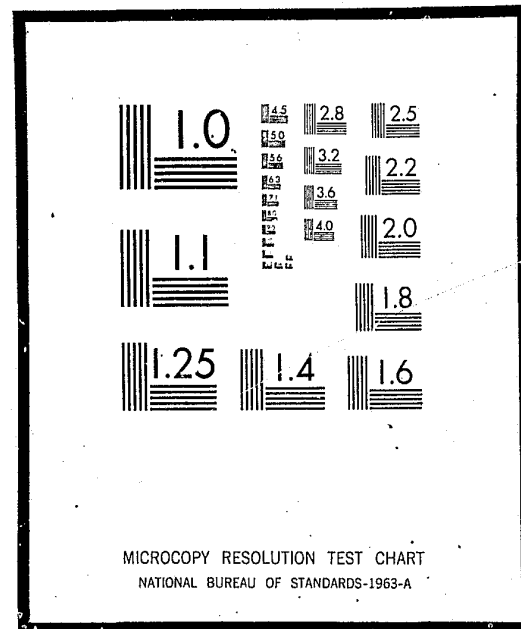


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Evaluation of Regional Offices and
Sub-Offices of the Pennsylvania
Board of Probation and Parole

DS-36-73A/E

FINAL EVALUATION REPORT

Technical Report 3
MMI 102-73

Submitted to

Pennsylvania Board of Probation and Parole
William C. Boor, Executive Director

and

Pennsylvania Governor's Justice Commission
Hon. Israel Packel
Attorney General and Commission Chairman

MetaMetrics Inc.
3711 Macomb St., N.W.
Washington, D.C. 20016

April 11, 1974

TABLE OF CONTENTS

<u>SECTION</u>	<u>PAGE</u>
SECTION 1 INTRODUCTION	1-1
SECTION 2 EVALUATION SUMMARY	2-1
2.1 Project Objectives	2-1
2.2 Project Activities	2-2
2.3 Project Problems	2-3
2.4 Project Performance	2-3
2.5 Evaluation Findings and Recommendations	2-4
SECTION 3 EVALUATION ACTIVITIES	3-1
SECTION 4 PROJECT EVALUATION	4-1
4.1 Board Goals and Objectives	4-1
4.2 Project Activities	4-3
4.2.1 Regional Offices	4-3
4.2.2 Sub-Offices	4-4
4.3 Project Problems	4-5
4.4 Caseloads	4-8
4.5 Staffing	4-12
4.6 Caseload Ratios	4-20
4.7 Parolee Performance	4-23
4.8 Financial Analysis	4-27
SECTION 5 FINDINGS AND RECOMMENDATIONS	5-1
5.1 Results	5-1
5.2 Problems	5-2
5.3 Recommendations	5-4
5.3.1 Pennsylvania Board of Probation and Parole	5-4
5.3.2 Governor's Justice Commission	5-5
5.3.3 Commonwealth of Pennsylvania	5-6
APPENDIX A EVALUATION OBJECTIVES AND GUIDELINES	A-1
APPENDIX B DESIGN MEMORANDUM	B-1
APPENDIX C INTERIM EVALUATION REPORT	C-1
APPENDIX D RECOMMITMENT RATE	D-1

LIST OF FIGURES

<u>TABLE</u>	<u>PAGE</u>
2-1 Parolees Returned to Prison as a Per Cent of Parolees Released	2-3
4-1 Total Caseload Summary, 1968 to 1973	4-8
4-2 Composition of Caseload for Pennsylvania, 1968 to 1973	4-9
4-3 Composition of Total Caseloads: Regions I, II and III, 1968 to 1973	4-10
4-4 Composition of Total Caseloads: Regions IV, V and VI, 1968 to 1973	4-10
4-5 Caseloads by Region, District and Sub-Office October 1, 1972 to January 1, 1974	4-11
4-6 Agents Staffing, Regions I, II and III, May 6, 1971 to December 3, 1973	4-13
4-7 Agents Staffing, Regions IV, V and VI, May 6, 1971 to December 3, 1973	4-14
4-8 Total Staffing, Regions I, II and III, May 6, 1971 to December 3, 1973	4-15
4-9 Total Staffing, Regions IV, V and VI, May 6, 1971 to December 3, 1973	4-16
4-10 Summary of Staffing Pattern, District Offices of Regions, Community Parole Center and Sub-Offices, July 12, 1973	4-17
4-11 Summary of Staffing Patterns, District Offices of Regions, Community Parole Centers and Sub-Offices, December 3, 1973	4-18
4-12 Summary of Total Staffing, May 6, 1971 to December 3, 1973	4-19
4-13 Summary of Total Staffing Per Cent Distribution, May 6, 1971 to December 3, 1973	4-20
4-14 Pennsylvania Caseload Ratios, 1971-1974	4-20
4-15 Regional Caseload Ratios: 1971-1974	4-22
4-16 Paroled and Parolees Returned to Prison, 1967 to 1973	4-25
4-17 Parolees Returned to Prison as Per Cent of Released 1967 to 1973	4-25
4-18 Revised Estimate of Returned to Prison Using Three Year Average of Released, 1967 to 1973	4-26
4-19 Expenditures of Board and Probation and Parole, Fiscal Years 1971 to 1974 (in \$000)	4-28

LIST OF FIGURES (Continued)

<u>TABLE</u>	<u>PAGE</u>
4-20 Expenditures per Average Annual Caseload, 1971 to 1973	4-29
4-21 Fund Sources for Expenditures, Fiscal Years 1971 to 1974 (in \$000)	4-30
4-22 Per Cent Distribution of Fund Sources, Fiscal Years 1971 to 1974	4-30
4-23 Grants Awarded to Board in Fiscal Years 1971 to 1974 (in \$000)	4-31

SECTION 1

INTRODUCTION

Probation and parole for convicted offenders are alternatives to incarceration to improve the potential for individual rehabilitation within the community through job opportunities, education opportunities, family relations and community support. Parole is release from prison to serve the unexpired sentence in the community under supervision according to rules of conduct specified by the Pennsylvania Board of Probation and Parole. Probation is a sentence served in the community under supervision with rules of conduct specified by the Court and the Board.

The Pennsylvania Board of Probation and Parole, unlike many state parole agencies, combines case decisions and caseload management within the agency. The Board members determine paroles, re-paroles and revocations of adult offenders. The Board staff provides case information and recommendations and also supervises cases on parole. Upon request by County Courts, the staff also supervises "special probation and parole cases" and provides pre-sentence investigations.

In early 1971, the Board operated with a Central Office in Harrisburg and nine District Offices located throughout the state. The Philadelphia District Office supervised half of the state caseload. To varying degrees the other District Offices were considered too large and centralized. Caseloads per agent were high according to standards recommended by the National Council on Crime and Delinquency.

The Omnibus Crime Control and Safe Streets Act of 1968 provided funds through the Pennsylvania Governor's Justice Commission for several subgrants to the Board. In early 1972, Regional Offices were established in each of the Governor's six Human Service Regions and ten Sub-Offices were located to serve localized caseloads throughout the Commonwealth. The Regional Office and Sub-Offices Project is presently under a continuation subgrant and has been in operation for two years.

MetaMetrics Inc., a private firm specializing in planning, research and evaluation in criminal justice, conducted the evaluation of the Regional Offices and Sub-Offices, Continuation Subgrant DS-360-73A/E awarded by the Pennsylvania Governor's Commission, for the period July 1, 1973 to April 1, 1974. An interim report was completed on December 14, 1973. This report presents the final results of the evaluation.

SECTION 2

EVALUATION SUMMARY

In early 1972, Regional Offices staffed by a Director and Secretary were established in Philadelphia, Allentown, Harrisburg, Williamsport, Pittsburgh and Erie. Sub-Offices were established in Scranton, Reading, Norristown, Lancaster, York, State College, Johnstown, Greensburg, Sharon-Farrell and Aliquippa. In October of 1973, the Johnstown Sub-Office was converted for the SRS project¹. The current subgrant is a continuation of the project with all components having completed at least two years of operation. Accordingly, the problems of start-up including staffing, facilities and equipment have been overcome and the project is at full operation and providing services to clients.

2.1 PROJECT OBJECTIVES

According to the Pennsylvania Board of Probation and Parole, the initial subgrants enabling the establishment of Regional Offices resulted in more effective administration and services delivery in accord with the Board's new philosophy, programs and objectives. The establishment of the Sub-Offices provided for more readily available services, closer relationships and support from the local community, lower caseloads and optimal reintegration of offenders into the community.

Objectives of the continuation subgrant were to:

- o provide improved information for decisions through increased understanding of the offender, reduced caseloads, contact with family, and contact with local court and police
- o assist the Board through decentralizing of certain case decisions to Regional Offices
- o provide improved delivery of parole services through reducing agent and client travel time

¹The Social Rehabilitation Service of the U.S. Department of Health, Education and Welfare provides funds for parole supervision of specialized caseloads including alcohol dependence, drug dependence and welfare cases.

- o address client rehabilitation requirements through use of community resources and programs such as Public Assistance and Employment Security
- o implement new parole programming including Guided Group Interaction and assistance in employment
- o relate to client in a community setting rather than in an alien and bureaucratic setting
- o obtain community understanding and assistance in the client rehabilitation process
- o relate parole services to community cultural requirements
- o improve agent effectiveness through an understanding of his role or rehabilitation in the community
- o reduce agent turnover and caseload transfer through enhancement of agent community status and role
- o increase staff effectiveness through team approach in client rehabilitation and mutual staff development

2.2 PROJECT ACTIVITIES

Regional Offices serve a program development and coordination function. Regional Directors played an important role in Community Parole Center and Sub-Office development. More recently, they facilitated the institution of the SRS program. The philosophy of regionalization is one of decentralization. The Board is systematically delegating activities and decisions to the Regional and District Offices. Chief among these are bail decisions, personnel hiring and transfer, final discharge notice, and parole violation hearings.

The Sub-Offices are, in effect, non-urban Community Parole Centers. The typical staff consists of a supervisor, two to three parole agents and a clerk-typist. Approximately one-half of the Sub-Office personnel are funded by the subgrant. The major difference between CPC's and Sub-Offices is the dispersion of the caseload which still requires substantial travel for the agent. The amount of travel is reduced from that required for agents operating from the District Offices. Parolees in the vicinity of the Sub-Offices do visit and are interviewed in the office. SRS agents from the District Offices make use of the Sub-Offices.

2.3 PROJECT PROBLEMS

Problems voiced by Board and project personnel were uncertainty of funding and impact of the SRS program. A major concern was the range of caseloads per agent in the Sub-Offices from 35 to close to a hundred. The variation in caseloads is due to program requirements, agent vacancies and differential growth of caseloads between areas. Adjustments in caseloads are made by transferring of cases between agents and offices. Some differential should be expected and real problems arise only if these differentials are seen as large and/or discriminatory. SRS agents have maximum caseloads of 40 which are perceived as artificial and discriminatory by Sub-Office personnel.

Guided Group Interaction (GGI) is a group treatment approach to case management that was initiated at the same time as the project. While seen as effective, its use has declined due to financial, administrative and proficiency reasons.

Parole caseloads and special probation and parole caseloads have increased in recent years. Board staff and operations expenditures have also increased. Commonwealth financial support has not been commensurate with the demand for Board services and a high reliance on Federal funding has resulted.

2.4 PROJECT PERFORMANCE

The Regional Offices and Sub-Offices are in accord with the Board's objectives for the project and are providing decentralized services to parolees and the community.

The result of this project, combined with related Board programming, has been to reduce recidivism over the past two years as can be seen from the following table.

Table 2-1

Parolees Returned to Prison as a Per Cent of Parolees Released

Year	Actual Numbers Released	Estimated Return to Prison
1968	1,956	33.9%
1969	1,756	28.2%
1970	2,090	38.2%
1971	2,907	25.3%
1972	2,620	22.9%
1973	2,481	19.9%

While overall Board staff has increased during the past two years, the Central Office personnel, as a percentage of total staff, actually declined.

2.5 EVALUATION FINDINGS AND RECOMMENDATIONS

The Regional Office and Sub-Office project is integral to the Board's changing approach to parole and probation supervision. The project is providing improved services to its clients and improved responsiveness to community and county needs for supervision services. MetaMetrics recommends that the Board continue its decentralization planning and implementation. Guided Group Interaction should be analyzed for explicit policies regarding its utilization and promulgation.

Means to better integrate the SRS program into the Board's overall effort should be explored. The SRS program should have an explicit community orientation, both in philosophy and physical location of agents.

The increasing caseload assigned to the Board by County Courts requires Board attention. Consideration should be given to alternative means of assisting counties including increased subsidies, guidelines for services rendered under subsidy funding and encouragement to counties in their quest for grants and local funding.

MetaMetrics recommends that the Governor's Justice Commission continue to fund and support this important project. Caseload constraints should not be imposed which would serve as an example of cooperation for the Board's overall responsibility to its clients. Caseload constraints should be placed only on small experimental or research caseloads to determine supervision effectiveness for Board consideration and policy.

The Board has demonstrated an ability to reduce recidivism or return to crime of its parolees. This is the result of decentralization, improved case management and related program changes. The Commonwealth of Pennsylvania, in recognition of this achievement and considering the increasing probation caseload assigned by county courts, should provide the required financial and administrative support to continue the Board's efforts to impact upon crime.

SECTION 3

EVALUATION ACTIVITIES

The evaluation of the Regional Offices and Sub-Offices project began on July 1, 1973. Initial meetings were held with the key Board planning and operations personnel, a representative of the Evaluation Management Unit of the Governor's Justice Commission, and the Regional Directors. These initial meetings informed project personnel of the goals and procedures of the evaluation.

