon, all alternative Measures programs for youth in Canada are combined pre and post-charge Programs with the preference, and the General practice, being that youth are Referred at the pre-charge stage (i.e., Before charges are laid).

In New Brunswick, the alternative measures Program operates at the pre-charge stage only.

In Ontario, youth are only referred to alternative measures programs at the post-charge stage, which means that charges are laid prior to a referral.

In jurisdictions where the usual practice is to refer youth at the pre-charge stage, the post-charge option is often one that is available to the Crown. This option may be used in cases where the Crown wishes to preserve jurisdictional time lines.

Generally, with summary or hybrid offences, the measures must be completed within six months from the date of the offence, and within twelve months from this date for indictable offences.

If the Crown stays the charge prior to referral, the time line starts on the date of the stay instead of on the date of the alleged offence as is the case with pre-charge referrals.

In Quebec, the Crown may use the post-charge option to suspend judicial proceedings in order to have the opportunity to forward the case to the Provincial Director for consideration of alternative measures.

Adults: With respect to adults, the proclamation of *Bill C-41* in September 1996 provided for the establishment of formal adult alternative measures programs. These programs are authorized pursuant to section 717 of the *Criminal Code (Canada)* and contain the following provisions:

717. (1) Alternative measures may be used to deal with a person alleged to have committed an offence only if it is not inconsistent with the protection of society and the following conditions are met:
(a) the measures are part of a program of alternative measures authorized by the Attorney General or the Attorney General's delegate or authorized by a person, or a person within a class of persons, designated by the Lieutenant Governor in Council of a province;
(b) the person who is considering whether to use the measures is satisfied that they would be appropriate, having regard to the needs of the person alleged to have committed the offence and the interests of society and of the victim;
(c) the person, having been informed of alternative measures, fully and freely consents to participate therein;
(d) the person has, before consenting to participate in alternative measures, been advised of the right to be represented by counsel;
(e) the person accepts responsibility for the act or omission that forms the basis of the offence that the person is alleged to have committed;
(f) there is, in the opinion of the Attorney General or the Attorney General's agent, sufficient evidence to proceed with the prosecution of the offence; and
(g) the prosecution of the offence is not in any way barred at law.
(2) Alternative measures shall not be used to deal with a person alleged to have committed an offence if the person
(a) denies participation or involvement in the commission of the offence; or
(b) expresses the wish to have any charge against the person dealt with by the court.

As with the alternative measures programs for youth, this section offers considerable flexibility to the provinces/territories in both the decision to establish alternative measures programs for adults as well as the method in which these programs will be offered.

In jurisdictions where programs are in operation, they tend to be modeled on the existing youth programs.

This is the case for Prince Edward Island, Manitoba, Saskatchewan, Alberta, and British Columbia where the adult programs are usually offered at the pre-charge stage, with a post-charge option.

In New Brunswick, an adult pre-charge program was implemented in March 1998 that is based on a restorative justice approach.

In Nova Scotia, the program delivery is based on that of the youth programs. However, where the youth programs are offered primarily at the pre-charge stage, with a post-charge option, the programs for adults are only offered at the post-charge stage.

Newfoundland, Quebec, and Yukon are presently developing adult alternative measures programs.

In Ontario, there is a pilot adult diversion program in operation, although this program is not a formally authorized alternative measures program under section 717. They are exploring the possibility of expanding this program to other communities, but it is uncertain, at this time, whether the expansion, if it occurs, will include formal authorization of the programs.

Responsibility for the Delivery of Alternative Measures
National Overview

The responsibility for delivering alternative measures programs for both youth and adults may be assumed by one agency/organization or shared among several. Generally, alternative measures programs are delivered by probation officers, community-based agencies, local Justice Committees, community volunteers or a combination of these.

Although the legislation for alternative measures is under federal jurisdiction, the provincial and territorial governments have been given wide latitude in designing the delivery of programs to meet the specific needs within their respective jurisdictions. As a result there is not a single consistent entity across the country that is set up to deliver alternative measures programs for both youth and adults.

Youth Within jurisdictions, the responsibility for the delivery of alternative measures programs for youth may be that of one agency/organization or it may be shared among several agencies/organizations that are authorized to deliver the programs.

Generally, alternative measures programs are delivered by probation officers, non-profit community-based agencies or by local volunteer Justice Committees or other community volunteers. In those jurisdictions where Justice Committees tend to assume all or most of the responsibility, these Committees are established to reflect the specific needs of a local community and are authorized pursuant to section 69 of the Young Offenders Act (Canada) that states:

69. The Attorney General of a province or such other Minister as the Lieutenant Governor in Council of the province may designate, or a delegate thereof, may establish one or more committees of citizens, to be known as youth justice committees, to assist without remuneration in any aspect of the administration of this Act or in any programs or services for young offenders and may specify the method of appointment of committee members and the functions of the committees.

Adult With the exception of Nova Scotia, most jurisdictions use the same model of delivery for adult programs as that which is used for the youth programs. Often the mandate on an existing Justice Committee will be expanded to include the provision of services to adults. In Nova Scotia, however, community-based non-profit agencies deliver the youth programs and probation officers deliver the adult programs.

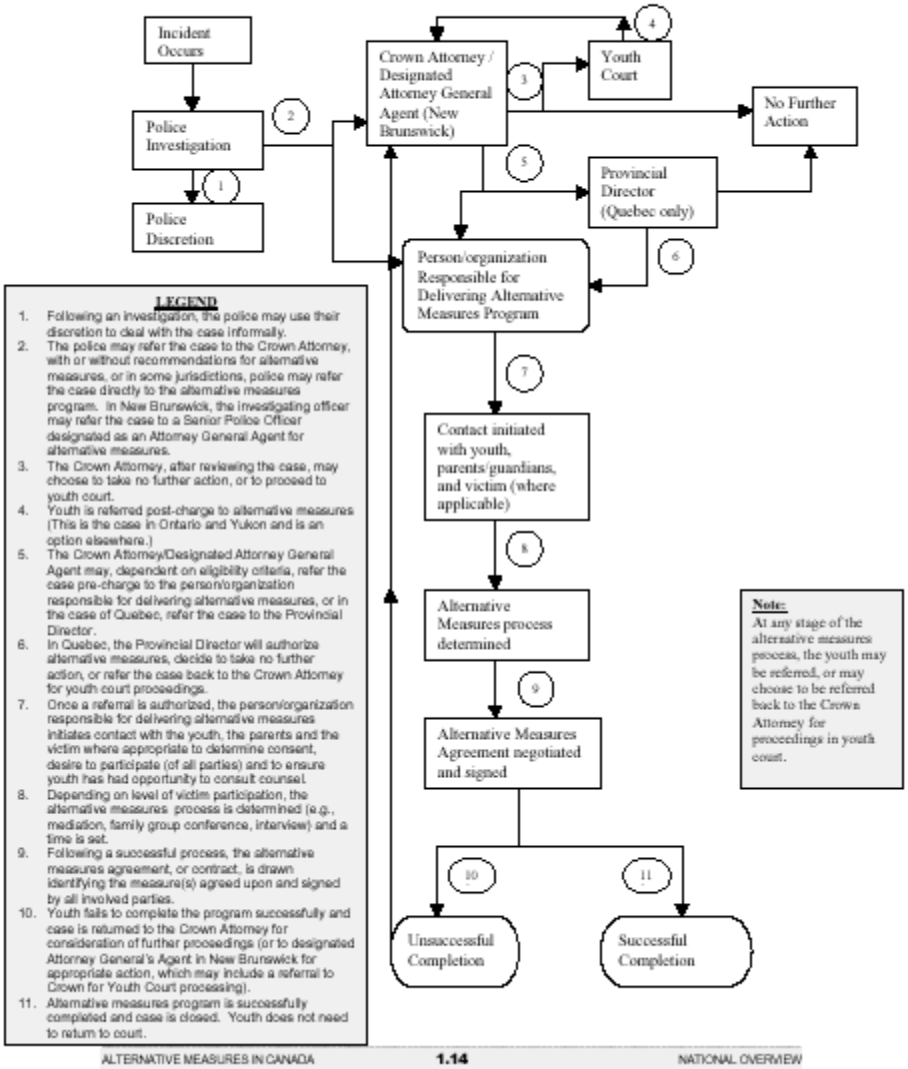
Referral Agent
National Overview
In most jurisdictions, referrals to alternative measures programs for both youth and adults, originate with the Crown Attorney. The referral happens either before charges are laid (pre-charge) or after charges are laid (post-charge). In the event the referral to alternative measures is made post-charge, the Crown Attorney will enter a stay of proceedings until the alternative measures process is completed.

In some jurisdictions, such as Manitoba and the Northwest Territories the Crown Attorney may delegate the authority to refer persons to alternative measures to the police.

Youth: In New Brunswick, the Attorney General has designated senior police officers to act as attorney general agents for the purposes of considering alternative measures in accordance with Section 4 of the *Young Offenders Act (Canada)* and Section 717 of the *Criminal Code of Canada*. The province of Quebec is unique in that the Provincial Director has responsibility for reviewing cases and for initiating all referrals to alternative measures for youth.

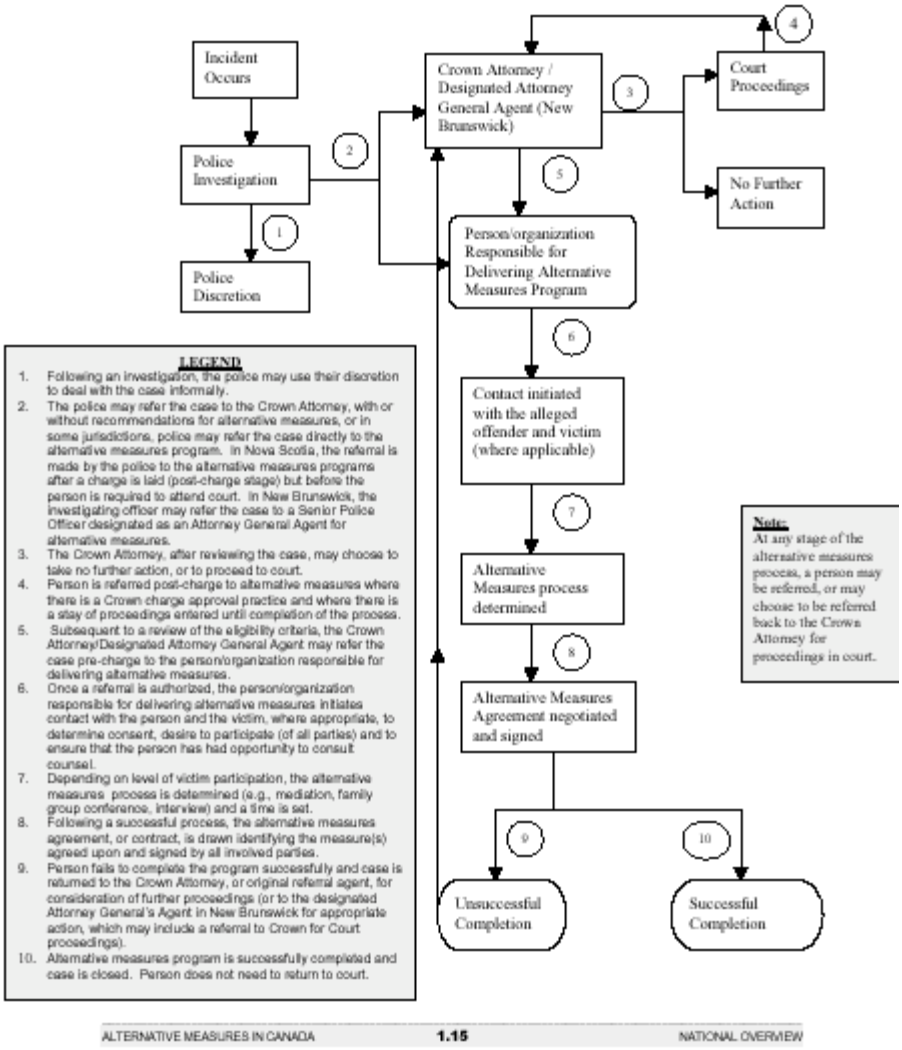
Adult: With the exception of Ontario and the adult alternative measures programs in Nova Scotia, referrals are normally made at the pre-charge stage by the Crown Attorney with no need for the person to appear in court.

1.9 Alternative Measures Process for Youth



ALTERNATIVE MEASURES IN CANADA 1.14 NATIONAL OVERVIEW

1.10 Alternative Measures Process for Adults



ALTERNATIVE MEASURES IN CANADA 1.15 NATIONAL OVERVIEW

Conclusion

This chapter provides a general description of the administration of alternative measures programs for youth and adults in conflict with the law in Canada. Each province/territory is responsible for administering their alternative measures program. However, they may accomplish this in different ways. Some provinces/territories administer alternative measures programs through the appropriate government department. Some contract to non-governmental agencies, and, finally, some rely on volunteer Committees such as Community Justice Committees or Alternative Measures Committees.

Alternative measures programs provide an alternative to the formal criminal justice process and have the potential to involve the offender, their families, the victims, and other members of the community. As a result, the offender not only assumes responsibility for his/her actions but may also gain an understanding of the effects of the offence on the victim and the community.

5.10. Restorative/Criminal Justice–Identifying Some Preliminary Questions, Issues & Concerns – 1998 [25]

- There are examples of restorative options at every possible stage in the criminal justice system – **pre-charge, post-charge, post-conviction, post-sentence, and even several years into a lengthy penitentiary sentence.**
    - Restorative initiatives may even have a place in **preventive (pre-offence) efforts.**
    - In addition, there are some models which contemplate no contact whatsoever with the criminal justice system.

5.11. Diversion Programs for Adults - 1997 [26] [27]

- This report reviews evaluated programs to divert adult offenders from further involvement with the criminal justice system. The author focuses on those projects where the intention was to address offenders' risks and needs through program intervention. The review is organized in terms of the stage in the criminal process where the diversion occurs: pre-charge diversion, deferred prosecution, diversion at the sentencing stage, and post-incarceral programs. The author neglects evaluated diversion programs in Canada's Aboriginal communities, and makes up for the overall paucity of relevant Canadian material by referring extensively to American sources (as well as a few European program evaluations), and also to programs directed at youths.
  In general, she concludes that the evaluations were inadequate in that they were overly descriptive of the process and provided little detail regarding implementation or effects. Control groups were seldom part of the evaluation design.
- In the pre-charge diversion programs (e.g. cautioning) the author found wide and unjustified disparities within and between offences and police forces; the treatments were seldom more than a lecture, and effects often were counter-productive.

