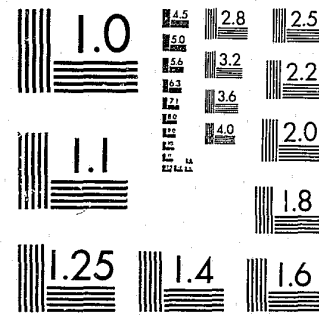


National Criminal Justice Reference Service



This microfiche was produced from documents received for inclusion in the NCJRS data base. Since NCJRS cannot exercise control over the physical condition of the documents submitted, the individual frame quality will vary. The resolution chart on this frame may be used to evaluate the document quality.



MICROCOPY RESOLUTION TEST CHART  
NATIONAL BUREAU OF STANDARDS-1963-A

Microfilming procedures used to create this fiche comply with the standards set forth in 41CFR 101-11.504.

Points of view or opinions stated in this document are those of the author(s) and do not represent the official position or policies of the U. S. Department of Justice.

National Institute of Justice  
United States Department of Justice  
Washington, D. C. 20531

DATE FILMED

7/27/81

40512

MICROFILME

Prepared under grant number 76 NI-99-0045 from the National Institute of Law Enforcement and Criminal Justice, Law Enforcement Assistance Administration, U. S. Department of Justice. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official positions or policies of the U. S. Department of Justice.

August 30, 1976

NCJRS

APR 14 1977

ACQUISITIONS

MICROFICHE

FRAMEWORKS

PHASE I EVALUATION OF INTENSIVE

SPECIAL PROBATION PROJECTS

MICROFILME

LOAN DOCUMENT

RETURN TO:  
NCJRS  
P. O. BOX 24036 S. W. POST OFFICE  
WASHINGTON, D.C. 20024

for

U. S. Department of Justice  
Law Enforcement Assistance Administration

prepared by

J. Banks, Principal Investigator  
A. L. Porter  
R. L. Rardin  
T. R. Siler  
V. E. Unger  
School of Industrial and Systems Engineering  
Georgia Institute of Technology

Local Advisory Board

Mrs. Rachel B. Champagne      Mr. Jim Pace  
Dr. Bruce Cook                      Mr. Inman Phillips  
Mr. George Cox                      Mr. Bill Read  
Dr. Richard E. Longfellow

TABLE OF CONTENTS

CHAPTER I

Introduction . . . . . 1

CHAPTER II

An ISP Framework and Measurement of Outcomes . . . . . 4  
The Analytical Framework. . . . . 4  
Goals . . . . . 8  
Outcome Measurement . . . . . 10

CHAPTER III

Measurement of Functions . . . . . 40  
Causal Sequencing . . . . . 40  
Typical Elements and Relationships. . . . . 42  
Prominent Alternative Paths . . . . . 43  
Client Change Models. . . . . 49  
Measurement . . . . . 52  
Case Contact/Supervision Measures . . . . . 56

CHAPTER IV

Recommendations. . . . . 59

BIBLIOGRAPHY

APPENDIX

40512  
C.2

LIST OF EXHIBITS

Exhibit I  
Model I: Intensive Special Probation Process Elements . . . . . 5

Exhibit II  
Model II: Factors in the Determination of Intensive Special Probation (ISP) Outcomes. . . . . 6

Exhibit III  
Process and Outcome Measures in Intensive Special Probation. . . . . 11

Exhibit IV  
Categorization of Helping Relationships. . . . . 47

Exhibit V  
Straight Behavioral Approach to Client Change. . . . . 51

Exhibit VI  
Straight Attitudinal Approach to Client Change . . . . . 51

Exhibit VII  
Combined Attitudinal and Behavioral Approach to Client Change. . . . . 51

Exhibit VIII  
A More Complex Model of Client Change. . . . . 53

CHAPTER I

INTRODUCTION

As part of its National Evaluation Program, the National Institute of Law Enforcement and Criminal Justice has sponsored a series of Phase I evaluation studies on specific topic areas. Each topic area consists of on-going projects having similar objectives and strategies for achieving them. In the Phase I evaluation, basic information related to the area is to be collected, synthesized, and assessed. Evaluation designs for further in-depth studies are to be provided where gaps in knowledge of the area exist. In some cases Phase I assessments will be followed by Phase II evaluation studies to obtain additional knowledge on the topic area.

Phase I assessments have seven work products:

- 1) • Issues paper drawn from general knowledge and past findings.
- 2) • Flow diagrams and descriptions of existing project intervention activities.
- 3) • Analytical frameworks for use in analyzing existing activities in a topic area.
- 4) • An assessment of what is presently known and not known about interventions in the topic area.
- 5) • An evaluation design for a Phase II evaluation study.
- 6) • A single project evaluation design for use on local projects.
- 7) • A final summary.

This paper presents work product (3), an analytical framework, for a Phase I study of Intensive Special Probation (ISP) Projects for adult probationers.

The initial definition of Intensive Special Probation required that projects be both intensive and special. Intensive referred to having a reduced caseload and special referred to providing a unique form of service or supervision to adult probationers. However, site visits revealed that, frequently, projects did not emphasize both of these particular interventions. This occurred even though the original description, obtained in the telephone survey, indicated that the project met the requirement of being both intensive and special. Consequently, the practical definition of Intensive Special Probation became projects which incorporated either or both increased intensity or a unique form of supervision.

Intensive probation occurs when the workload is substantially reduced from the prevailing levels. Projects with caseloads of fifty or less meet this criterion.

Special probation projects are those providing unusually individualized or specialized probation services. This includes projects which utilize volunteers, or paraprofessionals, as well as professional probation officers, for the purposes of improving the attention given and expanding the time available to offer assistance to probated offenders, often of a specialized group established according to type of offense, or age, sex, race or capability of the offenders. Probation projects which permit intensive caseloads and/or specialized counseling or services for offenders have been included in the ISP topic area.

The framework developed in this report was derived from the Interventions Papers which consists of site visit reports from twenty-one ISP projects (twenty of these were obtained on field visits and one was based on the published literature on that project). [1] Of these twenty-one projects, ten would be classified as intensive probation projects by usual standards in that they provided caseloads for probation officers substantially below the average caseload for the area. The remaining projects either made use of special personnel (volunteers, probation aides, paraprofessionals) or provided special or expanded services.

The Interventions Papers describe the project activities, their relationship to each other, immediate outcomes, anticipated final impacts, and potential and actual measures of process activities and outcomes. This information provided the common raw material for developing the framework for ISP projects discussed in this report.

A general ISP framework is introduced in the next chapter and represents the major elements or activities associated with the visited ISP projects. By linking these elements it is possible to describe the chain of assumptions from expenditure of funds to anticipated impact for a variety of ISP projects. These impacts or outcomes are considered from the standpoint of theoretical pertinence and measurability.

In the following chapter, again using this general framework, a series of alternative functional linkages are described for portions of the general model. This description and the associated analysis results in identifying the assumptions of various types of ISP projects and highlights the conceptual differences between such projects. A detailed consideration of the process and outcome measurements for ISP projects in conjunction with the text is provided. Included is an analysis of definitional variation among various ISP project elements, typical measurements currently being employed, potential measurements, and the identification of critical measurement issues. The final chapter consists of recommendations derived from the framework analysis.



## CHAPTER II

### AN ISP FRAMEWORK AND MEASUREMENT OF OUTCOMES

Construction of an analytical framework involves at least two essential parts--identification of the desired outcomes of Intensive Special Probation (ISP) Projects and of the requisite procedural actions to attain these outcomes. The latter is the topic of Chapter III, the former is primarily the concern of this chapter. The notion of establishing causal models, indicating the sequencing of process steps leading to particular outcomes, entails consideration of process actions and outcomes in conjunction. Hence, discussion of outcomes, their measurement, and their relation to alternative process paths takes place to some extent in both chapters.

#### The Analytical Framework

The analytical framework which constitutes the essence of this paper is intended to convey the major procedural elements that combine to produce the intended outcomes of an ISP project. To accommodate the diversity among ISP projects, the framework is formulated in terms of two basic models. Model I, labeled as Exhibit I and contained in the packet inside the back cover, distinguishes the elements of the ISP process. Exhibit I is discussed in extensive detail later in this chapter and the next. Model II, located at Exhibit II, considers factors relevant to the determination of ISP outcomes. Much of the detail concerning field practices, measurement gaps, and unresolved issues pertaining to the process elements is consolidated in a later exhibit which relates to the elements of Model I.

The main intent of Model II is to evoke design and measurement issues concerning ISP outcomes. Discussion of it takes place later in this chapter. Model II places the ISP project into context with relevant features of the project's environment and emphasizes the need for some basis of comparison against which to weigh the outcomes of a given ISP project.

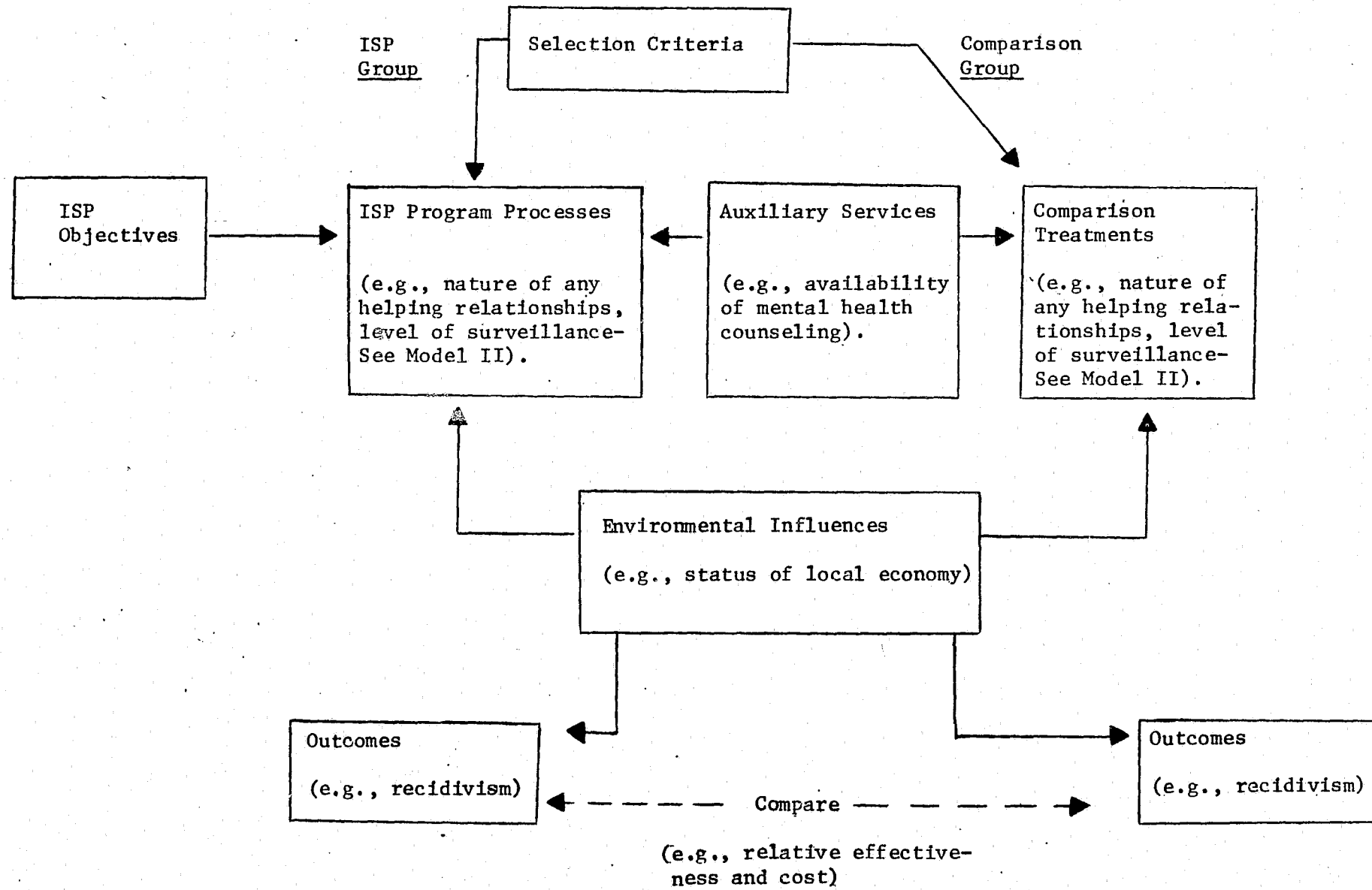
#### EXHIBIT I

#### MODEL I: INTENSIVE SPECIAL PROBATION PROCESS ELEMENTS

Located in the  
packet inside  
the back cover.

EXHIBIT II

MODEL II: FACTORS IN THE DETERMINATION OF INTENSIVE SPECIAL PROBATION (ISP) OUTCOMES



Model I which illustrates the array of ISP process elements, is the primary focus of the next chapter wherein it is analyzed in terms of alternative process pathways. However, it may be useful to the reader to consider the main features of Model I at this point. To begin, it should be emphasized that the Model derives from the site visit reports compiled in the Interventions Papers. [1] It attempts to specify a comprehensive set of ISP process features. While it is improbable that any one project would entail all of the elements, a given project assembles a coherent set of elements to span the conceptual distance between funding and project impacts.

The organization of Model I into sequential levels is intended to portray the general process flow. That is, additional funding usually results in additional personnel of some type and possibly additional support in the form of training, referral resources, or facilities (e.g., decentralized offices). Program development flows from additional funding leading to additional activities. From these activities flow facilitating factors such as better sentencing and referrals which in turn contribute toward better provision of services. These services aim to assist the client and change him or her in particular fashions with eventual favorable impacts for society. This is the basic conceptual framework for ISP upon and within which further elaboration of issues will be developed.

As an example of the flow process, the first overlay is described. Overlay 1 to Model I portrays the main elements that might be involved in a typical volunteer program.<sup>1</sup> In this scenario, funding is used to support administrators for the volunteer project. They in turn develop the organization, and recruit

<sup>1</sup>The overlays which are contained in the packet inside the back cover, can best be used by placing them individually over Model I. They display selected portions of paths that correspond to text discussions--they are not intended to represent complete ISP processes, but rather to highlight conceptual alternatives within ISP.

and train volunteers from the community. The volunteers provide additional contact time with the probationers which results in helping relationships of several types. These in turn may assist the probationer in securing and maintaining a job, which in conjunction with the enduring volunteer-probationer relationship leads to improved self-functioning. Self-functioning refers to the offender's capacity to make viable choices. As a consequence of improved self-functioning, attitudes and values shift toward socially acceptable norms. This results in more socially acceptable behavior, decreased criminal activity and recidivism, and lowered social and economic costs. Concurrently, the public relations and volunteer recruitment serve to enhance community awareness of probation. This in turn leads to enhanced community acceptance, given socially satisfactory behavior by the probationers or increased understanding of the probationer's actions or situation by the community. Obviously, one could include many other elements and connections in a volunteer project, but Overlay 1 is offered as a basic volunteer effort. Further definition of each of the elements and overlays, along with typical and potential measurements and salient issues are presented in a later discussion.

#### Goals

Determination of project outcomes is of most interest insofar as the outcomes pertain to project goals. This obvious point is of considerable importance as one moves toward evaluation of ISP projects. Put simply, outcomes of different projects are not likely to be directly comparable if the projects aim at diverse goals.

Three prominent goals generalize from the site visits to 20 ISP projects and literature review of another-- 1) enhancing the capability of the client to function effectively in society and for him or herself, 2) protecting the community by minimizing criminal activity on the part of the client, and

3) reducing the prison population through propitious use of probation. While these are by no means mutually exclusive they do point toward different perceptions of what a probation project is attempting to achieve and the consequent variations in priorities and tradeoffs.

The goal of improved client functioning suggests that change of attitudes within the individual toward compliance with societal norms is the long range aim. By so doing, one provides for the individual to do such things as make successful choices, accept responsibility for his or her actions, and, thereby, function more effectively in society. In the long run then, society will be better protected as well, but the focus is on helping the individual. Toward this goal, one may be willing to tolerate a greater level of deviant behavior in the short run to provide the client with opportunities to learn to make alternative choices to criminal behavior.

The sense of community interest reflected in minimization of criminal activity is more compatible with an authoritarian corrections perspective. In this view, one is more likely to directly manipulate the client's environment, require him or her to obtain and maintain a job, and maintain close surveillance over client behavior. The desired outcome of minimal criminal activity by previous offenders can be measured in terms of recidivism. While improved client functioning may be viewed as desirable (or even necessary) in this view, the payoff is in terms of reduced recidivism.

The goal of increased use of probation as an alternative to incarceration is probably the most pragmatic in outlook. Whether or not one can significantly reorient an offender, one can conserve resources by reducing the prison population, and this is desirable if it can be done without undue risk to society. The supposition that probation is less injurious to the individual than prison, and, thus, may lead to a better future prognosis for a crime-free life style is a secondary bonus.

Other goals relating to effective use of probation resources and community acceptance of probation can be noted. In general, these are not contradictory to the first three goals, and indeed, fit together with them in a straightforward manner. Attainment of any such goals is another matter. In the discussion of alternative causal linkages in Chapter III, it will be seen that an element such as community acceptance may be deemed an important early step in the process and/or a final outcome.

#### Outcome Measurement

As can be noted in Model I (Exhibit I located in the packet inside the back cover) and/or Exhibit III, one can identify numerous outcomes. Outcome measures of probation projects are those which seek to document changes in probationers that may have been caused by project activities. These outcome/success measures are thus related more to the project goals than to project activities. If a project can show no improvement in outcomes, then the project must be deemed ineffective in terms of those outcomes. On the other hand, if a reliable outcome measure does indicate improvement during the period of the project, and the improvement cannot reasonably be attributed to causes other than the project, then the project can be considered at least partially successful.

The problems in obtaining reliable outcome measures are more severe than those connected with process measures because the items being measured are much less under control of project management. However, nearly all the evaluations summarized in the Issues Paper attempted some form of outcome measurement. [2]

By far the most commonly employed measures of probation project outcomes are those which deal with recidivism, i.e., negative behavior on the part of clients which results in their being rearrested, reconvicted, or recommitted. For many years, such measures have been widespread (though not

EXHIBIT III

PROCESS AND OUTCOME MEASURES IN INTENSIVE SPECIAL PROBATION

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Funding	Additional funds provided for the purpose of the project.	Funds awarded, or dollars expended—usually in terms of personal services, supplies, equipment, travel.	In multi-faceted ISP projects it would be useful to have program rather than a line-item budget reflecting, for instance, expenditures on job placement separate from those for drug treatment.	<ol style="list-style-type: none"> <li>1. In some compound programs, it may not be possible to factually dissociate funding for ISP—e.g., composite probation/parole projects or in large probation departments with line-item budgets subsuming an ISP project. More typically since funding is usually provided on a project basis there is no problem in determining direct ISP expenditures but determining indirect costs is difficult.</li> <li>2. Expenditures are often reported for odd time periods, making comparative calculations difficult.</li> <li>3. Note the discussion of cost-effectiveness in Chapter II.</li> </ol>
Volunteers	Activities include recruitment, training, matching with clients, and super-	Number of volunteers recruited, trained, and matched with clients.	Recruitment activities. Time and content of training sessions, evidence of retention	<ol style="list-style-type: none"> <li>1. Should volunteers undertake a in-depth relationship or more mundane helping efforts?</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
	<p>vision of volunteers. Volunteers may engage in one-on-one client counseling or special training ventures such as provision of group therapy sessions.</p>	<p>Some background information on volunteers on client contacts. Number of clients matched to a volunteer, maintained weekly and accumulated monthly.</p>	<p>and application of training, matching criteria. Hours worked by volunteer on various tasks (San Jose). Attitude and opinion surveys of volunteers regarding client relationships (San Jose). Perceived relationship of client behavioral changes to volunteer activities. Services provided by volunteer. Medium through which contacts were made. Number of contacts between probationer and volunteer per unit of time, and length of contacts. Indicator of contacts between probation officer and volunteer. Utilization of specialized volunteers. Race/sex/age of volunteers.</p>	<ol style="list-style-type: none"> <li>2. Volunteer may or may not perform significant surveillance functions.</li> <li>3. Probation officer may or may not continue to interact significantly with the client.</li> <li>4. Use of volunteers typically does not reduce probation officer caseloads.</li> </ol>
<p>Interns (Des Moines)</p>	<p>Directed training and practicum efforts toward production of future professionals.</p>	<p>Number of interns</p>	<p>Skill acquisition levels, services performed, caseload reduction.</p>	<ol style="list-style-type: none"> <li>1. Interns may or may not reduce professional supervisors' caseloads.</li> </ol>



Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Aides (New York City, Cambridge, Tucson— aides)	Paraprofessional hired to perform such functions as investigations, client relation- ships, and community liaison.	Number of aides, experience, education, salary, geographic residence. Work measures such as number of PSI's com- pleted or completion of psychological profile instrument on clients.	Quality of work per- formed in terms of thoroughness, complete- ness, and timeliness. Probation officers' time saved by tally- ing distribution of time before and after aides program commences.	<ol style="list-style-type: none"> <li>1. Can indigenous aides act as liaison agents between the probation office and the community, leading to increased community acceptance?</li> <li>2. Can aides matched to clients on age, race, neighborhood, and/or criminal record relate better to clients than can professionals?</li> <li>3. Should aides and probation officers work as teams to deliver more effective service (New York City)?</li> <li>4. Does the use of aides to perform information-gathering services, thereby relieving the professionals of this chore, lead to increased professional contact time?</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Professionals	Usually, probation officer. Also, on occasion, evaluators, specialized supervisors.	Number of staff hired. Experience.		1. Proper training, experience, background, to enhance success.
Specialists (Brockton, Baltimore - narcotics)	Of various types, for instance, specialized probation supervisors, training consultants, or volunteer group counselors.	Number of specialists. Experience.	Quantity and quality of services provided.	1. Acquisition of in-house skills versus use of referrals to other community agencies.
Administrators	Proper coordination activities, especially noteworthy for new programs.	Number, positions, salary.		1. In such ISP activities as volunteer programs, the activities of the program administrators supervisors may be significant in terms of efforts expended in direct client services.
Training	Training of probation staff.	Staff hours spent in training.	Examinations to measure facts and concepts learned (before and after testing). Degree training applied and relationship of training to effectiveness with client.	

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Referral Resources (Michigan, Oregon, Des Moines)	Provision for support for referral activities (purchase).	Dollars expended/month	Increase in service availability and usage resulting from purchase. Quality of service as a function of purchase.	<ol style="list-style-type: none"> <li>1. Does provision of funding for referral services (community services) increase availability, usage, or quality?</li> <li>2. Do formal service arrangements work better than informal?</li> <li>3. Do referral services work better or more efficiently than in-house?</li> </ol>
Facilities	Establishment of neighborhood probation offices.	Number	<p>Survey public attitude toward probation in surrounding communities as compared to before the neighborhood office opened or to other communities without neighborhood offices.</p> <p>Likewise, surveys probationer attitudes toward probation.</p> <p>Likewise, measure probation staff familiarity with community resources on a comparative basis.</p>	<ol style="list-style-type: none"> <li>1. Do neighborhood offices with lowered criminal justice system atmosphere lead to improved community interactions?</li> <li>2. Do neighborhood offices contribute to reduced probationer hostility?</li> <li>3. Does decentralization of facilities lead to enhanced awareness and use of community resources?</li> </ol>
Reduced Caseload	See Chapter III discussion on "Measurement".	Number of active clients divided by number of agents (on a monthly basis).	<p>Scoring scale allotting extra units for pre-sentence investigations, differential units based on intensity of supervision required.</p> <p>Document type of clients served.</p>	<ol style="list-style-type: none"> <li>1. See Footnote 1 (at end of the Exhibit).</li> <li>2. Should reduced caseload be used as a measure of anything?</li> <li>3. Refer to the discussion under volunteers, that</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Internal Organizational Development (San Jose, Des Moines)	Augment or create a Probation Department or Special Program Unit.	Number of staff and clients. Implementation of new activities (survey probation officers' acceptance).	Consider the following measures taken in the Atlanta project: Probationers at end of previous month, number revoked, discharged, transferred out, newly assigned, transferred in, and probationers at end of current month. Field contacts with clients, their families, referral agencies, and other community resources.  In-depth organizational analysis.	they typically do not reduce caseload yet do lead to increased contact.  1. In several instances development of a more effective (or new) probation organization was paramount. These programs may not be ISP projects per se. Nonetheless organizational development does appear to be a significant ISP issue. For instance, in one case it was reported that caseload reduction did not affect contact character until new probation officers were brought in to replace some of the old ones.
Coordination with Other Agencies	Effort to enhance ties with other elements of the criminal justice system (e.g., courts, police)	None	Log consultations with other than program people, record time expended.	

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Information on Client Needs	<p>and with community service agencies.</p> <p>Information on client needs may be gathered through pre- or post-sentence investigations, formal testing, or informal interviewing. It may be used in sentencing, referrals, special caseload screening, or as guidance for staff-client interactions.</p>	<p>Number of PSI's, social histories, etc.</p> <p>Number of contacts between supervisor and client.</p> <p>Case profile would contain needs identified.</p> <p>Referrals for testing.</p>	<p>Comparison between counselor perception and needs as diagnosed by some other means.</p> <p>Time for PSI preparation.</p> <p>Quality of PSI's, social histories, etc. in terms of thoroughness, timeliness, etc.</p> <p>Subjective evaluation of the usefulness of information provided.</p>	<ol style="list-style-type: none"> <li>1. Information on client needs is usually identified as an important step in the ISP process.</li> <li>2. Information may be obtained by probation officers, special staff (separate investigation units), aides, or referrals for testing.</li> <li>3. Aptitude and attitude tests are not routinely administered by typical projects.</li> </ol>
Information on Available Community Services	<p>Identify those community resources available for client referral.</p>	<p>Number of resources in community resource file.</p>	<p>Number, time and type of community contacts (Baltimore--team).</p> <p>Test officer knowledge of both factual information on community programs (e.g., where located, eligibility, etc.), and efficacy of the programs (a subjective dimension probably).</p> <p>Log updated evaluations of service quality provided based upon client and/or supervisor perceptions.</p>	<ol style="list-style-type: none"> <li>1. Establish common knowledge base (a handbook or community resource coordinator) or specialized areas of expertise among the staff.</li> <li>2. Devote extensive time to community interaction by the staff, or not (often associated with decentralization of probation services).</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Public Relations	Information dissemination to improve community acceptance of probation.	Number of contacts made. Number of talks given.	Poll public opinion in areas with and without public relations efforts. Log-chronology of speaking engagements, other significant contacts (Evansville, Denver).	<ol style="list-style-type: none"> <li>1. Often associated with decentralization, neighborhood offices.</li> <li>2. Is this a useful and appropriate activity for probation officers or probation public relations speciality?</li> </ol>
Increased Contact Time	Time of client - probation staff interaction.	Number of contacts	See Chapter III, "Measurement". Time of Contact. Comparison of time distribution among activities before and during ISP and regular probation programs. [Information on type of contact, i.e., formal or informal, and location of contact, i.e., office, home, community or other would be useful. A validated classification of levels of contact to reflect the intensity of contact would be a further refinement.] Number and type of additional contacts with other than clients.	<p>See Chapter III, "Measurement".</p> <ol style="list-style-type: none"> <li>1. Should the definition of ISP refer to increased contact time rather than reduced caseload?</li> <li>2. Increased contact may also involve contact by volunteers or aides, or by specialized service staff (e.g., drug treatment program).</li> <li>3. Contact may be a function of accessibility, for instance, neighborhood offices may facilitate "drop-in" visits by clients or others in need of advice. Community relations may foster such contacts with clients, client</li> </ol>



Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
				families and friends, or with offenders not in the program per se.
				4. Relieving probation officers of tasks which can be accomplished by others (e.g., investigations) can greatly increase available time for contacts.
				5. Reducing caseload or otherwise increasing the time available to the probation officer does not insure that this will result in increased time of contact -- probation officer's experience, conceptual models and attitude may argue against this in some instances.
				6. Increased demands for record keeping (e.g., contact logging) for evaluation purposes may be at the expense of contact time.
				7. Contact measures incorporating time, type, location, nature, and intensity are desirable. Time appears superior to number of contacts alone, but it is not sufficient in itself.

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Improved Sentencing (Anne Arundel County, Atlanta, Orlando).	Provide the court with better information, provide range of conditions on probation.	Number of PSI's completed.	Measure of the quality of PSI's -- completeness, timeliness, reliability, and extent to which they are used. Survey of judges to compare PSI's prepared under special conditions (e.g., special PSI units, or aides perform investigations). Follow-up on sentencing effectiveness -- comparative studies with various forms of information provision tracked through offender release and potential recidivism.	<p>8. Almost all projects keep narrative logs of contacts, but quantitative measures are lacking.</p> <p>1. Value of particular types of information to judges in influencing sentencing vs. costliness of obtaining that information.</p> <p>2. Relative effectiveness of PSI's conducted by aides, special PSI units, or P.O.'s.</p>
Special Caseloads	Division of client population into special groups based on various criteria.	Type and number.	Number screened and number included. Specific criteria for inclusion.	<p>1. Effectiveness of team approach whereby each P.O. develops special expertise in some area.</p> <p>2. Effectiveness of case specialization on a variety of grounds, separating clients according to:</p> <ul style="list-style-type: none"> <li>- sex, race, etc.</li> <li>- nature of offense (felony vs. misdemeanor, first offenders</li> </ul>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Sound Referrals	Obtain social services from outside community agencies.	Number of referrals made. Number of services rendered. Agencies providing services.	Evaluation of adequacy of services rendered (quality, time) (Cambridge). Follow-up survey of referral agencies to assess appropriateness of referrals made to the agency, waiting time, and outcome. Follow-up with clients to determine the quality of referrals. Determine needs for which services are not available through tabulation of classes of referrals.	<p>vs. repeat offenders, sex crimes, burglary only, etc.)</p> <ul style="list-style-type: none"> <li>- client capabilities (mentally deficient clients, educational and employment skills).</li> <li>- special needs (drug and alcohol problems seen as causes of criminal activity).</li> <li>- level of supervision deemed necessary (intensive to 'paper case-load').</li> </ul> <ol style="list-style-type: none"> <li>1. Who makes the referral -- probation officer, assessment team, volunteer?</li> <li>2. What arrangements best facilitate good referrals -- payment for services, formal arrangements, informal arrangements, or in-house services? Does decentralization of probation facilities help?</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
			Provide handbook of available services to probationers so they can provide their own services.  Number of referrals per client.	

