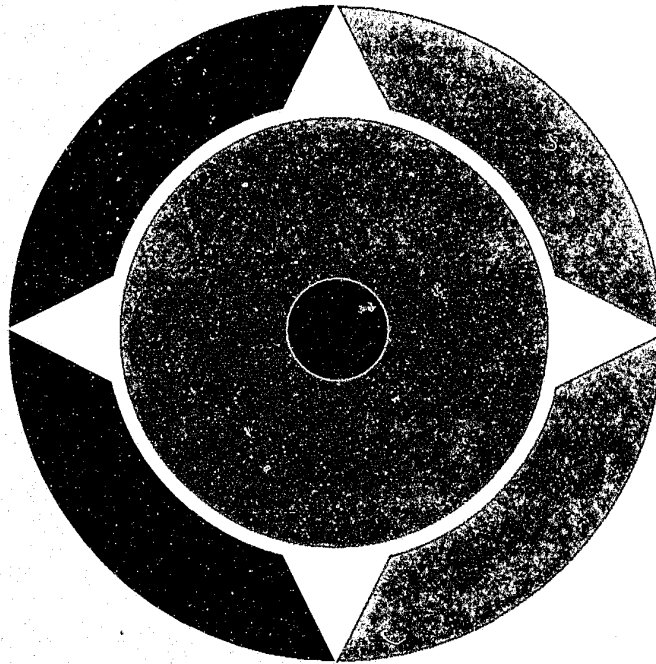


U.S. Department of Justice
Office of Justice Programs
National Institute of Justice



National Institute of Justice

Issues and Practices



155505

Day Reporting Centers

Volume 2

155505

About the National Institute of Justice

The National Institute of Justice (NIJ), a component of the Office of Justice Programs, is the research and development agency of the U.S. Department of Justice. NIJ was established to prevent and reduce crime and to improve the criminal justice system. Specific mandates established by Congress in the Omnibus Crime Control and Safe Streets Act of 1968, as amended, and the Anti-Drug Abuse Act of 1988 direct the National Institute of Justice to:

- *Sponsor special projects, and research and development programs* that will improve and strengthen the criminal justice system and reduce or prevent crime.
- *Conduct national demonstration projects* that employ innovative or promising approaches for improving criminal justice.
- *Develop new technologies* to fight crime and improve criminal justice.
- *Evaluate the effectiveness of criminal justice programs* and identify programs that promise to be successful if continued or repeated.
- *Recommend actions* that can be taken by Federal, State, and local governments as well as by private organizations to improve criminal justice.
- *Carry out research on criminal behavior.*
- *Develop new methods of crime prevention* and reduction of crime and delinquency.

The National Institute of Justice has a long history of accomplishments, including the following:

- Basic research on career criminals that led to development of special police and prosecutor units to deal with repeat offenders.
- Research that confirmed the link between drugs and crime.

- The research and development program that resulted in the creation of police body armor that has meant the difference between life and death to hundreds of police officers.
- Pioneering scientific advances such as the research and development of DNA analysis to positively identify suspects and eliminate the innocent from suspicion.
- The evaluation of innovative justice programs to determine what works, including drug enforcement, community policing, community anti-drug initiatives, prosecution of complex drug cases, drug testing throughout the criminal justice system, and user accountability programs.
- Creation of a corrections information-sharing system that enables State and local officials to exchange more efficient and cost-effective concepts and techniques for planning, financing, and constructing new prisons and jails.
- Operation of the world's largest criminal justice information clearinghouse, a resource used by State and local officials across the Nation and by criminal justice agencies in foreign countries.

The Institute Director, who is appointed by the President and confirmed by the Senate, establishes the Institute's objectives, guided by the priorities of the Office of Justice Programs, the Department of Justice, and the needs of the criminal justice field. The Institute actively solicits the views of criminal justice professionals to identify their most critical problems. Dedicated to the priorities of Federal, State, and local criminal justice agencies, research and development at the National Institute of Justice continues to search for answers to what works and why in the Nation's war on drugs and crime.

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Day Reporting Centers

Volume 2

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**SOURCEBOOK ON
DAY REPORTING CENTERS**

	<i>Page</i>
Comprehensive Survey Results	1
 Sample Program Materials	
Harris County (Houston) Texas	17
Illustration of Continuum of Sanctions	18
Continuum of Sanctions/Program	19
General Super Intensive Probation Program Guidelines	24
Connecticut	33
Standards for Non-Residential Programs	34
Innovations, Council of State Governments	54
Executive Summary: AIC Pretrial Evaluation, Judicial Education Center, Hartford, Connecticut	62
Alternative Incarceration Centers Program Description and Specification	79
Maricopa County, Phoenix, Arizona	103
DRC Compliance Agreement	104
DRC Weekly Schedule — Detailed Itinerary	105
DRC Graduation Certificate	106
DRC Client Handbook	107
DRC Keys to Success	113
DRC Mission Statement, Major Activities and Performance Indicators	114
DRC Profile of Successful and Unsuccessful Clients	115
Reasons for Rejection from Work Furlough and DRC Programs	121
Hampden County, Springfield, Massachusetts	123
DRC Rules and Regulations	124
Daily Itinerary	125
DRC Referral and Intake Process	126
DRC Caseworker Guide for Initial Classification	127
DRC Program Guide	129
Case Studies: Experience From the Field	133
List of Contacts	155
 List of Figures	
Figure 1: Superior Court in Maricopa County Sentencing Continuum	142
Figure 2: The Case Flow Process in Maricopa, Arizona	145
Figure 3: Maricopa County DRC Program Outline	147
Figure 4: Multiple Referral Sources to the Hampden County DRC	151

DAY REPORTING CENTERS, VOLUME 2: SOURCEBOOK

This sourcebook serves as a companion document to *Day Reporting Centers, Volume 1: Summary Report*, which details the development and current features of American day reporting centers (DRC's). Volume 2 contains more detailed reference material that should be particularly helpful to individuals interested in starting new — or refining already-established — DRC's in their communities. This document consists of four sources of information: (1) comprehensive survey results; (2) sample program materials; (3) site visit summaries; and (4) a list of contacts at the DRC's that responded to the survey.

COMPREHENSIVE SURVEY RESULTS

The following is a more detailed presentation of the mail survey results than was provided in Volume 1 of this report. The section repeats some of the information in the first document but also provides additional data *not* included in Volume 1. The data are presented both in tables and in narrative form.

Goals

Respondents were asked to rate a list of possible DRC goals on a scale of increasing importance from one to four. The ratings are presented in the table below.

Respondents' Ratings of DRC Goals

GOAL	Not at All Important 1	Somewhat Important 2	Important 3	Very Important 4	Not Applicable 0	Average Rating
Access to Treatment or Services	0	0	6	48	0	3.9
Reduce Jail or Prison Crowding	0	4	10	39	0	3.6
Build Political Support	3	5	16	27	2	3.2
Provide Surveillance/ Protect the Public	1	7	24	21	1	3.2
Punish Offenders	12	23	10	2	7	1.8

Public and private DRC's rated providing access to treatment or services equally (3.9), but private DRC's considered reducing crowding more important than did public DRC's (3.9 versus 3.5). Also, public DRC's rated protecting the public higher than did private DRC's (3.4 versus 2.9).

Surveillance

Phases of Supervision

Slightly more than half of DRC's (31 of 54) have two or more phases in their programs. Of those with multiple phases, 13 percent have two phases, 71 percent have three phases, and 16 percent have four phases.

Programs with multiple phases are slightly longer than single-phase programs. On average, programs with one phase are 154 days long, while the total length of programs with more than one phase averaged 173 days.

Contact Frequency and Type

Almost 95 percent of the respondents (51 of 54) reported that their DRC provides more frequent contacts than the most intensive form of probation or parole supervision otherwise available for their offender population. Two respondents reported that their DRC's provide about the same level of contacts as the most rigorous form of supervision otherwise available.

About two-thirds of the DRC's require offenders to appear in-person at the DRC five times per week during the most intensive phase. Twenty-one percent require *fewer* than five contacts per week, and about 13 percent require five *or more* in-person office contacts. Private and older DRC's tend to require somewhat fewer contacts per week than public and newer programs.

In half of the 31 programs with two phases, three in-person office contacts are required per week. An additional 31 percent of these DRC's require five in-person office contacts per week. In the 28 programs with three phases, almost 40 percent require one in-person office contact per week, while 25 percent require three in-person office contacts per week.

All DRC's require some other contacts with offenders in addition to day-time office visits, as summarized in the following table.

Percent of DRC's Requiring Additional Contacts

Type of Other Contact	Percent of DRC's requiring other contacts during most intensive phase
Telephone contact, night-time	44%
Telephone contact, daytime	40
Collateral field contact (e.g., employer)	38
In-person contacts in field	32
In-person at DRC, evenings	21
Other	2

For all DRC's, total contacts average 14 per week during the most intensive phase, a figure inflated somewhat by a small number of DRC's with especially high supervision requirements. Five programs average at least 35 total contacts per week during their most intensive phases. Half the DRC's average eight or fewer total contacts a week during their most intensive phase. In DRC's with multiple phases, the average number of contacts in phase 2 decreases slightly to 12 per week. Half the DRC's average six or fewer contacts per week in phase 2. In programs with three phases, the average number of contacts per week drops to about nine in phase 3; half of these DRC's average four or fewer contacts per week.

DRC's frequently use itineraries to document offenders' whereabouts and to help staff to monitor their location. Practices vary among programs, but, in general, offenders complete an itinerary each day shortly after their arrival at the DRC, showing where they will be and how they can be located at all times. In some programs offenders fill out itineraries in advance and update them as required each morning. Most often, staff monitor offenders' locations by random telephone calls. To a lesser extent, staff conduct unannounced field visits.

Hours Per Week Offenders Are at a DRC or Monitored in the Community

On average, offenders must be on the premises of their DRC's 18 hours per week during the most intensive phases. Half of the DRC's require offenders to be on site 15 hours per week. Generally, if offenders are employed or actively seeking employment, they may spend less time at the DRC. In addition, about two-thirds of DRC's monitor offenders' locations in the community during the day, the

evenings, or both. In these DRC's offenders are subject to monitoring for an average of 67 hours per week during the most intensive program phase.

Public DRC's tend to keep offenders under supervision (on-site or off-site) for more hours per week during the most intensive program phase than private DRC's. For example, 38 percent of the public DRC's keep offenders under surveillance more than 42 hours per week, compared to 22 percent of the private DRC's. Likewise, 41 percent of newer DRC's (those operating 12 months or less on the date of the survey) keep offenders under surveillance more than 42 hours per week, compared to about 25 percent of those operating more than a year.

Drug Use Testing

Eighty-nine percent of the DRC's test offenders for drug use. Offenders average five drug-use tests per month during the most intensive DRC phase, but the number of tests varies considerably across programs. In one-third of the DRC's offenders are tested once or twice a month, while in 13 percent of the DRC's offenders are tested 12 or more times per month.

Newer and public DRC's have a slightly higher rate of drug testing than do older and private programs. Ninety-three percent of public DRC's mandate drug-use testing, compared to 87 percent of private programs. Likewise, 94 percent of DRC's that opened in the last 13 months require drug tests, compared to 88 percent of those that have operated for more than 36 months.

Curfew

Just more than half of the responding DRC's (26 of 54) enforce curfews at some point during their programs. Sixty-six percent of public DRC's use a curfew for offenders, compared to 30 percent of the private programs. In programs with multiple phases, curfew requirements typically start during the first phase, with decreasing stringency in later phases.

Twenty-five of these 26 DRC's monitor offenders' compliance with curfew by telephone contact. Seventeen use electronic monitoring devices, supplemented by additional telephone calls to verify an absence detected by electronic monitoring. Half the DRC's that enforce curfew monitor compliance via random home visits, and 38 percent (10 of 26) conduct home visits when there is reason to believe that curfew requirements are being violated.

On average, DRC's with curfews make eight contacts per week to monitor compliance. Half of these DRC's using curfews make an average of only three or fewer contacts per week to monitor

compliance, while about 15 percent make five or more curfew-compliance contacts per week during the most intensive program phase.

Services

Types and Location of Services

The mail survey listed ten types of services believed to be provided in at least some DRC's and asked respondents to indicate whether they provide each service, and, if so, where they provide it. The instrument also allowed DRC's to list any other services they offer. (Data were not collected on the number of participants in each service.) Their responses are presented in the table below.

Percentage of DRC's Offering Services and The Location of Services

Type of Service	Percent of DRC's that Provide Services	Location of Service		
		At DRC'	Elsewhere	Both
Job Seeking Skills (N = 53)	98%	79%	13%	8%
Drug Abuse Education (N = 52)	96	69	17	14
Group Counseling (N = 51)	96	80	12	8
Job Placement Services (N = 50)	93	62	34	4
Education (N = 49)	93	55	31	14
Drug Treatment (N = 48)	92	31	54	15
Life Skills (N = 49)	91	92	6	2
Individual Counseling (N = 47)	89	72	17	11
Transitional Housing (N = 32)	63	13	81	6
Recreation and Leisure (N = 31)	60	74	16	10

There are substantial differences among public and private DRC's in service provision. Ninety-one percent of private DRC's provide nine or more services, compared to just 48 percent of the public DRC's. Differences also emerge as programs age. Eighty-two percent of DRC's operating more than 40 months provide nine or more services, compared to 67 percent of those operating 13 to 40 months, and 50 percent of those operating 13 months or less.

One-third of the DRC's (17 of 54) indicated that other agencies maintain offices or staff on their premises and provide services to offenders there. About 45 percent of the public DRC's — but only 13 percent of private programs — reported that other agencies colocate on their premises.

Funding

Respondents also were asked to indicate whether their services are paid for by the DRC directly, by another agency, or by offender fees. (Because these funding categories were not mutually exclusive, totals could exceed 100%). The results are shown below.

Agencies That Pay for Services at DRC's

SERVICE	PERCENTAGE OF DRC's IN WHICH:		
	DRC Pays	Another Agency Pays	Offender Pays (Fees)
Job Seeking Skills (N = 53)	74%	17%	4%
Drug Abuse Education (N = 52)	73	23	12
Group Counseling (N = 51)	73	20	8
Job Placement Services (N = 50)	58	30	8
Education (N = 49)	53	43	10
Drug Treatment (N = 48)	50	46	25
Life Skills (N = 49)	74	12	2
Individual Counseling (N = 47)	72	19	13
Transitional Housing (N = 32)	28	72	6
Recreation and Leisure (N = 31)	77	10	16

Accessibility

Just over half the DRC's are open five days a week. Thirty-two percent are open six days a week, and 15 percent are open seven days a week. On average, DRC's are open 10 hours per day on weekdays. During the week, 20 percent of the programs are open 12 hours or more per day. Programs that operate on weekends are open an average of six additional hours on weekends. Overall, DRC's are open an average of 54 hours per week.

Public DRC's tend to be open for fewer hours than private DRC's. Forty-seven percent of public DRC's are open less than 45 hours per week, compared to 22 percent of private DRC's; comparatively, 37 percent of public DRC's are open more than 60 hours per week, compared to 48 percent for private DRC's.

The number of hours DRC's are open relates directly to the levels of services they provide. Half of the low-level service providers (eight or fewer services) are open 45 hours per week *or less*, compared to 29 percent of programs that provide high service levels (nine or more services).

Likewise, DRC's that require numerous (14 to 55) contacts per week are open more hours per week than medium-contact (seven to 12 per week) or low-contact (one to six per week) DRC's. Fifty-nine percent of high-contact DRC's are open 60 or more hours per week, compared to 29 percent of medium-contact DRC's and 33 percent of low-contact DRC's.

Operating Agency

About two-thirds (31 of 54) of the responding DRC's are public programs. Of these, about two-thirds (20 of 31) are located within the judicial branch, and about three-fourths (24 of 31) are operated by a city or county government.

Ninety-one percent (21 of 23) of the private DRC's are operated by non-profit organizations, and two-thirds (15 of 23) operate at a local level. The 23 private DRC's have 33 contracts with governmental agencies to provide services to offenders. Twenty-one of the 33 contracts are with state agencies, and 12 of these 21 are with judicial branch agencies (nine of the 12 are in Connecticut). Ten contracts were reported with local agencies, of which eight are with executive branch agencies. Overall, contracts are almost evenly divided between executive agencies (17 contracts) and judicial agencies (15 contracts). One DRC reported contracts with both executive and judicial agencies.

Newer DRC's — those that opened in 1992 or later — are predominately public programs, whereas older DRC's — those developed before 1992 — are predominately private. While DRC's were pioneered by private agencies, or by private agencies working in partnership with state departments of corrections, the newer DRC's have been implemented mostly by local agencies.

Staffing Size

On average, DRC's provide one line staff for every seven offenders. The median line staff ratio (half the DRC's have higher and half lower) is one line staff for every 11 offenders. The distribution of line staff is highly variable, with the middle 50 percent of DRC's ranging from six to 17 offenders per

line staff. Twenty percent of the DRC's have one line staff to every five or fewer offenders. Public DRC's tend to have larger staffs than private programs. Thirty-eight percent of the public programs - but only 19 percent of the private ones - have one or more line staff for every six offenders.

Staff Training

Forty-seven of the 54 DRC's provide an average of 58 hours of training for line staff during their first year of employment. Forty hours of training is the most common amount during the first year of employment, provided by 23 of the 47 DRC's. Forty-two DRC's provide an average of 30 hours of training for line staff during second and subsequent years of employment. Again, 40 hours is the most common training requirement in subsequent years of employment, as provided by 24 DRC's.

Staff Turnover

In DRC's operating a year or more on the date of the survey, an average of 22 percent of the line staff left their positions during the 12 months preceding the survey. In about 11 percent of the DRC's, half or more of the line staff left their positions during the prior year. At the other extreme, almost 26 percent of DRC's reported no turnover in line staff during the prior year.

Public DRC's that had operated 12 or more months had lower line staff turnover rates than did private DRC's. For example, 57 percent of the public DRC's had turnover rates of nine percent or less, compared to 15 percent of the private DRC's. Twenty-one percent of the public DRC's had high turnover rates (30 percent or higher), compared to 55 percent of the private DRC's.

DRC's that had operated more than 40 months had higher turnover rates than those that had operated for 13 to 40 months.

Operating Costs

Cost data was examined only for the 33 DRC's that had been operating for at least 12 months at the time of the survey (May 16, 1994). The mail survey obtained total DRC operating costs, including the fringe benefits and retirement, for the most recently completed fiscal year of each DRC. (The total operating cost of each DRC was divided by the product of its average daily population multiplied times the number of days per year that DRC was open.) From these data, daily costs of operation were calculated. See the table below.

**Average Daily Costs Per Offender in DRC's
Operating at Least 12 Months on May 8, 1994
(N = 33)**

Category	Number of DRC's	Percent
< \$20	13	39%
\$20-39	11	33
> \$40	9	27

The average daily cost per offender is \$35.04 in these 33 DRC's. The median daily cost per offender is \$27.11. Average daily costs per offender vary widely: four programs cost less than \$10 per day per offender, and two cost more than \$100 per day per offender. The average daily cost per offender for the middle 50 percent of DRC's ranges from \$16.78 to \$38.83.

Public DRC's have lower daily operating costs than do private DRC's. Fifty-four percent of the public DRC's have operating costs of \$20 per day per offender or less, compared with 30 percent of the private DRC's. At the other extreme, 35 percent of the private DRC's have operating costs of \$40 or more per offender per day, compared to 15 percent of the public facilities. As would be expected, DRC's that provide few services cost less than those that provide many. Two-thirds of the DRC's with few services cost \$20 or less per day per offender, compared to 33 percent of DRC's offering many services. Furthermore, more stringent surveillance practices appear to increase operating costs. Sixty percent of the high-contact DRC's cost between \$20 and \$39 per day, and two-thirds of the medium-contact level DRC's cost \$20 or less per day per offender.

Size of Enrollment

The 54 responding DRC's enroll an average of 85.1 offenders at any one time. At the time of the survey, half of the DRC's were serving 44.5 or fewer offenders. The middle 50 percent of DRC's have enrollment sizes ranging from 14 to 78 offenders. Five DRC's reported handling 300 or more offenders. Public and newer DRC's usually have smaller caseloads than private and older ones

Annual Admissions

DRC's operating for at least 12 months at the time of the survey averaged 255 admissions during the past year. Half of these DRC's admitted 233 or fewer offenders, and about one-fourth of the DRC's

admitted fewer than 100. Only about nine percent of the DRC's had more than 500 admissions during the year. Consistent with the findings on program size, newer and public DRC's had fewer annual admissions than older private DRC's.

Criteria for Eligibility

The following two tables show the percentage of responding DRC's with offenders from each of several legal status, and the sources of clients by type and age of DRC.

Percentage of DRC's that Accept Participants of Various Legal Status

Legal Status	Percent of DRC's
Probation	87%
Probation or Parole Violators	73
Parole from Prison	42
Jail (Pretrial release)	37
Jail Sentence (Early release)	25
Prison Furloughs/Administrative Release	20
Residential Programs	12
Prison Work Release	6

Average Percentage of Offenders Entering DRC's from Prison, Jail, and Community Status*

Source of Clients	Type of DRC		Age of DRC		
	Public	Private	> 40 Months	14-40 Months	< 13 Months
Prison	13%	16%	25%	9%	11%
Jail	5	29	33	10	5
Community**	77	54	42	80	77

* Percentages do not total to 100 because they are based on facility averages, not individual offender counts.

**Community included probation, parole violation, and residential programs.

A large majority of DRC's recruit offenders sentenced to probation as well as probation or parole violators. Eighty-seven percent of all DRC's enroll sentenced probationers, and 73 percent accept probation or parole violators. Few take prisoners who are on various forms of early release, such as furloughs (19.6 percent) or work release (5.9 percent).

Most DRC's recruit offenders from more than one source. While probation is the most common source, only 16 of 54 DRC's obtain three-fourths or more of their offenders from probation, while 22 of 54 acquire half of their participants from probation agencies. Probation and parole violators are the second most common type of DRC offenders. Yet only six of 54 DRC's have a majority of probation or parole violators in their program population, and 25 of 54 obtain one-fourth or fewer of their offenders from among probation or parole violators.

There are substantial differences in offender types recruited by DRC's. Seventy-seven percent of public DRC's — but only 54 percent of private ones — recruit offenders from community sources (probation, probation or parole violators, or graduates of residential treatment programs). Almost 80 percent of DRC's that have operated 40 months or less recruit offenders from community sources, compared to just 41.5 percent of DRC's that have operated for more than 40 months. Thus, older and private DRC's are more likely to recruit offenders from jail or prison, whereas newer and public DRC's are more likely to recruit offenders from community sources.

Eligibility Criteria

DRC's are generally willing to consider for admission offenders whose current charges or prior offenses involved serious crimes, such as crimes against persons or weapons offenses. The table below shows the percentage of responding DRC's that would accept several categories of serious offenders for admission screening.

Percentage of DRC's in which Offenders Charged with or Convicted of Specific Crimes are Eligible for the Program

Offense Category	Percent of DRC's that Accept this Category for Admission Screening
Arson (current crime)	70%
Sex offense (current crime)	78
Other violent offense (current crime)	78
Weapons/firearms (current crime)	85
Violent offense (past crime)	87
Weapons/firearms (past crime)	96
Drug Sale (current crime)	100
Drug Possession (current crime)	100

In 70 percent of DRC's, persons whose current crime involves arson are eligible for the program, and in even more programs, offenders whose current crimes include sex offenses or other violent crimes are eligible. Eighty-five percent of DRC's will consider offenders even if their current crimes include weapons offenses. Past (rather than current) crimes involving violence or weapons disqualify even fewer offenders. Offenders qualify for 87 percent of DRC's even if their past crimes involved violence, and in 96 percent, offenders are eligible despite past crimes involving weapons. None of the DRC's explicitly exclude persons whose past or current crimes involved drug sale or possession.

Usually DRC screening involves much *more* than assessment of an offender's current charges and prior offense history. Based on other factors (e.g., program size, offender's apparent risk to the community), DRC officials may not admit certain offenders.

Race and Gender

Although any assessment of possible race and gender bias is beyond the scope of this survey, data on gender and race of offender were collected. On average, 43 percent of the offender population in responding DRC's are white, 36 percent are black, 17 percent are Hispanic, and one percent are American Indian. Fifty-three percent of offenders in publicly-owned DRC's are white, compared to 30 percent in private DRC's. Eighty-one percent of participants are male. Six programs have only males

in their population, and two admit only females. The percentage of females is slightly higher in private than in public DRC's (22 percent versus 16 percent).

Programs Designed for Offenders with Special Needs

Some DRC's are designed to provide services for offenders with special needs. For example, 42 percent are designed to serve mentally ill offenders, 17 percent serve offenders with tuberculosis, and 26 percent serve offenders with other infectious diseases. Offenders most often served (by 94 percent of DRC's) are those involved with drugs.

Community Service and Retribution

Offenders in two-thirds of DRC's must perform community service at some point during the program. No major differences emerge in the use of community service between public or private DRC's, or DRC's that had operated for different lengths of time. Specific community service requirements vary widely, however.

Administration of Community Services

DRC's tailor supervision of community service to the nature of the work and to arrangements with the recipients of the work. In two-thirds of DRC's, program staff under certain circumstances supervise community service; two-thirds also require staff of recipient agencies to provide supervision; and 53 percent rely on staff from another agency to watch over the offenders. Almost 88 percent of DRC's (29 of 33) send offenders to perform community service in work crews, and 86 percent require offenders to perform individual community service projects.

Sixty-three percent of DRC's transport offenders to community service sites, and 61 percent require offenders to arrange their own transportation to community service sites; obviously some programs use both methods. Typically, DRC's provide transportation when crews of offenders go to a work site. Twenty-two percent reported that recipient agencies transport offenders to community service.

About 35 percent of the DRC's reported that at least some offenders in their programs are required to pay restitution to the victims of their crimes. Such financial obligations are ordered by judges and enforced by DRC's. Hence, the practice varies greatly among the DRC's.

Termination Rates

The mail survey asked how many offenders were terminated from programs in the most recently completed year for positive reasons (e.g., successful completion or expiration of sentences) and for negative reasons (e.g., new arrests, new convictions, violations of probation and parole, or violation of DRC rules).

DRC's that had operated for at least 12 months by the date of the survey appeared to have relatively high negative termination rates. (Negative termination rates were computed for each DRC by dividing negative terminations by total positive plus negative terminations.) The average (and median) negative termination rate for all such programs was 50 percent during that year, with a wide distribution ranging from 14 to 86 percent. The range in negative termination rates for the middle 50 percent of DRC's was from 35 to 61 percent.

Neither drug-use testing, program age or size, nor number of weekly contacts in the most intensive phase appear related to negative termination rates. Four factors, however, seem to correlate with high rates of dismissal: type of program (public or private), level of services offered, line staff turnover rates, and use of curfews.

Private agencies operate 69 percent of the DRC's with high negative-termination rates (i.e., where over half of offenders are dismissed from the program for negative reasons), while public agencies run 31 percent of such programs. All the DRC's with high negative-termination rates also provide numerous services, compared with 67 percent of programs with medium (40 to 50 percent) and low (13 to 40 percent) rates. Thus, it appears that with the availability of many services (associated with older, private DRC's) come more opportunities for offenders to fail to complete treatment or abide by service requirements. Fifty-four percent of the DRC's with high negative-termination rates also have high line staff turnover rates, but it is not clear which characteristic influences the other. In addition, use of curfew appears inversely related to negative termination rates: 31 percent of the DRC's with high termination rates use curfew, compared to 56 percent of DRC's with low-termination rates.

Offenders typically do not commit violations of supervision requirements in neat patterns. Rather, some may commit a single infraction, others may commit a variety of different violations over an extended period of time, and some may commit a cluster of similar or dissimilar violations during a short time span. Hence, decisions to remove offenders from DRC's are made in the context of a variety of case-specific factors. To learn whether DRC's respond differently according to type of infraction, the mail survey presented a list of events and behaviors that might be grounds for removing offenders and

asked programs how many occurrences of each would lead to removal of offenders and which behaviors would not necessarily cause dismissal.

