



National Evaluation of Adult Restitution Programs

RESEARCH REPORT 2

NATIONAL EVALUATION OF ADULT RESTITUTION PROGRAMS:

SELECTED DATA INSTRUMENTS



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TABLE OF CONTENTS

| | <u>Page</u> |
|--|-------------|
| Introduction | 1 |
| Development Steps | 2 |
| General Criteria | 2 |
| Organizing Strategy | 2 |
| Item Construction | 5 |
| CODING INSTRUMENTS | |
| General Coding Instructions | 9 |
| Offender Packet | 13 |
| Incident Packet | 27 |
| System Processing Packet | 32 |
| California Revocation Processing Packet | 38 |
| Rules For Interviewing | 44 |
| Offender Interview Packet | 49 |
| Personal Victim Interview Packet | 56 |
| Organization Victim Interview Packet | 57 |
| Program Loss Assessment Packet | 67 |
| Project Processing Packet | 72 |
| Monthly Program Monitoring Report Packet | 84 |
| Offender-Based Monitoring Report Packet | 90 |

Introduction

In an earlier research report we have described the National Evaluation of Adult Restitution Programs and given an overview of the purposes and procedures of the study.¹ Very briefly, the National Evaluation was funded in October 1976, by the National Institute of Law Enforcement and Criminal Justice (NILECJ) of the Law Enforcement Assistance Administration (LEAA), to study, describe, and evaluate seven programs in which offenders make restitution for losses related to their crimes. This report presents the data collection instruments for the study, and describes their development and intent.

Development of data collection instruments was undertaken shortly after funding, by staff of the National Evaluation, in collaboration with evaluation personnel from the seven sites in which restitution is being studied. The major phases of development were completed during the first four months, although revisions and refinements have been made as the action programs began to process cases at different times during the first year of funding. The data forms presented in this report are the result of this process.

The information in this report should be of interest to all researchers faced with the task of developing coding instruments, especially for research in the area of restitution. It should also be of interest, especially those parts dealing with loss assessment and payment monitoring, to agency and legislative planners who may be contemplating beginning a restitution program.

¹See National Evaluation of Adult Restitution Programs, Research Report #1, *National Evaluation of Adult Restitution Programs: A Description of the Project*, (1977).

Development Steps

A. *General Criteria*

To guide the formulation of specific data items, a core body of ground rules was agreed upon:

1. The data should be comprehensive enough to allow examination of each of the seven programs in the context of their stated goals and procedures. At the same time, the data should also facilitate inquiry into some of the generally significant theoretical and legal issues concerning restitution.
2. To the extent possible, data should be comparable across sites to maximize comparisons of the various programs.
3. To the extent possible, data should be comparable for experimental and comparison offenders (E's and C's) within the experimental design used for the evaluation.
4. To the extent possible, items in the data collection instruments should be constructed for ease of coding from existing field records and reports. Every effort should be made to use closed ended coding frames to simplify the coding task in the field and later transcription of data to machine-readable formats.
5. Wherever possible, data collection instruments should be built into existing routine reporting or recording procedures of the agencies.

B. *Organizing Strategy*

Data for the National Evaluation are organized on two distinct levels. A first, overall approach is to conceive of data needs as falling into intake, program, and outcome groups. Intake includes data on offenders,

victims, and the criminal incidents that link them, prior to the point that experimental offenders enter the program (i.e., are required to make restitution), or comparison cases reach a parallel status. Program data cover the components of the restitution programs themselves, the period during which offenders participate, and the analogous supervision period for comparison offenders. Outcome data include information surrounding offenders' successful or unsuccessful termination from the restitution program, or the comparable point for comparisons.

This breakdown permits analysis before, during, and upon termination of program obligations. In addition, intake forms were prepared during the early planning stages of the action programs, ready for use when the first cases were considered. In this way, no cases were lost while the remaining program and outcome forms were being developed. Yet another benefit of the three-way classification of data is that it provides convenient points of closure, after which coding sheets are ready to be sent from the field to the National Evaluation staff. Upon the entry of an offender into the restitution program, for example, a complete set of intake data is due; at specific periods during program participation, monitoring reports are required; and upon termination from the program, outcome data are to be submitted.

Because of the complexity and scope of the data needed for the National Evaluation, a second level of organization further subdivides the data into small, relatively discrete "packets." Each packet delineates a specific area of interest; an "offender packet," for example, contains

demographic, criminal and other information about the offender before the point of program entry; as another example, an "incident packet" includes information about the generating criminal event, such as number of victims, victim-offender relationships, victim precipitation, and so on.

In many of the seven sites, the use of individual packets expedites data collection, by permitting division of responsibility for coding different packets among personnel with the most routine access to the necessary data items. Such specialization, in turn, simplifies the training of coders. One major advantage of working in such small, logical units, is that it facilitates refinements, revisions, and modifications to accommodate differences in processing patterns for each site. For although the idea is to use the same packets in each program, some "tailoring" of the general instruments is necessary to modify, add, or delete specific items for use by each program. This tailoring represents a necessary compromise between acquiring identical cross-site data and reflecting adequately the interesting variation in structure and procedure among the action programs. An example of one of the more extensively modified forms is included in this report; the California Revocation Processing packet supplants the more general System Processing packet used in other sites. Whereas pre-program offender processing in most of the seven sites follows the general criminal justice system flow (prosecution, conviction, sentencing), the modification for California is designed to reflect the unique case flow of clients undergoing parole revocation for violations for which restitution may be required.

C. Item Construction

For each of the data packets, two different coding styles are used by the National Evaluation. The first style involves the use of complete coding manuals with separate answer sheets upon which only spaces for coding are provided. Limiting the answer sheets only to entry blanks matched to separate coding instructions means that the answer sheets alone are sent in from the field to National Evaluation staff. This results in economy of coding forms and mailing costs. However, because answer sheets are not readily meaningful without reference to the coding manual, some field staff expressed a preference for an expanded answer sheet. This contains the same items and the same entry blanks, but also includes coding instructions on the answer sheet itself, rather than in a separate manual. Only extended explanations are provided in the coding manual under this second approach, because the answer sheets are longer and more self-explanatory. This latter approach is used more widely for the National Evaluation and this is the format included in the present report. Reproduction costs for the lengthier answer sheets are kept to a minimum by a process of xerographic reduction.

In the same spirit of clarity and concise coding, the National Evaluation uses two particular coding techniques that merit special attention.

Master Lists: A master list is a computer-generated index of criminal code and other statutory provisions applicable to a given program. Each program is provided with such a list. The master list translates individual offense behavior listed in the statutes of each of the seven states to a three-digit number which is used in recording offenses on the

data collection instruments. Additional qualifiers added by the field coder specify the applicable number of counts of the given offense and whether the offense is considered under a special offense class (e.g., attempts, conspiracies, habitual and youthful offenders).

The reasons for creating master lists are twofold:

1. *Specificity* -- Each master list number refers to a specific offense behavior that is defined by a distinct penalty or fact situation. Such specific behaviors often are not uniquely referenced by statute numbers and sub-headings in the codes themselves. In many codes, a whole series of different substantive offenses is listed under a single paragraph heading. Defining offense behaviors in these situations would entail using some kind of descriptive explanation in addition to a statutory reference, thereby complicating the coding and analysis task.
2. *Standardization* -- Several states were found to have developed their own computer coding system; however, these were found not to be specific enough for research purposes. The three-digit master list number (plus two single digit qualifiers) allows for use of standardized fields for computer input. This would be impossible using the existing statutory references or offense descriptions.

Coding Grids: As the coding instruments were being developed it became evident that recording of certain types of data in a close-ended format would require a great deal of repetition and space. Ultimately, it was felt this could lead to confusion and error.

Coding grids were developed as a partial answer to this problem. A coding grid is simply a matrix for recording a variety of related data in a format that requires minimal repetition and space. Several dimensions may be related in the process of recording data on the grid. For example, in prior record grids, dates, numbers, and types of prior offenses are all recorded by simply making a single coding entry in the appropriate cell of the matrix.

The remainder of this report consists of selected coding instruments used in the National Evaluation. Preceding the data packets is a set of general coding instructions dealing with conventions for coding dates, master lists, and so on. These apply to all of the packets in which they appear. Introducing each individual packet is a brief, one or two-page summary of its content, purpose, source, timing and classification (intake, program, outcome). Each packet then consists of the coding sheets themselves and a set of coding instructions specific to the items on those sheets.

The vast majority of the coding forms are included in their most general format. A specially tailored California Revocation Processing packet is included to illustrate the tailoring process (c.f. the normal System Processing packet), and to show the alternative coding style with no instructions on the answer sheet. Also included as an example of this latter format is the Monthly Program Monitoring Report, which summarizes the program activities for each month of operation. As a final example of a tailored coding instrument, the "Project Processing" packet for Maine is included. A similar packet, filled out in each state, contains data

needed to describe the various steps taken in formulating restitution plans, the content of the plans themselves, and an estimate of the amount of time needed. This packet perhaps more than any other is tailored to reflect the particular variations in processing at each of the seven sites.

General
Coding Instructions

General Coding Instructions

The following set of instructions applies to those items which are used repeatedly throughout the data collection forms. When one of these items is encountered in subsequent sections of this manual the coder will be directed to these general instructions for the appropriate coding format.

1. Corner Box Identification Conventions

Located at the top right hand corner of the answer sheet for each packet, there is a box which will be used for identification and information management purposes. In each corner box, the coder should enter his/her assigned identification number, the date on which the form is completed (see data convention below item 2), the assigned offender and/or victim identification number(s) and the assigned identification numbers of the state, jurisdiction and program through which the offender has been processed.

For example:

| <u>System Processing</u> | |
|--|-----------------------------|
| <u>Answer Sheet</u> | |
| Coder ID <u>0 7</u> | Date <u>0 2 / 0 3 / 7 6</u> |
| Offender ID <u>0 1 7 6</u> | |
| State/Juris/Prog ID <u>2 / 0 6 / 3</u> | |

2. Date Conventions

Code all dates as month/day/year. All six spaces provided should have an entry. If the entire date is available, code, e.g., February 3, 1976 as 02/03/76. If the month and/or day are missing, code "98" in the spaces provided, e.g., February, 1976, code: 02/98/76, or if just the year is present, e.g., late 1976, code: 98/98/76. If the year is not available or the entire date is unavailable, e.g., February 1, code: 98/98/98.

3. Characterization of Residence

Instructions to be developed for each program.

4. Master List Conventions

The first three digits of the master list code will reflect the number derived from the computerized statutory index (master list) provided to each jurisdiction. If the master list number for a particular crime is less than three digits, place a zero in the left most space(s). For example, if the master list number for murder is 1, code 001 in the first three spaces of the master list. Similarly if armed robbery is 82, code 082. The fourth digit reflects the number of counts of that particular offense and the fifth digit will indicate attempts, conspiracies, or special statutory provisions, i.e., habitual offender, sex offender, etc.

Columns 1-3 = master list number
Column 4 = number of counts
1-6 = actual number
7 = 7 or more
8 = number of counts unknown
Column 5 = attempts, conspiracies, and special statutory provisions
1 = attempt to commit the offense designated by the master list number
2 = conspiracy to commit the offense designated by the master list number
3 = habitual or multiple offender statutes invoked as a result of the offense designated by the master list number
4 = sex offender statutes invoked as a result of the offense designated by the master list number
8 = not applicable, the offense designated by the master list number is none of the above

Where the offense itself is an attempt or conspiracy, e.g., "attempted murder," "conspiracy to commit theft," column 5 should be coded to reflect the attempt or conspiracy, e.g., code 1 and 2 respectively in column 5. Where the charged or conviction offense does not specify the substance of the offense, code the master list number of the substantive offense in columns 1-3 and code the appropriate number in column 5, e.g., an habitual offender charge resulting from an assault would be coded by placing the master list number for assault in columns 1-3 and a 3 in column 5.

When coding an offense from the master list and the crime does not appear on the master list, code as "998" and list the full statutory designation of the offense on the answer sheet. It is expected that this will occur very infrequently. Such offenses should be counted for Total Number of --- variables.

All five digits of the master list code must have an entry. If there are more than 8 offenses, list in order of seriousness, most serious first. Relative seriousness of offenses should be assessed by penalty grades or actual penalties which appear on the master list. Within grades or where no such distinction can be made, consider personal crimes more serious than property crimes; crimes where injury is caused more serious than no injury or only threatened injury; the use of a weapon as more serious than the possession of a weapon; armed more serious than unarmed.

5. Occupation Codes

- 01 = Professional, technical and kindred workers: (n.e.c. = not elsewhere coded). Engineers includes aeronautical and astronautical, chemical, civil, electrical and electronic, industrial, mechanical, metallurgical and materials, mining, petroleum, and sales engineers.
Physicians, dentists, and related practitioners includes chiropractors, dentists, optometrists, pharmacists, medical, and osteopathic physicians, podiatrists, and veterinarians. Health workers, except practitioners, includes dietitians, registered nurses, therapists, clinical laboratory technologists and technicians, dental hygienists, health record technologists and technicians, radiologic technologists and technicians, and therapy assistants.
Teachers, elementary and secondary schools includes pre-kindergarten elementary, and secondary school teachers, but excludes principals and supervisors.
Technicians, except health includes agricultural, biological, chemical, electrical and electronic, and industrial engineering; mathematical and mechanical engineering technicians, draftsmen, surveyors, airplane pilots, air traffic controllers, embalmers, flight engineers, radio operators and tool programmers, numerical control.
Other professional workers includes accountants, architects, computer programmers, computer systems analysts, farm management advisors, foresters and conservationists, home management advisors, judges, lawyers, librarians, archivists and curators, actuaries, mathematicians, statisticians, agricultural scientists, chemists, geologists, marine scientists, physicists and astronomers, operations and systems researchers and analysts, personnel and labor relations workers, clergymen and other religious workers, economists, political scientists, psychologists, sociologists, urban and regional planners, social workers, recreation workers, teachers except elementary and secondary, vocational and educational counselors, actors, athletes, authors, dancers, designers, editors and reporters, photographers, public relations men and publicity writers, radio and television announcers, and research workers not specifying subject.
- 02 = Owners, managers and administrators, except farm includes assessors, controllers and treasurers in local public administration, bank officers and financial managers, buyers and shippers of farm products, wholesale and retail trade buyers, credit men, funeral directors, health administrators, inspectors in public administration, building managers and superintendents, ship officers, pilots and pursers, officials of lodges, societies, and unions; postmasters and mail superintendents, railroad conductors, restaurant, cafeteria, and bar managers; sales managers and retail trade department heads, and school administrators.
- 03 = Sales workers includes advertising agents and salesmen, auctioneers, demonstrators, hucksters and peddlers, insurance agents, brokers, and underwriters; newsboys, real estate agents and brokers, stock and bond salesmen, sales representatives, sales clerks, and salesmen.

- 04 = Clerical and kindred workers includes bookkeepers, secretaries, stenographers, and typists.
Other clerical workers includes bank tellers, billing clerks, cashiers, clerical assistants, social welfare, bill and account collectors, counter clerks, except food; vehicle dispatchers and starters, enumerators and interviewers, clerical estimators and investigators, expeditors and production controllers, file clerks, insurance adjusters, examiners and investigators, library attendants, mail carriers and mail handlers, messenger and office boys, utility meter readers, operators of: bookkeeping and billing machines, computer and peripheral equipment, key punch, tabulating machines, and other office machines; payroll and timekeeping clerks, postal clerks, proofreaders, real estate appraisers, receptionists, shipping and receiving clerks, statistical clerks, stock clerks and storekeepers, teacher aides, telegraph messengers, telegraph operators, telephone operators, ticket, station, and express agents; and weighers.
- 05 = Craftsmen, foremen, and kindred workers [Craft apprentices are included with their craft] includes automobile mechanics, including body repairmen.
Mechanics and repairmen, except auto includes mechanics and repairmen of: air conditioning, heating and refrigeration; aircraft, data processing machines, farm implements, heavy equipment, household appliances, looms, office machinery, radios and televisions, and railroad cars.
Machinists.
Metal craftsmen, except mechanics and machinists includes blacksmiths, boilermakers, forgers and hammermen, heat treaters, annealers and temperers, job and die setters, metal; millwrights, metal molders, pattern and model makers, rollers and finishers, metal; sheet metal workers and tinsmiths, shopfitters, and tool and die makers.
Carpenters.
Construction craftsmen, except carpenters includes brickmasons and stonemasons, cement and concrete finishers, electricians, excavating, grading, and road machine operators, floor layers, painters, construction and maintenance, paperhangers, plasterers, plumbers and pipe fitters, roofers and slaters, structural metal craftsmen, and tile setters.
Other craftsmen includes automobile accessories installers, bakers, bookbinders, cabinetmakers, carpet installers, compositors and typesetters, cranemen, derrickmen, and hoistmen; decorators and window dressers, dental laboratory technicians, electric power linemen and cablemen, electrotypers and stereotypers, engravers, photoengravers and lithographers, printing pressmen and plate printers, foremen [foremen who also report a craft occupation are classified with their craft. This category includes foremen of operatives and those who did not report their craft], furniture and wood finishers, furriers, glaziers, log and lumber inspectors, scalers, and graders; inspectors, jewelers and watchmakers, locomotive engineers and firemen, grain, flour, and feed millers; motion picture projectionists, opticians and lens grinders and polishers, piano and organ

- tuners and repairmen, power station operators, shoe repairmen, sign painters and letterers, stationary engineers, stone cutters and stone carvers, tailors, telephone installers and repairmen, linemen and splicers; and upholsterers.
- 06 = Operatives, except transport includes asbestos and insulation workers, assemblers, blasters, and powdermen; bottling and canning operatives, surveying chainmen, rodmen, and axmen, manufacturing checkers, examiners, and inspectors; clothing ironers and pressers, cutting operatives, dressmakers and seamstresses, except factory; earth drillers, dry wall installers and lathers, dyers, filers, polishers, sanders, and buffers; furnacemen, smeltermen, and pourers; garage workers and gas station attendants; graders and sorters, manufacturing; produce graders and packers, except factory and farm; metal heaters, laundry and dry cleaning operatives, meat cutters and butchers, meat wrappers, retail trade; metal platers, milliners, mine operatives, n.e.c.; mixing operatives, oilers and greasers, except auto; packers and wrappers, n.e.c.; painters, manufactured articles, photographic process workers, drill press operatives, grinding machine operatives, lathe and milling machine operatives, punch and stamping press operatives, riveters and fasteners, sailors and deckhands, sawyers, sewers, and stitchers; shoemaking machine operatives, solderers, stationary firemen, carding, lapping, and combing operatives; knitters, loopers, and toppers; spinners, twistors, and winders; weavers, welders and flame-cutters, winding operatives, n.e.c.; and miscellaneous and not specified operatives.
 - 07 = Transport equipment operatives
Truck drivers
Other transport equipment operators includes boatmen and canalmen, bus drivers, urban rail transit conductors and motormen, deliverymen and routemen, fork lift and tow motor operatives, motormen, parking attendants, railroad brakemen, railroad switchmen, taxicab drivers and chauffeurs.
 - 08 = Laborers, excluding farm
Construction laborers includes laborers in the construction industry and all others who specified helping construction craftsmen.
Freight, stock, and material handlers includes freight and material handlers, garbage collectors, longshoremen, stevedores, and stockholders.
Other laborers except farm includes animal caretakers, except farm; fishermen and oystermen, gardeners and groundkeepers, except farm; lumbermen, raftsmen, and woodchoppers; teamsters, vehicle washers and equipment cleaners, warehousemen, n.e.c.; and miscellaneous and not specified laborers.
 - 09 = Farmers and farm managers
Farm laborers and farm foremen includes farm foremen, farm laborers, wage workers; farm laborers, unpaid family workers; and self-employed farm service laborers.
 - 10 = Service workers, except private household

Cleaning service workers includes chambermaids and maids, cleaners and charwomen, janitors and sextons.
Food service workers includes bartenders, busboys, cooks, dishwashers, food counter and fountain workers, and waiters.
Health service workers includes nursing and other health aides, health trainees, orderlies and attendants, practical nurses, dental assistants, and lay midwives.
Personal service workers includes airline stewardesses, recreation and amusement attendants, baggage porters, bellhops, barbers, boardinghouse and lodginghouse keepers, bootblacks, child care workers, elevator operators, hairdressers and cosmetologists, housekeepers, school monitors, recreation and amusement ushers, and welfare service aides.
Protective service workers includes firemen (fire protection), guards and watchmen, policemen and detectives, crossing guards and bridge tenders, marshals and constables, sheriffs and bailiffs.

- 11 = Private household workers includes child care workers, cooks, housekeepers, laundresses, and maids and servants.
- 12 = Armed forces as a career

Offender Packet

Content: Included is information concerning offender demographics, home/family situation, occupation and employment, education, criminal history (both juvenile and adult), prior restitution experience and extent of involvement with drugs and alcohol.

Purpose: Descriptive and comparative analysis of restitution populations in the seven program sites. Comparative analyses between experimentals and controls and among experimentals, both within and across programs. Baseline data for predictive analyses.

Data Source: Police (arrest reports, complaints, etc.), court (ROR, PSI) and correctional (case files) records. Otherwise, self-report.

Timing: Usually prior to implementation of the restitution plan or at a comparable disposition time for comparison cases. Because most data required are in permanent records, this packet can be completed after the offender has been processed by the program. In any case, this packet is usually to be completed and returned to the National Evaluation shortly after entry into the program.

Classification: Intake data. Several items in this packet (e.g., employment items) are repeated in later monitoring packets to allow pre/post comparison at intake and outcome stages.