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
More Probation Options	Choices Available for staff-client assignments, also for conditions on probation.		Measure range of dispositions before the project began versus distribution over time as the project gained acceptance.	<ol style="list-style-type: none"> <li>1. Presumed utility of improved match-ups through option availability-- e.g., volunteers available, number of probation officers specialized treatment groups, and availability of community services.</li> <li>2. Explicit criteria for such matching and are lacking.</li> </ol>
Greater Community Awareness	Through neighborhood office location and public relations activity of project personnel, improve community awareness of and attitude toward probation.		[See "Public Relations" and "Better Client-Community Interactions" also.] Use survey techniques to sample community opinion on probation [before/after ISP inception], or comparing between communities with and without special programs.	<ol style="list-style-type: none"> <li>1. Does this lead to better client-community interactions (and hence toward desired outcomes)?</li> </ol>
Specialized Treatment (Baltimore-narcotics; Philadelphia; Stark et al. Counties, Ohio; Tucson-mentally deficient)	Provision of treatment focused on particular client needs-- e.g., alcoholism, drugs, sex offenses, and so on. More broadly, this also encompasses special training efforts, both for general education and job orientation, and various counseling programs.	Program description-- criteria for client inclusion. Number partaking of special program elements. Periodic urinalysis results.	Effect of special treatment on client attitudes and behaviors, e.g., test for learning in educational programs, further related offenses (drunk driving charges against alcoholics), employment records (stability, earnings, advancement), and so on.	<p>[See "Special Caseloads" also].</p> <ol style="list-style-type: none"> <li>1. Should specialized treatment be performed through referrals to outside community agencies, through collaborative efforts (Des Moines), or strictly in-house?</li> <li>2. There are numerous client need-specific issues beyond the scope of this framework, such as the question</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Job Referral and Placement	Provision of assistance in securing job placement.	Number of probation officer efforts and job referrals made.	Time sample probation staff work activities to determine how time is allocated. Success of referrals.	<p>of which approaches to alcoholic offenders are most effective under what circumstances.</p> <p>3. Do confidentiality issues justifiably prevent good measurement?</p> <p>1. Can placement best be handled by outside agency specialists (formally or informally), by probation department employment specialist, by probation officers, or by aides or volunteers?</p> <p>2. What pressures on probationers are most effective in obtaining employment -- ranging from condition of probation under threat of revocation to a supportive non-pressured stance?</p> <p>3. What community factors are conducive to increased probationer employment assistance?</p> <p>[See "Increased Contact Time" also]</p>



Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Helping Relationships	<p>This central element in the probation process takes on a variety of forms:</p> <ul style="list-style-type: none"> <li>- minimal assistance with job transportation or technical problems, to supportive, in-depth counseling over a long term.</li> <li>- friendly confidant to enforcer of a behavioral contract.</li> <li>- role model for probationer or agent of the criminal justice system;</li> <li>- involvement of a specialist, probation officer, or volunteer.</li> </ul>	Casebook entry for actions taken, contacts made.	<p>Daily file entries on all contacts (Des Moines). Classify contacts by type, frequency, and intensity. Entry and exit client and probation officer surveys regarding effectiveness of relationship in terms of detectable client changes and perceptions. Post-probation contacts over a period of a year or more. Psychological testing before and after probation to determine if the stated dynamics are occurring. Devise scales to reflect the character of contacts that are simple and easy to use and can be used consistently by different probation officers. Review board might evaluate the counseling quality of probation officers with various types of clients under various conditions.</p>	<ol style="list-style-type: none"> <li>1. How can one best develop an enduring, trusting relationship and does this lead to desired client changes and system outcomes?</li> <li>2. To what extent is information on client needs reflected in assignment to treatment and in the development of appropriate helping relationships?</li> <li>3. Does type of supervision provided relate to outcomes in any demonstrable way?</li> </ol>
Separation of Function (Evansville, New York City)	Involvement of two people to play the roles of friend and enforcer respectively,		Survey client attitudes to determine perceived degree of role separation.	<ol style="list-style-type: none"> <li>1. Given that the probation staff sees utility in both providing a helping</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
	for instance, by a volunteer and probation officer respectively.			relationship and performing surveillance functions, does separation of function yield more favorable outcomes?
Surveillance	An authoritarian stance places emphasis on the rules with close client monitoring to determine if infractions occur.	Number of contacts [See "Reduced Caseload" and "Increased Contact Time" also].	Contact classification giving type, reason for contact, and frequency. Changes in the time of probation violation detection attributable to increased surveillance (some basis of comparison implied--comparison program groups and/or before and after design). [See "Reduced Caseload" and "Increased Contact Time" also].	<ol style="list-style-type: none"> <li>1. Is information on clients effectively used to devise appropriate surveillance modes?</li> <li>2. Does surveillance contribute to decreased criminal activity? To decreased recidivism?</li> <li>3. To what extent is increased surveillance likely to increase the revocation rate?</li> <li>4. Is surveillance separable from counseling?</li> </ol> <p>[See "Reduced Caseload" and "Increased Contact Time" also].</p>
Improved Client Community Interactions	This encompasses relationships between probationers and community service agencies and neighborhood attitudes toward probationers.	Number of referrals made	Measure client participation and success in community programs, including clients' attendance, achievement, and opinion of programs.	<ol style="list-style-type: none"> <li>1. Confidentiality concerns may limit exchange of client information between programs.</li> <li>2. To what extent does enhancement of community support lead to increased socialization of probationers?</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
More Client Options	Greater information and number of alternatives available within the community for probationer service.		Number and type of program (training, treatment, etc.) options available to clients. Also, number and type of employment, transportation, residence, etc. opportunities available. Survey client awareness of options before, during, and after probation.	<ol style="list-style-type: none"> <li>1. Client commitment to special programs can possibly be enhanced by increased choice.</li> <li>2. Exercise of choice by client may lead to increased self-responsibility, and selection of legal options.</li> </ol>
Employment	Employment of Client	Employment and referral records	Classification of job categories as to skill level and income, as a basis for refined discussion of "employment." Record and tabulate job satisfaction. Employment status. Number of jobs held. Annual income versus needs. Number of months employment of total months available for employment.	<ol style="list-style-type: none"> <li>1. To what extent do training programs lead to employment, to better employment?</li> <li>2. Employment income is a key requirement for personal stability.</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Client Stabilization	Includes both a satisfactory means of economic support and a realistic value system.	Employment and employment history, vis-à-vis drug or alcohol programs, can measure stabilization via urinalysis or drinking incidents reported.	Plus form a comparison group against which treatment group is measured for significant difference.  Psychological tests of attitudes over time.	<ol style="list-style-type: none"> <li>1. Is stability a necessary, important step toward the desired social outcomes?</li> <li>2. What is the relationship between external (economic) stability and internal (psychological) stability?</li> </ol>
Decreased Hostility Toward Criminal Justice System	Clients would accept the system and agree to work within it rather than reject it. Probationers would have less fear that the department is trying to revoke them.	Field book entries.	Attitude test given before and after probation (ideally, given also to comparison probation group). Further, measures to associate attitude toward the C.J.S. with client participation in the treatment program.	<ol style="list-style-type: none"> <li>1. Can such measures as indigenous aides, volunteers, and the convenience and informality of decentralized probation offices significantly change attitudes toward the C.J.S.?</li> <li>2. In the Baltimore - narcotics project, increased client hostility is portrayed as a process element resulting from increased supervision contact and knowledge of clients because client life styles are seriously impacted by probation supervision. Is this an effective alternative path to favorable outcomes?</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Improved Self-functioning	The central notion is client change toward greater self-responsibility.	Casebook discussion of family problems and other aspects of client life style and their status. Tally number of legal dependents, public assistance, income and source, student status, marital status and living arrangements at entry and exit (Des Moines).	Entry and exit personality profiles; tracking of improvements in noted problem areas. Devise a test to measure the capability of clients to cope with realistic problems to be administered at entry and exit. A standardized test to measure socialization at entry and exit would be informative.	<ol style="list-style-type: none"> <li>1. The entire client change leading to decreased criminal activity segment of the ISP pathways is unclear. See Chapter III, "Client Change Models."</li> <li>2. To what extent do different client change models merely reflect different levels of detail and different terminology versus different underlying change processes?</li> </ol>
Attitude Change	Personal attitudes, goals, and values merge with socially acceptable attitudes, goals, and values.	Subjective judgments, if at all.	Comparison for similarity of client responses to situational choices reflecting commonly accepted attitudes, goals, and value in American culture. Or better, valid and reliable measures of degree and type of deviations as compared with non-probated population segments and the relationship of such to criminal behavior.	<p>See Chapter III, "Client Change Models."</p> <ol style="list-style-type: none"> <li>1. Is this possible to attain from probation programs?</li> <li>2. Is this necessary to obtain satisfactory behavior?</li> <li>3. What are suitable cultural comparison bases for probationers?</li> <li>4. Is attitude change toward conformity with white middle-class values justifiable?</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Behavior Change	Alter client behavior of concern toward socially acceptable norms.	Casebook narratives describing behavioral problems and their correction.	Repeat diagnostic tests at entry and exit. Tabulate behavioral needs. Establish attainable behavioral goals and record progress. Repeated administration of a survey instrument by probation officers subjectively assessing client behavioral patterns.	See Chapter III, "Client Change Models." 1. Is behavioral change without concern for attitudinal change an adequate treatment focus?
Decreased Criminal Activity		Arrests and convictions while on probation. Revocation.	See Chapter II, "Measurement Issues." Comparison of arrest and conviction rates with a suitable comparison group. Arrest and conviction rates after project release. Relate crime rates with specific program elements, such as probation officer characteristics, presence of a volunteer, and/or employment record. Victimization studies also. Crime seriousness.	See Chapter II, "Measurement Issues." 1. Arrest and conviction data only reflect those who are caught. Determining actual criminal activity is not presently possible. 2. How should crimes be weighed since they are not of equal concern?



Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Enhanced Community Acceptance	Neighborhood offices, public relations, and, above all, increased public safety lead to improved public confidence in probation programs.		Survey public attitudes on a comparative basis, seeking rationale for public attitudes as well. Compare different communities, before and during ISP project duration.	<ol style="list-style-type: none"> <li>1. What factors are most influential in improving community acceptance of probation?</li> <li>2. Relate community acceptance to usage of probation.</li> </ol>
Decreased Revocation	Lowered rate of return of offenders to prison due to technical violation of probation conditions or to commission of new crime.	See Chapter II, "Measurement Issues." Number and type of revocation per time unit.	<p>See Chapter II, "Measurement Issues."</p> <p>Compute revocations for various outcome conditions such as violations of technical conditions or commission of another offense.</p> <p>Use time since placed on probation to compute rate.</p> <p>Use a comparison group as possible. Link revocation to probation officer assessments.</p>	<p>See Chapter II, "Measurement Issues."</p> <ol style="list-style-type: none"> <li>1. Is revocation an appropriate outcome measure, given that many programs explicitly try to decrease or increase revocation rate?</li> </ol>
Increased Revocation	As a result of increased surveillance, increase number returned to prison for violations/ crimes.	Number and type of revocation per time unit.	See "Decreased Revocation."	<p>See "Decreased Revocation."</p> <ol style="list-style-type: none"> <li>1. Does closer surveillance lead to earlier or later revocations?</li> <li>2. Does increased revocation lead to reduced total criminal activity (increased public safety)?</li> </ol>

Exhibit III, Contd.

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Decreased Recidivism	<p>Can be defined:</p> <p>a) after probation or b) during probation</p> <p>Can count:</p> <p>a) new arrests b) new indictments c) new convictions d) revocations e) or exclude revocations</p>	<p>See Chapter II, "Measurement Issues." Number of arrests during probation.</p>	<p>Termination of probation by type, new arrests after termination, percent arrested after termination by type of offense, arrests and percent arrested during probation - by type of offense. Number of rule infractions disciplined. Consider time at risk for each client. Relate recidivism to treatment elements. Establish appropriate comparison groups.</p>	<p>3. Should an objective of ISP programs be increased revocation rate, decreased revocation rate, or neither explicitly?</p> <p>4. Reality therapy/behavioral contracting can lead to direct requirements for revocation.</p> <p>See Chapter II, "Measurement Issues."</p> <p>1. The absence of adequate means to track former offenders after release is a present problem. Several locales are establishing suitable information systems.</p> <p>2. The lack of a common measurement standard undermines comparison between projects.</p> <p>3. All crimes are not of equal seriousness.</p>
Increased Use of Probation (Michigan, Des Moines, etc.)	<p>Wider use of probation without decreasing public safety is a goal of a number of ISP programs.</p>	<p>Number on probation.</p>	<p>Number on probation by type of offense vs. number incarcerated (percentage). Number on various forms of probation.</p>	<p>1. What cost savings result from increased use of probation rather than incarceration?</p> <p>2. How can one compare recidivism rates between probationers and those im-</p>

Exhibit III, Contd,

<u>Element</u>	<u>Definition/Levels</u>	<u>Typical Measurements</u>	<u>Potential Measurements</u>	<u>Critical Issues</u>
Decreased Incarceration	As use of probation increases, prison population should decrease.	Number in prison, number on probation.		<p>prisoned, given that those in prison have little chance of committing crime while in prison yet may have a poorer prognosis beyond release?</p> <ol style="list-style-type: none"> <li>1. The objective of decreased incarceration via increased use of probation does not require attention to post-probation outcomes.</li> </ol>
Decreased Social Costs	Net costs to society from client treatment and behavior.	None	<p>Cost-effectiveness measures including direct costs of probation program and indirect costs such as criminal losses, welfare payments to families, and lowered tax bases. Relative costliness of alternative programs such as incarceration.</p>	<ol style="list-style-type: none"> <li>1. How cost-effective is ISP relative to regular probation? Relative to incarceration?</li> <li>2. Measurement of indirect costs is vitally important but very difficult.</li> </ol>

entirely accepted) in the field of corrections. However, numerous measurement issues connected with recidivism are still unresolved.

One important controversy deals with the choice of the negative behavior which should be counted as recidivism. Among the possibilities commonly discussed are:

- 1) Unsuccessful probation termination defined as termination of probation by having absconded, being revoked and committed to prison, or being convicted of an additional crime.
- 2) Rearrest defined as being arrested for an additional crime during the time at risk.
- 3) Reconviction defined as being convicted of an additional crime during the time at risk.

For each of these there are many variations, including distinguishing between "technical violations" of probation and actual crimes, and attempting to weigh the seriousness of the crimes involved in arrests/convictions. Virtually all of these possibilities were used in some form by at least one of the evaluations reviewed and projects visited. [2, Appendix]

The National Advisory Commission on Criminal Justice Standards and Goals has recommended that recidivism be measured by "1) criminal acts that resulted in conviction by a court, when committed by individuals who are under correctional supervision or who have been released from correctional supervision within the previous three years, and by 2) technical violations of probation or parole in which a sentencing or paroling authority took action that resulted in an adverse change in the offender's legal status. Technical violations should be maintained separately from data on reconvictions" [3]. The logic behind this definition is that a reconviction is a well-defined legal event which admits to less bias and variation than arrests or technical violations, and that the period of three years after supervision

is long enough to include crimes committed by most offenders who will recidivate at all.

In the Issues Paper references were made to standards similar to that above but almost all field analyses used other measures. [2] The reasons given for not using the standards include a series of practical problems with measuring re-conviction recidivism in an operating intensive special probation project.

One important problem is timing. Project evaluation reports frequently are intended to give periodic information about the progress of the project, so that activities can be redirected as necessary and the impact of innovations assessed. The long time delays inherent in convictions--particularly if a several year follow-up period is included--almost assure that no useful reconviction recidivism data can be available before the end of a one to three year project. Unsuccessful terminations and arrests during the probation period provide much more timely information and are attractive because they are more likely to show meaningful results within the period of project review. In addition, few projects have any real capability to follow the history of a client after he has been released from supervision. Follow-up studies are slow and costly, complicated by the high mobility of offenders, and the lack of effective criminal information systems. LEAA's Comprehensive Data Systems Program is helping remedy the information system deficiencies.

Even when the more rapid measures of recidivism are employed, the fact that at any point in a project, cases will have been on probation for different lengths of time complicates estimation. In the evaluations reviewed, many different forms of standardization were used to account for such variations in the time probationers were "at risk" for recidivism, but no entirely adequate scheme was identified. Perhaps the most common was the use of the

"violation index" defined as follows:

$$\text{Violation Index} = \frac{\text{Number of Cases Terminated Unsuccessfully}}{\text{Total Number of Cases Terminated}}$$

Observe that this index is a valid basis for comparing probation programs only if the length of time before normal terminations is equal among the programs being compared. As the length of time to normal termination is decreased, the violation index will also decrease because the chance of unsuccessful terminations decreases. Intensively supervised cases often have different rates of early termination; in some instances, probationers may be 'terminated' via transference to a regular probation program. (Further confounding the measurement problems if comparisons are being attempted between the respective programs.)

Such difficulties with the violation index are an example of another recurring difficulty with recidivism measures in intensive probation projects-- interactions between the level of supervision and the measured recidivism. In several ways increased supervision can unintentionally result in an increase in measured recidivism. Adams, Chandler, and Neithercutt observed in reviewing the well-known San Francisco project that higher rates of technical violations among persons under intensive supervision may have been a consequence of closer supervision monitoring of the probationer's activities. [4] Several other studies found increased rates of technical violation among intensively supervised cases. It has been suggested that a supervisor's knowledge of re-arrests or reconvictions might also be increased when clients are supervised intensively. Again, an increase in measured recidivism would result. However, the opposite phenomenon has been reported in the Interventions Papers. [1] When the probation officer knows the client well, he or she may know the circumstances surrounding the incident better and be willing to give the client a break.

Further distinction can be drawn between recidivism and revocation. Unfortunately, usage of the terms is both confusing and widespread. For the present discussion, it is helpful to distinguish between revocation as commitment to prison for a violation of the conditions of probation, and recidivism as commission of an additional crime. There is still room for confusing overlap. For instance, if a client is arrested while on probation for some criminal activity and revoked without a trial on the criminal charges, this might be counted as a revocation (not recidivism), an incident of recidivism (not a revocation), or both a revocation and a recidivism incident. Indeed, projects can be found to show revocations as a subset of recidivism (new criminal activity or violations that do not always lead to a prison confinement), or recidivism as a subset of revocations (wherein revocation includes both technical violations and new criminal activity). Such measurement problems are a serious impediment to generalization about ISP outcomes.

The ability to measure an outcome does not in itself guarantee a possibility of intelligent inference concerning the reason that outcome came about. Model II (Exhibit II) arrays some of the important factors that could contribute to differential outcomes and hence to conclusions about the effectiveness of ISP programs. The overriding feature of Model II is the commitment to a comparative evaluation--that is an interpretation of outcomes can only be meaningful if made against some reference point. The comparison group would ideally be established according to the tenets of sound experimental design with such features as random assignment of clients to treatment. If circumstances preclude such a design, then some substitute comparison must be established. A carefully constituted comparison group undergoing an alternative treatment (e.g., prison or regular probation) is a good choice; a "before

and after" ISP project design is a weaker alternative. Further discussion of evaluation issues concerning such designs appears in "Single Project Evaluation Design," one of the products of this Phase I study.

It is crucial to recognize the dominant effect that factors external to the ISP program may have on its outcomes. The selection of clients is a major factor. ISP projects range from treating high-risk to low from felons to misdemeanants, from general county offenders to highly specialized subsets of offenders. Results obtained by a particular approach are not immediately generalizable from one group to another. Obviously, comparisons of recidivism rates or other outcome measures cannot be routinely made across groups, but rather one must establish similar client groups for comparative purposes.

In the same vein, one must know about as much about the comparison treatment as about the ISP treatment. For instance, in a "before and after" design, one must comprehend the client sample; previous probation procedures, facilities, and resources; levels of staff abilities and motivation; and so on. This implies an expensive and delicate data gathering effort, if suitable cooperation and commitment of all personnel can be secured. A substantial number of evaluation entanglements await the ISP outcome assessment from these directions.

Definition of program success or failure necessarily involves understanding of program processes employed. Definition and measurement issues raised in this regard are discussed in Chapter III and Exhibit III. But over and above these issues, one must be able to determine the salient features of the program (and comparison treatment) in question. The personality of the staff, organizational effectiveness, suitability of funding, etc., all represent internal project peculiarities that may strongly affect outcomes. The availability and cooperation of auxiliary services and support from other elements of the criminal justice system and the community may override nominal

ISP process actions. Furthermore, other external "environmental" influences such as the current extent of unemployment, prior community experiences with probationers or other offenders, social mores, and racial relationships may drastically alter the observed outcomes. Such factors as these must be considered, even in the "formative evaluation" sense of attempting to understand strong and weak elements of a project.

Implicit in this discussion of outcomes is the consideration of the costliness of the programs designed to attain them. Both relative effectiveness and relative cost are involved, yet little or no evidence was discovered of viable programmatic cost measures in either the programs visited or the studies reviewed for the Issues Paper. [2] For instance, in striving toward the goal of increased use of probation in lieu of incarceration, cost savings is the major incentive. Yet even in those ISP projects claiming this goal, a lack of interpretable relative cost indices was found. Cost accounting is by no means a trivial matter entailing difficulties in separating ISP project costs from host organization expenses, in obtaining comparable time data, and in securing the comparison data on the non-ISP effort. Beyond these issues, the determination of social costs and benefits raises more severe methodological problems, yet this is clearly the more all inclusive cost accounting method. Such a model would compare costs of alternative programs by attempting to include levels of welfare payments, lost tax revenues, and costs of crimes committed.

Against this background of outcome measurement issues, the following chapter attempts to identify main elements of ISP programs and to understand how they relate to each other and to the ISP outcomes. While the construction of such conceptual maps is certainly worthwhile, the need to satisfactorily determine project outcomes in the face of complicating external features and poorly understand project idiosyncracies must be considered.

CHAPTER III  
MEASUREMENT OF FUNCTIONS

Causal Sequencing

One of the intents of the analytical framework is to clarify the cause and effect assumptions held by Intensive Special Probation (ISP) project personnel. What are the presumed interrelations among the various functions they perform and in what ways are these presumed to effect the intended outcomes? The identification of the ISP process steps actually taking place and formulation of composite models of how these fit together is the first objective of this section. Similar project approaches have been grouped into general types in order to review the findings in a manageable way. This leads directly into consideration of the similarities and differences among the different ISP projects, addressed in terms of distinguishable functional connections. Analysis is conducted at a level which considers measures taken, potential feasible measurements, and current knowledge gaps.

The previous chapter has made the point that satisfactory measurement of outcome is a necessary prerequisite to understanding probation project effectiveness. It would be valueless to expend resources on detailed process measurements to explain unidentified outcomes. However, once one has determined some relative measure of successes or failures of a project, it is logical to attempt to relate these to what has taken place in the project and the immediate environment. In essence if a project is successful, numerous parties would like to know why--what it did to what clients under what circumstances, so as to generalize the findings to other locales. If a project is unsuccessful, it is also important to know why. Did it do what was intended, under what circumstances, to whom? Did it prove unsuccessful because a step in the process was not implemented, e.g., client contact time was not increased? Answers to these questions are needed to reject the causal model involved as

ineffective. More realistically, one can expect project outcomes to be partially successful, situationally dependent, and influenced by process steps that are accomplished only partially. Thus, conceptual specificity and adequate measurement are required to advance the understanding and improvement of ISP.

Not surprisingly, the majority of the project personnel queried professed no ready-made conceptual model of how their activities led step-by-step toward the desired outcomes. This appears to reflect both a lack of theory development in the field of probation and inattention to such concerns. Implications of the former will appear as such functions as the forms of "helping relationships" are discussed. Insofar as process flow models illuminate deficiencies in ISP projects, encouragement for applicants for project funding to think through such models may be warranted. Indeed reaction was favorable to having compiled a process flow model, once it was completed by the project personnel and interviewers. However, many of the project flow models are "seat-of-the-pants" efforts without longstanding consideration, and these are the main inputs to the present models.

Model I (Exhibit I located in the packet inside the back cover) presents a general process model flowing from funding at the top to outcomes at the bottom. The specific connections among the elements shown vary among projects and are subject to question even within projects. For instance, it has been particularly difficult to separate the client change elements in an orderly fashion. Does attitudinal change lead to behavioral change or vice-versa? Do one's self-functioning capabilities increase because of an increased sense of autonomy or vice-versa? Nonetheless, general statements can be made at three levels-- 1) certain functional elements and relationships typically appear in ISP projects, 2) certain basic types of ISP projects can be differentiated easily, and 3) certain alternative linkages appear to represent



significant conceptual distinctions with important implications for the formulation of ISP ventures.

#### Typical Elements and Relationships

At a very general level, funding is used to provide additional personnel and/or additional support. By and large, the projects visited had increased staffing, either professional or otherwise, whereas support for referrals or facilities was less generally the case. In turn, projects implemented additional activities to those which were occurring prior to initiation of the project. (Naturally, the time order of events is not always distinct. For instance, as new administrators develop a program they may continue to increase staff which may then improve services, lead to better probation performance, thence increased use of probation, and the need for even more staff). The additional activities may then facilitate efforts to provide better services in one form or another. These may induce changes such as increased client employment which lead to client changes and on to beneficial community impacts.

Several of the elements appeared in essentially all of the projects analyzed. Increased contact time between the clients and one or more categories of personnel was a central theme, although this does not always mean increased contact with a probation officer, and it has not been measured well. Client change in the form of altered behavior and "self-functioning" is an almost universal objective in these projects. Enhanced employment is the most common means seen as contributing to client change. Finally, while outcome goals and measurements are varied, reduction of criminal activity is certainly present as an objective.

The elements displayed in Model I are more or less commonly present as a function of the type of project. Overlay 1 illustrates a typical "volunteer"

program flow as previously discussed.<sup>1</sup> Note that most of the other elements could be included in a volunteer program as well--for instance, more surveillance leading to increased revocation, job placement aid, more client options, better information on client needs, and so on. Other major program types are explicitly intensive, implying a reduced caseload and special programs of various sorts dealing with separate client groups such as mentally defective offenders, sex offenders, drug users, and drunk drivers. Alternatively, programs may focus on particular counselor-client arrangements such as Chicano-Chicano matches, ex-offender-offender or indigenous aide-probation officer team interaction with the client. Some programs can be differentiated by their high prioritization on modifying or developing a probation program; others, on decentralization of facilities. Note that considerable discussion of program related measurements and related issues appear in Exhibit III, e.g., under the "volunteer" element heading.

#### Prominent Alternative Paths

While it would be possible to typify each of the just-noted project types, this appears less fruitful than attempting to focus on critical alternatives. The number of process permutations through Model I is very large, but even more telling is the possible array of elements in any single project, as illustrated in Overlay 1. Rather than discuss a few arbitrary funding-to-impact sequences, a series of alternative functional linkages for portions of the general model will be presented. In this way, some of the critical conceptual issues in ISP will be highlighted.

Overlay 2 to Model 1 distinguishes between those projects that lead to reduced caseloads (labeled A in the Overlay) and those that do not (B). As

<sup>1</sup>The overlays to be found in the packet inside the back cover, can best be used by placing them individually over Model I at the registration marks. They display selected portions of paths that correspond to text discussions—they are not intended to represent complete ISP processes, but rather to highlight conceptual alternatives within ISP.



commonly used, "intensive" projects entail reduced caseloads in one fashion or another, although the magnitude is highly variable. A typical range of intensive caseload might be from 15 to 50 equivalent probationers. But this definition would exclude a number of projects involving volunteers, interns, or aides in that caseload may not be reduced. Yet a strong argument can be made that this is the wrong criterion. In all cases reviewed, the first characteristic of intensive probation is a presumed increase in contact time. On the one hand, there is little evidence that reducing caseload leads to an increase in contact time since the latter is only rarely measured. Based upon a statewide study in Georgia showing that the typical probation supervisor spends only 19.9% of his or her time on client supervision, one could hypothesize that reducing caseload would be a quite ineffective way to increase contact time.<sup>1</sup> [5] On the other hand, a volunteer program that does reduce official caseloads may allow time for a probation officer to concentrate upon clients other than those with whom the volunteer is working. It certainly increases contact time of the client with the volunteer. Likewise, transfer of the pre-sentence investigation function to carefully trained aides may greatly enhance probation officer-client contact time based upon the Georgia study's finding that 30.2% of the supervisor's time was spent on investigations. Consequently, it appears that "intensive" should be redefined and that measurement emphasis be placed upon contacts rather than caseload (difficult to measure in any event--see the discussion in the Issues Paper). [2]

Overlay 3 focuses upon the locale for specialized treatment. Two polar modes can be recognized--development of in-house treatment skills (C) or referral to outside sources (D). The former may allow tighter control over treatment

<sup>1</sup>This finding may not be typical on a general basis; the site visits informally indicated a higher percentage of probation officer time devoted to counseling.

profiles, client participation, and resource usage; the latter may prevent duplication of services and make use of more highly trained personnel. The Des Moines Project<sup>1</sup> provides an interesting spectrum as it includes informal arrangements for mental health service referrals, formal arrangements for staff from the state vocational rehabilitation and employment agencies and a community college to work at the probation office without expense to the project. Also, support from two outside sources for probation officers to specialize in alcohol problems in-house, and outside support for a private agency to work with probationers with drug problems is incorporated as well. When one reflects upon the diverse groups of special clients ranging across first-offense misdemeanants, sex offenders, and retarded offenders, it is obvious that ISP may involve many different program specifics. Likewise, client populations may differ in terms of demographic attributes, and intelligence. Naturally, the treatment program process involves other elements than those highlighted in (C) and (D). Selection of C or D has implications for funding level, implicit resource support and interagency coordination, organizational size, and potential effectiveness.

