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TREATMENT ALTERNATIVES TO STREET CRIME (TASC):
A NATIONAL EVALUATION PROGRAM
PHASE I STUDY

Working Paper No. 3
Analytical Framework

Supported Under a Grant From the

National Institute of Law Enforcement and Criminal Justice
Law Enforcement Assistance Administration
U.S. Department of Justice

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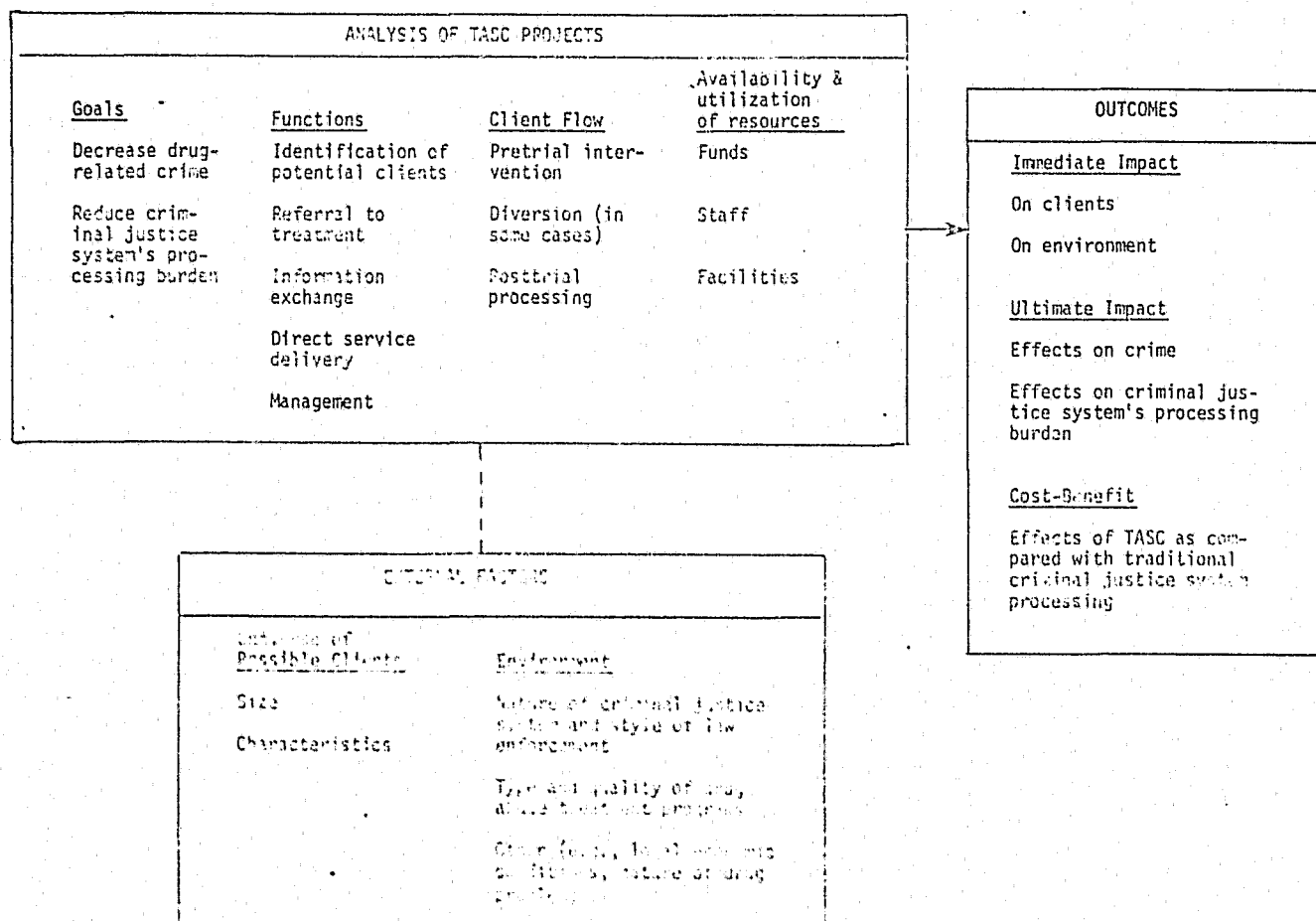
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HIGHLIGHTS

This working paper presents the results of the third stage, development of an analytical framework, of a Phase I study of the Treatment Alternatives to Street Crime (TASC) program. The TASC program evolved from observations that many drug-dependent people engaged in street crime to support their habits and were recurrently arrested, released and rearrested. To break this cycle, TASC projects were established to help channel drug-dependent arrestees into treatment, which can rehabilitate them into productive, law-abiding citizens.

Although TASC projects share similar goals, they vary in their operational response to achieving those goals. TASC projects provide different sets of services to different types of clients within varying environmental settings. The purpose of the analytical framework is to provide a systematic basis for considering these variations, along with identification of the assumptions underlying project activities, hypotheses concerning those activities and possible measures of the validity of the assumptions and hypotheses.

The figure below illustrates the overall structure of the analytical framework.



As shown, the analysis of TASC projects includes consideration of goals, functions, client flows and availability and utilization of resources. TASC's major goals of reducing both drug-related crime and the processing burden of the criminal justice system have led projects to perform five functions:

- identification of potential clients, often through screening jailed arrestees;
- referral to treatment (sometimes called "intake");
- information exchange, including tracking treatment progress and reporting it to the court;
- direct service delivery, varying from intermittent client contact which is an incidental part of other functions to complete provision of treatment services; and
- management, including evaluation and research activities.

These functions are fulfilled and interact in different ways by TASC projects. A specific project's emphasis on various functions affects the client flow which occurs. Three conceptually distinct client flow paths can be identified:

- pretrial intervention, in which a client is identified before trial, normal judicial processes occur and information on progress in treatment is provided to the court for use in the sentencing decision;
- diversion, in which some jurisdictions provide that the case will not come to trial if treatment progress is satisfactory; and
- posttrial processing, in which a client is identified and referred to treatment after the case has been adjudicated.

In addition to consideration of projects' goals, functions and client flows, the analytical framework addresses the projects' overall availability and utilization of resources. Such resources include funds, staff and facilities.

TASC projects are also analyzed within the context of external factors over which individual projects exercise varying degrees of control. These external factors include the universe of possible clients, in terms of both size and client characteristics, and environmental factors, such as:

- nature of criminal justice system and style of law enforcement;
- type and quality of drug abuse treatment programs;
- nature of local drug problem; and
- the community's economic situation.

The interaction of TASC projects with external factors produces a set of outcomes, which can be considered in terms of immediate effects, ultimate impacts and cost-benefit implications. These outcomes are related to the projects' goals of decreasing drug-related crime and reducing the processing burdens of the criminal justice system. They are also related to the projects' utilization of resources, since the degree to which projects meet their goals must be compared with the costs of that achievement and with the likely outcomes in the absence of the projects' interventions.

Each item shown in the figure forms the basis for a more detailed discussion as part of the analytical framework. For example, the TASC function "identification of potential clients" is analyzed in terms of the various ways the function is accomplished and the assumptions, hypotheses and measures associated with each variation. Later working papers will use this analytical framework to assess the existing state of knowledge with regard to the TASC program and to develop evaluation designs for filling any important gaps in present knowledge.

CHAPTER I

INTRODUCTION

As part of its National Evaluation Program, the National Institute of Law Enforcement and Criminal Justice has commissioned a series of Phase I evaluation studies. These studies assess current knowledge about a project type, the additional information which could be provided through further evaluation and the estimated cost and value of obtaining the additional information. In some cases Phase I assessments will be followed by Phase II evaluation studies to collect the additional information considered warranted.

Phase I assessments have six parts:

- review of existing literature and work in progress;
- descriptions of actual project operations;
- development of an analytical framework for understanding project operations and impacts;
- assessment of whether additional evaluation is needed;
- design of an evaluation for the overall program (if necessary); and
- design of an evaluation for an individual project (if necessary).

This working paper presents the results of the third stage, development of an analytical framework, of a Phase I study of the Treatment Alternatives to Street Crime (TASC) program. The TASC program evolved from observations that many drug-dependent people engaged in street crime to support their habits and were recurrently arrested, released and re-arrested. To break this cycle, TASC projects were established to help channel drug-dependent arrestees into treatment, which can rehabilitate them into productive, law-abiding citizens.

Although TASC projects share similar goals, they vary in their operational response to achieving those goals. TASC projects provide different

sets of services to different types of clients within varying environmental settings. The purpose of the analytical framework is to provide a systematic basis for considering these variations, along with identification of the assumptions underlying project activities, hypotheses concerning those activities and possible measures of the validity of the assumptions and hypotheses. Information for the analytical framework was developed in the earlier stages of the study, including on-site observations of TASC project activities. Later working papers will use the analytical framework to assess the existing state of knowledge with regard to the TASC program and to develop evaluation designs for filling any important gaps in present knowledge.

One of the major purposes of the analytical framework is to identify the assumptions underlying project operations and the chains of assumptions leading from expenditure of funds to specific interventions to immediate outcomes to ultimate impact on the problems of drug-related crime. Although specific assumptions (and variations in assumptions) are identified in the detailed discussions of the framework, a general chain of major assumptions underlies the entire TASC concept. These assumptions are:

- Many drug abusers are committing crimes in order to obtain the funds required to support their drug abuse.
- If arrested drug abusers are released to the community pending trial and not channeled into treatment, they are likely to continue abusing drugs and therefore to continue committing the crimes required to obtain money to buy drugs.
- Providing treatment for drug abuse would solve the related criminality problems, by removing a drug abuser's need to obtain funds for the purchase of drugs.
- A formalized mechanism is needed for identifying arrested drug abusers, referring them to appropriate treatment programs and monitoring their treatment progress.
- Progress in treatment should be monitored and reported to the court, so that drug abusers perceive real incentives to succeed in treatment.

- If treatment is successful, there will be less crime in the community than there would have been otherwise, since former drug abusers will no longer be committing crimes.
- If treatment is successful, the processing burdens on the criminal justice system will be reduced, since former drug abusers will no longer be part of the arrest-release-rearrest cycle.

These overall assumptions about the TASC concept influenced the development of specific TASC projects and should be borne in mind as the detailed analytical framework is reviewed.