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[25] Goundry, Sandra A., Legal Consulting and Research Services, Restorative Justice and Criminal Justice, Reform in British Columbia – Identifying Some Preliminary Questions, Issues and Concerns, Prepared for: BC Association of Specialized Victim Assistance & Counseling Programs, 30 April, 1998
[26] Joan Nuffield, Ph.D, Solicitor General of Canada, Diversion Programs for Adults, 1997,http://www.sgc.gc.ca/EPub/corr/e199705/e199705.htm
[27] cited in Ministry of the Solicitor General of Canada, Don Clairmont and Rick Linden, Developing & Evaluating Justice Projects in Aboriginal Communities: A Review of the Literature, March 1998 http://www.sgc.gc.ca/epub/abocor/e199805/e199805.htm

- Deferred prosecution, where proceedings were suspended for a specific time pending the defendant's undertaking some kind of program (e.g. drug therapy, employment, etc.) and subsequently referred back to the prosecution for a decision whether to withdraw charges or proceed, was found to be widespread and sometimes effective. At the same time few cases were subject to deferred prosecution, and these were often cases that would have been dismissed or given a suspended sentence. The program intervention was frequently so short-term and modest that significant positive effects were unlikely.
- Diversion at the sentencing stage often took the form of alternate sentence planning programs where a client-specific plan was developed and submitted to the court. Insofar as the court accepted the plan, the offender usually received probation and of course was expected to follow the plan. Evaluations of the post-conviction diversion programs typically indicated a positive impact (e.g. less recidivism. less serious re-offending).
- The author refers to few adult post-incarceration programs, none of which received particularly positive evaluations.
- The author concludes that if diversion is to be effective the specific program interventions will have to be better developed and more appropriate to offenders' risks and needs, and diversion will have to be utilized in more serious cases which justify more intensive treatment.

- This is a review of evaluated programs to divert adult offenders from further involvement with the criminal justice system.
- It focuses on "programmatic" diversion efforts and is organized according to the stage in the criminal process at which the diversion initiative occurs.
    - Because of the paucity of evaluations of adult diversion, some findings from the juvenile literature are included.
    - In addition, some ideas from other jurisdictions which may not have been evaluated are reviewed for their possible utility in Canada.
- Although there are very few sound evaluations available in the area, they do point strongly to a number of findings, which are echoed in the juvenile literature.
    - Some studies suggest that cases which are "diverted" through a formalized police procedure might never have been arrested, but the existence of the formalized procedure creates a record of police contact which follows the offender.
- Diversion programs tend to be seen and used as a "break" given to first offenders, younger offenders, those suspected or accused of minor offences, and those who are considered to present little if any future risk.
    - Cases which may be difficult to prove in court also appear more likely to be diverted, as are cases of mentally disordered offenders.
    - For offenders who do not fit these categories, diversion is less likely to be seen as appropriate.
- At the sentencing stage, efforts to divert "prison-bound" offenders from jail also face challenges in identifying offenders who are truly "prison-bound", obtaining services for them which will make a difference in sentencing, and convincing judges that the severity of their offence should not result in a jail term.
    - Serious offenders for whom a community sentence plan is rejected by the sentencing judge may face a more severe penalty than if no plan had been presented.
    - Nonetheless, there is some evidence to suggest that diversion at the sentencing stage may have a beneficial impact on some offenders' likelihood of being sentenced to the community.
- Many diversion programs which are "programmatic" have faced problems common to correctional initiatives, in that the intervention may not be suited to a large proportion of the client group, may not be well implemented, and may fail to make a difference in the areas which they are intended to address.
    - The few studies which have compared the recidivism of diverted cases to that of a suitable control group have tended to find no significant differences. \
    - Expansion of criminological knowledge about the design of effective programs may increase the success of diversion programs in the future.

PART I. Introduction

- This is a report on evaluated programs to divert adult offenders from further involvement with the criminal justice system.
    - For purposes of the review, "diversion" was defined very broadly, and included the most common use of the term (meaning the avoidance of full prosecution through a screening process which occurs after the laying of a

charge), as well as processes which occur prior to the laying of a charge and the avoidance of more intrusive measures (such as imprisonment or parole revocation) following conviction.

- Diversion has always been a feature of criminal justice, since with certain exceptions, the exercise of discretion is permitted and even encouraged at most stages of the justice system.
    - The present review, however, for the most part concentrates on specific, evaluated efforts to reduce further system insertion for a targeted group of persons who come to the attention of justice officials.
- The review excludes purely descriptive accounts of adult diversion projects, and concentrates on "programmatic" initiatives. Thus, the report covers only those evaluated studies of adult diversion programs which were intended to address offenders' risks and needs through program intervention.
- This eliminated alternative forms of punishment in the community (such as "shock incarceration" to short-term "boot camp" programs) and alternatives which were purely incapacitative in nature (such as house arrest or electronic surveillance).

Purposes of Diversion

- Over the years, a number of differing objectives have been established for diversion initiatives. Palmer (1979:14)[28] suggested that broadly, there were five goals of diversion:
    - (1) avoidance of negative labelling and stigmatization,
    - (2) reduction of unnecessary social control and coercion,
    - (3) reduction of recidivism,
    - (4) provision of services (assistance) and
    - (5) reduction of justice system cost".
- Other analysts have added or elaborated, pointing to the objectives of
    - reversing the uneven imposition of serious sanctions onto those who are already socially disadvantaged,
    - avoidance of the harsh and criminogenic impacts of prison in particular, informing and providing a range of alternatives for decision-makers to choose from,
    - providing a "more satisfying justice" for victims and communities, and
    - dealing with the social, economic and personal factors associated with crime, in preference to the often punitively-oriented alternative.
- These are ambitious goals, and Palmer noted that they were not necessarily congruent.
    - Decker (1985:208) [29]suggested that because of the existence of "multiple goals, ineffective ranking of priorities, and competing objectives, many diversion programs are likely to produce outcomes at variance with their ideal".
- These issues will appear repeatedly in the studies surveyed in this review. Competing objectives are commonly cited as a key problem.
    - For example, the goal of providing assistance to accused may be in direct opposition to the goal of reducing system costs and labelling.
    - The need to set priorities among various goals also appears frequently in the literature in discussions of "net-widening".
        - For example, the desire among diversion and criminal justice staff to see offenders placed in programs which may assist them to stay out of trouble in the future may conflict with the goal of reducing the catchment of social control and intervention "nets".
- It is also worth stating that, in the years following the initial enthusiasm for diversion as envisaged by Palmer, many jurisdictions saw a distinct change in the dimensions of the "alternatives" debate.
    - In the late 1960s and early 1970s, there had even been an active controversy as to the relative merits of "true diversion" (screening out, without further consequences) versus "conditional diversion" (to a program different from traditional processing).
    - By contrast, the late 1970s ushered in a return to a conservative arc of the endless criminal justice cycles of liberal and conservative reform.

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[28] Palmer, Ted (1979) "Juvenile diversion: when and for whom?" California Youth Authority Quarterly, 32: 14-20.

[29] Decker, Scott (1985) "A Systemic Analysis of Diversion: Net Widening and Beyond," Journal of Criminal Justice, 13: 207-216.*cited in* Joan Nuffield, Ph.D, Solicitor General of Canada, Diversion Programs for Adults, 1997,http://www.sgc.gc.ca/EPub/corr/e199705/e199705.htm

        - In the latter period, the central questions became more ones of whether existing justice system elements should be tightened and toughened, rather than whether they should be avoided by large numbers of delinquents and adult offenders.
- Thus, the "alternatives" debate in the U.S. in particular is now about intensive probation, "shock incarceration", electronic surveillance, probation supplemented by day reporting centres with daily drug testing of offenders, and parole release to "home arrest".
    - These "intermediate punishments" and other reforms have virtually monopolized the American "community corrections" scene, to the extent that there is less research being conducted on diversion and programmatic alternatives now than twenty years ago.

Evaluation of Adult Diversion

- Two decades ago, as enthusiasm for diversion was at its peak in North America and elsewhere, early reviews of the research and evaluation literature routinely lamented the paucity of controlled research in the area.
- A typical lament is offered by Mullen (1975:1): "Regrettably, enthusiasm for diversion has grown with surprisingly little validated support from the evaluation literature. Thus, [a review of the evaluation literature on diversion] is largely a commentary on the unknown."
- Despite the intervening years, the above statement is as true today as it was when originally written.
    - There are still only a handful of rigourous, comprehensive evaluations in the field of adult (or even juvenile) diversion which address the key questions of interest to policy-makers and program specialists.
    - In part, this is due to the rapid decline in the number of controlled diversion projects begun after the mid-1970s and the increased funding and attention to programs aimed at greater control of offenders.
- Most "evaluations" are merely descriptions of the process and the flow of cases through the program.
    - These kinds of studies do not allow us to assess many of the key questions in diversion because they do not have a control group or some other method for comparing what happened in the diversion program with what would have happened without it.
    - Thus, for example, they cannot address one of the most important questions in diversion, which is: would the offender who is "diverted" actually have faced, in the more usual course of business, an outcome which was much different?
    - Or to take another example, the recidivism rate of the diverted offenders looks impressive (or does not), but would a comparable group of offenders who proceeded through the more usual course of business have done any worse (or any better)?
    - Some evaluations describe several different diversion/treatment modalities and compare their success rates to one another, but also fail to address the questions which are central to the diversion conundrum because they do not discuss the dispositions and outcomes of comparable cases passing through the traditional justice system.
    - Other evaluations address the "key questions in diversion" but fail to describe the diversion program itself in sufficient detail to give us a picture of what really occurred in the program. Since some studies show that a large proportion of offenders placed in treatment programs actually receive little or no treatment of the type intended, it is important to examine this aspect as well, in order to draw inferences about whether, on the one hand, the treatment was delivered as intended but failed to "make a difference", or, on the other hand, no difference was found because the program did not deliver the treatment. Diversion studies which measure the actual delivery of treatment are rare. Studies which show the "intermediate" effects of the treatment - did the offenders improve their cognitive skills, did they get a job during the program - are even more rare.
    - Many evaluations follow only those offenders who successfully completed the diversion program. While this is useful information, it is also important to know how many of the offenders accepted into the program actually completed it - if it was 98%, our conclusions about the program will be different from our conclusions if it was 15%. A similar deficiency in many evaluations is in giving an imperfect understanding of the proportion of the total criminal caseload and the eligible caseload who were accepted by the program, and the reasons why some were rejected.
- There are a number of reasons for the paucity of good evaluative research. Sound evaluation requires expertise and care in the creation of methods for comparing the results of the experiment to what would have occurred had the experimental process not been in place. This kind of expertise (and the time to exercise it) is rarely available to program

administrators and workers. The use of external evaluators can be expensive. Then again, for program personnel, the key interest is in getting the job done and making the service available to as many clients as the workload can handle; withholding services from some potential clients in order to form a "control group" for research is the furthest thing from their mission.

- However, the important questions about diversion which policy-makers must answer include the following:
    - would diverted clients likely to receive a significant sanction (such as imprisonment) if they had proceeded through the normal course of the justice system, or might they have received a minor intervention, or even not been prosecuted?
    - what proportion of the total criminal cases in the jurisdiction were, or feasibly could be, diverted to the alternative, and are they more than just minor cases?
    - were the diverted clients assisted by the services (if any) provided to them?
    - following the diversionary outcome, did the diverted cases fare better, worse, or about the same as comparable cases which proceeded through the more usual processing of the justice system?
    - what savings are produced, if any, to the justice system and the public purse through the operation of the diversion initiative?
- These five key questions are central to any comprehensive understanding of whether any given initiative will fulfill the objectives of diversion.
- Much has been said about whether "alternatives" in justice are being held to a higher standard than the more routine actions of the traditional justice system. To some extent, this concern is justified. If an alternative program produces outcomes which are at least as good as (or no worse than) those produced by the more usual route, alternative program administrators may still find themselves in a constant struggle to justify and maintain their funding, especially if they are seen by the formal criminal justice system as an adjunct, an "add-on", or a short-term experiment. Nonetheless, this concern does not relieve policy-makers and researchers of the burden of asking probing questions about the real impact of the alternative.
- Although this report focuses on evaluative studies, the rarity of sound evaluations in the adult diversion area required some consideration of studies in the juvenile area, to the extent that they were relevant. Other interesting ideas which have not yet been subject to rigorous analysis were also referenced. Thus, a certain amount of speculation about other ideas which might be tried or expanded in Canada is included.
- The discussion which follows is organized according to the stage in the criminal justice system at which the programs occurred. This is certainly not the only possible way to organize the material. Depending on the audience, it could have been organized according to the type of "programmatic" intervention offered, according to the issues, chronologically in an attempt to trace the development of thought and programming in the area, according to the type of research design, or in any number of other ways. The method chosen was intended to reflect the varying system constraints which pertain to the different stages of the justice system, and the orientation towards a particular stage which characterizes the work experience of so many justice system officials.

PART II. Pre-Charge Diversion

- Although police diversion is usually not "programmatic", and formal police diversion often targets juveniles in preference to adults, police diversion is worth noting because it serves to introduce some of the key issues in the diversion field generally. Much of the discussion which follows is based on studies of police diversion of juveniles and what can be learned from these studies.
- Diversion by police is, of course, a daily occurrence, possibly even in countries like Germany where police are mandated to investigate and report in writing to prosecutors on all penal code violations. However, some studies suggest that attempts to encourage police diversion and make it more formal have the unintended effect of increasing the number of offenders who come to the official attention of the justice system and creating a permanent record of their contacts.
- An article entitled, "Police diversion: an illusion?" by Dunford (1977)[30], although focused on juvenile diversion, is useful for its cautionary lessons, and is echoed in his later evaluation of two programs for police diversion of juveniles to "programmatic" alternatives (Dunford et al., 1982)[31].

[30] Dunford, F. (1977) "Police diversion: an illusion?" Criminology 15/3: 335-352.

- Dunford suggests that there are several reasons to exercise care in considering police diversion of juveniles to programs intended to assist them.
  - First, youth who would otherwise have been simply screened out by police are placed in programs because police are of the view that they are in need of corrective treatment.
  - This in itself may or may not be undesirable, but Dunford also suggests that many "diverted" youth receive no services at all, despite the intention to deliver service, and others receive so little, or receive service which is so irrelevant to their needs that no useful purpose is served.
  - Many youth service agencies are under such pressure to be cost-efficient that they will accept large numbers of clients even though they are under-resourced to serve even a minority of them.
  - The service which they could provide theoretically to youth who really need it thus becomes diluted by the sheer numbers accepted.

