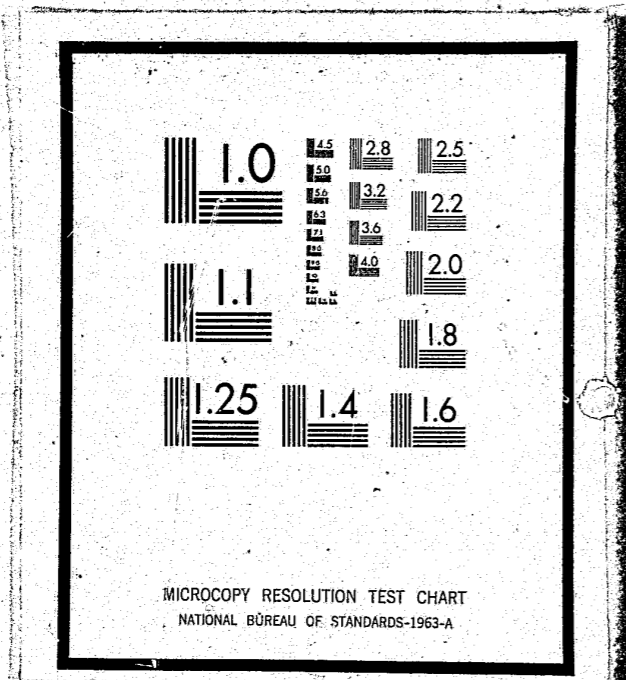


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**U.S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL CRIMINAL JUSTICE REFERENCE SERVICE
WASHINGTON, D.C. 20531**

Date filmed 10/31/75

PROBATION
AND
PAROLE

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ABSTRACT

This evaluation represents a study undertaken to determine the impact of correctional field service expansion on the Criminal Justice System, with a major focus on correctional impact. The study gathered data from 1970-71, when field services were reorganized, through 1974.

When analyzing field service personnel work time allocations, it was found that an average of 49.5% of a counselor's work time was spent in counseling related functions. Their other time was consumed by non-counseling functions such as travel, paper work, court time, etc. Interviews with counselors revealed a sense of satisfaction with the services they were providing while indicating a general sense of dissatisfaction with their career mobility and salaries afforded them.

Adult probationers increased during the study period by 21.9%, ranging from a 9% low to a 61.3% high annual increase. Presentence reports provided the courts increased 28% annually from 1970 through 1974. An attempt was made to establish system-wide input-output figures from arrests through institutionalization; however, no valid conclusions could be drawn due to the unavailability of necessary data elements.

Increases in the number of persons on parole have not been as pronounced as have been increases in probationers. Parole increases ranged from an annual low of 4.9% to a high of 16.5%. It was found that notable decreases of repeat offenders occurred annually from 1970-71 to 1972-73, while in 1973-74, the reduction was less than 1%. It was felt that the increased use of probation and parole was at least partially attributable for the declines in recidivism noted for the same time period.

The increasing court use of pre-sentence reports indicates a trend toward court reliance on and confidence in the ability of correctional personnel to

provide valuable input into the adjudicatory process.

Field service expansion dropped adult counselor caseloads from 70 in 1970-71 to 40. They have now gone up to about 55. Services delivered increased proportionately, then stabilized. It can be expected that further increases in caseload size will lower the level of services provided and may contribute to a higher revocation/recidivism rate in the future.

Cost-benefit analysis revealed that with the diversion of an adult offender from an institution to probation, the state realizes a savings in excess of \$8,711.00 per adult over an 18 month period (which is the average length of stay in an adult institution). An even higher amount of savings can be expected from diversion of a juvenile from institutionalization to probation.

Juvenile probationers increased from 1,147 in 1970 to 1,992 in 1974. This represents an increase of 73.6% indicating that juvenile judges are increasingly relying on the use of probation as a correctional alternative.

Increases in the number of juveniles on aftercare have not been as significant as were increases in adult paroles. Annual rates of increase have ranged from .05% to 6.4%. This slow rate of increase is attributable to the balancing out of new cases received each month and the number of old cases discharged.

Individual juvenile counselor caseloads dropped from 70 in 1971 to 40 where they currently remain. From the base year 1970-71, expansion of the numbers of counselors has appreciably increased the amounts of services provided per client. As in adult field services, the use of volunteers has been an increasingly valuable resource in assisting counselors with their caseloads. The small increase in aftercare cases as compared to probation cases indicates an increasing use of probation services as a viable alternative to incarceration. The data seems to indicate that probation serves to divert juveniles from further encounters with the correctional system.

Funding for expansion of adult and juvenile field services has come from two sources - the Tennessee General Assembly and Tennessee Law Enforcement Planning Commission grant funds. The availability of federal grant monies appears to have served as a catalyst for the expansion of field services.

The major problem encountered during the evaluation was the lack of pertinent data concerning the input and output of persons through the Criminal Justice System. As a result, efforts to trace offender flow through the system generally were less than satisfactory. The rapid implementation and completion of the Criminal Justice Information System would alleviate this problem in future studies.

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Special thanks go to the Regional Field Office Directors and their staffs; Robert Derrington, Director of Probation and Parole; Allen Myers, who drew the illustrations; and the many other persons who have assisted in the development and preparation of this report.

INTRODUCTION

This report represents an attempt to determine the impact of field service expansion on the Criminal Justice System, with a major focus on correctional impact. The evaluation methodology was not constructed at the onset of the field service expansion; hence, this represents an ex post facto assessment. Ideally, an evaluation design should have been incorporated into the program identifying data elements to be maintained that would actually measure program impact. Since this was overlooked, this evaluation was largely based upon data being maintained by the Department.

Evaluations of this type, by their very nature, must be heavily descriptive, while an evaluation based on a design developed prior to program implementation would have been more in the nature of a controlled experiment to produce statistical data from which more valid inferences could have been made. Nevertheless, this evaluation provides sufficient documentation of changes that have occurred since the initial expansion to base management decisions upon.

CHAPTER I - OVERVIEW

Organization

During fiscal year 1970-71 the Tennessee Department of Correction undertook a major reorganization of its fragmented and many times duplicative community supervision program. Before the reorganization, there had existed three separate divisions: 1) the Division of Adult Probation and Paroles, 2) the Division of Juvenile Probation, and 3) the Division of Rehabilitative Services. Each division had been trying separately to bring a full range of probation, parole, and work release services to the portions of the criminal justice system which they serve.

These three statewide systems raised problems of duplicative administrative costs, office space, records, forms and community relations. Many times communications were virtually non-existent between divisions which worked with the same institutions or agencies.

Efforts to unify these community supervision programs, of field services, represented a major departmental reorganization as well as policy shift. The objective office evaluation was to analyze some of the results of this organization and expansion and the impact it had on the correctional system. Focus was placed on caseload effect, provision of services to the courts, and system performance measurements, such as parole and probation revocation rates, and recidivism.

The reorganization approach used sought to unify the organizational structure on a statewide basis while still allowing each division to maintain its basic working philosophy. Recognition was thereby given to the necessity for a staff member to feel some sense of identity with a particular work division yet be able to function as a member of a larger group with a common purpose, that of rehabilitation.

Under the reorganization a Division of Field Services was created, to be headed by an Assistant Commissioner of Field Services. His function would be to carry out the executive duties of that office and to advise the Commissioner of Correction on matters of policy and administration.

Serving directly under the Assistant Commissioner would be three Directors one for each respective client area, juvenile, adult, and work release.

For administrative purposes Tennessee was divided into eight service regions closely conforming to state planning regions. (See figure #1) Each region had an office headed by a Regional Director, administratively responsible for the operation of services within the region. Staff of each office would be supervised by two (2) District Directors, one for adult services and one for juvenile services. The District Directors would largely be technical supervisors, freeing the Regional Director to concentrate on administrative matters.

In addition to the regional offices, district offices were to be established within each region as caseload distribution and population density demanded.

Field Service Philosophy

At present there is no formalized operating philosophy for field services.

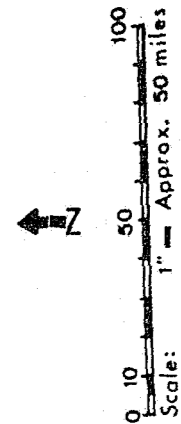
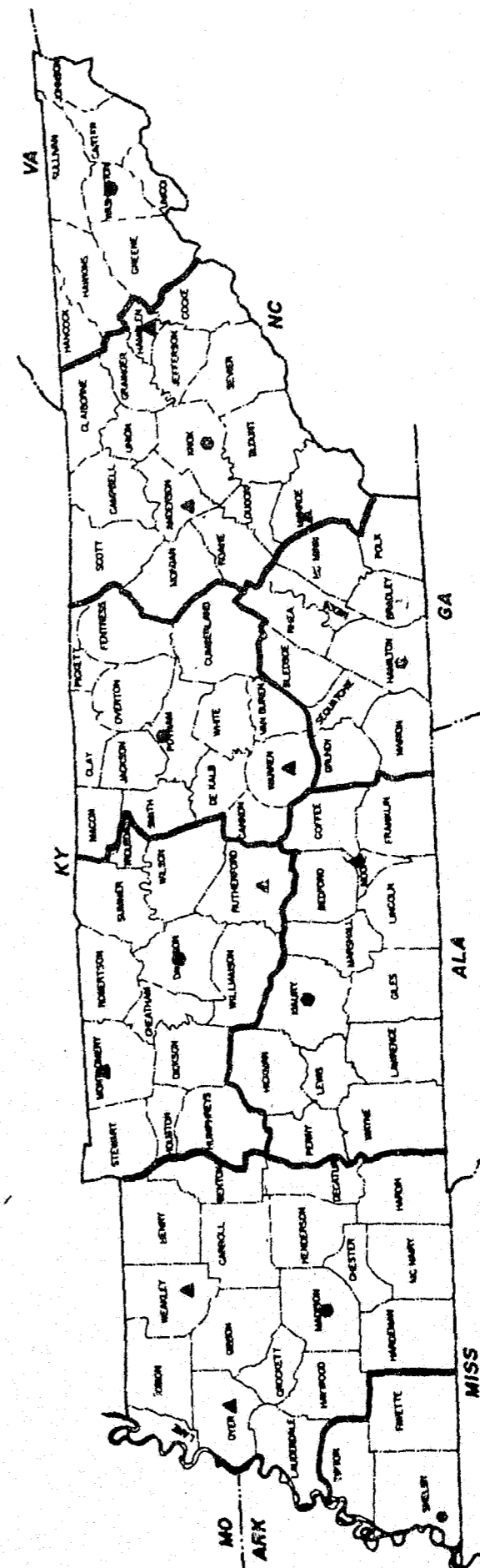
Summary of Field Services Objectives