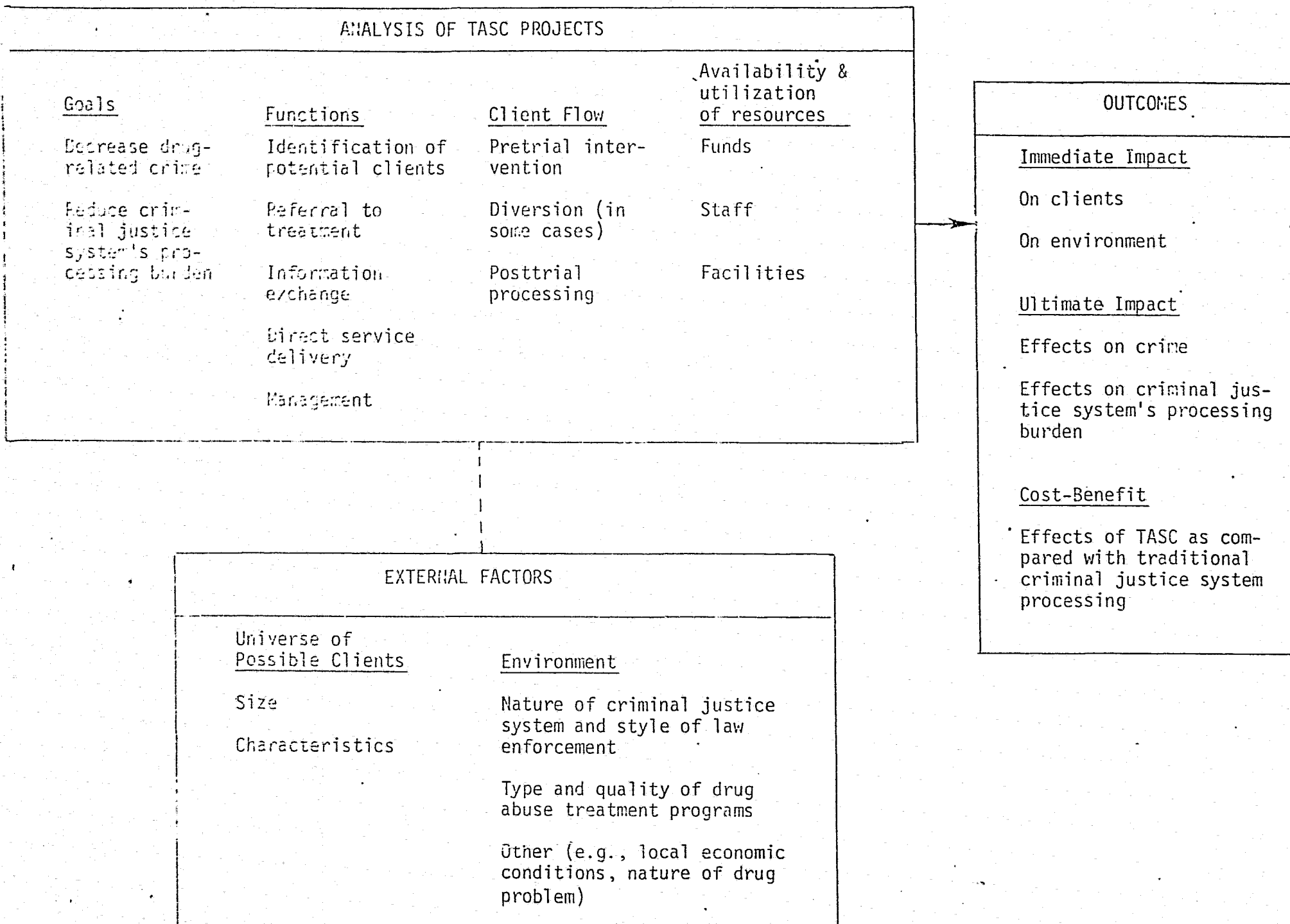
Figure 1 illustrates the overall structure of the analytical framework. The analysis of TASC projects includes consideration of goals, functions, client flows and availability and utilization of resources. TASC's major goals of reducing both drug-related crime and the processing burden of the criminal justice system have led projects to perform five functions:

- identification of potential clients, often through screening jailed arrestees;
- referral to treatment (sometimes called "intake");
- information exchange, including tracking treatment progress and reporting it to the court;
- direct service delivery, varying from intermittent client contact which is an incidental part of other functions to complete provision of treatment services; and
- management, including evaluation and research activities.

These functions are fulfilled and interact in different ways by TASC projects. A specific project's emphasis on various functions affects the client flow which occurs. Three conceptually distinct client flow paths can be identified:

- pretrial intervention, in which a client is identified before trial, normal judicial processes occur and information on progress in treatment is provided to the court for use in the sentencing decision;

FIGURE 1. ANALYTICAL FRAMEWORK FOR TASC EVALUATION



- diversion, in which some jurisdictions provide that the case will not come to trial if treatment progress is satisfactory; and
- posttrial processing, in which a client is identified and referred to treatment after the case has been adjudicated.

In addition to consideration of projects' goals, functions and client flows, the analytical framework addresses the projects' overall availability and utilization of resources. Such resources include funds, staff and facilities.

TASC projects are also analyzed within the context of external factors over which individual projects exercise varying degrees of control. These external factors include the universe of possible clients, in terms of both size and client characteristics, and environmental factors, such as:

- nature of criminal justice system and style of law enforcement;
- type and quality of drug abuse treatment programs;
- nature of local drug problem; and
- the community's economic situation.

The interaction of TASC projects with external factors produces a set of outcomes, which can be considered in terms of immediate effects, ultimate impacts and cost-benefit implications. These outcomes are related to the projects' goals of decreasing drug-related crime and reducing the processing burdens of the criminal justice system. They are also related to the projects' utilization of resources, since the degree to which projects meet their goals must be compared with the costs of that achievement and with the likely outcomes in the absence of the projects' interventions.

Each item listed in Figure 1 forms the basis for a more detailed discussion as part of the analytical framework. For example, the TASC function "identification of potential clients" is analyzed in terms of the various ways the function is accomplished and the assumptions, hypotheses and mea-

sures associated with each variation. Thus, in addition to serving as an integrating framework for analysis of the TASC program, Figure 1 provides an outline for the remainder of the report. Chapter II considers the TASC projects; Chapter III, external factors, and Chapter IV, outcomes.

Before beginning the detailed consideration of the analytical framework, a few comments about terminology are in order. Past working papers have noted that individual TASC projects sometimes use the same words to refer to vastly different phenomena. The conventions adopted in this paper to reduce ambiguity include:

- "Trial" refers to the court appearance during which a finding of guilt or innocence is made; other court proceedings are described either generally as "court appearances" or specifically in terms of the particular event (e.g., arraignment, sentencing).
- "Diversion" refers to a procedure by which success in treatment leads to termination of normal judicial proceedings (i.e., persons successful in treatment do not come to trial); types of interface with criminal justice system processing which do not affect the need for a trial are referred to as "intervention."
- "Identification of potential clients" refers to all such activities; "screening" refers to specific activities designed to identify drug-dependent arrestees within the jails.
- "Referral" is rarely used alone, since it may indicate referral to TASC, referral for diagnosis, referral to treatment or another form of referral.
- The use of the word "intake" is avoided, since it could be used either for intake to TASC or intake to treatment. "Referral to treatment" is used to indicate TASC's procedures for diagnosing a person's drug problem and developing an appropriate treatment recommendation.
- "Tracking" is rarely used, since it could refer to tracking treatment progress, tracking court dates, or tracking down clients who have left treatment. "Information exchange" is used to reflect TASC's processes of obtaining information from one source and transmitting it to another (e.g., obtaining information on treatment progress and providing it to the court, or obtaining information on court dates and checking with clients to help insure their appearance).
- "TASC client" or "TASC participant" refers to a person who has both volunteered for and been accepted by TASC. Until both of these conditions have been met, a person can be only a "potential TASC client."

- "Treatment client" is a person participating in a treatment program. Successful TASC clients must also become treatment clients.
- "Urinalysis" refers to any analysis of urine samples for the purpose of determining the presence of drugs; "mass urinalysis" refers to urine testing of all arrestees in order to identify those who abuse drugs.
- "Incarceration" refers to removal of freedom for people who have been found guilty of crimes and sentenced to a period of confinement; "detention" refers to removal of freedom for people who have been arrested and are awaiting trial but are not released to the community during the pretrial period.
- "Prison" refers to a facility for people who are incarcerated; "jail" refers to a facility for people who are either being detained pending trial or incarcerated for relatively short periods of time (usually less than one year).

The consistent use of these terms in the following discussions is designed to avoid some of the confusion which might otherwise exist concerning the precise TASC activities being described.

CHAPTER II

ANALYSIS OF TASC PROJECTS

TASC projects can be analyzed in terms of four factors: goals, functions, client flows and availability and utilization of resources. Each of these is considered in terms of its major components, and each major component is analyzed in detail - usually in terms of its underlying assumptions, hypotheses and possible measures of validity. Assumptions typically refer to tenets upon which project operations are based, either explicitly or implicitly. Hypotheses usually consist of proposals which Lazar believes could be empirically tested for the TASC program.

GOALS

The main goals of TASC projects are to decrease drug-related crime and reduce the processing burden of the criminal justice system. The chain of assumptions underlying these goals was described in the last chapter. The hypothesis that TASC can achieve these goals is a major evaluative consideration for the entire TASC program. Possible measures of the validity of this hypothesis will be considered throughout the analytical framework, particularly in Chapter IV on outcomes.

Some projects have specified additional goals, such as reducing jail tensions caused by the presence of untreated drug abusers. Other projects have proposed operational objectives related to those goals, such as identifying a certain number of potential clients or referring a given number of people to treatment. Although it can be argued that individual projects which specify such goals should be evaluated in terms of their achievement of them, it is nevertheless true that the entire TASC program

must be assessed in terms of its effectiveness in reducing drug-related crime and decreasing the processing burdens of the criminal justice system. Although these goals may provide an incomplete basis for consideration of a specific project's accomplishments, they are the foundations of evaluation for the TASC program, and each project must be considered at least in part in terms of its contribution to those goals.

FUNCTIONS

To achieve the goals of the TASC program, TASC projects serve five functions:

- identification of potential clients;
- referral to treatment;
- information exchange;
- direct service delivery; and
- management.

Each of these functions is discussed below.

Identification of Potential Clients

Identification of potential clients occurs either through TASC's jail screening activities or through TASC's receipt of referrals from attorneys, probation officers and other sources. Jail screening occurs either through administration of mass urinalysis tests to all arrestees or through selected interviewing of arrestees who admit drug abuse, manifest symptoms of drug abuse or are charged with crimes which are often associated with drug abuse.

Assumptions which underlie all of these identification activities include:

- Criminally involved drug abusers need special attention;
- TASC participation provides the special attention that criminally

involved drug abusers need in order to become rehabilitated. Projects which engage in jail screening further assume that it is important to identify all eligible drug-dependent arrestees who may be interested in TASC and that removing drug abusers from the jailed population will decrease jail tensions. Such projects perceive TASC outreach to the jailed population of arrestees as a crucial TASC activity. The assumptions underlying this outreach function vary by whether the project relies on mass urinalysis or selected interviewing. Projects using mass urinalysis assume its use is necessary to identify all arrestees who abuse drugs. Projects relying on selected interviewing assume that virtually all the drug-dependent arrestees who could benefit from TASC can be identified through this technique.

Unlike projects which use jail screening, projects which rely on receiving referrals from various sources do not assume that it is important to identify all eligible drug-dependent arrestees who may be interested in TASC. They assume instead that it is important for the project to handle a capacity load of clients and that this can be accomplished without TASC outreach to the jails.