During the first month, meetings were held with the Chairman and key Board staff to determine Board goals for the project. At the end of July, a Design Memorandum (Appendix B) was produced. This Memorandum outlined Board goals, project components, policy considerations, data requirements, interview formats, evaluation procedures and schedule for an eight month evaluation.

Initial data collection focused on descriptive and policy information obtained through interviews with field personnel and Central Office staff. Caseload, staff and financial information was obtained from the Central Office. Interviews were conducted in Regions I, II and III. Data was organized and a preliminary analysis was conducted. The Interim Evaluation Report was completed by December 14, 1973.

The benefit of the evaluation has been to the policy making levels rather than to the operating project level. Issues discussed at an interim evaluation briefing to the Board and Commission staff included:

- o Uncertainty of magnitudes of future funding
- o Changing composition of caseloads
- o SRS program and differential caseloads
- o Board policy and project effectiveness

The project was originally scheduled to end in 8 months. Because of a lower level of expenditures, the addition of approximately \$38,000.00 from other sources and the transfer of the Johnstown Sub-Office to the SRS program in late 1973, the project was rescheduled to coincide with the Fiscal Year and end on June 30, 1974.

Interviews were conducted in Regions IV, V and VI. Additional data was obtained from the Central Office. Final evaluation analysis was conducted.

SECTION 4

PROJECT EVALUATION

In early 1972, Regional Offices were established in each of the Governor's six Human Service Regions and ten Sub-Offices were located to serve localized caseloads throughout the Commonwealth. According to the Pennsylvania Board of Probation and Parole, the initial subgrants enabling the establishment of Regional Offices resulted in more effective administration and services delivery in accord with the Board's new philosophy, programs and objectives. The establishment of the Sub-Offices provided for more readily available services, closer relationships and support from the local community, lower caseloads and optimal reintegration of offenders into the community. A gross failure rate of 6.2% at the end of calendar year 1972 as compared with 10.3% at the end of calendar year 1970 was cited as demonstrating more effective delivery of services. In 1973, however, the gross failure rate increased to 7.0%.

4.1 BOARD GOALS AND OBJECTIVES

Board goals for the continuation subgrant rested on the ongoing functions of the Board which can be categorized as acting upon: (a) case decisions on parole, reparole and recommitment, and (b) administration of services for rehabilitation. Identified Board objectives for the project as they relate to these categories are as follows:

Case Decisions

- o provide improved information for decisions through increased understanding of the offender, reduced caseloads, contact with family, and contact with local court and police
- o assist the Board through decentralizing of certain case decisions to Regional Offices

Parole Supervision

- o provide improved delivery of parole services through reducing agent and client travel time
- o address client rehabilitation requirements through use of community resources and programs such as Public Assistance and Employment Security
- o implement new parole programming including Guided Group Interaction and assistance in employment
- o relate to client in a community setting rather than in an alien and bureaucratic setting
- o obtain community understanding and assistance in the client rehabilitation process
- o relate parole services to community cultural requirements
- o improve agent effectiveness through an understanding of his role or rehabilitation in the community
- o reduce agent turnover and caseload transfer through enhancement of agent community status and role
- o increase staff effectiveness through team approach in client rehabilitation and mutual staff development

4.2 PROJECT ACTIVITIES

Interviews at the Regional, District and Sub-Office levels indicate that project personnel are in accord with the Board's objectives. Communications between levels are excellent and morale is high.

4.2.1 Regional Offices

Activities of the Regional Offices vary from region to region with respect to size, characteristics and location of caseload; staff; and Regional organization responsibilities. Accordingly, the activities and responsibilities of the Philadelphia Regional Director with two District Offices, five CFC's, a large SRS program and half of the State caseload are different than those of the Harrisburg Regional Director with one District Office, two Sub-Offices and 7% of the caseload.

Regional Offices serve a program development and coordination function. Regional Directors played an important role in Community Parole Center and Sub-Office development. More recently, they facilitated the institution of the SRS program.

The philosophy of regionalization is one of decentralization. The Board is systematically delegating activities and decisions to the Regional and District

Offices. Chief among these are bail decisions, personnel hiring and transfer, final discharge notice, and parole violation hearings. A key issue is the weighting given to case recommendations from the field and some changes have taken place.

While only the Regional Director and a Clerk Stenographer are authorized for funding in each Region by the subgrant, interviews indicated that District Office staff was available to the Regional Director in the discharge of Regional responsibilities.

4.2.2 Sub-Offices

The Sub-Offices are, in effect, non-urban Community Parol Centers. The typical staff consists of a supervisor, two to three parole agents and a clerk-typist. Approximately one half of the Sub-Office personnel are funded by the subgrant.

The major difference between CPC's and Sub-Offices is the dispersion of the caseload which still requires substantial travel for the agent. The amount of travel is reduced from that required for agents operating from the District Offices.

Parolees in the vicinity of the Sub-Offices do visit and are interviewed in the office. SRS agents from the District Offices make use of the Sub-Offices.

Sub-Offices are located in municipalities ranging in population from 16,000 to 103,000. The location within the community has had an overall effect of increasing community and local agency contact. The Sub-Office is generally identified by criminal justice agencies as the office for dealing with probationers and parolees. Telephone contact is facilitated for parolees and agencies as compared to District Offices which require a long distance call. Sub-Office staff expressed a decided preference for the Sub-Office working environment as compared to the District Office.

The Sharon and State College Sub-Offices have established Field Offices in cooperation with County Courts. These are mini-Sub-Offices with space, equipment and some clerical assistance provided by the Counties. The Sharon Sub-Office has assumed the total probation caseload for two counties.

4.3 PROJECT PROBLEMS

Problems expressed by Central Office personnel were:

- o uncertainty of funds for continuation of project
- o caseload level constraints on overall project
- o union requirements for overtime pay for after regular hours activities by agents

These problems are external, though very relevant, to the project proper. Closer coordination, joint planning with GJC and other state involved agencies, and additional funding would assist in the resolution of these problems. The funding problem has prompted the consideration of closing several of the Sub-Offices. The Johnstown Sub-Office was transferred to the SRS program. Staff in the Sub-Offices has been reduced by 10% from July, 1973 to December, 1973.

Problems expressed by Regional Directors were:

- o communications with Central Office
- o continuity of training
- o degree of decentralization of decisions including planning
- o potential duplication of Regional Office and District Office responsibilities
- o need for Regional staff

The problems expressed at the Regional level are being addressed within the Board organization. With the changing chairmanship has come some organizational changes. Communications between the Central Office and the Regions is improved. Decentralization of Board and Central Office functions is taking place. To the extent that decentralization increases Regional functions, community contact is increased and recent supreme court decisions impact on Regional activities, additional staff may become necessary. For the period of the evaluation, additional Regional staff was not required.

Problems expressed by Sub-Offices were

- o differential caseloads (SRS) and agent morale
- o increasing special probation and parole workload
- o clerical workload

Two of the five Sub-Offices visited expressed a need for some additional space. A major concern, however, was the range of caseloads per agent from 35 to close to a hundred. The variation in caseloads is due to program requirements, agent vacancies and differential growth of caseloads between areas. Adjustments in caseloads are made by transferring of cases between agents and offices. Some differential should be expected and real problems arise only if these differentials are seen as large and/or discriminatory. SRS agents have maximum caseloads of 40 which are perceived as artificial and discriminatory by Sub-Office personnel.

Increasing special probation and parole caseloads have also increased the presentence investigations conducted by Sub-Offices. One clerk-typist is unable to handle the paperwork of the typical Sub-Office and the overload is presently handled by District Office personnel.

4.4 CASELOADS

Caseloads have increased over the past five years throughout Pennsylvania as can be seen in Table 4-1. The caseload for the state as a whole increased 80.8%. Harrisburg, the region with the smallest caseload, and Philadelphia, the region with the largest caseload, increased at 76% while Allentown showed 116%, the largest regional increase over the same time period.

Table 4-1

Total Caseload Summary, 1968 to 1973¹

	Regions						Pennsylvania
	I	II	III	IV	V	VI	
1968	2,896	619	450	464	938	480	5,847
1969	2,854	666	442	464	978	461	5,875
1970	2,953	737	470	458	975	514	6,107
1971	3,464	842	545	531	1,123	607	7,112
1972	4,571	1,133	704	654	1,358	730	9,150
1973	5,106	1,340	792	834	1,513	986	10,571
Rate of increase 1968 to 1973 (Per Cent)	76.3	11.65	76.0	79.7	61.3	105.4	86.8

¹For July 1 of each year

As can be seen in Table 4-2, the composition of the caseload has changed dramatically. Special Probation and Parole caseloads increased almost 500% for the state as a whole with similar rates of increase for the regions. The Special Probation and Parole caseload now constitutes a third of the total caseload.

Table 4-2

Composition of Caseload for Pennsylvania, 1968 to 1973¹

	Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total
1968	750	5,847	12.8
1969	959	5,875	16.3
1970	1,241	6,107	20.3
1971	1,830	7,112	25.7
1972	2,790	9,150	30.5
1973	3,554	10,571	33.6

¹For July 1 of each year

The overall growth of Special Probation and Parole impacts differently upon the regions as can be seen in Tables 4-3 and 4-4. For the Harrisburg region, only 14.4% of the total caseload is in this category. This low utilization of PBPP services by county courts results in Harrisburg having the lowest regional total caseload. Not reflected in the caseload data is the work requirement of pre-sentence investigations requested by county courts. Erie, in contrast to Harrisburg has 51.4% of its caseload in Special Probation and Parole.

Table 4-5 shows the Regional caseloads by District and Sub-Office. Caseload data prior to October, 1972 was not reported to the Central Office by Sub-Office breakdowns. Caseloads for District and Sub-Offices show more fluctuation than those for regions due to intra-regional transfers of cases. Caseload shifts since July, 1973 are due to SRS program transfers.

Table 4-3

Composition of Total Caseloads: Regions I, II and III
1968 to 1973¹

	Philadelphia, Region I			Allentown, Region II			Harrisburg, Region III		
	Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total	Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total	Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total
1968	301	2,896	10.4	71	619	11.5	30	450	6.7
1969	357	2,854	12.5	106	666	15.9	47	442	10.6
1970	554	2,953	18.8	152	737	20.6	44	470	9.4
1971	951	3,464	27.5	189	842	22.4	60	545	11.0
1972	1,505	4,571	32.0	291	1,133	25.7	95	704	13.5
1973	1,719	5,106	33.7	330	1,340	24.6	114	792	14.4

¹For July 1 of each year

Table 4-4

Composition of Total Caseloads: Regions IV, V and VI
1968 to 1973¹

	Williamsport, Region IV			Pittsburgh, Region V			Erie, Region VI		
	Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total	Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total	Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total
1968	140	464	30.2	86	938	9.2	122	480	25.4
1969	168	464	36.2	139	978	14.2	142	461	30.8
1970	152	458	33.2	172	975	17.6	167	514	32.5
1971	195	531	36.7	219	1,123	19.5	216	607	35.6
1972	253	654	38.7	349	1,358	25.7	297	730	40.7
1973	391	834	46.9	493	1,513	32.6	507	986	51.4

¹For July 1 of each year

Table 4-5

Caseloads by Region, District and Sub-Office
October 1, 1972 to January 1, 1974

	October 1, 1972	January 1, 1973	July 1, 1973	January 1, 1974
<u>Region I (Philadelphia)</u>				
Philadelphia District Office	4,174	4,308	4,431	4,537
Chester District Office	<u>647</u>	<u>669</u>	<u>675</u>	<u>695</u>
Total	4,821	4,977	5,106	5,232
<u>Region II (Allentown)</u>				
Wilkes-Barre District Office	233	238	249	244
Scranton Sub-Office	70	70	72	117
Allentown District Office	580	589	551	661
Reading Sub-Office	102	131	144	164
Norristown Sub-Office	<u>202</u>	<u>216</u>	<u>324</u>	<u>322</u>
Total	1,187	1,244	1,340	1,508
<u>Region III (Harrisburg)</u>				
Harrisburg District Office	489	530	472	582
Lancaster Sub-Office	133	124	141	101
York Sub-Office	<u>121</u>	<u>112</u>	<u>179</u>	<u>143</u>
Total	743	766	792	826
<u>Region IV</u>				
Williamsport District Office	332	373	391	475
State College Sub-Office	70	78	92	54
Altoons District Office	209	207	250	358
Johnstown Sub-Office	<u>80</u>	<u>98</u>	<u>101</u>	<u>—</u>
Total	691	756	834	887
<u>Region V</u>				
Pittsburgh District Office	1,300	1,342	1,405	1,438
Greensburg Sub-Office	<u>105</u>	<u>106</u>	<u>108</u>	<u>160</u>
Total	1,405	1,448	1,513	1,598
<u>Region VI</u>				
Erie District Office	265	211	285	327
Sharon Sub-Office	182	243	216	138
Butler District Office	305	316	372	400
Aliquippa Sub-Office	<u>59</u>	<u>122</u>	<u>113</u>	<u>99</u>
Total	811	892	986	964

4.5 STAFFING

Tables 4-6, 4-7, 4-8 and 4-9 indicate the Regional staffing trends, agents and total staff, for a two-and-a-half year period. Staff has increased along with increasing caseloads. The opening of Sub-Offices, except in the cases of Philadelphia and Pittsburgh has permitted the District Offices to maintain approximately the same size staff.