Unification of services under a Division of Field Services resulted in identification of the following specific service objectives:

1. To expand and extend services to the courts and community.
2. To effectively reduce population levels in adult institutions.
3. To improve the system of record and data collection by standardization of forms and record-keeping procedures.

FIGURE I

REGIONAL DISTRIBUTION OF FIELD SERVICE OFFICES



● Field Service Regional Offices
 ▲ Field Service Area Offices

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4. To reduce administrative costs involved in maintaining three separate and autonomous service units.
5. To reduce counselor caseloads to forty (40) cases per counselor and also reduce the territory assigned to each counselor.
6. To involve the community to a greater degree in the corrections aspect of the criminal justice system.

These objectives provide an indication of what the expansion of probation and parole services was designed to accomplish.

Distinctions Between Probation and Parole

A basic understanding of the differences between probation and parole is prerequisite to conceptualizing how these components of the correctional system work.

Probation is a sentencing alternative which permits the convicted offender to serve his sentence in the community under supervision. Probation is a judicial act that is used in lieu of incarceration except in a few states which require that the offender serve a short period in jail before probation officially begins.¹

The length of probation is determined by legislative provisions. Statutes frequently provide that the probation term may be reduced or terminated upon satisfactory performance by the offender for a number of years or a specific portion of the term.

¹ Kerper, Hazel B., Introduction to the Criminal Justice System, (West Publishing Co.: St. Paul, Minn.) 1972, pp. 345-347.

² Ibid, pp. 367-75.

Two outcomes can result from probation supervision: 1) the probationer, upon successful completion of the term of probation, can be discharged from probation by the court, or 2) probation may be revoked if the probationer commits a new crime or violates a condition of probation.

Parole, on the other hand, means the release of a prisoner from imprisonment but not from legal custody of the State. Parole is an administrative act and comes after incarceration.² In Tennessee, the Board of Pardons and Paroles is the administrative body responsible for parole decisions. With the Board rests the authority to grant or revoke parole.

Advocates of parole point to the financial savings of parole, as it costs less to supervise a person on parole than institutionalization. While on parole, the convicted person can support a family and assume other personal obligations which must be performed by others when someone is incarcerated. Parole also serves the important function of providing the convicted person with supervision and assistance during the transition from institutional life to life outside prison walls. Parole supervision results in either successful completion of parole and discharge as a matter of law, or parole being revoked for commission of a new offense or violation of any of the conditions of parole, much the same as for probation.

CHAPTER II - ANALYSIS OF FIELD SERVICE ACTIVITY

To get an accurate account of the tasks of the counselor in relationship to the amount of time each task consumes, a means was devised by which they could be accurately measured. Since it is virtually impossible to monitor and clock the time of each task performed by each counselor, a program was devised by the Tennessee Law Enforcement Planning Agency, in which a stratified sample of entry-level counselors maintained a daily log for a designated 5-day workweek. During the span of a week, the counselor wrote a precise account of each task performed, and the amount of time it consumed. At the end of the week, the survey sheets were all collected and the compilation of tasks was initiated.

Twenty counselors from the Columbia, Nashville, Memphis, and Johnson City probation and parole regional offices were used in this particular study. Each task they described was broken down into a particular category of functions. The total number of minutes spent per task was obtained. From this total, the average number of minutes per person, per day used in each general area was derived. The total results in terms of minutes, are reflected in Tables 1 and 2.

TABLE 1
ADULT FIELD SERVICE WORK TIME ALLOCATION (Minutes)

<u>Category</u>	<u>Total Time Spent (By all counselors)</u>	N = 11	
		<u>Average per week per person</u>	<u>Average per day per person</u>
Travel Time	2,469	493.8	44.9
Court Contacts	2,445	489.0	97.8 44.4
ISC (Interstate Compact)	1,246	113.3	22.7
Clerical/Paperwork	5,267	478.82	95.8
Counseling & Related Activities	11,503	1,045.7	209.2
Staff Meetings	506	46.0	9.2

TABLE 2

JUVENILE FIELD SERVICE WORK TIME ALLOCATION (Minutes)

Category	Total Time Spent (by all counselors)	N=9 Average per week per person	Average per day per person
Travel Time	3,345	372	74
Court Contracts	1,325	147	29
ISC Cases	90	10	2
Clerical/Paperwork	4,073	453	91
Counseling & Related Activities	8,991	999	200

To clarify what each general category consists of, a further breakdown is included in the following table. Many of these categories overlap, however, the functions were listed whichever category appeared to command the bulk of the time expended.

TRAVEL

- 1) home visits to clients and family
- 2) school visits for attendance purposes checks
- 3) taking clients to a job interview
- 4) travel to prisons and centers for interviews
- 5) delivering reports to clerks office
- 6) making various record checks

COURT

- 1) assisting at court concerning probation matters
- 2) attending court at the request of a judge
- 3) hearing motions which could involve probation matters
- 4) post-conviction hearings
- 5) probable cause hearings
- 6) curfew violation
- 7) pre-sentence investigation hearings

ISC CASES

- 1) reviewing closed interstate compact files
- 2) preparing and mailing interstate compact field reports and correspondence
- 3) phone calls concerning clients interstate compact transfer
- 4) talking with various authorities concerning interstate compact transfers
- 5) discussing cases with supervisor
- 6) writing replies to interstate compact cases

CLERICAL/PAPER WORK

- 1) preparing monthly caseload reports
- 2) recording mileage and expense accounts
- 3) filling out activity logs
- 4) filing
- 5) writing letters
- 6) attending meetings
- 7) compiling social histories
- 8) recording phone messages
- 9) filling out violations on after-care, probation, etc.
- 10) transfer case paperwork
- 11) filling out travel permits for clients
- 12) preparing change of status or discharge papers for client
- 13) reading messages and mail
- 14) routine paperwork
- 15) working on foster home investigations
- 16) preparing pre-sentence reports
- 17) reviewing cases and reports
- 18) planning weeks activities

GENERAL COUNSELING

- 1) counseling with clients (explaining rules and advising both in personal and private matters)
- 2) communication between counselors and other probation officers
- 3) counseling with client's family
- 4) school attendance checks
- 5) conducting client research
- 6) counseling interstate compact cases
- 7) counseling with client's employers
- 8) public relations contact with civic clubs and local citizens
- 9) counseling suspects
- 10) counseling offenders presently in jail
- 11) discussing cases with judges and attorneys
- 12) conducting pre-release programs
- 13) formal judicial conference
- 14) discussing problems with law enforcement personnel
- 15) formal judicial conferences
- 16) meeting with special educational coordinator
- 17) conferring with welfare worker
- 18) case recording

Work time percentage allocations are broken down and illustrated in Figures 2 and 3. It is realized that in many instances activities overlapped categories, however, the time was recorded in whichever activity seemed to command the majority of time for completion of the task. Travel time in both figures would be higher if the data maintained had broken out specific travel time relating to incompleting field contacts.

