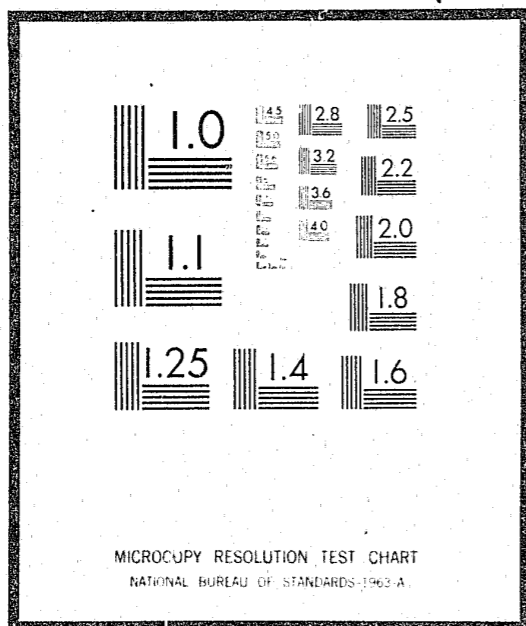


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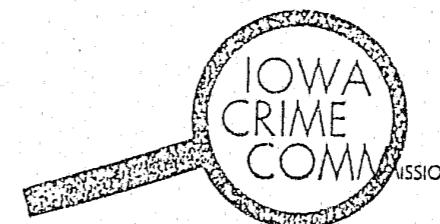
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SUMMARY REVIEW

-ON-

1973 NCCD EVALUATION - FIFTH JUDICIAL DISTRICT
DEPARTMENT OF COURT SERVICES PROJECT



NCJRS

MAY 25 1977

ACQUISITIONS

NOVEMBER, 1974

39461

To The Reader

The following review is presented from a research and evaluation point of reference. Highlighted is the evaluation period, populations, program objectives per program component, inter-related variables, as well as evaluation results, strengths and weaknesses of the evaluation methodology, and the review impressions of this writer.

Sections A-E of each chapter is the information presented in the NCCD Document. Sections F-H of each chapter are the views of this writer relative to the information in Sections A-E. It is recommended that a complete review by the reader be done on Sections A-E. It is imperative that this be done if the reader is to fully grasp that which is presented by this writer in Sections F-H.

Ira G. Turpin, Jr.

Introduction

The following analytical summary is that which is relative to the evaluation on the Fifth Judicial District Department of Court Services Program. The evaluation was conducted by the National Council on Crime and Delinquency Research Center as supported by grant funds from the Iowa Crime Commission.

It is the position of this document to sensitize those reviewing such to the fact that the NCCD evaluation is neither conclusive nor inclusive in determining the relative success or failure of community based corrections. However, such results are somewhat indicative of program progress and may serve as a source for comparative analysis in the future.

Executive Summary - NCCD Evaluation, 5th Judicial
District - Department of Court Services

Upon the completion of this fourth review, the writer believes that the NCCD evaluation has not provided the types of findings which can be used to determine the relative success or failure of the Fifth Judicial District, Department of Court Services project. Objective and intense review of the document provides one with the realistic fact that the reported findings are not conclusive or even nearly conclusive of project effectiveness, pro or con. Consequently, this neutrality, lends little in the formulation and implementation of project recommendations. The recommendations in the NCCD Report are to a large degree meaningless, due in part to the extreme lack of "inter program comparisons". The following is a list of major evaluation weaknesses.

A. There is an extreme lack of comparative analyses. Without such, all statements in terms of success, failure, effectiveness, etc., are meaningless. Naturally, without a frame of reference, any recommendations made assume an image of being arbitrary, unsupportable, and questionable.

B. There is no provision for follow-up on program clients. Without this, regardless to the specific program area, community safety, social and correctional effectiveness, as well as cost effectiveness cannot be accurately determined. Granted, this may be in part, a responsibility of program personnel, yet, the evaluation methodology has nothing in the way of tracking individuals once they leave the system. Thus, it is conceivable that new offenses may be committed by project clients and may go undetected. Therefore, there is no longitudinal determination of project effectiveness.

C. There is no operational definition of what constitutes success or failure. Without such a conceptualization, along with the lack of comparative models, any statements in reference to success, failure, effectiveness, etc., are arbitrary, unsupportable and questionable.

D. The means of reporting findings is not consistent. That is, there are reported results relative to adjudicated and non-adjudicated cases. Also, there are areas in which there is no specification of reported results in terms of adjudication or non-adjudication. As one may know the interpretation whereby results are reported can be significantly different prior to adjudication and after adjudication.

E. The constant use of the term "allegation" is extremely misleading. To "allegate" is to "assert to be true without proof." Relative to the aforementioned above in 'D', one finds that allegations may be adjudicated and/or non-adjudicated. This means of reporting does not allow one to determine ultimate outcome and thus effectiveness of program efforts. A good example of this is a comparison of tables XXVI and XXVII, page 85.

F. In general, there needs to be a qualification of many of the nebulous terms used such as, fewer, more, less than, excessive, and others. Without such qualifications these reported findings are meaningless. Also, there are discrepancies in the reported numerical data and percentages presented in the report.

