SCHOOL OF INDUSTRIAL AND SYSTEMS ENGINEERING
Prepared under grant number 76 NI-99-0045 from the National Institute of Law Enforcement and Criminal Justice, Law Enforcement Assistance Administration, U. S. Department of Justice. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the U. S. Department of Justice.

July 27, 1976

INTERVENTIONS PAPERS

PHASE I EVALUATION OF INTENSIVE SPECIAL PROBATION PROJECTS

for

U. S. Department of Justice

Law Enforcement Assistance Administration

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<table>
<thead>
<tr>
<th>Project Name</th>
<th>Location</th>
<th>Dates Visited</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Anne Arundel County Impact Probation</td>
<td>Anne Arundel County, Maryland</td>
<td>6/7/76</td>
</tr>
<tr>
<td>2. Georgia Citizens Action Program for Corrections</td>
<td>Atlanta, Georgia</td>
<td>4/28/76; 4/29/76</td>
</tr>
<tr>
<td>3. High Impact Intensive Supervision, Narcotics Unit</td>
<td>Baltimore, Maryland</td>
<td>5/10/76; 5/11/76</td>
</tr>
<tr>
<td>4. Intensive Differentiated Supervision of Impact Parolees and Probationers</td>
<td>Baltimore, Maryland</td>
<td>6/8/76</td>
</tr>
<tr>
<td>5. Model Probation/C.A.S.E.</td>
<td>Brockton, Massachusetts</td>
<td>5/12/76</td>
</tr>
<tr>
<td>6. Model Adult Probation</td>
<td>Cambridge, Massachusetts</td>
<td>5/10/76</td>
</tr>
<tr>
<td>7. Volunteers in Probation: One-to-One Adult Program</td>
<td>Columbus, Ohio</td>
<td>5/19/76</td>
</tr>
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<td>8. Intensive Supervision Program</td>
<td>Denver, Colorado</td>
<td>5/24/76; 5/25/76</td>
</tr>
<tr>
<td>9. Comprehensive Community Corrections Program</td>
<td>Des Moines, Iowa</td>
<td>6/9/76; 6/10/76</td>
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<td>10. Volunteers in Probation</td>
<td>Evansville, Indiana</td>
<td>6/7/76; 6/8/76</td>
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<td>11. Mutual Objectives Program</td>
<td>Lansing, Michigan</td>
<td>5/12/76; 5/13/76</td>
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<tr>
<td>12. Volunteer Probation Counselor Program</td>
<td>Lincoln, Nebraska</td>
<td>Site visit not made, but literature review performed.</td>
</tr>
<tr>
<td>13. Harlem Probation Project</td>
<td>New York City, New York</td>
<td>6/14/76; 6/15/76</td>
</tr>
<tr>
<td>14. Office of Court Alternatives--Misdemeanant Probation</td>
<td>Orlando, Florida</td>
<td>4/26/76; 4/27/76</td>
</tr>
<tr>
<td>15. Intensive Services Unit</td>
<td>Philadelphia, Pennsylvania</td>
<td>6/16/76; 6/17/76</td>
</tr>
<tr>
<td>Project Name</td>
<td>Location</td>
<td>Date Visited</td>
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<tr>
<td>16. Intensive Supervision Services</td>
<td>St. Louis, Missouri</td>
<td>5/26/76; 5/27/76</td>
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<tr>
<td>17. Adult Community Services, Burglary Offender Project</td>
<td>Salem, Oregon</td>
<td>5/10/76</td>
</tr>
<tr>
<td>18. Differential Diagnosis and Treatment Program</td>
<td>San Jose, California</td>
<td>5/12/76; 5/13/76</td>
</tr>
<tr>
<td>19. Adult Probation Aides</td>
<td>Tucson, Arizona</td>
<td>6/15/76</td>
</tr>
<tr>
<td>20. Special Services for Mentally Deficient Offenders</td>
<td>Tucson, Arizona</td>
<td>6/14/76</td>
</tr>
<tr>
<td>21. Ohio Governor's Region 10 Probation Rehabilitation Activities</td>
<td>Wooster, Ohio</td>
<td>5/17/76; 5/18/76</td>
</tr>
</tbody>
</table>
Site Visit Report

Prepared by

Ronald L. Rardin

1.0 Project Description

1.1 Project Title: Anne Arundel County Impact Probation

1.2 Project Location: Anne Arundel County, Maryland (Baltimore suburban parts)

1.3 Project Purpose:

General: Reduce recidivism of breaking and entering offenders in Anne Arundel County through a program of intensive supervision of such offenders.

Subsidary Goals:
1. To demonstrate the effectiveness of a coordinated program by all elements of the criminal justice system in reducing the incidence of a particular crime.
2. To provide more intensive supervision of clients, including more frequent pre-sentence investigations.

1.4 Project Funding:

- August 1, 1974 through September 30, 1975: $40,477
- October 1, 1975 through September 30, 1976: $56,427
- Total: $96,904

1.5 Project Duration:

Began operations October, 1974.
Funded through September, 1976, and anticipate seeking funding for an additional year.

2.0 Project History

The Anne Arundel probation project is part of a coordinated attack on breaking and entering offenses organized under Baltimore's High Crime Impact program. The complete project includes a special police unit and increased capability in the prosecutor's office. The probation unit is housed within Maryland's Division of Parole and Probation. The unit provides intensive probation supervision to breaking and entering offenders who are sentenced to probation. The present staff includes two probation officers, one secretary, and two fractional-time supervisors.

3.0 Visit Summary

1. Meeting with Mr. Steve Glusing and Mr. Jim Hedrick (Division Grant Administrators) and Mr. Robert L. Dudley and Mr. William C. Staley (Project Supervisors) to obtain an overview of the project, and to discuss project goals and objectives.
some other means. Unfortunately, it does not appear feasible to implement such a procedure without unacceptable burdens on clients.

6. More Intensive Contact Between Clients and Agents. Through a reduction in caseload and improved assessment of client needs, it is assumed that a more intensive contact will develop between the probation officer and his client. The project presently measures contact only in terms of a simple classification of contacts and narrative summaries of contacts in case books. An ideal measure would record both the quantity and the quality of contact between agent and client on a quantitative basis. A satisfactory substitute would be a well-validated classification of contacts by agents, which reflected not only the circumstances but the intensity of the contact.

7. Increased Client Sense of Agent Caring. One anticipated consequence of a more intensive relationship between client and agent is an increased sense that the agent cares about the success or failure of his clients. No measures of client attitudes are presently performed by the project. An ideal measure would objectively assess client feelings, but it is probably only practical to implement an instrument by which clients self-report their attitudes.

8. Increased Referrals to Community Agencies. One assumed effect of the more intensive supervision of clients at block 6 is an increase in agent referrals of clients to community service programs. The project presently tabulates the number of such referrals. It would appear feasible and satisfactory to augment counts of referrals with information about the outcome of the referral.

9. Increased Client Success in Community Programs. The combined effects of an increase in referrals to community service agencies at block 8 and the increased appropriateness of referrals resulting from the knowledge at block 5 are assumed to lead to increased client success in community programs. Client success in such programs is presently measured only in narrative comments in field books, partially based on limited information supplied by the service agencies. A complete measure would reflect clients' attendance, enthusiasm and achievement in the programs. Limitations on confidentiality probably make it feasible only to obtain regular attendance reports and summary evaluation of performance at the completion of the program.

10. Increase Employment Assistance. Another assumed consequence of more intensive supervision is increased assistance for clients in finding employment. Measurement of such assistance is as discussed at block 8.

11. Increased Client Employment Success. The increased officer knowledge and assistance of blocks 5 and 10 are assumed to combine with success in job-related
community programs at block 9 to produce increases in client employment. Employment is presently recorded only in narrative comments in case books. An ideal measure would reflect degree of employment, earnings, job satisfaction, and job stability. All these measures except satisfaction could be feasibly collected by regularly obtaining pay stubs.

12. Increased Client Personal Expectations. The aggregate effect of increased employment, increased success in community programs, and an increased sense of agent's concern for the client are presumed to produce an increase in a client's personal expectations. A temporary improvement in life style encourages expectations of a permanent involvement. Client attitudes are presently measured only through narrative comments in agents' case books. An ideal measure would objectively assess a client's sense of being in control of his future life.

It should be practical to devise a valid instrument by which probation officers can subjectively evaluate a client's tendency to be future-oriented.

13. Decreased Recidivism. One consequence of increased client self-expectations and a corresponding sense of having a stake in the future is assumed to be a decrease in criminal activity. This would in turn be reflected in a decrease in recidivism, especially of breaking and entering offenses. Recidivism is presently measured as the number of clients rearrested while under supervision divided by the number of active clients. An ideal measure would include an indication of the seriousness of subsequent offenses and would follow clients for a period after release from probation.

It is reasonable to expect that such an ideal measure could be implemented.

14. Institute Cooperative Programs with Other Criminal Justice Agencies. The third impact of additional criminal justice funds is the institution of joint criminal justice programs reaching across several agencies and concentrating on particular crimes.

15. Increased Officer Knowledge of Violations. One anticipated side effect of the more intensive supervision at block 6 is an increase in probation officer knowledge of violations. This knowledge is further increased by the cooperation which a joint program engenders among criminal justice agencies. The project does not now seek to document such an increase in officer knowledge of violations. An ideal measure would distinguish violations due to increased knowledge from other violations. An adequate substitute is the recording of changes in the time of detection of technical violations of probation.

16. Earlier Violation of Problem Clients. Increased knowledge of violations at block 15 is assumed to produce earlier violation and incarceration of problem clients. The project does not formally measure such an effect. However, it would be feasible and adequate to record the number of reported violations resulting in incarceration of clients.
17. Increased Public Safety. The combined effect of decreased recidivism at block 13 and earlier violation of problem clients is an increase in public safety. Public safety is measured by the incidence of crime and public perceptions of crime. The project presently records only the incidence of reported crime. Such a measure is probably adequate if periodically controlled for unreported crime and differences between true crime threat and public perceptions.
Exhibit
Intervention Process Flow Diagram

1. Increase Funds
2. Increase Agent Staff
3. Increase Use of Pre-Sentence Investigations
4. Provide Psychological Evaluations on Intake
5. Improved Officer Knowledge of Client's Needs
6. More Intensive Contact Between Clients and Agents
7. Increased Officer Knowledge of Violations
8. Increased Referrals to Community Agencies
9. Increased Client Success in Community Programs
10. Increased Employment Assistance
11. Increased Client Employment Success
12. Increased Client Personal Expectation
13. Decreased Recidivism (Particularly Breaking and Entering)
14. Institute Cooperative Program with Other Criminal Justice Agencies
15. Increased Public Safety
16. Earlier Violation of Problem Client
17. Increased Client Sense of Agent Caring

Increased Client Employment Assistance
1.0 Project Description

1.1 Project Title: Georgia Citizens Action Program for Corrections

1.2 Project Location: Headquartered in Atlanta, Georgia
Community offices in each of 42 judicial
circuits of the State

1.3 Project Purpose:
General: Provide intensive supervision to marginal risk offenders.
Principal Goal: Reduce the prison population by diverting offenders
who are of marginal risk.
Supporting Goals:
1. Determine the feasibility of maintaining small caseloads for
marginal risk offenders.
2. Use citizen volunteers effectively.
3. Increase quality of investigative work for the court.
4. Decrease revocation rate.
5. Decrease recidivism rate.

1.4 Project Expenditures:

<table>
<thead>
<tr>
<th>Period</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>July 1, 1974 - June 30, 1975</td>
<td>$277,168</td>
</tr>
<tr>
<td>July 1, 1975 - March 31, 1976</td>
<td>262,889</td>
</tr>
<tr>
<td>April 1, 1976 - June 30, 1976</td>
<td>82,534 (est.)</td>
</tr>
<tr>
<td>Total</td>
<td>$622,591</td>
</tr>
</tbody>
</table>

1.5 Project Duration:

Beginning Date - July 1, 1974
Ending Date - June 30, 1976

2.0 Project History: The project consists of 8 program areas, one of which
is intensive supervision. The two year discretionary grant commenced
July 1, 1974 with the first intensive supervisor being hired in mid-
August. The first client was seen shortly thereafter, also in the
month of August. The full operating staff complement consists of 48
intensive supervisors and 12 typists. A revision in the administrative
structure of the parent organization, the Department of Corrections and
Offender Rehabilitation, resulted in smoothing the implementation and
operation of the project.

3.0 Visit Summary:

1. Meeting with Bill Read, Grant Monitor, to discuss background, goals,
   objectives, clients, and funds.
2. Meeting with Dr. Dick Longfellow, Deputy Commissioner of Community Based Services, to discuss goals, objectives, and activities.

3. Meeting with Joel Mayo and Martha Butler, Intensive Supervisors (Probation Officers), to discuss goals, objectives, and data collection.

4. Meeting with Gerald Flowers, Research Associate (Evaluator), to discuss goals, objectives, data collection, data analysis, and evaluation.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit 1.)

4.2 Overview of Activities and Assumed Sequence of Causation:
There are essentially three pathways through the block diagram. The citizen volunteers work with probationers in an attempt to increase their socialization. This will, hopefully, change the probationer's value system so that a decrease in recidivism will occur.
Adding probation officers provides intensive supervisors who can provide personal counseling, provide employment assistance, and increase surveillance. Each of these helps to reduce recidivism, which reduces the prison population. However, the increase in surveillance also increases incarceration and recidivism.
The third pathway through the system provides for more and better pre-sentence investigations. This improves sentencing practices and referrals which ultimately decreases the prison population.

4.2.2 Block Details: (See Exhibit 2.)
<table>
<thead>
<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Increase Funds</td>
<td>Funds were provided by LEAA with a 10% State match to provide for the operation of an intensive special probation project.</td>
<td>Dollars to be expended for personal services, supplies, equipment, and travel.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>2</td>
<td>Add Citizen Volunteers</td>
<td>The funding required that citizen volunteers be recruited and trained.</td>
<td>Volunteer assigned to probationer. If not, why not. Service provided by volunteer. Effectiveness of the volunteer assigned. Initiator of contacts between client and volunteer. Medium through which contacts were made between probationer and volunteer. Number of contacts per unit of time. Average length of contacts. Relationship between probation officer and volunteer. Joint conference held between volunteer, probation officer, and offender. Contacts between</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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</tr>
<tr>
<td>2</td>
<td>Add Probation Officers to handle special caseloads were added.</td>
<td>Number of probation officers. Education. Experience.</td>
<td>None</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>4</td>
<td>Initially, probation officers were hired to deal with high risk offenders. This criterion was later modified to marginal risk offenders. The determination of marginal risk is left to the presiding judge.</td>
<td>None</td>
<td>Amount of special training. Results of special training.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>By adding probation officers, more referrals to community resources should take place.</td>
<td>Local community resource which provided service to offender. Adequacy of</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td></td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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</tr>
<tr>
<td>5</td>
<td>Block Description</td>
<td>services rendered. If not, why not. Follow-up on quality of service rendered.</td>
<td></td>
<td></td>
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<td></td>
<td>(cont)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Impact Socialization</td>
<td>Volunteers, as integrated members of society should have a socializing effect on probationers.</td>
<td>None</td>
<td>Administer Social Adjustment schedule at two or more points in time.</td>
<td>Same as Suggested</td>
<td>Gaps are not stated</td>
</tr>
<tr>
<td></td>
<td>Effect on Clients</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
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<td></td>
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<tr>
<td>7</td>
<td>Provide Intensive Supervision for Special Caseload</td>
<td>The maximum caseload was established at 25. This was to be accomplished by accepting all referred cases until the caseload was 22 for a probation officer. At this point, randomization was to be used to add or not add a new client. The judge had the perogative to override the randomization in any instance. When a caseload of 25 was reached, a new probation officer was to be added.</td>
<td>Probationers at end of previous month. Number revoked. Number discharged. Number transferred out. Newly assigned. Transferred in.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
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<td>Gaps</td>
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<tr>
<td>7</td>
<td>(cont)</td>
<td></td>
<td>Number of in-depth interviews conducted at home. Number of visits with family. Field contacts with employees, referral agencies, and other community resources. Telephone contacts made. Most frequent location of personal interaction with client.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Decrease Incarcerations</td>
<td>Special probation officers will be able to handle marginal risk offenders who would normally be imprisoned.</td>
<td>Number who would be imprisoned if the program did not exist.</td>
<td>Number still incarcerated.</td>
<td>Develop a scoring system which assigns points to offenders. All with x points would be imprisoned (if not for the program). Not to P% of those with y points would be imprisoned, etc. Use this to determine number that would have been incarcerated.</td>
<td>Same as Ideal.</td>
</tr>
<tr>
<td>9</td>
<td>Increase PSI's</td>
<td>The probation officers perform pre-sentence investigations plus deter-</td>
<td>Pre-sentence investigation</td>
<td>Same as Actual</td>
<td>Same as Suggested</td>
<td>Determination of</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
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<tr>
<td>9 (cont)</td>
<td>pre-sentence investigations at the request of the court.</td>
<td>mine quality.</td>
<td></td>
<td></td>
<td>quality of PSI's has not been observed at any site.</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Reduce Alienation</td>
<td>Socialization is intended to reduce alienation.</td>
<td>Field report contains measures which proxy for alienation. These include the following: Optimism of client. Stability, predictability, organization of client's lifestyle. Attitude. Personal characteristics, pleasantness, warmth, friendliness, calmness, serenity, alertness, awareness, of client.</td>
<td>Alienation from expressive relations as found in Measurements of Occupational Attitudes and Occupational Characteristics by John P. Robinson, et al. Also, see Dean's Alienation Scale found in Handbook of Research Design and Social Measurement by Delbert C. Miller.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>11</td>
<td>Provide Personal Counseling</td>
<td>As a result of providing intensive supervision, more personal counseling is supposed to result.</td>
<td>None</td>
<td>Field books contain record of interaction with client. Review field books and score each interview on the basis of the interactions which take place. Caution, different standards and procedures exist between</td>
<td>Unknown. Unknown</td>
<td></td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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<tr>
<td>11</td>
<td>individual probation officers on what they enter in the Field book. One probation officer may enter 2 lines for an interview which may contain 10 lines of another probation officer's field book.</td>
<td>Count entries in field data book.</td>
<td>Conduct a several week work sample of activities to determine how probation officers spend their time.</td>
<td>Same as Ideal.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>The counselors should have increased time available to provide employment assistance.</td>
<td>Count entries in field data book.</td>
<td>Conduct a several week work sample of activities to determine how probation officers spend their time.</td>
<td>Same as Ideal.</td>
<td></td>
<td>The measure appearing under Suggested is well known and could be accomplished without great difficulty. (It may have already been done in the Project).</td>
</tr>
<tr>
<td>13</td>
<td>A result of intensive supervision is more observation of clients.</td>
<td>Same as Block 7.</td>
<td>Same as Block 7.</td>
<td>Same as Block 7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>As a result of personal counseling, clients will supposedly set more realistic goals. Instead of driving a new flashy car, they may change to a goal of driving a small used car.</td>
<td>None</td>
<td>Clients could list their personal goals before and after counseling so that a comparison of the reality of the two could be made.</td>
<td>Same as Suggested</td>
<td></td>
<td></td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>No.</th>
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<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>15</td>
<td>More Job Opportunities are Found</td>
<td>With increased attempts at developing and obtaining jobs, more job opportunities should be found.</td>
<td>None</td>
<td>Record the number of jobs developed, the number of offers made, and the number of jobs accepted.</td>
<td>Same as Suggested performance. I would not a difficult matter to implement the Suggested measure.</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>Increase Intervention in Client Behavior</td>
<td>As surveillance is increased, the probation officers have a greater opportunity to intervene in a client's behavior.</td>
<td>Probably could be derived from the field book.</td>
<td>Record the number of interventions which occur. Must define and classify interventions and results of same.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>17</td>
<td>Increase in Revocations</td>
<td>A by-product of increased surveillance is increased revocations. As observation increases, more opportunities to fine violations exist.</td>
<td>Number revoked per month.</td>
<td>Number revoked per month for various reasons such as technical violations, criminal violations, civil violations, misdeemeanors.</td>
<td>Same as Suggested plus form a comparison group to determine the effect of intensive special supervision.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>18</td>
<td>Provide the Court with Better Information.</td>
<td>One purpose of performing PSI's is to provide better information to the court. With better information the judges can improve the quality of their decision making.</td>
<td>None</td>
<td>Develop an evaluation, which has judges as respondents. This could be an after only design which compares those who had PSI's under the project versus those who had PSI's developed by regular probation officers.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
<tr>
<td>-----</td>
<td>----------------------------</td>
<td>------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>--------------------------------------------------------</td>
<td>---------------</td>
<td>------</td>
</tr>
<tr>
<td>19</td>
<td>Create Income Stability for Clients</td>
<td>If jobs are found for clients, their incomes will be stabilized. For property offenders, there may be an abrupt change in their way of life.</td>
<td>Employment status. Socio-economic status at termination of probation. Public assistance received. Length of unemployment. Length of employment. Number of jobs held.</td>
<td>Actual plus those shown below. Annual income versus needs. Number of months employment of total months available for employment.</td>
<td>Same as</td>
<td>Same as Ideal.</td>
</tr>
<tr>
<td>20</td>
<td>Increase in Incarceration</td>
<td>As revocations increase, incarcerations will increase. Some of those revoked will be incarcerated.</td>
<td>Number revoked and incarcerated for disciplinary cause(s). Number revoked and incarcerated for new crime conviction. Number currently incarcerated.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>21</td>
<td>Improve Sentencing Practices</td>
<td>If better information is available to the court, the judges can improve their sentencing practices. Having better information enables the judges to better decide what should be done with an offender.</td>
<td>Unknown</td>
<td>Improvements may be difficult to measure, but changes in the sentencing process would be readily detectable. Thus, proportion probated, proportion in community-based program, proportion incarcerated, etc. can be examined as a time series.</td>
<td>Same as Suggested</td>
<td>Suggested</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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</tr>
<tr>
<td>22</td>
<td>Improve Referrals</td>
<td>Since the PSI includes an assessment of needs, improved referrals can result.</td>
<td>Adequacy of services rendered (yes, no, N/A, not reported, as replies).</td>
<td>Ask clients about the quality of referrals received. Clients will also be asked about the appropriateness of referrals, whether the service provided was needed, whether they met the eligibility criteria.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>23</td>
<td>Client Changes Value System</td>
<td>As alienation is reduced and more appropriate goals are set, clients will hopefully change their value system.</td>
<td>At various points in time: job skill—client’s strength and weaknesses. Education—client’s strength and weakness. Family situation—client’s strength and weakness. Acceptance of authority—client’s strength and weakness. Drug and alcohol use—client’s strength and weakness.</td>
<td>Perhaps a standardized test exists to measure value system. If so, client’s would be tested at various points in time.</td>
<td>If the standardized test exists as Suggested, it could be given to both treatment and comparison clients in a time series design.</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>24</td>
<td>Reduce Client Misbehavior</td>
<td>The objective of intervening in client misbehavior is to correct that misbehavior at once so that future misbehavior is reduced.</td>
<td>Field notes may contain references to misbehavior. Misbehavior could consist of revocations for various</td>
<td>Classify misbehavior types then enter occurrences in record provided. Determine rate of misbehavior</td>
<td>Same as Suggested plus form a comparison group to determine the effect of the Project.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
<tr>
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</tr>
<tr>
<td>25</td>
<td>Improve Services</td>
<td>If appropriate referrals are made      clients will be better served.</td>
<td>Adequacy of service rendered by agencies. Reason for inadequacy of service. Follow-up on inadequate service.</td>
<td>Same as Actual plus ask clients about quality of the service received.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>26</td>
<td>Obtain More Appropriate Placements</td>
<td>Clients should be placed more appropriately in either a community setting or in a prison setting as a result of better information developed during the PSI.</td>
<td>Unknown</td>
<td>Use a scale which assigns risk points to clients. Clients who meet a certain risk level should be incarcerated, those who have less points should be in a community setting. This could provide a check on accuracy.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>27</td>
<td>Client Implements New Life Style</td>
<td>The new life style is one which does not include a criminal pattern.</td>
<td>None or Unknown</td>
<td>Associations. Occupation. Participation in Community Affairs. Alcohol and Drug Use.</td>
<td>Use the same measures in Ideal Suggested at several time periods. Compare program clients to non-program client.</td>
<td></td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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<tr>
<td>28</td>
<td>Create Better Orientation to CJS</td>
<td>The clients should change their attitude about the criminal justice system. They would accept the system and agree to work within it rather than reject the system.</td>
<td>None or Unknown</td>
<td>Standardized test applied before and after.</td>
<td>Same as Suggested but also apply test to a comparison group at two points in time.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>29</td>
<td>Decrease in Revocation and Recidivism</td>
<td>As clients implement a new lifestyle and reduce their misbehavior, revocation and later recidivism will be decreased.</td>
<td>Uncertainty in response from project staff.</td>
<td>Compute revocation rate for various outcome conditions such as violation of conditions, commission of another offense. Use time since placed on probation to compute rate. Similarly, for recidivism measure time at risk, count those who are arrested for another offense. Compute recidivism as a rate.</td>
<td>Same as Suggested but use a comparison group to determine whether project was successful.</td>
<td>Gaps exist only in the failure to apply Ideal measures. Realistic difficulties include small control or comparison group being generated.</td>
</tr>
<tr>
<td>30</td>
<td>Decrease in Prison Population</td>
<td>As revocations and recidivism decrease, the prison population should decrease.</td>
<td>Number incarcerated. Number remaining in prison.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
</tbody>
</table>
1.0 Project Description

1.1 Project Title: High Impact Intensive Supervision, Narcotics Unit

1.2 Project Location: Baltimore, Maryland

1.3 Project Purpose:

General: To reduce high impact crimes in the City of Baltimore through intensive probation of drug offenders.

Specific Goals:
1. To reduce client use of illegal drugs
2. To reduce impact and non-impact crimes committed by drug offenders.
3. To stabilize the lives of drug offenders released on probation.

1.4 Project Funding:

October 1973 - September 1974 approximately $225,000
October 1974 - September 1975 approximately $210,000
October 1975 - September 1976 approximately $200,000

1.5 Project Duration:

Began operations - July 1973
Funded through September 1976
and expect State of Maryland to assume cost at that time

2.0 Project History

The Narcotics Unit is a part of Baltimore's High Crime Impact program. It provides intensive probation services to a client group who have a history of both impact crimes and drug use, and who are convicted before the Supreme Bench of Baltimore city. The Unit is located within the Maryland Division of Parole and Probation. Since beginning operations in 1973, the unit has operated in essentially the same manner--frequent contact between probation agents and probationers and heavy use of urinalyses and community drug programs to regulate drug use in probationers. The present staff includes 2 supervisors, 6 probation agents carrying caseloads, 1 office clerk and 2 clerk-typists.

3.0 Visit Summary

1. Meeting with Dick Sentz (Supervisor), Jim Hedrick, and Steve Glusing (Grants Administrators for the Division of Parole and Probation), and Charles Rehn (Senior Probation Agent) to obtain
background on the project and to define project goals and costs.
2. Meeting with Dick Sentz, Jim Hedrick and Steve Glusing to discuss
data collected by the project and the evaluation methods employed.
3. Meeting with William C. Wroe (Area Supervisor for Special Programs
of the Division of Parole and Probation) to obtain background on
the project's purpose.
4. Meeting with Charles Rehm, Alan Feikin (Project Probation Agents),
and Jim Hedrick to discuss project goals and objectives, and project
data collection.
5. Meeting with Walt Fleischer (Control Group Probation Agent) to compare
data collection in the control group.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit).

4.2 Intervention Diagram Narrative:

4.2.1 Overview of Activities and Assumed Sequence of Causation:
The intervention diagram for the Narcotics Unit strongly
reflects the specialization of the unit's activities to drug
offenders. Provision of funds for frequent urinalyses,
probation agents' specialization in drug offenders' counsel-
ing, and reduced caseloads are assumed to combine in produc-
ing a unique treatment relationship between the probation
agent and the probationer. This relationship is characterized
by increased ability of the agent to confront the client with
his problems. The principal use of this relationship early
in probation is to stabilize the client's drug problem (if
he has one). However, the relationship also permits increased
stabilization in a number of other areas of the client's life,
including employment and family problems. This stabilization
of the client's life style in turn is presumed to result in
decreased criminal activity.

4.2.2 Block Details
1. Increased Funds. Through September, 1976 approximately
$635,000 will have been budgeted for project operations,
including LEAA funds, state funds, and state matching
personnel.
2. Reduced Caseloads. Most of the project funds are used
to provide additional probation agents with caseloads
not exceeding 50. Caseload is measured as the number
of active probationers divided by the number of agents
with caseloads. This measurement appears completely satis-
factory since agents are not involved in pre-
sentence investigations or other non-supervision
activities.
3. Reduced Case Paperwork. One presumed consequence of
reduced caseloads is a reduction in the paperwork
required as part of the probation supervision process.
No measures of paperwork load are maintained by the
project. Ideally the amount of agent time consumed
in paperwork activities would be recorded, but caseload
size provides an adequate indirect measure.
4. Increased Agent Contact with Cases. Reductions in case-loads and paperwork are assumed to lead to increased agent contact with his cases, i.e., increased supervision. Contacts are presently measured by counting and classifying according to who was contacted. Ideally the measure would encompass the entire scope of quantity of contact, including number of contacts, time of contact and intensity of contact. A more thorough classification of numbers of contacts would appear satisfactory and practical.

5. Use of Regular Urinalyses. A second significant use of project funds is to carry on regular urinalyses on clients suspected of using illegal drugs. The number of urinalyses is regularly tabulated by the project, and that record appears to be a satisfactory measurement.

6. Use of Specialized Narcotics Agents. A third consequence of the availability of additional funds is the ability to collect and train specialized narcotics probation agents. Whether agents are in fact specialized is measured by the fraction of their clients with drug problems. The project currently requires a history of drug problems for admission, but an ideal measure would identify whether a drug problem exists at the time of assignment to supervision. Urinalyses provide an adequate measure of the presence or absence of a drug problem.

7. Improved Agent Familiarity with Client's Life and Personality. Through his increased contact with his cases, his specialized knowledge of drug offenders, and the results of regular urinalyses, the probation agent is assumed to develop a much more thorough knowledge of the client's life and personality. This knowledge is presently measured directly only through management supervision. Ideally the full scope of an agent's understanding of a client would be measured, but it is probably only feasible to test agents of factual information about clients, e.g., which clients are employed?

8. Increased Ability to Confront and Counsel Clients on Their Problems. The increased knowledge of client's cases at block 7 and the factual standard of urinalyses are assumed to provide probation agents with an increased capability to confront clients with their problems. Measurement is the same as block 7.

9. Increased Client Hostility. Agents believe their increased contact and knowledge of clients tends to generate client hostility because client life styles are seriously impacted by probation supervision. However, no measurement of hostility is presently performed. It would seem possible to develop an attitude questionnaire which satisfactorily measured client hostility.

10. Improved Agent Assistance in Client's Crises. The combination of the increased agent time available for contact with cases and agents' improved familiarity with cases is presumed to lead to improved capability for agents to deal with client's crises. Thus, client's difficulties are dealt with before they lead to recidivism or other major problems. This improved crisis assistance is not now documented except in
narrative case books, A complete measure of such improvement would document both the degree to which agents become involved in client crises and the value of the assistance they provide. It is probably only practical to record the degree of agent involvement by determining the proportion of contacts that deal with client crises.

11. **Increased Client Participation in Drug Programs.** A major focus of project activity is to enroll clients with drug problems in appropriate drug treatment programs. The increased ability of agents to confront clients with their drug problems at block 8 is assumed to lead to more extensive enrollment in such programs. The project currently records the programs in which clients are enrolled and any reports on participation which are supplied by the drug program. Ideally, a much fuller indication of the degree of client participation in the program would be provided. However, confidentiality limitations make the present measures the only practical ones.

12. **Improved Agent Knowledge of Drug Programs.** There are over twenty drug treatment programs operating in Baltimore. The project assumes that the use of probation agents specialized in narcotics treatment will result in improved agent familiarity with these programs. Such familiarity is not presently measured by the project. A complete measure would reflect agents' knowledge of both the names, locations, treatment approaches, etc. of the programs and the efficacy of the programs for different types of clients. However, efficacy is largely a subjective attribute. Thus, it is probably only practical to test agents on objective facts about the drug treatment programs in order to measure their improved knowledge.

13. **Increased Client Success in Drug Programs.** Improved agent knowledge of drug programs presumably results in improved selection of programs for clients. In combination with the increased participation at block 11, such improved selection is assumed to lead to improved client success in drug programs. Success in drug programs is presently measured only by participation (see block 11). A complete measure would record the client's gain from the program as well as his degree of participation. A recommended substitute would include more complete reports from drug programs (at client termination) and a survey of client opinions and attitudes about the programs.

14. **Increased Client Stabilization of Drug Problems.** An important first objective in treatment of clients with a drug problem is stabilization of the effect of that problem on the client's life—either through a methadone maintenance program or through abstinence. The increased agent capabilities of blocks 8 and 10, and the increased gain from drug treatment programs at block 13 are assumed to produce this stabilization. The project measures drug stabilization through urinalyses administered on a regular basis. This measure is satisfactory.

15. **Increased Client Seeking of Employment.** Second only to stabilization of any drug problem is an agent's interest
in obtaining employment for the client. Thus, the increased agent capabilities at block 8 are assumed to lead to increased client job seeking activity. Such activity is presently recorded in the form of number of employment referrals. A complete measure would record number of applications submitted by the client.

16. **Increased Client Employment Success.** Increased client activity in seeking employment is assumed to lead to increased success in employment. The project presently measures employment success by careful records on each change in employment status of a client, including earnings, job attendance, reason for changing jobs, etc. These measures appear adequate.

17. **Increased Stabilization in Clients' Lives.** The effects of increased employment success, stabilization of drug problems, and increased assistance from probation agents are assumed to combine in producing increased stabilization in the client's life. Family problems are resolved and the general volatility of the client's life style is controlled. The project presently only measures such stabilization through narrative summaries in case books. An ideal measure of stabilization would thoroughly assess progress in many dimensions of a client's personal life. It would appear practical to devise a series of personality and attitude tests which could be administered to clients to obtain some information about stabilization.

18. **Increased Client Personal Responsibility.** The project assumes that one consequence of increased stabilization in the client's life will be increased personal responsibility. Measurement of such increased responsibility is as discussed at block 17.

19. **Decreased Need for Illicit Money.** If a client achieves some success in obtaining employment his need for illicit money is decreased. Similarly, if any drug problem he may have is stabilized, his need for funds to purchase illegal drugs is decreased. Such decreased need is not presently measured by the project. Ideally, the entire financial status of the client would be documented to evaluate changes in need for illegal funds. However, adequate measurement at blocks 14 and 16 should provide an acceptable substitute.