I. General Information

1. DOBO: Date of birth

DOBO

2. SEXO: Sex of offender

1 = male
2 = female
8 = unknown

SEXO

3. RACEO: Race/ethnic background of offender

1 = white
2 = black
3 = American Indian
4 = Spanish speaking
5 = Asian
6 = other
8 = unknown

RACEO

II. Home/Family Situation

4. MARSTO: Legal marital status at time of disposition

1 = married (includes common-law)
2 = single, never married
3 = divorced
4 = separated
5 = widow(er)
7 = other
8 = unknown

MARSTO

5. LIVWO: Offender lived with -- at time of disposition. Check all that apply in the spaces provided.

Spouse
 Paramour
 Children (include step-children, adopted children)
 Other relatives (include in-laws)
 Friends
 Alone
 Other
 Unknown

6. DEPO: Total number of dependents for whom the offender is financially responsible

1-5 = actual number of dependents
6 = 6 or more
7 = dependents but number unknown
8 = unknown if offender has dependents or not

DEPO

7. RESO: Offender's present residence

RESO

8. RESTAB: Residential stability of offender year prior to the present involvement with the criminal justice system

1 = stable
2 = unstable
7 = not applicable, incarcerated for more than 6 months in year prior to present involvement with criminal justice system
8 = unknown

RESTAB

III. Education

9. EDUCO: Education level of offender; highest grade completed

00-17 = grades completed
97 = other (specify)
98 = unknown

EDUCO

Specify _____

Offender Answer Sheet

Coder ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

IV. Employment

10. INCO: Offender's approximate total (i.e., gross) income per year -- year prior to disposition

01 = less than \$1,000
02 = \$1,000 to \$1,999
03 = \$2,000 to \$2,999
04 = \$3,000 to \$3,999
05 = \$4,000 to \$4,999
06 = \$5,000 to \$5,999
07 = \$6,000 to \$7,499
08 = \$7,500 to \$9,999
09 = \$10,000 to \$11,999
10 = \$12,000 to \$14,999
11 = \$15,000 to \$19,999
12 = \$20,000 to \$24,999
13 = \$25,000 and up
97 = not applicable, offender incarcerated for entire year prior to disposition
98 = unknown

INCO

11. FINCO: Family's approximate total (i.e., gross) income per year -- year prior to disposition. Include the offender's income (see item INCO) in this amount

01 = less than \$1,000
02 = \$1,000 to \$1,999
03 = \$2,000 to \$2,999
04 = \$3,000 to \$3,999
05 = \$4,000 to \$4,999
06 = \$5,000 to \$5,999
07 = \$6,000 to \$7,499
08 = \$7,500 to \$9,999
09 = \$10,000 to \$11,999
10 = \$12,000 to \$14,999
11 = \$15,000 to \$19,999
12 = \$20,000 to \$24,999
13 = \$25,000 and up (specify)
98 = unknown

FINCO

Specify _____

12. FAMWEL: Is the offender or his/her family on welfare

- 0 = neither the offender nor his/her family are on welfare
- 1 = yes, offender on welfare
- 2 = yes, family on welfare
- 3 = yes, both on welfare
- 8 = unknown

FAMWEL

13. OCCO: Primary occupation of offender

- 00 = no occupation
- 01 = professional, technical, kindred.
- 02 = owners, managers, and administrators, excluding farm
- 03 = sales workers
- 04 = clerical and kindred
- 05 = craftsmen and kindred
- 06 = operatives, except transport
- 07 = transport
- 08 = laborers, excluding farm
- 09 = farmers and farm managers
- 10 = service workers, except private household
- 11 = private household workers (domestic)
- 12 = armed forces (as career)
- 13 = other (specify)
- 14 = student
- 15 = housewife
- 16 = illicit occupation (prostitution, gambling, etc.)
- 98 = unknown

OCCO

Specify _____

14. WORKO: Offender's work status at the time of arrest for the present offense(s)

- 1 = not working
- 2 = working, full time employment
- 3 = working, steady part-time employment
- 4 = working, occasionally
- 8 = unknown

WORKO

15. LENGWO: How long was the offender in the above category (WORKO) as of the time of arrest for the present offense(s)

- 1 = less than 1 month
- 2 = 1 to 3 months
- 3 = 4 to 6 months
- 4 = 7 to 9 months
- 5 = 10 to 12 months
- 6 = 13 months or more
- 8 = work status unknown or unknown how long in above status

LENGWO

16. WKPATO: If six months or less in above item (LENGWO), characterize the work pattern for the year prior to arrest

- 1 = not working
- 2 = working, full time employment
- 3 = working, steady part-time employment
- 4 = working, occasionally
- 5 = incarcerated for more than half of the year
- 7 = not applicable, more than 6 months in (LENGWO)
- 8 = unknown, no record

WKPATO

17. REASWO: If working part-time, working occasionally, or not working in item (WORKO) above indicate the principle reason

- 01 = retired
- 02 = temporarily disabled
- 03 = permanently disabled
- 04 = on strike
- 05 = no work available
- 06 = housewife
- 07 = independent income, no need to work
- 08 = student
- 09 = other (specify)
- 97 = not applicable, working full-time
- 98 = unknown work status or reason

REASWO

Specify _____

Offender Answer Sheet

Coder ID _____ Date ____/____/____

Offender ID _____

State/Juris/Prog. ID ____/____/____

V. Prior Record -- Juvenile

Check here if no juvenile record available or no adjudications for juvenile delinquency, and skip to Prior Record -- Adult below.

18. ADJJD: Date of first adjudication for juvenile delinquency

ADJJD

19. DELCON: Total number of adjudications for juvenile delinquency

- 00 = none
- 01-96 = actual number of adjudications
- 98 = number of juvenile delinquency adjudications unknown

DELCON

20. INCJUV: Total number of incarcerations in juvenile correctional institutions

- 0 = none
- 1-6 = actual number of incarcerations
- 7 = 7 or more
- 8 = unknown

INCJUV

21. REVJUV: Was the offender ever revoked from probation or parole as a juvenile

- 1 = yes
- 2 = no
- 7 = not applicable, never on probation or parole as a juvenile
- 8 = unknown

REVJUV

VI. Prior Record -- Adult

Check here if no prior adult record and skip to Alcohol/Drugs below.

22. ARKONE: Date of first arrest as an adult

ARKONE

23. PACXXX: Prior adult convictions
(See grid on attached sheet)

24. MISCON: Total number of known prior misdemeanor convictions

00 = none
01-96 = actual number of convictions
98 = unknown

MISCON

25. FELCON: Total number of known prior felony convictions

00 = none
01-96 = actual number of convictions
98 = unknown

FELCON

26. PDAXXX: Prior adult dispositions
(See grid on attached sheet)

27. PRORVA: Number of probation revocations -- adult

0 = probation imposed but never revoked
1-5 = actual number of revocations
6 = 6 or more
7 = not applicable, never on probation
8 = unknown

PRORVA

28. PAREVA: Number of revocations from parole for which returned to incarceration -- adult

0 = released on parole but never revoked
1-5 = actual number of revocations
6 = 6 or more
7 = not applicable, never on parole
8 = unknown

PAREVA

VII. Prior Restitution Dispositions -- Adult

Check here if none and skip to Prior Fine Dispositions below

29. AMREST: Amount of most recently imposed financial restitution order

00000 = no financial restitution imposed
00001-99995 = actual dollar amount
99996 = \$99,996 or more
99997 = restitution imposed, amount unknown

AMREST

30. RESTPD: Was this restitution paid

1 = yes, in full
2 = yes, in part
3 = no
7 = not applicable, financial restitution not imposed
8 = unknown

RESTPD

31. REASPD: If paid in part or not paid, principle reason

01 = defaulted -- unwilling to pay
02 = defaulted -- unable to pay
03 = defaulted -- absconded
04 = defaulted -- arrested new crime
05 = defaulted -- other reason (specify)
06 = defaulted -- reason unknown
07 = released from obligation by victim (including victim death, leaving jurisdiction)
08 = released from obligation by court
09 = released from obligation for other reason (specify)
10 = released from obligation, reason unknown
11 = payments in progress
96 = not applicable, paid in full
97 = not applicable, financial restitution never imposed
98 = unknown

REASPD

Specify _____

32. SRVDUR: Approximate duration of most recent period of service restitution imposed -- hours

00 = no service restitution imposed
01-95 = actual number of hours
96 = 96 hours or more (specify)
98 = service restitution imposed, duration unknown

SRVDUR

Specify _____

Offender Answer Sheet

Coder ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

33. SRVCOM: Was this service restitution obligation successfully completed

1 = yes
2 = no
7 = not applicable, service restitution never imposed
8 = unknown

SRVCOM

34. SRVRSN: If not successfully completed, principle reason

01 = defaulted -- unwilling to serve
02 = defaulted -- unable to serve
03 = defaulted -- absconded
04 = defaulted -- arrested new crime
05 = defaulted -- other reason (specify)
06 = defaulted -- reason unknown
07 = released from obligation by victim
08 = released from obligation by court
09 = released from obligation, other reason (specify)
10 = released from obligation, reason unknown
11 = in progress
96 = not applicable, service completed
97 = not applicable, service restitution never imposed
98 = unknown

SRVRSN

Specify _____

35. SRVTYP: Type of service restitution imposed (code most recent if more than one)
- 1 = direct restoration to victim of damage caused by offender's behavior
 - 2 = other service to victim in lieu of financial payment
 - 3 = service to a public agency or community generally
 - 4 = service to charitable organization
 - 5 = other (specify)
 - 7 = not applicable, service restitution never imposed
 - 8 = service restitution ordered, type unknown
- SRVTYP
- Specify _____

VIII. Prior Fine Disposition -- Adult

Check here if none and skip to Alcohol/Drugs below.

36. AMFINE: Amount of most recent fine imposed
- 00001-99995 = actual dollar amount
 - 99996 = \$99,996 or more
 - 99998 = fine imposed, amount unknown

AMFINE

37. FINEPD: Was this fine paid

- 1 = yes, in full
- 2 = yes, in part
- 3 = no
- 8 = unknown

FINEPD

38. FINRSN: If paid in part or not paid, principle reason

- 01 = defaulted -- unwilling to pay
- 02 = defaulted -- unable to pay
- 03 = defaulted -- absconded
- 04 = defaulted -- arrested new crime
- 05 = defaulted -- other reason (specify)
- 06 = defaulted -- reason unknown
- 08 = released from obligation by court
- 09 = released from obligation for other reason (specify)
- 10 = released from obligation, reason unknown
- 11 = payments in progress
- 97 = not applicable, paid in full
- 98 = unknown

FINRSN

Specify _____

IX. Alcohol/Drugs

39. ALCUSE: Offender's history of alcohol use

- 0 = none
- 1 = light use
- 2 = moderate use
- 3 = heavy use
- 4 = alcoholic classification
- 5 = reformed alcoholic
- 8 = unknown

ALCUSE

40. ALCRIM: Does the offender's prior record indicate any relationship between the use of alcohol and his/her criminal behavior

- 1 = yes
- 2 = no
- 8 = unknown/no record

ALCRIM

41. DRGUSE: Offender's history of drug use

- 0 = none
- 1 = light use
- 2 = moderate use
- 3 = heavy use
- 4 = addicted
- 5 = reformed drug abuser
- 8 = unknown

DRGUSE

42. DRGCRM: Does the offender's prior record indicate any relationship between the use of drugs and his/her criminal behavior

- 1 = yes
- 2 = no
- 8 = unknown/no record

DRGCRM

Offender Answer Sheet

Coder ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

PRIOR RECORD -- ADULT CONVICTIONS (PACXXX)

| | First 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | Most Recent 10 | Total Number |
|--|------------|---|---|---|---|---|---|---|---|-------------------|-----------------|
| Homicide | | | | | | | | | | | |
| Manslaughter/ Negligent Killing | | | | | | | | | | | |
| Aggravated Assault | | | | | | | | | | | |
| Simple Assault | | | | | | | | | | | |
| Armed Robbery | | | | | | | | | | | |
| Unarmed Robbery | | | | | | | | | | | |
| Assaultive Sex Kidnapping/ Extortion | | | | | | | | | | | |
| Arson | | | | | | | | | | | |
| Burglary | | | | | | | | | | | |
| Grand Larceny | | | | | | | | | | | |
| Petit Larceny | | | | | | | | | | | |
| Bribery | | | | | | | | | | | |
| Vandalism | | | | | | | | | | | |
| Auto Theft | | | | | | | | | | | |
| Deception Non-Assaultive Sex | | | | | | | | | | | |
| Drugs | | | | | | | | | | | |
| Alcohol | | | | | | | | | | | |
| Public Disorder | | | | | | | | | | | |
| Other* | | | | | | | | | | | |
| Unclassified | | | | | | | | | | | |

*List _____

Coder: To compute date from age, enter year of birth _____

+ = ____ + = ____
 + = ____ + = ____
 +18= ____ +21= ____

Offender Answer Sheet

Coder ID ____ Date ____/____/____
 Offender ID _____
 State/Juris/Prog. ID ____/____/____

PRIOR DISPOSITIONS -- ADULT (PDAXXX)

| | Number of Times Imposed 00 = Never 98 = Unknown | Date Imposed (Most Recent) 98 = Unknown | Longest/ Largest 998/99998 = Unknown |
|--------------------------------|---|--|---|
| Prison | --- | --- | Months |
| Jail | --- | --- | Months |
| Community Corrections | --- | --- | Months |
| Probation | --- | --- | Months |
| Fine | --- | --- | \$ _____ |
| Restitution Financial | --- | --- | \$ _____ |
| Restitution Service | --- | --- | Hours |
| Mental Health Commitment | --- | --- | Months |
| Other (specify) | --- | --- | _____ |

Coder: To compute date from age, enter year of birth _____

+ = ____ + = ____
 + = ____ + = ____
 +18= ____ +21= ____



Offender Packet
Coding Instructions

I. General Information

1. **DOB:** Date of birth
-See general instructions number 2.
2. **SEX:** Sex of offender
3. **RACE:** Race/ethnic background of offender
-Spanish speaking includes Mexican-American, Spanish-American, Cuban, Puerto Rican, South American, Latin American. Code Spanish-speaking blacks under "4 = Spanish speaking."

II. Home/Family Situation

4. **MARSTO:** Legal marital status at time of disposition
-Disposition -- "Disposition" refers to the sentencing decision in court-based programs and the parole board or institution decision for the parole/incarceration programs.
5. **LIVWO:** Offender lived with -- at time of disposition. Check all that apply in the spaces provided on the answer sheet.
-For those offenders detained or incarcerated at the time of disposition, check the person(s) they lived with at the time of the last community exposure.
6. **DEPD:** Total number of dependents for whom the offender is financially responsible
-Include the offender as his/her own dependent.
-Include the offender's spouse and all minor children (under 18) living with the offender as dependents of that offender, and all other persons for whom the offender has a continuing financial responsibility.
-Dependents may be children or adults, living with or apart from the offender. In the case of adults (other than spouse), or children living apart from the offender the key element in determining dependency is the provision of continuing financial support, including voluntary or non-voluntary contributions (e.g., alimony, child support).
-The number of dependents has to be at least one to account for the offender.
-Code the number of dependents whether or not the offender is able to fulfill his obligation as might be the case if he/she is incarcerated or on welfare.

7. **RESO:** Offender's present residence

Office use only 999998 = tract unknown

8. **RESTAB:** Residential stability of offender year prior to the present involvement with the criminal justice system

-If the offender has 3 or more address changes within the past year which appear unrelated to job or school, code "2 = unstable." If no specific mention is made of any moves assume no moves occurred.
-Consider only the period prior to the present contact with the criminal justice system. Do not consider changes reflecting moves from home to an institution or moves between institutions.

III. Education

9. **EDUCO:** Education level of offender; highest grade completed

-Code the highest grade completed. If the record indicates only that the offender completed grammar (grade) school, middle (junior high) school, or high school code "06," "09," or "12," respectively. Code "16" if the offender is a college graduate and "17" if some graduate work has been completed. Do not include technical or trade schools.
-If the offender received a G.E.D. code as "12."

IV. Employment

10. **INCO:** Offender's approximate total (i.e., gross) income per year -- year prior to disposition

-Code on basis of the year prior to disposition. If the offender worked less than 1 full year estimate the income for one year.
-Code the gross income of the offender, that is his/her income before deductions.
-Include as income public assistance to the offender (i.e., any form of governmental assistance including aid to dependent children, welfare, social security, veterans' benefits) and alimony and child support received.

11. **FINCO:** Family's approximate total (i.e., gross) income per year -- year prior to disposition. Include the offender's income (see item INCO) in this amount

-Include only income of the offender, his/her spouse, and all minor children (under 18) living with the offender.
-Code the gross income, that is, the total amount before deductions. Include the offender's income as part of the family income. Compute this figure on the basis of present earnings, considering all sources of income including public assistance (see 10 above).

12. **PAMWEL:** Is the offender or his/her family on welfare

-Welfare is any form of governmental financial support for which income is the primary criterion. Include aid to dependent children, food stamps, and unemployment insurance. Exclude social security, workman's compensation, and veterans' benefits.

13. **OCCO:** Primary occupation of offender

-Occupation refers to the principal business or vocation of the offender regardless of whether he is presently working at this occupation or not. Thus a carpenter who is presently working as a gas station attendant because of poor employment conditions in his own occupation would be coded as "05 = craftsmen." If more than one occupation is relevant and one cannot be differentiated as "primary," code that occupation as "other" and specify on answer sheet. If the offender's known occupation is prostitution, gambling, selling of drugs, etc., code as "16 = illicit occupation."

-See general instructions number 5.

14. **WORKO:** Offender's work status at the time of arrest for the present offense(s)

15. **LENGWO:** How long was the offender in the above category (WORKO) as of the time of arrest for the present offense(s)

-Each interval includes 3 full months, e.g., 3 1/2 months would be entered under code "2."

16. **WKPATO:** If six months or less in above item (LENGWO), characterize the work pattern for the year prior to arrest

17. **REASWO:** If working part-time, working occasionally, or not working in item (WORKO) above indicate the principle reason

-If no differentiation can be made between several reasons, code as "other" and specify on answer sheet.

V. Prior Record -- Juvenile

-If no juvenile record is available, or no adjudications for juvenile delinquency, check the box provided on the answer sheet and proceed to Prior Record -- Adult (Section VI).

-Juvenile delinquency refers to behavior that would be criminal if committed by an adult (i.e., exclude PINS, CHINS, YINS, MINS, dependency, and neglect).

18. **ADJJD:** Date of first adjudication for juvenile delinquency

-See general instructions number 2.

19. **DELCON:** Total number of adjudications for juvenile delinquency

20. **INCJUV:** Total number of incarcerations in juvenile correctional institutions

-Juvenile correctional institutions are residential facilities such as group homes, training schools, and camps. Do not include time spent in detention centers while awaiting disposition. Do not include transfers between institutions.

21. **REVJUV:** Was the offender ever revoked from probation or parole as a juvenile

VI. Prior Record -- Adult

-If the offender has no prior record as an adult, check the box provided on the answer sheet and proceed to Alcohol/Drugs (Section IX).

22. **ARRONE:** Date of first arrest as an adult

-See general instructions number 2.

23. PACXXX: Prior adult convictions (Example below)

| | First | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | Most Recent | Total Number |
|--|-------|----|----|---|---|---|---|---|---|-------------|--------------|
| Homicide | 0 | | | | | | | | | | 0 |
| Manslaughter/ Negligent Killing | 0 | | | | | | | | | | 0 |
| Aggravated Assault | 0 | | | | | | | | | | 0 |
| Simple Assault | 0 | | | | | | | | | | 0 |
| Armed Robbery | 0 | | | | | | | | | | 0 |
| Unarmed Robbery | 0 | | | | | | | | | | 0 |
| Assaultive Sex Kidnapping/ Extortion | 0 | | | | | | | | | | 0 |
| Arson | 70 | | | | | | | | | | 1 |
| Burglary | 78 | 78 | 78 | | | | | | | | 3 |
| Grand Larceny | 0 | | | | | | | | | | 0 |
| Petit Larceny | 72 | | | | | | | | | | 1 |
| Bribery | 0 | | | | | | | | | | 0 |
| Vandalism | 0 | | | | | | | | | | 0 |
| Auto Theft | 0 | | | | | | | | | | 0 |
| Deception Non-Assaultive Sex | 0 | | | | | | | | | | 0 |
| Drugs | 71 | | | | | | | | | | 1 |
| Alcohol | 0 | | | | | | | | | | 0 |
| Public Disorder | 0 | | | | | | | | | | 0 |
| Other* | 0 | | | | | | | | | | 0 |
| Unclassified | 68 | 69 | | | | | | | | | 2 |

*List _____ Codes: To compute date from age, enter year of birth 52

+ . . . + . . .
+ . . . + . . .
+18-70 +21- . . .

Sample Prior Record Coding Grid

An offender's offense record is presented below. This record has been contrived to illustrate a variety of possible problems and their solution in accordance with the instructions below.

Conviction Record:

| | | |
|----------------|-------------------------------------|------------------------------------|
| July 7, 1972 | Smith County Court | Larceny |
| April 10, 1971 | Smith County F.C. Youthful Offender | Possession of Controlled Substance |

In addition to the above, Mr. X was convicted on three (3) occasions for Breach and Entering. There were two further convictions in 1968 and 1969, and one (1) at age 18 for arson.

(Date of Birth: December 12, 1952)

- Responses to this item are to be coded on the response grid on the answer sheet.
- Code the year of each conviction by type of offense. Allowance is made for coding up to ten separate convictions in each offense class. If there are more than ten, code the date of the first conviction and the nine most recent; insert the total number in the rightmost column.
- In cases where the record is not specific as to the type of offense (e.g., "Mr. Smith was convicted of property offenses in 1967, '69, and '70"), code as unclassified.
- In cases where crimes are indicated but dates are absent or not clear (e.g., "Mr. X was convicted on three occasions for auto theft"), code the dates as "98" to indicate "conviction type known but date unknown."
- Where the exact nature of the offense is unclear (e.g., "Mr. X was convicted of robbery charges in 1969 and 1972"), assume the lesser of the available choices -- here code "robbery unarmed" since it is the lesser of the two robbery offenses listed.
- Should the offender's record indicate a conviction as a youthful offender code this conviction as noted above but indicate that this conviction was in a special youthful offender category by circling the date in the appropriate cell.
- If no conviction is reported for a particular offense, code the left most cell with a zero and complete the line by drawing an arrow to the end of the row. If the offender has been convicted code the dates of those convictions across the row. If the last entry is not in the last column (10) draw an arrow to the end of the row to indicate no other convictions for that particular offense. (See the sample grid.)

Offenses are defined as follows. Offense names may not coincide with statutory definitions in your state. Code strictly according to the (F.B.I.) definitions given here:

Homicide: The willful (non-negligent) killing of one human being by another.

Manslaughter/Negligent Killing: The killing of another person through gross negligence. Include vehicular homicides if not willful.

Aggravated Assault: An attack by one person upon another for the purpose of inflicting severe and aggravated bodily injury. Usually accompanied by the use of a weapon or by means likely to produce death or great bodily harm. Include maiming, mayhem.

Simple Assault: Assaults which do not result in serious injury to the victim (u.g., "Assault and Battery," "Obstructing an Officer," "Coercion," "Intimidation," etc.).

Armed Robbery: The taking or attempting to take anything of value from the care, custody, or control of a person by force or threat of force or violence and/or by putting the victim in fear. The offender is armed with a weapon.

Unarmed Robbery: The taking or attempting to take by force or threat. The offender is not armed.

Assaultive Sex: Any sex crime imposed against the will of the victim by force, threat, or fear. Include rape, sodomy.

Kidnapping/Extortion: Include the taking or holding of hostages regardless of purpose (financial gain, political terrorism). Include airline hijacking, blackmail.

Arson: Willful burning or attempt to burn the property of another. It may be assumed that injuries resulting from arson will appear in criminal history records as another offense (e.g., assault).

Burglary: The unlawful entry of a structure to commit a theft or a felony. Include breaking and entering, all types of structures regardless of time of day. Code trespass as "other."

Grand Larceny: Taking or appropriating or receiving the property from the possession or constructive possession of another. Code in this category if the amount taken was greater than \$250. See below if amount is not readily ascertainable. Thefts by deception are not coded here (e.g., forgery, fraud, embezzlement) but under deception. Thefts from autos would be coded under grand or petit larceny.

Petit Larceny: Code taking or appropriating or receiving of \$250 or less in this category. If an amount is not readily ascertainable code as petit larceny. Consider shoplifting, purse snatching, pocket picking in this category. Thefts by deception are coded under deception. Thefts from autos would be coded under grand or petit larceny.

Bribery: The offering of money, goods, or favors with an intent to influence or to obtain special consideration from a person in a position of trust or authority. Also the acceptance of such an offering.

Vandalism: The willful or malicious destruction, injury, disfigurement, or defacement of any public or private property, real or personal without consent of the owner or person having custody. Include tire slashing, graffiti, breaking windows.

Auto Theft: The theft of a motor vehicle including farm or construction equipment, autos, trucks, airplanes, motor homes, etc. Do not code thefts from such vehicles here; they are to be considered larcenies. Include joyriding in this category.

Deception: Include all taking and appropriations of property of another by guile. Include fraud, forgery, counterfeiting, embezzlement.