Since projects vary in terms of their underlying assumptions, possible measures of their effectiveness in accomplishing the identification function also vary. Table 1 summarizes the different assumptions and suggests related measures and analyses associated with the various methods of project operation. In general, the measures consider:

- the number of people identified;
- the relationship of that number either to the potential arrestees who should have been identified or to the project's capacity to handle potential clients;

Table 1. Identification of Potential Clients

Jail Screening		Other (e.g., Receive Referrals from Other Sources)
Urinalysis of All Arrestees	Interviewing of Selected Arrestees	
<p><u>Assumptions:</u></p> <p>Criminally involved drug abusers need special attention. TASC participation provides the special attention that criminally involved drug abusers need in order to become rehabilitated.</p>		
<p>It is important to identify all eligible arrestees who may be interested in TASC; this requires outreach to the jails.</p>		<p>It is important to handle a capacity load of clients. This can be accomplished by processing persons referred to TASC from other sources, so outreach to the jails is unnecessary.</p>
<p>Mass urinalysis of all arrestees is needed to identify those who abuse drugs.</p>	<p>Selected interviewing of arrestees will identify virtually all persons who could benefit from TASC.</p>	
<p>Removing drug abusers from the jailed population will decrease jail tensions.</p>		
<p><u>Possible Measures and Analyses:</u></p>		
<p>Number of potential clients identified. Percent of potential clients identified. Number of persons interviewed by TASC. Percent of identified potential clients who were interviewed by TASC. Percent of total potential clients who were interviewed by TASC. Analysis of reasons why potential clients were not interviewed (e.g., made bail quickly).</p>		<p>Number of persons referred to TASC. Number of persons interviewed by TASC. Number of persons referred to TASC as percent of TASC's "capacity." Percent of potential TASC clients not referred to TASC.</p>
<p>Characteristics of persons missed by TASC's identification activities, as compared with persons identified.</p> <p>Percent of interviewed potential clients accepted by TASC.</p> <p>Characteristics of persons accepted by TASC.</p>		

(continued)

Jail Screening		Other (e.g., Receive Referrals from Other Sources)		
Urinalysis of All Arrestees	Interviewing of Selected Arrestees			
<p>Possible Measures and Analyses (Continued):</p> <p>Characteristics of persons rejected by TASC, as compared with persons accepted.</p> <p>Analysis of reasons for TASC's rejections.</p> <p>Percent of interviewed potential clients who rejected TASC.</p> <p>Characteristics of persons who rejected TASC, as compared with persons who accepted.</p> <p>Analysis of reasons for rejecting TASC.</p> <p>Analysis of whether all possible points of entry are covered:</p> <table border="1" data-bbox="248 981 1530 1144"> <tr> <td>Are all jails and other booking facilities covered around the clock? If not, how many potential clients are missed?</td> <td>Do referrals come from all potential sources? If not, how many potential clients are missed?</td> </tr> </table>			Are all jails and other booking facilities covered around the clock? If not, how many potential clients are missed?	Do referrals come from all potential sources? If not, how many potential clients are missed?
Are all jails and other booking facilities covered around the clock? If not, how many potential clients are missed?	Do referrals come from all potential sources? If not, how many potential clients are missed?			
<p>Outcomes over time of criminally involved drug abusers as compared with other arrestees, having similar criminal histories, who do not abuse drugs.</p> <p>Outcomes over time of criminally involved drug abusers who participate in TASC, as compared with criminally involved drug abusers, having characteristics similar to TASC clients, who do not participate in TASC.</p> <p>Analysis of jail tensions:</p> <ul style="list-style-type: none"> • before and after TASC; and • in jails where TASC operates, as compared with similar jails where TASC does not operate. 				

- analysis of the reasons why potential clients did not become clients;
- analysis of the characteristics of persons who became TASC clients, as compared with those of persons who could have become TASC clients but did not; and
- whether outcomes vary significantly over time for drug-dependent arrestees, as compared with other arrestees, or for drug-dependent arrestees who participate in TASC, as compared with other drug-dependent arrestees.

Several particularly difficult problems must be resolved in order to use the measures proposed. These problems include:

- estimating the potential TASC clients missed by the various identification procedures;
- estimating the total number of drug-dependent arrestees for projects relying on selected jail interviewing rather than mass urinalysis;
- determining the level of "jail tensions"; and
- estimating a project's "capacity" to handle identified clients.

Whether it is worthwhile to attempt to resolve these problems depends on the relative importance of the types of analyses which could result, as compared with other types of evaluation. Therefore, further consideration of these problems is deferred until the full range of possible measures of TASC's effectiveness has been described.

A number of hypotheses can be developed concerning the identification function. These include:

- Jail screening through selected interviewing is as effective as screening through mass urinalysis, in terms of identifying potential clients who later enter TASC and fulfill its requirements.
- Jail screening through selected interviewing is cheaper than screening by mass urinalysis.
- Jail screening through selected interviewing results in greater "creaming" than use of mass urinalysis.
- Projects relying on referrals from other sources "cream" the potential client group to a greater extent than projects which engage in jail screening.

- Projects relying on referrals from other sources will have lower drop-out rates than projects using jail screening.
- Identification of potential clients through referrals from other sources is cheaper than jail screening.
- As projects age, their emphasis changes from use of mass urinalysis to use of selected interviewing to reliance on referrals from other sources.
- In the absence of TASC intervention, criminally involved drug abusers will have poorer outcomes over time than other arrestees with similar criminal histories.
- TASC clients will have better outcomes over time than persons with similar characteristics who do not participate in TASC.
- TASC reduces jail tensions.
- The use of non-TASC staff (e.g., bail interviewers) for jail screening of potential TASC clients does not significantly affect the number of potential clients identified or the later outcomes of those clients.

Referral to Treatment

Referral to treatment usually involves conducting a socio-psychological interview and a physical examination. In some cases psychological testing is also used to help assess the most appropriate form of treatment for a specific individual. Projects' performance of this function varies primarily by the length of time required to make the referral to treatment. Projects taking a relatively long time period assume that comprehensive, and thus time-consuming, diagnosis is required, if "good" referrals to treatment are to be made. In some cases, this assumption is supplemented by a belief that local treatment is so bad that extensive TASC contact with the client is required for the client to succeed.

Projects which make the referral to treatment within a relatively short time period assume that clients should actually enter treatment as quickly as possible and that the resulting continuity of therapy will be

important for success. In some cases, this assumption is supplemented by the belief that it is impossible to predict which referrals to treatment will turn out to be "good" ones and, therefore, there is little pay-off in agonizing over the referral decision.

All projects also assume the following:

- A formalized process for referral to treatment is better than informal mechanisms, both because formal processes will result in more people entering and remaining in treatment and because better referrals to treatment will be made.
- If a good referral is made, the client is more likely to remain in treatment.
- A client who stays in treatment and completes it will have a better outcome than one who drops out or one who never entered.
- Adequate treatment will be available to absorb TASC's referrals.
- Treatment programs will cooperate with TASC.

Table 2 summarizes the assumptions underlying the referral to treatment function and indicates a variety of possible measures associated with the analysis of that function. The proposed measures include:

- the number of persons referred to treatment, as compared with the number of persons who could have been referred;
- characteristics of persons who drop out of TASC at this stage, as compared with the characteristics of persons who remain in TASC;
- analysis of reasons for losing clients at this stage;
- accuracy of TASC's information about treatment available locally;
- analysis of whether TASC tries to channel its clients to the better treatment programs;
- characteristics of TASC clients referred to various treatment modalities;
- retention rate of TASC clients in various treatment modalities, as compared with the retention rate of other persons in the various modalities; and

Table 2. Referral to Treatment

Long Time Period	Short Time Period
<p><u>Assumptions:</u></p>	
<p>It is important to provide comprehensive diagnosis if "good" referrals are to be made.</p>	<p>It is important to get the client into treatment as quickly as possible.</p>
<p>A formalized process for referral to treatment is better than informal referral mechanisms because:</p> <ul style="list-style-type: none"> . more people will enter and remain in treatment; and . better referrals will be made. <p>If a good referral is made, the client is more likely to remain in treatment.</p> <p>A client who stays in treatment and completes it will have a better outcome than a person who drops out or one who never entered.</p> <p>Adequate treatment will be available to absorb TASC's referrals.</p> <p>Treatment programs will cooperate with TASC.</p>	
<p><u>Possible Measures and Analyses:</u></p> <p>Number of persons seeking referral to treatment.</p> <p>Number of persons referred to treatment as percent of those seeking referral.</p> <p>Percent of persons seeking referral who were rejected by TASC at this stage.</p> <p>Analysis of characteristics of persons rejected as compared with those accepted.</p> <p>Analysis of reasons for TASC's rejections.</p> <p>Percent of persons seeking referral who rejected TASC at this stage.</p> <p>Analysis of characteristics of those who rejected TASC as compared with those who accepted.</p> <p>Analysis of reasons for rejecting TASC.</p> <p>Accuracy of TASC staff's information about treatment available locally.</p> <p>Analysis of whether TASC staff prioritize referrals to the better treatment programs.</p> <p>Characteristics of TASC clients referred to various treatment modalities.</p>	

(continued)

Long Time Period	Short Time Period
<p><u>Possible Measures and Analyses (Continued):</u></p> <p>Retention rates of TASC clients in various treatment modalities, as compared with non-TASC treatment clients having similar characteristics.</p> <p>Retention rates, analyzed by client characteristics, of TASC clients in various treatment modalities, as compared with non-TASC treatment clients.</p> <p>Rehabilitation outcomes of TASC clients, as compared with persons having similar characteristics who did not participate in TASC.</p>	

- rehabilitation outcomes over time of TASC clients compared with similar persons who did not participate in TASC.

A major problem to resolve in assessing the referral to treatment function is determination of a "good" referral. A good referral might be considered as one which results in a client's staying in treatment and succeeding in becoming rehabilitated. However, a variety of other factors may be more crucial determinants of outcome, such as the client's motivation or the quality of the treatment program staff. Therefore, beliefs about the components of good referral decisions should be viewed with some skepticism.

. Important hypotheses concerning the referral to treatment function include:

- Projects making the referral to treatment within a short, rather than long, time period will have better client outcomes.
- Clients referred to treatment through formalized mechanisms will have better outcomes than those referred informally.
- TASC clients will have better outcomes in communities with adequate treatment than in those with inadequate treatment.
- TASC clients will have better outcomes in communities where treatment programs are cooperative than in those where they are not.
- Better referrals will be made if the TASC staff has accurate information about the treatment available locally.
- TASC clients will have better outcomes when TASC staff members actively try to channel referrals to better treatment programs.
- Clients with certain sets of characteristics are consistently referred to certain types of treatment.
- Clients with certain sets of characteristics have consistently better outcomes than other clients.

Information Exchange

Information exchange includes the activities of project components which engage in tracking treatment progress and those which serve as court

liaisons. These components provide a similar function, in the sense that they obtain information from one source and report it to another. Such information exchange flows from the TASC project to various agents of the criminal justice system, including judges, probation and parole officers, prosecutors, and public defenders. This exchange takes a variety of forms, such as appearance at court hearings, presentation of treatment recommendations for TASC clients, provision of reports on treatment progress and on TASC terminations and preparation of information for use in any Pre-Sentence Investigation (PSI) conducted on a TASC client.