20. **Decreased Recidivism.** The combination of decreased need for illegal funds and increased personal responsibility on the part of the client are assumed to lead to decreased criminal activity and thus decreased recidivism. Recidivism is presently measured by periodic checks for records of new arrests of clients. A rate is determined by dividing the number of clients rearrested by the total number of active clients. Ideally, clients would be followed after release from supervision, reconvictions would be evaluated in addition to rearrests, and the seriousness of subsequent offenses would be recorded. A satisfactory offender information system would make all these measures practical.

21. **Earlier Revocation of Problem Clients.** One side effect of the increased agent familiarity with cases, which is represented at block 7, is earlier revocation of clients.
who are probation violators. The project is currently capable of measuring such early revocation by comparison to a randomly selected control group. Such measurement appears very satisfactory.

22. **Increased Public Safety.** Both the decreased criminal activity of block 20 and the earlier revocation of block 21 are assumed to lead to increased public safety and decreased crime. Public safety is measured by overall crime rates and by surveys of perceived safety. Ideally, such information would comprehensively report all crime in the jurisdiction; but it is probably only practical to use data on reported crime, correcting for non-reporting and incorrect public perceptions, periodically, through appropriate surveys.
1.0 Project Description

1.1 Project Title: Intensive Differentiated Supervision of Impact Parolees and Probationers

1.2 Project Location: Baltimore, Maryland

1.3 Project Purpose:

General: Provide intensive supervision for impact parolees and probationers.

Principal Goal: Reduce the rate of recidivism by 5%

Supporting Goals:
1. Reduce rearrests by 5%.
2. Reduce recommitments by 5%.
3. Maintain an 80% employment rate.
4. Identify drug and alcohol cases and maintain 40% drug and alcohol free.

1.4 Project Expenditures:

<table>
<thead>
<tr>
<th>Date Range</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/20/72 - 9/30/74</td>
<td>$471,420</td>
</tr>
<tr>
<td>10/1/74 - 9/30/75</td>
<td>552,626</td>
</tr>
<tr>
<td>10/1/75 - 9/30/76</td>
<td>501,148</td>
</tr>
</tbody>
</table>

1.5 Project Duration:

<table>
<thead>
<tr>
<th>Data Type</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Data</td>
<td>12/20/74</td>
</tr>
<tr>
<td>Ending Date</td>
<td>9/30/76</td>
</tr>
</tbody>
</table>

2.0 Project History: The project was initiated under the Baltimore Impact Program. The project employs a team approach to supervision. Each team consists of a supervisor and 5 agents. Each agent has primary responsibility for 20 cases, secondary for another 20, and tertiary for the remaining 60 that the team is supervising. During the first year primary emphasis was on the time of contact with the client. This was modified after the first year to stress number of contacts as required by state probation and parole standards. It was initially planned to work only with new probation or parole clients. This was changed to allow those that had been on regular probation or parole programs for less than 6 months to be included in the project. This change was necessary to obtain a sufficient number of clients. The project deals with male youths, aged 18-26, with a conviction for an impact crime. A control group was established as part of the evaluation design. To achieve adequate project clients no additions were made to the control group beyond 1/75.
3.0 Visit Summary:

1) Meeting with Basil Day, Project Director, Fred Geldhart, Assistant Project Director and Joe Coons of Maryland Department of Probation and Parole to discuss all aspects of project.

2) Meeting with Nicholas Forte, Agent, to discuss project goals, objectives, and data reliability.

3) Meeting with John Scheiring, Supervisor, and Tim McCarthy, Agent, to discuss goals, objectives, and data reliability.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit 1).

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation:
The basic purpose of the project is to provide intensive supervision of youthful impact offenders. A team approach to intensive supervision is used. This approach assures that the client will always be able to contact some agent familiar with his case and provides for cross pollinization of ideas as well as specialization on the part of individual agents. That is, each team may contain one agent specializing in drug rehabilitation, another in job training, etc. The reduced caseloads (approximately 20 per agent) permit increased community contacts and more time to be spent with the client learning his needs. This in turn makes it possible to provide the client with suitable employment opportunities and other referral services and through employment the client will build his self image and esteem, and change his expectations, all of which are expected to yield a reduction in the client's criminal activity.

4.2.2 Block Details: (See Exhibit 2).
Exhibit 1

Intervention Block Flow Diagram

1. Increased Funds

2. Hire Project Staff

3. Employ Team Approach of Intensive Supervision

4. Specialization and Cross Pollinization of Ideas

5. Learn Client Needs

6. Increase Community Contacts

7. Provide Employment and Other Required Services

8. Build client's self image, esteem, ego, and change self-expectations

9. Reduce Criminal Activity
<table>
<thead>
<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Increased Funds</td>
<td>Total project costs have averaged over $500,000 per year for the three years of operation.</td>
<td>Total Actual Cost by Category</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>2</td>
<td>Hire Project Staff</td>
<td>Hiring all staff required to operate the project</td>
<td>Staff Actually Hired</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>3</td>
<td>Employ Team Approach of Intensive Supervision</td>
<td>Teams of 1 supervisor plus 5 agents were established to handle 100 clients. One member of the team was assigned primary responsibility for 20 clients.</td>
<td>Clients and Staff for Each Team</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>4</td>
<td>Specialization and Cross Pollinization of Ideas</td>
<td>To be provided through the team approach.</td>
<td>Not measured per se. Background of agents would be available from employment records.</td>
<td>Specialty of each agent assigned to a team. Assign so as to achieve balance of specialization on each team.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>5</td>
<td>Learn Clients' Needs</td>
<td>Through intensive contact learn clients' needs</td>
<td>Number and time of contacts. Case profile would contain needs identified.</td>
<td>Quantify identification of needs.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>6</td>
<td>Increase Community Contacts</td>
<td>Lower caseloads provide more opportunity for community contact.</td>
<td>Number, time, and type of contact.</td>
<td>Compare data on number, time, and type of contact with normal prob. and parole operation.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
<tr>
<td>-----</td>
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<td>--------------------------------------------------------</td>
<td>-----------------------------------------------------</td>
<td>--------------------------------------------------------</td>
<td>-----------------------------------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>7</td>
<td>Provide Employment and Other Required Services</td>
<td>Self-Description</td>
<td>Employment and Referral Records</td>
<td>Compare Actual measures with quantified needs.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>8</td>
<td>Build Client's Self-image</td>
<td>Providing the client with employment and other referral needs should result in increased self-expectations.</td>
<td>None other than subjective evaluation</td>
<td>Subjective evaluation perhaps measured on some scale plus possible psychometric testing.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>9</td>
<td>Reduce Criminal Activity</td>
<td>Project services are expected to result in decreased criminal activity.</td>
<td>Arrests and convictions while on prob. and parole are recorded and compared with a control group.</td>
<td>Same as Actual</td>
<td>Follow-up arrest and conviction data on treatment, and control groups after project release.</td>
<td>Same as Ideal</td>
</tr>
</tbody>
</table>
1.0 Project Description

1.1 Project Title: Model Probation/C. A. S. E.  
(Also known as Youth Offender Program)

1.2 Project Location: Brockton, MA 02401

1.3 Project Purpose: The project promotes individualized case management through expanded screening and evaluation, assists in the development of community referral resources, and encourages the implementation of service plans. The project's offender target population is defined as young adult recidivists, who have been arrested for three or more jailable offenses and substance abusers.

The goals of the project are qualitative in nature including:
A. The rehabilitation of the County Probation Department.
B. Convince the County Probation Department that "ignorance is not bliss".
C. Show the County Probation Department that accomplishments can be made.
D. Teach the County Probation Department that rational decisions can be made concerning clients.
E. Provide services that better meet the needs of offenders.
F. Decrease Recidivism.
G. Use more community resources.

1.4 Project Expenditures: The expenditures history is approximately as follows:

<table>
<thead>
<tr>
<th>Year</th>
<th>Approximate Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>71-72</td>
<td>$ 30,000</td>
</tr>
<tr>
<td>72-73</td>
<td>71,000</td>
</tr>
<tr>
<td>73-74</td>
<td>87,000</td>
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<tr>
<td>74-75</td>
<td>73,000</td>
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<tr>
<td>75-76</td>
<td>139,400</td>
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<tr>
<td>76-77</td>
<td>99,350 (est.)</td>
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</table>

1.5 Project Duration: The project began July 1, 1972, and has continued to the present.

2.0 Project History: In 1970, a well-intentioned judge felt that status offenders were being short changed. A grant was received from LEAA to take people from arraignment and then track them through the criminal justice system. The project originally dealt with first offenders only. They waited for cases to arrive, but only 30 clients were evaluated—implemented in all of 1971.
The intake requirements were changed resulting in the processing of 250 clients in 1973, 240 in 1974, and 160 in 1975. The drop-off was caused by the resentment of the court. The 1976 throughput will be higher (400) because of new criteria. Approximately 100 consultations were conducted in 1975 and a like number are expected for 1976. The project is currently expanding from one District Court to four District Courts.

3.0 Visit Summary

A. Meeting with Dr. Theoharis Seghorn, Staff Director, to discuss background, client description, evaluation, goals, objectives, and activities.
B. Meeting with Orvis Kinney, Assistant Chief Probation Officer, to discuss objectives and costs.
C. Meeting with Dr. Henry Weinberg, Project Director, to discuss goals, objectives, activities, and the intervention diagram.
D. Meeting with Steve Cass and John Lennon, Evaluator-Implementers, to discuss objectives, activities, and data collection.
E. Meeting with Dr. Henry Weinberg and Dr. Theoharis Seghorn, to discuss intervention diagrams.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit 1.)

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation: The Project has two elements. The evaluator-implmenters interview probationers, assess their needs, prepare a treatment plan, make referrals, act as surrogate probation officers, and follow-up client progress, essentially in that order. The consultants provide high level assistance to judges, the evaluator-implmenters, outside agencies, former offenders, and families of offenders.

4.2.2 Block Details: (See Exhibit 2.)
<table>
<thead>
<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Increase Funds</td>
<td>Funds were provided by LEAA, the State, and the County to promote individualized case management through expanded screening and evaluation, to assist in the development of community referral resources, and encourage the implementation of service plans</td>
<td>Dollar amounts provided by various sources to be expended by line items as requested.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>2</td>
<td>Hire Staff</td>
<td>Funds provided for staff to carry out the functions proposed. The most prominent function is client evaluator-implementer.</td>
<td>No. of staff, Experience.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>3</td>
<td>Create Client</td>
<td>Staff are hired to interview clients, prepare social history, screen clients, and evaluate their needs.</td>
<td>Education and experience of staff as an indicator of potential performance.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>4</td>
<td>Create Consultation Capability</td>
<td>Staff are hired to assist client evaluators, their families, the courts, and social service agencies in the community.</td>
<td>Education and experience of staff as an indicator of performance.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
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<td>No.</td>
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<td>5</td>
<td>Assist Judges</td>
<td>The capability to evaluate clients by the evaluator-implementers or in a consultative role by the psychologists gives judges increased confidence in their decision making role.</td>
<td>Judges from various courts have requested information on the project.</td>
<td>Interview the judges in the court with a prepared schedule to determine what differential assistance has been provided.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>6</td>
<td>Assist Client Evaluators</td>
<td>The consultants are highly skilled, superbly educated, and experienced in criminal justice. The client evaluators are somewhat inexperienced and have a basic degree. The consultants advise and counsel the client evaluators.</td>
<td>None</td>
<td>Interview the client evaluators with a prepared schedule to determine the quantity and quality of assistance provided by the consultants.</td>
<td>Perform a work sampling study to determine what the consultants are doing with their time. Whenever an interaction occurs between consultant and client evaluator, mark it for later discussion with both parties.</td>
<td>Suggested could be accomplished readily. Ideal is not difficult or complicated, but probably is not done anywhere.</td>
</tr>
<tr>
<td>7</td>
<td>Assist Outside Agencies</td>
<td>The consultants are called on to provide their expertise to external agencies.</td>
<td>None</td>
<td>Number of requests for assistance from outside agencies.</td>
<td>Quality of each service provided an outside agency plus the magnitude of each of these requests.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>8</td>
<td>Assist Families of Offenders</td>
<td>The word gets around that the consultants can be helpful in stressful situations. Former</td>
<td>None</td>
<td>Number of requests for assistance by former offenders and their families.</td>
<td>Number of requests, quality of response, &amp; difficulty of problem.</td>
<td>Same as Ideal</td>
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<tr>
<td>No.</td>
<td>Block Name</td>
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<tr>
<td>8</td>
<td></td>
<td>offenders and their families return for guidance.</td>
<td></td>
<td></td>
<td></td>
<td>Also, savings or benefits resulting converted to some measurable quantity.</td>
</tr>
<tr>
<td>9</td>
<td>Provide for Negotiations</td>
<td>Major objectives of this project include rehabilitating the probation department, convincing the probation department that ignorance is not bliss, and to show the probation department that things can be done. If the project can cause these changes, the Court will recognize the project and attach value to it. This will give the project the power to negotiate with the Court.</td>
<td>The number of commitments to the House of Corrections. The number of probation officers that went to graduate school.</td>
<td>See if mandatory requirements are continued after the Project leaves. (Mandatory to evaluate every client now)</td>
<td>Perform an experiment which measures the number of communications initiated by the Court (versus the number initiated by the Project). This experiment will have to be a time series design which will determine the trend of the interaction. Increasing contacts from the Court implies increase in later negotiations.</td>
<td>Same as Suggested and Ideal</td>
</tr>
<tr>
<td>10</td>
<td>Provide Staff Training</td>
<td>The Consultants, having vast experience and being highly skilled and educated provide training for the evaluator-implementers.</td>
<td>None</td>
<td>Number of in-service-training sessions held subject matter, and attendance of each.</td>
<td>Input and process measures shown under suggested plus a before-after study which will be easy to implement, so it is difficult to consider this as a gap unless</td>
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<tr>
<td>11</td>
<td>Increase Decision Capability</td>
<td>The assistance to the judges is in increasing the information available for decision making.</td>
<td>None</td>
<td>Interview judges served by the Project and those not having similar support. Use a prepared schedule to determine the extent of the added information provided.</td>
<td>Conduct a controlled experiment in which the judges make some decisions with the information currently provided and some decisions without the information being provided. Determine if the disposition pattern is consistent in similar instances.</td>
<td>Same as Suggested and Ideal</td>
</tr>
<tr>
<td>12</td>
<td>Define Guidelines for Referral</td>
<td>The criteria for each agency referral must be stated. Clients must meet these criteria to receive service.</td>
<td>None discussed, although these may exist somewhere.</td>
<td>Each referral source should be collected in a standard format. Supervisory staff should insure that the name of the agency, contact, services provided, hours of operation, criteria for program entry, and length of</td>
<td>Same as Suggested and Ideal</td>
<td>Same as Suggested and Ideal</td>
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<td>12</td>
<td>(cont) *</td>
<td></td>
<td></td>
<td>waiting line have been collected in a standard form and are readily obtained.</td>
<td>dichotomous,</td>
<td>either it is done or not done.</td>
</tr>
<tr>
<td>13</td>
<td>Increase Sensitive</td>
<td>The staff should be able to spot the hidden problem, to uncover a client's problem which the client is repressing, to obtain feelings from a withdrawn client.</td>
<td>None</td>
<td>This will be extremely difficult to measure. It may be measurable by asking probationers to rate the staff on measures which are proxies for sensitivity.</td>
<td>Unknown</td>
<td>Unknown</td>
</tr>
<tr>
<td>14</td>
<td>Broaden Choices of</td>
<td>The judges will have greater choices concerning how they dispose of sentences. The probation department will have greater flexibility in assignment to probation officer and intensity.</td>
<td>None</td>
<td>Measure range of dispositions before the project began versus distribution over time as the project gained acceptance. If there is no change in the distribution function, the project was not effective.</td>
<td>Same as Suggested, plus do the same for a Court that did not have the service to control for history(all judges may have changed because of articles in the news media).</td>
<td>Same as Suggested and Ideal</td>
</tr>
<tr>
<td>15</td>
<td>Increase Expertise of</td>
<td>Increases in training and sensitivity serve to provide the staff with expertise that enhances the ability to serve probationers.</td>
<td>None</td>
<td>This will be extremely difficult to measure. It may be measured by asking probationers to rate the staff on proxies for expertise.</td>
<td>Unknown</td>
<td>Unknown</td>
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<tr>
<td>16</td>
<td>Assess Needs</td>
<td>Using the YOP Interview Guide the evaluator-implementer screens clients and determines needs which the probationers have.</td>
<td>Number of clients interviewed per week.</td>
<td>Number of needs determined per client and the accuracy of these needs. Accuracy of needs assessment could be determined by asking probationer if assessment was accurate.</td>
<td>Same as Suggested.</td>
<td>Same as Suggested.</td>
</tr>
<tr>
<td>17</td>
<td>Prepare Treatment Plan</td>
<td>The plan is the end result of a document which contains relevant background information, including personality features and psychological needs.</td>
<td>Dichotomous, either a plan exists or no plan exists.</td>
<td>Examine each need list, plan of action to meet each need. Determine whether plan of action is sufficient to meet each need. An overview committee would be formed to sample case records to determine planning effectiveness.</td>
<td>Same as Suggested.</td>
<td>Same as Suggested.</td>
</tr>
<tr>
<td>18</td>
<td>Generate Resources</td>
<td>Evaluator-implementers must determine what resources exist in the community, determine the criteria which each requires for entry, determine the costs, if any, and determine the length of delay required for entry.</td>
<td>None observed.</td>
<td>Number of resources in file. Use of each resource. Percentage of resources which are used.</td>
<td>The Suggested measures have been used by many agencies which have community information and referral as their mission.</td>
<td>Analysis of Suggested would prove useful to all Intensive Special Probation Agencies.</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
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<tr>
<td>19</td>
<td>Provide Service</td>
<td>Clients are served by early screening, by having a treatment plan based on relevant information, and in those cases where evaluator-implementers serve as surrogate probation officers.</td>
<td>A daily log is maintained. This log contains activity information made on behalf of clients. This includes active follow-up activity, status or progress review, consultations, and evaluation performed for clients.</td>
<td>Same as Actual plus time spent in each activity.</td>
<td>None</td>
<td>Work sampling of what the evaluator-implementers do each day for a two to four week period. Both Suggested and Ideal. However, these may have been accomplished elsewhere.</td>
</tr>
<tr>
<td>20</td>
<td>Make Referrals</td>
<td>A function of the evaluator-implementer is to implement the treatment plan by referring clients to appropriate service.</td>
<td>The daily log contains a listing of referral activity on behalf of the client. The follow-up form also contains a listing of new referrals made. The Staff Monitoring Form lists these new referrals also. Data for the Staff Monitoring Form is taken from the Follow-Up Form.</td>
<td>Number of referrals. Referrals per client. Frequency of referrals by referral agency and referral type.</td>
<td>Same as Suggested</td>
<td>Many information and referral agencies maintain the type of data shown under Suggested. The same form should be adopted by probation agencies.</td>
</tr>
<tr>
<td>21</td>
<td>Communicate</td>
<td>The resource information is communicated to</td>
<td>None Number of information requests</td>
<td>Same as Suggested</td>
<td>Community Information and</td>
<td></td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
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<tr>
<td>21</td>
<td>(cont) probation officers</td>
<td>made by probation officers and other agency staff.</td>
<td>made by probation officers. Number of information requests made by other agencies. Type of request made. Resource suggested.</td>
<td>referrals services frequently maintain the type of data shown in Suggested. The gap exists only in the fact that this kind of data is not being collected.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>Follow-Up Client Progress</td>
<td>After referrals are made and services are rendered, clients are followed to see if they received the services or availed themselves of the referral.</td>
<td>Maintain record of whether client partook of service to which they were referred. Need to know what crime client was arrested for, when crime took place, and what was disposition. Should also measure client's progress with respect to established goals.</td>
<td>Same as Suggested.</td>
<td>Information is all available or can be obtained. The gap is that it is not being accomplished as in Suggested.</td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>Integrate Court with Community</td>
<td>The program is attempting to become an accepted member of the community to which persons other than probationers will come for help.</td>
<td>Daily log contains record of consultations with other than program people. Also, daily time contributed to non-project purposes is recorded.</td>
<td>Same as Actual Block 19.</td>
<td>Same as in Block 19.</td>
<td>The work sampling study can be performed easily. The only gap is that it has not been conducted.</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
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<tr>
<td>24</td>
<td>Socialize Clients</td>
<td>The intervention variable between service and success is socialization of clients. If clients are socialized they can be effective members of society.</td>
<td>Movement of clients is monitored as &quot;Backwards,&quot; &quot;Static,&quot; or &quot;Positive&quot;.</td>
<td>Unknown</td>
<td>Perhaps a test of socialization exists.</td>
<td>Unknown</td>
</tr>
<tr>
<td>25</td>
<td>Create Greater Acceptance of Court Referrals</td>
<td>The Court should come to the project more frequently for assistance. Rather than having mandatory requirements that all clients be evaluated, the court will begin to see the necessity for having evaluations performed.</td>
<td>Unknown</td>
<td>After mandatory requirements are removed, measure the proportion of potential cases that are sent for evaluation. This will be done as a time series to see what trends exist. This would be conditioned on the availability of project funding.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>26</td>
<td>Facilitate Resource Utilization for Client</td>
<td>All of the evaluation and implementation activity should make it easier for clients to use the available services and resources.</td>
<td>None</td>
<td>Determine the proportion of clients that implement revised treatment plans as actual treatments provided to clients in this and a comparison project versus a standard probation project that does not have evaluator-implementation.</td>
<td>Both Suggested and Ideal</td>
<td></td>
</tr>
</tbody>
</table>
EXHIBIT 1

Intervention Process Flow Diagram

1. Increase Funds
   ▼
2. Hire Staff
   ▼
3. Create Client Evaluation Capability
   ▼
4. Create Consultation Capability
   ▼
5. Assist Judges
   ▼
6. Assist Client Evaluators
   ▼
7. Assist Outside Agencies
   ▼
8. Assist Families of Former Offender
   ▼
9. Provide for Negotiations with Court
   ▼
10. Provide Staff Training
    ▼
11. Increase Decision Capability
    ▼
12. Define Guidelines for Referral
    ▼
13. Increase Sensitivity of Staff
    ▼
14. Broaden Choices of all Parties
    ▼
15. Increase Expertise of Staff
    ▼
16. Assess Needs
    ▼
17. Prepare Treatment Plan
    ▼
18. Generate Resources
    ▼
19. Provide Service to Client
    ▼
20. Make Referrals
    ▼
21. Communicate Resource Information
    ▼
22. Follow-Up Client Progress
    ▼
23. Integrate Court with Community
    ▼
24. Socialize Clients
    ▼
25. Create Greater Acceptance of Court Referrals
    ▼
26. Facilitate Resource Utilization for Client
    ▼
27. Reduce Recidivism
1.0 Project Description

1.1 Project Title: Model Adult Probation: Assessment, Classification, and Management of Probationers

1.2 Project Location: Cambridge, MA

1.3 Project Purpose: The program of assessment and classification attempts to systematically examine every offender assigned to the probation office for supervision by:
1) assessing the offender's strengths and weaknesses and identifying problems and needs,
2) recommending methods and resources for addressing those problems, and
3) classifying the offenders according to the services required and the supervision team appropriate for providing those services.

The goals of the project are:
1) To apply, as efficiently as possible, the resources available to meet client's needs.
2) To provide the Chief Probation Officer with appropriate management information to differentiate caseload to better allocate personnel.
3) To reduce recidivism.

1.4 Project Expenditures: The probation aides aspect of the project began in 1975. The 1975 expenditure level was $77,000. The estimated expenditures for 1976 will be reduced to $44,000. In both years about 90% of the expenditures were for personnel. The county provides virtually all overhead items.

1.5 Project Duration: The probation aides aspect of the project became operational in 1975 and is currently operational at a reduced level.

2.0 Project History: A need to introduce more efficient management practices in probation was recognized in 1972. At that time files were combined, records were purged, and aides were trained to prepare pre-sentence investigations. The PSI's offered more information to the court. An attempt was made to routinize the preparation of PSI's. This attempt met with failure. The project is located within a district court. There is a large volume of cases before the court. Sentences must be imposed rapidly, almost immediately.

In 1975, the Probation Office was restructured. The important changes were
1) Probation aides now prepare the post-sentence investigations. (This is the "Project," the part paid for by LEAA funds).

2) An Assessment Committee was formed to suggest a treatment plan for each probationer based on information prepared and presented by the probation aides.

3) Teams of probation officers were formed. The teams were maximum, moderate, and minimum supervision. The Assessment Committee made assignments to these teams.

The 1975 funding provided for a staff of six on the Project, including a career developer and an administrative assistant. The 1976 funding base was decreased so that the current staff is three probation aides.

3.0 Visit Summary

1) Meeting with Anthony DiNatale, Chief Probation Officer, Third District Court, Eastern Middlesex County, Massachusetts, to discuss background, client description, goals, objectives, and activities.

2) Meeting with Al Ferrari, Assistant Chief Probation Officer to discuss goals, objectives, activities, data collection and data analysis.

3) Meeting with William Baker, Probation Aide in Charge, to discuss data collection.

4) Meeting with Lynn Nectow, original Project Administrator, currently Systems Director for Middlesex Regional Services, to discuss data collection and reduction.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit 1.)

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation:

The "Project" is actually a probation aides addition. The probation aides prepare social histories and conduct the Jesness Inventory. This leads to a better needs assessment and a more appropriate assignment of probationers to supervision. Better service plans should result, and consequently, better referrals and counseling. All of these increases in quality will hopefully stabilize and socialize clients so that they will not recidivate.

4.2.2 Block Details: (See Exhibit 2.)
Exhibit 1

Intervention Process Flow Diagram

1. Increase Funds

2. Hire Probation Aides

3. Prepare Social History

4. Conduct Jessness Inventory

5. Increase Knowledge about Probationer

6. Provide Better Information to Classification Committee

7. Increase Understanding of Probationer's Strengths and Weaknesses

8. Increase Quality of Needs Assessment

9. Prepare Better Service Plan

10. Make Better Referrals

11. Provide Better Counseling

12. Reduce Client's Inner Conflict

13. Stabilize Clients

14. Increase Client's Ability to Solve Problems

15. Socialize Clients

16. Reduce Recidivism
<table>
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<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Increase Funds</td>
<td>The project received funding from various sources to provide assessment, classification, and management of clients assigned for supervision to the probation office</td>
<td>LEAA contributions</td>
<td>Same as Actual.</td>
<td>Same as Actual.</td>
<td>None.</td>
</tr>
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<td></td>
<td></td>
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<td>State contributions</td>
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<td></td>
<td></td>
<td>County contributions</td>
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<tr>
<td>2</td>
<td>Hire Probation Aides</td>
<td>The funds provided for the hiring of probation aides. The probation aides compile a socio-criminal history, conduct the Jesness Inventory, serve as temporary probation officers, and present the case to the Assessment Committee.</td>
<td>Number of aides</td>
<td>Same as Actual.</td>
<td>Same as Actual.</td>
<td>None.</td>
</tr>
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<td></td>
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<td></td>
<td>Experience</td>
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<td>Education</td>
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<td></td>
<td>Salary levels</td>
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<tr>
<td>3</td>
<td>Prepare Social History</td>
<td>The probation aides conduct a social history investigation. This includes an employment record, offense description, family environment, client attitudes, client motivation, juvenile court history, alcohol and substance abuse, and psychiatric history.</td>
<td>Quantity of social histories prepared.</td>
<td>Quality and quality.</td>
<td>Same as Suggested.</td>
<td>Quality</td>
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<td>Quality</td>
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<td></td>
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<td></td>
<td>Delay in completion.</td>
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Exhibit 2
Block Details
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<thead>
<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Conduct Jesness Inventory</td>
<td>The probation aides administer a psycho-social instrument consisting of 155 items that provide 10 personality characteristics found to be relevant to offenders. An eleventh typology integrates the other 10 scales into a level which is used as a guide to develop the treatment plan.</td>
<td>Completed, yes or no.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>5</td>
<td>Increase Knowledge about Probationer</td>
<td>The preparation of the social history and conduct of the Jesness Inventory provides more and better information than a probation officer would have time to gather in a limited amount of time. This frees up the probation officer to spend more contact time with and on behalf of the clients.</td>
<td>None</td>
<td>Subjective analysis of the value of the added information. This would require an evaluation of treatment (having probation aides perform their function) versus no treatment (the standard method of having probation officers develop the information).</td>
<td>Same as Suggested plus an analysis of the added client contact time which is available for probation officer.</td>
<td>Same as Ideal.</td>
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<td>No.</td>
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<td>6</td>
<td>Provide Better Information to Classification Committee</td>
<td>The Assessment and Classification Committee is comprised of the Chief Probation Officer, a probation officer from each of three supervision teams, the Chief Social Worker of the Court Clinic, the case worker of the Mental Retardation Unit of the Area Mental Health Board, the court-affiliated Job Developer, the Drug Screener or Alcohol Addiction Screener and the aides. The Committee members, meeting as a group, discuss the offender in light of the individual assessments. The aide who prepared the report and interpreted the Jesness scores may elaborate on personal observations and reactions not included in the written report and answer questions raised by Committee members. Through this group interaction, the offender's strengths and weaknesses are brought into sharper focus.</td>
<td>None</td>
<td>Classification Committee could score information level on each client to determine if what is provided is sufficient to guide their decision.</td>
<td>Conduct an evaluation as discussed in Block 5.</td>
<td>Same as discussed in Block 5.</td>
</tr>
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<td>No.</td>
<td>Block Name</td>
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<td>6</td>
<td>consensus determines the recom-</td>
<td>consensus determines the recommended service plan and the team to implement it.</td>
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<td></td>
<td>mended service plan and the team</td>
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<td>7</td>
<td>Increase Understanding of Proba-</td>
<td>The Classification Committee can better determine the capacity of the probationer and the areas where each is lacking.</td>
<td>None</td>
<td>Subjective analysis for each client to determine if strengths and weaknesses have been determined. A rating scale would be used such that a 10 might represent full awareness and a 1 might represent incomplete knowledge.</td>
<td>Conduct a post treatment evaluation of using the probation aide concept versus not using the concept to determine whether knowledge of strengths and weaknesses has been increased.</td>
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<tr>
<td></td>
<td>tioner's Strengths and Weaknesses.</td>
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<td>Same as Ideal</td>
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<tr>
<td>8</td>
<td>Increase Quality of Needs</td>
<td>By understanding the probationer's strengths and weaknesses a better capability should exist to determine deficiencies.</td>
<td>None</td>
<td>Interview probationer to determine whether probationer agrees with needs assessment. This would require some capability to scale the response.</td>
<td>Same as Suggested</td>
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<tr>
<td></td>
<td>Assessment</td>
<td></td>
<td></td>
<td></td>
<td>Same as Suggested</td>
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<tr>
<td>9</td>
<td>Prepare Better Service Plan</td>
<td>Increased knowledge of the probationer is supposed to increase the quality of the service plan. The service plan includes assignment to the appropriate team and probation officer, and the</td>
<td>None</td>
<td>An evaluation could be conducted that would examine the outcome of service and attach success or failure, in part, to the service plan.</td>
<td>Same as Suggested</td>
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<tr>
<td>9</td>
<td>selection of</td>
<td>appropriate referrals.</td>
<td>The referral agencies are provided with client information, the reason for the referral, and the urgency of the referral. In addition, a resource evaluation is used.</td>
<td>Same as Actual.</td>
<td>Same as Actual plus a referral agency follow-up study to determine the proportion of clients that were appropriate referrals to the agency, the waiting time of clients to receive treatment and a follow-up with clients to determine the quality of referrals.</td>
<td>Same as Actual plus portion shown under Ideal.</td>
</tr>
<tr>
<td>10</td>
<td>Make Better Referrals</td>
<td>One desired outcome of increasing knowledge about probationers is to enhance the quality of referrals. This includes matching clients to referral agencies, defining probationer's needs more appropriately, insuring that clients meet the criteria for service, and providing the client and referral agency with the proper information.</td>
<td>The degree of effectiveness obtained in creating behavioral change. The degree of effectiveness of the resource in providing social service. The content of the report and the probation officer's assessment of the referral agency.</td>
<td>Same as Actual.</td>
<td>Same as Actual plus a referral agency follow-up study to determine the proportion of clients that were appropriate referrals to the agency, the waiting time of clients to receive treatment and a follow-up with clients to determine the quality of referrals.</td>
<td>Same as Actual plus portion shown under Ideal.</td>
</tr>
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<td>11</td>
<td>Provide Better Counseling</td>
<td>If the probation officer is more aware of strengths and weaknesses an opportunity exists to channel the probationer in that direction which will build on strengths and try to correct deficiencies.</td>
<td>A supervision report is made each quarter which includes goals, referrals made, reasons for changes in goals, adjustment, and summary of case during the time period.</td>
<td>Time period of performance of goals should be established. The success of accomplishing these goals should be determined.</td>
<td>A review board could be established. This board would measure the counseling quality of probation officers (on a sampling basis) in the situation where probation aides are used and where not used.</td>
<td>Same as Suggested and Ideal.</td>
</tr>
<tr>
<td>12</td>
<td>Reduce Clients Inner Conflict</td>
<td>By receiving better referrals and through better counseling by the probation officer, the client should have a reduction in inner conflict.</td>
<td>The problems areas mentioned by the Assessment Committees are measured as either resolved, improved, or unimproved at the final hearing. These problem areas relate to inner conflict.</td>
<td>The clients can be given a psychological stress test at entry into the treatment, and then each six months</td>
<td>Same as Suggested plus applied to a control group to determine effectiveness of probation aides.</td>
<td>Same as Ideal.</td>
</tr>
<tr>
<td>13</td>
<td>Stabilize Clients</td>
<td>Clients should now have a value system which is more realistic. They should have a satisfactory means of supporting themselves.</td>
<td>Same as in Block 12, Actual Measures. Whether or not they now have a satisfactory</td>
<td>Same as Actual plus clients could be given a test which measures</td>
<td>Same as Suggested plus give to a control group as well to</td>
<td>A test to determine client's value systems</td>
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<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
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<tr>
<td>13</td>
<td>(cont.)</td>
<td></td>
<td>job, compared to prior history is measured.</td>
<td>their value system at two points in time.</td>
<td>determine effectiveness of having probation aides.</td>
<td>may or may not exist in the form desired.</td>
</tr>
<tr>
<td>14</td>
<td>Increase Client's Ability to</td>
<td>Rather than act out in a negative, criminal manner, clients should now be able to</td>
<td>None</td>
<td>Prepare a life situation test which is administered to clients at entry into</td>
<td>Same as Suggested plus give to control group as well to determine effectiveness of having probation aides.</td>
<td>Same as Ideal.</td>
</tr>
<tr>
<td></td>
<td>Solve Problems.</td>
<td>resolve problems in a constructive manner.</td>
<td></td>
<td>treatment and at termination point. This test measures the capability of clients to</td>
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<td></td>
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<td>cope with realistic problems.</td>
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<tr>
<td>15</td>
<td>Socialize Clients</td>
<td>When clients have the capability to resolve everyday problems they will also have the capability to live within society and obey its rules.</td>
<td>The Final Supervision Report refers only to the resolution of family-marital problems.</td>
<td>Conduct a sociological interview with each client at entry and at exit to determine their degree of socialization. Alternately, a standardized test may exist to measure socialization. This test would be given at entry and at exit.</td>
<td>Same as Suggested but apply to a control group as well to determine the effectiveness of having probation aides.</td>
<td>Same as Ideal.</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
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<tr>
<td>16</td>
<td>Reduce Recidivism</td>
<td>Reduction in recidivism should be the final result.</td>
<td>Not calculated. However, project knows reason for termination of probation.</td>
<td>Measure time at risk for each probationer. Count those who are arrested for another offense. Compute recidivism.</td>
<td>Break recidivism rate into during probation and after probation has been completed. Look at recidivism by type of offense and by type of treatment.</td>
<td>Gaps exist only in the failure to apply the ideal measures because of realistic difficulties.</td>
</tr>
</tbody>
</table>
Site Visit Report

Prepared by

T. Siler

1.0 Project Description:

1.1 Project Title: Volunteers in Probation: One-to-One Adult Program

1.2 Project Location: Headquartered in Columbus, Ohio. Serves Franklin County, Ohio.

1.3 Project Purposes:

General: Operate a volunteer program in order to provide a volunteer/probationer relationship which will lead to self-supporting, self-respecting, and crime-free lives for those probationers who participate.