Fifty-seven percent of the DRC's reported that they would remove offenders the first or second time they were charged with a new crime; 52 percent would dismiss offenders the first or second time they were out of contact for more than 24 hours; and 47 percent would remove offenders the first or second time they failed to complete a required treatment program. At the other extreme, a majority of DRC's said they would not remove offenders for six factors, regardless of the number of occurrences, as long as no other violative behavior was involved

Percentage of DRC's that Would Not Remove an Offender, by Type of Violation

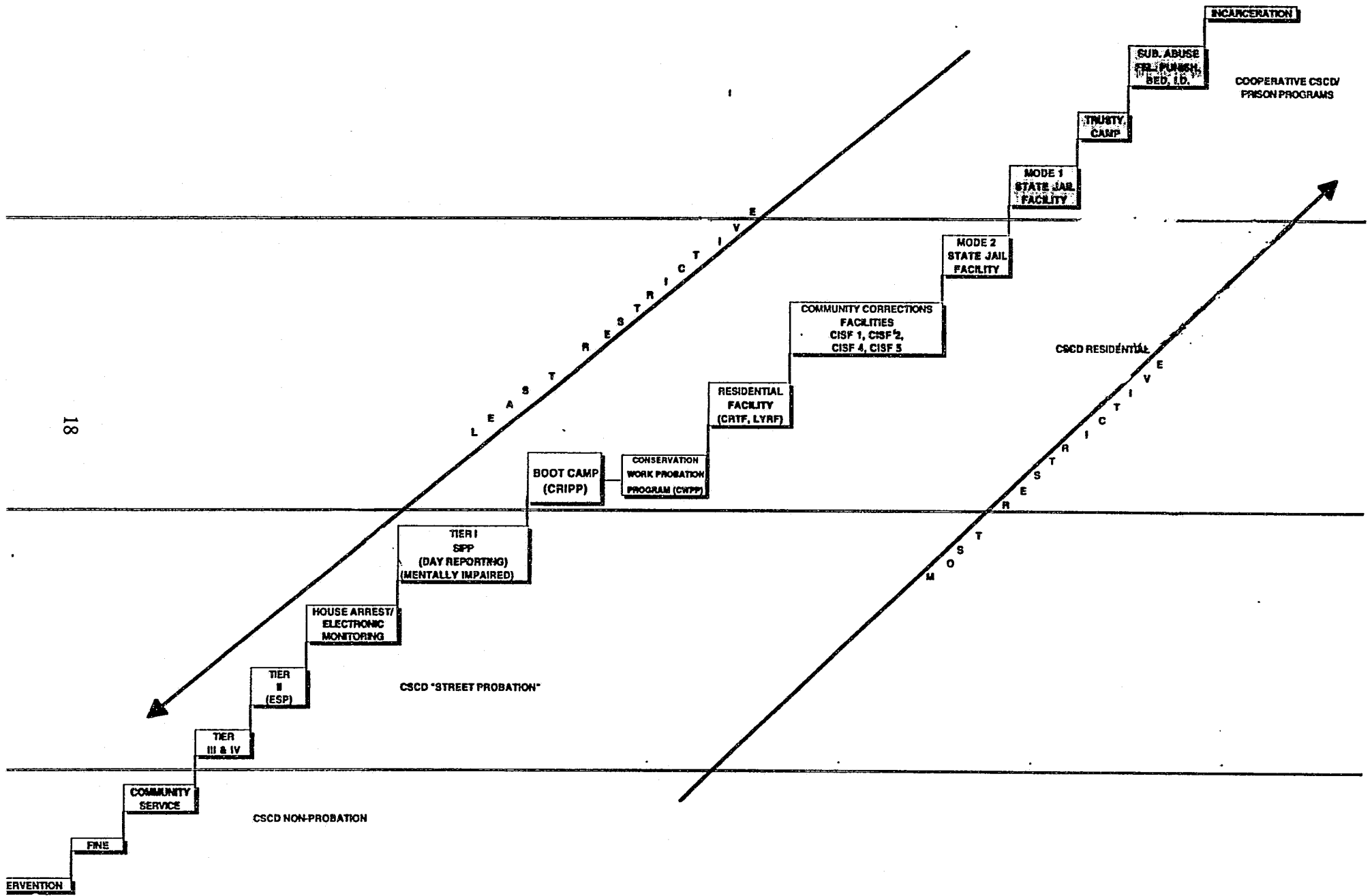
Type of Violation	Percent of DRC's that would Not Remove Offender
Suspected of new crime	73%
New arrest, but no new charge	65
Failure to pay restitution	62
Failure to make other payments	62
Out of contact, 1-6 hours	59
Out of contact, 7-24 hours	52

Private DRC's are more likely than public DRC's to terminate offenders quickly when they are charged with a new crime, fail to participate in treatment, or violate other DRC rules. Alternatively, public DRC's are more likely to terminate quickly when offenders fail drug tests, are out of contact, fail to pay fines or restitution, or are accused of or arrested for an alleged new crime.

Harris County, Texas

Supporting Documents

HARRIS COUNTY COMMUNITY SUPERVISION AND CORRECTIONS DEPARTMENT
 SANCTIONING OPTIONS UTILIZED BY COURTS TRYING CRIMINAL CASES



**HARRIS COUNTY COMMUNITY SUPERVISION
AND CORRECTIONS DEPARTMENT
CONTINUUM OF SANCTIONS/PROGRAMS**

I. CONTINUUM OF SUPERVISION

A. In Lieu of Jail and/or Fines and Court Costs through Harris County Community Supervision and Corrections Department

- Community Service placement in work projects as an alternative to incarceration
- Direct sentence
- As condition of probation where Court feels appropriate

CLO SHOULD CONTACT: Frazier Hardy-Supervisor
AT: 755-2515, 49 San Jacinto, Houston, Texas 77002

- Electronic Monitoring (24 hours/day) as an alternative to incarceration
- Direct sentence
- As condition of probation where Court feels appropriate

CLO SHOULD CONTACT: Barri Lewis-Senior Probation Officer
AT: 755-4217, 711 N. San Jacinto, Houston, Texas 77002

- Economic Sanctions
- Defendants placed on in-lieu programs to be diverted from the overcrowded Harris County Jail will report to a CSCD Officer who will inform the courts regarding the clients activity.
- Assist defendants in developing a payment plan to repay Fines and Court Costs, who otherwise would be in the Harris County Jail.
- Diversion of offenders traditionally sentenced to "Jail therapy".

CLO SHOULD CONTACT:
At: 229-, 49 San Jacinto, Houston, Texas, 77002

- Pre -Trial Intervention Supervises defendants up to one (1) year. [In-lieu of Probation]
- Court may order any conditions of supervision.
- Up to \$500 in treatment and supervision fees.

CLO SHOULD CONTACT: David Cook-Branch Director
AT: 229-2353, 49 San Jacinto, Houston, Texas 77002

B. Regular Probation Supervision through Harris County Community Supervision and Corrections Department Provides supervision to probationers based on Risk/Needs Assessment for compliance with conditions of probation. (Level 3, Level 4 and Indirect)

- Supervision Level provided in a series of regional supervision sites located throughout the county.
- Indirect supervision for probationers living outside of Harris County or not being directly supervised by court order.

CLO ASSIGNS TO APPROPRIATE BRANCH OFFICE

C. Region Tier 2 Caseloads through Harris County Community Supervision and Corrections Department Supervision to high risk/needs probationers in lieu of incarceration (Level 2)

- The Region Tier 2 Caseloads began operations in 1991.
- Probationers are seen at least two times each month.
- Probation Officers provide individual counseling and coordinate out-patient and in-patient treatment when indicated.

CLO ASSIGNS TO APPROPRIATE BRANCH OFFICE

5/9/94

- D. Specialized Caseloads through Harris County Community Supervision and Corrections Department Supervision for probationers identified as having specialized needs. (Level 2)
- Developmentally Disabled
 - Domestic Violence
 - Mental Health Caseload
 - Female Offenders
 - Special Needs Caseload for Spanish Speakers
 - Intensive Sex Offender Caseload
 - Concurrent Supervision (Probation/Parole)

CLO SHOULD CONTACT: Kim Valentine-Branch Director
AT: 754-8010, 1404 Leeland, Houston, Texas 77002

- E. Super Intensive Supervision Probation Program through the Harris County Community Supervision and Corrections Department Supervision for very high risk/needs probationers in lieu of incarceration for a 90 to 180 day stabilization period developed through FY 1991 Community Corrections Funding.(Level 1)
- Probationers report to Probation Officer daily for first thirty (30) days.
 - Probation Officers act as advocates to assure that probationers access programs necessary to address need areas utilizing all supervision tools.
 - Each probationer required to complete fifty (50) hours of community service as condition of program.
 - A Specialized Stalker Caseload is available at SIPP-South, 1404 Leeland.

Mentally Impaired Offender Unit

- Probationer must have history of/or documented need for psychiatric hospitalization, a medication program for psychiatric disorders or out patient treatment
- Probationer has a diagnosis of mental retardation with an IQ of 70 or below
- 5 Tier 1 caseloads per SIPP office

Concurrent Supervision

- Coordinated effort between CSCD and Parole.
- CSCD staff are in regular contact with Parole Officer in making joint decisions.
- Supervision for very high risk/needs probationers./parolees
- Probation Officers act as advocates to assure that probationers access programs necessary to address need areas utilizing all supervision tools.

CLO SHOULD CONTACT: Kim Valentine-Branch Director/SIPP South
AT: 754-8010, 1404 Leeland, Houston, Texas 77002

Ron Gonzales-Branch Director/SIPP North
AT: 696-4310, 9111 Eastex Freeway, 4th Fl, Houston, Texas 77093

- F. Harris County Court Residential Treatment Facility: For Drug and Alcohol Addiction through Harris County Community Supervision and Corrections Department
- The Court Residential Treatment Center opened its doors in 1984.
 - Provides probationers with residential supervision as an alternative to incarceration.
 - Provides family and individual counseling.
 - Arranges for and monitors out-patient treatment.

CLO SHOULD CONTACT: Freddy Borrego-Facility Director
AT: 590-1667, 1911 Aldine Mail Route, Houston, Texas 77093

- G. Harris County Restitution Facilities through Harris County Community Supervision and Corrections Department: Male and Female
- The Restitution Centers opened in 1984.
 - Ensures that crime victims are compensated financially for their losses.
 - Provides special counseling for probationers so that employment is maintained.

CLO SHOULD CONTACT: Freddy Borrego-Facility Director
AT: 590-1667, 2701 PineTree, Houston, Texas 77093

5/9/94

H. Harris County Court Regimented Intensive Probation Program (CRIPP)
Cooperative program between CSCD and HCSD developed through FY 1991 Community Corrections Funding.

- 17 - 25 year old non-violent offenders for 90 - 120 days
- Alternative in lieu of incarceration in the Institutional Division of the Texas Department of Criminal Justice or Harris County Jail provides 484 beds
- Provides educational programs, life skills training, as well as confrontational techniques for facing consequences of non-social behavior and attitudes, and intensive residential supervision.

CLO SHOULD CONTACT: Mike Enax-CRIPP Facility Director
AT: 459-8090, 2310 1/2 Atascocita Rd., Humble, Texas 77346

I. Harris County Conservation Work Probation Program (CWPP): Male and Female

- 30 - 60 day program.
- 40 bed alternative sanction program.
- Emphasis is on having defendants directly involved in environmental conservation projects.
- Provides life skills training, substance abuse counseling, and educational development.

CLO SHOULD CONTACT: Mike Enax-CWPP Facility Director
AT: 459-8090, 2310 1/2 Atascocita Rd., Humble, Texas 77346

J Harris County Courts' Intermediate Sanctions Facility: Male

- 1160 Bed Alternative sanctions program for male adult offenders
- Program consists of from 3 to 90 days
- Program addresses issues of the High Risk/Needs Probationer
- Program provides Substance Abuse Education and Counseling, Life Skills Training Adult Education, Community Service, and Employment

Drug Diversion Treatment (DDT)

- Pilot Program designed to target defendants with drug related offenses.
- Evaluation of the defendant within 5 days, to be reported back to the courts so that appropriate Conditions of Supervision can be established.
- Defendants will report directly to the court at least once every 5 weeks.
- Cases to be early terminated if successfully completed requirements.

CLO SHOULD CONTACT: Bob Breckenridge-CCF4 Facility Director
AT: 755-2010, 1307 Baker, Houston, Texas 77002

Bob Spears-CCF5 Facility Director
AT: 755-2210, 1311 Baker, Houston, Texas 77002

K. Harris County Court Intermediate Sanctions Facility (Women's) through Harris County Community Supervision and Corrections Department

- Developed under FY 1991 Community Corrections Funding.
- 120 Bed facility
- Supervision plan includes substance abuse counseling, Life Skills Training, Parenting, Adult Education and employment development and stability.
- Probationers complete Community Service.
- Designed to stabilize defendant for successful supervision under street probation.

CLO SHOULD CONTACT: Javed Syed-Facility Director
AT: 755-4210, 711 N. San Jacinto, Houston, Texas 77002

L. Department of Criminal Justice Special Alternatives to Incarceration Program through the Division of Institutions of the Department of Criminal Justice

- Boot Camp program for youthful offenders.
- County(s) contact Intake and Capacity Coordinator to request transfer of offenders.
- Intake Coordinator will place county and number of offenders on waiting list.
- As vacancies become available, county(s) next in turn will be notified.

CONTACT: Institutional Division of Criminal Justice-Larry Miller, Intake Capacity Coordinator
AT: (409) 294-6236

5/9/94

M. Trusty Camp: For Violation of Conditions of Probation through the Division of Institution of the Department of Criminal Justice

- At least 1,000 beds reserved for persons punished for violation of conditions of probation.
- Persons may not earn good conduct time while confined to trusty camp.
- Regularly scheduled admissions for 60 and 90 day terms.
- After release defendant returned to probation.

CONTACT: Institutional Division of Criminal Justice-Larry Miller, Intake Capacity Coordinator
AT: (409) 294-6236

N. Substance Abuse Felony Punishment Facility (SAFPF) through a Cooperative effort between the TDCJ-ID, CJAD, and Board of Pardons and Paroles

- Corrections Supervision addressing risk management through punishment and rehabilitative philosophies.
- Established as authorized by House Bill 93
- Treatment programs for Substance Abuse for a period of six months to one year

CONTACT: Institutional Division of Criminal Justice, Drenda Photwell, SAFPF Coordinator,
AT: (409) 294-6583

II. EXISTING ADDITIONAL TOOLS AVAILABLE TO BE UTILIZED WITH SUPERVISION

A. Electronic Monitoring through the Harris County Community Supervision and Corrections Department

- This program became operational in 1988.
- Probationers are monitored twenty-four hours a day, seven days a week and allowed to leave their residence for employment, counseling, school or emergency purposes only.
- Expanded through FY 1991 Community Corrections Funding.

CLO SHOULD CONTACT: Barri Lewis-Senior Probation Officer
AT: 755-4217, 711 N. San Jacinto, Houston, Texas 77002

B. Community Service Restitution through the Harris County Community Supervision and Corrections Department

- Provides placement and monitoring of defendants ordered to perform community service hours as a condition of probation or bond.
- Also available to the courts as an alternative to a jail sentence or in lieu of fine and court costs.

CLO SHOULD CONTACT: Frazier Hardy-Supervisor
AT: 755-2515, 49 San Jacinto, Houston, Texas 77002

C. Mentally Ill Offender Program (Project Action)

- A community based jail and prison diversion pilot program grant
- Provides for the case management of probation and non-probation mentally ill offenders.

CLO SHOULD CONTACT: Talvin Paul-Project Manager
AT: 229-3233, 49 San Jacinto, Houston, Texas 77002

D. Vocational Intervention Program Contract service through the Texas Employment Commission developed through FY 1991 Community Corrections Funding.

- Services for unemployed and under employed probationers
- Skills assessment
- Employment readiness classes
- Employment referrals

CLO SHOULD CONTACT: Kim Valentine-Branch Director
AT: 754-8010, 1404 Leeland, Houston, Texas 77002

5/9/94

E. DWI School

- The DWI School began its education program in 1982.
- Educates probationers with regard to the dynamics and consequences of alcohol abuse and driving.
- Largest Alcohol Awareness Program for DWI offenders in Texas.

CLO SHOULD CONTACT: Don Koontz-Supervisor
AT: 755-2507, 49 San Jacinto, Houston, Texas 77002

F. Texas Drug Offender Education Program

- Program began in late 1993
- Educates persons convicted of drug related offenses about the dangers of drug abuse
- Satisfies legal requirement for return of Driver's License

CLO SHOULD CONTACT: Don Koontz-Supervisor
AT: 755-2507, 49 San Jacinto, Houston, Texas 77002

G. SALCE (Substance Abuse Life Circumstance Evaluation)

- Tool for the evaluation of any defendant with respect to drug and alcohol abuse.
- Currently administered as a portion of DWI Education Program.
- Utilized as a portion of all Pre-Sentence Investigations and in MRP/MAG cases.
- Increasingly utilized by the Courts on a pre-sentence basis through evaluation sites located in the court house complex.

CLO SHOULD CONTACT: Don Koontz-Supervisor
AT: 755-2507, 49 San Jacinto, Houston, Texas 77002

H. Victim Impact Panels

- Cooperative effort between Community Supervision Department and Mothers Against Drunk Driving (MADD)
- Panels consist of victims and/or their families making presentations of the impact of drunk driving offenses on their lives to stipulated groups of DWI offenders

CLO SHOULD CONTACT: Don Koontz-Supervisor
AT: 755-2507, 49 San Jacinto, Houston, Texas 77002

I. Deep Lung Interlock System

- The Interlock system was operational in 1988.
- Device allows testing for alcohol usage prior to operating a motor vehicle

CLO SHOULD CONTACT: Dan Tippen-Supervisor
AT: 754-8002, 1404 Leeland, Houston, Texas 77002

J. Urinalysis

- The Urinalysis program began operations in 1981.
- Testing to monitor compliance with conditions of probation concerning the use of controlled substances and/or alcohol.
- Testing conducted for 72 specific chemical compounds by the Harris County Medical Examiner's Office with automatic confirmation of all screen positive samples.

CLO SHOULD CONTACT: Kevin York-Informational Services Administrator
AT: 229-2321, 49 San Jacinto, Houston, Texas 77002

K. Literacy and English as a Second Language

- Provides literacy screening.
- Provides classroom instruction augmented by computer assisted learning modules.
- Adult Basic Education.
- English for speakers of other languages.
- GED Preparation.

CLO SHOULD CONTACT: Pandy Hardeway-Adult Education Coordinator
AT: 755-2566 or 229-2441, 49 San Jacinto, Houston, Texas 77002

5/9/94

CHAPTER 5C1

GENERAL SUPER INTENSIVE PROBATION PROGRAM
GUIDELINES

TIER 1

The Super Intensive Probation Program (SIPP) is a TIER 1 intermediate sanction program for those probationers in need of the most restrictive, non-residential supervision. This program, with a minimum completion period of 90 days, is designed to stabilize probationers as quickly as possible, thereby affording their successful discharge to a less restrictive level of supervision, normally to a TIER 2 program.

I. ELIGIBILITY CRITERIA

Probationers must be stipulated by the Court as a condition of probation to be placed in this program. Placement criteria for program includes at least one of the following:

- A. Stipulation at the onset of probation based on the nature and/or seriousness of the offense, felony or misdemeanor.
- B. Documented pattern of serious non-compliance while supervised at a less restrictive level:
 - 1. chronic unemployment influenced by:
 - a. illiteracy
 - b. lack of vocational skills
 - 2. chronic failure to report
 - 3. chronic substance abuse
 - 4. chronic failure to perform community service hours
- C. Reintegration step from one of the residential facilities
- D. Filing of a MRP/MAG/VR filed for a law violation, misdemeanor or felony.
- E. The probationer should match the jurisdiction's profile of offenders historically committed to prison/jail.

NOTE: Probationers who have serious mental problems or who are severely developmentally disabled should be stipulated to the appropriate Tier 2 specialized caseloads or the Mentally Impaired Offender Caseloads in SIPP. In the

event these caseloads are full and a waiting list is being maintained, said probationer should be supervised on a regional Tier 2 caseload. This also applies to new cases directly from court.

NOTE: When recommending a more restrictive level of supervision for a defendant, the continuum of sanctions should be observed, i.e., for a probationer being supervised in Tier 3, consideration should be given to placement in a Tier 2 program before immediately recommending placement in a Tier 1 program.

II. REFERRAL PROCEDURES

A. Conditions of probation or modification orders must be prepared as follows:

1. Felony Conditions

- (k) "Participate in the Community-based program, the Harris County Community Supervision and Corrections Department - SUPER INTENSIVE PROBATION PROGRAM for a period of no less than 90 days beginning _____ and faithfully follow all guidelines and instructions until successfully discharged or until further order of the Court".

NOTE: The begin date should be the same date the probationer is court ordered to SIPP.

NOTE: Supervision in SIPP is sometimes necessary while a probationer is awaiting placement in a residential facility; if so, add to the end of this condition, "until an opening is available in _____"(facility name).

AND ADD AT THE END OF THE EXISTING CONDITIONS:

"Abide by TIER 2 guidelines if at any time it is assessed by HCCSCD that you require maximum supervision", and *ADD* beginning upon release from Super Intensive Probation Program" when Tier 2 placement is appropriate after SIPP discharge.

AND

Court-ordered community service when applicable (see section 3 below)

2. Misdemeanor Conditions

The above wording should be added to the standard conditions of probation.

3. Community Service

Since community service is an integral part of SIPP, the conditions of probation should reflect a minimum stipulation of 100 hours performed through the CSWPP at the time the probationer is placed into the program. If no hours have been ordered previously, 100 hours should be stipulated when the conditions are amended/modified as follows (generally under condition "1" for felony cases and "13" for misdemeanor cases):

"Participate in a community service program, CSWPP where you are to perform a total of _____ hours, over a period of _____ months beginning upon placement in SIPP." *The total number of hours ordered does not need to be completed by the SIPP discharge date; one year is generally acceptable as a deadline for 100 hours. The Court may waive this requirement on an individual basis.*

B. Placement of probationer in the program

1. Initiated by the Court

- a. through original court order for new cases
- b. through amended conditions of probation or modification order as the result of MRP/MAG dismissal, MRP/MAG marked "hold pending", violation report or court admonishment

2. Initiated by the supervising officer

- a. Supervising officer staffs the case with the supervisor/senior officer to determine eligibility
- b. If placement is appropriate, the supervising officer makes a recommendation for placement when the MRP/MAG/Violation Report, along with amended/modified COPs, is routed to the court.

3. Reporting instructions

a. When the probationer is present in court:

- 1) Probationers incarcerated are instructed to report to the SIPP Unit with his copy of the conditions of probation on the first working day after release from jail.
- 2) Probationers not incarcerated are told to report to the SIPP with his copy of the conditions of probation immediately upon leaving court.

b. When the probationer is not present in court:

At the first office visit after the amended or modified conditions are received from the court, the supervising officer instructs the probationer to report to the SIPP on the following day with his copy of the conditions of probation.

4. The casefile is forwarded to SIPP per departmental procedure (see chapter titled FILE TRANSFERS BETWEEN REGIONS/UNITS/PROGRAMS).
5. Supervision Code is be entered in the computer by the officer initiating the transfer or the data entry clerk.

III. SUPERVISION GUIDELINES

A. Case Classification Requirements

1. Assessment completed within 10 working days after intake contact with the probationer.
2. Supervision plan developed and completed within 10 working days after intake contact with the probationer.
3. Strategies for Case Supervision (SCS) instrument to be performed within 10 working days after intake contact with the probationer unless previously completed. SCS results are to be posted in the chronological. If the officer is not trained to conduct the interview, an in-depth interview using the SCS questionnaire must be completed and placed in the casefile with answers noted on the form within 10 days of intake. A chronological entry must be made indicating the SCS questionnaire was used due to the officer not being trained.
4. Reassessment/supervision plan conducted every 90 days.
5. Results of the above classification instruments are to be documented in the chrono and highlighted in green.

B. Supervision Guidelines

1. INTAKE

The following actions are to be completed within the first 5 working days of intake contact with the probationer.

- a. When reporting, the probationer should sign-in at the intake desk and wait to be called by an officer.
- b. Designated personnel will give the probationer the following forms to complete:
 - 1) Probationer's Monthly Report (PMR)
 - 2) Initial Intake Form/Program Agreement

3) SIPP Social History/Probationer Data Sheet

- c. The probationer will be assigned to a Probation Officer.
- d. The Probation Officer will review all forms with the probationer for accuracy.
- e. Conditions of Probation will be reviewed with the probationer. Any special conditions are addressed at that time and appropriate action initiated.
- f. Probationer will complete a Daily/Weekly Itinerary. The supervising officer will review and amend scheduled activities as needed. LEISURE TIME, BOTH DAILY AND WEEKEND, SHOULD BE STRUCTURED. FREE TIME should be considered time spent at home and all time spent away from home should be accounted for.
- g. Following referrals should be completed within the first 5 working days:
 - 1). All probationers should be referred to CSWPP and for a SALCE; the SALCE is not mandatory if there is a current substance evaluation in the file or if the probationer is enrolled in treatment.
 - 2) Referrals for Literacy testing and to Texas Employment Commission/Texas Rehabilitation Commission are made if needed;
 - 3) Probationers attending treatment should be advised that they must contact the treatment agency and initiate or resume treatment;
 - 4) Verification sheets are issued for 12-step support groups.

Before the end of the intake period (first 10 working days after intake contact with the probationer), case should be reviewed to ensure the following:

-Appropriate forms have been completed:

Intake Form & PMR	SCS/CJAD Assessment
SIPP Personal Data Sheet	CJAD Assessment
Program Agreement	Weekly Schedule
Daily Itineraries	Release of Information

-Referrals have been made:

SALCE	TEC/TRC	TREATMENT
LITERACY TESTING	CSWPP	AA/CA/NA/OA

-All conditions of probation have been addressed and action has been taken to ensure compliance.

2. PHASE I

Requirements in this phase include the following:

- a. Daily/Weekly Itinerary should be completed and reviewed with the probationer each day.
- b. Frequency of contact is dependent upon the supervision plan; **4-5 contacts per week are required.**
- c. On-going verification of referrals/employment.
- d. Urinalysis as necessary and electronic monitoring, if needed.
- e. Frequent random checks on whereabouts and curfew compliance.
- f. After 30 days, entry is made into Phase 2 if the probationer has made significant progress.

3. PHASE 2

Requirements in this phase include the following:

- a. The probationer must continue to comply with all the rules of the program.
- b. Two contacts per week with the probationer are required.
- c. The probationer is to submit a weekly schedule.
- d. Follow-up and verification of all referrals and special conditions of probation should be made before advancing the probationer to phase 3.

4. PHASE 3

Requirements are as follows:

- a. The probationer must continue to comply with all the rules of the program.
- b. Contact requirements are reduced to one time per week.
- c. The probationer will be required to submit a Daily/Weekly Schedule.
- d. Follow-up and verification of all referrals and special conditions of probation must be documented in the file before probationer can be considered for graduation from SIPP. This includes amending/modifying conditions of probation for stipulation to Tier 2 after probationer completes SIPP.

5. EXCEPTIONS:

If after staffing a probationer's case, the supervisor deems a change in SIPP program phase supervision is appropriate, the supervisor may waive, adjust or override phase to suit the needs of that probationer.

Any Court policy or Court request affecting the supervision of a SIPP case, in effect, shall take precedence over existing SIPP policy.

In the event that a probationer is on in-patient status and ordered to SIPP simultaneously, contact requirements are waived during the in-patient period. However, the supervising officer should maintain contact with the inpatient program to ensure that the probationer will report to SIPP immediately upon discharge.

6. Miscellaneous Supervision Guidelines

- a. All office visit documentation in the chronologicals is to be done in the PDAP (Problem, Data, Assessment, Plan) format.
- b. On cases transferred within SIPP from a non-SCS trained officer to an SCS trained officer, no SCS is required if the in-depth interview has been completed.
- c. Any departure from the SIPP policy and procedure is to be staffed with and approved by a supervisor. The supervisor or Branch Director can alter program Policy and Procedure when appropriate.
- d. MRPs/MAGs are to be prepared on absconders/failure to reports no later than 30 days after their last reporting date.
- e. All phase changes are to be entered in the center of the chronological in green ink, with a break in documentation before and after. This also includes any time a probationer is returned to a more restrictive phase.
- f. Cases on the JIMS 713 and any appropriate printout are to be reflected by an LOS of "1S".
- g. After printing, computer generated chronologicals are to be highlighted per departmental policy (see chapter titled DOCUMENTATION) and are to reflect the officer's signature at the end of each entry.

IV. EXIT FROM PROGRAM

Successful discharge from the program should occur after a minimum of 90 days when increased stability has been achieved by the probationer, which is defined as progress made in problem areas while in the program.

Once approved by the SIPP supervisor and the Court (if required per court policy), the SIPP officer:

- A. enters in the chronological a discharge summary that includes but is not limited to the following items:

1. Employment verified - if applicable
 2. After-care treatment arranged/verified
 3. All special conditions of probation addressed
 4. Final urinalysis on drug-related cases conducted
 5. Residence verified, e.g., telephone or utility record provided by probationer
- B. prepares the casefile for transfer to the appropriate region per departmental policy (see chapter titled FILE TRANSFERS BETWEEN REGIONS/UNITS/PROGRAMS).
- C. has the probationer sign Tier 2 Guidelines (unless not appropriate for Tier 2 placement). An override to maximum level of supervision due to progression from a more restrictive tier must be noted on a CJAD Case Classification Instrument which reflects a score of minimum or medium risk/needs
- D. schedules the probationer to report to the region 2 weeks from the discharge date for cases forwarded to Tier 2 and 4 weeks from that date for cases transferred to Tier 3.