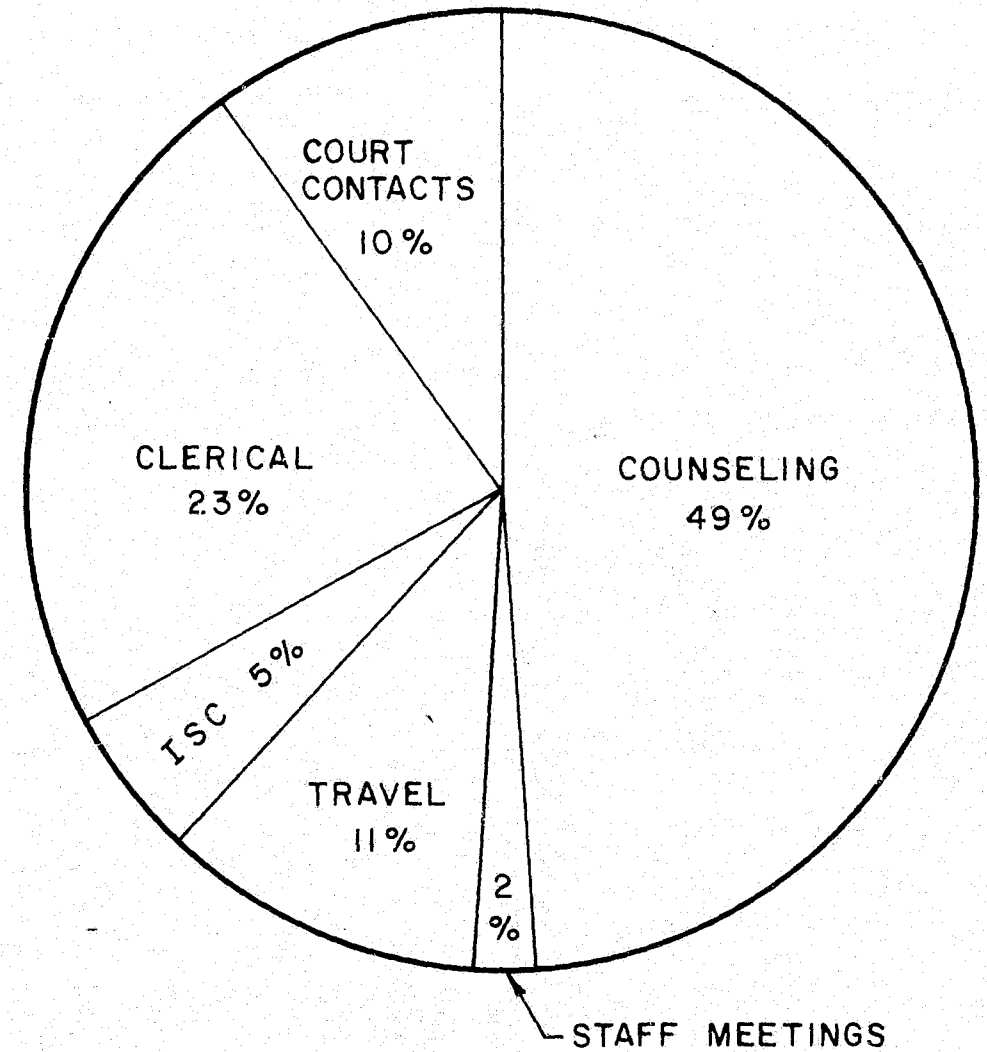
The Adult Field Service work time allocation broke out a specific category for ISC (Interstate Compact) cases. Interviews with participating counselors indicated that a disproportionate amount of time was spent in this activity as compared to achieved results. The clerical breakdown includes all such activities as letter writing, writing reports, filling out forms, filing travel claims, compiling data, etc. The judicial category includes both time spent at court and time spent conferring with judges. Staff meetings amount to 2% of an adult counselor's work time. "Counseling" includes all counseling and related activities such as job placements and follow-ups, interviews with attorneys, phone calls regarding clients, research for preparation of pre-sentence reports, jail visits, case recording, etc.

Juvenile Field Service work time percentage allocations were broken down into travel, 19%; ISC, 1%; clerical, 25%; all judicial contacts, 7%; and counseling related activities (as for adults) including school contacts, 48%.

By examining the percentage of time spent (see Figure 2 and 3) it is noted that an average of only 49% of the counselor's total time is spent on counseling related functions. Further, a substantial portion of work time is spent on paperwork or clerical related functions. The primary factor to be noted here is that 50%-51% of the probation and parole counselor's time is consumed by duties other than "counseling."

Two alternatives could be suggested to cut down the time a counselor spends in non-counseling functions, use of para-professionals in non-counseling functions or use of volunteers in non-counseling related functions in addition to their usual counseling-type of activities. Neither time nor scope will allow a more extensive elaboration on the use of para-professionals and volunteers in correction.

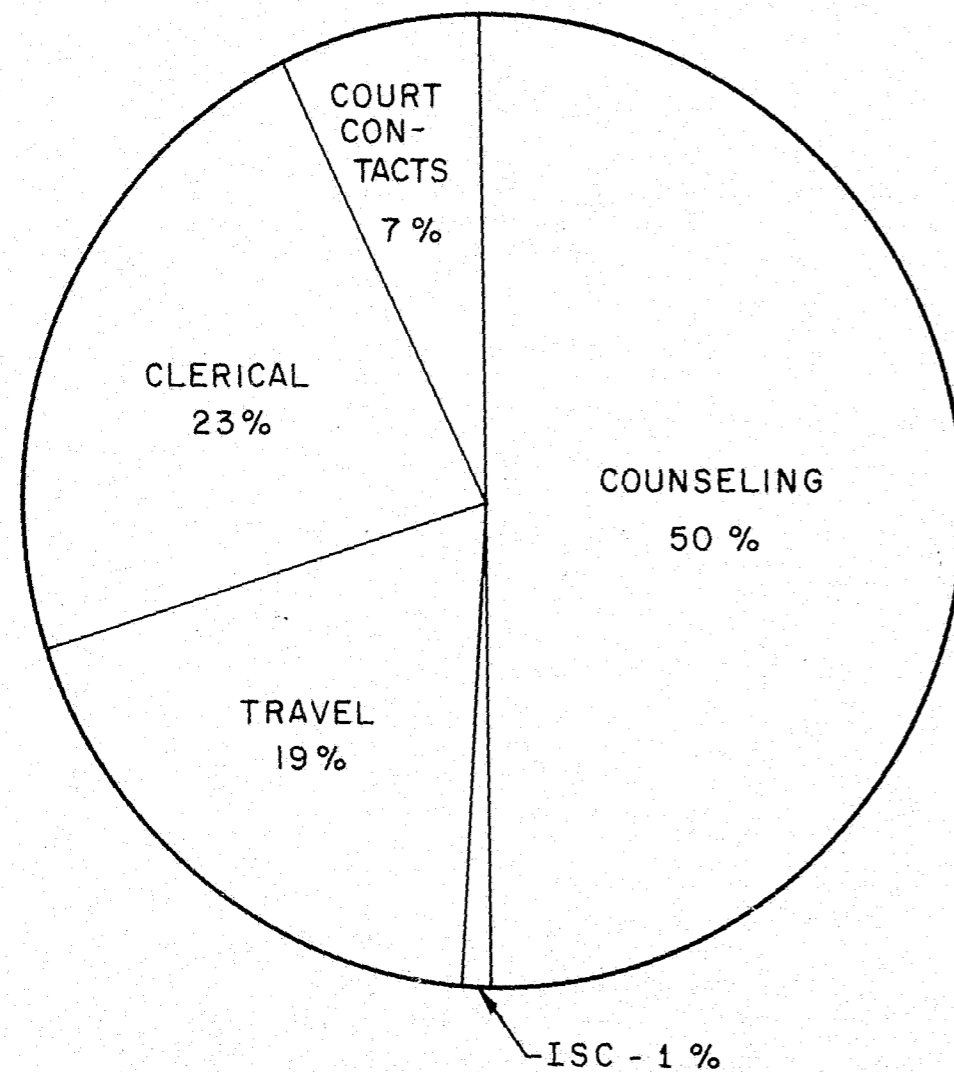
FIGURE 2
ADULT FIELD SERVICE WORK TIME ALLOCATION



N = 11

FIGURE 3

JUVENILE FIELD SERVICE WORK TIME ALLOCATION



N = 9

With regard to field service counselor activities, the National Advisory Commission on Standards and Goals recommends probation services be organized to deliver an array of services by a range of staff and that workloads be broken down into task groups, not caseloads, based on offender typology. Due to the geographic distribution of offenders in non-Metropolitan Tennessee areas, this recommendation could not possibly be met without a complete restructuring of field services and large expansion of their staff. Metropolitan areas might try this approach on a controlled experimental basis in order to determine its effect on reducing return of offenders to the Criminal Justice System.

Interviews with adult and juvenile field service counselors involved in the work-time allocation study generally revealed a sense of satisfaction with the services they were providing while indicating a general sense of dissatisfaction with the career mobility and current salaries afforded them. Provision of a career ladder with sufficient steps for advancement along with commensurate salaries would go a long way toward solving counselor morale problems and high turnover rates (13.3% in 1973).

CHAPTER III - ADULT PROBATION AND PAROLE

Probation Services

The total number of persons under probation supervision has been increasing for a number of years. The number of probationers increased from 1,103 in January, 1970 to 3,521 in June, 1974. (See Table 3). This represents an increase of 219 percent.

TABLE 3

Total Number of Adult Probationers, Statewide, 1970 - 74

<u>MONTH</u>	<u>1969-70</u>	<u>1970-71</u>	<u>1971-72</u>	<u>1972-73</u>	<u>1973-74</u>
July		1202	1515	2522	2905
August		1235	1536	2541	2973
September		1256	1686	2547	2999
October		1266	1749	2564	3054
November		1293	1820	2632	3078
December		1281	1953	2670	3135
January	1103	1282	2028	2668	3224
February	1131	1329	2140	2681	3280
March	1152	1369	2265	2717	3391
April	1183	1402	2297	2773	3411
May	1209	1412	2318	2815	3455
June	1202	1480	2443	2853	3521
Annual Percentage Increase	9.0	23.1	61.3 ¹	11.6	21.2

¹In FY 1971-72 the Tennessee Department of Correction assumed responsibility for probation supervision in Memphis, Nashville, Chattanooga, and Knoxville. This resulted in an extraordinary increase in the number of persons supervised. Up to that time supervision had been administered by the city or county.

(Source: Tennessee Department of Correction monthly statistical reports.)

Total statewide probation caseloads have ranged from 9% to 61.3% annual increase. However, the 61.3% figure is greatly influenced by the tremendous increase in fiscal year 1971-72. In that year the Department of Correction assumed responsibility for probation services in the states four (4) major urban areas, Nashville, Memphis, Knoxville, and Chattanooga. Up to that time supervision had been administered by the city or county.