– Diverted youth, Dunford finds, are subject to more record-keeping than they would have been if screened out. They are breached for non-criminal violations of program conditions and actually are subject to detention more than their counterparts in the traditional justice system. Dunford suggests that the principal distinction between youth diversion and traditional processing is the relative differences in due process safeguards. Finally, his random-assignment evaluation (1982) found no significant differences in rearrests between youth who were diverted with services, those diverted without services ("lectured and released"), and those processed through the justice system. Self-reported recidivism showed the same pattern. This study actually evaluated four very different juvenile diversion programs, offering a range of services aimed variously at case advocacy, crisis intervention, referral to and brokerage with a number of different service agencies, and direct counselling.

– Lerman (1975: 6-7), in a study of youth diversion programs in California, also questions their impact on decarceration:

– An examination of social costs and benefits indicates that community treatment can also include an appreciable amount of deprivation of liberty. A detailed presentation of the evidence ... discloses that offenders placed in the CTP [Community Treatment Project] experimental group experienced more detention stays than those youth placed in the regular CYA [California Youth Authority] parole program (control group). CTP parole agents were much more likely to bring their wards physically to a lock-up facility for reasons that did not pertain to renewed delinquency. The reasons given included violations of treatment expectations, accommodation to community complaints, administrative convenience, diagnostic purposes, and the prediction and prevention of "acting out" behavior. The broad scope of reasons, the loose procedures for initiating a lock-up, the failure to distinguish between serious and non-serious deviance, and other practices produced an array of discretionary decisions that appear to be arbitrary and unfair.

– Ditchfield (1976) studied police cautioning of criminal offenders in England and Wales. Used principally for juveniles, "formal" police cautioning was officially encouraged in the 1969 Children and Young Persons Act. Regarded as an alternative to prosecution, formal police cautioning almost invariably takes the form of an oral warning by a senior uniformed police officer. It is to be used only where the offender admits his guilt, police believe they have a provable case, and the complainant does not insist on a prosecution.

– This practice has been tracked in official statistics since 1954. Using time series data for all of England and Wales, Ditchfield found that from 1969 to 1974, the use of cautioning doubled in absolute numbers and significantly increased as a proportion of total outcomes of police-juvenile encounters (i.e., as opposed to going to court). However, the numbers of juveniles found guilty in court remained virtually unchanged despite the "undoubted increase in juvenile crime" during the period. Ditchfield concluded that the use of cautions has therefore been at least partly diversionary.

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[31] Dunford, F.W., D.W. Osgood and H.F. Weichselbaum (1982) National evaluation of diversion projects: Executive Summary. Washington: US Government Printing Office.

- However, because of the increased formality of the procedure and the more systematic police procedures for dealing with juvenile offenders, Ditchfield (1976) suggested that the increase in cautioning may have had an "inflationary" impact on the recorded numbers of known offenders. Shopkeepers and social service agencies, knowing that cautions were being encouraged, may have been more willing to call police where previously they might not have. Furthermore, police may have used the formal caution where previously only an informal warning or other NFA ("no further action") would have been taken. Those areas in the country where cautioning was used most also recorded the largest increases in the numbers of "known offenders".

- For adults, Ditchfield found that the formal caution was used mostly for shoplifting and other minor theft. He also found an inverse relationship between cautioning rates and court rates of discharge of adult offenders found guilty. In other words, the outcome for minor adult cases may simply, as a result of the active use of cautioning, be decided at an earlier stage. However, Ditchfield questioned whether police cautioning was cheaper than discharge. In urban areas, courts are nearby and cautioning can actually take more police time than a court appearance where a non-salaried magistrate is the adjudicator. In addition, fines paid in magistrates' courts partially offset the costs to the justice system.

- Sanders (1988), wrote a later and very critical review of police cautioning of both juveniles and adults in England and Wales. "Informal" cautioning at the police station, endorsed in Home Office guidelines in 1985, creates a permanent police record which is available to the prosecution, although informal cautions are not part of the annual cautioning statistics. A formal caution, invoked at a higher level of police authority, can be cited by the prosecution in later court appearances, and a formal caution is more likely than an unofficial warning to be followed by a second formal caution. While in and of itself, this might not be a matter for concern, Sanders suggested that there are difficulties with the way in which police use cautions.

- From his reading of cautioning reports and conversations with police and Crown officials, Sanders (1988) suspects that net-widening is a reality, since cautioning is an alternative not just to prosecution, but to NFA (taking "no further action"). Police sometimes use cautioning where the evidence in the case is weak and the accused may be willing to accept a caution in order to end the incident. Sanders also found wide and unjustified disparity in the use of cautioning within and between offences and police forces. The interests and needs of victims, he suggests, are rarely taken into account. It may be that prosecution would serve victims better by, for example, opening up the possibilities of restitution. Since cautioning does not lead to referrals for service in this system, moreover, help which the accused may need is not arranged.

Pre-charge Diversion: Discussion

- What can be inferred from this brief review of a few studies of police diversion? First, there is reason to believe that formalizing the use of police discretion to divert may in fact increase "labelling" and widen the net, creating a formal record which would not otherwise exist, and which will follow the offender, possibly affecting future dispositions in ways which are unintended. This is not to say that this effect is necessarily undesirable if the intent is to enhance police information about offenders. However, if the intent is to bring about "true diversion", the effect may be counter-productive.

- Second, diversion without "programmatic" or other consequences may fail to serve what Sanders (1988:528) refers to as the "expressive" and "utilitarian" aims of prosecution, including denunciation of offences and reconciliation with victims. This view proceeds from a set of assumptions which are the reverse of the view that penetration into the justice system tends to be destructive. Sanders' view rejects that premise as unproven at best, and goes back to questions around the fundamental aims of the law. Of course, no single theoretical view can encompass all the variants of offences and offenders which present themselves. For example, Sherman and Berk (1984) found, in a study which subsequent researchers have had difficulty replicating (Garner, Fagan & Maxwell 1995), that domestic assault offenders had a lower repeat-incidence rate when they received counselling (19%) than when they were separated from their victims (24%), but formal arrest was even more effective (10%).

- Third, there is little evidence from the juvenile literature that police diversion to "progammatic" alternatives has had the intended impact of effectively diagnosing and serving the needs of youth. For various reasons, including staff selection and training, caseloads, funding restrictions, and other difficulties in delivering effective treatment programs, the hoped-for impacts have not materialized (see, e.g., Dunford, 1982). In fact, the detection of recidivism may be enhanced by increased contact with program staff, violations of the conditions of diversion may lead to higher rates of detention, and the failure to live up to program expectations may increase the offender's chances of receiving a stiff penalty if returned for processing in the justice system.

Diversion of the Mentally Ill from Justice Processing

- Although no rigorous evaluations were found of programs for diverting the mentally ill from pretrial detention and later justice processing, some process descriptions serve to shed light on the more effective approaches.

- There is no question of the importance of diverting mentally disordered persons from the justice system. Questions of diminished criminal responsibility aside, the justice system is ill-equipped to deal effectively with such persons, including problems of treatment, safety, and control which they present in the correctional population. Their diversion into settings where their needs can be better met and the risks which they present to themselves and others can be better contained is therefore considered generally desirable by jail administrators and other justice system officials. Unfortunately, with the deinstitutionalization of much of the mental health system, mentally disordered persons have increasingly found themselves in the justice system. Estimates of the percentages of seriously mentally disordered persons in local jail systems at any given time vary markedly, from three percent to 16 percent. Early identification of mental disorders in arrested persons and appropriate action are critical to an integrated response to these situations.

- Steadman et al. (1995) paid field visits to 12 jail diversion programs rated as highly effective and six rated not highly effective by the local jail administrator, the mental health system official closest to the program, and the program director. Based on their observations, six characteristics were found present in all the effective programs. First, there was close communication and cooperation among the mental health system, justice system and social service system at the local level; formal interagency agreements were considered "essential" by half the program directors. One noteworthy program used an interdisciplinary team of 10 members who work intensively with up to 100 forensic clients at a time. Also involved closely in the workings of the program were representatives of the judiciary, the public defender's office, prosecutors, probation, and the jail services supervisor.

- Second, there must be regular meetings of representatives of the three systems, both at the service delivery level and at the policy/administration level. Third, it is helpful to have a designated person who is responsible for liaison among the three systems; this person is the "glue" that holds the various program components together. Fourth, there must be strong leadership which eventually turns informal cooperative relationships into institutionalized ways of working together. Fifth, jail inmates must be assessed early in the process - an initial medical assessment within 24 hours and a more in-depth mental health screening within 48 hours were recommended. Sixth, there must be active case management at all stages including intake, linkages with needed services, information and advice to the courts, monitoring of service delivery, client advocacy and direct service provision. The researchers found (1995: 1634) that very few of the programs which paid careful attention to linkages with community-based services "had any mechanism to ensure that the initial linkage was maintained". They suggest that this is a final characteristic of long-term effectiveness.

- McDonald and Teitelbaum (1994) assessed a privately run day treatment program in Milwaukee which had many of these characteristics. Offenders were ordered into the program as a condition of pre-trial release, probation, or some other court order. The average client was a man with two prior arrests, a diagnosed major mental illness, and an average of 75 days in a psychiatric facility in the previous two years. Priority was given to "referrals that represent a genuine alternative to incarceration". The program offered a range of services, including required daily attendance, the provision of medications, individual psychotherapy and group therapy, and assistance with housing, money management and health and social assistance.

- Some indirect measures were found of the program's success at diverting some of the estimated 1000 mentally ill arrestees annually (the program has the capacity to serve about 250 clients at any given time, and the average stay in the program was 18 months). During 1992, the program accepted 67 clients; 30 others were referred to other community-based support programs, and 40 others "remained in custody through the end of the year and therefore were not eligible for admission to the program" (1994:5), apparently because of the program's capacity limits. Another indication of the catchment of this program was in the discharge status of the 84 persons who left the program in 1992. Of these, 57% performed successfully in the program until the end of their legal obligation (three-fifths of these declined the offer of a referral to another, less structured program afterwards), 18% were jailed for a new offence or a violation of the terms of their court order, 14% were transferred to a residential treatment facility, and 11% died, disappeared or moved to another state.

- An unattributed article entitled "Diverting the Mentally Ill from a County Jail" (1987) describes the Alternative Community Treatment Program (ACT) in Orange County, California. This program also had a close collaborative relationship with the justice, mental health and social service systems, and "active case management". It attempted to divert from county jails inmates with three or more incarcerations for "minor law violations" within the previous 12 months, a primary diagnosis of a major mental disorder, and a substantiated history of chronic dysfunction due to the mental disorder. During 1984/85, 58 inmates were served by the program, for an estimated net reduction of 989 jail days (how the estimate was obtained was not detailed). Dispositions included 22 referrals to inpatient facilities, 23 to outpatient mental health, one to a halfway house, one to a drug abuse service, and four to temporary shelters.

- These studies tend to suggest that it is possible to divert from pretrial detention seriously mentally disordered persons and place them in more appropriate settings, although how long some of them will remain out of jail is an open question. Effective strategies involve close working relationships between mental health, social service and justice administrators, processes for early identification of mentally disordered offenders, active case management and long-term follow-through on service delivery to meet offenders' needs.

PART III. Deferred Prosecution

- More evaluative research work has been done in the area of deferred prosecution than in any other diversion area. Doubtless this is because of the hopes placed on the viability of diversion at this stage, and the relatively visible and structured processes which attend this stage. A typical deferred prosecution would involve an agreement between the prosecutor and the defendant, post-charge, to suspend proceedings for a period of time during which some kind of intervention with the accused occurs. Following successful completion of this program or process, the case is referred back to the prosecution and a decision made as to dismissal or withdrawal of the charges. The key benefit to the accused is the avoidance of a criminal conviction.

- Among the key questions for policy-makers in assessing the operation and impact of deferred prosecution processes are:

    - how are cases screened for potential deferred prosecution? In particular, what kinds of offences are involved and what kinds of risks do the accused present?

    - what would have been the likely outcome of the case had prosecution not been deferred?

    - what proportion of accused choose not to accept the alternative, and why?

    - what proportion of the total criminal caseload are ultimately streamed into the alternative?

    - what kinds of assistance or other intervention are the accused given, and to what extent do they benefit from it?

    - what proportion of deferred cases succeed within the program, and for what reasons do accused "fail"?

    - what is the impact on cases which succeed or fail, in terms of case dismissal and judicial outcome?

- are successfully deferred cases more or less likely to recidivate than in-program failures or cases which proceed directly to court?

- what is the cost of operating the alternative, and what are the savings to the justice system?

– Answers to these key questions will determine whether the process for deferred prosecution will make a real difference to offenders, victims and the justice system, and to the kinds of differences experienced.

What kinds of adult cases are screened for deferred prosecution?

– A number of studies have described the types of adult cases selected for deferred prosecution. In the main, these findings confirm data from the juvenile field: it is the less serious and less "risky" cases which tend to be selected for this alternative. This includes a considerable proportion of cases which would not have been fully prosecuted if the diversion program had not existed.

– Pretrial diversion (PTD) programs largely began in the juvenile justice system, and many programs continue to serve juveniles exclusively. Adult pretrial programs arose out of the experience initially gained through work with juveniles. To this day, the criteria governing many formal pretrial programs exclude from eligibility repeat (or persistent) offenders, addicts and alcoholics, offences against the person, and serious felonies. Most such programs, however, tend to make exceptions to these exclusions on a case-by-case basis.

– A majority of persons selected for diversion tend to be accused of theft (shoplifting is an especially common offence) or drug possession. They also tend to be first- or second-time offenders. Many, however, have significant life problems which can affect their likelihood of criminal activity including low educational levels, a history of unemployment or underemployment, poor social adjustment and the like. Given the problems exhibited by these potential clients, it is not surprising that many prosecutors and diversion staff adopt the view that affording them the help which is supposedly available through the program is preferable not just to prosecution, but also to taking no action whatever. Especially where potential clients are young and not criminally experienced, moreover, workers understandably believe that it is these persons for whom an intervention now could make a significant preventive difference.

– Whatever the reasons, evaluations of pretrial diversion have tended to identify a large proportion of diverted cases which would not have received a significant sentence, or would not even have been prosecuted. This conclusion is reached through research designs which identify (or attempt to identify) a "matched" comparison group or, more rarely, designs which identify a group of cases accepted for diversion and then randomly assigned to diversion or to the traditional prosecutorial process.

– Austin (1980), in an evaluation of a pretrial diversion program in San Pablo, California which "closely resembled probation" (plus community service for 22% of participants), found that 90% of diverted clients had their charges ultimately dismissed and 3% received some jail time. This compared favourably to a randomly selected control sample of accepted cases, of whom 7% were dismissed, 21% were jailed (for an average of 14 days), 28% were fined, and 10% were given probation for an average term of 12 months.