The weaknesses listed in this section as well as the remaining sections in reference to the reported findings is highly indicative to this writer that the relative effectiveness of the CBS project in the Fifth Judicial District has not been determined. As it is, this is an elaborate over-priced progress report which lends little in the area of assisting the project personnel as well as this office and significant others in reprogramming and making project modifications.

It is of utmost importance to provide for an individual(s) to be responsible for "evaluating the evaluators" for future efforts in this area.

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Pretrial Release

Evaluation Period

The information in the evaluation shows an evaluation period from mid 1971 to 1972 and a second evaluation period in 1973 from January to November. With three years of actual data time, it is possible to do a progressive analysis of the ROR program component.

Population

During the 1971-1972 evaluation period, a total of 3,195 offenders were interviewed. Of this total number, 1,608 individuals were released to the pretrial project. The percentage of releases is equal to 50.4% of the total number of individuals interviewed. Information on socio-demographic characteristics relative to offenders is found on pages 109 and 110 (table XXXV) of the NCCD Document, thus, if the reader is interested in such characteristics as sex, race, criminal history, marital status, etc., reference should be to the aforementioned. In addition, the 1973 evaluation shows that 2,093 persons were interviewed of which 973 were released as this figure represents 46.5% of the total number of persons interviewed. Socio-Demographic information for this evaluation period can be found on pages 122-129 (tables XLIII-XLVI) of the NCCD Document.

Program Objectives

The operational goals and objectives of the pretrial release program are (1) protection of the community during the pretrial period, and (2) assurance that persons released via the project will appear for trial at the specified time as identified by the court. The data and conclusions of the NCCD Evaluation in terms of the independent and dependent variables are presented as results in support of reaching the established goals and objectives. 305 were released under supervision. An additional 27 individuals were absorbed into the project as a result of revocations bringing the total to 332 individuals. Also, of these 332 individuals 268 were adjudicated during the life of the evaluation.

Dependent Variables and Independent Variables

The dependent variables identified as measures of pretrial outcome for the 1971-1972 evaluation circumscribe data on (1) community safety, and (2) appearance for trial on specified dates. Resource utilization as an additional dependent variable may be analyzed by the reader via table XLVII, page 131. The independent variables used to determine the relative success or failure of the dependent variables encompass (1) number and percent of new offense

allegations comparatively for pretrial releases and bail releases and (2) appearance rates for pretrial releases and bail releases. The reader should make note that community safety (dependent variable) is determined via the number and percent of new offense allegations (independent variables), and that appearance for trial on specified dates (dependent variable) is determined via appearance rates (independent variable).

First, in terms of community safety, table XXXVI (page 111) shows the comparative outcome of new offense allegations for both pretrial releases and bail releases. For adjudicated pre-trial releases during the evaluation period, 89 (6.26%) of 1,379 individuals were alleged to have committed a new offense. Thus, 1,290 (93.74%) were not alleged to have committed a new offense. In comparison for bail releases during the evaluation period, 46 (10.83%) of 426 individuals were alleged to have committed a new offense prior to adjudication. Thus, 380 (89.17%) were not alleged to have committed a new offense.

According to the evaluation, it is believed, as supported by the aforementioned data, that pretrial releases committed new offenses at a lower rate than those persons released on bail.

Next, in terms of appearance for trial, table XXXVII (page 112) shows the comparative outcome of appearance rates for both pretrial releases and bail releases. For pretrial releases, 23 (1.68%) of 1,369 individuals failed to appear for adjudication while 14 (3.2%) of 436 individuals failed to appear for adjudications during the evaluation. From this data, it is concluded that pretrial releases are as likely and probably are more likely than bail releases to appear for scheduled court hearings.

In addition, conviction and incarceration rates were calculated for the two groups. It was found that project releases showed a conviction rate of 50.3% on at least one offense as 9% of these individuals were incarcerated. Bail releases showed a conviction rate of 72.1% on at least one offense as 12.4% of the individuals were incarcerated. From this data pretrial releases show lower conviction and incarceration rates than bail releasees. Comparatively, when evaluated in terms of total population, pretrial releasees show an incarceration rate of 4.5% while bail releasees exhibit an incarceration rate of 7.6%.

The dependent and independent variables identified as measures of pretrial outcome for the 1973 evaluation are the same as those used in the 1972-72 evaluation. As a means of improving upon the evaluation approach employed in 1972-72, comparative analyses were made upon the four potential pretrial conditions.

These four conditions, pretrial release (ROR), pretrial release (with services), bail release, and confinement via jail were compared relative to new offense allegations and appearance rates in determining community safety and rate of appearance for trial on a specified date. Also, information on frequency of release, sources of referral and assignment to pretrial services, reasons for rejection, and length of time from arrest to release is identified in tables XXXVIII - XLII pages 116-120.

Table XLIX, page 136, delineates the relative success and failure of each group (i.e., type of pretrial condition). For the ROR pretrial release individuals, 50 (7.9%) of 633 persons were charged with new offenses. This means that 92.1% (N=583) of the pretrial releases were not charged with any new offenses. Those individuals released on bond, show a committance of 26 (8.8%) new offenses during the pretrial period. No new offenses were committed by 268 (91.2%) bail releases. Pretrial services releases committed a total of 45 (16.8%) new offenses while the remaining 223 (83.2%) individuals did not commit new offenses during the pretrial period.