Hartford, Connecticut

Supporting Documents

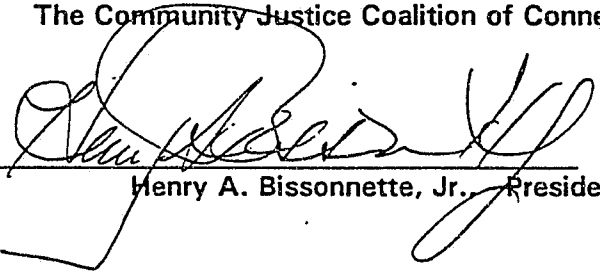
Table of Contents

Stakeholder Signatures	Page 3
Preface	Page 4
STANDARDS:	
Part One - Programs & Services for Criminal Justice Clients	
A. Admissions & Intake	Page 5
B. Client Services	Page 6
C. Client Supervision	Page 7
Part Two - Life, Health & Safety	
A. Facility & Sanitation	Page 9
B. Safety	Page 9
C. Food Service	Page 10
D. Health Care	Page 11
Part Three - General Management	
A. Administration	Page 12
B. Fiscal	Page 13
C. Human Resources	Page 15
D. Staff Development	Page 16
E. Records & Information Systems	Page 17
F. Citizen & Community Participation	Page 18
Part Four - Standards for Special Support Programs	Page 19

Stakeholder Signatures

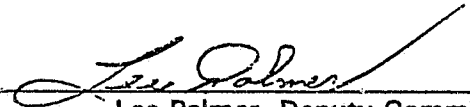
These Standards have been approved by the following representatives
of Connecticut's Criminal Justice Stakeholders:

The Community Justice Coalition of Connecticut, Inc.

BY: 
Henry A. Bissonnette, Jr., President

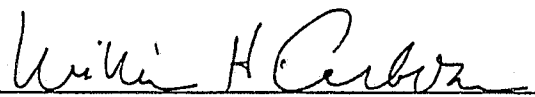
Date: 1-19-93

The Connecticut Department of Correction

BY: 
Lee Palmer, Deputy Commissioner
Programs & Treatment

Date: 1/19/93

The Office of Alternative Sanctions- Connecticut Judicial Department

BY: 
William Carbone, Coordinator

Date: Jan 19, 1993

PREFACE TO NONRESIDENTIAL PROGRAM STANDARDS

Community corrections professionals in Connecticut feel a very strong responsibility to their funders, colleagues, clients and communities to provide high quality services and to enhance the integrity of community corrections programming. Those who operated residential programs found that there were published residential program standards that could serve as a basis for program monitoring and evaluation. There were, however, no such standards for nonresidential programs. The Community Justice Coalition of Connecticut applied to the National Institute of Corrections for a technical assistance grant to help fill this void.

A task force consisting of representatives from nonprofit service providers and from the community services offices of the Connecticut Department of Correction was formed to prepare an initial draft of nonresidential program standards. The draft was circulated for comment to directors of private sector community corrections agencies and to administrators of the two public sector contracting agencies, the Department of Correction and the Office of Alternative Sanctions in the Judicial Department. With the help of NIC Consultant Neil Tilow, the comments and concerns of all of the stakeholders were compiled, discussed, and used as guidelines for redrafting. All parties involved recognize that standards development is an evolutionary process that will need regular review and revision.

The standards in this document were designed as the foundation upon which to build effective nonresidential programs. They provide funders and service providers with a uniform set of guidelines and define some basic program expectations. Although it will be necessary to do some recordkeeping to document compliance with these standards, the intention was not to increase paperwork, but rather to facilitate quality control. Programs that comply with local, state or federal licensing and regulatory requirements, can and should use those licenses or certifications as evidence of standards compliance.

Standards are divided into two categories: core standards and enhancements. The "core standards" are basic and should be regarded as minimum requirements necessary for approval as a qualified service provider. The "enhancements" are really guidelines for excellence, and programs able to meet them should be commended and rewarded with increased flexibility and innovation incentives.

Completion of this project required a great deal of cooperation and effort by all of the stakeholders involved, and their assistance is greatly appreciated. Connecticut also thanks the staff at the National Institute of Corrections and our NIC Consultant, Neil Tilow, for their support and advice.

*Irene Favreau, Executive Director
The Community Justice Coalition of Ct., Inc.
November, 1992*

The Nonresidential Program Standards

Please note that all written policies require accompanying written procedures.

PART ONE - PROGRAMS & SERVICES FOR CRIMINAL JUSTICE CLIENTS

A. Admissions & Intake - Core Standards

1. The program has clear written policies governing client admission criteria.
2. The program provides documentation of its authority to accept criminal justice clients and demonstrates that services provided comply with criminal justice contracts.
3. The program intake form records the following information for each client:
 - Name
 - Social Security Number, if available
 - Address
 - Date of Birth
 - Gender
 - Race/Ethnic Origin
 - Reason for referral
 - Whom to notify in case of emergency
 - Date of information gathered
 - Name of referral source or commitment authority
 - Education history, if relevant or required for statistical purposes
 - Social history, if available (may be added within 5 days of intake)
 - Special medical problems or needs
 - Name of personal physician, if relevant
 - Criminal history (may be completed subsequent to intake, but within 5 days)
 - Legal Status, including jurisdiction, length & conditions of placement
 - Signature of the client and the staff person doing intake
4. The program requires staff to read and explain program rules, regulations and disciplinary procedures to clients at time of intake. Parents/guardians of clients who are minors obtain the same information within 5 working days of intake.
5. Unless the program is designed to serve a specific population, the program has a written policy prohibiting discrimination in accordance with state and federal statutes.
6. If there is a fee charged, no one is denied service for inability to pay.

Admission & Intake - Enhancements

7. The program has a written policy providing for the dissemination of admission criteria to referring agencies and other interested parties.

6.

8. The program has a written policy providing for responses to persons denied admission to the program who submit written requests for justification.

B. Client Services - Core Standards

1. The program provides comprehensive case management services and/or referrals.
2. The program has written policies outlining procedures to help clients with language or literacy problems that might cause them to misunderstand rules, regulations, services, rights, etc.
3. If the program is providing supervision to clients with an "incarcerated status", the program has a written policy governing how it holds clients accountable for their whereabouts.
4. If the program requires client reimbursements, there is a written policy requiring staff to advise clients in writing of any and all reimbursements they will be required to make, and the specific procedures and timetables for making payments.
5. The program staff is required to complete a personalized treatment or service delivery plan for each client in a timely fashion.
6. The program has a policy outlining the measurable program goals that govern revisions to the treatment/service plan and discharge planning.
7. The program requires staff to make systematic reviews of each client's progress in the program and to advise the client of the documented review.
8. The program makes progress reports available to committing and/or referring authorities.
9. Programs that accept both male and female clients give them all equal access to program services and activities, as appropriate.
10. The program conspicuously posts its rules, regulations and hours of operation.
11. The program has a policy allowing for a client grievance and appeals process and advises all clients of the policy.
12. The program has a written policy defining a program director's authority to remove clients from the program.
13. The program has a written policy encouraging the development and use of community resources to benefit clients.

Client Services - Enhancements

14. The program makes an effort to ensure that any certificates or diplomas awarded for participation in educational, vocational, work and treatment programs meet generally accepted community standards.
15. The program has a policy to assist client financially, either directly or by referral.
16. In any program in which recreational activities are offered, there are written policies requiring that they be compatible with program objectives.
17. The program requires that staff regularly and systematically reevaluate client needs and maintain documentation of this ongoing process.
18. The program maintains an annually updated inventory and evaluation of community resources.
19. The program has a written policy directing staff to use community resources to provide clients and their families with services to meet their needs not provided by the agency, such as clothing, housing, legal services, etc.
20. The program has a written policy that provides for an appropriate progression through education, treatment, work and other services.
21. The program has a written policy which addresses the resolution of scheduling conflicts between a client's treatment plan, work schedule, and community service activities.
22. Whenever applicable, the program has a written policy to provide for the allocation of staff time to assist employable clients to find secure employment.
23. The program has a policy that allows visitation during program hours providing that such visitation does not disrupt the program or pose a threat to the client.
24. The program has a written policy giving clients access to a telephone to initiate and receive emergency phone calls. (Note: the policy should clarify what constitutes "emergency" calls.)
25. The program has a written policy which encourages staff to seek cooperation of community groups offering activities of benefit to clients such as participation in community service projects, public forums, etc.

C. Client Supervision - Core Standards

1. The program has a written policy prohibiting clients from being in positions of control or authority over other clients.

2. The program has a written policy limiting the use of physical restraints and confinement and requiring the filing of written reports to the program administrator following the use of physical force.
3. The program has a written policy requiring compliance with state and local laws regarding the suspected abuse of clients, particularly if the client is a minor.
4. The program has a written policy prohibiting use of corporal, unusual or excessive punishment.
5. The program has a written policy regarding the use of an unlocked secure area which clients can use to "cool down" as needed, which area is under close staff supervision.
6. The program has a written policy directing staff to allow clients to explain their behavior before being subjected to disciplinary action.
7. The program has a written policy concerning searches of clients, visitors and the facility, and this policy shall be made available to the public upon request.
8. The program has a written policy regarding the staff monitoring of client movements into and out of the facility.
9. The program has a written policy for reporting program absences.
10. The program has a written policy providing for the reporting of client tardiness and/or unexpected absence from required program services or activities.
11. The program has a written policy prohibiting staff and clients from having firearms on the premises.
12. Visiting authorities shall be required to either secure all firearms prior to entering the facility, or in rare cases, to subject the firearms to strict controls.
13. There is a written policy governing the inventory and control of keys in order to meet appropriate security and confidentiality goals.

PART TWO - LIFE, HEALTH & SAFETY**A. Facility & Sanitation - Core Standards**

1. Sanitary facilities are adequate for the program and are kept clean.
2. The facility complies with state and local sanitation and health codes.
3. The program has policies regarding vermin and pest control and removal of garbage.
4. There is written documentation that staff make weekly sanitation and safety inspections to assure that all fixtures and equipment are in working order.

Facility & Sanitation - Enhancements

5. The program has access to space to accommodate meetings with groups and/or individuals.

B. Safety - Core Standards

1. The program facility complies with appropriate fire safety regulations.
2. There is a written fire safety policy which includes the following:
 - A system of fire inspection and testing of equipment at intervals prescribed by the appropriate authorities.
 - An annual inspection by local or state officials.
 - Fire protection equipment is conspicuous and is kept operational.
 - The program has an approved fire detection system that is checked periodically by staff to be sure it is operational.
 - Facility exits comply with appropriate state/local fire codes, including adequate exits.
3. The program has written fire and emergency plans which are communicated to staff and clients.
4. Written emergency plans are disseminated to appropriate authorities.
5. All program staff are trained in the implementation of emergency plans.

6. The program has a facility evacuation plan for major emergencies which is reviewed and updated annually and which includes:
 - A facility floor plan with marked exits
 - Use of directional arrows for traffic flow
 - Monthly drills for staff
 - Public posting of the evacuation plan
 - Access to transportation services for emergencies.
7. The program has a written plan governing program operation in the event of an employee work stoppage.
8. Vehicles used for mass transportation by the program undergo annual safety inspections.

Safety - Enhancements

9. Programs providing their own transportation can document weekly safety inspections by staff to be sure brakes, headlights, signals, etc. are operational.
10. The program facility meets state and local guidelines for accessibility to persons with disabilities and the emergency evacuation plan contains provisions for them.

C. Food Service - Core Standards

1. If food service is a program requirement, a nutritionist, dietitian or physician annually approves the menu.
2. The program's food service staff and facilities comply with health and sanitation codes.
3. The program has a written policies governing special diets prescribed by medical or dental personnel, and for adherence to special religious dietary laws.

Food Service - Enhancements

4. The program has a written policy requiring that menus be prepared in advance and are substantially followed, and that food flavor, appearance and palatability are taken into consideration.
5. There is a single menu for staff and clients.
6. The kitchen and dining areas are clean and properly ventilated.
7. A nutritionist, dietician or physician annually approves the selection of food provided even in food service is not a program requirement.

D. Health Care Services - Core Standards

1. The program has written policies regarding the handling of medical emergencies.
2. The program provides an opportunity for client disclosure of medical and dental problems and offers assistance to address them.
3. Health care personnel in the program are subject to the same licensing and certification requirements as equivalent community personnel.
4. At least one staff person per shift is certified in first aid and CPR.
5. The program has an emergency medical backup plan to obtain medical services for clients and staff in case the primary health care plan cannot be implemented.
6. Approved first aid equipment is available at all times.
7. The program has a written policy which provides for regular inventory of first aid equipment and supplies.
8. If clients are minors, appropriate medical authorization forms are obtained as part of the admissions process and are noted in the file.
9. At intake, program staff are required to inquire about special medical problems or needs in case of emergencies.
10. The program has a written policy governing communicable or infectious diseases and other debilitating conditions for staff and clients.
11. The program has a written policy on possession and use of prescribed medication and over-the-counter drugs on the premises.
12. The program complies with laws and regulations regarding the dispensation of drugs and appropriate recordkeeping.
13. If a urine surveillance policy is in effect, there are written collection and processing policies.
14. The program has a written policy providing for notification of next of kin in the event of emergency, serious injury or death, and immediate notification of proper authorities of any death in the program.
15. The program has a written policy prohibiting drug (other than prescription) and alcohol use on the premises by clients and staff.

Health Care Services - Enhancements

16. The program has a written policy prohibiting agency approval of use of clients for medical, pharmaceutical or cosmetic experiments.

PART THREE - GENERAL MANAGEMENT

A. Administration - Core Standards

1. The agency operating the program is a legal entity which can provide evidence of its nonprofit status, has a governing authority which meets regularly and keeps a record of its meetings, and has by-laws or policies that minimally include:
 - Membership (types, qualifications, rights, duties, community representation)
 - Size and/or description of governing body
 - Method of selection of board members
 - Terms of Office
 - Duties & Responsibilities of officers
 - Some indication of regular meeting schedule
 - Committees
 - Quorum
 - Parliamentary procedures
 - Recording of Minutes
 - Method of Amending By-Laws
 - Description of relation of the agency executive to the governing body
 - Conflict of Interest Provisions
 - Prohibition of Nepotism for employees within a chain of command (either for direct supervision or functionally)
2. The program has written policies and procedures and adheres to all relevant local codes and regulations.
3. The program has a clearly defined chain of command and an organizational chart that is reviewed annually and updated as necessary.
4. There is some type of community input into program policymaking either through representation on the governing authority or through an advisory committee which makes recommendations to the governing authority.
5. The program has an employee grievance policy which is approved by the governing authority.
6. The program has a policy and procedures manual that is accessible to all employees and that is updated annually. All revisions to the manual are distributed to staff (and clients, where appropriate) prior to implementation.

7. The governing authority holds meetings at least annually with the agency executive.
8. The program has a written policy requiring regular reports (at least quarterly) to the governing authority or agency executive about population data, major incidents, problems and proposed solutions.
9. The agency will not permit clients to be unsupervised with service contractors who are performing on-site repair, maintenance or delivery functions.

Administration - Enhancements

10. The program has a written policy providing for constituency building through community interaction and media contact.
11. The program has written goals and objectives that are reviewed annually and updated as needed.
12. Programs that serve minors have written materials that distinguish between the services or rules for minor and those of adults.
13. The agency executive reviews program goals annually and links them to measurable objectives.
14. The agency has a policy which gives employees some opportunity to provide input on policy formulation.
15. The program has a written policy providing for at least an annual internal program evaluation by the program administrator or designated staff.
16. The program has a written policy providing for appropriate responses to requests for information from elected officials, the media, and the general public in a manner that is consistent with the clients' rights to privacy and maintains order and security.
17. The program has a written policy regarding engaging in political activities that is accessible to all staff members and that conforms to government laws and regulations.

B. Fiscal Management - Core Standards

1. The program has written policies to cover at least the following fiscal procedures: internal controls, petty cash, bonding for all appropriate staff, signature control on checks, the issuance or use of vouchers, and collecting, safeguarding and disbursing monies. The policies should conform to general accounting principles, and all monies should be kept in a secure location.

2. The program has a written policy requiring that budget requests comply with the policies, procedures and instructions of funders.
3. The program has a written policy for seeking staff input in budget development.
4. The program administrator participates in budget deliberations conducted by the governing body to facilitate the request of sufficient funding to maintain daily program operations, financing capital projects, supporting long range objectives, and funding any additional staffing requirements.
5. The program makes at least quarterly fiscal reports to the governing authority.
6. The program has a written policy requiring an independent annual fiscal audit.
7. The program has written policies governing the requisition and purchase of supplies and equipment.
8. The program has a written policy prohibiting financial transactions between clients and staff without approval from the program administrator.
9. - The program has written policies that provide for at least the following insurance coverages: worker's compensation, vehicle liability, bodily injury liability, and employee dishonesty coverage.
10. Any client funds held by the program are controlled by accepted accounting procedures, and any interest earned on those funds accrues to the benefit of the clients.

Fiscal Management - Enhancements

11. The program has a written policy requiring that the program administrator is involved in fiscal management and control, even if the management of certain fiscal functions is delegated to a designated staff person.
12. The fiscal officer has appropriate finance-related professional qualifications.
13. The program's accounting system is designed to show the current status of income, expenditures and cashflow and allows for regular reporting to the governing body.
14. The program has written inventory policies for property and supplies with inventories conducted at stipulated time periods, at least annually.
15. The program has written fiscal policies verifying that payroll positions are authorized in the budget and that payroll is based on timekeeping records.

16. The program has written policies providing for insurance coverage above the minimum required by law, including but not limited to professional liability for employees, directors and officers liability, third party reimbursement, etc.

C. Human Resources - Core Standards

1. The following items are available to all employees either in a personnel manual or elsewhere:
 - A table of organization
 - Personnel record requirements
 - Position classification
 - Benefits, to include holidays, insurance coverages, vacation, leaves of absence, worker's compensation, overtime
 - Compensation schedule including salary and performance review, time and attendance reporting
 - Terms and conditions of employment including hours of work
 - Employee training and staff development
 - Equal Employment Opportunities
 - Policy on Confidential information
 - Reference to Code of Ethics & Conflict of Interest Provisions
 - Sexual Harrassment Protections
 - Substance Abuse Provisions
 - Employee Wellness Provisions
 - Information on Pre-employment Background Investigations
 - Compliance with applicable state and federal statutes regarding employment such as EEO, ADA, FLSA, Drug Free Workplace, etc."
2. The program has a written policy requiring employees to sign statements acknowledging access to personnel policies and regulations and taking responsibility for being aware of their contents.
3. The program employees receive written annual performance reviews.
4. The program keeps current, accurate, confidential personnel records on each employee.
5. Employees are reimbursed for approved expenses incurred in the performance of their duties.
6. The program has a written code of ethics prohibiting employees from using their positions for personal gain and from engaging in activities that constitute a conflict of interest. (The code of ethics is available to all employees.)

Human Resources - Enhancements

7. The program's staffing requirements are designed to meet program objectives and client needs to the extent possible within available funds.
8. The program has a plan to determine staffing of essential positions during regular days off, annual leave, sick leave, etc.
9. There is a written job description for every staff position in the program.
10. Employment qualifications are demonstrably related to the skills needed to perform the work, and there are written policies requiring specialists to demonstrate professional credentials.
11. The agency has a policy outlining employee rights regarding involuntary terminations and demotions.
12. Compensation and benefit levels are comparable to those in similar occupational groups in the region.
13. The program has a written policy providing that employees, consultants, and any other personnel who work with clients are informed about client confidentiality rights and agree in writing to abide by them.

D. Staff Development - Core Standards

1. The program has a written policy on staff development that is planned by a qualified supervisory authority and is reviewed annually.
2. The staff development plan is developed and evaluated on the basis of current job-related needs and other professional requirements.
3. The agency has a written policy to provide staff with opportunities for training with a minimum of 40 hours for each full-time employee and a proportionate amount of hours for part-time employees.

Staff Development - Enhancements

4. The program encourages and reimburses staff for attending approved professional meetings, seminars, and similar work-related activities.
5. New employees undergo a comprehensive orientation period that covers special skills needed for successful client interaction, review of program policies and procedures, and some information about resources available to them to help them perform their duties.
6. Part-time staff and volunteers are given opportunities to attend workshops and seminars.

E. Records & Information Systems - Core Standards

1. The program has written policies governing case record management, including the content and use of records, the right to private placement and preservation of records, and schedule for retiring or destroying inactive records. These policies are reviewed annually.
2. The program maintains a master file for each client containing at least the following information:
 - Initial intake form
 - Case information from the referral source, if available
 - Case history
 - Medical records, if available and applicable
 - Psychological/Psychiatric Reports, if appropriate
 - Individual Treatment or Service Plan
 - Signed Release of Information Forms
 - Evaluation & Progress Reports
 - Current Employment Data
 - Program Rules & Disciplinary Policies, signed by client
 - Documented legal authority to accept client
 - Grievance and disciplinary record
 - Referrals to other agencies
 - Pertinent educational information & education plan, if applicable
 - Vocational plan, if applicable
 - Signed medical consent authorization
 - Final discharge or transfer report
3. The consent forms used by the program are consistent with federal and state regulations and are signed by the client PRIOR to the release of information.
4. The program has an organized system of information storage and retrieval.
5. The program has written policies & procedures for research which include compliance with professional ethics standards.
6. The information system is evaluated annually by the agency executive or the program director.

Records & Information Systems - Enhancements

7. The program has written policies providing for timely transfer of client files and records (simultaneous with client or at least within 72 hours).
8. Contents of the master file are categorized and maintained in an established format and are kept secure from unauthorized use.

9. The program uses information for research activities, annual program evaluations, and decision-making.
10. The administration reviews and approves all research projects and has written policies regarding access to client records for research purposes in a manner that protects client confidentiality.
11. The program collaborates with other criminal justice agencies in information gathering, exchange and standardization.

F. Citizen & Community Participation - Core Standards

1. The program has a written policy outlining its citizen and community participation opportunities.
2. The program has a staff member responsible for citizen involvement and volunteer service for the benefit of clients.
3. The program has a written policy governing the lines of authority for the citizen involvement and volunteer service program.

Citizen & Community Participation - Enhancements

4. The program's volunteer recruitment efforts attempt to reflect the cultural and economic diversity of the community.
5. The program has a written policy governing the termination of volunteer services when necessary.
6. Volunteers are officially registered and identified by the program.
7. Volunteers provide professional services when they are certified or licensed to do so.
8. Volunteers are required to complete an appropriate orientation training program prior to assignment and agree in writing to abide by program policies, particularly those that pertain to security and confidentiality.
9. The program has a procedure for volunteers to contribute program suggestions.
10. The program conducts a background check on volunteers which is appropriate to the task, audience and level of interaction, including a criminal background check, if appropriate.
11. The program will develop an annual plan to involve the community in the in supporting program operations.

PART FOUR - STANDARDS FOR SPECIAL SUPPORT PROGRAMS

Special support programs are those that do not provide direct supervision to criminal justice clients. (Programs performing any kind of supervision function should comply with all of the standards listed in the Parts One, Two and Three of this document.)

While some of the standards in this document are not appropriate for these special programs, most of them are. The following roster of core standards and enhancements are required for advocacy and special support programs."

Re: PART ONE - PROGRAMS & SERVICES**A. Admissions & Intake - Applicable Core Standards**

1, 2, 5, 6

Admissions & Intake - Applicable Enhancements

7, 8

B. Client Services - Applicable Core Standards

1, 2, 5, 9, 13

Client Services - Applicable Enhancements

14, 15, 17, 18, 19, 25

C. Client Supervision - Applicable Core Standards

2, 3, 11, 12, 13

Re: PART TWO - LIFE, HEALTH & SAFETY

- A. **Facility & Sanitation - Applicable Core Standards**
1, 2
Facility & Sanitation - Applicable Enhancements
5
- B. **Safety - Applicable Core Standards**
1, 3, 4, 5, 8
Safety - Applicable Enhancements
9, 10
- C. **Food Service - Not Applicable**
- D. **Health Care Services - Applicable Core Standards**
1, 6, 7, 10, 14, 15
Health Care Services - Applicable Enhancements
None

Re: PART THREE - GENERAL MANAGEMENT

- A. **Administration - Applicable Core Standards**
1, 3, 4, 5, 6, 7, 8
Administration - Applicable Enhancements
10, 11, 13, 14, 15, 16, 17
- B. **Fiscal Management - Applicable Core Standards**
1, 2, 3, 4, 5, 6, 7, 8, 9, 10
Fiscal Management - Applicable Enhancements
11, 13, 14, 15, 16

C. Human Resources - Applicable Core Standards

1, 2, 3, 4, 5, 6

Human Resources - Applicable Enhancements

7, 9, 10, 11, 12, 13

D. Staff Development - Applicable Core Standards

1, 2, 3

Staff Development - Applicable Enhancements

4, 5, 6

E. Records & Information Systems - Applicable Core Standards

1, 3, 4, 5, 6

***Additional Core Standard:** The program keeps detailed records of the services rendered or activities conducted and can document participation.

Records & Information Systems - Applicable Enhancements

8

F. Citizen & Community Participation - Applicable Core Standards

1, 2, 3

Citizen & Community Participation - Applicable Enhancements

4, 5, 6, 7, 8, 9, 10, 11

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innovations

Connecticut's Alternative Incarceration Program

by Kevin M. Devlin



A Connecticut Prison Association community service crew performs its daily neighborhood cleanup.

Photo courtesy of the Connecticut Office of Alternative Sanctions

In Brief

Prison overcrowding became a serious problem in Connecticut in the 1980s. Many corrections officials were concerned that prison conditions actually impeded the rehabilitation of offenders, making it more likely that they would commit new crimes after their release. Connecticut could not address the problem simply by building new corrections facilities.

Instead, Connecticut found a way to save money and prison bedspace by using alternative sanctions. Alternative sanctions offer counseling and education services to offenders.

Introduction

Alternative sanctions include any punishment that is more restrictive than probation and less punitive than incarceration. These sanctions should reflect consideration for public safety, the nature and severity of offenses committed by an offender, the offender's background and criminal history, and the impact of the crime on the victim. Supporters of alternative sanctions argue that incarceration is destructive in that it fails to address the psychological and economic reasons people commit crimes.

Examples of alternative sanctions include: fines; restitution; community service; halfway houses; drug, alcohol or mental health treatment; house arrest using electronic monitoring devices; mediation; intensive probation; pretrial diversion initiatives devised to offer alternatives to unnecessary detention; 17 alternative incarceration centers (AICs); two day incarceration centers; a youth confinement center; and many special programs. Without alternative sanctions, a judge has to sentence an offender to prison or probation or have an accused person who is indigent remain in prison.

A jail and prison overcrowding crisis has existed in Connecticut since the early 1980s. The average number of persons under the supervision of the state Department of Corrections more than tripled between 1980 and 1991. Correspondingly, between 1981 and 1992, operating costs for Connecticut's criminal justice system nearly tripled. It will cost more than \$1.2 billion to operate Connecticut's criminal justice system during fiscal year 1993-1994. The total budget for Connecticut's Department of Corrections has increased from \$43.8 million in 1980 to nearly \$400 million for fiscal year 1994-95.

This situation led judicial officials to develop pretrial and sentencing options as alternatives to incarceration, thus retaining scarce jail and prison space for the most serious offenders. They sought strategies that would supervise offenders in the community, ensure public safety, be acceptable to the public, deter criminal activity, be cost effective, and provide opportunities for rehabilitation.

In 1990, Connecticut enacted legislation that established the Office of Alternative Sanctions. Connecticut Superior Court Judge Aaron Ment serves as Chief Court Administrator for Connecticut and oversees the operation of the Office of Alternative Sanctions and other programs within the Judicial Branch. Ment said the program provides judges with a full array of sentencing options and enables them to select the best punishment for the needs of offenders and society. Ment said, "Simply stated, we want sentences to make sense. We want sentences that are effective from the standpoint of deterrence, punishment and rehabilitation. We cannot achieve sentences that make sense when overcrowding in correctional and probation systems undermines this objective."

Background

During the 1980s, an increase in arrests placed great pressure on Connecticut's criminal justice system. The total population of persons incarcerated in Connecticut doubled, increasing from 5,184 in July 1983 to 11,022 in July 1992 (see Table 1). This increase overwhelmed the correctional system and forced the release of some prisoners when new offenders were sentenced to incarceration. The substantial increase in arrests and convictions began in the mid-1980s with the rapid growth of arrests for illegal drug sale and use. Between June 1984 and September 1990, the number of people confined in Connecticut state prisons for sale or possession of drugs increased from 450 to 2,715.

In 1987, Connecticut State Supreme Court Chief Justice Ellen A. Peters responded to prison overcrowding by appointing a criminal sanctions task force to propose nontraditional sentencing options. The task force recommended providing a range of sanctions to enable judges to sentence defendants to alternative sanctions programs, establishing a separate office within the Judicial Branch to develop, implement and oversee these programs.

State Rep. Michael Lawlor, an early supporter of alternatives to incarceration, said it had become clear that the prevalence of drug problems would lead to prison overcrowding. Many offenders already went unpunished or served only brief portions of their prison sentences. Many state leaders believed intermediate sanctions between imprisonment and unsupervised probation were needed for nonviolent offenders.

In 1989, the Connecticut General Assembly responded by authorizing judges to sentence offenders directly to the Alternative Incarceration Program (Public Act 89-383, Connecticut General Statute 53a-39a). Offenders age 16 or older sentenced or awaiting trial for misdemeanors or felonies, except those specifically excluded under the legislation, are eligible for alternatives to incarceration. Ineligible offenses, all of which are felonies, include murder, kidnapping and first-degree rape.