– Few other evaluations have reported such dramatic differences in dismissal rates, although the differences are significant for some. Pryor et al. (1977), in a well-controlled study, used four control groups for their evaluation of a project in Rochester, New York. This program was aimed at educational upgrading and employment for defendants. The first control group was individually matched to the experimentals, and virtually identical in key respects. The second group had been accepted into the project but rejected by prosecutors. The third control was judged by program staff to be "not in need of service", and the fourth was individually matched to the "not in need" group. Among the experimentals (those favourably terminated and those unfavourably terminated, taken together), there was a 79% dismissal rate; this compared to rates of 36%, 32%, 46% and 41% respectively for the control groups. The difference for the third control group, those assessed by program staff as "not in need of service", was particularly interesting inasmuch as this group received no service, but did receive a positive recommendation to the court.

- Many pretrial diversion programs are globally referred to as "court employment programs" (CEPs) because they concentrate on finding work for the accused. One such CEP, the Manhattan Court Employment Project (Vera Institute, 1972), was a pretrial program for unemployed and underemployed offenders between 16 and 60 who had never served more than a year in a penal institution and who were considered unlikely to be sent to jail on the current offence. Once accepted, clients were given assistance with vocational testing, counselling, education, training, job placement and emergency loans. Zimring (1974), in a re-analysis of the data using his own control group (which was not completely comparable), found 52% of defendants who were accepted into the program ultimately completed the program successfully and had their cases dismissed. A virtually identical proportion (51%) of the matched comparison group had their charges ultimately dismissed, not pursued, or the defendant was acquitted. Only seven percent of the comparison group was given a jail term.

- Similar results were seen in the comparable Project Crossroads (reported in Rovner-Pieczenik, 1974). In this evaluation, 54% of the comparison group were not convicted and only six percent were ultimately jailed. However, defendants who entered the program were considerably more likely (85%) to complete it successfully and have their case dismissed. Likewise, case outcomes for the comparison group in an evaluation of the New Haven Pretrial Diversion CEP program (as reported in Rovner-Pieczenik, 1974) suggested that 30% of the program intake would not have been convicted, and none would have been jailed. However, 73% of those who were admitted to the program received a dismissal.

- Difficulties with evaluative designs may actually under-represent the problem. That is, comparison groups which are matched by researchers on age, offence, prior record, and other relevant dimensions are unable to control for the less tangible factors which may affect both admission into the alternative program and downstream justice decisions, as well as recidivism. Thus, diversion program staff usually apply a set of additional screening criteria which will not be reflected in a retrospective attempt to construct a control sample based on variables found in paper files. Additional screening criteria can include anything from apparent enthusiasm for the program to drug usage. As will be seen later, the proportions of cases excluded by program staff, prosecutors and others is often quite sizable. Especially where the alternative program is seen as a benefit to potentially deserving clients, there is a natural tendency for program staff to select the most promising clients according to a wide variety of factors.

- Nonetheless, a number of evaluations suggest that deferred prosecution programs do confer a benefit on some participants, in that they increase the likelihood of case dismissal. However, the few available studies suggest that perhaps a third to one-half of participants would have had their charges dismissed anyway during the normal course of business. There is no question that, to the extent that these persons undergo sometimes extensive intervention programs, they are subject to what Austin and Krisberg (1981) call "wider, stronger and different nets". As Hillsman (1982:381) says,

- The diversion literature tends to evoke an image of criminal courts that prosecute and convict most cases brought before them, even the less serious ones. Yet the pictures drawn of these courts from a variety of empirical sources ... undermine this image. ... [M]ost jurisdictions (particularly lower courts where diversion is most common) dispose of many cases with discharges, relatively small fines or other relatively lenient outcomes even when they are not dismissed outright. ... Diversion tends to occur in contexts where some proportion of cases (and perhaps a fairly large one) is already screened out or disposed of with some degree of leniency.

What proportion of accused choose not to accept the alternative, and why?

- Some studies have examined diversion clients who were accepted into a deferred prosecution alternative, but who did not participate, choosing instead to go to court. The proportions of clients who meet the criteria for diversion but refuse it can be substantial. In one CEP, Baker-Hillsman and Sadd (1980) found that fully a third of the defendants chose not to accept the alternative. This program has been operating in one form or another for many years, and an earlier review (Zimring, 1974) suggested that the defendant refusal rate might be closer to 14%. Perhaps the thirty-year history of the program had caused defendants in that jurisdiction to understand the comparative advantages of diversion better than they did in the beginning.

- In Dade County, Rovner-Pieczenik (1974) reported that 48% of candidates refused to participate, although this figure was no doubt inflated by the fact that defendants were invited to participate by mail. A quarter of Operation Midway's screened-in cases declined to participate (Miller, reported in Zimring, 1974), similar to the "no-show" rate observed by Austin (1980). Goetz (1978), in a review of the early stages of an adult diversion program in Nanaimo, British Columbia found that only 4% of defendants rejected the alternative, mostly it would appear on advice of counsel that they could do better taking their chances in court.

- In many cases, it would appear that the reasons for nonparticipation can be traced to the relatively intrusive nature or lengthy duration of the alternative, as opposed to the accused's perceived outcome in court. Diversion programs typically are designed to run from three to six months, or up to a year for completion of conditions like restitution or community service. Austin (1980) found that the control group's court-mandated outcomes were lenient, both on an absolute level and when compared with the degree of constraint imposed on the participants in the diversion program. The diversion regime was briefer, however, than the probation sentences given to controls. Similar conclusions were reached by Nimmer (1982), as quoted in Hillsman (1982), and much of the juvenile diversion literature, Bohnstedt (1978), for example, in a review of juvenile diversion programs, found that diversion meant more contact in at least half the cases.

What proportion of the total criminal caseload are ultimately streamed into the alternative?

- Some evaluations have attempted to estimate the percentage of all cases which were diverted by the deferred prosecution alternative. Roesch and Corrado (1983: 388) suggest that most diversion projects affect only one or two percent of the "total criminal court case load", largely perhaps because of the "limits on the number of defendants that could be served at a given time". Baker-Hillsman and Sadd (1981), in an assessment of a CEP in New York, suggest that two percent of eligible defendants were affected. An earlier stage of the same project found that 1.2% of all arraigned felony and misdemeanor cases were diverted (Zimring, 1974). New Haven affected 2% of the total criminal caseload in the court. Austin's (1980) study of San Pablo proves the exception; he estimated that 17% of arrests and 25% of charges were diverted to the program. The reasons for this difference were not clear.

- Some programs screen out a majority of the cases initially referred to them. Austin's (1980) study and Zimring's (1974) review of Vera's CEP found rates of screening-out by diversion and/or criminal justice staff of 81% and 85%, respectively. Austin found screening-out decisions to be based on a loosely-conceived collective notion and perceptions of moral character, motivation to change, and criminal intent. Pryor et al. (1977) found a staff screening-out rate of 40%, based mainly on "lack of motivation" among rejected defendants.

- It would appear that the limited coverage of most diversion programs is actually a function of at least three factors: the limits on the time and budgets of assigned personnel (including limits on the services which are available to assist accused persons who are diverted); limits on their own and justice system officials' willingness to accept cases which seem "less deserving"; and the perception of some defendants that they could "do better" in court.

What kinds of assistance or other intervention are accused persons given, and to what extent do they benefit from it?

- Some evaluations have attempted to assess the extent to which diversion clients have profited from the programs, quite apart from the question (addressed below) of whether recidivism rates were affected by program participation.

- Most well-evaluated programs have shown modest, if any, lasting benefits to clients from the diversion services offered them. Most programs have not even attempted to measure "lasting benefits", contenting themselves instead with measuring effects at program termination (which may only be three to six months after initial client contact). This kind of assessment is not only time-limited, but particularly vulnerable to "regression towards the mean", a statistical phenomenon which, for example, would tend to show artificially higher rates of improvement for defendants who, at the time of arrest, were probably at a very low ebb in their personal lives. These defendants have "nowhere to go but up".

- In a macro-analysis of the results from all nine "second-round" CEP projects funded by the U.S. Department of Labor, Abt Associates (1974) compared the pre-program and post-program employment situation of "favourables" - those clients who succeeded in the diversion program. (Of course, this tells little about how the diverted clients as a whole fared after the program, since some failed to complete the program because of recidivism during the program or for failure to cooperate in the program.) While 33% of the "favourables" were employed at intake, 58% were employed at program termination. During the year prior to program intake, according to clients' accounts, "favourables" were employed 45% of the year, and in the year following program termination, the same group were employed 60% of the time. There was also an average 30-cent wage increase for "favourables" over the two-plus-year period. These differences were statistically significant, but it can be argued they could be explained on the grounds of "regression towards the mean" as well as maturation - these predominantly young males may have matured during the two-plus years covered by the research period. In addition, Rovner-Pieczenik (1974) suggests that the job market and minimum wage in many areas improved during the research period, which could also account for the differences observed.

- Other studies have reported similar results for programs aimed at vocational and educational upgrading. Crossroads, a project in Washington, D.C., reported 44% employment at intake and 70% employment at termination for all participants (favourables and unfavourables); New Haven reported 38% employment at intake and 68% employment at termination for all participants. Vera's Manhattan Court Employment Project reported 31% employment at intake for the entire group of participants, and 79% employment at termination for program-favourables only. However, a later controlled study (Baker-Hillsman and Sadd, 1981) of the Vera CEP in Manhattan and Brooklyn showed no differences between experimental and control groups in employment rates or earned income after four and twelve months. Defendants were mostly provided with low-paying, menial jobs. There was no impact reported on vocational or educational status for defendants who were not working.

- In a study summarized by Galvin et al. (1977b) of Vera Wildcat, a program of six to 24 months of subsidized work for "deep end" repeat offenders with a history of hard drug use, a 40% employment rate two years after program departure was reported. In addition, there was little return to hard drug use (although the program made no direct efforts to work on offenders' drug involvement). By contrast, a British study (Pointing, 1986) of a program of three months' supported work for probationers with a "poor or non-existent" work history but no history of hard drug usage, showed no impact on later work.

- Some studies found, based on psychological testing, that participants' self-esteem, self-confidence and self-control increased during the period of the program. In general, however, few evaluations report on the delivery, quality and intermediate results of the services offered in much detail.

What proportion of cases succeed within the program, and what proportion are unfavourably terminated?

- Wide variation in rates of unfavourable termination from the programs were found: from 9% to 52% in the evaluations which made this clear (and many do not). These differences do not appear to be particularly explainable from the profiles of the offenders entering them. The exception is Austin's (1980) less serious and more pro-social offenders, of whom only 9% were unfavourably terminated. Rather, terminations appeared to be related more to the degree to which defendants were required to fulfill specific and regular obligations: those who were required to attend training daily had more opportunities to "fail" than those who were under a regime which more closely resembled regular probation, for example.

- However, a number of studies (Abt Associates, 1974; Mullen, 1975) have called for less unstructured discretion in the exercise of the termination decision, pointing to the prevalence of reasons linked to "motivation" in termination records. "Motivation", of course, may be a convenient short-hand for a host of perceived behavioural defects in performance.

Are successfully diverted cases more or less likely to recidivate?

- Less is known about this question, perhaps, than any other, because of the difficulties of constructing control groups which are truly comparable. A majority of the evaluations in the area which have used techniques for controlling or

comparing findings to the diverted group have, in fact, been criticized for weaknesses in methodology (see, e.g., Hillsman, 1982).

- The soundest study found in the literature is Pryor et al.'s (1977) review of a three-month program aimed primarily at employment and educational upgrading. They found that 24% of the PTD clients were rearrested after one year (19% of the program favourables and 44% of the unfavourables). This compared to 37% of the individually matched controls, 35% of the cases accepted by the program staff but screened out by prosecutors, 9% of the cases judged "not in need of service", and 19% of their matches. Of course, one year is not an ideal follow-up period; these differences in treatment outcomes could shrink or disappear after two or three years. Interestingly, staff were apparently accurate in their judgments about cases who were not "in need of service": these cases performed best of all. No explanation is offered for the recidivism differences between them, however, and their individually matched controls.

- Austin (1980) found no statistically significant differences in recidivism between the experimentals, who were sent to a probation-like program, and randomly selected controls. No other studies were found in which much, if any, confidence can be placed in the comparison. Baker-Hillsman and Sadd (1981) found no differences between their experimentals and controls in the likelihood of rearrest, the number of new arrests, or the severity of the new offence after four months and after twelve months.

What is the cost of operating the diversion program, and what are the savings to the justice system?

- A very wide variance was found among the reported per-client cost for the programs, from a low of $370 to a high of $1020. Some studies report costs per successful client only; in others, it is not clear what forms the client base for the calculation. Other studies report total cost figures for the program only. Many studies suggest a comparison between the cost of the diversion program and the cost of imprisoning its clients (usually employing the average cost, not the marginal cost, of incarceration). One study suggested that the relevant comparison is between the cost of the program and the value of the wages earned by its employed clients! Probably the best simple cost comparison is by Austin (1980), who compared the per-client cost for diverted offenders to the per-client cost for a control group, finding that diversion cost twice as much.

- Of course, costing is *not* simple when one considers all the possible factors which could be taken into account. These factors include offences theoretically prevented by treatment (or by being taken off the street and imprisoned), medical costs to victims, taxes paid by offenders who are put to work, relative numbers of court appearances (often found not to be much different for diverted offenders as compared to controls), and so on. In addition, there is no general agreement as to how to deal, in such costing, with certain fixed costs, such as administration.

- For all the studies found, however, the bottom line (where it was addressed) was that no savings to the justice system were observed from the diversion program, if by "savings" is meant that probation officers or other officials were released because of reduced workload, courts were closed, or jails relieved of overcrowding. No other result can reasonably be expected from the fact that most programs reach only two or three percent of the cases in the jurisdiction.

- Rather, the budget of the diversion program was an additional cost, albeit one which may have benefits. Touche Ross (1976), in fact, found that costs to probation more than doubled after the introduction of a program to divert drug offenders from trial to treatment. This was largely a result of probation officers' having to conduct extra work in investigations, referrals, monitoring and special counselling programs.

Invoking the Process: An Add-on or a Mandatory Step?

- One of the process issues which will dramatically affect the numbers of accused considered for deferred prosecution is the manner in which potential cases are invoked. Some pretrial diversion programs are operated as part of the offices of the prosecution, the courts, or probation. Great variety exists concerning how the screening process is invoked. It may be automatically triggered by virtue of certain case characteristics, or it may be instituted at the discretion of a given prosecutor, diversion staff member, or other functionary.

- Other programs, however, are operated as an "add-on"; they are not part of a prosecutorial office and do not operate as a routine consideration by prosecutors and other justice officials. A large number of the programs which have been evaluated are, or began as, initiatives by private organizations which have had to establish their credibility with mainstream justice officials. Following this initial period, the screening process may continue to operate as an adjunct to prosecutorial decisions around proceeding on the charge. The result is that there may be a less than perfect collaboration between prosecutors and those who screen cases for possible deferred prosecution. This will affect the success of the initiative, but some commentators (e.g., McDonald, 1986) suggest that private programs, working from intake referred to them by the defence bar, will have the greatest impact on court caseloads and on marginal cases.

