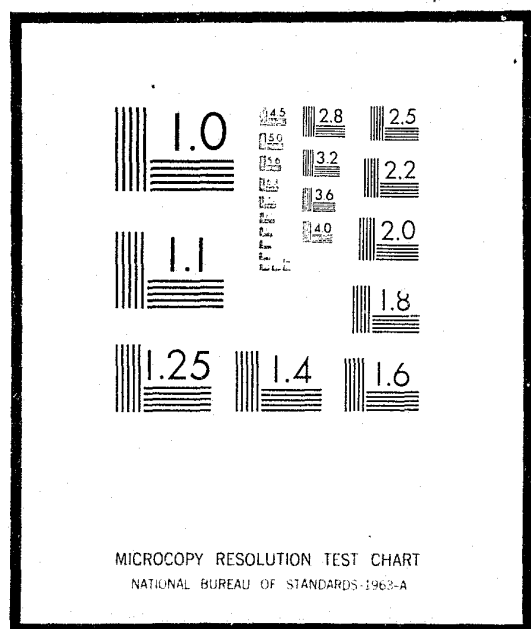


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EVALUATION AND
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FINAL REPORT

NCJRS

FEB 1 1977

ACQUISITIONS

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

DS-472-74

Submitted to

Pennsylvania Board of Probation and Parole

William F. Butler, Acting Chairman
John H. Jefferson, Board Member
Paul J. Descano, Board Member
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and

Pennsylvania Governor's Justice Commission

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TABLE OF CONTENTS

<u>Title</u>	<u>Page</u>
I Executive Summary and Evaluation Conclusions	1
Project Synopsis	1
Findings and Conclusions	2
Evaluation Recommendations	6
II Agency and Project Background.	8
Agency Overview.	8
Evaluation Methods and Activities.	9
III Analysis of Probation and Parole Outcome	11
Recidivism and Unsuccessful Case Outcome	11
Analysis of Client Arrests	16
Analysis of Unconvicted Violators.	23
Analysis of Client Employment Status	26
IV Analysis of Program Activity and Operations.	30
Caseload Composition	30
Caseload Size.	32
Analysis of 'Active' Caseload.	36
Agent Daily Activity - Frequency of Agent - Client Contact and Agent Collateral Contact	37
Analysis of County of Residence in Relation to Office of Supervision.	40
Client Needs and Service Delivery.	43
Guided Group Interaction	47
V Economic Analysis of Program Costs and Effectiveness .	56
Appendices	64
Appendix I - Evaluation Data	65
Appendix II - Interim Report	68

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I EXECUTIVE SUMMARY AND EVALUATION CONCLUSIONS

Project Synopsis

This summary was prepared to provide an overview of evaluation findings and conclusions in an easily digestible manner. The Regional Office - Sub-Office LEAA Subgrant was in its fourth year of continuation funding during the evaluation period. Many of the project's original concepts and goals have faded with the passage of time as its innovative aspects became institutionalized and part of the established order. This evaluation attempted to re-examine project concepts and goals, and measure or assess the extent to which they are, or are not, being accomplished currently. This final evaluation represents a considerable expansion of the interim analysis. However, to minimize repetition, the final report excluded some analysis and attached the interim report for reference.

The objectives of this LEAA grant were twofold in dimension: 1) the establishment of six regional offices within the Governor's Common Human Service Regions to improve administrative efficiency and bring about decentralized decision-making for agency programs and services, and 2) the establishment of nine sub-offices to provide for a decentralized service delivery system with more accessible, localized client supervision. Specific objectives of sub-offices included a) placing agents in more localized settings to provide closer client supervision and better utilize community resources, b) emphasizing family and group counseling as tools for rehabilitation and supervision, c) lowering agent caseload size to allow for more individual supervision time, and d) reducing agent travel which is costly in terms of agent time, convenience and motor vehicle operation. It was assumed that 'close' supervision, geographic proximity and modern counseling techniques would reduce recidivism and better protect the community against potential crime. Regional offices were intended to facilitate regional program development and administration, coordinate inter-agency activity and decentralize parole or hearing case decision-making to accommodate an increased volume in cases requiring review. The Morrissey Decision made it necessary for violation hearings to be conducted in the communities where they occurred and the Rambeau Decision requires a full board presence for violation hearings. Regional staff were intended to assist in parole and violation reviews, and program management.

The research design of the evaluation is simply a comparison of sub-office performance with district office general caseloads which lack some of the presumed programmatic advantages of sub-offices. Statistical measures of program effectiveness were compiled and analyzed in the Board of Probation and Parole's Central Office using the Agency's statistical reporting system. The project evaluators consisted of an in-house evaluation team from the Agency's Research and Statistical Division. The Pennsylvania Board of Probation and Parole allows evaluation activities to be conducted without Agency interference to insure the integrity of information and an independence of judgment in the evaluation's preparation.

This evaluation report is divided into three analytic sections: a) an analysis of probation and parole outcome measures, b) an analysis of program activity and operations and c) an analysis of program costs and economic advantages. Most of the final report focuses on program performance and accomplishments as a result of sub-office operations. Implicit in the overall objectives of sub-offices was the desire to improve the quality of services and subsequently, the rehabilitative effect of supervision. Interview information pertaining to regional offices may be found in the attached interim report.

Findings and Conclusions

1. *Recidivism when measured by parole recommitments and probation revocations as a percentage of total case closures, decreased in sub-offices during the first six months of 1975.*

However, sub-office clientele as an aggregate had proportionately more unsuccessful case closures among total closures than district office general caseloads. Over an eighteen month period, nearly 28% of sub-office case closures were unsuccessful in contrast with only 21% among district office clientele. There is some evidence that probation and parole caseload composition, agent arrest policy and geographic proximity to major urban centers affects aggregate sub-office recidivism values. Sub-offices tend to have more parolees, and to arrest parolees more frequently for technical violations. At least one sub-office was thought to be adversely affected by inter-office transfer policy regarding new arrests of parolees from another area. Nevertheless, there is no evidence which suggests sub-office performance regarding recidivism is better than district office performance. It may be concluded from the record, however, that sub-offices are more effectively protecting the community from potential crime.

2. *Arrests were found to be more frequent among parolees in sub-offices than in district offices. Arrests among probationers in sub-offices were found to be less frequent than probationers in district offices and parolees in general.*

Over an 18 month period, parolee arrests occurred at an average rate of 4% of parolee caseloads per month in the sub-offices in comparison with 2.8% per month for parolees in district office general caseloads. A closer examination of arrest data revealed a qualitative difference in agent performance in sub-offices as compared to district offices. Proportionately more parolee arrests in sub-office settings were agent initiated for technical violations in comparison with district office general caseloads. During an 18 month time interval, over 30% of the parolee arrests occurring in sub-offices were for technical violations in comparison with less than 24% in district office general caseload settings. This data strongly suggests that a possible effect of "closer" supervision is that agent surveillance effectiveness is increased to the benefit of community protection. This finding casts sub-offices' apparently higher recidivism rate in a more positive light.

3. *The rate at which clients are classified by agents as unconvicted violators was found to be higher in sub-office populations in comparison with district office general caseload populations.*

Over an 18 month period new unconvicted violators were declared in sub-offices at a monthly rate of 1.8% of an average monthly caseload in comparison with 1.2% in general caseloads in district offices. This finding is consistent with both arrest and recidivism data and suggests that proportionately more sub-office clientele are "at risk" during an average month and are potentially destined for a return to jail in comparison with district office general caseload clientele.

4. *Sub-offices were found to have significantly higher percentages of employed clients and lower percentages of clients dependent upon public assistance in comparison with district office general caseload clients.*

In June of 1975, approximately 85% of the sub-office clientele were employed either part or full time in comparison with 77% of the general caseload clientele within district offices. Also, approximately 5% of the able to work sub-office population was dependent upon public assistance in comparison with 10% in district office general caseloads. In light of the intent of the decentralization of service delivery, these facts imply that the more localized sub-office mode of operation is more effective in fostering economic self-sufficiency among public offenders. If probation or parole is to minimize the cost of criminal justice and corrections to society and increase the likelihood of rehabilitation, offender employment must be viewed as a primary objective and a measure of relative program success. Empirical evidence demonstrated that sub-office performance with respect to offender employment has been consistently better than district offices. Although economic geography may account for some of these differences, the sub-office mode of operation may be cited as a major contributing factor to this relative success.

5. *When relative costs and program effectiveness are taken into account, sub-offices were found to have measurable economic advantages to society in comparison to district offices.*

An analysis of monetary criterion which speaks directly to the policy maker and budget keeper without sight of underlying offender behaviors, revealed that sub-offices had an estimated average cost to society of \$299 per client in comparison with \$422 per client for district office general caseload. The basis of this cost effectiveness comparison was PBPP operating cost per client, PBPP estimated caseload detention costs, PBPP estimated client costs and welfare dependency and PBPP tax dollars returned from client earnings which offset tax dollars expended for supervision. Although the average PBPP cost per client in sub-offices was \$656 in contrast with \$570 per client in district offices, the overall effect of more tax dollars returned in sub-offices from employed clients and fewer tax dollars spent for income maintenance for welfare dependent clients resulted in a reversal of the cost relationship of sub-offices to district offices as evidenced above. These

estimates, although crude, represent a reasonable strategy and clearly demonstrate an economic advantage for sub-offices. They also serve to highlight an importance of employment of probation and parole as a factor of client reintegration and cost minimization for corrections.

6. *An analysis of caseload composition in terms of probation versus parole revealed that proportionately more of the sub-office caseload were composed of parolees in comparison with district office caseloads. Since parolees are thought to be higher risk cases because of their criminal history, this difference in composition may explain in part why sub-office clientele tended to have higher rates of recidivism.*

The first six months of 1975 did indicate that the difference in probation or parole composition may be diminishing with time. During the first six months, approximately 57% of the sub-office caseload were parolees in contrast with 51% in district offices. To the extent that this trend continues probation and parole caseload composition will cease to become an explanation of differential performance rates for sub-offices in comparison with district offices.

7. *Available data on average agent caseload size has indicated that the agency has successfully reduced average agent caseload size within the sub-offices to acceptable levels of approximately 50 clients per agent as required by this grant.*

During the latter part of the evaluation period, overall caseload growth was seen to increase more rapidly in sub-offices than in district offices. Data indicated that management changes in agent staffing patterns were successful in reversing the upward trend in sub-office average caseload size. Between April and June of 1975, agents in sub-offices were carrying an average of 54.5 clients in comparison with an average of 57 clients per agent in district office general caseloads. Since average caseload sizes for sub-office agents reflect both LEAA and state funded agents, the overall average of 54.5 clients per agent in sub-offices was not considered unreasonable. In fact, an examination of individual LEAA funded agent caseload sizes indicated that most LEAA funded agents were carrying about 50 clients. These low caseloads presumably allow agents more time to provide both effective surveillance in the community and rehabilitative treatment, such as, client counseling and guided group interaction as this grant requires. Previous data, however, suggests that perhaps agent time is being focused primarily on client surveillance in the community

8. *The analysis of active caseloads in sub-offices and district offices revealed that proportionately more sub-office clientele on the average were detained in comparison with district office clientele.*

Active cases may be defined as all cases that are not closed. Active consists of those who are obtaining 'active' supervision and those that are obtaining 'case work' supervision. Active supervision was defined as clients with whom the agent has personal contact in contrast with case work supervision which was defined as absconders or clients in detention due to new violations or mental illness. Both sub-offices and district offices had approximately 89% of their cases under active supervision. However, 6.8% of the sub-office population in comparison with only 5.4% of the district office group were classified as being in detention as opposed to being absconders. This finding is consistent with previous findings regarding rates of client arrests and the consequent conclusion that relative closeness to the community has aided sub-office agents in imposing their arrest authority when necessary.

9. *A comparison of the frequency with which agents contact clients or collateral acquaintances indicates that sub-office agents are having more frequent client and/or collateral contacts per month than district office agents.*

It was observed that sub-office agents had approximately 1.2 client contacts in the field or office per month in contrast with only 1.0 client contacts in district offices. Likewise, the average frequency of collateral contacts for sub-office clients was 2.1 collateral contacts per month in comparison with only 2.0 collateral contacts for general caseload agents. Since the magnitude of difference is not substantial, this data did suggest that the sub-office mode of operation allowed for more frequent agent contacts as the program was intended.

10. *An analysis of county of residence in relation to office of supervision provided clear, empirical evidence that sub-offices are appropriately localized within concentrated client subpopulations and afford savings in agent travel. Had they been required to operate out of a former district office system, travel would have been more costly.*

Approximately 62% of the sub-office clientele were found to be living in the same county as their supervising office in comparison with approximately 54% of the district office caseload clientele. In addition, approximately 22% of the sub-office clientele resided in a county adjacent to their controlling office as compared to 32% of the district office clientele. Thus, approximately 84 and 85% of sub-office and district office clientele respectively reside within the same county or an adjacent county to their controlling PBPP office. It may be concluded that sub-offices are centrally located and capture client subpopulations effectively in terms of coverage. As a result, their location constitutes a savings in travel over what would be required if they had operated from their parent district office.

11. *An analysis of client needs and client referrals indicated that sub-offices are utilizing available community resources as the grant intended.*

Employment remains as the outstanding need cited and the most frequent reason for referral during the survey period. Client needs were found to be correlated with client referral patterns suggesting a followup relationship between agent perceived need and services sought on behalf of the offender.

12. *It was the conclusion of this evaluation that group supervision techniques are no longer genuine objectives of the regional and sub-office program and that group supervision has been relegated to low priority on a programmatic scale.*

Among nine agents statewide who are currently conducting groups, only two agents were found to be from sub-offices. A review of agency memoranda and administrative correspondence indicated the following points: 1) there has been a lack of continued commitment from the Board, Management and supervisory levels of the Agency, for group counseling and/or supervision, 2) that training in group counseling - group supervision techniques has been discontinued and 3) that the Agency has not attempted to either evaluate groups for their effectiveness or clarify objectives regarding groups as a tool for supervision in relationship with Agency goals. Although fiscal constraints and increasing work pressures were commonly cited reasons for the Agency's present position of not promoting group techniques, the Agency is permitting the use of group techniques on a voluntary basis where agents value them and are able to utilize them in addition to their normal daily work activity.

Evaluation Recommendations

The regional and sub-office project is an integral part of the Board of Probation and Parole's program structure and service delivery system. This evaluation suggests that sub-offices, and to a less obvious extent regional offices, have improved the Agency's administrative efficiency. Decision-making has been decentralized as a result of the subgrant and sub-offices are demonstrably more accessible to both agents and clients as a base of operation. It is equally apparent from the analysis that there are distinct economic advantages to a more decentralized mode of operation when both cost and effectiveness is taken into account. This evaluation therefore recommends that the Board continues to plan and implement its decentralization policy to optimum levels of organizational efficiency.

One aspect of the subgrant which never reached fruition within the decentralization program, was the objective of placing emphasis on modern therapeutic techniques, such as, individual or group counseling. This rehabilitative emphasis recognized that the desired end of supervision was the protection of the community from crime through the offender's successful reintegration into his community. The means to that end which is in question here, has not materialized as an operationalized aspect of sub-office or district office programming. Aside from the measurable benefits of physical

proximity and a small scale of operation with controlled caseload size, sub-offices do not differ appreciably from district offices in programming. Since reintegration is a process involving agent and client interaction, the agent must call upon both law enforcement skills and counseling skills in his mix of supervision tools aimed at influencing client behavior. Sub-offices have demonstrated proficiency in the use of law enforcement skills as a supervision tool and a means of protecting society from crime. However, Agency programming in the area of rehabilitative skills, such as, guided group interaction, or client counseling, has been lacking during the evaluation period. Since little planning or policy-making was visible at the management level during the evaluation, this report recommends that the goal of offender reintegration be re-examined and made explicit in terms of operational objectives for the Agency. This requires that projects of an experimental nature which are aimed at maximizing client reintegrative potentials, be operationalized and evaluated for effectiveness so that programmatic decisions are explicit, understandable and based upon a foundation of documented experience.

Since caseloads continue to grow, it is recommended that the Agency continue to closely monitor caseload size as it has done successfully in the past evaluation period. Also, the evaluation supports and encourages the Agency's experimentation with large reduced supervision caseloads. It is suggested that further consideration be given to expanding caseload specialization, such as, intensive probation and parole caseloads, reduced supervision caseloads, or specialized counseling, into the regional office and sub-office program structure with careful monitoring of project performance. Specialized program efforts such as, SRS, should also be examined for further integration into overall programming and for possible utilization to answer some agency research questions.

The evaluation recommends that the Governor's Justice Commission continues to support this decentralization project which has had a beneficial impact upon probation and parole supervision.

II AGENCY AND EVALUATION BACKGROUND

Agency Overview

The goals of this project were reviewed in the preceding project synopsis. A more detailed enumeration may be found in the attached interim report on Page 7. A brief organizational history follows for background information.

The Pennsylvania Board of Probation and Parole is an independent state agency, directed by a four member Board, an Executive Director, and support staff located in Harrisburg. As a result of this grant, field staff are organized into six regions. Each region is headed by a LEAA funded regional director who is responsible to the Director of Field Services, the Superintendent of Parole Supervision, and lastly, the Executive Director. Each region consists of one or two district offices; there are a total of ten district offices. Seven of these district offices have nine LEAA funded branches called "sub-offices" located in small cities: York, Lancaster, Reading, Norristown, Scranton, State College, Sharon-Farrell, Aliquippa and Greensburg. There are currently 30 parole agents who report to the supervisor of each sub-office; ten of these agents are paid by federal funds from the grant which is the object of this evaluation, two are paid from state matching funds and the remainder are paid from general state funds. In addition, one of the nine supervisors (Greensburg) is LEAA funded.

The existing field services historically were delivered from nine district offices located throughout the State of Pennsylvania. During the five years prior to the application for this subgrant, the Board experimented an increase in the number of cases supervised which limited available resources and hindered the delivery of services. It became increasingly clear that they no longer could provide adequate services until such time as decision-making was decentralized closer to where the client was being supervised.

The Agency intent was that decentralization would provide for more meaningful service delivery and improve the morale of the agents. Because the sub-office is the conceptual basis of this project, this evaluation will focus primarily on the sub-office program including the state funded agents and their case-loads.

Evaluation Methods and Activities

There have been several modifications to the evaluation since the interim report which were intended to provide quantitative measures of program effectiveness that were heretofore unavailable. The following data formed the basis of the interim evaluation: case closures (recommitments, revocations and final discharges), client arrests, unconvicted violations, total caseload, average agent caseload size, caseload composition, client employment status and client income. This final report improved upon the methods of analysis used to evaluate these variables but also considerably expanded the evaluation to include an analysis of 'active' caseload status, agent daily activity, client location of residence, guided group interaction and relative cost-effectiveness to society. Although multi-variate techniques of data analysis would have greatly improved statistical methodology in this report, fiscal constraints have prevented taking advantage of modern computer software capabilities for a more sophisticated analytic approach.

Most quantitative information used in this evaluation was obtained from the Board of Probation and Parole's management information system which is in varying degrees of automation currently. Data on caseload size, composition and case closures came directly from the Agency's computerized client master listings. Since the interim evaluation report, partial automation of employment and arrest data has occurred. Automated client listings for collecting employment data has eliminated much of the "guesstimation" which

was prevalent before procedures were changed. Automated data processing assistance in arrest reporting has enabled the evaluators to separate probationers from parolees to the benefit of the analysis.

During the later half of the evaluation period, on-site visits and interviews were completed. A total of fifteen visits were made to nine sub-offices during the evaluation. In addition, agent referral forms were received from seven out of nine sub-offices for client referrals and needs from December, 1974 through June, 1975. These survey results were added to the preliminary results reported in the interim evaluation. Most interview findings were reported in the interim report. The expanded analysis of guided group interaction is the only area of the final report which depends heavily upon interviews and Agency correspondence.

III ANALYSIS OF PROBATION AND PAROLE OUTCOME

This section of the evaluation is intended to assess the effectiveness of probation and parole supervision in terms of both a) influencing the offender to live a law abiding life and b) reintegrating him into his economic community. The LEAA funded decentralization of client supervision into a more localized mode of operation was intended to bring about closer client supervision, and consequently, more effective client counseling and surveillance. It was expected, therefore, that decentralization would impact directly on client performance and probation or parole outcome.

Variables selected as measures of program effectiveness were client recidivism indicated by parole recommitments and probation revocations, client arrests, client unconvicted violation status and client employment status. Although this evaluative effort has been successful in producing quantitative information reflecting program impacts, fiscal constraints precluded taking advantage of modern computer software for multivariate data analysis which is capable of identifying underlying causal relationships. Thus, the evaluation can only theorize how or why the program achieved some results, and hope that conventional wisdom, when combined with factual results, can identify options for management which further improve results.

Recidivism and Unsuccessful Case Outcome

The attached Interim Evaluation Report explored several alternative methods of computing recidivism measures which reveal the impact of decentralization upon client behavioral performance. Recidivism was defined as the number of parole recommitments and probation revocations that occurred in the years before and after the inception of the grant. It was found that regardless of how recidivism was measured, a substantial decrease in recidivism occurred statewide from before (1968 - 1971) to after (1971 - 1974) the grant's inception. This final report will not rehash those findings but asks the reader to refer

to Appendix II (Page 15) for detailed results: Notably, this statewide assessment suffers from the fact that regional and sub-offices were introduced within the same year as several other statewide program innovations. Consequently, positive recidivism results could not be attributed solely to the effects of decentralization funded in this grant.

Since the period under evaluation represents the project's fourth year of continuation funding, the question of program impact was of lesser importance than the question of sub-office differential performance in comparison with the more centralized portions of the Pennsylvania Board of Probation and Parole's service delivery system. This final evaluation report therefore emphasizes a comparison of client performance in sub-offices created by the grant with clients being served in their respective parent district offices. Since the time period covered by the interim evaluation, calendar year 1974, six months of updated information have been added to provide a new basis for a comparative evaluation of differential performance.

Table I presents recidivism data measured by the case closure method, a computation which minimizes the effects of unequal lengths of time under supervision and approximates a cohort technique. The case closure method computes unsuccessful case closures (recommitments and revocations) as a percentage of total case closures which includes successful case terminations that had expired maximum sentences.

TABLE I
Percentage of Unsuccessful Case Closures
January, 1974 through June, 1975*

<u>Client Comparison Populations</u>	<u>12 Months 1974</u>	<u>6 Months 1975</u>	<u>18 Months Composite</u>
Nine Sub-Offices	29.4%	25.7%	27.9%
Seven District Offices	22.3%	20.1%	21.4%
SRS Caseloads**	21.9%	30.4%	25.3%

*Appendix I contains data values used to derive percentages

**The Social Rehabilitation Service of the U.S. Department of Health, Education and Welfare provides funds for parole supervision of alcohol/drug abusers and welfare dependent clientele who need specialized services and intensive supervision.

One of the objectives of the grant was to locate agents nearer to the populations that they served so as to provide closer supervision and increased utilization of community resources. A desired consequence of closer supervision was an enhanced likelihood of rehabilitation through more effective agent counseling and an improvement in protection for the community through more effective agent surveillance. Recidivism data for calendar 1974 indicated clearly that proportionately more of the sub-office clientele (29.4%) were being returned to jail than district office case closures (22.3%). It was suggested in the Interim Evaluation report that the sub-offices' comparatively poor performance in regard to rehabilitation may be offset by its strong performance with respect to effective surveillance criteria. Furthermore, some differences in part may be due to differences in caseload composition. These factors were pursued in the attached interim (Page 24).

Significantly, the nine sub-offices evidenced a marked improvement in the percentage of unsuccessful case closures during the first six months of 1975. Some 25.7% of the sub-office case closures were returned to jail whereas

district clientele had 20.1% of their case terminations returned to jail. The trend toward improved recidivism performance in the sub-offices reduced the difference between sub-offices and district offices when the eighteen month time period is assessed as a whole. For an 18 month period, about 21% of the case closures from district office caseloads were unsuccessful while nearly 28% of the sub-offices' case closures were also returned to prison. Unfortunately, the reason for the improvement in offender rehabilitation cannot be determined by this analytic approach. An examination of probation and parole caseload composition and client arrest data suggests possible explanations which will be explored more thoroughly in the remainder of this evaluation.

Another possible explanation for the relatively poor performance ratio of the nine sub-offices as a group when the closure method is used is that one or more offices might bias the overall failure rate upward because of unusually large numbers of unsuccessful terminations being characteristic of the office. A reported practice of the Norristown Sub-Office has been to transfer Philadelphia clients into their caseload in unconvicted violator status when they are arrested for crimes in Montgomery County.* If these clients are retained under Norristown statistical control until they are deducted as recommitments, the unsuccessful closure ratio for Norristown will be unrealistically biased upward.

