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CHAPTER 1 INTRODUCTION

The improvement of caseload management continues to be an issue of high priority in the field of probation. Many professionals assert that probation departments do not have the proper resources to perform their functions. Their claim is that probation departments suffer from insufficient manpower, owing to inadequate initial funding and/or increasing caseloads without concomitant appropriations, to provide the amount of surveillance necessary for the protection of the community or the delivery of services assumed to be associated with a reduced level of criminal activity by probationers.¹ To remedy this situation, research and program development have often centered around issues such as the establishment of optimum caseload size and workload standards and the differential classification of probationers. Presumably these caseload management techniques will allow for the maximum and efficient utilization of the scarce resources presently at the disposal of probation departments.

The idea of systematically classifying offenders according to some criteria is not novel in the field of corrections. Classification techniques have been employed from the earliest correctional programs to the present.² These techniques establish a process³ by which authorities determine offender needs, estimate risk, and achieve efficient management and effective

treatment of offenders.⁴ Early classification schemes were relatively simple with offenders being classified according to one or more personal characteristics (e.g. sex, age, etc.) or by some measure of the type and severity of their offense or prior record. Some caseloads, for instance, contained only narcotic offenders and others only violent offenders or individuals with extensive criminal histories.

According to the National Advisory Commission on Criminal Justice Standards and Goals, the state of the art of classification does not as yet provide adequate guidelines for creating a comprehensive system. There has been a recent notable trend, however, in the direction of more sophisticated classification systems.⁵ In most of the systems, one basic issue is addressed: What system of supervision is most effective in reducing recidivism?

Amid this concern for reducing recidivism rates, criminal justice administrators confront constant criticism that nothing they do seems to impact on recidivism. Typically probation officials blunt this criticism with the claim that, "the magnitude of the caseload prevents successful operation."⁶ Underlying the search for the optimum caseload size is the belief that a magic number can be found that effectively will reduce recidivism. The rationale for this belief is based on three assumptions:

1. The fewer cases a probation officer has, the more time he can devote to the probationer;

2. The more time the probation officer devotes to the probationer, the greater the intensity of the interpersonal relationship will be;
3. The more intensive the interpersonal relationship, the more likely it is that the probationer will not recidivate.⁷

During the 1960's and 1970's, a great deal of research was conducted on the relationship between caseload size and outcome of supervision.⁸ Although one might assume a priori, that there must be a positive relationship between caseload size and outcome, research findings have failed to clearly establish this. Summarizing...caseload reduction research..., it appears that the weight of scientifically valid evidence is on the side of the hypothesis that caseload reduction alone does not significantly reduce recidivism in adult probationers."⁹ These findings have led some experts to conclude that there may be ideal caseload sizes, depending upon and varying with different combinations of offenders, officers, programs, communities, and the like.¹⁰ The challenge then becomes one of improving the quality of intervention as well as the quantity.

According to a report issued by the Comptroller General's Office, one decision-making tool designed "to focus services and attention on the probationers who need the most help and supervision,"¹¹ is the predictive model. Prediction models are

based on statistical relationships between characteristics of probationers and outcome in order to determine which probationers should occupy more of a probation officer's time and effort because of a high likelihood of failure on probation.¹²

A number of recent studies are available which discuss the creation and application of prediction methods in criminal justice.¹³ Prediction models begin by establishing a standard base expectancy table to predict results of programs for groups, using a criterion such as recidivism. In probation, for instance, this device would be capable of assigning any given probationer to a class of like probationers grouped by the statistical weighting of aggregated characteristics. Group expectancy for success or failure as determined by recidivism or other criteria can then be expressed in percentiles.

This type of model also allows for an excellent opportunity to assess program effectiveness. For example, if the average expected recidivism rate of a group of probationers classified in a certain supervision category is known, the observed outcome can be compared for meaningful differences.

It can be seen that risk prediction models have at least two obvious uses. First, they can be used to determine which classification is appropriate for specific probationers, and second, to determine the effectiveness of the aggregate intervention in any

particular category. In spite of these advantages, the Comptroller General's Office notes that probation administrators have not made full use of the prediction models available to them, despite the known validity of these models.¹⁴

Drawing upon the recent trend toward more sophisticated classification techniques employing the predictive model, New York State created a demonstration Intensive Supervision Program to meet the challenge of improving supervision services for adult offenders.¹⁵ The State of New York provided funds to local county probation departments willing to operationalize the Intensive Supervision Program conceptualized by the State Division of Probation. The New York State Division of Probation's Intensive Supervision Program (ISP) provides for the development and implementation of a supervision program for probationers identified to be those most likely to fail on probation via the use of a predictive Risk Assessment Instrument.

In order to fully appreciate the operation of the Intensive Supervision Program in New York, a brief explanation of the functions of the Division of Probation is helpful. The New York State Division of Probation is a regulatory agency which establishes the rules and regulations for county-operated probation departments. Thus, while each individual county is responsible for providing direct services to its clients (under certain circumstances, the State Division will provide direct services within counties), the State Division of Probation monitors the counties' compliance with State regulations; compliance with these regulations is a condition of

State reimbursement for a uniform percentage of service-delivery costs. In addition to monitoring compliance with State regulations and supplying monetary assistance to county probation departments, the Division of Probation provides programmatic technical assistance. The Intensive Supervision Program reflects these three functions of the Division; that is, in counties in which ISP is operational, the Division monitors compliance with the State-mandated ISP Guidelines, supplies monetary assistance for the operation of the program, and provides the technical assistance necessary to implement and sustain program operations. Compliance with the Guidelines is monitored by the ISP Consultants, who also provide technical assistance. One ISP Consultant is responsible for several counties; currently there are six ISP Consultants, one each for the counties in metropolitan New York City, the suburban counties surrounding New York City, the counties in the northeast part of the state, the counties in the western part of the state, the counties in the central area of the state, and the counties in the southern tier of the state.

The Intensive Supervision Program began in October, 1978 as an effort to improve the quality of probation services delivered in New York State. The ISP initially operated in 22 counties with locally run probation services and three counties with direct probation services provided by the State Division of Probation, making the services of ISP available to every major population center in the state. The resumption of county control over probation in these three counties forced their withdrawal from the ISP since each individual county did not have a sufficient number of high risk probationers to warrant continuing the ISP, and the State declined to provide funds for a

regional ISP probation officer. Recently, the ISP expanded to an additional six counties. Currently 28 counties in the State of New York participate in the Intensive Supervision Program.

The ISP strives to use a planned intervention strategy in order to ensure that those most likely to fail on probation successfully complete their sentences.

The major components of the program are:

1. A standardized procedure to select those probationers for which there is a high probability of unfavorable completion of the probation sentence (ISP Risk Assessment and Classification Instrument);
2. Caseloads limited to 25 active cases per ISP officer;
3. A conceptual framework for service delivery, including a standardized needs assessment and evaluation process and use of behavioral objectives in supervision planning;
4. Case-flow and management procedures, including periodic reassessment of the supervision plan and community adjustment;
5. Controls over the frequency and type of contacts, including involvement of significant others in the supervision plan;
6. Standardized process for the handling of violations of probation; and
7. Systematic recording and collection of data to allow for

ongoing and overall evaluation of the program.¹⁶

In order to comprehend the full significance of these program components, a brief overview of the practices prevailing in "regular" probation seems warranted. Section 351.4 of the Rules and Regulations governing probation in New York State, sets forth three categories of probation supervision - intensive, active, and special. The Rules mandate that local probation departments assign cases to a supervision level based upon "community protection and probationer need." This decision, however, typically revolves around the probation officer's subjective opinions concerning the client, rather than relying upon standardized risk or needs assessment instruments.

The intensive supervision category requires that the probationer be seen personally at least four times a month* and that the probation officer make four collateral contacts monthly. The Rules state that all probationers, unless otherwise indicated, be supervised intensively for the first three months of their sentence, with a six month caveat for those with a recent history of drug addiction, alcoholism, violence, mental illness, etc. Cases under active supervision receive at least two personal and two collateral contacts per month. Special supervision cases must be seen at least once a month in person along with at least one collateral contact. Movement between supervision categories depends upon the probationer's compliance with probation conditions as assessed informally in quarterly supervision summaries in the case file.

Since Section 351.4 of the Rules and Regulations puts forth only general guidelines, local probation departments retain their discretion

* NOTE: Under current rules, agency contacts may be substituted for personal contacts for those not in the ISP.

over the means chosen to implement these minimum standards. Thus probation practices vary widely among the county jurisdictions. Furthermore, there are no explicit limitations of caseload size contained in the State Rules and Regulations. Caseloads fluctuate according to the volume of offenders processed, local probation department funding, the level of state reimbursement - all of which tend to ensure large caseloads, especially in urban areas. The range of caseloads varies from a low of 16 cases in Hamilton County to a high of 152 in Kings County (adults only).

In many ways, the Division of Probation's Intensive Supervision Program represents an attempt to limit caseload size so that using systematic caseload management techniques, probation officers could realistically perform their duties. Along with providing funds to county probation departments to operate the ISP, New York State has funded ISP staff positions in the New York State Division of Probation. This staff is primarily field-oriented, and is responsible for program development, staff training, program monitoring, identification of problems, and the provision of technical assistance to the counties. Since only one state position was funded to provide for program evaluation, the Division of Probation applied for and received additional funds from the National Institute of Corrections for evaluation purposes.

The Intensive Supervision Program Evaluation Project, a one year grant funded by the National Institute of Corrections, seeks to evaluate the impact of New York State's Intensive Supervision Program (ISP) and the effectiveness of its processes for improving probation outcomes among offenders considered likely to fail.¹⁷ Additionally, the grant pro-

poses to strengthen the Risk Assessment Instrument used to select program participants by the possible elimination of subjectivity in scoring and the addition, deletion, or re-weighting of predictive variables. Since the grant's activities revolved around these three tasks, the format of the final report is so structured. The testing of the Program Impact Hypothesis assesses the impact of the Intensive Supervision Program on probation in New York State. The Process Hypotheses scrutinize various elements of the ISP intervention strategy and program operation in order to analyze their effect on probation outcome. Included in the process section of the grant is an exploratory study of the role communication plays in the supervision process. The strengthening of the Risk Instrument portion centers around the results obtained from eliminating the subjective variables from the Risk Instrument and the results of re-weighting, adding, or deleting variables in order to improve predictive accuracy.

CHAPTER 2 PROGRAM IMPACT

For purposes of an ongoing program impact evaluation of this demonstration program two samples were devised by the Division of Probation. The ISP sample consists of probationers entering the ISP between October, 1978 and June 30, 1979, depending on local county start-up dates. This time frame resulted in a sample of 1541 ISP probationers.

In constructing a comparison sample of non-ISP probationers two options were available. The first would be a contemporaneous random sample drawn from non-ISP counties comparable on an urbanization dimension. This approach would prevent the possible contamination of regular probation by ISP procedures and practices. Under the second option, the comparison group would be sampled from the 25 existing ISP counties using offenders placed on probation prior to the start of the ISP; thus ensuring the comparativeness of the two samples based on location-specific factors.

The first approach was used in creating the non-ISP comparison group. Data were collected on 858 cases and used in the Division of Probation's Evaluators' Report #5: Preliminary Impact Evaluation of the ISP. However, the New York State Division of the Budget decided that this sampling technique failed to provide conclusive results concerning the ISP owing to the absence of control for location-specific factors in the processing of offenders. Thus they requested that all future evaluation efforts use a sample selected under the second option.

A new non-ISP sample was then randomly drawn from the existing ISP counties prior to the start of the ISP. A sufficient number of high risk probationers could be chosen from the ISP counties by going back at most five months from the start of the ISP. The sample used for the non-ISP probation comparisons includes 2,437 cases sentenced between May 1, 1978, and September 30, 1978, randomly selected from the 25 ISP counties. This sample will henceforth be designated the pre-ISP sample owing to the process of its selection, and will be the basis of the non-ISP comparisons for Program Impact Hypotheses in this report. (It should be noted that using cases from the ISP counties as a comparison group enhances the likelihood that the non-ISP probation officers are familiar with ISP practices and are implementing some of those practices, thus reducing the degree of distinction between the two groups.)

The data collection form for both samples consisted of selected demographic variables, the ten-item ISP Risk Assessment Instrument, current offense and sentence information, criminal history data up to and including the three most recent misdemeanor or felony convictions and sentences, and probation outcome information up to eighteen months from date of sentence or the point of termination of probation supervision if earlier than 18 months. (See Attachment 1).

In order to properly compare the ISP and pre-ISP samples, only those "high risk" pre-ISP cases should be included in subsequent

analysis. Since the pre-ISP comparison sample was drawn randomly and most probationers score low on the Risk Assessment Instrument, the proportion of "high risk" (i.e., scoring high on the Risk Assessment) probationers in the sample is small. In fact, a deliberate oversampling of the pre-ISP group occurred in order to ensure a sufficient number of probationers at the extreme "high risk" end. On the other hand, since the ISP program selects only probationers with a high risk of failure, this sample has a small proportion of probationers with low risk scores. Thus, as collected these samples are not comparable on the risk dimension. Furthermore, probationers scoring below minimum county risk cut-off scores, but who are thought to have a high likelihood of failure may be selected into ISP by a probation officer with his/her supervisor's approval, or by the supervisor, alone.¹⁸ However, all pre-ISP probationers were assigned a risk potential based solely on the Risk Assessment Instrument.¹⁹ These factors produce a similar range of risk scores for the two samples, (ISP 0-98 vs. pre-ISP 0-88), while the mean risk scores differ substantially, (ISP 54.0 vs. pre-ISP 27.1). In addition, there also exist major differences in prior records, defined as convictions for misdemeanor or felony offenses, between the two samples. In the ISP sample, 73% have at least one prior while only 48% of the pre-ISP sample have at least one prior. Even with these known differences, unknown variation which could affect outcome prediction makes further analysis of these two samples in their current form misleading. Therefore, one

is faced with making an arbitrary decision as to what minimum risk score will be required in order to classify a probationer "high risk." Local county minimum risk cutoff scores for entry into the ISP varied according to legislatively mandated ISP staffing patterns and numbers of "high risk" probationers. Since only three counties had cutoff scores greater than 48, and the recent statewide adoption of 48 as a standard minimum program entry score in all ISP counties has been approved, the grant staff chose 48 as the minimum score for testing Program Hypotheses that specify "high risk" probationers.

DESCRIPTION OF ISP AND PRE-ISP SAMPLES, RISK SCORE ≥ 48

Limiting samples to those probationers with risk scores of 48 or greater yielded a sample size of 1014 for ISP and 357 for pre-ISP. These cases were drawn from the three major planning areas within New York State as presented in the following table:

	ISP	Pre-ISP
Metropolitan Planning Area (MPA)	60.9	67.8
Developmental Planning Area (DPA)	17.0	14.6
Regional Coordinating Area (RCA)	22.1	17.6
	100.0%	100.0%
	(n=1014)	(n=357)

The designation of the three planning areas is based on the classification of counties established by the New York State Division of Criminal Justice Services. The areas are defined as follows:*

MPA - large population area with a large urban area at its core;

DPA - medium size population area with a mix of urban, suburban, and rural areas; and,

RCA - small population area generally in a rural setting.

The ISP sample contains a larger proportion of probationers from regional (RCA) and suburban (DPA) areas, while the pre-ISP sample is more heavily weighted with urban probationers.

*For a more detailed description of the three types of areas see the New York State Division of Criminal Justice Services Publication, 1980 Comprehensive Crime Control Plan, pp. 14-15.

Demographic Characteristics

	ISP	pre-ISP
<u>Age</u>		
Range	16-68	16-62
Mean	24.7	23.8
Mode	18 (11.5%)	18 (14.8%)
	19 (11.1%)	
<u>Sex</u>		
Female	11.0%	9.8%
Male	89.0%	90.2%
	100.0%	100.0%
<u>Race</u>		
White	59.8	60.5
Black	36.7	35.3
Hispanic	3.3	3.6
Other	0.3	0.6
	100.1%	100.0%
	(n=1014)	(n=357)

Examination of demographic characteristics of the two samples shows that ISP probationers appear to be slightly older and to include more women and blacks, but none of these differences are statistically significant.

Risk Assessment Instrument Items: PERCENT
SCORING YES ON EACH ITEM
 (See Attachment 2 for instructions
 on completing the Risk Assessment
 Instrument)

	<u>Percent</u> <u>ISP</u>	<u>Percent</u> <u>pre-ISP</u>
Arrested 5 yrs. prior to offense	94.3	95.8
19 or less at 1st conviction	86.5	85.4
Prior robbery conviction	11.9	10.9
3 prior misd. or 1 prior felony conviction	73.4	70.3
Incarcerated on prior probation/parole sentence	75.4	79.6
Neither employed nor in school full-time	60.2	68.3*
Family members have criminal record	51.4	34.2**
Address change in year prior	57.1	40.1**
Currently living in unfavorable situation	48.6	37.3**
Attitude problem	<u>90.5</u>	<u>92.4</u>
	100.0	100.0
	(N=1014)	(N=357)

* p<.01
 ** p<.001

Risk Assessment Score

	<u>ISP</u>	<u>pre-ISP</u>
Range	48-98	48-88
Mean	61.6	59.1
SD	10.376	8.747
Mode	52	52/56

The Risk Score distributions for the ISP and pre-ISP samples are similar. Although the pre-ISP group has a smaller range of scores, the mean risk score for the pre-ISP group is close to that of the ISP sample. Analysis of the individual risk items reveals some differences in the percent of probationers scored affirmatively on a number of questions. Differences on individual questions might reflect different data collection procedures or real differences in the two samples. While no definitive determination is possible here, data collection differences are examined for their possible impact on hypothesis testing.

The possible unreliability of the data stems from the fact that data for the two samples were collected differently. The ISP Risk Assessment data were compiled by the probation officers in the local counties who were able to use all the available means at their disposal to complete the Risk Assessment Instrument. Their range of sources included not only the Pre-sentence Investigation Report (PSI) and official documents in the case file but also their knowledge of the probationer's family and neighborhood, discussions with the probationer, and other informal sources of information. In contrast, the pre-ISP data collection effort was conducted by student research interns prior to the implementation of this project. The interns examined case files only and could not invoke as wide a range of information sources as the ISP probation officer in order to complete the Risk Instrument. Furthermore, case record sources were not prioritized for purposes of completing the instrument.

For example, some data collectors relied more heavily on the PSI face sheet to score the risk items while others used the entire PSI and supporting documents. In cases of conflicting information, the data collector resolved matters as he/she saw fit in the absence of overall guidelines. The existence of these problems in the data collection should serve as a caution due to our inability to accurately measure their effect on the individual risk items. The possible effect of these problems on total risk scores is also unknown although it may be the case that risk scores for some individuals in the pre-ISP group are lower than they actually should be.

Current Offense

	<u>ISP</u>	<u>pre-ISP</u>
Felony	39.1	42.8
Misdemeanor	<u>60.9</u>	<u>57.1</u>
	100.0% (n=1014)	99.9% (n=357)
Modal Offense:	Petit Larceny: 17.6%	Petit Larceny: 16.8%
	Burglary 3rd: 13.9%	Burglary 3rd: 13.7%

Sentence for Current Offense

	<u>ISP</u>	<u>pre-ISP</u>
Probation	87.0	76.8
Probation/Jail	<u>13.0</u>	<u>23.2</u>
	100.0%	100.0%
Length		
One Year	12.1	9.2
Three Years	50.7	49.9
Five Years	36.8	40.6
Lifetime	<u>0.4</u>	<u>0.0</u>
	100.0% (n=1014)	99.7%* (n=357)

*One case received a two year probation sentence for an out-of-state conviction.

A comparison of the instant offense and sentence for the two samples appears above. Although non-significant (p>.05), pre-ISP

probationers appear to be more likely to have been convicted of a felony. Similarly, patterns of sentencing data seem to indicate that pre-ISP probationers receive more serious sentences both in terms of sentence length ($p > .05$) and the proportion whose sentences include some jail time ($p < .001$). The pre-ISP's increased felony conviction rate might account for this.

Data collection on criminal history include the three most recent felony or misdemeanor convictions prior to the conviction for the current offense. Prior 1 is the conviction offense immediately preceding the current offense. Priors 2 and 3 respectively are the convictions next removed in time from Prior 1.

<u>Prior 1</u>		ISP	pre-ISP
		N=833	N=329
% of sample with at least 1 prior**		82.1%	92.2%
% Felony		26.4%	28.6%
% Misdemeanor		73.6%	71.4%
Modal Offenses	Petit Larceny	16.6%	16.1%
	Burglary 3rd	9.4%	13.1%
<u>Prior 2</u>		ISP	pre-ISP
		N=553	N=236
% of sample with at least 2 priors*		54.5%	65.7%
% Felony		24.8%	26.7%
% Misdemeanor		75.2%	73.3%
Modal Offense	Petit Larceny	18.6%	Petit Larceny 14.0%
	Burglary 3rd	9.2%	Burglary 3rd 7.2%
			DWI (misd.) 6.8%
<u>Prior 3</u>		ISP	pre-ISP
		N=333	N=150
% of sample with at least 3 priors		32.8%	42.0%
% Felony		24.0%	20.0%
% Misdemeanor		76.0%	80.0%
Modal Offense	Petit Larceny	23.4%	Petit Larceny 19.3%
	Burglary 3rd	8.4%	Burglary 3rd 9.3%
	Assault 3rd	7.8%	Criminal Poss. of stolen Property 3rd 8.0%
			DWI (Misd.) 8.0%
<u>Priors**</u>		ISP	pre-ISP
% of sample with			
No Priors		17.8%	7.8%
One Priors		27.6%	26.1%
Two Priors		21.8%	24.1%
Three or More Priors		32.8%	42.0%
		100.0%	100.0%
		(N=1014)	(N=357)
<u>Most Serious Prior Offense**</u>		ISP	pre-ISP
Felony		41.8%	49.2%
Misdemeanor		58.2%	50.8%
		100.0%	100.0%
		(n=833)	(n=329)

* $p < .05$
** $p < .001$

The ISP sample has a larger proportion of probationers with no prior record while the pre-ISP group is more likely to have three or more prior convictions ($p < .001$). Likewise, the pre-ISP sample contains a larger proportion having prior convictions in each of the three comparisons (Prior 1: $p < .001$, Prior 2: $p < .05$, Prior 3: $p > .05$). Although two of these comparisons of the proportion of probationers with a prior conviction are statistically significant, the pattern of actual offenses for both samples is similar in that the modal offense is petit larceny for all three priors. The proportion of probationers with felony convictions for prior offenses is not significant for any of the three comparisons ($p > .05$).