- Hillsman (1982:376) in fact suggests that prosecutors may, in many instances, operate from entirely different perspectives from those which supposedly inspire the drive to divert cases from court:

- ... [P]rosecutors actively rejected from diversion eligible defendants who were "convictable", and screened into the program cases where there were technical (evidentiary) problems or where the case would normally have been screened out because it was too minor... This decision strategy maximizes their various goals of convicting those who can be relatively easily convicted, and extending some form of supervision to as many other defendants as possible.

- Hillsman goes on to speculate that defence attorneys do not object to this strategy because it is also in their interest to support it, since the strategy accomplishes the desired end (dismissal) and does so with a minimum of time spent in negotiation and without the need to use up "favours".

- Considerable debate exists in the literature about the ideal placement for pretrial screening programs. Some commentators proceed principally from the view that diversion program staff must be, and be seen to be, independent from both prosecution and defence, in order to maintain both program goals and credibility with decision-makers and others. Many program directors suggest that ideally, they should be seen as "in the justice system, but not of it". Musheno (1982) proposes that small, community development-oriented organizations with clear communications lines may be less likely to expand the program's catchment in ways which would promote net-widening. A review (Administrative Office of the U.S. Courts, 1979) of ten U.S. federal pretrial release service agencies found that the five independently structured programs appeared to have higher initial release rates, lower use of cash bail, lower pretrial detention rates, less use of supervised release, and lower pretrial rearrest rates. The programs which were run by probation departments, on the other hand, appeared to have slightly lower failure-to-appear rates. The same kinds of patterns may pertain to other pretrial services programs as well.

- Some deferred prosecution programs operate from an initial screening process by prosecution officials, who then refer the case to staff of the diversion program for their own intake and screening process. Collaborative processes for joint screening of cases by prosecutors and diversion staff together may be closer to the ideal. In the Winnipeg Mediation Services, prosecution and diversion staff jointly review cases from the outset and make the screening decision together. This collaborative process also helps staff from both offices to gain a clearer understanding of each other's objectives, needs and operations.

- The need to involve prosecutors and judges in the initial process of goal-setting, goal-priorization and design of alternative processing has been repeatedly emphasized (e.g., Galvin, 1977; Decker, 1985; Moriarty, 1993). Moriarty (1993: 69) suggests that many criminal justice personnel are not familiar with the diversionary alternative. Surprisingly, he states, "experience in Massachusetts has demonstrated that a number of highly qualified members of the [defence] bar know next to nothing about pretrial diversion".

Other System Considerations

- For deferred prosecution initiatives, it is critical to be aware of other factors relevant to how the justice system operates. Perhaps key among these is the process of plea bargaining. Because deferred prosecution involves processes in which the plea-, charge- and sentence-bargaining processes are still open, it is important to be aware of how the existence of the diversion option affects plea negotiation and vice versa.

- Unfortunately, few studies have examined this relationship in any detail. Galvin (1977:Vol.3:13) suggests, without elaboration, that "deferred prosecution can make the diversion program more of a handmaiden to plea bargaining than an option in its own right". Rovner-Pieczenik (1974:145), in discussing the options for organizational placement of diversion programs, noted concerns that their placement in prosecutors' offices ran the risk that "the potential abuses of plea bargaining are transformed and expanded into 'diversion bargaining'". Especially with naïve, first-time, and job-seeking offenders, lack of information about what probably awaits them in the traditional system may both increase their desire to participate in pre-trial diversion and provide prosecutors with another mechanism for moving caseloads expeditiously through the courts.

Deferred Prosecution: Discussion

- There is a great deal of room for better evaluative studies of adult diversion. In Feeley's (1983: 12) rather pessimistic assessment, "Nowhere are the failures of the diversion movement so glaring as in its evaluation." Little can be said with certainty about much of what has gone on, save that a sizable proportion of the cases who would normally have been dismissed, given a suspended sentence, or fined have been streamed instead into a relatively intensive experience.

- On the other hand, it remains to be seen whether this is inevitable. Roesch and Corrado (1983) suggest that diversion has been hijacked and distorted from the original concept by pressures to fit it to pre-existing objectives and perspectives of the traditional justice system.

- Among the challenges to pretrial diversion raised by the literature are the following:

Program targeting. Too many diversion programs end up diverting offenders who would not have penetrated the justice system very far. The challenge is to construct and maintain admission criteria which take probable dismissal rates into account and test the limits of what can, and should, be done with those who will not be dismissed. Little needs to be done to improve the performance of low risk offenders, and the resources of the system can be better used elsewhere.

Program placement. As noted above, it would appear that considerable differences are observed in the numbers and types of cases handled by programs, depending on the nature of their affiliation and working relationships with other parts of the justice system. In particular, considerable debate exists around whether prosecutors should screen cases at an early stage, whether diversion staff should work collaboratively with prosecutors, or if diversion staff should be most closely affiliated with the defence bar.

Due process considerations. Numerous critics have attacked the "consequences without conviction" reality of diversion. At the least, they argue, defendants being offered the diversion option should be informed about the true nature of their prospects if they proceed to court. The possibility that clients who fall within the parameters of the diversion program will suffer a harsher penalty as a result also needs to be addressed in an "informed consent" system.

Program quality. Much has been said about the appropriateness of the interventions offered to diverted clients. Too often clients are "cut to fit" the program, not vice versa. Programs should have more flexibility in assessing case needs and designing responses to the individual.

Mediation and Arbitration Programs

- Programs for mediation and arbitration of victim-offender conflicts which come to the attention of the justice system have a place in a discussion of "programmatic" diversion schemes, although that place is not without controversy. Even within the ranks of advocates for "restorative justice" in general and mediation in particular, some division of opinion has arisen as to whether it is even reasonable to speak of rehabilitative aims for victim-offender mediation (VOM).

- Theoretical writings in the area, as in diversion generally, point to the negative impact of adversarial systems of justice and their attendant delays, "degradation ceremonies", and punishments (especially through imprisonment), and to the extent that VOM can mitigate these effects, it is argued, there may be a positive, long-term impact on the accused. More than that, however, some VOM advocates suggest that the mediation process may have positive rehabilitative effects

inherent in it, from such aspects as giving the accused the opportunity to meet the victim, fully learn the impact of the offence on the victim, gain insight, participate in the decision about the consequences for his/her behaviour, and make reparation. Further, there may be a beneficial effect in reducing the "stigmatization" of clients. Many offenders apparently perceive the VOM process and outcome as fairer than do their counterparts who go through traditional justice processing (see, e.g., Davis et al., 1980).

- Other VOM advocates and practitioners disagree, suggesting that, in the words of Marshall and Merry (1990:193), "Any short-term intervention like that offered by these schemes was unlikely to alter patterns of behaviour formed over a long period of time and influenced by strong community, family and peer-group forces."

- Umbreit (1994:117), commenting on his finding of no significant difference in recidivism between experimentals and controls in four juvenile VOM programs in the U.S., says similarly:

- It could be argued that it is naïve to think that a time-limited intervention such as mediation by itself (perhaps four to eight hours per case) would be likely to have a dramatic effect on altering criminal and delinquent behavior, in which many other factors related to family life, education, chemical abuse and available opportunities for treatment and growth are known to be major contributing factors.

- Indeed, the VOM process itself does not attempt to address criminogenic factors directly, although these may on occasion be addressed in the agreed-upon conditions of the settlement between victim and offender. Most VOM agreements, however, confine themselves to terms such as an apology, restitution to the victim, community service or a donation to charity, an undertaking to behave civilly to one another, or a combination of the above (Davis et al., 1980; Marshall and Merry, 1990; Umbreit et al., 1994).

- Nuffield (1997), in an evaluation of a deferred prosecution VOM program for adults in Saskatoon, found that only 12% of agreements contained a clause requiring the accused, or both the accused and the victim, to obtain counselling or some other therapy, to be assessed for therapy, or to research the available therapies. Her finding that accused who went through VOM had a higher recidivism rate than the controls (who had been screened into the program, but had not proceeded, principally because of victim or offender reluctance) seemed to be explained by the more extensive prior records of the experimentals. She speculates (1997:46) that "to expect mediation to reduce recidivism and prevent crime may be loading it up with more expectations than it was designed or funded to handle".

Dedicated Drug Treatment Courts

- An innovation in the handling of "low-level" drug offenders in the U.S. since the late 1980s has been special drug courts. Although many of these are aimed solely at speedy prosecution of drug offenders, there are two dozen or more which target treatment. Variations exist in many program aspects, including the stage at which diversion is available (deferred prosecution or sentence consideration). The program is based on a number of premises. They include, for example, that freedom from drugs is a long-term goal, treatment should begin with detoxification immediately after the "crisis" occasioned by the arraignment, the judge should be actively and frequently in contact with the offender, the program should include attention to education, employment, and family issues, and relapses are to be expected and dealt with in court immediately without resort to lengthy imprisonment.

- It is too early to tell what kinds of outcomes to expect from treatment-oriented drug courts, but their advocates are enthusiastic (see, e.g., Tauber, 1994; Dickey, 1994). The oldest established such court (since 1989), in Dade County, Florida, is a deferred prosecution scheme promising dismissal upon successful completion of the one-year treatment program. It targets felony drug possession defendants with up to three prior felony non-drug convictions and any number of prior felony drug convictions. The program includes counselling, acupuncture to assist with withdrawal pains, fellowship meetings, education and vocational services, along with active monitoring through urine testing and regular court appearances in which the judge inquires into progress. The program had an active caseload of about 1200 cases in 1993.

- An evaluation by Goldkamp and Weiland (1993) used a comparison sample of similar drug offenders who had been processed in the years before the introduction of the drug court. Eighteen months after program completion, 28% of successful program graduates had been rearrested, about half the rate for the comparison group. New offences were also less serious, on average, than for the control group. The average time to rearrest for the favourables was 235 days. Bench warrants for clients who failed to appear in court or suffered a relapse in treatment were frequent; fully 54% of clients had at least one bench warrant during the program. Typically, the outcome was from two to eight days in jail, the number of days escalating with subsequent violations. About half the defendants presented with the option declined it, choosing to take their chances in court. Although the program attempted to avoid "net-widening", it is not clear how much was occurring. The program's net cost per completed case was $800 for one year. Most clients, however, contributed to the cost of their treatment, thus lowering the net cost.

PART IV. Diversion at the Sentencing Stage

- Diversion at the sentencing stage can take many forms. They include postponement of sentencing pending a referral to an intensive, community-based intervention, and the administration of "new" sanctions such as victim-offender mediation and community service.

Alternate Sentence Planning Strategies

- Alternate sentence planning programs, sometimes known as "client-specific planning" (CSP), provide an information/advocacy aid to prosecutors, sentencing judges and defendants. CSP, a term coined by Dr. Jerome Miller, recommends "prison-bound" convicted offenders for an intensive correctional experience in the community which is individually tailored to the risks and needs presented by each case. For that reason, alternate sentence planning is probably more appropriately called a strategy than a program since each program designed for an offender will be unique.

- Recommended correctional strategies to maintain the offender in the community may include such diverse elements as intensive surveillance, including electronic monitoring, enrollment in treatment, educational or vocational programs, restitution or community service, new accommodation arrangements (such as group home placement), or even 24-hour supervision by a live-in monitor. The key to the process is to fit the sentence recommendations to the offender and the offence and manage the risk and needs in the community.

- Because CSP tries to target serious offenders (e.g., those for whom a prison sentence is being recommended by prosecutors or those eligible for early release from a prison sentence), its success rate in having community-based plans accepted by authorities tends to vary. Acceptance rates have varied from one-quarter to three-quarters of all cases, with many programs showing acceptance rates clustering around 50% (Yeager, 1995).

- In the adult arena, there are a handful of evaluations which address some of the key diversion questions in relation to alternate sentence planning programs. Undoubtedly the most comprehensive is Clements' (1989) study of 117 felony cases for which CSPs were prepared. He compared CSP clients to 141 cases for which no CSP was prepared. Despite attempts to match the comparison group as much as possible, there remained observed differences. Many of the differences suggested that the experimentals were a more serious group. The CSP clients represented about four percent of the total criminal caseload in the courts studied.

- Clements' data showed that the CSP clients were indeed convicted of serious charges; 55% were convicted of crimes against the person, and in 33% of all cases the victim had sustained an injury. 40% of the cases involved a weapon (handgun). In terms of criminal history, 64% of the cases had one or more prior convictions, 47% a prior felony conviction, and 38% had a prior custodial term.

- Many of the experimental group would indeed have been "prison bound". Clements conducted a regression analysis, a statistical method, in order to show whether, controlling for other factors such as the seriousness of the offence, the fact of having had a CSP presented to the sentencing judge made a difference in sentencing outcomes. He found that it did, but only for those CSP cases whose plans were fully accepted by the court (one quarter of the CSP group). These 29 cases were significantly less likely to be imprisoned than the control group.

- Another 28% of the CSP cases had their plan only partly accepted by the sentencing judge, and they were imprisoned at the same rate as the controls. The remaining 47% of the CSP group, for whom none of the recommendations of the CSP were accepted, however, received much higher rates of incarceration than the controls. Clements speculated as to whether a "dangerousness" label became attached to CSP clients for whom the judge did not share the view reflected in the plan. This may also be reflected in the fact that the average probation term of CSP clients was 17 months longer than that of the controls, and the number of conditions applied to them higher. Clements suggested that this is in keeping with the CSP view that many of the clients which CSP seeks to retain in the community actually require more control and assistance than do most probationers. However, this does not explain the differences between the experimental and control groups in this regard. Perhaps the CSP served to identify more of the client's needs and risks than does the average presentence report, and thus raises more warning flags for sentencing judges. Significantly, the overall variance in sentencing was accounted for almost entirely by the seriousness of the offence.

- This last finding was also suggested in a study of the Restorative Resolutions program in Winnipeg (Bonta and Gray, 1996). This program targeted cases for whom the Crown has recommended at least nine months in prison. Additional criteria for the program were a history of incarceration and/or breach of probation. The 63 plans submitted to the courts in the first 30 months of the program were analysed. Nearly two-thirds (64%) of the clients were repeat offenders; 76% were unstable in their family or marital relationships; 51% had alcohol or drug problems; and 47% were assessed as having emotional difficulties. Finally, 39% were convicted of violent offenses.

- Plans for 86% of the offenders were accepted in whole or in part, and all of these accepted cases were placed on probation. Offenders who had committed a violent crime, however, were less likely to have their plan accepted by the judge.