Overlay 4 attempts to convey two major alternatives and two variants. Path E indicates the use of extra contact time for developing deeper, more helping relationships which may stabilize the client, lower the revocation rate and, in turn, the crime rate. In contrast, Path F portrays increased monitoring which by keeping closer track of probationer activities can increase the revocation rate. The revocation of hardened criminal types can decrease criminal activity or the threat of revocation enhanced by the

<sup>1</sup>A brief description of the projects visited is included as the Appendix.

surveillance may deter criminal activity. Path G notes the possibility of accomplishing both a helping relationship and increased surveillance by splitting the roles. In particular, a volunteer may develop the helping relationship while the probation officer plays the "heavy." Path H reflects a dual role model in which both functions operate together in a simple relationship. In probation practice, any helping relationship is likely to have some elements of the surveillance role in that supervisors or volunteers are obligated to report criminal activity of which they become aware. Nonetheless, the distinctions among the four alternatives carry considerable conceptual weight in ISP projects.

Overlay 5 contrasts two client/community-oriented modes of operation. Path I posits the hiring of aides particularly in tune with client needs and to whom clients can more easily relate (e.g., ex-offenders, ghetto residents, or age and ethnically matched). Path J involves decentralization of facilities to less-threatening neighborhood sites or to facilities not strongly associated with the criminal justice system. Both assume that reduction of hostility toward probation will facilitate development of helping relationships and attitude change on the part of the client. These represent two distinct approaches toward that end.

Overlay 6 contrasts an attitudinal change model (K) with a behavioral change model (L). The attitudinal change path fits with the helping relationship but not with surveillance; the behavioral model can originate from either or both sorts of supervisor-client relationships. However, this distinction appears to reflect only part of the difference in perceived means of helping the client through the relationship. A great variety of ideas emerged between helping relationships and client change with confusion in causal ordering (e.g., improved self-functioning before or after attitude change before or after behavior change). Helping relationships are depicted as

an element in the model, possibly the most complex one. Subsumed in this small "black box" of client change are distinctions among short term, long term, and crisis relationships; between deep, trusting relations and transportation to the store; and among confrontation tactics, formal behavioral contracts, and supportive approaches. Alternatively, one can ferret out law enforcement ideology, various psychological-rooted theories (self-choice, behavior modification, deficient person needing guidance, etc.) and social casework approaches. Given the lack of formal application of these to ISP by the practitioners, it would be presumptuous to attempt a detailed breakdown. However, as a beginning, the categorization shown in Exhibit IV seems to capture a fair portion of the variations observed in the field.

EXHIBIT IV  
CATEGORIZATION OF HELPING RELATIONSHIPS

		Orientation	
		Internal to the Client	External to the Client
Primary Focus	Attitude	I	II
	Behavior	III	IV

Examples of the four styles of helping relationships displayed were all observed on the site visits. The internal orientation focusing on attitudinal change (Category I) fits the in-depth treatment model. This concept includes a volunteer developing a long-term caring relationship with the client, and providing both support and a model for attitudinal change and increased self-confidence and aspirations. The person's deficiencies are remedied thereby changing his attitudes from which other positive reinforcements follow. Volunteer projects in Ohio's Stark, Summit, and Wayne counties and in Evansville, Indiana fit this style quite well. Category II places greater emphasis on

the person's environment to attain attitudinal change in directions commensurate with more acceptable norms. Helping assure social stability, recognizing the importance of community acceptance and support, reducing hostility toward the criminal justice system, and the social casework model tend in this direction. The community-oriented aide program in Tucson is consistent with this focus. Category III, in contrast, emphasizes internally-oriented, behavioral changes, from which improved attitude may or may not follow. The notion of an enforceable contract setting forth conditions agreed upon by the probationer and the supervisory agency fits this reality-directed emphasis, as used in the Michigan four-county project. Finally, the fourth category puts stock in environmental influences to increase adaptive behavior. One project (Tucson aides) primarily uses environmental manipulations (living conditions, job) in conjunction with training programs directed at the entire criminal justice community to correct negative behavior of mentally defective offenders. The "defective person" image is consistent with this category -- obtain socially tolerable behavior without undue concern about effecting internal attitudinal changes. The increased surveillance mode also reflects an external influence to induce acceptable behavior.

Overlay 7 shows a common path from employment through increased personal stability leading to improved self-functioning and decreased criminal activity. Whatever the attitudinal or behavioral emphasis of the ISP project, this pathway is widely endorsed. It also fits reasonably well coming from successful participation in special treatments such as job training (leading to employment), and drug treatment. The following differentiation between paths M and N reflects different sorts of project goals--M, to reduce post-treatment return to criminal activity; N, to assure public safety and obtain support for

use of probation in lieu of incarceration. Hence, the minimization of new criminal activity while on probation is of primary importance; hopefully, the probation experience will lead to better prognosis for future behavior than will incarceration, but this is of secondary concern. Note the different interpretations on outcome measures such as revocation implied by these two orientations and Paths E and F (Overlay 4). These are made more difficult by the lack of standardized definitions. For instance, in one project the revocation rate (return to prison) is lower than the recidivism rate (new charges while on probation); in another it is higher since chargeable criminal activities while on probation (recidivism) are a subset of the causes for revocation; in still another, recidivism means post-release offenses (arrests, convictions, or whatnot as measured in some locale). As Paths E-F, and M-N, indicate, interpretation of the desirability of high or low revocation rates can be in opposite directions.

Model I does not attempt to convey the richness of the specialized treatment element simply because that appears beyond the present scope, and indeed, beyond the scope of many ISP projects. Included in this category might be general and advanced educational programs, job training, drug and alcohol programs, drunk driver projects, individual and group psychotherapy at various levels of depth, and other programs oriented toward resolution of special problems. Very often probationers participate on a referral basis, sometimes their performance is held to be confidential from the probation agency, and usually the treatment details are not within the control of the probation agency.

#### Client Change Models

The array of alternative paths to get to some approximation of the outcome of reduced client recidivism from the pragmatic steps of helpful counseling, service program success, and client employment is baffling. As indicated

in Model I, there appear to be at least three notable intermediate elements involved; improved self-functioning, attitude change, and behavioral change (making the assumption that decreased criminal activity is a straightforward, logical precursor of decreased recidivism). As discussed under "Prominent Alternative Paths" one can distinguish attitudinal and behavioral foci, each oriented internally or externally, to lead the client toward the non-criminal, socially acceptable lifestyle. It is interesting in addition to contrast a few of the specific causal linkages postulated in ISP projects that were visited.

To begin, the most straightforward behavioral approach, as reflected in the Tucson-mentally deficient project, appears in Exhibit V. The notion of client correction of behavioral deficiencies leading to improved self image is entailed in the Orlando project.

In contrast, the following views portray attitudinal changes as occurring prior to behavioral changes. The straightforward attitudinal change model represented in the Atlanta project is reflected in Exhibit VI. The Michigan project modeled in Exhibit VII shows the plausible reversibility and combination of these causal linkages. In this presumed model, a change (albeit temporary) in life style precedes an increased sense of autonomy leading to behavioral change. In Atlanta, goals were to change before life style, but also note that Atlanta's "more realistic" goals may be somewhat opposed to the "increased sense of autonomy" of the Michigan project. On the other hand, both seem to include some element of "more socially approved" goals.

The Michigan and St. Louis projects can be characterized as placing emphasis upon external forces to motivate the increased sense of autonomy and awareness of socially acceptable alternatives from which to choose. The New York City; Columbus, Ohio; and Cambridge projects emphasize internal motivation as the key to acquisition of such skills via enhanced self-respect.

EXHIBIT V  
STRAIGHT BEHAVIORAL APPROACH TO CLIENT CHANGE

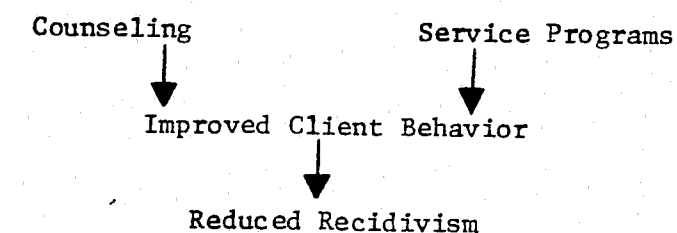


EXHIBIT VI  
STRAIGHT ATTITUDINAL APPROACH TO CLIENT CHANGE

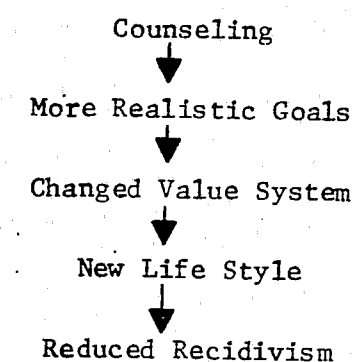
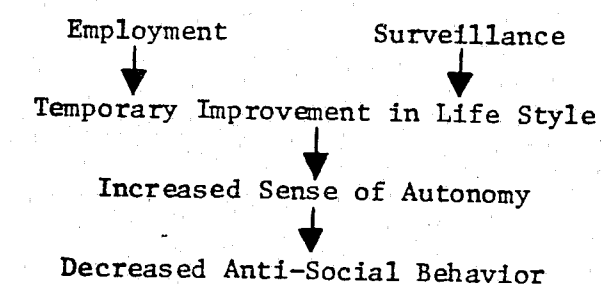


EXHIBIT VII  
COMBINED ATTITUDINAL AND BEHAVIORAL APPROACH TO CLIENT CHANGE



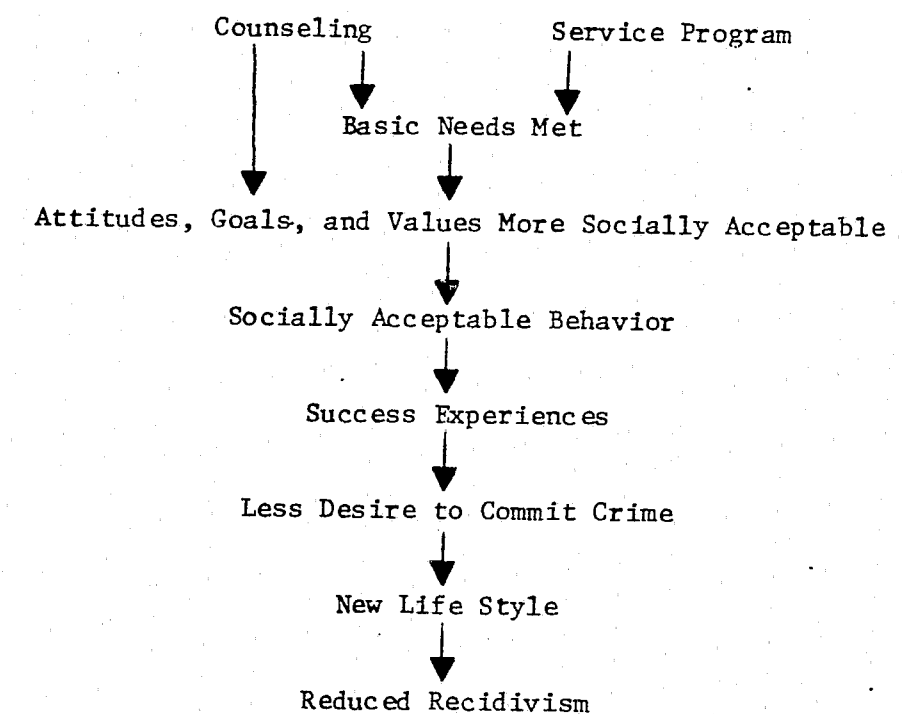
A great difficulty in elaborating differences among the formulations of client-change encountered in the Interventions Papers is the variability and lack of precision in terminology. [1] It is extremely difficult to determine the significance of differences as one shades from increased self-expectations to increased self-respect, self-functioning, personal responsibility, ability to cope with problems and emotions, and better client selection of lawful options. Exhibit VIII, depicting the Stark et al. Counties, Ohio, project demonstrates incorporation of several stages of client change. Obviously self-functioning (under whatever label) is implicit in this chain. By and large, it appears that the several distinctions raised could be largely explained as points of emphasis rather than real operationally important differences.

The current state of the conceptual understanding of probation-induced change processes is primitive. Rather than belaboring the many distinctions noted in the ISP projects, it seems more fruitful to attempt to generalize to the level of attitudinal versus behavioral and internally versus externally-oriented emphases. Translation of the alternative conceptualizations to carefully operationalized program differences with predictions of measurable differences is strongly needed. For instance, the matter of raising or lowering self-expectations as a programmatic step offers strong contrast, as does the distinction between attempting to increase rather than decrease revocations as an element in an effective ISP operation. Until conclusions can be drawn about clear distinctions such as these, attention to fine nuances in ISP process conceptualizations appears unwarranted.

#### Measurement

While measurement problems have been alluded to, the fundamental issues concerning precise definition of the functional elements and their measurement

Exhibit VIII  
A MORE COMPLEX MODEL OF CLIENT CHANGE



remain paramount. Recalling the caveat of the previous chapter that the ability to measure outcomes is essential before it is reasonable to engage in process measurement, it is nonetheless crucial to be able to measure the process elements in order to understand what causes the project outcomes. Indeed, the previous discussion of various alternative functional paths within ISP re-emphasizes the need for sound measurement to compare the efficacy of alternative concepts (measurement both to ensure that the path is completed and to gauge the output from it). Toward this end, Exhibit III sets forth definitional variations for the most significant elements (or levels of measurement), typical measurements employed in the ISP projects visited, potentially desirable measurements, and critical issues associated with the element. Note also that sundry issues relating to given elements are mentioned in Exhibit III despite the fact that they overlap categories. For instance, measures of volunteer-client relationships are included under volunteer as a focal heading.

One process measurement area deserving of special attention is that of caseload/workload. In many intensive probation projects the main process objective is to increase the amount of probation supervision provided clients, presumably through reducing the caseload of probation supervisors. Thus, the average caseload per supervisor becomes an important process measure and it is desirable to make the measure correspond closely to the amount of supervision provided.

In most projects reviewed in the literature search for the Issues Paper on ISP, caseload was estimated by the simple formula: [2]

$$\text{Average Caseload} = \frac{\text{Average Total Number of Active Cases}}{\text{Number of Probation Supervisors}}$$

However, problems did arise in defining elements of the formula. One problem, the definition of the number of supervisors, arises in projects which make extensive use of volunteers, specialized personnel, interns, or paraprofessionals. If these auxiliary personnel are counted equally with regular supervisors, the average caseload will be misleadingly low. On the other hand, volunteers do provide services that may or may not lessen the workload for regular supervisors. None of the projects reviewed appeared to have a satisfactory solution to this estimation problem, though one did attempt to record the level of volunteer activity by tabulating the number of hours worked by volunteers.

Another problem of definition arises in determining the number of active cases. At any given time the number of cases nominally assigned to a supervision unit typically includes a number of clients who have absconded or are otherwise not receiving active supervision. Thus, the number of cases assigned to probation is somewhat larger than the number actually receiving supervision. In an effort to adjust to such cases, many projects measured active cases as the number of assigned cases that had not been classified as absconded/committed or otherwise officially inactive. However, less formally inactive cases usually remain in the measured caseload--Des Moines did separately count "paper" caseload, those requiring no substantial probation supervision. Of course, all active cases do not require or receive equivalent attention.

Several interesting perspectives on caseload measurement emerged from the Issues Paper and merit reiteration here. [2] A more sophisticated approach is the workload scheme employed in one Pennsylvania study. [6] Supervisor workload in that study was assumed proportional to the number of required probationer contacts per month. Thus, cases required to report only monthly or quarterly were counted less heavily than those reporting weekly. To the extent that required reporting times are kept up-to-date with the amount of supervision required, this approach would seem quite accurate. A related



idea is the classification scheme which was used in a project operating in Kentucky. Cases were classified as requiring "maximum," "medium," or "minimum" supervision, and workload was measured as a weighted sum of such cases. [7] Again, the validity of the measurement rests on the accuracy of the classification. Another workload issue is how to account for non-supervisory activities of probation officers. Presentence investigations, management of volunteers, and similar activities can consume substantial officer time. The American Correctional Association's Study on Standards and Goals has recommended that presentence investigations be counted as five cases in determining caseload. [8] However, only a few of the reports, evaluations, or studies reported in the Issues Paper used such a measurement standard. [2] In fact, only a few of the studies employed any estimation scheme to adjust for non-supervision duties.

#### Case Contact/Supervision Measures

Even though caseload is the variable project managers can most easily manipulate in intensive special probation problems, it is at best only an indirect measure of the quantity of supervision provided clients. Thus, it is natural that projects should seek to obtain more direct measures of the supervision provided.

The projects studied in the Interventions Papers and the Issues Paper included many attempts to keep statistics on the amount of supervision provided--typically by logging the amount of contact between the supervisor and individuals connected with the case. [1,2] The simplest and most widely used approach is to record the number of contacts with the client, the client's family, the client's employer, etc. However, many authors report that they consider the number of contacts a very inadequate measure. Typical is Adams, Chandler, and Neithercutt's comment that use of the number of contacts,

"... not only failed to deal with quality but provided a poor measure of quantity...." [4]

Beyond this conceptual problem with the number of contacts as a process measure, there are obvious questions of the reliability of the numbers reported. Overworked probation officers might be expected to skimp on the "paperwork" of logging contacts. Reliability is particularly troublesome in attempting to draw comparisons between different probation programs wherein the officers recording contacts have differential interest in the statistics collected and the evaluation objectives.

To obtain at least a better indication of the quantity of contact, a few studies have augmented records on the number of contacts with statistics on the time of contact. While such statistics may be better measures of the quantity of contact, they are still subject to all the reliability concerns just mentioned. In fact, the problems may be more serious because the record-keeping burden on probation officers is greater and because officers might feel the need to make sure that all their on-duty hours are counted.

Only two of the projects reviewed for the Issues Paper reported any serious attempts to measure the quality of the supervision provided probationers. [2] Both these studies employed a survey of supervisor and client opinion about various dimensions of the effectiveness of supervision. While both studies appeared to gain useful information from the surveys, it does not appear feasible to use such surveys on any large scale. [4,9]

Concerning other process measurement issues, relatively little has been done. It is thus inappropriate to attempt detailed discussion of such issues as how to measure client change, usage of community referral services and their effectiveness, and attitudinal change by client or community. Exhibit III summarizes information on such matters based upon the site visits conducted.

To conclude, it may be useful to review certain of the major assumptions more-or-less implicit in the ISP process models. Some of these are quite basic and relatively untestable, others are liable to experimental study. In any event, all appear quite generally across ISP projects and merit consideration.

- 1) Most all of the projects operate under a "pro-probation" bias, assuming that it is a desirable and viable approach to corrections.
- 2) Probation is a sufficiently strong treatment to alter client attitudinal and behavioral patterns developed over a lifetime.
- 3) Increased contact time between probation staff and clients favorably affects the development of more helpful relationships.
- 4) Increased contact time between probation staff and clients increases the level of client monitoring.
- 5) The helping and surveillance roles are separable.
- 6) Helping relationships promote client self-functioning, socialization, and success in attaining a crime-free lifestyle.
- 7) Increased surveillance may lead to increased revocation.
- 8) Obtaining and maintaining employment is vital to client stabilization and development of self-functioning abilities.

To the extent that any of these assumptions can be effectively challenged, rather substantial revisions in the ISP conceptual models would result.

#### CHAPTER IV RECOMMENDATIONS

1. The operational definition of "intensive" probation should reflect contact character, not caseload. Measures such as number, time, quality, and type of contact are suitable because increased contact is the central conceptual element of intensive probation. This is not assured by caseload reduction, which is difficult to measure in a defensible manner anyway, and is potentially enhanced by the use of volunteers, specialists, aides, etc., which may well not reduce caseload (by most measures). Caseload measurement should be abandoned as a process measure unto itself, serving as the criteria for intensiveness of probation processes. It is most useful as a workload balancing instrument for internal project management use.
2. The establishment of suitable comparison groups is essential to obtain interpretable evaluations of the relative success of ISP projects, as discussed in the consideration of Model II in Chapter II. Since such research designs are costly and difficult to accomplish and many ISP personnel are more concerned with and better trained for service than research, relatively few such project studies should be supported. But those supported should be done to maximize the research objective, utilizing the most powerful experimental designs possible, and clearly marked "research." Other ISP projects should not be burdened with many measurement requirements, only those sufficient to provide themselves with formative feedback to better the project and to assure appropriate expenditure of funds. Evaluation of such non-experimental projects should be conducted at a simple level to determine ISP process models for further examination in a more thoroughly experimental context.



There is little justification for the present attempted merger of the service and research functions that burdens the service staff without commensurate research utility.

3. Expenditure of resources on careful process measurement without adequate outcome measures is not supportable. Without a sense of the degree of outcome success of a project it is meaningless to attempt to unravel the complexity of factors contributing to the outcomes.
4. Standardization of outcome measures from project to project would be highly desirable to provide some elementary basis for comparison. Such measures must be chosen to include sufficient flexibility to adapt to individual project circumstances.
5. "Revocation" is a particularly poor outcome measure conceptually and cannot be recommended for use as the sole index of decreased criminal activity. There is ambiguity as to whether an increase or a decrease in revocation rate (incarceration for violation of probation conditions) is desirable. Different ISP perspectives postulate either increased or decreased revocation rates as salient steps toward reduction of criminal activity. Multiple measures of criminal activity/recidivism would be highly desirable, given potential biases in any particular one that can be countered in many cases by one of the other measures. Specifically, the additional cost in collecting both arrest and conviction records on probationers is probably justifiable. Records should be disaggregated by type of crime and time of occurrence since entry into probation. In addition, it would be highly desirable to obtain similar data for post-release, if possible, implying the utility of a criminal information system suitable for tracking. Full implementation of the OBTS/CCH components of LEAA's Computerized Data Systems program should facilitate obtaining such data.

6. It would be advantageous to have a set of standard suggested process measures promulgated by LEAA. These might include a standard fiscal format; community attitude survey protocols; simple operational scales to allow probation officers to record type of client contact; and psychological test instruments to tap stability, socialization, and attitude change. Development could draw upon local devices and standard testing instruments.
7. Requirement for LEAA grant applicants to prepare a simple conceptual model along the lines of those prepared on the site visits and reported in the Interventions Papers could usefully direct attention to process weaknesses for improvement. [1]
8. And, to close on an academic note, research appears to be particularly needed on the following issues:
  - a. When can client-change leading toward reduced criminal activity be best accomplished through attitude-change focused approaches? When through behavioral approaches? Under what circumstances does an internally-oriented approach work better than an externally-oriented, environmental manipulation strategy to secure desired, crime-free life styles in clients? Under what circumstances does the combination of both approaches work best?
  - b. Is community acceptance effective in fostering successful probationer outcomes, and, if so, under what conditions can this be most effectively obtained?
  - c. Under what circumstances are particular programs such as volunteer and para-professional programs useful? Toward what outcomes?
  - d. What are appropriate client selection criteria for admission into specialized treatment programs? Which of these programs contribute to successful probationer outcomes?

- e. When and how does one decide between development of in-house specialized service capabilities, development of support for referral resources, and use of available community resources?
- f. What alternative formulations most satisfactorily depict the client-change processes involved in ISP? What testable differential predictions do alternative conceptual models yield? Are unidirectional causal models too unrealistic to describe such a complex process of human change?
- g. When is separation of the helping relationship from the authoritarian role effective?

## BIBLIOGRAPHY

1. Georgia Institute of Technology, School of Industrial and Systems Engineering. Interventions Papers: Phase I Evaluation of Intensive Special Probation Projects. Atlanta, Georgia: Georgia Institute of Technology, 1976.
2. Georgia Institute of Technology, School of Industrial and Systems Engineering. Issues Paper: Phase I Evaluation of Intensive Special Probation Projects. Atlanta, Georgia: Georgia Institute of Technology, 1976.
3. National Advisory Commission on Criminal Justice Standards and Goals. Task Force on Corrections. Corrections. Washington, D. C.: Government Printing Office, 1973.
4. William P. Adams, Paul M. Chandler, M. G. Neithercutt, and D. Crim, "The San Francisco Project: A Critique," Federal Probation 35(4), 45-53, 1971.
5. Georgia Department of Corrections/Offender Rehabilitation. Research and Development Division. Evaluation of the Georgia Probation/Parole System, by Linda L. Lyons. Atlanta, Georgia: Georgia Department of Corrections/Offender Rehabilitation, 1975.
6. Pennsylvania Board of Probation and Parole. Bureau of Administrative Services. Research and Statistical Division. Evaluation of Regional Offices and Sub-Offices of the Pennsylvania Board of Probation and Parole, Final Report. Harrisburg, Pennsylvania: Pennsylvania Board of Probation and Parole, 1976.
7. Kentucky Department of Justice. Bureau of Corrections. A Comparative Analysis of Demographic Characteristics of the Division of Community Services Staff in the Bureau of Corrections of the Commonwealth of Kentucky Department of Justice, by Carol Snider and Jack Allen. Frankfort, Kentucky: Kentucky Department of Justice, 1975.
8. American Correctional Association. Manual of Correctional Standards. New York: American Correctional Association, 1966.
9. George C. Killinger and Paul F. Cromwell, eds., Corrections in the Community. Alternatives to Imprisonment--Selected Readings. St. Paul, Minnesota: West Publishing, 1974.

APPENDIX

PROJECT SITE VISIT SUMMARIES

Project	Description
Anne Arundel County	<p>Anne Arundel County Impact Probation Project, Anne Arundel County, Maryland (Baltimore suburban areas)</p> <p>The core of the Anne Arundel probation project is an attempt to build a more intensive relationship between probation officers and clients, primarily through reduced caseloads. This intensive relationship is assumed to be reflected in increased client sense of agent's caring, and in increased client success in employment and community treatment programs. The additional cooperation between units of the criminal justice system as a part of Anne Arundel County's breaking and entering program assists the probation officer in his work by making information more readily available to him.</p>
Atlanta	<p>Georgia Citizens Action Program for Corrections, headquartered in Atlanta, Georgia. Community offices in each of 42 judicial circuits of the State</p> <p>The project consists of 8 program areas, one of which is intensive supervision. There are essentially three pathways. Citizen volunteers work with probationers in an attempt to increase their socialization. Adding probation officers provides intensive supervisors who can provide personal counseling, provide employment assistance, and increase surveillance. However, the increase in surveillance also increases incarceration. The third pathway through the system provides for more and better pre-sentence investigations.</p>
Baltimore - narcotics	<p>High Impact Intensive Supervision, Narcotics Unit Project, Baltimore, Maryland</p> <p>The Narcotics Unit is a part of Baltimore's High Crime Impact program. It provides intensive probation services to a client group who have a history of both impact crimes and</p>
Baltimore - team	<p>drug use, and who are convicted before the Supreme Bench of Baltimore City. The Unit is located within the Maryland Division of Parole and Probation. The intervention diagram for the Narcotics Unit strongly reflects the specialization of the Unit's activities to drug offenders. Provision of funds for frequent urinalyses, specialization of probation agents on drug offenders counseling, and reduced caseloads are assumed to combine in producing a unique treatment relationship between the probation agent and the probationer. This relationship is characterized by increased ability of the agent to confront the client with his problems.</p> <p>Intensive Differentiated Supervision of Impact Parolees and Probationers, Baltimore, Maryland</p> <p>The basic purpose of the project is to provide intensive supervision of youthful impact offenders. A team approach to intensive supervision is used. This approach assures that the client will always be able to contact some agent familiar with his case and provides for cross pollination of ideas as well as specialization on the part of individual agents. That is, each team may contain one agent specializing in drug rehabilitation, another in job training, etc. The reduced caseloads (approximately 20 per agent) permit increased community contacts and more time to be spent with the client learning his needs. This in turn makes it possible to provide the client with suitable employment opportunities and other referral services and through employment that the client will build his self image and esteem, and change his expectations, all of which are expected to yield a reduction in the client's criminal activity.</p>
Brockton	<p>Model Probation/C.A.S.E. Project (also known as Youth Offender Program), Brockton, Massachusetts</p> <p>The project promotes individualized case management through expanded screening and</p>

evaluation, assists in the development of community referral resources, and encourages the implementation of service plans. The Project's offender target population is defined as young adult recidivists, who have been arrested for three or more jailable offenses and substance abusers. The Project has two elements. The evaluator-implementers interview probationers, assess their needs, prepare a treatment plan, make referrals, act as surrogate probation officers, and follow-up client progress, essentially in that order. The consultants provide high level assistance to judges, the evaluator-implementers, outside agencies, former offenders, and families of offenders.