The design of the data collection may have an effect on the similarities and differences between the two groups for prior offenses. Data for the ISP group came exclusively from the summary of criminal history on the face sheet of the PSI. In contrast, prior offense data for the pre-ISP sample were extracted from a variety of sources included in the case files such as the PSI face sheet, PSI text, local, state and federal law enforcement agency rap sheets,* and prior probation records. Thus, criminal record data for the pre-ISP group were more extensive than that for the ISP group.

* A "rap sheet" is a computerized arrest record.

Summary

The data collection effort for the ISP and pre-ISP samples occurred prior to the start of the NIC Intensive Supervision Program Evaluation Project. Although data collection irregularities were discussed, the nature of the problem is such that the grant staff cannot accurately measure the presence or impact of these irregularities on the results obtained.

The ISP sample had more extensive sources available for completing the Risk Assessment Instrument. In contrast, data collectors for the pre-ISP group had more sources available when completing the criminal history section. Comparisons of both areas yielded significant differences. It is possible that pre-ISP risk scores and the percent of the group with individual questions scored yes would have increased if more data sources were available. Similarly, if more data sources were available in the collection of criminal history information for the ISP probationers, the proportion of both samples with prior offenses might be more equivalent.

The comparability of two samples is relative based on the extent of similarities and differences between the two groups across all variables. Based on the similarities between the ISP and pre-ISP samples for most of the comparisons made in this section, and the possibility that equivalent data collection techniques might have minimized risk and prior offense differences, the available evidence supports the presumption that for purposes of Program

Impact Hypothesis testing the two groups are basically comparable. However, the slight differences between the groups should be kept in mind when interpreting the results reported in the following sections.

PROGRAM IMPACT HYPOTHESES

Hypothesis 1: "The utilization of the Intensive Supervision Program's strategy and procedure for "high risk" probationers will lead to fewer probation failures when compared to pre-ISP probation clients of similar risk."

Hypothesis 2: "The seriousness of a failure by an ISP probationer will be less than that attributed to a non-ISP probation failure of similar risk."

Hypothesis 3: "The level of harm of a failure by an ISP probationer will be less than that attributed to a non-ISP probation failure of similar risk."

Hypothesis 4: "Failures on ISP will show a reduction in the seriousness and level of harm when compared to the instant conviction."

Hypothesis 5: "The ISP will reduce the institutionalization costs to the State and local counties by an absolute reduction in incarcerative sentences and/or a reduction of incarcerative sentence lengths when compared to non-ISP probation system cases."

Hypothesis 6: "The ISP will increase probation officer contact with probationers, with relevant collateral associates/resources of the probationer, and with community resources when compared to 'regular' probation officers."

Hypothesis 7: "The ISP will increase the utilization of relevant community services/resources when compared to 'regular' probation."

Hypothesis 8: "The ISP will demonstrate an increased rate of referrals to appropriate community resources when compared to 'regular' probation."

The Program Impact Hypotheses address the effectiveness and efficiency of the Intensive Supervision Program's impact on probation in New York. Hypothesis 1 asserts that the Intensive Supervision Program results in fewer failures for "high risk" probationers than regular probation. Hypotheses 2-4 seek to show that, along with a reduction in the expected aggregate level of failure, the ISP produces a reduction of the seriousness and level of harm of those who do fail. The hypotheses predict that this reduction in the seriousness and level of harm of failure offenses will be present in comparisons with both regular probation failure offenses and original conviction charges of ISP failures. Hypothesis 5 was designed to determine if the ISP would reduce the institutionalization costs to the state and local counties, by a reduction in the amount of incarcerative sentences and/or a reduction of incarcerative sentence lengths when compared to pre-ISP probationers. Program Impact Hypotheses 6-8 examine the basic planned ISP intervention strategy in order to determine whether the ISP will result in increased probation officer contact with probationers, collateral resources of probationers such as family, employers, landlords, primary contact persons, and community resources when compared to regular probation. These hypotheses also seek to test whether the ISP will increase the utilization of community resources by the probationer and increase the rate of referral to community agencies by probation officers when compared to regular probation.

MODIFICATIONS AND DELETIONS OF HYPOTHESES

A number of deletions and modifications were made in the testing of the Program Impact Hypotheses. Hypotheses 1-4 are examined as written, but the methods used to test these concepts in prior New York State Division of Probation evaluation reports have been modified. Hypotheses 5, 7, and 8 have been deleted and Hypothesis 6 modified because of a lack of information necessary for an appropriate test. While an extended discussion of the modifications and deletions follows immediately, the data used to test the remaining hypotheses are presented later in this section. Rather than skipping ahead, the following discussion should be considered when interpreting the forthcoming results. A meaningful interpretation of results is unlikely without a clear understanding of the methodological and theoretical issues involved in generating those results.

Discussion

The State Division of Probation in the past compared program outcomes of the ISP and pre-ISP groups in a number of ways. It defined failure on probation as follows:

1. Revocation of the Probation Sentence - violations of probation which are sustained and which result in sentence revocation
2. Unsatisfactory Discharge - termination from probation with an unsatisfactory adjustment categorization.
3. New Conviction - conviction for a felony or misdemeanor

offense committed while serving the current probation sentence.

4. Absconders - probationers whose whereabouts are unknown for a period of 30 days.

Successes constitute that group of probationers who do not meet any of the failure criteria.

In order to assess program impact, the Division of Probation constructed a composite measure of program outcome by subtracting the total number of failures on probation during the 18 months of data collection from the total population at entry.

Percentages of successes and of failures by category types for the ISP were then compared with those of the pre-ISP group and used as an all-inclusive measure of program effectiveness. In addition, comparisons of success rates were made at the 6, 12, and 18 month intervals by subtracting failures at 6 months from the entry N, failures at 12 months from the number of successes at 6 months, and failures at 18 months from the number of successes at 12 months.

The grant staff designed a slightly different measure to test the Program Impact Hypotheses for a number of reasons. The first approach fails to control for the amount of time individual probationers actually serve on probation. Since the ISP defined failure in terms of performance on probation and follow-up recidivism data are not collected on probationers who have completed their sentences in less than 18 months, some probationers are being counted as successes without the opportunity of becoming failures. For

example, a probationer successfully completing a one year sentence would have been counted as a program success at 18 months. That probationer might have been convicted of a new offense two months after discharge from probation. Another probationer with a five year sentence could have succeeded at 12 months and been convicted of a new offense in the 14th month, consequently being considered a program failure. In this example, the first and second probationers behave identically, yet because of a lack of follow-up data after a person leaves probation, the composite program outcome measure classifies them differently. Similarly, probationers who die in the fourth month or who are transferred out-of-state while serving their sentences would be considered program successes at 18 months since, by definition, they did not fail on probation.

In the second approach, the same shortcomings exist only they are distributed among the 6, 12, and 18 month intervals rather than included in a composite 18 month outcome measure. By using the number of successes in the preceding interval as the base for subtracting failures in the next interval, no controls exist for those probationers no longer at risk of failing while on probation. This approach inflates success rates at each time interval. Since both ISP and pre-ISP samples were treated in the same manner no intentional bias was introduced; however, this failure to control for time on probation prevents an accurate comparison of outcome for the two samples. Therefore, in order to improve the measurement of program effectiveness, the grant staff recoded all cases in both samples so that probationers off probation at the 6, 12, or 18

month interval but not failing during the preceding six months, did not have an outcome measure entered for the interval during which they were not at risk. For example, under this method, a probationer successful at 6 months but discharged early from probation in the ninth month would not be counted as a success at 12 months for purposes of testing the Program Impact Hypotheses. Rather, this probationer would be a success at 6 months and excluded from analysis at 12 months since he/she was not on probation at that time.

While realizing that any of the outcome procedures discussed here are less adequate than a continuous outcome measure comparing samples at each month rather than at six month intervals, we feel the approach employed here is more appropriate for a number of reasons. The ISP is designed to supervise those probationers most likely to fail on probation. Rather than inflating success rates, the method employed here tends to highlight the failure cases. This happens because those cases which are discharged early between outcome intervals are excluded from the following success percentage while failures are included. This approach also helps to control for and highlight any sample-specific processes or procedures, as well as differences in sample characteristics which result in different exit criteria from probation.

Another concept which the grant staff has modified for hypothesis testing is the "seriousness" of a failure offense. The New York State Division of Probation has previously examined the seriousness of a probation failure according to whether the failure

conviction was a felony or misdemeanor.²⁰ Harmfulness had been assessed by a further breakdown of felonies and misdemeanors into person, property, or victimless crimes.²¹ Under this method, sentence revocations were classified as "victimless" offenses.

A number of problems plague these methods of comparing the seriousness of criminal offenses. First, defining seriousness based on Penal Law classification may ignore variation in processing offenders such as police arrest charges, indictment proceedings, and plea-bargaining. Further, sub-classifying offenses as person, property, and victimless requires additional assumptions about the harmfulness inherent in any offense. An alternative way of classifying offenses would have been to use a scale; for example, the Sellin-Wolfgang Seriousness Scale²² was developed by asking individuals to rank different criminal behaviors as to their level of seriousness. This approach allows for varying amounts of property loss or physical harm to be ranked differently by the respondent. Thus, all person offenses are not collapsed into one category regardless of the damage, and person crimes are not necessarily more harmful than property crimes.

The manner actually used in defining harmfulness may be viewed as arbitrary since criteria defining the subcategories will vary from researcher to researcher whereas the basic felony/misdemeanor breakdown is established by law. Also, the researcher's delimitation of these categories in the

abstract becomes difficult to implement when one is forced to fit specific offenses into the person, property and victimless categories.

The ISP failed to independently define person, property, and victimless crimes,²³ instead apparently assuming that classifications would be self-evident; this resulted in some definitional anomalies. An example is the classification of criminal sale of marijuana 1st degree as a person crime while the same offense in the 3rd degree was a victimless offense. The only intrinsic difference between these two offenses is the quantity of marijuana sold, with the law stating amounts in excess of 16 ounces constitute 1st degree sale and more than 25 grams, 3rd degree sale. Since both crimes revolve around the action of selling drugs, our assumption is that if one is classified as a person or victimless offense, the other also should be so classified.

Additional problems emerge in the classification of certain procedural offenses. Revocations of probation or parole, for example, became victimless offenses under the Division's schema, as did unspecified Youthful Offender convictions for which the underlying crimes are unknown. Revocations based on technical nonconformity to conditions of probation or parole remain undifferentiated from those based on renewed criminal activities.

Although realizing that the felony/misdemeanor or person/property/victimless classifications fail to adequately assess the "seriousness" of an offense, the grant staff modified the Division's method by creating a revised classification system. Our revised system began with a definition of what constituted

a person, property, and other (instead of victimless) offense, with each offense then being placed in the appropriate category based on this definition. (See Table 2.4 for definitions and Attachment 3 for offense assignments). In the interest of providing the Division of Probation with current findings that are consistent with its prior classification scheme, results under both the original and revised classification systems will be presented.

A third concept which was modified from prior evaluation efforts was the "level of harm" of failure offenses. The Division of Probation previously determined the level of harm of an offense based on whether it was a personal, property, or victimless crime.²⁴ By this method all person crimes regardless of their felony or misdemeanor status are more serious than property crimes which in turn are more serious than victimless crimes. All the issues raised in discussing the definition of seriousness also apply to this classification of the "level of harm" of an offense.

In addition, following prior Division methods would pose a different problem. When comparing the seriousness of failure offenses, a felony property offense would be seen as more serious than a misdemeanor person. In a later table examining the level of harm, however, the misdemeanor person offense would be viewed as more harmful than the felony property. While the seriousness and level of harm need not be viewed as synonymous concepts (perhaps not even similar), the grant staff does not view them as being as radically divergent as the example would indicate. Therefore, this report presents results for assessing the level of

harm by examining whether the failure offense was a felony or a misdemeanor.

Hypothesis 5 has been deleted. This hypothesis is untestable here due to the absence of relevant and necessary data. Any comparison of either the absolute number or rates of incarcerative sentences pre- and post-ISP would be misleading due to a host of intervening variables impacting on sentencing practice which are totally unrelated to the ISP.

Much of the data necessary to test many of the questions in Program Impact Hypotheses 6-8 are not collected systematically by either the State of New York or local counties in any accessible form. The data for the pre-ISP comparison group that form the basis for testing Impact Hypotheses 1-4 do not include the necessary information to address these issues. This same problem holds for the original ISP evaluation sample.

Time and budgetary constraints precluded additional data collection for pre-ISP cases. The State of New York, however, periodically collects certain data relating to personal and collateral contact for "regular" probation in order to assess county levels of compliance to State rules and regulations. Where available, these reports specify the average number of personal and collateral contacts with non-ISP probationers. In order to test forthcoming Process Hypotheses, this grant authorized a data collection effort for a random sample of 400 ISP cases. The amount of personal and collateral contacts for these ISP cases is available. (Chapter 3 describes the origins and characteristics of this sample). Rather than abandon Program Impact Hypothesis 6 completely, the grant staff generated a

crude comparison between ISP and non-ISP cases of the average monthly contacts by probation officers with both probationers and collateral resources based on the sources just described. The reader should remember that all information on non-ISP cases was extracted from existing Division of Probation reports. Neither ISP nor grant staff were involved in compiling these reports. Since our experience indicates that regular probation case files are often less than complete and the data gathering procedures employed are unknown, results from these reports should be viewed with caution.

The hypotheses dealing with community resource utilization cannot be addressed by either of these alternative sources. Thus, while a limited test of Hypothesis 6 is possible, Program Impact Hypotheses 7 and 8 were deleted.

HYPOTHESIS TESTING

Table 2.1 presents a comparison of outcome measures for the ISP and pre-ISP samples. This table illustrates that success rates fluctuate across time periods with no clear-cut pattern for either group. Consistent with our procedure of including only those cases at any given interval which have the opportunity to fail, the sample size of both the ISP and pre-ISP group decreases at each interval. Thus the ISP sample of 844 and the pre-ISP sample of 311, from which the twelve month percentages were calculated, excluded all failures prior to the six month measure and all deaths, early discharges, etc. between the six and twelve month intervals. This method was followed in arriving at the 559 ISP and 234 pre-ISP cases used for the eighteen month outcome rates.

Table 2.1 Comparison of Outcome for High Risk ISP and pre-ISP Probationers (Risk Score \geq 48) at Six, Twelve, and Eighteen Months in Percent

Outcome	Six Months		Twelve Months		Eighteen Months	
	ISP	pre-ISP	ISP	pre-ISP	ISP	pre-ISP
Success	87.4	88.0	77.5	79.7	84.8	81.2
Sentence Revoked	2.3	0.3	4.9	3.2	2.5	0.4
Unsatisfactory Discharge	0.0	0.6	1.7	2.3	0.5	0.4
New Conviction	6.5	6.2	12.8	10.9	9.7	15.0
Absconder	3.8	5.0	3.2	3.9	2.5	3.0
	100.0 (N=1010)	100.1 (N=357)	100.1 (N=844)	100.0 (N=311)	100.0 (N=559)	100.0 (N=234)

Table 2.2 Comparison of Successful Outcome for High Risk ISP and pre-ISP Probationers (Risk Score \geq 48) at Six, Twelve, and Eighteen Months in Percent

Risk Score	6 months		12 months		18 months	
	ISP	pre-ISP	ISP	pre-ISP	ISP	pre-ISP
48 - 60	90.5 (528)	89.8 (235)	80.8 (452)	81.3 (208)	85.2 (305)	83.5 (153)
62 - 70	85.5 (275)	84.0 (81)	75.2 (230)	82.4 (68)	85.6 (153)	75.9 (54)
72+	82.1 (207)	85.4 (41)	71.6 (162)	65.7 (35)	82.2 (101)	77.3 (22)

The success rates are nearly identical at six months, while the Pre-ISP group has a higher success rate at twelve months and the ISP group a higher success rate at eighteen months. When outcome is dichotomized into success/failure, however, the resulting Chi Square values are not sufficiently large for any of the three comparisons to be statistically significant ($p > .05$).

In order to explore whether these results might stem from the aggregation of all risk scores, Table 2.2 contains the percent succeeding by subcategories of risk. This table supports the results from Table 2.1 ($p > .05$ for all comparisons).

It is interesting to note that 65.5% (n=234) of the total pre-ISP group (n=357) is used in calculating the eighteen month outcome figures, compared to only 55.3% (n=559) of the ISP sample ($p < .01$). Thus, a greater proportion of high risk probationers are being released from ISP in less than 18 months. Any estimate of the impact of this difference in sample mortality on outcome is beyond the capacity of this data.

Since the success rates of the two groups are similar in all time periods, so too are the failure rates. However, the breakdown of the failures raised interesting concepts to be examined in terms of the processes of the two probation programs. The

fact that ISP has higher percentages of revoked sentences at eighteen months but fewer new convictions might be explained by program specific processes. The ISP stresses accountability to the court for probationers under its supervision. Therefore, it is not unreasonable to assume that the ISP requirement which mandates that any new arrest be reported to the court could often lead to sentence revocation in the ISP but new conviction failures in the pre-ISP sample.

The ISP classifies fewer probationers in absconder than the pre-ISP at each time interval. One would expect a priori that ISP absconder rates would be higher than regular probation because of reporting requirements built into the ISP which declare probationers in absconder status at a specific point in time. Furthermore, the experience of the evaluation staff when collecting data from pre-ISP files revealed that a substantial time period often elapsed before pre-ISP probationers were declared absconders. Therefore pre-ISP abscontion rates should be higher than those in the table. Keeping these facts in mind, it appears that ISP is making an impact towards deterring absconders.

Further subdivision of the high risk probationers into three levels based on risk score does not substantially alter the inconclusive results on program effectiveness (Table 2.1). While ISP success rates are higher than pre-ISP rates at some time and risk intervals, these differences are slight, are not statistically significant, and do not form a steady pattern or trend.

In earlier discussion of the characteristics of the ISP and pre-ISP samples, it was pointed out that there were differences between the two groups in the proportion of probationers from each of the three planning areas. The pre-ISP sample contained a larger proportion of probationers from urban areas and the ISP sample contained a larger proportion of probationers in suburban and rural areas. It is possible that probationers from different planning areas may be different on a number of dimensions (e.g., peers, criminal opportunities) which could impact on outcome. If, for instance, probationers from urban areas are more likely to fail for any reason, pre-ISP failure rates would be higher than ISP failure rates because of the larger proportion of urban probationers in the pre-ISP sample. If, on the other hand, probationers from suburban or rural areas are more likely to fail, ISP failures would increase.

Table 2.3 compares outcome between the ISP and pre-ISP samples when planning area is controlled. Because of the low number of cases in suburban (DPA) and rural (RCA) areas, outcome has been dichotomized into success-failure.

Table 2.3 Comparison of Outcome (all time periods) for High Risk ISP and pre-ISP Probationers by Planning Area in Percent

Outcome	Planning Area					
	ISP	MPA pre-ISP	ISP	DPA pre-ISP	ISP	RCA pre-ISP
Success	62.5	61.2	57.6	46.2	57.5	55.6
Failure	37.5	38.8	42.4	53.8	42.5	44.4
	100.0	100.0	100.0	100.0	100.0	100.0
	(n=616)	(n=242)	(n=172)	(n=52)	(n=221)	(n=63)

Table 2.3 shows that both the ISP and pre-ISP samples have different success rates in different planning areas. A comparison of ISP and pre-ISP success rates in each planning area shows that while the ISP group has higher success rates than the pre-ISP sample in each comparison, these differences are not sufficiently large to support Program Impact Hypothesis 1 ($p > .05$ in all cases).

Table 2.4 tests the assertion in Program Impact Hypothesis 2 that the seriousness of failures by ISP probationers is less than that of non-ISP probationers.

Table 2.4 Comparison of Categories of Failure Offenses for ISP and pre-ISP High Risk Probationers in Percent

<u>Failure Offense</u>	<u>ISP</u>	<u>pre-ISP</u>
Felony	23.7	17.5
Misdemeanor	76.3	82.5
	100.0	100.0
	(N=299)	(N=103)

Table 2.4 fails to support Program Impact Hypothesis 2. Although differences are slight ($p > .05$), they are in the opposite direction of that predicted by the hypothesis. As a group, high risk pre-ISP probationers are no more likely to fail by committing felonies than their ISP counterparts.

In Table 2.4, revocations of probation have been coded as misdemeanor offenses. Because of the level of accountability of the ISP compared to the pre-ISP, it is possible that the ISP process produces more probation revocations, and consequently a higher proportion of failures classified as misdemeanors than regular probation.

In an effort to examine such possible effects on the classification of failure offenses, Table 2.5 reproduces Table 2.4 with probation revocations excluded. In this manner, program specific processes dealing with violation procedures and revocations can be partially controlled.

Table 2.5 Comparison of Failure Offenses for ISP and pre-ISP High Risk Probationers (Revocations excluded) in Percent

	<u>ISP</u>	<u>pre-ISP</u>
Felony	32.0	19.8
Misdemeanor	68.0	80.2
	100.0	100.0
	(N=222)	(N=91)

Table 2.5 supports the assumption that a larger proportion of misdemeanor failure offenses in Table 2.4 were revocation of probation cases in the ISP group (ISP = 25.8%, pre-ISP = 11.7%). Thus, excluding probation revocations from failure offense data sustains the initial finding that Program Impact Hypothesis 2 is not supported. ISP probationers are no less likely to fail for a felony than pre-ISP probationers.

Table 2.6 presents a test of Program Impact Hypothesis 2 using the second "seriousness" measure advanced by the New York State Division of Probation. This method further subclassifies the felony/misdemeanor distribution according to whether the offense was person, property, or victimless.

Table 2.6 Comparison of Subcategories of Failure Offenses for ISP and pre-ISP High Risk Probationers in Percent

<u>ORIGINAL CLASSIFICATION</u>			<u>REVISED CLASSIFICATION*</u>		
<u>Failure Offense</u>	<u>ISP</u>	<u>pre-ISP</u>	<u>Failure Offense</u>	<u>ISP</u>	<u>pre-ISP</u>
FPer	3.3	5.8	FPer	3.7	4.9
FProp	18.7	9.7	FProp	18.4	9.7
FVictl	1.6	1.9	FOther	1.7	2.9
MPer	5.9	13.6	MPer	4.7	10.7
MProp	32.5	41.7	MProp	31.8	41.7
MVictl	38.0	27.2	MOther	39.8	30.1
	100.0	99.9		100.1	100.0
	(N=305)	(N=103)		(N=299)	(N=103)

*PERSON - involves actual or threatened physical harm/injury to an identifiable person(s) without their consent

PROPERTY - involves an identifiable victim with a loss in which physical harm/injury is not a factor.