To examine the impact of Norristown case failures on the total sub-office failure ratio, Norristown closures have been isolated. In 1974, the Norristown sub-office reported 38 final discharges and 37 returns to jail for an unsuccessful closure ratio of 49.3%. When Norristown closures are excluded, the resulting 1974 figures for eight sub-offices are 98 failures and 286 final discharges for an unsuccessful closure ratio of 25.5%. Although this is higher than the seven general caseloads, it was not statistically significant ($t = 1.24$). For 1975, Norristown reported 16 failures and 15 final discharges for a failure ratio of 51.6%. The resulting 1975 figures excluding Norristown

*Mr. Francis J. O'Connell, Norristown Supervisor, private communication.

are 67 failures and 224 final discharges for a sub-office failure ratio of 22.9%. Again, this is higher than the 20.1% for the seven general caseloads, but is not significantly different ($t = 0.97$). The 18 months composite, 24.4% for the eight sub-offices, does not differ significantly from the 21.4% for the general caseloads ($t = 1.53$) suggesting that sub-offices still may not have better recidivism performance when transfers are taken into account. Since the differences are small, they could be accounted for by caseload composition.

One important observation in the Interim Report concerned a third distinct comparison group which was isolated in the analysis to avoid biasing the study in favor of the sub-offices. The Social Rehabilitation Service of the U.S. Department of Health, Education and Welfare provides funds for offenders with drug or alcohol problems and dependencies on public welfare so that they can obtain specialized services and supervision to overcome their handicaps. Clients receiving SRS services represent higher risk groups and they are not administered from LEAA funded sub-offices. To develop a generally comparable population within district office caseloads, the SRS treatment group was isolated.

Ironically, preliminary findings based upon 1974 data indicated a relatively low level of recidivism for these difficult cases. Time, however, had not been taken into account in computing recidivism measures. It was theorized in the interim evaluation that since SRS had not become operational until mid-1973, lag time from arrest to conviction and recommitment would result in an understatement of 1974 recidivism. This was especially true because SRS did not acquire cases with violations pending disposition at its inception.

This reasoning implied a future increase in recidivism among SRS clientele. This thesis was borne out by data for 1975. In fact, data for 1975 suggests lower levels of recidivism among sub-office case closures (25.7%) than the higher risk SRS population (30.4%) as would have been expected.

In conclusion, at least one out of every four cases being closed in sub-offices are returned to prison in comparison with one out of every five case closures in a comparable district office population. Since the primary goal of supervision is to influence constructive behavior which obviates the need to return a client to prison, it may be concluded that sub-office personnel must strive to improve this record. However, successful intervention does require the offender's removal from a street environment when violations occur. In this sense, the ability to provide close supervision may offer maximum safeguards for the community. In the final analysis, unless more complex multivariate techniques are used, the behavioral criterion of recidivism must be related intuitively to other measures of performance to accurately judge relative program effectiveness.

Analysis of Client Arrests

Recidivism has been defined in this evaluation as cases which have been terminated for a return to jail. There is, however, an 'array' of other indicators which are antecedent to recommitment and may reflect more qualitative aspects of program performance in a community. These data include arrest, conviction and sentencing. The availability of summary arrest data suggests it is a useful second measure of relative program effectiveness. An advantage of client arrest data is that it may more accurately reflect behavioral performance for the time period under evaluation. Recommitment and revocation are time consuming procedures which involve substantial time lags from arrest to conviction,

and finally to official disposition. Consequently, recidivism criteria bias performance assessments toward earlier time periods. Since arrest data is accumulated by date of arrest, it is a more timely parameter. Nevertheless, there are important disadvantages to arrest data which mitigate against reliance upon arrests as the primary measure of program performance.

One noteworthy limitation of arrest data is the fact that aggregate arrests reflect total crimes, not total criminals. This fact has important implications for a comparative study. First, there may not be a correspondence between persons in each study group and the number of crimes alleged for each individual. Thus, when differential frequency of arrest is not controlled statistically, a study may be biased by different kinds of subjects in the comparison populations. In addition, aggregate arrest data does not take into account the seriousness of offenses in relation to either a class of crimes, or the frequency of criminal arrests for individuals. This lack of information pertaining to the seriousness of a crime may also distort comparative assessment. Lastly, and perhaps most importantly, arrests only presume the ex-offender's guilt. This aspect of arrest calls into question how varied law enforcement and criminal justice policy in different geographic areas is applied to offenders.

In conclusion, aggregate arrests are good indicators of the level of criminal activity among two comparison offender populations even though they may not correlate perfectly with recidivism as defined here. An important aspect of arrest data for performance assessment purposes is evident when arrests are distinguished as criminal as opposed to technical violation arrest. Agent effectiveness may be measured by their ability to intervene preemptively in the offender's affairs to protect the community from crime. It is this aspect of aggregate arrest data which justifies its use for evaluation.

Table II displays parolee arrest data for both calendar year 1974 and six months of calendar 1975. Since arrest of probationers was not available for a comparable period of time, it will be treated separately in the following analysis. Average monthly parolee arrests are expressed as a percentage of average monthly parolee caseloads in the comparison populations.

Table II

Average Number of Parolee Arrests Per Month as a Percent of Average Monthly Parole Caseloads January, 1974 through June, 1975

Parolee Comparison Populations	12 Months 1974		6 Months 1975		18 Month Composite	
	Average Monthly Caseload	% Arrests Per Month*	Average Monthly Caseload	% Arrests Per Month*	Average Monthly Caseload	% Arrests Per Month*
Nine Sub-Offices	744	4.1%	774	3.9%	754	4.0%
Seven District Offices	1,223	2.7%	1,351	2.9%	1,266	2.8%
SRS Caseloads	1,098	4.9%	1,054	4.5%	1,083	4.7%

*Average number of arrests per month + average caseload per month

Regardless of the time interval used, arrests are more frequent among parolees in sub-offices than in district offices. Over an eighteen-month period beginning in January of 1974, parolee arrests were occurring at an average rate of 4.0% per month in sub-offices in comparison with 2.8% per month for the paroled population of district office general caseloads. Although higher sub-office arrests would be consistent with recidivism findings, the kind of arrest which occurred is hidden in the data. If sub-offices are providing closer supervision as decentralization intended, agents may preempt police authority to protect the community from crime. A closer examination of arrest data suggests a qualitative

difference in agent performance in sub-offices as compared to district offices. Table III analyzes parolee arrest data in terms of police arrests for new offenses and agent arrests for technical parole violations.

Table III
Parolee New Charge and Technical Violation Arrests

	Nine Sub-Offices	Seven District Offices	SRS Caseloads
NC Arrests * 12 Months 1974	260	305	439
TPV Arrests ** 12 Months 1974	104	94	203
Percent TPV 12 Months 1974	28.6	23.6	31.6
NC Arrests 6 Months 1975	120	181	209
TPV Arrests 6 Months 1975	61	56	74
Percent TPV 6 Months 1975	33.7	23.6	26.1
NC Arrests 18 Month Composite	380	486	648
TPV Arrests 18 Month Composite	165	150	277
Percent TPV 18 Month Composite	30.3	23.6	29.9

*NC - New Charge
**TPV - Technical Parole Violator

The data clearly indicates that proportionately more arrests in sub-office settings were agent initiated for technical violations than were arrests in the district office general caseloads. Over an eighteen month time interval, over 30% of the arrests occurring in sub-offices were for

technical violations in comparison with less than 24% in district office general caseload setting. This difference was tested and found to be statistically significant ($t = 2.59, p < .01$) implying that it was not due to chance and may be due to program. Notably, the specialized SRS clientele of district offices who also receive closer supervision had a similar proportion of technical violation arrests. The data therefore strongly suggests that although closer supervision may not be having obvious rehabilitative effects as it was partially intended, it is enhancing the effectiveness of agent surveillance activities to the benefit of the community. Since parolees are the sole responsibility of the Parole Board in Pennsylvania, this finding has significant impact and casts the sub-office's apparently higher recidivism rate in a more positive light.

Data on probationer arrests were not available during the writing of the interim evaluation report. With the development of this data, an analysis of probationer arrests have been included in this final report. Paradoxically, probationer arrest data do not lead to the same conclusion. Probationer arrest patterns among the two comparison populations do not vary in the same way as parolee arrests. Some possible explanation for this phenomenon are suggested below. Table IV displays the results of an analysis of probationer arrest data among the LEAA funded sub-office population and the comparison group of clientele in district offices.

Table IV

Probationer Arrests
July, 1974 through June, 1975

Probation Comparison Populations	Average Monthly Caseload	New Charge Arrests	Technical Probation Arrests	% Arrests Per Month of Average Monthly Caseloads	% TPV of Total Arrests
Nine Sub-Offices	548	127	17	2.2%	11.8%
Seven District Offices	1,199	279	62	2.4%	18.2%
SRS Caseloads	713	235	68	3.5%	22.4%

Average probation arrests per month as a percent of average monthly probation caseloads were clearly less frequent than parolee arrests for a comparable period of time. This observation is consistent with theoretical expectations which suggests that probation be employed for less serious offenders who would not necessarily benefit from incarceration. In brief, probationers are thought to be less crime prone; a theory borne out to some extent by the data.

An important difference between probation arrest results and that of parolees is the fact that sub-office probationers do not appear to differ from general caseloads in arrest rates. More critically in fact, technical violation arrests among sub-office probation clientele are substantially lower in proportion than technical violation arrests among general caseload probationers in district offices. There is no apparent reason for this difference. One explanatory factor which should be taken into account is the policy of different county courts. A priori reasoning suggests that perhaps large urban courts differ

substantially from small city-rural oriented courts in the way in which they view probation under the State's supervision as an alternative to incarceration. This evaluation's interim report alluded to this possibility when it noted lower percentages of probationers in small city/sub-office caseloads in contrast to the more urbanized district office general caseloads (Appendix I, Page 24). This difference may reflect a more liberal use of probation among large city judges, and consequently, would concentrate a more criminally oriented type of client in large city probation status in contrast with the smaller city approach. If this hypotheses is correct, then probationers in general caseloads from district offices would be expected to have more frequent arrest when compared with sub-office probation clientele. This may be part of the reason underlying similar arrest rate performances for probation clientele in the 'close' supervision setting of the sub-offices in comparison with the more urban district offices. Future research efforts might be directed toward testing this thesis.

An alternative thesis is suggested by examination of probation arrest data in terms of the percentage of arrests which were technical arrests as opposed to new offense criminal arrests. Table IV indicated that approximately 12% of the sub-office probationer arrests were agent initiated in contrast with 18% for district office probationer arrests. Although this reverse effect from parolee arrest results is somewhat puzzling, it does suggest the possibility that sub-office agents may concentrate their attention on parolees who are more prevalent than probationers in their caseloads and are perceived as being more prone to recidivism. Less attention by virtue of relatively less surveillance would result in lower numbers of observable infractions for which arrest may be initiated. Although other explanations are undoubtedly possible, the thesis advanced above seemed most plausible at this writing.

It is noteworthy in this regard that SRS caseloads had proportionately more probationer arrests per month and proportionately more technical violation arrests than their counterparts in general caseloads. SRS clientele who are difficult cases by their nature, are closely supervised in small caseloads of a maximum of 40 in size. Since both SRS parolees and probationers had higher percentages of technical violation arrests than general caseloads, there is credence to the argument made above concerning lesser attention being paid to probationer minorities where caseload sizes are larger. LEAA mandated caseload size is 50 clients per agent. Although the causation discussed here is essentially intuitive, the fact that the prevailing probationer arrest pattern in sub-offices is more inclined to be due to new criminal charges alerts management to a possible inadequacy in the existing system. Future evaluative research should attempt to delineate parole recommitments from probation revocation so that the relationship of technical versus new offense arrest can be linked to measures of recidivism in a more definitive fashion.

Analysis of Unconvicted Violators

Without attempting to belabor the evaluation with measures of program performance that are redundant in character, the interim evaluation report explored the use of 'unconvicted violators' as a corroborative tool in analyzing recidivism. An 'unconvicted violator' is a client who is awaiting disposition of a charge against him. He may be free on bond or in detention but he has not been returned to prison by an official order for recommitment or revocation. Unlike arrest or recommitment, the unconvicted violator status is a data event controlled directly by the agent. In declaring a client an unconvicted violator, the agent officially identifies an "at risk" population under supervision.

Unconvicted violator data have several distinct advantages. Unlike arrests which count multiple crimes including minor offenses, the unconvicted violator status counts only people and therefore should correlate strongly with return to jail data. Similar to arrest data, however, the unconvicted violator data is more time relevant if the evaluator is concerned with indicators of recidivism which are unencumbered by time lags. On the negative side, the unconvicted violator represents only a presumption of guilt. Also, we cannot be absolutely sure how the agent is using this status because there is not an explicit definition of criteria for the UCV classification. However, the interim evaluation report noted that over one half of the unconvicted violators are apparently returned to prison (Appendix II, Page 27).

Table V displays UCV data for the entire evaluation period. Unfortunately, new unconvicted violators were not accounted for by probation and parole status during the evaluation period. This breakdown will be available to future evaluators because of recent automated data processing report modifications. The UCV data presented below is in aggregate form as was the previously displayed recidivism data. Needless to say, this aggregate form does not help to clarify questions concerning differential program performance which were raised by arrest data for probation versus parole subpopulations. New unconvicted violators are expressed as average new UCV's per month as a percent of average monthly caseloads.

Table V

Average Number of Unconvicted Violators Added Monthly
As a Percent of Average Monthly Caseloads

Comparison Populations	1974		6 Months, 1975		18 Month Composite	
	New UCV's	*% Per Month of Average Caseload	New UCV's	*% Per Month of Average Caseload	New UCV's	*% Per Month of Average Caseload
Nine Sub-Offices	251	1.75	151	1.8	402	1.8
Seven District Offices	333	1.2	193	1.2	526	1.2
SRS Caseloads	458	2.1	215	2.0	673	2.1

*Data values from which percentages are derived may be found in Appendix II

The six month followup period from the interim evaluation report provided strong evidence that the rate at which new UCV's are declared in the comparison populations held constant. Over an eighteen month period, new unconvicted violators were declared in sub-offices at a monthly rate of 1.8% of an average monthly caseload in comparison with 1.2% in general caseloads for district offices. These differences were found to be statistically significant and therefore not likely to be due to chance. Consistent with previous findings, the more difficult SRS cases being supervised out of district offices had a slightly higher rate of 2.1% of an average monthly SRS caseload.

The 'program' rank order of UCV results directly parallels program rankings according to recidivism data measured by recommitments and revocations. This finding is supportive of previous conclusions. Proportionately more sub-office clientele appear destined for a return to jail in comparison with district office general caseload clientele. Based upon arrest data findings, it must be assumed that closer agent supervision of parolees is responsible for this consistently higher rate of sub-office clientele being at risk and likely to be imprisoned.

Analysis of Client Employment Status

The successful reintegration of offenders into their respective economic communities is an important justification of probation or parole as alternatives to incarceration which is a more costly and sometimes less effective means of rehabilitation. Employment correlates highly with successful probation or parole adjustment which is defined as a life without crime. Conversely, the unemployed offender constitutes a social liability without a legitimate means of support but, more importantly, represents an additional economic burden to society if he is dependent upon public assistance. In these instances, the cost of probation or parole as criminal justice alternatives must also reflect the cost of supporting the offender while on the street. If probation or parole is to minimize the cost of criminal justice to society while increasing the likelihood of rehabilitation, offender employment becomes a central program objective. One of the objectives of decentralization as funded by this subgrant, was to better integrate agents into the communities in which offenders live so that they could provide closer supervision and be more aware of local community resources. A reflection of improved agent effectiveness in the community is their ability to foster high levels of employment and economic self sufficiency among their clientele. A comparison of employment status among sub-office clientele with general caseload clientele was undertaken to ascertain the effectiveness of more localized supervision in reintegrating offenders into their respective economic communities.

Table VI displays survey client employment data obtained by quarterly survey techniques for December, 1974, March and June, 1975. Percentages represent portions of an 'able to work' population which is defined as all offenders who are not detained in jail, hospitalized, absconded or retired.

The 1974 survey results were previously reported in the interim evaluation report (see Appendix II). Several modifications were made in evaluation objectives and data aggregation requiring a revision of data presented in the interim. Appendix II contains revised figures. It should be noted that these changes did not alter the conclusions presented in the interim report. The reasons for changes in December, 1974 figures are footnoted below.¹

TABLE VI
Quarterly Client Employment Status

Quarterly Client Employment Status	Client Comparison Groups		
	Nine Sub-Offices	Seven District Offices	SRS Caseloads
A. Percent Full Time Employed of Total Able to Work*			
i. December, 1974	81.8%	73.5%	57.1%
ii. March, 1975	77.4%	67.4%	54.0%
iii. June, 1975	80.7%	72.9%	50.4%
iv. 7 Quarter Average (12/73 - 6/75)	83.6%	75.7%	61.6%
B. Percent Part Time Employed of Total Able to Work*			
i. December, 1974	2.4%	5.2%	5.1%
ii. March, 1975	6.1%	7.7%	8.8%
iii. June, 1975	4.2%	3.8%	9.4%
iv. 7 Quarter Average (12/73 - 6/75)	3.1%	4.7%	6.4%
C. Percent Unemployed on Public Assistance of Total Able to Work*			
i. December, 1974	4.0%	7.0%	23.0%
ii. March, 1975	4.7%	8.4%	24.7%
iii. June, 1975	5.3%	10.3%	33.9%
iv. 7 Quarter Average (12/73 - 6/75)	3.8%	7.3%	20.7%

*Able to Work means not detained in jail, hospitalized, absconded or retired.

¹Two client populations were eliminated from the evaluation's comparison groups in order to assure conceptual continuity for a cost-effectiveness analysis of this project. They were the Altoona general and SRS caseloads which do not have a LEAA funded sub-office, and the state funded East Liberty Office which is an urban community parole center in Pittsburgh. Both of these offices represent possible biasing factors to a study designed to compare LEAA funded, small city sub-offices with their respective parent district offices' caseloads. Their caseloads were therefore isolated and subtracted from employment data under comparison. Interim data was revised accordingly.

Several facts are readily apparent from Table VI: 1) whether we use the most recently available survey data or average data derived from 7 quarterly surveys, the level of full employment among clients in sub-offices is eight to ten percentage points higher than the more urban and centralized district office clientele; 2) sub-offices had fewer clientele in part time employment throughout most of the evaluation period; and 3) sub-offices had fewer unemployed offenders who were dependent upon public assistance as a means of economic support. Overall, approximately 85% of the sub-office clientele were employed either part or full time in June of 1975 in contrast to 77% for district office clientele. In light of the intent of decentralization, these facts imply that the more localized small city offices are more effective in fostering economic self sufficiency among offenders.

Also observable in the data are the effects of economic recession upon client employment. Full time employment decreased and part time increased for all populations when the 7 quarterly averages are compared with March, 1975, the middle observation point of this evaluation. The increase in the proportion of clients employed part time reflects a job market with scarce full employment opportunities which forces more offenders to take marginal types of jobs. This trend in part time employment appears to be reversed in the June, 1975 data. The increase in part time employment was not sufficient to offset an overall decrease in offenders employed. In June of 1975, unemployment represented 15.2% and 23.3% of the sub-office and district office client 'able to work' groups respectively. Since the SRS program focuses exclusively on welfare dependent type of clientele, they were shown here to preserve consistency with previous analytic approaches and were not intended in this context to be a relevant comparison group. The data does suggest that since the LEAA funded sub-offices are relatively successful in maintaining high levels of client employment, Agency programming with respect to the reinforcement of agent counseling and/or rehabilitative activities may be the most serious

Table VII displays the results of these new linear estimates of employment levels among sub-office clientele and district office general caseloads.

TABLE VII
 Simple Regression of Clients Employed onto
 Total Clients Able to Work
 ($\hat{y} = mx + b$)
 December, 1974 - June, 1975

y	x	Slope m	Correlation r	Standard Error of Estimate S \hat{y}
Number Employed in Nine Sub-Offices	Number Able to Work in Nine Sub-Offices	+ .77	.965	26.3 clients
Number Employed in Seven District Offices	Number Able to Work in Seven District Offices	+ .645	.922	52.4 clients

The least squares linear trend estimates indicated that sub-office clientele would be expected to have 77 clients employed for every one hundred new clients who were able to work in comparison with only 65 employed clients in district office general caseloads for every hundred new clients who were able to work. This estimate of program performance levels is consistent with the seven month averages found in Table VI. Since the standard error of the estimates are relatively large, the difference between the slopes of the two regression equations were found to be statistically insignificant. Nevertheless, the direction of the slope in terms of relative magnitude supports the contention that sub-office clientele who are able to work, are more inclined to be employed in comparison with district office clientele.

IV ANALYSIS OF PROGRAM ACTIVITY AND OPERATIONS

The first section of this evaluation focused on program effectiveness in rehabilitating clients and reintegrating them into their community. This section examines underlying operational factors which bring about program results. The factors considered in this section include 1) caseload composition, 2) caseload size, 3) active supervision status; 4) agent-client contact and service delivery as measured by both, 5) client geographic location, and 6) client needs and referrals. Several of these factors were reviewed in the interim evaluation; several are new. This final evaluation represents a considerable reorganization of interim materials. In order to not rehash much of the interim, the reader will be asked to refer to Appendix II for detailed information.

Caseload Composition

When recidivism data was reviewed earlier in this evaluation, it was not possible to separate probation from parole for analysis. Arrest data, however, was available with probationers and parolees separated. Arrest data suggested a difference in supervision outcome; arrest occurred more frequently among parolees than among probationers. More importantly, available statewide data indicates parolees are more likely to be recommitted than probationers are to have their status revoked. It is therefore likely that differences in caseload composition, i.e. probationers or parolees, may be an important underlying factor which explains differences in recidivism performance among program approaches. Although the composition of successfully closed cases was not known when preparing this evaluation, it was known how many active cases were probationers or parolees during the evaluation period. As a result, active caseload composition is presented below as a measure of the composition of closed cases.

Table VIII presents a summarization of interim evaluation and a six month followup.

TABLE VIII
Probation and Parole Caseload Composition

Client Comparison Groups	Average Monthly Probation Caseload		Average Monthly Parolee Caseload	
	Number	% of Average Total Caseload	Number	% of Average Total Caseload
Nine Sub-Offices				
i. Calendar, 1974	451	37.7%	744	62.3%
ii. 6 Months, 1975	599	43.4%	781	56.6%
Seven District Offices				
i. Calendar, 1974	1,037	45.8%	1,223	54.2%
ii. 6 Months, 1975	1,284	48.7%	1,354	51.3%
SRS Caseloads				
i. Calendar, 1974	684	38.4%	1,098	61.6%
ii. 6 Months, 1975	708	40.2%	1,056	59.9%

Throughout calendar year 1974 and during the first six months of 1975, sub-offices in comparison with district offices have supervised proportionately more parolees in their caseloads than Court assigned special probation and parole cases. When 1974 data is compared with 1975 data, it is also apparent that county probation cases are assuming increasing shares of both sub-office and district office caseloads. Since probation caseload growth in the district offices has not been as rapid as in the sub-offices, the 1975 data reflects a narrowing of the gap between sub-office probation versus parole composition and the case mix found in district offices.

It should be noted that the trend in caseload composition parallels what was observed previously with recidivism measures: a trend toward reduced recidivism in sub-offices in comparison with district offices from 1974 to 1975. This fact supports the notion that the caseload mix of probation versus parole clientele is a factor which must be considered in a comparative

assessment. However, it is recognized that the percentage differential in probation/parole composition between the two groups is probably not sufficiently great to account for all of the difference in unsuccessful case closure ratios. Other factors, such as, agent roles in technical arrest, undoubtedly are playing important parts in bringing about differential recidivism performance. To accurately measure the contribution of parole or probation status in explaining differential recidivism performance, multivariate data analysis techniques must be used. The development of a data base to take advantage of more sophisticated techniques is a goal of the next evaluation period.

Caseload Size

An objective of this subgrant was to control caseload size at a level which is optimal in terms of maximizing the effectiveness of supervision. It is commonly assumed that caseload size directly affects the quality of supervision services and consequently, the probability of successfully completing supervision. Small caseloads presumably allow agents more time to provide both effective surveillance in the community and rehabilitative treatments, such as, client counseling or guided group interaction.

A requirement of this subgrant was that average caseload size be maintained at fifty clients per agent, a level beyond which it was believed that close client relationships and effective supervisory surveillance would be handicapped. In reality, it is recognized that this standard is somewhat arbitrary. Effective supervision is not solely dependent upon caseload size; much depends upon client supervision needs and how an agent uses his time in relation to those needs rather than the total amount of time available to agents in relation to some number of clients. The relationship between agent skill versus client needs is inherent in the idea of grades of supervision for different

kinds of clients. Nevertheless, in terms of the standard imposed in this subgrant, the Pennsylvania Board of Probation and Parole strives to balance a) the growth in demand for supervision with b) available agent manpower to achieve the desired caseload size.