Table 1
Persons Incarcerated in Connecticut
Total Incarcerated Population, 1983-1992*

1983	5,184	1988	7,316
1984	5,379	1989	8,899
1985	5,790	1990	9,589
1986	6,252	1991	10,184
1987	6,807	1992	11,022

*Population totals on July 1 of each year.
 Source: Connecticut Office of Alternative Sanctions

The act states that where a defendant has been convicted of an offense and imprisonment is part of the plea agreement or statutory penalty, the court may, at its discretion, order an assessment by the Office of Adult Probation to determine whether the defendant can be placed in an alternative incarceration program. If the Office of Adult Probation recommends such a placement and submits an alternative incarceration plan for the individual, the court may suspend any sentence of imprisonment and make participation in an alternative incarceration program a condition of probation. The act states that an alternative incarceration program includes, but is not limited to, an intensive probation program; any community service program or nonresidential program approved by the Chief Court Administrator that provides care, supervision and supportive services, including employment, psychiatric and psychological evaluation and counseling; and drug and alcohol dependency treatment.

Under 1990 legislation (Public Act 90-213, Connecticut General Statute 54-123a), the Judicial Branch established the Office of Alternative Sanctions on Jan. 1, 1991. The act listed the duties of the office to include: oversight and coordination of the implementation of alternative sanctions; evaluation of the effectiveness of alternative sanctions and their impact on prison and jail overcrowding, court docket backlogs and community safety; planning and establishing alternative sanctions; developing criteria for which offenders should receive alternative sanctions; contracting with nonprofit organizations providing alternative incarceration programs, halfway houses and similar services; contracting for independent evaluations with respect to the use of alternative sanctions; applying for, receiving and distributing grant funds; and receiving gifts or donations of funds, services, materials or property to implement the program. Both the 1989 and 1990 laws were sponsored by State Rep. Richard Tulisano of Rocky Hill, co-chairman of General Assembly's Joint Judiciary Committee, and were signed into law by then-Gov. William O'Neill. Rep. Tulisano said he introduced the legislation to

"give judges a menu of choices . . . between jail and probation."

The AIC program grew from an experimental program initiated in 1986, which was administered by the state Bail Commission. The original pilot program was limited to 35 slots and operated only in Hartford. Two points of intervention were chosen by the designers of the program: arraignment and the plea bargaining process. The centers were designed to serve three separate populations: accused individuals awaiting trial, court-sentenced offenders and offenders released from prison under the supervised home release program.

The Chief Bail Commissioner's Office was instrumental in initiating the project with the local Hartford Bail Commissioners. Selected detainees were referred to the program in lieu of pretrial detention. At the plea bargaining stage, judges, prosecutors and defense attorneys were asked to identify defendants who were facing incarceration but who posed no threat to public safety. Those offenders were placed on probation with specific conditions that they participate in the AIC.

The AIC program consists of traditional social services, strict monitoring of offenders in the social services program, extensive community service for sentenced offenders, and a reporting system measuring participant progress. In 1989, after the program had been in operation for two years, a program evaluation was conducted by MetaMetrics, Inc., a Washington, D.C.-based firm that evaluates criminal justice programs. The evaluation concluded that the program was diverting both pretrial detainees and sentenced offenders from incarceration.

Implementation

The Alternative Incarceration Program consists of a network of programs that screen incarcerated offenders and those destined for incarceration to determine whether alternative punishment is appropriate; supervise and monitor progress of released offenders; and deliver a variety of services to released offenders, including residential placement, drug and alcohol treatment, and literacy and employment training. According to AIP staff, approximately 80 percent of the offenders presently participating in the program are either drug offenders or have problems with drugs or alcohol.

Sentencing

The Alternative Incarceration Program provides judges with various options in sentencing offenders. Judges follow certain procedures to ensure that only offenders who would otherwise be incarcerated enter the AIPs. At the pretrial stage, only offenders who are destined for pretrial detention and cannot make bail are permitted to enter AIPs. Those who can make bail or are released on a

promise to appear at trial are not eligible. Under Public Act 89-383 (Connecticut General Statute 53a-39a), only convicted offenders facing a jail sentence may be considered for assignment to the program.

Except for offenses that are deemed ineligible by statute, the court may, following the establishment of an offender's guilt by trial or under a plea bargain for an offense that will lead to a jail sentence, refer the matter to adult probation for assessment and, when appropriate, develop an alternative sentencing plan. Upon receiving the report, the court may sentence an offender to the program for up to two years.

Alternative Incarceration Centers

The 17 Alternative Incarceration Centers (AICs) are key components of the Alternative Incarceration Program. The centers are located in Bridgeport, Bristol, Danbury, Derby, Enfield, Hartford, Manchester, Meriden, Middletown, New Britain, New Haven, New London, Norwalk, Stamford, Torrington, Waterbury and Willimantic. These programs are specifically designed to reduce pre-trial and sentenced populations at correctional facilities by providing an alternative to incarceration. More than 60 percent of all state AIP funds are spent on monitoring offender behavior and providing services to offenders. The remaining funds are allocated for job training, education and counseling programs.

There are at least six types of referrals to AICs: accused offenders awaiting trial; court-sentenced offenders; Alternative Incarceration Program sentenced offenders; offenders sentenced to AIC as an alternative to probation revocation or supervised home release; and offenders under intensive supervised home release.

The 17 centers are operated by 11 separate private, not-for-profit agencies. The centers work with court officials to identify offenders qualified to participate in community-based sanctions; develop alternative supervision and service delivery plans; provide services to offenders; and report to the court on offenders' progress. All AICs are operated under contract with the Office of Alternative Sanctions. The centers serve as day supervision and treatment centers and are chosen partly for their proximity to courts and each region's social service network.

One of the first centers was operated by the Connecticut Prison Association. It promoted the idea of having offenders assigned to alternative incarceration centers work on community service projects. The first center site was in Hartford. The Connecticut Prison Association also serves as the AIC in Manchester and New Britain. Other AICs include the Corporation for Public Management in Bridgeport, a firm based in Springfield, Mass.; the Com-

munity Renewal Team of Greater Hartford in Bristol and Enfield; Connecticut Halfway Houses, Inc., a firm based in Hartford, Danbury, New London and Torrington; Training, Education and Manpower, Inc., in Derby; The Connection, Inc. in Meriden and Middletown; Project M.O.R.E. in New Haven; Neon, Inc., in Norwalk; the Committee on Training and Employment, Inc., in Stamford; NOW, Inc., in Waterbury; and Perception Programs, Inc. in Willimantic.

Centers normally operate from 8:30 a.m. to 9:00 p.m. on weekdays and 9:00 a.m. to 2:00 p.m. on Saturdays. Clients have access to job counselors, crisis intervention workers, substance abuse counselors, community service restitution coordinators, family caseworkers and on-site Alcoholics Anonymous meetings. Most centers have supervised transitional housing for up to 30 days for offenders who need residences. Offenders are encouraged to spend time at the center participating in group discussions, watching educational videotapes and planning their weekly activities. Offenders are required to report to the center three times a week (for at least two years at a time) if they are employed or attending school or five times per week (for at least three hours at a time) if they are not.

AIC Community Service Projects

Community service work is commonly used as a sanction for first- or second-time drug offenders. During fiscal year 1991-1992 and 1992-1993, AIC clients performed over 243,000 hours of community service. During the first four months of fiscal year 1993-1994, AIC clients performed over 71,000 hours of community service. Centers are required to have community services coordinators on their staffs. According to Chief Court Administrator Aaron Ment, Connecticut courts commonly use community service projects to hold offenders accountable for the crimes committed. James Greene, consultant to the Office of Alternative Sanctions, said, "There are two things we can accomplish through AIC community service: We can try to move our clients a step forward in their lives and we can try to move the offenders upward in the eyes of the taxpayers."

Offenders in the program have worked on a host of renovations and maintenance projects on state and local parks. These projects help boost the self-esteem of offenders by giving them a way to repay society for their crimes. Many offenders wore orange t-shirts on the job that read, "We're giving something back." One offender said that in prison he "sat around counting the minutes and trying to figure ways to avoid a fight. But in this program I feel like I'm going somewhere." In a 1990 editorial, *The Hartford Courant* said, "The cleanup is not something out of an old movie about chain gangs. The inmates...have a chance to trade idling away in crowded quarters for time outside and healthful

work. They know a good deal when they see one. So should Connecticut residents."

Proponents of community service at first encountered resistance because many believed offenders would not show up for work or be productive. A six-to-one client-staff ratio has ensured a good attendance record and state park officials have been pleased with offenders' performance in cleaning parks. Richard Clifford, bureau chief of outdoor recreation for the Department of Environmental Protection, said, "There are two reasons why we feel the program is highly successful: It gives us an increased maintenance component and it makes a productive involvement for AIC offenders. In 1992, we almost doubled the number of participants in the cooperative program."

Through interagency agreements with the state Department of Environmental Protection's Division of State Parks and the state Department of Transportation, offenders were asked to work in parks and on state roads from March to October. By spring 1993, community service crews had cleaned and performed maintenance in 25 state parks and forests. This winter, offenders are repairing furniture, picnic tables and outhouses from various state parks. Public park projects performed by offenders are listed under Table 2.

Table 2
Alternative Incarceration Center (AIC)
Spring Cleanup, 1992
State Parks, Forests and Department of
Environmental Protection Facilities

- Litter removal;
- Cleaning culverts and drainage basins;
- Painting office building exterior and cleaning building interior;
- Raking and seeding;
- Preparing beds in formal gardens;
- Cutting brush;
- Repairing stone walls;
- Raking leaves;
- Caring for animals in a nature preserve;
- Repairing roads;
- Cleaning a boat launch; and
- Cleaning hiking trails.

Source: Connecticut Office of Alternative Sanctions and Connecticut State Parks Division

In addition to working on state roads and parks, offenders work for local government agencies. They have painted schools during the summer, painted fire hydrants, performed maintenance work at senior citizen centers, cleaned vacant lots, maintained courthouses, washed police cars and assisted the maintenance staff at Central Connecticut

State University. Offenders also do work on private, nonprofit and charitable facilities. They renovated churches and performed housekeeping a YMCA/YWCA. Offenders helped Services for the Blind with a 13,000-piece mailing and operated rest areas for a bicycle race to benefit the Multiple Sclerosis Foundation. In 1993, community service crews managed ticket distribution for the state's Nutmeg Games, a statewide amateur sports event.

AIC Client Services

Client services provided by centers to offenders include substance abuse treatment, job development, vocational assistance, literacy development, life skills training, AIDS education, housing assistance, income maintenance assistance, and crisis intervention. A center with 100 client slots would typically be staffed by a coordinator, a supervising case manager and four additional case managers, a court liaison, substance abuse counselor, a community service supervisor, a vocational/educational developer, an operations assistant, a student intern and a secretary. During the first six months of fiscal year 1993-1994, the AIC program maintained a capacity of 2,075 client slots, and it was increased to 2,100 slots effective January 1, 1994. The fiscal year 1993-1994 program budget is about \$8.5 million, resulting in a per-slot cost of less than \$4,500.

The Office of Alternative Sanctions provides training and technical assistance for the standardization and credibility of private, not-for-profit agencies that administer AICs. A training and technical assistance committee develops training programs for new employees of organizations operating AICs, AIC executive directors and representatives of their boards of directors. Training includes an overview of the criminal justice system, a history of alternatives to incarceration, case management, drug and alcohol counseling, drug and alcohol testing, interacting and motivating clients, community service, and interaction and communication with state agencies. AIC coordinators receive training concerning community services. Executive directors and boards of directors receive information on prison overcrowding and the history of alternatives to incarceration. The committee also developed a statewide community service program, formal AIC program evaluations, on-site program observation and training and enhanced communications with placement offices at local colleges and universities.

Residential Treatment Programs

The Residential Treatment Programs are used for clients in need of emergency short-term or long-term residential placement to avoid incarceration. This usually consists of transitional housing; detoxification; intensive drug treatment (up to 18 months); and special facilities for the mentally ill and those diagnosed as mentally ill and drug de-

pendent. Some offenders are assigned to units designed to meet unique problems where they can receive extensive counseling concerning domestic violence, sex offenses or other behavioral problems. Residential treatment programs include the new Youth Confinement Center, a program for drug-involved young offenders, and the Connecticut Restitution Center, a program for employed offenders for whom monetary restitution is ordered.

Other Alternative Sanctions

Other alternative sanctions used in Connecticut include experimentation with day fines, which features an effort to increase the use of fines by linking them more directly to the income of offenders. Connecticut uses two day incarceration centers to supervise high-risk offenders. Electronic monitoring is used for offenders who require 24-hour supervision. Of the 3,866 offenders in alternative incarceration programs as of October 31, 1993, 1,426 were in alternative incarceration centers, and the remaining 2,440 were in other programs.

The Office of Alternative Sanctions has entered into more than 30 contracts with various agencies to provide counseling to help sex offenders, the mentally ill, and others whose behavioral problems must be addressed to deter future criminal conduct.

Evaluation

Connecticut is saving millions of dollars under the Alternative Incarceration Program. It costs an average of \$4,500 a year to keep an offender in the alternative incarceration program compared to an average of \$23,000 per year to keep an offender in a maximum, medium or minimum security prison or jail. The state saves about \$18,500 for each offender who participates in the AIP instead of being incarcerated. About 3,900 offenders were in the program on October 31, 1993. Alternative incarceration also saves the state millions in capital costs associated with construction of new prisons. A 400-bed corrections facility with cells could cost as much as \$50 million to build, while a prison with barracks-style bunk beds in a common sleeping area can cost up to \$30 million. William Carbone, director of Connecticut's Office of Alternative Sanctions, said the Alternative Incarceration Program has helped the state avoid building as many as nine 400-cell prisons at a total cost of as much as \$450 million.

Connecticut increased the program's funding from \$718,000 in fiscal year 1989-1990 to \$13.66 million in fiscal year 1992-1993, which included \$3 million in federal funds. During fiscal year 1993-1994, the program's budget grew to \$17.2 million in state funds, along with \$2.5 million in federal funds. Federal funds are from the Narcotics Enforcement and Crime Control Block Grant, administered by the Bureau of Justice Assistance in the U.S. Department

of Justice. The increase in funding is a result of a growing number of AIP participants (see Table 3), but the program has also had strong support from Gov. Lowell Weicker. Since he took office in January 1991, state allocations for the program have grown from \$4 million to \$17.2 million.

The program has reduced the number of people in jail awaiting trial from 33 percent of the incarcerated population in 1989, to 14 percent in 1992. A recent study conducted by The Justice Education Center revealed that defendants released with conditions pose less risk to the community in terms of new arrests or failure to appear in court than defendants ordered to post bond without conditions.

Connecticut experienced only a 4.5 percent increase in its incarceration rate between 1990 and 1991. According to *Prisoners in 1991*, a report published by the U.S. Department of Justice in 1992, Connecticut had the lowest increase in the percentage of persons incarcerated among the Northeastern states between 1990 and 1991. The program has not decreased the incarcerated population as much as it has contained its growth.

About 65 percent of the AIP clients complete their sentences. Approximately 90 percent of the clients whose sentences are revoked have violated program rules, such as consistently failing to report to an Alternative Incarceration Center. Usually, after a limited number of technical violations, an offender is more closely monitored. If the offender commits further technical violations, he or she is at risk of going to prison. Fewer than 10 percent of those incarcerated are imprisoned for committing new crimes. According to a recent report by The Justice Education Center, AIC programs have high success rates with substance abuse offenders as measured by program completion and low rates of failure to appear in court.

The program has saved prison bed space for more serious offenders since its initiation in 1989 (see Table 3). Bed savings is determined by the number of participants in AIPs, all of whom would otherwise be incarcerated. Referrals to the AIC program have grown steadily since its inception. The figures in Table 4 reflect the total number of referrals to AICs for each of the past four fiscal years.

State Rep. Michael Lawlor of East Haven, chair of the Judicial and Corrections Subcommittee of the Committee on Appropriations, vice-chair of the Judiciary Committee and a former prosecutor, said AIP features the "carrot and stick to make criminal justice work." The incentive, or "carrot," for the offender to participate in AIP is avoiding prison and acquiring help, such as drug abuse counseling. The penalty for failure to comply with AIP rules, or "stick," is being sent to jail.

By freeing more prison space, the program has resulted in incarcerated offenders serving longer sentences. Rep. Lawlor said that AIP has improved the credibility of the criminal justice process be-

cause it enabled the legislature to eliminate early releases from prison and to require offenders sent to prison to serve at least 50 percent of their sentences, as opposed to the 10 percent average attained before AIP was established.

Table 3
Alternative Incarceration Program Growth and Corrections Bed Savings

07/01/89 — 75	04/01/92 — 2,485
07/01/90 — 807	06/30/92 — 3,178
02/01/91 — 1,162	12/31/92 — 3,284
12/01/91 — 1,930	06/30/93 — 3,606
09/30/93 — 3,850	

Note: This table represents the daily caseload of the AIP initiatives for the dates listed.

Source: Connecticut Office of Alternative Sanctions

Table 4
Annual Referrals to AICs Since November 1989, By Fiscal Year (FY)

FY 89/90 — 1,507
FY 90/91 — 3,248
FY 91/92 — 4,649
FY 92/93 — 6,127
Total = 15,531

Note: These figures only include new admissions to the program and do not account for discharges or reflect the AIC population. Connecticut's fiscal year extends from July 1 to June 30.

Source: Connecticut Office of Alternative Sanctions

Other States

Many states have used alternatives to incarceration for offenders.

- Alabama enacted legislation in 1991 (H. 34) that authorized county or multi-county community punishment and corrections programs for state and county inmates or youthful offenders in custody. Such programs may be established by counties, community punishment and corrections authorities or other nonprofit corrections agencies. Sentencing judges must agree to the assignment of inmates to community punishment and corrections programs. Community punishment and corrections inmates may work on road and bridge renovation projects, garbage collection, debris or trash removal from roads, and public facilities ground maintenance.

- Colorado enacted legislation in 1991 (HB 91-1173) that authorized the development of a system

of programs for treatment of abuse of controlled substances and alcohol to be utilized by offenders who are placed on probation, parole or community corrections.

- Minnesota enacted legislation in 1991 (Ch. 568) that included house arrest as an option for offenders placed on work release by the state commissioner of corrections. The act allows the commissioner to place an inmate on intensive community supervision for all or part of the term if the sentencing court approves of the participation in writing and the offender agrees to participate. Under the program, offenders are subject to drug testing and must work at least 40 hours per week.

- North Carolina enacted legislation in 1993 (Ch. 534, HB 281) that established a comprehensive strategy for community-based punishments for certain categories of offenders. The program includes: monitoring pretrial offenders; community-based sanctions for sentenced offenders; and services for offenders released from jail or prison. Counties or groups of counties may apply for funding for local community-based sanctions programs.

- South Carolina enacted legislation in 1992 (S. 883, R. 556) that established an adult criminal offender management system as a means of permitting carefully screened inmates to be identified and placed in the state community control strategies program. Strategies include offender supervision and management methods, such as home detention; day-reporting centers; restitution centers; public service work programs; substance abuse programs; and intensive supervision.

- Wisconsin enacted legislation establishing an intensive sanctions program for felony offenders in 1991 (Act 39) and began the placement of inmates in April 1992. Under the program, a person convicted of a felony may be sentenced to participate in the program, directed to participate after a period of incarceration, or directed to participate as a condition of parole. Intensive sanctions may consist of one of the following: placement in a reformation camp; electronic monitoring; alcohol or other drug treatment programs; mental health treatment; community service; restitution; and other programs prescribed by the state Department of Corrections.

Transferability

Programs such as Connecticut's can help alleviate the problem of prison overcrowding and ensure that there will be room for serious or repeat offenders. Moreover, there are many public service needs that can be fulfilled by offenders who otherwise might languish in prison.

Nevertheless, some states might encounter resistance to alternative sanctions programs. Alternatives to incarceration might seem too lenient to critics who prefer stricter sanctions.

Conclusion

The Alternative Incarceration Program has helped control corrections costs in Connecticut by diverting some offenders from incarceration. The program has shown the public that it is an alternative to incarceration but not to punishment. The program will retain public support as long as it serves only nonviolent offenders who do not commit heinous new crimes while on release.

In time, state officials may be able to determine whether the program has succeeded in reducing the state's population of incarcerated offenders or whether it has simply prevented a rapid increase in those imprisoned. Time also will tell as to how many offenders are successfully rehabilitated. Perhaps the program can bring increased structure to participants' lives.

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ALTERNATIVES TO INCARCERATION

Phase I: Pretrial Evaluation

Section I

Executive Summary

Prepared by: The Justice Education Center, Inc.

Research staff: Research and Evaluation Services
Child & Family Services, Inc.

August 1993

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In closing, The Justice Education Center, Inc. sincerely hopes that the information in this report will be a valuable tool for the Judicial Branch in promoting and developing a wider range of viable pretrial options for Connecticut's Judiciary.

TABLE OF CONTENTS

A.	The Study	1
1.	Rationale for Phase I	2
2.	Goals of Phase I	3
3.	Overview of Pretrial Judicial Release Options	4
4.	Study Methodology	5
5.	Description of Conditional Release Options	6
B.	Major Findings	7
C.	Recommendations	12

A. THE STUDY

This study is the first comprehensive, statewide evaluation of Connecticut's alternatives to incarceration¹, providing information to the Judicial Branch about the outcomes of pretrial and sentenced clients. The study is being done in two phases:

Phase I: This report provides an evaluation of pretrial alternatives to incarceration, comparing defendants in the community on conditional release with a comparison group of defendants without conditions as part of their release status.

The second phase will provide an evaluation of the programs for offenders who are sentenced to alternative to incarceration programs, compared to those sentenced to incarceration and intensive probation. Initial results for this phase will be prepared by June 30, 1994.

¹ It is also the first statewide study of its kind in the country. A copy of the full narrative of the study can be obtained through The Justice Education Center, Inc., 151 New Park Avenue, Hartford, Connecticut 06106 (203) 231-8180, Sherry Haller, Executive Director.

RATIONALE FOR PHASE I
Evaluation of Pretrial Alternatives to Incarceration

An array of pretrial options has been in the process of expansion and development within the Judicial Branch for several years, under the guidance and supervision of the Office of Alternative Sanctions, the Office of the Chief Bail Commissioner, and the Family Division. A 1992 Court Disposition Study² yielded findings about the pretrial population that were of particular interest to the Judicial Branch.

Findings of particular interest from the 1992 study that warranted further investigation included:

- Decisions made about the status of a defendant pretrial had an important relationship to subsequent case disposition. For example, defendants incarcerated pretrial were more likely to be sentenced to incarceration upon conviction. Furthermore, the number of days incarcerated pretrial was one of the predictors of a sentence to prison.
- Convicted defendants who had been released with conditions prior to case disposition had a greater likelihood of appearing in court, and had fewer arrests than those released on written promise to appear or forms of bond.
- Defendant race/ethnicity was one of many statistically significant predictors of whether bond was ordered and whether or not defendants were incarcerated pretrial. This finding might also have been explained by other factors not available to that study: e.g., economic, educational and language differences, employment, family support or defendant demeanor in court.

Because of the importance of the relationship described above between pretrial status and case disposition, pretrial judicial release options needed to be studied closely: that is, which options were appropriate for which populations.

²**Court Disposition Study: Criminal Offenders in Connecticut's Courts in 1991.** Data collected on a random sample of 3131 offenders with criminal cases disposed in Connecticut's courts during 1991 enabled the Office of Alternative Sanctions to: project population flow and sentencing patterns to facilitate OAS' planning and development of community-based sanction programs; identify criteria for targeting appropriate offenders for intermediate sanctions; and develop a data base for longitudinal studies of outcomes and program effectiveness in future years.

GOALS OF PHASE I
Evaluation of Pretrial Alternatives to Incarceration

This evaluation of pretrial alternatives was conducted to achieve the following goals:

- To learn which categories of defendants are arrested for new offenses or commit program violations, and what those offenses or violations are.
- To learn which categories of defendants fail to appear in court.
- To investigate differences in rates of new arrest, in failures to appear, and in dispositions among defendants conditionally released, defendants released on unconditional promise to appear, and defendants ordered to pay bond (without any conditions attached to their release).
- To determine if there are differences in disposition among categories of defendants given different types of supervision.
- To describe the demographic and criminal justice characteristics of defendants who were given pretrial conditional release, and to compare these characteristics among defendants granted different types of supervision.
- To provide a basis for estimating the incarceration bed-days saved by the correctional system by the use of conditional supervision in the community.
- To provide a basis for estimating the cost savings of conditional supervision in the community.

OVERVIEW OF PRETRIAL JUDICIAL RELEASE OPTIONS

Critical to the understanding of this report is an overview of the pretrial release options available to the Judiciary.

At point of arrest: When people are arrested for a crime based on a warrant issued by a court, the warrant may state the terms of his/her release. When a person is arrested for a crime at the scene, the police are the first to make a decision about his/her release. There are two options which secure the release of approximately $\frac{2}{3}$ of arrestees at this point:

1. **"Written promise to appear" (WPTA).** The defendant will be released based on an assurance that s/he will appear in court.
2. **Bond.** The defendant will be required to deposit (or have a professional bondsperson guarantee) a specific amount of money to assure the defendant's appearance in court.

At Bail Commission interview: If the defendant is required to post money, and is unable to do so and as a result remains incarcerated, s/he is interviewed by a Bail Commissioner, who applies the weighted criteria for release, which include factors such as: the nature and circumstance of offense; prior record and appearance history; and social and medical assessment. Bail Commissioners interview about $\frac{1}{3}$ of all arrestees. The options at this stage include:

1. **"Written promise to appear" (WPTA).**
2. **Non-surety bond.** A written promise by the defendant to pay to the court a specified amount of money if s/he fails to appear.
3. **Surety bond.** Money posted by the defendant or a written guarantee by a bondsperson that if the defendant does not appear when required, the amount of bond will be paid to the court.

At initial court appearance: When the defendant appears in court, the court can keep or change the WPTA/bond order in effect. The additional options available to the court include:

1. **10% bond.** The defendant is ordered to execute a written bond in a specified amount guaranteeing his/her appearance in court and posting 10% in cash of that amount with the court.
2. **Orders to comply with special conditions.** Conditions may be added to either a WPTA or bond order, and may involve particular behavioral monitoring (such as drug testing or avoiding specified people) and/or supervision.
3. **Real estate bond.** Some third parties (typically relatives of the defendant) execute a written bond in a specified amount guaranteeing his/her appearance in court and secure that bond by posting real estate as collateral.

STUDY METHODOLOGY

To conduct this study of pretrial alternatives, two separate offender-based samples were drawn for comparative purposes.

Sample 1: Conditional release defendants

Sample: The first sample comprises 785 defendants: 9% of all defendants given conditional release at arraignment between March 1, 1991 and February 29, 1992. The sample was drawn randomly by geographical area court.

Judicial release options: The six different types of community supervision conditional release options available to the court for these conditional release defendants are compared:

1. Alternative to Incarceration Center (AIC) programs
2. Bail contract programs
3. Bail supervision
4. "Condition only"
5. Family Relations Supervision
6. "Other"

These options are described on the following page.

Sample 2: Comparison group

Sample: The comparison group is a sample drawn from defendants who were arraigned during the same twelve month period, but who did not have any conditions as part of their release status. This second sample comprises 645 defendants, and was generated randomly by computer from a tape provided by Judicial Information Systems (JIS).

Judicial release options: The defendants in this sample were released on one of the judicial release options available for this group, which are compared to the conditional release options:

1. Written Promise to Appear (WPTA)
2. Non-Surety Bond
3. Surety bond, 10% bond, and real estate bond

DESCRIPTION OF CONDITIONAL RELEASE OPTIONS

For the defendants released with conditions, six different types of community conditional release options³ are available to the court:

1. **Alternative to Incarceration Center (AIC)** programs are operated by private non-profit agencies in 17 sites across the state. They are designed as community-based alternatives to jail for pretrial and sentenced clients, and accept clients for periods up to six months. The AICs have developed more of their monitoring and programming for this population than any other.
2. **Bail contract** programs are also operated by private non-profit agencies, and are located primarily in the larger urban areas of the state. Nine Bail contract programs exist. They provide monitoring and social services to defendants upon referral from a Bail Commissioner.
3. **Bail supervision** is provided directly by the Bail Commissioners located in each court. This monitoring may require defendants to report to the Commissioner by phone or in person at designated intervals; Commissioners may also refer defendants to community programs.
4. **"Condition only"** defendants are also under the authority of the local Bail Commissioners. However, they have not been ordered by the court to report directly to the Commissioners, and so are not formally supervised. Instead, they have been directed to maintain particular behavior ordered by the court.
5. **Family Relations Supervision** is provided by staff of the Family Division in each court in cases which involve criminal behavior in a family context, primarily family violence.
6. **"Other"**, in this sample, includes a small number of defendants referred to a federally funded drug treatment program, or defendants released on a condition not specifically identified in available records.

³ Community release options comprise a range of programming initiatives, many of which are funded in part through state appropriations and/or the federal Drug Control and System Improvement Grant Program.