Cambridge

Model Adult Probation Project: Assessment, Classification, and Management of Probationers, Cambridge, Massachusetts.

The program of assessment and classification attempts to systematically examine every offender assigned to the probation office for supervision. The "Project" is actually a probation aides addition. The probation aides prepare social histories and conduct the Jesness Inventory. This leads to a better needs assessment and a more appropriate assignment of probationers to supervision.

Columbus

Volunteers in Probation: One-to-One Adult Program, headquartered in Columbus, Ohio. Serves Franklin County, Ohio

One-to-One functions as a resource to the Franklin County Probation Department. As such, it does not reduce caseload, but does provide auxiliary services through its volunteers. The primary emphasis is for the volunteer to perform concrete actions to assist the probationer and to provide emotional support as appropriate. Major project staff activities are recruiting volunteers, stimulating referrals of probationers to the project, matching volunteers and clients, and supervising the volunteer/client relationship.

Denver

Probation Intensive Supervision Program, Denver Colorado

Denver's Intensive Supervision has two central

and related approaches to achieving reduced recidivism in probation clients. One element is a more intensive supervision of clients made possible by reducing caseloads and expert training of project staff. This more intense supervision is assumed to lead to an improved relationship between the probation officer and his client which, in time, produces increases in a client's self-expectations. The second major element of the Denver program is decentralization of operations to three neighborhood centers. Decentralization is presumed to lead to decreased community and client hostility toward probation and to improved placement of clients in community service programs as a result of more intimate officer knowledge of the programs.

Des Moines

Comprehensive Community Corrections Program for Des Moines, Iowa (Polk County, plus serves 15 neighboring counties of the Fifth Judicial District)

This probation program is one component of an administratively unified comprehensive community corrections program. The probation program is pragmatic in orientation with rehabilitation a secondary aim to maintaining community safety and correctional effectiveness while replacing incarceration by probation to a maximum feasible level. Maintaining employment, improving client functioning, and close personal counseling and supervision serve to keep down recidivism levels. Careful measurement of activities and outcomes with strong support for evaluation efforts is an outstanding feature of the program.

Evansville

Volunteers in Probation Project (Court Counseling Program) for Vanderburgh Circuit Court, Evansville, Indiana

The volunteer program supplements the Adult Probation Office's service capabilities. The volunteer program staff of two operates from an old home adjacent to the University of Evansville campus (the University administers the program as subcontractor to the Circuit Court).

One-to-one volunteer efforts are primarily intended to offer friendly support and assistance to probationers; in addition, they provide for increased levels of supervisory contact. The second sort of service is that provided directly by the staff in the areas of supportive counseling, community service referrals, and job placement.

**CONTINUED**

**1 OF 3**

Lincoln

Volunteer Probation Counselor Program, Lincoln, Nebraska

The principal theme is the utilization of community volunteer probation counselors in a one-to-one relationship with clients thus emphasizing increased responsibility and acceptable behavior patterns by the client. Clients and volunteers are assigned according to several factors including common interests, client needs, and volunteer training and capabilities. No site visit was made to Lincoln, Nebraska.

Michigan

Mutual Objectives Program, State of Michigan (4 counties)

The Mutual Objectives Program is one of two experimental programs implemented by the State of Michigan in an effort to increase the use of probation as a sentence in felony cases without reducing public safety. The program is being implemented in four selected counties in Michigan, and the companion probation subsidy program is being implemented in four other counties. The central concept on which the Mutual Objectives Program is based is one of using a legally enforceable contract, negotiated between the probation officer and the probation client, as a device for bringing about a temporary improvement in the client's life style. The contract is assumed to produce such a change by placing increased pressure for compliance on the client and forcing more detailed supervision by the probation officer. Once a temporary change in client's life styles has been achieved, it is assumed that clients will tend to raise their personal aspirations and, ultimately, reduce their criminal activity.

New York City

Harlem Probation Project, New York City, New York (Harlem section)

The Harlem Probation Project is an effort by the New York City Probation Department in cooperation with Harlem Teams Incorporated (a community action organization) and Harlem Public Hospital. The central element of the Harlem Probation project is probation supervision through teams consisting of indigenous para-professionals under the supervision of a probation officer and housed in neighborhood centers. This concept offers a series of direct benefits as a consequence of the special knowledge of the indigenous para-professionals and the improved attitudes engendered by the neighborhood office location. The probation team gains increased familiarity with community services in the area and thus makes improved referrals; an increasingly honest relationship is developed between the para-professional and the client because probation personnel are not so easily "conned".

Oregon

Adult Community Services, Burglary Offender Project, headquartered in Salem, Oregon with offices and operations in Astoria, Albany, Bend, and Baker, Oregon.

The basic purpose of the Project is to provide for intensive supervision of adult burglary offenders and for enhanced referral service for these offenders. Project funds provided for hiring additional probation officers so that the maximum caseload on the project would be 35 active clients, 5 inactive, and 3 presentence investigations per month. Project funds also provided for obtaining referral services in two of the cities. The general philosophy of the Project is that the reduced caseloads will permit a better determination of referral needs, increased client rapport and trust and increased availability of referral services.

Orlando

Office of Court Alternatives -- Misdemeanant Probation Project, Orange County, Orlando, Florida

The Office of Court Alternatives in Orlando is one of five projects funded to replicate the Des Moines project. The complete program includes pre-trial diversion and supervised release components as well as misdemeanor probation. The central thread is a "deficient person" model, i.e., a model which assumes a person violates the law because of defects and weaknesses in his character or life style which can be corrected through proper training and counseling. The provision of intensive probation service is assumed to help correct deficiencies in a number of ways. First, the availability of presentence investigations provides better diagnosis of deficiencies. Second, additional counseling resources provide more referrals to employment and treatment resources. Finally, increased counseling resources provide the opportunity for more careful monitoring of probationer progress in corrective programs--especially those specified in court probation orders.

Philadelphia

Intensive Services Unit (ISU), Philadelphia, Pennsylvania

The ISU serves the City and County of Philadelphia. Clients are adult probationers and short-sentence parolees who are sex offenders or who are stipulated by the judge as needing psychiatric treatment. The ultimate goal is to reduce recidivism of sex offenders and persons placed on psychiatric probation. This is to be achieved by providing intensive and specialized treatment. A unique feature of the Project is a trained

Assessment Team, which helps identify client needs and devise treatment strategies. Probation officers are trained in psycho-social skills. As a result of both of these, treatment is more in-depth than that received under regular probation.

San Jose

Differential Diagnosis and Treatment Program,  
San Jose, California

This project is a county wide project located in Santa Clara County, California, mainly an urban area. The project is essentially aimed at effective organizational changes. Ultimately it is hoped that such changes will result in a reduction in recidivism. The organizational changes were accomplished by creating the following units or systems:

1. A Court Information Services System - This system is designed to provide quick turnaround to the court on court requested information. Its primary focus has been preparing pre-sentence investigations for drunk drivers.
2. Volunteer Program - This activity is aimed at recruiting and training volunteers to assist probation officers.
3. Resources Program - This program is directed towards improving the use of community and private referral services; a handbook of referral services has been developed.
4. Diagnostic Testing and Evaluation - This activity is concerned with identifying and coordinating psychological services for clients.
5. Caseload Management System - This system, when operational, will permit caseload assignments to be made on the basis of projected time demands. The system will also permit P.O.'s to specify the type of specialized caseloads they prefer.

Stark et al.  
Counties, Ohio

Ohio Governor's Region 10 Probation Rehabilitation Activities Project, Stark, Summit, and Wayne Counties, Ohio.

The project consists of two individual components - use of volunteers and specialized treatment for alcoholic offenders - operating in three counties in Ohio. The two components do not interact functionally. The De-Tox program emphasizes a medical approach to the alcoholic offender. Both medical treatment and counseling are provided in a controlled environment for 28

days. Through this means the offender is to become aware and understand his or her alcohol problem. The volunteer component was conceived as a means of augmenting the services of the respective probation departments and increasing citizen support. Specifically, volunteers are requested when the probation officer perceives that the additional time, attention, or services that a volunteer can provide would be beneficial to the probationer. The numerical size of the probation officer's caseload is viewed as preventing him/her from providing such treatment.

St. Louis

Intensive Supervision Services Project, City of St. Louis, Missouri

The Project provides intensive probation and parole supervision to adults identified as requiring intensive supervision. In Phase I, neighborhood offices were established, two new supervision units and one investigative unit were organized, and emphasis was placed on high impact street crimes with initial use of volunteers in support of staff personnel. In Phase II the program was extended to reduction of caseloads for intensive supervision and a client classification system used to determine the amount of supervision to be given to each client. Impact street crimes still received primary emphasis. Phase III expanded the scope of treatment to non-impact offenders that were classified as requiring intensive supervision. Community resource units or contacts were established to provide better staff and community relationships and to make better use of community resources. The program was continued with state funds after the termination of federal funds. The caseload is no longer as concentrated on intensive cases but clients are still classified. Increased use of volunteers in support of staff handling of caseloads is being emphasized.

Tucson - aides

Adult Probation Aides Project, Tucson, Arizona

In addition to the regular probation program, there is a program using probation aides. Activities of the probation aides are intended to relieve probation officers of their duties so that probation officers will have an increase in the amount of time they may spend in contact with probationers. This relief is accomplished in three ways. The probation aides serve as ambassadors in the community increasing the ease of relationships in that area. The probation aides assist in preparing PSI's removing the requirement that the P.O.'s



complete the task in its entirety. The probation aides provide support services such as transporting probationers to further relieve probation officers.

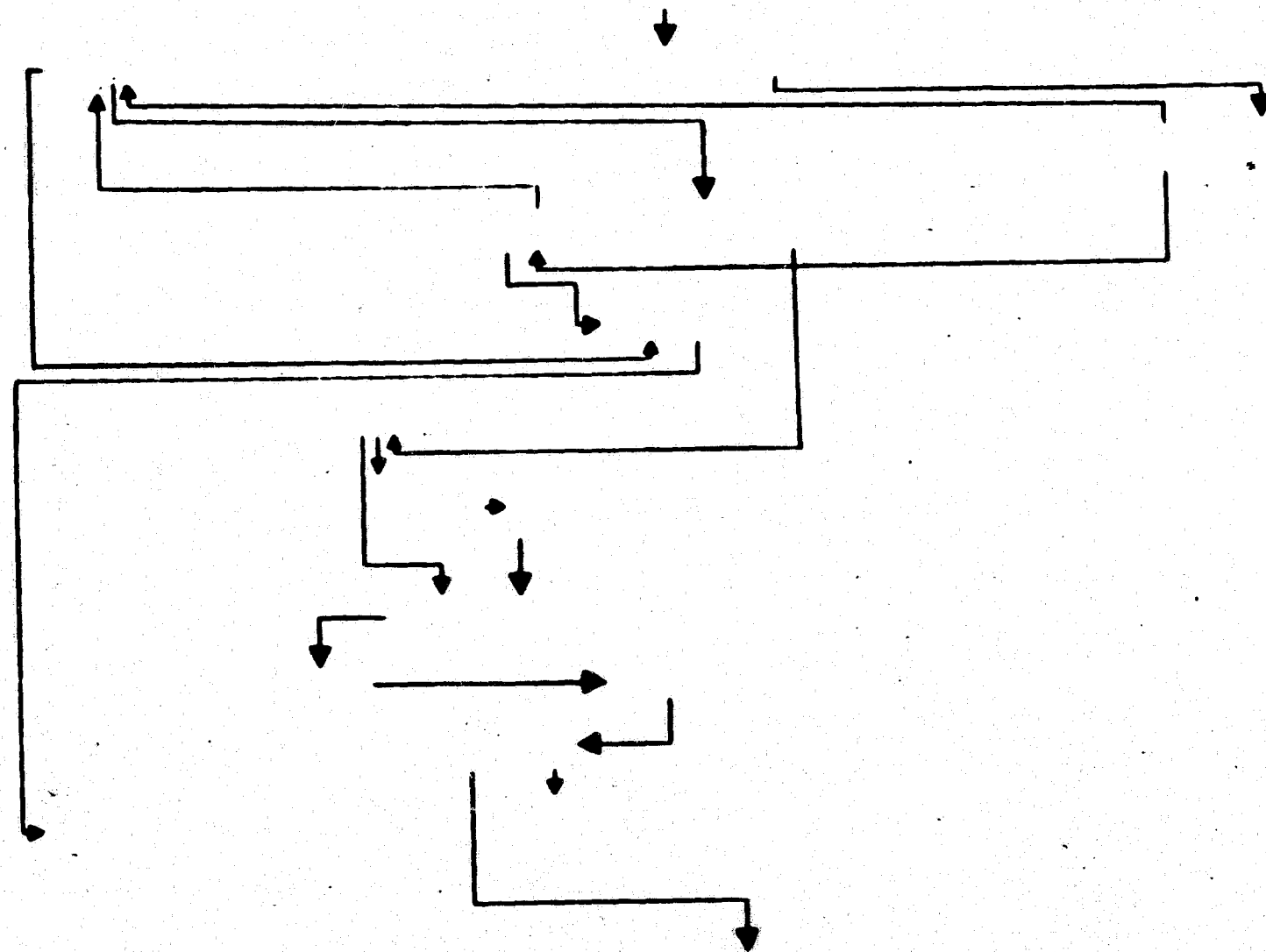
Tucson -  
mentally deficient

Special Services Project for Mentally Deficient Offenders, Tucson, Arizona

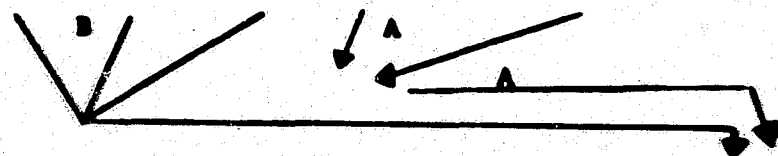
The additional funds permitted the Pima County Adult Probation office to establish a project to provide special services to M/D probationers. The project staff consists of a director, a coordinator of rehabilitation services, a job developer, and two probation counselors. Through a series of tests the M/D probationer is identified. His needs are established by interview with a counselor and the type of contact (frequency and intensity) established. Through the case supervision intervention process the counselor gains insight into the client's behavior and its causes. The counselor attempts to reinforce those aspects of the client's behavior that are positive and through environmental manipulation (employment, training, and improved living conditions) attempts to correct negative behavior. Although the primary purpose of the project is to provide special services for M/D offenders, the project staff has also conducted training programs for police and probation officers and is concerned with the indoctrination of the entire criminal justice community in the special problems of the M/D offender.



Overlay 1 A Typical Volunteer Probation Project

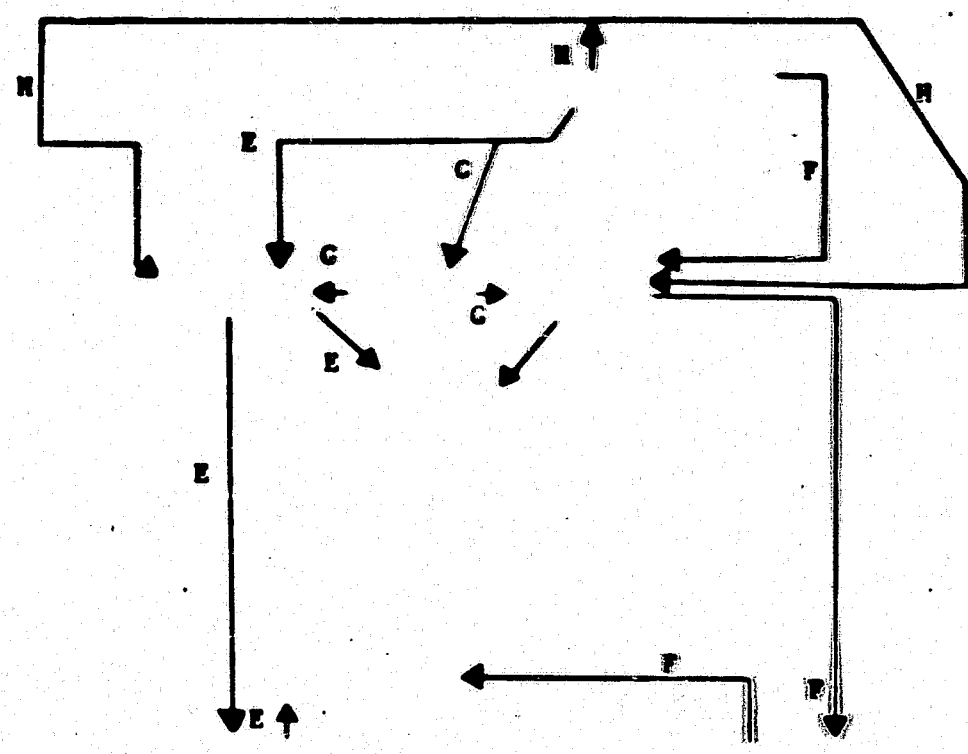


Overlay 2 Caseload Reduction and Intensiveness

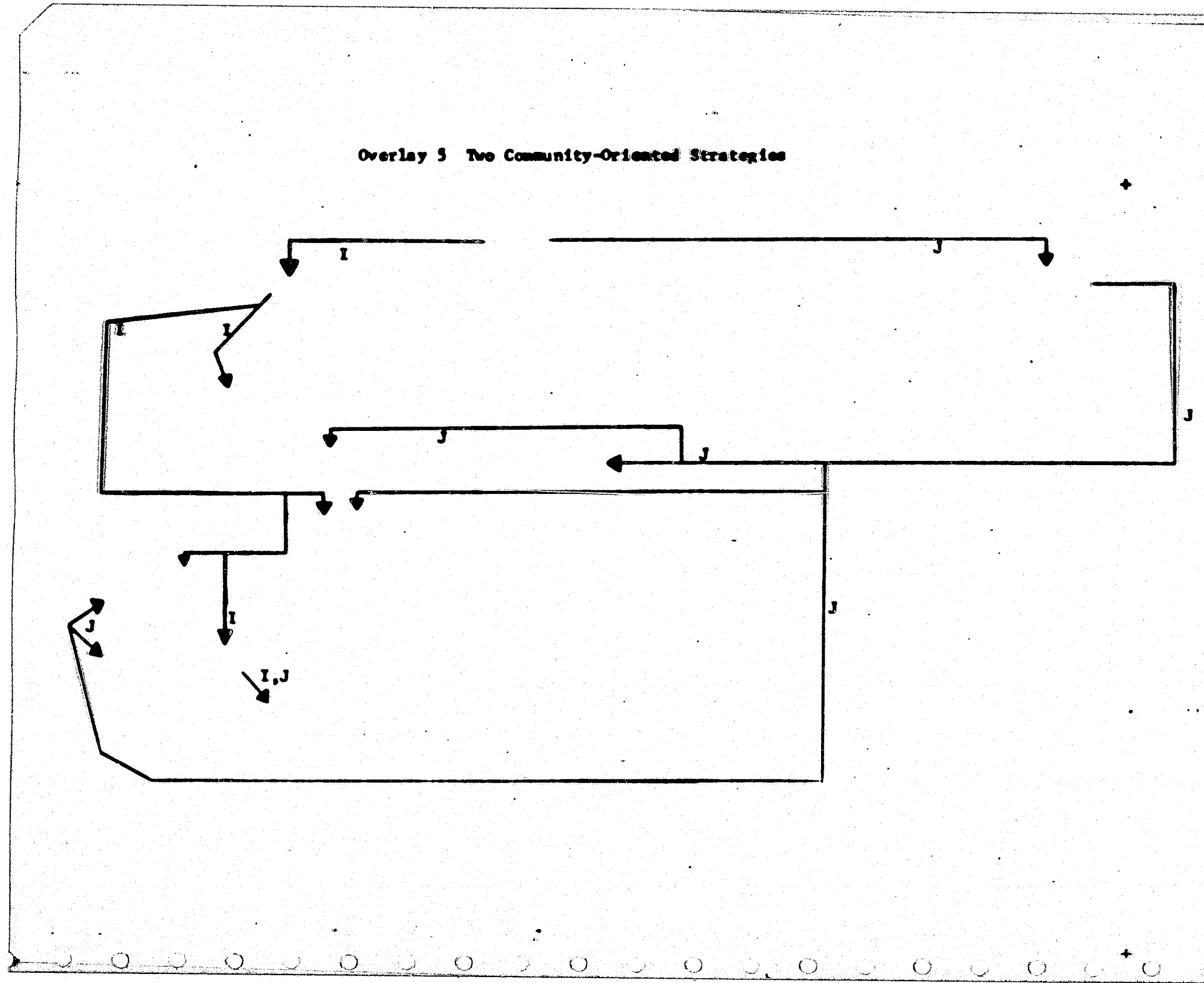




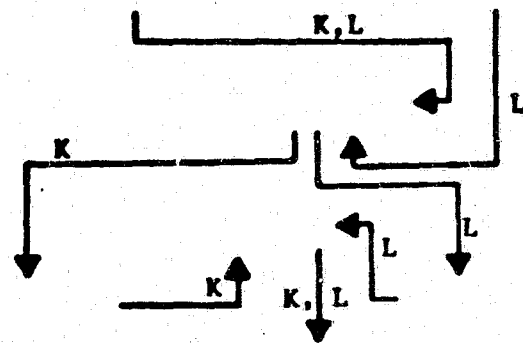
Overlay 4 Helping Relationships and/or Increased Surveillance



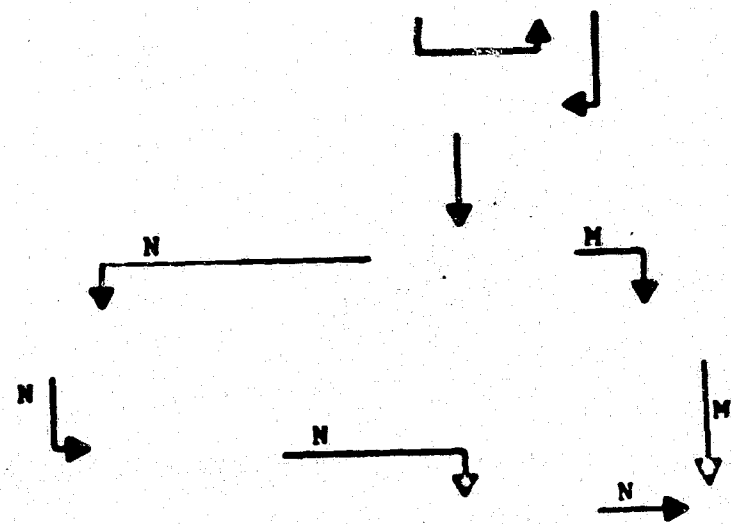
Overlay 5 Two Community-Oriented Strategies



Overlay 6 Attitudinal Versus Behavioral Change Approaches



Overlay 7 Toward Various Project Goals



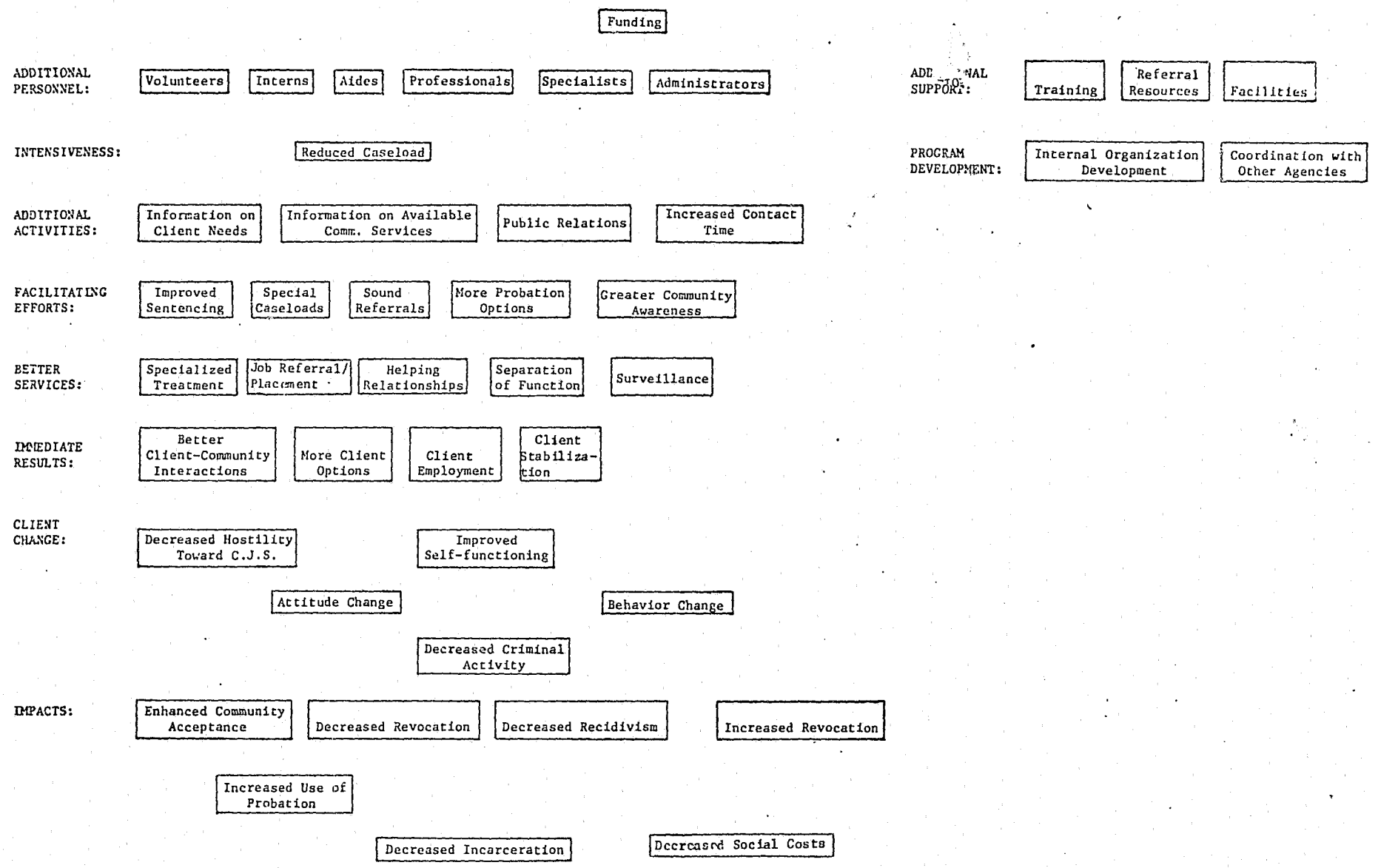


EXHIBIT I

MODEL I INTENSIVE SPECIAL PROBATION PROCESS ELEMENTS



## CHAPTER IV

### MEASUREMENT AND EVALUATION ISSUES

In Chapter III the problems and controversies which affect the design and operation of intensive special probation programs were presented and discussed. Attention centered on the theoretical justification for various types of probation programs, and on past findings which tend to support or refute those justifications.

This section addresses a related, but quite different set of issues in intensive special probation. The focus is on the question of how to measure the activities and impacts of a probation project. Such measurement questions become important after the general form of a proposed project has been defined (e.g., use of volunteers, hiring a community services coordinator, adding probation supervisors to reduce caseload, etc.). In order to maintain proper management control of the project, some scheme is usually devised to document the activities actually performed by the project, the associated successes or failures of project clients, and the degree to which successes (or failures) are a consequence of the project rather than of some extraneous influences.

Numerous methodological questions arise in devising and implementing such schemes.

This section discusses what measures have been proposed and which have actually been implemented in dealing with these methodological questions. Frequent references will be made to the summary of evaluations shown in Exhibit IV-1. The material in Exhibit IV-1 is greatly abbreviated to enable as much information transfer as is possible in a compact manner. The first portion of the Exhibit refers to identifying information. The project description discusses the modes operandi in a very few short statements. The evaluation design indicates the baseline for comparison and the methods used in the evaluation. The process

and outcome measures are then presented. The outcome measures include any analysis of cost that may have been conducted. Lastly, the findings are presented.

The Exhibit was compiled by reviewing evaluation reports from recent projects involving intensive or special probation of adult offenders. The reports selected were those which had been obtained by Georgia Tech through the literature search outlined in Chapter I. Thus, they do not represent any sort of scientific example, but it is believed that they do span the range of probation evaluation and measurement practice in the United States. It is also important to note that the entries in Exhibit IV-1 were derived by the investigators solely on the basis of information provided in the evaluation reports. Since many of the reports are unpolished, working documents, not intended for broad circulation, there are almost certainly cases where project methods were misinterpreted. Similarly, any erroneous or self-serving remarks in the evaluations would probably not have been detected because no attempt was made to verify the reliability of the data or analyses presented in the reports. Such independent verification is an important objective of the upcoming telephone and site survey tasks in later tasks of Phase I.