Increases in the total number of persons under probation supervision have been accompanied by an increase in the number of pre-sentence reports provided to the courts (See Figure 4). The importance of pre-sentence reports cannot be overemphasized. A properly conducted pre-sentence investigation provides the most valuable input into a courts decision as to how a convicted person will serve their sentence.

Pre-sentence reports provided to courts have increased 28% on an average annual basis for the period 1970-74. The cyclical nature of court demand for pre-sentence investigations is indicated by the ups and downs of Figure 4.

Probation revocations declined from a rate of 6 percent during fiscal years 1971-73 to 3 percent during fiscal year 1973-74. In other words, the percentage of probationers successfully completing probation has increased.

An attempt was made to analyze trends to establish system-wide input-output figures from arrests through institutionalization or placement on probation. Table 4 reflects the data gathered as a result. As can be seen from the amount of data that was simply not available, no valid conclusions can be drawn from this analysis. It would appear, however, that there has been an

FIGURE 4

NUMBER OF ADULT PRE-SENTENCE REPORTS
PROVIDED COURTS, MONTHLY
1970-74

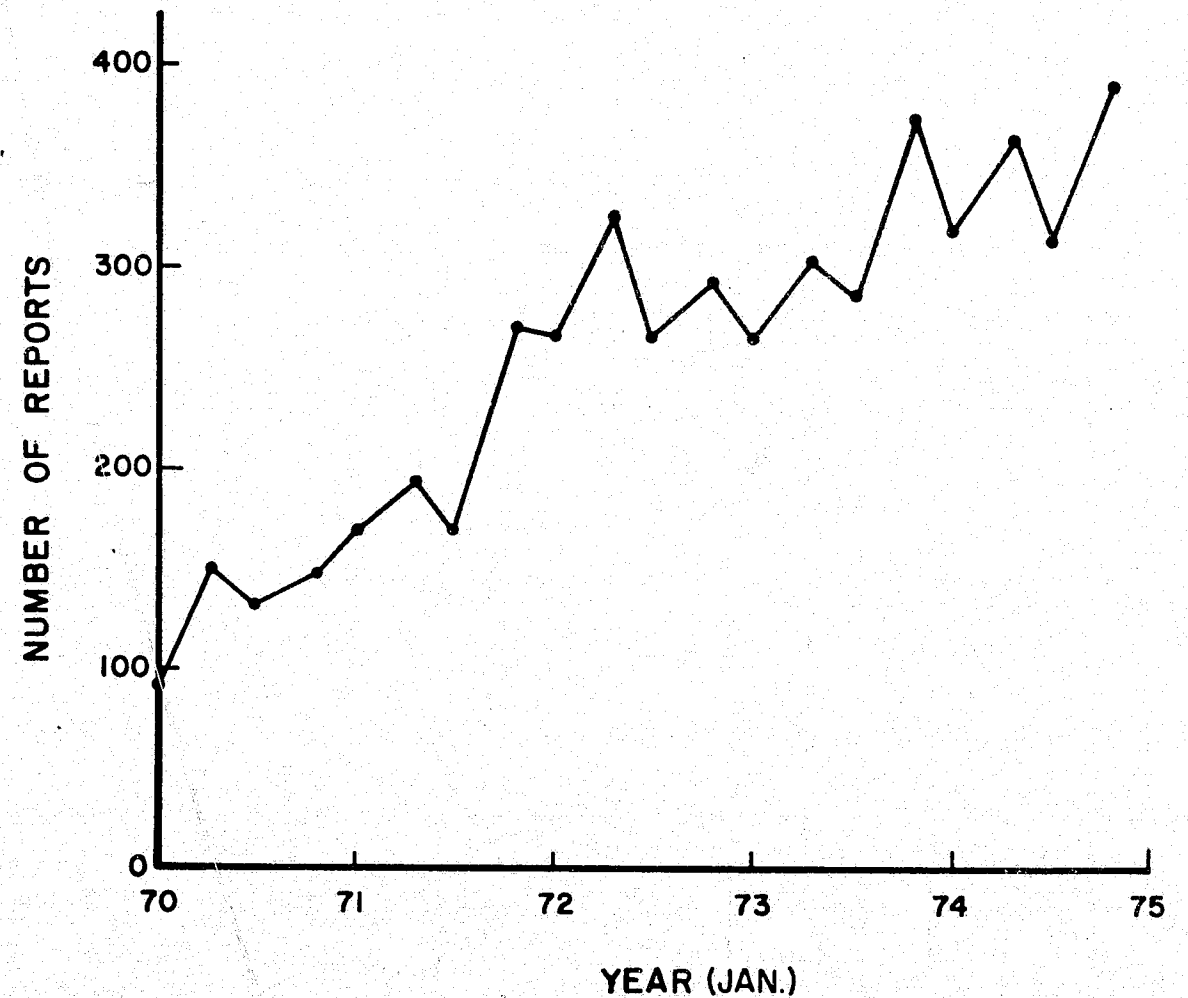


TABLE 4
CRIMINAL JUSTICE TRENDS -
ARRESTS THROUGH DISPOSITION

Base Year 1970	1971	1972	1973	1974	% Increase or Decrease	% Increase or Decrease	% Increase or Decrease
Average # Probationers	1,317	1,917	2,665	3,202	+45.6**	+39.0	+20.2
Institutional Population	N/A	3,377	3,128	3,399	-	-7.4	+8.7
Conviction Rate	N/A	N/A	N/A	N/A	-	-	-
Criminal Cases Concluded	21,700	20,026	21,177	23,671	+14.8	+5.7	+11.8
No. of Arrests Made In Prior Year* (i.e. in 1970 column, 1969 Arrests Reflected)	74,101	82,207	87,713	126,259	+11.7	+6.7	+44.0

*Assumes a 12 Month lag between arrest and case conclusion

**Somewhat artificially inflated due to DOC Assumption of local adult probation function in FY 71-72

N/A - DATA NOT AVAILABLE

increasing tendency for persons processing through the system to be placed on probation as opposed to incarceration.

The aforementioned analysis attempt indicates a critical shortage of sufficient amounts of retrievable data from both the court and correction sectors. The policy implication is that priority must be given the rapid implementation of the Criminal Justice Information System (CJIS) due to the necessity of this information for determining the impact of one part of the Criminal Justice System upon another. Criminal justice data is also necessary for sound management decisions. Until CJIS is fully operational, evaluations such as this will continue to be time consuming, sporadic, costly and less conclusive than evaluations firmly based on system-side collection of hard data.

Parole Services

Increases in the number of persons under parole supervision have not been as pronounced as have increases in the number of probationers (See Figures 5 and 6). Annual rates of percentage increase in the number of parolees have ranged from 4.9 to 16.5% (See Table 5).

TABLE 5

Total Number of Adult Parolees, Statewide, 1970-74

MONTH	1969-70	1970-71	1971-72	1972-73	1973-74
July		933	1085	1227	1409
August		939	1106	1264	1435
September		956	1144	1308	1435
October		952	1151	1345	1423
November		982	1139	1353	1412
December		1023	1138	1375	1402

TABLE 5 (Cont.)

MONTH	1969-70	1970-71	1971-72	1972-73	1973-74
January	835	1003	1104	1399	1377
February	851	995	1133	1381	1360
March	843	992	1146	1383	1343
April	868	997	1143	1358	1363
May	890	1003	1145	1371	1396
June	908	1048	1203	1401	1469
Annual Percentage Increase		15.4	14.8	16.5	4.5

(Source: Tennessee Department of Correction monthly statistical reports.)

It is interesting to note that from 1970 to 1973 the total number of persons under parole supervision increased approximately 15% each year and then suddenly dropped to 4.9% in 1974. Further analysis into reasons why this 10.1% dropped occurred might reveal either a high rate of persons completing parole, a low level of persons being placed on parole, or a balancing out between new parolees and parole discharges.

How have these parolees fared in terms of ability to remain free of further involvement with the law? Does parole supervision really make a difference? It would be unjustifiable to attribute reductions in recidivism rates solely to increased use of probation and parole can at least be partially attributable for the declines in recidivism (as noted in Table 6). Notable reductions in the number of repeat offenders occurred annually from 1970-71 to 1972-73. In 1973-74 the reduction was less than 1%.