B. MAJOR FINDINGS

Introduction

Pretrial community release raises two primary public concerns:

1. Whether the defendant released into the community, on any of the conditions which the court can impose, will commit offenses while awaiting case disposition.
2. Whether the defendant released into the community, on any of the conditions which the court can impose, will fail to appear in court for scheduled proceedings.

According to statute, the defendant's potential failure to appear is the sole consideration available to the court in making release decisions in nearly all cases. In addition, the court is particularly interested in determining how those defendants released to the six different types of conditional community release programs compare with those released on WPTA or some form of bond.

Data from this study yield findings about program effectiveness that are of significant importance in response to these concerns -- findings that will assist court and program planning efforts for this population, and that address public safety concerns.

MAJOR FINDINGS

1. **The most important finding revealed in this study is that defendants released with conditions pose far less risk to the community of new arrests and failures to appear in court than defendants ordered to post bond without conditions.** The data indicate that current pretrial release decisions are effectively matching defendants with the appropriate level of supervision in the community. Defendants who pose the least risk (based on seriousness of charges, histories of felony convictions and prior FTAs) in most cases are being released under the least restrictive conditions and those defendants who pose higher risk are receiving more intensive levels of supervision.
 - **Conditional release group:** 82% of the total conditional release group, under all six types of supervision, were charged with neither failure to appear in court nor a new crime during the pretrial period, and just 4% were arrested for both offenses. 90% had no new arrests; 88% appeared for all court hearings.
 - **Bond group:** 74% of the defendants who posted bond were not charged with additional no pretrial illegal behavior; 6% had both FTAs and new arrests. An additional 17% of the total bond group were never released, most because of detainers.
2. **Regardless of the form of release, over 80% of the defendants did not engage in illegal behavior pretrial.** Most did not have arrests; most did appear in court. However, there were differences in rates of charged illegal behavior among defendants with different types of release.
 - **Written promise to appear (WPTA):** 90% of all WPTA defendants were not charged with additional pretrial illegal behavior, and only 1% had both FTAs and new arrests.
 - **Non-surety bond:** 94% of all non-surety defendants were not charged with additional no pretrial illegal behavior, and 3% had both FTAs and new arrests. (However, due to the small number of non-surety defendants in the sample, the 3% represents only one person.)
3. **The study's data yield predictors that can identify, with over 98% accuracy, which pretrial defendants are least likely to commit offenses of new arrest or failure to appear.**
4. **Defendants at high risk of failure to appear are different from those who are at high risk of new arrests.** Different, but identifiable, principles operate for the two types of pretrial misconduct. For example, for conditional release defendants:
 - Drug defendants were more likely to have new arrests, but not failure to appear.
 - Defendants charged with crimes against persons were more likely to have FTAs, but not to have new arrests.
5. **There are important demographic and criminal justice differences among the three main types of conditional release supervision.**
 - **Alternative Incarceration Centers (AICs):** Defendants in the AIC programs are the youngest and face the most serious charges and the highest rate of drug charges.

- **Bail contract:** Defendants supervised by Bail contract programs had the second highest rate of felony charges and of drug charges of any type of supervision. They are also the second youngest.

- **Bail supervision:** Defendants supervised by Bail Commissioners were older, had longer criminal careers and a history of more convictions.

6. **Types of supervision can be identified that deal most effectively with populations at high risk of new arrest and failure to appear, notably AIC and Bail contract programs. For example:**

- AIC programs have particularly high success rates with substance abuse offenders, as measured by high rates of program completion and low rates of failure to appear.

- Defendants supervised by AIC and Bail contract programs are significantly less likely to have multiple charges of failure to appear than those supervised by Bail Commissioners, primarily explained by prior criminal justice differences among the groups.

7. **Chronic and petty misdemeanor offenders are responsible for many of the failures to appear and arrests for new crimes. The number of prior convictions – not the number of felony convictions nor the severity of the present charge – is a predictor of failure to appear and new arrests.**

8. **There was no statistically significant difference in rates of new arrest or failure to appear by race/ethnicity, either for those defendants in the conditional release group or those defendants in the comparison group (WPTA, non-surety bond, bond).**

9. **Defendants released with conditions were less likely to be sentenced to incarceration and more likely to be sentenced to probation than defendants who were released on bond for the entire pretrial period:**

● **Sentenced to incarceration**

● **Conditional release:** 6% of the conditional release defendants who were charged with felony crimes against persons or with felony property crimes were sentenced to incarceration.

● **Released on bond:** 28% of the people who were released on bond for the entire pretrial period were sentenced to incarceration.

● **Did not post bond:** 70% of the defendants who did not post bond and who were incarcerated throughout the pretrial period received prison sentences notwithstanding time served pretrial. It is important to note that over 96% of these defendants were incarcerated with detainers.

● **Sentenced to probation**

● **Conditional release:** 44% of the defendants were sentenced to probation.

● **Released on bond:** 25% of the defendants were sentenced to probation.

10. **Substantial short-term jail bed and cost savings have been accomplished by pretrial Alternative to Incarceration Programs (AIP).** Based on conservative assumptions, it appears that, in general, AIC clients would otherwise have been incarcerated an average of 80 days, and at least two-thirds of Bail contract clients would have been incarcerated an average of 70 days. Drawing from these calculations alone, in FY 92-93⁴ an estimated minimum of 456,250 jail bed days would have been saved by these two groups, or approximately 1,250 jail beds on any given day. This represents a FY 92-93 correctional system savings of \$23.7 million for this part of the pretrial population alone. Follow-up research would be needed to be determined if savings for these clients are sustained in the longer-term or represent postponed expenses.

Broader pretrial cost savings:

● Throughout FY 92-93, a daily average of 1,500 slots within the Alternative Incarceration Centers, Federal Drug, and Bail contract programs were occupied by pretrial clients. The average cost of managing one of their slots for a full year is approximately \$5,000, or \$7.5 million for the 1,500 slots.

Had the individuals occupying these slots remained incarcerated, the approximate cost would have been \$23,000⁵ per bed per year, or \$34.5 million for the 1,500 beds.

⁴ This figure is based on the Bail Commission's estimate that 2/3 of the 1,971 Bail contract clients served in FY 92-93 would otherwise have been jailbound.

⁵ This figure is based on an estimate by the Office of Policy & Management; it includes operating costs only -- not the cost of construction.

The net operational savings for the broader pretrial supervision network was an estimated \$27 million for FY 92-93⁶. This savings represents just 60% of the overall gain provided by community-based alternatives to incarceration; the remainder comes from programs for sentenced clients.

●Additionally, the average capital cost for constructing a correctional bed is \$150,000. These costs include initial capital outlay and interest payments throughout the life of the loan. Without the specific community-based pretrial programming mentioned above, Connecticut would have had to build two additional 750 bed facilities at a capital cost of \$225 million.

⁶ The estimated savings would be much greater if Bail supervision defendants were added.

C. RECOMMENDATIONS

Introduction

Data from this report provide evidence that pretrial community release supervision programs have myriad benefits:

- Defendants who are released with conditions are less likely to fail to appear in court and to have new arrests than defendants released on bond.
- The large majority of individual defendants released to the community with supervised conditions do not engage in illegal behavior while awaiting case disposition, and do not pose a risk to public safety.
- Defendants released with conditions are sentenced to incarceration at a lower rate than those released on bond for the entire pretrial period.
- Pretrial community release supervision programs reduce prison and jail overcrowding, save the state considerable money, and reserve prison capacity for violent and chronic offenders.

These findings argue strongly for a continuing expansion of the use of community release programs that provide supervision, enhance public safety and ensure defendant appearance in court.

RECOMMENDATIONS

It is clear that the investment Connecticut has made in the expansion of community supervision pretrial release programs is working. **Defendants released under supervision with pretrial conditions pose less risk of new arrests and failures to appear in court than those ordered to post bond.** Even when the comparison is restricted to the most serious of the conditional release defendants—clients of AICs, Bail contract programs, and Bail supervision—the defendants who receive pretrial supervision fare better than those released on bond. This finding has major implications for the development of policy and programming with regard to placing less emphasis on bail bonds alone and more emphasis on conditional release options.

In light of this significant finding, attention must be directed to targeting offenders who would benefit from more intensive program supervision. This will enable the court to utilize a range of interventions with increasing levels of supervision based on the seriousness of risk, and likelihood of appearance in court. The following are detailed recommendations to inform program and policy development emanating from the study's data.

1. **A greater number of defendants at high risk of new arrests and failures to appear should be referred to intensive supervision programs, especially Alternative to Incarceration Centers (AIC) and Bail contract programs.** Defendants who reported to these programs had relatively low rates of both new arrests and failures to appear, in spite of facing relatively serious charges, e.g., sales of narcotics and Burglary 2.
2. **An assessment instrument, based on criteria shown by this study to have predictive value, should be used to identify high-risk defendants who are appropriate for referral to AIC and Bail contract programs and other types of intensive supervision.**
3. **Certain categories of offenders were identified by the data as being at particular risk of new arrests and failures to appear: for example, drug defendants, young men charged with crimes against persons, those with prior felony convictions and history of failure to appear.** Defendants who have these characteristics should be screened particularly carefully for their appropriate level of supervision, for example:

- Defendants charged with substance abuse should be targeted for supervision by AICs.

- Defendants charged with crimes against persons and defendants with histories of failure to appear - especially young men charged with A misdemeanors - should be targeted for more intensive supervision, including AICs, Day Incarceration Centers⁷ and Bail contract programs. Older defendants charged similarly should be targeted for supervision by Bail Commissioners.

⁷ Day Incarceration Centers (DICs) are more intensive non-residential programs requiring 9 hours per day of direct supervision with either supervised housing or electronic monitoring in the evenings - in effect a 24 hour supervision program. Currently, the DIC's focus is sentenced offenders, however a pilot program is under way with pretrial defendants in Bridgeport.

●Chronic and petty misdemeanants (who are responsible for most of the new arrests and failures to appear) should be targeted for AIC monitoring or specialized programming. Defendants charged with crimes against persons (e.g., Assault 3) had the highest rates of non-appearance, while defendants charged with public order crimes (e.g., breach of peace, criminal trespass) had moderate rates of both new arrests and failures to appear .

4. Substance abusers would benefit from an expansion of AIC residential capacity, electronic monitoring, and other intensive supervision mechanisms designed to reduce the number of new arrests. The AIC clients discharged with the highest rates of successful program completion were those charged with substance offenses. The AICs have developed more of their monitoring and programming for this population than any other. These defendants are not significantly more likely than those supervised by Bail Commissioners to be arrested on new charges, and are significantly less likely to fail to appear in court. They are also the least likely of the AIC clients to commit program violations.
5. Bail contract programs should be expanded to more sites. Defendants who reported to these programs had relatively low rates of both new arrests and failure to appear; and the Bail contract programs' clients were facing relatively serious charges.
6. Expanded specialized culturally sensitive programming is important for this population, and could further reduce rates of program and criminal violations. For example, Latinos had lower rates of violations in bail contract programs with higher proportions of Latino staff, than they did in AICs in general.
7. Follow-up, longitudinal study of this population is warranted to determine the extent of the jail bed and cost savings provided by community supervision pretrial release programs in the longer term.

OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER SERVICES

APRIL 1992

BACKGROUND AND SPECIFICATION SECTION

<u>CONTENTS</u>	<u>PAGE</u>
AIC <u>PROGRAM DESCRIPTION</u>	BSS 1-3
FY 92/93 SLOT ALLOCATION	BSS-4
REQUIRED SPECIFICATIONS	BSS-5
JOB SPECIFICATIONS	BSS 6-17
INDIVIDUAL AIC SPECIFICATIONS	BSS 18-52

DO NOT INCLUDE THIS PAGE OR ANY OF THIS SECTION IN
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OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER SERVICES

APRIL 1992

BACKGROUND AND SPECIFICATION SECTION

<u>CONTENTS</u>	<u>PAGE</u>
AIC <u>PROGRAM DESCRIPTION</u>	BSS 1-3
FY 92/93 SLOT ALLOCATION	BSS-4
REQUIRED SPECIFICATIONS	BSS-5
JOB SPECIFICATIONS	BSS 6-17
HARTFORD AIC SPECIFICATIONS	BSS 19-20
NEW BRITAIN AIC SPECIFICATIONS	BSS 21-22
MANCHESTER AIC SPECIFICATIONS	BSS 23-24
BRISTOL AIC SPECIFICATIONS	BSS 25-26
TORRINGTON AIC SPECIFICATIONS	BSS 27-28
DANBURY AIC SPECIFICATIONS	BSS 29-30
NEW LONDON AIC SPECIFICATIONS	BSS 31-32
WILLIMANTIC AIC SPECIFICATIONS	BSS 33-34
ENFIELD AIC SPECIFICATIONS	BSS 35-36
DERBY AIC SPECIFICATIONS	BSS 37-38
WATERBURY AIC SPECIFICATIONS	BSS 39-40
BRIDGEPORT AIC SPECIFICATIONS	BSS 41-42
STAMFORD AIC SPECIFICATIONS	BSS 43-44
NORWALK AIC SPECIFICATIONS	BSS 45-46
MERIDEN AIC SPECIFICATIONS	BSS 47-48
NEW HAVEN AIC SPECIFICATIONS	BSS 49-50
MIDDLETOWN AIC SPECIFICATIONS	BSS 51-52

OFFICE OF ADULT PROBATION

ALTERNATIVE INCARCERATION CENTER PROGRAM

Program Description

The Alternative Incarceration Center (AIC) is a community based program which provides supervision and services to accused and court sentenced individuals age 16 and above. The goal of the program is to provide an alternative to those individuals who, if not for the availability of such a service, would otherwise be incarcerated. AIC supervision entails a client's daily personal and/or telephone contact with staff, employment assistance and counseling, educational and vocational training, drug and alcohol counseling and urinalysis, community service, individual, family or group counseling, recreation, life skills assistance, referral for specialized services and evaluation/assessment for sentence planning.

This program helps to reduce both pre-trial and sentenced populations at correctional facilities by providing an alternative to incarceration through strict, daily monitoring and the provision of ancillary services. Immediate reporting of program non-compliance to the referring agency is required. It is expected that clients will be supervised closely at least several hours per day at the AIC where they may be engaged in program services or simply be monitored for whereabouts, be involved in community service activities and/or be seen by a Case Manager.

Client groups served by AICs include:

- 1) Accused individuals in pre-trial status who would otherwise have remained confined in lieu of bond.
- 2) Individuals for whom participation in an AIC program represents a court imposed sentence, in lieu of incarceration.
- 3) Individuals in need of AIC supervision as a condition of Supervised Home Release, and
- 4) Individuals requiring AIC supervision in lieu of reincarceration as the result of a probation or an SHR violation.

The conditions of commitment to the AIC are determined by an individual's criminal justice status, the needs of the individual and the level of supervision necessary to ensure public safety. The program has standard conditions but additional requirements may be imposed by the Court or referring agent.

When an Alternative Incarceration Center commitment is imposed, an orientation by line staff is provided to the client. The client must sign a document listing all the conditions of his/her AIC commitment including any court imposed conditions (see enclosed copy). Communication concerning client performance is conveyed to appropriate persons via phone contact, written reports and/or personal contact. It is expected that new referrals will be escorted or directed to the AIC immediately from their Court appearance.

The concept of making restitution through the performance of community service is a major component of AIC philosophy. AICs are encouraged to develop meaningful, visible projects within their local communities in which clients can participate. OAP offers assistance to the AIC with efforts to develop this program and secures State properties in disrepair through the Departments of Housing, Environment Protection and Public Works as project sites.

When a client fails to comply with general or individual conditions of the program, the AIC will respond through a series of increasingly structured responses. This may include a meeting of the client, AIC staff and the bail, probation or parole officer. A misconduct report may also be issued. The client may be required to report to the AIC program more frequently, submit to more frequent urinalysis or treatment or, upon the approval of the referring agent, enter an inpatient treatment program. All incidents of misconduct are documented by AIC staff.

When an AIC wishes to negatively terminate a client from their program, a Revocation Letter is completed which includes the reasons for revocation with specific citation to the condition(s) violated. This letter is made available in the court files prior to the client's appearance in court and/or provided to bail, probation or parole staff. The final decision regarding revocation is left to the Court's determination.

The Alternative Incarceration Centers are encouraged to develop and/or expand residential services for their clients. There are currently four (4) residential AIC facilities available. They are available in Hartford, New Haven, Middletown and Waterbury. Residential beds in these cities may be used by any AIC in the State. Placement in the residential AIC may be an appropriate sanction for a non-compliant day reporting client.

There are presently sixteen (16) Alternative Incarceration Centers throughout the state which are funded and managed by the Judicial Branch, Office of Adult Probation. A seventeenth site will be added beginning July 1, 1992 (see FY 92/93 SLOT ALLOCATION table - on BSS-4).

AIC _____

ALTERNATIVE INCARCERATION CENTER CONDITIONS OF PARTICIPATION

<input type="checkbox"/> <u>Pre-trial</u>	<u>Sentenced:</u>	<u>Correction:</u>
	<input type="checkbox"/> Court	<input type="checkbox"/> SHR
	<input type="checkbox"/> AIP	<input type="checkbox"/> Alternative SHR Revocation
	<input type="checkbox"/> Alternative Probation Revocation	<input type="checkbox"/> Parole

I, _____, agree to:

- Report to the AIC at least three (3) times each week if employed or attending school, or five (5) times each week if unemployed or not attending school, or as requested by the AIC staff.
- Actively engage in an educational program and/or work on a full-time basis, or cooperate with the AIC in obtaining and holding employment on a full-time basis.
- Undergo Substance abuse testing as directed, and participate in substance abuse counseling as required by the AIC.
- Notify the AIC staff of any changes in address and/or employment status within 24 hours.
- Obey the AIC's written regulations as explained and provided to me.
- Call the AIC as follows: _____
and as directed.
- Perform _____ hours of community service.
- Follow these additional conditions: _____

I understand that if I do not follow these conditions, the Alternative Incarceration Center will recommend that I be terminated from the AIC.

I have read, or have had read to me by an AIC staff person, the above conditions and I understand them.

_____ Client's Signature	_____ Date	_____ AIC Authorized Signature	_____ Date
-----------------------------	---------------	-----------------------------------	---------------

Signature of Parent/Guardian if client is under age 18 Date

DISTRIBUTION: Original = AIC file, Copy 1 = Client, Copy 2 = Court Clerk's file,
Copy 3 = Bail/Probation/Correction, Copy 4 = Other court official

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM
FY 92/93 SLOT ALLOCATION**

AREA	SLOTS FUNDED		
	END OF FY 91/92	EFFECTIVE 7/1/92	EFFECTIVE 1/1/93
HARTFORD	155	175	200
NEW BRITAIN	105	100	100
MANCHESTER	50	50	75
BRISTOL	-0-	50	50
TORRINGTON	35	50	75
DANBURY	65	75	100
NEW LONDON	75	75	100
WILLIMANTIC	60	75	100
ENFIELD	60	75	75
DERBY	60	75	100
WATERBURY	125	125	175
BRIDGEPORT	130	175	200
STAMFORD	60	75	75
NORWALK	60	75	75
MERIDEN	30	50	50
NEW HAVEN	115	150	175
MIDDLETOWN	75	75	100
17 AREAS	1260	1525	1825

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM
REQUIRED SPECIFICATIONS**

STAFFING PATTERN

<u>PAID POSITION TITLE</u>	<u># STAFF/PER # SLOTS</u>
o Program Coordinator/Director	1 per program
o Supervising Case Manager	1 per 100 slots
o Case Manager	1 per 25 slots
o Court Liaison	1 per program and 1 per ea 100 slots over 100
o Substance Abuse Counselor	1 per program and 1 per ea 100 slots over 100
o Vocational/Educational Developer	1 per 100 slots
o Community Service Supervisor	1 per program and 1 per ea 100 slots over 100
o Operations Assistant	1 per 100 slots
o Secretary/Receptionist	1 per program
o Student Intern	1 per program and 1 per ea 100 slots over 100

TRANSPORTATION PATTERN

<u>VAN (CENTRALIZED LEASING)</u>	<u># PER # OF SLOTS</u>
o 12 passenger - lease = \$7,000/yr - Ins. = 3,000/yr - Fuel = 1,000/yr	1 per ea 50 slots

LABORATORY URINALYSIS

CENTRALIZED LAB SERVICE

- o \$125 per slot per year

JOB SPECIFICATIONS

The following eleven (11) pages describe the job duties, accountability, qualifications and interchangeability for each paid position within the AIC.

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Program Coordinator/Director

PRIMARY DUTIES

- o supervise and train all AIC personnel
- o comply with all funding and reporting requirements
- o assist in hiring and terminating staff
- o develop procedures and policies regarding supervision and monitoring of clients
- o approve all case management activities
- o develop community resources
- o develop and coordinate community service activities
- o develop program public relations/informational materials
- o participate in community educational activities
- o organize, implement and supervise AIC programming
- o evaluate staff performance
- o interact with other criminal justice agencies
- o perform community service work crew supervision

ACCOUNTABILITY

- o Report directly to sponsoring agency Supervisor and/or Executive Director

REQUIREMENTS/QUALIFICATIONS

Four year degree, preferably in the Social Science field and at least three years supervisory experience in the Criminal Justice or Social Work system.

Good written and verbal skills. Knowledge of court system and local community resources.

INTERCHANGEABILITY

Perform duties of all other AIC staff as required.

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Supervising Case Manager

PRIMARY DUTIES

- o perform all case manager duties
- o assist in the hiring of AIC staff
- o supervise and evaluate case manager performance
- o assume duties of Program Coordinator/Director as required
- o monitor case management plans and activities
- o provide training and technical assistance to case management staff
- o review and approve case managers inter-agency communications
- o review client files and evaluate and approve casenote entries and documentation
- o supervise urinalysis collection
- o perform community service work crew supervision

ACCOUNTABILITY

- o Report directly to Program Coordinator/Director

REQUIREMENTS/QUALIFICATIONS

Four year degree, preferably in the Social Science field and two years experience in case management and staff supervision. Counseling background preferred or demonstrated knowledge of group facilitation and the social service referral system.

INTERCHANGEABILITY

Perform duties of all other AIC staff as required, serve as Acting Program Coordinator/Director when designated.

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Case Manager

PRIMARY DUTIES

- o Interview clients on and off site as required
- o assess and evaluate client needs
- o develop case supervision plan for each client and incorporate all special needs
- o coordinate client referrals with social service system and other community support services
- o monitor and document client progress and adherence to supervision plan including daily case file entries and urinalysis collection
- o provide reports to criminal justice referring agencies
- o provide individual intervention and facilitate groups
- o perform community service work crew supervision

ACCOUNTABILITY

- o Report directly to Supervising Case Manager or Program Coordinator/Director

REQUIREMENTS/QUALIFICATIONS

Four year degree in Human Services or related field or two year degree and at least two years experience in social work on criminal justice.

Knowledge of criminal justice and court systems. Ability to interact with people of diverse backgrounds. Some counseling background preferred.

INTERCHANGEABILITY

Performs duties of all other AIC staff as requested, serve as acting Supervising Case Manager or Acting Program Coordinator/Director when designated.

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Court Liaison

PRIMARY DUTIES

- o Assess appropriateness of court referred individuals for participation in the AIC program.
- o Coordinate with local bail commissioner the identification of potential clients. Spend majority of work time in court to receive referrals who are awaiting trial or sentenced to AIC.
- o Interview prospective participants detained in jail/prison to determine suitability for AIC participation.
- o Develop and maintain networking relationships with court personnel to insure acceptance and use of AIC services.
- o Maintain current knowledge of all AIC rules, program offerings and statewide AIC capabilities in order to accurately inform the court about the AIC system's abilities.
- o Receive and disseminate written documentation from AIC to court.
- o Act as agency representative in court to clearly communicate participant's progress or failure.
- o Maintain statistics and other pertinent information regarding participants referred to AIC.
- o Perform community service work crew supervision.

ACCOUNTABILITY

Report directly to Project Coordinator/Director.

REQUIREMENTS/QUALIFICATIONS

A Bachelor's Degree in social science field plus 2 years experience in the field of human services or an Associate Degree in social science plus 4 years experience in human service field. Excellent oral and written communication skills. Bilingual (English/Spanish) ability helpful.

INTERCHANGEABILITY

Perform duties of all other AIC staff as required, serve as Program Coordinator/Director when designated.

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Substance Abuse Counselor

PRIMARY DUTIES:

- o Assess clients for substance abuse and prepare evaluation report.
- o Refer clients to appropriate treatment modality based on assessment.
- o Coordinate urine specimen collection and testing protocol of AIC.
- o Assess all new intakes to determine presence and extent of substance abuse history.
- o Recommend treatment plans for clients to case managers or criminal justice officials.
- o Provide and document individual counseling for assigned caseload.
- o Develop and document plans that addresses the needs of substance abuse client population including broad based community support.
- o Provide educational information and referral to outside agencies for families/significant others of substance abuse population.
- o Initiate referrals and maintain contacts with outside agencies involved in treatment of substance abuse population.
- o Conduct support group meetings for substance abuse population.
- o Complete substance abuse related documentation and maintain client files and statistics.
- o Maintain and disseminate listings of AA, NA, CA or ACOA area meetings.
- o Complete monthly progress reports and closing/discharge summaries.
- o Perform community service work crew supervision.

ACCOUNTABILITY

- Report directly to Project Coordinator/Director or Supervising Case Manager.

REQUIREMENTS/QUALIFICATIONS

Bachelor's Degree in social service field plus at least 2 years experience in the field of substance abuse treatment. CAC and/or CDC certification preferred. If recovering, a minimum of five years continuous abstinence is required.

Excellent oral and written communication skills. Bilingual (English/Spanish) ability helpful. Must be willing to work towards state certified substance abuse counselor status or be close to obtaining certification.

INTERCHANGEABILITY

Perform duties of all other AIC staff as required, serve as Acting Supervising Case Manager or Acting Program Coordinator/Director when designated.

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Vocational/Educational Developer

PRIMARY DUTIES

- o Asses AIC clients level of vocational/educational needs.
- o Establish Voc/Ed. programs (eg: Literacy Volunteers, Junior Achievement, tutorial program) and establish working relationship with schools, alternative education centers and DRS.
- o Coordinate job readiness, contacts with employers and school officials, and probation/parole officers to establish comprehensive networking for AIC Voc/Ed needs of clients.
- o Receive client referrals and perform initial Voc/Ed intake assessment.
- o Contact and arrange for guest speakers/group facilitators for workshops on job readiness, life coping skills, personal development, etc.
- o Conduct public relation/speaking engagements and advocate for fair Voc/Ed treatment opportunities for offenders.
- o Maintain records and complete reports as required.
- o Perform community service work crew supervision.

ACCOUNTABILITY

Report directly to Supervising Case Manager or Project Coordinator/Director.

REQUIREMENTS/QUALIFICATIONS

Bachelor's Degree Education or related field and 2 years experience in social science field. Knowledge of community resources and supervisory skills. Excellent oral and written communication skills. Bilingual ability helpful.

INTERCHANGEABILITY

Perform duties of all other AIC staff as required, serve as Acting Supervising Case Manager or Acting Program Coordinator/Director when designated.

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Community Service Supervisor

PRIMARY DUTIES

- o develop community service projects
- o implement public relations/awareness activities
- o coordinate and schedule client assignments to community service projects
- o assess transportation, insurance and equipment needs and recommend budget and work schedules
- o verify and document completion of community service hours.
- o supervise client activities at work sites
- o provide programmatic and statistical reports as required
- o coordinate transportation, meals and emergency situation response at community service sites.

ACCOUNTABILITY

Report directly to Supervising Case Manager or Program Coordinator/Director

REQUIREMENTS/QUALIFICATIONS

High school diploma and two years experience working in community based projects or two year degree in human services or related field. Good time management and organizational skills required. Must be able to motivate and interact with clients. Valid driver's license. May be required to obtain Class A drivers license.

INTERCHANGEABILITY

Perform duties of Operations Assistant as required.

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Operations Assistant

DUTIES

- o Monitor arrival and departure of AIC clients during program operation hours (including weekend and evenings).
- o Secure building on Saturday and holidays as required.
- o Ensure that all clients entering the building "sign-in" and "out".
- o Report any incidents related to client reporting or misbehavior to Project Coordinator or Supervisor and/or proper authorities.
- o Document incident/action in case record.
- o Supervise clients during community service placements.
- o Provide client transportation as required.
- o Perform general custodial duties (eg: maintaining supplies and arranging for repairs) and answer telephone as needed.

ACCOUNTABILITY

Report directly to the Supervising Case Manager or Coordinator/Director. May be assigned to community service supervisor.

REQUIREMENTS/QUALIFICATIONS

High school diploma and 1-2 years experience in building maintenance/security. Valid driver's license.

Ability to interact with the AIC program participants; evidence of emotional maturity and stability; willingness to accept flexible work hours; evidence of judgment ability in handling crisis situations; good physical condition.

INTERCHANGEABILITY

Perform duties of Community Service Supervisor when designated.

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Secretary/Receptionist

PRIMARY DUTIES

- o Operate personal/office computers
- o type and file program materials
- o prepare program forms
- o purchase and manage office supplies and equipment
- o maintain personnel records
- o provide telephone coverage including screening calls and documenting messages
- o maintain client attendance log
- o attend meetings and record minutes
- o provide office management and maintain central filing system
- o maintain and update statistical and program information
- o provide facility coverage as required
- o supervise support staff as directed (volunteer clerks, interns, custodial and community service on site)

ACCOUNTABILITY

Reports directly to Supervising Case Manager or Project Coordinator/Director but take daily direction from all other AIC staff except student intern.