The interim evaluation report (see Appendix II, Pages 19-21) indicated the historical trends in caseloads for both sub-offices and district offices. The final report therefore will focus on current caseload growth relationships in the evaluation year. Table IX displays both actual and index values for caseload growth since the beginning of this evaluation period in September, 1974.

TABLE IX

Index of Caseload Growth

<u>Month and Year</u>	<u>Nine Sub-Offices</u>		<u>Seven District Offices</u>	
	<u>Actual</u>	<u>Index</u>	<u>Actual</u>	<u>Index</u>
September, 1974	1,427	100	2,635	100
October, 1974	1,453	102	2,864	109
November, 1974	1,531	107	2,729	104
December, 1974	1,521	107	2,776	105
January, 1975	1,472	103	2,942	112
February, 1975	1,643	115	2,966	113
March, 1975	1,527	107	3,027	115
April, 1975	1,532	107	3,113	118
May, 1975	1,617	113	3,052	116
June, 1975	1,761	123	2,961	112
July, 1975	1,753	123	3,040	115

Caseload data in June of 1975 indicates that sub-offices had increased by over twenty percent while general caseloads increased by only twelve percent. June data, however, represented a marked departure from the trend in prior months. To assure the validity of this trend, the index was extended for one succeeding month.

Because of month to month fluctuation in total caseload, the interim report used three month intervals to evaluate average agent caseload size. Table X presents data on average agent caseload size for the followup period reviewed for caseload growth using the established three month average technique. Average caseload sizes include other states cases being supervised in Pennsylvania.

TABLE X

Quarterly Average Caseload Size

<u>Quarterly Time Period</u>	<u>Nine Sub-Offices</u>	<u>Seven District Offices</u>
July thru September, 1974	53.6	56.9
October thru December, 1974	57.8	57.7
January thru March, 1975	54.7	57.3
April to June, 1975	54.5	57.0

At the interim stage of the evaluation, it was noted that average agent caseload size had increased beyond acceptable limits and that steps were being taken by the Agency to reduce agent caseload size in the sub-offices. As evidenced by the data in Table X, management changes in agent staffing patterns were successful in reversing the upward trend in sub-office average agent caseload size. Figures 1 and 2 graphically illustrate the steady growth in total caseload and average caseload sizes for sub-offices and district offices.

Figure 1

Total Caseload Growth

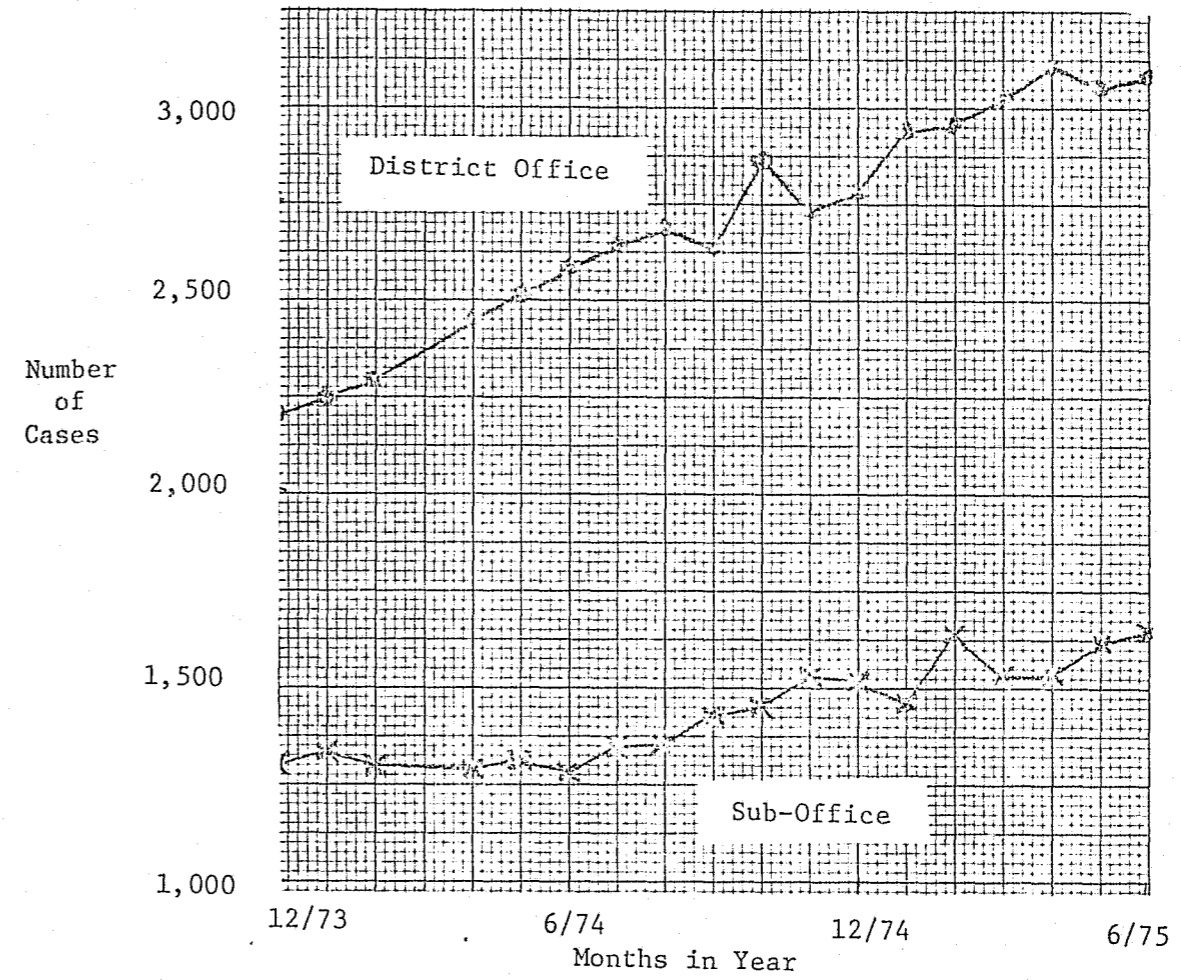
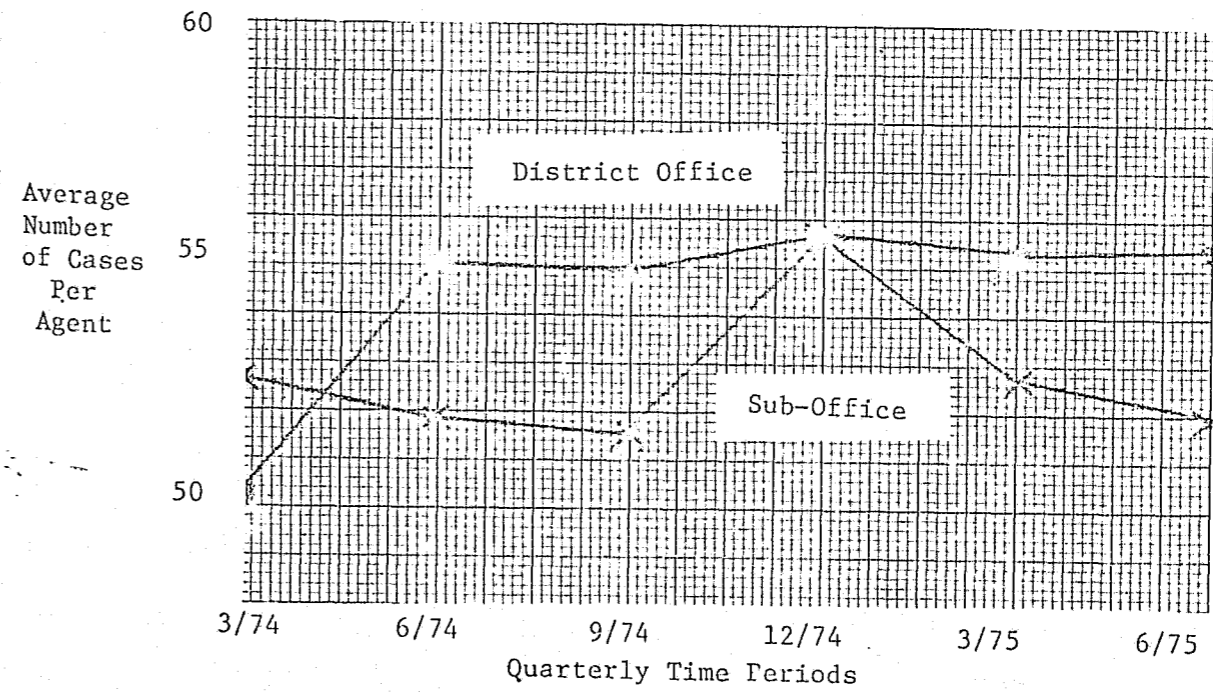


Figure 2

Average Agent Caseload Size



Analysis of 'Active' Caseload

An alternative method of comparing sub-offices' performance with general caseloads is to examine client caseload status prior to case closure. The total caseload may be subdivided into two major categories; 1) those clients under 'active' supervision because the agent has personal contact with them, and 2) those clients which represent active 'casework' but presumably have little (if any) personal contact with the agent because they are absconders or in a detention situation due to new violations or mental illness. Since sub-offices are intended to provide closer, and consequently, more effective supervision, it was hypothesized that proportionately more of the sub-office clientele would be under 'active' supervision as opposed to 'casework' supervision. The results of this investigation are shown in Table XI. To avoid the possibility of a bias in the data created by unique circumstances within a month, three months were selected arbitrarily for study. They were December, 1974 and March and June of 1975.

TABLE XI

Average Active Supervision and Casework Supervision for Three Months**
December, 1974, March, 1975 and June, 1975

Caseload Status	Nine Sub-Offices		Seven District Offices	
	Average Number	Percent of Total	Average Number	Percent of Total
Active Supervision	1,417	89.8%	2,554	89.4%
Casework Supervision				
Absconders	53	3.4%	146	5.1%
Detained*	107	6.8%	155	5.4%
Total in Supervision	1,578	100.0%	2,855	100.0%

*Includes mostly unconvicted violators and convicted violators in detention as well as a small percent of offenders paroled to detainers or in mental institutions.

**Totals used in averages were arrived at through independent hand tabulation and consequently did not agree precisely with monthly totals derived from PBPP statistical reports. The percentage variation was insignificant and therefore would not affect conclusions.

When tested statistically, the data revealed that sub-offices were statistically different from district offices in the status of their caseload ($X^2 = 10.13$, $df = 2$, $P < .01$). About the same proportion of clients in each group were being actively supervised as were cases obtaining casework supervision. However, when the composition of casework supervision clientele are examined between the two comparison populations, it is evident that proportionately more of the sub-office population was in detention as either convicted or unconvicted violators. This fact would appear to be consistent with previous findings which note higher incidence of agent initiated technical arrests and higher incidence of recidivism among sub-office clientele. Since proportionately fewer sub-office clientele were in absconder status, it might be tentatively concluded that surveillance activity and relative closeness to the community have aided agents in tracking offenders and imposing arrest authority when necessary. Although this thesis is conjectural on the surface, it is very plausible in light of other findings regarding total arrests, unconvicted violations and unsuccessful case closures. Perhaps, more importantly, this data on active supervision reinforces the conclusion that sub-offices are not more likely to rehabilitate clients than district offices since they have similar proportions of clients receiving 'active' supervision where rehabilitation theoretically takes place.

Agent Daily Activity - Frequency of Agent - Client Contact and Agent Collateral Contact

In addition to low caseload sizes, agents in sub-offices, by virtue of geographic proximity to their clients, should be able to provide more intensive supervision both in terms of frequency of agent-client contacts and length of these contacts. Although data is not available on lengths of time being spent with clients, Agent Daily Activity reports do indicate the frequency with which agents contact clients in the office and in the field.

Table XII displays average monthly agent-client contacts per client in the office and in the field for both the seven district office general caseload clientele and the nine sub-office clientele. Average monthly contacts are computed on the basis of both total caseload and "active supervision" caseload. As was discussed earlier in the analysis of caseload status, total caseload includes absconders and clients in detention for new charges. Therefore, average monthly agent-client contacts per client are potentially more meaningful when computed on the basis of active supervision caseloads, which excludes 'casework' clients whom the agent has no opportunity to contact.

TABLE XII
Average Agent Activity in Terms of Agent-Client
Contacts Per Month Per Client
(Based Upon March and June, 1975 Data)

Type of Client Contact	Nine Sub-Offices	Seven District Offices
Office Contacts per Client		
Total Caseload	.18	.14
'Active' Caseload	.20	.15
Field Contacts per Client		
Total Caseload	.87	.78
'Active' Caseload	.97	.87
Total Contacts per Client		
Total Caseload	1.05	.91
'Active' Caseload	1.17	1.02

Table XII indicates that average monthly contacts are more frequent in sub-offices for both office and field visits regardless of whether active or total caseload is used in the computation. Total contacts for both office and field visits indicate that for each client-agent contact in general caseloads, there were nearly 1.2 contacts monthly in the sub-offices. When subjected to statistical testing, it was found that the

differences between sub-offices and district offices in frequency of agent-client contact were not likely to be due to chance (less than one chance in 1,000), and therefore, may be attributed to program. This unorthodox use of statistical testing is not the important point. This finding when put in the context of other observations, strongly supports the theory that sub-offices are achieving their intended objective of providing closer client supervision apparently to the benefit of community security. Without more detailed information on duration of contact, however, we cannot comment on the qualitative aspects of agent-client interaction which might affect rehabilitation.

In addition to contacting clients, agents are also required to make collateral contacts to obtain information about a client. Collateral contacts play an important dual role in an agent's intelligence gathering activities. They assist the agent in monitoring client activity and uncovering potentially criminal behavior, but they also provide insight into client treatment needs and directly assist the client in obtaining available community socio-economic services. Examples of collateral contacts include employers, volunteers, family members, friends, court officials and staff of various treatment facilities. Because sub-offices are intended to foster agent integration into local communities to improve supervision effectiveness, it might be expected that they have more frequent collateral contacts than agents in the more traditional environment. To test this idea, agent collateral contacts per client were examined for two months: March and June of 1975. The results of this inquiry are displayed in Table XIII.

of contacts

TABLE XIII

Average Agent Activity in Terms of
Agent-Collateral Contacts Per Month Per Client

Client Comparison Group	Collateral Contacts Per Client		
	March, 1975	June, 1975	Average Total
Nine Sub-Offices	2.02	1.76	2.1
Seven District Offices	1.99	1.61	2.0

Sub-office agents appear to more frequently make collateral contacts when compared to district office agents. On the average, however, the difference between sub-offices and district offices is not as great as differences noted earlier in agent-client contacts. Statistical testing indicates that the difference between sub-offices and general caseloads is significant and not due to chance. Since this is an unorthodox use of a statistical test technique, it cannot be given much credence. It is sufficient to say that a difference exists in office performance which supports the sub-office concept of service delivery.

Analysis of County of Residence in Relation to Office of Supervision

A major program objective of this LEAA subgrant was to place agents in a geographic setting which was closer to their clients and enabled them to better utilize community resources. Being physically closer to the client also reduced agent travel time so that more time could be spent with the client. One of the shortcomings of the interim presentation was the absence of any quantitative data relating to the geographic benefits of decentralizing the supervision delivery system. This section focuses on the geographic dimension.

Mileage data was not available to demonstrate the fact that sub-office agents travel less because of a decentralized mode of operation. However, data was available on client county of residence. If sub-offices are appropriately located geographically, it may be hypothesized that a majority of clients reside in the same county area as the sub-office. It should therefore be possible to test the hypothesis that sub-office agents are stationed closer to their clientele than agents in the district office by examining the distribution of clients by county of residence. The results of a study of client geographic distribution are presented in Table XIV. Only clients served in nine sub-offices or their parent seven district offices were tabulated; the Altoona offices, the state funded East Liberty Sub-office and the Philadelphia Region was excluded.

TABLE XIV

Client County of Residence by Controlling District August, 1975

County Residence Distribution by Controlling District	Nine Sub-Offices		Seven District Offices		SRS Caseloads	
	Number	% Total	Number	% Total	Number	% Total
Same County as Controlling District Office	1,156	62.2%	1,465	53.7%	1,026	53.0%
Adjacent County to Controlling District Office (Clients in County of another D.O.)	411 (45)	22.1 (2.4%)	858 (15)	31.5% (0.6%)	580 (16)	30.0% (0.8%)
Two Counties Removed from Controlling District Office (Clients in County of another D.O.)	190 (16)	10.2% (0.9%)	274 (36)	10.0% (1.3%)	226 (17)	11.7% (0.9%)
Other Location or Unknown Residence for Controlling District Office	100	5.3%	130	4.8%	103	5.3%
Total Clients	1,857	100.0%	2,727	100.0%	1,935	100.0%

The analysis of data presented in Table XIV provides fairly conclusive evidence that sub-offices are localized within concentrations of offenders under supervision and therefore represent a system savings in travel over the pre-existing district office system. While 62% of the clients supervised from sub-offices reside within the same county as the sub-office, only 54% of the parent district office general caseload was a resident of the same county as the controlling office. Statistical probabilities suggest that this difference did not occur by chance; therefore, systemic differences in office location can be held responsible for the percentage differences.

Few of the sub-offices had substantial numbers residing in adjacent counties. Exceptions to this rule were Greensburg, Lancaster and Aliquippa. These contributed heavily to the overall 22% of the sub-office population who lived in an adjacent county to the controlling sub-office. In addition, York and Sharon-Farrell sub-offices were largely responsible for the 10% of the sub-office cases which lived two counties away from the controlling sub-office. These percentages compare with the over 31% and 10% of the district office general caseload living adjacent and two counties away respectively. Notably, SRS caseloads were distributed similarly to general D.O. caseloads in geographic location. In all instances, approximately five percent of the comparison caseloads were in question presumably because of faulty information on client county of residence although approximately one percent were identified as offenders who lived over Pennsylvania's borders but were supervised by Pennsylvania agents.

In summary, the evidence is clear that sub-offices have captured client subpopulations effectively in terms of coverage. Since about 84% of the sub-office clientele live in the same county or an adjacent county to the controlling office in contrast to 85% in the district offices, it can be safely concluded that sub-offices are saving some travel time over the former

district system and equals the district office in terms of a relative concentration of clients. Actual travel requirements within these broad boundaries remain unknown from available data.

Client Needs and Service Delivery

Field interviews with agents and supervisors were all conducted prior to the submission of the Interim Report and consequently will not be discussed here. The reader is asked to refer to the Interim Report in Appendix II. This section focuses exclusively on an update of information on client needs and referrals.

To provide a better understanding of service delivery in relationship to goal accomplishments, it is useful to have an appreciation of client needs. Client needs and referrals to other agencies were monitored on a month to month basis. Monitoring of client needs consisted of three elements: 1) a referral listing by client noting facts, such as, reason, agency name and referral outcome; 2) an account of total client needs according to need type and number of clients, and 3) an account of group therapy sessions according to who conducted the session. Seven of nine sub-offices, or 20 agents, participated in the monthly survey of needs. The Aliquippa and Sharon-Farrell sub-offices did not respond to the survey. Cumulative survey results are presented below.

Out of 228 referrals made to other agencies over a seven month period, it was estimated that approximately three referrals were made per agent per month. This figure was obtained by dividing total referrals by the cumulative number of responses monthly from agents reporting (75). Responses varied on a monthly basis since agents were not consistent in reporting. In contrast to 3.0 referrals per month, agent interviews indicated a self reported average of 5.6 referrals per month. It may be assumed that the survey data is a better estimate. Notably, preliminary survey data reveal higher averages than these final results.

The survey also revealed that there were 64 agencies to which referrals were made of which 50% were listed independently by supervisors as possible places for on-site visits. The most frequently reported referral agencies were:

	<u>Referrals</u>
Bureau of Employment Security	67
Bureau of Vocational Rehabilitation	27
Department of Public Assistance	21
Mental Health - Mental Retardation	21
Manpower/Mainstream	16
Treatment and Rehabilitation Center of Northeast Pa.	13
Alcoholics Anonymous	8
White Deer Run Program	7
Other	48
Total Referrals	<u>228</u>

Of 228 reported referrals, 13 were for drug and/or alcohol treatment, 19 for drug alone and 21 for alcohol rehabilitation; in sum, 53 of 228 referrals, or 23%, were for drug and alcohol treatment services. Seventeen referrals to other agencies were for services mandated by the Board as special conditions of parole.* In all cases except 25, or 11% of the total referrals, the client reported to the referral agency as instructed. Although only 60% of the referrals (136) were reported as at least satisfactory in outcome, about 87% of the cases (198) reported had "good", "very good", "completed" or "reporting" current relationships with the referral agency at the time of the survey. This difference was due primarily to the fact that the Bureau of Employment Security and the Manpower/Mainstream project were initially unable to place 42 clients in jobs, and 17 clients were on waiting lists for service by the Bureau of Employment Security.

*Of the 17 Board mandated referrals, 14 were drug and alcohol related and 3 were emotional or sex related problems.

Employment remained the most outstanding client need cited in the unfulfilled needs analysis section of the evaluation survey for the followup period after the interim report. Out of a cumulative monthly accounting of client needs, there were 140 instances where employment was cited. More specifically, there were 120 instances of long waiting lists in employment agencies cited and 22 instances where 'jobs in short supply' or 'no facilities available' was cited. A brief ranking of client needs in descending order is presented below:

<u>Need Cited</u>	<u>Frequency</u>
Employment	140
Drug Treatment	61
Psychiatric Counseling	61
Job Counseling	29
Job Training	28
Alcohol Treatment	26
Medical Treatment	26
Family Counseling	17
Alcohol Detoxification	12
Temporary Housing	5
Drug Detoxification	4
Methadone Maintenance	2
Total	<u>411</u>

The most prevalent reason cited for different unfulfilled client needs (206 instances) was 'long waiting lists' for agencies providing services.

A priori reasoning suggests that there should be a correspondence between client need patterns and client referrals. If agents are effectively managing their caseloads and the data reported is an accurate portrayal of the real world, then the incidence of referral would follow categorically the frequency of need pattern. To test this proposition, a correlation of need and referral categories was attempted. The results are displayed in Table XV.

TABLE XV

Correlation of Unfulfilled Client Needs
and Client Referrals by Category

<u>Service Type</u>	<u>Cumulative Client Needs</u>	<u>Reported Client Referrals*</u>
Drug Treatment	67	25.5
Alcohol Treatment	38	27.5
Psychiatric and Sex	61	16.0
Employer	140	82.0
Job Training/Counseling	57	28.0
Medical Assistance	26	4.0
Family Counseling	17	4.0
Housing	5	1.0
Total	411	188.0**

Correlation coefficient $r = .951$, $t = 7.59$

*Client referrals which were previously displayed by type of agency, were recategorized here to a type of treatment classification. The treatment classification was based upon information contained in the raw data.

**"Other" referrals were omitted from the correlation because of the lack of comparable counterparts in the 'needs' data.

Client needs and referral patterns were found to be highly correlated ($r = .95$) suggesting a followup relationship between perceived need and services sought on behalf of the offender. To the extent that this pattern reflects reality, the supervision process is working to provide offenders special services in the community which foster social integration and rehabilitation. Unfortunately, since data was collected only from sub-offices, we cannot conclude that decentralization has increased the use of community resources. The data does clearly demonstrate, however, the fact that sub-offices are utilizing community resources to facilitate the rehabilitation of offenders.

CONTINUED

1 OF 3

Guided Group Interaction

One of the primary goals of the Regional and Sub-office sub-grant at its inception was that the project would place an emphasis on family and group counseling as a therapeutic tool for rehabilitation. To realize the objective, the Board of Probation and Parole implemented a special project called Guided Group Interaction. The Agency acronym for this project was GGI. The purpose of this section is to provide a comprehensive review of the GGI project and a preliminary assessment of its current status and achievements. There is no doubt that GGI is controversial both because the philosophy of the Agency and fiscal conditions were markedly different in 1971 when the project started. The subject is extremely complex and cannot be given appropriate consideration in a few pages. This treatment of the subject therefore will be viewed as highly oversimplified to the practitioner at both agent and management levels in the Agency. Nevertheless, because the subject is important, an attempt has been made to delineate major arguments and issues which provide some basis of evaluation in context of the Regional and Sub-Office sub-grant.