Principal Goal: Same as general.

Supporting Goals:
1. Increase probationers self-respect.
2. Improve the probationer's employability through increasing his or her skills.
3. Increase financial renumeration from employment.
4. Contribute to a successful probation period. (A successful probation period is defined as lack of recidivism and meeting other probation conditions sufficiently to avoid revocation.)
5. Provide the opportunity for a long-term, trusting relationship to develop between the volunteer and the probationer.

1.4 Project Expenditures:

May, 1973 - June, 1974 = $35,000
July 1, 1974 - June 30, 1975 = $52,844
July 1, 1975 - June 30, 1976 = $71,783 (estimate)

1.5 Project Duration:

Beginning date - May, 1973 (first funds from grant source; operated prior to May, 1973 on purely volunteer basis)
Ending date - June 30, 1977

2.0 Project History

The project received its first grant funds in May, 1973. At that time it was referred to as the Volunteers in Probation program. In July, 1975, the Volunteers in Probation program was combined with other volunteer programs under the corporate name of One-to-One. One-to-One is a private, non-profit organization.

One-to-One functions as a resource to the Franklin County Probation Department. As such, it does not reduce caseload, but does provide auxiliary services through its volunteers.

The project serves probationers living in Franklin County. Franklin County is about 70% urban, 28% black. Ninety-five percent of the project's clients are in the age range, 18-26. Clients include both felony and
misdemeanor offenders who have confessed or been convicted. As a general rule, violent or sex offenders are excluded. However, there have been exceptions. Probation officers make referrals based upon their perception that the probationer would benefit from having a relationship with a volunteer. Participation by the probationer is voluntary. Project policy does not permit cross-sex matching of volunteers and clients.

The project staff consists of two professionals, full-time and three professionals, including the Director, at one-half time. Clerical support is provided by two persons at one-half time each.

3.0 Visit Summary:

1. Meeting with Mike Roth, Adult Program Coordinator, to discuss background, client description, goals, objectives, activities, data collection and reduction, evaluation, and to construct a block diagram.
2. Meeting with Steve Larson, Franklin County Probation Officer, to discuss his perception of project goals and to have him describe the type of clients referred to the project.
3. Meeting with Brian Johnson, Project Director, to discuss costs, future project plans, and construct a block diagram.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (Refer to Exhibit 1.)

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation:

The purpose of the One-to-One project is to have adult probationers become economically self-supporting, self-respecting, and not engage in criminal behavior. Achievement of the project purpose is to occur through the interactions and services of volunteers to probationers. The primary emphasis is for the volunteer to perform concrete actions to assist the probationer and to provide emotional support, as appropriate. Typical actions are transporting the probationer to a job interview or following up progress of a referral to an agency. Referrals are made to meet specific needs of the probationer. Many of these actions concentrate on eventually helping the probationer achieve a higher income level and income stability. Emotional support is provided through the interactions within the volunteer/probationer relationship. The volunteer tries to assure that the interactions help improve the self-image and self-respect of the probationer.

In summary, the project concentrates on two avenues to produce the desired results. They are: (1) provide for the physical needs of the probationer. (2) provide for the emotional needs of the probationer. Provision for physical needs tends to focus on referral services and helping the probationer become economically self-supporting. Provision for emotional needs comes through the volunteer/client relationship; which, if totally successful, becomes a long-term trusting relationship. The end result is a former offender who is now economically self-supporting, self-respecting, and who does not engage in criminal activity.
In order for organized development of volunteer/probationer relationships to occur, project staff must perform certain activities. The major activities are recruiting volunteers, stimulating referrals of probationers to the project, matching volunteers and clients, and supervising the volunteer/client relationship. For details of these activities and their interrelationships refer to Exhibit 2.

4.2.2 Block Details: (Refer to Exhibit 2.)
Exhibit 1
INTERVENTION BLOCK FLOW DIAGRAM
One-to-One Project
Columbus, Ohio

1. Funds Obtained
2. Director/Staff Employed
3. Standardized Procedures Developed & Implemented
   - Increased Understanding & Willingness of Probation Officers to Refer Clients to Project

- Increased Referrals of Clients to Project
- Increased Matches
- Increased Matching Experience
- Improved Matching Potential
- Increase in Likelihood of Success

- Long Term Trusting Relationship Developed
- Support Provided as Needed

- Assistance with Increasing Job Skills
- Increased Employability
- Increased Income & Income Stability

- Payment of Court Costs & Restitution
- Less Financial Dependency
- Increase in Social Status
- Less Financial Pressure to Commit Crime

- Increased Self-Respect
- Avoidance of Recidivism/Revocations or Achievement of Crime Free Life Style
<table>
<thead>
<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure 1</th>
<th>Ideal Measure 1</th>
<th>Gaps</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>Funds Obtained</td>
<td>$159,627.00 was provided between May 1, 1973 and June 30, 1976 by LEAA, on a 90-10% match basis (90% by LEAA; 10% locally), for operation of a volunteer program dealing with adult probationers.</td>
<td>Budget records are handled by Franklin County. Dollars spent per the following categories are kept: personal services, travel and transportation, consultant services, contractual services, supplies and materials, equipment, and facilities.</td>
<td>Dollars per project activity, Ex. dollars per volunteers recruited,</td>
<td>Dollars per project output, Ex. dollars per client &quot;saved&quot; (i.e., clients who do not recidivate).</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>2</td>
<td>Director/Staff Employed</td>
<td>A Director was employed one-half time and two Adult Program Coordinators hired one for the county court and one for the city court. An Assistant Director and Intake Coordinator were also employed one-half time.</td>
<td>Number, positions, dates of employment, payment records.</td>
<td>Same as Actual</td>
<td>Same as Actual; Actual time worked</td>
<td>None</td>
</tr>
<tr>
<td>3</td>
<td>Standardized Procedures Developed and Implemented</td>
<td>Project staff felt that development and implementation of standardized procedures was an important step contributing to successful operation of the project.</td>
<td>Direct. Written procedures produced.</td>
<td>Same as Actual</td>
<td>Same as Suggested, periodic checks to determine if followed consistently.</td>
<td>No major gaps</td>
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<td>No.</td>
<td>Block Name</td>
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<td>4</td>
<td>Increased Willingness of Probation Officers to Refer Clients to Project</td>
<td>Project staff felt standardizing procedures led to increased willingness of probation officers to refer clients.</td>
<td>None</td>
<td>Interview with, or survey of, probation officers to determine willingness coupled with number of referrals made before and after standardized procedures were implemented, controlling for increased awareness of project.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>5</td>
<td>Increased Capability to Reach Potential Volunteers</td>
<td>Project staff felt standardizing procedures led to better analysis of results of various recruitment methods and, thus increased capability to reach potential volunteers.</td>
<td>Number of inquiries and applications received in a given week as a result of each recruitment method. Also, number of volunteers trained as a result of each method. Applicants are divided by sex into youth and adult categories.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>6</td>
<td>Increased Referrals of Clients to Project</td>
<td>Clients are referred to the project by their probation officer.</td>
<td>Number of clients referred by week and month.</td>
<td>Number of clients referred over time</td>
<td>Same as Suggested, plus compare before and after standardized procedures were implemented, controlling for insufficient controls to attribute causality.</td>
<td>None but insufficient controls to attribute causality.</td>
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<tr>
<td>6 (cont)</td>
<td>7 Increased Number of Volunteers Selected</td>
<td>As the capability to reach more potential volunteers increases, the chance of recruiting more volunteers increases. That, in turn, improves the likelihood that more volunteers will be selected.</td>
<td>Number of volunteers trained each week and number applying but refused each week.</td>
<td>Number of volunteers selected over time.</td>
<td>Same as Suggested</td>
<td>None</td>
</tr>
<tr>
<td>8</td>
<td>Increased Matches</td>
<td>Refers to the number of clients who are paired (matched) with a volunteer. Matches are based upon sex, interests, and needs of probationer.</td>
<td>Number of matches, broken down by initial and rematch; number of clients matched, broken down by initial and rematch. Maintained by week and cumulated monthly.</td>
<td>Number of matches over time.</td>
<td>Same as Suggested</td>
<td>None</td>
</tr>
<tr>
<td>9</td>
<td>Increased Matching Experience</td>
<td>Self-Explanatory</td>
<td>None</td>
<td>Surrogate measure of increase over time in no. of matches in which a long-term trusting relationship develops and/or fewer clients recidivate or are revoked</td>
<td>Not Known</td>
<td>Same as Suggested</td>
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<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
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<tr>
<td>10</td>
<td>Increased Supervision Quantity and Experience with Volunteer/Client Relationships</td>
<td>The development of the volunteer/probationer relationship requires guidance and supervision. This function is served by the Adult Program Coordinators. An increase in the no. of volunteers necessitates an increase in the amount of supervision required of the Adult Program Coordinators, since there are more persons for him or her to supervise. Increasing the quantity leads to increasing the amount of experience. Increasing the amount of experience should lead to improvement in quality of supervision.</td>
<td>Number of conferences with clients and volunteers, number of active matches at end of week.</td>
<td>Number of supervisory contacts, classified by type</td>
<td>Increase in quantity can be measured by the no. of supervisory contacts with volunteers and clients. A surrogate measure such as more matches which produce the desired results could be used for quality.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>11</td>
<td>Improved Matching Potential</td>
<td>Increases in the amount of matching and supervision activities increases the amount of experience, which should lead to improved matching. Also, increases in the number of volunteers and clients available for matching creates a larger pool of characteristics to draw upon to develop successful matches.</td>
<td>None</td>
<td>Not Known</td>
<td>Increase in number of matches producing the desired result</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
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<td>12</td>
<td>Increase in Likelihood of Success</td>
<td>The chance of achieving success is increased by improving the matching potential. If matches are more compatible and experience has accumulated, the chance for development of long term, trusting relationships is increased.</td>
<td>None</td>
<td>Not Known</td>
<td>Increases with time if number of matches leading to long-term relationships and other desired results.</td>
<td>Same as Ideal.</td>
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<td>Follow-up presents practical problems. Time element is also a problem.</td>
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<td>Same as</td>
<td>Potential positive effects are residual and may not show up within a time frame which is feasible to measure.</td>
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<tr>
<td>13</td>
<td>Long Term, Trusting Relationship Developed</td>
<td>Long term relationship in which there are fewer feelings of &quot;being used&quot; and in which probationer is not &quot;using&quot; others, negatively leads to less guilt feelings and more feelings of worth and self-respect.</td>
<td>None</td>
<td>Subjective evaluations by probationer and volunteer, citing specific basis for conclusions.</td>
<td>1) Number of matches which maintain contact for a year or more after match is officially terminated from project viewpoint. 2) Psychological testing before and after to determine if the stated dynamics are occurring.</td>
<td>Same as Ideal.</td>
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<td>Follow-up presents practical problems. Time element is also a problem.</td>
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<td>Same as</td>
<td>Potential positive effects are residual and may not show up within a time frame which is feasible to measure.</td>
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<tr>
<td>14</td>
<td>Assistance with Increasing Job Skills</td>
<td>Increase employability through an increase in job skills.</td>
<td>None</td>
<td>Number who participate in on-the-job training programs, Trade Schools, etc.</td>
<td>Suggested as well as studies to determine quality of training, degree of increase in job skills that</td>
<td>Same as Ideal.</td>
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<td>No.</td>
<td>Block Name</td>
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<tr>
<td>15</td>
<td>Support</td>
<td>Volunteer gives</td>
<td>None</td>
<td>Classification of contacts by type, number, and frequency.</td>
<td>Same as Suggested and measures of quality of contact as well as frequency and quantity.</td>
<td>Same as Ideal</td>
</tr>
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<td></td>
<td>Provided as Needed</td>
<td>emotional support and encouragement; provides concrete assistance as appropriate; helps probationer develop independence, self-reliance and self-respect.</td>
<td></td>
<td></td>
<td>Study relating dimensions of contacts to outcomes.</td>
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<tr>
<td>16</td>
<td>Increased Employability</td>
<td>By increasing job skills, the probationer becomes a more desirable job applicant.</td>
<td>None</td>
<td>Per cent who become employed in jobs related to the skills obtained.</td>
<td>Suggested used in conjunction with measures which allow determination of exact relationship of job skills to employability and which, also, distinguish the effect of increased job skills on employability from attitude and other possible influences.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>17</td>
<td>Increased Income and Income Stability</td>
<td>Increase the amount of financial remuneration received for None, but pre-treatment data on earnings</td>
<td>1) Comparison of earnings before/during/after project</td>
<td>Same as Suggested</td>
<td>Same as Ideal</td>
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<td>working and main-</td>
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<td>2) Comparison</td>
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<td>flow of income</td>
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<td>of earned in-</td>
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<td>18</td>
<td>Payment of</td>
<td>Payment of court</td>
<td>Record of</td>
<td>Record of</td>
<td>Same as</td>
<td>Gap is</td>
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<td>Court Costs and</td>
<td>costs and/or</td>
<td>payment kept</td>
<td>payment</td>
<td>Suggested</td>
<td>merely in</td>
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<td>Restitution</td>
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<td>by Court but</td>
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<td>19</td>
<td>Less Financial</td>
<td>Increased income</td>
<td>None</td>
<td>Not Known</td>
<td>Number on</td>
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<td>20</td>
<td>Increase in Social Status</td>
<td>In American society income level is considered an indicator of achieved status. One sociological theory holds that perception of an individual by others is influenced by the individual's status. An individual's self-concept and self-respect are influenced by his or her perception of the way others view him or her.</td>
<td>None</td>
<td>Interview &quot;significant others&quot; and persons knowledgeable of financial condition before and after income increase and improved income stability.</td>
<td>Suggested, plus relate to changes in offender's self-concept and self-respect.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>21</td>
<td>Less Financial Pressure to Commit Crime</td>
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<td></td>
<td>Being able to pay court costs and/or ordered restitution, as well as provide for basic needs, would reduce the financial pressure for one to commit property crimes such as burglary, robbery, larceny.</td>
<td>None</td>
<td>Not Known</td>
<td>Method of assessing the degree of financial pressure felt by individuals and point, if any, at which the response is to resort to criminal activity. Perhaps situational tests could be a beginning point.</td>
<td>Same as Ideal</td>
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<tr>
<td>22</td>
<td>Increased Self-Respect</td>
<td>Through provision of long term, trusting relationship; increased employability and income; encourage more self-respect which, in turn, is assumed to contribute to choosing a crime free life style.</td>
<td>None</td>
<td>Before/after attitudinal tests</td>
<td>1) Before/after attitudinal tests; 2) volunteer trained to recognize and record shifts in phrasing/statements/actions which would indicate changes in self-respect.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>23</td>
<td>Avoidance of Recidivism/Revolutions or Achieving Crime Free Life Style</td>
<td>Represents avoiding criminal alternatives, or behavior leading to revocation. Such choices result in a crime free life style.</td>
<td>Recidivism defined as having charges pending at time of termination from project and/or having a new conviction since match plus 30 days.</td>
<td>1) Type of revocations during project participation, 2) Follow-up to determine recidivism after project release, 3) Compute arrests and reconvictions. Relate type of contacts by volunteers.</td>
<td>Same as Suggested as well as 1) before-after changes in criminal activity compared with a control group. a) Revocation: Same as Suggested. However, also relate to probation officer characteristics and use of volunteer or not. b) Recidivism: Measure for at least 1 year after project release.</td>
<td>Same as Ideal, difficulties are in application, i.e., control groups seldom remain &quot;pure&quot;. Determining actual criminal activity vs. arrests or convictions, which only deal with those who are caught, is beyond present capabilities.</td>
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<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Caps</td>
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<td>Measure time at risk in the calculation. 2) Standardize definitions nationally.</td>
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</tr>
</tbody>
</table>
1.0 Project Description:

1.1 Project Title: Intensive Supervision Program

1.2 Project Location: Denver, Colorado

1.3 Project Purpose:

General: Reduce recidivism of probation clients supervised in the City of Denver, Colorado, through reduced caseloads and decentralization of services to three neighborhood centers.

Subsidiary Goals:
1. To improve the working relationship between probation and parole personnel.
2. To improve community attitudes toward probation through involvement in the communities where neighborhood centers are located.

1.4 Project Funding:

<table>
<thead>
<tr>
<th>Period</th>
<th>Amount</th>
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<tbody>
<tr>
<td>March, 1973 through June, 1974</td>
<td>$292,443</td>
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<tr>
<td>July, 1974 through June, 1975</td>
<td>310,657</td>
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<tr>
<td>July, 1975 through June, 1976</td>
<td>303,238</td>
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<tr>
<td>Total</td>
<td>$906,338</td>
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</tbody>
</table>

1.5 Project Duration:

Began staff training - May 1, 1973
Began operations - July 1, 1973
Ending operations - June 30, 1976

2.0 Project History: The Probation/Parole Intensive Supervision Program was implemented in 1973 as part of Denver's High Crime Impact program. Two separate grants were awarded to provide intensive, decentralized probation and parole services, respectively. Probation and parole officers operating under both grants are housed in three office facilities located in different parts of Denver. This experimental program ended on June 30, 1976, but the State of Colorado has agreed to assume the probation phase of the program. However, caseloads will increase under state operations. In June, 1976, the probation grant staff included 9 probation officers, 11 clerical personnel, 1 psychologist, 1 researcher and 3 probation supervisors.

3.0 Visit Summary:

1. Meeting with Mr. Ed Wise (Director of Southwest Office) to obtain background, project goals and objectives, and project activities.
2. Meeting with Dr. Pete Hemingway (Evaluation Analyst) on data collection and evaluation methods.
3. Meeting with Dr. C. Carter (Project Psychologist) to obtain background of project operations.
4. Meeting with Mr. Ken Adler and Mr. Ralph Cristello (Probation Officers) to discuss project goals and objectives.
5. Meeting with Mr. John Yurko (Chief Probation Officer) to discuss project goals, objectives and future plans.
6. Meeting with Mr. Louis Tanko (Director of Northeast Office) to discuss project goals and objectives.
7. Meeting with Mr. Dennis Maes (Director of Northwest Office) to discuss project goals and objectives.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit)

4.2 Intervention Diagram Narrative:

4.2.1 Overview of Activities and Assumed Sequence of Causation:
Denver's Intensive Supervision has two central and related approaches to achieving reduced recidivism by probation clients. One element is more intensive supervision of clients made possible by reducing caseloads and expert training of project staff. This more intense supervision is assumed to lead to an improved relationship between the probation officer and his client which, in time, produces increases in a client's self-expectations. The second major element of the Denver program is decentralization of operations to three neighborhood centers. Decentralization is presumed to lead to decreased community and client hostility toward probation and to improved placement of clients in community service programs as a result of more intimate officer knowledge of the programs. These influences also contribute to an increase in clients' self-expectations, and ultimately, to a decrease in recidivism.

4.2.2 Block Details:
1. Increase Funds. Through June 30, 1976, the project had expended approximately $900,000 for probation operations.
2. Increase Staff. The most important consequence of increased funding was the opportunity to increase staff. Present staffing is as indicated in Section 2.0.
3. Reduced Caseload. The principal effect of increasing staff is a reduction of caseload. Officers do not do pre-sentence investigations, and thus caseload is merely the number of active cases divided by the number of officers carrying caseloads. The project has applied that measure and maintained caseloads at a maximum of 50. The measurement approach appears completely adequate.
4. Establish Community Centers. The second major consequence of the availability of project funds has been the establishment of three neighborhood offices located outside the downtown area of Denver.
5. **Establish Large-Scale Training Program.** The additional staff provided by the grant permitted the operation of a large-scale initial training program for probation officers and a continuing training consultation by the staff psychologist. The original training program included intensive training on counseling technique and a thorough introduction of project staff to available community services for probation clients. No formal measurement of the training program was applied by project personnel except a record of the staff hours spent in training. An ideal measure would indicate not only the time spent in training, but the gain from training experienced by probation officers. It would appear practical to have administered examinations to officers before and after the program to at least measure the facts and concepts learned.

6. **Increased Officer Knowledge of Community Services.** A major justification for the decentralization of probation facilities is to increase officer familiarity with community services for clients through proximity to the services. The training program at block 5 also included a strong element of informing officers about community services. The combined effect of these influences is assumed to be an increase in officer knowledge of community services. No direct measurement of such an increase was instituted by the project. An ideal measure would test officer knowledge of both factual information on community programs (e.g., where located, eligibility, etc.), and efficacy of the programs. However, efficacy is highly subjective, and so it is probably only practical to test knowledge of facts.

7. **Increased Public Relations Activity in Neighborhoods.** The increase in staff at block 2 and decentralization of facilities at block 4 are assumed to produce a side effect of increased probation staff public relations activity in the neighborhoods of the community centers. Such activity is presently measured only in terms of numbers of community contacts. Documentation of the amount of public speaking, and similar activity would appear to be a feasible and satisfactory measure.

8. **Improved Neighborhood Attitude Toward Probation.** Through the fact of locating centers in the community, and through the public relations activity of project personnel, it is assumed that attitudes toward probation will improve in the communities surrounding the community centers. No formal measures of neighborhood attitude were applied by the project staff. A feasible and satisfactory approach would be to use polling techniques to sample public opinion on probation.

9. **Reduced Client Antagonism Toward Probation.** The increased convenience and informality of decentralized probation offices and the resulting improved attitude in the community are assumed to produce a reduction in client antagonism toward probation. Project personnel measured clients' attitudes through a survey on a single occasion, but no
direct measures were applied continually. An ideal measure would comprehensively and objectively report changes in client attitude toward probation. However, it is probably only practical to use an instrument like the one applied by project personnel which depends on self-reporting of attitudes by probation clients.

10. More Intensive Client Counseling. The combined effects of reduced caseloads and training in counseling techniques are presumed to be a more intensive level of counseling of clients. Counseling of clients is presently measured only through narrative records of contacts in field books maintained by probation officers. A complete measure of the intensity of counseling would record not only the quantity of contact, but a quantitative measure of the quality of contact. A practical, and probably satisfactory substitute which could be implemented on a large scale is a tabulation of contacts into a series of categories distinguishing the nature of the contacts.

11. Increased Monitoring of Clients. Also associated with a reduction in caseload is an assumed increase in officer monitoring of client activities. Measurement of such activities is discussed in block 10.

12. Increased Client Sense of Officer Caring. An important therapeutic effect of the increased and more intense contact between probation officer and client is assumed to be a sense in the client that the officer is concerned about his life and behavior. This sense of caring is also strengthened by reduced client antagonism at block 9. Client attitude measurement is discussed in block 9.

13. Increased Client Success in Community Service Programs. Increased probation officer familiarity with community programs at block 6 is assumed to result in more effective placement of clients, and thus in improved client success in the programs. Similarly, the more intense relationship developed between officer and client at blocks 10 and 11 also contributes to client success in the programs by encouraging clients to participate. Client success in community programs is presently measured only through narrative comments in field books and limited information reported by the programs. Ideally, a client's participation in the programs would be measured in terms of enthusiasm and attendance, and his success would be recorded in terms of achieving the capabilities desired by the program. However, limitations due to confidentiality of clients' relations with treatment programs probably limit practical measures to attendance records and summary statements of success at program completion.

14. Increased Client Employment Success. One consequence of improved neighborhood attitudes toward probation is presumed to be an increase in employment opportunities offered to probationers through probation officers. This effect is assumed to combine with the more intense counseling relationship of blocks 10 and 11, and client success in job training programs at block 13 to produce increased
employment success among clients. Client employment is regularly tabulated by the project in terms of the percent employed, and narrative comments on employment performance are contained in case books. A complete measure of employment success would include the degree of employment, earnings, job stability, and job satisfaction. It should be possible to regularly measure all but job satisfaction through submission of pay stubs.

15. Increased Client Self-Expectations. The combined effects of increased employment, successful completion of community programs, and a sense of the probation officers' caring are assumed to produce in the client an increased sense of self-expectation. Having experienced some temporary improvements in his life style, the client begins to believe he has some interest in the future. Client expectations are presently measured only through narrative comments in case books. An ideal measure would thoroughly document client's sense of being in control of his future life. It should be practical to devise a valid instrument by which officers could classify clients in terms of the degree to which they are future-oriented.

16. Increased Client Adoption of More Successful Life Styles. Increasing client self-expectations at block 15 is assumed to lead to increasing adoption of successful life styles by clients. The project instituted a procedure by which officer classified client life styles at one point, but the scheme was discontinued. An ideal measure would classify the type of life styles adopted by clients and evaluate objectively the success incumbent in the life style. However, it is probably only possible to develop instruments by which officers classify life styles, without attaching value judgments.

17. Reduce Recidivism. One assumed consequence of improving life styles in clients is a reduction in criminal activity, and thus in recidivism. The project presently measures recidivism in terms of rearrests and reconvictions of clients during supervision, and during a two year period after supervision. However, information on rearrests is effectively limited to arrests in the area surrounding Denver. An ideal measure would provide more comprehensive reporting of arrests, and measure the seriousness of subsequent offenses. Such a measure should also be a practically implementable one.
Exhibit
Intervention Process Flow Diagram

1. Increase Funds
   → 2. Increase Staff

4. Establish Community Centers
   ↓

7. Increased Public Relations Activity in Neighborhood
   ↓

8. Improved Neighborhood Attitude Toward Probation
   ↓

6. Increased Officer Knowledge of Community Services
   ↓

9. Reduced Client Antagonism Toward Probation
   ↓

5. Establish Large-Scale Training Program
   ↓

10. More Intensive Client Counseling
    ↓

11. Increased Monitoring of Clients
    ↓

12. Increased Client Sense of Officer Caring
    ↓

13. Increased Client Success in Community Service Programs

14. Increased Client Employment Success

15. Increased Client Self-Expectations

16. Increased Client Adoption of More Successful Life Styles

17. Reduced Recidivism
1.0 Project Description

1.1 Project Title: Comprehensive Community Corrections Program

1.2 Project Location: Des Moines, Iowa [Polk County, plus serves 15 neighboring counties of the Fifth Judicial District]

1.3 Project Purpose:
General: Provide probation supervision to felon and indictable misdemeanants for the district.
Principal Goal: Full utilization of the probation option to reduce the number of people in prison to the extent feasible.
Secondary Goals:
1. Provide for community safety* by minimizing recidivism while on probation.
2. Enhance correctional effectiveness* by reducing recidivism after probation.
3. Increase the social effectiveness of individual probationers.
4. Effectively utilize community service resources.

1.4 Project Expenditures (Probation Component):
Jan. 1 – Dec. 31, 1973 158,073.29
Jan. 1 – Dec. 31, 1974 158,578.08
Jan. 1 – Dec. 31, 1975 195,982.50

1.5 Project Duration (Probation Component):
Beginning – 1971
Ongoing operational program

2.0 Project History: The probation program begun in 1971 is one of five identifiable components of the comprehensive community corrections program administered together by the Fifth Judicial District's Department of Court Services. The other four are:
-- a pre-sentence investigation unit since 1971;
-- a residential corrections program for men that began operation in June, 1971, followed by a smaller facility for women;
-- a pre-trial release program by which people who score above a certain objective point-count on interview are released without bail, begun in 1964;
-- a pre-trial release with services and supervision program begun in February, 1970.

Professional Probation staff has grown from 1 P.O. in 1971 to 2 Supervisors and 11 P.O.'s for Polk County with another Supervisor and 6 P.O.'s serving

*Project terminology distinguishes between the probation department's responsibility to minimize criminal activity by probationers and the desirability of helping probationers develop crime-free life styles that continue after completion of probation (not a requisite outcome).
the rest of the Fifth Judicial District (for these rural areas, P.O.'s perform functions besides probation). For Polk County, separate staff perform pre-sentence investigations.

3.0 Visit Summary:
1. Meeting with Bernard Vogelgesang, Director, Court Services, and Jim Hancock, program director, to discuss background and goals.
2. Meeting with Linda Youngquist, Probation Supervisor, to discuss goals, data collection, and activities.
3. Meeting with Bernard Vogelgesang to discuss clients, costs, and conceptual model.
4. Meeting with Bernard Vogelgesang to discuss evaluation.
5. Meeting with Ira Turpin, Evaluator, to discuss evaluation, data collection.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit 1)

4.2.1 Overview of Activities and Assumed Sequence of Causation:
This probation program is one component of an administratively unified, comprehensive, community corrections program (see 2.0). The programs not only operate cooperatively, but also have benefitted from each other's experiences. For instance, the citizen volunteer program to assist probationers with job placement is an offshoot of a similar, successful program with the residential corrections program (Fort Des Moines).

The probation program is pragmatic in orientation with rehabilitation a secondary aim to maintaining community safety and correctional effectiveness. Probation is intended to replace incarceration in every feasible instance. By maintaining caseloads in the 65-75 range, it is possible to provide a high level of personal counseling and supervision. By maintaining the office in the high crime area with an effective, enthusiastic young staff, good rapport with the community and clients is maintained. Specific social services are provided in large part by formal liaisons with other agencies.

Maintaining employment, improving client functioning, and close personal counseling and supervision serve to keep down recidivism levels. Careful measurement of activities and outcomes with strong support for evaluation efforts is an outstanding feature of the program. Feedback from evaluation of the probation program and information on the functioning of the other programs run by the Court Service Department has contributed to changes and additions to the probation program.

4.2.2 Block Details:
1. Funds. The probation effort has increased from about $100,000 to $200,000 per year since 1972. The overall comprehensive community corrections program, including probation, has increased from about $750,000 to $1,350,000.
2. **Provide a Locally Administered Probation Program.**
   Probation was previously administered by the State and private contracting with a minimal level of Court support. This effort beginning with Des Moines - Polk County now includes 15 other (rural) counties of the Fifth Judicial District.

3. **Evaluation.** Evaluation has been built into the program from the early days. It encompasses all of the community corrections programs. Evaluations are enclosed for 1973 and 1974.

4. **Other Components of the Comprehensive Program:** a) pre-trial release, b) pre-trial release with supervision, c) residential corrections. Details are provided in the Handbook on Community Corrections in Des Moines.

5. **Increase Use of Probation as a Disposition.** The aim has been well-attained, contributing to decisions not to rebuild the Polk County jail and build new state facilities. The comprehensive community corrections program has served as a model for the state which has now required such programs in all judicial districts.

6. **Maximum Utilization of Community Service Resources.**
   The philosophy of the community corrections administration is to utilize community service resources, and not to develop their own competing services. In this vein, a number of formal arrangements have been made as well as case-by-case referrals to outside agencies.

7. **Maintain Manageable Caseloads.** Caseloads have climbed slowly but still remain in the 65-75 range.

8. **Develop an Intern Program.** College students interested in Criminal Justice participate in the probation program for course credit, performing a range of activities. Typical internships run 3-4 months.

9. **Citizen Volunteer Program.** A new citizen volunteer program to assist with client job placement has been introduced, modelled on a successful effort with the residential corrections program.

10. **Decrease % of Convicted Persons Incarcerated.** This objective has been well met. In addition, the pre-trial release programs have significantly reduced the number incarcerated pre-trial, especially the poorer clients who would have difficulty making bail.

11. **Develop Specific Services to Meet Special Needs.**

12. **Provide Personal Counseling.** The level of personal counseling is quite high and documented by daily file entries on every contact.

13. **Provide Supervision.** Supervision levels are quite high, but, of course, vary greatly by client needs. For example, an "Early Bird" Program for probationers having trouble looking for a job requires their daily appearance at the probation office in the early morning followed by at least 3 contacts with potential employees.

14. **Referrals to Existing Mental Health Agencies.** A wide range of community social services are used on an informal basis.

15. **Vocational Rehabilitation Counseling and Training.** A staff member from the Department of Vocational Rehabilitation works full-time with the corrections program.
16. Remedial Education. The Community College provides evening classes for corrections clients at the community corrections office.

17. GED Classes. Provided through the Community College at the community corrections office.

18. Program for Offenders with Drinking Problems. A program supported by the National Institute for Alcohol Abuse now serves 65 probationers. These funds support one P. O. to work in this program.

19. Program for Drunk Drivers. A special program supported by the Department of Transportation now explicitly serves 77 probationers. Funds support P.O. participation in this program.

20. Program for Offenders with Drug Problems. A private organization, ADAPT, runs this program with County and Federal support.


22. Improve Social Effectiveness of Individuals. The specific services are intended to contribute to meeting the individual's needs.

23. Maintain Employment. Employment is viewed as a major factor indicated in keeping recidivism down. Strong emphasis is placed on employment.

24. Lower Recidivism: a) during probation, b) after probation. Community safety is reflected in low recidivism while on probation. Correctional effectiveness is reflected in low recidivism after release.