REQUIREMENTS/QUALIFICATION

High School diploma and demonstrated capability to perform clerical duties as described.

INTERCHANGEABILITY

- o None

**OFFICE OF ADULT PROBATION
ALTERNATIVE INCARCERATION CENTER PROGRAM**

TITLE: Student Intern

PRIMARY DUTIES:

- o learn about the criminal justice process, especially community corrections and the role of the AIC.
- o assist all other AIC staff in their primary duties as assigned/requested.
- o perform community service work crew supervision.
- o transport clients as assigned.

ACCOUNTABILITY

Report directly to Program Coordinator/Director or to staff person assigned supervision role.

REQUIREMENTS/QUALIFICATIONS

Must be currently actively enrolled in four year college degree program in criminal justice or related field of study and be on educational or work experience release such as a cooperative program or on summer leave between academic years.

INTERCHANGEABILITY

Perform duties of any other AIC staff person upon direct assignment only. A student intern will be exposed to all AIC staff functions but not on a fully interchangeable basis, ie: they must work along with the AIC staff person rather than instead of the staff person.

INDIVIDUAL AIC SPECIFICATIONS

The following thirty-four (34) pages contain the slots to be funded information, position allocations required, estimated costs and mandatory budget inclusions for each AIC to be funded in Connecticut during FY 92/93. Each AIC's specification is two pages, the order corresponds to the AIC list on page BSS-4.

HARTFORD AIC

I. SLOTS TO BE FUNDED

- A. Effective 7/1/92 = 175
- B. Effective 1/1/93 = 200
- C. Effective 7/1/93+ = To Be Negotiated

II. POSITION ALLOCATION REQUIREMENTS

A. Effective 7/1/92:

- o 1 (one) Program Coordinator/Director
- o 1 (one) Supervising Case Manager
- o 7 (seven) Case Managers
- o 1 (one) Court Liaison
- o 1 (one) Substance Abuse Counselor
- o 1 (one) Vocational/Educational Developer
- o 1 (one) Community Service Supervisor
- o 1 (one) Operations Assistant
- o 1 (one) Secretary/Receptionist
- o 1 (one) Student Intern

B. Effective 1/1/93 add the following to II. A.

- o 1 (one) Supervising Case Manager
- o 1 (one) Case Manager
- o 1 (one) Court Liaison
- o 1 (one) Substance Abuse Counselor
- o 1 (one) Vocational/Educational Developer
- o 1 (one) Community Service Supervisor
- o 1 (one) Operations Assistant
- o 1 (one) Student Intern

III. COST (FY 92/93)

Estimated overall project Cost using \$4,000 annual average cost per slot:

175 X 4,000	=	700,000
25 X 2,000	=	<u>50,000</u>
TOTAL	=	\$750,000

IV. MANDATORY INCLUSIONS

A. VAN

	# OF VANS = 3 7/1/92 TO 6/30/93	# OF VANS = 1 1/1/93 TO 6/30/93	TOTAL
- LEASE (line item 17.)	21,000	3,500	24,500
- INSURANCE (line item 12.)	9,000	1,500	10,500
- FUEL (line item 8.)	3,000	500	3,500
TOTAL	33,000	5,500	38,500

B. URINALYSIS

- laboratory contract (line item 3.) TOTAL = \$23,438

- Based on:

175 slots X \$62.50 (7/1/92 - 12/31/92) = \$10,938

200 slots X \$62.50 (1/1/93 - 6/30/93) = \$12,500

C. TRAINING PROGRAM

- 1 per AIC Program (line item 7.) TOTAL = \$ 5,000

D. COMPUTERIZATION STUDY

- 1 per AIC Program (line item 3.) TOTAL = \$ 2,000

E. STUDENT INTERN PROGRAM

- Salary (line item 1.) TOTAL = \$22,250

- Based on:

2,250 intern hours @ \$10/hr.

Maricopa County, Phoenix, Arizona

Supporting Documents

D.R.C. COMPLIANCE AGREEMENT

1. I understand that the Day Reporting Center (D.R.C.) is a jail furlough program. I shall conduct myself in accordance with the laws, terms of probation and the rules of the D.R.C. program. Failure to comply could result in my return to the Maricopa County Jail.
2. In the event of an emergency, any unforeseen difficulty or change of schedule I shall contact a D.R.C. staff member immediately.
3. At all times I shall carry a state-approved identification card.
4. I understand that I am required to complete a daily schedule, approved by the D.R.C. staff. If I leave from or fail to report to any location such as place of employment, education, counseling, or home without authorization of the D.R.C. staff, I may be considered as missing from the program which could result in termination from the program and possible probation violation proceedings.
5. I shall travel directly to my approved destination with no stops or detours along the way.
6. I understand that my place of residence must be approved and is subject to frequent verification. Failure to be at said residence during designated times may be considered a major violation. I agree to be accessible to any staff member(s) of the D.R.C. who, as a part of their job, attempt to contact me whether in person or by telephone. I also grant authorization of any probation or surveillance officer to search myself or my property.
7. I shall not use illegal drugs, illegal substances or alcohol while in the program. I shall get permission from my supervision team prior to taking any prescribed or over-the-counter medication. I also understand that I shall be subject to drug and alcohol testing.
8. I shall not possess, control, or own any firearm, ammunition, explosive, deadly weapon, or prohibited weapon.
9. I understand that I am responsible for providing my own transportation, public or private and that the D.R.C. staff must approve all transportation arrangements including vehicle, driver and route. I shall not operate a motor vehicle without first providing D.R.C. staff with a copy of my valid Arizona Driver's License, proof of insurance, current registration and complete vehicle description. I shall drive no other vehicle without prior approval of the D.R.C. staff.
10. Other than for authorized D.R.C. functions, I understand that while on furlough I may not associate with or contact in any manner any person known to have a criminal record without prior approval of the supervision team.
11. If I am sick or otherwise unable to work or report to the D.R.C., I shall notify and obtain approval from D.R.C. staff. If working I shall notify my employer in accordance with the rules of my place of employment.
12. I shall advise any current and/or prospective employer of my involvement with the D.R.C.
13. I authorize release and/or exchange of pertinent information between the D.R.C. and employers, prospective employers, and any program(s) of assistance as necessary to monitor my program performance and discuss my current status.
14. I shall not enter into any civil contract or incur any indebtedness without the approval of my D.R.C. supervision team.
15. I understand that I am required to inform D.R.C. staff of any charges pending against me, including traffic matters. I agree to appear as scheduled for all court hearings.
16. I understand that any acts or threats of violence by me to any person may result in my removal from the program.
17. I shall attend any program of assistance, including participation in the Community Restitution Program, as directed by the D.R.C. staff.
18. I understand that there is a charge of one hour's gross wage per day, plus a \$1.00 per day administrative fee to be a participant in the D.R.C. The full payment I shall be responsible for paying will be determined by my ability to pay and a financial evaluation completed by D.R.C. staff. S.T.E.P participants will pay a monthly probation service fee as ordered by the Court.

I have read and/or have had explained to me fully, and understand the above rules and regulations and agree to abide by them fully. I understand that any deviation may result in my removal from the program. I have received a copy of this agreement.

Client Signature

Date

D.R.C. Staff Signature

Date

WEEKLY SCHEDULE

NAME: _____ EMPLOYER: _____

DATE							
TIME	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY	SUNDAY
12:00 a.m.							
1:00							
2:00							
3:00							
4:00							
5:00							
6:00							
7:00							
8:00							
9:00							
10:00							
11:00							
12:00 p.m.							
1:00							
2:00							
3:00							
4:00							
5:00							
6:00							
7:00							
8:00							
9:00							
10:00							
11:00							
12:00 a.m.							

TT = Travel Time C = Church _____ = _____
 W = Work GS = Grocery Store _____ = _____
 L = Laundry Mat O = Office _____ = _____
 S = School M = Medical _____ = _____
 H = Home



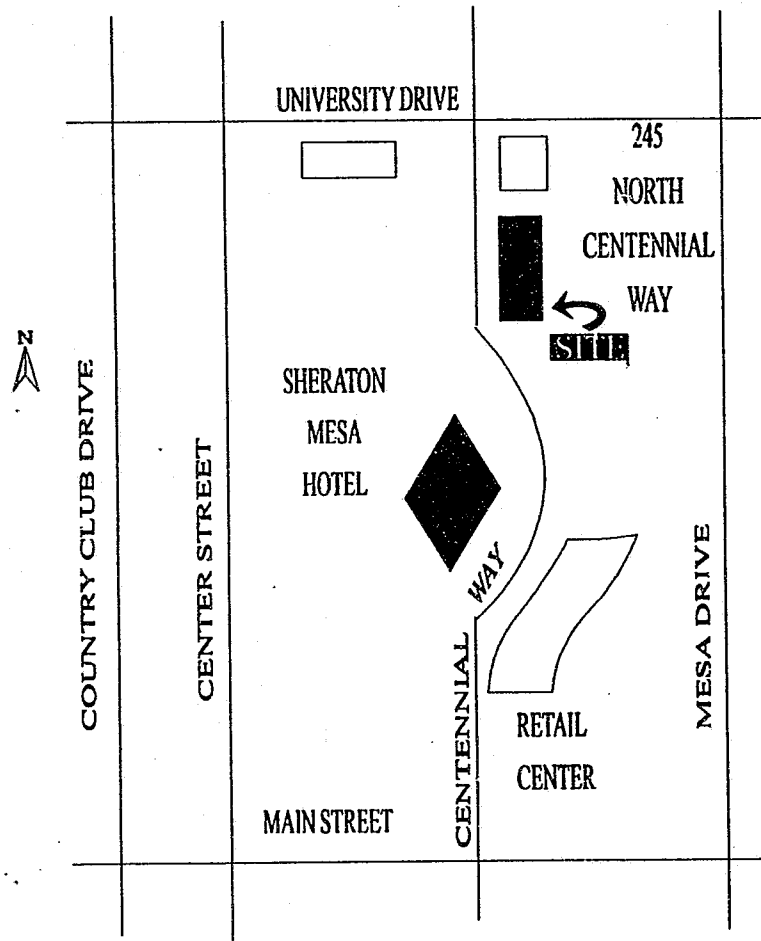
MARICOPA COUNTY ADULT PROBATION DEPARTMENT
DAY REPORTING CENTER

This is to certify that _____ has
completed the Maricopa County Adult Probation Day Reporting Center
Program and has fulfilled the jail term imposed by the Maricopa County
Superior Court.

Date

Robert J. Cherkos

Robert J. Cherkos, Supervisor



Day Reporting Center

CLIENT HANDBOOK

Maricopa County Adult Probation
Service Center
245 North Centennial Way
Mesa, Arizona 85201
(602) 461-4500

CONTENTS

- I. Introduction/Program Description.
- II. Rules and Regulations.
- III. Programs.
- IV. Phase System.
- V. Important Phone Numbers.
- VI. Common Questions.

MISSION STATEMENT

The mission of the Maricopa County Adult Probation Department Day Reporting Center is to furlough selected offenders from incarceration into a program of strict community supervision and structured reintegration services.

PHONE NUMBERS

Day Reporting Center	461-4500
Probation Officer	_____
Surveillance Officer	_____
_____	_____
_____	_____
_____	_____

COMMON QUESTIONS

May I have visitors at home? *Yes, providing you are not violating the terms of your probation or the rules of the DRC. It's always a good idea to let your supervision team know ahead of time who will be visiting you.*

Can I have family attend counseling? *This depends on the kind of counseling you are in. Some group meetings are open to everyone; others are only for those receiving counseling. In many instances, it is very important for other family members to attend the counseling with you. It is always best to ask the counselor in advance.*

May I go on errands? *All errands must be pre-approved by your supervision team and be on your daily schedule.*

If I live in an apartment complex, may I go to the laundry or exercise area? *This is a common request and is often granted. Remember, it must be a planned activity and on your schedule.*

May I leave town for any reason? *No. You are still considered to be in custody. The only way this can be granted is by court order for the most extreme emergency.*

May I attend religious services or my child's school function? *This is often considered an important part of returning to the community and family. This activity must be pre-approved by your supervision team.*

Some other common questions concern moving, transportation, payments, etc. Be sure to discuss them with your supervision team before it becomes a problem.

PHASE SYSTEM

Phase I: Orientation.

This phase begins on the first day that you are in the program and generally lasts one to two weeks. On the first day, you will be given an orientation to the Day Reporting Center and be assigned a supervision team. You will also be given a Program Compliance Agreement to sign.

During Phase I you must report in person every day that the Day Reporting Center is open. You will learn how to complete a daily and weekly schedule. And, a plan will be developed outlining the goals to be achieved while you are in the program.

Phase II: Program

Phase II is the heart of the Day Reporting Center program. Your plan, which was designed during Phase I, will be put into action. This most likely will include: counseling; community restitution; education; job search; or employment. You will be required to report to the Day Reporting Center every day, unless otherwise directed by the supervision team.

Phase III: Transition

Phase III takes place during the last two weeks you are in the Day Reporting Center. It is a time to prepare for your transfer to standard or intensive probation supervision. Your performance in the program will be reviewed with your case manager. A report to your new probation officer will be written with recommendations for continued supervision.

Police Contact

When contacted by the police you must inform the officer that you are in the Day Reporting Center. You are to immediately notify the Day Reporting Center staff of your police contact.

Court Appearance

Day Reporting Center staff must be notified of any court appearance prior to attending.

Staff Pagers

Day Reporting Center staff carry pagers for emergency purposes. During orientation you will be instructed in proper use of the pager service.

Do's and Don't's

1. No fighting.
2. No smoking in the County buildings.
3. No disruptive behavior.
4. Be respectful to staff and other participants.
5. Have a cooperative attitude.
6. Be truthful.

Residence

You must have a verifiable and stable residence. It may be possible to meet this requirement at an approved halfway house.

Parking

You may only park in visitor parking.

Community Restitution

All participants will be required to perform community service as approved by the Community Restitution Program and Day Reporting Center staff. The number of hours of community service work that you will be required to do will vary based upon your schedule, your ability, and your overall performance in the program.

Day Reporting Center Staff

There is a variety of staff at the Day Reporting Center -- all are here to help you. All staff are considered part of the supervision team. Failure to follow the instructions of any staff member can be cause for disciplinary action.

Disciplinary Action

Any violation of the rules and regulations of the Day Reporting Center may result in one or more of the following actions: additional assignments; more restrictions; return to jail; or probation violation proceedings.

Grievance Procedures

If you have a problem with a staff member, the best way to resolve it is on an informal basis with that individual as soon as possible. If this is not successful, you may make a written request to meet with the Day Reporting Center Supervisor to resolve the matter.

PROGRAM DESCRIPTION

The Day Reporting Center provides you an opportunity to reside in the community under the strict supervision of the Maricopa County Adult Probation Department. If the Judge has made you eligible to be furloughed and you have sixty (60) days or less to serve in jail, you can be considered for this program.

Acceptance is a privilege. You will be expected to work hard and make positive changes in your life. Our goal is that you gain the skills to successfully complete the Day Reporting Center program, probation, and remain law-abiding.

Remember, your cooperation is needed for you to succeed and give others the chance to participate.

RULES AND REGULATIONS

While in the Day Reporting Center you will be expected to follow all standard and special terms of your probation grant. You must also abide by the special rules of the Day Reporting Center. It is important that you discuss them fully with D.R.C. staff.

D.R.C. Compliance Agreement

Before acceptance into the program you must sign a contract agreeing to follow all the program rules.

Use of Drugs and Alcohol

You are not allowed to use illegal drugs, substances, or alcohol while in the program.

Medication

Before taking any prescribed or over-the-counter medication you must first get permission from a Day Reporting Center officer. All prescriptions for medication must be verifiable.

Urinalysis and Breathalyzer

Random drug and alcohol testing is part of the Day Reporting Center. Testing may be required prior to acceptance into the program.

Medical Emergencies

All medical emergencies must be reported as soon as practical.

Check In/Call in Procedure

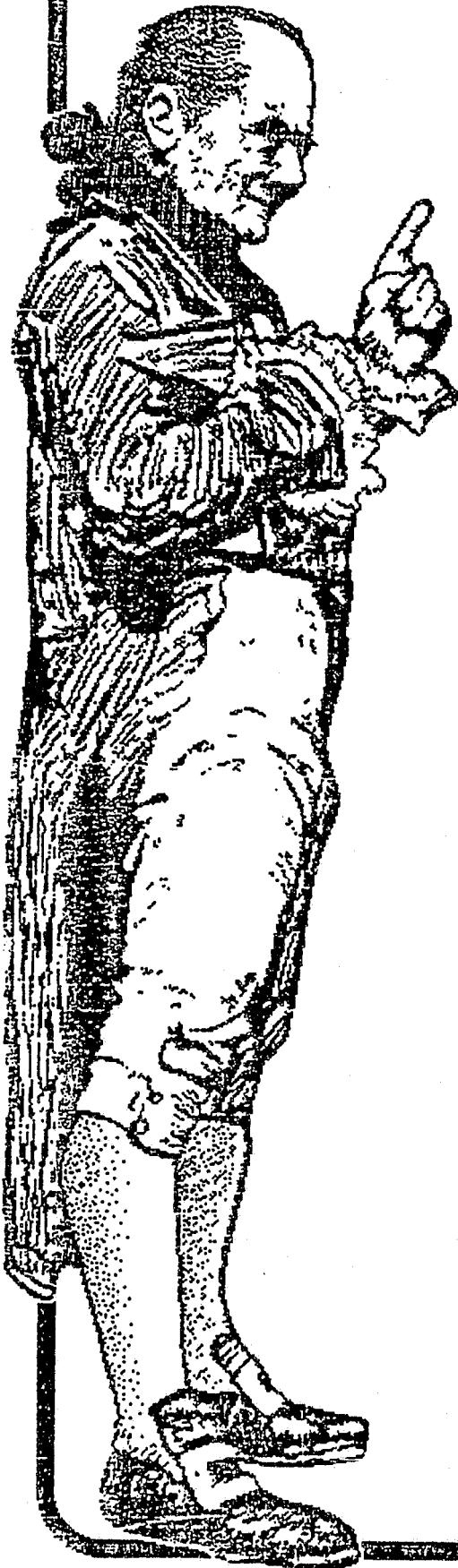
Each time you report to the Day Reporting Center, you must first sign in at the Reception Area. Proper dress, including shirt and shoes, is required.

When calling in with a change of schedule, you must talk with the Day Reporting Center staff and inform them of your request. This may or may not be approved.

Notes: _____

DRC KEYS TO SUCCESS

WE JUMP START YOUR LIFE



- 1.....KEEP ALL SCHEDULED APPOINTMENTS FOR THE OFFICE AND YOUR PROGRAMS.
- 2.....NO ALCOHOL!
- 3.....NO DRUGS!
- 4.....WORK 40 HOURS OR DO COMMUNITY SERVICE!
- 5.....NO CURFEW VIOLATIONS!
- 6.....PAGE YOUR S/O WHEN YOU LEAVE AND RETURN: GLEN SCOTT (202-1105)
- 7.....FOLLOW YOUR WEEKLY SCHEDULE. ALL SCHEDULE CHANGES MUST BE APPROVED 24 HOURS IN ADVANCE.
- 8.....NO DETOURS!
- 9.....NO DRIVING WITHOUT VALID LICENSE & INSURANCE!
- 10....NO DOMESTIC VIOLENCE
- 11....PAY YOUR WEEKLY DRC FEES!

DAY REPORTING CENTER
MISSION STATEMENT, MAJOR ACTIVITIES AND PERFORMANCE INDICATORS

THE MISSION OF THE MARICOPA COUNTY ADULT PROBATION DEPARTMENT DAY REPORTING CENTER IS TO FURLOUGH TARGETED OFFENDERS FROM INCARCERATION INTO A PROGRAM OF STRICT COMMUNITY SUPERVISION AND INDIVIDUALLY STRUCTURED REINTEGRATION SERVICES.

MISSION/GOALS

MAJOR ACTIVITIES/METHODS

PERFORMANCE INDICATORS

-furlough targeted offenders

-select, transport clients
 -process paperwork
 -communicate with screens

-# release orders
 -# raw in
 -# raw rejected (post screening)
 -# jail bed days saved

-provide program of strict community supervision

-initiate contacts (office, home, collateral)
 -collect U/A, B/A samples
 -implement, refer, monitor compliance with CRP
 -establish, document, monitor a restrictive itinerary
 -utilize internal sanctions/rewards
 -utilize team approach

-#contacts, type
 -# U/A & B/A tests with result type
 -# CRP hours ordered, completed
 -# itineraries
 -# internal sanctions, type
 -# internal rewards, type
 -# staffings
 -# radio log activity
 -# unsuccessful terminations
 -# types of unsuccessful terminations

-provide individually structured reintegration services

-assess client needs
 -staff with most knowledgeable officer
 -conduct case history
 -interview client
 -implement client to treatment
 -facilitate client movement through three phases

-# CMS Case Plans
 -# CMS Behavioral Concerns, type
 -# educational assessments
 -# staffings with most knowledgeable officer
 -# client interviews (initial, follow-up)
 -# programs, type, variety, frequency
 -# hours in each program component
 (education, vocational, treatment, etc.)
 -# clients newly employed while in program

114

General Client Profile
as of 06-13-1994
DRC and STEP Clients
Page 1 / 2

Males: 797 (84.4%)
Females: 125 (13.2%)

Whites: 573 (60.7%)
Hispanics: 222 (23.5%)
Blacks: 105 (11.1%)
Native Americans: 17 (1.8%)
Asians: 5 (0.5%)
Other Race: 0 (0.0%)

Average Age: 28.8

21 and Under: 215 (22.8%)
22 - 25: 192 (20.3%)
26 - 35: 343 (36.3%)
36 - 45: 135 (14.3%)
46 and Over: 44 (4.7%)

Clients Committing:

Multiple Offenses: 163 (17.3%)
Drug Offenses: 336 (35.6%)
DUI Offenses: 152 (16.1%)
Crimes Against Property: 307 (32.5%)
Crimes Against Person: 69 (7.3%)
Deceptive Practices: 89 (9.4%)
Escape Offenses: 9 (1.0%)
Traffic Offenses: 13 (1.4%)
Other Offenses: 14 (1.5%)

Offense Totals:

Drug Offenses: 377
DUI Offenses: 159
Crimes Against Property: 353
Crimes Against Person: 74
Deceptive Practices: 99
Escape Offenses: 9
Traffic Offenses: 13
Other Offenses: 15

General Client Profile
as of 06-13-1994
DRC and STEP Clients
Page 2 / 2

Clients Showing General Need:

	:	0 (0.0%)
	:	0 (0.0%)
ANGER CONTROL	:	3 (0.3%)
DRC COMPLIANCE/	:	62 (6.6%)
FAMILY ISSUES	:	7 (0.7%)
FINANCIAL PLANN	:	7 (0.7%)
HOUSING ISSUES	:	4 (0.4%)
LITERACY/GED	:	31 (3.3%)
MENTAL HEALTH	:	5 (0.5%)
SUBSTANCE ABUSE	:	92 (9.7%)
VOCATIONAL ISSUES	:	34 (3.6%)
WOMEN'S ISSUES	:	0 (0.0%)

Scheduled Time in Program:

1 - 30 Days:	230 (24.4%)
31 - 60 Days:	446 (47.2%)
61 - 90 Days:	237 (25.1%)
91 - 120 Days:	0 (0.0%)
121+ Days:	22 (2.3%)

Average Scheduled Days: 46.5

Successful Client Profile
as of 06-13-1994
DRC and STEP Clients
Page 1 / 2

Males: 609 (84.0%)
Females: 98 (13.5%)

Whites: 456 (62.9%)
Hispanics: 164 (22.6%)
Blacks: 69 (9.5%)
Native Americans: 13 (1.8%)
Asians: 5 (0.7%)
Other Race: 0 (0.0%)

Average Age: 29.3

21 and Under: 145 (20.0%)
22 - 25: 149 (20.6%)
26 - 35: 272 (37.5%)
36 - 45: 111 (15.3%)
46 and Over: 36 (5.0%)

Clients Committing:

Multiple Offenses: 125 (17.2%)
Drug Offenses: 254 (35.0%)
DUI Offenses: 133 (18.3%)
Crimes Against Property: 222 (30.6%)
Crimes Against Person: 57 (7.9%)
Deceptive Practices: 65 (9.0%)
Escape Offenses: 7 (1.0%)
Traffic Offenses: 8 (1.1%)
Other Offenses: 11 (1.5%)

Offense Totals:

Drug Offenses: 288
DUI Offenses: 139
Crimes Against Property: 256
Crimes Against Person: 60
Deceptive Practices: 72
Escape Offenses: 7
Traffic Offenses: 8
Other Offenses: 11

Successful Client Profile
as of 06-13-1994
DRC and STEP Clients
Page 2 / 2

Clients Showing General Need:

	:	0 (0.0%)
	:	0 (0.0%)
ANGER CONTROL	:	3 (0.4%)
DRC COMPLIANCE/	:	46 (6.3%)
FAMILY ISSUES	:	7 (1.0%)
FINANCIAL PLANN	:	5 (0.7%)
HOUSING ISSUES	:	2 (0.3%)
LITERACY/GED	:	23 (3.2%)
MENTAL HEALTH	:	3 (0.4%)
SUBSTANCE ABUSE	:	73 (10.1%)
VOCATIONAL ISSUES	:	26 (3.6%)
WOMEN'S ISSUES	:	0 (0.0%)

Scheduled Time in Program:

1 - 30 Days:	184 (25.4%)
31 - 60 Days:	359 (49.5%)
61 - 90 Days:	161 (22.2%)
91 - 120 Days:	0 (0.0%)
121+ Days:	16 (2.2%)

Average Scheduled Days: 45.1

Unsuccessful Client Profile
as of 06-13-1994
DRC and STEP Clients
Page 1 / 2

Males: 116 (84.7%)
Females: 17 (12.4%)

Whites: 65 (47.4%)
Hispanics: 39 (28.5%)
Blacks: 28 (20.4%)
Native Americans: 1 (0.7%)
Asians: 0 (0.0%)
Other Race: 0 (0.0%)

Average Age: 27.0

21 and Under: 40 (29.2%)
22 - 25: 31 (22.6%)
26 - 35: 44 (32.1%)
36 - 45: 17 (12.4%)
46 and Over: 2 (1.5%)

Clients Committing:

Multiple Offenses: 26 (19.0%)
Drug Offenses: 48 (35.0%)
DUI Offenses: 8 (5.8%)
Crimes Against Property: 59 (43.1%)
Crimes Against Person: 8 (5.8%)
Deceptive Practices: 18 (13.1%)
Escape Offenses: 1 (0.7%)
Traffic Offenses: 4 (2.9%)
Other Offenses: 2 (1.5%)

Offense Totals:

Drug Offenses: 52
DUI Offenses: 8
Crimes Against Property: 69
Crimes Against Person: 8
Deceptive Practices: 20
Escape Offenses: 1
Traffic Offenses: 4
Other Offenses: 3

Unsuccessful Client Profile
as of 06-13-1994
DRC and STEP Clients
Page 2 / 2

Clients Showing General Need:

	:	0 (0.0%)
	:	0 (0.0%)
ANGER CONTROL	:	0 (0.0%)
DRC COMPLIANCE/	:	16 (11.7%)
FAMILY ISSUES	:	0 (0.0%)
FINANCIAL PLANN	:	2 (1.5%)
HOUSING ISSUES	:	2 (1.5%)
LITERACY/GED	:	8 (5.8%)
MENTAL HEALTH	:	2 (1.5%)
SUBSTANCE ABUSE	:	19 (13.9%)
VOCATIONAL ISSUES	:	8 (5.8%)
WOMEN'S ISSUES	:	0 (0.0%)

Scheduled Time in Program:

-1 - 30 Days:	38 (27.7%)
31 - 60 Days:	54 (39.4%)
61 - 90 Days:	39 (28.5%)
91 - 120 Days:	0 (0.0%)
121+ Days:	5 (3.6%)

Average Scheduled Days: 45.1

Time Actually Served in Program:

1 - 14 Days:	47 (34.3%)
15 - 28 Days:	46 (33.6%)
29 - 42 Days:	28 (20.4%)
43 - 56 Days:	7 (5.1%)
57+ Days:	9 (6.6%)

Average Time In Program: 26.0

Individuals Rejected from Furlough Programs

May 31, 1994

<u>REASON</u>	<u>BOTH</u>	<u>WF</u>	<u>DRC</u>
1 use of weapon/violent offense/ injury to victim	22	0	4
2 juvenile	0	1	0
3 sex offender	2	0	11
4 defendant rejected furlough	5	4	3
5 Court rejected defendant being in furlough	60	0	0
6 hold by other agency/active warrant	7	0	0
7 awaiting residential treatment (per field APO)	109	0	0
8 alien w/out employment authorization	4	0	0
9 unemployed/inappropriate empl.	1	0	0
10 pending new charges	6	0	0
11 hist. of violence/escape risk	1	0	3
12 medical condition restricts jail placement	0	0	0
13 City/JP court defendant	14	0	1
14 under 60 days, soft, and/or no job	23	1	12
15 IPS living outside Tempe, Mesa	0	0	1
16 Delinquent account	0	0	0
17 Transient	0	0	3
18 C.A. objection	0	0	0
19 Terminal Disposition	0	0	0
20 Other	6	0	3
21 Work Furlough R/U	12	0	0
	<hr/>		
TOTAL	272	9	41
2101S			

Hampden County, Springfield, Massachusetts

Supporting Documents

Hampden County, Massachusetts — DRC Rules and Regulations
Three Levels of Rule Violations

Level A Violations (return to confinement)

- 1: Commission of new, non-traffic crime, such as: assault, extortion, sexual misconduct, threatening a staff member, etc.
- 2: Positive urinalysis results or refusal to take a drug test.
- 3: Positive breathalyzer results or refusal to take breathalyzer test.
- 4: Possession of an intoxicating substance.
- 5: Out-of-contact more than 2 hours.
- 6: Driving without a license or approval from DRC staff.
- 7: Violation of program rules.