As can be seen from Tables 4-10 and 4-11, assigned staffing patterns are markedly different between District Offices, Sub-Offices and Community Parole Centers. Sub-Offices are heavy on supervisory personnel with an average of one supervisor per 2.7 agents for July, 1973. The ratio for District Offices, including the District Supervisor, is almost double at 5.1. Program support, by contrast, is low for Sub-Offices while the number of paraprofessionals is relatively high.

The difference in staffing patterns can be attributed to the smaller scale of Sub-Offices. The typical Sub-Office has one supervisor, two to three agents, one human service aide and one clerk-typist. The typical unit in the District Offices has one supervisor, the equivalent of two program support personnel, seven agents, no paraprofessionals except in Philadelphia and Pittsburgh Regions, and the equivalent of three clerical personnel. This pattern would indicate that in the Sub-Offices supervisors are expected to provide program support and paraprofessionals are expected to assist agents with caseloads.

Table 4-6

Agents Staffing¹, Regions I, II and III
May 6, 1971 to December 3, 1973

	May 6 1971	Feb 24 1972	July 1 1972	Jan 12 1973	July 12 1973	Dec 3 1973
Region I (Philadelphia)						
Philadelphia District Office	65	91	98	102	96	98
Chester District Office	—	<u>10</u>	<u>13</u>	<u>12</u>	<u>13</u>	<u>16</u>
Total	65	101	111	114	109	114
Region II (Allentown)						
Wilkes-Barre District Office	5	4	6	5	4	4
Scranton Sub-Office		2	2	2	2	2
Allentown District Office	13	14	19	14	16	17
Reading Sub-Office		2	2	1	2	2
Norristown Sub-Office	—	<u>4</u>	<u>4</u>	<u>3</u>	<u>3</u>	<u>4</u>
Total	18	26	33	25	27	29
Region III (Harrisburg)						
Harrisburg District Office	12	12	18	15	13	14
Lancaster Sub-Office		2	2	2	3	2
York Sub-Office	—	<u>2</u>	<u>2</u>	<u>3</u>	<u>3</u>	<u>3</u>
Total	12	16	22	20	19	19

¹Assigned Agent Positions

Agents Staffing¹, Regions IV, V and VI
 May 6, 1971 to December 3, 1973

	May 6 1971	Feb 24 1972	July 1 1972	Jan 12 1973	July 12 1973	Dec 3 1973
Region IV						
Williamsport District Office	9	10	10	11	10	10
State College Sub-Office		4	2	5	2	2
Altoona District Office	5	5	6	6	7	8
Johnstown Sub-Office	—	<u>1</u>	<u>2</u>	<u>2</u>	<u>2</u>	<u>1</u>
Total	14	20	20	24	21	21
Region V						
Pittsburgh District Office	26	37	35	38	38	36
Greensburg Sub-Office	—	<u>2</u>	<u>2</u>	<u>2</u>	<u>2</u>	<u>3</u>
Total	26	39	37	40	40	39
Region VI						
Erie District Office	6	6	9	5	5	8
Sharon Sub-Office		2	2	6	5	5
Butler District Office	9	9	10	10	9	9
Aliquippa Sub-Office	—	<u>2</u>	<u>2</u>	<u>2</u>	<u>3</u>	<u>3</u>
Total	15	19	23	18	22	25

¹Assigned Agent Positions

Table 4-8

Total Staffing, Regions I, II and III
May 6, 1971 to December 3, 1973

	May 6 1971	Feb 24 1972	July 1 1972	Jan 12 1973	July 12 1973	Dec 3 1973
Region I (Philadelphia)		1	1	1	1	1
Philadelphia District Office	115	170	181	198	194	199
Chester District Office	—	<u>16</u>	<u>19</u>	<u>20</u>	<u>29</u>	<u>30</u>
Total	115	187	201	219	224	230
Region II (Allentown)			1	1	2	1
Wilkes-Barre District Office	10	11	13	13	10	10
Scranton Sub-Office		4	4	6	5	5
Allentown District Office	24	24	27	27	33	34
Reading Sub-Office		2	3	4	5	4
Norristown Sub-Office	—	<u>5</u>	<u>5</u>	<u>6</u>	<u>6</u>	<u>7</u>
Total	34	46	53	57	61	61
Region III (Harrisburg)		1	1	1	1	1
Harrisburg District Office	22	26	31	31	35	38
Lancaster Sub-Office		4	4	4	5	4
York Sub-Office	—	<u>3</u>	<u>3</u>	<u>5</u>	<u>5</u>	<u>4</u>
Total	22	34	39	41	46	47

¹Assigned Total Positions

Total Staffing¹, Regions IV, V and VI
 May 6, 1971 to December 3, 1973

	May 6 1971	Feb 24 1972	July 1 1972	Jan 12 1973	July 12 1973	Dec 3 1973
Region IV		1	1	1	1	1
Williamsport District Office	15	17	17	22	20	22
State College Sub-Office		5	4	7	6	6
Altoona District Office	9	10	11	12	12	16
Johnstown Sub-Office	—	<u>3</u>	<u>4</u>	<u>5</u>	<u>5</u>	<u>2</u>
Total	24	36	37	46	44	46
Region V		1	1	1	2	2
Pittsburgh District Office	45	71	72	85	90	89
Greensburg Sub-Office	—	<u>4</u>	<u>4</u>	<u>4</u>	<u>4</u>	<u>5</u>
Total	45	76	77	90	96	96
Region VI		1	1	1	1	1
Erie District Office	10	11	15	11	11	19
Sharon Sub-Office		4	4	10	8	8
Butler District Office	15	16	18	18	17	17
Aliquippa Sub-Office	—	<u>4</u>	<u>4</u>	<u>6</u>	<u>7</u>	<u>7</u>
Total	25	36	42	46	44	52

¹Assigned positions

Table 4-10

Summary of Staffing Pattern¹,
 District Offices of Regions, Community Parole Center and Sub-Offices,
 July 12, 1973

	<u>District Offices</u>		<u>Community Parole Centers</u>		<u>Sub-Office</u>		<u>Total</u>	
	Number	%	Number	%	Number	%	Number	%
Supervisory	37	9.1	10	12.7	10	17.9	57	10.5
Program Support ²	69	16.9	4	5.1	1	1.8	74	13.6
Agents	188	46.1	24	30.4	27	48.1	239	44.0
Paraprofessionals ³	27	6.6	29	36.6	8	14.3	64	11.8
Administrative and Clerical	87	21.3	12	15.2	10	17.9	109	20.1
Total	408	100.0	79	100.0	56	100.0	543	100.0

Table 4-11
 Summary of Staffing Pattern¹
 District Offices of Regions, Community Parole Centers and Sub-Offices
 December 3, 1973

	District Offices		Community Parole Centers		Sub-Office		Total	
	Number	%	Number	%	Number	%	Number	%
Supervisory	35	8.8	7	10.3	7	14.0	49	9.5
Program Support ²	34	8.6	5	7.4	1	2.0	40	7.8
Agents	201	50.8	22	32.4	26	52.0	249	48.4
Paraprofessionals ³	32	8.1	23	33.8	7	14.0	162	12.1
Administration and Clerical	94	23.7	11	16.1	9	18.0	114	22.1
Total	396	100.0	68	100.0	50	100.0	514	100.0

¹Assigned staff positions, excludes Regional, Central Office and institution assigned personnel. There were 42 vacancies or 8.3% of the total assigned positions.

²Includes Planners, Psychologists, Investigators and Warrant Personnel.

³Includes Human Service Aides and Work Program Trainees

In December, 1973, less than half of the positions in the Sub-Offices were paid from the Regional Office and Sub-Office Continuation Subgrant.

Tables 4-12 and 4-13 indicate the allocation of Board staff between Central Office, Institutions and Regions (actual delivery of probation and parole services). The increase in PBPP staff, contrary to most speculation, did not result in a disproportionate increase in Central Office support personnel. The proportion actually declined over the two-and-a-half year period.

Table 4-12

Summary of Total Staffing,
May 6, 1971 to December 3, 1973

	May 6 1971	Feb 24 1972	July 1 1972	Jan 12 1973	July 12 1973	Dec 3 1973
Central Office	76	99	108	107	114	119
Institutions	18	29	25	28	28	27
Regions	<u>265</u>	<u>415</u>	<u>449</u>	<u>499</u>	<u>515</u>	<u>532</u>
Total	359	543	582	634	657	678

Table 4-13

Summary of Total Staffing
Per Cent Distribution
May 6, 1971 to December 3, 1973

	May 6 1971	Feb 24 1972	July 1 1972	Jan 12 1973	July 12 1973	Dec 3 1973
Central Office	21.2	18.2	18.6	16.9	17.4	17.6
Institutions	5.0	5.3	4.3	4.4	4.3	4.0
Regions	<u>73.8</u>	<u>76.5</u>	<u>77.1</u>	<u>78.7</u>	<u>78.3</u>	<u>78.4</u>
Total	100.0	100.0	100.0	100.0	100.0	100.0

4.6 CASELOAD RATIOS

As can be seen in Table 4-14, the caseloads per agent and per staff have decreased over the past two-and-a-half years. Sub-Offices are sustaining higher caseload ratios than District Offices.

Table 4-14

Pennsylvania Caseload Ratios¹, 1971-1974

	July, 1971 ²		July, 1973		January, 1974 ³	
	Per Agent	Per Staff	Per Agent	Per Staff	Per Agent	Per Staff
District Office			43.0	20.3	43.6	20.9
Sub-Office			55.2	26.6	49.9	26.0
Total	47.4	26.8	44.4	21.0	44.2	21.4

¹Excludes Regional, Central Office and institution assigned personnel

²Calculated with staff for May 6, 1971

³Calculated with staff for December 3, 1973

Table 4-15 shows Regional caseload trends per agent and total staff over the past two years. Regional caseload per agent decreased except in the cases of Allentown and Williamsport Regions. Caseload per staff decreased in all cases. Allentown Region showed wide differences in caseload ratios between District Offices and Sub-Offices. Not reflected in this breakdown is the high caseload ratios of the general caseload as compared to SRS and other special program caseload which in late 1973 exceeded 100 per agent in several Regions.

Table 4-15

Regional Caseload Ratios: 1971-1974

	July, 1971 ¹		July, 1973		January, 1974 ²	
	Per Agent	Per Staff	Per Agent	Per Staff	Per Agent	Per Staff
<u>Region I (Philadelphia)</u>						
Philadelphia District Office			46.2	22.8	46.3	22.8
Chester District Office			51.9	23.3	43.4	23.2
Total ³	53.3	30.1	46.8	22.8	45.9	22.7
<u>Region II (Allentown)</u>						
Wilkes-Barre District Office			62.3	24.9	61.0	24.4
Scranton Sub-Office			36.0	14.4	58.5	23.4
Allentown District Office			34.4	16.7	38.9	19.4
Reading Sub-Office			72.0	28.8	82.0	41.0
Norristown Sub-Office			108.0	54.0	80.5	46.0
Total	46.8	24.8	49.6	22.0	52.0	24.7
<u>Region III (Harrisburg)</u>						
Harrisburg District Office			36.3	13.5	41.6	15.3
Lancaster Sub-Office			47.0	28.2	50.5	25.3
York Sub-Office			59.7	35.8	47.7	35.8
Total	45.4	24.8	41.7	17.2	43.5	17.6
<u>Region IV (Williamsport)</u>						
Williamsport District Office			39.1	19.6	47.5	21.6
State College Sub-Office			46.0	15.3	27.0	9.0
Altoona District Office			35.7	20.8	44.8	22.4
Johnstown Sub-Office			50.5	20.2	-	-
Total	37.9	22.1	39.6	19.4	42.2	19.7
<u>Region V (Pittsburgh)</u>						
Pittsburgh District Office			37.0	15.6	39.9	16.2
Greensburg Sub-Office			54.0	27.0	53.3	32.0
Total	43.2	25.0	37.8	15.9	41.0	16.8
<u>Region VI (Erie)</u>						
Erie District Office			57.0	25.9	40.9	36.3
Sharon Sub-Office			43.2	27.0	27.6	17.3
Butler District Office			41.3	21.9	44.4	23.5
Aliquippa Sub-Office			37.7	16.1	33.0	14.1
Total	40.5	24.3	44.8	22.9	38.6	18.9

¹Calculated with staff for May 6, 1971²Calculated with staff for December 3, 1973³Excludes Regional Personnel

4.7 PAROLEE PERFORMANCE

The Regional Office and Sub-Office project reflects the Board's decentralization and new programming policies. Services have become more localized and sensitive to community relations and resources. The purpose of these policies is to impact upon recidivism or return to crime.

The gross failure rate for Pennsylvania is calculated as total returns, delinquencies, violent death and case closings of clients with new offenses as a percentage of the annual supervised caseload. Appendix D details the methodology for calculating this failure rate. While this rate declined from 1970 to 1972 from approximately 10.3% to 6.2%, the rate for calendar year is 7.0%. One might conclude from this decline that parolee performance is deteriorating and that Board policies and programs are no longer affecting recidivism.

Caution must be exercised in the interpretation of this failure rate. It should not be interpreted to mean that of a 100 persons released on parole 7 will return. This failure rate means of approximately 13,000 persons under the supervision of Board during the year, many of which have spent 2 years or longer on parole, there were approximately 900 recommitted. The successful parolees of previous years are included in the base against which new failures are contrasted.

Of each 100 parolees released from the Federal Bureau of Prisons, approximately 35% are returned to prison or are considered delinquent (absconded from supervision) indicating that the gross failure rate may tend to mislead and underestimate recidivism. The major reason for the decline of the gross failure rate has been the greatly increased rate of parole which quickly expanded the base against which failures are calculated. This larger group then recidivated in succeeding years while the number paroled declined resulting in a higher failure rate.