- Another significant predictor of plan acceptance was Crown support for the plan. In 34 cases, the Crown supported the plan, and in all of these, the judge accepted the plan. Since many of these cases would have been instances in which the Crown had initially recommended at least nine months in jail, the CSP could have influenced the Crown's perception of the alternatives.

- Bonta and Gray used data on medium-risk probationers to draw comparisons in a one-year follow-up of the CSP cases (which were assessed as being mostly medium-risk as assessed by the Manitoba Offender Risk-Need Scale). The 48 CSP cases for whom a one-year follow-up was available had an 85% success rate (no new arrests), as compared to 72% of the medium-risk probationers.

- A number of evaluations of alternative sentence planning have been conducted in North Carolina (Institute of Government, 1990, 1987, 1986). Unfortunately, small sample sizes and shrinkage over time in those samples greatly reduces the generalizability of these studies, but they tend to suggest a positive effect of the programs in diverting offenders from incarceration. Another apparent indication is that CSP makes no difference in cases which may not be "prison-bound". Again, however, for that significant proportion of "prison-bound" CSP cases for whom the judge rejects the plan, there are indications that prison sentences may be significantly longer than for controls.

- The Institute also conducted a study (1992) of recidivism among 37,933 non-traffic offenders in North Carolina who received various sentences in the state. The study showed that the 313 offenders sentenced to the "Community Penalties Program" (i.e., a rather intensive form of probation following the acceptance of a CSP) were extremely similar along critical factors to the 6,514 persons released from state prisons to regular parole. These factors included prior record, education, drug and alcohol involvement, and felony conviction. It seemed that the CSP group had indeed been "prison-bound". Interestingly, however, their recidivism rates after an average of 26.7 months was 36%, compared to 41% for

the parolees after the same period, and the CSP group were rearrested for violent crimes less often (6%) than the parolees (12%). These differences remained after controlling for risk-related factors.

- Other studies of CSP programs for adults in Washington (Dash et al., 1970) Ottawa (Peters, unpublished,1983, summarized by Yeager, 1992) and Boston (Klausner and Smith, 1991) have been marred by small sample sizes and questions regarding the comparability of control groups.

- These few available evaluations of alternative sentence planning for adult offenders suggest that the approach holds some promise for diverting offenders from prison and into a fairly intensive intervention in the community. However, the more intensive the intervention, the more likely that offenders are terminated early, detected in undesirable behaviours, and more heavily penalized in a later proceeding. For offenders whose CSP is rejected in the first instance by the sentencing judge, there may also be a heavy penalty to pay, perhaps more than they might otherwise have received. The proportions of cases where the CSP is rejected are sizable in many programs.

- Some of the program aspects and issues raised by these studies echo those found earlier in diversion programs at other stages. They are:

Catchment issues. Targeting offenders who are truly "prison-bound" remains a challenge. The use of clear criteria can be supplemented by prediction instruments which estimate the probability of receiving a prison sentence and the risk of recidivism. Since there are some early indications that CSP may be superfluous for offenders who are not prison-bound, this is a resourcing issue as well as a diversion-effectiveness one. Then again, targeting offenders who are at very high risk to reoffend may be a resource-intensive exercise in futility. Klausner and Smith (1991) described a CSP program for women who committed offences which were in the main not extremely serious. However, their lifestyles were so dysfunctional that fully 72% were unsuccessful in the program. All of the program unfavourables and one favourable were incarcerated within a year, although it is not clear whether it was for failing to meet the terms of their sentence or for new offences.

Timing of Referrals. Alternative sentence planning is time-consuming. It can take 40 hours or more of staff time over a period of several weeks. For this reason, it is important to begin the process at the earliest opportunity. Dash et al. (1970) found that workers needed to become involved in the case immediately after defence counsel was appointed. This necessitated routine screening of court dockets and integrated working relationships with legal aid workers. This was not just because of the advance time needed (or because defence attorneys tended not to call in CSP workers until after they had developed their own strategy in the case), but because of the inseparability of pretrial plea- and sentence-negotiation processes. Dash et al. found that although the program was aimed at sentences, if the fundamentals of the plan were available early in the process, they could actually increase the likelihood of case dismissal.

Structural placement of the program. A similar issue relates to the ideal organizational placement of the program. Some programs are an adjunct to or a project of the legal aid society or bar association. This seems to increase referrals, especially early referrals, prevent workers from unduly "anticipating" the reactions of judges and prosecutors, and enhance information-sharing with defendants and their counsel. Other programs distance themselves from the defence, aiming instead to present an independent assessment from all points of view. It remains to be seen where the balance of advantages and disadvantages lies.

Resistance from related interests. Many commentators (e.g., Yeager, 1995) have noted that privately-run CSP programs tend, at least at first, to meet opposition from professional groups, probation officers in particular, who may see the program as usurping and interfering with their function. CSP may place an added workload burden on probation and lead to sentence conditions which must be enforced by them, even if they disagree with their application. This can, in turn, lead to difficulties for CSP workers in carrying out their own mission. Yeager notes (1995:26) that in North Carolina, the Office of the State Auditor criticized the efforts of the probation office to "de-stabilize" the Community Penalties Program.

Cost. Alternative sentence planning is expensive, sometimes costing upwards of $2000 per plan. Offenders who are able to pay for this service will not be in the majority, and the cost for the others is likely always to be compared to the cost of presentence reports by probation officers, even though these may not be a comparable service. Since CSPs will not normally replace presentence reports, if they are to be subsidized for indigent offenders, they will represent an additional system cost.

Are Services Provided? Many CSP programs try to "turn around" significant elements of an offender's life before the time of sentencing, even securing a confirmed program placement ahead of time. Doubtless this can have a powerful effect at sentencing, but, depending on the offender, it can be a formidable task. Clements (1987) notes that attempts to secure a job for the offender and place him/her in a residential treatment centre before sentencing were frequently unfulfilled. For programs which do less of this early intervention work, there still remains the question of the capacity and suitability of community services, especially in the case of the clients who might otherwise be prison-bound.

Community Service Orders

There is some question as to whether a discussion of community service orders (CSOs) belongs in a review of "programmatic" alternatives to custody. Certainly, most examples of community service incorporate few if any of the traditional elements of correctional treatment, although its adherents point to the potentially reformative effects of regular attendance at a job site (if only for brief and/or intermittent periods), exposure to pro-social environments and other similar benefits. Pease and McWilliams (1980) suggest, in fact, that community service has been "all things to all men", and this is part of the problem. If community service is to be used as a form of punishment, then it is not always consistent with its implementation. This is demonstrated in examples of lack of consequences for nonattendance, or the nature of the work sometimes assigned.

If, on the other hand, community service is to be treated as a rehabilitative measure, problems are often encountered in finding work which is meaningful (or at the least, not boring make-work) and building contacts with persons who are likely to provide the offender with something of lasting value. Flegg et al. (1976), for example, found that CSO offenders mentioned the importance of the relationship with their work supervisor on the job. The correct supervisor could stimulate the offender's reappraisal of himself and others, provide a role model and give the offender confidence. But for most offenders experiencing community service, "the order will be a grind to the end, perhaps with some small benefit" (spoken by a CSO organizer quoted in Pease et al., 1977a).

Nonetheless, there are a few studies which suggest that CSOs can in fact divert substantial numbers of offenders from custody. These are cases where the offence is considered to merit some additional punitive measure beyond probation, and the offender is not considered a risk to public safety. Pease et al. (1977b) estimated, through indirect measures, that some 46 to 50% of CSOs imposed in England in the early years of its growth were likely used in cases which otherwise would have received a custodial measure. Spaans (1995) arrived at the same proportional estimate with a more sophisticated matched comparison of CSO offenders and offenders given a short custodial sentence in the Netherlands. McDonald (1986) documents a lengthy but successful struggle to increase sentences of "prison-bound" offenders to community service in New York City. Ultimately, after various program adjustments, 52% of community service offenders were estimated by statistical modelling to have been removed from the "prison-bound" population.

How CSO offenders compare, in terms of recidivism, to similar offenders sent either to jail or to a community-based option, is a question which has not been fully explored. Pease et al. (1977b) found somewhat higher rates of recidivism for CSO offenders than for imperfectly matched comparison groups of offenders sentenced to custodial and non-custodial options. McDonald (1986) found higher recidivism rates for the CSO group in two boroughs of New York City, but lower rates in a third.

Day Reporting Centres

Day reporting centres (DRCs) have been in extensive use in England for a few decades, and are growing rapidly in the U.S. Parent's (1995) survey indicates that in 1990, there were 13 day reporting centres in the U.S., and by 1994 there were 114. Parent notes that there is as yet no systematic experimental or quasi-experimental research on DRCs in the U.S., and this may in part be as a result of the wide variation in their application. Depending on state law and policy, they may be available at virtually every stage of the justice process, and their varying profiles are reflected in the enormous variance in the average daily cost per attendee and the widely varying termination rates reported in the survey (from 14% to 86%). Parent notes that many DRCs are targetted at "nonserious, drug- and alcohol-using offenders who do not require residential treatment" (1995: 23), but also suggests that there is a recent trend towards placing at least as strong an emphasis on supervision as on treatment. The norm is a five to six month length of participation in the program.

In England, "probation day centres" service two distinct populations: voluntary clients who may or may not be offenders, and offenders who are required, as a condition of probation, to attend a day centre for up to 60 days. These latter so-called "4Bs" (after the section of the *Powers of Criminal Courts Act* of 1973 which conferred the authority for them) are persons who, it is intended, would otherwise be prison-bound, albeit for relatively short periods of time.

British day centres have a lesser concern with supervisory or control objectives. They focus instead on an intensive program of life skills, cognitive skills, counselling, vocational training, literacy and numeracy training, introduction to computer use, and the like. The emphasis varies from centre to centre.

For clients, it is an intense experience, one which requires almost daily full- or (for employed clients) part-time attendance. Vass and Weston's figures for referrals to Cedar Hill Day Centre suggest that 10% of clients turned down the option "either on the grounds that they could not participate in such activities or because going to prison seemed an easier and often quicker alternative" (1990:197). Vanstone (1986: 101-2) quotes a client who found the regime too taxing:

I would not recommend this place. This place has messed me up. Of all the institutions I've been in I would not like to come to this place again if it were not for the threat of prison. There are too many personal discussions and so much distrust. It's very strenuous - you have to make an effort to control your behaviour. I'm up against authority here. I can't stand it. I'm anti-authority. It's not heavy but you still feel it.

While there are no experimental or quasi-experimental studies available to suggest precisely how many "4Bs" were in fact diverted from prison, a few studies have suggested that a substantial proportion were diverted. In the most extensive available study of the centres, Mair (1988) reviewed a sample of 867 clients (of both types). He found that they fit a profile of socially inadequate repeat offenders with 60% of the sample as "4Bs". Of these, 88% were under 30; 87% were unemployed; 67% were convicted of burglary or theft, 11% of violence; 51% had a previous imprisonment; 43% had six or more previous convictions. Mair concludes (1988:17) that "probation day centres may indeed be playing a part as an alternative to custody for those who are given 4B orders".

Vass and Weston (1990) and Vanstone (1986) agree, although also based on nonexperimental evidence. Vanstone cites data showing the similarity between prison populations and the population of one English day centre in terms of offence profiles, the number of previous convictions, and the number of previous imprisonments. A sample of social inquiry reports (presentence reports) for the same centre showed that in 79% of the reports, probation officers "raised the possibility of imprisonment". In 83% of the cases in which the recommendation for day training was not followed, a custodial sentence was imposed. Vanstone also notes that recidivism rates of day centre clients after a year following program completion are comparable with those for released prisoners. Vanstone's interviews with Pontypridd Day Centre clients indicated an average age at first sentence of 13 years, an average of 13 previous convictions, and, among 91% of the group, an average of four custodial sentences.

Vass and Weston (1990) examined the outcomes of 79 recommendations to the Cedar Hill Day Centre which were denied by the courts. Of these, 56% were given custodial sentences.

PART V. Post-incarceration Programs

An interesting departure from the norm was a program for "persistent petty offenders" described by Fairhead (1981). Recognizing the substantial contribution to prison populations made by persistent property offenders, officials identified a sample of 125 such offenders for intensive assistance in four areas: accommodation, employment, substance abuse and pro social contacts. These offenders were older (half were over 40), had extensive criminal records (half had 25 or more priors), tended to have few or no close acquaintances and to abuse alcohol, and "slept rough" or had no fixed abode. Reasoning that the first priority should be to place these released offenders in stable accommodation which was better than their accustomed living arrangements, program staff attempted to secure placements for each. In addition, prior to release, attempts were made to link each offender with a volunteer who would accompany them to the accommodation from the prison gate and would continue to provide assistance to supplement that of corrections staff.

A group of 125 persistent petty offenders was selected for intervention. It should be noted that these 125 offenders would, on any prediction scale, be considered high risk to reoffend. In addition to their lengthy records, most were rated as having

"severe" problems in all four of the key needs areas. Only one of the 125 offenders agreed to be assisted by a volunteer, and all but eight refused the arranged accommodation, could not be placed, failed to show up, or stayed there for less than a month. In a nine-month follow-up, no significant differences in reconviction or reimprisonment was found between those who were assisted into accommodation (however briefly). However, there was a difference in the number of reconvictions and reimprisonment sentences per offender. Six out of the eight offenders who stayed in the arranged accommodation for at least a month were not reconvicted during the nine-month follow-up period. There is no record of further attempts to assist the group with substance abuse, pro social contacts and employment.

Juvenile Decarceration in Massachusetts and Other U.S. States

The juvenile diversion literature provides some noteworthy initiatives in decarceration. Best known among these is the dramatic deinstitutionalization of the juvenile justice system of Massachusetts during the early 1970's by Dr. Jerome Miller, the then Commissioner of Youth Services. Aided by the Youth Services' authority to assign offenders to whatever facility or program deemed the most fitting, Miller abruptly transferred virtually all juvenile inmates out of state facilities and aggressively contracted with community service-providers for a wide variety of alternative placements and programs, including group homes and non-residential programs (Miller, 1994).

In 1968, one year before Miller's tenure began, there were 2,443 commitments to Youth Services, 833 of whom were institutionalized and 1,610 were on parole following a period of commitment. In 1974, one year after Miller's departure, there were 2,367 commitments, of whom 132 were in state institutions, 941 were on parole, 399 were in private group care facilities, 171 were in foster care, and 724 were in other non-residential programs (Bullington et al., 1986:513).