From the aforementioned, there is little difference between ROR pretrial releasees and bail releasees relative to a committance of new offenses during the pretrial period. Thus, the same conclusion may be drawn here in reference to that drawn in the 1971-1972 evaluation. Namely, that ROR pretrial releasees committed new offenses at a lower rate than those persons on bail. Also, pretrial releasees with services committed a significantly higher number of new offenses than both the pretrial release group (ROR) and bail releasees. This is indicative of a needed modification in the criteria used to release "high risk offenders", as also recommended in the NCCD Document.

Table LI page 140, presents the relative outcome of appearance rates for the various groups. Pretrial releasees ROR failed to appear 1.3% (N=8) of the time as the remaining 625 (98.7%) individuals did attend scheduled appearance trial dates. For bail releasees, 20 (6.8%) of 294 individuals failed to appear for designated trial dates. Thus, 93.2% (N=274) of the bail releasees appeared for scheduled trial dates. Those individuals released and receiving services exhibited an appearance rate of 94.8% (N=254) of the time while 14 (5.2%) of 268 individuals failed to keep established court dates.

From the aforementioned, there is a significant difference in appearance rate as pretrial releasees (ROR) displayed a lower rate of failures to appear than both bail releasees and pretrial services releasees. There is no significant difference between bail releasees and pretrial services releasees. Conviction and incarceration rates while not a primary objective of pretrial release programs were computed and information pertaining to such

is outlined on pages 141 and 142 in tables LII and LIII.

Evaluation Results and Socio-Demographic Factors

The NCCD Research Center concludes that due to the findings as a result of the evaluation, the pretrial release (ROR and with services) program of the Fifth Judicial District is "highly effective in meeting their program objectives." Specific reference in terms of relating program objectives (dependent variables) to measures of outcome (independent variables) is to tables XXXVI, XXXVII, XLIX, and LI.

The socio-demographic factors (for the 1973 evaluation) analyzed in terms of pretrial release are listed on pages 137-139. Yet, it appears that marital status, employment status, prior convictions, and educational level are significant factors relative to pretrial outcome.

Strengths of the Pretrial Method of Evaluation

The strengths of the pretrial method of evaluation are as follows:

- A. Use of comparative models specifically in terms of pretrial releases via the project versus bail releasees.
- B. Identification and use of data instruments which generate information on socio-demographic data and client experiences.
- C. The period of evaluation was sufficient enough to allow for the collection of data which is large enough, yet, not too large in order to make research orientated deductions and recommendations.
- D. Test of significance are satisfactory as used in order to determine sampling reliability and probability statements.
- E. Tables are clear and self explanatory as they are basically two by two.
- F. The use of percentages and raw figures rather than rigorous statistical test of significance, and statistical designs in terms of reporting findings is most useful.
- G. The identified independent variables used to determine outcome of dependent variables are supportive of the methodological approach.
- H. Since the evaluation was conducted by NCCD and not project staff, this approach is supportive of an objective evaluation and the potential reliability of data presented.
- I. Use of numerical codes, in the data collection efforts, to protect the identity of individuals is supportive of the methodological approach.
- J. Use of numerical codes to protect the identity of personnel, wages, and program personalities facilitates data analysis and collection.
- K. Use of keypunching and computerization of data is supportive of the methodological approach.

Basically, the method of evaluation is more than satisfactory as outlined and used during the course of the evaluation itself.

Weaknesses of the Pretrial Method of Evaluation

The weaknesses of the pretrial method of evaluation are as follows:

- A. The subsequent explanation relative to table XXXVI (1971-1972 evaluation) on page 111 regarding the relationship between new offense allegations and community safety is questionable and the reliability of the analogy is misleading. Specifically, for pretrial releases, new offense allegations were submitted in the form of 6.26% (89=N) individuals of the group. All of the 89 individuals were "adjudicated". The 46 (10.83%) bail releases had a new offense-committance rate reported in terms of "prior to adjudication". Thus, there is the comparison of adjudicated new offenses to that of non-adjudicated new offenses. This is a questionable comparison as the bail releasee figure is subject to possible change if it would be examined like that of the pretrial release group (and vice versa) that is, after adjudication rather than prior to, or both prior to adjudication. Basically, there is not a consistent presentation of findings for the two groups which weakens the reported findings and produces nothing substantive regarding community safety. Thus, the reliability of this finding is highly questionable and subject to the possibility of significant change.
- B. The total "N" of the pretrial group ('71-'72 evaluation) is equal to 1,608 individuals. Tables XXXVI and XXXVII, pages 111 & 112 report findings relative to a total "N" of 1,379 individuals. Thus, one must assume that 229 cases were still open at the end of the evaluation. Information should have been presented on the status of these 229 individuals.
- C. The evaluation team ('73 evaluation) was unable to obtain complete information from police departments and the B.C.I. . Therefore, data is not conclusive and inclusive of the total number of new offenses committed. Thus, the "estimations" as presented in this section of the evaluation are also subject to question and may not be viable indicators of success or failure. Specific reference is to pages 135 and 136 relative to community safety. Also, the "number of sources" (p. 136) used to make the estimations reported should be qualified.
- D. The total 'N' ('73 evaluation) of the pretrial release services group equals 332 individuals. Data is presented on 268 individuals. Thus, one must assume that there are open cases at the end of the evaluation on 64 individuals. Information should have been presented on the status of these 64 persons.
- E. There is no comparative analysis or reference relative to program progress regarding the 1971-72 evaluation in relation to the 1973 evaluation. A comparison of tables XXXVI (71-72) and XLIX ('73) shows a difference between new offense allegations. It is difficult to determine if this difference is significant or not, and the potential causes for the difference.