OTHER - any offense which does not meet all conditions of either of the preceding definitions.

(Attachment 3 includes a complete list of the offenses and their classification in both schemes.)

Table 2.6 reveals similar results under the original and revised classification systems with the exception of a slight movement from the person to the other category under the revised classification. Pre-ISP probationers fail more often for person crimes in both the felony and misdemeanor categories in both com-

parisons. One possible explanation is that ISP's increased accountability results in the earlier removal of likely personal crime failures via the revocation process, thereby producing a misdemeanor victimless failure designation.

In order to investigate this possibility, Table 2.7 duplicates Table 2.6 while controlling for revocations.

Table 2.7 Comparison of Subcategories of Failure Offenses (Revocations Excluded) for High Risk ISP and pre-ISP Probationers in Percent

<u>Failure Offense</u>	<u>ISP</u>	<u>pre-ISP</u>
FPer	5.0	5.5
FProp	24.8	11.0
FOther	2.3	3.3
MPer	6.3	12.1
MProp	42.8	47.3
MOther	18.9	20.9
	100.1	100.1
	(N=222)	(N=91)

This method (Table 2.7) reduces the disparity between the ISP and pre-ISP samples in the felony person category. Differences between the two groups remain, however, in the misdemeanor person category. Pre-ISP probationers continue to be more likely to fail for misdemeanor person crimes than their ISP counterparts. Although Table 2.7 fails to support the earlier assumption that these differences stem solely from violation procedures, the nature of new convictions does not differ significantly from ISP to pre-ISP.

Table 2.8 Comparison of Level of Harm of Failure Offenses for High Risk ISP and pre-ISP Probationers in Percent

Failure Offense	Original Classification		Failure Offense	Revised Classification	
	ISP	pre-ISP		ISP	pre-ISP
Person	9.2	19.4	Person	8.4	15.5
Property	51.1	51.5	Property	50.2	51.5
Victimless	39.7	29.1	Other	41.5	33.0
	100.0	100.0		100.1	100.0
	(N=305)	(N=103)		(N=299)	(N=103)

Table 2.8 illustrates that ISP probationers are less likely to fail for a person offense and more likely to fail for a victimless or other offense than their pre-ISP counterparts. When revocation of probation failures are removed from the analysis the results differ somewhat as reflected in Table 2.9.

Table 2.9 Comparison of Level of Harm of Failure Offenses (Revocations Excluded) for High Risk ISP and pre-ISP Probationers in Percent

Failure Offense	ISP	pre-ISP
Person	11.3	17.6
Property	67.6	58.2
Other	21.2	24.2
	100.1	100.0
	(N=222)	(N=91)

A comparison of Tables 2.8 and 2.9 reveals conflicting trends regarding the level of harm of failure offenses. If one assumes the level of harm can be defined in a hierarchy from person to other regardless of the felony/misdemeanor nature of a failure offense, Table 2.8 could lead to the conclusion that ISP high risk

probationers are more likely to fail for an other offense and less likely to fail for a person offense; thus, decreasing the level of harm to the community.

Table 2.9, while still showing fewer personal crimes for the ISP group, supports the conclusion that the preferred category of failure becomes property offenses as the removal of revocation cases deflates the "other" category. Thus, ISP does not reduce the level of harm to the community when comparing failure rates of property or other offenders. These findings must be interpreted in light of the discussion of Table 2.7. This table highlighted the fact that differences in the person category between the ISP and pre-ISP stem from variation in the misdemeanor person category not the felony person category. Additionally differences in the property offense category result from the higher probability that ISP probationers fail by a felony rather than a misdemeanor property offense.

As previously mentioned, the grant staff had agreed to present data in a manner consistent with earlier evaluation efforts by the Division of Probation. However, in light of the methodological problems inherent in the Division's "level of harm" approach, the grant staff made modifications to present the best analysis possible rather than maintaining consistency with past products of the Division. Since an appropriate "level of harm" scale is not available for use with these data, the test requiring the fewest assumptions should be used. Thus, Table 2.5, with failure offenses broken only into felonies and misdemeanors with probation revocations excluded, seems the best comparison to make in testing Program Impact Hypothesis 3. Using this method, none of the

comparisons made with these data support the hypothesis that the level of harm of an ISP probation failure is less than that of a pre-ISP probationer of similar risk. It must be kept in mind, however, that the examination of failure data with or without revocations is subject to interpretation.

Previous discussions in Program Impact Hypotheses 2 and 3 detailed the methodological and theoretical problems resulting from assessing seriousness or the level of harm of an offense by a person, property, victimless or other classification. While these hypotheses specifically compared ISP and pre-ISP, these problems also apply to comparisons of current offense and failure offense data within the ISP. Therefore, the testing of Program Impact Hypothesis 4 will be limited only to the comparison of current offense and failure offense data within a felony/misdemeanor categorization excluding failures for revocation of probation (Table 2.10).

Table 2.10 Comparison of Current Offense and Failure Offense (Revocations Excluded) for High Risk ISP and pre-ISP Probationers in Percent

Failure Offense	Current Offense			
	Felony		Misdemeanor	
	ISP	pre-ISP	ISP	pre-ISP
Felony	43.2	30.0	23.6	14.8
Misdemeanor	56.8	70.0	76.4	85.3
	100.0	100.0	100.0	100.1
	(n=95)	(n=30)	(n=127)	(n=61)

In Table 2.10, the failure offenses of the ISP group do not show a reduction in seriousness when compared to the instant conviction. Failure offenses for ISP probationers are no less likely to be felonies than those of their pre-ISP counterparts, regardless of the original conviction offense ($p > .05$). Thus, Program Impact Hypothesis 4 is not sustained by the data presented in Table 2.10.

As mentioned in the introduction to the Program Impact section, data were not available to test Hypothesis 6 on the entire ISP or pre-ISP samples. Instead a random sample of 398 ISP cases, drawn to test the Process Hypotheses in this grant, forms the basis for the testing of the first two parts of this hypothesis. (This sample is described in Chapter 3). Because this random sample contains only ISP cases, the requisite information for a non-ISP group was obtained from the Division of Probation's countywide surveys of the level of personal and collateral contacts. The grant staff utilized all existing compliance surveys from ISP counties in constructing a non-ISP comparison group. Because the most recent reports available were utilized, only 12 of the 22 ISP counties had such reports available. Only those regular probation cases classified into the Intensive category comprise the non-ISP sample. These probationers are presumed to be the most serious offenders and have contact requirements most similar to those of the ISP.

Since the classification of regular probation cases into the Intensive category is not based upon the Risk Assessment Instrument employed by the ISP, the selection process relies upon a sub-

jective assessment of probationer risk with the most serious cases remaining in the Intensive category. The supervision rule governing the Intensive category mandates at least four personal contacts and four collateral contacts per month for each probationer. (However, as noted earlier, the rule permits the substitution of agency contacts for personal contacts). The contact requirements for the ISP specify a minimum of four personal contacts, one home visit and four collateral contacts per month for each ISP case. Since the ISP contact requirements are not based on individual risk scores, there was no need to exclude risk scores below 48 from the analysis as was done in testing earlier Program Impact Hypotheses. Thus, the ISP group is composed of all 398 cases in the sample.

The definition of what constitutes a personal or collateral contact was based upon the information available for the non-ISP comparison group. The rules compliance surveys used simply listed the total number of personal and collateral contacts, undifferentiated by the nature of these contacts; i.e., face-to-face, phone, etc. A corresponding measure was generated for the ISP sample, for which more specific contact information existed, by aggregating all contacts with the probationer. For purposes of testing Program Impact Hypothesis 6, a personal contact includes all phone, office, home, and community contacts with the probationer. The same type of all-inclusive measure is used for establishing the number of contacts with collateral associates/resources of the ISP probationer.

Table 2.11 compares the average monthly number of personal

and collateral contacts for the ISP and non-ISP samples.

Table 2.11 Comparison of the Average Number of Contacts per Month by Planning Areas for the ISP and non-ISP Samples

	<u>Average Personal Contacts</u>	
	<u>ISP</u>	<u>non-ISP</u>
M.P.A.	3.6	3.2
D.P.A.	3.6	1.1
R.C.A.	3.7	2.6
All Areas Combined	3.6	2.6

	<u>Average Collateral Contacts</u>	
	<u>ISP</u>	<u>non-ISP</u>
M.P.A.	3.5	1.8
D.P.A.	3.7	.8
R.C.A.	4.1	1.5
All Areas Combined	3.7	1.7

Table 2.11 highlights the fact that the ISP initiates more contacts with probationers and collateral resources for each category of planning area than intensive non-ISP probation supervision. The difference in average monthly personal contacts is one additional contact per month or 25% of the required contact level for both groups. The ISP's average monthly collateral contacts for all areas combined is more than double that of the non-ISP group. Table 2.11 was presented by planning areas partly out of our concern that only one county in the D.P.A. was available from the non-ISP compliance surveys. For purposes of the limited comparisons presented to test Program Impact Hypothesis 6, this shortcoming does not seem to alter the overall impression that the ISP group has more contacts than the non-ISP

group. Comparing the individual figures for the M.P.A., D.P.A., and R.C.A.'s with the combined figures sustains this conclusion.

Several factors might account for all or part of the differences in Table 2.11. The philosophy of ISP emphasizes the increased use of community resources and collateral resources as a goal of intensive supervision, and the larger number of contacts within the ISP group may reflect the operationalization of this philosophy. This emphasis would tend to increase the number of collateral contacts for the ISP group. However, the differences between the ISP and non-ISP samples in both mean personal and collateral contacts may be due in part to recording practices. For example, the maximum caseload size of 25 in the ISP would facilitate opportunities for increased levels of contacts unavailable to non-ISP officers with larger caseloads; larger caseloads could account in part for the lack of documentation previously discussed for regular probation casefiles. If this is true, even when contacts are made, the absence of explicit recording forms coupled with the lack of intensive monitoring might result in a lower number of contacts being recorded in non-ISP counties. Although these factors might help explain why the observed differences in Table 2.11 exist, ISP appears to increase both personal and collateral contacts for the probationers it supervises.

Summary

Results were displayed in this section in an attempt to assess the impact and effectiveness of the Intensive Supervision Program. Although certain Program Impact Hypotheses have been excluded from this report, a number of conclusions are possible.

The Intensive Supervision Program does not appear to reduce the overall failure level of "high risk" probationers. Differences in failure rates for the two samples were not statistically significant. The same conclusion was reached when controlling for planning area. The ISP does not appear to reduce the failure rate for "high risk" probationers in urban, suburban, or rural areas. The lack of any consistent pattern showing a reduction in failure rates resulted in the conclusion that Hypothesis 1 was neither supported nor refuted. It should be noted, however, that the ISP group had a higher success rate than the non-ISP group at the end of eighteen months, suggesting that a longer follow-up period may provide data which indicate higher success rates as the ISP becomes fully integrated into county probation departments.

Hypotheses 2-4 were not supported in the data presented in this section. A number of alternative ways in which the seriousness of a failure offense could be operationalized were discussed. The same procedure was followed in determining the level of harm to the community resulting from failure offenses. It was concluded that the ISP does result in a lower rate of absconding and a higher level of accountability in terms of revocations of probation. Although there was some indication of reduction in level of harm and increase in level of seriousness for the ISP group, these data show that there were no significant differences.

No effort could be made to determine if the ISP would reduce the institutionalization costs to the State and local counties by a reduction in the amount of incarcerative sentences and/or a reduction of incarcerative sentence lengths when compared to pre-ISP probationers. Likewise, no data were available to determine whether ISP increases the utilization of or the referral rate to community resources.

A limited comparison of the average monthly contacts with probationers and collateral resources for ISP officers as compared to non-ISP officers was presented. Although the average number of contacts differs by location, it was concluded that the number of contacts for the ISP group was higher than that for the non-ISP group.

PROCESS HYPOTHESES

Process Hypothesis 7: "Those ISP probationers which utilize community services in their first and second priority need areas as part of their supervision plan will be more successful in the ISP than those which do not utilize these services."

Process Hypothesis 8: "Those ISP counties which demonstrate a high level of client use of community resources will have a higher rate of success than those counties with little or no utilization of services."

Process Hypothesis 9: "ISP probationers for whom program goals and behavioral objectives are clearly stated will be more successful than those for whom goals and objectives are not clearly specified."

Process Hypothesis 10: "Successful community adjustment while in the ISP is a function of the level of the probationer's involvement in the initial planning process and the developing and identification of supervision goals and objectives."

Process Hypothesis 11: "Successful community adjustment while in the ISP is a function of the convergence of the need areas identified by the officer and those identified by the client."

Process Hypothesis 12: "ISP probationers who have supervision plans based on need areas will show a higher rate of success than ISP probationers whose plans are based solely on the orders and conditions of probation."

Process Hypothesis 13: "The frequency of contacts by the officer during the planning phase positively relate to success in the ISP."

Process Hypothesis 14: "ISP probationers initially seen within 72 hours of the sentence to probation will be more successful on probation than those not seen within 72 hours."

Process Hypothesis 15: "ISP probationers who demonstrate significant progress toward supervision objectives will be more successful on probation than those who show relatively little or no progress."

Process Hypothesis 16: "The number of personal contacts over time will relate positively with outcome."

Process Hypothesis 17: "The more personal contacts that are made out of the 'probation environment,' the more likely the probationer will be a success."

Process Hypothesis 18: "That the nature of collateral contacts impacts on outcome."

Process Hypothesis 19: "The type of collateral contact (i.e., face-to-face, phone, letter) will impact on outcome."

Process Hypothesis 20: "The number of collateral contacts impacts positively on outcome."

The testing of Process Hypotheses 7 through 20 necessitated an intensive data collection effort from ISP case files. The name - Case Review Sample - will designate this subsample of ISP probationers used in testing these hypotheses. Since data collection for the entire ISP sample (N=1541) was not feasible, a 30% sample was randomly selected. Rather than limiting the Case Review sample to "high risk" ISP probationers as in the testing of the Program Impact Hypotheses, ISP probationers from all risk scores were eligible for inclusion since ISP processes are program, not risk score, specific. In collecting data on the Case Review sample, case files were examined onsite in 20 of the 22 ISP counties. Travel and budgetary constraints necessitated the elimination of 11 cases from Jefferson and Ontario counties. After data collection the Case Review sample consisted of 398 cases. Although random sampling techniques maximize the likelihood of a representative subsample of a population, a limited comparison of the Case Review and ISP samples was undertaken to examine the differences and similarities between the two groups in key areas. Both samples were essentially similar in the following areas: demographic profile, risk score distribution and mean risk score, geographic locale, current offense, prior criminal history, and outcome. Thus, it is believed that results produced in testing Process Hypotheses 7 through 20 using the Case Review sample should be generalizable to the entire ISP sample.

In developing a data collection instrument for reviewing ISP case files, grant staff relied exclusively upon ISP case recording

documents furnished by the State Division of Probation. These ISP forms are required to be completed at regular intervals and in a manner consistent with instructions contained in the ISP Operational Guidelines. In theory, these source documents would be present in all ISP files and would provide standardized, accurate information about ISP processes.

Grant staff completed on-site an eight page data collection instrument for each case. The final form of this instrument reflected modifications stemming from the pretesting of two prior versions on a total of 49 ISP cases in two local counties. The final data collection instrument (see Attachment 4) then was pre-tested on 24 ISP cases in Albany County and found to be suitable for data gathering. During the pretests, as well as the subsequent data collection, the grant staff conducted interrater reliability checks among the data collectors to ensure that the instructions for completing the form were followed properly. A few areas were clarified via information gained during the pretesting of the instrument and revised instructions for the completion of NIC Case Review Data Collection Instrument issued to all the data collectors. Procedures to check reliability of the data gatherers and to obtain the most reliable data possible consisted of the independent completion of the instrument by another data collector for every fifth case in the sample. Once the same case had been coded by two persons, the data collection forms were compared for inconsistencies. If discrepancies were discovered, both raters then consulted the case file to resolve the differences immediately; thereby assuring that the most accurate data possible were ulti-

mately gathered. Because on-site comparisons and immediate correction of errors occurred while the sources were still available, no overall reliability coefficient can be computed. In most cases the reliability checks revealed few discrepancies, and those present stemmed from the degree of sub-itemization rather than substantive differences. For example, one data collector may have listed attorneys by name and another may have aggregated them under a lawyer or attorney category, but both had an identical number of contacts recorded.

Three main problem areas must be discussed before proceeding to test the Process Hypotheses. These problems include: 1) the structure of ISP case recording forms; 2) the improper completion and/or non-completion of required ISP forms; and 3) the validity of the grant's hypotheses designed to assess ISP processes. The following discussion of these issues should be kept in mind when interpreting the findings, or lack thereof, produced by testing specific Process Hypotheses.

The ISP Operational Guidelines list the "systematic collection of data to allow ongoing evaluation of the program, so that necessary program modifications can be made" as a major component of the ISP.²⁵ The ISP furnishes standardized case recording forms to local ISP probation officers in order to assist them in devising a supervision strategy, to ensure a means of monitoring compliance with ISP Operational Guidelines, and to provide data for program evaluation. The primary purpose of these forms is to provide information for the Probation Registrant System, and the information is not always structured in a manner which maximizes its potential for use in all evaluation efforts. The data collection effort undertaken to test the Process Hypotheses revealed that the structure of these ISP reporting forms was not well suited to an

evaluation of the ISP intervention strategy. The ISP intervention strategy assumes that identification of probationer need areas, development of specific behavioral objectives addressing these needs, increased contact with the probation officer, and greater utilization of available community resources will contribute to a successful probation outcome. All of these elements of the ISP intervention strategy are contained in Process Hypotheses 7 through 20.

Despite the ISP's emphasis on case documentation, the forms provided for this purpose failed to meaningfully capture these critical components of the ISP intervention strategy for evaluation purposes. The Needs Assessment and Evaluation form is the vehicle for identifying and ranking probationer need areas. This form is completed during the first thirty days of ISP supervision and consequently reflects needs present during the initial planning phase. Although subsequent monthly and/or quarterly recording forms permit changes in need areas to be addressed in the probation officer's narrative, no structured format exists for recording changing needs or reranking them so that such revisions can be utilized in Process evaluation. Even though narrative accounts of changes in probationer needs might sometimes exist in the case files, typically a ranking of changed need priorities would be lacking. Ideally, case recording forms should be structured to include ranked need reassessments on a quarterly basis and in a format identical to that on the initial Needs Assessment and Evaluation. The failure to systematically document changes in the identification and/or prioritization of need areas impacts on the testing of Process

Hypotheses relating need resolution to community resource utilization and/or probation outcome. The structure of available data permits the evaluation of such hypotheses only in terms of the initial Needs Assessment and Evaluation. The structure of the ISP's forms tends to ensure that cases resolving initial needs and establishing new ones would be penalized from an evaluation standpoint since later community agency use would diverge from initial need areas. Also, the relationship between progress in need resolution and probation outcome might be masked.

An additional problem surrounding the documentation of probationer need areas is the absence of standardized categories of needs among different ISP recording forms. The Needs Assessment and Evaluation form delimits ten distinct need areas whereas the Needs Addressed component of the Probationer's Activities Verified section in the Monthly Activity Report is open-ended in format. The guidelines for completing the Needs Addressed component do not require that the ten need categories from the Needs Assessment and Evaluation be used for classification of probationer activities. The lack of consistency in the structure of these forms creates problems in the testing of hypotheses addressing the convergence of probationer agency utilization and identified need areas. For example, counselling might be the need identified in the Probationer Activities Verified section of the Monthly Activity Report. However, counselling might also be an appropriate intervention technique to resolve any one of several need areas identified on the original Needs Assessment and Evaluation. Unless the corres-

ponding agency on the Monthly Activity Report provides need-specific services (e.g., Drug Rehabilitation Center) determining which needs a general counselling organization (e.g., Catholic Family Services) might be addressing becomes problematic.

The utilization of community resources constitutes an integral part of the ISP and hence many of the Process Hypotheses focus on this variable's impact on outcome. However, the structure of existing ISP forms precludes the measurement of the probationer's level of community resource utilization. The standardized portion of the Monthly Activity Report relevant to probationer community resource utilization (Probationer's Activities Verified Section) requires the probation officer to record the names of agencies used, the need to which their use is directed, and the dates of probationer use. These data on community resource utilization, however, are quite crude. No clear prescription exists for limiting entries to community-based agencies. Some probation departments provide supplemental services such as employment and personal counselling. The Monthly Activity Report permits the probation officer to include such probation-sponsored auxiliary services in the "Agencies Used" section.

The documentation of community resource utilization consists only of the number of times a probationer attended an agency. At best this is an extremely limited quantitative measure since the frequency of agency contacts reveals nothing about the duration of such contacts. Hence, the nature of community resource utilization both in terms of the type and extent of services provided and the probationer's suitability and receptivity to such services could not be explored from such data.

The second major problem area, the improper completion and/or lack of completion of forms, exists in any data collection effort. Despite the use of standardized forms, the emphasis on adherence to the ISP's Operational Guidelines, and the monitoring of compliance by the Division of Probation's ISP Consultant staff, both the quantity and quality of the information available varied between and within the counties examined. Variation was found in forms relating to all aspects of the ISP intervention strategy including the Needs Assessment and Evaluation, the writing of goals and behavioral objectives, the recording of personal and collateral contacts, the recording of community resource utilization, and the mandatory Risk Reassessments. In order to analyze the possible impact of differing levels of probation officer documentation on these areas, the grant staff created a P.O. Documentation Scale. (The actual components of the Documentation Scale and its construction along with its completion on 102 of 398 Case Review cases are described in Attachment 6.)

There is an additional problem of individual ISP probation officers completing the standardized forms consistently within their caseloads but differently from other ISP probation officers. The ISP Operational Guidelines concerning the completion of certain forms might be interpreted differently by different probation officers. For example, the ISP Operational Guidelines instruct probation officers on the ranking of need areas on the Needs Assessment and Evaluation as follows: "This ranking should reflect those areas of need which are judged most critical to successful completion of probation, and should be listed in rank order, from 1 to 10, with 1 being the highest priority need."²⁶ Since all need

areas are scored on severity, it is unclear whether the Guidelines' instruction on ranking applies to all ten need areas or only those "judged most critical." Some probation officers checked all ten need areas in the "Identified Problem" section of the Needs Assessment and Evaluation as a prelude to ranking them while others only selectively checked the most critical needs they intended to rank. Such discrepant practices impact on the testing of Process Hypotheses which are dependent upon the convergence of need identification between probationers and probation officers. In those cases where probation officers routinely identify all need areas, the number of needs agreed upon tends to increase because every need identified by a probationer would automatically be matched by the probation officer. In those instances where probation officers selectively identify needs, the matching of those needs with needs indicated by the probationer must be more exact, hence decreasing the probability of convergence.