#### Process Measures

One important class of measures of probation projects includes those which document the process or activities of the project. Such process measures do not measure the impact of the project on the probationers, surrounding community, or the society as a whole, but they do provide valuable information concerning what takes place in the course of the project. First, process measures serve as the basis of day to day project management. For example, the numbers of different sorts of activities provide managers with information about appropriate staff assignments. In addition, process measures play an important role in longer terms review and evaluation of projects. Before it can be claimed that a project

EXHIBIT IV - 1  
SUMMARY OF EVALUATIONS

PROJECT TITLE: Volunteers in Probation	LOCATION: Delaware	ADMINISTERING AGENCY: Delaware Council on Crime and Justice, Inc.
NUMBER OF STAFF: 163 volunteers	NUMBER OF CLIENTS: Unknown	TIME PERIOD OF REPORT: 8-74 through 7-75
SPONSOR: LEAA	EVALUATOR: Division of Adult Corrections	CODE: DL-1
PROJECT DESCRIPTION: Provide a one-to-one volunteer counseling relationship designed to assist the state probation staff.	EVALUATION DESIGN: No comparisons drawn. Selection: Low risk cases predominantly	
PROCESS MEASURES: Number of volunteers compared to number of clients available.	OUTCOME MEASURES: Interview data from judges, volunteers, DCCJ, and Department of Pardons and Parole concerning project merits.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Evaluation unable to determine the project's effectiveness in reducing crime or improving the criminal justice system, adaptability to other jurisdictions, indications of achievement, and ability to demonstrate cost-effectiveness. Difficulties in coordination between DCCJ and the Department of Probation and Parole and the Municipal Court.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Intensive Supervision Project	LOCATION: Florida	ADMINISTERING AGENCY: Florida Parole and Probation Commission
NUMBER OF STAFF: 75-100	NUMBER OF CLIENTS: 9030 total cases within year	TIME PERIOD OF REPORT: 11-71 through 11-72
SPONSOR: LEAA	EVALUATOR: Project Staff, assistance from Florida State Univ.	CODE: FL-1
PROJECT DESCRIPTION: Measure whether success of high risk parolee and probationers is improved by reducing caseloads.	EVALUATION DESIGN: Results for regular group compared to those for a control group with higher caseloads (70 work units vs. 50 work units). Criminal history and demographic characteristics of two groups were extensively compared to assess comparability of groups. Analysis restricted to 1500 cases with 10 months in program and high risk characteristics.	
PROCESS MEASURES: Average cases per supervisor. Number of contacts with client, family, and employer (by worker or by paraprofessionals). Time supervisors spent with clients, family, and employer.	OUTCOME MEASURES: Subjective measure of overall adjustment done by supervisor. Fractions of cases not revoked and not ascending. Cost: not analyzed.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Experimental and control groups were statistically significantly different on 14 of 23 measured characteristics. Poorer project group scores on adjustment measure may have been an unintended consequence of closer supervision. Number and time of contacts inadequate to document character. Some problem in assuming clients would truly not have otherwise been on probation.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE:	LOCATION:	ADMINISTERING AGENCY:
NUMBER OF STAFF:	NUMBER OF CLIENTS:	TIME PERIOD OF REPORT:
SPONSOR:	EVALUATOR:	CODE: FL-1, Cont'd.
PROJECT DESCRIPTION:	EVALUATION DESIGN: Selection: Random selection in geographic areas of parolees and probationers who would ordinarily be considered too risky to release.	
PROCESS MEASURES:	OUTCOME MEASURES:	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: or parole. Evaluation generally inconclusive.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Probation and Parole Reorganization	LOCATION: Kentucky	ADMINISTERING AGENCY: Kentucky Department of Corrections
NUMBER OF STAFF: 80	NUMBER OF CLIENTS: Unknown	TIME PERIOD OF REPORT: Fiscal year 1974 (second year of two)
SPONSOR: LEAA	EVALUATOR:	CODE: KY-1
PROJECT DESCRIPTION: Reduce recidivism by better informed corrective officers; by reduced case-load; by better use of community resources; by systematized reporting system by supervisors; by upgrading staff qualifications (and salaries).	EVALUATION DESIGN: Previous year's recidivism rates. No controls. Selection: Regular state probation and parole operations.	
PROCESS MEASURES: Participation in staff training programs (hrs./person); college attendance by officers (5); 50-point workload with points assigned for Max, Med, Min supervision levels and pre-sentence reports; measured actual point load of officers; starting salaries average education levels.	OUTCOME MEASURES: Recidivism - failure rate based on fiscal year 1973 data only (first year of project)--not explicitly defined. Cost: Total grant amount.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Believe drop in recidivism attributed to upgrading staff. Reported that a comparative study in relation to National Advisory Commission standards recommended for probation and parole has been done. With advent of a Kentucky Criminal Justice Information System, statistics regarding inactive cases may include information heretofore unavailable, therefore they emphasize active caseload recidivism rates only.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Intensive Supervision - High Impact Narcotics Offenders	LOCATION: Baltimore, Maryland	ADMINISTERING AGENCY: Baltimore, Maryland Division of Parole and Probation
NUMBER OF STAFF: 7	NUMBER OF CLIENTS: Experimental group averaged about 200 clients	TIME PERIOD OF REPORT: 10-73 through 7-75
SPONSOR: LEAA	EVALUATOR:	CODE: MD-1
PROJECT DESCRIPTION: To reduce number of convictions for Impact crimes committed while under supervision. To reduce use of illegal drugs. To reduce convictions for other crimes committed while under supervision. To assist in development of stable em- ployment and/or education habits. Maximum caseload of 35 and specializa- tion. Only narcotics unit officers handled these cases.		EVALUATION DESIGN: Probationers who meet project criteria are randomly assigned to either the experimental group (narcotics unit staff--80%) or control group (20%). Also, draw comparisons between 1974 and 1975 efforts. Monthly evaluation comparisons made. Selection: Impact crime committed, drug user-- target population is males in their early 20's.
PROCESS MEASURES: Demographic, personal history data. No. of urinalysis tests. No. with documented performance in a treatment program. No. employed. No. of monthly contacts per case (experimentals and controls).		OUTCOME MEASURES: No. arrested monthly/monthly population (experimentals and controls). No. and seriousness of offenses (experi- mentals and controls). No. of cases terminated for various reasons. % of positive urinalysis results. % of employed full and part time; (ex- perimental and control groups). Cost: total project cost/average case- load.
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Project in City Probation Department at its onset; the Department became part of the Maryland Division of Parole and Probation 7-73. Due to change in testing arrangements, second year urinalysis were more sensitive. Caseload of general officers (and thesecontrol cases) increased almost 200 per agent. Much tighter scrutiny over arrests in experimental group.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE:	LOCATION:	ADMINISTERING AGENCY:
NUMBER OF STAFF:	NUMBER OF CLIENTS:	TIME PERIOD OF REPORT:
SPONSOR:	EVALUATOR:	CODE: MD-1, Cont'd.
PROJECT DESCRIPTION:		EVALUATION DESIGN:
PROCESS MEASURES:		OUTCOME MEASURES:
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Relatively small sample sizes, possibly of sampling errors, and the differences in supervision techniques should be considered in interpretations of data. Too few instances of termination to interpret yet.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Intensive Differentiated Supervision of Impact Parolees and Probationers	LOCATION: Baltimore, Maryland	ADMINISTERING AGENCY: Department of Public Safety and Correctional Services
NUMBER OF STAFF: 25	NUMBER OF CLIENTS: 700 total in 2 years	TIME PERIOD OF REPORT: 9-73 through 9-75
SPONSOR: LEAA	EVALUATOR:	CODE: MD-2
PROJECT DESCRIPTION: Reduce stranger-to-stranger crimes of homicide, robbery, rape, aggravated assault, and burglary committed by youths (ages 18-26) by intensive supervisory services to youthful offenders with specific problems of addiction (drug or alcohol) and unemployment through limited caseload (target level of 20 per officer) and "buddy" system for agents and a team approach. Develop a profile of specific Impact offenders and corresponding treatment plan.	EVALUATION DESIGN: Comparative re-arrest analysis with control group assigned to regular supervision caseloads.  Selection: Youthful (18-26 years) Impact Crime Offenders - parole and probation - Baltimore.	
PROCESS MEASURES: No. of offenders supervised/agent. Monthly employment rate. Record known drug abusers. Demographic data being collected along with documentation of the individual treatment plans.	OUTCOME MEASURES: No. returned to institutional confinement. Total number exiting the program. Rearrest data for Impact and other crimes by actively supervised clients, also tabulated by felony or misdemeanor.  Cost: Project amount/client capacity/year.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: No impact yet noted on the prison population of Maryland. Report concludes that the project is functioning well but that no standards exist to decide effectiveness based on the recidivism rate for the time-period under study.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE:	LOCATION:	ADMINISTERING AGENCY:
NUMBER OF STAFF:	NUMBER OF CLIENTS:	TIME PERIOD OF REPORT:
SPONSOR:	EVALUATOR:	CODE: MD-2, Cont'd.
PROJECT DESCRIPTION: Develop cost effectiveness analysis.	EVALUATION DESIGN:	
PROCESS MEASURES:	OUTCOME MEASURES:	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Special Offenders Clinic	LOCATION: Maryland	ADMINISTERING AGENCY: University of Maryland hospital
NUMBER OF STAFF: 9	NUMBER OF CLIENTS: 50 total (3 years)	TIME PERIOD OF REPORT: 1972-1975
SPONSOR: Maryland LEAA block grant	EVALUATOR: Member of project staff	CODE: MD-3
PROJECT DESCRIPTION: Improve the probation success of sexual offenders and assaultive offenders by providing intensive probation super- vision and group psychotherapy	EVALUATION DESIGN: Control groups planned, but comparisons actually made only on basis of the time evolution of project clients.  Selection: Offenders with qualifying offenses who were accepted by staff after psycho- logical testing.	
PROCESS MEASURES:	OUTCOME MEASURES: Recidivism = % of clients rearrested, % reconvicted, % incarcerated during treatment and after treatment. Time evaluation of subjective judgments of progress in group therapy. Time evolution of subject measures of serial adjustment. Time evolution of standard psychological tests including MMPI.  Cost: Not analyzed.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Originally planned comparisons to a control group were not possible because court and clinic personnel continued to select clients for the project's psychotherapy in non-random basis. Pre/post psychological testing complicated by illiteracy, by early patient termination, and by patient apathy on post- testing. Evaluation inconclusive.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: 46th District Court Probation Improvement	LOCATION: Southfield, Michigan	ADMINISTERING AGENCY: 46th District Court of Michigan
NUMBER OF STAFF: 3 2 part time 1 volunteer	NUMBER OF CLIENTS: 1000 per year	TIME PERIOD OF REPORT: 12-73 through 11-74 (second of three years)
SPONSOR: LEAA	EVALUATOR: grantee staff	CODE: MI-1
PROJECT DESCRIPTION: Improve success of probation by expanded use of presentence investigations. Reduced caseloads (to 75) through the use of volunteer caseworkers and in- creased the amount of contact between workers and clients.	EVALUATION DESIGN: Limited comparisons drawn with past experience of same court.  Selection: Misdemeanant offenders in the 46th District.	
PROCESS MEASURES: Number completing program. Average monthly load per officer. Number of hours per month provided by volunteers. Distribution of supervision time over various functions.	OUTCOME MEASURES: Recidivism as measured by % of closed cases with violations and % of all cases closed with violations.  Cost: Not analyzed.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Extensive problems with a computerized data collection scheme invalidated some data. No real evaluation - only analysis of data.		



EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Intensive Supervision Services	LOCATION: St. Louis, Missouri	ADMINISTERING AGENCY: Missouri Board of Probation and Parole
NUMBER OF STAFF: 25-30	NUMBER OF CLIENTS: average of 500/month	TIME PERIOD OF REPORT: 5-74 to 9-74 (Phase II of three-year project)
SPONSOR: LEAA - Impact	EVALUATOR: St. Louis Commission on Crime and Law Enforcement	CODE: MO-1
PROJECT DESCRIPTION: Reduce future criminal activity of clients most likely to commit future crimes through reducing caseloads to a value between 25 and 40. Increasing the number of contacts with clients. Providing increased educational and vocational testing. Recruit and train volunteer workers.		EVALUATION DESIGN: Previous phase compared results to a control group of similar offenders. Selection: Clients in the St. Louis area who need intensive supervision (with preference to Impact crime offenders).
PROCESS MEASURES: Average number of cases per worker. Number contacts. Number tests administered. Number volunteers recruited and trained.		OUTCOME MEASURES: Recidivism as measured by the rate of revocation, absconders, and the rate of new convictions. Cost: Not analyzed.
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Interim evaluation provides only sketchy information.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Probation Employment and Guidance Program	LOCATION: Rochester (Monroe County), New York	ADMINISTERING AGENCY: Monroe County Probation Department
NUMBER OF STAFF: 2 1 analyst	NUMBER OF CLIENTS: 321 clients screened and appeared before the Guidance Council in 19 months	TIME PERIOD OF REPORT: 11-73 through 5-75
SPONSOR: LEAA	EVALUATOR: Administering Agency	CODE: NY-1
PROJECT DESCRIPTION: To maximize employment for unemployed and underemployed probationers, and thereby reduce recidivism through utilization of skilled community volunteers to assist in solving employment problems.		EVALUATION DESIGN: Job ready clients were randomly assigned to control (given a few suggestions and told to report back to their probation officer) or experimental group. Selection: Monroe County unemployed and underemployed probationers age 18 and older.
PROCESS MEASURES: Demographic, personal history data on clients. Full description of client flow through the employment guidance program.		OUTCOME MEASURES: 6 and 9 month follow-up following the session with the guidance council. 12 month follow-up measured portion of the follow-up period worked and number moving to higher employment status (e.g., part to full time). Number involved in educational or training programs. Aggregate income earned. Number of new arrests. Separate data for adult and family court (minor offense) probationers
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Project modifications occurred in the second phase (6-74 through 5-75). In addition, Monroe County Probation merged Family Court and adult probation departments. At the time of this report, insufficient time has elapsed to evaluate the second phase outcomes.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE:	LOCATION:	ADMINISTERING AGENCY:
NUMBER OF STAFF:	NUMBER OF CLIENTS:	TIME PERIOD OF REPORT:
SPONSOR:	EVALUATOR:	CODE: NY-1, Cont'd.
PROJECT DESCRIPTION:	EVALUATION DESIGN:	
PROCESS MEASURES:	OUTCOME MEASURES: involved in the project. Cost: Total operational costs/clients screened.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Data demonstrate a relationship between employment and recidivism, but not a causal direction. Evaluation able to conclude that project effects on employment were too slight to significantly affect recidivism. Forthcoming 12-month follow-up results on employment appeared more promising.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Community-Based Probation Project	LOCATION: Cleveland, Ohio	ADMINISTERING AGENCY: Cleveland Municipal Court Probation Department
NUMBER OF STAFF: 20	NUMBER OF CLIENTS: 4000 (2 years)	TIME PERIOD OF REPORT: 2-73 through 3-75
SPONSOR: LEAA-Impact	EVALUATOR: Impact Staff	CODE: OH-1
PROJECT DESCRIPTION: Reduce impact criminal activity by establishing 3 satellite offices to supervise probationers and parolees. Installed a needs classification system to increase interests of clients in services.	EVALUATION DESIGN: Compared only to quantitative goals and objectives set by Impact staff. Selection: Offenders in the Cleveland area who either committed or were likely to commit Impact crimes.	
PROCESS MEASURES: Number and minutes of individual counselling, group counselling, family counselling, home visits, contacts with outside services per month.	OUTCOME MEASURES: Recidivism = $\frac{\text{No. Arrest of Clients}}{\text{No. of Clients}}$ % of clients employed in vocational training, and in educational training, per month. Cost: not analyzed.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Original plan to link activities directly to crimes was abandoned. Evaluation successful only in comparing the objectives.		



EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Burglary Offender Project	LOCATION: Oregon	ADMINISTERING AGENCY: Oregon Correction Division
NUMBER OF STAFF: 4	NUMBER OF CLIENTS: 180	TIME PERIOD OF REPORT: 1974 through 1975
SPONSOR: LEAA	EVALUATOR: State Criminal Justice Planning Agency	CODE: OR-1
PROJECT DESCRIPTION: Reduce burglaries by providing intensive probation to burglary offenders in 4 district offices. Reduced caseloads to (30-35 clients). Increased presentence investigations. Increased employment, educational and other support activities.		EVALUATION DESIGN: Compared to results for burglary-related clients in 4 offices. Target and comparison groups checked for similarity of age, sex, ethnic group, education level, employment history, alcoholism, drug usage, and prior criminal history. Selection: Burglary-related offenders who were assigned to the district offices where special counselors were located.
PROCESS MEASURES: Mean number of contacts per client per month. Number of investigations.		OUTCOME MEASURES: Recidivism as measured by % of clients having new arrests during time on project. Arrests distinguished for felonies, misdemeanors and burglary related offenses. Termination as measured by the % of clients terminated from supervision for various causes. Cost: not analyzed.
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Clients in comparison groups had typically been under supervision longer and thus were more "exposed" to recidivism.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Philadelphia Out-reach Sub-offices and Chester District Office	LOCATION: Philadelphia, Pennsylvania	ADMINISTERING AGENCY: Pennsylvania Board of Probation and Parole
NUMBER OF STAFF: 35	NUMBER OF CLIENTS: Average 400-500 per month	TIME PERIOD OF REPORT: 1974 (4th year of continuing program)
SPONSOR: LEAA	EVALUATOR: Administering Agency	CODE: PA-1
PROJECT DESCRIPTION: Improve effectiveness of probation and parole in Philadelphia by opening 5 outreach and 1 district offices to decentralizing operation. Reduced caseloads to 50 clients.		EVALUATION DESIGN: Compared to main caseload of Philadelphia district after subtracting clients of some special programs. Selection: Probation and parole clients living in areas of decentralized Philadelphia facilities.
PROCESS MEASURES: Subjective measure of agent. Average monthly number of cases per agent. % of defined client needs not met at end of month. Number of contacts with referral agencies.		OUTCOME MEASURES: Recidivism as measured by % of cases closed successfully. Number arrests ÷ average number of clients. % of cases classified as unconvicted violators. Employment success as measured by % employed full or part time. % on public assistance. Cost: Not analyzed.
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Numerous programs working on the Pennsylvania caseload simultaneously produced some confounded effects. Main caseload of district decreased significantly due to implementation of several special programs. Different distributions of parole and probation clients affect outcomes. Economy affects employment success.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE:	LOCATION:	ADMINISTERING AGENCY:
NUMBER OF STAFF:	NUMBER OF CLIENTS:	TIME PERIOD OF REPORT:
SPONSOR:	EVALUATOR:	CODE: PA-1, Cont'd.
PROJECT DESCRIPTION:		EVALUATION DESIGN:
PROCESS MEASURES:		OUTCOME MEASURES:
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Evaluation was deemed conclusive.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Intensive Services Unit	LOCATION: Philadelphia, Pennsylvania	ADMINISTERING AGENCY: Adult Probation Department (Philadelphia Court)
NUMBER OF STAFF: 30	NUMBER OF CLIENTS: 833 probationers and parolees as of 6-75	TIME PERIOD OF REPORT: 2-75 through 6-75
SPONSOR: Federal Government and City	EVALUATOR: Human Systems Institute	CODE: PA-2
PROJECT DESCRIPTION: Reduce recidivism through intensive supervision. Make out individual treatment plans based on 6-8 week assessment process.		EVALUATION DESIGN: Three intensive supervision groups: 1) sex offenses, 2) psychiatric conditions for probation/parole, and 3) "high risk" clients formed by screening prospective participants. (Hypothesis: intensive supervision will have greatest impact on high risk group.) Attempt to establish control groups for sex, psychiatric, and high risk groups which do not distinguish treatment and compare with intensive supervision groups, controlling for predicted risk of recidivism.
PROCESS MEASURES: Number of client contacts. Caseload. Number of community agency referrals.		OUTCOME MEASURES: % of clients arrested. Average number of arrest-free days for clients arrested at least once. Total number of rearrests. Cost: total project costs
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Have questions concerning the accuracy of the data because reports are not filled out daily, but rather at the end of the month. Research responsibility changed from an R & D Unit back to project staff in 8-74.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: 1) Caseload Management 2) Addition to Supervision	LOCATION: Philadelphia, Pennsylvania	ADMINISTERING AGENCY: Adult Probation Department (Philadelphia Court)
NUMBER OF STAFF: 50	NUMBER OF CLIENTS: 3700-4300	TIME PERIOD OF REPORT: 1-74 through 9-75 (grants (1) and (2) have been operating for several years)
SPONSOR: Pennsylvania Governor's Justice Commission	EVALUATOR: Social Research Associates	CODE: PA-3
PROJECT DESCRIPTION: Probation officers to handle a full range of clients whereas other units in the department have more homogeneous caseloads (e.g., same sex, specialized teams for alcohol, drug, sex and psychiatric cases). Test of generalized supervision.	EVALUATION DESIGN: <u>Field Study:</u> Follow-up study after 10 months of probation between project and other units and those not placed on probation or parole. Study of relation of caseload size to rearrest within the project as well as 7 of 20 district offices are part of the project.  <u>Selection:</u> Probation clients living in parts of Philadelphia serviced by project offices	
PROCESS MEASURES: Workload based on classification of Intensive, Moderate, Minimum supervision needed. Caseload defined as number of cases. Number of client contacts/month. Number of client referrals per month and whether these were to outside community agencies. Proportion of clients by sex and sex of officer. Officer attitudes toward cross-sex assignments surveyed.	OUTCOME MEASURES: <u>Field Study:</u> Rearrest data: average number of arrests within 10 months of release from prison. % arrested within 10 months of release from prison. Average monthly rearrest rate over a 6-month period, in correlation between caseload size and rearrest rate.  <u>Cost:</u> cost-benefit considerations discussed under assumptions that costs per supervision unit are equivalent	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Probation followed prison for many in the field study described. Separate study affirmed that a prediction device for the determination of case risk had validity. Results of evaluation not conclusive.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: 3) Maintaining Quality Probation Services	LOCATION:	ADMINISTERING AGENCY:
NUMBER OF STAFF:	NUMBER OF CLIENTS:	TIME PERIOD OF REPORT:
SPONSOR:	EVALUATOR:	CODE: PA-3, Cont'd.
PROJECT DESCRIPTION:	EVALUATION DESIGN:	
PROCESS MEASURES:	OUTCOME MEASURES: across different treatment schemes.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Comprehensive Drug Control Project	LOCATION: Philadelphia, Pennsylvania	ADMINISTERING AGENCY: Pennsylvania Board of Probation and Parole
NUMBER OF STAFF: 17	NUMBER OF CLIENTS: Average of 650	TIME PERIOD OF REPORT: 1974 (3rd year of a continuing project)
SPONSOR: LEAA	EVALUATOR: Administering Agency	CODE: PA-4
PROJECT DESCRIPTION: Improve the effectiveness of probation and parole of drug addicts by establishing 2 narcotics units to provide comprehensive drug control supervision.		EVALUATION DESIGN: Performance compared to experience with similar drug units in other cities and (on a limited basis) to the general Pennsylvania caseload.  Selection: Probationers and parolees in Philadelphia who are drug addicts.
PROCESS MEASURES: Identified client needs not met at end of month. Quarterly averages of cases per supervisor. Number of contacts per month with clients not committed or absconded. Number of urinalyses run on clients. Survey job satisfaction of agents. Number of guided group sessions.	OUTCOME MEASURES: Recidivism as measured by % of cases closed successfully, % of caseload arrested per month, % of cases as "unconvicted violators" per month. % of clients employed full or part time, or on public assistance. % of clients showing drug use via urinalysis.  Cost: not analyzed.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Very difficult to identify a suitable control group so comparison to similar programs used as alternate. State of economy strongly affects employment success of clients. Proportion of parolees in a project biases outcome measures against one with many parolees. Evaluation deemed conclusive.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Development of Specialized Units	LOCATION: Philadelphia and Pittsburgh Pennsylvania	ADMINISTERING AGENCY: Pennsylvania Board of Probation and Parole
NUMBER OF STAFF: Unknown	NUMBER OF CLIENTS: 700 per month	TIME PERIOD OF REPORT: 1974 (4th year of continuing report)
SPONSOR: LEAA	EVALUATOR: Research unit of administering agency	CODE: PA-5
PROJECT DESCRIPTION: Improve probation and parole success by providing a number of specialized units including 3 intensive supervision units and 4 pre-parole case analysis units. Included is a reduction in the caseload of the intensive units.		EVALUATION DESIGN: Comparison to the general caseload of the Philadelphia and Pittsburgh districts (less clients of several special programs).  Selection: 1 intensive unit has high risk parolees other 2 intensive units took representative loads in Pittsburgh and Philadelphia.
PROCESS MEASURES: Surveys of the information collected and reported by pre-parole analysts. Average number of cases assigned per agent. Average number of office and field contacts per client.	OUTCOME MEASURES: Recidivism as measured by the % of cases closed successfully. % of average cases closed successfully each month. Number of arrests ÷ average caseload. Number of clients classified as "unconvicted violator". Client employment success as measured by % employed and % on public assistance. % of parole cases approved by parole board.  Cost: not analyzed.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Court specified the intensive probation unit in Philadelphia on many high risk cases. General caseloads in Philadelphia also decreased with the advent of several special programs. Client transfer between units complicate statistics and generally early transfers out of successful cases.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE:	LOCATION:	ADMINISTERING AGENCY:
NUMBER OF STAFF:	NUMBER OF CLIENTS:	TIME PERIOD OF REPORT:
SPONSOR:	EVALUATOR:	CODE: PA-5 Cont'd.
PROJECT DESCRIPTION:		EVALUATION DESIGN:
PROCESS MEASURES:		OUTCOME MEASURES:
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Employment results are affected by general economy. Evaluation results are not conclusive.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Regional Office-Suboffice	LOCATION: Pennsylvania	ADMINISTERING AGENCY: Pennsylvania Board of Probation and Parole
NUMBER OF STAFF: 275	NUMBER OF CLIENTS: 1500 per month average	TIME PERIOD OF REPORT: 1974-1975 (last 18 months of a 4 year effort)
SPONSOR: LEAA	EVALUATOR: Administering Agency	CODE: PA-6
PROJECT DESCRIPTION: Improve law abiding behavior and economic integration of parolees and probationers by establishing 9 sub-offices in smaller cities to decentralize supervision and reduce caseloads. Emphasizes family and group interaction.		EVALUATION DESIGN: Comparison to performance before program was implemented and to performance of similar clients handled by district offices and by special offices for alcohol/drug abusers. Selection: All probation and parole cases in geographic area of sub-offices.
PROCESS MEASURES: Proportions of clients served who live in same county as the local office. Average number of cases per supervisor with adjustments for absconders and other inactive cases. Number of agent contacts in office, in field or with collateral persons. Number of active counseling groups.		OUTCOME MEASURES: Recidivism as measured by % of cases not closed successfully, arrests ÷ average caseload per period. New classification as "unconvicted violator" ÷ average caseload per period. Employment success measured by % partially or fully employed during each month. Cost: Compared total annual costs per client from direct and indirect project costs,
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Program was implemented at same time as others so effects could not be distinguished. Rearrest data on sub-office group was found to include different mix of technical violations than district group. District offices being in urban and sub-offices in small city locations may have introduced differences in character of clients.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE:	LOCATION:	ADMINISTERING AGENCY:
NUMBER OF STAFF:	NUMBER OF CLIENTS:	TIME PERIOD OF REPORT:
SPONSOR:	EVALUATOR:	CODE: PA-6 Cont'd.
PROJECT DESCRIPTION:		EVALUATION DESIGN:
PROCESS MEASURES:		OUTCOME MEASURES: estimated costs of detention of arrested clients, welfare costs of unemployed clients, taxes paid by employed clients.
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: Rearrest data includes more than one arrest per client in some cases. District offices having higher proportion of parolees may have biased recidivism against sub-offices. Evaluation sufficiently definitive to research some conclusions.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Field Services	LOCATION: Tennessee	ADMINISTERING AGENCY: Tennessee Department of Corrections
NUMBER OF STAFF: 285	NUMBER OF CLIENTS: Increase from 1100/month probationers average in 1969 to 3500/month in 1974	TIME PERIOD OF REPORT: 1970 through 1974
SPONSOR: LEAA	EVALUATOR: Department of Correction/ Tennessee LEPA Staff	CODE: TN-1
PROJECT DESCRIPTION: Reorganization of State Supervision Programs to affect caseload, services to the courts, and recidivism.		EVALUATION DESIGN: Ex post facto - changes in Tennessee over 5 year period. Selection: All probation/parole in the State of Tennessee.
PROCESS MEASURES: Caseloads. Work time allocation of officers. Number of probationers, institutional population.		OUTCOME MEASURES: Cost: Savings of probation compared to institutionalization (diversion)/month. Annual funding levels.
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:		



EXHIBIT IV - 1, Cont'd.

<b>PROJECT TITLE:</b> Increase Adult Probation	<b>LOCATION:</b> Dallas County, Texas	<b>ADMINISTERING AGENCY:</b> Dallas County Probation Department
<b>NUMBER OF STAFF:</b> 80; 200 volunteers	<b>NUMBER OF CLIENTS:</b> 6200 average	<b>TIME PERIOD OF REPORT:</b> 1-74 to 12-74 (2nd year)
<b>SPONSOR:</b> LEAA - Impact	<b>EVALUATOR:</b> Dallas Area Criminal Justice Council	<b>CODE:</b> TX-1
<b>PROJECT DESCRIPTION:</b> Reduce criminal activities by more Intensive Supervision and provides expanded and innovative rehabilitative programs. Conducts pre-sentence psychological testing and interviews. Provides computerized reporting capabilities and region-wide notification of probationer's arrest. Improves skills of probation officers in supervising probationers.		<b>EVALUATION DESIGN:</b> Same department in previous years with 1972 as baseline.  Selection: Full Dallas County felon probation program.
<b>PROCESS MEASURES:</b> Number of offenders/officer. Number of job referrals and placements. Dropout rate from employment assistance program. Number of volunteers and cases handled. Program dropout rate. Number of participants and certificates obtained. Total hours of training. Workshops attended by counselors.		<b>OUTCOME MEASURES:</b> Probation failure rate = Prevocation/Cases closed in period. Revocation rate - Revocations/Number of probationers at end of year period. Recidivism rate = Number of probationers arrested/Number of probationers under supervision during the period. Special program's dropout rate. All of the above are recorded by component sub-programs as well as in total.
<b>STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:</b> Changed classification of marijuana offenders from felony to misdemeanor in 1974 and also, redefined felony theft. Generally, all the threats of history; e.g., changes in economic climate, type of cases handled, etc. are present. Determined external GED program inadequate on basis of certificates obtained, so they established new internal GED program during 1974. GED participants were tracked as community resource participants.		