- F. There is no operational definition or explanation of success or failure, especially regarding community safety.
- G. No information was presented on the social effectiveness of the pretrial process.
- H. The total 'N' ('73) of the pretrial release group equals 973. Data is presented on 633 individuals. Thus, one must assume that there were 340 open cases at the end of this evaluation. Information should have been presented on the status of these 340 individuals.

Review Impressions

Relative to those items listed as weaknesses, it is difficult to accurately determine the relative success or failure of the pretrial component in the community based corrections project. Therefore, the data presented is not the area in question. However, the interpretation of the data specifically in terms of weaknesses A, B and C is more indicative of non supportive information on community corrections rather than a presentation of information identifying project impact. Basically, the reader of the evaluation must draw speculative conclusions and inferences which may prove to be totally inaccurate and unsupportable.

Probation

Evaluation Period

The probation division of the Fifth Judicial District Department of Court Services was evaluated over a ten (10) month period from January 1, 1973 to November 1, 1974.

Population

The total number of individuals represented during the evaluation period equaled a total 'N' of 618 individuals. At the close of the evaluation period there were 386 open cases along with 232 closed cases. Information on the socio-demographic characteristics on individuals can be found in table I pages 34-37.

Program Objectives

The operational goals and objectives of probation are, (1) protection of the community during the probation period, (2) to integrate the individual into society, and (3) to reduce future criminal behavior. The data and conclusions of the NCCD evaluation in terms of the interrelationship between the independent and dependent variables are presented as results in support of reaching the established goals and objectives.

Dependent and Independent Variables

The dependent variables identified as measures of probation outcome for the 1973 evaluation circumscribe data on (1) community safety, (2) social effectiveness, and (3) correctional effectiveness. Resource utilization as an additional dependent variable may be analyzed by the reader via table X, page 51. The independent variables used to determine the relative success or failure of the dependent variables encompass (1) the number and percent of new offense allegations against individuals during the probation period, (2) changes in employment of probation clients from time of assignment to probation to favorable release as well as education, residential and family status, and (3) number and percent of new offenses committed by probation clients after release from the project. The reader should make note that community safety (dependent variable) is determined via the number and percent of new offense allegations against individuals (independent variable). Social effectiveness (dependent variable) is determined relative to employment of probation clients from time of assignment to probation to favorable release (independent variable). Correctional effectiveness (dependent variable) is analyzed in terms of number and percent of new offenses committed by probation clients after release from the project.

The reader may care to review the relationship of (1) types and seriousness of new alleged offenses (table VIII, page 46) as well as (2) length of time from assignment to probation to the first new offense allegation (table IX, page 47) to community safety. Also, occupational level (table XII, page 55) is analyzed in reference to social effectiveness as an indicator of the success of probation efforts. The inter-relationships of these dependent and independent variables are factors the reader should review as they will not be summarized within this review document.

Also, tables IV, page 41, presents information on the outcome of probation clients terminated from the program prior to the end of the evaluation period. With brevity, the data (table IV) shows that 174 (75%) of 232 individuals received favorable terminations while 45 (18.5%) individuals received unfavorable terminations. The remaining 6.5% (N=13) are classified as other or dead. Analysis of the relationship between community safety and new offense allegations during the probation period is summarized in table XII, page 45. Of the total population, 73 (31.5%) individuals were alleged to have committed a new offense while the remaining 159 (68.5%) individuals had no new offense allegations. Consideration of the relationship between social effectiveness and employment, education, residential and family status exhibits the following. There was no significant change in education, residential, and family status for individuals during the probation period which assist in the integration process of offenders. Table XI, page 54, delineates the relationship of employed and unemployed individuals from time of assignment to probation to time of release. At the time of assignment to probation, 116 individuals were employed while 56 individuals were unemployed. At the time of release, 141 individuals were employed while 28 were unemployed. Table XIII, page 57, expresses the findings on correctional effectiveness and new offense allegations for terminated probation clients. It is reported that new offenses were alleged to have been committed by 26 (11.2%) of the 232 terminated probationers. Which is to say, also, that 206 (88.8%) individuals did not have any new offense allegations during the follow-up period.

Evaluation Results and Socio-Demographic Factors

The NCCD Research Center concludes that due to the findings as a result of the evaluation, the probation program of the Fifth Judicial District "has performed rather well" in the areas of social effectiveness, correctional effectiveness, and resource utilization. Achievement of community safety is reported as having a high rate of new offense commitments and was not realized consistent with the program objectives. Specific reference in relating program objectives (dependent variables) to measures of outcome (independent variables) is to tables VII, XI, and XVI.

The Socio-demographic factors analyzed relative to probation outcome are listed on pages 48 and 49 as well as page 58. Yet, it appears that employment, criminal history, and history of alcohol and drugs are significant factors relative to probation outcome.