FIGURE 5

NUMBER OF ADULTS UNDER PAROLE SUPERVISION 1970-74

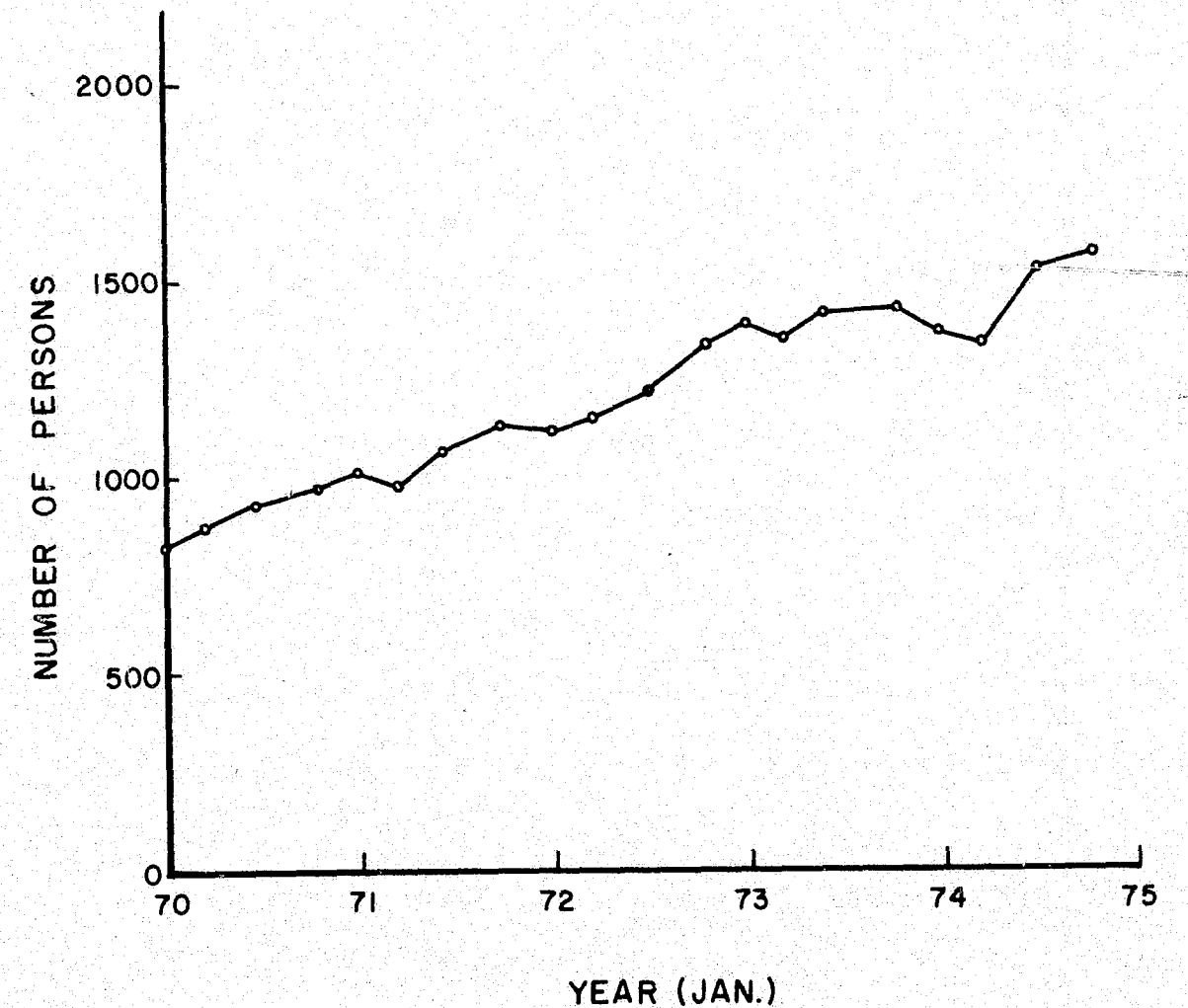


FIGURE 6
NUMBER OF ADULTS UNDER PROBATION
1970 - 74

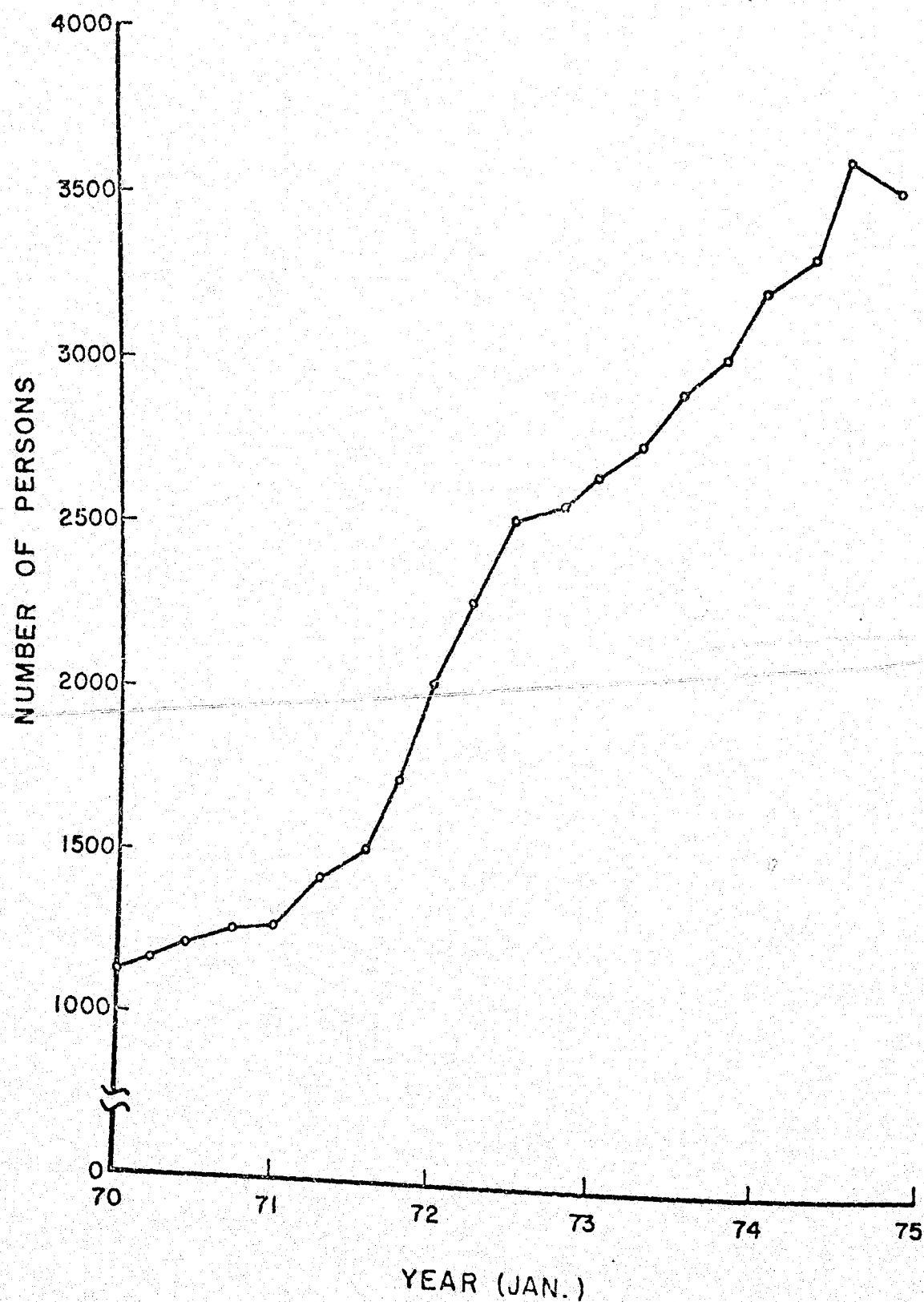


TABLE 6

First Offenders vs. Repeat Offenders, By Percent, 1970-74

	<u>1970-71</u>	<u>1971-72</u>	<u>1972-73</u>	<u>1973-74</u>
First Offenders	58.3	65.0	69.0	69.6
Repeat Offenders	41.7	35.0	31.0	30.4
Total Number of Persons Committed to the Dept. of Correction	1634	1567	1317	1617

(Source: Tennessee Department of Correction Annual Reports)

Does this slowdown in the rate of recidivism reduction indicate the existence of a limited system capability to rehabilitate? Could there possibly be a core population of persons who will always be re-entering the correctional system at various points in their life? It is still too early to positively tell. Further research needs to be done to determine the correlations, if any, between declines in the economy and increases in recidivism, and many other possible influencing factors.

Impact of Field Service Expansion on Service Delivery

The impact of field service expansion on service delivery cannot be directly measured; however, certain indicators do exist that provide indirect assumption was made that increased activity levels per se are beneficial without considering the quality of services being provided. The quality of services is assumed to remain constant.

Table 7 reveals some interesting trends in adult field service delivery during the past few years. It is readily observable that the quantitative increases in monthly field service activities

TABLE 7

Monthly Average Per-Client Adult Field Service Activity*

Fiscal Years 1970-74

	FY 1970-71			FY 1971-72			FY 1972-73			FY 1973-74		
	Average # of Contacts	Average # Under Supervision	Ratio	Average # of Contacts	Average # Under Supervision	Ratio	Average # of Contacts	Average # Under Supervision	Ratio	Average # of Contacts	Average # Under Supervision	Ratio
Home Visits	945	2203	.43:1	1511	3115	.49:1	2224	4012	.55:1	2455	4604	.53:1
Collateral Visits	1433	2203	.65:1	2096	3115	.67:1	3602	4012	.90:1	4724	4604	1.03:1
Court Visits	259	2203	.12:1	441	3115	.14:1	589	4012	.15:1	638	4604	.14:1
Client Contacts	2539	2203	1.15:1	3955	3115	1.27:1	5354	4012	1.33:1	5961	4604	1.30:1
Employer Contacts	192	2203	.09:1	318	3115	.10:1	380	4012	.10:1	556	4604	.12:1
Interstate Compact Investigations	77	2203	.03:1	85	3115	.03:1	101	4012	.03:1	120	4604	.03:1

(Source: Department of Correction Annual Report)

*Excludes Interstate Compact Cases

have occurred during the period. In the initial year of personnel expansion (1971-72), services per client increased in almost all activity areas. However, after the expansion year, services per client slowed and stabilized in proportion to increasing caseloads. (Caseload impact is discussed later in this section). This indicates that, in the future, should caseloads continue to rise, services per client can be expected to drop.

One activity not directly related to client caseload has increased significantly over the past three years - pre-sentence reports provided to the courts. Pre-sentence reports have increased as shown by Table 8 over the past four years.