EXHIBIT IV - 1, Cont'd.

<b>PROJECT TITLE:</b>	<b>LOCATION:</b>	<b>ADMINISTERING AGENCY:</b>
<b>NUMBER OF STAFF:</b>	<b>NUMBER OF CLIENTS:</b>	<b>TIME PERIOD OF REPORT:</b>
<b>SPONSOR:</b>	<b>EVALUATOR:</b>	<b>CODE:</b> TX-1 Cont'd.
<b>PROJECT DESCRIPTION:</b>		<b>EVALUATION DESIGN:</b>
<b>PROCESS MEASURES:</b>		<b>OUTCOME MEASURES:</b> Cost; Direct expenditure per quarter/probationer.
<b>STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:</b> This study attempted to sort out the effects of the various sub-programs. No baseline data available on recidivism rates or special program dropout rates.		

EXHIBIT IV - 1, Cont'd.

<b>PROJECT TITLE:</b> Harris County Model Probation Project	<b>LOCATION:</b> Harris County, Texas	<b>ADMINISTERING AGENCY:</b> Harris County Department of Probation
<b>NUMBER OF STAFF:</b> 70	<b>NUMBER OF CLIENTS:</b> 1000 felon + 500 misdemeanors/month	<b>TIME PERIOD OF REPORT:</b> 7-72 through 11-73
<b>SPONSOR:</b> Texas Criminal Justice Council	<b>EVALUATOR:</b> Sam Houston State University	<b>CODE:</b> TX-2
<b>PROJECT DESCRIPTION:</b> Reduce the number of convicted criminals incarcerated by providing a full service probation function in Harris County including added offices, satellite offices, presentence investigations, and community resource usage.		<b>EVALUATION DESIGN:</b> Number cases assigned to probation compared to experience before project. <b>Selection:</b> All criminals assigned to probation in Harris County.
<b>PROCESS MEASURES:</b> Average monthly caseload per supervisor. Number of probationer visits to office. Number of supervisor field visits. Number of presentence investigations completed. Number of community resource referrals.		<b>OUTCOME MEASURES:</b> Success Rate = (Number revocations during period) ÷ (Number of cases during period). Number of cases assigned to probation (under assumption that they would otherwise be incarcerated). Cost: not evaluated for project.
<b>STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:</b> Report is not an evaluation.		

EXHIBIT IV - 1, Cont'd.

<b>PROJECT TITLE:</b> Mexican-American Community Corrections Support Program ("SOCIO")	<b>LOCATION:</b> Utah	<b>ADMINISTERING AGENCY:</b> SOCIO (a community organization) with Utah Division of Corrections
<b>NUMBER OF STAFF:</b> 3	<b>NUMBER OF CLIENTS:</b> 103 total	<b>TIME PERIOD OF REPORT:</b> 9-73 to 9-74
<b>SPONSOR:</b> Utah LEAA	<b>EVALUATOR:</b> Dept. of Psychology, University	<b>CODE:</b> UT-1
<b>PROJECT DESCRIPTION:</b> Reduce Chicano probation and parole violations by: Arranging for jobs and on the job training. Arranging for training and education. Mobilizing resources of community agencies. Providing direct counseling and support. In theory, SOCIO counselors supplemented regular P.O./parole officers, but in practice came closer to replacing them.		<b>EVALUATION DESIGN:</b> Chicano group receiving regular P.O. services were non-randomized "matched" individually with SOCIO clients (70 matches of 103 possible). Matched on age, date of probation or parole, nature of offense. Perfect match on probation district, sex, history of previous offenses (repeat or not), parole or probation. Conservative match on rated probability of recidivism. Compared Chicano crime base rates with Black and White base rates.
<b>PROCESS MEASURES:</b> Number of contacts, employment data, and wages for some offenders. Number of arrangements for training. Number of arrangements for community contacts (they abandoned this dimension). Number of contacts with community agencies. Number of counseling contacts.		<b>OUTCOME MEASURES:</b> Number of instances of recidivism (arrest for which charges were not subsequently dismissed, orders to show cause or other parole/probation violations, and any issuance of bench warrant.) Interviews with SOCIO clients and comparison group clients were conducted to determine their assessments of program effectiveness.
<b>STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:</b> Identification of Chicanos fallible, they estimate that they missed 25%. Recidivists had fewer jobs, but received more efforts from counselors. Abandoned objective of community contact as clients actively resisted. Provided useful services to other people in the Mexican-American community as well as indicated somewhat lower recidivism than in control group and provided process services with reasonable success, although specific process objectives		



EXHIBIT IV - 1, Cont'd.

PROJECT TITLE:	LOCATION:	ADMINISTERING AGENCY:
NUMBER OF STAFF:	NUMBER OF CLIENTS:	TIME PERIOD OF REPORT:
SPONSOR:	EVALUATOR:	CODE: UT-1, Cont'd.
PROJECT DESCRIPTION:	EVALUATION DESIGN: Researched Chicano base recidivism rates.  Selection: SOCIO clients are fairly representative of Utah Chicanos on probation/parole, but imperfectly so (neither fully random nor comprehensive selection).	
PROCESS MEASURES:	OUTCOME MEASURES:	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT: were set unrealistically high in the grant. Noted difficulties in cross-ethnic comparisons (e.g., different crimes and different resultant sentence distributions). Intended to get counselor reports weekly, but actually got them quarterly.		

EXHIBIT IV - 1, Cont'd.

PROJECT TITLE: Probation and Parole Demonstration Project	LOCATION: Northern Virginia metropolitan area	ADMINISTERING AGENCY: Division of Probation and Parole Services of Northern Virginia
NUMBER OF STAFF: Added 15 probation and parole officers to previous 13	NUMBER OF CLIENTS: Average of 900 probationers and 300 parolees during 1974	TIME PERIOD OF REPORT: 1972 through 1974
SPONSOR: Virginia Division of Justice and Crime Prevention	EVALUATOR: PRC/Public Management Services	CODE: VA-3
PROJECT DESCRIPTION:  To increase the efficiency and effectiveness of service delivery to probationers and parolees by establishing community services coordinator. Reduced caseloads to 60 and used 3-man teams to specialize in ideal, normal, and intense offenders. Uses student interns as probation and parole aides. Provide and service to courts not of record in addition to courts of record [i.e., work with misdemeanants].	EVALUATION DESIGN:  10-year time series data in percentage of revocations for this probation and parole division.  Selection: Northern Virginia regular probationers and parolees (felons) plus some misdemeanants (from courts not of record).	
PROCESS MEASURES:  Number of referrals handled. Team approach with specialization by type of offender abandoned in practice. Student interns met with subjective approval.	OUTCOME MEASURES:  Percentage of revocations = Number of revocations/Average monthly caseload.  Average number of offenders on probation = An indicator of the division's service capacity.  Judge's expression that service has improved and increased the number of presentence investigations requested.	
STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:  Drop in revocation rate commenced a year and a half before the grant, but no conclusions are possible in regard to grant's effect on this. Discrepancies in caseload definition (as to whether a weighted caseload counting is used) between documentation provided, the semi-annual report, and interview information provided to the evaluator.		

EXHIBIT IV - 1, Cont'd.

<b>PROJECT TITLE:</b> Community Correctional Programs and Services for Adults	<b>LOCATION:</b> Richmond, Virginia	<b>ADMINISTERING AGENCY:</b> Richmond Community Correctional Center
<b>NUMBER OF STAFF:</b> 8	<b>NUMBER OF CLIENTS:</b> Average occupancy about 17 men	<b>TIME PERIOD OF REPORT:</b> Fiscal year 1975, first quarter fiscal year 1976.
<b>SPONSOR:</b> Virginia Division of Justice and Crime Prevention	<b>EVALUATOR:</b> PRC/Public Management Services	<b>CODE:</b> VA-1
<b>PROJECT DESCRIPTION:</b> Halfway house, accepting both state and federal probationers and parolees.		<b>EVALUATION DESIGN:</b> Selection: A mix of 5 sources; probationers from court or from caseloads, parolees from prisons or from caseloads, federal cases.
<b>PROCESS MEASURES:</b> Subjective notation of community interactions. Employment data on current residents only.	<b>OUTCOME MEASURES:</b> Failure rate = Number rearrested, absconded, or program standards violators/total discharged from program.  Cost: net costs/client/year	
<b>STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:</b> Comparison of failure rate with other programs is difficult due to the variety of high-risk clients served.		

EXHIBIT IV - 1, Cont'd.

<b>PROJECT TITLE:</b> Probation and Parole Demonstration Project	<b>LOCATION:</b> Norfolk, Virginia	<b>ADMINISTERING AGENCY:</b> Division of Probation and Parole Services - Norfolk
<b>NUMBER OF STAFF:</b> Added 14 probation and parole officers to previous 8	<b>NUMBER OF CLIENTS:</b> Average of 500 probationers and 275 parolees during 1974	<b>TIME PERIOD OF REPORT:</b> 1972 through 1974
<b>SPONSOR:</b> Virginia Division of Justice and Crime Prevention	<b>EVALUATOR:</b> PRC/Public Management Services	<b>CODE:</b> VA-2
<b>PROJECT DESCRIPTION:</b> To increase the efficiency and effectiveness of service delivery to probationers and parolees by reducing caseload to 60 work units per officer, by procuring psychological consulting services, by improving service to drug-dependent clients through maximum use of community drug treatment facilities, and by using one ex-offender as a probation and parole aide.		<b>EVALUATION DESIGN:</b> 1971 Norfolk data used as base of comparison for 1972, 1973, and 1974.  Selection: Norfolk, Virginia regular probationers and parolees (felons).
<b>PROCESS MEASURES:</b> Number of average work units/officer. Weights pre-sentence investigation 5 units, other investigations 3 units, and supervision, a weight of 1.  Number of psychological consultations procured.	<b>OUTCOME MEASURES:</b> Average number of offenders on probation (but no way to relate to overall court dispositions) as an indicator of the division's service capacity. Rate of recidivism including technical violations, new felonies and absconders/average caseload. (Separate probation and parole data kept.)  Cost: Total grant costs.	
<b>STATED OBSERVATIONS ON EVALUATION AND MEASUREMENT:</b> Administering agency declines to draw inferences from recidivism statistics, but evaluator believes favorable inferences are reasonable. Drug-treatment portion of the program was undermined by upheavals in the community agencies. Evaluation points out the flows of attaining numerical caseload goals.		

produced some outcome, it must be established that the project carried on some related activity. Conversely, if a project seems to have produced some particularly good or bad outcomes, it is important to know what activities were carried on in order to determine how to reproduce or improve those outcomes.

By their nature process measures tend to be project-specific. For example, it makes sense to measure the number of volunteers recruited only when volunteers were recruited. And the number recruited must be weighed against specific project needs and capacities in context with prior efforts and community sentiment and resources. However, the review of recent evaluations summarized in Exhibit IV-1 identified several process measures and measurement problems that recur in intensive special probation projects. The following sub-sections present and discuss the major categories.

Caseload/Workload Measures. In many intensive probation projects the main process objective is to increase the amount of probation supervision provided clients by reducing the caseload of probation supervisors. Thus the average caseload per supervisor becomes an important process measure and it is desirable to make the measure correspond closely to the amount of supervision provided.

In most cases presented in Exhibit IV-1, caseload was estimated by the simple formula

$$\left[ \begin{array}{c} \text{Average} \\ \text{Caseload} \end{array} \right] = \left[ \begin{array}{c} \text{Average Total No.} \\ \text{of Active Cases} \end{array} \right] / \left[ \begin{array}{c} \text{No. of Probation} \\ \text{Supervisors} \end{array} \right]$$

However, some problems did arise in defining elements of the formula. One problem, the definition of the number of supervisors, arises in projects which make extensive use of volunteers and/or paraprofessionals. If these auxiliary personnel are counted equally with regular supervisors, the average caseload will be misleadingly low. On the other hand, volunteers do provide supervision service that may or may not lessen the workload for regular supervisors. None of the projects in

Exhibit IV-1 appeared to have a satisfactory solution to this estimation problem, though one did attempt to record the level of volunteer activity by tabulating the number of hours worked by volunteers. [103, 104]

Another problem of definition arises in determining the number of active cases. At any given time the number of cases nominally assigned to a supervision unit typically includes a number of clients who have absconded or are otherwise not receiving active supervision. Thus the nominal number of cases is somewhat larger than the number actually receiving supervision. In an effort to adjust for such cases, many of the studies reviewed in Exhibit IV-1 measured active cases as the number of assigned cases that had not been classified as absconded/committed or otherwise officially inactive. However, less formally inactive cases remain in the measured caseload, and, of course, all active cases do not require, or receive equivalent attention.

A more sophisticated approach is the workload scheme employed in one Pennsylvania study. [92] Supervisor workload in that study was assumed proportional to the number of required probationer contacts per month. Thus, cases required to report only monthly or quarterly were counted less heavily than those reporting weekly. To the extent that required reporting times are kept up-to-date with the amount of supervision required, this approach would seem quite accurate.

A related idea is the classification scheme used. In a project operating in Kentucky, cases were classified as requiring "maximum," "medium," or "minimum" supervision, and workload was measured as a weighted sum of such cases. [157] Again, the validity of the measurement rests of the accuracy of the classification.

Another workload issue is how to account for non-supervisory activities of probation officers. Presentence investigations, management of volunteers,

and similar activities can consume substantial officer time. The American Correctional Association's Study on Standards and Goals has recommended that presentence investigations be counted as 5 cases in determining caseload. [210] However, only a few of the reports, evaluations, or studies reported in Exhibit IV-1 used such a measurement standard. In fact, only a few of the studies employed any estimation scheme to adjust for non-supervision duties.

Case Contact/Supervision Measures. Even though caseload is the variable probation managers can most easily manipulate in intensive special probation problems, it is at best only an indirect measure of the quantity of supervision provided clients. Thus it is natural that projects should seek to obtain more direct measures of the supervision provided.

The studies reviewed included many attempts to keep statistics on the amount of supervision provided — typically by logging the amount of contact between the supervisor and individuals connected with the case. The simplest and most widely used approach is to record the number of contacts with the client, the client's family, the client's employer, etc. However, many of the evaluators commented in their reports that they considered the number of contacts a very inadequate measure. Typical is Adams, Chandler, and Neithercutt's comment that use of the number of contacts, "...not only failed to deal with quality but provided a poor measure of quantity..." [7]

Beyond this conceptual problem with the number of contacts as a process measure, there are obvious questions of the reliability of the numbers reported. Overworked probation officers might be expected to skimp on the "paperwork" of logging contacts. Reliability is particularly troublesome in attempting to draw comparisons between different probation programs wherein the officers recording contacts have differential interest in the statistics collected and the evaluation objectives.

To obtain at least a better indication of the quantity of contact, a few studies have augmented records on the number of contacts with statistics on the time of contact. While such statistics may be better measures of the quantity of contact, they are still subject to all the reliability concerns just mentioned. In fact, the problems may be more serious because the record-keeping burden on probation officers is greater and because officers might feel the need to make sure that all their on-duty hours are counted.

Only two of the studies reported in Exhibit IV-1 reported any serious attempts to measure the quality of the supervision provided probationers. Both these studies employed a survey of supervisor and client opinion about various dimensions of the effectiveness of supervision. While both studies appeared to gain useful information from the surveys, it does not appear feasible to use such surveys on any large scale. [7, 79]

Other Activity Statistics. As indicated in the "Process Measures" column of Exhibit IV-1, numerous statistics are compiled by special probation projects which reflect activities other than client supervision. Examples include the following:

1. Urinalysis run (in connection with drug offender projects)
2. Client referred to community agencies (in connection with efforts to expand use of community services)
3. Presentence investigations performed (in connection with projects providing more extensive presentence investigations)
4. Group counseling sessions held (in connection with projects employing group counseling)
5. Volunteers recruited (in connection with volunteer projects)
6. Tests administered (in connection with projects completing assessment and classification of offenders).

Measurement of such activity statistics is direct. An important measurement issue is whether the procedures for collecting the statistics are reliable.

Because the number of factors impinging upon project processes is so great, any attempt to compare different intensive special probation projects on these bases must be done with extreme caution. For instance, possible nuances in caseload measures have been discussed. In addition, an evaluator attempting to categorize projects on the basis of caseload should consider a whole range of inter-related factors such as type of client served, community resources available, socio-economic milieu, and so on.

#### Outcome/Success Measures

The second major class of measures of probation projects are those which seek to document changes in probationers that may have been caused by project activities. These outcome/success measures are thus related more to the project goals than to project activities. If a project can show no improvement in outcomes, then the project must be deemed ineffective. On the other hand, if a reliable outcome measure does indicate improvement during the period of the project, and the improvement cannot reasonably be attributed to causes other than the project, then the project can be considered at least partially successful.

The issue of evaluation designs for attributing outcomes to projects is addressed in a later section. The present section considers the equally formidable problems in obtaining reliable outcome measures. These problems are more severe than those connected with process measures because the items being measured are much less under control of project management. However, nearly all the evaluations summarized in Exhibit IV-1 attempted some form of outcome measurement. The next several subsections discuss the most important classes of measures employed.

Recidivism Measures. By far the most commonly employed measures of probation project outcomes are those which deal with recidivism, i.e., negative behavior on the part of clients which results in their being rearrested, reconvicted, committed to prison, etc. For many years, such measures have been widespread (though not entirely accepted) in the field of corrections. However, numerous measurement issues connected with recidivism are still unresolved.

One important controversy deals with the choice of the negative behavior which should be counted as recidivism. Among the possibilities commonly discussed are:

- 1) Unsuccessful probation termination defined as termination of probation by absconding, being revoked and committed to prison, or being convicted of an additional crime.
- 2) Rearrest defined as being arrested for an additional crime during the period of evaluation.
- 3) Reconviction defined as being convicted of an additional crime during the period of evaluation.

For each of these there are many variations, including distinguishing between "technical violations" of probation and actual crimes, and attempting to weight the seriousness of the crimes involved in arrests/convictions. Virtually all of these possibilities were used in some form by at least one of the evaluations reviewed for Exhibit IV-1.

The National Advisory Commission on Criminal Justice Standards and Goals has recommended that recidivism be measured by "(1) criminal acts that resulted in conviction by a court, when committed by individuals who are under correctional supervision or who have been released from correctional supervision within the previous three years, and by (2) technical violations of probation or parole in which a sentencing or paroling authority

took action that resulted in an adverse change in the offender's legal status. Technical violations should be maintained separately from data on reconvictions." [27] The logic behind this definition is that a reconviction is a well-defined legal event which admits to less bias and variation than arrests or technical violations, and that the period of three years after supervision is long enough to include crimes committed by most offenders who will recidivate at all.

In a few of the reports summarized in Exhibit IV-1 references were found to standards like this one, but almost all real analyses used other measures. The reasons given for not using the standards are a whole series of practical problems with measuring re-conviction recidivism in an operating intensive special probation project.

One important problem is timing. Project evaluation reports are intended to give periodic information about the progress of the project, so that activities can be redirected as necessary, and the impact of innovations assessed. The long time delays inherent in convictions--particularly if a several year follow-up period is included--almost assure that no useful reconviction recidivism data can be available before the end of a 1 to 3 year project. Unsuccessful terminations and arrests provide much more timely information. In addition, few projects have any real capability to follow the history of a client after he has been released from supervision. Follow-up studies are slow and costly, complicated by the high mobility of offenders, and the lack of effective criminal information systems. Thus the more timely measures of arrests during the probation period and terminations are attractive because they are more likely to show meaningful results within the period of project review.

Even when the more rapid measures of recidivism are employed, the fact that at any point in a project, cases will have been on probation for different lengths of time complicates estimation. In the evaluations reviewed

many different forms of standardization were used to account for such variations in the time probationers were "at risk" for recidivism, but no entirely adequate scheme was identified. Perhaps the most common was the use of the "violation index" defined as follows:

$$\left[ \begin{array}{l} \text{violation} \\ \text{index} \end{array} \right] = \frac{\left[ \begin{array}{l} \text{no. of cases terminated} \\ \text{unsuccessfully} \end{array} \right]}{\left[ \begin{array}{l} \text{total no. of cases terminated} \end{array} \right]}$$

Observe that this index is a valid basis for comparing probation programs only if the length of time before normal terminations is equal among the programs being compared. As the length of time to normal termination is decreased, the violation index will also decrease because the chance of unsuccessful terminations decreases. Intensively supervised cases often have different rates of early termination; in some instances, probationers may be "terminated" via transference to a regular probation program. (Further confounding the measurement problems if comparisons are being attempted between the respective programs).

Such difficulties with the violation index are an example of another recurring difficulty with recidivism measures in intensive probation projects--interactions between the level of supervision and the measured recidivism.

In several ways increased supervision can unintentionally result in an increase in measured recidivism. Adams, Chandler and Neithercutt observed in reviewing the well-known San Francisco project that higher rates of technical violations among persons under intensive supervision may have been a consequence of closer supervision monitoring of the probationer's activities. [7] Several other studies included in Exhibit IV-1 found increased rates of technical violation among intensively supervised cases. While not documented in studies, it might at least be suggested that a supervisor's knowledge of rearrests or reconvictions might also be increased when clients are supervised intensively. Again an increase in measured recidivism would result.



Employment Success Measures. The only outcome measure besides recidivism which was reported in any substantial number of the evaluations shown in Exhibit IV-1 is client employment success, i.e., the degree to which probationers were able to obtain and retain employment. Among the measures employed were the following:

1. Average percent of clients employed full-time
2. Average percent of clients employed part-time
3. Aggregate dollars earned by clients
4. Average percent of clients receiving various forms of welfare.

However, there is no uniformity of definitions for these measures and very little discussion of the problems in implementing the measures.

One of two procedures was typically used to obtain employment data. In some evaluations, probationers or supervisors reported employment history often at termination of probation. In others, employment status was determined by a follow-up study in which project research staff interviewed clients.

Neither of these techniques would appear very reliable. Any method which depends on reporting by clients or supervisors would be subject to biases, high variability, and to interactions between the level of supervision and the level of employment reported. For example, a supervisor who is working intensively to find employment for his clients might be expected to over-report any employment actually obtained. Follow-up studies and reporting at termination of probation risk a different form of bias. After any substantial time of project operations, some clients would have absconded or otherwise gone beyond reach of a survey. Thus, they cannot be included in statistics, and, ignoring such persons could tend to make projects with high recidivism appear to be doing well on employment. The number of clients reporting employment would be compared to a reduced total.

Other Outcome Measures. Though there is no consistency between projects, some of the evaluations summarized in Exhibit IV-1 did record outcome measures other than recidivism and employment success. Some such measures dealt with specific elements of the project. For example, two projects dealing with drug addicts used the percent of clients showing drug use in urinalysis as a measure of failure to stop drug use. Other outcome measures involved subjective judgments by the supervisor on the degree of social adjustment exhibited by the probationer at termination or judgments on the project's effectiveness obtained through clients.

There is little discussion of the methodological problems of using these measures in the evaluation reports reviewed, but it would appear that the problems would be quite similar to those discussed above for other measures. For example, urinalysis data would be subject to most of the measurement problems and interactions with intensive probation that were presented in the discussion of recidivism.

#### Cost and Cost/Benefit Measures

Process measures describe project activities, outcome measures describe project successes, and the relation of these measures to cost defines project productivity. Thus, costs are very important in determining the overall value of an intensive special probation project.

In view of this importance it is somewhat surprising that only two or three of the evaluations reviewed made any serious analysis of costs. Most reports did not mention costs at all (except occasionally to comment that cost analyses should have been made). Studies which did mention costs typically limited analysis to the calculation of the ratio of total project budgets to the number of clients served.

The most serious analysis of costs and benefits contained among the evaluations of Exhibit IV-1 was performed in connection with a Pennsylvania project. [92] Total annual costs per client were estimated as the sum of the following:

1. Direct and indirect costs of operating the project
2. Costs of detention of arrested clients
3. Welfare support costs of unemployed clients
4. Tax revenue paid by employed clients.

Since this measure of costs includes some effects of recidivism, employment success, and the investment in the project, it was possible to make rather complete comparisons between the project group and a comparison group. Of course, the development of the costs used in the comparison involved data from a number of sources and various assumptions and reductions. Thus, the reliability of the analysis poses a serious question.

Some experts in the field of correctional evaluation have advocated the use of even more complete measures of costs and benefits. For example, Lipton, Martinson, and Wilks commented that,

"There are at least three types of costs that should be included in a determination of economic benefits of treatment programs. The first type is direct program costs. Such costs include staff salaries, physical facilities, court costs, police processing costs, and detention costs. The second type is indirect costs to government. Such costs include loss of revenue derived from state income and sales tax paid by offenders, and welfare costs paid to offenders' dependents. The third type includes social costs. Social costs include wages lost by the victim, the loss of money by a robbery or a burglary victim, and the human damage done by an opiate addict to himself." [146]

A study comparing costs of incarceration with a model probation program for Texas covered the first type in some depth, the second in part, but did not venture into the third. [194]

### Evaluation Design

Every evaluation has or should have a research design, i.e., a plan of investigation conceived so as to obtain answers to research questions. In intensive special probation projects the design usually seeks to determine whether a change in outcome measures during the time of the project can be attributed to the activities of the project. A design which can make such a determination satisfactorily is said to be valid. In the next several subsections, the validity of evaluation designs used in probation is classified and analyzed.

Validity of Evaluation Designs. The validity of an evaluation design is a direct consequence of the degree to which causes other than the project treatment which might produce a change in outcome measures have been controlled by the design. Campbell and Stanley in their classic work on quasi-experimental design, and Lipton, Martinson, and Wilks in their study of correctional treatment provide a classification of designs according to what is controlled. [208, 146] In an effort to gain some insight about evaluation practice in intensive special probation, the studies reviewed in Exhibit IV-1 were classified along similar lines. The number of studies included in each category is shown in Exhibit IV-2.

The least valid form of evaluation is an after-only study which merely reports various items measured during the project. With such designs it is not even possible to determine if outcomes changed let alone whether changes were caused by the project. Only 3 of the studies in Exhibit IV-1 fit the after-only classification.

A much more common evaluation form is the before-after approach which compares outcome measures produced by the projects to similarly calculated ones before the project was implemented. A total of 9 of the studies in Exhibit IV-1 took the before-after approach. In some cases, "before" data



EXHIBIT IV-2

Classification of Evaluation Designs

Classification Used in Intensive Special Probation	Number
After-only	3
Before-After	9
Group Comparison	10
Control Group	6

were based on a city- or state-wide baseline analysis of the situation when the project was implemented, and in others comparisons were drawn directly with past performance of the probation or parole agency housing the project.

Before-after analyses are able to detect changes in outcome measures, but they are seriously lacking in validity because they are unable to control many alternative explanations of the changes. Several of the before-after evaluations of intensive probation projects experienced such problems. One example is a Virginia study which reported being unable to determine if revocations were diminished by project activity -- because there had been a long term trend toward fewer revocations in the agency housing the project. [57] In a Dallas study, reclassification of marijuana possession as a misdemeanor in the middle of the project's operating period substantially changed the mix of offenders being served by the project. Again, a change in recidivism cannot be convincingly attributed to the project. [95]

These limitations of the before-after design were often recognized by the authors of evaluations. However, many commented that the environment of their projects did not permit any better controlled evaluation. In some cases the project provided probation service in an area where it had essentially not existed before. There was no similar group undergoing a different type of probation with which the project group might be compared. In other cases the specialized nature of the project population (e.g., drug addicts) made comparison to another probation program essentially meaningless. In conjunction with a special probation program for Chicanos in Utah, a statistical analysis demonstrated the non-comparabilities between Chicanos and any other ethnic offender groups (a comparison group of Chicanos was devised). [144] Finally, some projects set out to classify offenders and assign the highest

risk clients to the project. Thus, if the classification were successful, the project group would not be comparable to other probation programs.

When some separate, but relatively comparable group is available, the research design is called a group comparison. This design approach cannot rule out all differences in outcomes that may be caused by differences in the project group and comparison group populations, but it allows stronger inferences than a before-after comparison. Changes in the external environment and consequences of historical trends are reasonably well controlled.

Among the evaluations reviewed in Exhibit IV-1, group comparisons were the most popular design. A total of 10 studies used the approach. The typical choice for a comparison group was probationers being supervised under the usual probation system in the same jurisdiction as the project. For example, a Pennsylvania project which involved decentralization of probation services to 5 neighborhood offices was compared to normal supervision of the probationers remaining under the control of the downtown office. [88]

Since comparison groups in the group comparison design are not randomly determined or exactly matched to the project group, some group differences prior to project participation which might account for outcome differences are bound to be present. In many cases the evaluations performed some analysis of such differences in the two groups. Among the items which seemed to introduce serious group differences were the following:

1. Different mixes of probationers and parolees (parolees appear to be higher risk offenders)
2. Higher proportion of high risk offenders in the project group when it is selected by locating neighborhood supervision offices in high crime neighborhoods

3. Lower proportion of high risk offenders in the project group when it is selected by locating offices in suburbs or rural areas and compared to statewide figures, heavily weighted with central city offenders.