The best methodology for calculating recidivism is to track a group of parolees for at least three years¹. Unfortunately, annual follow-up studies are not available and recidivism must be estimated by another approach. In the case of a relatively stable inflow of parolees, the ratio of parolees returned to prison to number paroled reflects the percentage of cases which fail or recidivate. The average length of time on parole is more than two years and approximately 5% of parolees have recidivated after having been on parole for more than two years. With a stable inflow of parolees, parolee performance spread over the period of supervision can be gauged by the ratio of returned to prison to number released on parole. As can be seen on Table 4-16, the number released on parole was relatively stable from calendar year 1967 to 1970. For this period the ratio of returned to released ranged from 31.2% to 36.2%. For 1971, however, the almost 50% increase in persons released resulted in a ratio of 19.6%. Ratios calculated after 1970 are not reliable indicators due to sharp increases and declines of number of persons released.

¹A PBPP study of 179 parolees released in 1968 indicated a return to prison rate of 24.0% after a three year tracking period.

Table 4-16

Paroled and Parolees Returned to Prison, 1967 to 1973

Year	Released			Returned to Prison		
	Paroled	Reparoled	Total	Technical Violation	New Commitment	Total
1967	1,877	235	2,112	318	347	665
1968	1,731	225	1,956	378	331	709
1969	1,525	231	1,756	272	275	547
1970	1,771	319	2,090	419	319	738
1971	2,364	543	2,907	309	262	571
1972	2,288	332	2,620	284	297	581
1973	2,169	312	2,481	301	229	530

Table 4-17

Parolees Returned to Prison
as Per Cent of Released, 1967 to 1973

Year	Technical Violation	New Commitment	Total
1967	15.1	16.4	31.5
1968	19.3	16.9	36.2
1969	15.5	15.7	31.2
1970	20.0	15.3	35.3
1971	10.6	9.0	19.6
1972	10.8	11.3	22.1
1973	12.1	9.2	21.4

To ameliorate this effect of sharp increases and declines of number released on parole, Table 4-18 shows the ratios calculated from averages of the year and the two previous years. The logic of this calculation is that the recidivism of the year is also affected by the number of parolees of the two previous years.

Table 4-18

Revised Estimate of Returned to Prison
Using Three Year Average of Released, 1967 to 1973

<u>Year</u>	<u>Three Year Average of Released</u>	<u>Returned to Prison as Per Cent of Released</u>		
		<u>Technical Violation</u>	<u>New Commitment</u>	<u>Total</u>
1967	2,182	14.6	15.9	30.5
1968	2,093	18.1	15.8	33.9
1969	1,941	14.0	14.2	28.2
1970	1,934	21.7	16.5	38.2
1971	2,251	13.7	11.6	25.3
1972	2,539	11.2	11.7	22.9
1973	2,669	11.3	8.6	19.9

For the period of 1967 to 1971, the new ratio varied from 28.2% to 38.2%. An estimate for this period calculated on the average for the five years would be 31.2%. For the period 1971 to 1973, the establishment stage of regionalization and operations of Sub-Offices, the new ratio varies from 19.9% to 25.3%. An estimate for this three year period would be 22.7%. The difference between 22.7% and 31.2% is statistically significant at the .002 level and shows a superior parolee performance over the past two years.

Returned to prison is divided into technical violations of conditions of parole and commitment due to conviction of new offenses. Both of these rates show improvement over the past three years reflecting both the change in Board policy regarding conditions of parole and an impact on actual return to crime.

4.8 FINANCIAL ANALYSIS

Consistent with the increasing caseloads, decreasing caseload ratios, service and direct subsidies to counties, PBPP expenditures have increased over the past three years.

Table 4-19

Expenditures of Board of Probation and Parole,
Fiscal Years 1971 to 1974 (in \$000)

Fiscal Year	Personal Services ¹	Operations			Grants and Subsidies to Counties	Total
		Supplies, Materials & Contract- ual Services	Furniture and Equipment	Total		
1971	3,121.6	534.4	46.6	3,704.6	721.0	4,425.6
1972	4,443.5	884.8	189.8	5,518.1	838.0	6,356.1
1973	7,034.3	1,274.8	39.5	8,348.6	1,149.8	9,498.4
1974 ²	8,330.2	2,389.8	77.1	10,797.1	3,323.0	14,120.1

¹Includes salaries, contracted personal services and employee benefits

²Budget estimate

Expenditures have increased at a rate greater than the caseload and operations expenditures per average caseload increased 50% from 1971 to 1973. While inflation has affected costs, this increase indicates increased quality of supervision (lower caseloads per agent and increased program support). These increases have been offset somewhat by the lower return to prison rate.

Parolees returned to prison spend a little over an additional year in prison. Costs of incarceration are approximately ten times higher than costs of parole supervision. Savings on an estimated 230 parolees maintained on supervision during Fiscal Year 1974 are approximately \$1.5 million.

Table 4-20

Expenditures per Average Annual Caseload, 1971 to 1973

Fiscal Year	Operations Expenditures (in \$000)	Average Caseload	Expenditures per Caseload (\$)
1971	3,704.6	6,610	560
1972	5,518.1	8,131	679
1973	8,348.6	9,860	847

Fund sources for PBPP expenditures have changed drastically in recent years as can be seen in Tables 4-21 and 4-22. The Commonwealth operations appropriation per average caseload was \$548 in 1971, \$553 in 1973 and may actually decline slightly for 1974. Federal grants for operations are approaching parity with Commonwealth operations appropriations. Federal support of county subsidies has increased greatly.

Table 4-21

Fund Sources, for Expenditures
Fiscal Years 1971 to 1974 (in \$000)

Fiscal Year	<u>Commonwealth Appropriation</u>		<u>Federal Grants</u>		Total
	Operations	County Subsidy	Operations	County Subsidy	
1971	3,620.0	721.0	86.0	-	4,427.0
1972	4,148.7	838.0	2,077.1	-	7,063.8
1973	5,452.5	1,149.8	2,899.0	-	9,501.3
1974	5,889.0	1,150.0	4,908.9	2,173.0 ¹	14,120.9

¹Sub-Grants from Regional Councils of Governor's Justice Commission

Table 4-22

Per Cent Distribution of Fund Sources
Fiscal Years 1971 to 1974

Fiscal Year	<u>Commonwealth Appropriation</u>		<u>Federal Grants</u>		Total
	Operations	County Subsidy	Operations	County Subsidy	
1971	81.8	16.3	1.9	-	100.0
1972	58.7	11.9	29.4	-	100.0
1973	57.4	12.1	30.5	-	100.0
1974	41.7	8.1	34.8	15.4	100.0

Table 4-23 indicates the source of Federal grants. The Regional Office and Sub-Office subgrants have constituted 25% of the total operations subgrants. The SRS operations program, a continuing source of funds with no planned termination, now exceeds the Governor's Justice Commission in operations financial support.

Table 4-23

Grants Awarded to Board in
Fiscal Years 1971 to 1974 (in \$000)

Fiscal Year	Governor's Justice Commission			Total	Social & Rehab. Service, U.S. Department of H.E.W.	Total
	Regional Office and Sub-Office	Other Operations	County Subsidy			
1971	-	479.0	-	479.0	-	479.0
1972	334.3	1,312.5	-	1,646.8	-	1,646.8
1973	363.1	1,512.9	-	1,876.0	203.4	2,079.4
1974	438.2	1,704.6	2,173.0	4,315.8	2,589.7	6,905.5

SECTION 5

FINDINGS AND RECOMMENDATIONS

The Interim Evaluation Report identified the SRS program and Board dependency on Federal funding as key issues for the agency. While some progress has been made, these remain the areas for agency concentration.

5.1 RESULTS

Project personnel are in accord with the objectives of the project as envisioned by the Board. The project is achieving the overall goals of assistance to the Board for case decisions and improved case supervision.

Decentralization has continued throughout the project period. Planning and additional implementation of decentralized activities and decisions can be expected to continue.

The Regional Offices are providing a necessary link from the Central Office to the field. With the growth in the caseload and staff, the Regional Offices have improved communications from the field and Central Office.

The Sub-Offices are providing parole services closer to the communities. Specifically travel time has been reduced, community resources are being utilized, and the community and parolees better recognize the Sub-Offices as agencies of assistance. One result of reduced travel time is the ability of the agent to supervise a larger caseload than would be possible from the District Office.

Decentralization policies, changed regulations governing parole and a change in treatment philosophy has resulted in a lower return to prison rate. The impact of each of the above on the return to prison rate is not separable nor identifiable. Together they constitute overall PBPP policy of recent years.

5.2 PROBLEMS

Two elements of the Board's changed approach to case supervision are team supervision and Guided Group Interaction (GGI). While the Sub-Offices have reduced travel time, non-urban caseloads are not concentrated and travel is still required. Consequently, the agent spends much of his time out of the office and team supervision of cases is difficult in comparison with the urban situation.

Guided Group Interaction is now less a tool of supervision as compared to a year ago. The reasons for its decline are:

- o Financial GGI sessions after working hours require payment to the agent for overtime.
- o Administrative GGI is not as vigorously pursued by the Board as previously. GGI is seen as duplicating the required personal contacts.
- o Capability Some agents are not sufficiently proficient in the conduct of GGI sessions.

MetaMetrics, in its interviews with parolees, agents and supervisors, found that GGI improved the communications between the parolee and agents and that Board personnel are generally in favor of the technique.

The SRS program, in addition to agent concerns on inequities of caseloads, is largely counter-decentralizing in its implementation. While many SRS agents are making use of the field locations of the Sub-Offices, paperwork, supervision and reporting procedures tend to focus the agent's energy toward the District Offices. In several cases, however, the SRS program is using community offices.

Annual operations expenditures of the Board have doubled over the past two years. Caseloads have increased 50% over the same period and expenditures per caseload have increased from \$560 to \$847. The Commonwealth operations appropriations per caseload have remained roughly constant at \$550 over the same time period. The difference is financed through Federal Grant from the Governor's Justice Commission and the Social Rehabilitation Service of the U.S. Department of Health, Education and Welfare. Federal grants for operations are approaching parity with Commonwealth operation appropriations.

One consequence of the financial constraints faced by the agency is the phasing out of the Johnstown Sub-Office and its conversion to an SRS status. Approximately half of the staff positions in Sub-Offices are funded by the continuation subgrant.

The Pennsylvania caseload composition is changing with an increasing proportion of special probation and parole cases. With this shift, the Commonwealth is assuming another traditional county responsibility.

5.3 RECOMMENDATIONS

The Regional Office and Sub-Office project is integral to the Board's changing approach to parole and probation supervision. The project, in addition to being a means to efficiently deliver parole services, is a responsive mechanism to community and county needs for probation and related services and activities. In anticipation of strengthening this concept, MetaMetrics makes the following recommendations.

5.3.1 Pennsylvania Board of Probation and Parole

The Board should continue its decentralization planning and implementation. Guided Group Interaction should be analyzed for explicit policies regarding its utilization and promulgation.

Means to better integrate the SRS program into the Board's overall effort should be explored. Artificial caseload limits should be discarded or funding sought to lower general caseload levels per agent. The SRS program should have an explicit community orientation, both in philosophy and physical location of agents.

The increasing proportion of special probation and parole caseloads requires the Board's attention. Consideration should be given to alternative means of assisting counties including increased subsidies, guidelines for services under subsidy funding and encouragement to counties in their quest for grants and local funding.

5.3.2 Governor's Justice Commission

The Commission should continue to fund and support this important project. Caseload constraints should not be imposed which would serve as an example of cooperation for the Board's overall responsibility to its clients. Caseload constraints should be placed only on small experimental or research caseloads to determine supervision effectiveness for Board consideration and policy.

5.3.3 Commonwealth of Pennsylvania

The Board has demonstrated an ability to reduce recidivism or return to crime of its parolees. This is the result of decentralization, improved case management and related program changes. The Commonwealth of Pennsylvania, in recognition of this achievement and considering the increasing probation caseload assigned by county courts, should provide the required financial and administrative support to continue the Board's efforts to impact upon crime

CONTINUED

1 OF 3

APPENDIX A

Evaluation Objectives and Guidelines



GOVERNOR'S JUSTICE COMMISSION
DEPARTMENT OF JUSTICE
COMMONWEALTH OF PENNSYLVANIA

Milton J. Shapp
Governor

J. Shane Creamer
Attorney General

E. Drexel Godfrey, Jr.
Executive Director
(717) 787-2040
Keith Miles
717-787-8559

Mr. Leo T. Surla, Jr.
MetaMetrics, Inc.
3711 Macomb Street, N.W.
Washington, D. C. 20016

Dear Leo,

I am writing as a follow-up to your selection as the independent evaluator of the following projects:

- DS-360-73A/E - Establishment of Regional Offices and Sub-Offices
- DS-362-73E - Establishment of a District Office and Outreach Centers

for the Governor's Justice Commission. Because the success of the Commission's system of project evaluation depends heavily upon the quality of the work performed by the Commission's contracted evaluators, it is important that you fully understand the purpose and use of your evaluation as well as your responsibilities and the Commission's needs in the evaluation process.

PURPOSE:

The primary objectives of your evaluation are:

- to provide continuous feedback to the project staff concerning the progress and problems of the project as determined by your evaluation.
- to provide accurate, complete, and timely information to decision-makers concerning the operation and impact of the project, with recommendations for modifications.