The actual nature and extent of probationer participation in completing the Needs Assessment and Evaluation form was also found to vary from county to county. For instance, one ISP Supervisor told the grant staff that their department found it most useful to give the Needs Worksheet to the probationer to be filled out at home rather than being jointly completed in the office; other counties fill out the form based on a joint discussion between probationers and probation officers during an office visit. It is not inconceivable that in this latter situation probationers might be more inclined to agree with the probation officer's assessment rather than being completely candid about their views. In fact, in the first example given above, this was precisely the

rationale prompting a change in procedure. Probation officers thought that independent completion of the form by probationers in a less coercive environment produced more honest, and hence more useful, results.

Another source of inconsistent data recording is the failure of probation officers to properly complete the forms when clear and specific instructions are present in the Guidelines. One illustration of this problem is the Probationer's Activities Verified section of the Monthly Activity Report. The date component of this section was intended to record the dates on which the probationer visited an agency. Although this is a less than perfect means of measuring "level" of probationer resource utilization, it would allow for a quantitative comparison if properly completed. However, when ISP case files were examined, this section was often found to be blank, to contain a rate (e.g., "3 times a month"), or to reflect the dates when the probation officer verified attendance rather than the actual attendance of the probationer.

The structure of probation in New York State might contribute to probation officer resistance to standardized case recording procedures. Probation in New York State is structured so that the State Division of Probation functions as a regulatory agency and furnishes standardized forms for the ISP. Meanwhile actual supervision services and ISP probation officers are provided by the local counties. The grant staff was sometimes told by local probation officers that these standardized state forms were viewed as paperwork used for monitoring purposes rather than as

aids to structuring a supervision strategy for an individual probationer. This type of attitude might impact on the quality of the data gathered from case files.

Perhaps the third major problem area, the meaningfulness of the grant's hypotheses for evaluating ISP's processes, overshadows all other practical concerns about the quality of the data. After all, even the strongest data base produces meaningless results if the hypotheses tested lack meaning.

Process Hypotheses 7 through 20 attempt to measure the utility of the ISP's processes for improving probation outcome. Consequently, all hypotheses are phrased in terms of outcome. At times, the relationships scrutinized in the hypotheses presuppose a causal connection between events widely dispersed temporally. For example, examining events occurring during the first thirty days of probation for their potential impact on probation outcome, possibly as much as 18 months later, ignores a host of intervening events. Given such a distant causal connection it would not be surprising if little or no relationship was found to exist. Furthermore, the term "process" implies a continuing series of interrelated events, yet these hypotheses focus on certain one-time occurrences without regard to the dynamics of those interrelated events. The result is a static view or glimpse of underlying processes which remain virtually unexplored. In part, the reliance of the grant on a case file review methodology precludes capturing many of the key elements of the ISP process. The scope of the Process Hypotheses tends to be broad, fostering superficial analysis instead of focusing on the dynamics of

one specific phase of the ISP intervention strategy.

Relying on case files to test Process Hypotheses 13 through 20 produces quantitative rather than qualitative measures of ISP processes. The literature reviewed in the introduction of this report clearly indicated that previous research has not shown any conclusive relationship between the quantity of contacts alone and probation outcome. The qualitative aspects of the ISP process remain uninvestigated, and the number of inferences one is forced to draw owing to the structure of available data is considerable if one is testing hypotheses relating quantitative processes to probation outcome.

MODIFICATIONS AND DELETIONS OF HYPOTHESES

Process Hypotheses 7 and 8 analyze the impact of community resource utilization on probation outcome. Both the structure of the ISP forms and the variation in completing the portion dealing with community resource use preclude an accurate measurement of probationer community resource utilization. Instead whenever a community agency is listed, it is assumed to have been used by the probationer. This approach limits the hypotheses to testing a relationship between community agencies listed on the form (the only available indicator of community resource utilization) and outcome. In interpreting results for Process Hypotheses 7 and 8, the reader is cautioned when making conclusions concerning the level of community resource utilization.

Process Hypothesis 8 posed an additional problem in that it compares success rates for 20 counties using a total sample of 398 cases. Therefore, most counties lacked a sufficient number of cases for generating stable percentages. Only five urban counties had at least 20 cases upon which to base a percentage figure. The fact that these five counties are urban might limit the generalizability of results. However, comments by ISP staff in rural counties cited the absence of a wide range of community services in rural areas in explaining their less frequent use. By examining only urban areas, the issue of variation in access to community resources can be partially controlled. Process Hypothesis 8 then, is examined only in five Metropolitan Planning Area counties.

Process Hypothesis 9 was left intact, but its testing required assessing the clarity of behavioral objectives. Since one portion

of the Documentation Scale was devoted to the specificity and relevance of long range goals and behavioral objectives, those cases with Documentation Scale scores become the sample for testing this hypothesis.

Process Hypothesis 10, dealing with the level of probationer involvement in the initial planning process and the development and identification of supervision goals and objectives, had to be deleted. The "Comments on Attitude and Participation" section of the ISP Initial Supervision Plan only requires probation officers to report the lack of participation, not to comment on the level of participation by the probationer. The structure of ISP forms precludes testing this hypothesis because the necessary data are not recorded in case files.

Process Hypothesis 11 was tested as written, but the problems mentioned earlier regarding the needs identification process should be borne in mind.

Process Hypothesis 12 predicts that supervision plans based on need areas will show a higher rate of success when compared to supervision plans based solely on the Orders and Conditions of Probation. Supervision plans were examined using the "long range supervision goals" and "objectives for first quarter" in the Initial Supervision Plan. Need areas were determined by recording the information on the Needs Assessment and Evaluation. A copy of the Orders and Conditions of Probation is required to be in each case file and this information was also recorded. Information for all three variables was obtained for each person in the Case Review sample.

A number of problems became apparent when this information was gathered. In many cases, the Orders and Conditions were in the files, but were standardized forms listing several preset conditions rather than orders designed for an individual probationer. Counties using this approach often had the same preprinted orders for each probationer, or for each probationer with the same sentencing judge. Other counties or judges attempted to individualize conditions, but did so in a standardized manner, e.g., all alcohol-related offenses contained the same alcohol condition in addition to the basic standardized conditions which all probationers received.

Another problem was the tendency to phrase these standardized Orders and Conditions in general terms, e.g., "Refrain from further unlawful behavior." While generality must increase if the orders are intended to apply to diverse probationers, interpretation of these conditions becomes more difficult. This same problem of generality was often apparent in long range supervision goals and behavioral objectives written for ISP probationers, e.g., "preventing unlawful behavior." Even when a behavioral objective is very specific, one ultimate purpose of probation must be to prevent unlawful behavior in the future. Thus Orders and Conditions written very generally match all goals or objectives (i.e., the supervision plan) regardless of the specificity or relevance of those goals and objectives.

Because of the problems described above, Hypothesis 12 was modified in a manner which attempts to retain as much of the original intent as possible. If supervision plans based on identified needs are assumed to be superior to those based solely on

the Orders and Conditions of Probation, it would seem to follow that those probationers with a greater proportion of their supervision plan based on need areas should be more successful on probation. The major shortcoming in this approach is that the ISP philosophy of encouraging individualized supervision plans based on need areas cannot be compared to a specific alternative probation philosophy or practice. The advantage is that although the test of the original hypothesis has been weakened, it has not been lost entirely. Therefore, these data will be examined to assess the relationship between the extent to which a supervision plan is based on need areas and outcome.

Process Hypotheses 13 and 14, dealing with the frequency of contact with the probationer during the planning phase and the first 72 hours after sentencing respectively, are tested as written.

Process Hypothesis 15, "ISP probationers who demonstrate significant progress toward supervision objectives will be more successful on probation than those who show relatively little or no progress," also could not be tested given the structure of existing ISP forms. The fact that supervision objectives can be modified quarterly coupled with the lack of objective-specific progress measures necessitated the deletion of this hypothesis.

A literal testing of Process Hypotheses 16 and 17 would be misleading since they fail to control for the amount of time in the ISP. Thus, these hypotheses will be tested using the average number of personal contacts rather than the absolute number.

Process Hypothesis 18 asserts that the nature of collateral contacts impacts on outcome. Due to the fact that an acceptable definition of the term "nature" (for the purposes of the project) could not be agreed upon, Process Hypothesis 18 has been eliminated.

Process Hypothesis 19 remains unchanged although the procedures for testing it include a breakdown only into face-to-face and non-face-to-face contacts, as this was deemed the only significant categorization in light of the ISP philosophy.

Process Hypothesis 20 was modified in a manner consistent with Hypotheses 16 and 17; the average number of collateral contacts will be used in testing this hypothesis.

HYPOTHESIS TESTING

In order to address Process Hypothesis 7, the grant staff employed the following procedures. First, if any question arose as to whether a listed agency was actually a community-based agency, it was assumed to be one. Second, if the Need Addressed listed did not exactly conform to the categories on the Needs Assessment, but could be seen as similar, the information was liberally interpreted to favor matching the first and second priority needs. The date section was completely ignored owing to the inability to control for the variation found. Instead if an agency was listed it was assumed to have been used. The total number of agencies matching first and second priority needs was divided by the number of months in ISP and the result was rounded to the nearest whole number, yielding the monthly average number of community agencies matching first and second priority needs listed on the form.

Table 3.1 and 3.2 respectively present the average number of community agencies listed on Monthly Activity Reports which match the primary and secondary needs on the Needs Assessment and Evaluation form. In both tables the number of cases averaging two agencies was too small to generate a stable percentage, and therefore these cases were combined with those averaging one agency.

Table 3.1 Average Number of Community Agencies Listed Which Match the Primary Need Area by Outcome in Percent

Outcome	Average Number of Agencies Listed	
	0	1 + 2
Success	74.7	73.3
Failure	25.3	26.7
	<u>100.0</u>	<u>100.0</u>
	(n=293)	(n=105)

Table 3.2 Average Number of Community Agencies Listed Which Match the Secondary Need Area by Outcome in Percent

Outcome	Average Number of Agencies Listed	
	0	1 + 2
Success	74.7	71.8
Failure	25.3	28.2
	<u>100.0</u>	<u>100.0</u>
	(n=359)	(n=39)

The data presented in Table 3.1 and 3.2 fail to provide conclusive support for Process Hypothesis 7. Differences in both tables are not significant ($p > .05$) and are in the direction opposite that predicted by the hypothesis.

Table 3.3 Distribution of the Average Number of Community Agencies Listed Matching First and Second Need Areas in Percent

Average Number of Agencies Listed	First Need	Second Need
0	73.6	90.2
1	24.9	9.3
2	1.5	0.5
	<u>100.0</u>	<u>100.0</u>
	(N=398)	(N=398)

Table 3.3 shows that almost 3 of 4 ISP probationers average less than one agency listed per month matching the initial primary need. Approximately 9 of 10 probationers average less than one agency listed that matches the initial assessment of a secondary

need. It must be emphasized again that the structure of ISP recording forms does not provide for an objective measurement of need reassessment. It is possible that needs change over time for many probationers and the community agencies used match these new needs. It is also possible, however, that community agency utilization resulting from probationer needs does not occur to any great extent.

Table 3.4 displays the distribution of the average number of community agencies listed per month, regardless of need. This average is then crosstabulated with outcome in Table 3.5.

Table 3.4 Distribution of the Average Monthly Number of Community Agencies Listed in Percent

Average Number of Agencies Listed	
0	42.5
1	46.0
2	9.3
3	1.8
4	0.0
5	0.5
	<u>100.1</u>
	(N=398)

Table 3.5 Average Number of Community Agencies Listed in Monthly Activity Reports by Outcome in Percent

Outcome	Average Number of Agencies Listed		
	0	1	2+
Success	77.5	73.2	67.4
Failure	22.5	26.8	32.6
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=169)	(n=183)	(n=46)

More than 42% of all ISP probationers examined average less than one community agency listed per month, regardless of need. Only 1 of 8 ISP probationers average two or more community agencies listed per month. When average community agencies listed is related to outcome, the differences remain non-significant ($p > .05$) and in the direction opposite that predicted by Process Hypothesis 7.

The distributions of the average number of community agencies listed per month, across planning area, are displayed in Table 3.6. Although rural areas may have fewer community agencies available for probationers, the RCA category has the lowest proportion of probationers averaging less than one community agency listed each month.

Table 3.6. Distributions of the Average Monthly Number of Community Agencies Listed for Each Planning Area

Average Number of Agencies Listed	Planning Area		
	MPA	DPA	RCA
0	43.4	45.0	36.5
1	45.1	47.5	47.3
2	9.4	7.5	10.8
3	1.6	0.0	4.1
4	0.0	0.0	0.0
5	0.4	0.0	1.4
	<u>99.9</u> (n=244)	<u>100.0</u> (n=80)	<u>100.1</u> (n=74)

Table 3.7 shows a comparison of success rates for the average monthly community agencies listed by planning area. The average number of agencies listed had to be collapsed further because of the small number of cases averaging two or more agencies listed in the RCA planning area. Table 3.7 reaffirms earlier results showing no relationship between average number of community agencies listed and outcome.

Table 3.7 Success Rate for Planning Areas by the Average Monthly Number of Community Agencies Listed in Percent.

Average Number of Agencies Listed	Planning Areas		
	MPA	DPA	RCA
0	77.4 (n=106)	75.0 (n=36)	81.5 (n=27)
1+	71.7 (n=138)	65.9 (n=44)	78.7 (n=47)

In order to test Process Hypothesis 8, five urban counties were examined in terms of the percent of cases having at least one average community agency listed per month. The percentages of cases in each county which averaged at least one community agency listed per month were as follows: Monroe - 36.4%, Onondaga - 48.1%, Kings - 61.1%, Nassau - 66.0%, and Westchester - 79.2%.

Table 3.8 arranges these five counties from low to high on average monthly community agency listings and then compares the outcome rates. The procedure followed in producing Table 3.8 was similar to those used in Process Hypothesis 7 with regard to defining community agencies and dates of attendance.

Table 3.8 Outcome by the Level of County Use of Community Resources in Percent

Outcome	County				
	Monroe	Onondaga	Kings	Nassau	Westchester
Success	86.4	63.0	72.2	71.7	83.3
Failure	13.6	37.0	27.8	28.3	16.7
	<u>100.0</u> (n=44)	<u>100.0</u> (n=27)	<u>100.0</u> (n=72)	<u>100.0</u> (n=53)	<u>100.0</u> (n=24)

Table 3.8 fails to display a relationship between outcome and the level of county use of community resources ($p > .05$). Using agencies listed as an indicator, the county with the lowest level of community resource utilization (Monroe) also has the highest success rate, while the county with the highest level of community resource utilization (Westchester) has the second highest success rate. Thus, the hypothesis that counties with higher levels of community resource use as measured by agencies listed will have higher success rates is not supported in Metropolitan Planning Areas.

In order to assess the clarity of behavioral goals and objectives, Process Hypothesis 9 depends on the results generated from the P.O. Documentation Scale. (See Attachment 6 for detailed description of this instrument.) To summarize briefly, the Documentation Scale was completed on 102 cases drawn randomly from the Case Review Sample. Since the development of the Documentation Scale supplemented required grant activities, time limitations prevented its completion on the entire Case Review Sample. Therefore selecting a 25% random sample ($N=102$) ensured a sufficient base for analyzing the impact of documentation on hypothesis testing. These cases were scored in five areas relating to goals and behavioral objectives: "1) Are goals and objectives written for the probationer?" "2) Are objectives derived from "Identified Problem" section of Needs Assessment?". Are the objectives specific, i.e., do they answer the questions: "3) What is the probationer required to do?" "4) When precisely is the probationer to do this?" "5) Where exactly will the probationer do this?" The scores for these questions were then translated into percentile scores reflecting the level of clarity

of goals and behavioral objectives in each case. These percentiles were collapsed into the three categories in Table 3.9.

Table 3.9 Outcome by Clarity of Goals and Behavioral Objectives by Percent

Outcome	Level of Clarity		
	Low	Medium	High
Success	82.6	71.4	63.0
Failure	17.4	28.6	37.0
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=23)	(n=42)	(n=27)

* Ten cases with no goals and objectives written were excluded.

Table 3.9 reveals that the results obtained are in the direction opposite to that predicted by the hypothesis ($p < .01$). One possible explanation might be that those with the most serious problems could be most likely to fail but the easiest for whom to write clear goals and objectives as their problems are obvious to the probation officer. Carrying this one step further, probationers with less acute need areas might be the most difficult for whom to devise a relevant supervision plan yet less likely to fail anyway. Since ISP Guidelines call for all probation officers to write goals and behavioral objectives, these effects are masked. It seems difficult to accept a causal relationship where the clarity of behavioral objectives contributes to an unfavorable outcome. The same situation might also apply to results obtained in Process Hypotheses 7 and 8. It seems logical given the ISP philosophy that multiple problem cases would be the most likely to be referred to community agencies and yet the most likely to fail. Perhaps hypotheses demanding that outcome be crosstabulated with community resource utilization and clarity of goals and objectives are too

simplistic to adequately measure ISP impact.

For purposes of testing Process Hypothesis 11, "successful community adjustment" has been interpreted to mean successful completion of probation. Outcome is crosstabulated with convergence of need identification in Table 3.10.

Table 3.10 Outcome by the Level of Needs Agreed Upon by the Probation Officer and Probationer on the Needs Assessment and Evaluation in Percent

Outcome	Level of Convergence in Need Areas		
	Low	Medium	High
Success	76.4	72.9	74.3
Failure	23.6	27.1	25.7
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=55)	(n=59)	(n=284)

The level of convergence is the proportion of the identified problems listed by the probation officer with which probationers agreed. These percentiles are trichotomized into 3 equal categories. For example, in the lowest level 33% or less of the identified problems were agreed upon. Table 3.10 fails to support Process Hypothesis 11. The variation in success percentages across categories of levels of need convergence does not indicate significant differences ($p > .05$). In light of the outcome measure used to test successful community adjustment, agreement on initial need areas could be quite far removed from impacting on outcome.

In order to test Process Hypothesis 12, Table 3.11 compares outcome with the proportion of the total number of goals and behavioral objectives matching needs identified by the probation officer. Data on the level of convergence are again converted to percentile and trichotomized in a manner identical to Table 3.10. Thus, a case in which 33% or less of the total goals and objectives

written matched problems identified by the P.O. on the Needs Assessment would be classified in the low category.

Table 3.11 Outcome by the Proportion of the Total Number of Goals and Objectives Matching Needs Identified by the Probation Officer in Percent

Outcome	Low	Medium	High
Success	74.4	77.9	73.0
Failure	25.6	22.1	27.0
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=82)	(n=86)	(n=230)

The results in Table 3.11 yield the same lack of conclusive findings found in previous Process Hypotheses. ISP probationers who have a large proportion of their supervision plans based on need areas are no more likely to be successful than those probationers with a lower proportion ($p > .05$).

Table 3.12 displays the relationship between outcome and the level of contacts between probation officers and probationers during the initial 30 day planning period. Those cases in the low category were contacted fewer than 3 times, those in the medium between 4 and 6 times, and those in the high category 7 or more times.

Table 3.12 Outcome by the Level of Contacts Between the Probation Officer and the Probationer During the Planning Phase in Percent

Outcome	Low	Medium	High
Success	73.8	74.6	74.2
Failure	26.2	25.4	25.8
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=61)	(n=240)	(n=97)

Table 3.12 shows no significant differences ($p > .05$) in outcome across varying levels of contact during the initial planning phase. As mentioned previously, this might stem from the inability to assess the qualitative nature of contacts during this period. It is possible that probationers who have a good rapport with their officers and who see the content of their meetings as being relevant and helpful succeed more often regardless of the absolute number of contacts. Alternatively, how useful is a comparison of the number of contacts without regard to their duration? Is one hour-long supervision planning session preferable to four fifteen minute ones? The results in Table 3.12 do not support a relationship between quantity of contacts during the ISP's initial planning phase and successful outcome as presumed in Process Hypothesis 13.

Process Hypothesis 14 asserts that the observance of the Statewide 72 hour initial contact rule will favorably affect outcome. This rule is designed to ensure that:

- (a) "All persons placed on or sentenced to probation shall be seen by the probation administrator, or by his designee, within 72 hours of this disposition. Necessary preliminary information and instructions shall be imparted to the probationer and an authorized staff member shall be assigned the responsibility for the case," and
- (b) that "the probation officer shall review the conditions of probation with the probationer as part of his initial interview and engage the probationer in planning his supervision program," 27.

Table 3.13 Outcome by Whether a Probationer was Seen by a Probation Officer Within 72 Hours of Sentencing in Percent

Outcome	Seen Within 72 Hours?	
	Yes	No
Success	71.6	75.9
Failure	28.4	24.1
	<u>100.0</u>	<u>100.0</u>
	(n=134)	(n=257)

It is not surprising that Table 3.13 fails to reveal a relationship between outcome and the initial contact with probationers given the tenuous temporal connection between promptness of initial contact and outcome.

The 72 hour requirement is an administratively determined time limit designed to establish a standard for the initiation of probation supervision. There does not seem to be an empirical basis for the actual number of hours within which a probationer should be seen. It is clear that only about one in three ISP Probationers (134) are seen within 72 hours. In some cases probationers serving split sentences were seen within 72 hours of their release from jail (several months after sentencing) and in others ISP probation officers established contact promptly but not necessarily within the strict confines of the 72 hour rule.

Table 3.14 Outcome by Level (Monthly Average) of Total Contacts Between Probation Officers and Probationers in Percent.

Outcome	Average Contacts		
	LT 4	4	GT 4
Success	72.5	77.8	72.4
Failure	27.5	22.2	27.6
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=167)	(n=144)	(n=87)

The results in Table 3.14 are not statistically significant ($p > .05$). The categories established reflect average monthly contacts less than the required four contacts, at the required level, and above the required level respectively. Thus, Process Hypothesis 16 is not supported. Those ISP probationers with higher levels of

contacts with their probation officers are no more likely to succeed than those probationers with lower contact levels.

Table 3.15 tests the assertion in Process Hypothesis 17 that the more personal contacts occurring out of the probation environment the more likely a successful probation outcome.