Non-assaultive Sex: Include statutory rape, incest, adultery, indecent exposure, seduction, indecent liberties, prostitution and commercialized sex, etc.

Drugs: Include all drug offenses regardless of type; sale or possession.

Alcohol: Public intoxication, driving while intoxicated, liquor law violations, possession by a minor, operating a still, etc.

Public Disorder: Disorderly conduct, unlawful assembly, disturbing the peace, profanity, refusing to assist an officer, desecrating the flag, vagrancy, loitering, fighting.

Other: Include here gambling, desertion/non-support, carrying concealed weapons, unregistered weapons, trespass, traffic (other than DWI or vehicular homicides), perjury, contempt, selective service violations, immigration law violations, civil rights violations, regulatory law violations, etc. Indicate in the space provided the exact offense being coded as "other."

24. MISCON: Total number of known prior misdemeanor convictions

- Enter the exact number of convictions known to be misdemeanors. Any entries in the record that are unclear as to whether felony or misdemeanor should be ignored in this tally.
- Code "98" only when the record makes general mention of prior misdemeanor convictions with no number specified (e.g., "Offender has misdemeanor record in the past. . .")
- Maine: Consider Class E crime in the new code as misdemeanors; all others would be felonies.

25. FELCON: Total number of known prior felony convictions

-See the instructions for above item (MISCON)
 -Unless there are unclear entries in the record (i.e., misdemeanors and felonies are indistinguishable) the total of MISCON and FELCON should equal the total number of prior convictions in the Grid PACXXX.

-Responses to this item should be recorded in the grid on the answer sheet.
 -If arrest or conviction on record has no corresponding disposition, no entry should be made on this grid for the offense. See example: 2/2/66 Adams County Court Joyriding above.

26. PDAXXX: Prior Dispositions -- Adult (EXAMPLE)

| | Number of Times Imposed 00 = Never Imposed | Date Imposed (Most Recent) 99 = Unknown | Longest/Largest 999/9999 = Unknown |
|--------------------------|---|--|---------------------------------------|
| Prison | 01 | 67 | 918 Months |
| Jail | 00 | -- | Months |
| Community Corrections | 00 | -- | Months |
| Probation | 02 | 70 | 912 Months |
| Fine | 01 | 69 | 1001.00 |
| Restitution (Financial) | 01 | 70 | 1000.00 |
| Restitution (Service) | 01 | 73 | 090 Months |
| Mental Health Commitment | 00 | -- | Months |
| Other (Specify) | 00 | -- | -- |

Caution: To compute date from age, enter year of birth 48

* * * * *
 * * * * *
 18 6 5 *21* *--*

Sample Disposition Grid

The following record is intended to illustrate the use of the above Prior Disposition Grid -- Adult.

| | | | |
|---------|--|---------------------------------|--|
| 8/5/73 | Franklin County Court | Vandalism | Repair damage 6 weekends at 15 hours/weekend |
| 12/2/70 | Adams County Court | Shoplifting \$25 | 6 months probation plus \$25 restitution |
| 5/13/69 | Franklin County Court | Possession-controlled substance | Probation one year |
| 4/10/69 | Franklin County Court | DWI | Fine \$100 |
| 1/15/67 | Jefferson District Court (Youthful Offender) | Burglary, 3D | 18 months reformatory |
| 2/2/66 | Adams County Court | Joyriding | |

Date of Birth: 1/7/48

Column Instructions

In the first column code the number of times each particular disposition was imposed. Consider each imposition as a separate instance in coding regardless of whether two or more penalties were imposed together. Thus if an offender was sentenced to probation and a fine for the same crime code both the probation and the fine as if they were imposed separated.

In the second column code the most recent year in which this disposition was imposed.

In the third column enter the longest (or largest, if financial) such disposition ever imposed for this offender. For non-financial dispositions code the sentence imposed, using the time frames indicated on the answer sheet -- hours for service restitution, months for all others. For financial dispositions code the amount to the nearest dollar. Code the longest/largest known disposition imposed (not served). If the longest/largest disposition was the result of a youthful offender conviction, circle the entry in column 3.

When recording an answer, an entry must be placed in each space provided, e.g., if an offender was fined \$750 code 00750 in the appropriate space.

Row Instructions

The types of disposition are defined as follows:

Prison: This includes all sentences to congregate penal institutions generally run by the state on a centralized basis. Code reformatory sentences for youthful offenders here if more than 1 year.

Jail: Usually smaller penal institutions controlled, in most cases, by local authorities. Generally for sentences of 1 year or less. In Massachusetts code Houses of Correction here. Code reformatory sentences for youthful offenders here if less than 1 year.

Community Corrections: Residential correctional facilities housing small numbers of inmates generally centering around a specific correctional program. Include residential drug treatment programs, halfway houses, etc.

Restitution, Financial: Code money payments imposed by court conviction to victims, victim's insurance, etc.

Restitution, Service: Code sentences where the offender was required to perform some service to the victim or to the community in general, as a result of the court conviction.

Mental Health Commitment: Code commitments to inpatient mental health care resulting from criminal proceedings. These should arise in cases of incompetency to stand trial, acquittal due to insanity or special category offenders such as "defective delinquents" or certain classes of sex offenders.

Other: This category is available to record other types of dispositions not accounted for in the above listing. Please specify any "other" dispositions by writing them in on the answer sheet.

27. PRORVA: Number of probation revocations -- adult

28. PAREVA: Number of revocations from parole for which returned to incarceration -- adult

VII. Prior Restitution Dispositions -- Adult

-If no prior restitution imposed, check the box provided on the answer sheet and proceed to Prior Fine Disposition -- Adult (Section VIII).

29. AMREST: Amount of most recently imposed financial restitution order

-If more than one prior financial restitution order code the most recent in this item.

30. RESTPD: Was this restitution paid

31. REASPD: If paid in part or not paid, principle reason

32. SRVDUR: Approximate duration of most recent period of service restitution imposed -- hours

-If an indeterminate period was imposed or a period contingent upon completion of a specific task code as "96" and specify on the answer sheet

33. SRVCON: Was this service restitution obligation successfully completed

34. SRVRSN: If not successfully completed, principle reason

35. SRVTYP: Type of service restitution imposed (code most recent if more than one)

-A victim may be a person, organization, or local/state/federal agency.

VIII. Prior Fine Disposition -- Adult

-If no prior record of fines imposed check the box provided on the answer sheet and proceed to Alcohol/Drugs (Section IX).
-Exclude fines for minor traffic infractions of \$50 or less.

36. AMFINE: Amount of most recent fine imposed

37. FINEPD: Was this fine paid

38. FINRSN: If paid in part or not paid, principle reason

IX. Alcohol/Drugs

39. ALCUSE: Offender's history of alcohol use

-Code "1" -- light social usage, not generally considered debilitating in any way. Alcohol use did not inhibit work/school performance, family relations, etc.

-Code "2" -- moderate use indicates occasional problems, where alcohol use had been known to impinge upon work, family obligations somewhat but without permanent harm, e.g., loss of job, separation from family, assaults while drunk, arrest.

-Code "3" -- if alcohol use significantly impinges upon work, family, social relationships. Formal job discipline or firing as a result, separation (voluntary or involuntary) from family for 1 or more days, assaultive or suicidal behavior while drunk.

-Code "4" -- alcoholic, if the offender is in a perpetual state of craving for alcohol, i.e., alcohol consumption is the central factor in his/her life, he/she cannot function without it. Offender had been subject to voluntary (AA) or involuntary (court-directed) attempts to cure.

-Code "5" -- if the offender had previously been in a state described in code "4" but is now reformed ("cured").

-Code "8" -- if no information appears on alcohol use.

40. ALCRIM: Does the offender's prior record indicate any relationship between the use of alcohol and his/her criminal behavior

-Code "1" only if mention is made in the record of such a connection.

41. DRGUSE: Offender's history of drug use

- Code "1" -- light social usage, not generally considered debilitating in any way. Drug use did not impair work/school performance, family relations, etc. Experimental use and use of marijuana alone should be coded here.
- Code "2" -- moderate use, indicates occasional problems, where drug use had been known to impinge upon work, family obligations somewhat but without permanent harm, e.g., without loss of job, separation from family, arrest.
- Code "3" -- heavy use, if drug use significantly impinges upon work, family, social relationships, e.g., formal job discipline or firing as a result, separation (voluntary or involuntary) from family for 1 or more days, indication of suicidal behavior.
- Code "4" addiction -- offender in a perpetual state of craving for drugs, i.e., drugs are the central factor in his/her life, he/she cannot function without them.
- Code "5" -- reformed drug abuser, if the offender had previously been in a state described in code "4" but is now reformed ("cured").
- Code "8" -- if not information appears on drug use.

42. DRGCRM: Does the offender's prior record indicate any relationship between the use of drugs and his/her criminal behavior

- See the instructions for item (ALCRIM).

Incident Packet

Content: Incident-specific information including weapon use, offender role, co-perpetrators, victims involved, victim precipitation, victim-offender relationship, incident location and charges stemming from the incident.

Purpose: Description of incident. Identifying victims and linking offenders with co-offenders, victims, and criminal charges. Examining issues of equity between multiple offenders, multiple victims. Useful program tool to record baseline information for loss investigation and restitution planning.

Data Source: Generally obtained from police arrest records or complaints, information or indictment.

Timing: Usually to be completed before plan development.

Classification: Intake data.

Incident Answer Grid

Coder ID ___ Date ___/___/___

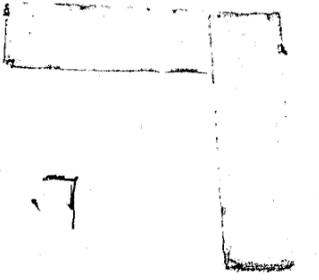
Offender ID _____

State/Juris/Prog. ID ___/___/___

| 1. Date (DOCI) | 2. W e a p o n * | 3. T y p e ** | 4. R o l e | 5. Formal Charged Offenses Use Master List Codes | 6. Other Offenders Involved (I.D. Only) | 7. Victims Involved (I.D. Only) | 8. Victim Precipitation | 9. Victim- Offender Relationship | 10. Location of Incident |
|---|---------------------------------------|------------------------------|------------------------|---|---|--|-------------------------------|---|-----------------------------------|
| | | | | | | | | | |
| If code 7 for Weapon, specify | | | | | | | | | |
| If code 9 for **Type weapon specify | | | | If NL=998, specify: | | | Location, specify: _____ | | |

Incidents: A single criminal event involving the commission of one or more offenses. An incident is unique as to time and place. Therefore, two robberies by the same offender would constitute two incidents if they occurred at different times or at different locations. They would constitute a single incident if both robberies occurred at the same time and place (e.g., the wugging of a couple). Similarly, the burglary of four apartments in one apartment complex by the same offender on one evening would constitute four separate incidents.

- | | |
|---|--|
| <p>2. WEAP: Weapon</p> <ul style="list-style-type: none"> 0 = no weapon involved 1 = feigned weapon 2 = weapon in offender's possession but not used 3 = weapon used to threaten victim 4 = weapon used in attempt to injure victim 5 = weapon used to injure victim 6 = weapon present, unknown whether used or simply in possession 7 = other (specify on answer grid) 8 = unknown <p>3. TWEAP: Type of weapon</p> <ul style="list-style-type: none"> 00 = no weapon involved 01 = blunt instrument 03 = knife/sharp instrument 04 = chemical (e.g., lye, acid, gas, etc.) 05 = explosives (including incendiaries) 06 = handgun 07 = long gun (including sword-off shotgun) 08 = gun, type unknown 09 = other (specify on answer grid) 98 = unknown type of weapon <p>(NOTE: There is no "01" code in this item.)</p> <p>4. OROLE: Offender's role</p> <ul style="list-style-type: none"> 1 = lead role (e.g., planned or organized the offense) 2 = equal co-perpetrators 3 = peripheral (e.g., "lookout," get-away car driver only, etc.) 4 = not ascertainable, although others involved 7 = not applicable, offender alone 8 = unknown | <p>5. VPRCIP: Victim precipitation</p> <ul style="list-style-type: none"> 1 = yes 2 = no 8 = unknown <p>9. VOR: Victim-offender relationship</p> <p>To the offender, the victim is:</p> <ul style="list-style-type: none"> 1 = family/relative 2 = employer 3 = ex-employer 4 = other acquaintance 5 = stranger 6 = other 7 = not applicable, no victim 8 = unknown <p>10. INCLOC: Location of incident:</p> <ul style="list-style-type: none"> 0 = offense not location specific <p>For personal victims, use the following three codes:</p> <ul style="list-style-type: none"> 1 = victim's home -- occupied 2 = victim's home -- not occupied or immediate surroundings 3 = victim -- elsewhere <p>For organizational victims, use the following three codes:</p> <ul style="list-style-type: none"> 4 = at the place of business -- occupied 5 = at the place of business -- unoccupied 6 = business -- elsewhere 7 = other location (specify on answer grid) 8 = unknown |
|---|--|



Incident Packet
Coding Instructions

Incident Coding Instructions

In most cases, there will be only one incident. However, in cases with more than one incident record the information for each incident on a separate answer sheet.

N.B. If more than one incident answer sheet is used make sure the identification box at the top of each sheet is completed.

Incident: A single criminal event involving the commission of one or more offenses. An incident is unique as to time and place. Therefore, two robberies by the same offender would constitute two incidents if they occurred at different times or at different locations. They would constitute a single incident if both robberies occurred at the same time and place (e.g., the mugging of a couple). Similarly, the burglary of four apartments in one apartment complex by the same offender on one evening would constitute four separate incidents.

1. DOCI: Date of criminal incident

-See the general instructions number 2.

2. WEAP: Weapon in offense

-"Weapon" refers to any article or device which is capable of causing injury. "Weapon" does not include parts of the body.

-Code "1" if weapon "feigned" or implied (e.g., an object under a coat to simulate a weapon or the offender stated he/she had a weapon when, in fact, he/she did not).

-Code "2" if the weapon is in the offender's person or in his/her immediate control during the actual commission of the offense but not used.

3. TWEAP: Type of weapon

-NOTE: There is no "01" code in this item.

4. OROLE: Offender's role

5. CHGOXX: Formal charged offenses

-See the general instructions number 4.

-Formal charges are those charges contained in the document upon which the prosecution is based. This will generally be an indictment, information, accusation, complaint, or presentment. Formal charges may or may not be the same as the arrest charges.

6. COFXXX: Other offenders involved

-List the identification number of other offenders involved in this incident.

-If fewer than 5 offenders, put zeroes in the first empty space not used and an arrow through the remaining spaces (see attached example).

-If more than 5, continue to list the identification number of the offenders in the space provided.

7. VICXXX: Victim involved

-List each victim by his/her unique identification number. Every victim should have his/her identifier listed.

-If fewer than 5 victims, place 4 zeroes in the first empty victim space and put an arrow through the remaining spaces (see the attached example).

-If more than 5, continue to list the identification numbers of the victims in the space provided.

For each victim, answer the following questions:

8. VPRCIP: Victim precipitation

-Code "1" if the victim's role can be characterized as actively instigating the incident (as opposed to simple negligence), e.g., the victim was the first to use physical force, first to show and use a deadly weapon, first to strike a blow in an altercation, or use of indecent or abusive language or gestures.

9. VOR: Victim-offender relationship

-Code the relationship of the victim to the offender, e.g., if the offender is a former employee of the victim code "3 = ex-employer."
 -The victim-offender relationship refers only to the offender whose incident packet is being coded. It does not refer to any of the other offenders who might have been involved in the incident and listed in the fourth column of the answer sheet.

10. INCLOC: Location of incident

-Use codes "0," "7," and "8" for both individual and organizational victims.

-Code "0" if the incident was such that it occurred in several locations or over a period of time and, therefore, cannot be characterized by a specific location (e.g., welfare fraud, embezzlement).

-Use codes "1," "2," and "3" for individual victims only.

-Code "2" if the incident took place in the victim's garage, or other building on victim's property and it was not occupied, or if the incident took place in the immediate surroundings of victim's home. Immediate surroundings includes in front of his/her house, near the carport, in driveway or yard, etc.

-Use codes "4," "5," and "6" for organization victims.

-Code "6" if the offense was committed against a business but not at the normal place of business (e.g., on delivery, enroute to the bank, etc.).

-Code "7" if the offense occurred at some location not listed above and specify on the answer grid.

EXAMPLE

| Incident Answer Grid | | | | | | | | | | | | | | | | | |
|-------------------------------------|--|-------------------------------|--|---------------------|--|--|--|---|--|---------------------------------|--|-------------------------|--|---------------------------------|--|--------------------------|--|
| 1. Date (DOCI) 111876 | | Coder ID ___ Date ___/___/___ | | | | | | | | | | | | | | | |
| 2. W e a p o n * | | 3. T y p e ** | | 4. R o l e | | 5. Formal Charged Offenses Use Master List Codes | | 6. Other Offenders Involved (I.D. Only) | | 7. Victims Involved (I.D. Only) | | 8. Victim Precipitation | | 9. Victim-Offender Relationship | | 10. Location of Incident | |
| 3 | | 05 | | 7 | | 097 1 8 | | 0000 | | 4217 4218 0000 | | 2 | | 5 | | 3 | |
| If code 7 for Weapon, specify | | | | | | If ML=998, specify: | | | | | | Location, specify: | | | | | |
| | | | | | | | | | | | | | | | | | |
| If code 9 for **Type weapon specify | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |

Incident: A single criminal event involving the commission of one or more offenses. An incident is unique as to time and place. Therefore, two robberies by the same offender would constitute two incidents if they occurred at different times or at different locations. They would constitute a single incident if both robberies occurred at the same time and place (e.g., the robbing of a couple). Similarly, the burglary of four apartments in one apartment complex by the same offender on one evening would constitute four separate incidents.

- 2. WEAP: Weapon
 - 0 = no weapon involved
 - 1 = feigned weapon
 - 2 = weapon in offender's possession but not used
 - 3 = weapon used to threaten victim
 - 4 = weapon used in attempt to injure victim
 - 5 = weapon used to injure victim
 - 6 = weapon present, unknown whether used or simply in possession
 - 7 = other (specify on answer grid)
 - 8 = unknown
- 3. TWEAP: Type of weapon
 - 00 = no weapon involved
 - 01 = blunt instrument
 - 02 = knife/sharp instrument
 - 04 = chemical (e.g., lye, acid, gas, etc.)
 - 05 = explosives (including incendiaries)
 - 06 = handgun
 - 07 = long gun (including saved-off shotgun)
 - 08 = gun, type unknown
 - 09 = other (specify on answer grid)
 - 98 = unknown type of weapon

(NOTE: There is no "01" code in this item.)
- 4. GROLE: Offender's role
 - 1 = lead role (e.g., planned or organized the offense)
 - 2 = equal co-perpetrator
 - 3 = peripheral (e.g., "lookout," get-away car driver only, etc.)
 - 4 = not ascertainable, although others involved
 - 7 = not applicable, offender alone
 - 8 = unknown
- 8. VPCIP: Victim precipitation
 - 1 = yes
 - 2 = no
 - 3 = unknown
- 9. VOR: Victim-offender relationship

To the offender, the victim is:

 - 1 = family/relative
 - 2 = employer
 - 3 = ex-employer
 - 4 = other acquaintance
 - 5 = stranger
 - 6 = other
 - 7 = not applicable, no victim
 - 8 = unknown
- 10. INCLOC: Location of incident:
 - 0 = offense not location specific

For personal victims, use the following three codes:

 - 1 = victim's home -- occupied
 - 2 = victim's home -- not occupied or immediate surroundings
 - 3 = victim -- elsewhere

For organizational victims, use the following three codes:

 - 4 = at the place of business -- occupied
 - 5 = at the place of business -- unoccupied
 - 6 = business -- elsewhere
 - 7 = other location (specify on answer grid)
 - 8 = unknown

System Processing Packet

Content: Data pertain to arrest, conviction, detention and sentencing. Included are significant dates, conviction charges, and type of sentence.

Purpose: Descriptive analysis of criminal justice processing experiences of offenders. To address questions of impact of restitution on criminal justice procedures.

Data Source: Police, prosecution, court and/or correctional records. Observation by program staff.

Timing: Usually to be completed concurrent with processing or subsequent to criminal justice system disposition.

Classification: Intake data.