Although there has been some retreat from Miller's original approach, the state retains one of the lowest juvenile incarceration and crime rates in the U.S. Juvenile arraignments fell 46% from 1974 to 1984 despite a 25% increase in the juvenile population of the state (Bullington et al., 1986:517). A study of 800 clients released from Youth Services care in 1984-85 showed a lower re-arraignment rate after 12 and 24 months than for youth released under the former training school system (Krisberg et al., 1989). However, there is some evidence that rates of temporary juvenile detention may have increased as longer-term stays decreased (Massachusetts Advocacy Center, 1980).

Obviously, the success of this kind of reform is dependent on a number of critical factors. The factors include a suitable sentencing/commitment authority, political support, the ability to assemble a sufficient number of effective community-based alternative programs, and the skill to deal with opposition from displaced state employees, political opposition, and public concern. These factors are present in few jurisdictions, and virtually none dealing with an adult correctional population. The funds previously devoted to institutions must be available to support the community-based alternatives to them, without regard for reaping cost savings from institutional budgets at the outset.

Indeed, Miller was unable to replicate his Massachusetts experience to the same degree during later tenures in Pennsylvania and Illinois. However, there have been a number of successful closures of individual juvenile institutions in various U.S. states, including Utah, Maryland, and Missouri (see Krisberg and Austin, 1993). Similar findings for deinstitutionalized juveniles have been found in other studies (e.g., Lerner, 1990; McGillis and Spangenberg, 1976).

PART VI. Ideas from the International Arena This section presents a few ideas from the systems of other countries which could be added to the available options for diverting offenders. Unfortunately, little if any outcome studies are available on the impact of their implementation.

Day Fines

Day fines have been the norm in many European countries for decades. The principle is to make fines more just by tailoring the amount of the fine to the offender's ability to pay, thus resulting in widely varying amounts of fines which nonetheless would have an approximately equal impact on offenders with different incomes. The total fine is payable in a lump sum unless installments are authorized.

Some commentators (e.g., McDonald et al., 1992) have speculated that the introduction of day fines may increase the use of fines in preference to other forms of sentence, since in theory the day fine system makes the fine more appropriate for both rich and poor. For offenders with more financial resources, a day fine could have more "bite", and for the poor, the day fine should still be within their means. Day fines are premised, perhaps more than conventional fines, on an active expectation that the fine will be paid, rather than defaulted. Thus, day fines are considered to have a potential impact on the imprisonment in default of fine payment for low-income offenders. Since fines are the most common penalty in many justice systems, in wide use even for some serious crimes, their potential impact is enormous. A British Home Office study reviewed in Morgan and Bowles (1981) attributed the extent of defaulting to real financial hardship.

Of course, the calculation of day fines and the resultant fine levels need to be gauged accurately. Fogel (1988) cites a study that showed the same defaulting rates for day fines imposed in the first year of their availability in Germany as under the previous system three years before. In Finland, changes in 1976 to the method of computing day fines and in the number of day fines per offence reduced the number of default days.

An experiment by the Vera Institute in implementing day fines on Staten Island (McDonald et al., 1992) found that the average fines imposed were larger and collection periods were longer. The day fines, however, were collected in full as often as the lower, fixed fines. Many day fines for more financially secure defendants could have been higher if the statutory ceiling for them permitted it. In this experiment, judges were given the option of using day fines or the more traditional, fixed fines. In the first year, judges chose to use day fines in 70% of the cases. There was, however, no impact from the innovation on the relative use of fines, as compared to other forms of sentence.

The same study also reported on a day fine experiment in Milwaukee, where day fines were used in two-week periods which alternated with traditional fines in succeeding two-week periods. The average day fine was lower than the average conventional fine, but again, for 22% of defendants who had a greater ability to pay, day fines might have been higher if the statutory limit permitted it. The two schemes had the same default rate (61% for day fines and 59% for conventional fines), but those offenders who were given day fines were more likely to pay their fine in full (37% versus 25%). Among the lowest-income defendants, 33% paid day fines in full, as compared to 14% who were given conventional fines. There was no significant difference in rearrest rates over a nine-month follow-up period.

Prosecutorial Fines

Prosecutorial fines were found in Scotland ("fiscal fines"), Belgium, Sweden, and Germany, and no doubt exist elsewhere. In these jurisdictions, the prosecutor has the authority to levy a fine on consenting offenders who have not been convicted, in exchange for a dismissal of charges. The prosecutor must be able to demonstrate his/her ability to convict on the available evidence.

Judicial Waiver of Prosecution

Some European countries give explicit authority to prosecutors to waive prosecution in the public interest, even where there is evidence to convict and where the complainant wishes prosecution to proceed. Such an explicit authority could give Crowns the "comfort level" they require to withdraw or dismiss charges, even in instances where there is no specific diversion program to which accused can be referred.

Probation Subsidy

Results of probation subsidy in the U.S. have, in the main, been disappointing. California, Minnesota and Kansas, among others, have experimented with this concept. The notion is that the state (which controls prisons where offenders serve a year or more) encourages comprehensive justice planning, community development and reduced sentence lengths among local county authorities. The county has responsibility for local jails (housing offenders serving less than a year), many community services, and probation departments attached to local courts. The state provides grants to local counties which opt into the scheme for the purpose of encouraging reduced or community-based sentences. There is a "charge-back" for each offender sent to state prisons from the participating county.

Jones (1990) found, based on an indirect statistical prediction of sentences, that there may have been a small effect (nine percent) from probation subsidy on the numbers of cases retained in the community, albeit under more stringent conditions than for regular probationers. In an extensive study of Minnesota, Strathman et al. (1981) found slight effects in the intended direction for juveniles, and none for adults. In fact, there was an observed increase in the severity of community sanctions for adults.

However, the Minnesota study suggested that the program was implemented without proper planning, criteria for local implementation, guidelines, or delineation of the roles and responsibilities of local officials. With advances since that time in the availability of statistical information for predicting sentences, offender needs and risk, and in our knowledge about alternative sentence planning and other methods which incorporate strict criteria for usage, a more effective implementation of such programs is theoretically possible.

Perhaps the more relevant question is whether Canada's jurisdictional split is suited to the idea. In Canada, the parallel to American probation subsidy would be for the federal government to make grants to the provinces to enhance their community corrections capability to handle offenders who otherwise would be sentenced to two years' imprisonment or longer - probably with a cut-off for "charge-backs" at two years or on some other basis. Changes in this context may be doubly difficult because of the meaning now attached to the split by sentencing judges, who may view offenders whom they send to penitentiary as qualitatively different from provincial prisoners.

Minimum Sentences to Imprisonment

Several European countries, such as Germany and the Scandinavian countries, have a "floor" of one month on the length of custodial sentences. These are intended to reduce the use of very short-term custodial sentences in the first instance (i.e., as opposed to imprisonment in default of fine payment). Introducing such a "floor" in Canada would probably prove ineffective if not accompanied by an expansion in other relatively minor punitive options for sentencing judges. Otherwise, the impact might be simply to increase the use of jail terms of just over one month.

Criminal Policy and Incarcerated Populations

Criminologists have examined the imprisonment rates of different countries in an effort to determine what factors cause some countries to have very high rates of imprisonment and others, much lower rates. Two recent examples (Snacken et al., 1995 and Junger-Tas, 1994) have, like many before them, concluded that it is the criminal justice policies of a nation which are likely the most important determinant of incarceration rates.

Differences in crime rates between countries and over time do not account for differing imprisonment rates. While "external factors" like the age distribution, unemployment rate and income disparities within a society have been linked to prison populations, and "interfering factors" like public fear and opinion can affect them, it is the "internal factors" of criminal justice policy which most strongly impact them (Snacken et al., 1995: 40). Furthermore, these policies can change, and can in turn change the patterns of imprisonment and other sanctions within the nation.

Finland and West Germany are two Western countries which in recent decades made deliberate efforts to reduce their use of imprisonment. Finland traditionally had a higher imprisonment rate than that of the rest of Scandinavia, but researchers and scholars were able to demonstrate that this status was due not to higher crime rates in Finland, but longer average prison sentences. Legislative changes were coupled with intensive courses and seminars with the judiciary, both in order to build consensus over required changes and to promulgate them. It appeared that the Finns were able to create consensus over the limited value of punishment as a deterrent and the impracticability of widespread incapacitation or treatment through carceral sanctions. Public drunkenness was decriminalized and the maximum penalties for property offences were reduced. The prison population dropped from 5600 in 1976 to 3500 in 1992. The use of fines increased greatly.

In West Germany after 1983, an apparent consensus developed around the desirability of reducing prosecutions, remands, and short-term incarceration sentences for young adults and juveniles. This seems to have had a small spillover effect on the treatment of older adults as well (Graham, 1990). The total remand population dropped by nearly 30% between 1982 and 1988. The adult prison population decreased from 38,500 to 35,600 between 1983 and 1986. In the same period, 17% fewer

young adults and 1% fewer older adults were prosecuted, and the proportion of all convictions resulting in a custodial sentence also dropped by 19%. For adults, the reductions in the imprisonment rate seemed to have been a function of a decrease in shorter prison sentences; this impact has not been entirely offset by an increase in longer-term sentences.

The Germans made no legislative changes during this period, although in the years before, some changes were made which may have contributed to the climate of reform. In 1969, custodial sentences of one month or less were abolished and restrictions were placed on the use of sentences between one and six months. In 1974, the availability of suspended sentences was increased, and community service was introduced as an alternative to jail in default of fine payment. But Rutherford (1988) suggests that the key reason for the changes in the 1980s was an important conference of 200 justice officials and policy-makers, which served to coalesce the growing loss of faith in the rehabilitative and deterrent impact of imprisonment.

Snacken et al. (1995:42) concluded:

...[E]ven if the criminal justice system cannot influence all elements that determine its functioning, it has sufficient leeway to refute the argument that changing prison populations are a pure product of external factors out of its reach. Fate is, at least partly, a matter of policy.

PART VII. Summary and Conclusion Although there is an alarmingly small number of sound evaluations of adult diversion in the criminological literature, they do point strongly to a number of tentative conclusions, which in turn are supported by the more extensive juvenile literature in the area.

- Most significantly, it still remains a major challenge for diversion programs to identify and work with clients who would, but for the existence of the "alternative", have received significant attention from the justice system.
    - Rather, it appears that large proportions of "diverted" clients might never have been arrested, fully prosecuted, or given a significant sanction.
    - To this extent, concerns that diversion "widens the net" of social control to a broader cross-section of offenders are well placed.
    - Initiatives designed to formalize police discretion to divert offenders may be particularly vulnerable to this criticism.
- Diversion programs tend to be used for first offenders, younger persons, minor offences, and clients who present less significant risks.
    - These cases are felt to be more deserving of the "break" that diversion is considered to represent.
    - Diversion of the mentally disordered from the justice system is also considered appropriate, given the limited capacity of the justice system to deal with the treatment, control and safety issues presented by these individuals.
        - Older offenders who present fewer mental health problems and who represent a greater challenge from the standpoint of the offences they commit and their past criminal involvement are less likely to be considered suitable for diversion at pre-conviction stages.
        - For these offenders, attention to sentencing alternatives after a conviction has been obtained is likely to be the most productive course of action.
- Diversion programs must be designed to take into account the professional orientation and situational demands placed on the justice system workers with whom they work most closely.
    - Prosecutors, for example, may instinctively screen out cases where a conviction is less likely and the probable sentence insignificant, while wishing to proceed with other cases which may actually be more suited to diversion.
    - Agreement on objectives and productive working relationships among all involved parties is highly desirable.
- Many diversion programs which are "programmatic" suffer from problems common to corrections.
    - The interventions they provide may be inappropriate to much of the client base they serve, may fail to deliver needed services, and may have difficulty demonstrating a downstream impact on recidivism.
    - However, this is not to say that diversion interventions which are better designed and delivered than those which have been evaluated to date would not show better results.

- Although "true diversion", as the early terminology had it, was aimed at keeping lawbreakers out of the justice system as much as possible and reducing if not eliminating intervention with them, the past three decades of justice upheaval have made it clear that diversion has become, and will continue to be, characterized by attempts to address clients' risk and need in some fashion. The further the offender's penetration into the system, moreover, the more likely the "alternative" will actually be an attempt to shore up and provide more treatment and more teeth to existing community-based responses.
- To this extent, a more effective strategy for diversion must partake of the same approaches which are currently being advocated for enhancing correctional intervention generally.
    - These approaches will thus include more selective and informed case management strategies with specified offender goals (see, e.g., Andrews, 1996[32]; Austin and Baird, 1990[33]), and selective application of structured approaches for offender change (Palmer, 1995[34]; Robinson, 1995; [35]Antonowicz and Ross, 1994[36]; Anglin and Speckart, 1988[37]; Gendreau and Ross, 1987[38]).
- In addition, diversion can benefit from the continuing expansion of our knowledge in the area of prediction, both of criminal risk and of justice system outcomes. This growing knowledge base can be used to refine the design of diversion screening techniques and program design.

[32] Andrews, Don (1996) "Criminal recidivism is predictable and can be influenced." Forum on Correctional Research, 8/3: 42-44.

[33] Austin, James and S.C. Baird (1990) The effectiveness of the client management classification system for prison classification. San Francisco: National Council on Crime and Delinquency.

[34] Palmer, Ted (1995) "Programmatic and nonprogrammatic aspects of successful intervention: New directions for research." Crime and Delinquency, 41/1: 100-131.

[35] Robinson, Dave (1995) The Impact of Cognitive Skills Training on Post-release recidivism among Canadian federal offenders. Ottawa: Correctional Service of Canada.

[36] Antonowicz, D and R. Ross (1994) "Essential components of successful rehabilitation programs for offenders." International Journal of Offender Therapy and Comparative Criminology, 38: 97-104.
Austin, James (1980) Instead of Justice: Diversion. Ann Arbor: University Microfilms.

[37] Anglin, D. and G. Speckart (1988) "Narcotics use and crime: a multisample, multi-method analysis." Criminology, 26: 197-232.

[38] Gendreau, Paul and Robert Ross (1987) "Revivification of rehabilitation: evidence from the 1980s." Justice Quarterly, 4: 349-408.

6. Relevant Documents, Studies and Practices – USA

6.1. Resolving Disputes Locally: Alternatives for Rural Alaska - 1992[39]

- **Referral Systems.** A strong system for referring cases to the organization is critical to its effectiveness, judging by the experiences of these three organizations.
    - The strongest and most reliable referral sources are those tied to governmental structures, such as the VPSO in Minto and the Sitka tribal and state social workers.
    - The tribal courts also draw on ICWA referrals, and referrals from state agencies. PACT lacks a consistent referral source, and has the smallest caseload of the three organizations.