Table 3.15 Outcome by the Average Monthly Number of Personal Contacts Occurring Outside the Probation Environment in Percent

Outcome	Average Contacts			
	0	1	2	3-4
Success	75.5	75.7	72.7	60.9
Failure	24.5	24.3	23.7	39.1
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=106)	(n=214)	(n=55)	(n=23)

Table 3.15 shows that success rates are similar for those cases averaging two or less contacts each month. Although the success rate for cases averaging three or more contacts is lower, the differences are not significant ($p > .05$). In order to examine the converse of Process Hypothesis 17, Table 3.16 displays the relationship between the average number of personal contacts "inside" the probation environment and outcome. The results in Table 3.16 show that levels of contact inside the probation environment are not related to probation outcome ($p > .05$).

Table 3.16 Outcome by the Average Monthly Number of Personal Contacts Occurring Inside the Probation Environment in Percent.

Outcome	Average Contacts				
	0	1	2	3	4+
Success	92.3	59.5	64.8	79.9	80.2
Failure	7.7	40.5	35.2	20.1	19.8
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=13)	(n=37)	(n=108)	(n=139)	(n=101)

In order to test Process Hypothesis 18, Tables 3.17 and 3.18 compare average numbers of collateral contacts by face-to-face and non-face-to-face nature respectively with probation outcome.

Table 3.17 Outcome by Average of Face-to-Face Collateral Contacts (Agency and Home) in Percent.

Outcome	Average Contacts				
	0	1	2	3	4+
Success	74.2	75.9	71.6	75.0	73.9
Failure	25.8	24.1	28.4	25.0	26.1
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=93)	(n=170)	(n=88)	(n=24)	(n=23)

Table 3.18 Outcome by Average Number of Non-Face-to-Face Collateral Contacts (Agency and Home) in Percent

Outcome	Average Contacts				
	0	1	2	3	4+
Success	76.4	74.6	72.5	57.7	82.4
Failure	23.6	25.4	27.5	42.3	17.6
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=182)	(n=122)	(n=51)	(n=26)	(n=17)

The results in Tables 3.17 and 3.18 fail to indicate any statistically significant relationship between the type of collateral contacts and probation outcome ($p > .05$). Tables 3.17 and 3.18 include only agency and home contacts and exclude criminal justice agency contacts from the analysis. The grant staff also examined varying proportions of face-to-face contacts for a relationship to outcome but found no significant results.

Table 3.19 presents outcome and the total number of all types and locations of collateral contacts.

Table 3.19 Outcome by Average Number of Collateral Contacts in Percent

Outcome	Average Collateral Contacts			
	0	1-3	4-6	7+
Success	84.2	79.0	64.5	75.0
Failure	15.8	21.0	35.5	25.0
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=19)	(n=210)	(n=121)	(n=48)

Once again the results in Table 3.19 are not statistically significant ($p > .05$). The number of collateral contacts does not appear to impact positively on outcome.

SUMMARY

The results in this section address the impact of the ISP process on probation outcome. Although certain hypotheses had to be deleted and the form and procedures used to test others modified, several conclusions emerge regarding ISP processes.

Hypotheses examining issues surrounding the supervision plan were not supported. Clarity of program goals and behavioral objectives was found to be significantly related to outcome, but in the opposite direction predicted by the hypothesis. ISP probationers for whom goals and objectives are clearly stated are more likely to fail on probation. Those cases in which probationers and probation officers had higher levels of agreement in identifying need areas are not more likely to be successful on probation. Furthermore, ISP probationers with a greater proportion of their supervision plan based on need areas are no more likely to succeed than those with a lower proportion.

Hypotheses specifying relationships concerning contacts with the probationer consistently yielded non-significant results. There is no evidence in this study to support a positive relationship between contacting the probationer within 72 hours of sentencing and successful probation outcome. Increased levels of contacts during the initial 30 day planning phase did not significantly improve success rates, nor did the level of personal contacts over time affect outcome. No relationship between the location of personal contacts and outcome was found. Probationers with higher levels of contacts either inside or outside of the probation environment are no more likely to be successful on probation.

Hypotheses relating collateral contacts with outcome were also found to lack support. Increasing the number of collateral contacts does not impact positively on success rates. Likewise, higher average numbers and greater proportions of face-to-face contacts do not increase the likelihood of successful outcomes.

The data examined in this section do not support the assertion that ISP probationers with higher levels of community resource utilization are more likely to be successful on probation. In order to partially control for the variation in the availability of community resources, community agency listings were compared across planning areas with no significant results.

It is interesting to note that the findings in this section, when considered as a group, may indicate that probation officers, themselves, are identifying from the outset those cases which they believe to be most likely to fail, and may be modifying their supervision strategies accordingly. It may be the case, for example, that probation officers write the clearest behavioral objectives for those cases which they believe to be most in need of clear behavioral objectives (i.e., those who face the most serious obstacles to successful completion of their probation sentences). If this is the case, it is not surprising that comparatively clear behavioral objectives are not associated with comparatively high success rates. Similarly, if the probation officers are identifying those cases which they believe to be most likely to fail and requiring those cases to report more often, it is not surprising that cases which report more often are not more likely to succeed. The impact of this phenomenon (i.e., probation officers' modification of their supervision strategies

based on their own prior assessment of individuals' likelihood of failure) could be initially explored through future research examining what types of failures (i.e., absconders, revocations, new convictions, or unsatisfactory discharges), these failures with clearly-written behavioral objectives, and/or high levels of contact, and/or high levels of community resource utilization, are likely to be.

Although the data presented in this section failed to support any of the Process Hypotheses, grant staff members see this failure as a rationale for further testing of ISP processes. A great deal of discussion was devoted to the argument that processes occurring in the first thirty days of supervision could not be expected to impact on outcome, as much as eighteen months later, in a simple or straight forward manner. Much more comprehensive tests of a number of hypotheses are warranted. Furthermore, just because a philosophy or hypothesis is stated does not ensure that the information necessary for a thorough test is being collected by the program on a regular basis. A revision of regular forms need not be made if time and budgetary allocations for evaluation permit generating alternative sources of information for hypothesis testing. In the absence of forms specifically designed to evaluate stated processes, however, data gathering efforts by temporary evaluation teams would have to be expanded. Where appropriate forms are lacking, interviews, long term observation, temporary recording forms, etc., would have to be substituted to permit meaningful evaluation.

CONTINUED

1 OF 4

CHAPTER 4 PROCESS HYPOTHESES 1-6

The third portion of this evaluation was designed to explore certain processes in probation supervision. According to the grant proposal, Process Hypotheses 1-6 "propose to qualitatively assess probation supervision in terms of convergence of communication and role expectation as a function of outcome." ²⁸ Although this section was intended to evaluate processes asserted to operate in the ISP, the potential generalizability of the results differ somewhat from Chapters 2 and 3.

The introduction (p.3) to this report stated that previous research studies usually yielded the finding that quantity of contacts alone did not reduce recidivism. Perhaps partially in response to these findings the demand for reduced caseloads was coupled with a belief that if specific qualitative aspects of the intervention strategy within these caseloads were improved, recidivism would be reduced. Increased convergence of communication between probation officers and probationers and a heightened awareness by participants of their role expectations are two such qualitative aspects which may be operating in intensive probation programs, and as such could be evaluated in the ISP. Findings should carry implications for probation programs nationally rather than being limited solely to New York State.

The grant specified that interviews with probation officers and probationers be used to collect the data necessary for an exploratory study of communication. The interview sampling design stated that only probationers in the ISP for at least three months and no longer than six months be included. These time limitations were imposed to ensure that the probationer and probation officer had sufficient opportunity to become familiar with each other and that the largest potential pool of ISP probationers be available for sampling (i.e., prior to transfer out of the ISP to regular supervision).

Since the grant application emphasized the "exploratory" nature of this section, the grant limited the pool of interviewees to Metropolitan Planning Areas because of time and budgetary constraints. Probationers were then chosen randomly from four urban counties (Kings, Monroe, Nassau, Onondaga) and their probation officers automatically became the probation officer sample. Although this method does not insure that a systematic bias in probationer/probation officer selection will not occur, the small number of interviews, their limited geographic scope, and logistical considerations make this the best sampling technique available. This sampling procedure yielded a pool of probationers (N=75) which, although not representative of the total ISP population, includes a wide variety of demographic and risk characteristics. For example, the probationer sample interviewed includes females (6.7%), blacks (34.7%) and probationers with high

and low risk scores (range 26-78). Likewise the probation officer group (N=29) reflected the diverse composition of probation officer background (12% female and 14.7% black).

The initial interview format was developed through role playing and trials with grant staff members. A series of interview designs were pretested in three counties. After subsequent modifications the final version of the interview format was pretested in another county. (For a detailed description of preliminary interviews and pretesting procedures and results, refer to attachment seven. This attachment includes the finalized interview formats used for probation officers and probationers, the interview codebook, and procedures for scoring variables). Once the interview format was finalized, two grant staff members visited the four urban counties to conduct the interviews. Immediately following the probationer's regular office visit, one staff member conducted an interview with the probation officer while the other interviewed the probationer. Staff members alternated between probationers and probation officers in order to minimize any bias specific to the interviewer. In this manner, if any probation officer was interviewed on more than one occasion each staff member alternated in interviewing that probation officer. All interviews were voluntary and confidential. While recognizing that the probation environment could be seen as inherently coercive, the grant staff made a concerted effort to make probationers aware that participation was voluntary and unrelated to their supervision. In fact, one probationer declined to

interviewed and another terminated the interview prior to completion.

The contents of the interviews were seen only by New York State Division of Probation Research and Evaluation personnel. The grant staff guaranteed all probationers that nothing they said would be revealed to their probation officer or anyone else in the local department or the ISP. Similarly probation officers were assured that neither the probationer nor any local department or ISP staff members would have access to the contents of the interview, nor would the thrust of these interviews be disclosed in any form. Both probationers and probation officers seemed willing to participate and were quite candid during their interviews.

PROCESS HYPOTHESES 1-6

Process Hypothesis 1: "Flexibility in role perception by a probation officer will result in more frequent favorable probation outcomes."

Process Hypothesis 2: "The greater the convergence of the probation officer's role as perceived by the probation officer and the probationer, the more likely a successful outcome on probation."

Process Hypothesis 3: "The greater the convergence of communication in the supervision interview, the more likely a successful outcome on probation will result."

Process Hypothesis 4: "The convergence of the content of an interview between an officer and a probationer is a function of the similarity in perception of the officer's role as defined by both."

Process Hypothesis 5: "As role perceptions diverge, communication content perception also diverges."

Process Hypothesis 6: "Case record content is a function of the convergence of role perception and communication content convergence of an interview."

In order to begin investigating fruitful areas for future research into the qualitative processes of probation supervision relating to communication between probation officers and probationers, the grant staff devised an interview format to highlight what actually takes place during a supervision interview. The interview format sought to address topics such as role perception, message convergence, problem areas discussed, case file content, expectations convergence, and satisfaction with progress. Since little knowledge exists of what actually transpires between probation officers and probationers, a description of current practices seems a logical first step in developing a foundation for future research on the quality of probation supervision. Ideally, the findings in this section will serve to fill some of the gaps in existing knowledge of the probation experience as perceived by probation officers and probationers.

Before presenting frequency distributions and descriptive analyses of the data collected in the interview, the operationalization of certain key concepts must be explained. Role perception is one such concept typically analyzed in communication studies. The grant application suggested that the Correctional Policy Inventory developed by Vincent O'Leary be used to determine probation officer roles. ²⁹ The Correctional Policy Inventory consists of ten questions with four responses typifying the Restraint, Reform, Rehabilitation, and Reintegration philosophies, each being preferentially ranked on a scale of one to ten by the respondent. Only one of these questions,

however, specifically relates to probation. Most questions focus on issues relevant to supervision of offenders in secure facilities or issues surrounding their release. The O'Leary Inventory then scores probation officers' responses in regard to those of other correctional officers used in developing the instrument on the four role dimensions - Restraint, Reform, Rehabilitation and Reintegration. As such the Correctional Policy Inventory does not "classify" a respondent into any particular role but rather exhibits role preferences in comparison to other respondents. In order to address role perception during a particular probation interview, grant staff asked both the probation officer and the probationer to categorize the probation officer's role using a question incorporating the basic elements of the four O'Leary roles. By necessity such a question loses validity both in trying to reduce a ten-item instrument into a single question and in classifying persons into one of the four roles. However, a measure operationalizing the four O'Leary - based roles seemed appropriate in an exploratory look at role perception in a particular probation interview.

To help compensate for the methodological deficiencies of the O'Leary - based role classification, the interviews also included the following question designed to assess the style of interaction employed by the probation officer in a particular case:

P.O. - "How would you characterize your
general approach in trying to overcome
(the identified problem) this major obstacle?"

Using responses to this open-ended question, the grant staff devised a "role" typology based on the general approach used by probation officers in specific cases. Four distinct general approaches emerged from the data - Referral, Non-Directive, Positive-Directive, and Negative-Directive.

Although both the O'Leary-based question and the general approach question attempt to classify probation officer roles, the procedures employed differ substantially. The O'Leary-based question asks probation officers to classify their individual perceptions into predetermined roles. The precise fit between the officer's perception of his/her role and the response categories provided remains unknown. Even the best possible choice might only be an approximation. Furthermore, the four correctional philosophies underlying the O'Leary based question are general in nature and each represents legitimate, perhaps overlapping, concerns in the performance of probation officer duties. Thus probation officers might have a great deal of difficulty in identifying which general category best describes their role in a particular case. In contrast, the general approach role classification is inductive in design. It requires the probation officer to verbalize his/her exact role perceptions. No information is lost at the first stage of the classification process by forcing responses into predetermined categories. However, information is subsequently lost when these explicit statements are grouped together to form more general indicators of role. (See Attachment 7, Appendix E for a detailed discussion of the methodology used in creating the general approach role typology). Since this procedure used the exact wording of the probation officer initially, it might increase the likelihood that any individual probation officer would be categorized consistently based on his/her expressed role perception.

Since communication by its nature involves the transmittal and reception of some content, the interview format incorporated questions designed to operationalize convergence of communication between pro-

bation officers and probationers regarding both message and specific expectations. The following two questions form the basis of scoring the level of convergence between the message said to be given by the probation officer to a particular probationer about a specific problem area and the probationer's stated perception of what that specific message was:

Probation Officer:

- a) What message have you tried to convey or get across to this probationer, so far, concerning this obstacle?
- b) If NO MESSAGE: How have your previous meetings with this probationer helped him/her overcome this obstacle?

Probationer:

- a) What message or idea has your probation officer tried to get across to you so far concerning this topic?
- b) If NO MESSAGE: Why have you discussed this topic?

(See Attachment 7, Appendix A for scoring procedures)

The two questions listed below comprise the questions used for scoring convergence on specific expectations or requirements said to be given by the probation officer to a particular probationer about a specific problem area and the probationer's stated perception of what those expectations were:

Probation Officer:

Since you originally assessed this problem/area, have you ever required or expected any specific tasks or actions from this probationer from which you could evaluate his/her progress on probation? WHAT HAVE YOU REQUIRED?

Probationer:

Did your probation officer ever ask/tell you to do something about (area identified by P.O.)?

WHAT DID (S)HE TELL YOU TO DO? (Include all future expectations).

(See Attachment 7, Appendix B)

The interviews included a question on specific expectations in an attempt to operationalize a less abstract form of communication content than message.

Case record content is the last concept needing elaboration. Because no single entity measuring the content in a case file exists, the concept was measured as follows. For each probationer interviewed, the Probationer's Activities Verified section, Special Problems section, and Progress Towards Quarterly Objectives section of the Monthly Activity Report were examined for the time period covering the interview for direct references to the specific problem area. These three sections were combined to form an index measuring the extent to which the case record includes information derived from or directed at the problem area identified by the probation officer. (See Attachment 7, variable CONTENT).

Findings

In trying to discern what actually occurs during a supervision interview the results in this section focus on the three main areas examined, namely perceptions concerning the major obstacle or problem area likely to produce failure on probation, the extent of convergence of communication regarding the major obstacle to be overcome, and finally perceptions of satisfaction with progress toward resolving this problem. Frequency distributions produced by specific interview questions and a descriptive analysis of comparable distributions illustrating probation officer and probationer perceptions will be presented in each of the three above listed areas.

The major problem area or obstacle identified by the probation officer in each particular case became the focus of subsequent questions in both the probation officer and probationer interviews.

This approach served as a vehicle for centering the discussion in both interviews on the same topic, thereby permitting an assessment of convergence of communication regarding message and expectations. Table 4.1 illustrates the distribution of probation officer responses in identifying the major obstacle likely to impede successful probation outcomes for the probationers interviewed and the probationers' perception of what their major problem area is.

Table 4.1 Frequency Distribution of Major Problem Area Identified by the Probation Officer and by the Probationer in Percent

Problem Area	Probation Officer	Probationer
None	2.7	26.0
Alcohol	18.7	11.0
Drugs	6.7	2.7
Employment	13.3	26.0
Job Training	8.0	5.5
Education	5.3	5.5
Restitution	1.3	0.0
Financial	1.3	1.4
Attitude	4.0	2.7
Maturity	6.7	1.4
Psychological	21.3	4.1
Negative Peers	2.7	1.4
P.O. Expectations	2.7	4.1
Other	5.3	2.7
Getting Off Probation	0.0	5.5
	<u>100.0</u> (n=75)	<u>100.0</u> (n=73)*

Modal Areas:	Psychological	21.3	None	26.0
	Alcohol	18.7	Employment	26.0
	Employment	13.3	Alcohol	11.0

* One probationer declined to be interviewed and another terminated the interview early.

The differences displayed in Table 4.1 are significant ($p < .001$). It is interesting to note that better than one quarter of the probationers interviewed did not perceive themselves as having a major obstacle to successful completion of probation. If the recognition of the

existence of a problem is the first step toward solving it, a probationer's perception of no existing problem might influence probation outcome, particularly if the probation officer identifies a problem and structures a supervision plan around it. Such a scenario might set the stage for a lack of convergence of communication surrounding messages and expectations concerning the "problem" area and foster increased resistance among both participants toward meaningful future communication. In only two cases did the probation officer concur with the probationer's assessment that no major obstacles existed.

Another explanation for these differences might be that the professional training of probation officers structures their thinking along the lines of problem identification and resolution. A further investigation of probation officers' educational and experiential backgrounds is needed to pursue this hypothesis. However, the fact that probation officers identified psychological problems as the modal response indicates their more sophisticated conceptualization of problems. Generally, probationers tend to deal with more concrete issues such as employment, alcohol, P.O. expectations, and getting off probation. Regardless of whether probation officers' training accounts for their perception of concrete problems as indicative of underlying psychological maladjustment, the response patterns in Table 4.1 appear to highlight the fact that probationers and probation officers categorize problems on different levels of abstraction. This might also explain why significant differences result. The theoretical issue of whose perception best mirrors reality cannot be addressed with these data, if indeed it can be resolved at all.

Table 4.2 contains the frequency distribution of probationer responses to the question, "What does your Probation Officer think is the major obstacle or area you need to improve in most, in order to complete your probation sentence successfully?" This question was designed to elicit information concerning probationer perceptions of what their probation officers deemed important and as a possible means of indicating whether differences in problem area categorization existed in actuality or stemmed from respondents identifying problem areas on different levels of abstraction.

Table 4.2 Frequency Distribution of Probationer Perceptions of the Major Problem Area Identified by their Probation Officer in Percent

<u>Problem Area</u>	
None	6.8
Alcohol	13.7
Drugs	6.8
Employment	24.7
Job Training	6.8
Education	9.6
Attitude	2.7
Maturity	1.4
Psychological	8.2
Negative Peers	4.1
P.O. Expectations	15.1
	<u>99.9</u>
	(N=73)

Once again, differences in perception are significant ($p < .001$) and not likely to have occurred by chance. While over one quarter of the probationers thought they had no major problems only 6.8% felt that their probation officers agreed with this assessment. Even so, more probationers identified their probation officers as perceiving no major obstacles than indicated by the actual responses of the officers (2.7%). In Table 4.2, probationer perceptions of the major obstacle identified by their probation officers more closely conform to the re-

sponses given by probation officers in Table 4.1 than the probationer's own opinion in the following categories: none, alcohol, drugs, employment, job training, and psychological. This tends to show real differences of opinion as being perceived by the probationers. The extent and cause of such differences, however, cannot be discerned with these data. The higher incidence of identification of the psychological and probation officer expectation categories (combined total of 23.3%) in Table 4.2 versus a combined total for these two categories of 24.0% in the probation officer response in Table 4.1, might tend to illustrate that language and level of abstraction account for some of the differences noted. When probationers answer a question about their probation officers' perceptions they seem more likely to respond in the probation officers' language than when asked their own perceptions (e.g., combined total of 8.2% for probationers in Table 4.1 versus 23.3% in Table 4.2 when psychological and probation officer expectations categories are combined). However, the concrete oriented thought pattern of probationers still manifests itself in Table 4.2 even when asked to describe their probation officers' perceptions. In Table 4.2, employment remains the modal response category. Combining the employment, job training, and education categories, which might tend to overlap in certain instances, yields in Table 4.1 26.6% for probation officers, 37.0% for probationers and in Table 4.2, 41.1%. This illustrates that probationers continue to be less abstract in their classification thought patterns even when categorizing their perception of what their probation officers think. Perhaps this reflects the nature of the communicative exchange between probation officers and probationers. Of the sixteen cases probation officers identified as having psychological problems as the major

obstacle, the probationers involved perceived the probation officer's main area of concern as follows: none (2), employment (2), job training (1), education (1), psychological (4), negative peers (1), and probation officer expectations (5). Probation officers might operationalize their perceptions on a concrete level when dealing with probationers and therefore foster the differences captured in Tables 4.1 and 4.2.

When probation officers were asked whether they felt the probationer would agree with their assessment of the major obstacle, 74 officers responded as follows: Yes - 68.9%, No - 27.0%, Other - 4.1%. These results indicate that probation officers perceived genuine differences of opinion regarding problem areas in over one quarter of the cases interviewed. Yet fewer than 20% of the probationers expressed disagreement when asked directly if the problem area the probation officer had identified was a major obstacle to successfully completing probation. Results concerning probationer agreement with the problem area identified by their probation officer were as follows:

(N=73) Yes - 71.2%, No - 19.2%, Other - 9.6%.