Mr. Leo T. Surla, Jr.
DS-360-73E/E
US-362-73E

REPORTING PROCEDURES:

The continuous feedback of findings to the project reflects our intent to have the evaluation meet the project's information needs as well as the Commission's, thereby effecting ongoing improvements in the project rather than relying on the Commission to act on year-end recommendations when a decision concerning continuation funding is being made. Operationally, this will require regular meetings between yourself and the project staff for each project to discuss your findings and recommendations.

The achievement of the second objective -- to provide information to decision-makers -- will require close contact between you and the Commission staff. As the projects you are evaluating near the end of the project year, decisions will be made at two stages concerning whether, and in what form, the project will be continued during the next year. Your evaluation will be the primary source of information used in making these decisions.

Hopefully, most of your evaluation recommendations can be implemented through direct negotiations between yourself, the project director, and a member of my staff. However, in the event that valid findings remain unaddressed when an application for continuation funding is submitted, these findings will be brought to the attention of the Executive Staff and the Governor's Justice Commission for consideration as conditions of the grant award. At this point my office will communicate with you concerning the presentation of your findings to the Commission. More clearly defined guidelines for the reporting process are enclosed.

NATURE AND TIMING OF EVALUATION REPORTS:

Although we will contact you concerning the date when a Final Report will be needed, as a general rule the information will be required between the 10th and 11th month of the project. An update of this final report should be submitted at the end of the project year. Copies of all evaluation report should be submitted simultaneously to the Project Director and my office. An Interim Report for each project should be completed and distributed by November 15, 1973.

Mr. Leo T. Surla, Jr.
DS-360-73A/E
DS-362-73E

A description of the information and issues which should be presented in the Interim and Final Evaluation Reports is attached ("Guidelines For Evaluation Reports"). Please follow this format in organizing your reports. Of particular importance is the "Executive Summary" listing the findings and recommendations of your evaluation. This will be reviewed by the Commission and, thus, should accurately reflect the results of the evaluation.

This is the first year of the Governor's Justice Commission's evaluation effort. During this year we plan to contract for the evaluation of 125 projects. In many ways it is an experimental year in that we are testing a new project evaluation system with many unknown variables. Among the more crucial of these unknown variables is the quality of the evaluations produced by the 100 independent evaluators we will be dealing with. It is the responsibility of the Evaluation Management Unit to assess the performance of individual evaluators and the quality of the evaluations conducted. Our specific criteria for this assessment will be the extent to which and the manner in which individual evaluators carry out their responsibilities as outlined in the attached statement ("Responsibilities of Project Evaluators"). Generally, we will be examining the following elements of the evaluation: (1) relevance and thoroughness of the methodology, (2) the conduct of evaluation activities, (3) the analysis and interpretation of data and information, (4) the accuracy and objectivity of the findings and recommendations, (5) the effective and timely presentation of the findings and recommendations. We will also be questioning the project staff concerning the nature and extent of their contact with evaluators to determine the extent of the cooperation they have received from specific evaluators. Through this assessment we hope to learn the kinds of evaluators and the level of evaluation best suited to specific projects and groups of projects. It will also provide us with better information upon which to base our selection of evaluators for next year's projects.

Because this is an experimental year in operating the system of project evaluation, we would also like your analysis of the problems you have encountered as a participant in this system. We would appreciate any suggestions for improvement which you might have.

Mr. Leo T. Surla, Jr.
DS-360-73A/E
DS-362-73E

Please excuse this lengthy letter, but I think that the guidelines outlined here should be helpful to you in conducting an effective evaluation.

If you have any questions, please contact my office.

NOTE: Please include the subgrant number in all correspondence concerning the projects you are evaluating (DS-360-73A/E, DS-362-73E).

Sincerely,

Keith M. Miles
Director
Evaluation Management Unit

KMM:pab

cc: E. Drexel Godfrey, Jr.
Thomas C. Berard
Karl W. Boyes
Martin Walsh



GOVERNOR'S JUSTICE COMMISSION
DEPARTMENT OF JUSTICE
COMMONWEALTH OF PENNSYLVANIA

Milton J. Shapp
Governor

E. Drexel Godfrey, Jr.
Executive Director
(717) 787-2010

Israel Packel
Attorney
General

GOVERNOR'S JUSTICE COMMISSION'S GUIDELINES
CONCERNING REPORTING PROCEDURES AND THE USE
OF EVALUATION REPORTS

Since the success and impact of the Governor's Justice Commission's project evaluation effort depends upon the extent to which evaluation findings and recommendations affect, and are incorporated in, the planning and funding decisions of the Governor's Justice Commission, the following guidelines should be followed to insure the most effective use of evaluation reports. These guidelines indicate responsibilities and specific actions, the objectives of which are to:

- ascertain and insure the accuracy and objectivity of the evaluation findings.
- provide the applicant with appropriate opportunities to respond to evaluation findings and recommendations.
- insure that actions are taken to incorporate and implement appropriate evaluation recommendations.

If you have any questions concerning these procedures, please contact Keith Miles, Director, Evaluation Management Unit, Governor's Justice Commission, P. O. Box 1167, Harrisburg, Pennsylvania 17078.

KMM:pab
August 16, 1973

SUBMISSION OF REPORTS:

In almost all cases we are requesting that project evaluators submit two evaluation reports - (1) an Interim Report, after approximately five months, describing the progress and problems of the evaluation and the project to date, and (2) a Final Report with findings and recommendations, to be submitted when needed for a Regional Planning Council or Task Force decision concerning continuation funding. Since this date varies between 9 and 11 months after the project has begun, it will be the responsibility of the Regional Staff to notify the project evaluator of the date when a Final Report will be needed. The evaluator should be given advance notice of this date to allow him sufficient time to analyze results and compile a final report.

To facilitate an adequate review of evaluation findings and recommendations by decision makers (Regional Planning Council and Commission members), each evaluator will be asked to prepare a brief two page Executive Summary, listing major findings and recommendations of the evaluation, as part of the Final Report.

To insure the objectivity and credibility of the evaluation, all evaluation reports must be submitted simultaneously to the Project Director, the Regional Director, and the Director of the Evaluation Management Unit.

CORROBORATION OF FINDINGS:

Upon receiving a Final Evaluation Report, the Evaluation Management Unit will immediately contact the Project Director and request his response to the Final Report. If significant disagreements exist, either (1) a monitoring team from the regional staff will meet with the Project Director and the Evaluator to reach an understanding concerning the evaluation findings and recommendations, or (2) an arbitrator will be selected by the Evaluation Management Unit to make a determination of the merits of the findings and recommendations. Hopefully, this fact-finding process will only be required in unusual circumstances and, when required, will be carried out with dispatch so as not to delay a decision on continuation funding for the project.

If the Evaluator has been providing constructive feedback to the Project Director throughout the year, the Final Evaluation Report should contain no startling findings or surprises. Nevertheless, disagreements will occur and this process may be necessary to insure a fair resolution of differences and an accurate determination of appropriate evaluation recommendations.

RELEASE AND DISTRIBUTION OF EVALUATION REPORTS:

We are aware of the harm that could result from a misleading or inaccurate Evaluation Report. Therefore, it will be our policy to withhold the release of an Evaluation Report until the Project Director has had sufficient opportunity to respond to the Report. It will be the responsibility of the Evaluation Management Unit to solicit a response from the Project Director. Therefore, until the Project Director has had a chance to respond, all requests for information about the evaluation report should be referred to the Evaluation Management Unit.

IMPLEMENTATION OF EVALUATION RECOMMENDATIONS:

The impact of the system of project evaluation will be measured by the extent to which it improves both the decision-making of the Commission and the Regional Planning Councils and the operation of the projects being evaluated. To affect the projects, evaluation findings and recommendations must regularly be brought to the attention of the project staff. This will be the continuing responsibility of the Evaluator. To affect the decision-making of the Commission and the Regional Planning Councils evaluation findings and recommendations should be brought to their attention before a decision is made concerning continuation funding or inclusion in the regional input to the Comprehensive Plan.

If evaluation recommendations have not been implemented when a request is made for continuation funding, there are several ways of incorporating the recommendations as part of the continuation grant:

1. By negotiation with the Project Director - It will be the responsibility of the Regional Staff to meet with the Project Director and the Evaluator to discuss whether, and how, to implement the evaluation recommendations. The application for continuation funding should specify what is being done to implement the evaluation recommendations. The Regional Staff should review the continuation application and note which evaluation recommendations are incorporated and which are not. If direct negotiation fails to resolve disagreements concerning certain recommendations, the issues should be presented to the Regional Planning Council.

2. As a condition of the Regional Planning Council's approval of the project - The Regional Staff, with the assistance of the Evaluator, will be responsible for presenting evaluation findings and recommendations to the Regional Planning Council and its Task Forces, noting which recommendations have been agreed upon and incorporated and which have not. At this point, the Regional Planning Council may recommend approval of the project conditional upon the implementation of the evaluation recommendations. If so, this fact should be noted on the Project Review Sheet sent to the Commission.

Both the Evaluator and the Project Director should be available if necessary at Regional Planning Council meetings to comment on the Evaluation Report. Because of the initial and central role of the Regional Staff in this process, we are taking steps to make sure that evaluators maintain regular contact with the Regional Staff and inform them regularly of the progress and problems of the project.

3. As a recommendation of the Executive Staff - If certain recommendations remain inadequately addressed by the project, this should be noted at Executive Staff Review by the Regional Director and the Director of the Evaluation Management Unit. At this point, the Executive Staff may recommend approval of the project conditional upon the implementation of the evaluation recommendations.

4. As a condition of the Commission's approval of the project - The Evaluator's two page Executive Summary will be distributed to the Commission. If the evaluator's findings remain in dispute, or if any Commissioner so requests, the Evaluator will be asked to appear before the Commission to respond to any questions about the Evaluation. Therefore, the Commission may wish to conditionally approve the project and to require that the evaluation recommendations be implemented prior to granting final approval. This represents the last point at which evaluation recommendations may be incorporated in continuation grants.

We expect and hope that most evaluation recommendations will be incorporated in the project in the early stages of the refunding process either through direct negotiation between the Regional Staff and the Project Staff or by Regional Planning Council actions.

FOLLOW-UP OF EVALUATION RECOMMENDATIONS:

In most cases when evaluation recommendations have been included as conditions placed on the Councils' or the Commission's approval of a project, the evaluator will check the project to determine the extent to which the recommendations have been implemented. In some cases, when an independent evaluator is not continued with the grant, the Regional Staff will assume responsibility for monitoring the implementation of evaluation recommendations.

EVALUATION AND THE PLANNING PROCESS:

Since evaluation reports will help in determining whether, and in what form, continuation funding for specific projects should be included in regional input to the Comprehensive Plan, the Evaluation Management Unit should be used as a resource in developing the regional and state annual plans. The Regional Planning Staff should notify the Evaluation

Management Unit as to the kind of information needed and by what date. Since evaluation reports are submitted at intervals in the project year and are not tied to the development of the Comprehensive Plan, written evaluation reports may not be available when needed for planning purposes. If written reports are not available, it should be possible to arrange for evaluators to present their findings to the Councils or the Commission upon request. The Evaluation Management Unit will assess the regions in arranging this.

In the future as the evaluation system begins to produce information regularly throughout the year, it should be possible to develop information to meet specific needs.

GUIDELINES FOR EVALUATION REPORTS

As a general rule, evaluators will be asked to submit two reports during the life of a project. A brief Interim Report midway in the project should indicate the progress and problems of the project and evaluation to date, while a more complete Final Evaluation Report will be required near the end of the project. The dates for submission of reports will be determined by the Evaluation Management Unit in accordance with the information needs of the Regional Councils and the Commission.

The kinds of information needed in these reports and a suggested order are outlined below. It is understood that all of the items below may not be relevant to all projects funded by the Commission. Also, evaluators should expand upon these items where necessary.

INTERIM EVALUATION REPORT

A. EVALUATION PROGRESS:

1. Describe evaluation activities to date.
2. Describe the progress and problems of data collection efforts. (existence, availability & relevance of the data; cost of collection, etc.)
3. What problems have arisen in implementing the Evaluation Plan?
4. In what ways has the evaluation or the evaluator been of benefit to the project staff thus far?

B. PROJECT PROGRESS:

1. Summarize the project activities thus far.
2. Have any problems arisen? (administrative, staffing, coordination, etc.)
3. Describe the results of the project thus far.
4. Interim recommendations. (These should be directed toward solving problems which have already arisen and anticipating future problems.)

FINAL EVALUATION REPORT

SECTION I. EXECUTIVE SUMMARY OF EVALUATION REPORT.

(Note: This summary is of great importance since it will be used extensively by decision-makers. It should accurately reflect the findings of the evaluation and should be no longer than two or three pages.)

1. Briefly describe the project's objectives and major activities.
2. Summarize major results, findings, and recommendations.

(Note: The evaluator should make a clear distinction between the immediate, practical recommendations and those requiring a longer time and greater resources to implement. The evaluator should also be prepared to defend these recommendations before the Regional Planning Councils and the Governor's Justice Commission.)

SECTION II. PROJECT ACTIVITIES.

1. Briefly describe the original goals and objectives of the project and the problem the project was to alleviate.
2. Describe the activities of the project.

SECTION III. EVALUATION ACTIVITIES.

1. Describe the nature, extent, and timing of all evaluation activities upon which this report is based.
2. Describe the data and information used in this evaluation. (source, date, reliability, validity, limitations, method of collection, etc.)
3. Explain the scope and limitations of the evaluation effort.
4. Describe how and when feedback was given to the project and any modifications made as a result of that feedback.

SECTION IV. PROJECT RESULTS AND ANALYSIS.