The GGI technique was introduced with great zeal as an alternative group method of supervision in contrast to the traditional approach of a one-to-one relationship between supervising agent and client. There were several obvious advantages to a group supervision approach. Among these, groups offered an opportunity to 1) improve both the quality and quantity of supervision services in light of increasing caseload pressures, 2) measure rapport, 3) enhance client and agent understanding of legitimate roles and responsibilities, 4) promote openness for free and full discussion, and 5) convert questionable associations among offenders to constructive purposes with task

orientations of mutual assistance. The rehabilitative effect of groups were subsequently to be improved parolee status and behavior with respect to self esteem, employment, socialization and recidivism. Evidence of initial Agency zeal is found in the fact that all staff were provided group process training in the GGI technique and a high level 'task force' was created in December, 1971, to contend with practical problems of implementation. (Administrative Directive No. 36, December 17, 1971.) Equally apparent is the fact that the predominant Agency philosophy at that time was that priority in the delivery of supervisory service went to bringing the agent 'closer to the client' and to sharpening agent counseling skills for maximum rehabilitative impact which would have the affect of protecting society, rather than primary emphasis on law enforcement skills. Philosophically, it was felt that successful reintegration obviated the need to focus on community protection. This was evident from the Agency's programmatic emphasis on decentralized supervision and GGI training. Primary objective of the Board is still the protection of society through the successful reintegration of the offender. However, there has been a discernible shift in programmatic emphasis toward law enforcement skills. This is an interpretation of a very subtle phenomenon reinforced mainly by the present status of GGI. Where is GGI currently?

In September of 1975, the Bureau of Supervision reported that all (15) agents in the Philadelphia Narcotics Units and nine agents statewide for a total of twenty-four agents made use of GGI techniques. Of the nine agents outside of Philadelphia, seven are with the SRS program and two are with LEAA funded sub-offices. The two sub-offices had one group each although among the nine agents statewide and fifteen in Philadelphia, there were a total of about 27 groups being conducted. According to minutes of a statewide task force meeting in September, 1972, a starkly different pattern is evident.

At that time, there were a total of 88 groups as follows:

<u>PBPP Regions</u>	<u>Number of Groups</u>
Region I, Philadelphia	29
Region II, Allentown	23
Region III and IV, Harrisburg and Williamsport	8
Region V and VI, Pittsburgh and Erie	28
Total	88

Over three years the number of groups has decreased from 88 groups in September, 1972, to about 27 in September, 1975. Minutes from task force meetings in May, 1973, provide official documentation of the waning interest in the GGI approach to supervision. At the fifty statewide GGI Task Force Meeting, it was noted that "possible Board support could become as active as it was originally, thereby supporting supervisors in feeling that group work was an equal priority to other areas." In response to Regional Task Force reports, the statewide meeting noted that 1) ongoing training is becoming the key and theme of regional task force meetings, 2) self help is taking place on the regional level and 3) that administrative support is needed from the Board either through recognition of group leaders, or through encouragement for supervisors to include group work in their agent ratings. In May, 1973, the western training region GGI task force identified clearly the status of group training in supervision programming:

It should be noted that over the last several months, attendance at the GGI Task Force has been dwindling, as have been the number of groups in this training region... It is my feeling that the apparent lack of interest in the group is due to two areas. One is the increased workload and continued emphasis on numbers, and the second is the recent lack of commitment from the Board for groups. Due to the lack of interest in the GGI Task Force and the fact that Professor Young is being paid for his services (a group process instructor), I am cancelling all further GGI Task Force meetings until interest in groups revives. (Memorandum on GGI Task Force, May 29, 1973.)

Guided Group Interaction in terms of issues and present status may be summarized as follows: it is not explicit agency policy, but Guided Group Interaction is permitted, and not promoted. Early in the project, it was realized that GGI cannot be mandated for either agent or offender. In a policy statement early in 1972, the Board stated that "GGI training will be offered and the expectation of the Board is that all trained staff will try to use the skills learned in some way. GGI skills can be used in individual as well as group relationships. The Board does not expect that every agent will become a group leader." In reality, even believers in the GGI approach recognize inherent limitations. A sampling of successful group specialists were interviewed on the telephone concerning GGI; all noted that many agents have difficulty with GGI. Some agents "felt threatened" in GGI sessions since they were subject to verbal attack and criticism from a group that they were supposed to supervise. In addition, not all clients need a group experience. It therefore appears that the use of guided group interaction is essentially a supervision level decision. Agents who are interested can form a client group for GGI supervision. In light of this open-ended policy, why has GGI failed to grow as a viable alternative to individual client supervision?

There is probably no single answer to this question but a complex of interrelated factors which might be highlighted. In brief, several factors may be enumerated: 1) lack of continued commitment from the Board, Management and supervisory levels in the Agency, 2) increasing work pressure on agents, 3) increasing financial pressure on the Agency and 4) lack of clearly defined group process objectives to assist agents in establishing a direction for group development.

When group supervision was initiated, group sensitivity and self awareness were part of the rhetoric of the times. Agency staff professed con-

fidence that Guided Group Interaction had something to offer as a tool in supervision and had therapeutic value. However, neither the Board nor management requested a written followup on GGI implementation which documented its development or identified its achievements. Without any obvious concern for the real value of groups and without knowledge about them or their progress, agents became increasingly aware of a lack of commitment in the Agency for the group technique as a treatment device or a supervision tool. In essence, the Agency did not attempt to provide agents with feedback on program progress and accomplishments.

Further evidence of a declining commitment was found in the allocation of staff training hours which reflects program levels of decision-making. A recent final evaluation report on staff training noted that the Agency gave highest priority to the delivery of training in the area of supervision skills (law enforcement) as opposed to treatment skills (client counseling). In fact, during the last two years of the sub-office grant, the Agency has not provided training for group supervision. Both of these factors, i.e. a lack of evaluative feedback and training, suggest no commitment to the group supervision technique and a low priority assignment for the agency as a program objective.

Increasing agent work pressure was noted as a second reason for the failure of group supervision to grow as an alternative supervision tool. GGI never replaced anything; it was always 'in addition to everything else'. Because a majority of clients are employed, agents who value the group process were required to work in the evenings to conduct groups. As workloads increased due to increasing caseloads and increasing demands on agent time for investigative reporting and accountability recordkeeping, some agents found it impossible to fulfill the requirements of their jobs. Consequently group

interaction was abandoned.

Increasing agent work pressure is directly related to the third reason cited for the decline of the GGI project or group supervision in general, in both district offices and sub-offices. The third reason cited was the increasing financial pressure being exerted on the Agency. With inflationary spirals in both labor and operations, experimentation in 'treatment' programming was viewed as a luxury the Agency could not afford. Management argued that the Agency could not afford to pay a shift differential to cover evening hours as an incentive to group supervision techniques. Although parole agents are not on controlled hours, i.e. they must be available when needed, and therefore the Agency is not legally required to pay a shift differential, staff argued that it was unrealistic to assume that a conscientious agent could control his own hours by simply shifting his schedule forward to include evening group supervision in light of work pressures related to individual client daily contacts. Thus, while Agency management was unable to offer incentive pay or incentive time off, agents including those with talents and interest in groups, were given the choice as to whether they wanted to conduct group sessions. The resulting attrition in group sessions was evidenced in previously reported data.

Although fiscal limitations regarding agent pay incentives could possibly have been circumvented, dollar shortages had a very real impact on training. In order to provide training in group techniques, specialists were hired and paid out of LEAA funds for staff development. As priorities changed, the purchase of service dollars were allocated to other areas and training was discontinued. With State dollars equally limited, there were no resources available to hire specialists and in-house capability was assigned other tasks. As a result, agents who were interested in group techniques had to pursue training on their own time and at their own expense.

In many instances, agents have obtained training in group technique while pursuing degrees in higher education. It is in this manner that expertise in group techniques has developed within the Agency. Since much of the practical expertise in group techniques is at the agent level and several key agency personnel have had no training or experience with group techniques, it is not likely that groups will become programmatically inspired supervision tools in the near future.

One last point warranting discussion concerns the objectives of Guided Group Interaction. Early in the GGI project experience, it was noted that "many agents had little idea of where they were heading, or what they were trying to accomplish as a GGI facilitator." Although the objectives of group supervision are easy to identify and list since they parallel the goals of the Agency as a whole, they are not easy to operationalize in a concrete and constructive manner within a group. In part, the difficulty stems not only from the fact that abstractions such as improved socialization and communication do not provide a measurable sense of direction but also because the structure and composition of the group have a strong effect on individual client objectives as well as overall group objectives. For example, group homogeneity or heterogeneity determinethe range and variety of problems or issues which may surface in a group. Each issue or problem is of varying importance to an individual offender. As a result, enormous skill is needed by a group facilitator to perceive relative problems, identify and set priorities on objectives, and to develop tactics and strategies which effectively realize objectives among ten people. The correspondence and minutes on task force meetings reveal that agency staff grappled with the issue of client selection and group composition for over a year without linking group composition to objectives. Particularly noticable from documented discussions is the lack of a problem solving orientation in setting

guidelines for group selection and composition. The only consensus evident was that agents should exclude from groups homosexuals and psychotic types. Viewed from an infallible hind-sight vantage point, the establishment of guidelines for group composition which are oriented toward solving identifiable problems for a target group of offenders would have provided a measureable sense direction for agents and provided the agency with operationalized goals with real meaning.

To some extent, specialized groups have developed on their own without Agency direction. A good example is the drug and alcohol groups in Philadelphia and the Sharon-Farrell Sub-Office. Staff of the Erie District Office and the Sharon-Farrell Sub-Office where groups have had some success, report that a highly structured group with a clear purpose for each meeting are important ingredients in the formula for success. Also noted were major modifications in the original design of GGI as a rehabilitative device. The Williamsport District Office reported some success with group counseling focused exclusively on the offender's private life in his nonworking, leisure hours. The objective of this approach is to develop constructive habits and behavior in one's leisure time when crimes are most likely to be committed. There are no known groups, however, which focus on the problem of unemployment. Since unemployment is a major problem among offenders, groups composed of unemployed offenders is a realistic criterion for group composition. It has been recently reported that an Illinois psychologist has had great success with a job finding club, a group assisted program for obtaining employment. This modified group approach to job counseling was based on the principle that most jobs in the real world are found through

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V ECONOMIC ANALYSIS OF PROGRAM COSTS AND EFFECTIVENESS

One additional method for evaluating a process or program is to introduce monetary values as a basis for comparison. These values may be costs, returns or both. There are benefits to the use of monetary values as an evaluative criterion. From a policy point of view, it may be easier to make decisions on relative project worth on the basis of economic loss or gain rather than on more abstruse behavioral considerations. In fact, even when behavioral criteria show no particular gain, monetary values may demonstrate substantial economic advantage to the project. Monetary criterion provides a common denominator that translates varied behavioral criteria into economic consequences and permits easier analysis. Since monetary criterion speaks directly to the policy maker and budget keeper without losing sight of underlying offender behaviors, it was introduced as an additional technique of analysis.

Central to the evaluation has been the issue of whether sub-offices were more effectively reintegrating offenders into their communities than the traditional district offices. It was shown earlier in the analysis that sub-offices had proportionately fewer clients unemployed or on public assistance than district offices. It was also theorized that sub-offices may be less expensive to operate than district offices. These factors suggest the general hypothesis that there will be measurable economic advantages to society in the sub-office mode of operation when relative costs and effectiveness are taken into account. Four monetary factors were the basis of this analysis: 1) PBPP operating costs per client, 2) PBPP caseload detention costs, 3) PBPP client societal costs for welfare dependency and 4) PBPP client tax dollars returned which represent savings or benefits that offset tax dollars expended for supervision.

For each study population, sub-office and district office clientele, the following cost/effectiveness model was used as a basis of making calculations. The subpopulations were subdivided into four groups: (A) employed clients, (B) unemployed clients with public assistance, (C) unemployed clients without public assistance, and (D) clients in detention status. The total cost to society for each programmatic approach was estimated by adding estimated costs for the employed, unemployed and detained segments of each comparison group. Thus, the estimated societal cost of supervising employed clients consists of total PBPP supervision costs minus income tax dollars returned per client. The estimated total societal cost of unemployed clients on public assistance consists of PBPP costs per client plus welfare costs for income maintenance. The estimated total societal cost of unemployed clients not on public assistance was assumed to be PBPP costs per client alone. Data was not available regarding other types of income transfers for the unemployed. Lastly, clients in detention represent additional correctional system costs beyond PBPP case supervision costs. These were added to each group's total costs so that an overall cost comparison could be made.

The determination of PBPP cost per client included both direct and indirect costs for fiscal year 1974-75. Direct costs are agent salaries, equipment, rent and operating costs sustained by a supervising unit. Indirect costs represent administrative overheads, such as, regional staff, district office supervisors and district office clerical staff which provide services to both district office and sub-office clientele. Indirect costs were allocated on a formula basis according to the ratio of clients in each study group. All SRS operational costs were excluded. Also excluded from the analysis were Pittsburgh's East Liberty Sub-Office and the Altoona District Office which are state funded and not part of the evaluation design.

The computation of average PBPP cost per client was based upon total case-loads including absconders, clients in detention and clients who are hospitalized. The average cost for each PBPP client in sub-offices was estimated to be \$656 per year and for each PBPP client in district offices, \$570 per year. Table XVI displays this computation. It is apparent from this data that based on average costs per client alone, per capita costs in sub-offices are higher than district offices. However, these are not the full costs of supervision for welfare and detention costs must be taken into consideration.

TABLE XVI

PBPP Average Cost Per Client for
Fiscal Year 1974-75

	<u>Nine Sub-Offices</u>	<u>Seven District Offices</u>
A. Average Monthly Caseload FY 74-75	1,511	2,536
B. Total Costs, Direct and Allocated Indirect	\$991,800	\$1,444,618
C. Average Annual Cost Per Client	\$656	\$570

When supervision costs take employment and welfare dependency into consideration, a different cost pattern emerges. Public assistance payments to offenders represent indirect costs of street supervision since income maintenance is a necessary investment if reintegration is to be achieved. The estimated number of unemployed clients needing public assistance was derived from 1974 PBPP Quarterly Employment Surveys. The estimated welfare payment for these individuals was based on average welfare payments for a single person living in sub-office territory. It was assumed that persons with dependents would be AFDC recipients and therefore would be in the SRS program according to SRS administrators. Based upon a nine county average welfare payment for a single person, the estimated average welfare payment was \$141 per month, or \$1,687 per year. Without a full survey of agent field books, this was the best source available with published

data. Table XVII displays the estimated annual societal cost of supervising unemployed clients on welfare based upon the average number of DPA recipients in the study group during 1974. The average number of DPA recipients multiplied by the sum of the estimated PBPP cost per client plus the average welfare payment per client yielded an estimated total annual cost of \$89,034 for sub-office DPA recipients in 1974 and \$255,041 for the district offices. The estimated total annual cost for non-welfare unemployed clients was determined by simply multiplying the average number of non-welfare unemployed clients for 1974 by the PBPP unit cost per client. The estimated cost of unemployed non-welfare clients in sub-offices was \$227,632 per annum in contrast with \$392,160 per annum for district office clientele.

TABLE XVII

Estimated Costs for Unemployed Clients in 1974

	<u>Nine Sub-Offices</u>	<u>Seven District Offices</u>
A. Average Number of Unemployed Public Assistance Recipients	38	113
B. Average Number of Unemployed Clients Without Public Assistance	347	688
C. Estimated Annual Public Assistance Cost Per Client	\$1,687	\$1,687
D. Estimated Annual PBPP Cost Per Client	\$656	\$570
E. Estimated Annual Cost to Supervise PBPP Client with Public Assistance: A(C + D)	\$89,034	\$255,041
F. Estimated Annual Cost to Supervise Unemployed PBPP Client Without Public Assistance: B x D	\$227,632	\$392,160

In contrast with unemployed clients, the cost of supervising the employed represents what is expended to supervise them less the tax dollars they return to the government as revenues. Tax dollars are reported annually from client W-2 forms, or agent estimates. In the first quarter of 1975 when 1974 income returns were compiled, there was considerable under-reporting

of client income and tax for 1974. The 1974 tax return was therefore estimated by multiplying the average number of tax dollars paid per client times the average number of employed clients reported in 1974 client employment surveys. The total taxes reported for sub-office clientele in 1974 was \$1,070,540 and for district office clientele, \$917,109. Therefore, based upon the number of clients who were reported, the estimated average tax paid per client was \$1,015 in sub-offices and \$759 in district offices. The total cost of supervising employed clients consequently is the result of multiplying the average number of employed clients by the average PBPP cost per client in each study group minus the 1974 average number of employed clients multiplied by the average tax return per client in the study group. The total estimated tax returns more than offset total PBPP costs for the employed group. Therefore, this monetary benefit is displayed in Table XVIII as a negative figure for the overall cost comparison.

TABLE XVIII

<u>Client Status</u>	<u>Nine Sub-Offices</u>	<u>Seven District Offices</u>
A. Average Number of Employed Clients in 1974	991	1,424
B. Average Annual PBPP Cost Per Client	\$656	\$570
C. Average Annual Tax Return Per Client in 1974	\$1,015	\$759
D. Total Estimated Cost of PBPP Supervision for Employed Clients	\$650,096	\$811,680
E. Total Estimated Tax Return for Employed Clients	\$1,005,865	\$1,080,816
F. Total Estimated Cost After Tax Return Deductions for Employed Clients (D - E, or Dollar Benefit)	-\$355,769	-\$269,136

Detention costs represent the estimated additional cost to society of probationers or parolees who were jailed for new violations or offenses. These costs were added to PBPP's costs since we observed differential detention rates between the comparison populations. To estimate the proportion of clients in detention in the study population, caseload status was averaged for three time points, December, 1974, and March and June, 1975. The cost of detention was derived from data available in statistical publications on corrections produced by the Governor's Justice Commission. Average detention cost was based upon 1974 cost data for seven counties: Beaver, Berks, Centre, Lackawanna, Lancaster, Montgomery and York. The average cost of detention was \$4,583 per resident per year for seven counties. This figure is not as meaningful as estimated PBPP supervision costs per capita since client "lockups" usually do not last for a full year. However, although there is turnover among clients in lockup situations during a year, we can safely assume that the proportion of clients in detention situations stays relatively constant in the study populations. Thus, the average lockup cost per year when applied to differential rates of detention is an estimate of the true costs of correctional treatment. Nevertheless, it is probably a conservative estimate of correctional costs since additional factors such as law enforcement costs, judicial administrative costs and medical costs are not included in the analysis.

Table XIX displays estimated detention costs for the two comparison populations.

TABLE XIX

Estimated Costs of Detention

	<u>Nine Sub-Offices</u>	<u>Seven District Offices</u>
A. Average Monthly Caseload	1,511	2,536
B. Average Percentage in Detention	6.8%	5.4%
C. Estimated Annual Detention Costs Based on Average Cost of \$4,583 per Client per Year	\$470,894	\$627,614

In conclusion, the estimated annual cost to society of supervising A) employed clients, B) welfare dependent clients, C) unemployed clients and D) detention clients were summed for each program group as follows in Table XX:

TABLE XX

Programmatic Cost-Effectiveness Comparison

<u>Groups Costed</u>	<u>Nine Sub-Offices</u>	<u>Seven District Offices</u>
A. Employed Clients	(-) \$355,769	(-) \$269,136
B. Welfare Dependent Clients	\$ 89,034	\$255,041
C. Unemployed Clients (Without Public Assistance)	\$227,632	\$392,160
D. Clients in Detention	\$470,894	\$627,614
TOTAL COSTS	\$431,791	\$1,005,679
Average Monthly Caseload*	1,444	2,381
Estimated Average Cost Per Client	\$299	\$422

*Average of fiscal 74-75 and calendar 1974 caseload data.

Average Monthly Caseload	D.O.	S.O.
FY 74-75	2,536	1,511
Calendar, '74	2,226	1,376

The estimated average cost per client for sub-offices when program effectiveness measures are taken into account, was \$299 in comparison with \$422 for district office general caseload clientele. Thus, despite the fact that Agency costs per capita tend to be higher for sub-offices primarily because of a lower volume of cases, and detention appears to be more frequently used among sub-office clientele creating an additional cost, the overall performance of sub-office clientele with respect to employment and public assistance dependency when given monetary value, more than offsets these higher costs and creates an economic advantage for sub-offices. The result was a reversal in the cost relationship with district office general caseloads. Although these cost estimates are crude, they were thought to represent a reasonable strategy under the circumstances. They also serve to highlight the importance of employment to probation and parole as a factor in client reintegration and cost minimization.

A P P E N D I C E S

APPENDIX I

Case Closure Data

Table IA: 1974 Totals From Interim

Client Populations in Study	Successful Closure*	Unsuccessful Closure**	Total Annual	% Closed Unsuccessful
Nine Sub-Offices	324	135	459	29.4%
Seven District Offices	635	182	817	22.3%
SRS Caseloads	512	144	656	21.9%

Table IB: First Six Months of 1975

Client Populations in Study	Successful Closure*	Unsuccessful Closure**	Total Annual	% Closed Unsuccessful
Nine Sub-Offices	240	83	323	25.7%
Seven District Offices	417	105	522	20.1%
SRS Caseloads	297	130	427	30.4%

Table IC: January 1, 1974 - June 30, 1975 Composite

Client Populations in Study	Successful Closure*	Unsuccessful Closure**	Total Annual	% Closed Unsuccessful
Nine Sub-Offices	564	218	782	27.9%
Seven District Offices	1,052	287	1,339	21.4%
SRS Caseloads	809	274	1,083	25.3%

*Final Discharge

**Recommits from Parole plus Revocations of Probation

APPENDIX I

Unconvicted Violator Data

Table VA: 1974 Totals from Interim Report

Client Populations in Study	UCV's Added	Average Monthly Pa. Caseload	% UCV Per Month of Average Caseload
Nine Sub-Offices	251	1,195	1.75%
Seven District Offices	333	2,260	1.2%
SRS Caseloads	458	1,782	2.1%

Table VB: Six Month Totals, January - June, 1975

Client Populations in Study	UCV's Added	Average Monthly Pa. Caseload	% UCV Per Month of Average Caseload
Nine Sub-Offices	151	1,380	1.8%
Seven District Offices	193	2,638	1.2%
SRS Caseloads	215	1,764	2.0%

Table VC: Composite Totals, January 1, 1974 - June 30, 1975 (18 months)

Client Populations in Study	UCV's Added	Average Monthly Pa. Caseload	% UCV Per Month of Average Caseload
Nine Sub-Offices	402	1,257	1.8%
Seven District Offices	526	2,386	1.2%
SRS Caseloads	673	1,776	2.1%

District Office versus Sub-Office: $t = 6.54, p < .001$
 Sub-Office versus SRS: $t = 3.35, p < .01$

APPENDIX I

Regional and Sub-Offices Quarterly Employment
For Four Quarters of 1974, and Two Quarters of 1975

	First Quarter 1974		Second Quarter 1974		Third Quarter 1974		Fourth Quarter 1974		First Quarter 1975		Second Quarter 1975	
	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.
Full Time Employment	883	1,280	901	1,437	1,038	1,334	1,044	1,360	812	1,149	1,105	1,407
Part Time Employment	25	62	17	56	25	70	31	97	64	132	58	74
Unemployed DPA	37	79	32	115	32	125	51	130	49	143	73	198
Effective Able Caseload	1,035	1,568	1,022	1,779	1,174	1,730	1,276	1,851	1,049	1,704	1,370	1,929

Regional and Sub-Offices Quarterly Employment
For Four Quarters of 1973
(Source PBPP Quarterly Employment Report)

	First Quarter 1973		Second Quarter 1973		Third Quarter 1973		Fourth Quarter 1973	
	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.
Full Time Employment	910	2,093	1,000	2,053	999	1,379	903	1,016
Part Time Employment	36	101	28	94	31	69	34	65
Unemployed DPA	49	279	34	291	24	53	27	77
Effective Able Caseload	1,103	2,722	1,186	2,620	1,142	1,642	1,076	1,298

I N T E R I M R E P O R T

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

Submitted to

Pennsylvania Board of Probation and Parole

William F. Butler, Acting Chairman
John H. Jefferson, Board Member
Paul J. Descano, Board Member
William C. Boor, Executive Director

and

Pennsylvania Governor's Justice Commission

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Research and Statistical Division
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April 10, 1975

TABLE OF CONTENTS

<u>Chapter and Section Titles</u>	<u>Page Number</u>
I Executive Summary and Interim Conclusions	
A. Project and Evaluation Synopsis	1
B. Interim Findings and Conclusions.	3
C. Interim Recommendation.	5
II Project Activities.	7
A. Project Goals and Objectives.	7
B. Overview of Agency Operations	8
III Evaluation Activities	10
A. Nature of Evaluation Activities	10
B. The Identification of Evaluation Measures and Data Sources.	11
IV Analysis of Probation and Parole Outcome.	14
A. Impact of Decentralization on Recidivism.	15
B. Comparison of Parole and Probation Outcome for Nine Sub-Offices with General Caseloads in Seven Parent District Offices.	18
C. Impact of Decentralization on Client Employment	31
D. Costs and Benefits of Parole Supervision.	36
V Analysis of Interview and Agent Referrals	38
A. On-site Visits.	38
B. Agents' Referral Forms.	43
C. Interviews With Regional Directors to Delineate Functional Roles.	45
1) Regional Director Role in Case Decision Flow.	45
2) Regional Director Role in Administrative Decision- Making.	47
3) Regional Director's Inter-Agency Functions.	47
VI Appendices.	49
A. Appendix I - Alternative Measures of Recidivism for State	50
B. Appendix II - Caseload and Recidivism Data by Month for 1973 and 1974	52
C. Appendix III - Parolee Arrest Data for Seven District Offices, 1974	56
D. Appendix IV - Regional Sub-Offices and Quarterly Employment for Four Quarters of 1974.	57

TABLE OF CONTENTS CONTINUED

<u>Chapter and Section Titles</u>	<u>Page Number</u>
E. Appendix V - Client Employment Status - Fourth Quarter, 1974	58
F. Appendix VI - Interview Guidelines.	59
G. Appendix VII - Interview Results for Community Agencies and Police	61
H. Guidelines for Preparing Agent Referral Forms	62

I EXECUTIVE SUMMARY AND INTERIM CONCLUSIONS

Project and Evaluation Synopsis

This evaluation summary was prepared to provide the executive with a brief overview of the interim report and highlight the preliminary findings, conclusions and recommendations forthcoming from the analysis.