The interview format contained two questions addressing whether the supervision interviews centered around the major problem area identified by the probation officer. When asked if they had ever discussed the particular obstacle identified by the probation officer, 91.9% of the 74 probationers responded yes, 6.8% no, and 1.4% other responses. This clearly shows that probation officers do discuss the area they deem most important with probationers during their meetings. The interviewers also asked probationers to estimate the proportion of time spent talking about this topic. Of the 71 probationers responding, 31.0% said they spent more time discussing the problem area, 46.5%

said they spent about the same amount of time as when discussing other subjects, 16.9% answered less time was spent on this topic, and 5.6% gave other responses. It might be interesting in future research efforts to examine if any relationship exists between the amount of time devoted to discussing the major problem area identified by the probation officer and outcome. The hypothesized relationship, however, need not be unidirectional with increased discussion leading to successful outcome. Rather the convergence of problem identification should be examined as an antecedent variable. Perhaps if fundamental differences of opinion exist between the participants regarding problem areas, increased discussion would lead to increased frustration and resistance in both parties likely to result in failure. Alternatively, perhaps the more time spent talking about the obstacle might affect a changed perception in one of the parties likely to lead to increased cooperation and successful outcome. These possibilities, in turn, could be investigated in terms of the qualitative nature of the communicative exchange and its relationship to the probation officer's role or style of interaction and the probationer's perception of this. If the purpose of probation experience is to affect change, then the communication aspects of the supervision interview should be examined using some of the theoretical models relating to the process of implementing change.

In order to examine preliminarily the relevance of discussions of the major obstacle identified by the probation officer to the probationers involved, they were asked to rate the importance of this matter to them personally. Of 71 probationers responding, 80.3% stated it was very important, 4.2% rated it about the same importance as other matters, and 15.5% said the issue was not very important to them personally. It is interesting to note that the answers to this

question indicate strong sentiments in either direction are more likely to occur. Even if the precise identification of the major problem area differed, over three quarters of the probationers designated the issue discussed as very important to them. The percentage of cases claiming that the problem area identified by the probation officer was not very important to them might constitute that group of probationers strongly disagreeing with the probation officer's assessment of them and most resistant to communication directed by the probation officer toward this topic. It might be fruitful to conduct future inquiries along this line with regard to possible impact on probation outcome.

The communication process involves a complex set of interchanges between its participants. The roles enacted and perceived by the parties communicating can affect the nature of the both the overt and covert messages transmitted and received. The interview format attempted to discern the role perceptions of probation officers as described by themselves and their probationers. As discussed earlier two methods of assessing role — the O'Leary - based question and the probation officer general approach question — were used in the interviews. Although both offer insight into probation officer behavior, only the O'Leary-based question can be used to assess the convergence of role perception between probation officers and probationers since both groups responded to this question. Table 4.3 presents the categorization of probation officer role produced by probation officers and probationers when asked to describe which of the four O'Leary roles was most characteristic. (See Attachment 7, variables Role 2 (probationer) and Role 1 (probation officer) for the exact interview questions asked). Basically the main elements in the characterization of the four O'Leary roles were as follows:

Reform - ensuring that the probationer does not cause the community any more inconvenience, money, or harm. Encouraging the right habits and being firm but fair.

Rehabilitation - providing an understanding and supportive atmosphere so the probationer can develop insight into his/her attitudes. Correct habits can only be learned after attitudes have changed.

Restraint - carrying out the rules and regulations of the probation department efficiently. No attempts to change probationers who will only change if they want to.

Reintegration - intervening to change the probationer and the community. Encouraging the probationer to stabilize family and community agency ties. Demonstrating how certain behaviors prevent achieving mutually planned goals.

As mentioned earlier, each role depicts behavior appropriate to probation supervision. Although the question required respondents to pick the role "most characteristic" in a particular case, both probationers and probation officers commented that sometimes more than one role seemed appropriate or that the goal contained in one role coupled with the means of implementation used in another role would better describe the probation officer. Such statements highlight some of the limitations of this question presented in the discussion surrounding the operationalization of abstract concepts.

Table 4.3 . Frequency Distribution of the Categorization of Probation Officer Role by Probation Officers and Probationers in Percent

<u>O'Leary Roles</u>	<u>Probation Officers</u>	<u>Probationers</u>
Reform	21.6	14.7
Rehabilitation	36.5	38.2
Restraint	5.4	23.5
Reintegration	36.5	23.5
	<u>100.0</u>	<u>99.9</u>
	(N=74)	(N=68)*

* The number of probationer responses is lower since certain cases, in which probationers gave two roles as most characteristic or answered that none of the roles fit their probation officer, were excluded from analysis.

The results in Table 4.3 illustrate a difference in role perception surrounding the Restraint category. Almost one quarter of the probationers viewed their probation officers in this manner, perhaps owing to the very nature of the probation experience as perceived by the probationer. If one is the recipient of rules and regulations imposed by the court and enforced by the probation officer, the choice of the Restraint role classification for the probation officer seems viable. In contrast probation officers tend to view themselves as having broader responsibilities as evidenced by the modal categories of Rehabilitation and Reintegration. Interestingly the modal category of probationer perception of probation officer role is also Rehabilitation. While Table 4.3 gives the overall role perceptions of those interviewed it does not reveal the level of role perception convergence existing in the sample. In order to ascertain whether the probationer and probation officer agreed on role perception in each individual case, their responses were matched in Table 4.4.

Table 4.4 Probation Officer Role Perception of Probation Officers by that of Probationers in Percent

Probation Officer Role Perception	Probationer Role Perception			
	Reform	Rehabilitation	Restraint	Reintegration
Reform	40.0	7.7	31.3	12.5
Rehabilitation	10.0	42.3	25.0	56.3
Restraint	10.0	11.5	0.0	0.0
Reintegration	40.0	38.5	43.8	31.3
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(n=10)	(n=26)	(n=16)	(n=16)

From Table 4.4 it is possible to compute the number of times role perception of individual probationers and probation officers diverged. 70.6% (48) of the 68 pairs of respondents disagreed when characterizing probation officer role. Using the O'Leary based role question, approximately 30% of the probationers and probation officers exhibit convergence in role perception. The possible impact of role convergence on outcome needs to be researched.

Table 4.5 contains the classification of probation officer role generated from the typology devised using the officers' description of their general approach in dealing with the major problem area for each probationer interviewed. The Referral style of intervention centers around referring the probationer to outside resources for help in resolving problems. The Non-Directive role retains the probation officer as the major resource for problem solving but lets the probationer determine the nature and extent of probation officer involvement. The Positive-Directive probation officer is actively involved in encouraging positive behavior in the probationer. The Negative-Directive probation officer also takes an active role but focuses instead on preventing negative behavior. Unlike the O'Leary roles which typify broader correctional philosophies, these four role types derive solely from the probation experience as shaped by the probation officer. The possible utility of a probation-based role typology cannot be underestimated given the current limited knowledge of the processes involved in probation supervision. Investigation of the suitability of this role typology among a large number of probation officers should be pursued. If this typology ultimately proves useful, then research on the impact of probation

officer role can be conducted to improve both the assignment of probationers and the quality of their supervision.

Table 4.5 Frequency Distribution of Probation Officer General Approach - Based Roles in Percent

<u>Roles</u>	
Referral	25.7
Non-Directive	36.5
Positive-Directive	24.3
Negative-Directive	13.5
	<u>100.0</u>
	(N=74)

It is interesting that only one quarter of the ISP probation officers interviewed characterized their general approach to problem area resolution as referring probationers to outside agencies, given the emphasis of the ISP on community resource utilization. Apparently, most probation officers view themselves as the primary resource, perhaps also reflective of the ISP's encouragement of increased personal contacts with the probationer. Also the small percentage of Negative-Directive probation officers might stem from the ISP's philosophical orientation toward problem solving via constructive planned intervention to resolve need areas.

The content communicated during the supervision interview was operationalized, as described earlier by questions dealing with message and expectations. Table 4.6 displays the extent of message convergence between the probation officers and probationers interviewed.

Table 4.6 Frequency Distribution of the Extent of Message Convergence Between Probation Officers and Probationers in Percent.

<u>Extent of Message Convergence</u>	
None	47.9
Some	33.8
High	18.3
	<u>100.0</u>
	(N=71)

In about one half of the interviews no message convergence was found to exist concerning the major problem area. This is interesting in light of the fact that probation officers (N=71) responded yes 93% of the time when asked if they thought the probationer understood this message as they intended it. Cross-tabulations of the extent of message convergence with role convergence as measured by the O'Leary question and with risk score did not yield evidence of any statistically significant relationships ($p > .05$). In order to explain the processes underlying these results on message convergence more data would have to be gathered on the parties involved in the communicative exchange.

The second measure of communication convergence focused on the expectations of the probation officer concerning specific tasks or actions to be undertaken by the probationer in reference to the problem area. When the 73 probationers interviewed were asked if their probation officer ever asked or told them to do something specific about the problem area identified by the probation officer, 64.4% responded affirmatively and 35.6% said no tasks were required of them. Yet probation officers stated that they communicated specific expectations to probationers in 61 cases or 83.6% of the time. This might account for some of the cases exhibiting no convergence of expectations. Therefore, the none category in Table 4.7 includes both instances of disagreement on whether any specific expectations were communicated and disagreement over the content of required expectations.

Table 4.7 Frequency Distribution of the Extent of Expectations Convergence Between Probation Officers and Probationers in Percent

Extent of Expectations Convergence

None	44.4
Some	33.3
High	22.2
	<u>99.9</u>
	(N=72)

Overall fewer probationers and probation officers disagree about the content of specific expectations said to be communicated by the probation officer than about the message given. This might stem in part from the less abstract nature of the topics discussed when directing the probationer to perform certain tasks. Role perception convergence (based on O'Leary question) is not related to expectations convergence ($p > .05$).

Another aspect of whether messages and expectations are understood by the probationer might be the involvement of other parties to discussions surrounding the major obstacle to success on probation. Although the involvement of other parties may not relate directly to the level of communication convergence between probationers and probation officers it might impact on probation outcome. In order to determine whether, how often, and what kinds of other persons were involved in the supervision process, both probation officers and probationers were asked to name all others with whom they had discussed the major problem area. Since often they consulted multiple collateral resources in particular cases, the absolute number of others involved exceeds the number of probationers. In fact, 20.8% of the probationers (N=72) identified two types of collateral resources involved and 4.2% identified three or more. The respective percentages for the probation officers are 30.2% and 5.5%.

Similarity exists in the extent and type of others discussing the problem areas named by both groups. Both probationers and probation officers indicated that about 22% of the sample (n=16) did not discuss the problem area with any outside resources. However, among those probationers talking to others, 31.1% of the others involved (N=90) were professionals in helping services and 31.1% were family. Of the 99 others identified by probation officers as participating in discussions of the problem area 35.4% were professionals and 27.3% belonged to the probationer's family. Future research should examine the influence of the involvement of others in talking about the major obstacle. Perhaps communicating with others might facilitate problem recognition and resolution among probationers communicating poorly with the probation officer. Also others might serve to reinforce messages clearly and accurately perceived by the probationer and encourage progress toward meeting behavioral objectives.

The perceptions of performance in terms of progress toward meeting specific expectations said to be communicated also were addressed in the interviews. Table 4.8 displays the perceptions of probation officer satisfaction with the probationer's progress in doing what the probation officer asked as expressed by probation officers and probationers.

Table 4.8 Frequency Distribution of Probation Officer Level of Satisfaction with Probationer Progress as Perceived by Probation Officers and Probationers in Percent

<u>Level of Satisfaction</u>	<u>Probation Officers</u>	<u>Probationers</u>
Unqualified Satisfaction	60.6	81.3
Qualified Satisfaction	9.9	4.2
Dissatisfied	26.8	6.3
Declined to Respond	2.8	8.3
	<u>100.1</u>	<u>100.1</u>
	(N=71)	(N=48)

The numbers responding differed because probation officers assessed progress even when probationers failed to perceive any specific expectations. Since probationers overwhelmingly perceived their officers as satisfied, an examination of whether probation officers concurred with the probationer's assessment was undertaken. For the 38 probationers claiming that their probation officers were completely satisfied with progress to date, 65.8% of their probation officers agreed, 7.9% expressed qualified satisfaction, 23.7% were dissatisfied, and 2.6% declined to respond to the progress question. About one quarter of the probationers incorrectly perceived their probation officer's satisfaction. If follow-up were available, it would be interesting to see if a relationship exists between probationer perception of probation officer satisfaction and outcome.

The last area to be explored is ISP case record content. Since the ISP stresses a planned supervision strategy relating to identified need areas, the grant staff analyzed the extent to which case record content reflected the major problem area discussed by the probation officer and the probationer. Using the scaled measure of the level of case record content convergence (described earlier) for the Monthly Activity Report covering the interview date produced the results contained in Table 4.9.

Table 4.9 Frequency Distribution of the Level of Case Record Content Corresponding to the Major Problem Area in Percent

<u>Level of Correspondence</u>	
No Case Record Content	32.9
Low Case Record Content	21.9
Medium Case Record Content	23.3
High Case Record Content	21.9
	<u>100.0</u>
	(N=73)

Almost one third of the case records reviewed did not contain any references to the major problem area in the Monthly Activity Report. Less than one of four case files had low correspondence to the major problem area identified in the interview. Thus over 50% of the case files examined contained no or sparse references to the problem area identified. Since the major obstacle was identified by the probation officer and the case record content variable merely reflects the mention of this problem area in the file, it would seem that probation officers do not necessarily view the case file as the appropriate forum for discussing the probationer's problems. This fact impacts on utility of the case record for both supervisors and evaluators. The ramification is that it may not be feasible to accurately examine the probation experience without directly talking to the probation officer, given current documentation practices.

RECOMMENDATIONS FOR FUTURE RESEARCH

The preceding section constituted an exploratory study of what actually occurs during a probation supervision interview. The emphasis of the exploratory interviews conducted lay in the communication process. The grant staff operationalized several abstract concepts in hopes of uncovering some of the qualitative aspects of communication. The first recommendation for future research is a replication of the operationalizing of key concepts such as role and communication content with a larger more representative sample of probationers and probation officers (i.e., non-ISP) in order to assess the reliability and validity of the measures employed in this exploratory study. Once appropriate measures are established, the results of this exploration of the probation supervision interview

point to many fascinating topics for further research.

As discussed in the introduction to this report most research on probation caseload reduction uses some criterion of recidivism as a basis for determining the effectiveness of intensive supervision programs. Typically such research focuses on the quantitative elements of supervision. The results of this grant's qualitative venture into assessing probation supervision should be investigated using probation outcome as a criterion. The availability of 18 month outcome data on this interview sample would permit further delimitation of fruitful areas to be reinvestigated with a larger sample containing outcome information.

Assuming that suitable measures can be devised to capture qualitative processes and that a large representative sample of probationers and probation officers and outcome data are available several broad areas warranting further research emerge from the findings in this portion of the grant. First, is the information uncovered concerning what actually takes place during an ISP supervision interview unique to the ISP or typical of "regular" probation supervision as well? Second, how does the role enacted by the probation officer affect communication convergence and outcome? Are probation officers employing a certain role type more successful with probationers? Alternatively is role flexibility more productive than adopting a single consistent role? If role flexibility exists, are probation officers able to determine the most suitable role for any particular client and if so, how? Another factor might be whether certain probation departments by their policies and practices tend to encourage certain styles of probation officer interaction regardless of the role preferences of the individual probation

officer.

The effects of role perception may also be examined from the viewpoint of the probationer. How, for example, is the process of communication between probation officers and probationers reflective of the convergence or divergence of role perceptions? Does role perception, if inaccurate, form the basis for a self-fulfilling prophecy resulting in failure on probation owing to increased frustration and resistance to the communication process?

The third broad area for future research revolves around the communication process itself. What is the nature of the communication engaged in by participants in the probation interview? Is the content of the message more important than the manner in which it is transmitted to the probationer or vice versa? How does the inherent power of the probation officer over the probationer affect communication? Do the patterns or means of communication conform to broader theoretical models concerning the implementation of planned change on an individual level?

A fourth topic for investigation is the impact of need or problem area identification on both communication and outcome. Whether probation officers and probationers agree on the presence of need areas might shape the nature of their subsequent interaction. Several possibilities along this vein were discussed in the problem area identification portion of this exploratory study.

These are just a few examples of possible subjects for future researchers to begin to explore. The complex dynamics of human interaction in the probation supervision experience hold the potential to reveal meaningful relationships capable of highlighting the differences between probation successes and failures. If

properly researched, investigations into these qualitative processes might provide useful practical and theoretical knowledge regarding probation where previous quantitative studies have failed.

CHAPTER 5 STRENGTHENING THE ISP RISK ASSESSMENT

Two objectives were identified in the grant application with regard to strengthening the ISP Risk Assessment Instrument.

- 1) Determine the effect of excluding highly subjective variables (Risk Items 9 and 10).
- 2) Increase the predictive accuracy through the inclusion of additional variables.

The first objective would be achieved by creating a new risk score which did not include the points from the two highly subjective risk items. This new risk score would then be compared to the existing score to determine the "predictive validity of the resultant eight variable instrument compared to the original ten variable instrument."³⁰ It is possible that the inclusion of highly subjective predictor variables decreases the overall accuracy of the ISP Risk Assessment. Eliminating these two risk items would allow a determination of the existence or extent of this problem. The sample used to achieve the first objective is the pre-ISP sample described in Chapter 2.

The second objective, increasing the predictive accuracy of the Risk Assessment through the inclusion of additional variables, had to be modified. The grant application called for the following efforts to meet this objective:

- 1) On site review of ISP case records to collect data. This data would then be examined to identify variables that discriminate between ISP successes and ISP failures.
- 2) Any identified variables would be incorporated in a data collection instrument to be completed on 350 randomly selected ISP cases and 350 randomly selected non-ISP cases (construction). Outcome information would also be included.

3) Discriminant analysis would be used to assess the predictive utility of these variables on the construction sample.

4) Any statistically useful variable would then be validated on a random sample of 400 probationers.³¹

The different steps outlined in the procedure above would require 4 distinct samples from which data would be collected. While the grant application did not identify the number of cases in one sample, the remaining three samples would produce 1100 cases in all. This procedure would also require the design of data collection instruments at three different points in time. Each of these three data collection instruments would require separate coding, keypunching, computer entry, and analysis through SPSS programs before the next step could be carried out. These procedures would require a major effort on the part of the grant staff. It was quickly determined that an effort of this magnitude, in conjunction with the efforts required for Program Impact and Process issues, would not be possible with the limited staff and time available. It was decided that this objective could only be approached using a procedure similar to that employed in the assessment of the utility of the subjective risk items. Thus, the pre-ISP sample was used to accomplish the construction function. Potential variables were obtained by using existing data from the pre-ISP sample which are not currently incorporated on the ISP Risk Assessment Instrument.

In order to address the two objectives specified in this section, a brief description of the construction and validation process originally employed in the creation of the ten-item ISP

Risk Assessment is required. This discussion is presented in order to provide the reader a basis from which to interpret results and comparisons.

The process of constructing the ISP Risk Assessment can be summed up as follows:

- 1) Select a sample of New York probationers.
- 2) Collect information on a large number of variables thought to be useful in predicting failure on probation from these probationers.
- 3) Reduce the number of independent variables by relating each variable to outcome (the dependent variable).
- 4) Enter the remaining variables in a discriminant analysis to determine which combination of variables would be most useful in predicting failure on probation and what weights should be applied to these predicting variables.

Following the completion of the Risk Assessment construction process, a Risk Assessment Instrument with weighted questions was designed and the validation phase undertaken. The validation process can be described by the following steps:

- 1) Select a new sample of New York probationers.
- 2) Complete the Risk Assessment Instrument on those probationers.
- 3) Determine the predictive ability of the Risk Assessment Instrument.

It should be evident to the reader that these are brief overviews of the construction and validation processes. Many technical issues and decisions were required at each step.³² A number of problem areas have been discovered in the construction and validation of the ISP Risk Assessment. The following discussion is not intended to be a detailed discussion of the complete construction and validation process. Instead, only the major problem areas will be highlighted.

The first problem derives from the procedures used in step 4

of the construction process. At this point in the construction process, the pool of potential predictor variables has been reduced to a manageable level and a discriminant analysis is undertaken to determine which combination of variables will be statistically useful in predicting failure on probation. Although a thorough explanation of discriminant analysis is beyond the scope of this report, a brief statement of the logic and purpose of discriminant analysis is presented below.

Discriminant analysis begins with the desire to statistically distinguish between two or more groups of cases. These "groups" are defined by the particular research situation. (In this particular case, the two groups are probation successes and probation failures.) To distinguish between the groups the researcher selects a collection of discriminating variables that measure characteristics on which the groups are expected to differ. The mathematical objective of discriminant analysis is to weight and linearly combine the discriminating variables in some fashion so that the groups are forced to be as statistically distinct as possible. In other words, we want to be able to "discriminate" between the groups in the sense of being able to tell them apart.³³

In the ISP Risk Assessment construction process, 25 distinct variables were entered into the discriminant analysis. A number of alternative ways in which variables may be entered into a discriminant analysis are possible. The method utilized for the construction of the ISP Risk Instrument was the "stepwise" method. In the stepwise method, variables are selected for entry based on their discriminating power. The variable which has the most discriminating power is the variable selected in step 1. Once this first variable is determined, it is combined separately with each of the remaining variables to determine which single additional variable will maximally increase the discriminating power. This variable will then be the variable selected in step 2.

These two variables are then combined separately with each of the remaining variables. The combination of three variables which maximizes the discriminating power is determined and the new variable entered at step 3. This procedure is then continued until all variables have been examined, or until none of the remaining variables satisfy a pre-determined minimum level of improvement. The stepwise method also allows for eliminating variables already selected, but no longer statistically useful because of the subsequent addition of new variables. Because the ISP Risk Assessment construction process did not delete any variables previously selected, this procedure will not be discussed. The end result of the stepwise method is extremely useful.

In many instances, the full set of independent variables contains excess information about the group differences, or perhaps some of the variables may not be very useful in discriminating among the groups. By sequentially selecting the "next best" discriminator at each step, a reduced set of variables will be found which is almost as good, and sometimes better than, the full set.³⁴

Table 5.1 displays the variables used in the construction process and the resulting summary statistics.