Information is also exchanged between TASC and treatment programs. This may include TASC's provision of its own diagnostic intake information on a client to the treatment program and the treatment program's provision of periodic reports on a client's treatment progress to TASC. In addition, TASC staff may meet with treatment program staff to provide more general information about the nature of TASC requirements and to obtain insight on the types of treatment available.

A specific TASC project's relationships with each part of the criminal justice system and with treatment programs varies in terms of four factors:

- Frequency of contact: Projects with more frequent contact assume it is vital to have extremely current information (often daily) on clients' progress and to keep members of the criminal justice system routinely informed (often on a monthly basis). Projects with less frequent contact assume that routine progress information is not needed very often, particularly if unusual events (e.g., drop-outs) are reported promptly.
- Type of contact (i.e., whether personal or mail/telephone): Projects relying on personal contacts assume that better information will be obtained and better working relationships developed in this manner. Projects relying on mail/telephone contacts assume that information will be obtained and adequate working relationships developed through use of contact mechanisms which conserve TASC staff's time.

- Volume of information exchanged: Projects exchanging much information assume that TASC must be well-informed on treatment progress and should communicate the full details of that progress to the criminal justice system. Projects exchanging little information assume that minimal data on treatment progress, such as attendance and urinalysis results, are adequate for TASC and criminal justice system use.
- Tone of contact (i.e., neutral or advocate): With regard to the criminal justice system, projects having neutral contacts assume that TASC's role is primarily to report events and that it is up to the criminal justice system to interpret these data and take appropriate action, while projects with an advocacy tone assume that TASC should also make recommendations about clients' further participation and/or criminal justice processing. With regard to treatment programs, projects with neutral contact assume that TASC's job is to refer clients to treatment and monitor their progress but in no way to "interfere" with treatment staff's decisions, while projects with an advocacy tone assume that TASC's job is to increase the likelihood of client rehabilitation and that this may require pressuring treatment programs to provide better services.

In addition to these assumptions concerning the frequency, type and tone of contact, as well as the volume of information exchanged, projects assume that:

- Criminal justice system pressure will affect client's performance favorably (i.e., clients will stay in treatment and keep scheduled court appearances if TASC is monitoring client progress and reporting it to the court).
- Some information must be exchanged with the criminal justice system in order to establish TASC's credibility.
- All important criminal justice system and treatment units will cooperate with TASC. For example:
 - Judges will deal favorably with TASC clients who succeed and unfavorably with clients who fail (e.g., for clients who succeed in treatment, judges will concur with the dropping of prosecution if the client was diverted and will sentence other clients to probation conditioned upon continued treatment progress; for clients who fail, judges will revoke their release).
 - The prosecutor will concur with TASC's recommendations, on the determination of appropriate TASC clients as well as on the final disposition of cases.
 - The police will permit TASC activities within the jail.

- Actions of probation and parole officers will usually support TASC's activities.
- Clients' attorneys will assist TASC in its identification and monitoring functions as well as protect clients' legal rights.
- Treatment programs will provide the information TASC requires on a timely basis.

Table 3 summarizes these assumptions and indicates a variety of measures appropriate for analysis of the information exchange function. These measures concern:

- the degree of cooperation TASC receives from the criminal justice and treatment systems with regard to information exchange;
- whether differences in the frequency, type or tone of contact or in the volume of information exchanged are associated with higher levels of cooperation and/or better client outcomes;
- the accuracy of the information TASC receives and transmits;
- the percent of court appearances missed by TASC clients, as compared with non-clients having similar characteristics;
- retention rates of TASC participants, as compared with non-participants having similar characteristics;
- rehabilitation outcomes over time of TASC clients compared with similar persons who did not participate in TASC; and
- characteristics of TASC clients who complete treatment, as compared with those who drop out.

Hypotheses concerning information exchange include:

- Clients are less likely to drop out of treatment if their progress is actively tracked and reported to the criminal justice system.
- Clients have better rehabilitation outcomes when their treatment progress is actively tracked and reported to the criminal justice system.
- TASC participants are more likely to appear for court dates than non-participants having similar characteristics.
- TASC clients will have better outcomes in the criminal justice system and treatment programs are cooperative toward TASC.
- TASC projects will be more successful if they have frequent, rather than infrequent, contact with the criminal justice and treatment systems.

Table 3. Information Exchange

With Criminal Justice System	With Treatment Programs
<p><u>Assumptions:</u></p> <p>Frequent contact assumes the importance of very current information, while less frequent contact assumes the reporting of unusual events is more necessary. Personal contact assumes this is a prerequisite for good information and good working relationships, while mail/telephone contact assumes that these easier techniques will be just as satisfactory.</p> <p>Exchanging much information assumes the importance of complete reporting to and by TASC, while exchanging less information assumes that minimal data are adequate to meet TASC and criminal justice system needs.</p>	
<p>Neutral tone assumes that TASC should only report facts, while advocacy tone assumes TASC should also interpret these facts and make recommendations based on them.</p>	<p>Neutral tone assumes TASC should only monitor client progress in treatment, while advocacy tone assumes TASC should actively try to influence treatment outcomes.</p>
<p>Criminal justice system pressure will affect client's performance favorably. The criminal justice and treatment systems will cooperate with TASC, by providing needed information and taking actions supportive of TASC.</p> <p>TASC must exchange some information with the criminal justice system, to establish its own credibility.</p>	
<p><u>Possible Measures and Analyses:</u></p> <p>Degree of cooperation of criminal justice and treatment systems with TASC.</p> <p>Whether differences in the frequency, type or tone of contact or in the volume of information exchanged are associated with higher levels of cooperation and/or better client outcomes.</p> <p>Accuracy of the information TASC receives and transmits.</p> <p>Whether appropriate information is being exchanged, subject to the limitations of confidentiality regulations.</p> <p>Percent of court appearances missed by TASC participants, as compared with non-participants having similar characteristics.</p> <p>Retention rates over time of TASC clients in various treatment modalities.</p>	

(continued)

With Criminal Justice System	With Treatment Programs
<p data-bbox="194 342 816 378"><u>Possible Measures & Analyses</u> (cont'd.)</p> <p data-bbox="194 395 1422 459">Retention rates over time of non-TASC clients, with characteristics similar to TASC clients, in various treatment modalities.</p> <p data-bbox="194 476 1422 540">Comparison of retention rates over time for TASC participants and otherwise similar non-participants in various treatment modalities.</p> <p data-bbox="194 557 1405 621">Retention rates over time, by client characteristic, for TASC participants and otherwise similar non-participants in various treatment modalities.</p> <p data-bbox="194 638 1372 702">Rehabilitation outcomes over time of TASC participants and other similar non-participants.</p> <p data-bbox="194 719 1389 783">Characteristics of clients who complete treatment, as compared with those who drop out.</p> <p data-bbox="194 838 650 902">Whether judges follow TASC's recommendations.</p> <p data-bbox="194 919 678 1051">Dispositions of TASC clients (both successes and failures), as compared with otherwise similar non-participants.</p>	

- TASC projects will be more successful if their contacts with the criminal justice and treatment systems are made on a personal, rather than a mail/telephone, basis.
- TASC projects will be more successful if they exchange much, rather than little, information with the criminal justice systems.
- TASC projects will be more successful if they have an advocate, rather than a neutral, tone of contact with the criminal justice and treatment systems.

Direct Service Delivery

Direct service delivery can take the following forms:

- provision of treatment, in the community or in jail, through individual or group counseling sessions run by TASC staff;
- provision of ancillary services, such as vocational rehabilitation assistance or medical attention, by TASC staff, either in addition to or in lieu of similar assistance by treatment programs;
- routine client contact, through periodic meetings with clients;
or
- client contact during times of crisis, such as when a client drops out of treatment.

Major assumptions underlying the provision of treatment or ancillary services include:

- Adequate services do not exist in the area.
- Such services are needed for the successful rehabilitation of TASC clients.

The major assumptions underlying client contact is that such contact will assist in rehabilitation. Projects providing for routine client contact further assume that:

- Periodic contact will help in the early identification of possible problems.
- Routine client contact assists TASC in assessing the quality of treatment programs.
- Clients are more likely to succeed in treatment if many people show a continuing interest in their progress.

Projects providing for client contact during times of crisis assume that such intervention is needed in order to encourage drop-outs to return to treatment and to provide re-referral to a different treatment program, when appropriate.

Table 4 summarizes these assumptions and indicates several relevant measures for this function. These measures are:

- amount of TASC staff's time spent in direct service delivery;
- average amount of TASC time spent on each client served;
- whether TASC supplements or duplicates similar services in the area;
- frequency of client contact; and
- accuracy of clients' information about TASC.

Hypotheses concerning direct service delivery include:

- Clients will have better rehabilitation outcomes if more TASC time is spent on direct service delivery.
- Clients will have better rehabilitation outcomes when TASC contacts them frequently.
- Clients will have better rehabilitation outcomes when they have accurate information about TASC.

Management

TASC management and administration (including evaluation and research) can be accomplished in an active or a passive manner. Active project management assumes:

- TASC should try to change any environmental constraints which hinder its operations.
- Evaluation is needed, so that TASC's program operations can be improved.
- TASC's management should provide leadership for the staff.
- TASC should encourage clients to be rehabilitated.

Table 4. Direct Service Delivery

Treatment or Ancillary Service	Client Contact	
	Routine	Crisis
<u>Assumptions:</u> Adequate services do not exist in the area. Such services are needed for successful rehabilitation of TASC clients.	Client contact by TASC will assist in rehabilitation.	
	Periodic contact will help identify possible problems at an early date. Routine client contact assists TASC in assessing treatment program quality. Clients will do better, if many people show continuing interest in their treatment progress.	Crisis intervention is needed: - to encourage drop-outs to return to treatment; and - to assist in re-referral, if warranted.
<u>Possible Measures and Analyses:</u> Amount of TASC staff's time spent in direct service delivery. Average amount of TASC time spent on each client served.		
Whether TASC supplements or duplicates similar services in the area.	Frequency of client contact. Accuracy of client's information about TASC.	

On the other hand, passive management assumes:

- TASC must work within all environmental constraints which exist.
- Evaluation is needed to be "in style."
- TASC's staff will work best if left alone to do their jobs.
- TASC should offer the option of rehabilitation to potential clients, but whether this option is accepted is completely up to them.

Table 5 summarizes these assumptions pertaining to active and passive management and suggests the following measures of interest:

- extent to which project's management tries to change unfavorable environment constraints;
- types of evaluation accomplished and uses made of results;
- extent to which project's management guides staff's work; and
- extent to which project's management tries to encourage client rehabilitation.

The major hypothesis to be tested regarding project management is that projects with active management will be more successful than those with passive management.