The period under evaluation represents the fourth year of continuation funding for the "Regional Office - Sub-Office" LEAA Grant. This grant was designed to establish six regional offices and nine sub-offices which were intended to decentralize case decision-making, improve administrative efficiency, and to establish a more effective, localized service delivery system for the supervision of clients. The need for this administrative structure came about primarily because of the increasing demands for service being placed upon this previously small, centralized agency.

This evaluation of Regional Offices and Sub-Offices focused its attention upon the activities and client accomplishments of the sub-offices. Two evaluation activities predominated in the first half of the evaluation period leading to this interim report. They included the analysis of statistical data and the interviewing of sub-office and regional office staff.

Statistical measures of program performance and effectiveness were compiled and analyzed in the Central Office using the Board of Probation and Parole's statistical reporting system. The basis of this evaluation's design was a comparison of data on sub-offices' clients, and non sub-office clients with respect to probation and parole outcome measures. The measures selected for study included recidivism (return to prison), unconvicted parole violation, client arrest and client employment.

In order to provide a comparable population for comparison with sub-office clients, the district office general caseloads were isolated by the subtraction of all SRS¹ cases when compiling statistical measures for analysis.

Interviews were conducted at the regional office and sub-office levels to provide some information on accomplishments with respect to the less tangible objectives of the grant. Sub-Office interviews were intended to ascertain whether agents were better utilizing community resources, emphasizing family and group therapy, reducing extensive travel and investing more time into supervision so as to reduce recidivism and provide better protection for the community. Implicit in the overall objectives of sub-offices was a desire to improve the quality of services and consequently improve the rehabilitative effect of supervision.

Regional office directors were interviewed to identify and make explicit their operational roles and functions. Although the LEAA Grant had designated responsibilities for the regional office echelon, little empirical information was available concerning how they functioned in reality.

At the writing of this interim report, some aspects of the evaluation were underdeveloped and some were incomplete. The automated data collection system was not fully operational when the preliminary analysis was being done for the interim report and consequently could not be used. It is intended that this valuable resource will be used extensively in the preparation of a final evaluation. It is also intended that the interview process will be strengthened and extended to more exhaustively cover community based services which have contact with the sub-offices. To

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

overcome a shortcoming in the evaluation design, some interviewing will be done in non sub-office settings, i.e. district offices, to obtain comparable interview data. Also, the interview process itself will be strengthened by a more critical structuring of the questions to be asked so as to reduce subjectivity and facilitate more statistical analysis using scientific survey techniques.

It is believed that although the results of this analysis are necessarily tentative, they are highly informative and provide the foundations for continuing evaluative research in this project's performance and accomplishments relative to its objectives.

Interim Findings and Conclusions

1. Recidivism when defined as recommitments and revocations was found to decrease from before the grant period (1968-1971) to after the grant period (1971-1974) regardless of how it was measured. Three alternative measurements were made using new releases, total active cases served and total cases closed as a basis of analysis and the same conclusion prevailed. The decrease in recidivism may in part be attributed to the decentralization grant and in part to all other new programs instituted around this time.

2. Sub-offices were found to have high percentages of recidivists relative to total closures in comparison with general caseloads in district offices. It was concluded that the more localized service delivery system had enhanced the effectiveness of client supervision and consequently improved the detection of violations to the benefit of community security. This conclusion regarding more effective surveillance was substantiated with empirical evidence reported below in subsequent interim findings.

3. Sub-offices were found to have higher percentages of parolees in their caseloads than the general caseloads of district offices. The conclusion to be drawn from this finding is that the sub-offices may be carrying proportionately more difficult clients to rehabilitate since parolees were formerly incarcerated for committing more serious offenses in comparison with probationers who did not go to prison. Data limitations prevented a comparison of just parolee performance in sub-offices and the general caseloads of district offices.

4. Sub-offices were found to have higher percentages of clients arrested and classified as 'unconvicted violators' relative to average monthly caseloads when compared with general caseloads of district offices. It was concluded that this evidence supports the contention that sub-office agents who attempt to more closely supervise clients, are more aware of client activities and are providing more effective surveillance for the detection of violators and crime. This conclusion directly supports the second finding in this interim report.

5. Sub-offices were found to have significantly higher percentages of employed clients and lower percentages of clients dependent upon public assistance than general caseload clients in the district offices. It was concluded that the closer supervision of sub-offices has brought about a more successful reintegration of clients into their economic community as productive citizens than obtained by district offices. This contention was further supported by tentative client income data indicating higher earnings and more tax dollars were being generated by sub-office clients.

6. It was concluded that the integration of the sub-offices within the community has been accomplished as indicated by interview based

data. It was found that sub-office agents live within an average of 13 miles from their office implying that they are also closer to their clientele. Sub-office agents reportedly have reduced their travel time. A majority of sub-office agents had training in family relations and also more frequently use community facilities rather than county lock-ups. It was also found that sub-office agents were generally satisfied with their jobs, a factor which bears on motivation and morale.

7. It was found that employment was the most frequently cited client need in sub-offices (despite their superior record). Other frequently cited needs included job training, psychiatric counselling and drug and alcohol treatment.

8. It was found that sub-offices most frequently refer clients to the Bureau of Employment Security and to the Department of Public Assistance. On the average, 5.9 referrals were made each month by each agent in the sub-offices.

9. Regional directors were found to have assumed their responsibilities of parole and hearing decision-making. In addition, success was reported in establishing good inter-and intra-agency working relationships with the possible exception of the Department of Public Welfare and MH/MR since SRS validation has generated considerable burdens on them. A more detailed description is available in the analysis.

Interim Recommendations

1. For the evaluation, it is recommended that:

A. A more in-depth analysis of probation and parole outcome be undertaken using computer capability to more thoroughly differentiate project effects and analyze interrelated results;

B. A more refined interview format be developed to incorporate less subjective, more scientific survey methodology into the analysis, and expand the interview process to more community based service groups and district office agents; and

C. That the plan to accompany agents into the field for the purpose of observing and interviewing clients be abandoned as superfluous and unproductive.

2. It is recommended that the Board of Probation and Parole continue its policy of reducing the average sub-office caseload to 50 clients per agent by transferring state agents into sub-offices.

3. It is recommended that the Governor's Justice Commission continue support for funding a project that is showing considerable success in achieving its objectives and is providing significant benefit to the state-wide community.

II PROJECT ACTIVITIES

Project Goals and Objectives

The goal of the Board of Probation and Parole's LEAA-funded grant was essentially twofold: 1) the establishment of six regional offices within the Governor's Common Human Service Regions in order to provide maximum administrative efficiency through decentralized decision-making for expanded programs and services operating in a multi-agency environment, and 2) the establishment of nine sub-offices in order to provide for the decentralization of service delivery and a wider range of readily available, localized services. More specific objectives of the sub-offices included 1) placing agents in more localized geographical settings so that they could more closely supervise their clients and better utilize community resources, 2) placing an emphasis on family and group therapy as a tool for rehabilitation, 3) lowering of agent caseloads to allow for the investment of more supervisory time on individual clients and either reduce client recidivism or increase the identification of violators so as to better protect the community against crime, and 4) reducing extensive agent travel which is costly in terms of agent time, effort, conveniences and miles of road driving.

The intended functions of the regional offices are to 1) provide overall administration and direction for the region, including program development and implementations, 2) coordinate efforts with other agencies and 3) decentralize parole and hearing decision-making to accommodate increased case volume due to new regulations governing parole and court decisions. The Morrissey and Rambeau decisions have made it necessary for the agency to have violation hearings in the communities where the violations took place. Without decentralization, there would be a backup of case proceedings, thereby creating physical problems in various institutions throughout the Commonwealth

as well as legal problems since there are legal time limits set for case decision-making. The Board is continuing in its policy to decentralize decision-making to the areas of violation hearings, lodging of detainers, personnel and volunteer services and training programs. The regional directors, who also function as hearing officers, are intended to expedite the violation hearing process and thereby alleviate the backlog of case proceedings.

Overview of Agency Operations

The Pennsylvania Board of Probation and Parole is an independent State agency, directed by a five-person Board (currently with two vacancies), an Executive Director, and support staff located in Harrisburg. As a result of this grant, field staff are grouped into six regions, which are geographically nearly the same as the six 'human service' regions in Pennsylvania. Each region is headed by a LEAA-funded Regional Director, who is directly responsible to the Director of Field Services, who is in turn responsible to the Superintendent of Parole Supervision. The latter reports directly to the Executive Director.

Each region controls either one or two district offices, the latter being ten in number. Seven of these district offices have nine LEAA-funded branches called "sub-offices" located in small cities: York, Lancaster, Reading, Norristown, Scranton, State College, Sharon-Farrell, Aliquippa and Greensburg. There is a total of 26 parole agents who report to the supervisor of each sub-office; ten of these agents are paid by federal funds from the grant which is the object of this evaluation, two are paid from state matching funds and the remainder are paid from general state funds. In addition, one of the nine supervisors (Greensburg) is LEAA-funded.

Because each sub-office is an integral part of this project, this evaluation will focus on the entire sub-office program, including the state-funded agents and their caseloads. Dealt with separately in the study will be SRS¹ agents who occupy office space in the sub-office but who report to the SRS Unit Supervisor in the district office.

The existing field services historically were delivered from nine district offices located throughout the State of Pennsylvania. During the five years prior to the application for this subgrant, the Board experienced a tremendous increase in the number of cases supervised which seriously limited available resources and hindered the delivery of services necessary for the successful rehabilitation of the offender in the community. It became increasingly clear that they no longer could provide adequate services until such time as decision-making was decentralized closer to where the client was being supervised. On June 30, 1974, the Board was supervising a total of 11,712 cases which had increased from 6,107 in June, 1970. Of the 11,712 cases, 1,279 were supervised in nine sub-offices located throughout the Commonwealth. The agency hope was that the decentralization would provide for more meaningful service delivery and improve the morale of the agents.

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

III EVALUATION ACTIVITIES

Nature of the Evaluation Activities

The evaluation activities have consisted of several components. Statistical data relevant to the measurement of program performance was compiled and analyzed for the nine sub-offices as a group and compared with the general caseloads and SRS¹ units in the seven district offices which control the sub-offices. Site visits were made to all nine sub-offices and interviews made with all of their 26 agents using guidelines established to provide a standard interview format (see Appendix VI). Site visits were also made to four sub-offices with the purpose of interviewing community service agencies, police and courts in order to gauge the rapport established between the sub-office and the community. A standard interview format was used (see Appendix VI). Simple data forms were collected on a monthly basis from all sub-office parole agents to monitor referrals of clients to outside agencies, present needs of clients, and the use of group therapy. As of this writing, five of the offices have submitted these forms covering a one or two month period (see Appendix VIII).

Interviewing of regional directors was attempted to establish their functions within the agency and their role in decision-making. Three have been interviewed to date (see Appendix VI). Interviews of the Director of Field Services and Superintendent of Parole Supervision also were undertaken to obtain their views on decentralization and the role of the regional directors.

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

During the first four months of this evaluation activity (November 1, 1974 through February 28, 1975) a total of thirteen sub-office site visits and five other interviews have been conducted. This is well in excess of the three on-site visits per month required by the Governor's Justice Commission.

The Identification of Evaluation Measures and Data Sources

The most quantifiable evaluation measures of the extent to which program objectives have been accomplished are indicators of client violations and recidivism, client employment data and data on caseload size over time.

Clients per agent are reported on a monthly basis and are available for sub-offices since September, 1972, shortly after they became organized. Caseload had also been reported quarterly by district office for many years before the sub-offices existed. Implicit in the goal of reduced caseloads is the assumption that the more time an agent has available to spend with individual clients, the more he should be able to counsel each client and channel activities into socially acceptable patterns. Studies of the affect of agents' caseload size on recidivism have not been conclusive.² Some clients have been shown to benefit from the structured environment provided by intensive supervision while others cannot function and even rebel against the inherent constraints of close supervision.

Violation and recidivism indicators have been reported regularly for over a decade in the PBPP statistical reporting system. These include: 1) records of parolees recommitted to prison by the Parole Board on their original sentence, either with new convictions or for violations of the rules of parole (technical violations), 2) records of special probation/parole cases

²M. G. Neithercutt and D. M. Gottfranson, "Caseload Size Variation and Difference in Probation/Parole Performance", National Center for Juvenile Justice, Washington, D.C., 1974.

The statistical measure of client employment status was obtained from data which is collected quarterly from survey forms filled out by all parole agents statewide. Studies have shown that good employment adjustment correlates highly with success on parole/probation.³ Client employment is also an indicator of the sub-offices' ability to provide a better link with the locality and yield a more effective use of local resources. Reported on this survey are numbers of clients able and available to work, number employed full time, part time, and number receiving public assistance. Also available (for 5 of the 9 sub-offices) is a breakdown of the 1973 earnings of the clients under supervision. This is a figure which has been reported by district office since 1949.

The other less tangible goals of the LEAA Grant program cannot be measured easily in terms of quantified data. Instead, the success of intended functions such as integrating the agency into the community, reducing inconvenience, wasted time and travel time, emphasizing family and group treatment, and providing more effective use of local resources have been evaluated by utilization of interview techniques. When possible, responses to these interviews have been tabulated and quantified. The Regional Director component of the project has also been approached using this methodology. Questions directed to the Regional Directors and their supervisors in Central Office have been geared to determine their specific functions in the agency, and their role in caseload and management decision-making. Consequently, their contribution is essentially descriptive in nature rather than evaluative since little was known heretofore about how Regional Directors were functioning.

³See for example, Probation and Parole: Selected Readings, Edited by R.M. Carter and L. T. Wilkins, John Wiley and Sons, New York, 1970. pages 131-137; page 149.

IV ANALYSIS OF PROBATION AND PAROLE OUTCOME

It has been suggested by previous evaluations that the creation of sub-offices and the decentralization of caseload supervision has had a positive impact upon recidivism and the likelihood of successfully reintegrating the offender into society. The two most commonly used measures of program effectiveness and the reintegration of offenders in previous studies has been the number of clients who were returned to prison and the number of clients found to be employed and earning a living. These measures will also be used in this evaluation. However, since this project is in its fourth year of continuation funding, the emphasis of this evaluation was not to demonstrate the impact of the project using the customary before-after method of evaluation. Instead, this report evaluates the ability of sub-offices to bring about higher levels of performance with respect to the supervision of clients and analyzes the outcome of sub-office probation or parole experiences.

Since Regional Offices do not provide direct client services, the evaluative focus must necessarily be on the sub-offices as compared to the general caseloads in the District Offices which existed prior to the implementation of the grant. For this portion of the evaluation, it is assumed that the coordinating activities of regional offices are indirectly reflected in the probation and parole outcome results reported here. Given the interim nature of this report, it should be kept in mind that the results shown here are preliminary and are subject to the inherent weaknesses found in all information which is based solely on summary statistics in a manually reported data system. The future availability of a computerized client data system may modify conclusions derived from limited summary data.

Impact of Decentralization on Recidivism

As a point of departure, we reviewed the evaluative approach taken by Meta-Metrics, Inc., of Washington, D.C.⁴ in the previous evaluation period. The Meta-Metrics approach compared the statewide failure rate of Pennsylvania parolees (recommits) for the five years prior to decentralization by regionalization (1967 through 1971) to the three years following decentralization (1971 through 1973).⁴ As a base for determining recommitment rate, they used the total number of recommitments for each calendar year divided by the number of persons released on parole/reparole that year. To smooth out time base data fluctuations, they averaged percentages for the first five years (1967-71) and the last three years (1971-73). Their two respective averages were 31.2% and 22.7%. After discovering that some of Meta-Metrics' data were incomplete, we recalculated these averages and found them to be 32.3% and 25.2% respectively. Both of these decreases in recommit rate are significant to better than the 0.001 probability level suggesting that these differences were not due to chance.

The Meta-Metrics' final report was published in July of 1974 and consequently did not include 1974 data. Table I reproduces the Meta-Metrics analysis including 1974 and recomputes average recommitment rate based upon the five year period before and the four year period after the project began. The new computation did not change the basic conclusion that there has been a significant decline in parole recommitment when viewed as percent of new cases each year.

⁴Evaluation of Regional Offices and Sub-offices of the Pennsylvania Board of Probation and Parole", DS-36-724/E, Final Evaluation Report, Meta-Metrics, Inc., Washington, D.C., April 11, 1974.

TABLE I: PAROLE OUTCOME BY YEAR 1967 to 1974

Calendar Year	New Parole and Reparole	Parolees Recommitted	New Parole and Reparole Three Year Average	Percent Recommits of Average New Cases
1967	2,111	665	2,162*	30.8
1968	1,956	709	2,073*	34.2
1969	1,750	647	1,939	33.4
1970	2,090	738	1,932	38.2
1971	2,897	571	2,246	25.4
1972	2,620	581	2,536	22.9
1973	2,481	730	2,666	27.4
1974	2,667	686	2,589	26.5

32.3 - 5 yr. average
 25.5 - 4 yr. average

Since well over one third of sub-office caseloads are probation cases, Table II applied the same procedure of evaluation to the State's special probation cases. As noted, probation cases also experienced significant decreases in the proportion of revocations after the onset of the State's program of decentralization. More importantly, this evaluative procedure demonstrated (Table III) a significant decrease in the proportion of all cases returned to prison relative to new cases added for supervision after the decentralization grant was implemented. Overall, a comparison of four years before with four years after revealed that recommitments and revocations decreased from 29.7% of new cases added to 20.7%.

TABLE II: PROBATION OUTCOME BY YEAR 1968 to 1974

Calendar Year	Probation Added	Revoked	Three Year Probation Average	Percent Revoked
1968	458	70	339**	20.65
1969	605	92	473**	19.45
1970	909	143	657	21.8
1971	1,381	133	965	13.8
1972	2,103	175	1,464	11.95
1973	1,983	253	1,822	13.9
1974	2,146	252	2,077	12.1

18.9%
 12.9% (4 year averages)

*FY 1965 and 1966 used to compute moving averages.

**FY 1966 and 1967 used to obtain moving averages.

TABLE III: OVERALL IMPACT OF NEW PROGRAMS MEASURED BY RECIDIVISM PERFORMANCE

Calendar Year	Probation and Parole Added	Returned, Revoked or Recommitted	Percent Returned of New Additions
1968	2,412*	779	32.3%
1969	2,412*	739	30.6%
1970	2,589	881	34.0%
1971	3,211	704	21.9%
1972	4,000	756	18.9%
1973	4,488	983	21.9%
1974	4,666	938	20.1%

29.7%
 20.7%
 (4 year averages)

Several alternative methods of measuring changes in recidivism over time were also examined. One method, a comparison of recommitments and revocations with the total cases supervised during a year, showed a significant decrease in the proportion being returned to prison (see Appendix IB). Using moving averages, the data revealed a drop from an average of 14% of all active cases being returned to prison during the four years prior to decentralization, to only 9.8% being returned on the average after implementation of the grant program. A second alternative method which is not affected by new additions to the caseload during a year, is a comparison of the total unsuccessful cases with the total number of cases closed, or the sum of successes and failures (see Appendix IC). Although these results were not as dramatic, a significant decrease in the percentage of clients being returned to prison was observed. Whereas an average of 30.9% of the cases closed during 1968-71 were returned to prison before decentralization, an average of 28.5% of all case closures were returned to prison after the grant program began.

It is entirely possible that decentralization and regionalization, made possible by the LEAA grant, contributed to this significant decline in the proportion of parolee recommitments and probation revocations. However,

*FY 1966 and 1967 used to obtain moving averages.

other LEAA projects as well as changing Board criteria for recommitting parolees, and the more recently instituted SRS program, could also have been contributing factors. More sophisticated evaluative research techniques which are capable of determining the unique contributions of various factors are naturally dependent upon the availability of data and resources to manipulate it. By the completion of this evaluation funding period, a recently installed automated information system will increase our evaluative research capabilities considerably. For this interim report, a hand tabulation of summary data utilizing a somewhat more sophisticated research design than heretofore attempted, has produced some fruitful results.

Comparison of Parole and Probation Outcome for Nine Sub-Offices with the General Caseloads in Seven Parent District Offices

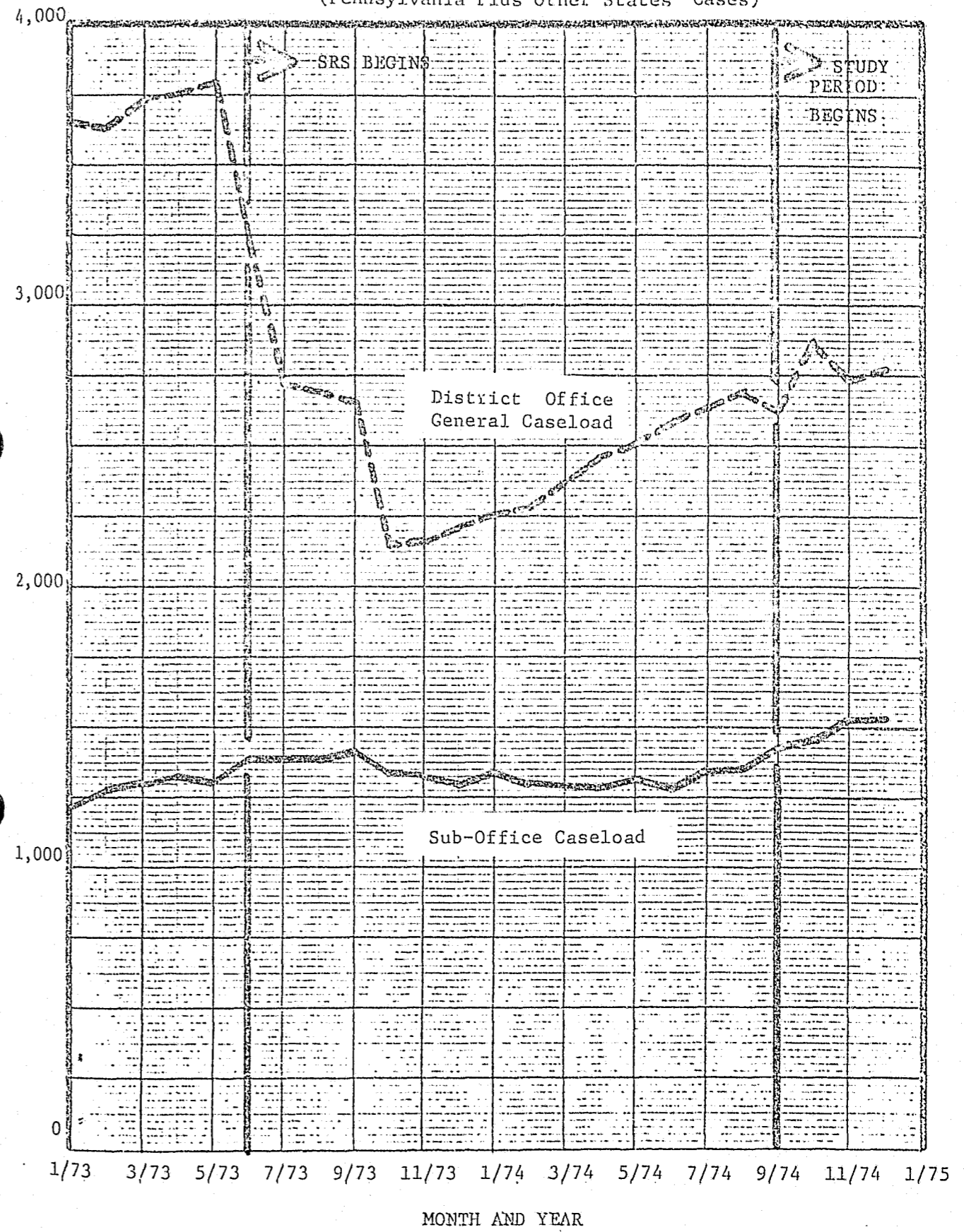
Sub-office clients and non sub-office clients in the seven PBPP district offices which receive LEAA funding were compared as to the proportion of clients who were returned to prison of the total cases closed during 1974. Those cases which were closed successfully represent clients who completed their period of supervision without violation of the law or the conditions of parole.