I. Arrest/Conviction

1. DOARR: Date of arrest
DOARR

2. STARR: Legal status of offender at time of arrest for conviction offense
0 = free
1 = released: ROR
2 = released: bail/bond
3 = released: pending further action
4 = probation
5 = parole
6 = community correctional programs
7 = other (specify)
8 = status unknown

STARR
Specify _____

3. DOC: Date of conviction
DOC

4. NOCONV: Total number of conviction charges
1-6 = actual number of charges convicted
7 = 7 or more (specify)
8 = unknown
NOCONV
Specify _____

5. CCHGXX: Conviction charges

| Master List | CTS | A/C | If ML=998, specify |
|-------------|-----|-----|--------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

6. ACHGXX: Acquittal charges

| Master List | CTS | A/C | If ML=998, specify |
|-------------|-----|-----|--------------------|
| | | | |
| | | | |
| | | | |
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7. HOWCON: Basis of conviction

01 = plea of guilty, no trial
02 = plea of nolo, no trial
03 = plea of guilty during trial
04 = plea of nolo during trial
05 = convicted by judge (bench trial)
06 = convicted by jury (jury trial)
07 = other (specify)
96 = convicted by plea, type unknown
97 = trial, type unknown (i.e., bench or jury trial)
98 = basis of conviction unknown

HOWCON
Specify _____

II. Detention Status

8. ACLIB: Offender's primary status -- arrest to conviction
1 = detained
2 = released: ROR
3 = released: bail/bond
4 = released: other (specify)
5 = released: release mechanism unknown
8 = unknown if released or not

ACLIB
Specify _____

System Processing Answer Sheet

Coder ID ___ Date ___/___/___
Offender ID _____
State/Juris/Prog. ID ___/___/___

9. ACDAYS: Total number of days in detention -- arrest to conviction
00 = not detained
01-95 = actual number of days
96 = 96 or more (specify)
97 = detained, number of days unknown
98 = unknown if detained

ACDAYS
Specify _____

10. CSLIB: Offender's primary status -- conviction to sentence

1 = detained
2 = released: ROR
3 = released: bail/bond
4 = released: other (specify)
5 = released: release mechanism unknown
6 = not applicable, sentenced same day as conviction
8 = unknown if released or not

CSLIB
Specify _____

11. CSDAYS: Total number of days in detention -- conviction to sentence

00 = not detained
01-95 = actual number of days
96 = 96 or more
97 = detained, number of days unknown
98 = unknown if detained

CSDAYS

III. Sentence

12. DOS: Date of sentence

DOS

13. **TCOUNS:** Type of counsel at sentencing

- 0 = not represented by counsel
- 1 = public defender
- 2 = assigned counsel
- 3 = private counsel (retained)
- 4 = counsel provided by private organization
- 5 = other
- 7 = represented, lawyer classification unknown
- 8 = unknown if represented

TCOUNS

14. **SJUDGE:** Sentencing judge

SJUDGE

15. **TSENT:** Type of sentence -- most severe sentence for present conviction(s)

- 01 = unconditional discharge
- 02 = restitution suspended
- 03 = fine suspended
- 04 = probation suspended
- 05 = incarceration suspended
- 06 = conditional discharge
- 07 = restitution imposed
- 08 = fine imposed
- 09 = probation imposed
- 10 = community-based correctional program
- 11 = jail
- 12 = split sentence
- 13 = prison
- 14 = other (specify)
- 98 = unknown what type of sentence offender received

TSENT

Specify _____

IV. **Breakdown of Total Sentence**

16. **RESTYP:** Restitution ordered

- 0 = not ordered
- 1 = financial
- 2 = service
- 3 = mixed
- 4 = restitution ordered, type undetermined

RESTYP

17. **FINRES:** Total amount of financial restitution ordered for present conviction(s)

- 00000 = no financial restitution ordered
- 00001-99995 = financial restitution in dollar amounts
- 99996 = \$99,996 or more
- 99997 = not applicable, financial restitution suspended
- 99998 = unknown if financial restitution was ordered or unknown total amount

FINRES

18. **SRVRES:** Type of service restitution ordered for present conviction(s)

- 0 = no service restitution ordered
- 1 = direct restoration to victim of damage caused by offender's behavior
- 2 = service to a public agency or community generally
- 3 = service to charitable organization
- 4 = other (specify)
- 5 = other service to victim in lieu of financial payment
- 7 = not applicable, service restitution never imposed
- 8 = service restitution ordered, type unknown

SRVRES

Specify _____

19. **AMTSRV:** Amount of service restitution ordered for present offense -- hours

- 000 = no service restitution ordered
- 001-994 = actual number of hours ordered
- 995 = 995 hours or more
- 996 = amount not determined at this time
- 997 = not applicable, service restitution suspended
- 998 = unknown amount or unknown if service restitution ordered

AMTSRV

20. **FINE:** Total amount of fine(s) ordered for present conviction(s)

- 00000 = no fine ordered
- 00001-99995 = actual dollar amount of fine
- 99996 = \$99,996 or more
- 99997 = not applicable, fine suspended (specify amount)
- 99998 = unknown if fine was ordered or amount unknown

FINE

Specify _____

21. **PROB:** Total length of probation ordered for present conviction(s) (nearest whole month)

- 00 = probation not ordered
- 01 = one month or less
- 02-95 = length of probation ordered in months (84 months = 7 years)
- 96 = 96 months or more
- 97 = not applicable, probation suspended (specify length)
- 98 = unknown if probation was ordered or length unknown

PROB

Specify _____

System Processing Answer Sheet

Coder ID ____ Date ____/____/____

Offender ID _____

State/Juris/Prog. ID ____/____/____

22. **MININC:** Total length of incarceration ordered for present conviction(s) -- minimum term

- 000 = no incarceration ordered
- 001 = one month or less
- 002-991 = actual number of months
- 992 = 992 months or more (120 months = 10 years)
- 993 = death
- 994 = life (flat sentence -- no possibility of early release)
- 995 = indeterminate sentence (one day minimum)
- 996 = not applicable, incarceration suspended (specify length)
- 997 = unknown, total length of minimum term unknown
- 998 = unknown if a sentence of incarceration was ordered

MININC

Specify _____

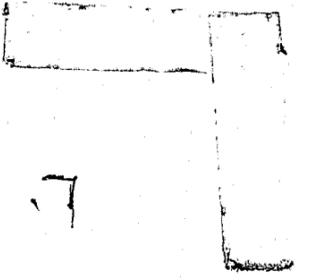
23. **MAXINC:** Total length of incarceration ordered for present conviction(s) -- maximum term

- 000 = no incarceration ordered
- 001 = one month or less
- 002-991 = number of months (120 months = 10 years)
- 992 = 992 months or more
- 993 = death
- 994 = life
- 995 = flat sentence ordered
- 996 = not applicable, incarceration suspended (specify length)
- 997 = unknown, total length of maximum term unknown
- 998 = unknown if a sentence of incarceration was ordered

MAXINC

Specify _____

System Processing
Coding Instructions



I. Arrest/Conviction

1. DOARR: Date of arrest

-See general instructions number 2.

2. STARR: Legal status of offender at time of arrest for conviction offenses

-Code "3" if the arrest was affected while the offender was released under an adjournment in contemplation of dismissal, deferred prosecution, deferred judgment or other such statuses where further court action for an earlier criminal justice contact might be pending.

-Code "6" -- community correctional programs are residential correctional facilities housing small numbers of inmates generally centering around a specific correctional program. Include residential drug treatment programs, halfway houses, etc. Code only if commitment to such a facility was the result of a criminal (or juvenile) adjudication. Do not code here if commitment is voluntary or the result of pre-conviction "diversion."

-Code "7" if the status does not fit any of the pre-coded categories. Please specify on the answer sheet. Include fugitives from justice (escapes from custody or confinement) here.

3. DOC: Date of conviction

-See general instructions number 2.

4. NOCONV: Total number of conviction charges

-Do not include the number of counts per charge in determining the response. For example, if an offender is convicted of robbery, 4 counts, and grand theft auto, 1 count, enter a "2" on the coding sheet indicating 2 conviction charges. If an offender is convicted of robbery, 2 counts, and another charge of robbery, 3 counts, again a "2" would be entered to reflect 2 charges of robbery. If a "7" is placed on the coding sheet indicate the number of charges on the answer sheet.

5. CCHGXX: Conviction charges

-List on the answer sheet the conviction charges by master list number. This item refers to the charges of which the offender presently stands convicted whether by plea or by trial. See general instructions number 4.

6. ACHGXX: Acquittal charges

-List on the answer sheet the charges of which the offender was acquitted by master list number. Acquittal charges will only appear if the offender proceeds to trial. Do not code charges dismissed by the court or charges dropped by the prosecutor or complainant whether at trial or in the plea negotiation or bargaining process. See general instructions number 4.

7. HOWCON: Basis of conviction

(NOTE: Do not consider adjournment in contemplation of dismissal, deferred judgment, deferred prosecution, etc. as convictions.)

-Code "96" for a conviction by plea, but type or timing of plea is unknown.
-Code "97" for a conviction which resulted from trial but the type of trial (bench or jury) is unknown.

II. Detention Status

8. ACLIB: Offender's primary status -- arrest to conviction

-The offender's liberty status may have changed several times during this period due to adjustments in bail amounts, absconding from release and so forth. In this item record the one status which best characterizes the period between arrest and conviction. Thus, if the offender was released on ROR for two weeks but detained for seven weeks between arrest and conviction, "1" should be coded indicating the offender's primary status was "detained."
-Code "04," and specify, if the offender was released via another mechanism such as a special intervention program (e.g., pre-trial parole, etc.).

9. **ACDAYS:** Total number of days in detention -- arrest to conviction

-Code the total of all periods of pre-trial detention for the present offenses, whether or not detention was continuous.

10. **CSLIB:** Offender's primary status -- conviction to sentence

-See coder instructions for the item (ACLIB). If the offender's status changed, code the status which best characterizes this period.
-Code "06" if the delay between conviction and sentencing was less than one day.

11. **CSDAYS:** Total number of days in detention -- conviction to sentence

-See coding instructions for item (ACDAYS).

III. **Sentence**

12. **DOS:** Date of sentence

-See general instructions number 2.

13. **TCOUNS:** Type of counsel at sentencing

-Code "4" if the offender was represented at the time of sentencing by counsel provided by some private organization such as the Legal Aid Society, the American Civil Liberties Union, the NAACP Legal Defense Fund, etc.

14. **SJUDGE:** Sentencing judge

-Indicate from the list provided, which judge presided at the offender's sentencing hearing. Code the number which appears next to the judge's name.

15. **TSENT:** Type of sentence -- most severe sentence for present conviction(s)

-The codes for this item have been listed in order of severity from least severe "01 = unconditional discharge" to most severe "14 = prison." Where a defendant receives more than one sentence the most severe sanction is to be recorded. For example, if an offender is sentenced to probation and a fine is imposed the sentence would be coded "09 = probation imposed."

-Code "10" when the offender is sentenced to a community correctional facility. These are residential correctional facilities housing small numbers of inmates generally centering around a specific correctional program. Include residential drug treatment programs, halfway houses, etc.

-Code "11" when the offender is sentenced to a jail. For this item jail is to be defined as a smaller penal institution controlled, generally, by local authorities. Sentences to such institutions are usually for 1 year or less. In Massachusetts, code sentences to Houses of Correction in code "11."

-Code "12" when the offender is sentenced to a split sentence, i.e., a short jail term and a term of probation.

-Code "13" when the offender is sentenced to a term of incarceration in a prison. Do not include sentences to other forms of incarceration. Prison is defined as a large, congregate penal institution generally run by the State on a centralized basis. Code as "13" all reformatory (forestry camp, etc.) sentences for youthful offenders and others.

-Code "14" when the offender's sentence is not depicted by codes "01" through "13." Indicate the terms of the sentence in the space provided on the answer sheet.

IV. **Breakdown of Total Sentence**

16. **RESTYP:** Restitution ordered

-If mixed restitution ordered but one component suspended, code "3 = mixed."

17. **FINRES:** Total amount of financial restitution ordered for present conviction(s)

California Revocation Processing Packet

Content: Includes information on confinement status, number and type of violations, details of revocation, restitution type and amount and extent of criminal justice system processing.

Purpose: Descriptive analysis of criminal justice system processing and parole revocation processing experiences of offenders. To address questions of impact of restitution on criminal justice procedures.

Data Source: Police, court and correctional records. Observation by program staff.

Timing: Usually to be completed concurrent with revocation processing and subsequent to criminal justice system processing.

Classification: Intake data.

| California Revocation Processing Answer Sheet | | | |
|---|-------|------|-------------|
| Coder ID | ___ | Date | ___/___/___ |
| Offender ID | _____ | | |
| State/Juris/Prog ID | ___ | ___ | ___/___/___ |

I. 1. CDIER _____

II. Confinement Status

2. CDLIB _____
Specify _____

3. CDCDAY _____
Specify _____

III. Violation Report

4. CVIOCH _____

IV. Revocation Hearing

5. CCOUNS _____
Specify _____

6. CBDPNL _____

V. Revocation Disposition

7. CDOREV _____

8. CMAXP _____

9. CLFNGP _____

10. CPDATE _____
 No date fixed
 Date fixed _____

11. CHDATE _____
 No date fixed
 Date fixed _____

VI. Restitution Conditions
 Check here if comparison group offender, skip to Section VII.

12. CRELEX _____

13. CRTYPE _____

14. CFNRES _____

15. CSVRES _____
Specify _____

16. CAMTSV _____

VII. Criminal Justice Involvement

17. CJINV _____ (if "0" or "1" end packet here)
Specify _____

18. CDOARR _____

(if arrested but not formally charged end packet here)

19. CCHECK _____ (if "2" end packet here)

20. CJCONX _____

| Master List | CTS | A/C | If ML=999, Specify |
|-------------|-------|-------|--------------------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

21. CJACQX _____

| Master List | CTS | A/C | If ML=998, Specify |
|-------------|-------|-------|--------------------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

22. CONHOW _____

Specify _____

California Revocation Processing

Coding Instructions



CALIFORNIA REVOCATION PROCESSING

- I. 1. CDIER: Date interim emergency report issued
- See general instructions number 2.

II. Confinement Status

2. CDLIB: Primary status -- arrest to disposition

1 = detained
2 = remained on parole (released)
3 = other (specify on answer sheet)
8 = unknown

- If the parolee was not arrested code the primary detention status from issuance of the IER to disposition.
- Although the parolee's liberty status may have changed during this period, record the status which best characterizes the entire period.
- Code "2" if the primary status was a release status whether on bail, bond, ROR, release to parole agent, etc.

3. CDCDAY: Total number of days confined -- arrest to disposition

00 = not detained
01 = detained 1-5 days
02 = detained 6-10 days
03 = detained 11-15 days
04 = detained 16-20 days
05 = detained 21-25 days
06 = detained 26-30 days
07 = detained 31-35 days
08 = detained 36-40 days
09 = detained 41-45 days
10 = detained 46-50 days
11 = detained more than 50 days (list actual number on answer sheet)
97 = detained, but number of days unknown
98 = unknown if detained or not

- This item relates to the same time period as the previous item (CDLIB). Consider the total of all periods of detention, whether or not such detention was continuous.

III. Violation Report

4. CVIOCH: Number of parole violations charged in the violation report

1-96 = actual number of violations charged
98 = unknown

IV. Revocation Hearing

5. CCOUNS: Type of counsel at revocation hearing

0 = not represented by counsel
1 = represented -- attorney at parolee's expense
2 = represented -- attorney at state expense
3 = represented -- volunteer legal organization (e.g., law school advocacy group, etc.)
4 = other representation (specify on answer sheet)
8 = unknown

6. CBDPNL: Hearing panel members

- Indicate, from the list of adult authority members and representatives, which members and representatives comprised the hearing panel. Code only the number which appears next to the member's name.

V. Revocation Disposition

7. CDOREV: Date of revocation disposition

- See general instructions number 2.
- Code here the date of the revocation hearing at which the decision was made to return the parolee to the institution.

8. CMAXP: Maximum length of re-incarceration possible from time of disposition (nearest whole month)

01 = 1 month or less
02-95 = actual number of months
96 = 96 months or more
98 = unknown

- Code the length to the maximum expiration of sentence assuming the offender is not to be released on parole again. For experimental offenders code the time to maximum expiration had the offender not been released to the program.

9. CLENGP: Length of parole period remaining from time of revocation disposition (nearest whole month)

01 = 1 month or less
02-95 = actual number of months
96 = 96 months or more
98 = unknown

- For comparison offenders code the time the offender would have had left to serve on parole had the present violation not occurred.

10. CPDATE: Was a new parole release date fixed at the revocation hearing

- Check the appropriate response on the answer sheet. If "yes" code the actual date of release specified. See general instructions number 2. If subsequent release is specified but only in general terms (e.g., "to be released on parole in 3 months") code the best approximation to the actual date of re-release.

11. CHDATE: Was a new hearing date specified at the revocation hearing

- Follow instruction format for item 10 (CPDATE) above.

VI. Restitution Conditions (Experimental Offenders Only)

- If the offender was randomly assigned to the comparison group and returned to finish term check the box on the answer sheet and skip to Section VII, Criminal Justice Involvement.

12. CRELEX: Date returned to parole

- Code the date that the offender was returned to parole after the revocation hearing on the basis of his/her being designated "experimental."

13. CRTYPE: Restitution ordered

1 = financial
2 = service
3 = mixed (financial and service)

14. CFNRES: Total amount of financial restitution ordered

00000 = no financial restitution ordered
00001-99995 = financial restitution in dollar amounts (nearest whole dollar)
99996 = \$99,996 or more
99998 = unknown amount or unknown if financial restitution ordered

15. CSVRES: Type of service restitution ordered

0 = no service restitution ordered
1 = direct service to victim
2 = service to a public agency or community generally
3 = service to a charitable organization
4 = other (specify on answer sheet)
8 = unknown if service restitution was ordered

- Code "2" when the offender is ordered to perform a service for a public agency (e.g., parks department) or the community generally.
- Code "3" when the offender is ordered to perform a service for a charitable organization (e.g., church, salvation army, etc.).
- Code "4" when the offender is ordered to perform a service not already classified above. Specify the type of service and for whom the offender is performing the service.

16. CANTSV: Amount of service restitution ordered

000 = no service restitution ordered
001-994 = actual number of hours ordered
995 = 995 hours or more
996 = amount not determined at this time
998 = unknown amount or unknown if service restitution ordered

- If the amount of service restitution is not yet determined as might be the case if the amount is contingent upon the completion of a specific task, code "996" (e.g., the offender is to perform repair work on damaged property until such time as the damage is repaired). Code "000" only if service restitution was not ordered.

VII. Criminal Justice Involvement

17. CJINW: Extent of involvement with local criminal justice authorities prior to assumption of jurisdiction by CDC

- 0 = no contact with local authorities; parolee turned himself in to CDC authorities
 - 1 = arrested by local authorities at request or on a warrant issued by CDC
 - 2 = arrested for a new offense by local authorities but not charged
 - 3 = formally charged but not convicted
 - 4 = convicted, but not sentenced
 - 5 = sentenced (specify terms on answer sheet)
 - 8 = unknown
- } end
packet
here

- "Formal charges" are the criminal offenses alleged in the document upon which the prosecution is based. This document will generally be a bill of indictment, an information or a formal complaint or accusation.

18. CDOARR: Date of arrest

- See general instructions number 2.
- Code here the date of the parolee's arrest.
- If arrested but not formally charged, end packet here.

19. CCHECK: Was the parolee formally charged but not convicted

- 1 = yes
- 2 = no

- If "2" coded on answer sheet, end packet.

20. CJCONX: Conviction charges

- Use Master List offense codes. See general instructions number 4.

21. CJACQX: Acquittal charges

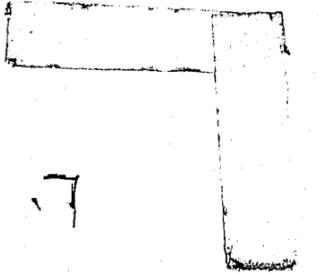
- Use Master List offense codes. See general instructions number 4. Acquittal charges will only appear if the offender proceeded to trial. Do not code charges dismissed by the court or charges dropped by the prosecutor, whether at trial or in the plea negotiation/bargaining process.

22. CONHOW: Basis of conviction

- 01 = plea of guilty, no trial
- 02 = plea of nolo, no trial
- 03 = plea of guilty during trial
- 04 = plea of nolo during trial
- 05 = convicted by judge (bench trial)
- 06 = convicted by jury (jury trial)
- 07 = other (specify on answer sheet)
- 96 = convicted by plea, type unknown
- 97 = trial, type unknown (i.e., bench or jury trial)
- 98 = basis of conviction unknown

(NOTE: Do not consider adjournment in contemplation of dismissal deferred judgment, deferred prosecution, etc. as convictions.)

- Code "96" for a conviction by plea, whether or not the plea was entered before or during trial.
- Code "97" for a conviction which resulted from trial but the type of trial (bench or jury) is unknown.



Rules For Interviewing

RULES FOR INTERVIEWING

A. An Explanation of the Interview

A thorough understanding of the need for the information you are requesting is the key to quality interviewing. It will enable you to follow the correct procedures in varied situations, and also help you to convert reluctant respondents.

Acquainting yourself with major elements of the incident prior to the interview will be extremely helpful in establishing yourself as knowledgeable and professional and in conducting a smooth, well-directed interview.

Your project is conducting a survey of crime victims to help improve the effectiveness of the criminal justice system. The results of this survey will help the operating criminal justice agencies in your state to focus on some of the serious problems of crime victims, by asking a sample of them about their experiences and opinions.

1. How to explain the survey

The information given above usually will be all that you will have to give in order to gain cooperation from the respondent.

There will be, however, a few respondents who want additional information, are reluctant to give information, or who refuse to be interviewed. It is your responsibility, as a project representative, to emphasize the importance of this information to your sponsoring agency, and its sincere interest in improving relations with crime victims. A good explanation at the first interview will obtain cooperation in any subsequent interviews.

Reluctant respondents

If a respondent is reluctant, you must decide how much explanation is needed and what approach is best. Ask if you may explain further before he/she decides. Explain the survey in your own words, and answer any questions the respondents may have about the survey. DO NOT AT THIS STAGE MAKE ANY REFERENCE TO THE RESTITUTION PROGRAM.

If the victim adamantly refuses to cooperate without more specific information, you should explain that the survey will provide information about the types of people who are victims of crime; how they are treated by the criminal justice system; and how they feel about their experiences. Some respondents may suggest that such information could be obtained from the police. Explain that police records do not always contain information about what happened in the courts and other parts of the system, and, with the victim's cooperation, you hope to obtain a more complete picture of the victim's experience and opinions.

Below are some explanations to questions the respondents may have. You should thoroughly understand this information, and be able to explain the various points to respondents in your own language.

a. Why this victim was selected and not others

The victim may wonder why he/she was selected for interview, and not others. Explain that you are contacting only victims of crimes for which offenders/defendants are presently going through the criminal justice system so that information about the incident will be current and accurate. (If necessary, explain further any other selection criteria for interview used by your project. DO NOT MENTION RESTITUTION IN THIS OPENING PART OF THE INTERVIEW.)

b. Legal authority for the survey

In most cases, it will not be necessary for you to state the legal authority under which the survey is conducted. However, if you are questioned, explain that the survey is being conducted for the [Agency] and is authorized by them; it is not mandatory and the respondent's cooperation is voluntary.

c. Confidentiality

Impress upon the respondent that all the information about individuals is strictly confidential. Personal information about the respondent will be used only by persons engaged in and for the purposes of the survey, and may not be disclosed or released to others for any purpose. Only statistical totals of the information from all respondents is published, so that information concerning any individual is not identifiable.

B. Introduction to the Victim

Your introduction to the victim is an extremely important part of your interviewing procedure. An informative, friendly, professionally-done introduction can make reluctant respondents willing to cooperate. Your introduction should identify yourself, your agency/office, and include an explanation of the survey. (See A above.)

C. Your Role as an Interviewer

You play two roles as an interviewer -- that of a person who builds a good friendly relationship with each respondent, but especially that of a technician who applies standard techniques to each interview.

1. How to ask questions

The following are rules to use in asking questions:

a. Ask questions in the prescribed order

Continuity is carefully worked into the question sequence. The question order must be standardized from respondent to respondent for comparable results.

b. Ask every applicable question

Occasionally, a respondent gives answers which can be applied to questions intended to be asked later in the interview. Do not skip the questions which apparently have already been answered.

To make certain that the respondent is fully exposed to each applicable question on the schedule:

Write down the initial answer for the particular question when the respondent gives it, and

Ask the partially-answered question when you get to it, prefacing it with some remark to show you haven't forgotten the earlier answer; e.g., "You already told me your television was taken. Was anything else taken?"

If you have any doubt about questions already answered, verify all information completely. That is, repeat the information already given, just to be sure. For example, you might say, "You said the incident took place inside your own home. Is that correct?"

Occasionally a question or series of questions may seem manifestly inappropriate after reviewing the circumstances of the case. For example, in a personal theft a Master Charge card is stolen and used by the offender for purchases totalling \$300. The personal victim is liable for \$50 and a full interview is conducted. The Master Charge office is contacted to ascertain their liability for the remaining \$250. In such a case it would obviously be inappropriate to ask the Master Charge respondent about injury or damage. Here the interviewer, based on advanced preparation of the case, should skip the inappropriate question and concentrate only on those directly pertinent to the case. In addition, the elimination of inappropriate questions may necessitate minor modifications in introductory remarks. It is anticipated that such alterations will be necessary in relatively few instances.

c. Ask exactly as worded

Except in the situations described in "b" above, it is essential that you ask the same questions in exactly the same way so that they will yield comparable results. Avoid word changes. DO NOT omit any part of any question.

Experience has shown that respondents tend to give the answers they think you expect. Avoid "leading" the respondent by adding or changing words in the questions which might indicate an answer you expect to hear. Even slight changes which may seem to make no difference can prove harmful.

d. If a question is not understood

If the respondent misunderstands or misinterprets a question, use the following procedure:

Repeat the question as it is printed and give the respondent another chance to answer.

If you still do not get an acceptable response (in terms of the wording and meaning of the question), reword the question slightly without changing its meaning. This should be done only as a last resort.

e. Listen to the respondent

Listen to the respondent until he/she finishes his/her answer. Failure to do so can easily result in your recording incorrect or incomplete entries. The two most common types of errors made in this regard are:

Failure to listen to the last half of a sentence because you are busy recording the first half.

Interpreting the respondent before he/she has finished, especially if he/she hesitates. He may hesitate because he/she is reconsidering or trying to remember some fact and you should allow sufficient time for this.