Table 5.1 Discriminant Analysis ISP Risk Instrument Construction
Summary Table 35

Variables entered into the Discriminant Analysis:

1. Attitude
 - a. rationalizes behavior, negative, not motivated
 - b. dependent/unwilling to accept responsibility
2. Age at First Arrest
 - a. 20 to 23
 - b. 19 and under
3. Age at First Detention
 - a. 20 to 23
 - b. 19 and under
4. Length of Previous Detention
 - a. 3 to 6 months
 - b. 6 months or more
5. Previous convictions
 - a. one or more felonies
 - b. three or more misdemeanors
6. Age at First Conviction
 - a. 20 to 23
 - b. 19 and under
7. Two or More Previous Detentions
8. Address Changes Past Year
9. Age at Offense is 19 or Under
10. Detained on Prior Probation
11. Prior Probation Sentence
12. Favorable Current Living Situation
13. Revoked on Prior Probation
14. Employed at Time of Arrest
15. Arrest Free Period - 5 Years
16. Family Criminal Record
17. Prior Robbery Conviction
18. Previous Arrests

Step No.	No. Variable Entered	Unstandardized Discriminant Coefficient
1	10	1.02
2	6b	.41
3	1a	.79
4	1b	.55
5	5b	.56
6	17	.79
7	12	.29
8	8b	.46
9	16	.49
10	2a	.47
11	3a	.64
12	3b	.51
13	5a	.38
14	8a	.26
15	4a	.58
16	14	.19
17	15	.20

Of the original 25 variables used in the discriminant analysis, 17 were found to be significant in discriminating probation failures from probation successes. The result of this process should be an ISP Risk Assessment Instrument which could be used in the validation process and which would include questions matching the 17 selected variables and points for each question determined from the unstandardized discriminant coefficients. In actuality, this is not what occurred. A number of variables were eliminated or combined by logic. This method is not wrong by itself, but the remaining variables and combinations should have been entered in a new discriminant analysis in order to be able to assign each variable the appropriate score. As stated earlier, the discriminating power of any one variable is dependent to some extent upon the other statistically significant variables. The unstandardized discriminant coefficients (Table 5.1) for the

variables retained by the ISP for use in the validation study will change because some variables were either eliminated or combined. Thus the score that any probationer receives for the remaining variables will not be statistically correct. If the number of variables is seen as too large to be useful, that number must be reduced by a method that allows for the proper classification of probationers in the validation sample.

The procedures used to combine two variables, thus producing one question on the validation Risk Assessment Instrument were also incorrect. Variable number 8 (Table 5.1) concerns the number of address changes during the past year. This question is really two variables: 1) one address change in the past year, and 2) two or more address changes in the past year. As Table 5.1 shows, these two variables were correctly entered into the analysis separately and both were found to be useful predictors. When the ISP Risk Assessment Instrument was created for the validation sample, they were combined into one question: "One or more address change(s) in past year." If a probationer from the validation sample would have answered yes to either of the initial two questions, then that probationer must also answer yes to the one combined question. The score given for a yes answer on the validation Risk Assessment is 6. This score, however, was based only on the unstandardized coefficient for the one question indicating one address change in the past year (variable 8a).. The discriminant coefficient for two or more address changes

was discarded.

A different procedure was used in creating one "attitude" question from two distinct variables. As Table 5.1 shows, these two variables have differing coefficients (1a, 1b). The two variables are kept separate on the validation Risk Instrument, but the scorer is asked to check the most appropriate of the two, thus yielding only one answer. The score given, regardless of which of the two variables used, is 14. This score was incorrectly derived by finding the average between the two coefficients. Instead of getting a score of 16 for one answer or 11 for the other, the probationer was given a score of 14 for either.

A third problem concerns the "previous conviction" question on the validation Risk Assessment. This question was constructed using the coefficients for variables 5a and 5b in Table 5.1. When the validation Risk Assessment was completed those probationers who had been previously convicted of three or more misdemeanors, but no felonies, were given a score of 12. Those probationers who had been previously convicted of one or more felonies, regardless of the number of misdemeanors, were given a score of 8. In the final ISP Risk Assessment Instrument, created from the validation sample, these questions were combined to become "three or more prior misdemeanor or one or more prior felony convictions/ adjudications," with a resultant score of 10. Two mutually exclusive questions should not have been combined into one question, and then given a score which is the average of the two original scores.

All of the problems concern the procedures utilized by the ISP in the construction and validation of the ISP Risk Assessment Instrument. The effect, if any, on the predictive ability of the Risk Assessment Instrument has not been addressed. Any effect should be examined in terms of the stated purpose of the Risk Assessment Instrument. "The instrument must be able to discriminate successes from failures of the ISP."³⁶

Table 5.2 displays success and failure rates by category of risk score.

Table 5.2 Outcome by Category of Risk Score (pre-ISP only) in Percent

Outcome	Risk Score Category								
	0-10	12-20	22-30	32-40	42-50	52-60	62-70	72-80	82+
Success	92.7	83.9	79.5	72.9	63.4	61.7	53.1	48.1	35.7
Failure	7.3	11.1	20.5	27.1	36.6	38.3	46.9	51.9	64.3
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(481)	(515)	(551)	(350)	(238)	(180)	(81)	(27)	(14)

Table 5.2 shows that success rates decrease as scores within categories increase. However, Table 5.2 also shows that success rates are larger than failure rates in all but two categories. The success rate for probationers scoring 62 or above is exactly 50.0%. Thus, if one were to predict that any given probationer who scored at 62 or above on the ISP Risk Assessment Instrument would fail on probation, this prediction would be correct half of the time. Table 5.2 also shows that 5% of all probationers in the pre-ISP sample would score at 62 or above. Included in this group of probationers would be approximately 12% of all failures in the pre-ISP group. Thus, if 62

were the minimum risk score cutoff for entry in the Intensive Supervision Program, 5% of all individuals being placed on probation would qualify, 50% of that group would be expected to fail while under regular probation supervision, and 88% of all failures on probation would not be candidates selected for the ISP.

As previously stated, the first objective for the strengthening of the ISP Risk Assessment is to determine the effect of excluding highly subjective variables. In order to accomplish this task, questions 9 and 10 have been deleted, and a new risk assessment instrument constructed from the remaining eight questions. Questions 9 and 10 yielded the possibility of 20 points if both were scored affirmatively. Thus, while the original ISP Risk Assessment has a total possible score of 98, the new eight question instrument has a total possible score of 78. In order to make comparisons between the two instruments, each question on the eight question instrument was proportionately increased so that the total possible score would be 98.

Table 5.3 presents the success and failure rates of pre-ISP probationers by category of risk score on the new eight question instrument.

Table 5.3 Outcome by Category of Risk Score for the Non-Subjective Risk Assessment Instrument (pre-ISP only) in Percent

Outcome	Risk Score Category								
	0-10	12-20	22-30	32-40	42-50	52-60	62-70	72-80	82+
Success	91.0	80.7	72.8	63.9	62.0	67.9	61.2	44.4	50.0
Failure	9.0	19.3	27.2	36.1	38.0	32.1	38.8	55.6	50.0
	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>	<u>100.0</u>
	(799)	(680)	(371)	(219)	(108)	(165)	(67)	(18)	(10)

With the exception of the 52-60 and 82+ categories, success rates decrease as scores within categories increase. As was the case with the ten question Risk Assessment Instrument (Table 5.2), success rates are larger than failure rates in all but two categories. When the two subjective questions are eliminated from the Risk Assessment Instrument, the success rate for probationers scoring 62 or above increases to 56.8%. Table 5.3 also shows that the percentage of all probationers in the sample who score at 62 or above decreases to 3.9% and the proportion of the total failures in the sample included in this group falls to 7.9%. Because the failure rate for probationers in the higher categories of risk score decrease and the proportion of all probation failures captured in these categories also decreases, it appears that eliminating subjective variables from the ISP Risk Assessment decreases the predictive accuracy of the instrument. This same conclusion was reached when instruments were constructed by alternately eliminating each of the subjective variables. A nine-question instrument which eliminates the original question concerning the perception of an "unfavorable living situation," but retains the "attitude" question, is the most comparable to the original ten question instrument. In that instrument the success rate for probationers scoring 62 or greater was 54.1%, 12.9% of all failures scored 62 or greater, and 6.0% of all probationers fell into this category.

Up to this point, no effort has been made to resolve any of the problems concerning the construction and validation of the

ISP Risk Assessment Instrument. Those problems fall basically into 3 areas: 1) the improper inclusion and deletion of variables in the discriminant analysis, 2) the improper weighting of variables, and 3) the improper combining of original variables to arrive at the variables on the ISP Risk Assessment Instrument. Since the current data set does not include the original variables used in the construction sample, problem area 1 is beyond our reach. Problem area 3 cannot be resolved properly either because the current data set only contains information on previously combined variables in their final form. Those variables cannot be broken into their original form. Problem area 2 is not completely beyond the control of the grant staff, however. A new discriminant analysis can be undertaken using the ten questions on the current ISP Risk Instrument. While we are unable to say whether these variables are the correct variables to use in constructing a risk instrument, we can construct a new instrument from a new analysis of the ten items.

In order to accomplish this, all ten risk questions have been entered into a new discriminant analysis using the 2437 pre-ISP probationers. The ten questions are listed below (Table 5.4). Of these ten variables, eight met the minimum entry criteria and were retained for the construction of a new risk instrument. The questions concerning a "prior robbery" conviction and "prior misdemeanor/felony" conviction were not found to be useful in discriminating between probation failures and successes. These two variables were dropped from further analysis. The unstandard-

ized discriminant coefficients were then used to determine the proper weights (scores) for the eight discriminating variables. Since the total score for the eight items is arbitrary (as long as the relationships between the variables remains the same), the new instrument was weighted to sum to 100. The individual scores are indicated in Table 5.4.

Table 5.4 Questions Entered into the Discriminant Analysis, Questions Retained, and New Scores for Retained Questions

<u>Questions Entered</u>	<u>New Score</u>
<u>Retained</u>	
1. Arrested within five (5) years prior to the current offense.	15
2. Nineteen or under at time of first conviction/adjudication.	13
5. Incarcerated while on a prior probation or parole sentence.	5
6. Neither employed nor in school full-time.	15
7. Members of his family (i.e., spouse, children, parents, siblings) have a criminal record (J.D. or Adult).	4
8. One or more address changes in the year prior to current offense.	26
9. Currently living in a situation judged to be unfavorable.	12
10. Has an attitude that is either one in which he rationalizes his behavior; or he is negative and not motivated to change; or he is dependent or unwilling to accept responsibility.	$\frac{10}{100}$
<u>Deleted</u>	
3. Prior convictions/adjudications for robbery	
4. Three or more prior misdemeanor or one or more prior felony convictions/adjudications.	

The grant staff wishes to emphasize again that this should not be viewed as a proper construction sample. Some, or all, of the eight questions retained and the two questions deleted might not be useful discriminating variables if the original pool of variables was available. In any case, the scores for any variables which would be retained would certainly change. Thus, given these particular ten variables as the potential pool of possible predictors, we can construct a new ISP Risk Assessment with subjective variables included and a new risk instrument with subjective variables removed. A determination of the utility of the two subjective variables in this analysis can then be reached.

Table 5.5 Outcome by Category of Risk Score for the New Risk Assessment Instrument (8 Questions only) in Percent

<u>Outcome</u>	<u>Risk Score Category</u>								
	<u>0-10</u>	<u>11-20</u>	<u>21-30</u>	<u>31-40</u>	<u>41-50</u>	<u>51-60</u>	<u>61-70</u>	<u>71-80</u>	<u>81+</u>
Success	93.6	92.3	89.1	82.4	81.6	69.2	67.0	63.1	38.8
Failure	6.4	7.7	10.9	17.6	18.4	30.8	33.0	36.9	61.3
	$\frac{100.0}{(171)}$	$\frac{100.0}{(310)}$	$\frac{100.0}{(470)}$	$\frac{100.0}{(336)}$	$\frac{100.0}{(331)}$	$\frac{100.0}{(344)}$	$\frac{100.0}{(212)}$	$\frac{100.0}{(103)}$	$\frac{100.0}{(160)}$

Table 5.5 presents the relationship between outcome and risk score category using the new risk instrument. When outcome by category of risk score for the new instrument is compared to outcome by risk category of the current ISP Risk Assessment Instrument (Table 5.2), a number of differences emerge. In Table 5.5, success rates once again decrease as risk scores within categories increase. The current ISP Risk Assessment, however, had a 50% failure rate for those probationers scoring 62 or

greater. The new instrument has a 43.5% failure rate for those probationers who score at 62 and above. The new instrument also includes 19.2% of all 2437 probationers in the group scoring 62 or greater, and 39.4% of all probation failures. These figures compare to 5.0% of the total sample and 12% of the total failures.

In order to compare the two instruments in a different manner, it was determined that 14.5% of all 2437 pre-ISP probationers score 67 or greater on the new instrument. If one were to determine the predictive accuracy of the new instrument, given the current ISP staffing pattern, this comparison would be appropriate. Using the pre-ISP group, the ISP would expect about 14.6% of all probationers to score at 48 or above on the current ISP Risk Assessment Instrument. Since the ISP is now using 48 as the minimum entry score statewide, the probation officer staffing pattern reflects this 14.6% figure. The failure rate for those scoring at 48 or above on the current ISP Risk Assessment Instrument is 42.0%. This group of eligible probationers will include 29.0% of all failures. Using 67 and above as a minimum cutoff score for the new instrument would result in a 49% failure rate and would include 33.4% of all failures. Thus, if the minimum risk score necessary for referral to ISP is based on current staffing patterns, the new eight variable instrument has better predictive ability than the current ISP Risk Instrument.

This finding should not be surprising since the new instrument was constructed directly from the pre-ISP group and the

current ISP Risk Assessment was not. Discriminant analysis includes a certain amount of capitalization on chance factors, resulting in "shrinkage" of predictive ability when new samples are examined. It must also be recalled that the construction and validation samples for the original ISP Risk Assessment Instrument were smaller than the pre-ISP sample. Generally speaking, larger samples are more desirable. Another factor which could affect the predictive validity of any risk instrument is the ratio of predictor variables to the total number of cases. In constructing the ISP Risk Assessment Instrument, 25 variables were used on 353 cases. In constructing a new instrument from the pre-ISP sample, 10 variables were used with 2437 cases. Again, generally speaking, the larger the ratio of cases to variables, the more stable the results.

In order to determine the utility of deleting the two subjective variables, a new discriminant analysis was accomplished. This time the "unfavorable living situation" and "attitude" questions were not entered into the analysis. This discriminant analysis also did not result in the "prior robbery" and "misdemeanor/felony" questions being selected as discriminating variables. The remaining six variables were then given scores derived from their unstandardized discriminant coefficients. Due to rounding factors, the six scores added to a total of 101.

Table 5.6 displays the success and failure rates by category of risk score for the new "non-subjective" risk instrument.

Table 5.6 Outcome by Category of Risk Score for the New Non-Subjective Risk Assessment Instrument (6 questions only) in Percent

Outcome	Risk Score Category								
	0-10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81+
Success	93.3	89.0	90.7	83.1	80.5	77.8	63.0	66.4	51.3
Failure	6.7	11.0	9.3	16.9	19.5	22.2	37.0	33.6	48.7
	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0
	(179)	(236)	(409)	(332)	(339)	(352)	(230)	(122)	(238)

Of the 2437 probationers in Table 5.6, 360, or 14.8%, have risk scores of 71 or greater on the new non-subjective instrument. The failure rate for this group of probationers is 43.6% and 30.3% of all probation failures would score at 71 or above. It appears that, based on a reduced failure rate and a smaller proportion of actual failures, the non-subjective risk instrument does not predict as well as an instrument including the two subjective questions.

As stated earlier, the second objective in this section of the grant is to examine the possibility of increasing the predictive accuracy of the ISP Risk Assessment Instrument through the inclusion of new variables or the modification of existing variables. To accomplish this objective, the grant staff entered variables into a discriminant analysis, which although contained in the pre-ISP data base, were not the same variables as the ten questions used in the Risk Assessment Instrument. For instance, information is available on the three convictions prior to the current offense of all probationers in the sample. Thus, a variable indicating whether the most serious prior offense was a felony or misdemeanor could be entered into the analysis.

While somewhat similar to the existing "3 misdemeanor/1 felony" question, this variable is different. Another example is the type of sentence received for a prior conviction. By ascertaining whether a particular probationer has been incarcerated in prison for a prior offense, we can then discover any possible discriminating power this variable has in predicting success-failure on the current probation sentence.

The pre-ISP data set allowed for new variables to be evaluated in the following areas: 1) whether the most serious prior conviction was a felony, 2) whether the number of prior convictions was important, 3) if the probationer had a probation or parole violation listed for any of the last three prior convictions, and 4) whether the type of sentence (e.g., probation, prison, fine, etc.) for any of the three prior convictions could be used for predicting outcome. These variables were recoded and entered into a discriminant analysis with the existing ten questions from the ISP Risk Assessment Instrument. None of the new variables were found to possess the minimum discriminating power necessary to include them in a new risk instrument. Thus, without a new data gathering effort, the grant staff cannot suggest any modifications to the current ISP Risk Instrument based on new variables currently in the data base.

Addendum to Chapter Five

This addendum is presented in order to address the issues raised, but not resolved, in Chapter Five. Three basic issues concerning the construction and utility of the ISP Risk Assessment Instrument are identified in Chapter Five:

- 1) All variables indicated by a discriminant analysis as contributing to a distinction between "successes" and "failures" were not included in the instrument;
- 2) the weights of the items in the instrument were incorrectly assigned because some variables were improperly combined; and
- 3) the predictive ability of the Risk Assessment Instrument is questionable because, using a risk cutoff score of 62, the instrument does not identify the majority of probation "failures" as such, and 50% of those identified as "failures" do not actually fail.

Issues one and two, above, are currently being examined by the Research and Evaluation Unit. This examination entails a reanalysis of the original construction sample; that is, the original data from 1978 have been reestablished as a computerized system file, and appropriate analyses are now being conducted. In order to address issues one and two, the following steps will be completed:

- 1) The original discriminant analysis which produced the seventeen variables which discriminated between "successes" and "failures" will be reproduced, in order that the unstandardized discriminant coefficients may be verified;
- 2) variables which were combined after the original discriminant analysis will be appropriately combined prior to a new discriminant analysis;
- 3) the new discriminant analysis will be based only on those variables which were selected from the seventeen for inclusion in the instrument, in order to determine the appropriate coefficients for the purpose of establishing weights for the instrument items;
- 4) the "new" instrument resulting from the new discriminant analysis will be tested with an appropriate sample; and
- 5) any indicated modifications to the Risk Assessment Instrument will be carefully evaluated, and decisions concerning any alteration of the current instrument will be made by program staff.

A report addressing these two issues will be produced when these five steps have been completed.

The third basic issue addressed in Chapter Five concerns the ability of the Risk Assessment Instrument to identify potential "failure" cases in order that those cases may be placed in the ISP. Briefly, the information presented in Chapter Five suggests that, using a minimum risk score cutoff of 62, 50% of those identified as "failures" will not actually fail, and only 5% of all probationers in the pre-ISP sample score 62 or above. While these data are accurate, they do not reflect the predictive ability of the Risk Assessment Instrument as it is currently used. The instrument is more accurately examined in the following paragraphs, focusing on two points:

- 1) The utility of the Risk Assessment Instrument; and
- 2) the use of an appropriate cutoff score.

The utility of a risk prediction instrument lies not in its ability to forecast actual, absolute numbers of cases, but in its ability to reduce the errors made in using guesswork, alone, to make classification determinations. While it is unlikely that any risk prediction instrument could be operationalized in such a manner that it produces accurate forecasts for the majority of cases, any instrument which reduces the errors in forecasting which would be made without the use of the instrument is a useful tool. Table A, which is a reproduction of Chapter Five's Table 5.2 with the absolute numbers added, demonstrates that as the score on the Risk Assessment Instrument increases, the failure rate consistently increases for each of the nine successive categories.

Table A. Successes and Failures Among the Pre-ISP Sample by Risk Score Categories

Outcome	0-10	12-20	22-30	32-40	42-50	52-60	62-70	72-80	82+	TOTAL
	% (n)	% (n)	% (n)	% (n)	% (n)	% (n)	% (n)	% (n)	% (n)	% (n)
Success	92.7(446)	88.9(458)	79.5(438)	72.9(255)	63.4(151)	61.7(111)	53.1(43)	48.1(13)	35.7(5)	79(1,920)
Failure	7.3(35)	11.1(57)	20.5(113)	27.1(95)	36.6(87)	38.3(69)	46.9(38)	51.9(14)	64.3(9)	21(517)
Total	100(481)	100(515)	100(551)	100(350)	100(238)	100(180)	100(81)	100(27)	100(14)	100(2,437)

Table B presents the same data as Table A, collapsed into two categories "below 62" and "62 or above".

Table B. Successes and Failures Among the Pre-ISP Sample, Risk Score "Below 62" and "62 or Above"

Outcome	Below 62	62 or above	Total
	% (n)	% (n)	% (n)
Success	80 (1859)	50 (61)	79 (1920)
Failure	20 (456)	50 (61)	21 (517)
Total	100 (2315)	100 (122)	100 (2437)

As explained in Chapter Five, a prediction of "failure" for all who score 62 or above would be incorrect 50% of the time. However, in examining the "Total" column in Table B, it can be seen that a prediction of "failure" for all probationers, were no instrument available, would be incorrect 79% of the time. Thus, the use of the Risk Assessment Instrument as a classification tool results in 29% fewer errors in prediction when 62 is used as a risk cutoff score.

The use of 62 as a risk cutoff score and the resulting 5% of probationers who score 62 or above is the second point to be considered, as 48 is currently the statewide cutoff score for inclusion in the ISP. (At the time the data for the tables in this section were collected, 48 was a suggested cutoff score and individual counties could have a cutoff score below or above 48). Data from the pre-ISP sample, broken down into the categories "below 48" and "48 or above," are presented in Table C.

Table C. Successes and Failures Among the Pre-ISP Sample, Risk Score "Below 48" and "48 or Above"

Outcome	Below 48	48 or Above	Total
	% (n)	% (n)	% (n)
Success	82 (1713)	58 (207)	79 (1920)
Failure	18 (367)	42 (150)	21 (517)
Total	100 (2080)	100 (357)	100 (2437)

In using 48 as a risk cutoff score (i.e., predicting "failure" for all those who score 48 or greater), errors will be made 58% of the time. However, were no instrument used, errors would be made 79% of the time. Although the percent change in error using 48 as a risk cutoff score is not as great as in using 62 as a risk cutoff score, there is a 21% reduction in the errors made in classification through the use of the instrument. Additionally, using 48 as the risk cutoff score results in 15% of the sample being identified as "high risk", as opposed to 5% when 62 is used.