TABLE 8

Trend in Presentence Investigations and Reports

FY Year	# Reports Prepared	% Increase
1970-71	2030	
1971-72	3146	+54.9
1972-72	3379	+ 7.4
1973-74	4250	+25.8

This illustrates the increasing court reliance on the correctional system's competence to provide materials upon which more appropriate judicial decisions can be based.

Increases in the number of persons with indeterminate sentences again indicates increasing court reliance and confidence in the ability of correctional personnel to better determine optimal release date for persons serving sentences. A complete reversal has occurred in the proportion of persons coming into the correctional system with a fixed or determinate sentence (See Table 9 and Figure 7).

FIGURE 7

TRENDS IN ADULT SENTENCING

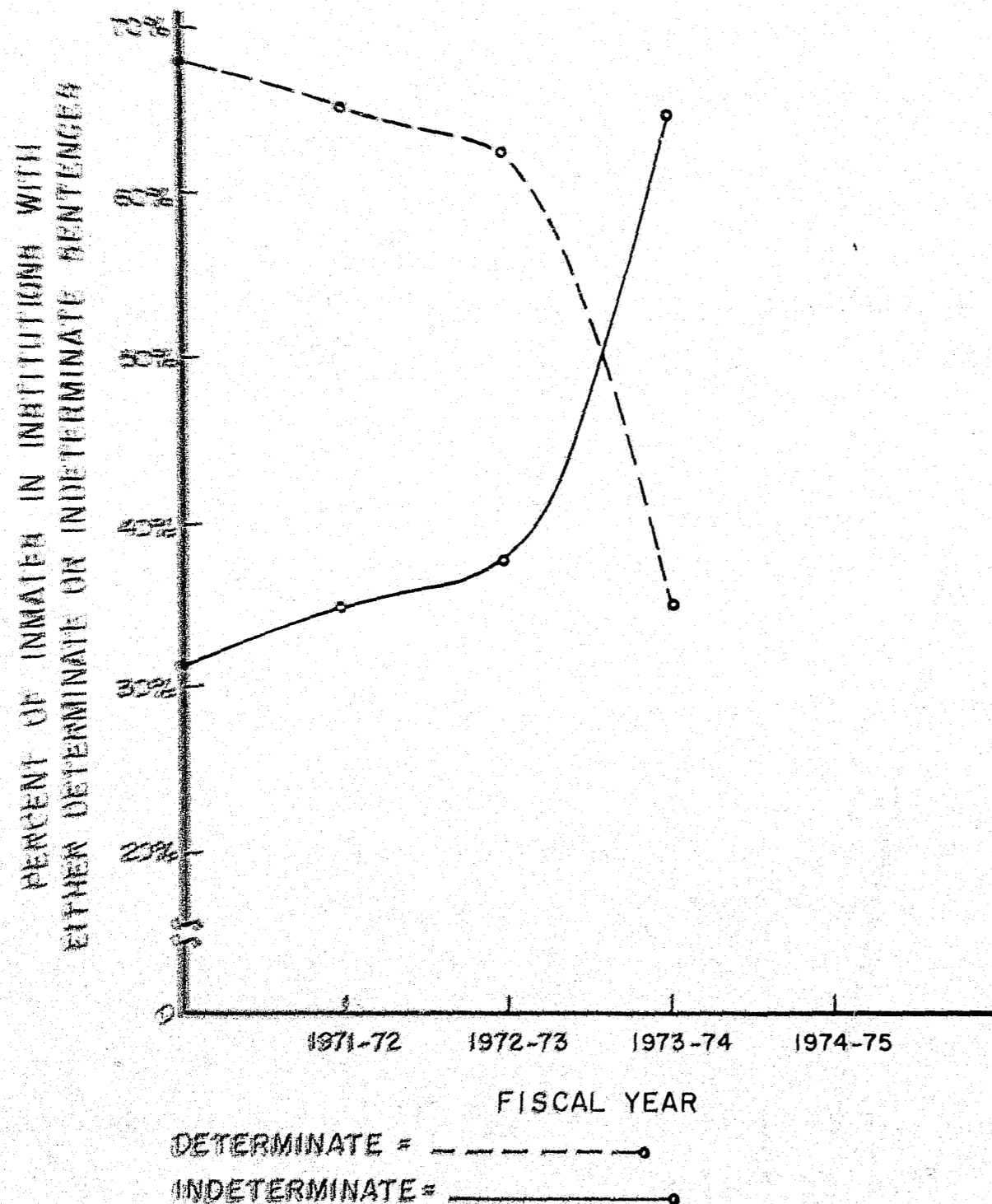


TABLE 9

INSTITUTION INMATES WITH DEFINITE AND INDETERMINATE SENTENCES
FISCAL YEARS 1972 to 1974

Type of Sentence	1971-72		1972-73		1973-74	
	#	%	#	%	#	%
Definite	2196	65.0	1888	62.3	1167	35.3
Indeterminate	<u>1185</u>	<u>35.0</u>	<u>1144</u>	<u>37.7</u>	<u>2138</u>	<u>64.7</u>
	3381	100.0	3032	100.0	3305	100.0

Source: Department of Correction Annual Reports

Additional research comparing the actual lengths of time served by persons with determinate as opposed to indeterminate sentences would provide further insight into how courts have utilized these forms of sentencing.

Another area of impact on field services has been expansion in the use of volunteers. Volunteers have been increasingly utilized to assist field service counselors in supervising their caseload. Many serve as "gate keepers" in the community, persons who can help offenders and ex-offenders secure jobs, education, housing and other community services. One of the most important contributions a volunteer makes is the personalized and readily available attention given individual clients. Estimates are that since 1970, a minimum of 1,000 volunteers have been recruited and are assisting the Department of Correction in some manner.

One final area of impact is the effect field services expansion has had on adult counselor caseloads. Under the expansion, over 43 adult counselors have been hired. Counselor caseloads experienced a significant drop as a result of this initial expansion. Adult counselor caseloads initially dropped from 70 to 40 and have now gone back up to 55.

The increase in adult counselor caseloads from the low of 40 back to the present level of 55 can be attributed to increases, initiated by the courts, in the number and percentage of persons placed on probation and parole. This is evidenced by an increase in the number of persons placed on probation from the 1971 level of 1,202 to the 1972 level of 2,443 or an increase of 84.4%.

It becomes apparent that at least levels of activity have increased in adult probation and parole as a result of expansion. Although the quality of services provided is not readily discernible, the minimum assumption is that service quality has not deteriorated. All evidence, e.g. feedback from the courts in the form of increased use of probation, indicates that judges perceive improved services. In-depth analysis of the percentage of court cases concluded that result in the granting of probation would provide better insight into the impact of field services expansion.

Funding of Field Services Expansion

Expansion and improvement of field services has been possible primarily for two reasons, increased appropriations from the General Assembly and LEAA grant funding through the Tennessee Law Enforcement Planning Agency (TLEPA). The total adult probation and parole budget increased 106.6 percent between fiscal year 1970-71 and fiscal year 1973-74.

Table 10 reveals some interesting facts concerning the financing of adult probation and parole improvements. First, in every year since fiscal year 1970-71 the annual budget increase for adult probation and parole has never been below 40 percent. This in itself demonstrates the increased commitment to use of probation and parole as a correctional alternative.

TABLE 10
Adult Probation and Parole Funding Breakdown
FY 1971-74

	FY 1971-72		FY 1972-73		FY 1973-74	
	Dollars	Percent	Dollars	Percent	Dollars	Percent
State Appropriation	\$ 832,685	72.5	\$1,365,010	84.6	\$2,153,759	90.7
Federal Funds	316,362	27.5	250,000	15.4	220,903	9.3
TOTAL BUDGET	\$1,148,947	100.0	\$1,615,010	100.0	\$2,374,662	100.0
Annual Increase			40.5		47.0	
Four-Year Increase						106.0

Source: Department of Correction, Fiscal Documents

Secondly, the Tennessee General Assembly has been extremely important in providing the resources for enabling the expansion to occur. Contrary to the beliefs of many people, the availability of federal funds (LEAA) did not appear to have been the most influential factor in the expansion of adult probation and parole services, however, appeared to serve as a catalyst facilitating a more rapid adoption of change.

Cost-Benefit Analysis of Field Services as Opposed to Incarceration

Even if utilization of probation and parole could not be justified on the basis of increased effectiveness in correctional rehabilitation, it could certainly be justified on economic grounds.

The cost of maintaining a person under probation or parole supervision during 1973-74 averaged approximately \$1.05 per day. Costs of maintaining a person in an adult institution ranged from \$10.38 per day at Tennessee State Prison to \$19.28 per day at the State Prison for Women. Moreover, inflationary price increases effect institutions more adversely because of high overhead items such as electricity, food, fuel, and personnel costs.

When consideration is given to the fact that an institutionalized person is almost totally dependent on public funds for support while a probationer and parolee usually are employed, pays taxes, and can contribute to the support of family and dependents, a convincing argument can be made for increasing the use of field services.

To use a hypothetical example, suppose during fiscal year 1973-74 one hundred offenders were placed on probation who would have otherwise been sent to a correctional institution for an average length of stay of eighteen months. In addition, suppose another one hundred persons were released six months early from an institution and placed on parole. Savings to the correctional system could be expressed as follows:

I. Correctional Institution Alternative

\$ 13.00	average per day institutional cost
<u> x 100</u>	offenders
1,300.00	per day for 100 inmates
<u> x 547</u>	eighteen month average length of stay
\$711,000	cost of maintaining 100 inmates for 18 months
\$ 13.00	average pay day institutional cost
<u> x 100</u>	eligible parolees
1,300.00	per day cost of maintenance
<u> x 182</u>	six months length of stay
\$236,600	cost of maintaining 100 eligible parolees in an institution for an extra 182 days
Total cost of alternative I = \$711,000	
	<u> 236,600</u>
	\$947,600

NOTE: An additional societal cost under Alternative I is the costs associated with maintaining an incarcerated persons family on welfare, as well as the losses in tax revenue.