Strengths of the Probation Method of Evaluation

With the exception of 'A', the strengths of this methodological approach are the same as those listed in reference to the pre-trial method of evaluation.

Weaknesses of the Probation Method of Evaluation

A. The most significant weakness with the probation methodology is the absence of a comparative model or comparative data to determine the relative success or failure of the program. Without such a comparison, there is no frame of reference and it is difficult to determine the potential impact of the program relative to the clients, and the system. Consequently, the data cannot reliably be used to indicate success or failure, and is useless in making potential recommendations on program approach.

B. The reader must make assumptions relative to some of the findings. Specifically, table XI, page 54, does not identify the reference for the figures it contains. That is, are these figures relative to the total probation population, or to terminated clients, or to open cases? Without this qualification, one cannot determine if the data reported is an indicator of the relative influence employment has upon social effectiveness. Also, the column figures do not total identically.

C. Findings presented on correctional effectiveness are only for Polk County probationers. This, as identified by the evaluator, was due to the lack of access to statewide arrest records. Thus, this data (table XIII) is neither inclusive of the entire district nor the state and is not useful in determining program impact. Basically, this system has capability of tracking only 20 of the 232 individuals terminated from probation. Thus, one must speculate on the status of the remaining 212 individuals.

D. The follow-up period, in determining committence of new offenses for terminated individuals (6 months) is too short in time.

E. The number and percent of new offense allegations, as stated by the evaluator, is "rather high". This "may" be so, yet, how can this be determined without something to compare it to? Reference here is to 'A' of this section.

F. The 45 individuals receiving unfavorable terminations (especially the 22 persons or 9% committing new offenses) were not even analyzed relative to social effectiveness and correctional effectiveness. Inclusion of these findings would signi-

ificantly change the relative interpretation of the successful acquisition of social and correctional effectiveness for probation clients.

G. There is no indication of how long the follow-up period of data collection lasted in the analysis of correctional effectiveness.

Review Impressions

Basically, without a comparative model, the determination of success and failure of the probation program is somewhat arbitrary especially without an operational definition and explanation of what constitutes success and/or failure.

In addition, without more substantive data in terms of correctional effectiveness and further information on social effectiveness, the reported findings in these two areas of analysis are questionable and subject to significant change. Like the aforementioned in reference to pretrial programs for community based corrections, the reader of the NCCD Document must formulate suppositions and speculate upon the ultimate outcome of program clients relative to program goals and objectives. Naturally, such suppositions and speculations may prove to be unfounded and extremely inaccurate.

Residential Treatment (Male)

Evaluation Period

The first evaluation conducted on the male residential treatment program covered over a period of mid-1971 through 1972. For a brief summary of findings, the reader is referred to the NCCD report, pages 61-63. The second evaluation covered the period from January 1, 1973 to November 1, 1974. The evaluator points out that a comparative analysis between the two aforementioned evaluations was not done since all the information generated from each respective evaluation "is not directly comparable." This is due to the use of different data collection instruments for each evaluation period.

Population

During the course of the evaluation, 171 clients participated in the program of which 116 were terminated while 55 were still in the program at the end of the evaluation period. Information on the socio-demographic characteristics on individuals can be found in table XIV, pages 64-66.

Program Objectives

The operational goals and objectives of the residential treatment program are, (1) protection of the community during the period of residential treatment, (2) to re-integrate the individual into society, and (3) to reduce future criminal behavior. The data and conclusions of the NCCD evaluation in terms of the inter-relationship between the dependent and independent variables are presented as results in support of reacting the established goals and objectives.

Dependent and Independent Variables

The dependent variables identified as measures of probation outcome for the 1973 evaluation circumscribe data on (1) community safety, (2) social effectiveness, and (3) correctional effectiveness. Resource utilization as an additional dependent variable may be analyzed by the reader via table XXIII, page 80. The independent variables used to determine the relative success or failure of the dependent variables encompass, (1) the number and percent of new offense allegations against clients during assignment to the program; (2) changes in employment of residential treatment clients of time of assignment and time of release from

the program as well as education and family status; and (3) rate of new offense allegations against individuals terminated from the program from 1971-1973. The reader should make note that community safety (dependent variable) is determined via the number and percent of new offense allegations against residential treatment individuals (independent variable). Social effectiveness (dependent variable) is determined via changes in employment, education, and family status (independent variable). Correctional effectiveness (dependent variable) is determined via the rate of new offense allegations against individuals terminated from the program (independent variable).

The reader may care to review the relationship of (1) types and seriousness of new alleged offenses (table XXI, page 74) as well as (2) the relationship of alcoholic use and new offense allegations (table XXII, page 75) to community safety.

Also, table XVII, page 70, presents information on the outcome of residential treatment individuals in terms of type of termination from the project. Of the 116 individuals terminated from the project, 65 (56.2%) received favorable terminations while 32 (27.6%) received unfavorable terminations as the remaining 19 (16.2%) individuals received neutral terminations.