4.2.3 Refer to Exhibit 2 for information on potential and actual measurements.
Exhibit 1
Intervention Process Flow Diagram

1. Funds
2. Provide a Locally-Administered Probation Program
3. Evaluation
4. Other Components of the Comprehensive Program:
   - pre-trial release
   - pre-trial release with supervision
   - residential corrections
5. Increase Use of Probation as a Disposition
6. Maximum Utilization of Community Service Resources
7. Maintain Manageable Caseloads
8. Develop an Intern Program
9. Citizen Volunteer Program
10. Decrease % of Convicted Persons Incarcerated
11. Develop Specific Services to Meet Special Needs
12. Provide Personal Counseling
13. Provide Supervision
14. Referrals to Existing Mental Health Agencies
15. Vocational Rehabilitation Counseling and Training*
16. Remedial Education*
17. GED Classes*
18. Program for Offenders with Drinking Problems*
19. Program for 'Drunk' Drivers**
20. Program for Offenders with Drug Problems*
21. Job Placement*
22. Improve Social Effectiveness of Individuals
23. Maintain Employment
24. Lower Recidivism
   --during probation
   --after probation

*Formal arrangements with staff of other agencies provided to work with probationers
**Probation staff working in specialized area with external support

[Note: Detailed description of how (22) improved social effectiveness results from the several service programs was not attempted; most of these services are of a referral nature and their mechanisms are beyond the present scope.]
<table>
<thead>
<tr>
<th>Block</th>
<th>Additional Potential Measures</th>
<th>Actual Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Funds</td>
<td>Program Expenditures</td>
</tr>
<tr>
<td>2.</td>
<td>Provide a Locally Administered Probation Program</td>
<td>Includes comparison among programs. Includes costs/probationer/day.</td>
</tr>
<tr>
<td>3.</td>
<td>Evaluation</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Other Components of the Comprehensive Program: a) Pre-trial release, b) pre-trial release with supervision, c) residential corrections</td>
<td>No. by demographic breakdowns, etc. No good baseline of probation usage pre-program No. active, no. intake, no. by offense, no. by pre-trial handling</td>
</tr>
<tr>
<td>5.</td>
<td>Increase Use of Probation as a Disposition</td>
<td>No. of referrals, % of various services rendered from outside sources</td>
</tr>
<tr>
<td>6.</td>
<td>Maximum Utilization of Community Service Resources</td>
<td>Average monthly caseload</td>
</tr>
<tr>
<td>7.</td>
<td>Maintain Manageable Caseloads</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Develop an Intern Program</td>
<td>No. of Interns None</td>
</tr>
<tr>
<td>9.</td>
<td>Citizen Volunteer Program</td>
<td>Volunteer effect on caseload; effect on probationer unemployment. (New)</td>
</tr>
<tr>
<td>10.</td>
<td>Decrease % of Convicted Persons Incarcerated</td>
<td>Separate effects of probation, residential corrections, alcohol and drug programs.</td>
</tr>
<tr>
<td>11.</td>
<td>Develop Specific Services to Meet Special Needs</td>
<td>No. of convictions, Average daily jail populations - 1970 on (census weekly) Actual no. of prison commitments from the District and the state - 1972 on (includes revocations) Services provided to each client. Composite no. of services rendered.</td>
</tr>
<tr>
<td>12.</td>
<td>Provide Personal Counseling</td>
<td>Entry and exit observations by P.O. regarding client, file contains no. of contacts.</td>
</tr>
<tr>
<td>Block</td>
<td>Additional Potential Measures</td>
<td>Actual Measures</td>
</tr>
<tr>
<td>-------</td>
<td>-----------------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>13.</td>
<td>Provide Supervision</td>
<td>File contains no. of contacts, check on agent's reporting of offenses to court occasionally</td>
</tr>
<tr>
<td>14.</td>
<td>Referrals to Existing Mental Health Agencies</td>
<td>% receiving services from community sources, No. of services</td>
</tr>
<tr>
<td>15.</td>
<td>Vocational Rehabilitation Counseling and Training</td>
<td>% of skilled or above at entry and exit. Client engaged in vocational activity or not.</td>
</tr>
<tr>
<td>16.</td>
<td>Remedial Education</td>
<td></td>
</tr>
<tr>
<td>17.</td>
<td>GED Classes</td>
<td></td>
</tr>
<tr>
<td>18.</td>
<td>Program for Offenders with Drinking Problems</td>
<td></td>
</tr>
<tr>
<td>19.</td>
<td>Program for Drunk Drivers</td>
<td>Incidence of alcohol-related fatal accidents; Rearrests for same offense, other arrests with alcohol involvement</td>
</tr>
<tr>
<td>20.</td>
<td>Program for Offenders with Drug Problems</td>
<td>% receiving and no. of services No. of known illegal usages and receipt of treatment for each probationer</td>
</tr>
<tr>
<td>21.</td>
<td>Job Placement</td>
<td>No. of placement services, % needing and receiving services; No. of job assignments and interviews for each probationer.</td>
</tr>
<tr>
<td>22.</td>
<td>Improve Social Effectiveness of Individuals</td>
<td>Legal dependents, public assistance, income and source, student status, marital status, and living arrangements at entry and exit.</td>
</tr>
<tr>
<td>Block</td>
<td>Additional Potential Measures</td>
<td>Actual Measures</td>
</tr>
<tr>
<td>-------</td>
<td>-------------------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td>23. Maintain Employment</td>
<td></td>
<td>% employed at entry* and exit. No. of jobs held, times fired, weeks on longest job, no. of weeks employed and total taxable income while on probation for each probationer. Survey of ex-probationers regarding maintenance of employment.</td>
</tr>
<tr>
<td>24. Lower Recidivism:</td>
<td></td>
<td>Termination by type, new arrests after termination, % arrested after termination by type of offense, arrests and % arrested during probation - by type of offense. No. of rule infractions disciplined.</td>
</tr>
<tr>
<td>a) during probation,</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) after probation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

General

Interactions (e.g., unemployment and addiction) in relation to recidivism;
Relation of specific activity measures (e.g., referral in job skills) to activity outcome (e.g., upgrading of job skills) and to criminal behavior (e.g., recidivism).
State Evaluation Bureau (Dept. of Social Services) is working toward a State Corrections Information System with tracking capabilities, possible follow-ups regardless of new charges.

Dissertation underway on impact of comprehensive programs on the Criminal Justice System (e.g., on Judge, Sheriffs, Police).

*Overstated because many lose these jobs by time of entry into probation -- data gathered pre-trial not at intake into probation.
1.0 Project Description

1.1 Project Title: Volunteers in Probation (Court Counseling Program)

1.2 Project Location: Vanderburgh Circuit Court, Evansville, Indiana

1.3 Project Purpose:

General: Provide additional social services to probationers beyond the capabilities of the probation office.
Principal Goal: Lower recidivism rate through enhanced probationer development in terms of attitudes, values, behavior, and adjustment to society.
Supporting Goals:
1. Perform additional social services to clients through volunteer counselors on a one-to-one basis.
2. Provide additional educational and training services through volunteers with specialized skills (transactional analysis, etc.)
3. Provide services to probationers and others by the program staff themselves.
4. Program staff efforts to enhance community awareness and involvement.
5. Help with specific needs, particularly employment.
6. Provide additional probationer supervision.

1.4 Project Expenditures:

<table>
<thead>
<tr>
<th>Period</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>September, 1970 - August, 1971</td>
<td>20,130.54</td>
</tr>
<tr>
<td>September, 1971 - September, 1972</td>
<td>25,333.02</td>
</tr>
<tr>
<td>September, 1972 - August, 1973</td>
<td>30,173.68</td>
</tr>
<tr>
<td>September, 1973 - June, 1974</td>
<td>39,965.68</td>
</tr>
<tr>
<td>July, 1974 - June, 1975</td>
<td>38,445.56</td>
</tr>
<tr>
<td>July, 1975 - March, 1976</td>
<td>21,830.73</td>
</tr>
</tbody>
</table>

1.5 Project Duration:

Beginning: 1969
Ending: June 30, 1976

2.0 Project History: The volunteer program was initiated by Circuit Court Judge Miller in 1969 with Ms. Becker, then a senior at the University of Evansville working in conjunction with a Probation Officer, Mr. Walls. LEAA funding has continued from 1970 through June, 1976 at a level of 2 or 3 staff (not including secretarial support) throughout. Ms. Becker has been program co-ordinator throughout; Mr. Hood has been assistant since 1972. The number of active volunteer counselors has averaged over 50 per year for the past 6 years. In the absence of financial support, the project will end this June 30.
3.0 Visit Summary;

1. A series of meetings with Pat Becker, Volunteer Program Co-ordinator, to discuss background, goals, client description, costs, and data collection -- interspersed with discussions with other persons.
2. Two meetings with Ed Marske, Local Evaluator for 1973 - 74 and 1974 - 75 as LEAA Regional Corrections Co-ordinator.
3. Lunch meetings with Ken Hood, Assistant Co-ordinator, and Pat Becker to discuss the program in general.
4. Meeting with Judge Miller, official Program Director -- also in charge of the Adult Probation Office, regarding project goals and attainment.
5. Meeting with Jack Bamey, Chief Probation Officer, to discuss project goals and attainment.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit)

4.2.1 Overview of Activities and Assumed Sequence of Causation:

The volunteer program supplements the Adult Probation Office's service capabilities. The Probation Office employs 3 P.O.'s to handle about 300 convicted felons on probation, perform pre-sentence investigations, etc., and thus has little capability to perform significant social services to probationers.

The volunteer program staff of two operates from an old home adjacent to the University of Evansville campus (the University administers the program as subcontractor to the Circuit Court). They provide a less threatening milieu from which to offer services to probationers of two sorts. First, the staff recruits, trains and supports community volunteers who work either on a one-to-one basis with probationers or offer specialized training such as the Dale Carnegie Course, Transactional Analysis, or GED tutoring to groups. One-to-one volunteer efforts are primarily intended to offer friendly support and assistance to probationers; in addition, they provide for increased levels of supervisory contact. The second sort of service is that provided directly by the staff in the areas of supportive counseling, community service referrals, and job placement.

Both direct services of the staff and volunteer activities provide for greater probationer development, enhanced self-functioning, and problem solution. In turn this self-development with enhanced supervision and employment, lead to lowered recidivism rates. (Recidivism rates for probationers with volunteer counselors have been in the range of 5%, calculated on the basis of new convictions in a given year of probationers who participated in the project; those not participating showed recidivism rates about twice this level.) In addition, the project provides informal services to non-probationers as requested and conducts considerable public education activities, and these may contribute to lowered crime rates as well.
4.2.2 Block Details:

1. **Funds.** Approximately $30,000 per year was expended for the operation of the volunteer project.

2. **Volunteer Project Co-ordinator and Assistant.** The professional staff ranged from 2 to 3 over the 7 years of the project; presently there are 2 who have been with the project since 1969 and 1972, respectively.

3. **Facility Separate from Probation Office.** A site away from the probation office is less threatening to clients.

4. **Drop-in Services for Anyone.** A non-threatening staff and site have induced numerous appeals for assistance from parolees; federal, state, and local convicts and ex-offenders; and contacts of clients served formally.

5. **Direct Support to Probationers.** Staff provides social services at the initiative of probationers and request of volunteer counselors.

6. **Volunteer Support Activities.** Staff operates the volunteer program.

7. **Public Information.** Staff, particularly the ex-offender assistant co-ordinator, speak to many civic groups, high school classes, and others in the community concerning the project and other aspects of the criminal justice system. Efforts are aimed toward volunteer recruitment, enhanced community awareness, and crime prevention.

8. **Provide Job Placement.** One of the direct support services provided primarily by the professional staff, although volunteers also assist, is job placement. The third staff member directed his major effort on this.

9. **Counseling/Support.** Provided by the staff in addition to their volunteer activities.

10. **Community Service Referrals.** Performed primarily by the professional staff. In addition, they have prepared a directory of community services for volunteer use.

11. **Recruit Volunteers.** Includes personal contacts and media campaigns.

12. **Train Volunteers.** Involves the staff, Judge, University of Evansville faculty, and Probation Office in orienting newly recruited volunteers. In-service training also takes place at times.

13. **Match Volunteers with Probationers.** The project coordinator and Chief Probation Officer work together to match available volunteers with suitable probationers.

14. **Provide Support Services to Volunteers.** Project staff respond to volunteer problems and prepare a monthly newsletter to aid the volunteer effort.

15. **Support for Other Innovative Programs.** The favorable experience of the volunteer program has possibly contributed to community and local criminal justice system acceptance of other new programs since instituted.

16. **Volunteer Counseling of Probationers.** Volunteers, matched with probationers, engage in interactions on a regular basis, weekly if possible. Monthly reports as requested.

17. **Specialized Volunteer Activities.** These encompass various group activities as a function of offender needs and available volunteer skills. Transactional analysis, GED tutoring, and Dale Carnegie courses are examples.
18. **Employment.** Job placement efforts help provide suitable employment.

19. **Provide Options for Probationer Assignment.** The availability of the project staff and the volunteers greatly enhances the possibility of a positive probationer-counselor interaction over that provided by the Probation Office alone.

20. **Provide Services.** Volunteers assist their probationers with guidance, transportation, etc., as the situation warrants.

21. **Friendship, Confidant.** A basic intent of the counselor-probationer interaction is to provide a caring, friendly relationship.

22. **Supervisor.** In addition to the friendly counselor role, the greater amount of regular contact with someone representing the probation function provides enhanced 'checking-up' on the probationer.

23. **Free-up Probation Officer Time.** This was seen as only a possible, minor consequence of the volunteer project. Far more significant was the enhanced level of social services which would not be feasible without the project.

24. **Enhanced Community Awareness of Criminal Justice Programs.** The involvement of citizens in the volunteer program increased their awareness of criminal justice. In addition, the public information efforts aimed to increase awareness.

25. **Separates Counseling-Friend Role from "Heavy" Role of P.O..** The separation of these roles offers a greater potential to reach the probationer than that possible when a P.O. has to play a composite role.

26. **Model for Probationer.** Close interaction with a well-functioning volunteer can provide a previously unavailable model for a probationer.

27. **Probationer Development, Enhanced Self-Functioning.** A major objective of the project, benefiting from a number of project activities.

28. **Lowered Recidivism.** A goal of the project is to reduce the incidence of new criminal activity as indicated by criminal convictions.

29. **Less Crime.** Certain project activities represent wide-ranging responses to offender and community needs with potential returns not reflected in formal probationer client recidivism rates.

4.2.3 **Exhibit 2 indicates potential and actual measurements.**
Exhibit 1
Intervention Process Flow Diagram

1. Funds
2. Provide for Volunteer Project Coordinator & Assistant
3. Facility Separate from Probation Office
4. Volunteer Support
5. Direct Support to Probationers
6. Volunteer Support Activities
7. Public Information
8. Provide Job Placement
9. Counseling/Support
10. Community Service Referrals
11. Recruit Volunteers
12. Train Volunteers
13. Match Volunteers with Probationers
14. Provide Support Services to Volunteer
15. Support for Other Innovative Programs
16. Volunteer Counseling of Probationers
17. Specialized Volunteer Activities
18. Employment
19. Provide Options for Probationer Assignment
20. Provide Services
21. Friendship, Confidant
22. Supervision
23. Free-up Probation Officer Time
24. Enhanced Community Awareness of Criminal Justice Program
25. Separates Counseling-Friend Role from "Heavy" Role of P.O.
26. Model for Probationer
27. Probationer Development Enhanced Self-Functioning
28. Lowered Recidivism
29. Less Crime
<table>
<thead>
<tr>
<th>Block</th>
<th>Potential Measures</th>
<th>Actual Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Funds</td>
<td>Dollars</td>
<td>Dollars</td>
</tr>
<tr>
<td>2. Provide for Volunteer Project Coordinator and Assistant</td>
<td>Same as Actual</td>
<td>Employment records</td>
</tr>
<tr>
<td>3. Form Separate Facility from Probation Office</td>
<td>Same as Actual</td>
<td>Direct measurement</td>
</tr>
<tr>
<td>4. Drop-in Services for Anyone</td>
<td>Tabulate activities Log and Chronology of activities</td>
<td>None</td>
</tr>
<tr>
<td>5. Provide Direct Support to Probationers</td>
<td>Log-chronology of contacts</td>
<td>None</td>
</tr>
<tr>
<td>6. Provide Volunteer Support Activities</td>
<td>Activity-time records</td>
<td>None</td>
</tr>
<tr>
<td>7. Provide Public Information</td>
<td>Log-chronology of speaking engagements, etc.</td>
<td>None</td>
</tr>
<tr>
<td>8. Provide Job Placement</td>
<td>Log-chronology of placements</td>
<td>Partially documented (especially when the third staff person worked on this as his main activity)</td>
</tr>
<tr>
<td>9. Counseling/Support</td>
<td>File entry for each action taken (e.g., tried to locate him, he dropped-in, got him a job); time devoted.</td>
<td>Occasionally documented</td>
</tr>
<tr>
<td>10. Community Service Referrals</td>
<td>Log-chronology of referrals</td>
<td>Partially recorded (e.g., Southwest Mental Health referral)</td>
</tr>
<tr>
<td>11. Recruit Volunteers</td>
<td>More documentation on recruiting methods Time invested (degree of difficulty)</td>
<td>Major activities documented, e.g., TV ads, but not speaking engagements, personal contacts, etc. No. who come in for training</td>
</tr>
<tr>
<td>12. Train Volunteers</td>
<td>Tally sheet; Individual Volunteer training records</td>
<td>Document dates, time of session, in-service training sessions (in reports or newsletters)</td>
</tr>
<tr>
<td>13. Match Volunteers with Probationers</td>
<td>For each probationer, note basis for assignment to a particular volunteer; make criteria explicit</td>
<td>None</td>
</tr>
<tr>
<td>14. Provide Support Services to Volunteers</td>
<td>Log-chronology</td>
<td>Not documented, except newsletter</td>
</tr>
<tr>
<td>Block</td>
<td>Potential Measures</td>
<td>Actual Measures</td>
</tr>
<tr>
<td>-------</td>
<td>--------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td>15.</td>
<td>Support for Other Innovative Programs</td>
<td>Subjective Report</td>
</tr>
<tr>
<td>16.</td>
<td>Volunteer Counseling of Probationers</td>
<td>Tabulate; record each meeting</td>
</tr>
<tr>
<td>17.</td>
<td>Conduct Specialized Volunteer Activities</td>
<td>Same as Actual</td>
</tr>
<tr>
<td>18.</td>
<td>Employment</td>
<td>Regularly document job source, salary, etc.</td>
</tr>
<tr>
<td>19.</td>
<td>Provide Options for Probationer Assignment</td>
<td>Subjective Report</td>
</tr>
<tr>
<td>20.</td>
<td>Provide Services</td>
<td>Detailed log of activities and time together</td>
</tr>
<tr>
<td>21.</td>
<td>Friendship, Confidant</td>
<td>Tally activities and duration of relationship</td>
</tr>
<tr>
<td>22.</td>
<td>Supervision</td>
<td>Tally contacts</td>
</tr>
<tr>
<td>23.</td>
<td>Free up Probation Officer Time</td>
<td>No direct measure – e.g., in lieu of volunteer services it is not clear that P.O. would provide those services</td>
</tr>
<tr>
<td>24.</td>
<td>Enhanced Community Awareness of Criminal Justice Program</td>
<td>Survey volunteers; community-at-large</td>
</tr>
<tr>
<td>25.</td>
<td>Separates Counseling Friend Role from &quot;Heavy&quot; Role of P.O.</td>
<td>Subjective; could survey probationers with and without volunteers</td>
</tr>
<tr>
<td>26.</td>
<td>Provide Model for Probationer</td>
<td>Subjective; could survey probationers</td>
</tr>
<tr>
<td>27.</td>
<td>Probationer Development Enhanced Self-Functioning</td>
<td>Before and after personality profiles. Note remedy of problems identified before.</td>
</tr>
<tr>
<td>28.</td>
<td>Lowered Recidivism</td>
<td>Tracking beyond local area and time of probation</td>
</tr>
<tr>
<td>29.</td>
<td>Less Crime</td>
<td>Crime counts, but extremely difficult to unconfound</td>
</tr>
</tbody>
</table>
Site Visit Report
Prepared by
Ronald-L. Rardin

1.0 Project Description

1.1 Project Title: Mutual Objectives Program

1.2 Project Location: State of Michigan (4 counties)

1.3 Project Purpose:
   General: To increase the use of probation as a sentence in felony convictions without reducing public safety.
   Specific Goals:
   1. Provide the capability to negotiate and implement mutual behavioral contracts as conditions of probation.
   2. Reduce recidivism among clients supervised through mutual contracts.
   3. Demonstrate that the mutual objectives approach to probation is superior to the present system and to a probation subsidy program being simultaneously implemented in 4 other counties.

1.4 Project Funding:
For the fiscal year July 1, 1976, through June 30, 1977, approximately $722,000 is budgeted for the program.

1.5 Project Duration:
   Began operations - July, 1975
   Funded through April, 1976
   Anticipate continued funding through April, 1978, and state will assume cost at that time if the project proves more successful than a companion probation subsidy program.

2.0 Project History: The Mutual Objectives Program is one of two experimental programs implemented by the State of Michigan in an effort to increase the use of probation as a sentence in felony cases without reducing public safety. The program is being implemented in four selected counties in Michigan, and the companion probation subsidy program is being implemented in four other counties. After a three year test period the Michigan legislature has indicated that it will institutionalize the most successful of the two programs, if either demonstrates effectiveness. The Mutual Objectives Program began regular operations in July, 1975. The present staff includes 16 probation officers, 6 clerical personnel, and 4 central supervisory and research personnel.

3.0 Visit Survey:

1. Meeting with Mr. Jim Putnam (project director) to discuss project background, objectives, and activities.
2. Meeting with Mr. Lee Weber and Ms. Christine Johns (project research staff) to discuss project data collection and evaluation methods.

3. Meeting with Mr. Thomas Patten, Mr. Bernard Kamerschen, Mr. Dale May, and Mr. James Newell (project supervisory personnel) to discuss project goals and objectives and field operations.

4. Meeting with Ms. Marlene O'Hara and Mr. Frank Crowe (probation officers) to discuss project goals and objectives, and data validity.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit)

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation:

The central concept on which the Mutual Objectives Program is based is one of using a legally enforceable contract, negotiated between the probation officer and the probation client, as a device for bringing about a temporary improvement in the client's life style. The contract is assumed to produce such a change by placing increased pressure for compliance on the client and forcing more detailed supervision by the probation officer. Once a temporary change in clients' life styles has been achieved, it is assumed that clients will tend to raise their personal aspirations and, ultimately, reduce their criminal activity. The resulting improvement in public safety will lead to improved judicial confidence in probation, and thus to the overall project goal of increased use of probation as a sentence.

4.2.2 Block Details:
1. Increased Funds. The Mutual Objectives Program is budgeted to spend approximately $722,000 during the 1976-77 fiscal year.

2. Reduced Caseloads. Through the procurement of additional probation officers, an increase in available funds is assumed to result in decreased caseloads. The size of caseload is presently measured by scoring one supervision unit for each active probationer, five units for a complete pre-sentence investigation, and two units for a partial pre-sentence investigation. Since the length and complexity of pre-sentence investigations is well regulated by administrative review and regulations, these measures appear quite adequate.

3. Improved Case Screening and Evaluation. One assumed consequence of reduced caseloads is improved screening of clients for mutual contracting as a result of increased agent time per case. No formal measurements of the screening process are currently performed. Ideally, the measurement would reflect the degree to which clients selected for mutual contracting ultimately benefit from such supervision. An adequate substitute would consist of a properly validated scoring instrument associating various aspects of case history with expected success or failure.

4. More Detailed and Accurate Determination of Client Treatment Plans. As a result of increased officer supervision time...
and improved screening, the project assumes treatment plans prepared for clients during the early weeks of supervision will be both more appropriate and more detailed. For example, the plans will not merely suggest that the client should seek assistance for an alcohol program, but specify the particular program to be pursued and the arrangements made with the program for the client's participation. The problem of measuring appropriateness of program raises the same measurement issues as those at block 3. The level of detail is presently measured only through supervisory review of the negotiated contracts. A completely satisfactory approach would be a systematic review of contract provisions, scoring them for specificity.

5. **Provide Court Authority for Contracting.** A fundamental element of the mutual objectives contracting approach to supervision is the provision of court authority for legally binding contracts.

6. **Provide Legally Enforceable Mutual Objective Contracts.** The combination of treatment plans which are sufficiently detailed to be enforceable and authority of the court for contracting permit mutual contracts to be negotiated which are legally binding. Through the authority of the courts, it is also possible to include in the contracts provisions for early release upon successful completion of contract provisions. The provisions of contracts is presently measured simply by the number of contracts negotiated. This measure is satisfactory.

7. **Increased Officer Follow-Up Activity in Implementing Plans.** Additional specificity in treatment plans developed for clients and the burden of enforcing legally binding provisions of the contracts are assumed to place a special burden on probation officers. Such more specific responsibilities are presumed to lead to additional follow-up activity by officers in connection with the implementation of treatment plans. The level of officer activity is presently measured only by narrative summaries of contact which are recorded in field books. However, the project contemplates some form of questionnaire administered to clients and a post-classification of contacts by project research staff. Ideally, the entire quantity of officer activity would be measured in recording the amount of follow-up contact. One satisfactory alternative would be a thorough and well-understood classification of contacts which probation officers could use as they record material in field books.

8. **Increased Officer Familiarity with Cases.** The increased contacts with cases implicit in follow-up activity on treatment plans and the general intensifying effect of reduced caseloads are presumed to lead to increased officer familiarity with cases. Present and planned measures of this familiarity are only as specified at block 7. An ideal measure would reflect accurately the knowledge about each case possessed by the officer, including factual matters (e.g., whether the client is employed) and judgmental matters (e.g., whether the client's attitude is improving). However, it would probably only be possible to measure officer's knowledge of factual matters.
9. **Provide Opportunity to Purchase Services for Clients.** An important contribution of the increased funds provided for the project is provision for purchase of education, psychological, and treatment services for clients. Approximately $70,000 per year is budgeted for such purchases of services. Usage of such services is presently measured only in terms of the dollar amount spent each month. Ideally, the measurement would indicate the increase in service availability resulting from purchase. It would appear practical to record usage of broad classes of services and compare to the usage that would be possible if funds were not available.

10. **Increased Client Willingness to Comply with Contract Plans.** A host of influences of blocks 6, 7, 8 and 9 are assumed to result in increased client willingness to comply with provisions of his mutual contract. The facts that the contract is mutually negotiated between the client and the officer, that it is legally binding, and that it contains legally enforceable rewards, are one group of forces for client cooperation. Increased officer encouragement and monitoring provides another. Finally, the availability of funds for purchase of services is assumed to make treatment plans more ambitious and hopeful from the client's point of view. The project does not now provide any direct measures of this increased willingness in clients. Ideally, a measure would accurately reflect client attitude before and after the contract program. It should be possible to devise an attitude survey of clients which captures at least some dimensions of client attitude, and subjective opinions of officers could be recorded as another measure.

11. **Increased Client Participation in Treatment Programs.** The improved client attitude at block 10 is assumed to interact with the influences of blocks 4 and 9 to produce increased client participation in community programs. Block 9 aids in such increases by providing funds for participation in programs. Block 4 contributes by providing more specific plans which are more likely to actually produce results. The project presently measures participation only in the form of reports received from the programs—typically attendance reports. An ideal measurement would not only record attendance, but reflect the enthusiasm and progress exhibited by the client. However, confidentiality considerations probably make such complete reports from treatment programs impractical.

12. **Increased Client Employment.** A number of the programs in which clients are enrolled are education and job training programs assumed to directly assist in obtaining employment for clients. These programs combine with the improved client attitude at block 10 and the increased officer activity at block 7 to produce increased client employment. Client employment is presently measured only through narrative comments in officer field books, but the project plans to institute a more quantitative measure of employment through post-review of case books.
by project research personnel. Ideally, the type of employment, stability of employment, earnings, and numerous other dimensions of employment would be measured. Earnings and stability of employment would appear to be the most easily obtained (through pay stubs).

13. Temporary Improvement in Client's Life Style. Increased employment at block 12 and participation in treatment programs at block 11 are presumed to combine in achieving a temporary improvement in clients' life styles. The improvement may be only an artificial one because it is partially a consequence of the legal authority of the probation officer. The project presently records client life style only through narrative comments in field books. Ideally, a quantitative measure of successful life style would be applied. However, it is probably only possible to measure the objective components of life style, including those discussed at blocks 11 and 12, and related ones such as family stability.

14. Increased Client Sense of Autonomy. The longer term effect of a temporary change in life style is presumed to be an increase in the client's sense of autonomy. By having even temporarily achieved a more satisfactory life style, the client begins to believe he or she has options in life and is capable of affecting the direction of his life. The project presently records client attitudes only through narrative comments in field books, although a survey of client attitude is planned. An ideal measure would objectively assess the degree to which clients perceive themselves as capable of affecting their destinies. It would appear practical to combine surveys of clients with instruments completed by probation officers which subjectively assess the degree to which clients have developed a sense of autonomy.

15. Reduced Anti-Social Behavior. One consequence of the increased personal aspirations at block 14 is assumed to be a decrease in anti-social behavior due to increased feelings of having a stake in the future. As in other matters of client attitude and behavior, the project presently measures anti-social behavior only through narrative comments in case books. An ideal measure would classify all client behavior according to its anti-social content. It would appear practical to devise an instrument to be completed regularly by officers which subjectively categorized client behavior patterns.

16. Reduced Recidivism. One type of anti-social behavior reduced is expected to be criminal behavior. Thus a reduction in recidivism is anticipated. The project presently measures recidivism on the basis of clients incarcerated for technical violations and (separately) clients arrested while on probation. The recidivism rate is determined by dividing the number of such "failures" by the total number of active clients. An ideal measure of recidivism would include the dimensions presently being measured plus a concept of
the seriousness of subsequent offenses and a period of follow-up after release from probation. Such an ideal measure should be practical with existing information systems.

17. **Earlier Detection of Violations.** One side effect anticipated as a consequence of increased officer familiarity with cases is an earlier detection of clients in violation of probation. This earlier detection of violators is not presently being studied by project personnel. It should be possible to obtain a satisfactory measure of the phenomenon by comparing time to technical violations in project and appropriate control groups.

18. **Increased Public Safety.** The combined effects of reduced recidivism and earlier detection of violations is increased public safety. Public safety is measured by the incidence of crime and public perceptions of the crime threat. The project presently intends to measure public safety only through reported crime rates. An ideal measure would reflect unreported crime and public perceptions, but reported crime is probably sufficient for most considerations.

19. **Improved Public and Judge Confidence in Probation.** Increased public safety provided by a successful probation program is presumed to ultimately result in improved public and judge confidence in probation. The project does not presently plan a direct assessment of public attitudes but will administer an attitude questionnaire to judges. An ideal measurement would thoroughly measure attitudes of both the general public and judges. However, attitudes of judges are much more directly influential in probation and thus concentration on judges is appropriate. It would appear feasible to use polling techniques to obtain public viewpoints.

20. **Wider Use of Probation.** The principal goal of the mutual objectives program is to achieve wider use of probation in felony cases without decreasing public safety. This goal will be achieved if improved attitudes at block 19 are reflected in increased use of probation sentences by judges. The project is measuring the use of probation on the basis of the fraction of felony convictions which result in probation. That measure appears completely adequate.
Exhibit
Intervention Process Flow Diagram

1. Increase Funds
   2. Reduced Caseloads
   3. Improved Case Screening and Evaluation

5. Provide Court Authority for Contracting

6. Provide Legally Enforceable Mutual Objective Contracts

7. Increased Officer Follow-Up Activity in Implementing Plans

8. Increased Officer Familiarity with Cases

9. Provide Opportunity to Purchase Services for Clients

10. Increased Client Willingness to Comply with Contract Plan

11. Increased Client Participation in Treatment Programs

12. Increased Client Employment

13. Temporary Improvement in Client's Life Style

14. Increased Client Sense of Autonomy

15. Reduced Anti-Social Client Behavior

16. Reduced Recidivism

17. Earlier Detection of Violations

18. Increased Public Safety

19. Improved Public And Judge Confidence in Probation

20. Wider Use of Probation
Site Visit Report
Prepared by
C. Brent Hirschman

1.0 Project Description

1.1 Project Title: Volunteer Probation Counselor Program

1.2 Project Location: Lincoln, Nebraska

1.3 Project Purpose: Certain misdemeanant offenders can derive benefit from one-to-one counseling relationships with carefully selected and trained citizen volunteers. These relationships would, in turn, re-educate the client into well adaptive behavior patterns and thus reduce recidivism or the commission of additional offenses by the client.

2.0 Project History. Very little exact history could be learned from the literature studied. The program was successful enough to be chosen by the National Institute of Law Enforcement and Criminal Justice as an exemplary project. The project was designed to handle young (16-25) misdemeanor offenders from the Lincoln-Lancaster Municipal Court. An evaluation study was performed for the NILECJ by the Department of Psychology of University of Nebraska—Lincoln in 1972-74. The current status of the program is unknown.

3.0 Visit Summary. No site visit was made to Lincoln, Nebraska. This entire report is based upon literature received about the project. The literature consisted of a publication of the National Institute of Law Enforcement and Criminal Justice on The Volunteer Probation Counselor Program, Lincoln, Nebraska, an exemplary project. Publishing was performed by the U. S. Government Printing Office in Washington, D. C. in 1975.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit)

4.2 Intervention Diagram Narrative:

4.2.1 Overview of Activities and Assumed Sequence of Causation:

The principal theme of the diagram is the utilization of community volunteer probation counselors in a one-to-one relationship with clients thus emphasizing increased responsibility and acceptable behavior patterns by the client. Clients and volunteers are assigned according to several factors including common interests, client needs, and volunteer training and capabilities.
4.2.2 Block Details:

1. **Volunteers Recruited and Screened.** Various community service and religious organizations as well as person to person contacts provide a source of volunteers for the program. The volunteers fill out an application including information on: education, employment, interests, experience in counseling and demographic/census background. This provides information useful in assigning clients. This procedure provides adequate measures for collecting and evaluating information.

2. **Volunteers Trained in Counseling.** Extensive training in counseling techniques and crisis counseling is given to the volunteers. Well structured training and orientation sessions are completed prior to assignments with a client. Continued weekly informal training sessions are also held for experienced volunteers. This procedure is ideal for preparing the volunteers thus there are no gaps.

3. **Client Pre-Sentence Investigation.** Following conviction of the client an extensive pre-sentence investigation is performed. Personal and family interviews provide background data on interests, problems and potential progress areas. The client is also classified according to the tendency to commit additional offenses as either "high-risk" or "low-risk." Psychological tests are also performed. These measures are again ideally suited for collecting necessary information and leave no gaps.

4. **Client Volunteers for Program.** At the sentence hearing the offender is advised of his alternatives by the judge and then the offender selects the option he wishes to pursue. This aspect of the diagram is critical as the offender must make the decision and is not forced into the program against his will.

5. **Client Orientation to the Program.** The program is fully explained to the client by staff personnel in a series of meetings following the probation hearing. Clarification of terms, expectations, and crisis situations are discussed and handled. The staff counselor gains additional impressions about the kind of volunteer probation counselor who should be assigned to the probationers. Ideally, notes on the attitude and other factors of the client should be made; however, it is not known whether such notes are kept.

6. **Client and Volunteer Assigned.** After approximately 4-6 weeks of intensive orientation the needs and interests of the probationer are matched with the compatible characteristics of a volunteer counselor. A minimum number of contacts are required but are usually exceeded, especially at first during the building part of the relationship. Careful correlation of psychological factors between client and volunteer must be used in making the assignments. Ideally, correlation charts should be used and are being practically applied thus again showing no gaps between ideal and actual procedures.
7. **One-to-One Relationship Develops.** As the volunteer becomes more involved, the staff worker assumes the role of advisor. The matching of interests and complementary characteristics aids in breaking down initial barriers. The volunteer's training also helps in guiding the relationship toward its objective and in handling crisis situations. The probation officer plays a very small role in the activities from this point on. The progress of the client in using referral agencies, meetings with the volunteer and the developing relationship are reported monthly by the volunteer. These reports provide very good data and thus leave no gaps between the ideal and actual.