II. Probation and Parole Alternative

\$ 1.05	client per diem cost for probation super-
<u> x 100</u>	vision probationers (not sent to an
\$ 105.00	institution)
<u> x 547</u>	per day cost of maintaining 100 probationers
\$57,435.00	eighteen month probation period
	cost of maintaining 100 probationers for
	18 months
\$ 1.05	client per diem cost for parole supervision
<u> x 100</u>	inmates released on parole 6 months early

\$ 105.00 cost of maintaining 100 parolees for six months
 x 182 six months parole period

\$19,110.00 cost of maintaining 100 parolees for six months

Total Cost of Alternative II = \$57,435
 19,110
 \$76,545

NOTE: Total cost of Alternative II does not include the benefits accruing from a probationer or parolee being able to support their family and dependents as well as the taxes generated by being allowed to continue employment.

Cost differential between Alternative I and II = \$947,600
 76,545
 \$871,055 Total cost differential

Even if one were to assume no significant differences between the effectiveness of field services institutions, the policy implication is that wherever possible, institutionalization (particularly for those committing victimless crimes) should be the point of last resort in the correctional service continuum.

An interesting side note to the above comes from data collected by the Department of Correction on wages earned by persons on probation or parole. For Fiscal Year 1973-74 it was found that probationers averaged take-home wages of \$435.50 per month while parolees averaged \$437.70 per month. This difference in wages was statistically insignificant (see Appendix I for an elaboration on this study). It must be borne in mind that each person employed is paying taxes and most likely supporting a family, as opposed to being supported by tax revenues and their families being on welfare, adding a further drain on already strained tax revenues. Probationers and parolees contribute far more in taxes than it costs to maintain them in the community under supervision.

CHAPTER IV

JUVENILE PROBATION AND AFTERCAREProbation Services

The total number of juveniles formally under probation supervision has been increasing at a slower rate than adult probation over the past few years. Juvenile probationers increased from 1,147 in July, 1970 to 1,992 in June, 1974 (excluding ISC supervision cases). (See Table 11). This represents a total increase of 73.6%.

TABLE 11

Total Number of Juveniles on Probation, Statewide, 1970-74

<u>MONTH</u>	<u>1970-71</u>	<u>1971-72</u>	<u>1972-73</u>	<u>1973-74</u>
July	1147	1133	1465	1902
August	1120	1133	1516	1933
September	1092	986	1554	1931
October	1139	1224	1607	1919
November	1129	1232	1662	1929
December	1151	1225	1647	1931
January	1146	1261	1661	1944
February	1124	1298	1714	1974
March	1140	1342	1774	2003
April	1119	1364	1820	2041
May	1136	1422	1825	2037
June	1145	1433	1853	1992
Monthly Average	1132	1254	1675	1961
Annual Percentage Increase		+10.7%	+33.5%	+17.0%

(Source: Tennessee Department of Correction Annual Reports)

Average monthly juvenile probation caseloads were compiled by year to indicate overall increases. The yearly compilations reveal that caseload increases have ranged from 10.7% to 33.5% during the study period (1970-1974). This indicates that juvenile judges are increasingly resorting to use of

Probation as a correctional alternative. The increases shown for the Division of Juvenile Probation are above and beyond increases in use of probation that may have occurred in the Metropolitan areas of Nashville, Memphis, Chattanooga and Knoxville, which still maintain juvenile probation functions. Unfortunately, the scope of this study does not allow generalization into the local probation function which could be expected to show an even higher rate of increase in the use of probation.

One factor that influences the workload of juvenile counselors is the court referral of non-adjudicated "unruly children" to supervision. This is done by provision of the "Unruly Child Act", Chapter 2, Section 37-232 TCA. This law makes provision for youths of court age who have committed offenses that would not be offenses had the person been an adult (i.e., truancy). These are hereinafter referred to as status offenses. If the status offender makes a satisfactory adjustment under this informal supervision, he/she will have no juvenile record. The caseload generated by this type of placement is not reflected in the general caseload figures for juvenile counselors. Table 12 indicates the increased use of the probation function for this type activity:

TABLE 12

Unruly Child Cases Handled*

	<u>1971</u>	<u>1972</u>	<u>1973</u>	<u>1974</u>
July	28	49	144	138
December	40	69	176	134

*July and December are considered representative months by the DOC

Social history (pre-hearing) report activity data showed an interesting trend over the study period for this report. Social histories provided to the courts increased from a base of 155 per month in July, 1970 to a peak of 489 in December, 1971 and have since declined and stabilized at around 225 per month.

It must be noted here that data on juveniles to establish any sort of trend analysis from arrest through disposition was almost non-existent. As mentioned in the adult section of this evaluation, development of CJIS is mandatory to provide data for this type of analysis.

Aftercare Services

Increases in the number of juveniles on aftercare (persons who have been in a juvenile institution and are now under community supervision) have not been as significant as were increases in parolees in adult field services. (See Table 13). Annual rates of increase in the average number of juveniles on aftercare have ranged from .05% (less than one percent) to 6.4%. This slow rate of increase is due to the balancing out between the number of new aftercare cases received each month and the number of old cases discharged from probation supervision.

TABLE 13

Total Number of Juveniles on Aftercare, Fy 1970-74

<u>MONTH</u>	<u>1970-71</u>	<u>1971-72</u>	<u>1972-73</u>	<u>1973-74</u>
July	2898	2862	2952	3031
August	2841	2850	2948	3035
September	2842	2674	2910	3042
October	2852	2850	2906	3102
November	2849	2880	2903	3106
December	2863	2990	2926	3135
January	2864	3052	2929	3137
February	2903	3008	2957	3175
March	2908	2997	3004	3222
April	2903	2967	3002	3273
May	2910	3016	3041	3276
June	2899	2978	3048	3293

	1970-71	1971-72	1972-73	1973-74
Monthly Average	2898	2862	2952	3031
Annual Percentage Increase		+2.2%	+0.05%	6.4%

(Source: Tennessee Department of Correction, Annual Reports)

Impact of Field Service Expansion on Service Delivery

Juvenile field service positions were increased by 52 in Fy 1972. As a result, counselor caseloads dropped from 70 to 1 to 40 to 1 where they presently remain.

Assuming a constant quality of services, one may assume that increasing the level of counselor's activity is beneficial. Table 14 reveals that, from the base year of 1970-71, expansion of the numbers of the division's personnel has appreciably increased the amounts of services provided per client (status offenders informally supervised) are not included in "Average Under Supervision." It would appear that should the court avail itself of the presentence capacity of the DOC to any great extent, the level of activities among juvenile counselors would stabilize or perhaps decline somewhat.

As in adult field services, volunteers have been an increasingly valuable resource in assisting counselors with their caseloads. Volunteers in the juvenile sector serve in a somewhat different capacity than for adults, i.e., tutoring, big brother/sister. In addition to volunteers, the use of interns from academic programs (generally in the social service sector) are used in many instances as assistant counselors. It is estimated that around 15 interns are used by the department in juvenile services annually.

It is apparent that levels of juvenile field service activity have increased appreciably as a result of expansion. Although the quality of services has not been measured, a minimum assumption is that the quality of service has not deteriorated. Feedback from the court sector in the form of increased use

TABLE 12
Monthly Average Per-Client Juvenile Field Service Activity*

	FY' 1970-71			FY' 1971-72			FY' 1972-73			FY' 1973-74		
	Average # of Contacts	Average # Under Supervision	Ratio	Average # of Contacts	Average # Under Supervision	Ratio	Average # of Contacts	Average # Under Supervision	Ratio	Average # of Contacts	Average # Under Supervision	Ratio
Home Visits	2,020	4,010	.50:1	2,505	4,197	.60:1	3,885	4,635	.84:1	3,783	5,113	.74:1
Collateral Visits	1,971	4,010	.49:1	2,509	4,197	.60:1	4,286	4,635	.92:1	4,536	5,113	.89:1
Court Visits	355	4,010	.09:1	359	4,197	.09:1	541	4,635	.12:1	770	5,113	.15:1
Client Contacts	3,471	4,010	.87:1	3,336	4,197	.80:1	4,817	4,635	1.04:1	5,351	5,113	1.05:1
Judicial Conferences	475	4,010	.12:1	569	4,193	.14:1	787	4,635	.17:1	872	5,113	.17:1

(Source: Department of Correction Annual Report)

*Excludes Interstate Compact Cases -

Field service contacts include contacts with juveniles not formally on probation (status offenders); however, the numbers of individuals informally supervised are not included in the average under supervision.

TABLE 15

Juvenile Probation and Aftercare Funding Breakdown, FY 1970-1974

	1970-71		1971-72		1972-73		1973-74	
	Amount	Percent	Amount	Percent	Amount	Percent	Amount	Percent
State Appropriation	\$763,258	--	\$1,081,174	86.8	\$1,340,641	84.7	\$1,439,929	90.7
Federal Funds (LEAA)	--	--	164,798	13.2	242,168	15.3	148,421	9.3
Total Budget	\$763,258	--	\$1,245,972		\$1,582,809		\$1,588,350	
Annual Increase				+63.2		+27.0		+4
Four-Year Increase								108.0

Source: Department of Correction, Fiscal Documents

of probation as opposed to institutionalization indicates a judicially perceived improvement of services. It would be beneficial for a later study to examine the percentage of juvenile court cases on the state and local level that concluded in the granting of probation.