Level B Violations (loss of privileges for one week)

- 1: Failure to follow scheduled itinerary (more than 1/2 hour early or late).
- 2: Being in an area in the community not specified on itinerary.
- 3: Failure to attend scheduled program.
- 4: Failure to check into the facility as scheduled.
- 5: Being in an unauthorized area in the Day Reporting Center.
- 6: Using foul and abusive language.

Level C Violations (3 violations in 3 months results in loss of privileges)

- 1: Failure to turn in or complete itinerary as scheduled.
- 2: Failure to call in as required.
- 3: Failure to follow itinerary (\pm 15 minutes late or early)
- 4: Failure to respond to electronic monitoring system.
- 5: Failure to take medication/sick call violation.
- 6: Inappropriate behavior.
- 7: Inappropriate language.
- 8: Failure to follow weekly contract.
- 9: Failure to follow most direct route to destination.
- 10: Failure to check mailbox daily.
- 11: Violation of program rules.

HAMPDEN COUNTY SHERIFF'S DEPARTMENT AND CORRECTIONAL CENTER
 MT W T F S S
 DAILY ITINERARY

Name John Smith Date 10/5/93 Phone # 555-1212
150 Main Street 5B Springfield
 address apt. # town

Approved to drive Y N Additional Information: may call to work overtime

Circle letter on left side of Itinerary, stating method of transportation to each activity. B=Bus, W=Walk, D=Drive or R=Ride Leave from: PRC Work Home Time: 7:30 AM

B W D R Name McDonalds From 8:00 A.M. to To 4:00 P.M. Activity A
5 Maple Street Jean Jones
 address town contact person Phone # 333-3333

B W D R Name DRC From 4:30 P.M. to To 5:30 P.M. Activity J
 address town contact person Phone #

B W D R Name Home From 6:00 P.M. to To 7:00 P.M. Activity K
 address town contact person Phone #

B W D R Name A.A. Meeting From 7:30 P.M. to To 8:30 P.M. Activity D
Spencer - Mark Carter
 address town contact person Phone # none

B W D R Name Home From 9:00 P.M. to To 7:30 P.M. Activity K
 address town contact person Phone #

B W D R Name _____ From _____ A.M. to To _____ A.M. Activity _____
 address town contact person Phone #

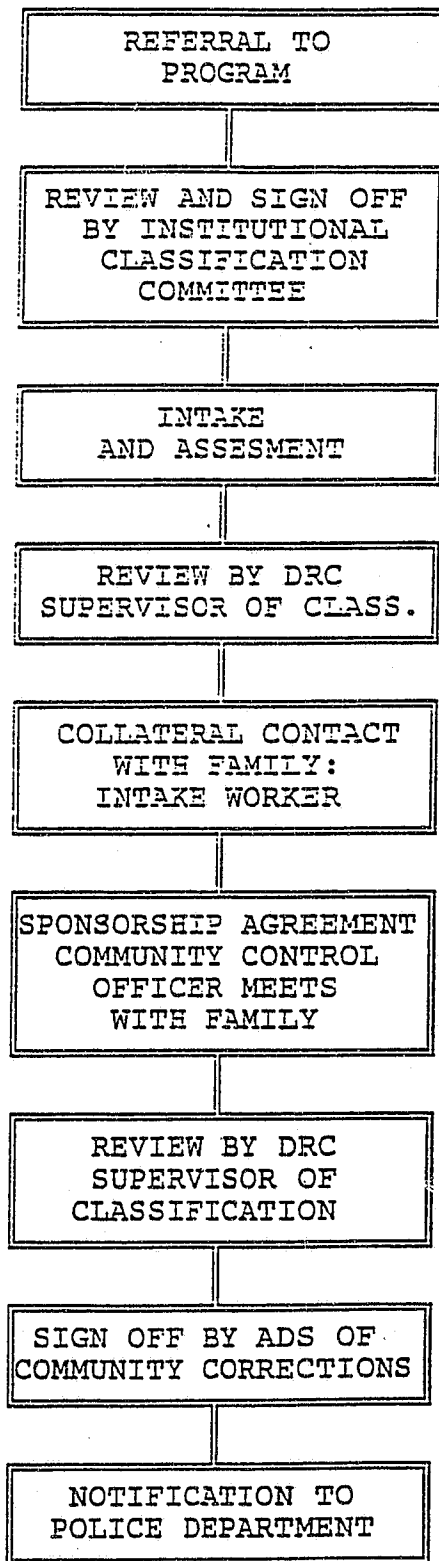
B W D R Name _____ From _____ A.M. to To _____ A.M. Activity _____
 address town contact person Phone #

Call Ins	1.	2.	Phase	C/C Officer
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Check that ringer and line are active. When you are at a location without a phone for more than four hours, a call must be made to the center.

Activity Code:	a. work	b. School	c. Vocational	d. Program
	e. visiting	f. Recreation	g. Medical Services	h. Religious Services
	i. Legal Services	j. Check-in	k. home	
	l. Job Search	M. _____		

REFERRAL AND INTAKE PROCESS



Caseworker Guide [for initial classification]

County - Non Mandatory		
Sentence	Referred By	When
45 days	C4 Orientation to minimum (DRC)	Immediate
2 months	C4 Orientation to minimum (DRC)	Immediate
3 months	C4 Orientation to minimum (DRC)	Immediate
6 months	C4 Orientation to minimum (DRC)	Immediate
9 months	C4 Orientation to minimum (PRC)	Immediate
12 months	C4 Orientation to minimum (PRC)	Immediate
18 months	Caseworker to minimum (PRC)	2 Months Compound
24 months	Caseworker to minimum (PRC)	4 Months Compound
30 months	Caseworker to minimum (PRC)	6 Months Compound

County - Mandatory		
Sentence	Referred By	When
12 months	Caseworker to minimum (PRC)	6 Months Compound
24 months	Caseworker to minimum (PRC)	12 Months Compound

WMCAC - Non Mandatory		
Sentence	Referred By	When
15 months or Less	C4 Orientation to WMCAC	After C4 Orientation
18 months	Caseworker to minimum (PRC)	2 Months Compound
24 months	Caseworker to minimum (PRC)	4 Months Compound
30 months	Caseworker to minimum (PRC)	6 Months Compound

WMCAC - Mandatory		
Sentence	Referred By	When
12 months	Caseworker to minimum (PRC)	3 Months Compound
24 months	Caseworker to minimum (PRC)	18 Months Compound

DoC

After 90 days in the compound and within 18 months of parole eligibility or wrap up date.
 Must be classified as minimum by the Department of Corrections
 Exception: State transfer with pre-approved minimum classification

Boot Camp

All successful graduates of the boot camp program will be immediately transferred to minimum upon return from the Bridgewater Boot Camp.

Exceptions are listed on the next page

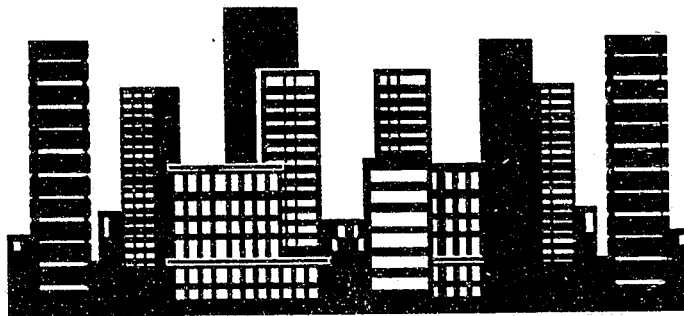
Hampden County Jail and House of Correction

Issues for Special Review and/or Disqualification's

Topic	Minimum	PRC	DRC	WMCAC
Active felony warrant pending	not eligible	not eligible	not eligible	not eligible
Mandatory Sentence	eligible	not eligible	not eligible	eligible
Sex Offender	eligible with Program	not eligible	not eligible	not eligible
Restraining Orders	eligible	eligible	not eligible	eligible
Probate Court	eligible	eligible	eligible w/Judge Approval	eligible
CORI A Petitions	eligible	eligible	not eligible	eligible
Three or more "A" Violations within 6 months	not eligible	not eligible	not eligible	not eligible
Major Disciplinary Violation	Refer after 30 days from the completion of the disciplinary sanction, not the violation date.			
Active Forensic Cases	Eligible if services can be transferred.			
Escape History	Requires Central Classification Board Approval. Must be three years after the incident.			

ABOUT

THE



DAY REPORTING



CENTER

HAMPDEN COUNTY SHERIFF'S DEPARTMENT
MICHAEL J. ASHE, JR., SHERIFF

HISTORY

The Hampden County Day Reporting Center was the first Day Correctional Center in the nation. Patterned after the English "Day Center" the program requires that an individual take ownership of their lives through participation in work, programs, and community service.

The program began in cooperation with the Crime and Justice Foundation in October of 1986. Since the program began operation jurisdiction throughout the county as well as foreign delegation have visited the Center. During its seven plus years of operation the program has had over 1000 participants, only 2 of these participant offenders have committed a new non-violent crime.

MISSION

The Day Reporting Center is a program that allows offenders to reside in the community under the supervision of the Sheriff's Department Staff. The program provides for a structured reentry into the community, with opportunities to obtain gainful employment and treatment.

This program has demonstrated, since October of 1986, that certain, carefully selected offenders can reside in the community and support their families and make significant changes in lifestyle without compromising the safety of their community.

WHO IS ELIGIBLE?

To be accepted into the Day Reporting Program the participant must be screened by Day Reporting Center staff and approved through the Correctional Center Classification Committee. Through this process, staff evaluates the offenders possible threat to the community and willingness to participate in treatment. Past criminal history and institutional behavior are considered when evaluating candidates for entrance into the program. There must be a home plan, and an employment or community service plan. The program targets those offenders sentenced for non-violent crimes.

PROGRAM REQUIREMENT

The Day Reporting Center supervises and counsels men and women who are within six months of a possible parole or sentence termination date. Thus, Day Reporting participants are still serving their sentences in the custody of the Sheriff, they are still incarcerated though not in the traditional sense. Participants have earned their way to the Day Reporting Program to spend the final months of their sentences living at home, working and participating in the community and fulfilling program requirements while being monitored and supported by Day Reporting Center Staff. Participants are required to have a phone at their residence, and also be able to secure transportation to complete program requirements.

ORIENTATION

Once accepted into the program participants are required to participate in all treatment and program activities, as established by their counselor and the Day Reporting Center. To familiarize each participant with program and treatment activities of DRC, all participants must complete a two week orientation. The Orientation process provides an overview of DRC activities which includes; AIDS Education, employment search and counseling, community service introduction, reality therapy, and men's and women's issues. Participants will participate in a therapy group twice per week during orientation.

During the Orientation process each participant will be assigned a counselor, who will work with the participant in developing an individual treatment contract. Requirements include: attendance and high school equivalency (GED) classes, E.S.L., Alcoholics Anonymous (AA) or Narcotics Anonymous (NA) meetings, and community service, depending on the needs of the participant.

FAMILY PARTICIPATION

The Day Reporting Center recognizes the importance of the family and stresses family involvement in many program activities. Day Reporting Center requires that the family participate with the program participant in these activities will be established by DRC staff and counselors.

MONITORING

Participants are required to submit, days in advance, a daily itinerary sheet outlining all destinations for a given day, including names, addresses and phone numbers. This information is reviewed by staff for approval, and is used to plan community checks and program the electronic monitoring computer.

Participants are required to check into one of the Day Reporting Centers once per day, in person. Check-in times are included on the itinerary sheet. The participant is subject to computer calls at both set and random times during the evening hours when they are scheduled to be home.

The Day Reporting Center uses both active and passive system electronic monitoring which involves bracelets that are placed on the participants ankle.

BENEFITS TO THE SYSTEM

Day Reporting offers opportunities for participants to be out in the community maintaining a job, paying taxes, contributing to the support of their families, attending school, participating in rehabilitation programs and avoiding reincarceration.

Day Reporting provides a cost effective option to 24 hour per day traditional incarceration. Day Reporting costs one third the cost of housing within the institution.

"Day Reporting keeps people functioning in the community - paying taxes, holding jobs, attending schools, and avoiding incarceration, the ultimate welfare system" said Peter Kingiger of the International Association of Residential and Community Alternatives in LaCrosse, Wisconsin. He predicts the concept will bloom in the 1990's.

LOCATION

The Day Reporting Centers of the Hampden County Correctional Center are located in urban settings along bus routes that are accessible to our participants population. Seventy-five percent of the participant population live within fifteen miles of these facilities.

TREATMENT

In addition to employment, preparation services are provided by Day Reporting Center staff, these include Substance Abuse, (Alcohol and Narcotics), education classes, one on one counseling, aftercare groups and therapy. The program combines an individualized treatment program with community monitoring of offenders in an effort to provide a comprehensive reintegration plan that allows a participant to obtain full time employment with an evening treatment program while living at home. Participants in the Day Reporting Program attend Alcoholics and Narcotics Anonymous meetings out in the community. Other rehabilitative group activities and professional help are also available in the community

CASE STUDIES: EXPERIENCE FROM THE FIELD

In 1994, researchers visited four day reporting programs, each reflecting common features of DRC's as well as distinct individual characteristics (e.g., large size, state or local level of operation, and co-location of services). This section presents a look at the development and operation of these programs. (These summaries also are included in Volume 1 of this report.)

**Office of Alternative Sanctions
Connecticut Judicial Department
Hartford, Connecticut**

Background and Program Implementation

Day reporting emerged in Connecticut in the early 1980's, as changes in the state's sentencing policies led to jail and prison crowding. In 1981, the State Legislature abolished indeterminate sentences and discretionary parole release, allowing judges to fix prison terms within statutory maximum or minimum limits for convicted felons. Inmates served their fixed terms, without parole release. Under this law, fixed sentences were longer, on average, than the prior prison terms for similar offenders.

As crowding worsened, State policy makers sought ways to reduce prison populations. The Legislature passed an emergency release law in 1985, providing a "safety valve" releasing process when prison populations exceeded capacity, and the Commissioner of Corrections used supervised home release (SHR) — a form of furlough — to reduce crowding. DOC officials also learned at around this time about British Day Centers, an alternative correctional sanction that provided community supervision and treatment services for offenders. Convinced that day reporting could reduce jail and prison crowding, DOC officials contracted with the Connecticut Prison Association (CPA), a private reform and service organization, to plan and implement a pilot day reporting program in Hartford. The center opened in 1985 and was termed an Alternative Incarceration Center (AIC), emphasizing the program's strict surveillance provisions and "get-tough" theme. Judges pushed for the expansion of AIC's into other cities, and by 1989, the DOC had contracted with private vendors to operate seven additional AIC's around the State. By 1994, Connecticut spent about \$8 million on 17 AIC's.

The first AIC's in Connecticut aimed primarily to reduce prison and jail crowding. Accordingly, the early programs recruited clients from three primary sources: (1) state prisoners released on SHR before their minimum parole dates; (2) detainees denied bail and confined in jails while awaiting trial; and (3) offenders sentenced to probation, with participation in AIC as a condition. The secondary objective of the original AIC's was to provide offenders with services and treatment. The vendors

operating these AIC's developed detailed offender eligibility and selection criteria based on analysis of local sentencing patterns, to target individuals who, given past practice, typically would have been confined.

Despite the use of both SHR and the AIC's, prison and jail crowding continued to increase. DOC officials used SHR more frequently and earlier in inmates' prison terms. Although the AIC's recruited most of their clients from SHR, the number of inmates placed on SHR eventually far exceeded the capacity of AIC's. By the end of 1989, about 6,000 inmates were on SHR. Some reportedly served as little as 10 percent of their fixed prison terms before SHR was granted.

Critics argued that the widespread use of SHR undermined the certainty and severity of punishment intended in the 1981 determinate sentencing law. In response to heated debate over the strategies to ease prison crowding, a Commission on Crowding proposed in 1989 to expand prison and jail capacity, to ensure that incarcerated offenders would serve longer terms, and to increase the number and range of alternatives to incarceration, so that confinement sentences would be reserved for serious and habitual offenders.

The Commission's recommendations went into effect in 1990. Two statutory goals were to divert 4,230 offenders from confinement by 1994, and to lengthen the duration of prison sentences actually served (for those with sentences of two or more years) to 50 percent by 1995. Hundreds of millions of dollars were provided to build new prison and jail beds and to expand alternative sanctions. In addition, the Office of Alternative Sanctions (OAS) was created within the Judicial Department and charged with developing a range of non-confinement sentencing options (including AIC's, responsibility for which was taken away from the DOC).

For offenders with prison sentences of two or more years, the 1990 reforms reinstated discretionary parole release after offenders have served half the judicially imposed sentence. A new civilian parole board also was created and directed by law to make releasing decisions based not on prison crowding but on offenders' risk, behavior while confined, need, and merit. For offenders with prison sentences of less than two years, the reforms provided automatic release at 50 percent of maximum term, minus good time. Finally, the reforms abolished SHR for offenders sentenced to prison after 1990. The correctional system at the time of the site visit was operating at its capacity of about 10,000 (which will go up another 1,000 by 1995). However, to continue to operate at or under capacity, the parole board must release 75 to 80 percent of offenders at their initial eligibility. Currently, only about 60 percent are released at their first eligibility.

Purpose and Target Population

The primary purpose of AIC's — to reduce jail and prison populations — has remained the same. However, since 1990 when the newly formed OAS assumed management of day reporting, AIC's no longer admit inmates released early from prison to SHR. However, they continue to accept pretrial defendants denied bail who otherwise would be jailed pending trial, as well as offenders sentenced to probation. Also, OAS officials decided not to develop strict AIC guidelines that judges might construe as limiting their discretion. Hence, the earlier practice of selective offender targeting was abandoned. However, Connecticut officials continue to emphasize selection of offenders at decision points where existing mechanisms and practices will maximize recruitment of offenders who otherwise would have been confined, (e.g., pre-trial confinement).

Between July 1992 and March 1994, AIC offenders in pretrial status averaged 55 percent of the AIC population. During this same time span, the number of (residual) cases on SHR declined significantly, while the number of probation violators and direct court sentence cases increased dramatically among the AIC population. Overall, in calendar year 1993, AIC's admitted 7,333 offenders.

Program Features

Supervision. Connecticut's AIC's enforce a highly strict level of surveillance. Offenders must report five times a week to their AIC if they are unemployed, and three times a week if they are employed full-time or attending school. Offenders also must undergo substance-abuse testing and counseling as requested by the AIC; notify the AIC staff within 24 hours of any change of address or employment status; and perform community service. Other conditions are set and enforced as required by the court. Offenders can participate in an AIC for up to six months.

Services. The OAS coordinates with other agencies to provide services and programs at AIC's. For instance, AIC's have access to 150 transitional housing beds, which can be used by offenders as needed (the offender must transfer to an area where the transitional beds are available). Some agencies collocate their staff at Connecticut AIC's and deliver services onsite. For instance, Families-in-Crisis (a private agency) contracts with the Judicial Department to provide family counseling services onsite at each AIC, and several AIC's run by Community Action Programs house other social service agencies to enhance service delivery options.

Community service requirements. Connecticut's AIC's emphasize high-visibility group community service projects. When the state park system cut maintenance budgets, the OAS provided AIC community service crews for routine park maintenance. In 1993, AIC clients sold tickets and performed other support functions at the Nutmeg State Games, a statewide Olympic-style sports festival. AIC

offenders also recently worked alongside community members to build a neighborhood playground. The experience was so successful that the playground's designer agreed to use AIC community service workers at several other playground projects.

Preliminary Assessment

Connecticut officials have been generally successful in gaining approval for AIC sites, but they concede that some AIC's are in unattractive neighborhoods or inadequate facilities. In 1993 the Legislature allocated \$2.4 million to upgrade facilities housing AIC's. The OAS has set minimum standards for AIC's (included among the program materials in this volume) and will start inspecting AIC's this year for conformance.

AIC's are being evaluated by the Justice Education Center (JEC) to determine if diversion goals are met. A JEC study of the pretrial population has found that AIC pretrial cases have a higher appearance rate, a lower recidivism rate, and a lower incarceration rate at sentencing than similar cases not placed at the AIC. (The Executive Summary of this study is included among the program materials in this volume.) In 1993, however, AIC's gave unsatisfactory discharges to 2,556 AIC offenders (34.9 percent of admissions), primarily due to violations of AIC rules or conditions of supervision. A study of AIC's diversion of sentenced offenders will be completed in 1995. Also, JEC soon will begin a longitudinal study of AIC offender outcomes.

Day reporting has not been met without some skepticism. Critics maintain that the quality of the programs is uneven. In addition, some in Connecticut see AIC's as competitors of established justice agencies for limited available funding. For example, probation funding and staffing have not increased for several years, despite a growing and increasingly difficult caseload. Some probation officers reportedly complain that, with additional funding, they could provide the same or better supervision as the AIC's. Bail commissioners sometimes protest that AIC's divert some offenders from pre-trial confinement after a bail commissioner has decided they should not be released. Nevertheless, day reporting has become an integral aspect of Connecticut's correctional system.

**Harris County Community Supervision and Corrections Department
Houston, Texas**

Background and Program Implementation

Day reporting is one of many punitive options in the Harris County Community Supervision and Corrections Department's (HCCSCD's) four-tier continuum of sanctions. Tier 1 includes total confinement in jails or other physically secure facilities, while Tier 2 consists of residential sanctions,

including community corrections centers and residential treatment programs. Tier 3 encompasses several levels of community supervision, including day reporting, and Tier 4 includes unsupervised probation. Day reporting is the most intensive form of community supervision in Tier 3, earning it the name the Super Intensive Probation Program (SIPP).

Day reporting in Harris County began just a few years ago. In 1990, the Director of HCCSCD assembled a delegation of six Houston judges to visit the Hampden County Day Reporting Center in Springfield, Massachusetts. Impressed, the judges ordered the development of a similar program for Harris County, stressing both strict control and plentiful services. SIPP South, in downtown Houston, was the first DRC implemented, funded by the Texas Department of Criminal Justice, Community Justice Assistance Division. As part of a settlement to a lawsuit challenging conditions in the County jail, the Court ordered the County to reduce the jail population and submit a plan showing how it would do so, and ordered the state legislature to pay for new programs in that plan to divert jail inmates. HCCSCD submitted a plan to augment SIPP by 1,000 slots, expand the Harris County boot camp, and build 1,200 new beds in Community Corrections Centers.

Purpose

SIPP's goals are: (1) to stabilize offenders' behavior so they can make progress on their supervision plans and move as quickly as possible to lower supervision levels; (2) to reduce jail crowding; and, (3) to protect the public.

Target Population

The HCCSCD day reporting program was promoted and funded primarily to reduce the jail population, but judges resisted having constraints on their sentencing discretion. Therefore, rather than use detailed eligibility criteria and selection processes that might appear to limit judicial discretion, HCCSCD focuses on (1) using SIPP as a reentry program for graduates of the Department's residential programs, and (2) recruiting offenders from decision points at which a confinement outcome is highly likely, such as at revocation hearings. HCCSCD staff screen every case that judges directly sentence to SIPP. If they encounter an offender who does not fall into high-risk/high-need categories on the Department's assessment instruments, they develop a plan for judicial approval transferring the offender to a less intrusive level of supervision.

Because of the scale of the program, HCCSCD has developed several *specialized caseloads* within SIPP, including the following:

- *Mentally ill/mentally retarded offenders.* The SIPP programs can service 250 mentally ill or mentally retarded offenders. These cases come from three sources: (1) Project Action, a residential treatment program for mentally ill or impaired offenders; (2) direct court sentence; and, (3) as an alternative to revocation from a Tier II or Tier III placement. For this group, staff more strongly emphasize crisis intervention, monitor offenders' intake of prescribed medications, make more frequent references for services, and exercise more patience in dealing with offenders.
- *Stalkers.* Consisting of offenders who are subject to restraining orders, this group has a higher level of field contacts as well as more intensive and lengthy curfew requirements.
- *Sex offenders.* About 125 positions are available for sex offenders who are in community-based treatment.
- *Graduates of institutional drug treatment programs.* The Texas Department of Corrections operates Substance Abuse Felony Punishment Facilities (SAFPF) which provide treatment for drug-involved offenders. Probationers who do not adjust satisfactorily to supervision can be placed in these low-security facilities for up to one year while still on probation status.
- *Probationers in an alternative campus.* The public schools have created alternative campuses for 17- to 19-year-old felony probationers who are still in school.
- *Boot camp graduates.* Each platoon of graduates participates in weekly group meetings at the SIPP and performs group community service. The program's intent is to prolong the *esprit de corps* generated in the boot camp.
- *Combined Parole/Probationers.* All parolees who are also on probation are on a specialized SIPP caseload.

Program Features

Harris County operates two SIPP units, one in the North Region (northern Houston) and one in the South Region (downtown Houston). SIPP North has an intended capacity of 1,000 offenders and is located next to a freeway in a black/Hispanic low-income area. It shares a County office building with several human service agencies. SIPP South, with an intended capacity of 750 offenders, is located in an older commercial area on the edge of downtown Houston at what used to be a new car dealership. On the day of the site visit, the total caseload of the two units was slightly over 2,000; hence, the

capacity of these DRC's is somewhat elastic. These are the largest day reporting programs identified by the mail survey of known DRC's in 1994.

Supervision. Using information developed during offenders' assessments, supervision plans are developed upon entry to SIPP. While in SIPP offenders are subject to the following conditions:

- In phase one, offenders must *report daily, in person, to the SIPP office*, unless they are working, in which case they must contact staff daily by phone; or staff must visit the offender at his or her home or workplace. In phase two, they must report three times a week, and in phase three, they must report once a week.
- Offenders must take a *drug-use test* during their first visit and are subject to random testing twice a month thereafter, tapering to once a month later during later phases.
- Offenders must make *court-ordered payments* for such things as fines, fees, and restitution.
- All offenders must perform *50 or more hours of community service* if so ordered by the courts.

Other conditions vary according to content of the supervision plan, specific requirements in the court's order, and the characteristics of specialized caseloads. For example, boot camp graduates are subject to more drug-use testing and group reporting, whereas stalkers face longer and more rigorously enforced curfew.

SIPP offices are open from 7 a.m. until 7 p.m. four days a week, and 7 a.m. to 5 p.m. on Friday. Durations in SIPP vary from 90 days to one year, depending on how individual offenders progress. Most offenders remain in SIPP three to six months.

Services. The following programs and services are available at each of the SIPP offices:

- *Substance-Abuse Evaluations and Assessments.* A certified substance-abuse counselor is onsite twice a week to evaluate offenders, and a licensed therapist is onsite one day a week to evaluate mentally impaired offenders for substance abuse programming.
- *Education Lab.* If offenders read at less than a sixth grade level, they are required to attend the education lab, which has 15 computer stations and is open daily until 8 p.m. Education labs also are provided in all HCCSCD residential programs, so offenders who enter SIPP as residential program graduates can continue working on their educational objectives.
- *Support Group Meetings.* Graduates of residential programs who (prior to discharge from the residential facility) were deemed at high risk for recidivism,

attend weekly support group meetings. Facilitated by licensed counselors, these meetings are intended to reinforce behaviors learned in the residential facilities.

- *Individual and Group Therapy.* One licensed therapist is onsite one day a week at each SIPP office to provide group and individual therapy. A psychologist is on site all week at each site to conduct psychological evaluations and to conduct individual and group therapy.
- *Vocational Intervention Program.* HCCSCD contracts with the Texas Employment Commission to provide employment readiness classes for offenders and to make employment referrals.
- *Urinalysis.* Each SIPP office has trained monitors who conduct on-site testing.
- *Life Skills Training.* Each SIPP office, and all residential programs, offer a core program to help offenders overcome behavioral patterns that contributed to their criminality. In addition, the program teaches employability and job retention skills.
- *Intensive Mental Health Case Management.* Project Action caseworkers (funded by the Texas Council on Offenders with Mental Impairments) work closely with SIPP counselors to help mentally impaired offenders use community mental health services, Medicare and Medicaid services, inpatient hospitalization, community health care, substance-abuse counseling, job placement and assistance, and crisis intervention.
- *Health and Personal Growth Education.* HCCSCD provides educational information to offenders using a variety of mediums, including educational videos or speakers on such topics as AIDS awareness, conflict resolution, parenting skills, nutrition, addiction, and employment skills.
- *Community Service.* HCCSCD's community service program encompasses more than just SIPP participants — HCCSCD has over 4,500 offenders on community service crews (and many more performing individual community service) at any given time. HCCSCD has 60 12-passenger vans, stored and maintained at SIPP South, to transport community service work crews. Skilled workers constructed a large portion of HCCSCD's new community corrections facility, for example, and also helped to build a new nature center in the county park system. Unskilled offenders typically perform cleanup tasks.