Concluding Remarks

A major task of the analytical framework is to identify the chains of assumptions underlying project operations, as well as the individual assumptions associated with specific project functions. For TASC projects, these chains of assumptions can be developed from the discussions of individual functions, since a project can incorporate any of the approaches listed for specific functions, along with the associated assumptions. For example, a project can identify potential clients through selected interviewing in the jails; provide for referral to treatment within a relatively short time period; exchange a low volume of information with the criminal justice system infrequently, personally and in a neutral manner; exchange a high

Table 5. Management

Active	Passive
<p><u>Assumptions:</u></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>TASC should try to change any environmental constraints which hinder its operations.</p> <p>Evaluation is needed, so that TASC's program operations can be improved.</p> <p>TASC's management should provide leadership for the staff.</p> <p>TASC should encourage clients to become rehabilitated.</p> </div> <div style="width: 45%;"> <p>TASC must work within all environmental constraints which exist.</p> <p>Evaluation is needed to be "in style."</p> <p>TASC's staff will work best when left alone to do their jobs.</p> <p>TASC should offer the option of rehabilitation to potential clients; whether they choose that option is up to them.</p> </div> </div>	
<p><u>Possible Measures and Analyses:</u></p> <p>Extent to which project tries to change unfavorable environmental constraints.</p> <p>Types of evaluation accomplished and uses made of results.</p> <p>Extent to which project's management guides staff's work.</p> <p>Extent to which project tries to encourage client rehabilitation.</p>	

volume of information with treatment programs often, through mail/telephone techniques in an advocacy manner; provide no direct treatment or ancillary services but contact clients on a routine basis; and have an active management. Alternatively, a project can identify potential clients through reliance on referrals from other sources; permit a long time to elapse during referral to treatment; exchange a high volume of information with the criminal justice system often, by use of mail/telephone techniques and in an advocacy manner; exchange a high volume of information with treatment programs often, personally, and in a neutral manner; provide ancillary services for clients; contact clients mainly during times of crisis (if they are not receiving ancillary services); and have a passive management. Other examples of possible variations in projects' operations, along with the associated variations in assumptions, can be developed by using Tables 1-5.

A few TASC projects perform functions which have not been described. These functions include provision of an escort service from the jail to the TASC diagnostic unit and/or from the TASC diagnostic unit to treatment, as well as operation of an apprehension unit to locate TASC clients who drop out of treatment. These functions were not considered in detail, since they are not performed by each TASC project. However, the major assumption underlying provision of an escort service is that clients are more likely to appear for diagnosis and/or treatment if they are accompanied to the facility. Operation of an apprehension unit assumes that the effect of court coercion will be more noticeable if treatment drop-outs are quickly apprehended and returned to the criminal justice system for continued processing. The impact of escort and apprehension units could be assessed through comparisons with other projects which lacked such units.

Finally, it should be noted that each of the TASC functions considered in detail is also performed by another organization for some groups of persons. For example, jail screening is also done by bail interviewers; referral to treatment is also accomplished by central intake units in some areas; information exchange with the criminal justice system is performed by pretrial services bureaus, probation and parole departments and treatment programs; information exchange with treatment programs is performed by probation and parole departments; and direct service delivery is provided by other service delivery programs in the area. Consequently, additional assumptions underlying TASC's performance of these functions include:

- TASC is more effective than the other groups which perform specific TASC functions.
- The inclusion of all TASC functions under a single administrative umbrella results in greater effectiveness than when these functions are performed by several groups.

CLIENT FLOW

It is important to consider the interrelationships of TASC activities, as well as to analyze each function separately. One way to understand these interrelationships is to trace the client flow through a project, from the point of initial identification to final termination from the program. These flows are the focus of concern in this section of the analytical framework discussion.

There are three conceptually different ways in which clients are processed by TASC:

- pretrial intervention;
- diversion (in some cases); and
- posttrial processing.

Pretrial intervention will be considered in detail, and the necessary modifications of this flow to accommodate diversion and posttrial processing will be described.

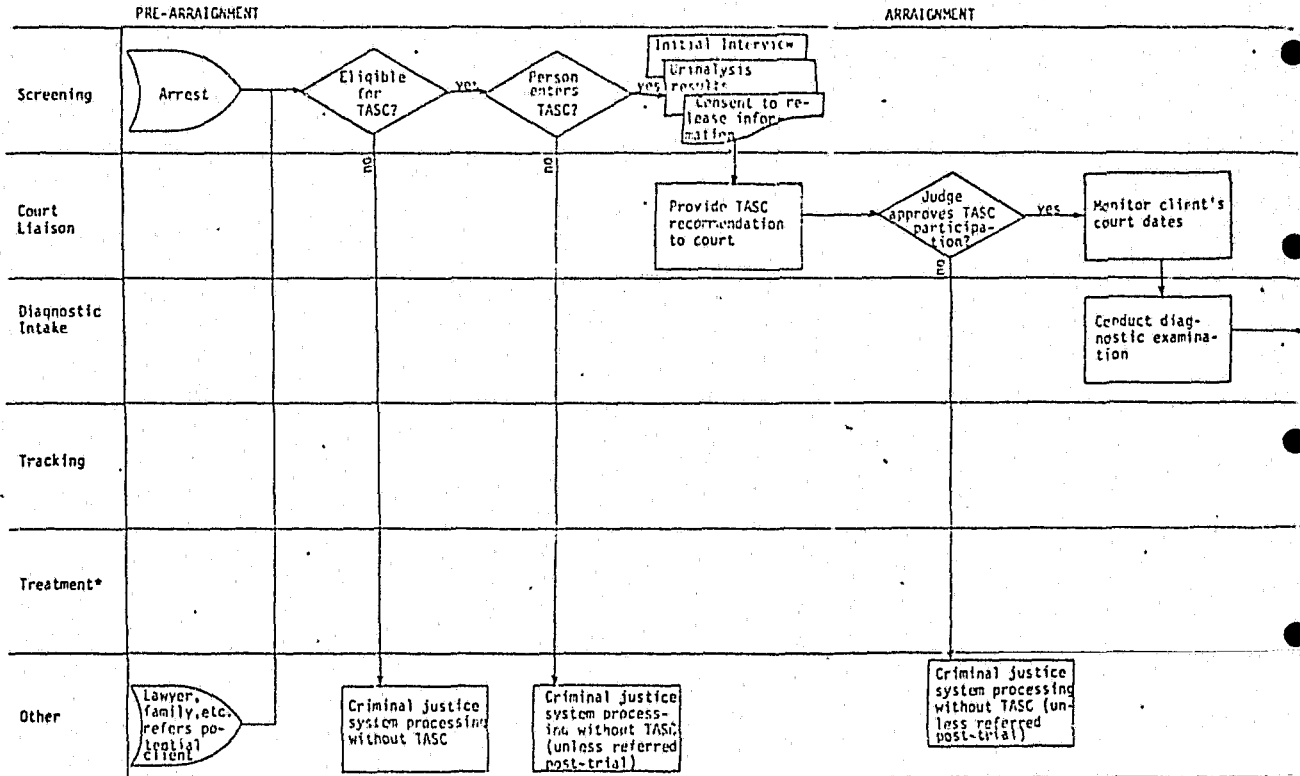
Pretrial Intervention

Figure 2 illustrates a typical pretrial intervention client flow. The major events which occur are shown within bands representing the TASC component (or other organization) which is primarily responsible for the event. TASC components shown include screening, court liaison, diagnostic intake and tracking.* Additional bands indicate treatment (which may be provided by TASC staff in some cases) and the activities of other groups (e.g., the criminal justice system). The relationship of TASC activities to stages of criminal justice system processing (e.g., pre-arraignment, arraignment, trial and sentencing) are also indicated.

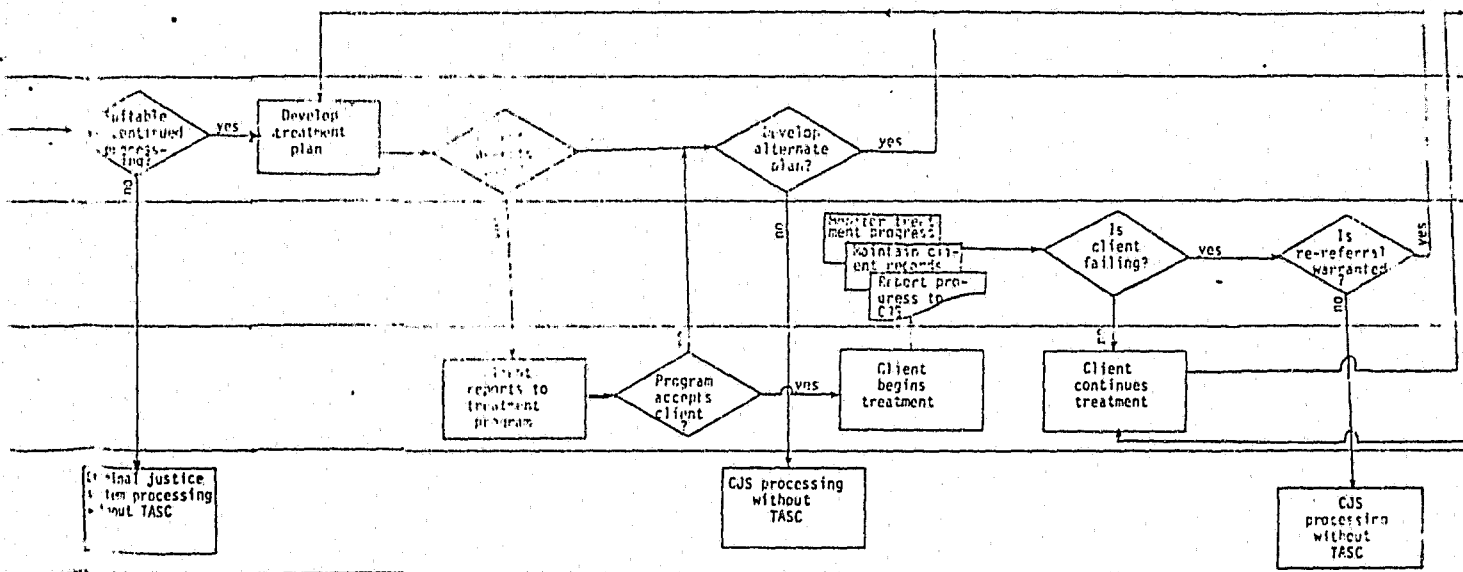
In a typical case, a potential TASC client is identified soon after arrest, screened for eligibility, and diagnosed for referral to treatment. While in treatment, progress is monitored and reported to appropriate criminal justice system officials. If the client is brought to trial and found guilty, information on treatment progress is provided for use in sentencing. If continued TASC participation is sanctioned by the court, the client continues in treatment. TASC monitors treatment progress until the treatment requirements have been fulfilled, the TASC requirements have been met or the criminal justice system's hold on the client ends. At any point in this process, client failure will result in resumption of normal criminal justice system processing. Such cases may, however, be

* In some cases these activities may be performed by non-TASC staff, under formal agreements with TASC. For example, diagnostic intake may be performed by a central intake unit in the community.