The small increase in aftercare cases (Table 13) as compared to probation cases (Table 11) indicates that probation services are a viable alternative to commitment. Furthermore, this data seems to indicate that probation serves to divert juveniles from further encounters with the correctional system, as probation caseloads have increased almost three times more rapidly than the aftercare caseload - or those being placed on probation are generally not showing up at a later date as aftercare cases.

Unfortunately, for the purpose of this study, juvenile revocation and recidivism rates are not maintained in any accessible fashion by the DOC. It would be useful to examine such data in a future longitudinal study relating to the long range effects of juvenile field services.

Funding of Field Service Expansion

As in the case of adult field services, expansion of field services was made possible by both state and federal funding. The total juvenile probation and aftercare budget increased 108% between fiscal year 1970-71 and fiscal year 1973-74.

Table 15 indicates that the annual budget increase for juvenile field services was 20.% in 1971-72, 19.8% in 1972-73, and 44.5% in 1973-74. This indicates increasing support of the concept of using field services as a correctional alternative.

CHAPTER V

SUMMARY OF FINDINGS

1. Expanded adult and juvenile field services has been well received by judges and local communities. Field Services constitutes the Department of Correction's most intensive community-based effort to date.
2. The overall initial impact of field services expansion was to bring counselor caseloads down to levels comparable with the American Correctional Association standard of 40 to 50. However, the Tennessee caseload structure varies from the National Advisory Commission on Criminal Justice Standards and Goals recommendation that caseloads be modular and differentiated according to offender typology. It appears the Commission's standard would not be appropriate for implementation statewide in Tennessee due to the wide geographic distribution of clients in non-metropolitan areas. The standard may be realistically feasible in the state's four major urban areas.
3. Levels of services per client, both adult and juvenile have increased appreciably and corresponded with reductions in recidivism evidenced throughout the correctional system. Levels of services were found to be directly tied to counselor caseloads. As caseloads went down, services per client went up, and vice versa.
4. Pre-sentence report services have been utilized at significantly increased rates by criminal court judges, and by juvenile judges to a lesser extent. This is indicative of the increasing confidence courts are placing in the use of pre-sentence reports as input into court disposition of cases.

Use of pre-sentence reports by courts indicates movement toward a true systems approach in the field of criminal justice.

6. *Volunteers, although their contributions were not directly measured, play a significant role in the correctional process.*
7. *Under Tennessee's Unruly Child Act, services are being provided to certain status offenders which serves to divert these juveniles away from the Juvenile Justice System.*
8. *Data reflecting juvenile aftercare and probation caseloads indicates that probation is serving to divert individuals from further encounters with the correctional system. The probation caseload has increased around four times that of the aftercare caseload.*
9. *Funding for expansion of field services has been from two sources, the Tennessee General Assembly and the Tennessee Law Enforcement Planning Commission (TLEPC) through LEAA grant funds. The availability of federal grant monies appears to have been a catalyst for the expansion of field services.*
10. *Cursory cost/benefit analysis demonstrates that use of probation and parole can be a substantially cost-effective correctional alternative.*

It was found that diversion of first offenders (assuming they were not a threat to society -- i.e., had committed a "victimless crime") would result in a cost savings to the State of \$8,711.00 per adult over an 18 month period (which is the average length of stay in an adult institution).

CHAPTER VI
PROBLEMS AND RECOMMENDATIONS

1. Through use of time allocation studies it was found that counselors, both adult and juvenile, spend 50-51% of their time in non-counseling related duties. These non-counseling duties are for the most part clerical in nature. The use of para-professionals or volunteers in non-counseling functions could possibly help to free counselor time to engage in true counseling activity. More timely, and systematic court scheduling of cases would also help.
2. After initially dropping adult counselor caseloads are again rising with services per client subsequently stabilizing and even declining. This trend should be carefully followed to determine whether administrative action is warranted should any adverse problems arise.
3. There presently exists a lack of a working philosophy or service goal for field services. This could result in field service personnel working at cross-purposes. Some type of action is indicated which would insure a consensus of opinion in respect to the goal(s) of field services.
4. Interstate Compact supervision cases are commanding a disproportionate amount of adult counselor time. This situation should be examined to determine whether reductions in the amount of paperwork or time involved can be accomplished.

6. One of the most formidable obstacles to the evaluation effort was the lack of pertinent data concerning the input and output of persons through the police, courts and finally, corrections. Efforts to trace offender flow through the criminal justice system failed due to lack of the following types of information:

- a. conviction rates for criminal court cases
- b. number and percentage of court cases resulting in conviction and placement on probation or in an institution
- c. average lengths of sentence for persons placed on probation or in an institution
- d. monthly parole revocations differentiated according to technical revocation or new arrest.

Although it is realized that some of the above listed information deficiencies are relevant to the courts and possibly the police, the need is no less apparent that criminal justice agencies widen their perspectives to include each other in their planning efforts, especially with respect to information needs. This can best be accomplished through rapid implementation of the Criminal Justice Information System (CJIS) currently being developed. Until such time as this system is up and going, data deficiencies will continue to thwart any attempt to systematically evaluate program impact on the system as a whole. Such information as is provided by a complete CJIS is central to determining the impact of one part of the Criminal Justice System upon another. Until such time as CJIS is fully operational, evaluations such as this will continue to be time-consuming, costly, and less conclusive than evaluations firmly based on system-wide collection of hard data.

APPENDIX 1

SALARY EXAMINATION OF PROBATIONERS AND PAROLEES

To increase criteria in evaluation and to note the success of the probationer and parolee in adjusting to the demands of society, it is necessary to note his personal progress. One available means by which to measure this is found through examination of the probationers' and parolees' salary.

The total number of probationers and parolees were obtained for fiscal year 1974. In accord, the average salary of each probationer and parolee was computed for each specified month.

<u>Month</u>	<u>Year</u>	<u>Total Number of Parolees</u>	<u>Average Salary</u>
Aug.	73	1433	343
Sept.	73	1435	372
Oct.	73	1423	388
Nov.	73	1412	457
Dec.	73	1402	468
Jan.	74	1377	382
Feb.	74	1360	468
Mar.	74	1343	466
Apr.	74	1363	477
May	74	1396	452
June	74	1469	488
July	74	1510	495

<u>Month</u>	<u>Year</u>	<u>Total Number of Probationers</u>	<u>Average Salary</u>
Aug.	73	2973	375
Sept.	73	2999	395
Oct.	73	3054	405
Nov.	73	3078	450
Dec.	73	3078	450
Jan.	74	3224	362
Feb.	74	3280	457
Mar.	74	3391	430
Apr.	74	3411	453
May	74	3455	466
June	74	3521	490
July	74	3611	439

It is interesting to note that for the same time period, the average entry level salary for a Tennessee patrolman or Sheriff's Deputy was \$452.67 (according to TLEPC data).

By observing the salary in accordance with the change in number of probationers and parolees, a sketchy pattern can be noted. However, no real comparison of the data can be made without first running a test to note the pattern of changes. In this instance, it was necessary to determine the relationship between salary and number of probationers and parolees under supervision. To obtain this information, the test of least squares method is applied.

The results of the test indicate what the salary should be in relationship to the observed variables (in this case, parolees and probationers are the independent variables and salary the dependent variable). The results were as follows:

<u>Month</u>	<u>Year</u>	<u>Number of Parolees</u>	<u>Actual Salary</u>	<u>Expected Salary</u>	<u>Percentage Difference</u>
Aug.	73	1433	343	438.4	28%
Sept.	73	1435	372	438.4	18%
Oct.	73	1423	388	438.2	13%
Nov.	73	1412	457	438.0	-4%
Dec.	73	1402	468	437.9	-6%
Jan.	74	1377	382	437.5	14%
Feb.	74	1360	468	437.2	-7%
Mar.	74	1343	466	436.9	-6%
Apr.	74	1363	477	437.2	-8%
May	74	1396	452	437.8	-3%
June	74	1469	488	438.9	-10%
July	74	1510	495	439.9	-11%

<u>Month</u>	<u>Year</u>	<u>Number of Parolees</u>	<u>Actual Salary</u>	<u>Expected Salary</u>	<u>Percentage Difference</u>
Aug.	73	2973	375	405.9	8%
Sept.	73	2999	395	408.5	3%
Oct.	73	3054	405	414.1	2%
Nov.	73	3078	450	416.5	-9%
Dec.	73	3135	484	422.3	-13%
Jan.	74	3224	362	431.3	19%
Feb.	74	3280	457	437.0	-4%
Mar.	74	3391	430	448.3	2%
Apr.	74	3411	453	450.3	-5%
May	74	3455	466	454.8	-2%
June	74	3521	490	461.5	-6%
July	74	3611	439	470.6	7%

The expected figures that result signify that the average probationers' salary is much closer to his expected salary than parolees. Yet, on an average, the parolee tends to exceed his expected salary and further makes an average of four dollars more per month than does the probationer. (See Figures VI and VII).

The reason for the four dollar salary difference may be initially obscured by the inferred belief that a person with institutional ties is less likely to succeed in achieving and maintaining a higher paying job than an individual who is under probationary supervision without a past prison record.

On the contrary, the state's institutional facilities are currently providing various forms of on the job training in addition to high school and college curriculum to those inmates who are recommended for it and accept.

Another variable which effects the payment of wages is the total number of probationers and parolees that are seeking jobs for a given month. It is noted that at all times the total number of probationers employed was approximately twice that of parolees.

END