Analysis of the relationship between community safety and new offense allegations during assignment to the residential treatment program is summarized in table XX, page 73. Of the total population, 16 (13.8%) individuals were alleged to have committed new offenses, as 100 (86.2%) were not alleged to have committed new offenses. As social effectiveness is determined, no significant changes occurred in family status as minimum educational upgrading did occur. In addition, table XXIV, page 82, shows that at the time of assignment to the program, 41 individuals were employed as 24 were unemployed (total N=65 favorable releasees). At the time of release 62 (95.4%) individuals of the total number (65) of favorable releasees were employed as 3 (4.6%) individuals were unemployed. Tables XXVI and XXVII, page 85, delineates the rate of new offense allegations for clients terminated from the program in 1971 and 1972 relative to correctional effectiveness. Of the 246 clients released during this time, 101 (41%) individuals were charged with new offenses as the remaining 145 (59%) individuals were not charged with new offenses. In addition, the evaluation reported findings consistent with other recidivism studies, that is, for indictable offenses. The 1971-72 findings show that of the 53 (21%) persons of a total equaling 246 charged with indictable offenses, 22 (9%) were convicted of an indictable

Offense while 31 (12.6%) were convicted of a reduced charge, acquitted, or not adjudicated. Thus, 37 (15%) individuals of the total population (N-246) have been arrested and convicted on either an indictable charge or a reduced charge.

The 1973 evaluation shows that 23 (19.8%) individuals of the total number (116) of offenders terminated were charged with new offenses. Also, 13 (11.2%) individuals were charged with indictable offenses as the remaining 10 were charged with misdemeanor offenses.

Evaluation Results and Socio-Demographic Factors

The NCCD Research Center concludes that due to the findings as generated via the evaluation, the residential treatment program of the Fifth Judicial District Department of Court Services "appears to be achieving at a moderately high level each of the primary objectives of the program." Specific reference is to table XX (page 73, community safety), table XXIV (page 82, social effectiveness), and tables XXVI, XXVII and XXVIII (pages 85 and 86, correctional effectiveness).

The socio-demographic factors analyzed relative to residential treatment programming are listed on pages 76-78 and 87-88.

Strength of the Residential Treatment Method of Evaluation

With the exception of 'A', the strengths of this methodological approach are the same as those listed in reference to the pre-trial method of evaluation.

Weaknesses of the Residential Treatment Method of Evaluation

- A. As stated with the list of weaknesses on probation programming, the most significant limitation in the methodological approach employed is the absence of a comparative model or comparative data to determine the relative success or failure of the program. Without such, statements of success, failure and degree of effectiveness are arbitrary and unreliable.
- B. The follow-up period in determining committence of new offenses for terminated individuals is too short in time.
- C. The 32 individuals receiving unfavorable terminations were not analyzed in terms of social effectiveness. Inclusion of these findings would effect the relative interpretation in the acquisition of this objective.
- D. There is no indication of how long the follow-up period of data collection lasted in the analysis of correctional effectiveness.

Review Impressions

As with probation, one is unable to determine the relative success, failure, and effectiveness of residential treatment programming. This "inductive analysis" in the identification of program progress and growth lends little in substantially determining the viability of the program relative to comparative models.

The information reported can be used internally in terms of developing modified approaches to programming, yet, overall effectiveness in terms of other systems still remains unanswered.

Residential Corrections - (Women)

Due to the limited size (29) of the population, extensive review of the data presented will not be presented here. The number of individuals was not sufficient enough to draw any conclusive findings regarding community safety, social effectiveness, and correctional effectiveness. This is further compounded by the lack of a comparative model. Thus, the reader may consult page 91-103 for the analysis of the women's residential treatment program if one so chooses.

Departmental Results

Tables LIV (page 147), LV (page 154), and LVI (page 157) provide information on the dependent variables encompassing resource utilization, financial effectiveness, and system impact. These tables are self explanatory and the reader may consult these sections for the specifics. In general, the Court Services Program does appear to be providing services satisfactorily, as well as functioning at a lower cost per specific program area as compared to other correctional models. The major weakness of the report relative to this section revolves around the fact that no information or analysis was presented on the established cost to operate the Department of Court Services itself - that is, the question, "is the annual operating cost of the Department justified and needed?" Without this information, which is an "intra-project analysis", there remains an important area unexplored and in need of analysis relative to this project. Granted, the information contained in the tables does show project cost reductions and savings as compared to other correctional models - yet, one cannot determine the cost effectiveness of the project in terms whether or not the project itself is operating at a realistic and acceptable level. As it is, one must draw unsupportable conclusions on the possibility of the project being either over-priced, under-priced, or financially acceptable.

Also, the information presented on resource utilization is of little value without an analysis of comparative models. This same concern was stated in aforementioned sections of this review.

APPENDIX

SUMMARY OF FINDINGS AND RECOMMENDATIONS

A comprehensive, research-based evaluation of the Fifth Judicial District Department of Court Services, State of Iowa, has been conducted by the Research Center of the National Council on Crime and Delinquency. The Pretrial Services component (Community Corrections Project) of the Department has been evaluated continuously since its inception in 1970 and has been the focus of three prior evaluation reports. The Men's Residential Corrections program was evaluated from its beginning in 1971 through the present, with one former evaluation report being published, covering its experience from its beginning through 1972. The Pretrial Release Project has been undergoing evaluation since 1971, although no prior research reports have been issued. The Women's Residential Corrections program and the Department of Probation have not been evaluated prior to 1973. This report describes the effectiveness of each of those projects in meeting their specified program objectives.