FIGURE 2. PRETRIAL INTERVENTION CLIENT FLOW



*Treatment may be provided (a) by TASC or other programs and (b) in the community or jail. Treatment includes provision of ancillary services.



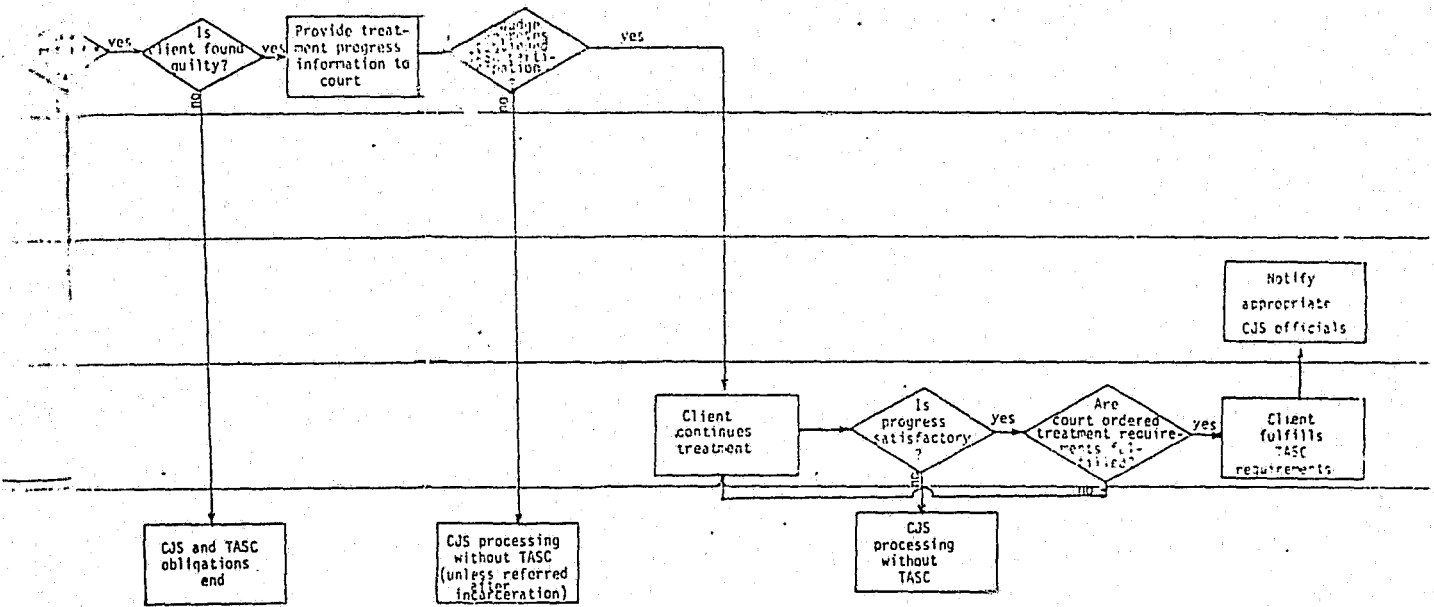
Final justice system processing without TASC

CJS processing without TASC

CJS processing without TASC

TRIAL

SENTENCING



referred to TASC again at a later date. For example, persons who drop out of TASC while awaiting trial may be referred to TASC after trial for re-assessment of treatment needs.

The client flow shown in Figure 2 is intended to be illustrative of TASC's processing activities. A specific project may have slightly different processing stages (e.g., more elaborate screening procedures), a different set of project components (e.g., court liaison and tracking may be combined), a different allocation of responsibility among components for the accomplishment of processing stages (e.g., the tracking component, rather than the court liaison unit, may provide treatment progress information for the court's use when considering sentencing), or different timing of the activities shown (e.g., diagnostic intake may occur before arraignment). In some cases staff from several components meet to make important decisions on the processing of individual clients. For example, some projects convene case conferences, where all major TASC components are represented, to discuss treatment recommendations and termination decisions.

Diversions

In some communities diversion is also available to TASC clients. Eligibility criteria for diversion are usually more restrictive than for pre-trial intervention, and the rewards for successful participation are greater: diverted TASC clients who succeed in treatment do not have to face trial. This outcome may occur in a variety of ways in different jurisdictions. For example, charges may be dropped, arrest records may be expunged, or the case may simply not be prosecuted.

In communities where diversion is an option for TASC clients, the prosecutor's support of TASC is particularly important. Projects often make special efforts to keep the prosecutor's office informed on client

progress in treatment and other matters of possible interest. Also, a client's attorney is often more closely involved in diversion processing than in pretrial intervention and may require special attention from TASC staff.

The specific TASC activities associated with diversion are similar to those shown in Figure 2 for pretrial intervention, with the exception that successful clients do not come to trial. Potential clients are still interviewed for eligibility, diagnosed for referral to treatment, monitored while in treatment and have their progress reported to relevant members of the criminal justice system.

Posttrial Processing

Posttrial processing is similar to pretrial intervention, except that all TASC activities occur after the client's trial has been completed. Potential clients may be referred to TASC for diagnosis and development of a treatment recommendation which the court can consider when making the sentencing decision; they may be referred by the court or probation after sentencing; or they may be referred by the parole department after incarceration. In all cases TASC conducts its diagnostic activities, refers the client to appropriate treatment, monitors progress and reports to the criminal justice system on client performance.

Concluding Remarks

Although assumptions, measures and hypotheses could be proposed for the various client flow processes, most have already been discussed in the sections on project functions. However, several hypotheses pertain only to differences in the various flows, not to specific functions as well. These include:

- Diversion clients will have the best outcomes (since they also have the strongest incentives to succeed).
- Posttrial referrals to TASC will do better than pretrial referrals (since their court outcomes are known and thus the incentives for TASC success are more certain).
- Continuity of pre- and post-trial TASC processing exists (e.g., pretrial TASC clients will be probated to TASC posttrial, rather than receiving a sentence which disregards earlier TASC participation).

AVAILABILITY AND UTILIZATION OF RESOURCES

In addition to analysis of TASC projects' goals, functions and client flows, attention must be given to the projects' overall use of resources. This requires consideration of both the availability of resources and the projects' utilization of them. These concerns are of interest because different resource levels may be associated with different levels of project or client success. Important hypotheses include:

- Better funded projects are more effective.
- Certain staff characteristics are associated with higher levels of project success.
- Certain facilities constraints adversely affect project performance.

The following discussion considers analytical measures useful for assessing projects' major resources of funds, staff and facilities.

Funds

Several measures can be used to assess a project's use of funds.

These include:

- allocation of expenditures by function, which reflects a project's relative emphasis on different activities;
- comparison of amounts budgeted and expended, both overall and by function, which indicates the relationship between planned activities and actual operations;
- comparison of spending rates with budgeted rates, both overall and by function, which identifies differences in actual vs. planned changes in activity levels;

- unit costs of project services, such as conducting a jail screening interview or tracking treatment progress for a given period of time; and
- costs of achieving certain levels of client throughput, such as a given number of TASC program completions.

Another possible measure of a project's utilization of funds is the comparison of actual expenditures with the "ideal" expenditures required to deliver the project's level of services. Such analysis could be used to identify projects with unusually high or low costs for their level of service delivery or to identify specific functions within a project's operations which are experiencing unusual cost levels. Although these analyses would be useful, the estimation of ideal expenditure levels may be difficult. Moreover, such estimates should probably consider the age and size of projects, since newer projects are likely to incur higher costs than older ones, due to start-up expenses, and smaller projects may experience higher costs than larger ones, due to economies of scale in service delivery.

Staff

A variety of analyses concerning staff can be considered, including:

- Assessment of background: Differences in such factors as socio-economic characteristics, education and related experience may be associated with differences in levels of TASC success.
- Level and type of training at TASC: On-the-job training at TASC projects occurs in several ways, such as providing an initial training period for new staff members, rotating the staff periodically through various components or using less formal techniques. Such differences in training approaches may be associated with more effective TASC operations or better outcomes of TASC clients.
- Analysis of turnover: High turnover is often an indicator of problems within an organization. However, high turnover may also be associated with a particular event, such as a change of director. A measure related to turnover is the average length of time that staff members have been employed by TASC, compared with the length of time the project has been in operation. Presumably, projects with more stable staffs are able to provide greater continuity of service, which could result in higher levels of success.

- Analysis of vacancies: A high vacancy rate may indicate problems within an organization, particularly if the vacancies exist because the project is unable to attract appropriate staff.
- Staff-client ratio: The staff-client ratio provides a rough indicator of the amount of service a TASC client receives. Greater levels of service may be associated with greater levels of client success. Alternatively, low client levels may mask inefficient project operations which do not generate higher client loads or provide effective service to the clients identified.

The first four staff analyses listed above should probably be conducted for several levels, including the overall project, each function and major levels within the staff (such as top management, other supervisory staff, other professionals and clerical/support staff). For the staff-client ratio analysis, the project function level is probably the most useful.

Facilities

Two important measures concerning facilities are the adequacy of space and the appropriateness of the project's location. Presumably, a project with inadequate space will be hindered in its operations, and consequently, will do a less effective job. Project effectiveness may also be reduced if a component is located in an area relatively inaccessible to important groups with which it interacts. For example, a court liaison unit may be less effective when it lacks physical proximity to the courts with which it deals.

This chapter has presented a framework for analyzing TASC projects in terms of goals, functions, client flows and availability and utilization of resources. Major components of each of these areas of interest were identified, and assumptions, measures and indicators were discussed. In addition to an understanding of the project, a comprehensive assessment of the TASC program must consider external factors affecting those operations and the outcomes produced by the interaction of TASC activities and external factors. These considerations are addressed in the following chapters.

CHAPTER III

EXTERNAL FACTORS

Two major types of external factors must be considered: the universe of possible clients and environmental factors. Although TASC can, to some extent, select from the universe of possible clients those which it will serve, it has relatively little influence on the overall size of that universe or the characteristics of persons within it. Similarly, although TASC may take actions designed to influence environmental factors, it still must operate under some constraints over which it has little control. Such environmental factors include the nature of the criminal justice system and style of law enforcement; the type and quality of drug abuse treatment; and such other variables as the nature of the local drug abuse problem, the nature of the local crime problem, local economic conditions and the attitudes of important local groups toward TASC. Each of these external factors is discussed in more detail below.

UNIVERSE OF POSSIBLE CLIENTS

The universe of possible clients must be considered in terms of the size of the universe and the characteristics of the persons within it.

Size of Universe

The size of the universe of possible clients depends both on the number of criminally involved drug abusers in the area and the eligibility criteria for TASC participation. The number of criminally involved drug abusers depends in turn on the number of crimes committed by drug abusers within the area and the aggressiveness of the local police force in making arrests.

Eligibility criteria for TASC participation usually include evidence of drug abuse and some restrictions as to charges. Typically, criteria are stricter for diversion eligibility than for other forms of TASC processing. TASC is assisted in establishing eligibility criteria for its various interventions by different groups with the criminal justice system, such as the prosecutor and judges. The resulting eligibility criteria in different communities may be very limited or quite broad and may be applied in a strict fashion or somewhat loosely.