Reducing Revocation

Although young, Harris County's day reporting programs already have become vital to the county's strategy to reduce jail and prison populations. HCCSCD officials consider probationers as failures only if their supervision is revoked and they are committed to prison. Day reporting serves as part of HCCSCD's aggressive development of a broad array of sanctions to prevent such "failures." Day reporting and other intermediate sanctions enable offenders who do not adjust well to supervision at one

level to move to another by court order without revocation of probation. HCCSCD frequently uses changes in levels of supervision or between community and residential supervision to sanction noncompliance with conditions of supervision or violative behavior. Officials stressed that the policy is in place to make every effort to avoid revocation by adjusting offenders within the department's continuum of sanction, in response to unsatisfactory adjustment.

**Maricopa County Adult Probation Department's
Day Reporting Centers
Maricopa County, Arizona**

Background and Program Implementation

Although established only two years ago, day reporting is now an integral component of the adult sentencing/corrections continuum in Maricopa County, Arizona (see Figure 1). The current population of Maricopa County is 1.3 million; of this total, approximately 1 million reside in Phoenix. Although *reported* crime actually has decreased slightly in recent years, crime is a volatile political issue in Maricopa County. Efforts to "crack down" on crime have increased court backlog and jail crowding.

In 1992, a jail population management team was established to respond to a Federal court order to reduce immediately the population of the county jail. The management team developed two crowding reduction initiatives:

- *A court liaison* program was initiated to "speed up" the processing of violation hearings and to use intermediate sanctions as a halfway-back mechanism for probation violators; and
- *A day reporting center* program was implemented targeting probation violators and offenders within 650 days of release from jail.

Apparently as a result of these two initiatives, the jail population has been reduced by about 10 percent during the past two years (August 1992 to June 1994). While there is still a jail crowding problem, the county is in compliance with the existing Federal court order, and there has been no negative media fallout regarding either program.

Maricopa County funded these programs by reallocating existing resources and by developing new funding options, e.g., raising the cost of housing a Federal inmate from \$38 per day to \$78 per day, persuading the state legislature to approve the use of funds from a 1986 bond issue for DRC facility acquisition, and using \$150,000 in BJA money. Finally, the county initiated a creative "colocation" strategy with a wide range of local treatment providers. The 1986 bond issue money could be used *only*

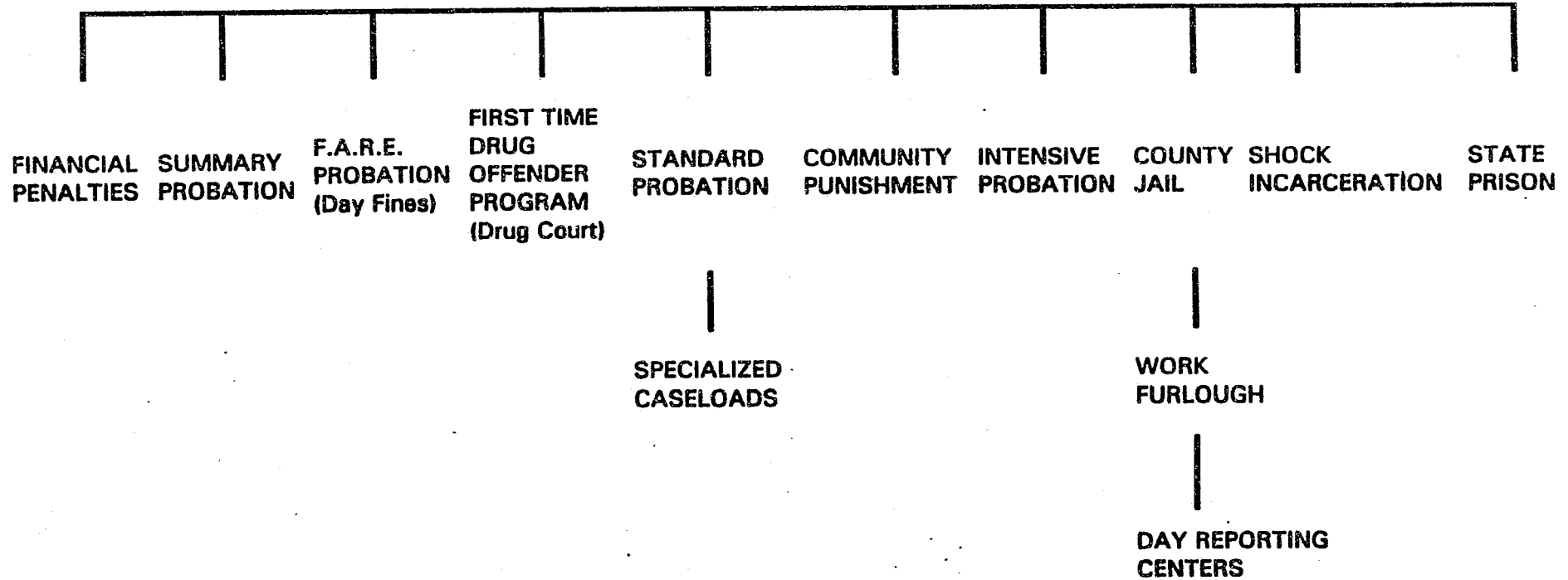
Figure 1

Superior Court in Maricopa County



Sentencing Continuum

More Control →



142

Revised September 1992

graphics by Cal
PPDD

to obtain or improve the physical plant, *not* to support the programs. In order to address this shortfall, DRC developers offered free rent in their buildings to treatment providers in exchange for slots in their programs for DRC offenders. In all, the total cost of DRC development and court liaison programs was split equally between *new* (i.e., youthful offenders funds, higher Federal reimbursements, and the state bond for work furloughs) and *old* (i.e., existing county jail and adult probation budgets) funding sources.

At the time of the site visit, the county faced an unexpected \$86 million deficit. Permanent funding for the DRC program is a serious issue that will need to be addressed in the next fiscal year. However, it appears that the program has broad-based political support, mainly because of the efforts of the jail population management team.

Purpose

According to the latest program description provided by the Maricopa County Adult Probation Department:

"The mission of the Maricopa County Adult Probation Department Day Reporting Center is to furlough selected offenders from incarceration into a program of strict community supervision and structured reintegration services"

In conjunction with this general mission statement, six goals have been identified: (1) to expand the continuum of community-based sanctions and various treatment options available to the Court; (2) to provide a safe and cost-effective method of reintegrating nonviolent probation inmates into the community; (3) to provide a broad spectrum of structured reintegration services to nonviolent inmates serving commitments in the County jail; (4) to reduce the daily census of probation inmates in the County Jail; (5) to provide highly structured supervision, sanctions, and services coordinated from a central locus; and (6) to serve as a clearinghouse for probationer treatment programs and services.

Target Population

The initial target population for the DRC program in Maricopa County consisted of non-violent offenders with identifiable treatment needs (educational, vocational, employment, substance abuse) who were serving split sentences (i.e., jail followed by probation). Each month, approximately 600 offenders meet the general criteria for the DRC/work furlough program but, because of the restrictive selection and review process, only about 50 new offenders are placed in the program. About half of these offenders are referred directly from jail; the remainder move from work furlough status to DRC status (see caseflow diagram in Volume 2). In addition, about three to four offenders are referred to the DRC

program each month from the "STEP" (Short-Term Enhanced Probation) program, which targets jail-bound probation violators.

According to the most recent program description, to be eligible for this program, probationers must meet the following criteria:

- not pose a serious risk to the community;
- be furlough-eligible per terms and conditions of probation;
- have an acceptable, verifiable address;
- display a nonviolent pattern of behavior;
- not be in need of long-term residential treatment;
- have access to transportation;
- be willing to participate in the program; and
- not have charges pending that would prevent participation in the program.

The caseflow process in Maricopa County is highlighted in Figure 2. Reasons for rejection from the DRC include a history of violence, commission of a violent offense, use of a weapon and/or injury to the victim, sex offender status, pending court appearances, mandatory treatment required in a residential facility, and escape risk. The screening mechanisms currently in place appear to focus on the elimination of high-stakes cases, i.e., those offenders who could potentially inflame public opinion if their placement in the program were publicized.

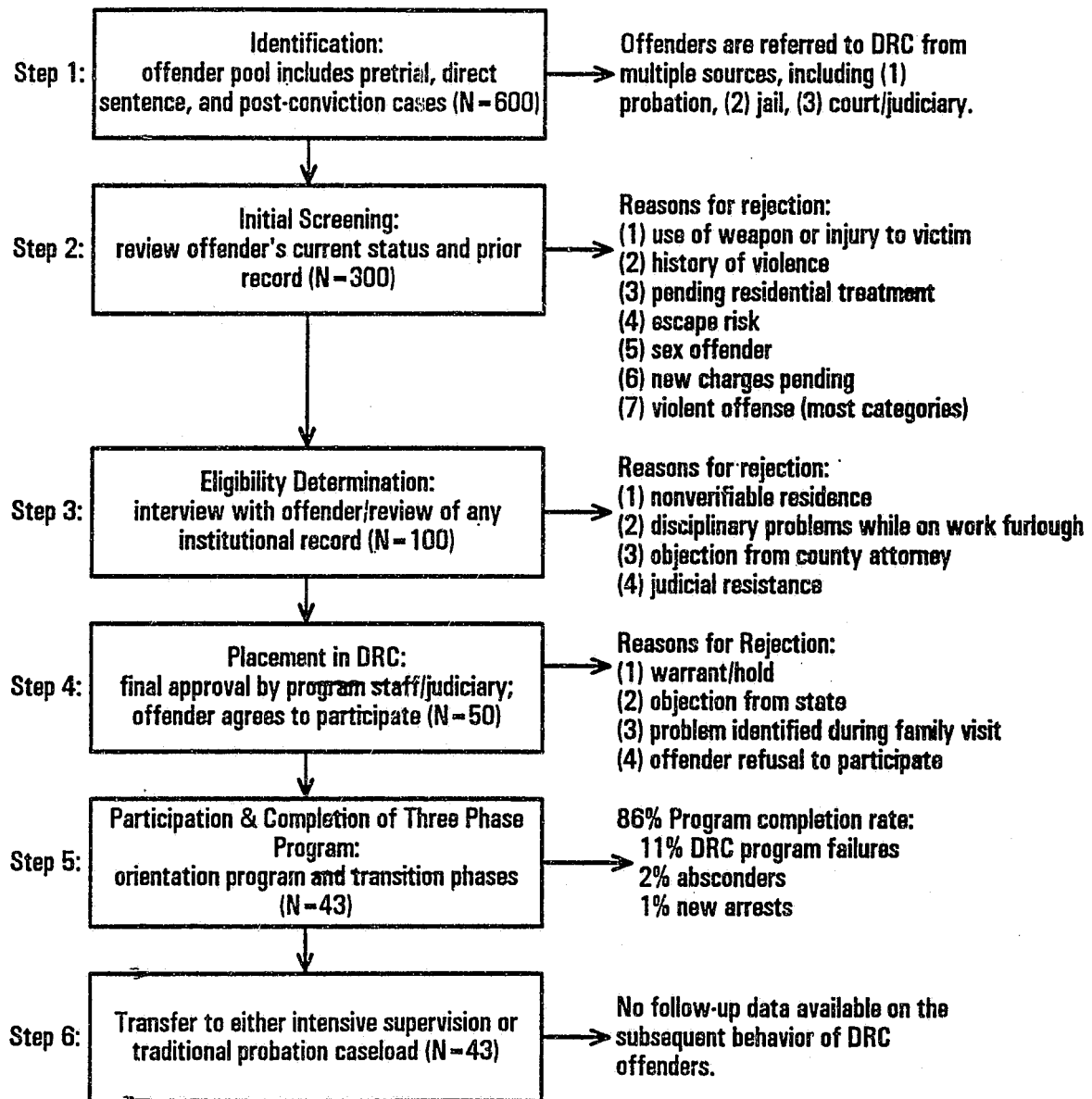
Program Features

There are three DRC's in Maricopa County. The East Day Reporting Center, which opened in August 1992, is located in Mesa, Arizona, an area with a population slightly greater than 350,000. This program shares facility space with ISP and field service program administrators, the community punishments program, and the community services program. The stated capacity of the DRC program is 90. However, on the day of the site visit, only 45 DRC offenders were in the program.

The Central DRC, which opened in April 1994, is located in the Garfield Adult Probation and Community Center. The Garfield area has been targeted for the "Weed and Seed" Federal initiative, mainly because of an average of 900 gang-related calls for police service each month. As was true at the East DRC, the Garfield DRC is currently operating under capacity (45 offenders in a program designed for 90).

The third DRC, located in the western section of Maricopa County, began in January 1993, and is still operating in temporary quarters. However, the county recently purchased an old 40,000 square-foot mall to house the program. This new facility was scheduled to open in September 1994. About 40 offenders are currently in the program, and capacity should increase to 90 in the fall.

FIGURE 2: THE CASEFLOW PROCESS IN MARICOPA, ARIZONA*



*The caseflow process can be described separately for the young adult offender population, for step program offenders (step=short-term enhanced probation), and for offenders referred from the jail/work furlough program. The population estimates are based on monthly totals provided by Maricopa County's DRC director (June 1994).

The Maricopa County DRC program was originally modeled after the Hampden County, Massachusetts, DRC program. Nonetheless, the model is unique in the manner by which offenders move through the three phases of the program and in the strategies used to develop and administer treatment for DRC offenders.

Supervision. Figure 3 highlights the key components of the three-phase DRC program. During Phase 1 (orientation), which lasts one to two weeks and emphasizes direct supervision of offenders, offenders must be seen at least five times per week, including two field visits and a residence verification. The program officer (PO) develops a case management supervision plan by the end of Phase 1, while the supervision officer (SO) reviews the offender's daily itinerary and establishes a surveillance plan.

Phase 2 lasts for six to eight weeks, depending on the specific problems/needs identified during the initial offender assessment. Contact levels are relaxed (only two required contacts per week) during Phase 2, based on the premise that *treatment* (rather than control) is the most effective community protection strategy currently available. However, the PO and SO can and do increase contact levels based on their assessment of the client's surveillance needs. They also make unscheduled home visits, complex phone-based curfew checks, and order offenders to submit to regular urinalysis and breathalyzer testing.

During the final phase of the DRC program in Maricopa County, the offender makes the transition from the program and onto traditional probation caseloads. During this phase, which lasts approximately two weeks, the DRC supervision team, the offender, and the newly assigned probation officer meet to review basic case management/treatment issues. The DRC supervision team still conducts at least two field contacts per week, while completing any other surveillance activities deemed appropriate for a given case. At any point up to the day of the offender's release from jail, a violation of program rules could result in a "roll-back" to jail.

Services. Perhaps the most interesting aspect of Maricopa County's DRC program is the wide range of private, nonprofit treatment providers that have been brought together at each DRC site by the lure of free rent. For example, the East DRC offered the following treatment resources to offenders:

- job placement and job readiness programs;
- education/literacy programs;
- self-help/support groups (AA, NA);
- intensive counseling for chemical/alcohol dependency;
- community service programs; and
- other counseling/treatment programs (e.g., health, life skills, family).

Each supervision team has a caseload of approximately 30 probationers from three sources (DRC/furlough, STEP, and the youth offender program). The supervision team must decide how to

Figure 3

**MARICOPA COUNTY
DAY REPORTING CENTER
PROGRAM OUTLINE**

Guidelines For Supervision Standards

PHASE 1: ORIENTATION (approximately first two weeks)

1. Program participants will report as directed to the D.R.C. There will be contact with the participant at least five days per week.
2. Supervising P.O./S.O. will make a minimum of two field contacts per week; residence will be verified.
3. Probation staff will review program expectations with new participants.
4. Probation staff will complete a Case Management Supervision Plan, to include daily itineraries and a financial assessment.

PHASE 2: PROGRAM

1. Program participants will report as directed to the D.R.C.
2. P.O./S.O. will make a minimum of two field contacts per week.
3. Weekly schedules will be completed by program participants and approved by probation staff.
4. The Case Management Supervision Plan will be the guide for each participant's daily activities.

PHASE 3: TRANSITION (last two weeks prior to release date)

1. Program participants will report as directed to the D.R.C.
2. P.O./S.O. will make a minimum of two field contacts per week.
3. Probation staff will have an exit interview with the defendant for discussion of future plans re: programming.
4. Supervising P.O. will contact the P.O. that the case will be transferred to for field supervision.
5. Supervising P.O. will write a final assessment.

apply the various available surveillance techniques to individual offenders, as well as to assess, implement, and monitor each offender's treatment plan. According to the most recent DRC program description:

During the day, the participant will follow an hour-by-hour schedule of courses offered at the Day Reporting Center and other community-based agencies and/or participate in a job search program until employed. Participants with employment will follow daily itineraries which include their jobs.... Courses offered at the Day Reporting Center Program will address a variety of needs, including drug and alcohol counseling, literacy and GED classes, and family and health [education classes].

In addition, many offenders must complete several hours of community service. During Phase 2 of the DRC program, any community service hours completed are applied to the *probation* portion of the offender's sentence, even though the offender is technically still in the institutional phase of his/her split sentence.

Program Effectiveness

To date, no formal evaluation has been completed on the Maricopa County DRC program. However, program data is available on the performance of offenders while under supervision and the general impact of the program on the jail crowding problem. Eighty-six percent (673) of the 780 offenders who were terminated from supervision (Phases 1-3) were "successful" (i.e., no new arrests, absconders, or serious rule violations resulting in return to jail). In fact, there have been only five new arrests (one percent of all completions), 16 absconders (two percent), and 86 returns to jail (11 percent). Given the high level of surveillance and control built into the program model, the 11 percent return rate is actually quite low, especially when compared to ISP evaluation results.

According to DRC records, the "successful" offender spends an average of 44.8 days under Phase 2 DRC supervision, as compared to 27.5 days for unsuccessful offenders. Successful program completion rates increase with offender age (e.g., 94% of the offenders 46 and over were successful, as compared to 80% of the offenders 25 and under). It also appears that successful program completion rates are higher for some conviction offense types (e.g., 92% of persons convicted of crimes against persons and 94% of persons convicted of DUI offenses were successful, as compared to 79% of the property offenders, 78% of the offenders convicted of deceptive practices, and 74% of the offender convicted of "other" felony offenses).

Program staff have estimated that, since its inception in 1992, the DRC program has "saved" the county the equivalent of 35,426 days in jail. Based on the \$37.00 average per-day cost of housing

a county inmate in Maricopa County, the estimated cost savings totals \$1,310,000. According to the current cost calculations provided by the probation department, the daily cost of placement in a DRC program is \$16.00. If this estimate is accurate, it represents a significant potential savings to the county. However, any statements about the effectiveness of the DRC program—in terms of corrections cost, diversionary impact, or recidivism reduction—would be premature, as the necessary evaluation research has yet to be completed.

The Hampden County, Massachusetts Day Reporting Centers

Background and Program Implementation

The Hampden County DRC, which opened in October 1986, was one of the first DRC's established in this country. Since that time, over 1,200 offenders have entered this program. The Hampden County DRC arose as a strategy for reducing high jail and prison populations. In the mid-1980's, the Hampden County jail and House of Correction were operating at over 200 percent of rated capacity, and the sheriff was under pressure to ease the crowding. The directors of the Crime and Justice Foundation—a private, nonprofit organization dedicated to developing alternatives to prisons and jails—suggested that he consider experimenting with a program modeled after the British Day Centers, which combined strict (centralized) control strategies with comprehensive offender treatment programming. The sheriff was impressed with the British model's goals and strategies, and Hampden County subsequently developed its own program with a grant from the state department of correction.

Purpose

While the initial purpose of the Hampden County DRC was to reduce jail crowding, today the program's mission is to provide a cost-effective intermediate sanction for offenders at both the front-end (i.e., pretrial release, direct sentence) and back-end (i.e., early release, halfway back) of the corrections system. According to the program director, its most important goal is to structure offenders' reintegration to the community. The program assumes that offender employment and treatment are the keys to reducing recidivism. It also utilizes extensive surveillance and controls (in most cases utilizing electronic monitoring) to ensure community security.

Target Population

The primary offenders targeted for Hampden County's DRC are *nonviolent* substance abusers. Possession and possession with intent to sell are the two main conviction offenses for the DRC population, characterizing 50 percent of all offenders. The Hampden County DRC recruits participants at a number of discrete points in the criminal justice process — pretrial detention, direct sentences, probation, federal correctional facilities, and the county jail. Defendants may be placed in the DRC if they are jailed because of an inability to make bail, and if they meet eligibility requirements. The program also considers county offenders for the DRC who are referred directly from intensive supervision caseloads, under an "experimental" agreement with the Office of the Commissioner of Probation. Finally, federal offenders serving time at the Hampden County Correctional Facility may also be referred to the program, along with federal offenders directly sentenced to electronic monitoring.

For the sentenced offender population, the selection process involves the following three steps:

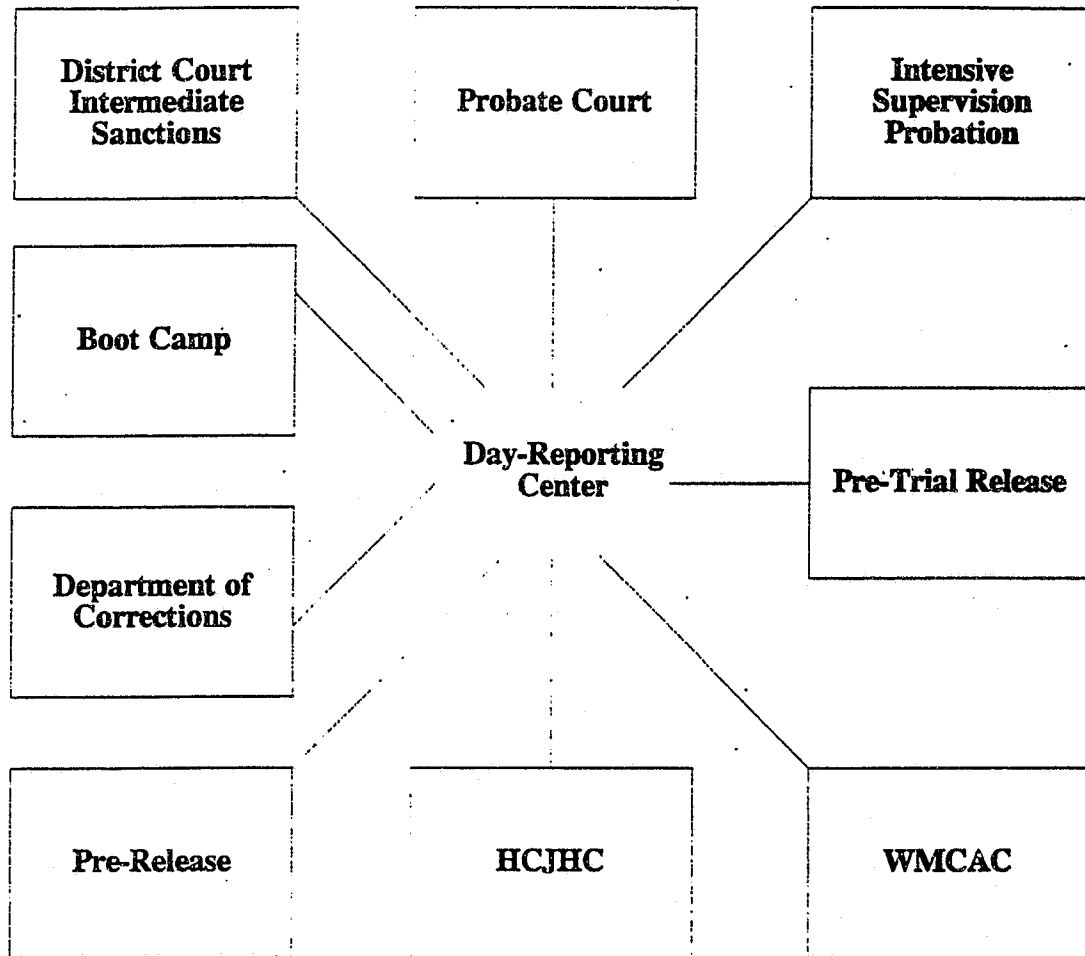
- *Identification.* Institutional casework staff review all new intakes during the first week of the offender's incarceration,
- *Review.* DRC classification unit members review the pool of identified "program-eligible" offenders,
- *Selection.* DRC staff and administration determine the final placement pool, based on both a program assessment (e.g., offender's offense and risk to the community, institutional record, treatment needs/plans) and a home visit by the DRC program's security staff.

Sentence *length* affects program eligibility. For example, an offender with a two-month sentence may be referred to the DRC after serving 30 days, while an offender with a 30-month sentence is eligible for referral to the DRC after serving 13 months. In addition, several offenders, usually those who have been convicted of nonviolent offenses, are referred directly to the DRC by the Judge, bypassing the usual review process. The number of direct judicial referrals was expected to increase significantly after introduction of a new, *direct-sentence* DRC program in August, 1994.

Program Features

Size. According to the program director, the intended capacity of the DRC is 150 offenders per day. In general, the program has remained full since its inception. However, in 1993, because of changes in the staffing and location of the program, the targeted admission goals of the program were not met for two groups — sentenced offenders and intensive probation supervision participants. However, the number of pretrial offenders exceeded the program's goals.

Figure 4
**The Multiple Referral Sources
To the Hampden County, Massachusetts DRC**



Source: Warwick (1994)

Location, Funding and Staff. The Hampden County DRC is designed to be easily accessible and is actually located at three sites. The main office is on the grounds of the Hampden County Correctional Center, which houses the center's administration as well as the security/electronic monitoring and intake/orientation components. Field offices also are located in downtown Springfield and at Springfield District and Superior Courts.

The operating cost was \$800,000 in 1993, or a per-slot cost of slightly less than \$5,000 per year. By comparison, the cost of incarceration in a county facility is over \$60,000 per bed, per year. State funding covers 75 percent of the Hampden County DRC's costs, with additional support from the county, contracts with the Federal Bureau of Prisons, and various state/federal grants.

At the time of the site visit, the program had 18 staff providing both treatment and security for the DRC. At their field office in Springfield, program staff provide services such as drug treatment, alcohol treatment, family treatment, education (GED, ESL), and anger management. Students and interns are used in all aspects of the DRC's treatment programming and for on-site security, while security staff are responsible for electronically monitoring offenders, completing site visits and conducting random "spot checks" at offenders' homes and workplaces.

Supervision. The Hampden County DRC offers the *most* intensive form of community supervision available for offenders in this area. The most intensive form of regular probation supervision provides two contacts per month. On average, the overall duration of day reporting is four months. During this time, the offender progresses through four program phases, each lasting approximately one month (see DRC Handbook, 1994, in program materials).

After the Phase I orientation is complete, the most intensive "community supervision" phase begins. The requirements during Phase II are: seven in-office contacts per week; four to five field contacts per week by community corrections officers; curfew every night at 9 p.m.; one to two drug-use tests per week; and 16 to 20 hours community service per week if unemployed and four to six hours per week if employed. Other requirements include four to five field breathalyzer tests per week; two GED classes per week (1 1/2 hours each); and participation in Family Program each week (1 1/2 hours). In Phases III and IV, offenders may participate in additional activities in the community and have fewer contact requirements.

Services. The Hampden County program utilizes its own staff to provide most treatment to offenders. DRC staff receive close to 100 hours per year in specialized training on a variety of issues. Currently, staff are responsible for counseling offenders, providing substance-abuse treatment, leading a required four-week family intervention program, and coordinating community service activities for all offenders. The Springfield Employment Resource Center has been contracted "to assist participants with

specialized employment needs" (1993 Annual Report, p. 21), and selected providers are allowed to offer onsite services to offenders that are not provided by DRC staff (e.g., AIDS support groups, Alcoholics Anonymous, and Narcotics Anonymous).

Program Effectiveness

Although the Hampden County DRC has been in operation since 1986, no formal evaluation has been conducted to date. With this caveat in mind, program data suggest that the majority of DRC offenders successfully complete the program without incident (i.e., new arrests). For the 1986-1992 period, program completion rates hovered around 80 percent, with the majority of program failures the result of technical violations (e.g., positive drug, test results or failure to follow daily itinerary) rather than rearrest for new criminal activity. However, overall program completion rates have dropped significantly in 1993 (79% to 68%), in part because of changes in program staffing and location. In addition, the 1993 Annual Report observes that the completion rate remains low (50%) for pretrial detainees. According to the program director, the level and pattern of revocations—especially the early program rule violations—is consistent with the primary reintegration goal of the program, as well as the secondary goal of reducing jail crowding. The program has a structured hierarchy of sanctions in place that do not require immediate incarceration for rule violators.

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