Before analyzing sub-office and district office case outcome, some adjustment to district office caseload is necessary to account for special cases being served by the Social Rehabilitation Services of HEW. Special SRS units were created in 1973 to serve clients with multiple problems or handicaps, such as, drug addiction, alcoholism or welfare dependency. To control for these differences in caseload composition, SRS clientele were separated from the District Office caseload. The remaining 'comparison group' therefore consisted only of the District Office 'general caseloads'. To guarantee a large population size for analysis (in order to achieve statistical significance), all

Figure I.

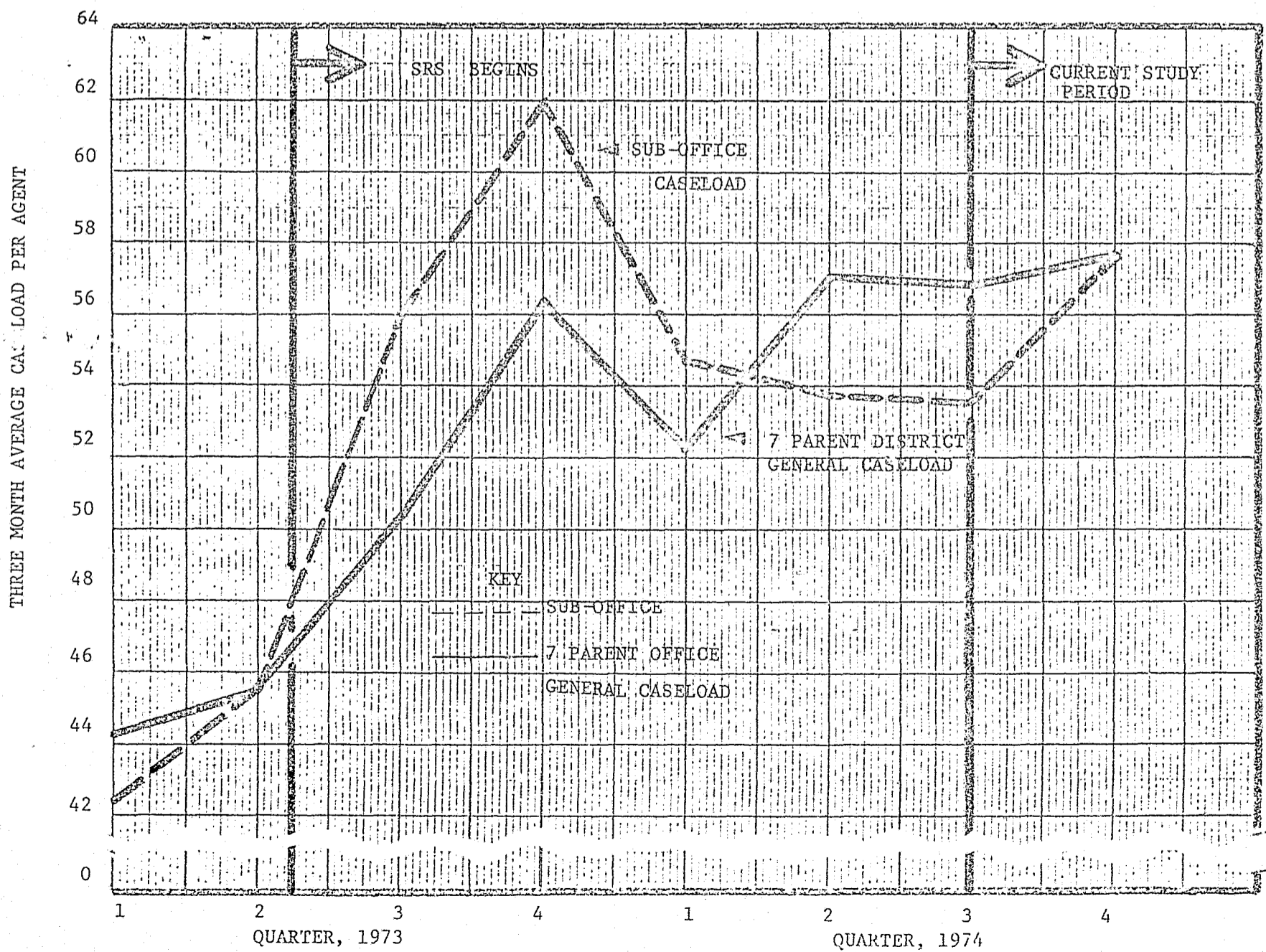
TRENDS IN TOTAL CASELOADS

(Pennsylvania Plus Other States' Cases)



nine sub-office caseloads were combined as were all seven district office general caseloads. It will be assumed that the fraction of the general caseloads which is SRS eligible but not assigned to SRS will be approximately the same as that for the sub-office caseloads; this assumption will be tested later. Philadelphia and Chester are excluded from this group because they have no sub-offices which are funded by this contract. The sub-office and comparison groups will still not be well matched because many general caseload clients will reside in urban ghetto areas, notably in Pittsburgh. However, all of the seven general caseloads also cover extensive rural areas, which should to some degree offset the urban effect of Pittsburgh clientele.

The total population of the sub-offices has remained fairly stable over the last two years, except for recent growth. This is not true for the general caseloads. Figure 1 shows the trends in the general caseloads and the sub-office caseloads as a function of time for 24 months beginning January 31, 1973. Included in these caseloads are Pennsylvania Parolees, Special Probation and Parole Cases, and cases supervised in Pennsylvania offices for other states. The general caseloads in the seven parent district offices (Pittsburgh, Harrisburg, Wilkes-Barre, Williamsport, Erie, Allentown, and Butler) include all cases except the nine LEAA assisted sub-offices and SRS cases. The abrupt decline in the general caseload beginning June, 1973 is a result of the start of the SRS program. This decline continued until October, 1973 after which time the general caseloads resumed a steady growth of about 50 cases per month. The total caseload in the nine sub-offices exhibited relatively little change until June, 1974 when it began to grow at about 40 cases per month to the present. The Johnstown sub-office, which was started by LEAA funds as part of this program, is not included as this office became an SRS unit in October, 1973. The Altoona District Office, which is the parent office for Johnstown, is likewise excluded from the analysis. The accelerated inflow of new cases naturally has had some



TRENDS IN TOTAL CASELOAD PER AGENT

Figure 2

impact upon agent caseloads. Figure 2 indicates the quarterly average case-load per agent over the same 24-month period.

It is noteworthy that during and slightly after the organization of SRS, the caseloads per agent (which include other states' clients) increased markedly in the general caseloads and especially in the sub-offices. The disruptive effect of the SRS program starting up is clearly evidenced in Figure 2. However, toward the middle of 1974 the sub-office caseload dropped below 54 clients per agent. Steps are currently being taken to reduce the sub-office caseloads below 50 by transferring state-funded parole agents from parent district offices into the sub-offices. As of this writing, the latest data available are for December 31, 1974. However, the final progress report will clarify how successful the agency is in reducing the LEAA caseloads below the stipulated 50 clients per agent. Nevertheless, both the growth rate of new cases and the caseloads per agent must be taken into account when considering the relative outcome of supervision.

In light of the growing caseload, a comparison of relative probation and parole outcome is best assessed using total case closures as a basis of analysis. Table IV shows the number of clients who were returned to prison as a percent of the total case closures for the sub-offices, general caseload and SRS caseload during calendar year 1974.

TABLE IV: ANALYSIS OF CASES CLOSED IN 1974

Client Populations in Study	Successful Closure	Unsuccessful* Closure	Annual Total Closure	Percent Closed Unsuccessful
7 District Offices General Caseload	635	182	817	22.3%
9 Sub-Offices	324	135	459	29.4%
SRS Caseload	512	144	656	21.9%
Study Totals	1,471	461	1,932	23.8%

$\chi^2 = 10.23, df = 2, p < .01$

*Recidivism - return to prison.

For the nine sub-offices funded by this grant, 29.4% of all their cases closed during 1974 were returned to prison in comparison with 22.3% for the general caseload in the district offices and 21.9% of the SRS cases. A chi-square test to determine if the differences between the case closure groupings was related to successful or unsuccessful closure was statistically significant. This implied that the differences between sub-offices, general caseloads and SRS in the proportion who failed or succeeded were not due to chance. A chi-square test of the sub-offices success or failure in relation to the D.O. general caseload alone was also highly significant ($\chi^2 = 8.013$, $df = 1$, $p < .01$). It is clear that parole and probation outcome in terms of the proportion of unsuccessful closures is higher for sub-offices than for non sub-office clients regardless of whether SRS cases are included. The reason for its higher proportion of case failures relative to total closures is not readily apparent. This observation should not necessarily be interpreted negatively, however, for the statewide recidivism data previously described, decreases in 1974 for all of the measures discussed. It is possible that the relatively closer community relationship developed between sub-office agents and local service or law enforcement agencies, as suggested in our interviews, has heightened the detection of client violations and hence reduces crime by potential offenders. Thus, the apparent benefit of more successful parole outcome from closer supervision may be offset by more effective surveillance and crime detection. Another possibility is that there exists a substantial difference in caseload composition in sub-offices which affects comparative parole outcome in an adverse way. This alternative is pursued in more detail below using available summary data.

Studies conducted by the Pennsylvania Board of Probation and Parole have consistently shown that special probation and parole cases have proportionately greater number of successes (see Tables I and II) than do Pennsylvania parolees. Available summary data shows that the general caseloads (D.O.) have a higher proportion of probation cases (45.8%) than do the sub-offices (37.7%). One would expect this difference to be a factor in determining which group would have the more favorable performance with respect to success. Table V shows the 1974 monthly average caseloads for probation and parole cases in sub-office, district office general and SRS caseloads.

TABLE V: PROBATION AND PAROLE CASELOAD DISTRIBUTIONS

Client Population in Study	Probationers 1974 Mthly Average	Percent of Pa. Total	Parolees 1974 Mthly Average	Percent of Pa. Total	Total Pa. Clients 1974 Mthly Average
7 District Offices General Caseload	1,037	45.8%	1,223	54.2%	2,260
9 Sub-Offices	451	37.7%	744	62.3%	1,195
7 District Offices SRS Caseload	684	38.4%	1,098	61.6%	1,782
Study Totals	2,172		3,065		5,237

$$\chi^2 = 31.99, df = 2, p < .001$$

A chi-square test of type of case and type of office indicates a significant difference between sub-office and district offices in their caseload composition with respect to probation or parole. Visual inspection of the table reveals a similar proportion of probation cases in the sub-office and SRS caseload but a considerably larger proportion in the district office general caseload. This high proportion of probation cases among district office general caseloads accounts for the high significance indicated with a chi-square test. Since probation is for less serious offenders and previous analysis has demonstrated their greater likelihood of successful outcome, the relative

concentration of probation cases in district office general caseloads in part explains why district office general caseloads have had a lower overall percentage of failures among case closures during 1974. Had there been summary data available which allowed us to separate successful parole discharges from successful probation discharges, a comparison of the percentage of parole failures in parole case closures and the percentage of probation failures in probation case closures among both sub-offices and general caseloads would have been made to demonstrate the effect of probation cases on the overall percentage of failures in a closure group. By the end of this evaluation period, data available on the recently established automated information system will enable us to separate parole discharges from probation discharges to answer the question of the effect of probation and parole composition on rate of case failure among case closures.

An alternative explanation of higher proportions of case failures among sub-offices was based upon the assumption that closer community relationships with service and law enforcement agencies had improved sub-office detection of violations among offenders under supervision. There are several means of determining whether sub-offices are more effective in the detection of criminal and technical violations among offenders. One practical method is to compare rates of arrest among offenders in sub-offices with arrests in the general caseload clients in district offices. A second method is to compare the numbers of clients in sub-offices and district offices who are classified by their agents as 'unconvicted violators' pending Court or Board decisions on guilt and disposition. If sub-office agents are located physically closer to their clients, they would be expected to be more aware of their client's activities. Evidence of pre-criminal behavior such as job absenteeism, purchase of firearms, excessive drinking or use of narcotics, which are technical violations of parole, would result in arrests by agents to remove them from

CONTINUED

2 OF 3

the streets and protect society from future lawbreakers. Also closer community contact should result in better relationships with police who might be expected to report to agents their clients' minor criminal activities and new offenses which might go unnoticed in a larger, more centralized system of supervision. The more frequent use of the agent's arrest power in the sub-office might also explain higher employment rates which were found among sub-office clients. This will be discussed later in the interim report.

Expressing arrests as a percent of sub-offices and district offices, average monthly caseloads provided clear evidence that sub-office agents are more frequently detecting client violations, or at least using their powers of arrest more often. Table VI compares sub-office and district office general caseloads' parolee arrests per year for 1974 with their average monthly caseloads.

TABLE VI: PAROLEE CLIENT ARRESTS AS A PERCENT OF AVERAGE MONTHLY CASELOADS

Client Populations in Study	Arrests		Average Monthly Caseload (Parolees)	Percent NC* of Average Monthly Caseload	Percent TPV** of Average Monthly Caseload
	NC*	TPV**			
7 District Offices General Caseloads	305	94	1,223	24.9%	7.7%
9 Sub-Offices Caseloads	260	104	744	34.9%	14.0%
7 District Offices SRS Caseloads	439	203	1,098	40.0%	18.5%

As the data demonstrates, sub-office parolees are arrested more frequently than general caseload parolees for technical parole violations and for new charges by the police for criminal activities. With a student's 't' distribution, these proportions were found to be significantly different

*New Charge

**Technical Parole Violation

and not due to chance. The idea that the more effective supervision of clients in sub-offices resulting in higher rates of arrest is further supported by examining the arrest data in district office SRS caseloads. SRS cases which are limited to a maximum of 40 clients to an agent, had significantly more arrests relative to an average monthly caseload than did sub-offices. The conclusion then is that when programmatic means are provided to more effectively supervised clients, prospective recidivists are more apt to be identified and arrested for their crimes.

Arrests themselves, regardless of whether they are for technical or criminal violations, are early warnings in the statistical system of potential case failures. If a charge stands and the prospects for a client being returned to prison are good because of an arrest, an agent serves formal notice on the Board by recording a client in the status of an 'unconvicted violator'. An 'unconvicted violator' is defined as a parolee or probationer who has been arrested for either a new charge or for technical violations, and is awaiting disposition of the allegations against him. He may be detained or set free on bond. In this status, he has not been recommitted, nor has his probation been revoked. Being classified as an unconvicted violator, however, does not guarantee a client's return to prison. In 1974, for example, there were twice as many "UCV's" recorded (1,042) as there were final commitments and revocations together (461). Thus, the 'unconvicted violator' status is the agent's official warning of a potential return to prison. If sub-offices are classifying more of their caseloads in the 'unconvicted violator' status, a comparison of 'unconvicted violators' in sub-offices and district office general caseloads should provide further evidence of the effects of closer supervision in a more decentralized system of supervisory services.

Table VII compares sub-offices and district offices in this evaluation in terms of the number of 'unconvicted violators' reported in 1974 as a percent of their average monthly caseloads.

TABLE VII: UNCONVICTED VIOLATORS AS A PERCENT OF AVERAGE MONTHLY CASELOADS

Client Populations in Study	Unconvicted Violators	Average Monthly Caseload	Percent UCV of Average Caseload
7 District Office General Caseloads	333	2,260	14.7%
9 Sub-Office Caseloads	251	1,195	21.0%
7 District Office SRS Caseloads	458	1,782	25.7%

The differences between the sub-offices and district offices general caseload in their percentages of unconvicted violators in relation to their average monthly caseloads were striking: 21.0% of the sub-offices average monthly cases in comparison with 14.7% of the general caseloads. By means of statistical significance tests, it was found that there is less than a 1% chance that this difference was random or accidental. Since the 'unconvicted violator' data parallels the results observed with arrest data, the same conclusion can be drawn. Closer client supervision has resulted in more frequent arrest for the sub-office client and increased the likelihood that sub-office clients will be classified as 'unconvicted violators.' Since sub-offices also evidenced a higher proportion of their case closures in 1974 terminated as recidivists returned to prison, it may be reasonably assumed that higher likelihoods of arrest and being classified as 'unconvicted violators' results in proportionately higher returns to prison for the sub-office caseload. This is caused primarily by the ability of sub-office agents to more

closely supervise their clients in comparison with general caseload clients in the district offices.

Given the above conclusion about sub-offices in comparison with general caseloads in district offices, it may be wondered why the 1974 SRS caseload in district offices showed relatively lower percentages of clients being returned to prison when SRS cases were more frequently arrested and more likely to be classified as 'unconvicted violators' in the Board's statistical records during the same period of time. The expectation that proportionately more SRS cases would be arrested and classified as 'unconvicted violators' is consistent with the conclusions being drawn here since SRS caseloads are required by law not to exceed 40 cases per agent and consequently more likely to receive closer supervision than clients being served in either sub-offices or the general caseloads of district offices where the average caseloads are higher. However, when one examines Table IV, relatively fewer SRS closed cases represented recidivists being returned to prison. The reason for the SRS caseload's relatively lower percentage of cases being returned to prison will become apparent if one considers when the SRS program began and the length of time it takes for an arrested client to be classified an 'unconvicted violator', tried and recommitted to prison by the Board. In fact, there is a considerable lag from the time of arrest to the time of recommitment; therefore, recommitments and revocations reported in 1974 generally reflect offenders who were arrested in 1973. The SRS program actually began providing client services in mid-1973 and experienced an average monthly growth rate over a six month period that was over twice as large as the overall rate of growth in cases in the Board of Probation and Parole.* Therefore, it might be expected that recommitments reported for SRS in 1974 were understated since they were being drawn from a

*There were an average of 211 additional SRS cases per month in the latter half of 1973 in comparison with only an average monthly growth of approximately 100 new cases for PBPP as a whole.

relatively small but rapidly growing population of offenders who did not have equal amounts of time to go through the entire process of arrest to recommitment.

The presence of statistical reporting time lags in the process of returning a client to prison consequently accounts for the relatively lower percentage of failures being evidenced in 1974 for SRS's new 1973 caseload.

A comparison of the percentage of unsuccessful closures in SRS caseloads with sub-office caseloads and general caseloads in the district offices for 1975 should be a more accurate measure of relative returns to prison in light of varying degrees of close supervision and involvement with a community. Since arrests and "UCV's" were higher for SRS caseloads in 1974 than for either sub-offices or general caseloads in district offices, this interim evaluation predicts a descending rank ordering of SRS cases, sub-office cases and general cases in district offices for the percentage of total closures in 1975 who were returned to prison. The final evaluation of the sub-office program of decentralization will attempt to substantiate this analysis of probation and parole outcome with more detailed statistics that follow sets of offenders in each organizational population and ascertain relative levels of case failure for comparable groups of closures in 1975. Since judges in sub-office areas may operate on slightly different philosophical precepts than judges located in the larger urban district office areas, some attempt will be made to focus interview data collection on the flow or process of bringing about a probationer's return to prison.

In conclusion, this interim evaluation has found that sub-offices have significantly higher proportions of their clientele being arrested and being classified as 'unconvicted violators', and more importantly from a viewpoint of program impact, higher percentages of its closed cases were unsuccessful.

and returned to prison in comparison with parent district office general caseloads for 1974. SRS caseloads in the same district offices had lower percentages of unsuccessful closures but higher arrest and new 'unconvicted violator' classifications which will probably be reflected in higher rates of recommitment and revocation for 1975. The higher arrests and returns to prison in the sub-offices in comparison to the general caseloads in the district offices was attributed directly to the sub-office agent's increased awareness of his client's activities and to improved cooperation with police and other members of their community who are concerned with crime and the problems of supervising an offender on the streets to the benefit of society.

Impact of Decentralization on Client Employment

Employment stability is an important factor in Probation and Parole adjustment and a good indicator of the extent to which clients have been successfully reintegrated into society. The Board of Probation and Parole conducts an employment survey every three months to obtain an assessment of the extent to which the objective of employment is being realized among its clientele. Client employment status is reported by agents on an agent case-load basis as summary statistics. As of calendar year 1975, this data will be gathered from agents on a client-by-client basis using the Board's new ADP system as a tool for data collection.

Table VIII presents a comparison of client employment status for sub-office caseload, district office general caseload and the SRS caseload as of December, 1974. This time period reflects the most current available data within the evaluation time frame. An employment table containing actual numbers appears in Appendix IV.

TABLE VIII: CASELOAD EMPLOYMENT STATUS, DECEMBER, 1974

Client Populations in Study	Percent Employed Full Time of Total Able to Work	Percent Employed Part Time of Total Able to Work	Unemployed DPA Of Total Able to Work
7 District Office General Caseload	71.2%	5.4%	8.8%
9 Sub-Office Caseload	81.8%	2.4%	4.0%
7 District Office SRS Caseload	65.3%	5.4%	22.8%
Total Cases	69.5%	4.7%	11.9%

The data indicates that proportionately more clients in sub-offices are employed full time in comparison with general caseloads and SRS cases in the district offices. Nearly eighty-two percent of the sub-office clients who were able to work had full time employment in the last quarter of 1974 while only seventy-one percent of the general cases in district offices were fully employed. Excluded from the analysis as 'unable to work' were absconders, retired persons and clients imprisoned, hospitalized or disabled. Although the percentage of cases employed part time was lower for sub-offices, the apparent effect of sub-office supervision on employment in general was that 84.2% of its caseload was employed as compared with only 76.6% for the general caseload and 62.6% for the SRS caseload. Are these differences significant, or did they occur by chance? A chi-square test of the number of clients employed and unemployed revealed, as the percentages themselves suggest, that the differences between sub-offices, district offices and SRS caseloads were highly significant. Even when SRS cases are excluded and the test is made between sub-offices and district offices alone statistical significance is obtained (see Appendix V). High statistical significance suggests that the differences in employment status between sub-office and non sub-office clients results primarily from decentralization. The sub-office clients' higher performance further

implies that employment is associated with sub-offices rather than district offices.

Since the data examined above represents one slice of time within the evaluation time frame, the question arises as to whether the sub-office performance is merely a reflection of when we happened to measure comparative levels of employment. Employment data was available on a quarterly basis for a two year period consisting of calendar 1973 and 1974. Using a simple regression technique to estimate a linear relationship over time, the number of clients employed was estimated as a function of the total number of clients able to work during a quarter for district office general cases and sub-offices. The results of these two least squares estimates are shown in Table IX.