In this section the evaluator should address the following questions:

1. What are the results of the project and how do they differ from the "Anticipated Results" as outlined in the Subgrant Application?
2. What factors led to results other than those anticipated?
 - a. the administrative structure of the project.
 - b. the operation and management of the project.
 - c. the personnel involved in the project.
 - d. the evaluation process.
 - e. the planning of the project.
 - f. the basic approach or method used to attack the problem.
 - g. level and timing of funding.
 - h. the allocation of resources or project activity.
 - i. external events beyond the control of the project.
 - j. other.
3. What impact have the results of this project had on:
 - a. the problem as outlined in the "PROBLEM" section of the Subgrant Application?
 - b. the criminal justice system and/or the reduction of crime?

4. Could these same results have been obtained more efficiently by a different allocation of resources or project activity?
5. Based on your experience in this field and your knowledge of the relevant literature, how do the results of this project compare with:
 - a. the results of other projects using a similar approach or method to solve the problem?
 - b. the results of other projects using different approaches and methods?
 - c. the results which might have been expected in the absence of the project?
6. Aside from the project-specific results, what was learned from this project that should be pursued further?
7. What were the unintended consequences of the project?
8. Analyze the results of the project in terms of its costs.

SECTION V. FINDINGS AND RECOMMENDATIONS

1. State all findings and conclusions with specific reference to:
 - a. the extent to which project objectives were fulfilled.
 - b. the overall impact of the project on the problem it was intended to address.
 - c. the factors affecting the success of the project in achieving its objectives and the impact of the project.
2. State all recommendations concerning:
 - a. the appropriateness and practicality of project objectives.
 - b. the value of the basic method and approach used by the project to solve the problem.
 - c. the operation of the project (planning, staffing, project administration and operation, allocation of resources, etc.).
 - d. modifications in project objectives, methods and operations.
 - e. the cost of the project.
 - f. the continuation of the project.
 - g. the evaluation of this project.
 - h. other.
3. Discuss the implications of this project and your evaluation for Governor's Justice Commission policy in this area of criminal justice and law enforcement.

7/19/73

RESPONSIBILITIES OF PROJECT EVALUATORS

In evaluating projects funded by the Governor's Justice Commission, evaluators should be aware of the two primary goals of such evaluation:

1. to provide the Commission and its Regional Councils with accurate information to allow effective decision-making.
2. to provide regular feedback to the project staff concerning potential problems and actual progress of the project.

In meeting these goals, general responsibilities of the evaluator will be: 1) assist in developing and implementing an evaluation plan; 2) conduct evaluation activities; and 3) analyze and present findings and recommendations. Specific responsibilities of the evaluator are:

A. Assist in Developing and Implementing an Evaluation Plan.

1. Assist the project staff in developing baseline data against which the results of the project can be measured. (In most cases this will be included in the "PROBLEM" section of the subgrant application where the nature and extent of the problem are identified and measured.)
2. Assist the project staff in identifying appropriate measurable goals for the project.
3. Determine relevant measures to evaluate the project results.
4. Determine how the data and information necessary to evaluate the project will be collected.
5. Determine what resources will be needed for the evaluation and how they will be allocated.
6. Plan and schedule specific evaluation activities.
7. Assist the project staff in developing an "Evaluation Plan" (description attached) and an evaluation budget for submission to the Evaluation Management Unit of the Governor's Justice Commission for approval.

B. Conduct Evaluation Activities.

1. Monitor the data collection process.
2. Periodically check the reliability and relevance of the data.
3. Observe and evaluate the administration and operation of the project.
4. Provide feedback to the project staff on a regular basis.
5. Modify the evaluation plan if necessary.
6. Submit an interim report on the problems and progress of the project and the evaluation. (description attached).

C. Analyze and Present Findings and Recommendations.

1. Compile, analyze and interpret the data.
2. Submit a final report (description attached) simultaneously to the regional staff, the Evaluation Management Unit, and the Project Director.
3. Meet with the Commission staff and the Project Director to discuss findings.

APPENDIX B

Evaluation of Regional Offices and
Sub-Offices of the Pennsylvania
Board of Probation and Parole

Design Memorandum
MMI 102-73

Submitted to

Pennsylvania Board of Probation and Parole
William C. Boor, Chairman

and

Pennsylvania Governor's Justice Commission
Hon. Israel Packel
Attorney General and Commission Chairman

MetaMetrics Inc.
3711 Macomb St., N.W.
Washington, D. C. 20016

July 27, 1973

CONTENTS

Introduction	Page 1
Overall Board Goals for Project	1
Project Components and Functions	4
Policy Considerations	6
Measures of Performance, Data Requirements and Evaluation Analysis	7
Procedures and Schedule	9
Appendix A - Interview Format	A-1

1. INTRODUCTION

The Regional Offices and Sub-Offices Project funded under a continuation sub-grant from the Governor's Justice Commission, is beginning the third year of operation. MetaMetrics Inc. is conducting the evaluation component of the project.

Evaluation began on July 1, 1973 simultaneously with the sub-grant period. During the first month, evaluation design meetings were held with Board officials, staff of the Governor's Justice Commission - Evaluation Management Unit, Regional Directors and selected project personnel. This Memorandum presents a detailing of project goals and objectives, policy issues, initial performance measures and evaluation and interview schedules.

2. OVERALL BOARD GOALS FOR PROJECT

Probation and parole for convicted offenders are alternatives to incarceration to improve the potential for rehabilitation within the community through job opportunities, education opportunities and family relations and support. Probation is a sentence served in the community under supervision and rules of conduct specified by the Court and the Board. Parole is release from prison to serve the

Central Office

- o Project management
- o Fiscal control
- o Information and data.
- o Program development

Regional Offices

- o Regional administration
- o Agency coordination
- o Program development
- o Demonstration project implementation

Sub-Offices

- o Case management
- o Investigations
- o Program implementation

4. POLICY CONSIDERATIONS

While project evaluation in terms of achievement of goals and objectives is the major focus of the evaluation effort, policy and planning decisions for the short and long term can benefit from some analysis on identified issues. From interviews and review of materials the following issues were identified as relevant to the evaluation:

Differential Effectiveness of Decentralization

- o Rehabilitation
- o Staff development
- o Location of offices
- o Staff organization

Administration of Decentralized Decision Making

- o Extent of responsibility at Regional level
- o Classes of decisions to be made in field and levels lower than the Board
- o Staff recruitment
- o Planning and budget
- o Duplication of activities
- o Relationship to Central Office Program development and implementation
- o Flow of communications
- o Conduct of hearings
- o Staff requirements

5. MEASURES OF PERFORMANCE, DATA REQUIREMENTS AND EVALUATION ANALYSIS

Data on evaluation measures of performance relate to achievement of stated goals and objectives of the project and the impact of the project on problems, the criminal justice system and crime. Evaluation data will be both qualitative and quantitative.

The achievement of stated goals and objectives and impact on problems and the criminal justice system will be measured by the following information:

- o The changing quality of information for case decisions being provided by the project
- o Reduction of agent and client travel time
- o Use of community resources and programs
- o Implementation of new parole programming
- o Increase in agent contact with client in the community
- o Responsiveness of parole services to community cultural requirements
- o Reduction of staff turnover and caseload transfer
- o Utilization of team approach

This information will be obtained through interviews and questionnaires. Evaluation analysis will focus on organizational, administrative, planning and program implementation factors.

The impact of the project on crime can be measured by the improved performance of clients on parole. A reduction of recidivism directly reduces the potential for crime. Data to measure this recidivism is presently collected by the Central Office and consists of recommitment and employment data.

Because of regional differences of recommitment rates between regions, evaluation analysis will rely heavily on historical data by Region and Sub-Office to indicate impact. The source of this data for the initial data collection phase will be the Central Office.

Additional project description and evaluation data to be collected includes identifiable alternatives, costs, side effects and external factors.

6.. PROCEDURES AND SCHEDULE

The Interim Report will be completed and delivered by November 1, 1973. The Final Report will be delivered by March, 1974.

Interviews with Regional Directors and selected Sub-Office Supervisors will take place during August. Data collection will be conducted in two stages to coincide with the Interim and Final Reports.

The following outline shows evaluation tasks and schedule:

Design	July 27, 1973
Project Description	August 24, 1973
Initial Data Collection and Analysis	October 12, 1973
Interim Report	November 1, 1973
Final Data Collection	December 21, 1973
Evaluation Analysis	January 25, 1974
Final Report	March 1, 1974

Appendix A

INTERVIEW FORMAT

Personal interviews will be conducted with each Regional Director and selected Sub-Office Supervisors during initial data collection. Information obtained will be for the beginning of fiscal year 1973 and 1974 in order to show change and provide project baseline data. Similar information will be collected during final data collection to indicate change during the current project period.

REGIONAL OFFICES

A. Office Resources

- o Description of office facility and location
- o Staff size and vacancies
- o Staff turnover and recruitment

B. Regional Coordination

- o Service agencies
- o Criminal justice agencies
- o Community relations

C. Case Decisions

- o Parole and reparole information procedures
- o Recommitment procedures
- o Hearings: number, type and location

D. Staff Activities

- o Travel
- o Staff development
- o Case management
- o Team approach
- o Case decisions
- o Program development
- o Program implementation
- o Coordination
- o General administration
- o Planning and budgeting

E. Regional Structure

- o District Office
- o Sub-Offices
- o Community Parole Centers
- o Communications

F. Regional Caseloads

- o Size and location
- o Assignment and transfers
- o Probationer - parolees
- o General characteristics
- o Effect of new programs (SRS and others)
- o Information procedures

SUB-OFFICES

A. Office Resources

- o Description of office facility and location
- o Staff size and vacancies
- o Staff turnover and recruitment

B. Community Coordination

- o Service agencies
- o Criminal justice agencies
- o Community relations

C. Case Decisions

- o Parole and reparole information procedures
- o Recommitment procedures
- o Hearings: number, type and location

D. Staff Activities

- o Travel
- o Staff development
- o Case management
- o Team approach
- o Case decisions
- o Program development
- o Program implementation
- o Coordination
- o General administration
- o Planning and budgeting

E. Office Structure

- o Sub-Offices
- o Community Parole Center
- o Communications

F. Office Caseloads

- o Size and location
- o Assignment and transfers
- o Probationer - parolees
- o General characteristics
- o Effect of new programs (SRS and others)
- o Information procedures

APPENDIX C

Evaluation of Regional Offices and
Sub-Offices of the Pennsylvania
Board of Probation and Parole

DS-360-73A/E

INTERIM EVALUATION REPORT

Technical Report 2
MMI 102-73

Submitted to

Pennsylvania Board of Probation and Parole
William C. Boor, Chairman

and

Pennsylvania Governor's Justice Commission
Hon. Israel Packel
Attorney General and Commission Chairman

MetaMetrics Inc.
3711 Macomb St., N.W.
Washington, D.C. 20016

December 14, 1973

TABLE OF CONTENTS

SECTION 1	Evaluation Progress	Page 1
	Data Collection and Analysis	Page 2
	Evaluation Plan and Project Liaison	Page 3
SECTION 2	Project Problems and Progress	Page 4
SECTION 3	Project Results	Page 7
	Board Goals and Objectives	Page 7
	Project Objectives and Activities	Page 9
	Caseloads	Page 10
	Staffing	Page 13
	Caseload Ratios	Page 17
	Parolee Performance	Page 19
	Financial Analysis	Page 23
	Project Performance	Page 27

LIST OF TABLES

Table 1	Caseloads: Regions I, II, III and Pennsylvania, Fiscal Years 1968 to 1973	Page 11
Table 2	Regional Caseloads, October 1, 1972 to July 1, 1973	Page 12

LIST OF TABLES

Table 3	Regional Staffing - Agents May 6, 1971 to July 12, 1973	Page 14
Table 4	Regional Staffing - Total May 6, 1971 to July 12, 1973	Page 15
Table 5	Summary of Staffing Pattern, District Offices of Regions, Community Parole Center and Sub-Offices, July 12, 1973	Page 16
Table 6	Caseload Ratios, 1971-1973	Page 18
Table 7	Paroled and Parolees returned to Prison Fiscal Years, 1967 to 1973	Page 20
Table 8	Revised Estimate of Recidivism using Three Year Average of Paroled, Fiscal Years 1967 to 1973	Page 22
Table 9	Expenditures of Board of Probation and Parole, Fiscal Years 1971 to 1974 (in \$000)	Page 23
Table 10	Expenditures per Average Annual Caseload, 1971 to 1973	Page 24
Table 11	Fund Sources, for Expenditures Fiscal Years 1971 to 1974 (in \$000)	Page 25
Table 12	Per Cent Distribution of Fund Sources Fiscal Years 1971 to 1974	Page 25
Table 13	Grants Awarded to Board in Fiscal Years 1971 to 1974 (in \$000)	Page 26

SECTION 1

EVALUATION PROGRESS

The evaluation of the Regional Offices and Sub-Offices project began on July 1, 1973. Initial meetings were held with the key planning personnel, a representative of the Evaluation Management Unit of the Governor's Justice Commission, and the Regional Directors. These initial meetings informed project personnel of the goals and procedures of the evaluation.

During the first month, meetings were held with the Chairman and key Board staff to determine Board goals for the project. At the end of July, a Design Memorandum was produced. This Memorandum outlined Board goals, project components, policy considerations, data requirements, interview formats, evaluation procedures and schedule for the eight month evaluation.

Initial data collection focused on descriptive and policy information obtained through interviews with field personnel and Central Office staff. Caseload and financial information was obtained from the Central Office. Interviews were conducted in three Regions with the remaining three Regions to be visited during final data collection.