8. **Volunteer Counselor Evaluated.** The monthly reports are closely reviewed to gain not only information about probationer progress but also to evaluate the volunteer counselor's performance. Both new and experienced volunteers are observed to avoid serious problems that could easily get out of control and to assess motivation and the attention to the relationship. Input is used in providing better training for new volunteers and better screening and elimination of volunteers that are undesirable. Some scaling factors should be developed ideally but the actual procedures are unknown.

9. **Fewer Revocations.** The closer relationship developed during the one-to-one counseling between the client and the volunteer leads to fewer revocations. The client's problems are well known by the volunteer and those situations that can't be handled before reaching crisis proportions are handled with the attitude of allowing the probationer as many chances as possible. The volunteer counselor also receives specific training in handling crisis situations which is essential in every relationship. The additional time and attention afforded the client by the volunteer cannot be matched by the probation officer with the other offenders. Ideally, some notation should be made of those crisis situations in which normally revocation would have occurred but as a result of volunteer counseling no revocation was pursued. It is not known what practical measures are taken.

10. **Client Learns Better Behavior Patterns.** As a result of the example and counseling of the volunteer, the client is encouraged to adopt a better behavior pattern. Two basic learning tasks are impressed upon probationers during counseling. One deals with assuming responsibility for one's self and behavior, a necessary condition for a satisfactory participation in society. A realistic understanding of one's self and life situation is another essential condition for successful participation in the community. As the client learns these tasks the volunteer counselor
is present to reward and encourage and guide the client through these difficult learning experiences. The progress is reported monthly by the volunteer counselor and the ideal and practical measures are similar, leaving no gaps.

11. Reduced Recidivism. Better behavior patterns developed by the relationship discourage both implicitly and explicitly the committing of additional offenses during the probationary period. The ideal and practical methods leave no gap in this measurement.
Exhibit
Intervention Process Flow Diagram

1. Volunteers Recruited and Screened
   ↓
2. Volunteers Trained in Counseling
   ↓
3. Client Pre-Sentence Investigation
   ↓
4. Client Volunteers For Program
   ↓
5. Client Orientation to Program
   ↓
6. Client and Volunteer Assigned
   ↓
7. One-to-One Relationship Develops
   ↓
8. Volunteer Counselor Evaluated
   ↓
9. Fewer Revocations
   ↓
10. Client Learns Better Behavior Patterns
    ↓
11. Reduced Recidivism
1.0 **Project Description**

1.1 **Project Title:** Harlem Probation Project

1.2 **Project Location:** New York City, New York (Harlem section)

1.3 **Project Purpose:** Reduce recidivism of probationers in Harlem through the use of supervision teams including indigenous para-professionals supervised by regular probation officers.

1.4 **Project Funding:**

<table>
<thead>
<tr>
<th>Period</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>February, 1973 through July, 1974</td>
<td>$159,444</td>
</tr>
<tr>
<td>August, 1974 through July, 1975</td>
<td>$117,725</td>
</tr>
<tr>
<td>August, 1975 through April, 1976</td>
<td>$37,103</td>
</tr>
<tr>
<td>Total</td>
<td>$314,272</td>
</tr>
</tbody>
</table>

1.5 **Project Duration:**

- Initial funding - February 1, 1973
- Funded through September, 1976
- New York City fiscal crisis has negated plans for institutionalization when grant expires.

2.0 **Project History.** The Harlem Probation Project is an effort by the New York City Probation Department in cooperation with Harlem Teams Incorporated (a community action organization) and Harlem Public Hospital, to demonstrate the effectiveness of probation supervision by teams consisting of indigenous para-professionals under the supervision of a probation officer. Due to disagreements between the three principal parties and New York City's fiscal crisis, the project has not achieved a stable operating situation in its three years of existence. However, the project regularly supervises more than 120 clients. As of June, 1976, the project staff consisted of 1 project coordinator, 2 probation officers, 4 para-professionals, and 2 clerical personnel.

3.0 **Visit Summary.**

1. Visit with Sam Jenkins (Project Coordinator), Ilene Navarro, Will Grandy and Ronald Guy (Criminal Justice Planning Agency Personnel), Rita Rectin and Frank Cannon (Probation Department Research and Planning Personnel) to obtain background on the project and an overview of project goals, objectives and activities.

2. Visit with Lilly Collymore and Veronica Boasi (Probation Department Fiscal Staff) to obtain cost information.

3. Visit with Sam Jenkins to complete discussion of project goals and objectives.
4. Visit with Ilene Navarro, Sam Jenkins, and Will Grandy to discuss project data collection and evaluation.

5. Visit with Peter Teele (Probation Officer), Stanley Garrett (Para-Professional), Ilene Navarro and Will Grandy to discuss project goals and objectives.

6. Meeting with Dr. Rosenberger (Consulting Psychiatrist to the project) to discuss project history, training programs, goals and objectives.

4.0 Intervention Diagram and Narrative.

4.1 Intervention Process Flow Diagram: (See Exhibit)

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation:
The central element of the Harlem Probation project is probation supervision through teams consisting of indigenous para-professionals under the supervision of a probation officer and housed in neighborhood centers. This concept offers a series of direct benefits as a consequence of the special knowledge of the indigenous para-professionals and the improved attitudes engendered by the neighborhood office location. The probation team gains increased familiarity with community services in the area and thus makes improved referrals; an increasingly honest relationship is developed between the para-professional and the client because probation personnel are not so easily "conned". This relationship, together with the example of a para-professional advancing through the in-service training inherent in the team concept, leads to increases in clients' self-expectations, and ultimately to reductions in recidivism.

4.2.2 Block Details:
1. Increased Funds. Through September, 1976, the project will have expended approximately $314,000.

2. Decentralize Probation to Neighborhood Office. One use of the project funds was to acquire neighborhood office facilities in the Harlem area for the project team.

3. Implement Use of Teams with Indigenous Para-Professionals. The most important consequence of increases in funds is the capability to increase staff in order to provide probation officers and para-professionals for supervision teams. Two or three para-professionals work under the supervision of a Probation Officer, with clients being assigned directly to para-professionals.

4. Improved Community Attitudes Toward Probation. Location of indigenous personnel in the probation facility in the Harlem neighborhood is assumed to result in improved public attitudes toward probation. One important reason for the improvement is after-hours and public relations activities carried on by project personnel presumed to have a direct interest in the neighborhood. The project
presently makes no attempt to measure community attitudes. An adequate and implementable method to provide measurement is using opinion polling procedures to sample public opinion.

5. **Decreased Client Hostility Toward Probation.** Improving community attitudes toward probation at block 4 are presumed to combine with the convenience of a probation office being located in the neighborhood to produce a decrease in clients' hostility toward probation. The project sampled probationer opinion only once, on the basis of a questionnaire designed by probation department staff. An ideal measure would objectively and continuously monitor client opinions. However, a regular and thoroughly-validated survey for clients to self-report attitudes is the most thorough practical procedure.

6. **Institute Large-Scale Training Program.** The team supervision concept provides inherent opportunities for probation officers to train para-professionals. Such opportunities are assumed to combine with funds to hire outside consultants in the creation of a large-scale training program. The project presently measures its substantial training efforts only in the number of hours spent in training by project staff. An ideal measure would record the amount of learning experienced by the staff and the use made of training, as well as the amount of time spent. It should be practical to administer examinations which measure at least the staff's learning of facts and concepts.

7. **Increased Career Opportunities for Para-Professionals.** The team concept, together with the training program, are assumed to lead to increased career opportunities for para-professionals. The project presently measures such developments only through formal courses completed by para-professionals. An ideal measure would objectively assess career opportunities open to the para-professionals after a period of service with the project. It would appear practical to combine measures of educational achievement with an analysis of jobs to which para-professionals move after service in supervision teams.

8. **Reduced Effective Caseloads.** Each para-professional in the team carries direct responsibility for a portion of the caseload. Because para-professionals are paid less than probation officers, it is assumed that the team concept permits reductions in effective caseloads associated with a given amount of funds. Caseload is not formally calculated by the project, but staff consider para-professionals to be equivalent to perhaps 40% of a probation officer in supervision capability. Such an approach appears satisfactory and practical.

9. **Increased Officer Sensitivity to Clients' Needs.** Large-scale training (including instruction in counseling techniques), reduced caseloads, and the special indigenous knowledge of para-professionals are assumed to combine in producing an increase in officer sensitivity to
clients' social and psychological needs. The project has measured such a phenomenon only through a one-time survey of staff attitudes. An ideal measure would compare officer assessments of client needs against a measure obtained from some objective source. However, it only appears practical to survey staff attitudes on a regular basis.

10. **More Honest Interaction Between Client and the Probation Team.** The team concept is assumed to facilitate a more honest relationship between probation staff and the clients in a number of ways. Indigenous knowledge of para-professionals reduces clients' ability to "con" the staff; the semi-official role of the para-professionals decreases the threat he poses to the client. These effects are presumed to be complemented by the increased officer sensitivity at block 9 and the improved client attitude at block 5. The relationship between staff and clients is presently measured only through counts of contacts with clients, and narrative summaries maintained in case records. An ideal measure would objectively assess both the quality and the quantity of the relationship in a quantitative way. It should be practical to apply a system of classifying contacts into categories reflecting quality and quantity, and to supplement such contact counts with appropriate surveys of client and officer attitude.

11. **Increased Probation Team Familiarity with Community Services.** Another assumed consequence of decentralization of probation facilities and use of indigenous staff is an improvement in the supervision team's familiarity with community service programs to which clients might be referred. The project presently makes no formal measurement of staff familiarity with such services. Ideally, a measure would detect staff knowledge of both factual questions about services (e.g., location, admission requirements, etc.), and efficacy of the services. However, the inherent subjectivity of efficacy probably limits measurement to testing of staff familiarity with factual information.

12. **Increased Client Success in Community Service Programs.** The increased staff sensitivity to client needs at block 9 and the increased knowledge of community services at block 11 are assumed to combine in producing improved placement, and thus improved client success in community service programs. The project presently measures only referrals to community service agencies. An ideal measure would reflect client attendance at such programs, enthusiasm for the program, and achievement. However, the confidentiality of the client's relationship with such programs probably limits the feasible measurements to indications of client attendance and a summary report of achievement upon completion of a program.

13. **Increased Client Sense that Para-Professional Cares About Him.** A principal assumed consequence of the more honest
relationship at block 10 is an increase in client's perceptions that probation staff—particularly the para-professionals—are concerned about their lives. Measurement of client attitudes is discussed at block 5.

14. **Increased Client Identification with the Para-Professional.** One presumed effect of the improving relationship between client and para-professional exhibited at blocks 10 and 13 is client identification with the personality and life style of the para-professional. This effect is increased by the example presented when a para-professional is expanding his career opportunities (block 7). Measurement of client attitudes is discussed at block 5.

15. **Improved Client Situational Judgment.** Project staff believe an important cause of client criminal behavior is a tendency to act before thinking or considering socially-acceptable alternatives. An increased client ability to discuss problems with the para-professionals as a result of the more honest relationship at block 10 and the successful example of the para-professional are assumed to assist in improving client judgment in difficult situations. Client behavior is presently measured only through narrative comments in case records. An ideal measure would objectively assess client behavior on the basis of effectiveness of judgment in the sense of dealing with problems without resorting to anti-social behavior. It should be practical to devise a valid instrument by which probation staff subjectively classify client behavioral patterns.

16. **Increased Client Self-Expectation.** Increasing client social skills at block 12 and 15 and the influence of the para-professional at blocks 13 and 14 are assumed to bring about a change in clients' self-expectations. Especially because other persons seem to care about him, the client cares more about his own life. Client expectations are not formally measured by the project. An ideal measure would objectively and quantitatively assess what clients expect for themselves. It should be possible to implement a more limited measure derived from an instrument through which probation staff subjectively classify a client's orientation toward the future.

17. **Decreased Recidivism.** Rising client self-expectations at block 16 are assumed to increase the client's sense of a stake in the future and decrease his tendency toward anti-social behavior. Additional judgment skill at block 15 also assist in avoiding anti-social behavior. One class of anti-social behavior assumed reduced is criminal activity, and thus recidivism is decreased. Recidivism is not formally measured by the project. An ideal measure would reflect the number and seriousness of new crimes committed by the client during supervision and for some period after release from supervision. It should be possible to implement such a measure if arrests for crimes are used as a timely, but imperfect indication of new crimes.
Exhibit

Intervention Process Flow Diagram

1. Increased Funds

2. Decentralize Probation to Neighborhood Office

3. Implement Use of Teams with Indigenous Para-Professionals

4. Improved Community Attitude Towards Probation

5. Decreased Client Hostility Toward Probation

6. Institute Large-Scale Training Program

7. Reduced Effective Caseloads

8. Increased Career Opportunities for Para-professionals

9. Increased Officer Sensitivity to Clients' Needs

10. More Honest Interaction Between Client and Probation Team

11. Increased Probation Team Familiarity with Community Services

12. Increased Client Success in Community Service Programs

13. Increased Client Sense that Para-Professional Cares About Him

14. Increased Client Identification with the Para-Professional

15. Improved Client Situational Judgment

16. Increased Client Self-Expectation

17. Decreased Recidivism
1.0 Project Description

1.1 Project Title: Office of Court Alternatives -- Misdemeanant Probation

1.2 Project Location: Orange County (Orlando) Florida

1.3 Project Purpose:

General: To provide probation supervision for adults convicted of misdemeanors in Orange County.

Specific Goals:
1. To provide the capability to perform pre-sentence investigations on convicted misdemeanants.
2. To provide intensive supervision of misdemeanants.
3. To assure orders of the Orange County Court are carried out.

1.4 Project Funding:

February 1, 1976 through $18,000 - $19,000
July 31, 1977

1.5 Project Duration:

Began operations - February, 1976
Funded through - September, 1977
and expect County to assume cost at that time.

2.0 Project History: The Office of Court Alternatives in Orlando is one of five projects funded to replicate the Des Moines project. The complete program includes pre-trial diversion and supervised release components as well as misdemeanor probation. The original grant did not provide probation at all, but when the State of Florida ceased providing misdemeanor probation a grant amendment was filed which established the probation unit. The present staff of the probation unit is 2 probation officers, 1 probation supervisor, and 1 secretary.

3.0 Visit Summary:

1. Meeting with W. Clark Power (Director of the Office of Court Alternatives) to obtain background on the project and to define project goals and costs.
2. Meeting with Patrick J. Doyle (Chief Probation Officer) to discuss project goals, objectives and data collection.
3. Meeting with Rita Baker and Mike Chatman (Probation Officers) to discuss project goals, objectives and data collection.
4. Meeting with Dr. Charles Wellford, Ray Surrett, Chuck Massey, Dennis Rogan, Dr. Bill Rhoades, and Dr. Tom Blomberg (Florida State University Evaluation Team) to discuss data collection and evaluation methods.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit)

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation:

The central thread in the Intervention Process Flow Diagram is a "deficient person" model, i.e., a model which assumes a person violates the law because of defects and weaknesses in his character or life style which can be corrected through proper training and counseling. The provision of intensive probation service is assumed to help correct deficiencies in a number of ways. First, the availability of pre-sentence investigations provides better diagnosis of deficiencies. Second, additional counseling resources provide more referrals to employment and treatment resources. Finally, increased counseling resources provide the opportunity for more careful monitoring of probationer progress in corrective programs—especially those specified in court probation orders.

4.2.2 Block Details

1. Increased Funds. Through July, 1977 approximately $18,000 will be provided for project operations.

2. Increased Number of Counselors. Funds for the project are used almost exclusively for additional counseling staff. One supervisor and two probation officers have already been hired and other officers will be added as caseload increases.

3. Pre-Sentence Investigations Provided. The provision of a county probation staff makes possible pre-sentence investigations. Because their caseloads are only beginning to grow, the Counselor I's (Probation Officers) spend approximately 60% of their time in this activity. PSI's are not used on all cases; the decision is up to the judge in the case. Content is reviewed by supervisors and the judge. The project now measures PSI's only by count. Ideally the amount of work involved and the accuracy of PSI content would also be measured. A feasible alternative would be to count in specific categories, e.g., those on a case with a previous PSI vs. those not.

4. Increased Counseling Time. Increasing the number of counselors is presumed to increase counseling time. Because their caseloads are only beginning to grow
counseling time now accounts for only about 30% of Counselor I (probation officer) time. Time available for the activity is primarily controlled by the number of counselors (decided by supervisors) and the level of PSI activity (decided by judges). Measurement is the same as 3.

5. **Improved Counselor Understanding of Client Needs, Deficiencies, and Capabilities.** Additional counseling time and availability of pre-sentence investigations are presumed to make possible a better counselor understanding of client needs. Adequate measurement of such understanding would require a comparison of counselor perception and needs as diagnosed by some other means. No direct measurements are now used by the project.

6. **Increased Probation Conditions from Court.** The better information provided the court on client needs via blocks 3 and 5 are presumed to lead to more precise special conditions of probation in court orders. Judges make decisions but under the influence of probation officer recommendations. The number and mix of special conditions could provide an adequate measure of such activity. Probation orders (which show conditions) are presently on file for all clients.

7. **Increased Employment Counseling.** One presumed consequence of the additional resources in blocks 4 and 5 is increased employment counseling since employment is an often observed client need. The mix of client counseling activities is a decision of the probation officer. The number of employment assistance contacts is presently tabulated, but quality of contacts is logged only in case book narratives. Ideally, the quality of contacts would be measured. However, a more thorough (and better documented) classification of contacts by nature and time duration could provide adequate measurements.

8. **Increased Community Service Referrals.** The increased resources of blocks 5 and 4 are also presumed to imply more frequent referral of clients to community services. The use of community services is primarily a counselor decision, but one influenced by supervisor policies, availability of free or low cost services in Orlando, and the degree to which such services are special conditions of probation. The number of referrals is now measured by the project. Ideally the nature of the referrals (i.e., "go see ____ agency" vs. "I have an appointment with you with ____ agency on the date ____") and the availability of adequate services would also be measured. The measures could reflect the degree of usage of the available resources. It should be practically possible to tabulate classes of referrals and to record needs for which services are not available.

9. **Increased Monitoring of Client Progress.** Project staff have a serious concern for their role as enforcers of
court orders. Thus the additional time of block 4 and the court activity of block 6 both appear to imply increased monitoring of client activities. Probation officers decide this level, but under the influence of their overall workload, court desires and supervisor policies. The level of this activity is presently measured by indications of workload (e.g., caseload and number of PSI's) and by tabulations of number of contacts. Ideally the quality of monitoring activities would be measured, and the degree to which the client perceives himself as monitored. An improved classification of contacts and a survey of client preceptions might be satisfactorily employed.

10. Improved Client Employment Opportunity. Employment counseling in block 7 is presumed to lead to improved opportunity for employment. Opportunity is influenced by the overall economy and the educational/vocational skills of clients, as well as availability of counseling. Client employment activity is now measured informally in case book narratives. Success rate on applications and similar measures of the job search process could approximate an ideal of measuring employment opportunity.

11. Increased Client Employment Success. Increased opportunity in block 10 is assumed to lead to increased employment success. Success may also be aided by increased support (and sometime coercion) from counselor monitoring. Employment success is primarily controlled by the client himself. Employment success is currently measured by informal narratives recapped when a client is terminated. Ideally, a full range of employee satisfaction and employer satisfaction would be recorded. It appears quite feasible to at least keep records of number and duration of jobs.

12. Increased Client Participation in Community Services. The combination of the increased resource in block 8 and the supportive/coercive power of blocks 6 and 9 are presumed to lead to increased client participation in community service programs. The major influencing factor on participation other than these pressures is the clients own decision. Participation is now only recorded informally in narrative case books. Ideally a full measurement of client and service personnel's opinion on participation would be tabulated. It appears practical to at least demand progress reports from services.

13. Increased Client Correction of Deficiencies. Increased use of services by the client is assumed to lead to increased correction of the needs and deficiencies identified in block 5. The major variables influencing improvement besides participation are client attitudes and the degree to which available services can treat client needs. Correction of deficiencies is now measured only by informal narratives (recapped at client termination) of drinking or other behavior indicating continued deficiencies. Ideally the diagnostic procedure used to
assess needs would be repeated at termination. At least tabulation of identified needs and client behavior indicating continued need would appear practical.

14. **Increased Client Stability and Self Worth.** By increasing employment success (block 11) and correcting personal/life style deficiencies (block 13) it is assumed that clients attain a more stable life and achieve more self respect. Obvious non-project variables affecting these outcomes are the client's own attitudes and those of his family and friends. The project now measures stability and self worth only through informal case book narratives. Ideally, stability could be measured by objective monitoring of client behavior and self worth could be measured with psychological testing. At least a tabulation of incidents of instability and some limited testing would appear feasible.

15. **Reduced Recidivism.** The personal improvements of block 14 are assumed to lead to reductions in future criminal activity. Recidivism will be measured through information on rearrests during treatment and through letter surveys at 6 month, 1 year and 2 year intervals after treatment. Ideally all criminal activity would be recorded, but rearrests or reconvictions are the only measures reasonably available.

16. **Increased Revocations.** A side effect of the increased monitoring at block 9 may be an increase in revocations of violating clients. Decisions on revocations are ultimately made by the judges, but on advice of counselors. Revocation is presently measured as a rate per case, and classified as technical causes, versus criminal activity causes. This measurement seems adequate.

17. **Increased Public Safety.** The combination of revoking violating offenders and reducing criminal activity of others is assumed to lead to increased public safety. Public safety can be measured in overall crime rates and in surveys of perceived safety. Ideally all crime would be included in such tabulations but realistically measurement is limited to crime incidence and opinion surveys.
1. Increased Funds

2. Increased Number of Counselors

3. Pre-Sentence Investigations Conducted

4. Increased Counseling Time

5. Improved Counselor Understanding of Client's Needs, Deficiencies and Capabilities

6. Increased Probation Conditions from Court

7. Increased Employment Counseling

8. Increased Community Service Referrals

9. Increased Monitoring of Client Progress

10. Improved Client Employment Opportunity

11. Increased Client Employment Success

12. Increased Client Participation in Community Services

13. Increased Client Correction of Deficiencies

14. Increased Client Stability and Self Worth

15. Reduced Recidivism

16. Increased Revocations

17. Increased Public Safety
1.0 Project Description

1.1 Project Title: Intensive Services Unit (ISU)

1.2 Project Location: 1 North 13th Street
Philadelphia, Pennsylvania

1.3 Project Purpose:
General: Through operation of a specialized unit with reduced case-
loads, provide intensive supervision to sex offenders and persons
placed on psychiatric probation.
Principal Goal: Reduce recidivism through providing intensive
supervision.
Supporting Goals:
1. Compare strengths, weaknesses, and costs of the generalist versus
   the specialist model of probation service.
2. Use community resources effectively.
3. Provide effective service delivery to meet client needs and
   produce socially acceptable behavior by the client.

1.4 Project Expenditures:

<table>
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<tr>
<th>Period</th>
<th>Amount</th>
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<tr>
<td>7/1/73 - 7/31/74</td>
<td>$277,951</td>
</tr>
<tr>
<td>8/1/74 - 11/30/74</td>
<td>92,062</td>
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<tr>
<td>12/1/74 - 6/30/75</td>
<td>215,416</td>
</tr>
<tr>
<td>7/1/75 - 6/30/76</td>
<td>598,660</td>
</tr>
</tbody>
</table>

1.5 Project Duration:
Beginning Date - July 1, 1973
Ending Date - June 30, 1976

2.0 Project History: The Intensive Services Unit received its initial stimulus
ten years before its creation. The interest of one judge in obtaining a
special treatment unit for sex offenders provided that stimulus.
According to an ISU staff member, there was also a general feeling that
community mental health agencies were not meeting the need sufficiently.
The availability of federal funds led to initiation of the Intensive
Services Unit in 1973.

The ISU serves the city and county of Philadelphia. Clients are adult
probationers and short-sentence parolees who are sex offenders or who
are stipulated by the judge as needing psychiatric treatment.
The staff consists of 28 persons, four of whom are in clerical positions.
A key element in the project is the Assessment Team composed of a
clinical psychologist, a vocational psychologist, a social worker, and
a community liaison worker. There are thirteen probation officers and
three probation officer supervisors. The remaining positions are filled
by two para-professionals, one administrative officer, and a project director.
3.0 Visit Summary

1. Meeting with Charlie MacDonough, Director, Intensive Services Unit, to obtain an overview.

2. Meeting with Katherine Barrington, Director of Special Services, City Probation, and Bill Harlow, Administrative Assistant to Ms. Barrington, to explain our role and obtain fiscal information.

3. Meeting with Charlie MacDonough, Director, Intensive Services Unit, and Dr. Margaret Lindner, Director of Assessment Team of Intensive Services Unit and former Director of the Intensive Services Unit, to discuss background, client description, activities, goals and objectives, and prepare a block diagram.

4. Meeting with Peter Buffune, Consultant, to discuss evaluation.

5. Meeting with Peter Day and Kevin Reynolds, Probation Officers in the Intensive Services Unit, to discuss goals and objectives and prepare a block diagram.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (Refer to Exhibit 1.)

4.2 Intervention Diagram Narrative:

4.2.1 Overview of Activities and Assumed Sequence of Causation:

The ultimate goal is to reduce recidivism of sex offenders and persons placed on psychiatric probation. This is to be achieved by providing intensive and specialized treatment.

A unique feature of the project is a trained Assessment Team, which helps identify client needs and devise treatment strategies. Probation officers are trained in psycho-social skills. As a result of both of these, treatment is more in-depth than that received under regular probation.

By providing more time for an individual case and a narrower focus, reduced and specialized caseloads also enable treatment to be more in-depth and intensive. The time allowed by having a reduced caseload as well as the improved knowledge and skills of the probation officers, ultimately, lead to increased trust in the officer by the client. With support from the trusting relationship and through more intensive and in-depth treatment, the client's ability to deal effectively with problems and negative emotions is increased. As a result, he or she engages in less anti-social behavior, including criminal acts. To the extent this occurs, recidivism is reduced.

4.2.2 Block Details:

1. Increased Funds. A total of $1,184,089 was expended between 7/1/73 and 6/30/76 for a special unit to provide intensive supervision to sex offenders and persons placed on psychiatric probation.

2. Reduced and Specialized Caseloads. The additional funds enabled the City Probation Department to provide specialized treatment for sex offenders and persons placed on psychiatric probation. Such treatment is provided by a special unit in which the probation officers have reduced caseloads. Reduced caseloads
allow more time so that the client and his case can receive more attention.

3. Increased Training of Probation Officers. The increased funds allow training of the probation officers in psycho-social skills. This allows more in-depth treatment, conducted from a psycho-social perspective.

4. Assessment Team. The unit has its own assessment team. The team is composed of a clinical psychologist, a vocational psychologist, a social worker, and a community liaison worker. The skills of the assessment team are applied in screening for entry into the program, and in development of the treatment plan. An eight week assessment by the team precedes development of the treatment plan.

5. Improved and More Immediate Response to Short Term Client Needs and Crisis Situations. Reduced caseloads allow the probation officer more time which can then be directed to intervening in crisis situations and meeting clients' needs more rapidly. He or she also has more time to become familiar with the client's friends and family and, thus, increase his or her ability to deal with the client through them. In these ways, supervision is more intensive. The second aspect of intensive supervision in this project is the in-depth treatment.

6. Increased Psycho-Social Skills. Special training and the skills of the Assessment Team are used to increase the probation officers' awareness of psycho-social techniques and increase the officers skill in applying such techniques appropriately. This leads to better identification of client needs, improved judgment about what can be accomplished, and more in-depth treatment for the client.

7. More In-Depth Treatment. Reduced, specialized caseloads allow time for more intensive and individualized treatment than that provided by the regular probation units. The psycho-social orientation of the project and related skills of the Assessment Team and probation officers encourage more sophisticated levels of supervision/counseling. The use of community resources is, frequently, included in the treatment plan.

8. Better Identification of Client Needs and Improved Judgments About What Can be Accomplished. Application of the skills of the Assessment Team and the increased psycho-social skills of the probation officers result in better identification of client needs and improved judgments about what can be accomplished. This improved knowledge results in more effective actions by the probation officer when responding to immediate client needs and in carrying out the more in-depth treatment plan.

9. Increased Trust. Trust is a key element in motivating a client to change. Responding rapidly and effectively to the client's immediate needs or to crisis situations demonstrates the probation officer's interest and increases the client's trust in the officer. Through the trusting relationship which develops, the client's feelings of self-worth are increased.
10. **Improved Client Ability to Deal with Problems, Emotions.**  
The trusting relationship represents a non-static process which increases the client's inclination to change. With support from the trusting relationship and through the in-depth treatment, the client learns better ways to channel hostilities, learns alternative behaviors to deal with his/her problems, and increases his/her sense of autonomy.

11. **Less Acting Out/Anti-Social Behavior.** As a result of the client's improved ability to deal with problems and emotions, he or she does not act out or engage in anti-social behavior as frequently.

12. **Reduced Recidivism.** Those anti-social behaviors resulting in recidivism are reduced by the sequence of steps described previously.
Exhibit 1

Intervention Process Flow Diagram

1. Increased Funds
   2. Reduced and Specialized Caseloads
      5. Improved and More Immediate Response to Short Term Client Needs and Crisis Situations
         9. Increased Trust
            10. Improved Client Ability to Deal Effectively with Problems, Emotions
                11. Less Acting Out/Anti-Social Behavior
                    12. Reduced Recidivism

3. Increased Training of Probation Officers
   4. Assessment Team
      6. Increased Psycho-Social Skills
         7. More In-Depth Treatment
            8. Better Identification of Client Needs and Improved Judgments About What Can Be Accomplished
<table>
<thead>
<tr>
<th>Block No. and Name</th>
<th>Actual Measures</th>
<th>Suggested Measures</th>
<th>Ideal Measures</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Funds</td>
<td>Total Expenditures by category</td>
<td>1) Dollars per project activity  2) Dollars per output  3) Dollars per outcome</td>
<td>1) Same as Suggested, and  2) Cost/Benefit Study, comparing with regular probation and other specialized units</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>2. Reduced and Specialized Caseloads</td>
<td>1) Total number of cases under supervision monthly, per officer and summary  2) Total number of people under supervision monthly, per officer and summary</td>
<td>Same as Actual plus document type population served</td>
<td>Suggested plus compare with regular caseload</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>3. Increased Training of Probation Officers</td>
<td>None</td>
<td>1) No. of training sessions and staff attendance  2) Test of knowledge gained as result of training</td>
<td>1) Same as Suggested, and  2) Determination of times and degree applied, and relationship of training to effectiveness with client.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>4. Assessment Team</td>
<td>Employment Records</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>5. Improved and More Immediate Response to Short Term Client Needs and Crisis Situations</td>
<td>Probation Officer Opinion</td>
<td>1) No. of contacts involving crisis situations. Definition of crisis must be precise.  2) No. of contacts involving short term needs. Definition of short term needs must be precise.  3) Time between request for assistance and response.</td>
<td>Same as Suggested plus degree and value of assistance, No. 3 under Suggested should differentiate how rapid response must be to be effective.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>Block No. &amp; Name</td>
<td>Actual Measures</td>
<td>Suggested Measures</td>
<td>Ideal Measures</td>
<td>Gaps</td>
</tr>
<tr>
<td>-----------------</td>
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</tr>
<tr>
<td>6. Increased Psycho-Social Skills</td>
<td>Subjective or none</td>
<td>Before/after test of increase in psycho-social skills</td>
<td>Same as Suggested</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>7. More In-Depth Treatment</td>
<td>1) Number and type of contact 2) Number of referrals 3) Number of participants in group sessions; time spent by client in group session</td>
<td>1) Number, type, and frequency of contacts 2) Same as 2, Actual. 3) Same as 3, Actual.</td>
<td>1) Same as Suggested, plus 2) objective measure of level of treatment depth, administered to control group as well.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>8. Better Identification of Client Needs and Improved Judgments About What Could Be Accomplished</td>
<td>Subjective or none</td>
<td>1) Comparison with client perception of needs. 2) Compare judgments made in assessment with client outcomes.</td>
<td>1) Some objective measure of client needs compared with needs which are identified (probably impossible). 2) Same as Suggested.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>9. Increased Trust</td>
<td>Subjective on part of probation officer</td>
<td>Psychological test of level of trust of client toward probation officer</td>
<td>Same as Suggested plus compare with control group</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>10. Improved Client Ability to Deal Effectively with Problems, Emotions</td>
<td>Subjective on part of probation officer</td>
<td>Refer to No. 2 under No. 11 below</td>
<td>Same as Ideal in No. 11, below.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>11. Less Acting Out/ Anti-Social Behavior</td>
<td>No formal measure</td>
<td>1) Classification of content of anti-social behavior and compare client at entry and end of participation in project. 2) Devise test using situations and problems relevant to client's life</td>
<td>Same as Suggested but also administer to control group</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>Block No. &amp; Name</td>
<td>Actual Measures</td>
<td>Suggested Measures</td>
<td>Ideal Measures</td>
<td>Gaps</td>
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<td>-----------------</td>
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<tr>
<td>11. (cont)</td>
<td></td>
<td>choices. Compare behavioral choices and decisions at entry and at release.</td>
<td></td>
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</tr>
<tr>
<td>12. Reduced Recidivism</td>
<td>1) Rearrest at least once during probation period 2) Reconviction during probation period.</td>
<td>1) Actual, plus 2) Follow-up beyond probation period and not restricted to local area 3) Compare with regular probation and other special units. Use matched comparison groups for each type population served by ISU.</td>
<td>Before and after changes in criminal activity compared with regular probation and also other special units. Use control groups.</td>
<td>Same as Ideal</td>
</tr>
</tbody>
</table>
1.0 Project Description

1.1 Project Title: Intensive Supervision Services

1.2 Project Location: City of St. Louis, Missouri

1.3 Project Purpose:
General: To provide intensive probation and parole supervision to adults identified as requiring intensive supervision.
Specific Goals:
1. To increase staff size in order to reduce caseload size and provide adequate service.
2. To provide intensive treatment to specially classified adults based on education, employment, family, social, behavioral, and criminal background.
3. To provide neighborhood offices for convenience of client contact, and expanded understanding and utilization of community resources.
4. To increase the use of volunteer workers to assist staff workers in handling caseloads.

1.4 Project Funding:
June 30, 1972 - March 31, 1973 $ 212,502
April 1, 1973 - May 14, 1974 589,208
May 15, 1974 - November 14, 1974 190,000
November 15, 1974 - September 15, 1975 426,667
Total $1,418,377

1.5 Project Duration:
Phase I June 30, 1972 - March 31, 1973
Phase II April 1, 1973 - May 14, 1974
Phase III May 15, 1974 - September 15, 1975

2.0 Project History: The need for development and funding of this project was recognized as a crisis situation developed within the city of St. Louis offices of the Missouri Board of Probation and Parole. The number of cases to be supervised increased from 800 to 1800 with no increase in staff. Federal funds under the Impact Program were received. As a result of this, neighborhood offices were established, two new supervision units and one investigative unit were organized, and emphasis was placed on high impact street crimes with initial use of volunteers in support of staff personnel.