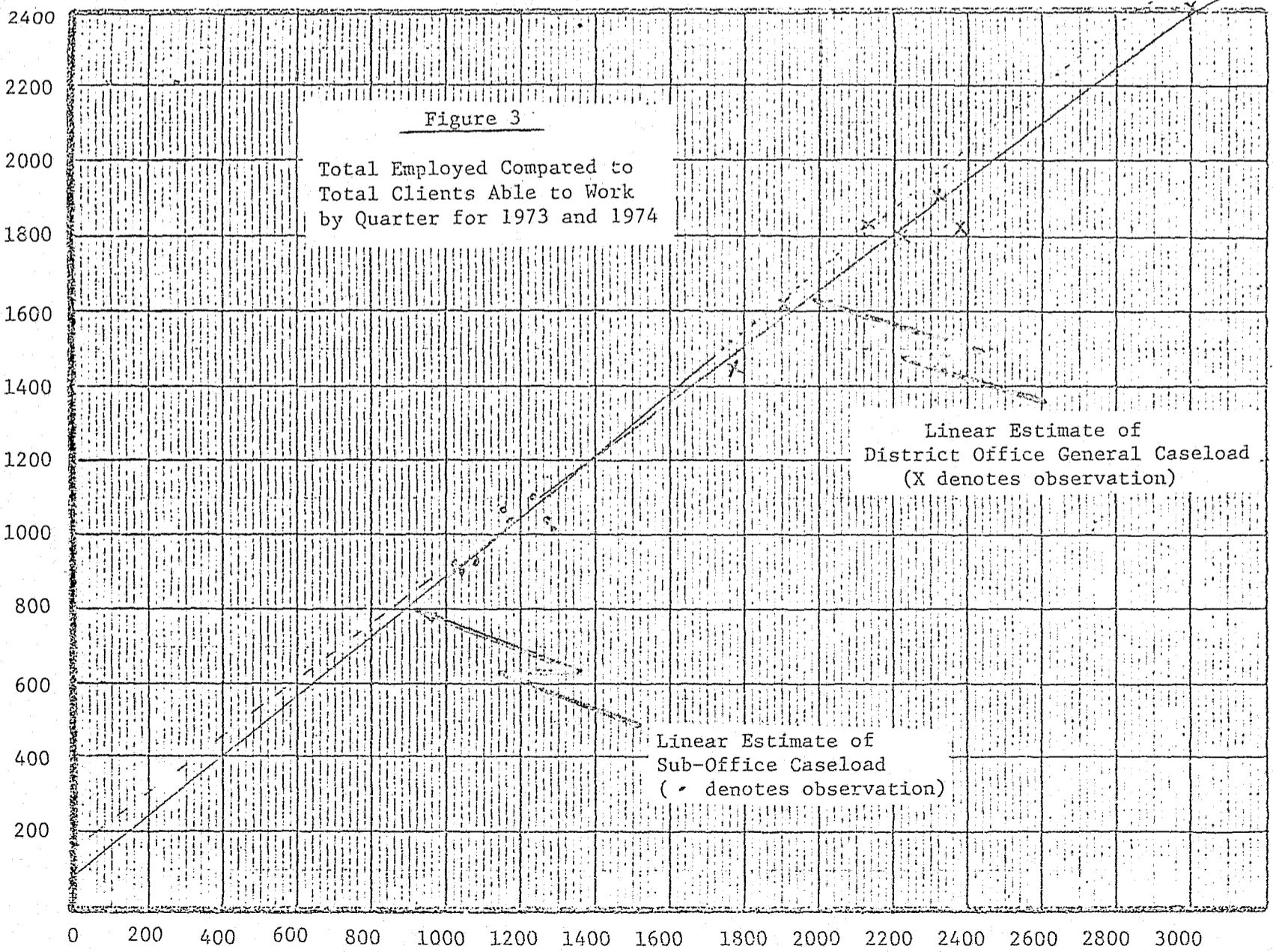
TABLE IX: SIMPLE REGRESSION OF CLIENTS EMPLOYED ONTO TOTAL CLIENTS ABLE TO WORK BY QUARTER FOR 1973 and 1974

Y	X	Slope	Intercept	Correlation	t	df (n-2)
Number Employed Sub-Office	Number Able to Work Sub-Office	+0.770	+122	.953	14.7	6
Number Employed District Office*	Number Able to Work District Office	+0.755	+138	.986	7.75	6

The least squares estimates demonstrate that sub-offices have been consistently more effective in maintaining higher levels of employment than the district office general caseload. Figure 3 graphically illustrates these linear estimates. The correlation coefficients for both estimated equations were very high indicating that the number of clients employed can be predicted from the number of employable clients available. For every one hundred employable clients, sub-offices have had 77 working as compared with only 75.5 in district office general caseloads.

*Excludes SRS

EMPLOYED CLIENTS



EFFECTIVE ABLE CASELOAD

There are several possible explanations for the sub-offices better performance with respect to client employment. One possibility is that the location of sub-offices are in geographic areas with generally more employment opportunities and lower levels of unemployment in the populace. However, since District Office general caseloads tend to be located in more urban areas where industrial activity tends to concentrate, this possibility appears to be remote. More plausible is the possibility that sub-offices with their closer community ties, as suggested by our interviews, and their improved capabilities for more effective surveillance, as suggested by our recidivism data, have greater influence on clients to stay working when they begin to manifest signs of instability or a return to criminality. This interpretation will be explored and tested more fully before the conclusion of the evaluation period. At present, based upon the limited data available, the conclusion remains that sub-office clients are more likely to be working for reasons not specified to date.

A second related means of assessing sub-office performance in reintegrating the offender into society is the extent to which welfare dependency is reduced. Available data on levels of welfare dependency are a revealing means of assessing whether a decentralized service delivery system has affected client self-support. Table VIII indicated that proportionately fewer sub-office clients were unemployed and dependent upon public assistance. During the fourth quarter of 1974, 8.8% of the district office general 'able to work' caseload were unemployed and dependent upon public assistance while only 4.0% of the sub-offices caseload were unemployed welfare recipients. The SRS 'able to work' caseload in the district offices under study had 22.8% of their cases on public assistance. Since public assistance dependency is a requirement for eligibility in the SRS program, this relatively high percent is understandable.

In writing this interim report, it was realized that there are limitations in the data being used in the analysis. The impact of parole supervisory services on public assistance dependency can be better demonstrated by learning more about the kinds of public assistance received, the degree of dependency and the relative reduction in dependency as a result of better parole services. With improved data collection instruments becoming available, the evaluation will answer some of these questions in the final report.

Costs and Benefits of Parole Supervision

The cost of incarceration has been estimated as being ten times the cost of parole supervision. In addition to these savings to society, there are financial benefits from supervision and reintegration of ex-offenders into the community. They are the earnings derived from the productive employment of ex-offenders and the tax dollars that they generate. All parole agents are responsible for inspecting W-2 forms of all of their active clients annually, compiling the total earnings of all their clients, and submitting the figure to their supervisor. Where the client is self employed or W-2 forms are not available, the client is asked to estimate his earnings for the preceding year. At the writing of this interim report, complete data on all clients were not available since 1974 income tax returns are not due until April 15. However, some information was available for calendar year 1973 so that a comparison of earnings and tax dollars could be made between sub-office clients and clients in the general caseload.

For calendar year 1973, separate data is available for five of the nine sub-offices: Aliquippa, State College, York, Lancaster and Greensburg. Figures are also available for the general caseloads (excluding SRS) of the four parent district offices. The sub-office total was \$1,885,478; for the

general caseloads, \$5,552,796. In July, 1973 these five sub-offices had 527 clients who were classified as 'able to work' and 443 (84.2%) employed full or part time. In contrast, the four parent offices with general caseloads had 2,008 clients classified 'able to work' and 1,554 or 77.3% employed. These figures demonstrate again the fact that sub-offices appear to be more successful than district offices in promoting productive employment for their clients. Our earlier analysis corroborates this conclusion which was based solely on 1973 data. It may be estimated that the average annual income for the 443 working sub-office clients was \$4,250, while the average annual income for the 1,554 working clients in the general caseload was only \$3,578. This difference in estimated average income of \$680 per annum suggests that sub-offices may be finding their clients higher paying jobs than those being served in general caseload. With the 1974 tax returns being submitted during the next month, it is our intention to study the earnings of each program group so that a more definitive determination of client earnings and tax dollar benefits might be made which may be compared with the program's costs.

As an illustration of the possible usefulness of earnings and tax information for evaluation purposes, the following preliminary analysis was made. If the estimated average difference of \$680 per annum for sub-office and general caseload clients were applied to all nine sub-offices and their seven parent offices, a total of \$744,500 more taxable dollars would be earned by (1,096)* sub-office clients. At the average Federal income tax rate of 12.1% and a State income tax rate of 2%, these appreciably better earnings would amount to a tax benefit of \$105,000. More importantly, based on 1973 tax returns, over a million tax dollars was generated from offenders' earnings which implied a good return on benefits relative to the cost of the program.

*Total employed clients in nine sub-offices.

V ANALYSIS OF INTERVIEWS AND AGENT REFERRALS

On-Site Visits

On-site visits were conducted for the purpose of interviewing parole agents and supervisors. The objective of these interviews was to measure the degree of success the sub-offices achieved in integrating the agency into the community. Although this interview data tends to be subjective, it can be very useful when logically compiled and analyzed.

A total of 26 agents were interviewed in the nine sub-offices, 11 of whom had originally worked out of the seven parent district offices. All but one of the agents was found to live within territory served by the sub-office. Sub-office territory was found to consist of one or two counties with the exception of the Greensburg sub-office territory which extended into the eastern portion of Allegheny County from Westmoreland County. The 26 agents interviewed were estimated as residing within an average of 12.7 miles from sub-office headquarters with a standard deviation distance of 9.5 miles. An agent's residence ranged from 1/2 to 40 miles from sub-offices. A more meaningful indicator of "getting agents closer to their clients" would be the distance of an agent's residence to his caseload since most agents make their rounds directly from their homes, if convenient, except for their days in the office. This would be difficult to assess because of the wide dispersion of many caseloads and the problems inherent in estimating distances. An exception would be instances where an agent's caseload is largely located in one local area, such as the same municipality where the sub-office is located. An attempt to gain more concrete information should be made in the future. Nevertheless, since 14 of the 26 agents lived 10 miles or less from their sub-office, it would appear that the agents are probably closer to their clients than they were under the old district office system.

Table X summarizes the results of the first portion of the agent interviews. Most of the responses appear quite favorable to the objectives of this project.

TABLE X: AGENT INTERVIEWS

	<u>Yes</u>	<u>No</u>	<u>N/A</u>	<u>Can't Decide</u>
1. Do you live within sub-office territory?	24	1		1
2. Are all of your clients in sub-office territory?	23	2		1
3. What percent aren't?*				
4. Since you moved from the District Office to the sub-office, is the percentage of completed client contacts				
a) higher than before?	8	2	15	1
b) are the contacts longer?	7	2	16	1
c) more fulfilling?	7	2	16	1
d) more productive?	6	2	17	1
5. Has the sub-office reduced client's time (where office contacts are involved)?	9	3	13	1
6. How many clients do you refer to local agencies?*				
7. Have you been trained in family relations?	15	9	0	2
8. Do you use county prisons as lockups more than MH/MR facilities, etc?	9	14	0	3

The five items which had a large number of N/A (not available or applicable) responses reflect the fact that only 11 of the 26 agents had transferred from the parent district office. The last two items did not have as sharply divided responses. A majority of the agents (15) claimed to have received formal training in family relations. Of the nine agents who said they had received no training in family relations, five cited 'experience' instead (two cited police experience).

*See discussion.

Most agents (14) said they used facilities, such as Mental-Health/ Mental-Retardation more than County Prison lockups (9) when confinement was necessary. The notable exceptions were in Norristown and Reading, where six of the seven agents used prisons more frequently. One Reading agent stated that no alternatives were available. The other two used them "more, but for treatment." Of the 14 who use community facilities more frequently, comments ran the gamut from use of county prisons stipulating referral to agencies (1 response) to use of prison lockups only as a last resort, rarely or never (11 agents).

The results shown in Table X seem to indicate that the sub-offices are having some impact on integrating the agency with the community and getting the agents to use local treatment facilities. Unfortunately, comparative D.O. data is not yet available. Two of the questions (#3 and #6) could only be answered in terms of numerical values. Only two agents claimed that not all of their clients resided within sub-office territory: one (York) answered 20%-25%, and the other (State College) claimed 67%. To answer question #6, six agents claimed that they referred an average of 5.6 clients per month to local agencies; 19 claimed that 22% to 23% of their clients were currently using local agencies, having been referred there by their agent.

Another factor which is strongly related to the agent's motivation to do a good job counseling clients is job satisfaction. Concomitant with job satisfaction is a work environment which is conducive to effective delivery of these services. Table XI depicts a set of questions which digress somewhat from the evaluation plan but attempts to evaluate job satisfaction. Twenty-six agents and five supervisors (including two regional directors) responded to this set of questions.

TABLE XI: JOB SATISFACTION INTERVIEW QUESTIONS

	<u>Yes</u>	<u>No</u>	<u>N/A</u>	<u>Can't Decide</u>
1. Is your task clearly defined?	24	5	0	1
2. Your job fulfilling?	27	3	0	1
3. Are you given an opportunity to participate in decision-making enough?	26	2	0	3
4. Are working conditions and social atmosphere in your office satisfactory?	27	3	0	1
5. Do you receive support from your supervisor (help and encouragement)?	26	3	0	2
6. Do you perceive a role conflict (treatment vs. surveillance)?	11	17	3	0
7. Is the Agency open for change?	16	10	1	4
8. If so, do you feel potential for change exists?	24	5	1	1
9. Are you given (in your opinion) adequate chance to participate in suggesting or planning such changes?	16	10	3	2
10. Has the agency shown constructive changes in the past?	22	5	3	1

Most of the information in Table XI is self-explanatory. An overall conclusion to be drawn is that most of the respondents appear to have told the interviewers that they are satisfied with their jobs. Some of the questions were devised at a time when the agency was passing through a 'transition period' when concepts of 'treatment', and 'surveillance' were important issues. Of particular interest is question #6, where 'surveillance', which has been perceived as a police type function, is contrasted with 'treatment', a rehabilitative function. The present survey shows that more respondents (17) perceived no treatment-surveillance conflict. In fact, it was suggested that 'surveillance' is an ingredient for successful 'treatment.'

Comments made to the interviewers are perhaps more useful than the questionnaire itself: The most frequently cited, in descending order of frequency, were: need private interview area (5), need more space (4) and too much paperwork (3). Several noted that SRS income qualifications had caused a constraint which forced frequent client transfers between agents that was disruptive to parole adjustment.

In order to fully assess the impact of the program on the community, it is necessary to interview persons outside the agency: community service agencies, police and other groups directly or indirectly involved with the program. For this reason, the second 'phase' of the sub-office interviews involved interviewer contacts with community service agencies, police, courts and county prison wardens. Since only two contacts were made with judges and none with wardens, a discussion of this component of the study will be withheld until the final report. Several tables in Appendix VII display the preliminary results of interviews with local service agencies and police. Preliminary results do indicate, however, an awareness and favorable reception of sub-offices in their localities. A more complete summation of community perceptions of sub-offices is planned for the final evaluation report.

Comments in order of frequency were: good rapport, easy contact, cooperation (8); police know parole staff and whom to contact regarding parole violators (5); office has information available on parolees (4); crime is reduced because it is possible to keep closer watch on parolees (3); troubled clients have quicker contact with their agent for help (1). As a sign of a cooperative spirit, it might also be noted that the Lancaster police department loaned the Lancaster sub-office, office space while the latter was being moved.

Agents' Referral Forms

Another measure of the program effectiveness is to monitor on a month-to-month basis, needs of clients and referrals made to other agencies. To accomplish this, a simplified version of the forms employed in a previous independent evaluation of the Philadelphia Narcotics Unit is being used.⁵ The forms currently in use for this evaluation have three elements (see Appendix VIII): 1) a listing of each referral by client, reason for referral, name of agency, outcome, etc., 2) a numerical statement of the needs of the agents' clients classified according to reason for need and number of clients, and 3) a table pertaining to group therapy sessions, both conducted by the agency and on referral basis to other agencies. Five of the sub-offices (13 agents) have so far submitted monthly referral form surveys.

Referrals were made to 77 agencies over a one-month test period, for an average of 5.9 referrals per agent per month. This is in agreement with the average of 5.6 referrals per month reported by six agents in the interviews. There were 29 agencies to which referrals were made; 14 of these were on lists given by the sub-office supervisors to interviewers from which a sample of agencies to visit was selected; 15 were not. The most frequently used agencies from both sources were as follows:

	<u>Referrals</u>
Bureau of Employment Security	33
Department of Public Assistance	10
Bureau of Vocational Rehabilitation	8
Mental-Health/Mental-Retardation	4
Alcoholics Anonymous	4
Other	<u>18</u>
Total referrals	77

⁵"Evaluation of Comprehensive Drug Control Project Pennsylvania Board of Probation and Parole", Center for Social Policy and Community Development, School of Social Administration, Temple University, Philadelphia, Pennsylvania, 1974.

Of the 77 referrals reported, 4 were for the purpose of drug and/or alcohol, 4 for drug, and 7 for alcohol rehabilitation; in other words, 15 of the 77 referrals were for drug or alcohol treatment. Ten referrals were special conditions of parole and therefore were mandated by the Board.* In all except 2 of the 77 referrals, the client reported to the agency as instructed. Although the initial outcome of referral was reported as satisfactory or better in only 46 of the 77 instances, the current relationship between the agency and the client was reported as good, very good, completed or 'reporting' in 69 of the 77 cases. This difference was primarily due to the fact that the Bureau of Employment Security was initially unable to find jobs for 18 clients.

The section on group therapy sessions revealed that only one therapy group is being held by agents in the five offices which reported: a group conducted jointly by two agents for eight clients in Reading. Attendance was good with only 12 absences in 9 sessions held during a period of two months among the 8 clients. Nine of the twelve absences were excused. Norristown Sub-office reported clients attending three therapy groups in other agencies on a referral basis and Scranton reported two therapy referrals.

The third page of the agents' referral form addresses present needs of clients, grouped according to reason for that need. Employment was cited to be the greatest need for most (36) clients. More specifically, 29 cited long waiting lists in employment agencies and 7 noted "jobs in short supply," as their reason. Other needs in order of occurrence were as follows: job training opportunities, 11; psychiatric counseling, 10; drug treatment, 8; alcohol treatment, 5; family counseling, 3; alcohol detoxification, 1; medical treatment, 1 and temporary housing, 1. The most prevalent reason cited for

*Of the 10 referrals noted, 3 were for drug and/or alcohol, 3 for only alcohol, 2 for only drug, 1 for sex and 1 for emotional problems.

these needs was "long waiting list" for agencies providing services.

Interviews With Regional Directors to Delineate Functional Roles

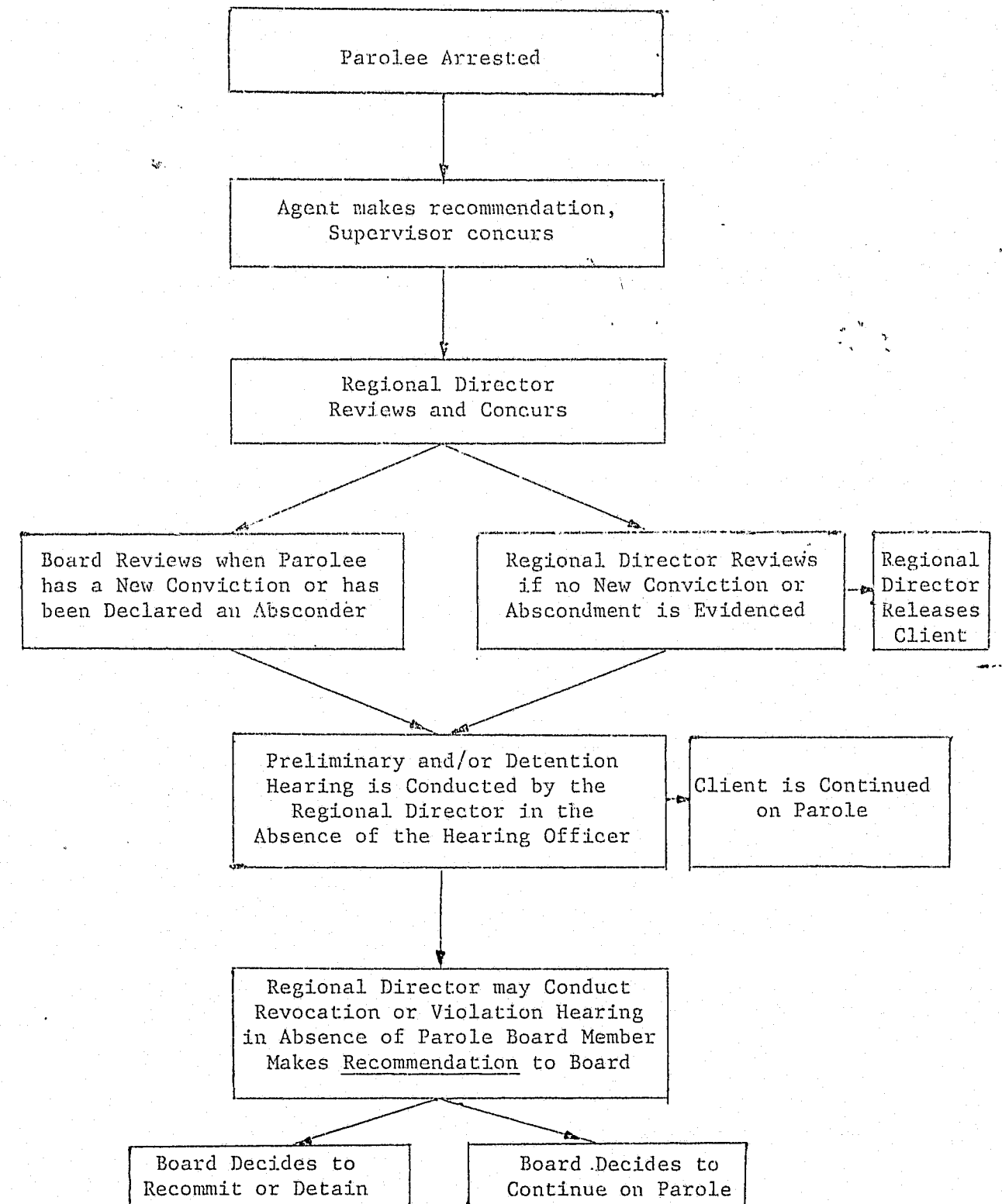
The Regional Directors' functions have been grouped into three categories: 1) case decisions, 2) administrative decisions and 3) inter-agency functions. In general, the three Regional Directors interviewed implied that their relationships with other agencies were harmonious, with the exception of County Public Assistance Departments. This is apparently due to SRS caseloads which require validation by DPA Departments, putting an extra burden on DPA staff and limited financial resources. Although client services are provided by sub-offices and district offices, decentralization included the development of a higher echelon of administrative structure to facilitate coordination and planning of activities. Although it is impossible to separate this contribution, little has been known to date about the operational responsibilities of these offices. To gain insight into their roles, interviews were conducted.

Regional Director Role in Case Decision Flow

Because of the volume of work and lack of manpower, the Parole Board Members have not been able to interview all of the applicants for parole throughout the State. Consequently, one of the functions which has been assumed by Regional Directors has been to interview institutional residents applying for parole. This is done by Regional Directors primarily at county prisons (where clients must have a 'State' sentence of two years or more) and the Community Service Centers of the Bureau of Correction. However, Regional Directors also conduct parole interviews at some of the State Correctional Institutions. The Regional Director then recommends to the Parole Board whether or not to parole the resident, and what special conditions of parole, if any, to impose. The Parole Board makes the final decision of whether to grant or deny parole.

The functional role of the Regional Director when a parolee is arrested is best depicted by Figure 4.

Figure 4



Regional Director's Role in Administrative Decision-Making

Administrative decisions have been determined from interviews with three regional directors and their two supervisors. These are as follows:

1. Regional Director approves or disapproves all recommendations from the District Office.
2. Determines Budget and Personnel needs for Program, Planning and Budgeting System. Makes recommendations to Central Office.
3. Recommends staff disciplinary actions - Central Office decision.
4. Where a grant is involved, recommends (to Central Office) transferring federally-funded agents.
5. Recommends transfers of agents when transfers are between two district offices in same region.
6. Recommends allocation of equipment which affects federal grants.

Items 2-6 are subject to Bureau of Supervision approval and final Board approval. In addition, when only state funds are involved, the regional director has final authority to 1) equalize caseloads, 2) transfer state-funded agents within a district office and 3) allocate vehicles and equipment not affecting grants.