SUMMARY OF FINDINGSPROBATION

The Population. The Probation caseload consisted of 618 persons through the time of the evaluation, with 232 cases being terminated during that period and 386 cases remaining open. Of all clients assigned to Probation 99% had been sentenced on indictable offenses.

Community Safety. New offenses were alleged against 31.5% of all Probation clients during this period. Approximately 3% of the new offense allegations were for felonies.

Resource Utilization. Fifty community resources were utilized in providing 305 treatment and upgrading services to 120 Probation clients.

Social Effectiveness. New educational diplomas or degrees were obtained by 16 Probation clients during their probation periods. Employment rate increased among program clients from 67% at time of their assignment to Probation to 83% at time of termination from the program. Level of occupation increased correspondingly.

Correctional Effectiveness. In an average of approximately six months from the time of release from the Probation program, new offenses were alleged to have been committed by 11.2% of all clients. Only 2.5% of all clients were charged with indictable offenses.

Conclusions. It was concluded that the Department of Probation had effectively utilized existing community resources, and had achieved a significant level of social and correctional effectiveness. Maintenance of community safety, however, was less effectively achieved, with a rather large proportion of all clients being charged with new offenses during the probation period.

MEN'S RESIDENTIAL CORRECTIONS

The Population. During the period of the evaluation, 171 clients were assigned to the Men's Residential Corrections unit. By the close of the evaluation period, 116 of these clients had been terminated, leaving an active caseload of 55 persons. The client population of the program consisted largely of persons who had been sentenced on indictable charges (85%).

Community Safety. During an average period of 108 days in the program, 13.8% of all clients were charged with a new offense, including 12 persons being charged with absconsion from the program.

Resource Utilization. The clients of the program received 195 services from a total of 37 community agencies. These services were focused in the employment, vocational, and educational categories.

Social Effectiveness. Of the 116 clients terminated from the program, 14 clients received new diplomas or degrees while they were assigned to the program. Employment rates and occupational level of clients increased significantly from the time of their assignment to the time of their termination from the program.

Correctional Effectiveness. Of the clients who had been terminated from Residential Corrections prior to 1973, 21% were charged with new indictable offenses during a period of approximately 19 months following their termination from the program. Fifteen percent of all of these clients have been convicted of a new offense. Of the client group which was terminated during 1973, new offenses have been alleged against 19.8% in an average of approximately six and one-half months from the time of their termination. Indictable offenses were charged against 11.2% of all clients terminated in 1973.

Conclusions. The Residential Corrections program for men is effectively achieving each of its four main program objectives. A highly significant finding in the analysis was that high-risk characteristics (criminal history, unemployment, and history of drug and alcohol use) were not

significantly associated with any of the primary criterion measures, indicating that a breakthrough may have been achieved in working successfully with these high-risk offenders.

WOMEN'S RESIDENTIAL CORRECTIONS

The Population. The population of the Women's Residential Corrections program consisted of 29 women, of whom 23 were terminated during 1973 and six who remained on the caseload at the close of the evaluation period. All but seven of these women had been received from the State Women's Reformatory at Rockwell City following a period of incarceration in that program.

Community Safety. With the exception of three clients who absconded from the program, no new offenses were indicated for any of the 16 clients (69%) who were terminated favorably from the program.

Resource Utilization. The clients of the Women's Residential Corrections unit received 67 services from a total of 14 community resources.

Social Effectiveness. Four clients received educational diplomas or degrees during their period of assignment to the program, and an additional six clients were full-time students at the time of their release from the program. Ten of the 16 clients who were terminated favorably were employed full-time at time of termination at occupational levels significantly higher than at time of arrest.

Correctional Effectiveness. Since all but two of the clients who were released favorably from the program went directly to supervision of either a parole or probation program, no study of new offenses committed by those clients following their termination was conducted.

Conclusions. Due to the very small number of clients who have been terminated from the Women's Residential Corrections program during 1973, it is not possible to draw definitive conclusions at this time. The program appears to be achieving all of its program objectives at a satisfactory level, but at a somewhat prohibitive program cost.

PRETRIAL RELEASE PROJECT

The Population. Based upon interviews of 2,093 accused offenders, the Pretrial Release Project made recommendations and obtained releases for 973 clients during this evaluation period. At the end of the data collection period, 633 of these released clients had been adjudicated.

Community Safety. New offenses were alleged to have been committed by 7.9% of all clients released through the project, in an average pretrial period of 51.7 days.

Appearance Rate. Of the 633 project releasees who were adjudicated during the period, a total of 1.3% failed to appear for their trial as specified by the court.

Conviction Rate. Of all Project releasees, 66.2% were convicted of at least one offense.

Incarceration Rate. Of the project releasees who were convicted, 4.3% were incarcerated as a result of that conviction. As such, only 2.8% of the entire release group eventually were incarcerated for the offenses that they were alleged to have committed.

Project and released to the Pretrial Services Project eventually were incarcerated for the offenses that they were alleged to have committed.

DEPARTMENTAL RESULTS

Resource Utilization. Collectively, the various components of the Department of Court Services utilized 54 separate outside resources in providing over 1,000 services to its clients during 1973. These services have been primarily focused in the areas of psychiatric and psychological evaluation and counseling, employment, vocational upgrading, and education.