Due to contract processing problems, the evaluation effort was suspended during October, 1973. Completion of the interim evaluation report was shifted from November 1, 1973 to December 14, 1973.

The project was originally scheduled to end in 8 months. Because of a lower level of expenditures and with the addition of approximately \$38,000.00 from other sources, the project was rescheduled to coincide with the Fiscal Year. Delivery of the final evaluation report will be schedule to meet project review requirements of the Board and the Governor's Justice Commission.

DATA COLLECTION AND ANALYSIS

Staffing and caseload information from February, 1970 to July, 1973 was obtained from the Board Central Office. General financial information for approximately the same period of time was also collected.

Interviews were conducted in the Regional Offices of Philadelphia (Region I), Allentown (Region II) and Harrisburg (Region III). The District Offices and Sub-Offices in these regions were also visited. Sub-Offices visited were: Lancaster, York, Scranton, Reading and Norristown. Interview information was collected using the interview formats.

Initial analysis was primarily descriptive and indicated staffing and caseload trends. Project issues were identified.

EVALUATION PLAN AND PROJECT LIAISON

With the adjustments for lengthening the project to 12 months, and the shifting of the completion date for the interim evaluation report, the evaluation plan is on schedule.

Evaluation progress and project issues were discussed periodically with key administration, operations and planning personnel of the Board. Full cooperation was provided in the data collection in the Central Office and the field.

An interim briefing will be presented to key Central Office personnel and Regional Directors and project issues will be clarified. Final data collection and analysis will be structured to assist in the resolution of program development problems and related evaluation issues.

SECTION 2

PROJECT PROBLEMS AND PROGRESS

Six Regional Offices and ten Sub-Offices were established in the early part of 1972. The project is presently under the third sub-grant, nearing completion of its second year, and is completely operational.

Through interviews, problems were expressed by project personnel.

These were:

Central Office

- o uncertainty of source of funds for continuation of project
- o caseload level constraints on overall project
- o union requirements for overtime pay for after regular hours activities by agents

Regional Offices

- o communications with Central Office
- o continuity of training
- o degree of decentralization of decisions including planning
- o potential duplication of Regional Office and District Office responsibilities
- o need for Regional staff

Sub-Offices

- o differential caseloads and agent morale
- o increasing special probation and parole workload
- o office space

The problems expressed by Central Office personnel are external, though very relevant, to the project proper. Closer coordination and joint planning with GJC and other state involved agencies should assist in the resolution of these problems. The funding problem has prompted the consideration of closing several of the Sub-Offices.

The problems expressed at the Regional level are being addressed within the Board organization. With the changing chairmanship has come some organizational changes. Communications between the Central Office and the Regions is improved. Decentralization of Board and Central Office functions is taking place. To the extent that decentralization increases Regional functions, community contact is increased and recent supreme court decisions impact on Regional activities, additional staff may become necessary.

Two of the five Sub-Offices visited expressed a need for some additional space. A major concern, however, was the range of caseloads per agent from 35 to close to a hundred. The variation in caseloads is due to program requirements, agent vacancies and differential growth of caseloads between areas.

Adjustments in caseloads are made by transferring of cases between agents and offices. Some differential should be expected and real problems arise only if these differentials are seen as large and/or discriminatory.

SECTION 3

PROJECT RESULTS

In 1971, the Board operated with a Central Office in Harrisburg and nine District Offices located throughout the state. The Philadelphia District Office supervised half of the state caseload. To varying degrees the other District Offices were considered too large and centralized. Caseloads per agent were high according to standards recommended by the National Council on Crime and Delinquency.

The Omnibus Crime Control and Safe Streets Act of 1968 provided funds through the Pennsylvania Governor's Justice Commission for several sub-grants to the Board. In early 1972, Regional Offices were established in each of the Governor's six Human Service Regions and ten Sub-Offices were located to serve localized caseloads throughout the Commonwealth.

BOARD GOALS AND OBJECTIVES

Board goals for the Regional Office and Sub-Office Project are directly related to the major Board functions:

- o provide information and recommendations for case decisions
- o administer parole supervision

Toward achieving these goals are the following specific objectives of the Board for the project:

Case Decisions

- o provide improved information for decisions through increased understanding of the offender, reduced caseloads, contact with family, and contact with local court and police
- o assist the Board through a decentralization of resolution of certain case decisions

Parole Supervision

- o provide improved delivery of parole services through reducing agent and client travel time
- o address client rehabilitation requirements through use of community resources and programs such as Public Assistance and Employment Security
- o implement new parole programming including Guided Group Interaction and assistance in employment
- o relate to client in a community setting rather than in an alien and bureaucratic setting
- o obtain community understanding and assistance in the client rehabilitation process
- o relate parole services to community cultural requirements
- o improve agent effectiveness through an understanding of his role of rehabilitation in the community
- o reduce agent turnover and caseload transfer through enhancement of agent community status and role
- o increase staff effectiveness through team approach in client rehabilitation and mutual staff development

PROJECT OBJECTIVES AND ACTIVITIES

Interviews at the Regional and Sub-Office levels indicate that project personnel are in accord with the Board's objectives.

Activities of the Regional Offices vary from region to region with respect to size and location of caseload, staff, and Regional organization responsibilities. Accordingly, the activities and responsibilities of the Philadelphia Regional Director with two District Offices, five CPC's, a large SRS program and half of the State caseload are different than those of the Harrisburg Regional Director with one District Office, two Sub-Offices and 7% of the caseload. While only the Regional Director and a Clerk Stenographer are funded by the Sub-Grant, interviews indicated that District Office staff was available to the Regional Director in the discharge of Regional responsibilities.

The Sub-Offices appear to be more uniform in their operations. The five visited were located in cities ranging in population from 50,000 to 103,000 and a borough of 38,000. All operated as a unit headed by a Supervisor. The location in the community was seen as an advantage from both a time and distance factor as well as community and client relations. All interviewed expressed a preference for the Sub-Office environment as compared to the District Office.

Supervision of the agents in the Sub-Offices depends upon the background and inclinations of the individual agent. Agents are permitted some latitude in case management activities.

CASELOADS

Caseloads have increased over the past five years throughout Pennsylvania. The caseload for the state as a whole increased 80.8%. Harrisburg, the region with the smallest caseload, and Philadelphia, the region with the largest caseload, increased at 76% while Allentown showed a 116% increase over the same time period.

As can be seen from Table 1, Special Probation and Parole caseloads increased almost 500% for the state as a whole with similar rates of increase for the regions. The Special Probation and Parole caseload now constitutes a third of the total caseload. The differential use of Special Probation and Parole impacts differently upon the regions. For the Harrisburg region, only 14.4% of the total caseload is in this category. This low utilization of PBPP services by county courts results in Harrisburg having the lowest regional total caseload. Not reflected in the caseload data is the work requirement of pre-sentence investigations requested by county courts.

Table 2 shows the regional caseloads by District and Sub-Office. Caseload data prior to October, 1972 was not reported to the Central Office by Sub-Office breakdowns.

Caseloads for District and Sub-Offices show more fluctuation than those for regions due to intra-regional transfers of cases.

TABLE 1

Caseloads: Regions I, II, III and Pennsylvania,
Fiscal Years 1968 to 1973*

Philadelphia, Region I				Allentown, Region II			Harrisburg, Region III			Pennsylvania		
Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total		Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total	Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total	Spec. Prob. & Parole	Total	Spec. Prob. & Parole as % of Total
1968	301	2,896	10.4	71	619	11.5	30	450	6.7	750	5,847	12.8
1969	357	2,854	12.5	106	666	15.9	47	442	10.6	959	5,875	16.3
1970	554	2,953	18.8	152	737	20.6	44	470	9.4	1,241	6,107	20.3
1971	951	3,464	27.5	189	842	22.4	60	545	11.0	1,830	7,112	25.7
1972	1,505	4,571	32.9	291	1,133	25.7	95	704	13.5	2,790	9,150	30.5
1973	1,719	5,106	33.7	330	1,340	24.6	114	792	14.4	3,554	10,571	33.6

* For July 1 of each Fiscal Year

TABLE 2

Regional Caseloads, October 1, 1972 to July 1, 1973

	October 1, 1972	January 1, 1973	July 1, 1973
Region I (Philadelphia)			
Philadelphia District Office	4,174	4,308	4,431
Chester District Office	<u>647</u>	<u>669</u>	<u>675</u>
Total	4,821	4,977	5,106
Region II (Allentown)			
Wilkes-Barre District Office	233	238	249
Scranton Sub-Office	70	70	72
Allentown District Office	580	589	551
Reading Sub-Office	102	131	144
Norristown Sub-Office	<u>202</u>	<u>216</u>	<u>324</u>
Total	1,187	1,244	1,340
Region III (Harrisburg)			
Harrisburg District Office	489	530	472
Lancaster Sub-Office	133	124	141
York Sub-Office	<u>121</u>	<u>112</u>	<u>179</u>
Total	743	766	792
Pennsylvania	9,658	10,083	10,571

STAFFING

Tables 3 and 4 indicate the staffing trends for Regions I, II and III, agents and total staff, for the past two years. Staff has increased along with increasing caseloads.

The opening of Sub-Offices, except in the case of Philadelphia, has permitted the District Offices to maintain approximately the same size staff.

As can be seen from Table 5, staffing patterns are markedly different between District Offices, Sub-Offices and Community Parole Centers. Sub-Offices are heavy on supervisory personnel with an average of one supervisor per 2.7 agents. The ratio for District Offices, including the District Supervisor, is almost double at 5.1. Program support, by contrast, is low for Sub-Offices while the number of paraprofessionals is relatively high.

The difference in staffing patterns could be attributed to the smaller scale of Sub-Offices. The typical Sub-Office has one supervisor, two agents, one human service aide and one clerk-typist. The typical unit in the District Offices has one supervisor, the equivalent of two program support personnel, seven agents, no paraprofessionals except in Philadelphia and Pittsburg Regions, and the equivalent of three clerical personnel. This pattern would indicate that in the Sub-Offices supervisors are expected to provide program support and paraprofessionals are expected to assist agents with caseloads.

TABLE 3

Regional Staffing - Agents*
May 6, 1971 to July 12, 1973

	May 6 1971	Feb 24 1972	July 1 1972	Jan 12 1973	July 12 1973
Region I (Philadelphia)					
Philadelphia District Office	65	91	98	102	96
Chester District Office		10	13	12	13
Total	<u>65</u>	<u>101</u>	<u>111</u>	<u>114</u>	<u>109</u>
Region II (Allentown)					
Wilkes-Barre District Office	5	4	6	5	4
Scranton Sub-Office		2	2	2	2
Allentown District Office	13	14	19	14	16
Reading Sub-Office		2	2	1	2
Norristown Sub-Office		4	4	3	3
Total	<u>18</u>	<u>26</u>	<u>33</u>	<u>25</u>	<u>27</u>
Region III (Harrisburg)					
Harrisburg District Office	12	12	18	15	13
Lancaster Sub-Office		2	2	2	3
York Sub-Office		2	2	3	3
Total	<u>12</u>	<u>16</u>	<u>22</u>	<u>20</u>	<u>19</u>

*Assigned Agent Positions

TABLE 4

Regional Staffing - Total*
May 6, 1971 to July 12, 1973

	May 6 1971	Feb 24 1972	July 1 1972	Jan 12 1973	July 12 1973
Region I (Philadelphia)		1	1	1	1
Philadelphia District Office	115	170	181	198	194
Chester District Office		<u>16</u>	<u>19</u>	<u>20</u>	<u>29</u>
Total	<u>115</u>	<u>187</u>	<u>201</u>	<u>219</u>	<u>224</u>
Region II (Allentown)			1	1	2
Wilkes-Barre District Office	10	11	13	13	10
Scranton Sub-Office		4	4	6	5
Allentown District Office	24	24	27	27	33
Reading Sub-Office		2	3	4	5
Norristown Sub-Office		<u>5</u>	<u>5</u>	<u>6</u>	<u>6</u>
Total	<u>34</u>	<u>46</u>	<u>53</u>	<u>57</u>	<u>61</u>
Region III (Harrisburg)		1	1	1	1
Harrisburg District Office	22	26	31	31	35
Lancaster Sub-Office		4	4	4	5
York Sub-Office		<u>3</u>	<u>3</u>	<u>5</u>	<u>5</u>
Total	<u>22</u>	<u>34</u>	<u>39</u>	<u>41</u>	<u>46</u>

*Assigned Total Positions

TABLE 5

Summary of Staffing Pattern¹,
 District Offices of Regions, Community Parole Center and Sub-Offices,
 July 12, 1973

	District Offices		Community Parole Centers		Sub-Office		Total	
	Number	%	Number	%	Number	%	Number	%
Supervisory	37	9.1	10	12.7	10	17.9	57	10.5
Program Support ²	69	16.9	4	5.1	1	1.8	74	13.6
Agents	188	46.1	24	30.4	27	48.1	239	44.0
Paraprofessionals ³	27	6.6	29	36.6	8	14.3	64	11.8
Administrative and Clerical	87	21.3	12	15.2	10	17.9	109	20.1
Total	408	100.0	79	100.0	56	100.0	543	100.0

¹Assigned staff positions, excludes Regional, Central Office and institution assigned personnel. There were 42 vacancies or 8.3% of the total assigned positions

²Includes Planners, Psychologists, Investigators and Warrant Personnel

³Includes Human Service Aides and Work Program Trainees

In July, 1973, less than half of the positions in the Sub-Offices were paid from the Regional Office and Sub-Office Continuation Subgrant.