In Phase II the program was extended to reduction of caseloads for intensive supervision and a client classification system used to determine the amount of supervision to be given to each client. Impact street crimes still received primary emphasis.
Phase III expanded the scope of treatment to non-impact offenders that were classified as requiring intensive supervision. Clients were categorized by the initially filed charges and past history instead of simply using final conviction offense. Priority for placing offenders under intensive supervision was as follows: impact offenders rated as intensive on evaluation; non-impact offenders rated as intensive on evaluation; and other impact offenders. Community resource units or contacts were established to provide better staff and community relationships and to make better use of community resources.

The program was continued with state funds after the termination of federal funds. The caseload is no longer as concentrated on intensive cases but clients are still classified. Increased use of volunteers in support of staff handling of caseloads is being emphasized.

Unforeseen cessation of federal funding terminated all project staff involved in the evaluation component without any conclusion or final organization of evaluation data. Any effort to retrieve data or to understand it would be extremely difficult.

3.0 Visit Summary:
1. Meeting with Veral Harris, Regional Administrator for Probation and Parole, and Jean Overall, Senior District Supervisor at 7 North Office, and Charles E. Fertig, Senior District Supervisor at 7 Central Office, and Ronald R. Hardgrove, Senior District Supervisor of pre-trial release office, to discuss the background and history of the project, client caseload composition, funding amounts, definition of project goals.
2. Meeting with Susan Florentin, and Phil Helfrich, both probation officers that had intensive supervision caseloads during the project to discuss data collection measures, validity and definition of project goals.
3. Meeting with Brian Odell, St. Louis Crime Commission Consultant, to discuss and look at the evaluation data available and find any data collection information that could be readily located.
4. Meeting with Glenn Brockel, a probation officer at a neighborhood office that had an intensive supervision caseload, and Jim Lutz, a probation officer at a neighborhood office that had a standard supervision caseload to discuss data collection measures, validity, and definition of project goals.

4.0 Intervention Diagram and Narrative:

4.1 Intervention Process Flow Diagram: (See Exhibit.)

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation:

The principal theme in the Intervention Process Flow Diagram is an increase options model, i.e., a model which strives to identify a person's needs and help the person recognize as many options as possible in meeting those needs. A person's needs are first identified during the pre-sentence investigation where the intensity of supervision is established. The supervisor then gets to know the person through increased contact. Also, maximum possible use and contact with community resources is a goal designed to educate the person as to the many options open to solve problems.
4.2.2 Block Details

1. **Impact Program.** The initiation of the project itself was a major step in not only the recognition of the crisis situation existing at that time but that positive immediate steps had to be taken.

2. **Increased Funds.** In the three year history of the project almost $1.5 million were spent. In addition, since Federal funds were terminated, the state has funded the continuation the effort at stable staffing levels.

3. **Closer Coordination with Other Agencies.** The Impact Program with its requirements, scope, and funding created a communication network between local, state and federal agencies that had not existed before, thus providing a larger cooperative effort in the use of community resources, block 19, to help the client in learning all options available.

4. **Additional Staff.** The increased funds, block 2, had its greatest impact in the ability to increase staff size. The individual supervisor caseload had become unmanageable prior to the project and since the federal funds have ended caseloads are again on the increase. Manageable caseloads and the separate investigation unit were very critical issues in the implementation of the project.

5. **Establish District Offices.** Funds were also used to establish district or neighborhood offices in the areas of the city where higher concentrations of clients resided. Higher visibility within the community, convenience of client and supervisor contact, and a better community resource working relationship were goals of this portion of the project. Although there was extreme opposition to this effort by various portions of the community at first, the offices seem to be well established and accepted. Two neighborhood offices were formed and act on an equal basis with the one central office, each handling clients residing within its vicinity.

6. **Establish Separate Investigation Unit.** This portion of the additional staff performs the function of pre-sentence investigation exclusively. The investigation includes the normally collected information on social, criminal, educational, and economic background and includes a classification on the degree of supervision that should be given, as well as a recommended treatment program for the person. Realistically, the recommended treatment program is generally disregarded by the supervisor since it is based on very limited contact and knowledge of the person. Ideally this recommendation should be made by the supervisor after a better knowledge of the person has been gained. This gap could best be resolved by the investigator making recommendations only on clearly resolved cases while the supervisor would maintain responsibility for setting up the treatment plan within six months of obtaining the person as a client.
7. **Provide Realistic Supervision Services.** Additional supervision staff was the highest priority issue of the program. Caseloads were reduced and the supervisors were relieved of investigative responsibilities thus enabling the supervisors to better identify the needs of the client. Utilization of reality therapy or behavior contracting and increased client contact are the two methods of confronting and understanding the client's problems used by the supervisors. The classification of the client as intensive, regular or minimum supervision also provides some guidelines as to what type and how much supervision should be administered. Presently no data is collected at this point. Ideally a plan or outline of the course of action to follow should be formulated and progress marked. This could be done briefly and in a general manner by the supervisor. Present use of field books for data collection purposes is not possible, while the use of a general form would assist greatly in defining critical areas.

8. **Volunteer and Community Resource Coordinators.** These key personnel at each district office form a staff liaison with a full time regional coordinator in an effort to make fullest use of community resources. One supervisor on a part time basis from each office works with the coordinator. The coordinator plus two full time staff members coordinates information and relations contact with the supervisors and the community.

9. **Classification of Clients.** This procedure of identifying a client into one of three types of supervision (intensive, regular, and minimum), provide a guide for balancing case-load assignments for supervisors and in providing a starting point for client and supervisor contact. The classification system bases the rating or information gathered from economic, social, behavioral, and criminal data collected. The system is skewed toward individual client problems with minimum attention to high risk or intensity of offense factors.

10. **Reduced Demand on Supervisors' Time.** The separation of the investigative function allowed the supervisors more time in which to perform client contacts, and time for administrative matters. The time spent preparing to meet clients, helping the clients explore options or simply trying to locate clients is a vital part of the effort to provide realistic supervision services.

11. **Increased Client Contact.** More contact with a client by the supervisor is the basic approach used to gain knowledge about the client and his needs and problems. Presently only the number of contacts are reported with no mention of time of contact. Ideally, data as to type of contact, i.e., formal or informal, and location of contact, i.e., office, home, community or other could be collected to aid in determining a conducive counseling atmosphere. This gap could be rectified by supervisors' notations in the field book and noted on the clients progress form or file.

12. **Use of Reality Therapy (Behavior Contract).** This method of guiding a client through and to various options with reward
or punishment as incentives, even though it is good training for the client in establishing and fulfilling various options, is not uniformly or consistently applied by the supervisors. Information provided in the pre-sentence investigation as to background supervision classification and in the terms of the probation provide a starting point for client and supervisor discussion. Since many clients do not respond to written formats as well as to verbal communication, many contracts are verbal in nature with no written follow-up. Ideally these contracts could be used as excellent data sources to follow client progress and identify realistic reward and punishment scales. Probation Officers could resolve this gap through conscious emphasis on the contract design when working with the client and verbal contracts could be briefly formulated in the field book and progress charted on a general client form or file.

13. Increased Knowledge of Clients. The information gained from increased contact is used by the supervisor to better understand the client and his problems. Emotional, attitudinal, and motivational aspects of the client's character are keys to improved supervision. Social, family, and economic factors are also critical components in understanding the client's problems. Knowledge gained in this area allows the supervisor to improve the quantity and composition of the supervision to meet the client's needs.

14. Improved Monitoring of Clients. Vital elements in this phase are the inputs of knowledge of the client and reality therapy. Not only the ability to better measure improvement in the client but also a more direct and effective method of developing the client's options are the results of the vital inputs. A tailored program of development for the client develops client confidence and improved client responsibility. In addition, the monitoring can become flexible to meet changing requirements and explore new options. No data is being collected in this area. Ideally, we could gain information on successful completions of each phase of monitoring especially if outside agencies and community programs were utilized. This information gap could be kept on the client's progress form or file.

15. Improved Assessment of Client's Assets and Liabilities. With the information collected in the pre-sentence investigation and supervision classification of the client, an initial basis for designing the options and problem areas to be concentrated on in the reality therapy can be developed.

16. More Active Public Relations Work by Probation. Through the high visibility of district offices and use of volunteers and community resource coordinators, the probation and parole office are constantly developing an active, positive, working relationship with the community. This relationship has an affect on the community's attitude toward the probation and parole office as well.

17. Improved Community Attitude Toward Probation. As the community overcomes the initial fear of the district office concept and begins to see the office as contributing to the
community, then the antagonism fades and persons in the community become more tolerant and even active in supporting the office's activities.

18. **Increased Amount of Community Resources.** Additional benefits of improved community attitudes are the willingness of persons in the community to make community resources available to the district office. Most important of these is the employment resources of the community. Other referral agencies and community services are also made available to the benefits of both client and community. Some new services may be initiated as a result of the recognition that portions of the community require special services.

19. **Increased Use of Community Resources.** As the community resource coordinator recognizes the community resources available and as the community opens its services to the supervisor, the number of options available is greatly increased and with the closer monitoring of the client as to relevant and accessible options provides better utilization of the resources by both the client and community. Presently minimal data is being collected on number of referrals to community resources. Ideally a record of type of referral, i.e., phone, personal, verbal, type of agency or service, and success in utilization of the agency or service should be kept. Rectification of this gap in information could be made when the supervisor reports monthly activities or at least in the client's progress file or folder.

20. **Increased Client Exposure to Persons in the Community.** Increased utilization of the community resources again raises the visibility of the probation office within the community and again results in changes in the community attitude of the district office.

21. **Increased Group Counseling.** Endeavoring to provide realistic services and utilize generalized volunteers, the practice of group counseling especially in the areas of educational and employment skills development is used. No data is presently recorded. Ideally, the scope, scale, and success of this effort should be noted. The gap now existing could be resolved by charting client participation, volunteer participation, program content, and client employment success before and after counseling.

22. **Increased Advocacy by Supervisors.** A better knowledge of the client also produces a better understanding of behavior and in some instances an increased tendency to tolerate client actions with a lenient attitude.

23. **Decreased Revocations.** The lenient attitude developed in understanding and monitoring the client's activities can result in a supervisor not revoking a client based on technical violations or a single serious incident. Ideally, this tendency should be noted and perhaps a periodic report by the supervisor as to the number of failure to revoke due to leniency cases without regard to specific client identification could rectify this information gap.
24. Increased Revocations. Similarly increased monitoring of clients can result in frustration with the client who repeatedly fails to utilize the resources provided. Also, reality therapy involving community agencies can contain binding revocation clauses for failure to satisfactorially utilize the agency's resources.

25. Increased Responsibility Instilled in Clients. At this stage of the model real progress is noted for the first time. The client's trust in the supervisor and confidence gained through successful compliance in reality therapy builds responsibility. This trust and confidence enables the client to more objectively and willingly explore the options presented.

26. Increased Educational/Employment Readiness. Talents developed in group counseling, as well as success in community agency programs prepare the client to more confidently and realistically contribute to the community by gaining employment and being better aware of other resources within the community. Job placement data and community resource utilization data could ideally be collected and can be provided by the client to the supervisor.

27. Increased Client Success in Community Programs. Special adaptation of the community resources to meet the needs of the client, as well as good preparation to cope with the options presented increase the success rate of client participation in community agency programs. Again at this point data could be collected on success by noting successful completion or contact with community resources by entries on the client's progress form or file.

28. Increased Realistic Client Options. Responsibility, readiness, and success all contribute to the client's attitude, understanding, and utilization of options presented by the community. The client has developed an awareness of the opportunities and is no longer looking at limited options. No data is available on this issue. Ideally attitude changes, type, and number of increased options, and general community awareness of the client should be collected. At the termination of the probation a questionnaire completed by the client could provide the needed data.

29. Increased Client Selection of Non-Law Violation Options. As a result of the client's greater awareness and ability to utilize a higher number of options, he is no longer limited to violations of the law to meet his needs and thus resorts to other than violent methods to improve himself.

30. Reduced Revocation/Recidivism. Client selection of non-violent, non-criminal options to fulfill basic needs reduces revocation and recidivism rates. Definitions of revocation and recidivism were not obtained, but ideally should be established as a guideline to model success. Actual precise definitions are required but can be formulated in many forms the difference of which is not critical but must remain consistent.
Exhibit

Intervention Process Flow Diagram

1. Impact Program
   → 3. Closer Coordination with Other Agencies

2. Increase in Funds
   →

4. Additional Staff
   → 5. Establish District Offices

6. Establish Separate Investigation Units
   → 7. Provide Realistic Supervision Services

8. Volunteer & Community Resource Coordinators
   → 12. Use of Reality Therapy (Behavior Contract)

9. Classification of Clients
   → 10. Reduced Demand on Supervisor's Time

11. Increased Client Contact
    → 13. Increased Knowledge of Clients

15. Improved Assessment of Client's Assets and Liabilities
    → 14. Improved Monitoring of Clients
    → 16. More Active Public Relations Work by Probation

17. Improved Community Attitude Toward Probation
    → 18. Increased Amount of Community Resources
    → 19. Increased Use of Community Resources
    → 20. Increased Client Exposure to Persons in Community

21. Increased Group Counseling
    → 22. Increased Advocacy by Supervisors
    → 23. Decreased Revocations
    → 24. Increased Revocations
    → 25. Increased Responsibility Instilled in Clients

26. Increased Educational/Employment Readiness
    → 27. Increased Client Success in Community Programs

28. Increased Realistic Client Options
    → 29. Increased Client Selection of Non-Law-Violation Options

30. Reduced Revocations/Recidivism
Site Visit Report
Prepared by V. E. Unger

1.0 Project Description

1.1 Project Title: Adult Community Services, Burglary Offender Project

1.2 Project Location: Headquartered in Salem, Oregon with offices and operations in Astoria, Albany, Bend, and Baker, Oregon.

1.3 Project Purpose:

General: Provide probation services to adult burglary offenders.

Principal Goal: Reduce recidivism (criminal behavior) among adult burglary offenders.

Supporting Goals:
1) 100% closer contact with clients
2) Develop pre-sentence diagnostic pre-sentence reports with enhanced psychological assessment within 30 days.
3) Deliver follow-up services based on pre-sentence report for 100% of caseloads in enhanced service areas (Albany and Bend).

1.4 Project Expenditures:

<table>
<thead>
<tr>
<th>Year</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1974 - 1975</td>
<td>$141,768</td>
</tr>
<tr>
<td>1975 - 1976</td>
<td>256,250</td>
</tr>
<tr>
<td>1976 - 1977</td>
<td>522,757</td>
</tr>
</tbody>
</table>

1.5 Project Duration:

Beginning Date  July 1, 1974
Ending Date (proposed)  June 30, 1977

2.0 Project History: The project is being conducted in 4 cities (Astoria, Albany, Bend, Baker). In two of these cities (Albany, Bend) funds are provided for the acquisition of referral services for clients. The project operated for about one year without a full time project manager. It was not fully staffed until October 1975. Four comparison cities have been identified for evaluation purposes. To date no significant differences have been found between treatment and comparison cities. The project was originally intended to deal with the "professional-hardened" adult burglary offender, however, due to location and consequently available clients, the project mainly addresses youthful burglary offenders.

3.0 Visit Summary:

1) Meeting with George Hutto, Project Manager, and Paul Morgan, Grant Writer, to discuss project background, goals, and activities.

2) Meeting with Chuck Edson, Former Project Office in Albany, to discuss project goals and activities.
3) Meeting with Clint Goff, Oregon Law Enforcement Council, and Joan Ross, Project Researcher to discuss evaluation and data collection.

4) Meeting with Rick Flory, Project Officer in Astoria, to discuss project goals and activities.

5) Meeting with George Hutto to discuss overall project and financial aspects.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit 1).

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation:
The basic purpose of the project is to provide for intensive supervision of adult burglary offenders and for enhanced referral service for these offenders. Project funds provided for hiring additional probation officers so that the maximum caseload on the project would be 35 active clients, 5 inactive, and 3 pre-sentence investigations per month. Project funds also provided for obtaining referral services in two of the cities. The general philosophy of the project is that the reduced caseloads will permit a better determination of referral needs, increased client rapport and trust and increased availability of referral services. These, in turn, yield increased use of referral services ultimately resulting in an improved "quality of life" for the client and a resultant decrease in the desire or need to commit crime and thus a reduced crime level. It is also believed that decreased caseloads and more comprehensive pre-sentence investigations will result in the identification of those clients who may be termed incorrigible. Such identification would result in more intensive supervision of their activities and in some cases police surveillance as well. If indeed these clients are reverting to a life of crime this more intensive supervision and surveillance should result in their quicker apprehension. This resulting earlier removal from the streets will reduce the number of crimes these clients would have otherwise committed thus again resulting in a decreased crime level.

4.2.2 Block Details: (See Exhibit 2).
1) Increase Funds
2) Hire Additional Probation Officers
3) Provide for purchase of Referral Resources
4) Increased Pre/Post Sent. Invest. Capabilities
5) Intensive Supervision of Burglary Offenders
6) Identification & Development of Community Referral Resources
7) Better Determination of Referral Needs
8) Better Client Rapport (Trust)
9) Better Assessment of Level of Community Threat
10) Increased Client Motivation and Acceptance of Counseling
11) More Intensive Surveillance & Police Contact
12) Acceptance of Available Referrals
13) Increased Revocation
14) Increased Use of Referral Services
15) Satisfaction of Personal Needs
16) Positive Redefinition of Life's Goals
17) Improved Quality of Life
18) Reduced Desire to Commit Crime
19) Reduced Crime Level

Intervention Block Flow Diagram

Exhibit 1
<table>
<thead>
<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Increase Funds</td>
<td>Over $300,000 in Funds have been provided by LEAA. State and local match has exceeded $65,000.</td>
<td>Dollars expended for personal services, supplies, equipment, travel and contractual services.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>2</td>
<td>Hire Additional Probation Officers</td>
<td>Four probation officers were added to the staff to serve as P.O.'s in each of the four cities.</td>
<td>Number hired.</td>
<td>Same as Actual</td>
<td></td>
<td>None</td>
</tr>
<tr>
<td>3</td>
<td>Purchase of Referral Services</td>
<td>Enhanced referral services were provided in two of the cities.</td>
<td>Services purchased.</td>
<td>Same as Actual</td>
<td></td>
<td>Quality of service</td>
</tr>
<tr>
<td>4</td>
<td>Increased Pre/Post Sentence Investigation Capabilities</td>
<td>Provide a better assessment of client needs thru better PSI reports. In two cities psychiatric assessments are provided.</td>
<td>Number of reports produced per probation officer.</td>
<td>Number of reports and time of preparation.</td>
<td>Research study relating PSI assessments with actual client needs and progress.</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>5</td>
<td>Intensive Supervision</td>
<td>Obtain a better assessment of client needs and develop better client rapport thru more intensive supervision.</td>
<td>Number of active clients per P.O., no. of contacts per client, and type of contact.</td>
<td>Same as Actual plus actual time spent per contact.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>6</td>
<td>Development of Community Referral Services</td>
<td>Identify those community resources that can be used for client referral.</td>
<td>Maintain an index of resources with a description of services, updated periodically.</td>
<td>Same as Suggested</td>
<td></td>
<td>Same as Suggested. This would be easy to do and worthwhile because of the turn-over of P.O.'s.</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
<tr>
<td>-----</td>
<td>------------------------------------</td>
<td>------------------------------------------------------------------------------------</td>
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<td>------------------------------------------------------------------------</td>
<td>--------------------</td>
<td>-----------------------</td>
</tr>
<tr>
<td>7</td>
<td>Better Determination of Referral Needs.</td>
<td>Through more intensive supervision and better PSI reports make a better assessment of referral needs.</td>
<td>Subjective on part of P.O.</td>
<td>Psychological testing, physical exams, aptitude and achievement testing.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>8</td>
<td>Better Client Rapport and Trust</td>
<td>To be achieved thru more intensive supervision</td>
<td>Subjective on part of P.O.</td>
<td>Psychological testing</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>9</td>
<td>Better Assessment of Community Threat.</td>
<td>Through more intensive supervision and better PSI identify those &quot;hard core&quot; criminals who will not respond to treatment.</td>
<td>Subjective on part of P.O.</td>
<td>Record subjective judgments, and follow-up assessments versus outcomes.</td>
<td>Attitude testing, and follow-up.</td>
<td>Same as Suggested. This should be easy to implement.</td>
</tr>
<tr>
<td>10</td>
<td>Increased Client Motivation</td>
<td>Hoped for as a part of more intensive supervision.</td>
<td>Subjective on part of P.O.</td>
<td>Psychological Testing</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>11</td>
<td>More Intensive Surveillance and Police Contact.</td>
<td>Provide more surveillance of activities of those clients judged to be &quot;hard core&quot; criminals. In some instances police may be notified of the need for surveillance.</td>
<td>Number of contacts and reason for contact.</td>
<td>Time of contact and liaison with police as well as nature of client activities.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>12</td>
<td>Acceptance of Referral Services.</td>
<td>Obtain more client interest in using referral services.</td>
<td>Not measured.</td>
<td>Establish follow-up records of clients use of referral services.</td>
<td>Attitude and other testing.</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
<tr>
<td>-----</td>
<td>---------------------------------</td>
<td>------------------------------------------------------------------------------------</td>
<td>-------------------------------------</td>
<td>--------------------------</td>
<td>-----------------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>13</td>
<td>Increased Revocation</td>
<td>As a result of increased surveillance obtain increased revocation.</td>
<td>Number and type of revocation</td>
<td>Same as Actual</td>
<td>Link revocation to P.O. assessments.</td>
<td>None</td>
</tr>
<tr>
<td>14</td>
<td>Increased Use of Referral Services.</td>
<td>Increase client use of referral services.</td>
<td>Referrals made.</td>
<td>Same as 12.</td>
<td>Compare treatment cities to comparison cities.</td>
<td>Suggested plus Ideal.</td>
</tr>
<tr>
<td>15</td>
<td>Satisfaction of Personal Needs.</td>
<td>Thru increased use of referral services obtain increased satisfaction of personal needs.</td>
<td>Subjective on part of P.O.</td>
<td>Medical and dental exams.</td>
<td>Client interviews and testing</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>16</td>
<td>Positive Redefinition of Life’s Goals.</td>
<td>Obtain redirection of individual goals such that crime is not required to achieve goals.</td>
<td>None</td>
<td>Psychological Testing</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>17</td>
<td>Improved Quality of Life.</td>
<td>Through satisfaction of personal needs and redirection of goals achieve better quality of life.</td>
<td>Employment and Income.</td>
<td>Participation in community affairs and activities.</td>
<td>Same as Suggested</td>
<td>None</td>
</tr>
<tr>
<td>18</td>
<td>Reduced Desire to Commit Crime.</td>
<td>Thru project attitude reduce the desire of clients to commit crimes.</td>
<td>Not measured.</td>
<td>Record subjective evaluation by P.O. and follow-up after release.</td>
<td>Psychological Testing</td>
<td>Same as Suggested. This should not be difficult to implement.</td>
</tr>
<tr>
<td>19</td>
<td>Reduced Crime Level</td>
<td>Through reduced desire to commit crimes on the part of those completing probation and by increased revocations of the incorrigible reduce the crime level.</td>
<td>Recidivism of clients after release.</td>
<td>Analysis of trend in total reported crimes.</td>
<td>Victimization studies.</td>
<td>Same as Suggested.</td>
</tr>
</tbody>
</table>
1.0 Project Description

1.1 Project Title: Differential Diagnosis and Treatment Program

1.2 Project Location: San Jose, California

1.3 Project Purpose:

General: Transform present probation organization into an innovative, efficient organization and build departmental morale.

Principal Goal: Provide better probation services through more efficient and effective use of resources.

Supporting Goals:
1. Improve quality and speed of data provided to courts (pre-sentence investigations).
2. Develop and improve utilization of community and private resources.
3. Establish a volunteer program.
4. Develop and implement a caseload classification system.

1.4 Project Expenditures:

<table>
<thead>
<tr>
<th>Period</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>6/74 - 9/75</td>
<td>$558,274</td>
</tr>
<tr>
<td>10/75 - 9/76</td>
<td>573,609</td>
</tr>
<tr>
<td>10/76 - 9/77 (anticipated)</td>
<td>638,052</td>
</tr>
</tbody>
</table>

1.5 Project Duration:

Beginning Date: June 1974
Ending Date (proposed): Sept. 1977

2.0 Project History: This project is a county wide project located in Santa Clara County, California. This is mainly an urban area. The preliminary concept for this project arose out of a pilot cities project and was in the planning stages as an internal project. When funds became available the concept was formalized and a grant application submitted. The project is directed at achieving organizational improvement rather than providing special or intensive service to clients. Such services may indeed be provided as a result of organizational changes, but they are not the primary thrust of the project. To date significant results have been achieved in improving pre-sentence services to the courts, particularly in the area of rapid reports for drunk drivers and in the identification, classification, and evaluation of community and private referral resources including psychologists and psychiatrists. The volunteer program has suffered from a lack of acceptance by the probation officers and the caseload classification system has not yet been implemented. This system has been delayed somewhat because of resistance from the probation officers.
3.0 Visit Summary:
1. Meeting with Joe Yomtor, Regional Criminal Justice Planning Board, to discuss background and overall perspective.
2. Meeting with Martin Molof, Project Evaluator, to discuss goals, objectives, evaluation and data collection.
3. Meeting with Fred Kretz, Project Director, to discuss background and goals and objectives.
4. Meeting with Guy Glount, Administrative Analyst, to discuss financial aspects.
5. Meeting with Ron Meyer, Resource Coordinator, to discuss development and evaluation of community and private referral services.
6. Meeting with Bill Chesnut, Probation Officer, to discuss the operation of the Court Information Service System (CISS).

4.0 Intervention Diagram and Narrative:

4.1 Intervention Process Flow Diagram: (See Exhibit 1).

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation: The project is essentially a project aimed at effective organizational changes. Ultimately, it is hoped that such changes will result in a reduction in recidivism. The organizational changes were accomplished by creating the following units or systems:
1) A Court Information Services System - This system is designed to provide quick turnaround to the court on court requested information. Its primary focus has been preparing pre-sentence investigations for drunk drivers. This unit is staffed with five probation officers plus clerical support.
2) Volunteer Program - This activity is aimed at recruiting and training volunteers to assist probation officers. Its purpose is to obtain increased and more effective utilization of volunteers.
3) Resources Program - This program is directed towards improving the use of community and private referral services. As a result of this program a handbook of referral services has been developed. This book includes a description and evaluation of available referral services in the Santa Clara area. It is updated on a periodic basis.
4) Diagnostic Testing and Evaluation - This activity is concerned with identifying and coordinating psychological services for clients. The services may be actual court ordered, referred by the P.O. or recommended by the psychological services coordinator.
5) Caseload Management System. This system, when operational, will permit caseload assignments to be made on the basis of projected time demands. The system will also permit P.O.'s to specify the type of specialized caseloads they prefer. It is anticipated that these organizational changes, which are primarily focused on the specialization of probation activities, will result in a more effective and efficient utilization of
resources thus permitting better diagnostic, treatment and supervision services for the clients. Ultimately, it is anticipated that this will reduce recidivism rates for probationers. The primary focus of the project, however, is not on recidivism reduction, but rather in implementing the organizational changes. Consequently, only the first portion of the block diagram (blocks 1 through 8) are being stressed at this time.

4.2.2 Block Details: (See Exhibit 2).
Intervention Block Flow Diagram

1) Funds

2) Effect Organizational Changes

3) CCIS Unit
4) Volunteer Program
5) Resources Program
6) Diagnostic Testing and Evaluation
7) Caseload Management System

8) More Efficient and Effective Utilization of Resources

9) Better Diagnosis and Supervision

10) Reduced Recidivism

Exhibit 1
Exhibit 2
Block Details

<table>
<thead>
<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Funds</td>
<td>LEAA has provided $902,447 for this program. State and local match has been in excess of $229,000.</td>
<td>Funds expended by category and expenditures by project activity.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>2</td>
<td>Effect Organization Changes</td>
<td>5 new activities were initiated with probation department as a result of this grant. These activities are described in blocks 3-7.</td>
<td>Implementation of the activities. Through a questionnaire measures of the P.O.'s acceptance of the new services are being made.</td>
<td>Same as Actual</td>
<td>In depth measures of organizational changes such as attitudes of P.O.'s.</td>
<td>None</td>
</tr>
<tr>
<td>3</td>
<td>CCIS Unit</td>
<td>This unit was established to provide information services to the clients,</td>
<td>Type and quantity of PSI reports. Analyses of CCIS recommendations versus judge's sentences. Turn around time (Judges request to receipt of report).</td>
<td>Same as Actual</td>
<td>Current measures are process oriented. Ideal measures would relate this activity to outcome effects.</td>
<td>None</td>
</tr>
<tr>
<td>4</td>
<td>Volunteer Program</td>
<td>Recruit and train volunteers to aid P.O.'s.</td>
<td>Background info on volunteer staff, time spent in training, placement of volunteer, hours worked by volunteer. Questionnaire used to obtain attitudes or opinions</td>
<td>Same as Actual</td>
<td>Same as 7</td>
<td>None</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
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<td>--------------------------------------------------------</td>
<td>----------------</td>
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</tr>
<tr>
<td>4 (cont)</td>
<td></td>
<td></td>
<td>Measure of P.O.'s towards the volunteer program.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Resources Program</td>
<td>Increase the type, number and use of referral services available. A resources referral board was established to review resources use with P.O.'s and a resource directory was prepared and is updated.</td>
<td>Number of cases brought to the resources referral board and the board's recommendations.</td>
<td>Number of changes (additions, deletions) from the resources directory and number of resources contacted. P.O.'s are queried on the use of the RRB and the directions.</td>
<td>Same as 7</td>
<td>None</td>
</tr>
<tr>
<td>6</td>
<td>Diagnostic Testing and Evaluation</td>
<td>Probationers are referred to a psychological services coordinator. He performs or obtains disposition testing and evaluation and arranges for any psychological or psychiatric services needed.</td>
<td>Number of probationers referred to the psych. ser. coord. Referrals made by psych. ser. coord. Reasons for referrals and characteristics of probationers referred. Types of instrumentation used in diagnostic testing and evaluation.</td>
<td>Same as 7</td>
<td>None</td>
<td></td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>7</td>
<td>Caseload Mgt System</td>
<td>This system, when implemented, will permit P.O. to specify type of caseload he wants. Estimates will be made of time requirements for each caseload assignment.</td>
<td>Anticipated measures will include number of cases assigned, estimated time requirements, estimated time spent in supervision, number of contacts.</td>
<td>Same as Actual</td>
<td>Studies relating type and size of caseload assignments to outcome objectives.</td>
<td>None</td>
</tr>
<tr>
<td>8</td>
<td>Effective Utilization of Resources</td>
<td>The activities description blocks 3-7 are designed to permit more efficient and effective utilization of resources.</td>
<td>Some data on P.O.'s attitudes and the use of new services will be available.</td>
<td>Before-after comparison of staff size, client population, and outcomes.</td>
<td>Same as Suggested</td>
<td>Lack of historical data prevents implementation of the Suggested measures.</td>
</tr>
<tr>
<td>9</td>
<td>Better Diagnosis and Supervision</td>
<td>More effective and efficient utilization of resources is expected to permit better diagnostic and supervision services.</td>
<td>Not being measured.</td>
<td>Before-and-after comparisons of diagnostic evaluations, relating them to client outcomes. Analysis of supervision services similar to 8 above.</td>
<td>Same as Suggested</td>
<td>Same as Suggested. Lack of historical data prevents these measures from being made on a before-after basis.</td>
</tr>
<tr>
<td>10</td>
<td>Reduce Recidivism</td>
<td>The ultimate project effect is supposed to be a reduction in recidivism.</td>
<td>Not being measured.</td>
<td>Measure and analyze type of revocations during project participation and measure recidivism after release from project.</td>
<td>Before-and-after changes in revocations and recidivism.</td>
<td>Same as Suggested</td>
</tr>
</tbody>
</table>
1.0 Project Description

1.1 Project Title: Adult Probation Aides

1.2 Project Location: Tucson, Arizona

1.3 Project Purpose: In addition to the regular probation program, there is a program using probation aides. The probation aides provide support services for the regular probation staff such as gathering data for a PSI, collecting a specimen for a urinalysis, and counseling the probationer. The project has two goals as follows:
   1. Provide help to the probation officers (upgrade the staff).
   2. Preserve and build a positive image of the department in the community (provide a communications channel).

1.4 Project Expenditures: The budget for the current fiscal year was approximately $85,000 of which LEAA provided 90%. Personal services expenditures have amounted to about $74,000 of the $85,000. Equipment expenditures were about $7,000. Of $4,000 awarded for travel, $2,800 is unused.

1.5 Project Duration: The program has been in operation since July 1, 1975.

2.0 Project History: Support for the existing probation staff was recognized as a need. No funds were locally available. It was proposed to LEAA that individuals with a high school education could be located in the barrios and ghettos to perform a useful service. Nine probation aides were hired with the understanding that each would be allowed to continue their advanced education up to six hours per week. These probation aides are considered as ambassadors in the area they serve.

The probation aides project will terminate at the end of June, 1976. However, the Board of Supervisors have picked all but one position up from the County budget. Some of these eight have been hired as trainees and some as aides.

3.0 Visit Summary: Meeting was held with Robert E. Long, Chief Deputy, Pima County Probation Department, from which all information was obtained.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit 1).

4.2 Intervention Diagram Narrative:
4.2.1 Overview of Activities and Assumed Sequence of Causation:
Activities of the probation aides are intended to relieve probation officers of their duties so that probation officers will have an increase in the amount of time they may spend in contact with probationers. This relief is accomplished in three ways. The probation aides serve as ambassadors in the community increasing the ease of relationships in that area. The probation aides assist in preparing PSI's removing the requirement that the P.O.'s complete the task in its entirety. The probation aides provide support services such as transporting probationers to further relieve probation officers.