Important hypotheses related to the size of the universe of possible clients include:

- TASC will serve more persons in areas having more criminally involved drug abusers.
- TASC will serve more persons in areas where more persons are eligible to participate.
- More clients will fail in areas having broad eligibility criteria.

Characteristics of Universe of Possible Clients

The characteristics of potential clients must also be considered. These characteristics can be analyzed in terms of background variables, lifestyle variables and treatment history. Background variables of interest include age, race, sex, education, living arrangement and marital status. Lifestyle variables include length and type of drug abuse, length and type of criminal activity, age of first deviant activity and prior employment history. Treatment history is also important, since past treatment experiences may affect clients' willingness to enter treatment or client's expectations about treatment.

One general hypothesis about these characteristics is that persons who are initially either the "best off" or the "worst off" will have better outcome than persons who are between those extremes. Persons considered the best off would be those:

- having a shorter history of drug abuse and criminality;
- abusing less serious drugs and committing less serious crimes;
- experiencing a low frequency of drug abuse;
- beginning deviant activity relatively late in life; and
- having had periods of stable employment.

An additional hypothesis is that persons having had either no past treatment or favorable past treatment experiences will be more likely to enter TASC and succeed in it than persons who had poor treatment experiences in the past.

Relevant hypotheses concerning background variables include:

- older persons will be easier to rehabilitate than younger ones;
- whites and males will be easier to rehabilitate than minorities and females, since they face better external opportunity structures in most communities;
- better educated persons will be easier to rehabilitate than those less well educated;
- persons with stable living arrangements are more likely to succeed in TASC than those with unstable living arrangements; and
- persons having stable relationships with members of the opposite sex will be more likely to succeed in TASC than persons lacking such relationships.

ENVIRONMENTAL FACTORS

Three categories of environmental factors will be considered:

- the nature of the criminal justice system and style of law enforcement;
- type and quality of drug abuse treatment programs; and
- other environmental factors affecting TASC.

Nature of Criminal Justice System

The nature of the criminal justice system can be considered in terms of factors affecting the operating climate for TASC, the associated attitudes

and beliefs underlying positive and negative climates and possible measures of the influence of the nature of the criminal justice system on TASC operations. These considerations are somewhat different for major groups within the criminal justice system. Therefore, the judges, prosecutor's office, probation and parole departments and police will be considered separately. Table 6 summarizes this information.

As shown in Table 6, the operating climate for TASC depends on such factors as:

- past experience with similar organizations;
- assessment of the TASC staff's honesty and competence in monitoring and reporting on clients' progress;
- the ways in which TASC progress reports are used; and
- attitudes of the group involved toward changes in traditional criminal justice system processing.

A variety of associated attitudes and beliefs support a positive climate for TASC operations. For judges such attitudes include:

- Treatment for drug addiction is more likely to result in reduced criminality than failure to provide treatment.
- Court coercion can help induce some persons to enter treatment and succeed in it.
- TASC tracking insures that treatment failures will be reported.
- The criminal justice system should try new approaches to old problems.

A positive climate in the prosecutor's office would be furthered by the belief that TASC yields substantial benefits in terms of reduced criminal justice system expenses as a result of referring appropriate drug abusers to treatment programs where they are rehabilitated. Probation and parole departments are likely to have a positive attitude toward TASC if they believe that TASC helps reduce their own workload. Finally, police

Table 6. Nature of Criminal Justice System

Judges	Prosecutor	Parole & Probation	Police
<p><u>Operating Climate for TASC Depends on:</u> Past experience with similar organizations.</p>			
<p>Assessment of TASC staff's honesty and competence in monitoring & reporting on clients' progress. How TASC progress reports are used.</p>			<p>Amount of cooperation in scheduling interviews & other TASC activities.</p>
<p>Attitudes toward alternatives to incarceration. Attitudes toward effectiveness of court-coerced treatment. Availability and use of conditional bail, probation and pre-trial diversion. Extent to which enforcement of decisions is insured.</p>	<p>Eligibility criteria and how they were determined (e.g., degree to which prosecutor established the eligibility criteria).</p>	<p>Presence of specialized probation supervision for drug abusers. Whether TASC is perceived as a help or a hindrance.</p>	<p>Whether information (e.g., booking list, rap sheets) is accessible to TASC staff. Number & quality of arrests.</p>
<p><u>Associated Attitudes and Beliefs - Positive Climate:</u></p>			
<p>Treatment for drug addiction is more likely to result in reduced criminal behavior than failure to provide treatment. Court coercion can help induce some persons to enter treatment and succeed in it. TASC tracking insures that treatment failures will be reported. The criminal justice system should try new approaches to old problems.</p>	<p>TASC yields substantial benefits in terms of reduced criminal justice system expenses as a result of referring appropriate drug abusers to treatment programs where they are rehabilitated.</p>	<p>TASC helps reduce probation's workload.</p>	<p>TASC helps relieve tensions in jail. Criminally involved drug abusers need special attention. TASC can provide useful information on incidence and prevalence of drug abuse.</p>

(continued)

Judge	Prosecutor	Parole & Probation	Police
<u>Associated Attitudes and Beliefs - Negative Climate:</u>			
<p>There is no evidence that treatment "cures" drug abuse.</p> <p>Treatment cannot be effective if it is mandated by the court.</p> <p>Criminals should be locked up, not released.</p> <p>There is no need to try new approaches to problems; old ways work best.</p>	<p>Public safety requires restriction of TASC, particularly with regard to diversion.</p>	<p>TASC interferes with probation's job, or at best duplicates it.</p>	<p>TASC tries to spring criminals.</p> <p>The only cured addict is a dead addict.</p>
<u>Possible Measures and Analyses:</u>			
Cooperation with TASC, as shown by:			
<p>Percent of cases in which judges respond to TASC's requests for criminal justice system action (on failures and on successes, for all judges and each judge).</p>	<p>Extent to which prosecutor concurs in TASC's recommendations (e.g., on client release to TASC and on final disposition of cases eligible for diversion).</p>	<p>Extent of probation's concurrence with TASC's recommendations (e.g., as part of pre-sentence investigation, and during probation period).</p>	<p>Comparison with cooperation extended to similar groups (e.g., bail interviewers).</p>
Accuracy of group's information about TASC.			
Extent to which TASC has tried to influence group to become more cooperative.			
Degree of TASC success in influencing group to become more cooperative.			
		<p>Extent to which TASC has changed probation's workload.</p>	<p>Percent of arrests which can be prosecuted.</p>

attitudes favorable toward TASC include:

- TASC helps relieve tensions in jails.
- Criminally involved drug abusers need special attention.
- TASC can provide useful information on the incidence and prevalence of drug abuse within the arrested population.

Certain attitudes and beliefs result in a negative climate for TASC operations. For judges such attitudes include:

- There is no evidence that treatment "cures" drug abuse.
- Treatment cannot be effective if it is mandated by the court.
- Criminals should be locked up, not released.
- There is no need to try new approaches to problems, because old ways work best.

A negative climate in the prosecutor's office would be associated with the belief that public safety requires restriction of TASC participation, particularly with regard to diversion. Probation and parole officers would be negatively inclined toward TASC if they believe that TASC interferes with their job or at best duplicates it. A negative climate on the part of the police could be induced by such attitudes as:

- TASC tries to spring criminals.
- The only cured addict is a dead addict.

A variety of measures can be proposed to assess the nature of the criminal justice system as it affects TASC operations. Such measures include:

- the degree of each group's cooperation with TASC;
- the extent to which TASC has tried to influence each group to become more cooperative;
- the degree of TASC success in influencing each group to become more cooperative; and
- the accuracy of each group's information about the TASC program.

Type and Quality of Drug Abuse Treatment Programs

As in the case of the criminal justice system, TASC must work with treatment programs which have either positive or negative attitudes toward TASC. In this case the operating climate for TASC depends on:

- the type and quality of treatment available; and
- the extent of autonomy exercised by treatment programs with regard to
 - intake of clients;
 - service delivery as required by TASC;
 - termination decisions; and
 - progress reports.

A positive operating climate for TASC will be furthered by such attitudes as:

- Court coercion and TASC tracking influence clients to complete treatment.
- TASC is a good source of referrals for treatment programs.
- TASC provides assistance with criminal justice system matters.

On the other hand a negative climate would be promoted by such attitudes as:

- TASC tries to interfere with treatment's responsibilities.
- TASC requires too many special reports.
- Everything was working fine before TASC started.

Measures of interest concerning drug abuse treatment programs include:

- whether adequate treatment is available;
- degree of cooperation between treatment programs and TASC (e.g., as shown by timely provision of needed information);
- accuracy of treatment programs' information about TASC;
- extent to which TASC has tried to influence treatment programs to become more cooperative; and

- degree of success in influencing treatment programs to become more cooperative.

An additional consideration with regard to treatment programs is that in the past TASC projects funded treatment in some communities. Therefore, it would be appropriate to assess whether TASC had more influence over treatment in those cases and whether clients had better outcomes.

Other Environmental Factors Affecting TASC

Four other broad factors affect TASC. The first is the nature of the local drug abuse problem. The related hypothesis is that there will be more potential TASC clients when drug usage is at a high level and/or increasing than when it is at a low level and/or declining. A consideration related to usage is the availability of drugs. There may be more interest in TASC by potential clients when drugs start to become scarce than in periods when drugs are easily available. The local drug abuse problem could be analyzed by considering the incidence and prevalence of drug abuse, both for all drugs and by type of drug. Drug availability could be assessed through such analyses as the street price and purity of drugs.

A second important factor is the nature of the local crime problem. The related hypothesis is that there will be more potential TASC clients when crime is at a high level and/or increasing than when it is at a low level and/or declining. The crime problem could be analyzed by considering the crime rate, both in total and for types of crimes likely to be committed by drug abusers, and by assessing crime trends.

A third set of environmental factors affecting TASC concern local economic conditions, since it may be harder to rehabilitate TASC clients when the economy is depressed than when it is not. One important measure of local economic conditions is the unemployment rate, which could be considered on an overall basis and for selected job categories likely to be filled by TASC clients.

A fourth environmental factor of interest is the attitudes of important local groups toward TASC. Such groups may include the media, elected officials, planning units within the local governments, the American Civil Liberties Union or community advisory boards associated with TASC projects. The related hypothesis is that TASC projects will be more successful when these groups have positive attitudes toward TASC. This situation can be assessed by analyzing the groups' cooperation with TASC and the accuracy of their information about TASC.

Environmental and other external factors, as described in this chapter, interact with TASC projects to produce a variety of impacts on TASC clients and on the community. These impacts may occur immediately, or may appear only after a significant period of time has elapsed. Analysis of these impacts is the subject of the following chapter.