[39] Alaska Judicial Council, Resolving Disputes Locally: Alternatives for Rural Alaska, August 1992, http://www.ajc.state.ak.us/Reports/rjrepframe.htm

7. Relevant Documents, Studies and Practices – International

7.1. Diverting Aboriginal Adults from the Criminal Justice System [40]

7.2. Restorative Justice The Public Submissions-1998[41]

Stages of Intervention

Prior to conviction

Six submissions believed that restorative processes should be introduced prior to conviction. Where reasons were given, there was a preference both to by-pass the courts as well as divert greater numbers of offenders. Whether or not a conviction should be entered was an issue for some:

We believe that for a restorative programme to have the most effect it must empower its participants to make decisions on all aspects of the ramifications of a persons offending. To this end we see such a programme as being introduced prior to conviction. The decision on whether a conviction is entered or an appearance before the Court is warranted should be left in the hands of the participants. The fact of conviction is a punishment and the decision concerning its imposition should be left as an integral part of the restorative programme. (Dunedin Community Law Centre, 5)

We believe that conviction need not be entered provided the offender fulfils the requirements of a Community Group Conference. In order to ensure the integrity of this process, we recommend a suspended conviction, which, like a suspended sentence, becomes null and void upon the satisfactory completion of the agreement. (Restorative Justice Network, 72)

Prior to sentencing

Seven submissions were of the view that restorative programmes should be provided after conviction and before sentence. The reasons given included the ability for restorative processes to inform sentencing and to form part of sentencing options.

One submission voiced concern that when considering any major change to a criminal justice system which has a number of offender-focused presumptions and proof burdens, care must be taken to ensure that the integrity of the system remained intact. For this reason, a restorative process incorporated at the post-conviction, pre-sentence stage was favoured as it did not impact on the complex workings involved in establishing guilt. Another submission saw risks in restorative processes at this stage:

The danger of providing it after conviction and before sentence is that it will be used as a soft option and a way out of a harsher sentence rather than because genuine responsibility is accepted. (Aitken, 35)

At a number of stages

Six submissions thought that restorative processes should be provided at both the pre-conviction and post-conviction/pre-sentence stage. Some related this choice to options in the youth justice system, while for others the preference was for intervention in the system as early as possible.

Twenty-three submissions supported flexibility and suggested that a restorative process could occur at any stage of the criminal justice process, depending on the circumstances of the case or the particular offence involved.

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[40] Brendan Thomas, http://www.lawlink.nsw.gov.au/ajac.nsf/pages/publications

[41] Ministry of Justice – New Zealand - Restorative Justice The Public Submissions First published in June 1998, © Crown Copyright http://www.justice.govt.nz/pubs/reports/1998/restorative_justice/ex_summary.html

One submission saw that the demands and time frame of the courts would inevitably compromise restorative processes, and supported the provision of restorative programmes at various stages to meet differing needs. The need for flexibility was supported in a number of other submissions which thought that processes should occur when the timing was appropriate and agreed to by the parties concerned.

One submission taking a victim's perspective suggested:

There are still many questions as to how a restorative justice system would operate in New Zealand and the protections that would need to be built in for victims. DSAC has reservations about the timing of such an intervention. There would need to be several options available rather than a prescribed pre-trial, pre-sentencing or post trial option only. It is important that the victim's choice in this is particularly given priority. The point in a victim's dealing with rape trauma where the victim would feel able to go through such a process should drive the timing of the process. Some people would be ready to do this early on, others may take a long time, and of course others would choose not to go through the process at all. (Doctors for Sexual Abuse Care, 60)

Others focused their attention on the offender and the criminal justice system and 10 submissions believed that an acceptance of responsibility or an admission or finding of guilt should precede any restorative processes. A further submission recommended that any pilot programme should be limited to the pre-sentence stage to assure an objective acknowledgement of guilt.

Post-sentence

No submissions proposed that restorative processes should be available only at the post-sentence stage. However six submissions included this stage as an option when supporting a flexible approach across a range of stages in the justice system. Where there was discussion, the application of restorative processes at this stage was seen mainly in terms of imprisoned offenders where it was suggested that the outcome of any restorative process could influence release dates, parole opportunities, or pre-release plans. High Court Judges believed that consideration could be given to expanding the powers of the Parole Board or District Prisons Boards, if necessary to ensure that any properly developed programme is not hindered by inflexible provisions.

One submission expressly excluded support for the post-sentence stage:

The Committee does not favour intervention at this stage for three main reasons:

1. It is unlikely to be an attractive option for Government funding given that the state's involvement has ceased.

2. It is unlikely to make attendance at the conference/mediation as relevant to either victim or offender because the sentence has already been determined and therefore the conference is likely to be held several weeks or months after the event.

3. It could result in the offender being punished twice. (New Zealand Law Society, 67)

Referral of Cases

Automatic referral

Fifteen submissions supported an automatic referral approach, whereby all eligible cases were automatically referred to a restorative programme. This approach was endorsed by one submission on the basis that:

To treat the determination of eligibility in any other way would allow for the introduction of irrelevant considerations and inconsistencies would result. (Dunedin Community Law Centre, 5)

Another suggested that while automatic referral was the preferred option, in the short to medium term there might have to be some selection of cases for referral, and that a broad range of parties (except the agency providing the restorative

programme) could have a role to play. Another which recommended automatic referral noted that if discretion was to be exercised, referral could come from any one of the range of referral sources.

Exercise of discretion

Conversely, 21 submissions believed that all eligible cases should not be automatically referred, but rather that there should be the exercise of a discretion to refer cases. There was a variety of opinion about who should exercise this discretion. In eight cases, the view was that the referral should be by the judge (some suggested after application, advice or submissions), three suggested the prosecutor while nine favoured a range of referral sources.

If Restorative Justice is to be effective as a concept, gatekeeping needs to be minimised. (Henderson, 36)

7.3. Restorative Justice - 1996 [42]

There are three stages at which formal restorative justice programmes are generally applied. They are:

1. PRE-CONVICTION: These programmes operate where the defendant does not deny guilt or has indicated that they do not intend to defend the case. As a procedural safeguard it is usually expected that the prosecuting agency has formed an intention to prosecute the case. Outcomes may include a recommendation or report to a court, or else the case may be finalised by agreement between the victim, the offender and the prosecuting agency without proceeding to a court.

2. PRE-SENTENCE: Once guilt has been admitted or proven, a court may refer the case for a victim-offender mediation.

3. POST-SENTENCE: Some victim-offender mediation programmes work with offenders who have been sentenced, either to community-based sentences (Shadbolt, 1994) or to imprisonment (Green & Gray, 1994 ; Immarigeon, 1994). They may operate between victims and offenders who have a direct relationship, or between groups of victims and offenders who are not connected by a specific offence. Mediation between an inmate and the community into which he or she will be released has also been used to assist integration.

Stages of Intervention

- Where restorative programmes are integrated with the criminal justice system, is it preferable that they are provided:
    - **Prior to conviction ?**
    - **After conviction and before sentence ?**
    - **After sentence ?**
    - At some of these stages ?(please explain which stages)
    - At all three stages ?

Timing

- Undue delays in criminal proceedings are undesirable, both in the offender's interests or in those of justice generally (section 25, New Zealand Bill of Rights Act 1990).

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[42] New Zealand, Ministry of Justice, Restorative Justice, A Discussion Paper, 1996, http://www.justice.govt.nz/pubs/reports/1996/restorative/index.html

- Some victims report that delays in court proceedings make it difficult for them to put the matter behind them while, conversely, other victims feel unable to face court proceedings, or to engage in mediation with the offender, until some physical or emotional healing has occurred.

- Healing may take a short time or, in some cases, years.
    - The victim's emotional state may influence the outcome of a restorative process and what they need from the criminal justice system may be different in the various stages of their recovery.
- The apprehension of the offender, the complexity of the case and many other factors may influence the progress of criminal proceedings.
    - The needs of the victim and the requirements of the criminal justice system may not necessarily coincide and there is unlikely to be an ideal time for justice processes.

Intervention Point

- The progression of a case in the criminal justice system is marked by stages. Opportunities for restorative processes can be considered to arise at each of these stages. In particular:
    - **Prior to conviction;**
    - **After conviction and before sentence; and**
    - **Post-sentence.**

Pre-conviction referral

- Pre-conviction referrals provide the earliest opportunity for involvement.
    - Interventions at this stage apply after charging, usually require an admission of guilt, and are often associated with offender diversion programmes which seek to minimize the involvement of minor offenders with the formal criminal justice system.
    - Given the nature of restorative processes, offender participation would be reliant on the offender either admitting guilt or at least not denying responsibility for the offence.
- Pre-trial options might reduce the number of `not guilty' pleas prompted by disputes over the definition of the offence.
    - Where they result in an increase in the numbers of cases diverted from the court system, they will reduce the need for formal enquiries at sentencing, and affect the numbers receiving particular sentences.
    - However, in cases where no agreement is reached, mediation may constitute an additional burden for the victim and offender, and might delay the determination of matters in the court system.
    - There might be additional demands on counsel to provide advice regarding mediations and this might increase costs to defendants and the legal aid system.
- Pre-trial options may or may not involve the diversion of the offender.
    - One option is to introduce mediation processes as part of the police adult pre-trial diversion scheme.
        - This scheme already has some restorative elements as described in paragraph 3.3.1 and mediation meetings would complement these.

- On the other hand, the eligibility rules for the scheme indicate that it is largely limited to first offenders or those to whom limited special circumstances apply.
- While a meeting might have some value for the victims of these offenders (depending on their views of the police decision to divert the offender), further offending may be regarded as unlikely, the process may result in more complex penalties and the additional cost of both the administration and the outcomes may not be warranted.
- Another option is to follow the youth justice approach in general terms.
    - Family group conferences are usually convened prior to an admission of guilt on the condition that the defendant does not deny responsibility.
    - Approximately 60% of charges are resolved in this way (Maxwell and Morris, 1993).
    - Where all of the parties agree, including the police representative and youth justice co-ordinator, the matter may be finalised without reference to a youth court.
    - The penalties for the offender are limited to what can be undertaken with the offender's co-operation and comprise options like an apology to the victim and voluntary reparation.
    - The agreements have no force in law and cannot be enforced subsequently although a further conference can be convened. Where the accused denies the charge a trial is held.
- A similar system for adults would be likely to involve the replacement of the police diversion scheme for selected offenders with a diversion scheme with application to a much broader range of offenders. The scheme would provide for a wider range of inputs which could result in offenders being diverted from the criminal justice system in greater numbers. More than 2,600 adult offenders were diverted under the police scheme in 1994 (out of the 144,575 cases prosecuted) and the extent to which it might be desirable to divert larger numbers of adult offenders from the court system and who such offenders should be are clearly issues for consideration. Eligibility and referral issues are further discussed in paragraph 6.5.
- A third option, not involving the diversion of the offender, is to use the outcome of restorative processes introduced at the pre-conviction stage to inform sentencing by the court after a formal conviction has been entered.
    - This has the features of referrals at the next stage of the process and is further discussed below.

Pre-sentence referral

- Restorative programmes could be introduced into the criminal justice process once a conviction has been entered.
    - A remand would be necessary to provide the opportunity for this to occur, during which time other reports required to inform sentencing (probation, psychiatric or psychological reports) might also be prepared, if necessary.
    - Since some offenders would be remanded in custody, programmes would need to take account of this.
- Mediated agreements would give the court an opportunity to consider any plan or recommendations on aspects of sentencing.
    - Failure to reach agreement would also be reported to the court, in which case the mediator might attempt to comply with section 23 (3) of the Criminal Justice Act 1985 by assessing for the court the value of any loss or damage to property suffered by the victim.

- Where there was agreement, however, the court could either:
  - (a) further remand the matter so that the offender could comply with the agreement, then sentence or discharge the offender at a later date;
  - (b) sentence the offender after giving consideration to the meeting outcome.

Post-sentence referral

- Some victim-offender mediation programmes in the United States have focused on work with prisoners.
  - This has highlighted that some victims and offenders have matters to resolve even though court proceedings have been completed.
  - The purpose of such meetings vary.
    - Some are initiated at the request of individual victims or offenders who are seeking closure on chapters of their lives.
    - Post-sentence mediation may inform parole decision-making and Marshall (1995b) reports instances of British programmes mediating between inmates and the communities into which they hope to be released.
  - Another form of post-sentence mediation is where groups of offenders meet groups of victims who were not the victims of their offences.
    - This has been tried in Britain and is sometimes a feature of driver-education programmes.
    - The mediation may involve offenders undergoing community-based sentences and it has also been attempted with prison inmates (Green & Gray, 1994 ; Shadbolt, 1994).
  - Marshall (1995b) suggests that post-sentence programmes involving victims and offenders who do not have a direct relationship generally follow a pattern of initial success with positive experiences for victims, followed by increasing difficulty attracting victims to attend meetings.
    - He posits that the proportion of victims who seek and would benefit from these interactions may be small.

Summary of staging options

- Pre-trial, pre-sentence and post-sentence processes need not be mutually exclusive and a system of justice with a greater restorative focus might provide opportunities for mediation at all stages of proceedings.
  - This is not dissimilar to the approach taken in the New Zealand youth justice system.
  - The costs of implementation and operation at each stage of the criminal justice process clearly need to be weighed against the objectives of their introduction and the perceived benefits they might bring.

Referral for Mediation

- Eligibility for a restorative process will be of limited value if it is not associated with a way of advising parties of, or directing them to, that process.
- There are two general approaches that could be adopted for referral.

- The first is to arrange for the automatic referral of all cases which meet the eligibility criteria whatever they might be. This has the advantage of precluding the introduction of bias in selecting cases. However, where the rules are broad and involve a high volume of cases, there is the risk of swamping the co-ordinating agency with referrals. Arranging and holding mediation meetings is a time-consuming process and considerable time may be lost in following-up cases which may never have been likely to result in mediation for a variety of reasons. There is also the danger of creating delays in the court system.

- The alternative approach is to draw from the pool of cases which meet the broad eligibility criteria, those which are considered likely to benefit from restorative processes and those where the victim or offender seek a mediation meeting. If this approach was to be adopted, it would be desirable for the referral sources to be wide to ensure that a broad range of interests and perspectives could influence selection. Those who might be appropriate referral sources for restorative programmes include the following:

    - · Individual victims and offenders (self referrals);
    - · The police and other enforcement agencies;
    - · Police and crown prosecutors;
    - · Victims' agencies;
    - · Defence counsel;
    - · Probation officers;
    - · Judges.

- An alternative view is that meetings could be initiated by the programme co-ordinator once guilt is established by admission or trial, while "A judge should have the power to order a community group conference in any other, appropriate, case". "...The role of the co-ordinator, who sets up the [community group conference] will be pivotal" in assessing whether a conference would be a pointless exercise, whether the cost of a conference is justified and deciding who should attend the community group conference (New Zealand Law Society, 1994: 3).