4.2.2 Block Details: (See Exhibit 2)
EXHIBIT 1

Intervention Diagram

1. Funds Received

2. Probation Aides Hired

3. Probation Aides Interact with Community

4. Community Acceptance of Probation Department Enhanced

5. Fear of Probation Department Decreased

6. Efficiency Increased

7. PSI's Prepared by Probation Aides

8. PSI Data Gathered by Probation Aides

9. Probation Officer Relieved of Task

10. Support Service Provided

11. Contact Time of P.O.'s Increased
<table>
<thead>
<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Funds Received</td>
<td>The project received funds from two sources to provide support services for probationers.</td>
<td>LEAA Contribution State Contribution</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>2</td>
<td>Probation Aides Hired</td>
<td>The funds provided for the hiring of probation aides. The probation aides interact with the community, assist in or prepare PSI's, and provide support services.</td>
<td>Number of probation aides. Experience, Education, Salary Level.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>3</td>
<td>Probation Aides Interact with Community</td>
<td>The probation aides come from the areas which they serve – the barrios, the ghettoes.</td>
<td>Geographic residence of each probation aide.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>4</td>
<td>Community Acceptance of Probation Department Enhanced</td>
<td>The probation aides are accepted in their community since they are from the same socio-economic level. Probationers and their families will relate to the aides more truthfully, openly and honestly.</td>
<td>None</td>
<td>Compare different communities, replicated many times over, to determine the number of not at homes, the number of self-reported violations of conditions of probation and offenses to see if acceptance has been enhanced.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>5</td>
<td>Fear of Probation Department Decreased</td>
<td>Many probationers feel that the probation department is trying to revoke them and have them</td>
<td>None</td>
<td>Survey of probationers in similar communities where the project exists</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
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<td>Gaps</td>
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<tr>
<td>5</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
<tr>
<td>(cont)</td>
<td>incarcerated. Just the opposite is the case, the probation department is trying to help the probationer stabilize his or her life and stay out of prison.</td>
<td>and where it does not exist. Survey should have indirect questions such as, &quot;What do you feel is the role of the Probation Department?&quot; Survey can take place at time of regular visit.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Efficiency Increased</td>
<td>When probation officers attempt to see a client, the client will be there. When the probationer is supposed to attend a resource referral, he or she will be there. Increased reliability of probationers and a resulting decrease in wasted time is the anticipated outcome.</td>
<td>None</td>
<td>Compare the proportion of missed appointments for different but similar groups for sites that do and do not have the project in operation.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>7</td>
<td>PSI's prepared by Probation Aides</td>
<td>The probation aides gather the required information and prepare pre-sentence investigations.</td>
<td>Number of PSI's completed.</td>
<td>Number of PSI's completed. Quality of PSI's completed. Time required to complete PSI's.</td>
<td>Same as Suggested</td>
<td>Quality of PSI's is not measured by any project.</td>
</tr>
<tr>
<td>8</td>
<td>PSI Data Gathered by Probation Aides</td>
<td>The probation aides may collect data for the PSI's. The probation officer would then prepare the PSI using the data gathered by the</td>
<td>None</td>
<td>Number of PSI's in which assistance was provided. Proportion of background data gathered. Quality of assistance.</td>
<td>Same as Suggested</td>
<td>Would not be difficult to measure the number of PSI's in which assistance was</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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</tr>
<tr>
<td>8</td>
<td>(cont)</td>
<td>aides, and perhaps, additional data.</td>
<td></td>
<td>Time required to provide assistance.</td>
<td></td>
<td>provided. Some formal means of determining proportion should be developed. Quality of assistance will have to be scaled.</td>
</tr>
<tr>
<td>9</td>
<td>Probation Officers Relieved of Task</td>
<td>The probation officers no longer have to prepare all PSI's themselves. The probation aides provide assistance in preparing the PSI's.</td>
<td>None</td>
<td>Distribution of probation officer's time before the project was started and during the project. Make sure to account for supervision probation officers must give to probation aides.</td>
<td>Same as Suggested</td>
<td>The gap is not in the difficulty of the measure but in implementing the work sample. Standard procedures are certainly available.</td>
</tr>
<tr>
<td>10</td>
<td>Support Service Provided</td>
<td>Tasks that are normally performed by the probation officer can be performed by the probation aide. These tasks include the supervision of a probationer giving a urinalysis specimen and the transport of probationers to insure that they show up for an appointment.</td>
<td>None</td>
<td>Record time and nature of each activity accomplished over a sampling time period. This will approximate the relief given the probation officers. However, some of the tasks would just not be performed without the aides because of severe time constraints.</td>
<td>Same as Suggested</td>
<td>Gaps are in the performance not in methodology.</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
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<td>---------------------------------------------------------------------</td>
</tr>
<tr>
<td>11</td>
<td>Contact Time of P.O.'s Increased</td>
<td>All the pathways lead to relieving the P.O. of tasks which can be accomplished by others and increasing the efficiency of the P.O.'s work.</td>
<td>None</td>
<td>Comparison of distribution of time before and during project operation, to see if contact time has been increased.</td>
<td>Same as Suggested</td>
<td>Gaps are in performance, not in methodology.</td>
</tr>
</tbody>
</table>
Site Visit Report
Prepared by
V. E. Unger

1.0 Project Description

1.1 Project Title: Special Services for Mentally Deficient Offenders

1.2 Project Location: Tucson, Arizona

1.3 Project Purpose:

General: Provide probation services to mentally deficient adult offenders.

Principal Goal: Develop improved methods for delivery of services to mentally deficient adult probationers.

Supporting Goals:

1. Reduce Recidivism among M/D probationers.
2. Provide employment and stable living conditions for M/D probationers.
3. Develop the maximum potential of the individual M/D probationer.

1.4 Project Expenditures:

<table>
<thead>
<tr>
<th>Year</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>1972 - 1973</td>
<td>$22,600</td>
</tr>
<tr>
<td>1973 - 1974</td>
<td>28,250</td>
</tr>
<tr>
<td>1974 - 1975</td>
<td>25,000</td>
</tr>
<tr>
<td>1975 - 1976</td>
<td>26,000</td>
</tr>
</tbody>
</table>

1.5 Project Duration:

Beginning Date - August 1, 1972
Ending Date - currently planned to be institutionalized by Pima County Adult Probation Department.

2.0 Project History: The need for a project to deal with mentally deficient (M/D) probationers was conceived by L. E. Bombach who wrote the original grant application. The project was initiated in August, 1972, and Arnold Talent was hired as project director. Initially the project encountered problems in identifying the M/D probationer. This has been resolved through the use of the Kent EGY tests for initial testing of all adult probationers. Those probationers failing this test are then referred to the court clinic for additional psychometric testing. Although the primary purpose of the project is to provide special services for M/D offenders, the project staff has also conducted training programs for police and probation officers and is concerned with the indoctrination of the entire criminal justice community in the special problems of the M/D offender.

3.0 Visit Summary:

1. Meeting with Arnold Talent, project director, and Clint Smith, coordinator of rehabilitation services to discuss all aspects of the project.
4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagram: (See Exhibit 1).

4.2 Intervention Diagram Narrative

4.2.1 Overview of Activities and Assumed Sequence of Causation: The additional funds permitted the Pima County Adult Probation office to establish a project to provide special services to M/D probationers. The project staff consists of a director, a coordinator of rehabilitation services, a job developer, and two probation counselors. Through a series of tests the M/D probationer is identified. His needs are established by interview with a counselor and the type of contact (frequency and intensity) established. Through the case supervision intervention process the counselor gains insight into the client's behavior and its causes. The counselor attempts to reinforce those aspects of the client's behavior that are positive and through environmental manipulation (employment, training, and improved living conditions) attempts to correct negative behavior. Through this process the project hopes to provide the opportunity for the client to better adjust to everyday life and thus halt or reduce his deviant behavior.

4.2.2 Block Details: (See Exhibit 2).
1. Additional Funds
   ↓
2. Establish M/D Probation Project
   ↓
3. Identify M/D Probationer
   ↓
4. Identify Client Needs
   ↓
5. Establish Category of Contact
   ↓
6. Provide Casework Treatment
   ↓
7. Gain Insight into Client Behavior and its Causes
   ↓
8. Reinforce Positive Behavior
   ↓
9. Environmental Manipulation: provide job training, employment opportunities, and use referral services as required.
   ↓
10. Stabilize Client Behavior and Achieve Maximum Potential
   ↓
11. Reduce Recidivism

Exhibit 1

Intervention Block Flow Diagram
<table>
<thead>
<tr>
<th>No.</th>
<th>Block Name</th>
<th>Block Description</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Additional Funds</td>
<td>Project is funded at level of approximately $26,000/year</td>
<td>Dollars expended for personal services, supplies, and travel.</td>
<td>Include other costs such as equipment, office space, car, etc.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>2</td>
<td>Establish M/D Project</td>
<td>Hire staff and initiate project activities.</td>
<td>Number of staff hired.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>3</td>
<td>Identify M/D Probationers</td>
<td>Give Kent test to all probationers and refer those failing the test to the court clinic for additional psychometric testing.</td>
<td>Number of staff and number enrolled in program.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>4</td>
<td>Identify Client Needs</td>
<td>Based on test results, PSI report, and interview determine client needs.</td>
<td>Subjective</td>
<td>Same as Actual</td>
<td>Quantification of needs through extensive testing.</td>
<td>None</td>
</tr>
<tr>
<td>5</td>
<td>Establish Category of Contact</td>
<td>Based on client's needs determine frequency, type, and time of contact.</td>
<td>Number of contacts and type</td>
<td>Same as Actual</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>6</td>
<td>Provide Casework Treatment</td>
<td>Provide casework services based on category of contact established in steps.</td>
<td>Same as 5</td>
<td>Same as 5</td>
<td>Same as 5</td>
<td>Same as 5</td>
</tr>
<tr>
<td>7</td>
<td>Interpretation</td>
<td>Through client contact gain insights into client behavior</td>
<td>Subjective</td>
<td>Same as Actual</td>
<td>Quantification through testing</td>
<td>None</td>
</tr>
<tr>
<td>No.</td>
<td>Block Name</td>
<td>Block Description</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Cpts</td>
</tr>
<tr>
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</tr>
<tr>
<td>8</td>
<td>Reinforcement</td>
<td>Reinforce client's positive behavior</td>
<td>Subjective through observation</td>
<td>Same as Actual</td>
<td>Establish measurable goals for each client and observe progress</td>
<td>None</td>
</tr>
<tr>
<td>9</td>
<td>Environmental Manipulation</td>
<td>Change employment and social environment. Provide job training, vocational rehabilitation, and other services as needed.</td>
<td>Employment record, referrals, and training programs noted in case record.</td>
<td>Same as Actual</td>
<td>Quantify needs and measure actual referrals, employment, and progress against established needs.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>10</td>
<td>Stabilize Client Behavior</td>
<td>Through project efforts, improve job and social life.</td>
<td>Subjective</td>
<td>Same as Suggested</td>
<td>Establish client potential in measurable terms and record progress.</td>
<td>None</td>
</tr>
<tr>
<td>11</td>
<td>Reduce Recidivism</td>
<td>Through stabilized client behavior reduce deviant and criminal behavior.</td>
<td>Arreets while on probation</td>
<td>Follow-up after release</td>
<td>Compare with comparison group.</td>
<td>Same as Suggested</td>
</tr>
</tbody>
</table>
Site Visit Report

Prepared by

Terry R. Siler

1.0 Project Description:

1.1 Project Title: Ohio Governor's Region 10 Probation Rehabilitation Activities

1.2 Project Location: Stark, Summit, and Wayne Counties in Ohio

1.3 Project Purpose:

General:
1. Through the use of volunteers, provide additional service delivery in those cases where intensive (additional time, attention, or services within the capability of the volunteers) treatment is warranted. Provision of these services is intended to prevent the offender from becoming re-involved in criminal behavior and result in a change of life style for the offender.
2. Provide specialized treatment to alcoholic offenders as an alternative to the normal criminal justice process of such offenders.

Principal Goal: Augment the services of the probation department.

Supporting Goals:
1. Increase community awareness and involvement in the criminal justice system and generate citizen support.
2. Increase the use of community resources.
3. Eliminate the conflicting roles of authoritative representative of the law and "helper" faced by the probation officer by having the volunteer fill the "helper" role.

1.4 Project Expenditures:

April, 1975 - May, 1976 $114,147

1.5 Project Duration:

Beginning Date - April, 1975
Ending Date - July, 1976

2.0 Project History:

The project consists of two individual components - use of volunteers and specialized treatment for alcoholic offenders - operating in three counties in Ohio. The counties are Stark, Summit, and Wayne which encompass both rural and urban areas. The county adult probation department in each of these is the implementing agency.

The specialized treatment for alcoholic offenders was a response to the "revolving door" problem with this type of offender, which was being experienced by the criminal justice system. It was felt that
medical treatment was a more appropriate response and should be offered as an alternative. A unique feature of this component, which developed with implementation, is a third party payment thrust. Insurance companies have modified their policies to allow payment for medical services received under the program. Such payments are, of course, restricted to those who are policy-holders at the time the service is rendered.

The volunteer component was conceived as a means of augmenting the services of the respective probation departments and increasing citizen support.

The project experienced severe start-up problems (more than 6 months) which resulted in a request for one year renewal, covering June 1975 through July 1976. The request was granted. The involved counties pursued implementation at varying rates.

Each county sets its own selection criteria. All treat adults. Participation is voluntary, and is not usually a condition of probation. The probation officer makes the initial referral. Availability of appropriate client-volunteer matches can be a problem.

3.0 Visit Summary:

1. Meeting with Ralph Linsalata, Project Director, to discuss background, goals, and expenditures.
2. Meeting with Wayne County Commissioners to describe the purpose of our visit.
3. Group meeting with Jack Biddle, Chief Probation Officer, Wayne County; Vicky Kepler, Volunteer Program Coordinator, Wayne County; Richard Mulhearn, Chief Probation Officer, Summit County; Claudia Robertson, Volunteer Program Director, Stark County; Jerry Thiffault, Volunteer Coordinator, Summit County to discuss client description.
4. Individual meetings with Jack Biddle, Chief Probation Officer, Wayne County; Vicky Kepler, Volunteer Program Coordinator, Wayne County; Richard Mulhearn, Chief Probation Officer, Summit County; Claudia Robertson, Volunteer Program Director, Stark County; Jerry Thiffault, Volunteer Coordinator, Summit County. Goals were discussed with each of these individuals. Activities were discussed with Kepler, Mulhearn, Robertson, and Thiffault. Evaluation, data collection and reduction were discussed with Thiffault and Robertson.

4.0 Intervention Diagram and Narrative

4.1 Intervention Process Flow Diagrams: (Refer to Exhibits 1, 1A, and 1B).

4.2 Intervention Diagram Narrative:

4.2.1 Overview of Activities and Assumed Sequence of Causation:

There are two major components funded under this project—a De-Tox program and a Volunteer program. The two components do not interact functionally.

The De-Tox program emphasizes a medical approach to the alcoholic offender. Both medical treatment and counseling are provided in a controlled environment for
28 days. Through this means, the offender is to become aware of and understand his or her alcohol problem. Release planning helps the client meet basic needs. As a result of treatment and release planning, internal personal changes are to occur which result in the offender's behavior changing from alcoholism to sobriety. Since the alcohol problem is viewed as the catalyst, if not the cause, of this type of offender's involvement with the criminal justice system, its control should reduce the offender's reinvolvement with the system.

4.2.2 Block Details:

General: The three exhibits illustrating the causal sequences in the project are discussed individually in this section, 4.2.2. Exhibit 1, which shows the overall relationships, is discussed in section 4.2.2.1. Exhibit 1A, which shows the sequences for the Volunteer Program, is narrated in section 4.2.2.2. The De-Tox Program, shown in Exhibit 1B, is discussed in section 4.2.2.3. Exhibits 2 and 3 detail measurement information.

4.2.2.1 Exhibit 1.

1. Funds. LEAA provided $114,147 on a 90-10 basis (90%, LEAA, 10%, local) between April, 1975, and May, 1976, for development of a De-Tox Program and a Volunteer Program.

2. Development of De-Tox Program. The De-Tox Program was developed to provide specialized treatment to alcoholic offenders. Clients participate in a 28 day in-patient residential program. As an in-patient, clients receive medical treatment, initial crisis counseling, and individual, group, and family counseling. The desired result is to enable the alcoholic to maintain sobriety and, thus, interrupt the previous cycle of alcoholism→ drunkeness→reinvolvement with the criminal justice system.

3. Development of Volunteer Program. The Volunteer Program was developed to augment the services of the probation departments of Wayne, Stark, and Summit counties. Specifically, volunteers are requested when the probation officer perceives that the additional time, attention, or services that a volunteer can provide would be beneficial to the probationer. The numerical size of the probation officer's caseload is viewed as preventing him/her from providing such treatment.

4.2.2.2 Exhibit 1A.

1. Funds. Refer to Number 1, Section 4.2.2.1, Block Details.

2. Development of Volunteer Program. Refer to Number 3, Section 4.2.2.1, Block Details. Development of the Volunteer Program included publication of a training manual, Project staff consider this to
be an important step in program development. Major activities in development of the volunteer program include recruitment, screening and training of volunteers, matching clients and volunteers and supervision of volunteers. Community involvement is supposed to evolve as a result of recruitment activities and involvement of volunteers.

3. **Volunteer/Client Relationship Develops.** The volunteer acts as a role model. He or she exposes the client to new ideas and broadens his/her perspective of the world. The volunteer strives to aid the client in developing coping behaviors, to help the client set realistic goals and introduce new life options.

   The volunteer/client relationship may take the form of an authoritarian relationship or a trusting relationship. The form is supposed to be determined by client's needs. The authoritarian relationship is characterized by an emphasis on rules. The trusting relationship is characterized by rapport and confidence in the volunteer. This confidence or trust is developed through the client experiencing a relationship in which he or she is consistently valued and accepted as a person even if his or her behavior is disapproved. As a result, it appears the client's desire increases to behave in socially acceptable ways in order to avoid displeasing the volunteer. In addition, the client's attitude about himself (herself) becomes more positive and accepting.

4. **Agency Referrals As Appropriate.** Clients with specific needs such as vocational training or group counseling, are referred to appropriate community agencies. This is part of the treatment plan the volunteer helps to implement.

5. **Rapport/Trusting Relationship.** Refer to Number 3, Section 4.2.2.2.

6. **Authoritarian Relationship.** Refer to Number 3, Section 4.2.2.2.

7. **Basic Human Needs are Met Satisfactorily.** Unsatisfied needs are assumed to be the source of motivation. A hierarchy of needs is also assumed. Primary needs are for food and shelter. Once these are met it is assumed the individual moves to satisfy the next level. Other needs include safety, self-esteem, belonging, love, etc. The volunteer through agency referrals and his/her own interactions with the client tries to assure that basic needs are met. Less personal frustration follows for the client. Satisfying these needs legitimately is perceived as allowing the opportunity for client's personal goals to merge with socially acceptable goals.

8. **Client's Personal Attitudes/Goals/Values Merge With Socially Acceptable Attitudes/Goals/Values.** To achieve
permanent change to socially acceptable attitudes/goals/values, the client must internalize socially acceptable attitudes/goals and values. They become his or her's.

9. **Close Client Surveillance.** The emphasis on rules in the authoritarian relationship leads to closer client surveillance in an effort to determine if there is an infraction.

10. **Client Behavior Conforms to More Socially Acceptable Behavior.** The questionable assumption is that changes towards more socially acceptable attitudes will result in similar behavioral changes.

11. **Increased Knowledge of Client Activities/Behavior.** Closer surveillance is likely to result in finding out more about what the client is doing, thereby, increasing knowledge of the client's activities and behavior.

12. **Success Experiences Reinforce Behavior.** As success with socially acceptable goals occurs, there is the realization that such goals are obtainable. Success is pleasant and, thus, desirable. Success experiences over time strengthen positive, socially acceptable behavior. The client accepts responsibility for his/her behavior.

13. **Increased Revocation.** A possible result of increased knowledge of the client's negative activities and behavior is to have his/her probation revoked. The likelihood of this result will be a function of the values and perceived roles of the volunteer and the probation officer.

14. **Client's Fear of Reprisal.** Increased knowledge of client activities and behavior by the probation officer could stimulate fear of revocation in the client. This fear could prevent negative behavior, especially law violative, by the client.

15. **Increased Ability to Interact Effectively with Client.** Increased knowledge of the client's activities and behavior results in more information to use as a basis for deciding the most appropriate and effective courses of action.

16. **Reduced Desire to Commit Crime.** As the client has success in satisfying his or her needs in socially acceptable ways, and derives pleasure from doing so, his or her desire to commit crime should be reduced. The illegitimate avenue is no longer perceived as a necessary or desirable alternative for satisfying unmet needs.

17. **New Behavior Becomes Integral Part of Client's Life Style.** This is the ultimate aim. If socially acceptable behavior replaces the former antisocial behavior and becomes the norm in the individual's life, he/she will not be engaging in criminal activity. Thus, avoidance of recidivism is the inevitable accompaniment.
18. **Reduced Recidivism.** Refer to 17, Section 4.2.2.2.

4.2.2.3 Exhibit 1B.

1. **Funds.** Refer to Number 1, Section 4.2.2.1, Block Details.

2. **Development of De-Tox Program.** Refer to Number 2, Section 4.2.2.1, Block Details.

3. **Referral of Clients to Agencies.** Clients are referred to cooperating hospitals for a 28 day in-patient program.

4. **In-Patient Treatment.** Clients receive medical and counseling services.

5. **Client Awareness/Acceptance That He or She is an Alcoholic.** This is the initial step in treatment. The client must first be aware of his or her problem and then accept it.

6. **Client Begins to Understand Nature of His or Her Alcohol Problem.** As part of the in-patient treatment the client is given information about his or her sickness.

7. **Social Readjustment Begins.** The client's self-concept begins to change as a result of understanding his or her problems.

8. **Release Planning.** Provision is made for employment, residence, community ties. Example: referral to Alcoholic Anonymous for continued counseling/support.

9. **Release from In-Patient Care to Out-Patient.** The client is released from the 28 day residential program.

10. **Social Readjustment/Sobriety Continue.** The client has a stable personal and family life, as well as stable employment. He or she exhibits alternative behaviors instead of reverting to alcohol.

11. **Reduced Criminal Justice System Involvement/Recidivism.** As a result of Number 10, the client's values are assumed to change as the rewards of sobriety are recognized. Since alcoholism was the catalyst to the client's involvement in the criminal justice system, its control should reduce the client's reinv olvement with the system.
Exhibit 1

1. Funds

2. Development of De-Tox Program

3. Development of Volunteer Program
New Behavior Becomes Integral Part of Client's Life Style

1. Funds
2. Development of Volunteer Program
3. Volunteer/Client Relationship Develops
4. Agency Referrals As Appropriate
5. Rapport/Trusting Relationship
6. Authoritarian Relationship
7. Basic Human Needs are Met Satisfactorily
8. Client's Personal Attitudes/Goals/Values Merge With Socially Acceptable Attitudes/Goals/Values
9. Close Client Surveillance
10. Client Behavior Conforms to More Socially Acceptable Behavior
11. Increased Knowledge of Client Activities/Behavior
12. Success Experiences Reinforce Behavior
13. Increased Revocation
14. Client's Fear of Reprisal
15. Increased Ability to Interact Effectively with Client
16. Reduced Desire to Commit Crime
17. New Behavior Becomes Integral Part of Client's Life Style
18. Reduced Recidivism
Exhibit 1B

1. Funds

2. Development of De-Tox Program

3. Referral of Clients to Agencies

4. In-Patient Treatment

5. Client Awareness/Acceptance
   That He or She is an Alcoholic

6. Client Begins to Understand
   Nature of His or Her Alcohol
   Problem

7. Social Readjustment Begins

8. Release Planning

9. Release from Inpatient
   Care to Outpatient

10. Social Readjustment/Sobriety
    Continues

11. Reduced C. J. System
    Involvement/Recidivism
### Exhibit 2
#### Block Measures for Exhibit 1A

<table>
<thead>
<tr>
<th>Block Name</th>
<th>Actual Measure</th>
<th>Suggested Measure</th>
<th>Ideal Measure</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Funds</td>
<td>Dollars expended in the following categories: personal services, supplies, contractual services, equipment, and travel.</td>
<td>1) Dollars expended per project activity Ex. dollars per volunteers recruited 2) Dollars per client &quot;saved&quot; (i.e., clients who do not reoffend)</td>
<td>1) Same as Suggested, and 2) Cost/Benefit Study</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>2. Development of Volunteer Program</td>
<td>1) Records of staff employment 2) Records of participating volunteers 3) Record of number of clients who participate in project</td>
<td>Same as Actual</td>
<td>Same as Suggested</td>
<td>None</td>
</tr>
<tr>
<td>3. Volunteer Client Relationship</td>
<td>Number of matches and number of contacts (phone and in person); number of hours spent by volunteers; mileage and expenses incurred by volunteer. (Only Stark County's Probation Aide Report requires forced choice answers regarding levels of personal interaction and one word description of nature of the relationship each week.)</td>
<td>Measures being used, as well as recording the number of re-matches with an explana-tion for the re-match (i.e., no. re-matched because of incompatibility), can be used as indicators. Expand contact classification to be more descriptive of the type of interactions which occur during the contact. If a behavioral change appears to be directly related to the interaction, recording the type of interaction, change, and reasons for believing the two are related.</td>
<td>Measurement method/instruments capable of discerning the qualities of relationships, at given points in time or the process, which are necessary to produce the desired changes, and a means of classifying those qualities at various stages in time or the process.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>Block Name</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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</tr>
<tr>
<td>4. Agency Referrals</td>
<td>Number of referrals to agencies</td>
<td>1) Number of referrals per client as well as total</td>
<td>Same as Suggested, and determination of relationship, if any, between need for which referred, degree and when in time need is met, and desired changes in client's behavior.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>as Appropriate</td>
<td></td>
<td>2) Desirable but not necessary to measure No. 4:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Type of service for which referral is made and success of referral.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Rapport/Trusting Relationship</td>
<td>None</td>
<td>Appropriate sociometric instruments may exist. However, it is likely that modifications would be required. Perhaps those which are used to determine small group dynamics would be an appropriate starting point.</td>
<td>1) Sociometric instruments which determine the basis for the relationship and if rapport and trust characterize it. 2) Relating results of 1 above to desired behavioral changes in the client.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td></td>
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</tr>
<tr>
<td>6. Authoritarian Relationship</td>
<td>None</td>
<td>Administer personality measurement tests such as T.W. Adorno's et al. Authoritarian Personality Scale.</td>
<td>Suggested, plus a means of determining if an authoritarian personality in in the volunteer automatically results in an authoritarian relationship with the client.</td>
<td>Same as Ideal</td>
</tr>
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</tr>
<tr>
<td>7. Basic Human Needs Are Met</td>
<td>The number of referrals and number of times outside assistance from community agencies is needed (in the perception of the volunteer).</td>
<td>Unmet needs should be defined from the perspective of the client as well as the volunteer. Psychological testing might be used to measure the more intangible needs such as for a sense of belonging.</td>
<td>Same as Suggested</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>Block Name</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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</tr>
<tr>
<td>8. Client's</td>
<td>No formal measure. Subjective, individual judgments, if done at all.</td>
<td>Comparison for similarity of client responses to situational choices reflecting</td>
<td>Valid and reliable measures of degree and type of deviations in personal</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>Personal Attitudes</td>
<td></td>
<td>commonly accepted attitudes, goals, and values in American culture. Minimally,</td>
<td>attitudes, goals, and values as compared with the non-probated population and</td>
<td></td>
</tr>
<tr>
<td>Goals/Values</td>
<td></td>
<td>compare client statements to commonly accepted attitudes, goals, and values in</td>
<td>the relationship of such to criminal behavior.</td>
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<td></td>
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<td>American culture.</td>
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<td>Merge</td>
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<tr>
<td>Socially Acceptable</td>
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<tr>
<td>Attitudes/Goals/</td>
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<tr>
<td>Values</td>
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<tr>
<td>9. Close Client</td>
<td>Number of contacts</td>
<td>Contact classification scheme giving type, reason for contact, length of time of</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>Surveillance</td>
<td></td>
<td>each contact, number, and frequency.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Client Behavior</td>
<td>Subjective, individual judgments</td>
<td>1) Sociometric tests of degree of socialization administered prior, during and at</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>Conforms to More</td>
<td></td>
<td>end of project participation.</td>
<td></td>
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</tr>
<tr>
<td>Socially Acceptable</td>
<td></td>
<td>2) Consensus of those making judgments on precise, observable actions and criteria</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Behavior</td>
<td></td>
<td>which are acceptable indicators of progress towards more socially acceptable</td>
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<td></td>
<td></td>
<td>behavior. (Preferably, the client representatives would be included). Then</td>
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<tr>
<td></td>
<td></td>
<td>observation over time on basis of actions and criteria defined above. (Such</td>
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<td></td>
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<td>judgments are made every day. This</td>
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<tr>
<td>Block Name</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
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</tr>
<tr>
<td>10. (cont)</td>
<td>suggestion is merely a means of gaining some consistency).</td>
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<td></td>
</tr>
<tr>
<td>11. Increased Knowledge of Client Activities/ Behavior</td>
<td>Number of times volunteer learns of probation violation and how he/she found out about it is recorded, but not tabulated as a measure.</td>
<td>Comparison of volunteer's awareness of client's activities with what is objectively known, ex. employment.</td>
<td>Comparisons of volunteer's awareness of client's activities and behavior with what is objectively known. Measure which assesses application of awareness in the relationship.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>12. Success Experiences</td>
<td>None</td>
<td>Sufficiently tested in psychology to accept without measuring.</td>
<td>Same as Suggested</td>
<td>None</td>
</tr>
<tr>
<td>13. Increased Revocation</td>
<td>Number of clients who recidivate</td>
<td>Number revoked in a given time period categorized by reason for revocation.</td>
<td>Same as Suggested, but compare with a control group and relate results to treatments received by each group.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>14. Client's Fear of Reprisal</td>
<td>None</td>
<td>A possible unobtrusive approach would be to classify knowledge gained in No. 11 into potentially damaging and non-damaging, and then assess degree to which client withholds potentially damaging information from the volunteer.</td>
<td>Objective assessment of the degree of fear which exists and the degree to which such fear motivates client's behavior.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>Block Name</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
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<td>---------------------------------------------------------------------------</td>
<td>----------------</td>
<td>-----------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------</td>
<td>-----------------------</td>
</tr>
<tr>
<td>15. Increased Ability to Interact Effectively with Client</td>
<td>Subjective.</td>
<td>Client's opinion of how helpful and effective the volunteer has been. Inquiry should be made at project termination to provide perspective.</td>
<td>Objective assessment of whether increased ability to interact effectively with client and degree of effectiveness of the interaction.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>16. Reduced Desire to Commit Crime</td>
<td>None</td>
<td>Psychological tests of inclination to commit crime at relevant points in time.</td>
<td>Psychological testing measuring changes in actual desire over time, related to stages and actions in the volunteer/client relationship. Also, compared with a control group.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>17. New Behavior Becomes Integral Part of Client's Life Style</td>
<td>None</td>
<td>Follow-up at intervals over time to determine recidivism and reductions in other anti-social behavior.</td>
<td>Follow-up at intervals which determines criminal activity and reduction in other anti-social behavior. Also, if no criminal activity, means of determining if the reason is lack of opportunity or the risk is perceived as too great versus value internalizations which cause rejection of such activities.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>Block Name</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
<tr>
<td>------------</td>
<td>----------------</td>
<td>------------------</td>
<td>---------------</td>
<td>------</td>
</tr>
<tr>
<td>18. Reduced Recidivism</td>
<td>Not calculated as a rate</td>
<td>Compute rate of re-arrest and reconviction for project participants.</td>
<td>1) Before/During/After changes in criminal activity compared with a control group. 2) Relate changes to characteristics of volunteer/client relationship and probation officer characteristics which influence relevant judgments. 3) Measure time at risk in calculation. 4) Standardize definitions nationally but being certain that such definitions will be made operational.</td>
<td>Same as Ideal. Application is difficult, i.e., control groups seldom remain &quot;pure&quot;; determining actual criminal activity of individuals vs. arrests or convictions, which deal only with those who are caught, is beyond present capabilities; standard definitions which require follow-up also require money and realistic provisions for implementing the follow-up.</td>
</tr>
</tbody>
</table>
### Exhibit 3

**Block Measures for Exhibit 1B**

<table>
<thead>
<tr>
<th>Block Name</th>
<th>Actual Measures</th>
<th>Suggested Measures</th>
<th>Ideal Measures</th>
<th>Gaps</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Funds</td>
<td>Same as No. 1, Exhibit 2.</td>
<td>Same as No. 1, Exhibit 2.</td>
<td>Same as No. 1, Exhibit 2.</td>
<td>Same as No. 1, Exhibit 2.</td>
</tr>
<tr>
<td>2. Development of De-Tox Program</td>
<td>1) Number of referrals 2) Records of staff employment</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>3. Referral of Clients to Agencies</td>
<td>Number of referrals 1) Number referred. 2) Number who participate.</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
<td></td>
</tr>
<tr>
<td>4. In-Patient Treatment</td>
<td>No specific measures.</td>
<td>Observations or documentation of services received and activities in which client participates.</td>
<td>Same as Suggested, plus measures of the success of in-patient treatment.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>5. Client Awareness Acceptance that He or She is an Alcoholic</td>
<td>None</td>
<td>1) Tests which determine awareness and acceptance. 2) Client statements.</td>
<td>Objective measures of awareness and acceptance and their relationship to each other.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>6. Client Begins to Understand Nature of His or Her Alcohol Problem</td>
<td>None</td>
<td>1) Same as no. 2 of Suggested under Block Name 5.</td>
<td>Measures of degree of understanding and relationship of such understanding to motivating behavior.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>7. Social Readjustment Begins</td>
<td>None</td>
<td>1) Use of alcohol is controlled (acceptable level must be specified) or absent. 2) Stabilization of factors which have been under-</td>
<td>Same as Suggested</td>
<td>Same as Suggested</td>
</tr>
<tr>
<td>Block Name</td>
<td>Actual Measure</td>
<td>Suggested Measure</td>
<td>Ideal Measure</td>
<td>Gaps</td>
</tr>
<tr>
<td>------------</td>
<td>----------------</td>
<td>------------------</td>
<td>--------------</td>
<td>------</td>
</tr>
<tr>
<td>7. (cont)</td>
<td>mined by alcoholism, ex. employment, family life.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Release Planning</td>
<td>No. of referrals to other agencies at time of release.</td>
<td>1) No. of referrals to other agencies at time of release. 2) Client's opinion of severity of unmet needs, if any, as motivators for returning to alcoholism.</td>
<td>Measures of efficacy of the planning.</td>
<td>Same as Ideal</td>
</tr>
<tr>
<td>9. Release from In-patient Care to Out-patient</td>
<td>Documentation of client status.</td>
<td>Same as Actual</td>
<td>Same as Actual</td>
<td>None</td>
</tr>
<tr>
<td>10. Social Readjustment/ Sobriety Continues</td>
<td>None</td>
<td>Same as No. 7</td>
<td>Same as No. 7</td>
<td>Same as No. 7</td>
</tr>
<tr>
<td>11. Reduced Criminal Justice System Involvement/ Recidivism</td>
<td>None</td>
<td>Re-arrest</td>
<td>Same as Suggested, but also analysis of influence alcohol had in re-arrest.</td>
<td>Same as Ideal</td>
</tr>
</tbody>
</table>
SCHOOL OF INDUSTRIAL AND SYSTEMS ENGINEERING
October 11, 1976

SINGLE PROJECT EVALUATION DESIGN

PHASE I EVALUATION OF INTENSIVE
SPECIAL PROBATION PROJECTS

for

U. S. Department of Justice
Law Enforcement Assistance Administration

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CHAPTER I
INTRODUCTION

This report presents an evaluation plan for intensive special probation projects. Intensive special probation (ISP) projects are limited to those projects providing unusually individualized or specialized probation services to adult probationers. This includes projects which utilize volunteers, para-professionals, as well as professional probation officers for the purposes of improving the attention given and expanding the time available to offer assistance to probated offenders. Basically, probation projects which permit unusually low caseloads and/or specialized counseling or services for offenders would be considered as intensive special probation projects. This evaluation plan has been developed as part of a Phase I evaluation of ISP projects under the National Evaluation Program. The National Evaluation Program is being conducted by the National Institute of Law Enforcement and Criminal Justice. The National Institute has sponsored a series of such Phase I evaluations of specific topic areas. In the Phase I evaluation, basic information related to the topic area is to be collected, synthesized, and assessed. The following products are to be produced under the Phase I efforts:

1) Issues paper drawn from general knowledge and past findings.