CHAPTER IV

OUTCOMES

Outcomes of TASC's activities can be considered in terms of immediate impacts on clients and on the environment, ultimate effects on crime and on the processing burden of the criminal justice system, and cost-benefit effects of TASC as compared with traditional criminal justice system processing. Each category of outcomes is discussed below.

IMMEDIATE IMPACT

Immediate impacts of TASC projects consist of those affecting client outcomes and those affecting the environment.

Impact on Clients

TASC participation is assumed to influence clients to enter and remain in treatment. Successful completion of treatment is in turn assumed to be associated with such outcomes as reduced criminality, lessened drug abuse, improved economic status and revitalized health, both physical and mental. These outcomes will materialize because successfully treated clients will no longer be drug dependent, or need to commit crimes to obtain funds to purchase drugs. Moreover, they will be better able to hold a steady job or otherwise participate in the economy through legal means and will no longer be prone to a variety of drug-related illnesses. Other assumptions concerning the relationship between TASC's activities and clients' rehabilitation include:

- A formalized process of referral to treatment is necessary for criminally involved drug abusers.
- TASC will make appropriate referrals to treatment programs.
- The fact of TASC referral has a causal relationship to client outcome.
- TASC clients will do better if treatment is provided than if it is not.

A number of possible analyses of client outcome can be proposed.

For criminal behavior, these include:

- change in criminality;
- change in pattern of criminality; and
- criminality of TASC participants, as compared with otherwise similar non-participants.

Criminality could be measured by arrests, convictions, periods of incarceration, self-admitted criminal behavior (whether apprehended or not) or other indicators.

Similar analyses can be proposed for drug abuse, including change in drug abuse, change in pattern of drug abuse, and drug abuse of TASC participants, as compared with otherwise similar non-participants. Analyses of interest concerning improved economic status include change in employment, change in income, change in type of job held, change in stability of employment and employment outcomes of TASC participants, vis-a-vis a comparison group. Similarly, changes in TASC clients' physical and mental health and comparisons with non-participants could be considered.

The outcome measures suggested above for TASC clients could be analyzed in a variety of ways, including:

- before and after TASC participation;
- by length of TASC participation;
- by method of entry into TASC (e.g., identified through jail screening, referred by public defender, etc.);
- by type of TASC processing (e.g., pretrial intervention, diversion or posttrial processing);
- by treatment modality;
- by type of charge;
- by length and type of drug abuse;

- by length and type of criminal history; and
- by other client characteristics.

Possible use of such measures poses a number of problems. One of these is that TASC client groups face differing degrees of opportunity to commit antisocial acts, and comparisons of outcomes for these groups must consider these differences. For example, clients residing full-time in therapeutic communities have little opportunity of committing crimes, but persons in outpatient treatment are not so restricted.

An additional problem is determining the appropriate time period over which to assess outcomes and, in the case of before-and-after comparisons, the appropriate pre-TASC period. Since the period immediately prior to TASC entry is likely to be one of severe crisis, its use may artificially inflate improvements in outcome in the post-TASC period. Another problem is whether the effects of TASC can be separated from the effects of treatment and, if so, to what extent.

A final problem is the identification of an appropriate comparison group. Possibilities include:

- Drug abusers on probation but not in TASC. Such individuals could be located through probation departments or treatment programs. However, the reasons why such individuals are not TASC participants should be carefully analyzed, since those reasons may create a bias which limits the group's usefulness as a comparison group.
- Persons who would have been eligible for TASC, selected from the period immediately prior to TASC's inception. This group faces the limitations of any group selected from a different time period than the one under consideration, such as the fact that differences in outcome may be due more to external changes in the environment over time than to the project's intervention (or lack of intervention).
- Persons recommended by TASC to become clients but whose participation was not approved by the judges. The reasons for the judges' denials should be analyzed, however, to determine whether a significant bias exists in the composition of this group.

A number of hypotheses concerning client outcomes can be proposed.

These include:

- Clients who complete treatment will do better than those who drop out.
- Clients who complete treatment will do better than they would have otherwise.
- Clients who have some contact with treatment, even if they do not complete it, will do better than they would have otherwise.
- Clients are more likely to complete treatment if they are under some form of court coercion than if they are not.
- Clients are more likely to complete treatment if the incentive is diversion from further criminal justice system processing than if it is only the possibility of a reduced or probated sentence.
- Clients who are not diverted will do better in treatment when the intervention is made posttrial than when it is made pretrial.
- Clients referred to treatment will do better than similar people who were imprisoned or probated.
- Clients with certain types of characteristics will do better in treatment and afterward.
- Clients in certain types of treatment will have better outcomes.
- More frequent criminal justice system supervision of clients (through TASC's efforts) results in better outcomes.

Impact on Environment

TASC's immediate impacts on the environment include:

- changing the processing burdens on the criminal justice system;
- becoming "institutionalized;"
- providing a model for similar local programs;
- influencing the style of the criminal justice system or of treatment delivery; and
- intervening in drug abuse epidemics.

Each of these impacts is considered below.

TASC projects affect criminal justice system burdens in a variety of ways. These include:

- For diverted clients who are successful in treatment, there is a reduction in the burden on the courts, since no trial is required.
- For TASC clients released pretrial who are successful and would otherwise have been detained, there is a reduction in the burden on detention facilities.
- For probated TASC clients who are successful and would otherwise have been incarcerated, there is a reduction in the burden on corrections facilities and an increase in the burden on the probation department.
- For released or probated TASC clients who would otherwise have been detained or incarcerated and who fail, there is an increase in the burden on the police.

Measuring TASC's overall effect on the criminal justice system could be done through analysis of TASC's costs as compared with changes in criminal justice system costs due to TASC's interventions. Another analysis of interest would compare the combined TASC/CJS processing costs with the other TASC impacts, such as changes in client outcomes. Such analyses would have to consider the fact that TASC's actions have different effects on different parts of the criminal justice system (e.g., courts, corrections, probation, police, etc.). The analyses would also need to assess probable outcomes in the absence of TASC intervention (e.g., whether released clients would have been detained or successful clients would have failed).

A second type of environmental impact is whether the TASC project becomes institutionalized, that is, whether local and/or State funding replaces the initial Federal funding of TASC. It is widely assumed that a community will be willing to fund activities it considers of value and therefore that local decisions regarding the continued funding of a TASC project will reflect the community's views of the project's worth. However, local funding decisions may also merely reflect local financial conditions, and

it is not inconceivable that "rich" communities would fund "bad" TASC projects, while "poor" communities were unable to fund "good" ones. Therefore, this measure of TASC's impact should be used with some caution.

A third TASC effect on the environment is to provide a model for similar programs in the community. For example, an analogous program may be developed for arrested alcoholics or persons with mental health problems. Another way of expanding TASC-like services to other groups is to consolidate TASC with similar programs and apply TASC's procedures to a broader client group.

TASC may also influence the style of the criminal justice system or of treatment delivery. For example, TASC's contact with criminal justice system and treatment personnel may induce attitudinal or behavioral changes which affect the ways in which those systems process criminally involved drug abusers or similar groups.

Finally, TASC may intervene in drug abuse epidemics, by identifying and referring to treatment persons who would otherwise not have been treated until a later date (if at all). Additionally, if TASC identifies newly addicted drug abusers, referral to treatment may help stop the spread of the epidemic, by removing drug abusers during their most "infectious" period of use.

One measure of interest concerning TASC's epidemiological impact is the time elapsed between first drug abuse (by drug) and first treatment, for TASC clients as compared with other clients in community-based treatment. An additional measure of importance is the number of formerly untreated drug abusers who are identified by TASC and referred to treatment. Related considerations are whether TASC clients differ significantly from other groups of drug abusers and whether there is a relationship between TASC admissions and a community's position on the epidemic curve.

ULTIMATE OUTCOME

TASC's ultimate effects on crime and on the processing burdens of the criminal justice system are similar to the immediate impacts but occur over a longer time period. The underlying assumption that TASC will have long-term impact is based on the beliefs that:

- TASC intervention will lead to lower crime rates than would otherwise exist, due to TASC clients' commission of fewer crimes than they would have without TASC participation; and
- TASC intervention will reduce the burdens on the criminal justice system, since rehabilitated TASC clients will no longer require criminal justice system processing.

Measures of TASC's ultimate impact, and problems associated with implementation of those measures, are similar to those discussed in the section on immediate impact and will not be repeated here.

COST-BENEFIT EFFECTS OF TASC

Judgments about TASC's effectiveness must consider not only TASC outcomes but also the costs of achieving those outcomes. Moreover, such analysis must assess the likely outcomes and costs in the absence of TASC intervention. When innovations are analyzed in this manner, the results sometimes indicate that it is more costly not to fund a project than to fund it. This is a basic assumption underlying TASC operations and underlying Federal and local funding of such activities: that is, reductions in the costs of criminal justice system processing and in the costs to society from drug-related crime are assumed to more than offset the costs of the TASC program.

Conceptually, in order to conduct a cost-benefit analysis of the TASC program, a time stream of benefits resulting from TASC's interventions should be estimated and compared with the program's costs. This requires

determination of items which will be considered benefits and those which reflect the program costs. Benefits might include increases in productivity of rehabilitated drug abusers who join the work force or obtain better jobs, as well as reduced social costs of crime and crime control. Such benefits should be estimated in comparison with likely outcomes in the absence of TASC. Costs should also be considered in terms of the program's incremental costs, reflecting the fact that some costs might have been borne by the criminal justice system had TASC not existed.

It is difficult to estimate likely events in the absence of TASC. One way of developing such an estimate is to analyze activities which occurred before the TASC program began and to assess the changed costs and benefits induced as a result of TASC's initiation. This may assist both in estimating the probable outcomes without TASC intervention of persons who became TASC participants and in identifying TASC costs which would have been borne by the criminal justice system had TASC not been started. However, use of data on events from one time to assess probable events during a later period is an imperfect estimating technique. A major limitation is that many factors besides the initiation of TASC may have changed over time, and these changes may be the true determinants of observed differences between the pre-TASC and TASC periods.

An alternative analysis would assess outcomes of a comparison group of persons who are similar to TASC clients in all important respects except TASC participation. Outcomes, and costs of achieving them, could be analyzed for both the comparison group and the TASC client group to assess the cost-benefit implications of the TASC program. Although this approach avoids the difficulties associated with use of two time periods, it faces the problems of identifying an appropriate comparison group and obtaining

data on that group. For example, it is important to insure that the comparison group's composition does not reflect a significant bias vis-a-vis the TASC client group which dwarfs any differences due to TASC participation.

In summary, there are many conceptual problems which must be resolved in order to conduct appropriate cost-benefit analysis of the TASC program. In addition to addressing the problems already discussed, a cost-benefit analysis would have to identify a relevant time period for consideration of costs and benefits, select a proper discount rate for benefits and costs received over different time periods, and determine whether benefits should be attributed to TASC's intervention or to the myriad other factors affecting client outcomes and the environment. Moreover, a variety of practical problems would arise in attempting to implement cost-benefit concepts. Many of these practical and conceptual problems will be considered in more detail in later Phase I working papers, if additional cost-benefit analysis of the TASC program appears warranted.