2. How to probe

When the respondent's answer doesn't meet the question's objective, probe in order to clarify and/or expand a respondent's answer.

The probing procedures illustrated below are useful in stimulating discussion. These devices should be introduced casually as a natural expression of interest.

Brief assenting comments, such as -- "Yes, I see," show the respondent that you are giving your attention to the answer, and often stimulate the respondent to talk further.

An expectant pause after the respondent has given only a brief reply is often enough to convey to the respondent the impression that he/she has merely begun answering the question, and it will often bring forth further responses.

Repeating the question is useful when the respondent doesn't understand the question, misinterprets it, seems unable to make up his/her mind, or strays from the subject.

Repeating the respondent's reply is useful in helping to clarify the response and prompting the respondent to enlarge upon his/her statement. Be sure you adhere strictly to the respondent's answer and do not interject your own ideas.

Neutral questions ("probes") in a neutral tone of voice are often used to obtain fuller, clearer responses.

Example 1--"I don't quite understand what you mean."
(Probing for description of what happened, etc.)

Example 2--"Which figure would you say comes closest?"
(Perhaps in probing for medical costs, time lost from work, value of stolen property.)

Such questions indicate your interest and are fruitful techniques when used correctly. You must recognize immediately just how the respondent's answer has failed to meet the question objective and use a neutral probe to obtain the correct information. Your manner of asking neutral questions is important; a sharp demanding tone can damage rapport. It is sometimes a good technique for you to appear slightly bewildered by the respondent's answer, and imply in your probe that it might be you who failed to understand. (For example -- "I'm not sure what you mean by that -- could you tell me a little more?") This technique can encourage the respondent to cooperate with an interviewer conscientiously trying to do a good job.

However, do not overplay this technique. The respondent should not get the feeling that you don't know when a question is properly answered.

a. Example of probing

Consider the example of probing illustrated below.

The example illustrates probing for a neutral type of schedule question:

Question: Altogether, what was the value of the property that was taken?

Answer: Oh, somewhere around \$50.

Probe: I see. Would you say it was more than \$50 or less than \$50? (Notice neutrality of phrase "more than \$50 or less than \$50.")

Answer: Oh, less than \$50.

Probe: Uh-huh. You say less than \$50. Could you be more specific?

(Repeat respondent's answer with probe.)

Answer: Well, let's see. The coat cost about \$25, the scarf \$5, and I paid \$7 for the gloves.

Probe: Then that would be about \$37. Is that correct?

Answer: Yes.

Here the respondent was more concerned with giving an answer than giving a precise figure. The interviewer accepted the respondent's statement of attitude, but focused on the factual part of his answer by probing for a more specific figure. The final answer of \$37 was certainly closer to the actual fact. Interviewers often have the problem of separating the facts wanted from the respondent's attitudes. The basic procedure is:

to know the question objective thoroughly, and

to know how to probe when the answer is inadequate while, at the same time, maintaining good rapport.

b. Respondent replies "I don't know."

Respondents don't always mean what they first say, and fuller discussion often presents a truer picture of the respondent's thoughts.

The "I don't know" answer might mean:

The respondent doesn't understand the question, and answers "I don't know" to avoid saying that he didn't understand.

The respondent is thinking and says, "I don't know" as a tentative sort of reply to give himself time to think.

The respondent may be trying to evade the issue, so he begs off with the "I don't know" response.

The respondent may actually not know.

In order to keep the first three types of "I don't know" answers to a minimum, use the probing techniques we have described to obtain more accurate answers.

c. Using neutral probes

We have stressed the fact that you need to "stimulate" discussion. This does not mean that you should influence the respondent's answer or unnecessarily prolong the interview. Probing should be as neutral as possible so that the respondent's answers are not distorted. When a neutral question is asked of all respondents, we have comparability between all the interviewers in the survey. If each interviewer asked a loading probe, the replies would no longer be responses to the original question but would vary from interviewer to interviewer, depending upon the probe. This thoroughly defeats the objective of standardization, and dilutes the respondent's answer with interviewer ideas.

d. Knowing the specific objective of the questions

When you probe for clear, complete, and relevant answers, know exactly what you are after.

The following example illustrates a faulty knowledge of the question objective by the interviewer:

Question: What type of professional medical attention did you receive? (item C2.)

Answer: I had my shoulder bandaged.

Probe: So you did need medical attention, is that right?

Answer: Yes.

The mere fact that the respondent said something doesn't mean that the question was answered according to the question objective.

The bandaging of the victim's shoulder does not automatically meet the requirements of professional medical attention. You should have probed to find out if this treatment was self-administered or if it was performed by a doctor or at a hospital or a clinic. A further probe to ascertain whether overnight hospitalization was required is also necessary for this item.

3. How to maintain rapport

You should begin building a harmonious relationship with the respondent when the respondent first answers and maintain rapport throughout the interview to ensure full and valid information. Through your sincere understanding and interest in the respondent, you provide a friendly atmosphere in which the respondent can talk truthfully and fully.

During an interview, if rapport is broken because the respondent finds a particular question "too personal," you would be wise to take a little time to reassure the respondent regarding the impersonal, anonymous nature of the survey.

4. Recording open-ended questions

Code as much as possible of what the victim says in narrative form on the interview sheets. Responses must be recorded legibly and must accurately convey the respondent's meaning for them to be useful in analysis.

Use the reverse side of the interview sheet to record comments requiring more space than is provided. Be sure to indicate which item is being continued on the reverse side.

Offender Interview Packet

Content: There are five sections each with a distinct focus:

Section M: Items concerning feelings of blame, hostility, and empathy toward the victim(s).

Section N: Detailed accounting of offender's perception of the victim's loss as a result of the incident.

Section O: Information on offender's satisfaction with the criminal justice system, specifically the way the offender was treated by criminal justice system personnel.

Section P: Offender's feelings of rationality and fairness of the disposition imposed.

Section Q: Items ascertaining the offender's attitude concerning the various types of restitution, the purposes of restitution, situational appropriateness of restitution, restitution's impact on sentencing and the offender's satisfaction with the restitution program in which he/she is participating.

Purpose: Comparative and descriptive analysis of E/C attitudes and opinions at intake. Offender perception of the harm caused by his/her offense(s), to be compared with similar information from victims and program staff. Early reactions to handling by the criminal justice system, and baseline information to be compared with post-test interviews.

Data Source: Offenders (both E's and C's)

Timing: Usually after disposition.
Slight modifications are made in sites where the interview is conducted prior to disposition.

Classification: Intake data. Many of the items in this packet are baseline data for pre/post comparison at intake and outcome. The outcome post assessment is made 6 months after intake.

Offender Interview Schedule

Interviewer Note: (a) The first series of questions is aimed at setting the tone for the interview, to put the offender at ease, and establish your position as someone who is interested in hearing what the offender has to say. The responses to the questions should allow you to begin the process of assessing the attitudes of the offender toward the victim in terms of the three scales -- blame, hostility, and empathy. Although some factual information may be given by the offender at this stage, your primary attention should be upon the attitude assessment task. You may note any factual information but be sure to verify it when the appropriate question arises later in the interview (See Rules for Interviewing, C.I.c.) Although you may wish to make a provisional assessment on the three attitude scales as the offender talks, your final assessment should be made at the end of the interview, after all of the factual information is collected.

(b) Before interviewing offenders be sure you understand the nature of the offense(s) about which you will be talking. Also, be sure you understand the intent of the interview questions. By preparing yourself prior to conducting the interview you will be able to focus the offender's responses on the intended substance of the questions and avoid asking manifestly inappropriate questions. The result will be a shorter, smoother interview.

M1. Did anything in particular lead up to the incident(s)?

Probe "What?" Ask yourself who does the offender seem to be blaming for the incident?

M2. Do you think it/(they) could have been prevented in any way?

Probe "How?"; "Why not?" Again, ask yourself who does the offender seem to be blaming for the incident?

M3. How do you feel about the [person(s)/ business(es)/organization(s)] against [whom(which)] you were convicted of committing the offense(s)?

Probe for precise nature of offender's feelings. Hostility? Empathy? (See Rules for Interviewing "B2" on neutral probes.)

M5. Was there any reason you chose [this/these] particular [person(s)/ business(es)/organization(s)] or was it just by chance?

Offender Interview Schedule

Interviewer ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

Check all that apply and circle one box for the source blamed most by the respondent.

Blame assessment:

Blames no one

Self

Co-offender(s)

Victim(s)

Other people (Specify) _____

Other (Specify) _____

Hostility towards the victim(s)

| | | | | | |
|---------|---|----------|---|---------|-------------------------------------|
| 1 | 2 | 3 | 4 | 5 | Check here if |
| Not | | Somewhat | | Very | <input type="checkbox"/> Rater does |
| Hostile | | Hostile | | Hostile | not know |

Empathy

| | | | | | |
|----------|---|----------|---|----------|-------------------------------------|
| 1 | 2 | 3 | 4 | 5 | Check here if |
| Not | | Somewhat | | Very | <input type="checkbox"/> Rater does |
| Empathic | | Empathic | | Empathic | not know |

Reasons victim chosen:

Offender Interview

Offender ID _____

N. Now I would like to focus on a few of the details of what you have just described. You may feel that you have answered some of the questions already, but I want to be sure I haven't misunderstood anything; so I will ask this set of questions to get as complete a picture as possible of what happened.

Questions in Section N are designed primarily to obtain the offender's viewpoint about the loss assessment. You should be attentive, however, to any expression of feelings by the offender that might be useful to you in rating the blame, hostility, and empathy items.

Record amounts to nearest whole dollar. When the offender is unable to provide an exact amount try to get his/her best estimate of the amount.

Injury

N1. Was(were) the victim(s) injured in any way as a result of what happened?

- No (Skip to N4)
Yes
Unknown (Skip to N4)

N2. Do you think any of the injuries were serious enough to need professional medical attention? What type?

- No
Yes
Emergency room/doctor treatment only
Admitted to hospital for care (overnight)
Unknown

If necessary probe for distinction between professional medical attention, and self-prescribed or self-administered. Make sure the offender's response can be coded in one of the categories provided. E.g., probe, "Do you think the person(s) had to go to a doctor or hospital?" "Do you think he/she/they had to stay overnight at the hospital?"

Work Time Loss

N3. Do you think anyone injured missed any time from work because of the injury?

- No
Yes
Unknown

Do not include time lost as a result of criminal justice processing (e.g., witness time).

Property/Services/Cash Taken

N4. Was anything taken during this incident? This includes theft of services and anything obtained by deception or fraud.

- No (Skip to N13)
Yes
Unknown (Skip to N13)

Even though this information probably will have been obtained already, verify it with the offender at this point. For example, "You said you took a wallet, is that right?"

Offender Interview

Offender ID _____

Cash Taken

N5. Was any cash taken?

- No (Skip to N9)
Yes
Unknown (Skip to N9)

Exclude money or goods obtained by use of a credit card or checks. Checks and credit card losses are included in the "Property/Services Taken" section below.

N6. What was the total amount taken?

\$ _____
Unknown

N7. Was any of the cash returned to the authorities or the victim? To whom?

- No (Skip to N9)
Unknown (Skip to N9)
Yes (check all that apply)
Police
Probation/parole officer
Victim
Other (Specify)

N8. How much of the cash was returned?

\$ _____
Unknown

Property/Services Taken

N9. Was any property taken or services obtained during the incident (not including the cash just mentioned)?

- No (Skip to N13)
Yes
Unknown (Skip to N13)

Include checks, credit cards, bonds, etc., and theft of services.

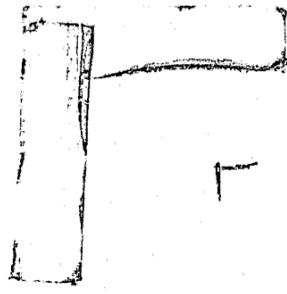
N10. Altogether, what was the value of the property and/or services (not including the cash just mentioned)?

\$ _____
Unknown

Include the value of money, goods, or services obtained by use of credit cards or checks, or by fraud or deception.

N11. Was any of this amount returned to the authorities or the victim? To whom?

- No (Skip to N13)
Unknown (Skip to N13)
Yes (check all that apply)
Police
Probation/parole officer
Victim
Other (Specify)



CONTINUED

1 OF 3

Offender Interview
Offender ID _____

N12. How much?

Exclude any returned cash already mentioned.

If the recovered property was damaged, the amount recorded here should be the value of the property in its damaged state, not its original value. E.g., if a car worth \$1,000 is stolen and is returned with \$200 collision damage, the amount entered here should be \$800. If only a few of the stolen articles were returned, include only the value of the property returned. If stolen services are repaid, the amount paid back should be included here.

Damage

N13. Was anything damaged but not taken during this incident?

Give examples if necessary; e.g., was a lock or window broken, clothing damaged, etc.

N14. What do you think it would cost the victim to have this damage repaired?

N15. Do you know whether the victim had any losses that haven't been mentioned so far? What? What do you think the value was?

Victim Recovery

N16. Do you think the victim(s) was(were) able to get anything back for the loss or damage (other than what was returned by you (and the other persons involved))?

\$ _____
 Unknown

No (Skip to N15)
 Yes
 Unknown (Skip to N15)

\$ _____
 Unknown

Specify _____

No (Skip to Section 0)
 Yes
 Unknown (Skip to Section 0)

Offender Interview
Offender ID _____

N17. How much? All, a large part, or only a small part?

- All
- Large part
- Small part
- Unknown

N18. How do you think it was recovered?

- Insurance
- Tax write-off
- Other (Specify) _____
- Unknown

0. Now I would like to ask you a few questions about the criminal justice system and get your opinions about it.

01. After the incident, what contacts did you have with criminal justice agents? The police? Prosecutors (DA)? Defense lawyers? Court officials? Judges? Prison staff? Probation? Parole officers?

| | 01. | 02. | 03. | 04. |
|--|----------------|----------|---------|---------|
| | Concern | | | |
| | for Most Least | | | |
| | Contact | Offender | Concern | Concern |

- Police
- D.A.
- Defense Attorney
- Judge(s)/Courts
- Probation Off.
- Corrections Staff
- Parole Authorities
- Other (Specify) _____

Check all that apply in the space provided. (01 and 02)

02. Of the people you dealt with, do you feel that they (any) were concerned about you as an offender? (Who? Any others?)

03. Who do you think was most concerned about you as an offender?

If the respondent states more than one agency/person equally, mark each one in the space provided. (03 and 04)

04. Who do you think was least concerned?

Offender Interview
Offender ID _____

05. How satisfied are you with the way you were treated. (No pause) Think, for example, of a straight line; at one end you have a "0" which means totally dissatisfied; and at the other end you have 100 which means totally or 100 percent satisfied. zero equals totally dissatisfied; 100 equals totally satisfied. Where would you place yourself on the line?

Explain the use of the satisfaction line again if necessary. Try to have the respondent state a numbered point on the line. For example, if the respondent says, "about half way," probe -- "Which figure would you say comes closest, 40, 50, 60?"

P1. By and large, do you think your sentence makes any sense? Why?

Rate the offender's belief of the rationality of the disposition based on his/her responses to P1 and P2.

P2. Do you think anything good or bad will come out of this for you? Why?

P3. How fair do you think this sentence is to you? (No pause) Using the line again, only this time 0 (zero) means totally unfair and 100 means totally or 100 percent fair.

P4. How fair do you think this sentence is to the person(s) that you were convicted of committing the crime against? Use the line again.

P5. How fair do you think this sentence is to the community at large that you were convicted of committing the crime against. 0 = totally unfair; 100 = totally fair.

Rationality of disposition:
 1 2 3 4 5 Rater doesn't know
 Very Irrational Rational Very Rational
 Why:
 Good Bad Both Don't know
 Why:

_____ %

_____ %

_____ %

_____ %

Offender Interview
Offender ID _____

Q. Finally, I would like to find out how you feel about offenders making restitution to victims of crimes as part of their sentence.

I'm going to describe to you briefly three types of restitution. For each one I would like you to tell me whether you think it is a good or a poor idea.

For each response check the appropriate box on the grid.

Q1. The first type is financial restitution where offenders pay money that goes back to victims for losses caused by the crime. Do you think this is a good idea or a poor idea?

Q2. The second type is where offenders make restitution by performing service for victims; for example, repairing damage caused during the incident. Is this a good idea or a poor idea?

Q3. The last type is where offenders make restitution by performing service for the community such as cleaning up parks or working at the Boys Club. How about this, is it a good idea or a poor idea?

Q4. Now, of these three types which do you think is the best idea?

Q5. Of the remaining two which is the better idea?

In the RANK column, place a "1" by the type indicated to be the best, a "2" by the type indicated to be next best, and a "3" by the remaining type.

| | Good Idea | Poor Idea | Unc- cided | Rank |
|---------------|-----------|-----------|---------------|------|
| E1. Financial | | | | |
| E2. Service | | | | |
| E3. Community | | | | |

Offender Interview

Offender ID _____

Q6. How widely do you think restitution should be used in the criminal justice system? For all offenses, some offenses, or none at all?

If respondent says all offenses, skip to (Q8). If respondent says some offenses or none at all, ask:

Q7. Why do you think it should not be used for all offenses?

Q8. People have different ideas about the purposes of restitution. What do you think is its most important purpose? Anything else?

If the person does not know what you mean, ask this probe question: Some people see restitution as useful to the community, the offender, and/or the victim. How do you think it will be most useful?

Respondent: "It will be most useful to the victim."

*Interviewer: "How?"

Q9. If an offender is ordered to make restitution, do you think the rest of his/her sentence should be more lenient than if no restitution is ordered, or should it make no difference at all?

Check the appropriate response:

- All offenses (Skip to Q8)
Some offenses
No offenses

Reasons for not using for all offenses:

Most important purpose of restitution:

- Treated more leniently
Makes no difference
Don't know

Offender Interview

Offender ID _____

If this is a comparison offender ask the following question (Q10) and end the interview. If experimental offender skip Q10 and continue the interview.

For Comparison Offenders Only

Q10. What about in your case? (No pause) Do you think restitution would have been a good idea or not a good idea? Why? Why not?

- Single Victim: Good idea, Not a good idea, Don't know
Multiple Victims: Good idea for all victims, Good idea for some victims, Not a good idea, Don't know

Why; Why not:

For Comparison Offenders -- End Interview

For Experimental Offenders Only

Q11. What about in your case? (No pause) Do you think restitution is a good idea or not a good idea? Why?

- Single Victim: Good idea, Not a good idea, Don't know
Multiple Victims: Good idea for all victims, Good idea for some victims, Not a good idea, Don't know

Why; Why not:

Q12. Considering what happened in the incident(s), do you think the restitution ordered was too much, too little, or about right?

- Single Victim: Too much, About right, Too little, No opinion
Multiple Victims: Too much, all victims; About right, all victims; Too little, all victims; Mixed (e.g., too much for some; too little for others); No opinion

Offender Interview
Offender ID _____

Q13. How satisfied are you with the service provided by [Project Name]. Use the satisfaction line again. Zero equals totally dissatisfied; 100 equals totally satisfied.

_____ %

Q14. Do you have any suggestions about ways that the service might be improved?

Ways to improve:

END INTERVIEW.

Personal Victim Interview Packet

NOTE: The interview schedules contained in this report have been xerographically reduced for purposes of this report. Interview schedules used in the field are printed in standard size type face.

Content: There are six sections each with a distinct focus and two protocols:

Interview Protocols: First format, designated LF, is used when the interview is preceded by a letter informing the victim of the forthcoming interview. The second protocol format is used as an introduction when no letter precedes the interview contact.

Section A: Assessment of victim's feelings of blame, hostility, and empathy toward the offender(s).

Section B: Questions concerning the victim's satisfaction with and perceptions of fairness of the offender's disposition.

Section C: Detailed accounting of the victim's perception of his/her loss.

Section D: Victim's satisfaction with treatment by criminal justice system.

Section E: Victim's assessment of relative value of various types of restitution, purposes and situational appropriateness of restitution, restitution's impact on sentencing and crime reporting behavior and satisfaction with the service provided.

Section F: Demographic, education, employment and occupation, income and home/family situation.

Purpose: Comparative descriptive analysis of E/C attitudes and opinions at intake. Basic factual information about victim to be compared with offender characteristics. Victim loss estimate to be compared with similar information from offenders and program staff. Early reactions to treatment by the criminal justice system and baseline information to be compared with post-test interviews.

Data Source: Section A-D and F all victims (both E's and C's); Section E only E victims.

Timing: Generally conducted after the offender's disposition is known to the victim. Slight modifications are made in sites where the interview is conducted prior to disposition of the offender.

Classification: Intake data. Many of the items in this packet are baseline data for pre/post comparison at intake and outcome. The outcome post-assessment is made 6 months after intake.

Organization Victim Interview Packet

An interview similar to the Personal Victim Interview is conducted with senior representatives of business or organizational victims.

Letter Format

Personal Victim Interview Schedule

Interviewer Note: (a) For crimes affecting the household generally (e.g., burglary, larceny from a home, vandalism to a home or family car, theft of or from a family car) contact an adult household resident. For crimes against victims less than age 16, contact the parent or responsible adult. For all other crimes contact the actual victim.

(b) The first series of questions is aimed at setting the tone for the interview, to put the victim at ease and to establish your position as someone who is interested in hearing what the victim has to say. The responses to these questions should allow you to begin the process of assessing the attitudes of the victim in terms of the three scales -- blame, hostility, and empathy. Although some factual information may be given by the victim at this stage, your primary attention should be upon the attitude assessment task. You may note any factual information but be sure to verify it when the appropriate question arises later in the interview. (See Rules for Interviewing, C.I.C.). Although you may wish to make a provisional assessment on the three attitude scales as the victim talks, your final assessment should be made at the end of the interview, after all the factual information is collected.

(c) If you are unable to obtain the information in Section F (factual data) from an interview, code as much of Section F as possible from other sources. If this is the case, detach Section F and forward it as a complete packet. Be sure to fill out the identification block at the top of this section.

(d) Before interviewing victims be sure you understand the nature of the offense(s) about which you will be talking. Also, be sure you understand the intent of the interview questions. By preparing yourself prior to conducting the interview you will be able to focus the victim's responses to the intended substance of the questions and avoid asking manifestly inappropriate questions. The result will be a shorter, smoother interview.

INTRODUCTORY STATEMENT

Good morning/afternoon, my name is _____ and I am calling to follow up on the letter from the Criminal Justice Research Center sent to you a few days ago.

Did you receive the letter?

If victim says "no," explain briefly the content of the letter, and say that you are calling on behalf of the National Evaluation effort. If the victim requests more information, explain that the [Agency] has been funded to pay more attention to victims and that the Criminal Justice Research Center has been asked to find out how victims feel about the criminal justice system and the offender. Do not mention restitution to the respondent.

May I take a few minutes to get your opinions about your experiences in being a crime victim? The particular incident that I'd like to know about was the [specify the offense(s)] that happened in [month, year].

If victim says "no," explain the importance of his/her cooperation and that you will not take up much time. (See Rules for Interviewing for reluctant respondents, Section A.1.) If victim is still adamant, ask if it would be more convenient to call later. If the victim absolutely refuses to be interviewed or if it is necessary to call back, enter the appropriate information about this contact on the Interview Management Sheet.

LF

Alternate Format

Personal Victim Interview Schedule

Interviewer Note: (a) For crimes affecting the household generally (e.g., burglary, larceny from a home, vandalism to a home or family car, theft of or from a family car) contact an adult household resident. For crimes against victims less than age 16, contact the parent or responsible adult. For all other crimes contact the actual victim.