2) Flow diagrams and descriptions of existing project intervention activities.

3) Analytical frameworks for use in analyzing existing activities in a topic area.

4) An assessment of what is presently known and not known about interventions in the topic area.

5) An evaluation design for a Phase II evaluation study.

6) A single project evaluation design for use on local projects.

7) A summary of the above work products.
This evaluation plan represents work product (6) and is designed for use on local projects. Its primary purpose is to provide formative information at the local level to better aid in carrying out the project and to provide useful information to local authorities to aid in the allocation of local resources to criminal justice programs. The basic design imposes only those measurements required to accomplish this purpose[1]. The design does not negate the use of experimental or quasi-experimental research designs involving control or comparison groups or the use of a before after design[2]. These research designs would greatly increase the interpretative power of the evaluation relative to the success of the ISP project. They are, however, costly and they require the assistance of trained and experienced professionals to properly implement and analyze the results. If these resources are available at the local level, these designs could be built around the basic design contained in this report. On the other hand, it would be foolish to burden a local project with the data and measurement requirements associated with these research designs if the resources are not available to properly implement and carry out such evaluation research.

The evaluation plan focuses on both project outcomes and project activities. Measurement of outcome is a necessary prerequisite to understanding project effectiveness. It would be useless to expend resources on detailed process measurements to explain unidentified outcomes. On the other hand, it is not sufficient to merely determine whether or not a project is proceeding successfully relative to its anticipated outcomes. Rather, an attempt should be made to relate what is going on in the project to the project's outcomes. If a project is achieving success it is desirable to know which, if any, of the project activities may be contributing to that success, while if unsuccessful, it would be desirable to know if the lack of success could be traced to the failure to implement or carry out as planned one or more project activities.
Moreover, this type of information would be desirable on a periodic basis so that corrective steps may be implemented if required.

To insure that the evaluation will provide formative results, it is necessary to enumerate the desired project outcomes or goals and then to identify the project activities and the sequence of processes leading to the outcomes. To accomplish this, this evaluation plan provides for the construction of a process flow measurement model of the ISP project. The development of this model is discussed in the next section of this report.

The evaluation plan is developed around a general framework for ISP projects. Consequently, the plan is not for a specific type of ISP project but rather consists of self-contained evaluation modules that can be used when applicable. Furthermore, each individual module may be used in whole or in part as appropriate. The evaluation modules are presented in Chapter 3 of this report.
CHAPTER II
THE PROCESS FLOW MEASUREMENT MODEL

To provide formative feedback to project operations the evaluation should measure not only anticipated project outcomes (project goals and objectives) but also those project activities and processes by which it is anticipated that the goals and objectives will be achieved. To provide for such an evaluation design it is necessary to begin with the development of a process flow measurement model. As a first step in constructing the process flow model, it is necessary to identify the planned project activities and the desired or anticipated project outcomes. A conceptual model must then be developed that couples the activities step-by-step towards the desired outcomes. Such a model would normally be developed as a block diagram with blocks representing activities and outcomes and arrows between the blocks representing the linking of the activities with each other and immediate and final outcomes. In proceeding through such a conceptual model it is possible that gaps may be identified in the sequence of steps from activities to outcomes. In such cases revisions and/or additions to project activities and/or anticipated outcomes are required so that functional linkages can be achieved between the project activities and outcomes.

The process flow model provides the linkage of project activities with project outcomes. It implicitly describes the chain of assumptions from expenditure of funds to anticipated impact and identifies the key assumptions associated with the project. It may be viewed as a causal model indicating the sequence of process steps leading to outcomes. By providing the linkage between project activities and outcomes the process model forms the basis for the evaluation effort. The evaluation plan is to be designed to measure not only the project outcomes and impacts but also to measure those planned activities
that are to lead to the outcomes. An evaluation plan based on this concept provides feedback not only on outcomes, but also on the extent to which those activities, responsible for the outcomes, are being carried out as planned.

It is, of course, entirely possible that success or failure of the project will be due to exogeneous or environmental factors beyond the control of the project. This determination is beyond the realm of this and even more complex, evaluation plans. It is anticipated, however, that this evaluation plan will provide not only formative feedback, but also insight into the reason a particular outcome was achieved. For example, if a project is deemed to be successful in its outcome, but few if any of the activities were carried out as planned, this knowledge would cast doubt on the underlying hypothesis regarding project operations. On the other hand, if success was achieved in both planned activities and outcomes, although such success could still be due to extraneous factors, one could not rule out the conclusion that the project concept itself was effective.

Unfortunately, there is no exact or algorithmic procedure available for the development of the process flow diagram. The desired result can perhaps best be illustrated by example. Consider the process flow diagram developed for an ISP project designed to reduce recidivism among breaking and entering offenders through the intensive supervision of such offenders. The flow diagram developed for this project is presented in Figure I. A narrative of the process flow follows:

**Overview of Activities and Assumed Sequence of Causation:**

The core of the probation project is an attempt to build a more intensive relationship between probation officers and clients, primarily through reduced caseloads. This intensive relationship is assumed to be reflected in increased client sense of agent caring and in increased client success in employment and community treatment programs. The additional cooperation between units of the criminal justice system as a part of the breaking and entering program assists the probation officer in his work by making information more readily available to him.
Increased Officer Knowledge of Violations

More Intensive Contact Between Clients and Agents

Increase Use of Pre-Sentence Investigations

Improved Officer Knowledge of Client's Needs

Increased Employment Assistance

Increased Client Employment Success

Increased Client Personal Expectation

Decreased Recidivism (Particularly Breaking and Entering)

Increased Public Safety

FIGURE 1
INTERVENTION PROCESS FLOW DIAGRAM
Block Details:

1. **Increase Funds.** Through September, 1976, approximately $97,000 will have been expended on the project.

2. **Increase Agent Staff.** The principal use of the increased funds has been the addition of two probation agents and associated supervisors.

3. **Increase Use of Pre-Sentence Investigations.** One consequence sought from the addition of new probation agents was an increase in the frequency of pre-sentence investigations in breaking and entering cases.

4. **Provide Psychological Evaluations on Intake.** A second consequence of increased funding is the ability to contract with professional psychologists for intake examinations of clients.

5. **Improved Officer Knowledge of Client Needs.** The combined effect of psychological intake examinations and increased use of pre-sentence investigations is assumed to be an improvement in probation agent's knowledge of clients' needs.

6. **More Intensive Contact Between Clients and Agents.** Through a reduction in caseload and improved assessment of client needs, it is assumed that a more intensive contact will develop between the probation officer and his client.

7. **Increased Client Sense of Agent Caring.** One anticipated consequence of a more intensive relationship between client and agent is an increased sense that the agent cares about the success or failure of his clients.

8. **Increased Referrals to Community Agencies.** One assumed effect of the more intensive supervision of clients at block 6 is an increase in agent referrals of clients to community service programs.

9. **Increased Client Success in Community Programs.** The combined effects of an increase in referrals to community service agencies at block 8 and the increased appropriateness of referrals resulting from the knowledge at block 5 are assumed to lead to increased client success in community programs.

10. **Increase Employment Assistance.** Another assumed consequence of more intensive supervision is increased assistance for clients in finding employment.

11. **Increased Client Employment Success.** The increased officer knowledge and assistance of blocks 5 and 10 are assumed to combine with success in job-related community programs at block 9 to produce increases in client employment.

12. **Increased Client Personal Expectations.** The aggregate effect of increased employment, increased success in community programs, and an increased sense of agent's concern for the client are presumed to produce an increase in a client's personal expectations. A temporary improvement in life style encourages expectations of a permanent involvement.

13. **Decreased Recidivism.** One consequence of increased client self-expectations and a corresponding sense of having a stake in the future is assumed to be a decrease in criminal activity. This would in turn be reflected in a decrease in recidivism, especially of breaking and entering offenses.

14. **Institute Cooperative Programs with Other Criminal Justice Agencies.** The third impact of additional criminal justice funds is the institution of joint criminal justice programs reaching across several agencies and concentrating on particular crimes.
16. **Earlier Violation of Problem Clients.** Increased knowledge of violations at block 15 is assumed to produce earlier violation and incarceration of problem clients.

17. **Increased Public Safety.** The combined effect of decreased recidivism at block 13 and earlier violation of problem clients is an increase in public safety. Public safety is measured by the incidence of crime and public perceptions of crime.

Intervention process flow diagrams have been developed for twenty-one ISP projects. These diagrams are included in the *Interventions Papers* published as a part of this Phase I effort [3]. From these flow diagrams a general framework was constructed for ISP projects. This general framework is presented in *Frameworks* [4]. A slightly condensed version of the process elements for this general framework is shown in Figure 2. These process elements may be used as a guide for developing the process flow diagram for an ISP project. Other blocks may have to be added to permit incorporation of special ISP activities or to elaborate upon process areas that are considered critical to the specific project.

Having developed the process flow model, ideally one would like to identify measures for the activity or outcome associated with each block in the diagram. In general, precise measurement techniques will not be available for all blocks. This lack of measurement ability will, of course, result in gaps in the evaluation plan, however, an evaluation plan that logically measures at least some of the process activities relating to project outcomes must be preferred to a plan that merely measures activities for the sake of obtaining data without regard to how or whether or not such activities relate to the overall causal sequence of activities. A description of process and outcome measures currently in use for the general process flow model of Figure 2 is given in Appendix A.

The number of process permutations that could be obtained through the general model is very large as is the number of different ISP projects that have been or could become operational. It would be impossible to present an evaluation plan for all such projects and rather than present an evaluation plan
INTENSIVE SPECIAL PROBATION PROCESS ELEMENTS

**Funding**

**ADDITIONAL PERSONNEL:**
- Volunteers
- Interns
- Aides
- Professionals

**INTENSIVENESS:**
- Reduced Caseloads

**ADDITIONAL ACTIVITIES:**
- Information on Available Comm. Services
- Increased Contact Time

**FACILITATING EFFORTS:**
- Improved Sentencing
- Special Caseloads
- Sound Referrals

**BETTER SERVICES:**
- Specialized Treatment
- Job Referral/Placement
- Surveillance

**IMMEDIATE RESULTS:**
- More Client Options
- Client Employment
- Client Stabilization

**CLIENT CHANGE:**
- Improved Self-Functioning
- Attitude Change
- Behavior Change
- Decreased Criminal Activity

**IMPACTS:**
- Decreased Revocation
- Decreased Recidivism
- Increased Revocation
- Decreased Social Costs
for a few arbitrary funding to impact sequences this report discusses evaluation measures for each of the broad categories of functional elements associated with the general model. Those elements which will be included as evaluation areas are:

- Additional Personnel
- Additional Activities
- Facilitating Efforts
- Better Services
- Immediate Results
- Client Change
- Impacts

The elements within each of these topic areas that will apply to an individual project will, of course, depend upon the nature and assumptions regarding the individual project.
CHAPTER III
EVALUATION MODULES

Evaluation measures are developed around the general framework described in Chapter II. The essential areas of this general model are shown in the macro-model presented in Figure III-1.

A) Additional Personnel
B) Additional Activities
C) Facilitating Efforts
D) Better Services
E) Immediate Results
F) Client Change
G) Impacts

FIGURE 3
MACRO-FRAMEWORKS MODEL FOR ISP PROJECTS

Evaluation measures are prescribed for the activities or outcomes associated with each of the seven elements of the macro model. The evaluation measures associated with block G (Impacts) are designed to measure the progress of the project towards its final outcomes or impacts. The measures for blocks A through F track the contribution of the project activities and immediate outcomes to the overall project success. The data requirements associated with each evaluation measure are also specified in this chapter.
This evaluation plan does not specify data that is required for internal project operations such as client census and history data. Data of this nature are required by probation officers in carrying out their normal probation functions. This client data could provide a basic data base for extensive research studies that attempt to relate client characteristics to probation outcomes. Such studies are, however, beyond the realm of this evaluation plan.

Implementation

The evaluation measures developed in this chapter are not measures for a specific project but rather are self-contained evaluation measurement modules that may be applied in whole or part to specific projects. The determination of which of the specific measures should be applied to a specific project should be made after construction of the process flow model for the project. The design of a specific project evaluation plan must rely on common sense. It is foolhardy to measure some element just because it is measurable if that element or activity is not of relevance to the causal sequence of activities and outcomes associated with the project. On the other hand, difficulty in measuring an element should not be an excuse for deleting that measurement from the evaluation plan should the element provide a critical link in the framework.

Once the process flow model has been constructed the appropriate measurement modules for the associated project activities and outcomes can be selected from those presented in this chapter. Since the data requirements are developed for each measurement module, the overall data requirements can easily be determined after the measurement modules have been selected.
Desired levels of performance should be specified for each activity and outcome. This will permit actual performance to be compared with expected performance and will signal the need for corrective action whenever actual performance is substantially below anticipated levels. These desired performance levels can be determined from

- the analysis of prior projects
- subjective judgment based on previous experience

or they could be established after initial operating experience has been gained.

The main purpose of this evaluation plan is to provide formative feedback throughout the project. Therefore, it is essential that the performance measures be calculated and compared to desired performance on a periodic basis throughout the project. For most projects, this periodic review should be conducted monthly.

The remaining portions of this section present evaluation measures for the activities and/or outcomes associated with the seven macro-framework elements. To insure reasonability of the proposed measures, the recommended measures are those that have actually been used in the field on various ISP projects.

A. Additional Personnel

The measurements required for this area are directed at determining the number and background of project personnel. This information is required for other performance measures. The actual measures suggested are very straightforward and should pose no implementation problems. The first set of measures will relate to paid personnel and will be applicable to paraprofessionals, interns, probation aides, and probation officers. This is followed by a set of measures for volunteers.
1) Paid Personnel

a. Number of paid personnel. This can be computed from payroll records for each category of personnel. Assuming a 40 hour work week, then for an "n" week period the average number of equivalent full time personnel would be

\[
\frac{\text{Total paid hours for personnel category during the period}}{n \times 40}
\]

Total paid hours would include holidays, vacations, sick leave, and other paid leaves of absense. This average number of equivalent full time personnel should be computed for each category of personnel specified in the project flow diagram.

Other measurements that may be of relevance to a particular project may include:

b. Number of years of experience as a probation officer. For each individual probation officer this would be computed as number of years of experience prior to project employment plus the number of years of experience obtained while employed on the project. Total employment experience for each employee should be updated at the end of each reporting period. Total staff experience should be weighted by the fraction of time spent on the project by each officer and could be computed for each period by summing over all probation officers.

\[
\frac{\text{Years experience x paid hours during period}}{\text{Total working hours in period}}
\]

Similar measures, if of importance, could be made for other categories of personnel.
2) **Volunteers**

Similar measures could also be made for volunteers using hours worked rather than paid hours. Depending on the nature of the volunteer effort more detailed data may be desirable. This may include:

a. Number of active volunteers at end of period
b. Number of volunteers in training at end of period
c. Number of volunteers completing training during period
d. Number of volunteer terminations during period and reason for termination
e. Number of individuals interviewed regarding becoming a volunteer during the period
f. Number of individuals accepted for volunteer training during period
g. Number of volunteer placements made during period
   i. with individual probationers
   ii. assigned to probation officer
   iii. assigned to employment program
   iv. assigned to provide transportation
   v. assigned to volunteer program administration
   vi. other

B. **Additional Activities**

The evaluation measures in this section are designed to determine the effects of the additional staff associated with an ISP project on the activities associated with the project. The two activities specifically considered are contact time and identification of community services.

1) **Contact Time.** In many ISP projects the main process objective is to increase the amount of probation supervision (contact time or number
of contacts) provided clients. This is often achieved by decreasing the caseload of probation officers and thus average caseload per probation officer is often used as a process measure.

a. **Average caseload** per period is computed by:

\[
\frac{\text{average number active cases during the period}}{\text{average number of equivalent full time probation officers}}
\]

where the average number of active cases would be calculated by summing the total number of active cases each day (week) of the period and dividing by the total number of days (weeks) in the period. Active cases would not include absconded clients or other clients not available for supervision services. The average number of equivalent full time probation officers would be computed as under module A.

The above computation can also be made for each individual probation officer. The numerator would be the average number of active cases for an individual probation officer and the denominator the fraction of full time employment of that probation officer during the period.

To make this computation, data must be maintained for each individual probationer on:

- Probationer officer assignment and date of assignment
- Status change:
  - Active to inactive - reason and date
  - Inactive to active - reason and date
- Project termination - reason and date

In addition to the average caseload, the maximum and minimum caseload for probation officers could be computed.

The above measures do not consider the preparation of Pre-Sentence Investigation (PSI) Reports. Attempts have been made to weight PSI
reports relative to caseload supervision. No uniformly acceptable 
weights have been devised and the effort required to prepare such 
reports can vary greatly depending upon the detail required, the 
information requirements and availability. Therefore, if the 
preparation of PSI reports is part of the supervising probation 
officer's workload, it is recommended that separate measures be 
made of this activity. One commonly used measure of this activity 
is the number of PSI reports completed by each probation officer 
during the period. From this it is possible to compute the 
average, maximum, and minimum number of PSI completed per probation 
officer for the period.

Average caseload is at best only an individual measure of the 
quantity of supervision provided clients. Two more direct measures 
are discussed below.

b. **Number of contacts.** Average, minimum and maximum number of contacts 
per probation officer should be calculated for the period. Contacts 
should be broken down by type (positive or collateral) and place. 
Positive contact being direct contact with the probationer and 
collateral contact being contact with a third party, such as family, 
employer, friend, relative of the probationer. Places of contact 
can be broken down as:

- Office
- Employment
- Home
- Telephone
- School
- Community
Referral Agency (specify)

Other (specify)

This data could also be used to measure average, maximum, and minimum number of contacts per probationer for the period. The required data must be kept by each individual probation officer for each probationer under his supervision.

c. Time of contact. Time of contact could be recorded for each of the categories set out above. Normally interest would center on the time of positive contacts rather than both positive and collateral contacts. It is recommended that time of contact be recorded by the probation officer directly after the contact with the client.

It should normally be adequate to record time of contact in units of tenths or quarters of an hour. From these individual records the following measures can be made:

i. Total time spent in face to face contact

ii. Average time spent in face to face contact

These measures may be made at both the project and probation officer level.

The reliability of number and time of contact measures depends upon the individual probation officer. It is essential therefore to obtain the cooperation of the officers in such data collection efforts. This normally will require explaining the purpose of such measurements, how they will relate to the overall project evaluation, and the assurance that such data will not be used to evaluate individual officers.
2) **Identification of Community Services.** This process is concerned with the identification of community services that could be used as referral services for the project. On many projects this type of activity is the responsibility of the individual probation officer and is often not formalized. It is suggested that a community services directory be maintained for the project. This directory would include a description of the type of service, the address and contact at the agency, any restrictions or limitations regarding probationers, and experience and/or evaluation of the agency. The date of entry of the agency into the resource directory and, if deleted, the date and reason for deletion should be recorded. The following measurements could be obtained from the resource directory.

a. Number of agencies added to the directory during the period
b. Number of agencies deleted from the directory during the period

and if the agencies are being evaluated, on a periodic basis one could also measure the number of evaluations completed during the period.

C. **Facilitating Efforts**

1) **Improved Sentencing.** This process activity is centered around providing better information to the courts for sentencing purposes. Data collection for each PSI should include:

- elapsed time (days) required to complete each PSI
- recommended sentence
- actual sentence
- reason for difference
- recommended probation conditions
- actual probation conditions
- reason for difference
From the data the following performance measures can be derived:

a. Number of PSI reports completed during the period
b. Number of cases in which the actual sentence was the same as the recommended sentence
c. Average and maximum elapsed time required to complete PSI reports.

2) **Special Caseload.** Special caseloads provide for the division of clients into special groups for specialized supervision. At this point in the process flow it is only necessary to measure whether or not such groups were established. Thus, the required performance measures would be:

a. Number of clients screened for assignment to special groups
b. Number of clients assigned to each special group

For each individual probationer records should be maintained on:

- date screened for possible assignment to special group
- results of screening
- group assigned to and data of assignment
- date of termination of group participation

Outcome measures dealing with immediate results, client change, and impacts (all of which are discussed later in this section) should be maintained for each such special group established on the project.

3) **Sound Referrals.** This activity is associated with obtaining social services from outside community agencies. The identification of such services was discussed under module B-2. Performance measures at this point should include:

a. Types of service available (e.g., treatment for alcoholics or drug addicts, vocational and employment training, medical services, social services).
b. Number of probationers referred to each type of service

c. Number of probationers being provided each type of service

Verification of performance measure (c) may be difficult in some cases. Agencies are sometimes reluctant to provide information on the activities of probationers. Such difficulties should be noted and if sources other than the agency are used to estimate this measure they should be listed.

D. Better Services

1) Specialized Treatment. Particular client needs may be satisfied through specialized treatment programs. Recommended performance measures for this activity are:

a. List of types of specialized treatment plans available

b. Cumulative and total number for period of probationers recommended for specialized treatment programs

c. Cumulative and total number for period of probationers entering specialized treatment programs

d. Cumulative and number for period of probationers completing specialized treatment programs

e. Cumulative and number for period of probationers dropping out of specialized treatment program

f. Percentage of probationers recommended for specialized treatment programs entering such programs

g. Percentage of probationers entering specialized treatment programs completing the program

To provide for these measures the following data should be collected for each probationer:

- Specialized treatment programs recommended and date of referral
• results of referral
  -- if enrolled, date of enrollment
  -- if not enrolled, reason for not enrolling
  -- if completed, date of completion
  -- if dropped out, date and reasons for dropping

As discussed under module C-3, some agencies conducting specialized treatment programs may be reluctant to give information on the status of probationers enrolled in their programs. In such cases, obtaining such data often rests on the ingenuity of the individual probation officer.

2) Job Placement. At this block in the process flow diagram performance measures will be associated with measuring assistance in securing job placements. Maintain for each unemployed probationer seeking or recommended for employment:

• the date of each job referral
• the outcome of each referral and reason for the outcome

This data can then be aggregated for the period to determine the number of job referrals made during the period, the number of hires during the period and the following performance measures derived:

a. average number of referrals per unemployed probationer
b. number of referrals required to obtain a hire

3) Surveillance. The surveillance mode of client supervision consists of close client monitoring to determine if infractions occur. A performance measure for this activity would be the number of positive contacts with the client. See module B-1b.
E. Immediate Results

1) More client options. The outcome expected is a greater num
alternatives within the community for probationer services. 
includes services such as training, specialized treatments but als
other services or activities such as housing and transportation.
One measure of performance would be:
a. number of different types of services available
Other measures would depend upon the particular service. For example,
if transportation service was being provided then appropriate performance
measures may be:
b. number of probationers requesting (or needing) transportation service;
c. number of above probationers obtaining transportation services

2) Employment. Performance measures for this block will focus on
the extent of employment of probationers. For other employment
related performance measures see the following sub-module dealing
with stability. The data requirements for this block are for each
probationer.
• date available for employment (some probationers may be enrolled
  in vocational or other specialized programs and therefore not
  available for employment)
• hours employed during the period
Performance measures would be:
a. number employed full time during period
b. number employed part time during period
c. employment rate
where the employment rate would be calculated as

\[
\frac{\text{total hours of employment for all eligible probationers}}{\text{total hours available for employment for all probationers}}
\]
If pay records are available other performance measures associated with changes in pay could be calculated. These performance measures would provide some overall measure of performance on the job and the quality of employment. The additional measures are:

d. number of probationers with increased earnings during the period

e. number with decreased earnings

f. number with no change in earnings

3) **Stability.** The performance measure discussed here relates to stability of employment. Similar measures could be developed for other programs such as vocational training, education, and specialized treatment programs. The recommended performance measures for stability of employment are:

a. number of probationers changing jobs during the period

b. number changing jobs for:

   i. better pay

   ii. better working conditions

   iii. loss of previous job

   iv. other

c. number of job losses during the period due to:

   i. illness

   ii. fired

   iii. quit

   iv. laid off

   v. other

Data required to calculate these measures would be for each probationer:

- date and reason for job change
- date and reason for job loss
This data most likely will have to be obtained from a combination of employers and probationers. The reliability must rest with the best judgment of the individual probation officer.

F. **Client Change**

Ideally, one would like some quantitative measure of client change in areas such as self-functioning, attitude, and behavior. Typically, these types of client changes are not measured explicitly, but information relative to progress in these areas is recorded in casebook narratives. What is suggested here as a performance measure is an attempt to quantify the type of information recorded in the casebook. Basically, a three point scale is established for each area of interest. Each probationer is to be graded on this scale based on his performance in that area for the period. The scale provides for the following grades of performance:

- excellent
- satisfactory
- unsatisfactory

For each area of interest (self-functioning, attitude, behavior) the following performance measures can be calculated from the individual probationer scores:

1) number of probationers in each of the following grade scales:
   
   a. excellent
   b. satisfactory
   c. unsatisfactory

2) Number of changes in grade scale from previous month:
   
   a. number with improved performance
   b. number with no change in performance
   c. number with worse performance
G. Impacts.

The two impact areas for which performance measures will be established are revocations and recidivism. Unfortunately, among ISP projects there is no commonly accepted definition of these terms. As a step towards uniform treatment of these terms use of the definition of recidivism developed by the National Advisory Commission on Criminal Justice Standards and Goals is recommended. The definition is:

"Recidivism is measured by (1) criminal acts that resulted in conviction by a court when committed by individuals who are under correctional supervision or who have been released from correctional supervision within the previous three years, and by (2) technical violations of probation or parole in which a sentencing or paroling authority took action that resulted in an adverse change in the offender's legal status. Technical violations should be maintained separately from data on reconvictions."

We shall classify (1) as recidivism and (2) as revocation if the change in legal status results in a revocation of probation. For the performance measures to be developed the following data will be required on each probationer:

- If a technical violation
  --date of technical violation
  --nature of technical violation
  --date of revocation--if violation resulted in revocation

- If arrested for a crime
  --date of arrest
  --nature of charge
  --court disposition

Data on technical violations would be collected as long as the probationer was assigned to the ISP project. Those probationers released from probation should be tracked relative to future recidivism for a period of three years after release or until convicted by a court, whichever occurs first. The difficulty in tracking such probationers and the resultant costs must be considered before a final decision can be made as to the degree to which such tracking can be accomplished.
The following performance measures can be calculated:

1) number of technical revocations during the period
2) cumulative number of technical revocations
3) number of probationers convicted of a crime during the period
   a. while in the program
   b. after release from the program
4) cumulative number of recidivists
   a. while in the program
   b. after release from the program

Technical revocation and recidivism rates may also be calculated. Without considering the total risk time (length of probation plus length of follow-up after project release) of probationers the rates can be calculated as

5) \[ \text{revocation rate} = \frac{\text{cumulative number of revocations}}{\text{cumulative number of probationers entering project}} \times 100\% \]

6) \[ \text{recidivism rate} = \frac{\text{cumulative number of probationers convicted}}{\text{cumulative number of probationers entering project}} \times 100\% \]

Note that according to the suggested definition if a probationer is convicted of a crime he is to be counted as a recidivist not a revocationist. Furthermore, if a probationer has his probation revoked for an incident that later results in a criminal conviction, the data base should be updated to reflect this probationer as a recidivist and he should not be counted as a revocationist.

Using the same denominator for both rates 5 and 6 permits the addition of these rates to determine a total rate of violation.

Risk time may be incorporated in these rates as follows:

7) \[ \text{revocation rate} = \frac{\text{cumulative number of revocations}}{\text{sum of fractions of risk period completed for each probationer}} \times 100\% \]
Recidivism rate = \frac{\text{cumulative number of recidivists}}{\text{sum of fractions of risk period completed for each probationer}}

where the revocation risk period for a probationer is the length of his probation sentence and the risk period for the recidivism calculation is the length of the probation sentence plus the length of the follow-up period. For example, if a probationer is given a two year probation and the follow-up period is three years after project release, the recidivism risk period would be five years or sixty months. After three months on the project, the probationer will have completed \( \frac{3}{60} = 0.05 \) of a risk period. The fractional risk period must be updated each reporting period for all probationers including those convicted of a crime or having their probation revoked. Thus, the fraction of a risk period will reach the value one for a probationer only after the total elapsed time since project entry to date is equal to the total length of the risk period for that probationer. Using this method of computing revocation and recidivism risk periods means that performance measures 7 and 8 will ultimately converge to performance measures 5 and 6.

These adjusted performance measures (7 and 8) assume that the likelihood of a probationer recidivating or having his sentence revoked is uniform over the risk period. If, in fact, a probationer is more likely to recidivate or have his sentence revoked earlier in his risk period than later, these measures will tend to initially over-estimate the actual rates.

As recommended by the National Advisory Committee the above recidivism rates have been based on court dispositions rather than arrest data. Since there may be a substantial delay between arrest and ultimate judicial outcome, arrest data can be used to calculate an approximate recidivism rate. The use of arrest data will result in over-estimating the actual rate.
The evaluation plan developed in this report has been centered around a general framework for ISP projects. To apply the plan requires first that a process flow model be constructed for the specific ISP project. The process flow model provides the linkage between the planned project activities and the anticipated outcomes. This document has developed recommended performance measures for those activities and outcomes likely to be associated with an ISP project. These measures shall be applied as appropriate for the specific ISP project.
REFERENCES


## APPENDIX A

**PROCESS AND OUTCOME MEASURES IN INTENSIVE SPECIAL PROBATION**

<table>
<thead>
<tr>
<th>Element</th>
<th>Definition/Levels</th>
<th>Typical Measurements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding</td>
<td>Additional funds provided for the purpose of the project.</td>
<td>Funds awarded, or dollars expended—usually in terms of personal services, supplies, equipment, travel.</td>
</tr>
<tr>
<td>Volunteers</td>
<td>Activities include recruitment, training, matching with clients, and supervision of volunteers. Volunteers may engage in one-on-one client counseling or special training ventures such as provision of group therapy sessions.</td>
<td>Number of volunteers recruited, trained, and matched with clients. Some background information on volunteers on client contacts. Number of clients matched to a volunteer, maintained weekly and cumulated monthly.</td>
</tr>
<tr>
<td>Interns</td>
<td>Directed training and practicum efforts toward production of future professionals.</td>
<td>Number of interns</td>
</tr>
<tr>
<td>Aides</td>
<td>Paraprofessional hired to perform such functions as investigations, client relationships, and community liaison.</td>
<td>Number of aides, experience, education, salary, geographic residence. Work measures such as number of PSI's completed or completion of psychological profile instrument on clients.</td>
</tr>
<tr>
<td>Professionals</td>
<td>Usually, probation officer. Also, on occasion, evaluators, specialized supervisors.</td>
<td>Number of staff hired. Experience.</td>
</tr>
<tr>
<td>Reduced Caseload</td>
<td></td>
<td>Number of active clients divided by number of agents (on a monthly basis).</td>
</tr>
<tr>
<td>Information on Available Community Services</td>
<td>Identify those community resources available for client referral.</td>
<td></td>
</tr>
<tr>
<td>Increased Contact Time</td>
<td>Time of client-probation staff interaction.</td>
<td>Number of contacts</td>
</tr>
<tr>
<td>Element</td>
<td>Definition/Levels</td>
<td>Typical Measurements</td>
</tr>
<tr>
<td>-------------------------</td>
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<tr>
<td>Improved Sentencing</td>
<td>Provide the court with better information, provide range of conditions on probation.</td>
<td>Number of PSI's completed.</td>
</tr>
<tr>
<td>Special Caseloads</td>
<td>Division of client population into special groups based on various criteria.</td>
<td>Type and number.</td>
</tr>
<tr>
<td>Sound Referrals</td>
<td>Obtain social services from outside community agencies.</td>
<td>Number of services rendered.</td>
</tr>
<tr>
<td>Specialized Treatment</td>
<td>Provision of treatment focused on particular client needs—e.g., alcoholism, drugs, sex offenses, and so on. More broadly this also encompasses special training efforts, both for general education and job oriented, and various counseling programs.</td>
<td>Agencies providing services.</td>
</tr>
<tr>
<td>Job Placement</td>
<td>Provision of assistance in securing job placement.</td>
<td>Program description—criteria for client inclusion.</td>
</tr>
<tr>
<td>Surveillance</td>
<td>An authoritarian stance places emphasis on the rules with close client monitoring to determine if infractions occur.</td>
<td>Number partaking of special program elements.</td>
</tr>
<tr>
<td>More Client Options</td>
<td>Greater information and number of alternatives available within the community for probation service.</td>
<td>Periodic urinalysis results.</td>
</tr>
<tr>
<td>Employment</td>
<td>Employment</td>
<td>Number of probation officer efforts and job referrals made.</td>
</tr>
<tr>
<td>Stability</td>
<td>Includes both a satisfactory means of support and a realistic value system.</td>
<td>Number of contacts</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Employment and referral records.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Employment and employment history, vis-à-vis drug or alcohol programs, can measure stabilization via urinalysis or drinking incidents reported.</td>
</tr>
<tr>
<td>Employment</td>
<td>Definition/Levels</td>
<td>Typical Measurements</td>
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</tr>
<tr>
<td>Improved Self-Functioning</td>
<td>The central notion is client change toward greater self-responsibility.</td>
<td>Casebook discussion of family problems and other aspects of client lifestyle and their status. Tally number of legal dependents, public assistance, income and source, student status, marital status and living arrangements at entry and exit.</td>
</tr>
<tr>
<td>Attitude Change</td>
<td>Personal attitudes, goals, and values merge socially acceptable attitudes, goals, and values.</td>
<td>Subjective judgments, if at all.</td>
</tr>
<tr>
<td>Behavior Change</td>
<td>Alter client behavior of concern.</td>
<td>Casebook narratives describing behavioral problems and their correction.</td>
</tr>
<tr>
<td>Decreased Criminal Activity</td>
<td>Return of offender to prison due to technical violation of probation conditions or to commission of new crime.</td>
<td>Arrests and convictions while on probation. Revocation.</td>
</tr>
<tr>
<td>Decreased Revocation</td>
<td>As a result of increased surveillance, increase number returned to prison for violations/crimes.</td>
<td>Number and type of revocation per time unit.</td>
</tr>
<tr>
<td>Increased Revocation</td>
<td>Can be defined:</td>
<td>Number and type of revocation per time unit.</td>
</tr>
<tr>
<td>Decreased Recidivism</td>
<td>Number of arrests during probation</td>
<td>Number of arrests during probation</td>
</tr>
</tbody>
</table>