System Impact. It is estimated that the Department of Court Services has facilitated a reduction of the population of the Polk County Jail by at least 56 persons per day, a reduction of the caseload of the state parole and probation department of approximately 515 clients per day, and a reduction of no fewer than 133 inmates per day from the combined populations of the Men's Reformatory at Anamosa and the State Penitentiary at Fort Madison. Additionally, it was estimated that Department clients were saved \$153,837 which otherwise would have been necessary for the purchase of bail bonds.

Financial Effectiveness. Based upon the calculations determining the impact of the Department of Court Services on the existing correctional system, it is estimated that the cost of operating the Department of Court Services is at least \$454,229 less than the current costs borne by the state and the local correctional custodial systems for handling the same number and types of offenders.

RECOMMENDATIONS

On the basis of the information gained through this evaluation, it is recommended that:

- an independent section be created within the Department of Court Services to provide for systematic screening of all clients entering the programs operated by the Department. It would be the responsibility of this unit to interview all persons who are eligible for release consideration through either of the pretrial components of the Department; to develop and follow a set of objective release criteria for release on recognizance; to develop a systematic set of release criteria for potential clients for the Pretrial Services Project; to develop systematic criteria and procedures for transfer of clients from one unit of the Department to another, and to assume responsibility for departmental evaluation data collection, as required by the Iowa Department of Social Services and the Iowa Crime Commission.

- the approaches taken by the Men's Residential Corrections program in dealing with high-risk clients be adopted by the other units within the Department of Court Services; or, if such replication is not possible, to provide for transfer of such high-risk clients to the Residential Corrections program for treatment.

- the Women's Residential Corrections program either be discontinued or expanded sufficiently to allow its operation at an acceptable level of financial effectiveness.

Most of the figures which I question in this document are not mistakes as such, but rather the result of not specifying the data base or clarifying the criteria for significance or non-significance of results.

1. The summary states that, at the time of evaluation, probation case load was 618, with 232 being terminated, leaving 386 persons. Following this are various figures and percentages. However, nowhere does it state which figures these percentages are based upon; thus making this whole section and similar sections on Mens' and Womens' Residential Centers completely meaningless.
2. Also in the Summary of Probation Services, a statement is made to the effect that Probation Services have met a "significant level of effectiveness". Nowhere does it mention the criteria for significance; thus making this statement meaningless. Since most people will read the summary first and form opinions from this, it is essential that the criteria for significance be made clear immediately.
3. On page 44, the number, 232 persons, is used, which is the number of persons terminated during the evaluation period. It is stated further that 31.5% of these people committed new offenses. In the summary, it was stated that 31.5% of all probation clients committed new offenses. Unless this is an extraordinary coincidence, the number of persons on which this figure could be based (232, 386, or 618) would make quite a large difference in the number of people who committed new offenses.
4. On page 45 it states that only five persons (2.2%) committed offenses against persons. First, five persons out of 73 is 6.8%, not 2.2%. Second, offenses against public morals and offenses against public justice and authority are not considered personal crimes, which may be questionable, depending on what activities these categories consist. If these categories were added, the figure committing personal crimes would be 15%.
5. On page 47, it stated that less serious offenses are committed more quickly than more serious offenses after being assigned to probation, but that this is not significant. In stating this a significance level of .10 is used. This is unusually high significance level, as .05 or .01 are usually used in statistical tests and are also used in other tests in this document.
6. On page 73, it again states that 13% of all clients assigned to men's residential centers committed new crimes, however, the figures in the table are those of clients terminated during the evaluation period. Perhaps, this is the intention of the document (to use cases terminated) however, this should then be made clear to the reader.
7. On page 76, the fact that there is no relationship found this year (1973) between new offenses and criminal history, unemployment, and drug and alcohol use is taken to indicate the effectiveness of the program. However, another answer might be that a different type of person is now being assigned to residential centers. This possibly does not seem to have been explored.
8. Throughout this document, the researchers characterize those persons who are more or less likely to successfully complete the various programs. Thus state-

ments such as the following are made:

Employed persons commit fewer new offenses.
Excessive drinkers commit more new offenses.

However, it is never stated what constitutes more or fewer. This could be a difference of one or two new offenses or one or ten new offenses. It is also never clearly stated whether a successful program might not be one in which no new offenses were committed; i.e., the definition of a successful program is absent.

9. Finally, the objectives of the program are stated thus:

Post-Conviction

1. Immediate Objective - Community Safety
2. Intermediate Objective - Integrate the offender into society (criminal behavior indicates lack of social integration)
3. Ultimate Objective - Reduce future criminal behavior

Since a "significant level of effectiveness" is not defined, I would argue that 31.5% of probation clients committing new offenses could in no way be construed as connotating a successful program. I would argue instead that this large percentage indicates:

1. Failure of community safety
2. Failure to socially integrate an individual, as "social integration" is defined here
3. Failure to reduce future criminal behavior, not only in the indefinite future but even while the person is under the control of the criminal justice system

The men's residential center concept does appear to be more successful, although the confusion over statistics may make this statement questionable. However, even 16 of 116 persons committing new offenses (13%) would seem to be more acceptable to the public than 31.5%. However, 14 of these 16 people did commit felony offenses.

The small number of women in women's residential centers precludes any definite statement of success or failure.

CONTINUED

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