(b) The first series of questions is aimed at setting the tone for the interview, to put the victim at ease and to establish your position as someone who is interested in hearing what the victim has to say. The responses to these questions should allow you to begin the process of assessing the attitudes of the victim in terms of the three scales -- blame, hostility, and empathy. Although some factual information may be given by the victim at this stage, your primary attention should be upon the attitude assessment task. You may note any factual information but be sure to verify it when the appropriate question arises later in the interview. (See Rules for Interviewing, C.I.C.). Although you may wish to make a provisional assessment on the three attitude scales as the victim talks, your final assessment should be made at the end of the interview, after all the factual information is collected.

(c) If you are unable to obtain the information in Section F (factual data) from an interview, code as much of Section F as possible from other sources. If this is the case, detach Section F and forward it as a complete packet. Be sure to fill out the identification block at the top of this section.

(d) Before interviewing victims be sure you understand the nature of the offense(s) about which you will be talking. Also, be sure you understand the intent of the interview questions. By preparing yourself prior to conducting the interview you will be able to focus the victim's responses to the intended substance of the questions and avoid asking manifestly inappropriate questions. The result will be a shorter, smoother interview.

INTRODUCTORY STATEMENT

Good morning/afternoon, my name is _____ and I represent the [Agency Name]. We are conducting a survey of crime victims to help improve the effectiveness of the criminal justice system. The results of this survey will help the operating criminal justice system in [Jurisdiction] to focus on some of the serious problems of crime victims. Your name will not be recorded and there will not be any way that information you provide me can be connected to you.

May I take a few minutes to get your opinions about being a crime victim? The particular incident that I'd like to know about was the [specify the offense(s)] that happened in [month, year].

If victim says "no," emphasize the importance of his/her cooperation and say that you will not take up much time. (See "Rules for Interviewing" for reluctant respondents, Section A.1.) If victim is still adamant, ask if it would be more convenient to call later. If the victim absolutely refuses to be interviewed or if it is necessary to call back enter the appropriate information about this contact on the Interview Management Sheet.

**Personal Victim
Interview Schedule**

Interviewer ID _____ Date ____/____/____
 Victim ID _____
 State/Juris./Prog. ID ____/____/____

A1. Did anything in particular lead up to the incident?

Probe "What?" Ask yourself who does the victim seem to be blaming for the incident?

A2. Do you think it could have been prevented in any way?

Probe "How?"; "Why not?" Again, ask yourself who does the victim seem to be blaming for the incident?

A3. How do you feel about the person(s) who did this?

Probe for precise nature of offender's feelings. Hostility? Empathy?

Check all that apply and circle one box for the source blamed most by the respondent.

Blame assessment:

- Blames no one
 Self
 Offender(s)
 Other people (Specify) _____

Other (Specify) _____

Hostility towards the offender(s):

| | | | | | |
|---------|----------|---|---------|----------|-------------------------------------|
| 1 | 2 | 3 | 4 | 5 | Check here if |
| Not | Somewhat | | Very | | <input type="checkbox"/> Rater does |
| Hostile | Hostile | | Hostile | not know | |

Empathy towards the offender(s):

| | | | | | |
|----------|----------|---|----------|----------|-------------------------------------|
| 1 | 2 | 3 | 4 | 5 | Check here if |
| Not | Somewhat | | Very | | <input type="checkbox"/> Rater does |
| Empathic | Empathic | | Empathic | not know | |

Personal Victim Interview
 Victim ID _____

B. Some people feel that when a crime occurs, society should make things fair again for the victim.

B1. Thinking about what happened to you, what would you have done to make things fair again, if you were the judge? Anything else?

To make things fair again:

Emphasize that what is wanted is the respondent's opinion regarding what he/she feels is appropriate. Probe for clarity if necessary. For example, if the respondent says jail, prison, probation, ask, "How long?" DO NOT SUGGEST THE POSSIBILITY OF RESTITUTION OR REPAYMENT FOR LOSSES TO THE VICTIM IN ANY WAY.

B2. If the things you just mentioned were done, how satisfied would you be that things were fair again. Think, for example, of a straight line, at one end you have a 0 (zero) which means totally dissatisfied, and at the other end you have a 100 which means totally or 100 percent satisfied. Zero equals totally dissatisfied; 100 equals totally satisfied. Where would you place yourself on the line?

Explain the use of the satisfaction line again if necessary. Try to have the respondent state a numbered point on the line. For example, if the respondent says, "about half way," probe -- "Which figure would you say comes closest, 40, 50, 60?"

If the respondent's answer is less than 100 percent, use the following question:

B3. Is there any other way you can think of at all to make up the remaining _____ percent to make you completely satisfied that things were fair again?

To make 100 percent satisfied:

In the blank, insert the amount remaining when the victim's response is subtracted from 100 percent; e.g., if the victim says he will be 60 percent satisfied, your response should be, "Is there any other way you can think of to make up this last 40 percent?"

Personal Victim Interview

Victim ID _____

B4. Were you aware that the offender(s) in your case received a sentence (sentences) of _____?

- Yes
No
Aware of some but not all of the sentences (use for multiple offender cases only)

B5. Thinking about the actual sentence(s) for a moment, how satisfied are you with the way the offender(s) has(have) been treated? (No pause) Think of the satisfaction line again. Zero equals totally dissatisfied, 100 equals totally satisfied. Where would you say you are on the line?

_____ % (If 100 percent, skip to B7.)

In cases with multiple offenders, the victim may be satisfied with the treatment of some and not others. In this case, satisfaction should be assessed in general, i.e., considering the sentences of all offenders together.

B6. Do you feel this sentence (these sentences) is(are) too harsh, about right, or too lenient considering the offense?

- Single Offender: Too harsh, About right, Too lenient, No opinion
Multiple Offenders: Too harsh, all offenders, About right, all offenders, Too lenient, all offenders, Mixed (e.g., too harsh on some; too lenient on others), No opinion

B7. If you think about fairness again, do you think that the way the offender(s) was(were) treated is fair to you as the victim? Think of the line again, only this time 0 (zero) means totally unfair and 100 means totally or 100% fair.

This item is included to distinguish fairness to the victim from general satisfaction.

Personal Victim Interview

Victim ID _____

C. Now I would like to focus on a few of the details of what you have just described. You may feel that you have answered some of the questions already, but I want to be sure I haven't misunderstood anything.

Questions in Section C are designed primarily to obtain the victim's estimate of loss. You should be attentive, however, to any expression of feelings by the victim that might be useful to you in rating the blame, hostility, and empathy items.

Record amounts to nearest whole dollar. When the victim is unable to provide an exact amount try to get his/her best estimate of the loss.

Injury

C1. Were you physically injured in any way as a result of the incident? How? Anything else?

- No (Skip to C5)
Yes (Code all that apply): Gunshot/knife wound, Broken bones or teeth knocked out, Internal injuries, knocked unconscious, Bruises, black eye, cuts, scratches, swelling, burns, Other, specify, Unknown

C2. What type of professional medical attention did you receive?

- None (Skip to C5)
Yes (Check one): Emergency room/doctor treatment only, Admitted to hospital for care (overnight), Unknown

If necessary probe for distinction between professional medical attention, and self-prescribed and/or self-administered. Make sure the victim's response can be coded. E.g., probe -- "Did you have to go to a doctor or hospital? Did you have to stay overnight at the hospital?"

C3. What was the total amount of your medical expenses resulting from this incident, INCLUDING anything paid by insurance? Include hospital and doctor bills, medicine, therapy, and any other medical expenses related to the injury.

- None (Skip to C5)
\$
Unknown (Skip to C5)

Personal Victim Interview
Victim ID _____

D. Now I would like to ask you a few questions about the criminal justice system and get your opinions about it.

D1. After the incident, did you have any contact with any criminal justice agents? The police? Prosecutors (DA)? Defense lawyers? Court officials? Judges? Prison staff? Probation? Parole officers? Which ones?

Check all that apply in the space provided. (D1 and D2)

If "none," skip to item D5. If only one contact, ask D2 and skip to D5.

| | | | | |
|-----------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| | D1. | D2. | D3. | D4. |
| | Contact | Concern | Most | Least |
| | Victim | for | Concern | Concern |
| None (Skip to D5) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Police | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| D.A. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Defense Attorney | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Judge(s)/Courts | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Probation Off. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Corrections Staff | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Parole Authorities | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other (Specify) _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

D2. Of the people you dealt with, do you feel that they (any) were concerned about taking care of you as a victim? (Who? Any others?)

D3. Who do you think was most concerned about you as the victim?

If the respondent states more than one agency/person equally, mark each one in the space provided. (D3 & D4) Code responses even if the victim has had no contact with that agent.

D4. Who do you think was least concerned?

D5. How satisfied are you with the way you were treated. (No puns) Think of the satisfaction line again. Zero means totally dissatisfied; 100 means totally satisfied. Where would you place yourself on the line?

Personal Victim Interview
Victim ID _____

Is this a comparison victim?

If "yes," skip to Section F and collect the factual information for this victim. Be sure to read the introductory statement to Section F following E13. If "no," continue to ask the restitution-related questions in Section E.

E. EXPERIMENTALS (Continue)

Thank you. Now, I would like to discuss restitution to victims of crimes and the program which (County, State) has begun. I would like to find out how you feel about restitution and the program.

I'm going to describe to you briefly three types of restitution. For each one I would like you to tell me whether you think it is a good or a poor idea.

For each response check the appropriate box on the grid.

- E1. The first type is financial restitution where offenders pay money that goes back to victims for losses caused by the crime. Do you think this is a good idea or a poor idea?
- E2. The second type is where offenders make restitution by performing service for victims; for example, repairing damage caused during the incident. Is this a good idea or a poor idea?
- E3. The last type is where offenders make restitution by performing service for the community such as cleaning up parks or working at the Boys Club. How about this, is it a good idea or a poor idea?
- E4. Now, of these three types which do you think is the best idea?
- E5. Of the remaining two which is the better idea?

| | Good Idea | Poor Idea | Undecided | Rank |
|---------------|-----------|-----------|-----------|------|
| E1. Financial | | | | |
| E2. Service | | | | |
| E3. Community | | | | |

In the RANK column, place a "1" by the type indicated to be the best, a "2" by the type indicated to be next best, and a "3" by the remaining type.

Personal Victim Interview

Victim ID _____

C4. How much of this was paid by medical insurance or any health benefits programs?

- None
\$
Unknown

Work Time Loss

C5. Not counting the time spent helping the police, the prosecutor, or the court, did you or your family lose any time from work because of this incident?

- No (Skip to C9)
Yes
Unknown (Skip to C9)

Include time lost due to injury or accompanying victim to doctor, etc.

C6. How much work time was lost altogether?

- Actual days
Still losing workdays
Unknown

Record the actual number of days. Obtain an estimate if necessary. Do not include time lost as a result of criminal justice processing (e.g., witness time). If the victim and/or his/her family are still losing workdays as a result of the victimization, check the box provided and record the actual days lost to date.

If one day or part of a day, code "1."

C7. How much pay was this time worth? Count the total amount including anything recovered from sick pay, disability, or other insurance

- None
\$
Unknown

Do not include any projected future pay lost. If the victim or a member of the family who lost work time is paid on commission estimate the financial losses based on income for the month preceding the criminal incident.

C8. How much did you recover in sick pay, disability or other insurance for the lost time?

- None
\$
Unknown

Personal Victim Interview

Victim ID _____

Property/Cash Taken

C9. Was anything taken during the incident?

- No (Skip to C19)
Yes
Unknown (Skip to C19)

Even though this information may have been obtained already, verify with the victim at this point. E.g., you said that your wallet was stolen, is that right?

Cash Taken

C10. Was any cash taken?

- No (Skip to C14)
Yes
Unknown (Skip to C14)

Exclude money or goods obtained by use of a credit card or checks. Checks and credit card losses are included in the "Property Taken" section below.

C11. What was the total amount taken?

- \$
Unknown

C12. Was any of the cash recovered by the police or any other means, not counting anything received from insurance? How much?

- No
\$
Unknown

C13. Was any of the money recovered through insurance? How much?

- No
\$
Unknown

Property Taken

C14. Was any property taken during the incident (not counting the cash just mentioned)?

- No (Skip to C19)
Yes
Unknown (Skip to C19)

Include checks and credit cards, bonds, etc.

C15. Altogether, what was the value of the property (not including the cash just mentioned)?

- None
\$
Unknown

For checks, credit cards, or negotiable instruments, include only the amount of loss for which the victim was liable.

C16. Was any of the property recovered by the police or through any other means, not counting anything received from insurance?

- No (Skip to C18)
Yes
Unknown (Skip to C18)

Personal Victim Interview

Victim ID _____

C17. How much was the recovered property worth in the condition in which it was returned?

\$ _____
 Unknown

Exclude cash recovered.

If the recovered property was damaged, the amount recorded here should be the value of the property in its damaged state, not its original value. E.g., if a car worth \$1,000 is stolen and is returned with \$200 collision damage, the amount entered here should be \$800. If only a few of the stolen articles were returned include only the value of the property returned.

C18. How much of this property loss was recovered through insurance?

None
\$ _____
 Unknown

Damage

C19. Was anything belonging to you or your family damaged but not taken in this incident?

No (Skip to C22)
 Yes
 Unknown (Skip to C22)

Give examples if necessary; e.g., was a lock or window broken, clothing damaged, etc.

C20. What was the total cost of the damage including anything paid by insurance?

\$ _____

C21. Was any of the cost of the damage recovered through insurance? How much?

None
\$ _____
 Unknown

Other Losses

C22. Were there any other losses you have not mentioned?

No (Skip to Section D)
 Yes (Specify) _____

Have the respondent specify the nature of the loss.

Unknown (Skip to Section D)

Personal Victim Interview

Victim ID _____

C23. What was the total amount of this loss, including anything recovered by the police or insurance?

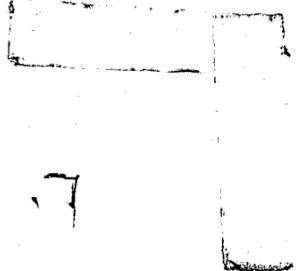
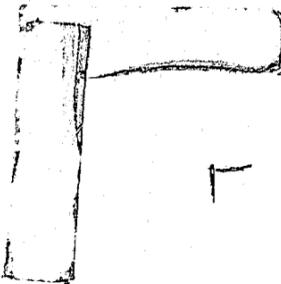
\$ _____
Unknown

C24. How much of this loss was recovered by police or through any other means, not counting anything received from insurance?

None
\$ _____
Unknown

C25. How much of this loss was recovered through insurance?

None
\$ _____
 Unknown



Personal Victim Factual Data

Interview ID ____ Date ____/____/____

Victim ID _____

State/Juris/Prog. ID ____/____/____

Personal Victim Factual Data

Victim ID _____

F1. Are you married?

Probe for accurate response, e.g., ask "Have you ever been married and widowed or separated?" E.g., if "yes," ask "Are you separated?"

- Married (includes common law)
- Single, never married
- Divorced
- Separated
- Widow(er)
- Other
- Unknown

F2. How old are you?

Codes 82-87: These codes should only be used when there is no victim interview and information from records is not specific. E.g., the P.S.I. or police version states that the victim is in his late twenties: Code "84": 21-30.

- Age ____
- 01-81 = Actual age in years
 - 82 = 82 or older
 - 83 = 16-20 years
 - 84 = 21-30 years
 - 85 = 31-50 years
 - 86 = 51-65 years
 - 87 = 66-81 years
 - 98 = unknown

F3. What about schooling; what is the highest grade you have completed?

If respondent hesitates, probe "Did you finish high school?" If not, "What grade?" Code the highest grade completed. If the victim (or in the case of no interview, record) indicates only that he/she completed grammar (grade) school, middle (junior high) school, or high school, code "06," "09," or "12," respectively. Code "16" if the victim is a college graduate or "17" if he/she has completed some graduate work. Do not include technical or trade schools. If the victim received a G.E.D., code "12."

- Education ____
- 00-17 = Actual grade completed
- 97 = Other (Specify) _____
 - 98 = Unknown

F4. What is your main occupation?

Occupation refers to the principle business or vocation of the offender regardless of whether he is presently working at this occupation or not. Thus, a carpenter who is presently working as a gas station attendant because of poor employment conditions in his own occupation should be recorded as a carpenter.

Main occupation: _____

F5. What is the total yearly gross income of you and your household? Include all sources of income available to you and your household, including alimony, child support, or any public assistance such as social security, welfare, veterans' benefits, and so on.

Total yearly gross income: \$ _____

Household includes any person living with the respondent.

If the victim or his/her household member(s) worked less than 1 full year estimate the income for one year.

Code the gross income, that is household income before deductions.

F6. How many family or household members are dependent upon that income? (Pause for response) Does that include yourself?

Number of dependents: _____
(Include the victim in this tally)

Family includes any relation by blood or marriage, including ex-spouses. The key element in determining dependency is continuing financial support from the household income. This includes voluntary or non-voluntary support (e.g., alimony, child support). Include the victim in this tally.

F7. Are you working at present? Full time, steady part time, occasionally?

- Not working
- Working, full-time employment
- Working, steady part-time
- Working, occasionally

Thank you very much for your patience and cooperation. We will be contacting you again in about six months to see how you feel then about some of the things we just talked about. THANK YOU.

GO TO NEXT PAGE

Personal Victim Interview

Victim ID _____

E6. How widely do you think restitution should be used in the criminal justice system? For all offenses, some offenses, or none at all?

If respondent says all offenses, skip to (E8). If respondent says some offenses or none at all, ask:

E7. Why do you think it should not be used for all offenses?

E8. People have different ideas about the purposes of restitution. What do you think is its most important purpose? Anything else?

If the person does not know what you mean, ask this probe question:

Some people see restitution as useful to the community, the offender, and/or the victim. How do you think it will be most useful?

Respondent: "It will be most useful to the victim."

*Interviewer: "How?"

E9. What do you think is more important in your case, sending the offender to prison or jail, or having the offender make restitution?

E10. If an offender is ordered to make restitution, do you think the rest of his/her sentence should be more lenient than if no restitution is ordered, or should it make no difference?

Check the appropriate response:

- All offenses (Skip to E8)
Some offenses
No offenses

Reasons for not using for all offenses:

Most important purpose of restitution:

- Sending offender to prison/jail
Offender making restitution
Other (Specify)

- Treated more leniently
Makes no difference
Don't know

Personal Victim Interview

Victim ID _____

E11. Do you think if restitution programs are used more, you would be more or less likely to report crimes, or would it make no difference at all?

- More likely to report
Less likely to report
No difference
Don't know

E12. How satisfied are you with the service provided by [Project Name]. Use the satisfaction line again. Zero equals totally dissatisfied; 100 equals totally satisfied.

E13. Do you have any suggestions about ways that the service might be improved?

Ways to improve:

E14. How do you feel about the restitution ordered in your case? Do you think it is too much, about right, or too little?

- Too much
About right
Too little
No opinion

Well, it is certainly good to get your opinions on all this. Could I just ask you a few last questions about yourself? Remember, everything I ask will be absolutely confidential; we only want to find out what crime victims are like in general.

Personal Victim Factual Data

Victim ID _____

The following items should be coded from the most reliable sources available to you.

| | |
|--|---|
| <i>FI. Sex of victim</i> | <input type="checkbox"/> Male |
| | <input type="checkbox"/> Female |
| | <input type="checkbox"/> Unknown |
| <i>FII. Race/ethnic background of victim</i> | <input type="checkbox"/> White |
| | <input type="checkbox"/> Black |
| Spanish-speaking includes Mexican-American, Spanish American, Cuban, Puerto Rican, South American, Latin American. Code Spanish-speaking blacks under "Spanish- speaking." | <input type="checkbox"/> American Indian |
| | <input type="checkbox"/> Spanish-speaking |
| | <input type="checkbox"/> Asian |
| | <input type="checkbox"/> Other |
| | <input type="checkbox"/> Unknown |
| <i>FIII. Residence of victim</i> | A. County _____ |
| | AND: B. Street Address _____ |
| | _____ |
| | OR: C. Census Tract _____ |

Program Loss Assessment Packet (i.e., the victim's loss as assessed by program staff)

Content: Contains information concerning type of loss, i.e., money and property stolen, property damage, medical costs, and work time lost. Also data on gross and net amounts lost and amounts recovered through police or insurance.

Purpose: To represent the program staff's estimate of losses for each victim in the criminal incident, based upon information collected from victims, offenders, third parties, and records. Net amounts indicate what would be needed for full restitution, all other things being equal.

Date Source: Victims, offenders, police, insurance companies, other third parties, official records and receipts and other forms of loss documentation.

Timing: Usually completed in the course of plan development, after offender and victim interviews.

Classification: Intake data.

Program Loss Assessment

Coder ID ___ Date ___/___/___

Victim ID _____

State/Juris/Prog. ID ___/___/___

1. VICLOS: Indicate whether this loss assessment is being computed for a personal or an organizational victim.

- Personal Victim
 Organization Victim

2. LOSS MATRIX

| | Column I | Column II | Column III | Column IV |
|----------------------|-------------------|---------------------------------------|------------------------------------|----------------------|
| Type of Loss | Gross Amount Lost | Recovery-Police/Other (Not Insurance) | Recovery-Insurance/Workman's Comp. | Amount Not Recovered |
| Money Stolen | ----- | ----- | ----- | ----- |
| Property Stolen | ----- | ----- | ----- | ----- |
| Property Damaged | ----- | ----- | ----- | ----- |
| Medical Expenses | ----- | ----- | ----- | ----- |
| \$\$ Value-Work Lost | ----- | ----- | ----- | ----- |
| Other ^{1*} | ----- | ----- | ----- | ----- |
| Other ^{2**} | ----- | ----- | ----- | ----- |
| Total | ----- | ----- | ----- | ----- |

*Specify _____

**Specify _____

Code amounts:

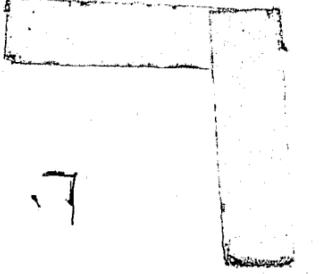
- 00000-99995 = actual amount
 99996 = \$99,996 or more
 99998 = unknown

3. ESTOL: In the case of property stolen, which factors were considered by program staff in determining the loss amount? Check all that apply.

- Not applicable, no property stolen
 Original cost
 Actual replacement cost
 Victim estimate of loss
 Offender estimate of loss
 Insurance company statement
 Police estimate
 Other (Specify _____)
 Unknown

4. DAMEST: In the case of property damaged, which factors were considered by program staff in determining the loss amount? Check all that apply.

- Not applicable, no property damaged
 Original cost
 Actual replacement cost
 Actual repair cost
 Victim estimate of loss
 Offender estimate of loss
 Insurance company statement
 Police estimate
 Other (Specify _____)
 Unknown



Program Loss Assessment

Coding Instructions

PROGRAM LOSS ASSESSMENT

Complete a separate program loss assessment for each victim:

1. VICLOS: Indicate whether this loss assessment is being computed for a personal or organizational victim.
2. LOSS MATRIX

Column Instructions:

- In Column I code the gross amount of each type of loss. This assessment should reflect the full amount of the loss resulting from the crime; i.e., record here what the loss to the victim would be if nothing were paid by insurance and if nothing were recovered.
- In Column II code the amount of each type of loss recovered by the police or by other means excluding insurance recoveries.
- In Column III code the amount of each type of loss if paid by various types of insurance, e.g., disability insurance, health insurance, etc.
- In Column IV code the amount of each type of loss that was not recovered; i.e., the net loss or the victim's out-of-pocket expenses. This figure should be obtainable by subtracting Columns II and III from Column I (e.g., Column I minus Column II minus Column III = Column IV).
- Totals for each of the four columns should be recorded on the bottom line.