Regional Directors' Inter-Agency Functions

Two distinct kinds of coordinative functions were revealed during the interviews. These fall into the categories of 1) developing public relations and 2) establishing liaison with other service agencies to solve mutual problems. The liaison function includes both setting up working relationships with other service delivery systems and developing new services. Cited by the Regional Directors and Central Office staff were the following service agencies:

1. Bureau of Corrections Community Service Centers
2. Department of Public Welfare (especially when SRS validation is concerned)
3. Mental-Health/Mental-Retardation
4. Pennsylvania State Police
5. County Prison Wardens
6. Courts
7. Pennsylvania Association of Probation, Parole and Correction
8. National Council for Crime and Delinquency
9. Bureau of Vocational Rehabilitation
10. Governor's Justice Commission Regional Directors
11. Local Police
12. Public Health
13. Departments of Education
14. Urban League

A P P E N D I C E S

APPENDIX I

ALTERNATE MEASURES OF RECIDIVISM FOR STATE

A. PERCENT PAROLE OR PROBATION FAILURES OF TOTAL SUPERVISED

Calender Year	Parole			Probation				4 Year Averages
	Monthly Average Parolees by Year	Recommits	Percent Recommits of Parolees	5 Year Averages	Monthly Average Special Probation and Parole	Revoked	Percent Revoked of Probationers	
1967	4,566*	665	14.6%		531*	N/A	N/A	
1968	4,523*	709	15.7%	15.1%	750*	70	9.3%	
1969	4,249*	647	15.2%		959*	92	9.6%	8.9%
1970	4,185	738	17.6%		1,300	143	11.0%	
1971	4,578	571	12.5%		1,882	133	7.1%	
1972	5,418	581	10.7%	11.5%	2,787	175	6.3%	6.7%
1973	5,937	730	12.3%		3,571	253	7.1%	
1974	6,467	686	10.6%		3,937	252	6.4%	

B. PERCENT TOTAL FAILURES OF TOTAL SUPERVISED DURING YEAR

	Monthly Averages by Year Total Pennsylvania Cases	Total Failures	Percent Failures of Monthly Averages	4 Year Averages
1967	-	-	-	
1968	5,273*	779	14.8%	
1969	5,208*	739	14.2%	14.0%
1970	5,485	881	16.1%	
1971	6,460	704	10.9%	
1972	8,205	756	9.2%	
1973	9,508	983	10.3%	9.85%
1974	10,404	938	9.0%	

APPENDIX I

C. PERCENT FAILURE OF TOTAL CASE
CLOSURES (PA)

Calendar Year	Final Discharge	Recommit	Revocation	Total Failure	Total Closed	Percent Failure of Annual Total
1967		665				
1968	1750	709	70	779	2,459	31.7%
1969	1716	647	92	739	2,363	31.3%
1970	1850	738	143	881	2,588	34.0%
1971	2099	571	133	704	2,670	26.4%
1972	1993	581	175	756	2,574	29.4%
1973	2359	730	253	983	3,089	31.8%
1974	2867	686	252	938	3,553	26.4%

Using Totals $\left\langle \begin{array}{l} 30.8\% \\ 28.4\% \end{array} \right\rangle$ 1968-71: 30.8%
 1971-74: 28.5% \rangle 4 year average
 t = 3.79 using totals

APPENDIX II
CASELOAD AND RECIDIVISM DATA BY MONTH FOR 1973 AND 1974

	Jan. 1973	Feb. 1973	March 1973	April 1973	May 1973	June** 1973
District Offices						
Total Caseload	3,204	3,187	3,290	3,289	3,353	2,858
W's	61	58	57	54	57	50
W's as % of Caseload	1.90%	1.82%	1.73%	1.64%	1.70%	1.75%
Parolees	2,082	2,043	2,071	2,046	2,092	1,735
Probationers	1,122	1,144	1,219	1,243	1,261	1,123
Probation as % of Caseload	35.02%	35.90%	37.05%	37.79%	37.61%	39.29%
W's	10	12	11	13	14	20
W's as % of Parolees	.48%	.58%	.54%	.63%	.68%	.96%
W's	15	9	7	17	6	10
W's as % of Parolees	.72%	.43%	.34%	.82%	.29%	.48%
Revocations	6	2	3	8	9	8
Revocations as % of Probationers	.56%	.18%	.26%	.66%	.72%	.63%
Total Returns	31	23	21	38	29	38
Total Returns as % of Caseload	.98%	.72%	.66%	1.16%	.88%	1.13%
Parolees Absconding	9	7	16	7	13	8
Parolees Absconding as % of Parolees	.43%	.34%	.77%	.34%	.62%	.46%
Probationers Not Reporting	8	5	8	4	15	7
Probationers Not Reporting as % of Probationers	.71%	.44%	.66%	.32%	1.19%	.62%
Number of Agents	84	84	81	82	84	71.5
Average Caseload	38.1	37.9	40.6	40.1	39.9	40.0
With Other State Cases Included	43.5	43.2	46.0	45.7	45.2	45.2
Year Month Average		44.2			45.4	
District Offices						
Total Caseload	1,078	1,136	1,170	1,183	1,149	1,206
W's	30	21	25	27	17	31
W's as % of Caseload	2.78%	1.85%	2.14%	2.28%	1.48%	2.57%
Parolees	712	765	766	767	735	784
Probationers	366	371	404	416	414	422
Probation as % of Caseload	33.95%	32.66%	34.53%	35.16%	36.03%	34.99%
W's	3	2	3	7	10	2
W's as % of Parolees	.43%	.28%	.39%	.91%	1.30%	.27%
W's	3	6	5	5	6	1
W's as % of Parolees	.43%	.84%	.65%	.65%	.78%	.14%
Revocations	4	2	3	3	4	4
Revocations as % of Probationers	1.12%	.55%	.81%	.74%	.96%	.97%
Total Returns	10	10	11	15	20	7
Total Returns as % of Caseload	.94%	.93%	.97%	1.28%	1.69%	.61%
Parolees Absconding	3	5	1	3	6	11
Parolees Absconding as % of Parolees	.42%	.65%	.13%	.39%	.82%	1.40%
Probationers Not Reporting	0	2	2	8	4	1
Probationers Not Reporting as % of Probationers	.00%	.54%	.50%	1.92%	.97%	.24%
Number of Agents	29	31	30	30	30	28
Average Caseload	37.2	36.6	39.0	39.4	38.3	43.0
With Other State Cases Included	42.1	41.5	43.7	44.1	43.2	49.6
Year Month Average		42.4			45.5	

**and previous month caseload for % with returns.
**started in June, 1973.

	July 1973	August 1973	Sept. 1973	Oct. 1973	Nov. 1973	Dec. 1973
District Offices						
Total Caseload	2,403	2,384	2,355	1,922	1,922	1,949
W's	38	46	30	38	25	20
W's as % of Caseload	1.58%	1.93%	1.27%	1.98%	1.30%	1.03%
Parolees	1,427	1,380	1,349	1,056	1,058	1,031
Probationers	976	1,004	1,006	866	864	868
Probation as % of Caseload	40.62%	42.11%	42.72%	45.06%	44.95%	44.54%
W's	10	7	7	10	8	7
PV's as % of Parolees	.58%	.49%	.51%	.74%	.76%	.66%
W's	10	9	8	3	7	5
PV's as % of Parolees	.58%	.63%	.58%	.22%	.66%	.47%
Revocations	5	6	3	6	2	6
Revocations as % of Probationers	.45%	.61%	.30%	.60%	.23%	.69%
Total Returns	25	22	18	19	17	18
Total Returns as % of Caseload	.87%	.92%	.76%	.81%	.88%	.94%
Parolees Absconding	11	15	18	8	7	7
Parolees Absconding as % of Parolees	.77%	1.09%	1.33%	.76%	.66%	.65%
Probationers Not Reporting	7	9	8	17	7	4
Probationers Not Reporting as % of Probationers	.72%	.90%	.80	1.96%	.66%	.46%
Number of Agents	54.5	54.5	51.5	39	39.5	37.5
Average Caseload	44.1	43.7	45.7	49.3	48.7	52.0
With Other State Cases Included	50.0	49.7	51.8	55.3	54.7	58.8

Year Month Average 50.5 56.3

District Offices						
Total Caseload	1,207	1,196	1,219	1,149	1,136	1,110
W's	21	20	20	17	21	20
W's as % of Caseload	1.74%	1.67%	1.64%	1.48%	1.85%	1.80%
Parolees	765	766	781	752	740	739
Probationers	442	430	438	397	396	371
Probation as % of Caseload	36.62%	35.95%	35.93%	34.55%	34.86%	33.42%
W's	2	2	3	4	2	8
PV's as % of Parolees	.26%	.26%	.39%	.51%	.27%	1.08%
W's	2	2	4	3	6	3
PV's as % of Parolees	.26%	.26%	.52%	.38%	.80%	.41%
Revocations	5	1	1	3	0	3
Revocations as % of Probationers	1.18%	.23%	.23%	.68%	.00%	.76%
Total Returns	9	5	8	10	8	14
Total Returns as % of Caseload	.75%	.41%	.67%	.82%	.70%	1.23%
Parolees Absconding	4	5	3	7	1	1
Parolees Absconding as % of Parolees	.52%	.65%	.38%	.93%	.14%	.14%
Probationers Not Reporting	10	3	9	3	5	3
Probationers Not Reporting as % of Probationers	2.26%	.70%	2.05%	.76%	1.26%	.81%
Number of Agents	25	25	25	21	21	22
Average Caseload	48.3	47.8	48.8	54.7	54.1	50.5
With Other State Cases Included	55.6	55.6	56.8	63.3	63.2	61.8

Year Month Average 56.0 61.8

and previous month caseload for % with returns.

	Jan. 1974	Feb. 1974	March 1974	April 1974	May 1974	June 1974
District Offices						
Total Caseload	1,990	2,032	2,090	2,158	2,205	2,274
W's	16	21	29	29	22	25
W's as % of Caseload	.80%	1.03%	1.39%	1.34%	1.00%	1.10%
Parolees	1,105	1,118	1,141	1,176	1,193	1,221
Probationers	885	914	949	982	1,012	1,053
Probation as % of Caseload	44.47%	45.98%	45.41%	45.51%	45.90%	46.31%
W's	6	5	10	3	5	5
W's as % of Parolees	.56%	.45%	.89%	.26%	.43%	.42%
W's	5	6	5	3	1	5
W's as % of Parolees	.46%	.54%	.45%	.26%	.09%	.42%
Revocations	2	7	8	3	2	7
Revocations as % of Probationers	.23%	.79%	.83%	.32%	.20%	.69%
Total Returns	13	18	23	9	8	17
Total Returns as % of Caseload	.67%	.90%	1.13%	.43%	.37%	.77%
Parolees Absconding	5	7	2	12	7	12
Parolees Absconding as % of Parolees	.45%	.63%	.18%	1.02%	.59%	.98%
Probationers Not Reporting	4	8	15	2	6	7
Probationers Not Reporting as % of Probationers	.45%	.87%	1.58%	.20%	.59%	.74%
Number of Agents	41.5	45.5	43.5	43.5	44	45
Average Caseload	48.0	44.7	48.0	49.6	50.1	50.5
With Other State Cases Included	54.2	50.3		56.5	57.1	57.4
Per Month Average		52.3			57.0	
District Offices						
Total Caseload	1,146	1,115	1,113	1,102	1,144	1,123
W's	16	20	23	22	9	27
W's as % of Caseload	1.40%	1.79%	2.07%	2.00%	.79%	2.40%
Parolees	727	739	731	704	713	701
Probationers	419	376	382	398	431	422
Probation as % of Caseload	36.56%	33.72%	34.32%	36.12%	37.67%	37.58%
W's	8	6	7	4	1	3
W's as % of Parolees	1.08%	.83%	.95%	.55%	.14%	.42%
W's	3	1	2	5	3	2
W's as % of Parolees	.41%	.14%	.27%	.68%	.43%	.28%
Revocations	4	2	2	13	0	2
Revocations as % of Probationers	1.08%	.48%	.53%	3.40%	.00%	.46%
Total Returns	15	9	11	22	4	7
Total Returns as % of Caseload	1.35%	.79%	.99%	1.98%	.36%	.61%
Parolees Absconding	3	2	5	5	0	3
Parolees Absconding as % of Parolees	.41%	.27%	.68%	.71%	.00%	.43%
Probationers Not Reporting	4	2	1	7	7	5
Probationers Not Reporting as % of Probationers	.95%	.53%	.26%	1.76%	1.62%	1.18%
Number of Agents	24	24	24	24	24	24
Average Caseload	47.8	46.5	46.4	45.9	47.7	46.8
With Other State Cases Included	55.4	54.0		53.5	54.8	53.4
Per Month Average		54.75			53.9	

and previous month caseload for % with returns.

	July 1974	August 1974	Sept. 1974	Oct. 1974	Nov. 1974	Dec. 1974
District Offices						
Total Caseload	2,332	2,365	2,344	2,523	2,399	2,446
CPV's	41	33	33	27	20	37
CPV's as % of Caseload	1.76%	1.40%	1.41%	1.07%	.83%	1.51%
Parolees	1,248	1,271	1,276	1,368	1,277	1,279
Probationers	1,084	1,094	1,068	1,155	1,122	1,167
Probation as % of Caseload	46.48%	46.26%	45.56%	45.78%	46.77%	47.71%
CPV's	4	9	6	6	4	13
CPV's as % of Parolees	.32%	.72%	.47%	.47%	.29%	1.01%
CPV's	7	3	4	4	2	7
CPV's as % of Parolees	.57%	.24%	.31%	.31%	.15%	.55%
Revocations	4	4	7	3	1	6
Revocations as % of Probationers	.38%	.37%	.64%	.28%	.09%	.53%
Total Returns	15	16	17	13	7	26
Total Returns as % of Caseload	.66%	.69%	.72%	.55%	.28%	1.08%
Parolees Absconding	2	2	13	10	8	8
Parolees Absconding as % of Parolees	.16%	.16%	1.02%	.73%	.63%	.63%
Probationers Not Reporting	8	9	11	10	5	8
Probationers Not Reporting as % of Probationers	.74%	.82%	1.03%	.87%	.45%	.69%
Number of Agents	46	46	48	48	48	49
Average Caseload	50.7	51.4	48.8	52.6	50.0	49.9
With Other State Cases Included	57.4	58.4	54.8	59.7	56.8	56.7
Year Month Average	56.9			57.7		
Offices						
Total Caseload	1,178	1,179	1,238	1,284	1,362	1,352
CPV's	20	21	30	18	9	36
CPV's as % of Caseload	1.70%	1.78%	2.42%	1.40%	.66%	2.66%
Parolees	728	737	756	782	805	807
Probationers	450	442	482	502	557	545
Probation as % of Caseload	38.20%	37.49%	38.93%	39.10%	40.90%	40.31%
CPV's	3	4	10	0	5	7
CPV's as % of Parolees	.43%	.55%	1.36%	.00%	.64%	.87%
CPV's	4	5	3	3	0	5
CPV's as % of Parolees	.57%	.69%	.41%	.40%	.00%	.62%
Revocations	4	5	2	2	4	1
Revocations as % of Probationers	.95%	1.11%	.45%	.41%	.80%	.18%
Total Returns	11	14	15	5	9	13
Total Returns as % of Caseload	.98%	1.19%	1.27%	.40%	.70%	.95%
Parolees Absconding	4	3	4	5	2	6
Parolees Absconding as % of Parolees	.55%	.41%	.53%	.64%	.25%	.74%
Probationers Not Reporting	4	4	4	3	5	1
Probationers Not Reporting as % of Probationers	.89%	.90%	.83%	.60%	.90%	.18%
Number of Agents	24	26	27	26	26	26
Average Caseload	49.1	45.3	45.9	49.4	52.4	52.0
With Other State Cases Included	56.0	51.9	52.8	55.8	58.8	58.5
Year Month Average	53.55			57.75		

and previous month caseload for % with returns.

APPENDIX III

PAROLEE ARREST DATA FOR THE
SEVEN DISTRICT OFFICES, 1974

	*General Caseloads		Sub-Offices		SRS	
	New Charge	Technical Violation	New Charge	Technical Violation	New Charge	Technical Violation
January						
February	42	17	60	27	105	36
March						
April						
May	66	22	51	20	106	38
June						
July						
August	11	23	88	20	118	57
September						
October						
November	86	32	61	37	110	72
December						
TOTAL	305	94	260	104	439	203

*Pittsburgh state-funded city community parole centers are included.

APPENDIX IV

REGIONAL AND SUB-OFFICES QUARTERLY EMPLOYMENT
FOR FOUR QUARTERS OF 1974

	FIRST QUARTER		SECOND QUARTER		THIRD QUARTER		FOURTH QUARTER	
	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.
Full Time Employment	883	1,525	901	1,819	1,038	1,714	1,044	1,696
Part Time Employment	25	88	17	82	25	91	31	129
Unemployed DPA	37	155	32	199	32	171	51	210
Effective Able Caseload	1,035	1,906	1,022	2,325	1,174	2,225	1,276	2,382

(SOURCE PBPP QUARTERLY EMPLOYMENT REPORT)
REGIONAL AND SUB-OFFICES QUARTERLY EMPLOYMENT
FOR FOUR QUARTERS OF 1973

	FIRST QUARTER		SECOND QUARTER		THIRD QUARTER		FOURTH QUARTER	
	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.	S.O.	D.O.
Full Time Employment	966	2,378	1,068	2,339	1,071	1,747	903	1,344
Part Time Employment	39	126	28	116	32	98	34	91
Unemployed DPA	58	359	40	343	30	215	27	145
Effective Able Caseload	1,176	3,160	1,269	3,009	1,230	2,138	1,076	1,772

APPENDIX V

CLIENT EMPLOYMENT STATUS - FOURTH QUARTER, 1974

<u>Decentralized Services</u>	<u>Employed</u>	<u>Unemployed</u>	<u>Total</u>
District Office General Caseload	1,825	557	2,382
Sub-Office Caseload	1,075	201	1,276
Sub-Total	2,900	758	3,658
SRS Caseload	1,000	598	1,598
Total	3,900	1,356	5,256

CHI-SQUARE TESTS

Total Matrix $\chi^2 = 187.31$
 df = 2.0
 p < .001

Sub-office - District
 office Matrix (exclude
 SRS) $\chi^2 = 29.46$
 df = 1
 p < .001

INTERVIEW GUIDELINES

REGIONAL - SUB-OFFICE GRANT

PHASE I: TO BE CARRIED OUT IN SUB OFFICES

- A. Ask sub-office supervisors:
1. For a list of community services to call/visit.
 2. Which agents moved from District Office to sub-office? When?
- B. Ask Sub-Office Agents (Try to interview them all, if possible):
1. Do you live within sub-office territory?
 2. Are all your clients in sub-office territory?
 3. What percent aren't?
(Items #4 and #5 apply to agents who have transferred from District Office to sub-office. Ask supervisor which have).
 4. Is the percentage of completed client contacts high since you moved (vs. attempted ones)? Are they longer? More fulfilling; productive?
 5. Has the sub-office cut clients' time (e.g. office contacts)?
 6. How many clients do you refer to agencies? (Compare with Data Collection forms)
 7. Have you been trained in family relations?
 8. Do you use county prisons as lockups more/less than Mental Health-Mental Retardation, etc.? (Ask two or three times to get trends)
- C. Ask all staff interviewed including Human Service Aides (If any are in office):
1. Is your task clearly defined?
 2. Your job fulfilling?
 3. Do you participate in decision-making enough (are you given an opportunity to)?
 4. Are working conditions and social atmosphere in your office satisfactory?
 5. Do you receive support from your supervisor? (help and encouragement)
 6. Do you perceive a role conflict ("Treatment" vs. "Surveillance")?
 7. Is Agency open for change?
 8. If so, do you feel potential for change exists?
 9. Are you given (in your opinion) adequate chance to participate in suggesting or planning such changes?
 10. Has the Agency shown constructive changes in the past?

PHASE II: TO BE CARRIED OUT IN COMMUNITY

- A. Ask local agencies:
1. Family community service agencies (sample)
 - (a) Do you know the sub-office exists?
 - (b) How many clients have the agents referred to you for counseling?
 - (c) How many were referred there (if any) before sub-office opened?
 2. Local Police and sample of Police in 25 mile radius:
 - (a) Do you know sub-office exists?

- (b) What is your opinion of it; e.g.
 - (1) Do you think it helps reduce crime?
 - (2) Do you think it is beneficial in other ways?

3. Sample of other local officials

- (a) Courts (judge in courthouse)
 - (1) Do you think it controls crime?
 - (2) Do you feel more comfortable using probation instead of prison now with sub-office near?
 - (3) Any other benefits?
 - (4) Do you know Regional Director?

- (b) Local County Prison Wardens

- (1) What is the trend in use of lockups
 - (i) Before sub-office opened?
 - (ii) Since sub-office opened?
(Compare with agent responses)

PHASE III: FIELD VISIT WITH A SUB-OFFICE AGENT (Arrange in advance with supervisor)

PHASE IV: REGIONAL DIRECTOR COMPONENT

A. Ask Central Office supervision heads:

- 1. Whom do Regional Directors contact? How often?
- 2. What role do they play in decision-making (casewise, administration-wise)?
- 3. What is the nature of this relationship? Specifically: informal? easy communication? difficult? (Don't have to name individuals).

B. Ask Regional Directors (Interview in Harrisburg, if possible)

- 1. What are your duties (try and describe what you do; completely open; take notes)?
- 2. What is your role re:
 - (a) Relations with other agencies?
 - (b) Does harmonious relation exist (can be specific)?
- 3. Your role in decision-making?

APPENDIX VII

TABLE A
INTERVIEWS AT COMMUNITY SERVICE AGENCIES

	<u>Yes</u>	<u>No</u>	<u>N/A</u>	<u>Can't Decide</u>
1. Do you know the sub-office exists?	12	0	0	0
2. How many clients have agents referred to you for counseling?	*	-	7	0
3. How many were referred there (if any) before the sub-office opened?	***	-	10**	0

*Responses were varied (where records were available): the respective figures were 0.5, 1.0 and 2.6 referrals per month, 30% and 40% of their total clients or patients.

**Five of the ten agencies opened after the sub-office did.

***Two agencies responded that no referrals had been made.

TABLE B
POLICE INTERVIEWS

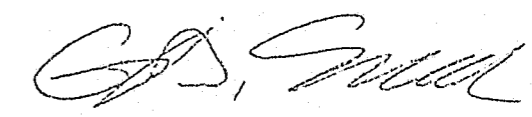
	<u>Yes</u>	<u>No</u>	<u>N/A</u>	<u>Can't Decide</u>
1. Do you know the sub-office exists?	9	0	0	0
2. What is your opinion of it; eg.				
a) do you think it helps reduce crime?	7	1	0	1
b) do you think it is beneficial in other ways?	9	0	0	0

ITEM A

SUBJECT: Guidelines for Preparing Data Collection Forms
for Grant Evaluations for the Governor's Justice Commission

Supervisors and Agents in Sub-Offices
outside Philadelphia and Allegheny Counties;
in Philadelphia and Pittsburgh Intensive
Probation and Intensive Parole Units

FROM: George A. Sullivan, Acting Director
Research and Statistical Unit
Bureau of Administrative Services
Pennsylvania Board of Probation and Parole



The following forms are to be prepared by each agent for the purpose of
obtaining data to evaluate the L.E.A.A. grants for the Regional and
Sub-Offices, and Specialized Units.

In all cases, confidentiality will be respected and no agent's name will
be used in any report.

The forms are to be prepared during the month on an ongoing basis (although
the forms for the month of December will have to be prepared near the end
of the month as we are just preparing and distributing the forms) and re-
turned to the supervisors by the third working day of each month for the
preceding month. The supervisors are to send the forms for their units to
the Research and Statistical Unit no later than the fifth working day of
each month. Please remember that the forms cannot be processed and tabu-
lated until they are received from every agent in the unit. Your coopera-
tion in getting them in on time will be greatly appreciated.

The following forms are to be prepared:

1. REFERRALS TO OTHER AGENCIES

(To be prepared by all agents on a monthly basis.) Every time
you refer a client to an outside agency, please complete the
appropriate columns on this form. If you refer one client to
several agencies, you may list each agency in a separate block
or squeeze them all in one block, whatever you wish.

2. PRESENT NEEDS OF CLIENTS

(To be prepared by all agents on a monthly basis.) Review
your field books, and put the total number of needs in the
appropriate blocks. For instance, if you have six clients
who need family counselling, but this need is not being met
because there are no facilities available, put six in the
appropriate block. Do not put the client's name on the
form. If a client is not available, put the reason why in
the appropriate block. If there are other reasons why the
need is not being met, please indicate this in the last
column.

3. GUIDED GROUP INTERACTION

(To be prepared by all agents on a monthly basis.) If you have a group of clients who are being given group therapy by an outside agency, please indicate this on the top part of the form. If you have your own group, fill in the appropriate columns on the bottom part of the form. If you do not have your own group or have a group being seen at another agency, indicate this by writing "none" in the appropriate spot. Please remember that all blocks should be completed, even if the group is being held at another agency.

GAS:ds

ITEM B

Agent _____ Month _____ Year _____

PRESENT NEEDS OF CLIENTS

	NO FACILITIES AVAILABLE	LONG WAITING LIST	CLIENT NOT AVAILABLE (SPECIFY)	OTHER (SPECIFY)
DRUG DETOXIFICATION FACILITIES				
ALCOHOL DETOXIFICATION FACILITIES				
METHODONE MAINTENANCE				
DRUG TREATMENT - OUTPATIENT				
DRUG TREATMENT - RESIDENTIAL				
ALCOHOL TREATMENT - OUTPATIENT				
ALCOHOL TREATMENT - RESIDENTIAL				
PSYCHIATRIC TREATMENT				
EMPLOYMENT				
JOB COUNSELING				
JOB TRAINING				
MEDICAL TREATMENT				
FAMILY COUNSELING				
OTHER (SPECIFY NEED)				
TEMPORARY HOUSING				

Interim Evaluation Report

SENT		John R. McGool		FROM		James J. Alibrio	
		4/11/75		DATE NEEDED			
PLEASE CALL:		APPROVAL		SEE ME			
RETURNED YOUR CALL		AS REQUESTED		COMMENT			
INFORMATION		PREPARE REPLY/REPORT		NOTE AND FILE			
ED BY		DATE		TIME			
	INITIAL	DATE	ROUTE		INITIAL	DATE	

Attached is a copy of our Interim Evaluation Report for your comment and review.

END

7 11/11/11