The most valid designs used in the special probation evaluations summarized in Exhibit IV-1 entail comparisons drawn to a scientifically chosen control group. Control group designs operate either by matching clients in the project group to those in a control group on the basis of personal characteristics likely to be associated with their supervision needs, or, preferably, by creating a pool of qualified clients and randomly allocating them to project and control groups. In either case the fact that the characteristics of the project and control groups are quite similar leads to stronger conclusions than those which can be drawn from the group comparison design.

Six of the projects reviewed in Exhibit IV-1 used the control group evaluation design, two with matched control groups and four with random allocation. In all cases a number of demographic indices were recorded on clients in the two groups and compared after the groups had been selected. In at least the case of a Florida study such a comparison showed the groups differed on 14 of 23 characteristics compared. [93] Such differences made the evaluator question whether the allocation process had been as random as intended in the research design. In other studies, the differences were not as severe, but still raised doubts about the evaluation. However, no case was found where the evaluator made a systematic attempt to correct for group differences, e.g., by the analysis of covariance techniques.

Problems in Implementing Designs. The validity of the best evaluation design can be defeated if the research plan implicit in the design is not properly implemented. In common with many other corrections researchers, the evaluators whose reports are summarized in Exhibit IV-1 encountered numerous practical problems in carrying out their original designs.

The most common problem of this type arose from conflicts between the service function and the research function of the probation project being evaluated. For example, judges sometimes chose to specifically order that particularly high risk offenders be assigned to a project-operated intensive probation unit. Such decisions defeat a control or comparison group design conceived around the assumption that clients of the project group are fairly typical of the overall probation population.

A related difficulty was reported in some Pennsylvania projects. In an effort to gain maximum benefit from an intensive probation unit which had been established, a system of transfers was used. Any client of the intensive unit who had completed several months without incident was transferred to routine, less-intense supervision so that more persons could be handled by the intensive probation unit. Such a transfer threatens a comparison group design which measures differences between the intensive unit and regular probation because some clients are moving back and forth between the two groups.

Another common problem arises when several different services are introduced into a jurisdiction at the same time. Many of the projects listed in Exhibit IV-1 simultaneously undertook to reduce caseload, increase contacts with community agencies, introduce group counseling, decentralize supervision offices, etc. In other cases each project had a single function, but several were simultaneously instituted in the same jurisdiction. Both

these approaches may be the result of very sound program planning. However, no research design can make it possible to distinguish between the effects of the particular program elements unless they are not all applied to the same population. In one case, a Texas study attempted to compare the effectiveness of several independent sub-programs by computing separate recidivism rates for each. [95]

A final set of recurring problems in implementing evaluation designs arises when the operation of the intensive special probation project affects the level of service provided by normal probation. An example is a group of projects implemented simultaneously in Philadelphia. All these projects used as a comparison the normal probation supervision provided by a central Philadelphia office. However, the cumulative effect of all the special probation projects was to substantially reduce the number of clients to be serviced by the central office. Thus, caseloads in the central office were substantially reduced, and it became questionable in some cases whether supervision was actually more intense in the projects. A Maryland project illustrates the complementary problem -- in maintaining the special project caseloads at a low level, the supposed control group was forced to operate with caseloads considerably greater than normal. [163]

Conclusive evaluation is not simple to attain. In conclusion, there are a number of threats to validity, even for the control group design, including the following:

1. Changes in outcome measures may take place during a study, such as, revised criminal statistics accounting, changes in revocation standards, or reclassification of offenses.
2. Demonstration of statistically significant outcomes is more difficult given problems of measurement reliability, wide ranges of clients served by a project, and variation in actual treatment implementation (for instance, it is easy to imagine volunteer supervisors' actions varying greatly from one to another) -- such factors make the evaluation "noisier".

3. Localized influences may cloud interpretation -- for instance, special projects may be implemented at a very few offices while a few other probation offices constitute the control groups. In such a situation, anything affecting a particular office will seriously affect one of the groups and not the other. Or, in some cases the number of supervisors participating is so low that their individual personalities may be critical to observed project outcomes.
4. The independence of the special project and control groups may come into question when these are organizationally and geographically connected. For instance, a special listing of available community services prepared for a project might become available to the control probation supervisors. Or control-group supervisors not chosen to be in the special project may exert extra effort to show up the special project; conversely, they may become demoralized by their lack of attention, special resources, or lowered caseloads. To prevent such demotivation, program directors may attempt to compensate, giving other special inducements to the "normal" probation groups. In any of these instances, the usefulness of the comparison between the special project and control group is in doubt.
5. Evaluation itself may affect activities and outcomes -- heightened expectations may motivate probation supervisors and probationers, the novelty of specialized treatment may encourage special performance ("Hawthorne effect"), or apprehension of evaluation may lead to subversion of data collection or even project implementation.
6. The generalizability of evaluation findings is naturally a function of the special treatment or combination of treatments used, the

particular client population served, the project environment, and the period of history in which the study took place. In addition, results may reflect only particular treatments and measures and might not affect other measures similarly. Because a caseload of 50 does not lead to a reduction in revocation rate may not imply that a caseload of 35 would not lead to a lowered post-probation reconviction rate.

## V. SUMMARY AND CONCLUSION

Many issues surround intensive special probation. In this presentation the issues have been presented in two categories: (1) theoretical and operational, and (2) measurement and evaluation. One of the primary theoretical and operational issues is the inability to guide intensive special probation projects on the basis of theoretical certainty. Lack of concrete evidence on effectiveness contributes to this uncertainty. The resulting dubiousity, considerably, complicates effective design and operation of ISP's.

One of the areas of uncertainty concerns the choice of intervention method. Seven methods have been discussed. Some believe that the role of the probation officer is to serve as a caseworker. Others argue that the role should be more as a referral agent. There are arguments for and against group counseling (group therapy, guided group interaction, group work). Supporters argue that since probationers must relate in groups during everyday life, it is a useful method of resolving problems. The choice between using the casework approach versus, or in conjunction with, group approaches depends upon the individual probationer's needs.

Educational upgrading or vocational training are intended to alleviate a prime source of recidivism among adult males - unemployment. The need for these services is generally recognized. The issue is that a job must be available at the completion of the training period to render the intervening linkage operational.

Some have tried team probation and acclaim its merits. It may be more expensive than the standard method of probation.

The use of volunteers has extended service to probationers and reduced the caseload of probation officers. Lack of success is attributed more to managerial problems than to an invalid concept. The issue is in operationalizing the

volunteer programs to insure effectiveness. Important words in success are coordination and supervision of the volunteers,

The use of financial penalties as a treatment method has the advantage of being less disruptive to the offender's life than sterner methods. However, when the cost of personnel, equipment and overhead far outstrip the revenue intake, the use of this method is questioned. In addition, there are concerns that financial penalties do not deter later commission of crimes.

In addition to choice of method is choice of client. Some individuals have excellent potential for intensive special probation. Others, such as the violent offender, who under similar recurring circumstances will commit the same offense, are clearly unlikely candidates. A question remaining is when does ISP work (based on age, sex, prior criminal record, criminal associations, etc.) and when should it be avoided. There are probably differential effects with different categories of offenders.

There is disagreement over what is the desired result of ISP. It is commonly agreed that a reduction in recidivism is desirable. Whether job retention, abstention from drugs and alcohol, community acceptance, and so on should be counted is debatable. Some claim that an exemplary life-style, other than a short relapse into crime, or commission of less serious crimes is a success story.

The conditions under which ISP projects exist include the very large area of caseload size. There are those who believe asking caseload questions without other considerations is a worthless venture. In favor of caseload reduction is the intervention hypothesis that says

that more time will be available for the probation officer to devote to the probationer, thereby building a more personal relationship which will reduce recidivism. Contrary to this notion are many studies which have rendered the hypothesis inconclusive. One reason for increased recidivism in caseload reduction projects is the increased surveillance of the probationer. Contrary to this argument, if probationers are given intensive supervision of one hour per week, their activities for the other 167 hours are unobservable. The studies that have been conducted point to a need to determine the effects of graduated caseloads on the range of offender types and treatment methods.

In addition to caseload issues, the extent to which the probationer should be included in the decision making process is relevant at several levels. For example, at the case level advantages of a probationer participating in file development include, among others, an understanding of responsibility for the offender's life in the community setting. A disadvantage is the disclosure of confidential information which the probationer may not be able to handle. At the project level, it is argued that the probationer should determine his or her needs rather than have services prescribed.

At issue is the relationship between the probationer and the probation officer. Since the probation officer can recommend revocation of probation, much power is present. The probation officer has to weigh the generation of a twisting relationship to responsibility for reporting revocable acts to the courts. Thus, recidivism can largely be a function of the personality of the probation officer, and particularly

the probation officer's values. These values vary with age, race, sex, education, agency policy, and so on.

The race and sex differences have received prominence. Claims are made that probation officers of one race should not force their value system on probationers of the opposite race. Alternately, the destruction of misconceptions and stereotypes may be the result of a positive exposure.

The issue of cross-sex supervision has been raised - particularly where there is a woman probation officer. Resistance to these assignments include statements such as "women can't cope with an aggressive male offender." Research reports indicate that a competent probation officer of either sex can work with offenders of either sex.

A set of issues concerning organizational placement is of concern to ISP projects to the extent that such placement effects project management, delivery of service or outcomes. Two of these issues include (1) placement of the probation system in the judicial versus the executive branch of government, and (2) placement of probation administration at the state versus the local level. Convincing arguments are given on either side of these two issues. Another issue is geographical location of services. When asked to name the top issue in intensive special probation projects, many of the experts mentioned placement within a specific organization. For instance, appending an ISP project to an existing program may not generate the staff support needed for project sustenance.

Cost is a significant issue in intensive special probation as it influences design, operations and continuity. Cost analyses always

show ISP to be cheaper than incarceration but, at best, this is a weak argument. The funding question associated with costs is forever lurking. Many ISPs have received short term funding and their continued existence is an annual nightmare.

Quite a different set of issues is the one related to measurement and evaluation. One important class of measures is that which concerns processes such as caseload or workload. Neither caseload nor workload is defined in a standard manner. The numerator in determining average caseload contains the average number of active cases. Determining this number creates problems since some clients may have absconded, some may be on mail-in report only, or other status. When determining workload, credit is given for presentence investigations. The ratio of credit given varies from 5 active cases equals 1 presentence investigation all the way to 14 active cases equals 1 presentence investigation.

Measures of case contact also exist. Most of these measures are quantity - number of contacts or time of contacts. Very few measure the quality of contact.

Outcome or success measures relate more to project goals than project activities. The most commonly employed outcome measure is recidivism. A major controversy deals with the choice of negative behavior which should be counted as recidivism. For example, recidivism can occur with (1) unsuccessful probation termination (absconcion, revocation, conviction), (2) rearrest for a similar offense, (3) rearrest for a similar or lesser offense, and (4) reconviction of an additional

crime. This listing could continue, but the point is that there are many variations of what constitutes recidivism.

The only other outcome measure besides recidivism which was reported in substantial numbers in the evaluations reviewed was employment. However, the methods of reporting this data are unreliable as they are subject to bias and high variability.

Designs used by projects that recently underwent evaluation were studied. The after-only design is the least valid form, and was only used in 3 of 28 cases. A much more common design was the before-after comparison with 9 of 28 cases using this approach. Unfortunately, before-after designs fail to control for a number of threats to validity (history, instrumentation, and maturation, for example).

Ten of the 28 evaluations used a group comparison. This was the most popular design. Since comparison groups are not randomly assigned, some group differences may account for differences in outcome. However, the group comparison is superior to the before-after design. Six of the 28 evaluation designs employed a control group. Many of the evaluations indicated problems with the control groups not achieving the randomness desired.

There were also problems reported in implementing the evaluation design. The most common problem arose from conflicts between the service function and the research function. For example, the court ordered certain offenders to an ISP project preventing any chance to allow randomness in making assignments.



Another common implementation problem occurred when several projects operated in the same jurisdiction at the same time. However, no research design can make it possible to distinguish between the effects of the particular program elements unless they are not all applied to the same population. A final set of recurring problems in implementing evaluation designs arises when the operation of the ISP project affects the level of service provided by normal probation. One community had so many ISPs underway that the normal probation achieved a marked caseload reduction and also became an ISP.

## BIBLIOGRAPHY

1. Reed Adams, and Harold J. Vetter, "Effectiveness of Probation Caseload Sizes: A Review of the Empirical Literature," *Criminology* 8(4), 333-43 (1971).
2. T. D. Bamford, "California Reputation and Reality," *Probation* 17 (1), 4-7 (1971).
3. M. H. Hogan, "Probation in Japan," *Probation* 17(1), 8-11 (1971).
4. Ray Leeves, "New Form of Intensive Supervision," *Probation* 18(2) 48-51 (1972).
5. Donald W. Beless, William S. Pilcher, and Ellen Jo Ryan, "Use of Indigenous Nonprofessionals in Probation and Parole," *Federal Probation* 36(1), 10-5 (1972).
6. Charles R. Horejsi, "Attitude of Parents Toward Juvenile Court Volunteers," *Federal Probation* 36(2), 13-8 (1972).
7. William P. Adams, Paul M. Chandler, M. G. Neithercutt, and D. Crim, "The San Francisco Project: A Critique," *Federal Probation* 35(4), 45-53 (1971).
8. Ivan H. Scheier, "The Professional and the Volunteer in Probation: An Emerging Relationship," *Federal Probation* 34(2), 12-8 (1970).
9. Reed Adams and Harold J. Vetter, "Probation Caseload Size and Recidivism," *British Journal of Criminology* 11(4), 390-3 (1971).
10. Andrew Rutherford, "The California Probation Subsidy Programme," *Abstracts on Criminology & Penology* 14(5), 186-8 (1974).
11. Keith J. Leenhouts, "Royal Oak's Experience with Professionals and Volunteers in Probation," *Probation* 34(4), 45-51 (1970).
12. Albert G. Hess, "The Volunteer Probation Officers of Japan," *The International Journal of Offender Therapy* 14(1), 8-14 (1971).
13. Charles R. Horejsi, "Training for the Direct Service Volunteer in Probation," *Federal Probation* 3(3), 38-41 (1973).
14. Alfred Blumstein, and Richard C. Larson, "Problems in Modeling and Measuring Recidivism," *Journal of Research in Crime and Delinquency* 8(2), 124-32 (1971).
15. Edwin M. Schur, "Theory, Planning, and Pathology," *Social Problems* 3(6), 221-9 (1958).
16. President's Commission on Law Enforcement and Administration of Justice. Task Force on Administration of Justice. Corrections. Task Force Report. Washington, D.C.: Government Printing Office, 1967.



17. President's Commission on Law Enforcement and Administration of Justice. Task Force on Administration of Justice. The Courts. Task Force Report. Washington, D.C.: Government Printing Office, 1967.
18. Denver Anti-Crime Program, Characteristics and Recidivism of Juvenile Arrestees in Denver. Denver: Denver Anti-Crime Council, 1974.
19. U. S. Department of Justice. Law Enforcement Assistance Administration. National Institute of Law Enforcement Criminal Justice. New Approaches to Diversion and Treatment of Juvenile Offenders. Criminal Justice Monograph. Washington, D.C.: Government Printing Office, 1973.
20. National Advisory Commission on Criminal Justice Standards and Goals. Community Crime Prevention Washington: Government Printing Office, 1973.
21. U. S. Department of Justice. Law Enforcement Assistance Administration. National Institute of Law Enforcement and Criminal Justice. Statistics Division. Criminal Justice Agencies in Georgia. Washington, D.C.: Government Printing Office, 1972.
22. President's Commission on Law Enforcement and Administration of Justice. The Challenge of Crime in a Free Society. Washington: Government Printing Office, 1967.
23. Fulton County Adult Probation Department, "Project Proposal for VISTA Volunteers," Atlanta, Georgia, June 1973.
24. Lawrence J. Center, Debra R. Levin, Raymond N. Milkman, and Mary A. Toborg. Treatment Alternatives to Street Crime (TASC): An Evaluative Framework and State of the Art Review - Summary. Washington, D.C.: LAZAR Institute, 1975.
25. U. S. Department of Justice. Law Enforcement Assistance Administration. Evaluative Research in Corrections: A Practical Guide, by Stuart Adams. LEAA Prescriptive Package. Washington, D.C.: Government Printing Office, 1975.
26. U. S. Department of Justice. Law Enforcement Assistance Administration. National Institute of Law Enforcement and Criminal Justice. Criminal Justice Research - Evaluation in Criminal Justice Programs Guidelines and Examples. By Ellen Albright, et al. Washington, D.C.: Government Printing Office, June 1973.
27. National Advisory Commission on Criminal Justice Standards and Goals. Task Force on Corrections. Corrections. Washington, D.C.: Government Printing Office, 1973.
28. U. S. Department of Health, Education, and Welfare. Crime and Justice: American Style (Monograph Series, Crime and Delinquency (issues), by Clarence Schrag. Publication No. HSM-72-9052. Rockville, Maryland: Government Printing Office, 1971.
29. National Institute of Law Enforcement and Criminal Justice, Office of Technology Transfer, Prescriptive Package Series, Abstracts. Washington, D.C.: 1975.
30. U. S. Department of Justice. Law Enforcement Assistance Administration. National Institute of Law Enforcement and Criminal Justice. Operation Identification Projects: Assessment of Effectiveness, by Nelson B. Heller, William W. Stenzel, Allen D. Gill, Richard A. Kolde, and Stanly R. Schirmerman. National Evaluation Program Phase I Summary Report. Washington, D.C.: Government Printing Office, 1975.
31. U. S. Department of Justice. Law Enforcement Assistance Administration. National Institute of Law Enforcement and Criminal Justice. Management by Objectives: A Corrections Perspective, by Mark L. McConkie. Prescriptive Package Series. Washington, D.C.: Government Printing Office, 1975.
32. U. S. Department of Justice. Law Enforcement Assistance Administration. National Institute of Law Enforcement and Criminal Justice. Exemplary Programs. Washington, D.C.: Government Printing Office, 1975.
33. U. S. Department of Justice. Law Enforcement Assistance Administration. National Institute of Law Enforcement and Criminal Justice. A guide to Improved Handling of Misdemeanant Offenders, by Tully L. McCrea and Don M. Gottfredson. Prescriptive Package Series. Washington, D.C.: Government Printing Office, 1974.
34. Adult Probation Department Fulton County, Georgia. Goals and Objectives for ACTION-VISTA Project July 1975 - July 1976.
35. Fulton County Georgia Adult Probation Department, Counseling Section, Yearly Reports on Caseload and Analysis of Effectiveness for 1974 and 1975. Atlanta, Georgia: Fulton County Adult Probation Department, 1975.
36. Fulton County Georgia Adult Probation Department Child Support Division. January to June (1975) Statistical Report. Atlanta Georgia: Fulton County Adult Probation Department, 1975.
37. U. S. Department of Justice. Law Enforcement Assistance Administration. National Institute of Law Enforcement and Criminal Justice. A Framework for Assessing Project-level Evaluation Plans. by Gerrie Kupersmith. National Impact of Program Evaluation. Washington, D.C.: Government Printing Office, 1975.
38. Institute For Public Program Analysis. Concept Paper for Phase I Evaluation of Premises Security Survey Projects, by Nelson B. Heller. December, 1974.
39. Institute for Public Program Analysis. Application for Federal Assistance from Law Enforcement Assistance Administration, National Evaluation Program (Phase I - Operation Identification). by Nelson B. Heller. 1974.

40. "AntiCrime Project Branded Failure," New York Times, 13 August 1975.
41. John Howard Association. Report of the Association. Probation in Illinois - A Politically Entrenched Overburdened "Non-System." Chicago, Ill.: John Howard Association, 1972.
42. D. Brown and C. Goff. Oregon Case Management Corrections Services Project-Evaluation Report Number 1. Salem, Oregon: Oregon Law Enforcement Council, 1974.
43. D. Brown and C. Goff. Oregon Case Management Corrections Services Project-Evaluation Report Number 2. Salem, Oregon: Oregon Law Enforcement Council, 1974.
44. Carl A. Bersani, ed., Crime and Delinquency-A Reader, London: The MacMillan Company, 1970.
45. David Dressler, Practice and Theory of Probation and Parole. 2nd ed. New York: Columbia University Press, 1969.
46. Robert Melvin Carter and Leslie T. Wilkins, eds. Probation and Parole - Selected Readings. New York: John Wiley, 1970.
47. Charles L. Newman, ed., Sourcebook on Probation and Parole. 2nd ed., Springfield, Illinois: Charles C. Thomas, 1964.
48. Institute for Public Program Analysis, Phase 1 Evaluation of Operation Identification, Volume 2: Survey Findings, Other Evaluations of Operation Identification, and Evaluation of This Study, St. Louis, Missouri: Institute for Public Program Analysis, 1975.
49. Martin Davies, "A Different Form of Probation," Community Care (29, October 1975).
50. Great Britain, Home Office, Financial Penalties and Probation, by Martin Davies. Home Office Research Unit, Report 5. London: Her Majesty's Stationary Office, 1970.
51. Great Britain, Home Office, Social Work in the Environment, by Martin Davies. Home Office Research Unit, Report 21. London: Her Majesty's Stationary Office, 1974.
52. C.J. Wood and A.J. Shember, "A New Role for the Probation Service?" Probation 19 (1), 18-21 (1973).
53. Jose Arcaya, "Probation and Parole Records Considered as Therapeutic Tools," Criminal Justice and Behavior 1 (2), 150-61 (1974).
54. Ellis Stout, "Women in Probation and Parole - Should Female Officers Supervise Male Offenders?", Crime and Delinquency 19 (1), 61-71 (1973).
55. A.W. McEachern and E.M. Taylor, "Juvenile Probation System," American Behavioral Scientist 11 (3), 1-45 (1968).
56. R.W. Deming, "Coping with Resentment in the Probation Process," International Journal of Offender Therapy 17 (1), 74-6 (1972).
57. Rob George, "Toward Shorter Probation Orders," Probation 19 (3), 87-8 (1973).
58. H.M. Core and David R. Lima, "Mental Health Services to Juvenile Courts," Mental Health Digest 4 (10), 43-9 (1972).
59. Manuel Lopez-Rey, "The Present and Future of Non-Institutional Treatment," International Journal of Criminology and Penology, 1 (4), 301-17 (1973).
60. Jack Linden, "The Future of Federal Probation - A Field Officer's View," Federal Probation 37 (2), 22-8 (1973).
61. William L. Tafoya, "Project Intercept: The Los Angeles Experience," Journal of Criminal Justice 2 (1), 55-60 (1974).
62. Romine R. Deming, "Valence as a Measure of the Effectiveness of Probation Officer - Client Relationship," Journal of Criminal Justice 2 (2), 157-62 (1974).
63. Thomas M. Kelley and Daniel B. Kennedy, "Validation of a Selection Device for Volunteer Probation Officers, January, 1972 - July, 1972," Journal of Criminal Justice 1 (2), 171-2 (1973).
64. David B. Stugart, "Helping the Public Offender," Journal of Rehabilitation 33 (4), 13-4 (1967).
65. Stuart Adams, "Some Findings From Correctional Caseload Research," Federal Probation 31 (4), 48-57 (1967).
66. S.W. Pearson. Adult Probationers Needs Survey - An Analysis of the Needs and Characteristics of Men and Women on Adult Probation in Santa Clara County, California, Sacramento: American Justice Institute, 1973.
67. John A. Collins. Chicago Federal Offenders Rehabilitation Project. Final Report. Chicago: Illinois Division of Vocational Rehabilitation.
68. James C. Howell. "A Comparison of Probation Officers and Volunteers," Ph.D. dissertation, University of Colorado, 1972.
69. Richard H. Moore and D. Levine. Evaluative Research of a Community Based Probation Program. Lincoln, Nebraska: University of Nebraska, 1974.
70. Gaylord L. Thorne, Roland G. Tharp, and Ralph J. Wetzel, "Behavior Modification Techniques: New Tools for Probation Officer," Federal Probation 31 (2), 21-7 (1967).

71. William M. Breer, "Probation Supervision of the Black Offender," Federal Probation 36 (2), 31-6 (1972).
72. Mildred K. Klein, "Maintaining Drug Abusers in the Community: A New Treatment Concept," Federal Probation 36 (2), 18-26 (1972).
73. David P. MacPherson, "Corrections and the Community," Federal Probation 36 (2), 3-7 (1972).
74. Phyllida Parsloe, "Cross-Sex Supervision in the Probation and After-Care Service," British Journal of Criminology 12 (3), 269-79 (1972).
75. J. Kraus, "A Comparison of Corrective Effects of Probation and Detention on Male Juvenile Offenders," British Journal of Criminology 14 (1), 49-62 (1974).
76. Marguerite Q. Warren, "The Case for Differential Treatment of Delinquents," The Annals of the American Academy of Political and Social Science 381, 47-59 (1969).
77. Alexander W. McEachern and Edward M. Taylor. The Disposition of Delinquents. Probation Project, Report Number 1. Los Angeles: Youth Studies Center, University of Southern California, 1966.
78. Alexander W. McEachern and Edward M. Taylor. The Effects of Probation. Probation Project, Report Number 2. Los Angeles: Youth Studies Center, University of Southern California, 1967.
79. George G. Killinger and Paul F. Cromwell, eds., Corrections in the Community. Alternatives to Imprisonment - Selected Readings. St. Paul, Minnesota: West Publishing, 1974.
80. Council of Europe. European Committee on Crime Problems. Report of the Committee. Practical Organization of Measures for the Supervision of Conditionally Sentenced or Conditionally Released Offenders. Strasbourg: Council of Europe, 1970.
81. U.S. Department of Justice. Law Enforcement Assistance Administration. A Compendium of Selected Criminal Justice Projects. Washington, D.C.: Government Printing Office, 1975.
82. Missouri Board of Probation and Parole. 29th Annual Report of the Division of Probation and Parole. Jefferson City, Missouri: Missouri Board of Probation and Parole, 1975.
83. American Correctional Association. Juvenile and Adult Correctional Departments, Institutions, Agencies and Paroling Authorities - United States and Canada, 1975-76 ed. College Park, Maryland: American Correctional Association, 1975.
84. American Justice Institute. Initial Evaluation Report on the Oregon Corrections Division Impact Programs. Sacramento, California: American Justice Institute, 1975.
85. Oregon Law Enforcement Council. State Planning Agency. Burglary Offender Project. Salem, Oregon: Oregon Law Enforcement Council, 1976.
86. Oregon Law Enforcement Council. State Planning Agency. Impact Evaluation Unit. Final Outcome Assessment Based on In-Service and Post-Service Offense Comparisons Between Study Groups. Case Management Corrections Services Project, Evaluation Report No. 6. Salem, Oregon: Oregon Law Enforcement Council, 1975.
87. National Council on Crime and Delinquency. Management Planning for Parole and Probation Services in Florida. Paramus, New Jersey: National Council on Crime and Delinquency, 1975.
88. Pennsylvania Board of Probation and Parole. Bureau of Administrative Services. Research and Statistical Division. Establishment of a District Office and Outreach Centers in the Philadelphia Area for the Pennsylvania Board of Probation and Parole. Harrisburg, Pennsylvania: Pennsylvania Board of Probation and Parole, 1975.
89. Pennsylvania Board of Probation and Parole. Bureau of Administrative Services. Research and Statistical Division. Comprehensive Drug Control Project in Philadelphia for the Pennsylvania Board of Probation and Parole. Harrisburg, Pennsylvania: Pennsylvania Board of Probation and Parole, 1975.
90. Pennsylvania Board of Probation and Parole. Bureau of Administrative Services. Research and Statistical Division. Development of Specialized Units of the Pennsylvania Board of Probation and Parole. Harrisburg, Pennsylvania: Pennsylvania Board of Probation and Parole, 1975.
91. Maine Department of Mental Health and Corrections. Bureau of Corrections. Division of Probation and Parole. Seventeenth Annual Report of the Division of Probation and Parole: 1 July 1974 - 30 June 1975. Augusta, Maine: Maine Department of Mental Health, 1975.
92. Pennsylvania Board of Probation and Parole. Bureau of Administrative Services. Research and Statistical Division. Evaluation of Regional Offices and Sub-Offices of the Pennsylvania Board of Probation and Parole, Final Report. Harrisburg, Pennsylvania: Pennsylvania Board of Probation and Parole, 1976.
93. Florida Parole and Probation Commission Research, Statistics, and Planning Section. Intensive Supervision Project, Final Report. Tallahassee, Florida: Florida Parole and Probation Commission, 1974.

94. Office of the Mayor, Impact Cities AntiCrime Program. Cleveland Impact Cities Program, Diversion and Rehabilitation Operating Program, Community-Based Probation Project, Final Evaluation Report. Cleveland, Ohio: Office of the Mayor, 1975.
95. Dallas Area Criminal Justice Council. Increase Adult Probation, Interim Evaluation Report. Dallas, Texas: Dallas Area Criminal Justice Council, 1975.
96. Alex Almsay. Dissertation on Probation Unpublished Ph.D. Dissertation, North Carolina State University.
97. Jessie Bernard, "Social Problems as Problems of Decision," Social Problems 3 (6), 212-21 (1958).
98. William A. Goldberg. Probation and Parole: Diversion from Prison. East Lansing, Michigan: By the Author, Michigan State University, 1972.
99. Wayne County, Ohio, Probation Department. Progress Reports, Training Schedules, News Clippings, and Promotional Materials, 1975-1976.
100. Georgia Department of Corrections/Offender Rehabilitation. Research and Development Division. Evaluation of the Georgia Probation/Parole System, by Linda L. Lyons. Atlanta, Georgia: Georgia Department of Corrections/Offender Rehabilitation, 1975.
101. Lazar Institute. Treatment Alternatives to Street Crime (TASC): An Assessment of Evaluation Needs. Brochure. Washington, D.C.: The Lazar Institute.
102. H. Talmage Day, William G. Gay, James P. O'Neill, Carl J. Tucker, and Jane P. Woodward. Issues in Team Policing - A Review of the Literature. Preliminary Draft. Washington, D.C.: National Sherrif's Association, 1975.
103. City of Southfield. 46th District Court. Probation Improvement Program - Action Grant Final Evaluation Report. Southfield, Michigan: City of Southfield, 1974.
104. City of Southfield. 46th District Court. Probation Improvement Program - Subgrant Final Evaluation Report. Southfield, Michigan: City of Southfield, 1975.
105. Onondoga County Probation Department. 1974 Annual Report. Syracuse, New York: Onondoga County Probation Department, 1975.
106. Daniel L. Skoler. Analysis of Extent of Applicability of the UN Standard Minimum Rules for the Treatment of Prisoners to Community-Based Supervision and Residential Care for Convicted Offenders. Washington, D.C.: American Bar Association Commission on Correctional Facilities and Services, 1974.