Row Instructions:

Personal Victim

Money Stolen: Code the nearest whole dollar amounts of cash lost. Include only actual currency; checks, credit cards, bonds, etc. should be included in property stolen.

Organizational Victim

Money Stolen:
Same

Personal Victim

Property Stolen: If property is stolen, code the dollar value of the property in Column I. If the stolen property is damaged and recovered, code the dollar value of the property before damage in Column I. In Column II code the dollar value of the property in the condition it was recovered and in Column III code the amount paid by insurance. For example, a car valued at \$5,000 is stolen and \$3,000 worth of damage is found to have been done to it upon recovery. The insurance company pays the owner \$1,600. Code \$5,000 in Column I for the value of property stolen, \$2,000 in Column II for the value of property recovered by police, \$1,600 in Column III for the amount paid by insurance, and \$1,400 in Column IV for value of property stolen, not recovered.

If checks or credit cards were stolen, code only the amount for which the victim is liable; e.g., if a stolen credit card is used to charge \$200, but the victim is only liable for the first \$50, code "00050" in Column I.

Property Damaged: Refers to the costs of property which was damaged only. Do not include property which was stolen and damaged. Such losses should be recorded as property stolen. Record the cost of the damage.

Medical Expenses: Refers to those medical costs which resulted directly from the criminal incident. Record these costs in dollar amounts.

Organizational Victim

Property Stolen: If property belonging to the organization is stolen, code the dollar value of the property in Column I. If the stolen property is damaged and recovered code the dollar value of the property before damage in Column I. In Column II code the dollar value of the property in the condition it was recovered and in Column III code the amount paid by insurance. For example, a car valued at \$5,000 is stolen and \$3,000 worth of damage is found to have been done to it upon recovery. The insurance company pays the owner \$1,600. Code \$5,000 in Column I for the value of property stolen, \$2,000 in Column II for the value of property recovered by police, \$1,600 in Column III for the amount paid by insurance, and \$1,400 in Column IV for value of property stolen, not recovered.

If checks or credit cards were stolen, code only the amount for which the victim is liable; e.g., if a stolen credit card is used to charge \$200, but the victim is only liable for the first \$50, code "00050" in Column I. Include here losses due to theft of services and fraud.

Property Damaged:

Same

Medical Expenses: For injuries suffered by employees or others as a direct result of the criminal incident. This refers to any medical expenses paid by this establishment or its insurance and not by the individual victim nor by any of the various types of personal insurance (e.g., health insurance).

Personal Victim

\$\$ Value-Work Lost: This is a dollar amount based on the number of work hours actually lost (not including projected future time that might be lost as a result of the criminal incident). Include family worktime lost but do not include worktime lost as a result of criminal justice processing (e.g., victim testifies at the preliminary hearing). If paid on commission estimate financial losses based on income for the month preceding the criminal incident.

If other types of loss are incurred specify their type in spaces provided on the answer sheet below the matrix.

If any of the loss types are not applicable to this victim, place zeroes in the first column and draw an arrow through the remaining boxes (see following example).

Organizational Victim

\$\$ Value-Work Lost: This is a dollar amount based on the number of work hours lost as a result of the criminal incident by persons paid by the organization. Do not include worktime lost as a result of criminal justice processing (e.g., employee testifies at the preliminary hearing). If paid on commission estimate financial losses based on income for the month preceding the criminal incident.

If other types of loss are incurred, specify the type of loss in spaces provided on the answer sheet below the matrix. For example, if the criminal incident caused all or part of the organization to shut down, the value of this lost time would be recorded here.

If any of the loss types are not applicable to this victim, place zeroes in the first column and draw an arrow through the remaining boxes (see following example).

3. ESTOLE: In the case of property stolen, which factors were considered by program staff in determining the loss amount

-Check all that apply on the answer sheet.

4. DAMEST: In the case of property damaged, which factors were considered by program staff in determining the loss amount

-Check all that apply on the answer sheet.

LOSS MATRIX (EXAMPLE)

| Type of Loss | Column I Gross Amount Lost | Column II Recovery-Police/Other (Not Insurance) | Column III Recovery-Insurance/Workman's Comp. | Column IV Amount Not Recovered |
|----------------------|-------------------------------|--|--|-----------------------------------|
| Money Stolen | 00250 | 00000 | 00000 | 00250 |
| Property Stolen | 00000 | -----> | -----> | -----> |
| Property Damaged | 00000 | -----> | -----> | -----> |
| Medical Expenses | 00075 | 00000 | 00062 | 00013 |
| \$\$ Value-Work Lost | 00000 | -----> | -----> | -----> |
| Other ¹ * | 00000 | -----> | -----> | -----> |
| Other ² | 00000 | -----> | -----> | -----> |
| Total | 00325 | 00000 | 00062 | 00263 |

*Specify _____

**Specify _____

Code amounts:
00000-99995 = actual amount
99996 = \$99,996 or more
99998 = unknown

Project Processing Packet

Content: Information detailing steps taken in formulating a restitution plan. Includes descriptions of offender contacts, victim contacts, negotiation procedures and plan content.

Purpose: Descriptive and comparative analyses of program procedures.
Cost benefit analysis.

Data Source: Program personnel and observation.

Timing: During the plan formulation stages.

Classification: Program data.

Project Processing
Maine District Court

Coder ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

I. Program Processing

1. Date offender referred to project
___/___/___
2. Referring judge _____
3. Number of victims:
Personal _____
Organization _____
4. Date of first program contact with offender
___/___/___
5. Randomization outcome:
1 = experimental-random
2 = experimental-forced
3 = comparison-random
4 = comparison-forced
5 = other (specify)

Specify _____

Comments:

If this is a "C" offender end packet here, detach and forward to the National Evaluator.

Project Processing
Maine District Court

Coder ID ___ Date ___/___/___

Offender ID _____

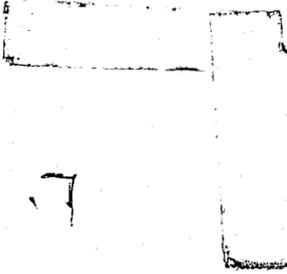
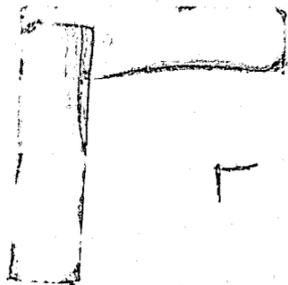
State/Juris/Prog. ID ___/___/___

II. Plan Formulation Steps -- Offender

6. Date of offender interview
___/___/___
7. Location of offender interview
 restitution office
 jail
 other (specify _____)
8. Offender's financial situation discussed
 is able to pay
 is not able to pay
 other (specify _____)
9. Verification of offender's financial situation:
List sources of verification _____

10. Checked police records
11. Information obtained from police records
 victim's name
 victim's address
 victim's phone number
 arrest charges
 police estimate of loss
 other (specify) _____

Comments:



Project Processing
Maine District Court

Coder ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

Project Processing
Maine District Court

Coder ID ___ Date ___/___/___

Victim ID _____

State/Juris/Prog. ID ___/___/___

- 12. Checked offender's probation/parole status
- 13. Requested SBI
- 14. Date plan completed
___/___/___
- 15. Date offender notified of plan content
___/___/___
- 16. Plan modifications as a result of offender's input:

- 17. Date plan presented to judge
___/___/___
- 18. Judge plan presented to

Comments:

III. Plan Formulation Steps -- Victim

Complete this form for each victim.

- 19. Mechanism for identifying victim
 - police record
 - complaint
 - other (specify _____)
- 20. Date of victim contact Contacted

| | |
|----------------|-------|
| P=in person | _____ |
| L=by letter | _____ |
| T=by telephone | _____ |
- 21. Interview done
 - by phone
 - in person
- 22. Documentation used to verify victim loss

Comments:

Project Processing
Maine District Court

Coder ID ___ Date ___/___/___

Victim ID _____

State/Juris/Prog. ID ___/___/___

Project Processing
Maine District Court

Coder ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

23. State reason if no verification

24. Third parties contacted

List _____ Reason _____

25. Date victim notified of restitution awarded

___/___/___

not told

26. Notified by

phone
 letter
 not told

27. Approximate time spent in this investigation

_____ hours

Comments:

IV. Plan Formulation Steps -- Negotiation

If negotiations take place complete this form for each victim involved in negotiations.

28. Negotiation _____

29. Victim ID _____

30. Reason for negotiation

31. Negotiation process

face-to-face negotiation
 mediation through program staff
 other approach (specify _____)

32. Negotiation participants list

Comments:

Project Processing
Maine District Court

Coder ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

Project Processing
Maine District Court

Coder ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

33. Approximate time spent in negotiation _____ hours

34. Outcome of negotiation: Explain _____

Comments:

V. Plan Content

35. RGRID: Restitution Grid

| Recipient No. | Recipient I.D. | Amount \$ | Service Type | Service Hours | \$/Hour | Location of Service |
|---------------|----------------|-----------|--------------|---------------|---------|---------------------|
| 1 | _____ | _____ | _____ | _____ | _____ | _____ |
| 2 | _____ | _____ | _____ | _____ | _____ | _____ |
| 3 | _____ | _____ | _____ | _____ | _____ | _____ |
| 4 | _____ | _____ | _____ | _____ | _____ | _____ |
| 5 | _____ | _____ | _____ | _____ | _____ | _____ |
| 6 | _____ | _____ | _____ | _____ | _____ | _____ |

Specify service type(s) _____ If hours = 997, specify hours _____ If amount = 9997, specify amount _____

Codes for service type:

1 = direct restoration to victim of damage caused by offender's behavior

2 = service to public agency or community generally

3 = service to charitable organization

4 = other (specify)

Project Processing
Maine District Court

Coder ID ____ Date ____/____/____

Offender ID _____

State/Juris/Prog. ID ____/____/____

Project Processing
Maine District Court

Coder ID ____ Date ____/____/____

Offender ID _____

State/Juris/Prog. ID ____/____/____

36. List the identification number of any victim not receiving restitution and explain why each is not receiving restitution (e.g., unable to locate victim, victim refused to participate, etc.)

| Victim I.D. | Reason |
|-------------|--------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

37. If no financial restitution (or financial + service) explain why financial restitution(alone) was not recommended.

38. If the amount of restitution recommended in the plan does not equal the actual amount lost by the victim explain why. (NOTE: Convert service restitution to dollar values.)

A. Payment Arrangements

Check if no financial restitution recommended in the plan and skip to B. Service Restitution Arrangements.

39. PAYDAT: Date financial payments are to begin
____/____/____

40. PAYWEN: Periodicity of payments
1 = weekly
2 = bimonthly
3 = monthly
4 = other (specify)
8 = unknown

Specify _____

41. PAYANT: Amount per payment period
001-995 = actual dollar amount per payment period
996 = 996 or more
997 = other (specify)
998 = unknown

NOTE: Code "997" if payment amounts are irregular for each period and explain

Specify _____

42. PAYFIN: Projected date of final payment
____/____/____

B. Service Restitution Arrangements

Check if no service restitution recommended in the plan and skip to Section VI.

43. SERDAT: Date service to begin
____/____/____

44. SERARR: Service arrangements
Describe when the service is to be performed, e.g., on Saturdays, 6-10 weeknights - Monday, Wednesday, and Thursday, etc.

45. SERFIN: Projected date of service completion
____/____/____

Project Processing
Maine District Court

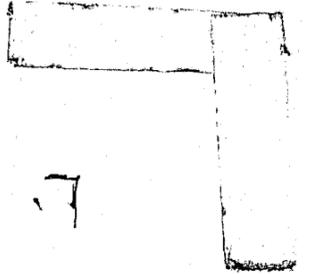
Coder ID ___ Date ___/___/___
Offender ID _____
State/Juris/Prog. ID ___/___/___

C. Additional Requirements Recommended in the Plan

46. Explain any significant aspects of the plan not already reported.

D. Modification of Plan by Judge (Parole Board)

47. Explain any modifications in the recommended plan that (1) the judge/parole board orders or (2) the judge/parole board requests the program to make



Project Processing
Coding Instructions

Project Processing

Maine District Court

Coding Instructions

This packet is composed of five (5) separate sections: Program Processing, Plan Formulation Steps -- Offender, Plan Formulation Steps -- Victim, Plan Formulation Steps -- Negotiation, and Plan Content. Following are instructions for completing each.

I. Program Processing

This portion of the packet should be completed for all offenders, both E and C.

1. Date offender referred to project
-Enter the date which appears on the form, signed by the judge, ordering the offender to appear at the Restitution Project's offices.
2. Referring judge
-Enter the name or code number of the judge who referred the case to the Restitution Program.
3. Number of victims
-Enter the total number of personal and organizational victims involved in the offense(s) for which the offender was referred to the Restitution Program.
4. Date first program contact with offender
-Enter the date on which the Restitution Program staff first came into personal contact with the offender. (This will usually be the day the offender reports to the Restitution Program's offices to be interviewed.)

5. Randomization outcome

- Code "1" if offender falls experimental by normal random assignment.
- Code "2" if offender must be experimental to assure equity with a co-offender who fell experimental.
- Code "3" if offender fails comparison by normal random assignment.
- Code "4" if offender must be comparison to assure equity with a co-offender who fell comparison.
- Code "7" only if any exceptional circumstance arises such that the offender cannot be coded by 1, 2, 3, or 4. If a "7" code is used, explain the circumstances on the line provided on the answer sheet.

II. Plan Formulation Steps -- Offender

6. Date of offender interview
-Enter the date the offender interview was completed.
7. Location of interview
-Check the appropriate response. If "other" is checked, specify the location in the space provided.
8. Offender's financial status discussed
-Check the appropriate response. If "other" is checked, specify in the space provided.
9. Verification of offender's financial situation
-List the sources contacted or consulted to verify the offender's financial situation.
10. Checked police records
-If the police records were checked by a staff member place a check (✓) in the box.

11. *Information obtained from police records*

-If the police records were checked, place a check (✓) next to the information found in those records. If "other" is checked specify the information found in the record that was useful to the Restitution Program's investigation.

12. *Checked offender's probation/parole status*

-Place a check (✓) in the box if the offender's probation/parole status was checked.

13. *Request SBI*

-Place a check (✓) in the box if an SBI report was requested on the offender.

14. *Date plan completed*

-Enter the date on which the plan is ready to be presented to the judge.

15. *Date offender notified of plan content*

-Enter the date on which the offender is notified of the plan content.

16. *Plan modifications as a result of offender's input*

-Specify any changes in the restitution plan which result from the offender's comments or protests after being notified of the plan content.

17. *Date plan presented to judge*

-Enter the date the judge received the plan from the Restitution Program.

18. *Judge plan presented to*

-Enter the name or code number of the judge to whom the plan was presented.

III. *Plan Formulation Steps -- Victim*

Complete this section for each victim (personal and organizational). Use as many of these forms as there are victims. There should be one (1) Section III for each victim listed in Section I, Item 3.

19. *Mechanism for identifying victim*

-Check (✓) the appropriate response reflecting the manner in which the Restitution Program became aware of the victim's identity. If "other" is checked, specify in the space provided.

20. *Date victim contacted*

-Enter the date of each time an attempt was made to contact the victim. Place the appropriate letter in the space next to the date to indicate how the contact was made, i.e., L for contact by letter, P for contact in person and T for contact by telephone.

21. *Interview done*

-Check (✓) the appropriate response.

22. *Documentation used to verify victim loss*

-Enter the specific form of documentation or the persons contacted. E.g., receipt from locksmith, called boss to determine out-of-pocket expense for work time lost, insurance receipts for medical costs, etc.

23. *State reason if no verification*

-If the victim's loss assessment is not verified give the reasons for not verifying the loss amounts.

24. *Third parties contacted*

-In the first column list third parties who were contacted by the program and in the second column state the reason for the contact. E.g.
Doctor verify medical bills
Employer verify worktime loss
Police determine if police recovered stolen goods and returned to victim

25. *Date victim notified of restitution awarded*

-Enter the date the victim is told that the offender in his/her case will be making restitution.

26. *Notified by*

-Check (✓) the appropriate response.

27. *Approximate time spent in this victim investigation*

-Estimate the number of hours it took to investigate this victim's loss claims. Include time spent interviewing the victim, negotiation time, and time spent verifying the information.

IV. Plan Formulation Steps -- Negotiation

If negotiations take place complete this section for each victim participating in negotiations.

28. *Negotiation*

-Enter the name or code number of the person conducting the negotiation.

29. *Victim I.D.*

-Enter the identification of the victim involved in the negotiation.

30. *Reason for negotiation*

-Enter the reason for engaging in negotiations, e.g., victim and offender loss assessment so discrepant as to preclude assessing equitable restitution without negotiation.

31. *Negotiation process*

-Check (✓) the appropriate response. Face-to-face negotiations are those in which the victim and offender negotiate with each other. Mediation through program staff involves no face-to-face contact between victim and offender but rather a staff member acts as a go-between.

32. *Negotiation participants*

-List the persons who participated in the negotiations, e.g., negotiator, victim, offender, defense counsel, insurance agent, victim's lawyer, etc.

33. *Approximate time spent in negotiation*

-Estimate the amount of time, in hours, that was spent in negotiation.

34. *Outcome of negotiation*

-Record the results of the negotiation. E.g., the victim and offender agreed to \$475 which is midway between the offender's estimate of \$300 and the victim's estimate of \$650. They further agreed that since the offender can afford to pay only \$200 immediately the other \$275 would be paid in \$25 installments for 11 months.

V. Plan Content

35. *Restitution Grid*

-In column 1, Recipient ID, enter the identification number of the recipient. If the recipient is also a victim enter the victim ID number.

-In column 2, amount \$, enter the dollar amount of financial restitution to be recommended in the restitution plan.

-In column 3, service type, indicate by using the codes given at the bottom of the answer grid the type of service restitution.

-In column 4, service hours, enter the number of hours of service restitution to be recommended in the restitution plan.

-In column 5, \$/hour, enter the rate at which the offender will be working in terms of amount per hour, i.e., if service restitution is tabulated at \$2.50 per hour enter 2.50.

-In column 6, location of service, enter the place where the service is to be performed, e.g., boys club, local park, victim's house.

36. List the identification number of victims not receiving restitution and the reason no restitution has been recommended.

37. If no financial or financial plus service restitution is recommended explain why financial restitution alone was not recommended.

38. If the amount of restitution recommended in the plan does not equal the actual amount lost by the victims explain why.

A. Payment Arrangements

39. Date financial payments are to begin

-Enter the date the offender is to make his/her first financial restitution payment.

40. Periodicity of payment

-Enter the period of payment. If payment periods are irregular, code "4" and specify.

41. Amount per payment period

-Enter the amount to be paid each payment period. If the amounts to be paid are irregular, code "997" and specify.

42. Projected date of final payment

-Enter the date on which the offender is to make his/her last payment.

B. Service Restitution Arrangements

43. Date service to begin

-Enter the date the offender is scheduled to perform his/her first service payment.

44. Service arrangements

-Describe when the service is to be performed, e.g., 6-10 p.m. - Monday, Tuesday, and Friday; 9-5 on Saturdays, etc.

45. Projected date of service completion

-Enter the date on which the offender should complete his/her service obligations.

C. Additional Requirements Recommended in the Plan

46. Explain any significant aspects of the plan not already reported, e.g., support programs such as job counseling, financial management, incentives such as early release from supervision, etc.

D. Modification of Plan by Judge (Parole Board)

47. Explain any modifications in the recommended plan that (1) the judge/parole board orders or (2) the judge/parole board requests the program to make. Modifications include things such as payment amount, periodicity and type of restitution.

Monthly Program Monitoring Report Packet

Content: Summary indicators of program activity. Included are offender counts at significant decision stages and reasons for fallout at various stages in the process, restitution plans developed, accepted, rejected and modified, types of restitution ordered, and summaries of offender performance and staffing patterns.

Purpose: Functions as a practical administrative tool to be used by program directors to meet continuing administrative responsibilities through frequent feedback on progress. Description of activity at various program stages. Comparative analysis and cost-benefit indicators.

Data Source: Program personnel and accounting records.

Timing: To be completed after each month of program operation.

Classification: Program data.

| <u>Monthly Program Monitoring Report</u> | |
|--|-------------|
| Coder ID | _____ |
| Date | ___/___/___ |
| State/Juris/Prog. ID | ___/___/___ |

I. Report Period

1. MREP _____

II. Summary Screening

2. MSSEL _____

3. MSINEL _____

III. Program Screening

4. MESTEL _____

5. MESTIN _____

6. MVOL _____

7. MNOVOL _____

8. MEXPEL _____

9. MCOMEL _____

10. MEXIN _____

11. MCOMIN _____

IV. Decision-Maker's Action on Eligibility

12. MELEL _____

13. MELIN _____

14. MININ _____

15. MINEL _____

V. Plan Processing Summary

16. MPDEV _____

17. MPPRES _____

18. MPAPP _____

19. MPREJ _____

20. MPMOD _____

VI. Summary of Dispositions

21. MFIN _____

22. MSERV _____

23. MMIX _____

VII. Offender Performance Summary

24. MCOMF _____

25. MCOMS _____

26. MCOMM _____

27. MNPAY _____

28. MCASH _____

29. MNSERV _____

30. MDEFIN _____

31. MDESER _____

32. MRSTRV _____

33. MNOREV _____

34. MAFTER _____

35. MBEFOR _____

36. MCONT _____

37. MSUPRA _____ (Program A)

MSUPRB _____ (Program B)

etc.

VIII. Staffing Summaries

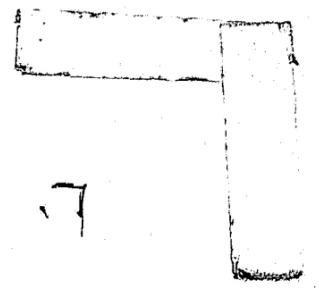
38. MNSTAF _____

39. MSTFL _____ [specify position(s)]

40. MSTFH _____ [specify position(s)]

41. MAVCAS _____

42. MAVRCS _____



Monthly Program Monitoring Report

Coding Instructions

MONTHLY PROGRAM MONITORING REPORT

I. Report Period

1. MREP: Indicate the month covered by this report. For example, if this report is for March 1977, code "03/77" in MREP.

II. Summary Screening

2. MSSEL: Number of offenders determined to be eligible at summary screening
 - Enter the number of offenders who have been designated as potentially eligible for the restitution program by the restitution staff.
3. MSINEL: Number of offenders determined to be ineligible at summary screening
 - Enter the number of offenders who have been designated ineligible and who have no chance of later becoming eligible. For example, offenders convicted of offenses which carry statutorily mandated prison sentences.

III. Program Screening

4. MESTEL: Number of offenders estimated to be eligible
 - Enter the number of offenders who have been estimated to be eligible by the program staff at the point of eligibility estimation.
5. MESTIN: Number of offenders estimated to be ineligible
 - Enter the number of offenders who have been estimated to be ineligible by the program staff at the point of eligibility estimation.