CASELOAD RATIOS

Table 6 shows caseload trends per agent and total staff over the past two years. Regional caseload per agent decreased except in the case of Allentown Region. Caseload per staff decreased in all cases.

Allentown Region showed wide differences in caseload ratios between District Offices and Sub-Offices. Not reflected in this breakdown is the high caseload ratios of the general caseload in Philadelphia which in late 1973 exceeded 100 per agent.

The summary of District Offices and Sub-Offices at the bottom of Table 6 does show that Sub-Offices are sustaining higher caseload ratios.

TABLE 6

Caseload Ratios, 1971-1973

	July, 1971 ¹		July, 1973	
	Per Agent	Per Staff	Per Agent	Per Staff
Region I (Philadelphia)				
Philadelphia District Office			46.2	22.8
Chester District Office			51.9	23.3
Total ²	53.3	30.1	46.8	22.8
Region II (Allentown)				
Wilkes-Barre District Office			62.3	24.9
Scranton Sub-Office			36.0	14.4
Allentown District Office			34.4	16.7
Reading Sub-Office			72.0	28.8
Norristown Sub-Office			108.0	54.0
Total	46.8	24.8	49.6	22.0
Region III (Harrisburg)				
Harrisburg District Office				
Lancaster Sub-Office			36.3	13.5
York Sub-Office			47.0	28.2
Total			59.7	35.8
	45.4	24.8	41.7	17.2
Pennsylvania ³				
District Offices			43.0	20.3
Sub-Offices			55.2	26.6
Total	47.4	26.8	44.4	21.0

¹Calculated with staff for May 6, 1971

²Excludes Regional Personnel

³Excludes Regional, Central Office and institution assigned personnel

CONTINUED

2 OF 3

PAROLEE PERFORMANCE

Records on parolees, until recently, were more complete than records on probationers and out-of-state cases supervised in Pennsylvania. Trend information on parole performance is shown on Tables 7 and 8 and is expected to reflect on supervision of probationers and out-of-state cases.

The number of persons paroled per year from State Correctional Institutions declined slowly to 1969, increased markedly through 1972 and has recently shown a downturn which is still high when compared to pre-1972 years. Over this same time period, Special Probation and Parole cases assigned to PBPP have steadily increased.

In the case of a relatively stable inflow of parolees, the ratio of parolees returned to prison to number paroled reflects the percentage of cases which fail or recidivate. The average length of time on parole is more than two years and approximately 5% of parolees have recidivated after having been on parole for more than two years. With a stable inflow of parolees, parolee performance spread over the period of supervision can be gauged by the ratio of returned to prison to number paroled.

For the period 1967 to 1971, this ratio shown on Table 7 ranged from 29.1% to 34.6%. The 34.6% figure was the result of the declining number paroled in 1969. Following 1971, the ratio is not a reliable indicator due to the large

TABLE 7

Paroled¹ and Parolees returned to Prison
Fiscal Years, 1967 to 1973

Fiscal Year	Paroled	Returned to Prison			Returned to Prison as Per Cent of Total		
		Technical Violation	New Commitment	Total	Technical Violation	New Commitment	Total
1967	2,258	322	335	657	14.3	14.8	29.1
1968	2,230	347	337	684	15.6	15.1	30.7
1969	1,952	370	305	675	19.0	15.6	34.6
1970	2,221	372	324	696	16.7	14.6	31.3
1971	2,331	382	297	679	16.4	12.7	29.5
1972	2,941	280	241	521	9.5	8.2	17.7
1973	2,564	310	413	723	12.1	16.1	28.2

¹Includes reparaoled

increase of number paroled in 1972. This increase results in a deceptive decline of the ratio to 17.7% while the relative decline in number paroled in 1973 from in an unrealistically high ratio of 28.2%.

To ameliorate this effect of sharp increases and declines of number paroled, Table 8 shows the ratios calculated from averages of the year and the two previous years. The logic of this calculation is that the recidivism of the year is also affected by the number of parolees of the two previous years.

For the period of 1967 to 1971, the new ratio varies from 28.4% to 32.6%. An estimate for this period calculated on the average for the five years would be 30.8%¹. For the period 1971 to 1973, the establishment stage of regionalization and operations of Sub-Offices, the new ratio varies from 31.3% to 20.9%. An estimate for this three year period would be 26.6%. The difference between 26.6% and 30.8% is statistically significant at the .002 level and shows a superior parolee performance over the past two years.

Returned to prison is divided into technical violations and new commitments. The rate of new commitments over the past three years shows some improvement, but the rate of technical violations is an improvement in stark contrast to previous years. This reflects the change in PBPP policy and the revision of conditions governing parole. The rate of new commitments should be continuously monitored to see if a lower technical violation rate increases the rate of new commitments.

¹A PBPP study of 179 parolees released in 1968 indicated a return to prison rate of 24.0% after a three year tracking period.

TABLE 8

Revised Estimate of Recidivism using
Three Year Average of Paroled, Fiscal Years 1967 to 1973

Fiscal Year	Three Year Average of Paroled	Returned to Prison as Per Cent of Paroled		
		Technical Violation	New Commitment	Total
1967	2,316	13.9	14.5	28.4
1968	2,263	15.3	14.9	30.2
1969	2,147	17.2	14.2	31.4
1970	2,134	17.4	15.2	32.6
1971	2,168	17.6	13.7	31.3
1972	2,498	11.2	9.6	20.9
1973	2,612	11.9	15.8	27.7

FINANCIAL ANALYSIS

Consistent with the increasing caseloads, decreasing caseload ratios, service and direct subsidies to counties, PBFP expenditures have increased over the past three years.

TABLE 9

Expenditures of Board of Probation and Parole,
Fiscal Years 1971 to 1974 (in \$000)

Fiscal Year	Personal Services ¹	Operations			Grants and Subsidies to Counties	Total
		Supplies, Materials & Contract- ual Services	Furniture and Equipment	Total		
1971	3,121.6	534.4	46.6	3,704.6	721.0	4,425.6
1972	4,443.5	884.8	189.8	5,518.1	838.0	6,356.1
1973	7,034.3	1,274.8	39.5	8,348.6	1,149.8	9,498.4
1974	8,330.2	2,389.8	77.1	10,797.1	3,323.0	14,120.1

¹Includes salaries, contracted personal services and employee benefits

²Budget estimate

Expenditures have increased at a rate greater than the caseload and operations expenditures per average caseload increased 50% from 1971 to 1973. This increase, indicating increased quality of supervision (lower caseloads per agent and increased program support), may have been offset by the lower return to prison rate. Costs of incarceration are approximately ten times higher than costs of parole supervision. Inflation has also affected the PBPP expenditures.

TABLE 10

Expenditures per Average Annual Caseload, 1971 to 1973

Fiscal Year	Operations Expenditures (in \$000)	Average Caseload	Expenditures per Caseload (\$)
1971	3,704.6	6,610	560
1972	5,518.1	8,131	679
1973	8,348.6	9,860	847

Fund sources for PBPP expenditures have changed drastically in recent years as can be seen in Tables 11 and 12. The Commonwealth operations appropriation per average caseload was \$548 in 1971, \$553 in 1973 and may actually decline slightly for 1974. Federal grants for operations are approaching parity with Commonwealth operations appropriations. Federal support of county subsidies has increased greatly.

TABLE 11

Fund Sources, for Expenditures
Fiscal Years 1971 to 1974 (in \$000)

Fiscal Year	<u>Commonwealth Appropriation</u>		<u>Federal Grants</u>		Total
	Operations	County Subsidy	Operations	County Subsidy	
1971	3,620.0	721.0	86.0	-	4,427.0
1972	4,148.7	838.0	2,077.1	-	7,063.8
1973	5,452.5	1,149.8	2,899.0	-	9,501.3
1974	5,889.0	1,150.0	4,908.9	2,173.0 ¹	14,120.9

¹Sub-Grants from Regional Councils of Governor's Justice Commission

TABLE 12

Per Cent Distribution of Fund Sources
Fiscal Years 1971 to 1974

Fiscal Year	<u>Commonwealth Appropriation</u>		<u>Federal Grants</u>		Total
	Operations	County Subsidy	Operations	County Subsidy	
1971	81.8	16.3	1.9	-	100.0
1972	58.7	11.9	29.4	-	100.0
1973	57.4	12.1	30.5	-	100.0
1974	41.7	8.1	34.8	15.4	100.0

Table 12 indicates the source of Federal grants. The Regional Office and Sub-Office subgrants have constituted 25% of the total operations subgrants. The SRS operations program, a continuing source of funds with no planned termination, now exceeds the Governor's Justice Commission in operations financial support.

TABLE 13

Grants Awarded to Board in
Fiscal Years 1971 to 1974 (in \$000)

Fiscal Year	Governor's Justice Commission			Total	Social & Rehab. Service, J.S. Department of H.F.W.	Total
	Regional Office and Sub-Office	Other Operations	County Subsidy			
1971	-	479.0	-	479.0	-	479.0
1972	334.3	1,312.5	-	1,646.8	-	1,646.8
1973	363.1	1,512.9	-	1,876.0	203.4	2,079.4
1974	438.2	1,704.6	2,173.0	4,315.8	2,589.7	6,905.5

PROJECT PERFORMANCE

The decentralization of the PBPP, reflected by the establishment of Regional Offices, Sub-Offices and Community Parole Centers, is continuing with selected Board and Central Office functions being delegated to the field.

Decentralization policies, changed regulations governing parole and a change in treatment philosophy has resulted in a lower return to prison rate. The impact of each of the above on the return to prison rate is not separable nor identifiable. Together they constitute overall PBPP policy of recent years.

There may be a difference between Sub-Office parolee performance as compared to District Offices. This performance is difficult to evaluate if substantial transfers have taken place.

Interviews conducted to date indicate that regionalization and Sub-Office operations are achieving Board project objectives. Regionalization is a decentralization of Central Office functions and an organizational structure which continues to develop. Earlier indications of organizational confusion over responsibilities and communications are not presently in evidence.

The recidivism rates for the Commonwealth as a whole are declining and can be attributed to recent Board policy and program changes. This decline of rates is most apparent with technical violations which are linked to rules governing parole and nature of parole supervision.

APPENDIX D

Recommitment Rate from Appendix B of
Report for 1971-1972, Pennsylvania Board of Probation and Parole

Year	Number of Board Actions to recommit	Number under Supervision	Failure Rate
1970	766	8,913	10.3%
1971	685	10,492	6.6%
1972	755	12,194	6.7%*

This table shows a comparison of failure rates for the calendar years 1970, 1971 and 1972, noting the actual change which has occurred. It shows the success rate per year has improved from 90% to more than 93% under the Board's new programs; although the total caseload has increased more than 4,000 since 1970 and the rate of parole has increased from 53% to 73%. A recent study conducted by the Board's Research Unit revealed that Pennsylvania's recommitment rate of 6.6% per year ranked lowest in a comparison with five other major industrial states for 1971. These states, using similar methods of computation include: New Jersey—18.0%; Michigan—17.0%; New York—15.6%; Texas—9.7% and Ohio—9.2%. In addition, the National Council on Crime and Delinquency has been conducting a five-year research program regarding parole and recently released a figure of 8.4% as the violation rate for the first year.

The data have been compiled for the recommitments and revocations, by District Office, for the calendar year 1972. For the ten District Offices, the Recommit Rate was 7.8% of the Pennsylvania parolees under supervision for all or part of the year, and the Revocation Rate (including all "terminations" for new offenses) was 4.1% for Special Probation and Parole cases. The combined failure rate (Recommits plus Revocations) was 6.4% in the District Offices. When the Pennsylvania parolees under active supervision in other states ("Central Office Cases") which were returned to this State for recommitment, 2.8% of all the 756 "active" parolees handled, are included, the combined failure rate is 6.2% of all Pennsylvania cases handled being recommitted or having their state probations or special paroles revoked.

For the previous year, calendar year 1971, the corresponding figures were: Recommits in the ten District Offices, 8.0%; Revocations in the District Offices, 4.7%; Combined Failure Rate in the District Offices, 7.1%; with Central Office recommitments included (13 out of 822 active cases handled, or 1.6%), the 1971 combined failure rate was 6.6%.

With the exception of cases being supervised in other states, the failure rates for 1972 were somewhat lower than for 1971: District Office state parolees, 7.8%, down from 8.0%; District Office special probation and parole cases, 4.1% down from 4.7%; Combined Recommit-Revocation Rate, 6.4% for District Office cases and 6.2% for all Pennsylvania cases handled, down from 7.1% and 6.6% in 1971.

*Two additional types of "failure" have been added to the 1972 figures. These are: (1) Cases closed by Board Action (57 state parolees) who have received new sentences in Pennsylvania or other jurisdictions for new offenses, and who would probably have otherwise been recommitted by the Board due to various circumstances.

(2) Clients who died as a result of committing new offenses (7 parolees and 2 probationers): murder-suicide cases, clients shot during robbery attempts, suicides by clients in prison awaiting parole violation or revocation hearings, etc., (drug and alcohol overdose deaths were not included, nor were clients who were murdered).

When these two categories were added, the Grand Total Failure Rate for 1972 became 6.7% of all Pennsylvania parolees and probationers under supervision during all or part of 1972. This is still only 0.1% higher than the 1971 figure where the "death" and "closed-case" failures were not included.

In summary, the 1972 recommit (7.3%), revocation (4.1%) and combined (6.2%) failure rates are lower than in 1971 (6.6% combined). Even when the special cases referred to above (deaths and Board actions to close) are included, the Grand Total Failure Rate is still only 6.7% for 1972.

END