107. Team for Justice. Project Start, Budget Summary, Project Summary, and Progress Reports 1 and 2. Detroit, Michigan: Team for Justice, 1975.
108. Missouri Board of Probation and Parole. Client Analysis Forms and Descriptive Materials. Jefferson City, Missouri: Missouri Board of Probation and Parole, 1975.
109. St. Louis Commission on Crime and Law Enforcement. Intensive Supervision Services Project. Revised Interim Evaluation Report. St. Louis, Missouri: St. Louis Commission on Crime and Law Enforcement, 1974.
110. Nassau County (New York) Probation Department. Annual Report for 1974. Mineola, New York: Nassau County Probation Department, 1975.
111. Montana State Board of Pardons. Annual Report for 1974. Deer Lodge, Montana: Montana State Board of Pardons, 1974.
112. Montana State Board of Pardons. Annual Report for 1975. Deer Lodge, Montana: Montana State Board of Pardons, 1975.
113. South Carolina Probation, Parole, and Pardon Board. Annual Report, 1974-1975. Columbia, South Carolina: South Carolina Probation, Parole, and Pardon Board, 1975.
114. Jerome Mabli, and George Steinfield, "Perceived Curative Factors in Group Therapy by Residents of a Therapeutic Community," Criminal Justice and Behavior 1 (2), 283 (June, 1974).
115. Wisconsin Department of Health and Social Services. Division of Corrections. Bureau of Probation and Parole. Case Classification/Staff Deployment Project - Conceptual Design. Madison, Wisconsin: Wisconsin Department of Health and Social Services, 1975.
116. Wisconsin Department of Health and Social Services. Division of Corrections. Bureau of Planning, Development and Research. Fiscal Year Summary Report of Wisconsin Corrections Population 1 July 1974 - 30 June 1975. Madison, Wisconsin: Wisconsin Department of Health and Social Services, 1975.
117. Wisconsin Department of Health and Social Services. Division of Corrections. Bureau of Planning, Development and Research. 1973 and 1974 Calendar Year Summary Report of Population Movement. Statistical Bulletin C-60B. Madison, Wisconsin: Wisconsin Department of Health and Social Services, 1975.
118. Wisconsin Department of Health and Social Services. Division of Corrections. Bureau of Planning, Development and Research. 1974 Fiscal Year Summary Report of Population Movement. Statistical Bulletin C-60A. Madison, Wisconsin: Wisconsin Department of Health and Social Services, 1975.

119. Robert M. Smith, "The Problem Oriented Record Used in a Probation Setting," *Federal Probation* 39 (1), 47-51 (1975).
120. Dennis Johns, "Research into Probation Subsidy," *California Youth Authority Quarterly* 24 (3), 13-15 (1971).
121. Ohio Department of Rehabilitation and Correction. Annual Report - Fiscal Year 1975. Columbus, Ohio: Ohio Department of Rehabilitation and Correction, 1975.
122. Ohio Department of Rehabilitation and Correction. Division of Parole and Community Services. An Overview of State-Wide Programs of Community Corrections. Columbus, Ohio: Ohio Department of Rehabilitation and Correction, 1974.
123. Ohio Department of Rehabilitation and Corrections. Division of Parole and Community Services. Adult Parole Authority. Annual Report 1975. Columbus, Ohio: Ohio Department of Rehabilitation and Corrections, 1975.
124. George Saleebey, "Five Years of Probation Subsidy," *California Youth Authority Quarterly* 24 (3), 3-11 (1971).
125. James D. Jorgenson, "John Augustus Revisited: The Volunteer Probation Counselor in a Misdemeanant Court," (Reprint). Denver, Colorado: National Information Center on Volunteers in Courts, 1970.
126. D.M. Gottfredson, and M.G. Neithercutt. Caseload Size Variation and Difference in Probation/Parole Performance. Pittsburgh, Pennsylvania: National Center for Juvenile Justice, 1974.
127. Peter W. Hemingway. Intensive Parole and Probation Supervision Project - Annual Report - 1 June 1974 thru 30 June 1975. Draft copy. Denver, Colorado: Denver AntiCrime Council, 1975.
128. Georgia Department of Offender Rehabilitation. Project SCOPE Forms.
129. Georgia Department of Offender Rehabilitation. Project SCOPE Data Sheet and Termination Forms.
130. Dennis C. Sullivan. Team Management in Probation - Some Models For Implementation. Paramus, New Jersey: National Council on Crime and Delinquency, 1972.
131. Victoria L. Kepler. Volunteer Probation Aide Program Progress Report - 10 February 1976. Wooster, Ohio: Wayne County Adult Probation Department, 1976.
132. Georgia Department of Corrections/Offender Rehabilitation. Division of Probation and Parole/Community Based Services. Citizens Action Program. Supervision: Based on the Offenders Needs. Public Information Handout. Atlanta, Georgia: Georgia Department of Corrections/Offender Rehabilitation, 1976.
133. Lawrence E. Cummings and Charles H. Bishop. Media Aids for Corrections: 16 mm Films. 2nd. ed., Athens, Georgia: Corrections Division, Institute of Government, University of Georgia, 1973.
134. Michigan Department of Corrections. Annual Report, 1974. Lansing, Michigan: Michigan Department of Corrections.
135. Keith J. Leenhouts, "Volunteers in Probation," *Court Review* 10 (3), 19-22, (1970).
136. Philip Baridon. Community Correctional Programs and Services for Adults. Grant Evaluation Report, Grant #74-A2382E, Division of Justice and Crime Prevention, Commonwealth of Virginia. McLean, Virginia: PRC Public Management Services, Inc., 1975.
137. Philip Baridon. Community Correctional Programs and Services for Adults. Grant Evaluation Report, Grant #74-A2381, Division of Justice and Crime Prevention, Commonwealth of Virginia. McLean, Virginia: PRC Public Management Services, Inc., 1975.
138. Montana Board of Crime Control. Corrections, by Roland McCauley and Michael E. Madison. Helena, Montana: Montana Board of Crime Control, 1973.
139. Washington Department of Social and Health Services. Intensive Parole Supervision Project. Grant Application, Washington Office of Community Development. Olympia, Washington: Washington Department of Social and Health Services, 1975.
140. National Council on Crime and Delinquency. Pre and Post Trial Correctional Processes in Philadelphia. Austin, Texas: National Council on Crime and Delinquency, 1972.
141. Alvin W. Cohn, Emilio Viano, and John Wildeman, eds., Decision-Making in the Administration of Probation Services. Probation Management Institutes Report. Hackensack, New Jersey: National Council on Crime and Delinquency, 1970.
142. Tennessee Law Enforcement Planning Commission. Probation and Parole. by Pamela Collins, Ron Fryar, Linda Myers, Ramon Sanchez-Villas. Joint Report of the Tennessee Department of Correction and the Tennessee Law Enforcement Planning Commission. Nashville, Tennessee: Tennessee Law Enforcement Planning Commission, 1975.



143. James E. Olson. Final Evaluative Report: An Outpatient Treatment Clinic for Special Offenders. College Park, Maryland: University of Maryland Hospital, 1975.
144. Utah Law Enforcement Planning Agency. The Mexican American Community Corrections Support Program: A Description of Services Provided and Assessment of Effects on Recidivism During its First Year, By Michael R. Fenn, Lynn S. Simons, Cathleen L. Smith, Charles N. Turner, and B. Jack White. Salt Lake City, Utah: Utah Law Enforcement Planning Agency, 1974.
145. U.S. Department of Justice. Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice. Evaluation of Crime Control Programs, by Michael D. Maltz, Washington, D.C.: Government Printing Office, April, 1972.
146. Douglas Lipton, Robert Martinson, and Judith Wilks. The Effectiveness of Correctional Treatment - A Survey of Treatment Evaluation Studies.
147. Richard C. Nicholson, "Use of Prediction in Caseload Management," Federal Probation 32 (4), 54-58 (1968).
148. Patrick J. Murphy, "The Team Concept," Federal Probation, 39 (4), 30-34 (1975).
149. Robert M. Carter, Daniel Glaser, and E. Kim Nelson. Probation and Parole Supervision: The Dilemma of Caseload Size. Los Angeles, California: University of Southern California, 1973.
150. Institute of Contemporary Corrections and the Behavioral Sciences. Harris County Model Probation Project. External Evaluation. July 1, 1972 - November 1, 1973. Huntsville, Texas: Sam Houston State University.
151. California Department of Justice. Division of Law Enforcement. Bureau of Criminal Statistics. Characteristics and Case Movement of Juvenile Court Probationers in Regular and Subsidy Caseloads. Sacramento, California: Bureau of Criminal Statistics, 1971.
152. Hugh Nugent: Division of Probation and Parole Services, Division 2, Norfolk, Virginia. Grant Evaluation Report, Grant #72-A-2290 E, Division of Justice and Crime Prevention, Commonwealth of Virginia. McLean, Virginia: PRC Public Management Services, Inc., 1975.
153. Hugh Nugent. Division of Probation and Parole Services, Division 10, Northern Virginia, Grant Evaluation Report, Grant #71-A-2291 E, Division of Justice and Crime Prevention, Commonwealth of Virginia, McLean, Virginia: PRC Public Management Services, Inc., 1975.

# CONTINUED

## 2 OF 3

154. Robert H. Wells, "Los Angeles County: Intensive After-Care," California Youth Authority Quarterly 24 (3), 25-29 (1972).
155. Maxine Singer, "Yuba County: An I-Level Approach to Special Supervision," California Youth Authority Quarterly 24 (3), 16-19 (1972).
156. Kentucky Department of Justice. Probation and Parole Aide Supplement. Action Grant Application, Kentucky Crime Commission. Frankfort, Kentucky: Kentucky Department of Justice, 1975.
157. Kentucky Department of Justice. Probation and Parole Reorganization, Action Grant Application, Kentucky Crime Commission. Frankfort, Kentucky: Kentucky Department of Justice, 1974.
158. Kentucky Department of Justice. Bureau of Corrections. A Comparative Analysis of Demographic Characteristics of the Division of Community Services Staff in the Bureau of Corrections of the Commonwealth of Kentucky Department of Justice, by Carol Snider and Jack Allen. Frankfort, Kentucky: Kentucky Department of Justice, 1975.
159. Denver AntiCrime Council. Project COPE (Community Outreach Probation Experiment) (72-1C-0069). Interim Evaluation Report. April-December 1973. Denver, Colorado: Denver AntiCrime Council.
160. Otter Tail County, Minnesota. Off-Con of Otter Tail County Diversion Project. Fergus Falls, Minnesota: Otter Tail County, 1974.
161. Denver AntiCrime Council. Intensive Parole and Probation Supervision Project, (72-ED-08-0008). Interim Evaluation Report. March 1, 1973 - December 31, 1974. Denver, Colorado.
162. Harold W. Metz. Volunteers in Probation - A Project Evaluation. Wilmington, Delaware: Delaware Council on Crime and Justice, Inc., 1975.
163. Maryland Division of Parole and Probation. Intensive Supervision High Impact Narcotics Offenders. Evaluation Report. Baltimore, Maryland: Maryland Division of Parole and Probation.
164. Maryland Division of Parole and Probation. Intensive Differentiated Supervision of Impact Parolees and Probationers. Evaluation Report. Baltimore Maryland: Maryland Division of Parole and Probation.

165. Massachusetts Committee on Criminal Justice. Projects Funding Plan for 1976. Boston, Massachusetts: Massachusetts Committee on Criminal Justice, 1976.
166. Maricopa County Adult Probation Department. Specialized Supervision Program. Collected Progress Reports and Final Evaluation, Arizona State Justice Planning Agency. Phoenix, Arizona: Maricopa County Adult Probation Department, 1973-4.
167. Maricopa County Superior Court. Phoenix Inner-City Intensified Supervision Program (2nd Phase). Collected Progress Reports, Arizona State Justice Planning Agency. Phoenix, Arizona: Maricopa County Superior Court, 1973-4.
168. Robert C. Cronin, Dorothy Greenwood, and Robert A. Norton. A Report on the Experience of the Probation Employment and Guidance Program - September 1973 - May 1975. Rochester, New York: University of Rochester, New York: University of Rochester, 1975.
169. Michigan Department of Corrections. Goals and Standards for Corrections. Application for Federal Assistance, U.S. Department of Justice, Law Enforcement Assistance Administration. Lansing, Michigan: Michigan Department of Corrections, 1975.
170. North Carolina Division of Adult Probation and Parole. Probation Collection Officer Project. Descriptive Brochure. Raleigh, North Carolina: North Carolina Division of Adult Probation and Parole, 1975.
171. Dallas County Probation Department. Increase Adult Probation. Interim Evaluation Report. Dallas, Texas: Dallas County Probation Department, 1974.
172. Virginia Department of Corrections. Division of Probation and Parole Services. Evaluation Forms, Correspondence, and Descriptive Materials. Richmond, Virginia: Virginia Department of Corrections, 1976.
173. Louisiana Commission on Law Enforcement and Administration of Criminal Justice. Collected Correspondence. Baton Rouge, Louisiana: Louisiana Commission on Law Enforcement and Administration of Criminal Justice, 1975.

174. Philadelphia Common Pleas Court. Adult Probation Department. High Intensity Unit II. Grant Application, Pennsylvania Department of Justice, Governor's Justice Commission. Philadelphia, Pennsylvania: Philadelphia Common Pleas Court, 1975.
175. Philadelphia Common Pleas Court. Adult Probation Department. Refunding Report on the Intensive Services Unit. Philadelphia, Pennsylvania: Philadelphia Common Pleas Court, 1974.
176. Human Systems Institute. Follow Up Report on the Intensive Services Unit - Adult Probation Department, Court of Common Pleas, City of Philadelphia, Pennsylvania. Philadelphia, Pennsylvania: Human Systems Institute, Inc., 1975.
177. Peter C. Buffum, Ronald Vander Weil, Finn Hornum. Follow Up Report, Caseload Management and Addition to Supervision. Philadelphia, Pennsylvania: Social Research Associates, 1975.
178. Philadelphia Court of Common Pleas. Adult Probation Department. Caseload Management. Grant Application, Pennsylvania Department of Justice, Governor's Justice Commission. Philadelphia, Pennsylvania: Philadelphia Court of Common Pleas, 1975.
179. Peter C. Buffum, Ronald Vander Weil, and Finn Hornum. Refunding Report - Caseload Management and Addition to Supervision. Philadelphia, Pennsylvania: Social Research Associates, 1975.

180. Social Research Associates. Interim Report - Caseload Management, Addition to Supervision, and Maintaining Quality Probation Services. Philadelphia, Pennsylvania: Social Research Associates, 1975.
181. Minnesota Governor's Commission on Crime Prevention and Control, Project Evaluation Unit. P.O.R.T. of Crow Wing County - A Preliminary Evaluation Report. St. Paul, Minnesota: Minnesota Governor's Commission on Crime Prevention and Control, 1974.
182. Missouri Law Enforcement Assistance Council. St. Louis High Impact Anti Crime Program, Field Review and Evaluative Reports. Saint Louis, Missouri: Missouri Law Enforcement Assistance Council, 1974.
183. Andrew S. Rogers, "Education in a Camp Aftercare Unit," California Youth Authority Quarterly 25(3), 58-63 (1972).
184. Claude T. Mangrum, "The Probation Department: A Client-Oriented Agency?" California Youth Authority Quarterly 25(2), 26-35 (1972).
185. New Hampshire Governor's Commission on Crime and Delinquency. An Evaluation of the Full-Time Probation Officer Assigned to Pilstow, Seabrook, and Hampton Courts - Project Number 72A594, by Yvette L. Gosselin. Concord, New Hampshire: Governor's Commission on Crime and Delinquency, 1974.
186. New Hampshire Governor's Commission on Crime and Delinquency. An Evaluation of the Full-Time Probation Officer Assigned to Peterborough, Jaffrey and Hillsborough Courts - Project Number 73A773, by Yvette L. Gosselin. Concord, New Hampshire: New Hampshire Governor's Commission on Crime and Delinquency, 1974.
187. New Hampshire Governor's Commission on Crime and Delinquency. An Evaluation of the Full Time Probation Officer Assigned to Milford, Goffstown, and Merrimack Courts - Project Number 73A782, by Yvette L. Gosselin. Concord, New Hampshire: New Hampshire Governor's Commission on Crime and Delinquency, 1974.
188. New Hampshire Governor's Commission on Crime and Delinquency. An Evaluation of the Full-Time Probation Officer Assigned to Salem District Court - Project Number 73A596, by Yvette L. Gosselin. Concord, New Hampshire: New Hampshire Governor's Commission on Crime and Delinquency, 1974.
189. Hugh Barr. The Role of the Volunteer: A Reappraisal. London, England: National Association for the Care and Resettlement of Offenders, 1972.
190. Nancy J. Beran and Harry E. Allen. Shock Probation: The Ohio Experience. Columbus, Ohio: Program for the Study of Crime and Delinquency, Ohio State University, 1973.



191. Missouri Law Enforcement Assistance Council Region 5. Region 5 Criminal Justice Plan. Saint Louis, Missouri: Missouri Law Enforcement Assistance Council Region 5, 1973.
192. Lowell Lyle Kuehn. An Evaluation of the California Probation Subsidy Program. Ph.D. Thesis. Seattle, Washington: University of Washington, 1973.
193. Maine Department of Mental Health and Corrections. Bureau of Corrections. Mobilization of Community Mental Health Resources Toward the Rehabilitation of the Offender. Augusta, Maine: Maine Department of Mental Health and Corrections, 1975.
194. John A. Cocoros, Robert Lee Fraizer, Charles M. Friel, and Donald J. Weisenhorn. Incarceration and Adult Felon Probation in Texas: A Cost Comparison. Criminal Justice Monograph, Vol. 4 No. 3. Huntsville, Texas: Institute of Contemporary Corrections and the Behavioral Sciences, Sam Houston State University, 1973.
195. Paul W. Keve. Imaginative Programming in Probation and Parole. Minneapolis, Minnesota: University of Minnesota Press, 1967.
196. Minnesota Department of Corrections. The Assessment of Restitution in the Minnesota Probation Services. Summary Report, by Steven L. Chesney. St. Paul, Minnesota: Minnesota Department of Corrections, 1976.
197. Department of Social Sciences State of Iowa. Division of Management and Planning, Correction Evaluation Bureau. Community Corrections in Iowa: An Alternative to Tradition. Des Moines, Iowa: Department of Social Services, State of Iowa, 1975.
198. Joseph H. Sasfy. Assumptions Research in Probation and Parole: Initial Description of Client Worker and Project Variables, National Impact Program Evaluation. Washington, D.C.: The Mitre Corporation, 1975.
199. Joseph H. Sasfy. An Examination of Intensive Supervision as a Treatment Strategy for Probationers, National Level Evaluation, Final Report. Washington, D.C.: The Mitre Corporation, 1975.
200. Third District Court of Eastern Middlesex Cambridge, Massachusetts, Assessment, Classification, and Management of Adults Assigned for Supervision to the Probation Office. Cambridge, Massachusetts: District Court, 1975.
201. Department of Social and Health Services. State of Washington. Division of Institutions. Office of Probation and Parole. Probation and Parole Officer, Perceptions of Ideal Time and Activity, by Loren Lindseth. Olympia, Washington: Dept. of Social and Health Services, State of Washington, 1971.
202. Leslie T. Wilkins. Evaluation of Penal Measures. New York: Random House, 1969.
203. Merton and Nisbet. Contemporary Social Problems. New York: Harcourt, Brace, and World, Inc., 1961.
204. Alexander Bassin, and Alexander B. Smith. "Research in a Probation Department," Crime and Delinquency 8(1), (Jan., 1962).
205. John Irwin, "The Trouble with Rehabilitation," Criminal Justice and Behavior 1(2), (June, 1974).
206. Robert M. Carter, Robinson, and Leslie T. Wilkins. The San Francisco Project: A Study of Federal Probation and Parole. Final Report. Berkeley, California: University of Southern California, School of Criminology, 1969.
207. Ronald L. Goldfarb, and Linda R. Singer. After Conviction: A Review of the American Correction System.
208. Donald T. Campbell, and Julian C. Stanley. Experimental and Quasi-Experimental Designs for Research. Chicago, Illinois: Rand McNally, 1966.
209. National Council for Crime and Delinquency, Professional Council Committee on Standards for Adult Probation. Standards and Goals for Adult Probation. New York: National Council for Crime and Delinquency, 1962.
210. American Correctional Association. Manual of Correctional Standards. New York: American Correctional Association, 1966.
211. John Augustus, First Probation Officer. Patterson Smith Reprint Series. Publication Number 66. Montclair, New Jersey, 1972.
212. Irving W. Halpern, A Decade of Probation, Patterson Smith Reprint Series. Publication Number 66; Montclair, New Jersey, 1969.
213. George G. Killinger Ph.D., Letter on Issues in Effective Probation Supervision, Sam Houston State University, Institute of Contemporary Corrections and the Behavioral Sciences, Houston, Texas, February 10, 1976.
214. M. G. Neithercutt, Letter on Issues in Effective Probation Supervision, National Council on Crime and Delinquency, Hackensack, New Jersey, February 10, 1976.
215. Alex Almsy, Letter on Issues in Effective Probation Supervision, North Carolina Department of Natural and Economic Resources, Law and Order Section, Corrections Programs, Raleigh, North Carolina, February 20, 1976.

216. Donald J. Newman, Professor of Criminal Justice, Letter on Issues in Effective Probation Supervision, State University of New York at Albany, School of Criminal Justice, Albany, New York, February 23, 1976.
217. Delmar Huebner, Letter on Issues in Effective Probation Supervision; State of Wisconsin, Department of Health and Social Services, Division of Corrections, Bureau of Probation and Parole, Madison, Wisconsin, February 17, 1976.
218. Thomas C. Neil, PhD., Letter on Issues in Effective Probation Supervision; Illinois State University, Department of Corrections, for North Carolina Department of Correction, Division of Prisons, Normal, Illinois, February 16, 1976.
219. Anthony C. Gaudio, Letter on Issues in Effective Probation Supervision; Commonwealth of Virginia, Department of Corrections, Division of Probation and Parole Services, Richmond, Virginia, February 17, 1976.
220. Al F. Sigmon, Jr., Letter on Issues in Effective Probation Supervision (with Enclosure), North Carolina Department of Correction, Adult Probation and Parole, Raleigh, North Carolina, February 16, 1976.
221. James E. Bartelt, Letter on Issues in Effective Probation Supervision, State of Illinois, Fourteenth Judicial Court, Mercer County Probation Services; Aledo, Illinois, February 17, 1976.
222. Giles Garmon, Letter on Issues in Effective Probation Supervision, State of Texas, County of Travis, Adult Probation Office, Austin, Texas, February 23, 1976.
223. John A. Wallace, Letter on Issues in Effective Probation Supervision, National Institute of Corrections; Washington, D.C., March 3, 1976.
224. Daniel Glaser. The Effectiveness of a Prison and Parole System. Indianapolis, Indiana: Dobbs-Merrill, 1964.
225. Fulton County Adult Probation Meeting of January 22, 1976, with Georgia Tech. Staff for Law Enforcement Assistance Administration Grant Number 76-NI-99-0045.
226. James Robinson, et al., The San Francisco Project. Research Report Number 14. Berkeley: University of Southern California, School of Criminology, 1969.
227. Telephone Conversation of February 4, 1976, Between Investigator and George Cox, Chief, Evaluation, Georgia Department of Corrections/Offender Rehabilitation, for Law Enforcement Assistance Administration Grant Number 76-NI-99-0045.
228. Interview of March 24, 1976, Between Investigator and Kay Harris, Press Officer and Researcher, U. S. Commission Civil Rights, Southeastern Region, for Law Enforcement Assistance Administration Grant Number 76-NI-99-0045.
229. Telephone Conversation of February 19, 1976, Between Investigator and John Jefferies, Institute of Government, University of Georgia, for Law Enforcement Assistance Administration Grant Number 76-NI-99-0045.
230. Telephone Conversation of February 19, 1976, Between Investigator and Jo Ann Morton, Director, Regional Management Training Council, University of Georgia, for Law Enforcement Assistance Administration Grant Number 76-NI-99-0045.
231. Annette M. Brodsky, "Planning for the Female Offender," *Criminal Justice and Behavior* 1(2), 392-9 (June, 1974).
232. Richard Pooley, "Work Release Programs and Corrections: Goals and Deficits," *Criminal Justice and Behavior* 1(1), 62-72 (March, 1974).
233. Marguerite O. Warren, "The Meaning of Research in Social Action," *Criminal Justice and Behavior* 1(1), 73-86 (March, 1974).
234. Peter B. Hoffman, "To Secure and Maintain Gainful Employment: Theory and Practice," *Probation and Parole* 2(1), 20-3 (1970).
235. Sethard Fisher, "Informal Organization in a Correctional Organization," *Social Problems* 13(2), 214-22 (1965).
236. Ted B. Palmer, "Matching Worker and Client in Corrections," *Social Work* 18(2), 95-103 (March 1973).
237. Charles W. Dean, and Thomas J. Duggan, "Statistical Interaction and Parole Prediction," *Social Forces* (University of North Carolina Press) 48, 45-49 (Sept. 1969).
238. Telephone Conversation of February 18, 1976, Between Investigator and Carl A. Oliver, Technical Assistant Project, American Correctional Association, for Law Enforcement Assistance Administration Grant Number 76-NI-99-0045.
239. Mark Sewell, Jr., Letter on Issues in Effective Probation Supervision, Probation Office: Athens, Georgia, February 12, 1976.
240. Forrest Dill, PhD., Letter on Issues in Effective Probation Supervision, School of Sociology, State University of New York, Stonybrook, New York, February 25, 1976.

241. Marguerite O. Warren, Letter on Issues in Effective Probation Supervision, School of Criminal Justice, State University of New York, Albany, New York, February 25, 1976.
242. Bertis H. Sellers, Letter on Issues in Effective Probation Supervision, Adult Probation and Parole, North Carolina Department of Corrections, Raleigh, North Carolina, February 25, 1976.
243. Professor Charles J. Eckenrode, Letter on Issues in Effective Probation Supervision, School of Sociology - Anthropology, University of Georgia, Athens, Georgia, February 23, 1976.
244. Sanger B. Powers, Letter on Issues in Effective Probation Supervision, Division of Corrections, State of Wisconsin, Madison, Wisconsin, February 23, 1976.
245. Roy W. Russell, Letter on Issues in Effective Probation Supervision, Florida Parole and Probation Commission, Tallahassee, Florida, February 18, 1976.
246. James Haran, Letter on Issues in Effective Probation Supervision, Chief Probation Officer, Brooklyn, New York, February 16, 1976.
247. Paul Kebe, Letter on Issues in Effective Probation Supervision, Director of State Probation for State of Delaware, Smyrna, Delaware, February 12, 1976.
248. Walter Kershaw, Letter on Issues in Effective Probation Supervision, Community Services Specialist, Nassau County, New York, Probation Department, Mineola, New York, February 16, 1976.
249. Paul F. Cromwell, Jr., Letter on Issues in Effective Probation Supervision, Board of Pardons and Parole, State of Texas, Austin, Texas, February 16, 1976.
250. David I. Morgan, Letter on Issues in Effective Probation Supervision, Probation of Youth Offenders, South Carolina Department of Correction, Columbia, South Carolina, February 16, 1976.
251. Professor Norvell Morris, Letter on Issues in Effective Probation Supervision, University of Chicago Law School, Chicago, Illinois, February 16, 1976.
252. Telephone Conversation of February 18, 1976, Between Investigator and Edward Docekal, Law Enforcement Specialist, Law Enforcement Assistance Administration, for Law Enforcement Assistance Administration Grant Number 76-NI-99-0045.
253. Professor Daniel Glaser, Letter on Issues in Effective Probation Supervision, Department of Sociology, University of Southern California, Los Angeles, California, February 16, 1976.

254. Guy Willetts, Letter on Issues in Effective Probation Supervision, Administrative Office of the United States Court, Washington, D.C., February 16, 1976.
255. Hubert M. Clements, Letter on Issues in Effective Probation Supervision, South Carolina Department of Corrections, Columbia, South Carolina, February 11, 1976.
256. William G. Nagel, Letter on Issues in Effective Probation Supervision, The American Foundation, Incorporated, Philadelphia, Pennsylvania, February 11, 1976.
257. Judge Joe Frazier Brown, Letter on Issues in Effective Probation Supervision, Criminal Justice Council, Austin, Texas, February 12, 1976.
258. American Bar Association. Standards Relating to Probation. Project on Standards for Criminal Justice. New York: Institute of Justice Administration, 1970.

**END**