Of those offenders estimated to be eligible, how many:

6. MVOL: volunteered
7. MNOVOL: did not volunteer

Of those offenders estimated to be eligible, how many were randomly assigned:

8. MEXPEL: experimental
9. MCOMEL: comparison

Of those offenders estimated to be ineligible, how many were randomly assigned:

10. MEXIN: experimental
11. MCOMIN: comparison

IV. Decision-Maker's Action on Eligibility (Judges, Parole Board)

12. MELEL: Record the number of offenders who were estimated to be eligible and were declared eligible this month by the decision-maker
13. MELIN: Record the number of offenders who were estimated to be eligible and were declared ineligible by the decision-maker
14. MININ: Record the number of offenders who were estimated to be ineligible and were declared ineligible by the decision-maker
15. MINEL: Record the number of offenders who were estimated to be ineligible and were declared eligible by the decision-maker

V. Plan Processing Summary

16. MPDEV: Number of restitution plans developed
 - Enter the number of restitution plans which were developed during the month, i.e., plans ready to be presented to the decision-maker. Do not count each renegotiation of a plan as a plan developed. Include only completed plans in your tally.
17. MPPRES: Number of restitution plans presented to the decision-maker
 - Enter the number of restitution plans which have been presented to the decision-maker during the month regardless of when the plans were developed.

18. MPAPP: Number of restitution plans approved by decision-maker

- Include only those plans which have actually been approved. Do not include plans which are being modified until the modifications of the plan have been formally approved by the decision-maker

19. MPREJ: Number of restitution plans rejected by decision-maker

- Include only those plans which have been rejected by the decision-maker. Do not include plans which are being modified until the plan is considered for the final time and is rejected.

20. MPMOD: Number of restitution plans modified by the decision-maker

- Include all plans which were modified during the month even if they have since been rejected or approved.

VI. Summary of Dispositions

21. MFIN: Number of offenders who have been ordered this month to pay financial restitution

22. MSERV: Number of offenders who have been ordered this month to perform service restitution

23. MMIX: Number of offenders who have been ordered this month to a combination of financial and service restitution

VII. Offender Performance Summary

24. MCOMF: Number of offenders who have completed their financial obligations

25. MCOMS: Number of offenders who have completed their service restitution obligations

26. MCOMM: Number of offenders who have completed their combination financial/service restitution obligations

27. MNPAY: Total number of offenders now paying financial restitution

28. MCASH: Total amount of financial restitution received this month

- Record to the nearest dollar figure the amount received this month only. Do not enter the total amount since the program began. Include money paid by offenders serving a combination financial/service restitution disposition.

29. MNSERV: Total number of offenders now making service restitution

30. MDEFIN: The number of offenders on financial restitution who have made late or partial payments or missed payments but have not been terminated from the program

- If an offender fails to make two or more scheduled payments during the month code as one instance. (Count offenders not payments.)

31. MDESER: The number of offenders on service restitution who have failed to report for service, who have reported late or who have only partially completed an assigned restitution task but who have not been terminated from the program

- If an offender fails to fulfill his obligation more than once during the month code as one instance.

32. MRSTRV: The number of offenders revoked (unsuccessfully terminated) from the restitution program for failure to comply with the terms of the restitution order

33. MNOREV: The number of offenders revoked (unsuccessfully terminated) from the restitution program for failure to comply with conditions of probation other than restitution

- Include revocation for new arrests, convictions; for absconding, etc.

34. MAFTER: Number of offenders who were discharged from the criminal justice system after completion of their restitution obligations

- Enter the number of offenders who have satisfied their restitution obligations and have been released from the criminal justice system

Offender-Based Monitoring Report Packet

Content: Information about the offender during successive three-month periods following program entry or comparable point for comparison cases. Social and economic situation, new violations of release conditions and criminal activity, subsequent reprocessing, and performance record with respect to restitution obligation.

Purpose: To monitor the experiences of offenders, both E's and C's, while under the jurisdiction of the criminal justice system. To record multiple indicators of success and failure for both E's and C's after different times at risk.

Data Source: Records from supervisory personnel, restitution accounting staff and police, court and correctional offices.

Timing: To be completed for all offenders both E's and C's every three months until the offender is released from the criminal justice system.

Classification: Program data; outcome data.

This report should be completed for all offenders (both experimentals and comparisons) at three-month intervals. See instructions for Offender-Based Monitoring Report to determine when the first report period commences.) Reporting should continue until (1) the offender is released from the criminal justice system or (2) the restitution grant expires, whichever comes first.

I. Report Period

1. OBREP: Quarterly reporting period

Month: 3 6 9 12 15 18
(Circle appropriate month)

II. Characteristics of the Offender

2. OBLEG: Offender's legal status at the end of this reporting period

- 1 = free (released from all supervision)
- 2 = probation
- 3 = parole
- 4 = work release
- 5 = incarceration
- 6 = other (specify)
- 8 = unknown

OBLEG

Specify _____

3. OBDATE: Date of status change

999997 = not applicable, no change in status
999998 = unknown

OBDATE

4. OBMAR: Characterize the offender's marital status during this reporting period

- 1 = married (includes common-law)
- 2 = single, never married
- 3 = divorced
- 4 = separated
- 5 = widow(er)
- 7 = other
- 8 = unknown

OBMAR

5. OBEMP: Characterize the offender's employment status during this reporting period

- 1 = not working
- 2 = working, full-time employment
- 3 = working, steady part-time employment
- 4 = working, occasionally
- 8 = unknown

OBEMP

6. OBLIV: Characterize the offender's living arrangements during this reporting period

Check all that apply

- Incarcerated for entire reporting period
- Spouse
- Paramour
- Children (include step-children, adopted children)
- Other relative (include in-laws)
- Friends
- Alone
- Other
- Unknown

7. OBDEP: Total number of dependents for whom the offender is financially responsible

- 1-5 = actual number of dependents
- 6 = 6 or more
- 7 = dependents but number unknown
- 8 = unknown if offender has dependents or not

OBDEP

8. OBRES: Number of residence changes during this reporting period

- 0 = no residence changes
- 1-4 = actual number of residence changes
- 5 = 5 or more
- 6 = not applicable, incarcerated for entire reporting period
- 7 = more than one, but number unknown
- 8 = unknown

OBRES

9. OBWEL: Characterize the welfare status of the offender or his/her family during this reporting period

- 0 = neither the offender nor his/her family on welfare
- 1 = offender on welfare
- 2 = family on welfare
- 3 = both on welfare
- 8 = unknown

OBWEL

10. OBEDUC: Educational level of offender -- highest grade completed

- 00-17 = grades completed
- 97 = other (specify)
- 98 = unknown

OBEDUC

Specify _____

| Offender-Based Monitoring Report Answer Sheet | |
|--|---------------------|
| Coder ID _____ | Date ____/____/____ |
| Offender ID _____ | |
| State/Juris/Prog. ID ____/____/____ | |

11. OBALCH: Characterize the offender's involvement w/ alcohol during this reporting period

- 0 = none
- 1 = light use
- 2 = moderate use
- 3 = heavy use
- 4 = alcoholic classification
- 5 = reformed alcoholic
- 8 = unknown

OBALCH

12. OBDRUG: Characterize the offender's involvement w/ drugs during this reporting period

- 0 = none
- 1 = light use
- 2 = moderate use
- 3 = heavy use
- 4 = addicted
- 5 = reformed drug abuser
- 8 = unknown

OBDRUG

III. Significant Events

13. OBSIG: Significant events this reporting period

OBSIG _____

IV. Violations of Conditions of Release/Supervision

For items 14 through 18 on next page enter the information requested for each occurrence that has come to your attention during this reporting period.

(CONTINUED ON NEXT PAGE)

Offender-Based Monitoring Report
Answer Sheet

Coder ID ___ Date ___/___/___

Offender ID _____

State/Juris/Prog. ID ___/___/___

14. **OBVIOL:** Violations of conditions of release/supervision during this reporting period

-Enter the date of each violation and specify the exact nature of the violation, e.g., "failure to abstain from alcohol use."

-NOTE: The actual violation behavior may have occurred in this or a previous reporting period.

Not applicable, none this reporting period

| DATE | CONDITIONS VIOLATED |
|-------------|---------------------|
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |

15. **OBCOMP:** Actions taken during this reporting period to insure compliance with release/supervision

-Enter only those actions short of initiating revocation proceedings (formal revocation is handled in item 18 below).

-Actions taken during this period may be based on offender performance during this or an earlier reporting period.

Not applicable, none this reporting period

| DATE | ACTIONS TAKEN |
|-------------|---------------|
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |

16. **OBSEEK:** Violations for which revocation action has been sought during this reporting period

-Enter the date on which each revocation action was sought and specify the exact nature of the violation(s) for which revocation action has been sought.

-The violations for which revocation is sought may have occurred in this or a previous reporting period.

Not applicable, none this reporting period

| DATE | VIOLATIONS |
|-------------|------------|
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |
| ___/___/___ | _____ |

Enter the appropriate number(s) on the lines provided:

- 1 = warning issued
- 2 = wages garnered
- 3 = supervision intensified
- 4 = restitution plan amended (specify)
- 5 = support programs added (specify)
- 6 = new conditins added (specify)
- 7 = other (specify)

22. OBSENT: New dispositions this reporting period

-Sentences during this reporting period may be for convictions during this or an earlier period.

Not applicable, none this reporting period

A. Date ___/___/___ Previously suspended sentence imposed (specify terms _____)

New sentence imposed (specify terms _____)

Other (specify _____)

B. Date ___/___/___ Previously suspended sentence imposed (specify terms _____)

New sentence imposed (specify terms _____)

Other (specify _____)

VI. Restitution Record

23. OBREST: Is the offender presently under an order to make restitution?

- 1 = yes
2 = no (end packet)

OBREST []

24. OBTERM: Has the offender been terminated from the restitution program

- 1 = yes (specify reason)
2 = no

OBTERM []

Date ___/___/___

Specify _____

A. Financial Payment Record

25. OBPAID: Amount of financial restitution paid to date

- 00000 = none
00001-99995 = actual dollar amount paid (nearest whole dollar)
99996 = \$99,996 or more
99997 = not applicable, no financial restitution ordered
99998 = amount unknown

OBPAID [][][][][]

Number of times during this reporting period the offender has:

26. OBFAIL: Failed to pay at all

OBFAIL []

Specify _____

27. OBLATE: Made late payments

OBLATE []

Specify _____

28. OBPART: Paid less than the full amount ordered

OBPART []

Specify _____

Codes for items OBFAIL, OBLATE, and OBPART:

- 0 = never
1-5 = actual number of times
6 = 6 or more
7 = not applicable, no financial restitution ordered
8 = unknown

B. Service Performance Record

29. OBHOUR: Number of hours of service restitution performed to date

- 000 = none
001-995 = actual number of hours
996 = 996 hours or more
997 = not applicable, no service restitution ordered
998 = unknown

OBHOUR [][][]

Offender-Based Monitoring Report Answer Sheet
Coder ID ___ Date ___/___/___
Offender ID ___
State/Juris/Prog. ID ___/___/___

Number of times during this reporting period the offender has:

30. OBNISS: Failed to perform a scheduled service

OBNISS []

Specify _____

31. OBSLOW: Performed a scheduled service late

OBSLOW []

Specify _____

32. OBBIT: Only partially fulfilled a scheduled service

OBBIT []

Specify _____

Codes for items OBNISS, OBSLOW, and OBBIT:

- 0 = never
1-5 = actual number of times
6 = 6 or more
7 = not applicable, no service restitution ordered
8 = unknown

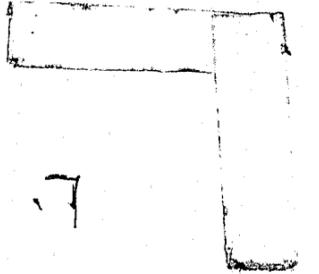
VII. Actions Taken

33. OBACT: What action (short of termination/revocation) has been taken during this reporting period, to assure adherence to the restitution order?

- [] No action taken
[] Warning issued
[] Wages garnered
[] Supervision intensified
[] Plan amended (specify)
[] Support program added (specify)
[] Other (specify)
[] Not applicable, full compliance with the restitution order

Check all that apply

Specify _____



Offender-Based Monitoring Report
Coding Instructions

The following three instructions apply to the entire report.

A. This report is to be completed for all offenders, both E and C, at three-month intervals commencing as follows:

California -- date of randomization
Colorado -- to be determined
Connecticut -- date of sentence
Georgia -- date of sentence
Maine -- date of sentence
Massachusetts -- date contract finalized and signed
Oregon -- date of sentence

B. Characterizations should reflect the status of the offender which exists for more than one-half of the reporting period except as affected by instruction number 3.

C. If an offender has been incarcerated for less than the complete reporting period (3 months) complete Section II Characteristics of the Offender to reflect the offender's situation while he/she was not incarcerated. If the offender is incarcerated for the entire reporting period complete Section II to reflect the offender's situation while incarcerated.
NOTE: For this report "work release" is not to be considered as "incarceration."

I. Report Period

1. **OBREP:** On the answer sheet indicate the quarterly reporting period covered by this form by placing a circle around the appropriate response reflecting time in the program as defined in instruction 1 above. For example, if the offender has been in the program for 6 months circle "6."

II. Characteristics of the Offender

2. **OBLEG:** Offender's legal status
-For purposes of this report do not consider "work release" as incarceration.
3. **OBDATE:** Date of status change
-If the offender's legal status has changed during this report period enter the date of the change in status.
Example: If at the end of the last report period the offender was incarcerated and during this period he began work release, record the date the offender began on work release.
4. **OBMAR:** Characterize the offender's marital status during this reporting period
5. **OBEMP:** Characterize the offender's employment status during this reporting period
6. **OBLIV:** Characterize the offender's living arrangements during this reporting period
-Check all that apply from the list provided on the answer sheet.
7. **OBDEP:** Total number of dependents for whom the offender is financially responsible
-Include the offender as his/her own dependent.
-Include the offender's spouse and all minor children (under 18) living with the offender as dependents of that offender, and all other persons for whom the offender has a continuing financial responsibility.

-Dependents may be children or adults, living with or apart from the offender. In the case of adults (other than spouse), or children living apart from the offender the key element in determining dependency is the provision of continuing financial support, including voluntary or non-voluntary contributions (e.g., alimony, child support).
-The number of dependents has to be at least one to account for the offender.
-Code the number of dependents whether or not the offender is able to fulfill his obligation as might be the case if he/she is incarcerated or on welfare.

8. **OBRES:** Number of residence changes during this reporting period

-Do not count moves while incarcerated as residence changes.
-Do not count moves from non-incarceration to incarceration or vice-versa as residence changes.

9. **OBWEL:** Characterize the welfare status of the offender or his/her family during this reporting period

-Welfare is any form of governmental financial support for which income is the primary criterion. Include aid to dependent children, food stamps, and unemployment insurance. Exclude social security, workman's compensation, and veterans' benefits.

10. **OBEDUC:** Education level of offender -- highest grade completed

-Code the highest grade completed. If the record indicates only that the offender completed grammar (grade) school, middle (junior high) school, or high school code "06," "09," or "12," respectively. Code "16" if the offender is a college graduate and "17" if some graduate work has been completed. Do not include technical or trade schools.
-If the offender received a G.E.D. code as "12."

11. **OBALCH:** Characterize the offender's involvement with alcohol during this reporting period

-Code "1" reflects light social usage, not generally considered debilitating in any way. Alcohol use did not inhibit work/school performance, family relations, etc.
-Code "2" moderate use indicates occasional problems, where alcohol use had been known to impinge upon work family obligations somewhat but without permanent harm, e.g., loss of job, separation from family, assaults while drunk, arrest.
-Code "3" if alcohol use significantly impinges upon work, family, and social relationships. Formal job discipline or firing as a result, separation (voluntary or involuntary) from family for 1 or more days, assaultive or suicidal behavior while drunk.
-Code "4" alcoholic if the offender is in a perpetual state of craving for alcohol, i.e., alcohol consumption is the central factor in his/her life, he/she cannot function without it. Offender had been subject of voluntary (AA) or involuntary (court-directed) attempts to cure.
-Code "5" if the offender had previously been in a state described in code "4" but is now reformed ("cured").
-Code "8" if no information appears on alcohol use.

12. **OBDRUG:** Characterize the offender's involvement with drugs during this reporting period

-Code "1" -- light social usage, not generally considered debilitating in any way. Drug use did not impair work/school performance, family relations, etc. Experimental use and use of marijuana alone should be coded here.
-Code "2" moderate use indicates occasional problems, where drug use has been known to impinge upon work/family obligations somewhat but without permanent harm, e.g., without loss of job, separation from family, arrest.
-Code "3" heavy use if drug use significantly impinges upon work, family/social relationships, e.g., formal job discipline or firing as a result, separation (voluntary or involuntary) from family for 1 or more days, indication of suicidal behavior.

-Code "4" addiction if offender is in a perpetual state of craving for drugs, i.e., drugs are the central factor in his/her life, he/she cannot function without them.
-Code "5" reformed drug abuser if the offender had previously been in a state described in code "4" but is now reformed ("cured").
-Code "8" if no information appears on drug use.

III. Significant Events

13. **OBSIG:** *Significant events this reporting period*
-Record any significant events (positive or negative) during this reporting period that you feel are relevant to the offender's performance.

IV. Violations of Conditions of Release/Supervision

14. **OBVIOL:** *Violation of conditions of release/supervision*
-For each violation of conditions of release/supervision coming to your attention during this reporting period enter the date of each violation and specify the exact nature of the violation.

15. **OBCOMP:** *Actions taken during this reporting period to insure compliance with release/supervision conditions*

-Enter only those actions short of initiating revocation proceedings.
-Actions taken during this reporting period may be based on offender performance during this or an earlier reporting period.
-Enter the date on which each action was taken. Use the numbered codes to indicate action(s) taken. Specify where indicated.

16. **OBSEEK:** *Violations for which revocation action has been sought during this reporting period*

-Enter the date on which each revocation action was sought, and specify the exact nature of the violation(s) for which revocation action has been sought.
-The violation for which revocation is sought may have occurred in this or a previous reporting period.

17. **OBPROV:** *Violations proven during this reporting period*

-Enter the date on which the violations were proven and specify the exact nature of the violations.
-Violations proven in this period may have occurred in this or a previous reporting period.

18. **OBREV:** *Outcome from revocation proceedings during this reporting period*

-Enter the date of the revocation hearing and check the appropriate outcome resulting from each revocation proceeding during this or any earlier reporting period. Specify the terms of the outcome where indicated.

V. New Criminal Justice Processing

19. **OBARR:** *Arrests during this reporting period*

-Enter the dates and arrest charges for each arrest coming to your attention during this reporting period. Arrests this reporting period may be for criminal behavior during this or any earlier period.
-Arrests must be for criminal behavior not technical violations of conditions of release/supervision.
-Use master list numbers to indicate charges. See general instructions number 4.

20. **OBCHG:** *Formal charges this reporting period*

-Enter the dates and charges for each instance of formal charging coming to your attention during this reporting period
-Formal charges are those charges contained in the document upon which a prosecution is based. Generally, this document is an indictment, information, accusation, complaint, or presentment.
-Code only formal charges not reported in previous reporting periods. Formal charges in this period may be for criminal behavior and/or arrests during this or an earlier period.
-Use master list numbers to indicate charges. See general instructions number 4.

21. **OBCON:** *Convictions this reporting period*
 -Enter the date and conviction charges for each conviction coming to your attention during this reporting period.
 -Convictions during this reporting period may be for criminal behavior and/or formal charges during this or an earlier reporting period.
 -Use master list numbers to indicate charges. See general instructions number 4.
22. **OBSENT:** *New dispositions this reporting period*
 -Enter the date and check the type of disposition for each new disposition coming to your attention during this reporting period.
 -Sentences during this reporting period may be for convictions during this or an earlier period.

VI. Restitution Record

23. **OBREST:** *Is the offender presently under an order to make restitution?*
 -If the offender is making restitution code "1 = yes."
 -If the offender was under an order to make restitution but completed payments during this reporting period code "1 = yes" and complete the remainder of the packet.
 -If the offender completed his/her restitution obligations in a previous reporting period and is no longer under an order to make restitution, code "2 = no" and do not complete the remainder of the packet.
24. **OBTERM:** *Has the offender been terminated from the restitution program?*
 -Termination is defined as removal from the restitution program for successful or unsuccessful compliance with the restitution order.
 -In many instances offenders will be unsuccessfully terminated as a result of revocation only to be returned to restitution when released again under supervision. If this occurs code "1 = yes" when the offender is revoked and specify the reason for termination. When the offender returns to supervision and is again under order to make restitution, code "2 = no."
 -Code "1" if the offender has successfully completed his/her restitution obligation.
 -If "1" is coded enter the date of termination in the space provided.

A. Financial Payment Record

25. **OBPAID:** *Amount of financial restitution paid to date*
 Number of times during this reporting period the offender has:
26. **OBFAIL:** *Failed to pay at all*
27. **OBLATE:** *Made late payments*
28. **OBPART:** *Paid less than the full amount scheduled*
 -For each instance that the offender failed to pay, make late payments, or paid less than the full amount scheduled, specify on the lines provided on the answer sheet the circumstances which resulted in the default.
 -Code the maximum number known.

B. Service Performance Record

29. **OBHOUR:** *Number of hours of service restitution performed to date*
 Number of times during this reporting period the offender has:
30. **OBMISS:** *Failed to perform a scheduled service*
31. **OBSLOW:** *Performed a scheduled service late*
32. **OBBIT:** *Only partially fulfilled a scheduled service*
 -For each instance that the offender failed to perform a scheduled service, performed a scheduled service late, or only partially fulfilled a scheduled service, specify on the lines provided on the answer sheet the circumstances which resulted in the default.
 -Code the maximum number known.

VII. Actions Taken

33. **OBACT:** *What action (short of termination/revocation) has been taken during this reporting period to assure adherence to the restitution order?*
 -Check all that apply from the list provided on the answer sheet.

35. MBEFOR: Number of offenders who were discharged from the criminal justice system prior to completion of their restitution obligations

- Enter the number of offenders who have not satisfied their restitution obligations but have been released from the criminal justice system during the month.

36. MCONT: Number of offenders who completed restitution obligations and are continued in the criminal justice system

- Enter the number of offenders who have completed their restitution obligations but have not been released from the criminal justice system.

37. MSUPRA: Number of offenders on restitution ordered to participate in support programs directly related to the restitution disposition. List numbers by support program type

- List the number to participate in each separate program (e.g., MSUPRA _____ = number in Program A
MSUPRB _____ = number in Program B)

VIII. Staffing Summaries

38. MNSTAF: Number of project staff this month

39. MSTFL: Number of restitution staff who have left the program

- Record number and specify position(s) on answer sheet.

40. MSTFH: Number of new restitution staff hired

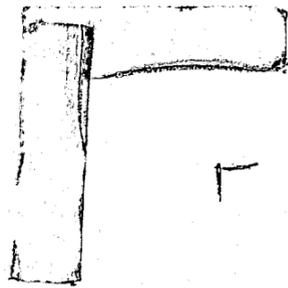
- Record number and specify position(s) on answer sheet.

41. MAVCAS: Average caseload size per caseworker

- Enter the average number of offenders in a caseload for the month.

42. MAVRCS: Average number of offenders on restitution per caseload

- Enter the average number of offenders serving restitution program sentences per caseload for the month. Example, a probation department may have caseload size averages of 177 offenders and on the average 17 of these are in the restitution program.



END