It should also be noted that probationers who score lower than 48 may be placed in the ISP through the "override" procedure when the probation officer has reason to believe the probationer presents a likelihood of failure for reasons other than those contained in the Risk Assessment Instrument.

Thus, although the data in Table A indicate that "failure" is not an accurate prediction for the numerical majority of cases until the cutoff score of 72 (at which 48.1% of the predictions of "failure" would be incorrect) is reached, the instrument is successful in reducing the errors made in prediction at as low a score as 32 (at which 72.9% of predictions of "failure" would be incorrect, as compared to 79% incorrect predictions of "failure" were no instrument used). At the current statewide cutoff score of 48, only 58% of the 15% of the population identified as "high risk" would be incorrectly classified, as opposed to 79% of the entire population were no instrument used. Thus, although the instrument does not accurately predict "failure" or "success" for the majority of cases, its predictive ability has been demonstrated by its utility in reducing the errors made in using guesswork, alone, in making ISP classification decisions.

In summary, the first two issues addressed in Chapter Five (i.e., the numbers and weight of items in the instrument) are acknowledged and currently being examined by the Research and Evaluation Unit, and a report will be issued at the completion of their efforts. The third issue, the predictive ability of the Risk Assessment Instrument, is addressed in this addendum.

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2. See for instance: Fox, Vernon B., "Changing Classifications Organizational Patterns: 1870-1970," in Correctional Classification and Treatment, W.H. Anderson Co., 1975.; Tappan, Paul W., Crime, Justice, and Correction, McGraw-Hill Book Co., 1960, pp. 546-549.; National Advisory Commission on Criminal Justice Standards and Goals, Corrections, Probation: National Standards and Goals, U.S. Government Printing Office, 1973, pp. 311-340.; American Correctional Association, Correctional Classification and Treatment, Cincinnati, Ohio, 1975.
3. In this discussion we summarize a great deal of information under "classification techniques" and "processes." Although diagnosis (i.e., assessment), classification, and prediction are closely related, they are not identical. We use the terms broadly here, to mean those procedures used during the classification stage of probation, and do not wish to imply that the concepts are identical, or that the National Advisory Commission on Criminal Justice Standards and Goals considered them identical. For a complete discussion of the distinctions between the concepts, see Gottfredson, Don M., "Diagnoses, Classification, and Prediction," in Decision-making in the Criminal Justice System: Reviews and Essays, National Institute of Mental Health, 1975, pp. 1-8.
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12. Ibid., pp. 53-59.
13. Ibid., pp. 52-62. A number of publications reviewing prediction methods are available. See for instance; Gottfredson, D.M., J.O. Finkenauer, and C. Rauh, Critical Issues in Adult Probation-Technical Issue Paper on Caseload Prediction and Treatment, Ohio State University Program for the Study of Crime, Report 4, 1978.; Albanese, J.S., "Predicting Probation Outcomes-An Assessment of Critical Issues," in Probation on Trial, Gottfredson, D.M. et.al., eds.; Rutgers University School of Criminal Justice, 1977.; Pitchard, D.A., Stable Predictors of Recidivism-A Summary, Sage Publications, Inc., 1979.; Zwanenburg, M.A., Prediction in Criminology, Dekker & Van de Vegt-Nijmegen, 1977.
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15. Carey, Hugh, Governor New York State, State of the State Message, March, 1978.
16. N.I.C. Grant Application 80CP435, op. cit., pp. 2-3.
17. Ibid., pp. 3-4.
18. New York State Division of Probation, Operational Guidelines for the Intensive Supervision Program, March, 1979, p. 4.5.
19. In any decision (i.e., classification based on risk) there are two types of potential error. An individual could be classified as low risk when in fact he fails or the probationer could be classified as high risk and did not fail, independent of the intervention possibilities. For an excellent discussion of decision errors, see Wilkins, Leslie T., "Direction for Corrections," in Probation, Parole and Community Corrections, 2nd, Ed., Carter, Robert M., and Leslie Wilkins, eds., John Wiley & Sons, Inc., 1976, pp. 56-76.

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27. Ibid., p. 5.1
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29. Ibid., pp. 11, 12.
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CARD 3

Column

7,8

LTR5

Number of letter and phone contacts with probation during the 10 to 12 month period.

Column

9,10

CRJ5

Number of face to face contacts with probationer in a criminal justice setting during the 10 to 12 month period.

Column

11,12

FACE5

Number of other face to face contacts with probationer during the 10 to 12 month period.

Column

14,15,16

OFC6

Number of office visits during the 13 to 15 month period.

Column

17,18

FTR6

Number of times probationer "failed to report" during the 13 to 15 month period.

Column

19,20 PHV6

Number of positive home visits with the probationer during the 13 to 15 month period.

Column

21,22 LTR6

Number of letter and phone contacts with the probationer during the 13 to 15 month period.

Column

23,24 CRJ6

Number of contacts with probationer in a criminal justice setting during the 13 to 15 month period.

Column

25,26 FACE6

Number of other face to face contacts with probationer during the 13 to 15 month period.

Column

28,29,30 OFC7

Number of office visits during the 16 to 18 month period.

Column

31,32 FTR7

Number of times probationer "failed to report" during the 16 to 18 month period.

Column

33,34 PHV7

Number of positive home visits with probationer during the 16 to 18 month period.

Column

35,36 LTR7

Number of letter and phone contacts with probationer during the 16 to 18 month period.

Column

37,38 CRJ7

Number of face to face contacts with probationer in a criminal justice setting during the 16 to 18 month period.

Column

39,40 FACE7

Number of other face to face contacts with probationer during the 16 to 18 month period.

Column

42 SITE1

Number of onsite agency collateral contacts on the Initial Supervision Plan.

Column

43 AGPHONE1

Number of collateral agency phone contacts on the Initial Supervision Plan.

Column

44 COLHV1
Number of collateral home visits on the Initial Supervision Plan.

Column

45 FPHONE1
Number of family phone contacts on the Initial Supervision Plan.

Column

46 PCP1
Number of contacts with the Primary Contact Person on the Initial Supervision Plan.

Column

47 AGCRJ1
Number of onsite, phone, and letter contacts with a criminal justice agency on the Initial Supervision Plan.

Column

48 COLOTH1
Number of other onsite, phone, and letter collateral contacts on the Initial Supervision Plan.

Column

50,51 SITE2
Number of onsite agency collateral contacts during the first 3 months.

Column

52,53 AGPHONE2
Number of collateral agency phone contacts during the first 3 months.

Column

54,55 COLHV2
Number of collateral home visits during the first 3 months.

Column

56,57 FPHONE2
Number of family phone contacts during the first 3 months.

Column

58,59 PCP2
Number of contacts with the Primary Contact Person during the first 3 months.

Column

60,61 AGCRJ2
Number of onsite, phone, and letter contacts with a criminal justice agency during the first 3 months.

Column

62,63 COLOTH2
Number of other onsite, phone, and letter collateral contacts during the first 3 months.

Column

65,66

SITE3

Number of onsite agency collateral contacts during the 4 to 6 month period.

Column

67,68

AGPHONE3

Number of collateral agency phone contacts during the 4 to 6 month period.

Column

69,70

COLHV3

Number of collateral home visits during the 4 to 6 month period.

Column

71,72

FPHONE3

Number of family phone contacts during the 4 to 6 month period.

Column

73,74

PCP3

Number of contacts with the Primary Contact Person during the 4 to 6 month period.

Column

75,76

AGCRJ3

Number of onsite, phone, and letter contacts with a criminal justice agency during the 4 to 6 month period.

Column

77,78

COLOTH3

Number of other onsite, phone, and letter collateral contacts during the 4 to 6 month period.

CARD 4

Column

7,8

SITE4

Number of collateral onsite agency contacts during the 7 to 9 month period.

Column

9, 10

AGPHONE4

Number of collateral agency phone contacts during the 7 to 9 month period.

Column

11,12

COLHV4

Numbers of collateral home visits during the 7 to 9 month period.

Column

13,14

FPHONE4

Number of family phone contacts during the 7 to 9 month period.

Column

15,16

PCP4

Number of contacts with the Primary Contact Person during the 7 to 9 month period.

Column

17,18

AGCRJ4

Number of onsite, phone, and letter contacts with a criminal justice agency during the 7 to 9 month period.

CARD 4

Column

19,20

COLOTH4

Number other onsite, phone, and letter collateral contacts during the 7 to 9 month period.

Column

22,23

SITE5

Number of collateral onsite agency contacts during the 10 to 12 month period.

Column

24,25

AGPHONE5

Number of collateral agency phone contacts during the 10 to 12 month period.

Column

26,27

COLHV5

Number of collateral home visits during the 10 to 12 month period.

Column

28,29

FPHONE5

Number of family phone contacts during the 10 to 12 month period.

Column

30,31

PCP5

Number of contacts with the Primary Contact Person during the 10 to 12 month period.

CARD 4

Column

32,33

AGCRJ5

Number of onsite, phone, and letter contact with a criminal justice agency during the 10 to 12 month period.

Column

34,35

COLOTH5

Number of other onsite, phone, and letter collateral contact during the 10 to 12 month period.

Column

37,38

SITE6

Number of collateral onsite agency contacts during the 13 to 15 month period.

Column

39,40

AGPHONE6

Number of collateral agency phone contacts during the 13 to 15 month period.

Column

41,42

COLHV6

Number of collateral home visits during the 13 to 15 month period.

Column

43,44

FPHONE6

Number of family phone contacts during the 13 to 15 month period.

CARD 4

Column

45,46

PCP6

Number of contacts with the Primary Contact Person during the 13 to 15 month period.

Column

47,48

AGCRJ6

Number of onsite, phone, and letter contacts with a criminal justice agency during the 13 to 15 period.

Column

49,50

COLOTH6

Number of other onsite, phone, and letter collateral contacts during the 13 to 15 month period.

Column

52,53

SITE7

Number of collateral onsite agency contacts during the 15 to 18 month period.

Column

54,55

AGPHONE7

Number of collateral agency phone contacts during the 15 to 18 month period.

Column

56,57

COLHV7

Number of collateral home visits during the 15 to 18 month period.

CARD 4

Column

58,59

FPHONE7

Number of family phone contacts during the 15 to 18 month period.

Column

60,61

PCP7

Number of contacts with the Primary Contact Person during the 15 to 18 month period.

Column

62,63

AGCRJ7

Number of onsite, phone, and letter contacts with a criminal justice agency during the 15 to 18 month period.

Column

64,65

COLOTH7

Number of other onsite, phone, and letter collateral contacts during the 15 to 18 month period.

Column

67

COMUSE1

Number of community based agencies used by the probationer during the 2 to 3 month period.

Column

68

CRJUSE1

Number of criminal justice agencies used by the probationer during the 2 to 3 month period.

Column

69

OTHUSE 1

Number of other agencies used by the probationer during the 2 to 3 month period.

CARD 4

Column

70

PNEDUSE1

Number of COMUSE1 agencies used during the 2 to 3 month period that match the 1st ranked need from the Needs Assessment.

Column

71

SNEDUSE1

Number of COMUSE1 agencies used during the 2 to 3 month period that match the 2nd ranked need from the Needs Assessment.

Column

72,73

COMUSE2

Number of community based agencies used by the probationer during the 4 to 6 month period.

Column

74,75

CRJUSE2

Number of criminal justice agencies used by the probationer during the 4 to 6 month period.

Column

76,77

OTHUSE2

Number of the agencies used by the probationer during the 4 to 6 month period.

Column

78

PNEDUSE2

Number of COMUSE2 agencies used during the 4 to 6 month period that match the 1st ranked need from the Needs Assessment.

CARD 4

Column

79

SNEDUSE2

Number of COMUSE2 agencies used during the 4 to 6 month period that match the 2nd ranked need from the Needs Assessment.

CARD 5

Column

7,8

COMUSE3

Number of community based agencies used by the probationer during the 7 to 9 month period.

Column

9,10

CRJUSE3

Number of criminal justice agencies used by the probationer during the 7 to 9 month period.

Column

11,12

OTHUSE3

Number of other agencies used by the probationer during the 7 to 9 month period.

Column

13

PNEDUSE3

Number of COMUSE3 agencies used during the 7 to 9 month period that match the 1st ranked need from the Needs Assessment.

Column

14

SNEDUSE3

Number of COMUSE3 agencies used during the 7 to 9 month period that match the 2nd ranked need from the Needs Assessment.

Column

15,16

COMUSE4

Number of community based agencies used by the probationer during the 10 to 12 month period.

Column

17,18

CRJUSE4

Number of criminal justice agencies used by the probationer during the 10 to 12 month period.

CARD 5

Column

19,20

OTHUSE4

Number of other agencies used by the probationer during the 10 to 12 month period.

Column

21

PNEDUSE4

Number of COMUSE4 agencies used during the 10 to 12 month period that match the 1st ranked need from the Needs Assessment.

Column

22

SNEDUSE4

Number of CUMUSE4 agencies used during the 10 to 12 month period that match the 2nd ranked need from the Needs Assessment.

Column

24,25

COMUSE5

Number of community based agencies used by the probationer during the 13 to 15 month period.

Column

26,27

CRJUSE5

Number of criminal justice agencies used by the probationer during the 13 to 15 month period.

Column

28,29

OTHUSE5

Number of other agencies used by the probationer during the 13 to 15 month period.

CARD 5

Column

30

PNEDUSE5

Number of COMUSE5 agencies used during the 13 to 15 month period that match the 1st ranked need from the Needs Assessment.

Column

31

SNEDUSE5

Number of COMUSE5 agencies used during the 13 to 15 month period that match the 2nd ranked need from the Needs Assessment.

Column

32,33

COMUSE6

Number of community based agencies used by the probationer during the 16 to 18 month period.

Column

34,35

CRJUSE6

Number of criminal justice agencies used by the probationer during the 16 to 18 month period.

Column

36,37

OTHUSE6

Number of other agencies used by the probationer during the 16 to 18 month period.

Column

38

PNEDUSE6

Number of COMUSE6 agencies used during the 16 to 18 month period that match the 1st ranked need from the Needs Assessment.

CARD 5

Column

39 SNEDUSE6

Number of COMUSE6 agencies used during the 16 to 18 month period that match the 2nd ranked need from the Needs Assessment.

Column

41,42 REASS1

Six month Risk Reassessment Score.

Column

43,44 REASS2

Nine month Risk Reassessment Score.

Column

45,46 REASS3

Twelve month Risk Reassessment Score.

Column

47,48 REASS4

Fifteen month Risk Reassessment Score.

Column

49,50 REASS5

Eighteen month Risk Reassessment Score.

CARD 5

Column

51,52 PROG1

Progress index score from the six month Risk Reassessment.

Column

53,54 PROG2

Progress index score from the nine month Risk Reassessment.

Column

55,56 PROG4

Progress index score from the fifteen month Risk Reassessment.

Column

57,58 PROG5

Progress index score from the eighteen month Risk Reassessment.

Column

60,61,62 DOCNEED

Percent score on the Needs section of the Documentation Scale.

Column

63,64,65 DOCGOAL

Percent score on the Goals and Objectives section of the Documentation Scale.

CARD 5

Column

66,67,68

DOCCONT

Percent score on the Contacts section of the Documentation Scale.

Column

69,70,71

DOCACT

Percent score on the Probationer's Activities Verified section of the Documentation Scale.

Column

72,73,74

DOCREAS

Percent score on the Risk Reassessment section of the Documentation Scale.

Column

75,76

PROG3

Progress index score from the twelve month Risk Reassessment.

CREATED/RECODED VARIABLES

OUTSUPX

Outcome of probation over all time periods.

- 0 Success
 - 1 Failure
-

OUTSUPW

Outcome of probation within time categories.

- 0 Success at eighteen months
 - 1 Sentence Revoked
 - 2 Unsatisfactory Discharge
 - 3 New Conviction
 - 4 Absconder
 - 5 Discharged as success before six months
 - 6 Discharged as success before twelve months
 - 7 Discharged as success before eighteen months
-

URBANIZA

Urbanization classification of county.

- 1 MPA - large population area with a large urban area as its core
 - 2 DPA - medium size population area with a mix of urban, suburban and rural areas
 - 3 RCA - small population area generally in a rural setting
-

XCHG

Time period in which the probationer failed on probation.

- 0 Never failed
 - 1 Failed during the 1st six months
 - 2 Failed during the seven to twelve month period
 - 3 Failed during the thirteen to eighteen month period
-

CREATED/RECODED VARIABLES

ZCHG6

Category of failure charges which occurred during the 1st six months. See Appendix C for complete classification list.

- 1 Felony Person
- 2 Felony Property
- 3 Felony Other
- 4 Misdemeanor Person
- 5 Misdemeanor Property
- 6 Misdemeanor Other
- 9999 No six month failure charge

ZCHG12

Category of failure charges which occurred during the seven to twelve month period. See Appendix C for complete classification list.

- 1 Felony Person
- 2 Felony Property
- 3 Felony Other
- 4 Misdemeanor Person
- 5 Misdemeanor Property
- 6 Misdemeanor Other
- 9999 No twelve month failure charge

ZCHG18

Category of failure charges which occurred during the thirteen to eighteen month period. See Appendix C for complete classification list.

- 1 Felony Person
 - 2 Felony Property
 - 3 Felony Other
 - 4 Misdemeanor Person
 - 5 Misdemeanor Property
 - 6 Misdemeanor Other
 - 9999 No eighteen month failure charge
-

CREATED/RECODED VARIABLES

ZCUIOFF

Category of conviction charge for current offense. See Appendix C for complete classification list.

- 1 Felony Person
- 2 Felony Property
- 3 Felony Other
- 4 Misdemeanor Person
- 5 Misdemeanor Property
- 6 Misdemeanor Other

ZPRIOR1

Category of conviction charge for the offense immediately preceding the current offense. See Appendix C for complete classification list.

- 1 Felony Person
- 2 Felony Property
- 3 Felony Other
- 4 Misdemeanor Person
- 5 Misdemeanor Property
- 6 Misdemeanor Other
- 9999 No Prior Record

ZPRIOR2

Category of conviction charge for the offense preceding ZPRIOR1. See Appendix C for complete classification list.

- 1 Felony Person
 - 2 Felony Property
 - 3 Felony Other
 - 4 Misdemeanor Person
 - 5 Misdemeanor Property
 - 6 Misdemeanor Other
 - 9999 Probationer does not have 2 prior convictions
-

CREATED/RECODED VARIABLES

ZPRIOR3

Category of conviction charge for the offense preceding ZPRIOR2. See Appendix C for complete classification list.

- 1 Felony Person
- 2 Felony Property
- 3 Felony Other
- 4 Misdemeanor Person
- 5 Misdemeanor Property
- 6 Misdemeanor Other
- 9999 Probation does not have 3 prior convictions

MSER

Category of the most serious conviction charge for any prior offense in our data base.

- 0 Nor Prior Record
- 1 Felony Person
- 2 Felony Property
- 3 Felony Other
- 4 Misdemeanor Person
- 5 Misdemeanor Property
- 6 Misdemeanor Other

PRIORS

Number of prior convictions in out data base.

- 0 No Prior Convictions
- 1 One Prior
- 2 Two Priors
- 3 Three of More Priors

- DENOM1
- DENOM2
- DENOM3
- DENOM4
- DENOM5
- DENOM

DENOM1 through DENOM5 were created to exclude non-applicable sections from the total Documentation Scale Score. DENOM is the total number of applicable sections of the Documentation Scale for any probationer and is the actual denominator in deriving the total Documentation Scale Score.

CREATED/RECODED VARIABLES

- DOCNEED1
- DOCGOAL1
- DOCCONT1
- DOCACT1
- DOCREAS1

DOCNEED1 through DOCREAS1 are equal to the individual scores of the appropriate sections of the Documentation Scale. They have been recoded so the non-applicable cases (999) and missing data (9999) are equal to 0. Since the total Documentation Scale Score is computed by adding these five values together, and dividing by the number of applicable sections (DENOM), the values 999 and 9999 no longer inflate the numerator or the total Documentation Scale Score.

DOCTOT

Total Documentation Scale Score.

0 No score computed for those cases
28-93 Documentation Scale Score

TIME

Number of months on ISP. Rounded to the nearest whole month after dividing the total days in ISP by 30.

TOTALX

Risk Assessment Category

- 0 0-28
- 1 30-46
- 2 48 and above

APPENDIX A

Complete List of Conviction Charges
for the following Variables

CUROFF
PRIOR1
PRIOR2
PRIOR3
CHG6
CHG12
CHG18

FEN'L LAW

Action No.	*Offense Classification	Offense Category Code	Offense	Department Offense Code No.
105.10	FE	0	Conspiracy 2nd	6402
105.15	FB	0	Conspiracy 1st	6401
120.00	MA	2	Assault 3rd	0603
120.05	FD	0	Assault 2nd	0602
120.10	FC	0	Assault 1st	0601
120.15	MB	2	Menacing	0605
120.20	MA	2	Reckless endangerment 2nd	0606
120.25	FD	0	Reckless endangerment 1st	0604
125.10	FE	0	Criminally negligent homicide	0300
125.15	FC	0	Manslaughter 2nd	0202
125.20	FB	0	Manslaughter 1st	0201
125.25*	FA-I	0	Murder (degreeless)*	0100
125.27	FA-I	0	Murder 1st	0101
125.25	FA-I	0	Murder 2nd	0102
125.45	FD	0	Abortion 1st	0203
125.60	MB	1	Issuing abortifacient articles	2304
130.20	MA	1	Sexual misconduct	1904
130.25	FE	0	Rape 3rd	0403
130.30	FD	0	Rape 2nd	0402
130.35	FB	0	Rape 1st	0401
130.38	MB	1	Consensual sodomy	1909
130.40	FE	0	Sodomy 3rd	1903
130.45	FD	0	Sodomy 2nd	1902
130.50	FB	0	Sodomy 1st	1901
130.55	MB	1	Sexual abuse 3rd	1908
130.60	MA	1	Sexual abuse 2nd	1906
130.65	FD	0	Sexual abuse 1st	1905
135.10	FD	0	Unlawful imprisonment 1st	4003
135.20	FB	0	Kidnapping 2nd	4002
135.25	FA-I	0	Kidnapping 1st	4001
140.10	MB	2	Criminal trespass 3rd	3503
140.15	MA	2	Criminal trespass 2nd	3502
140.17	FD	0	Criminal trespass 1st	3501
140.20	FD	0	Burglary 3rd	0703
140.25	FC	0	Burglary 2nd	0702
140.30	FB	0	Burglary 1st	0701
140.35	MA	1	Possession of burglar's tools	0900
145.00	MA	2	Criminal mischief 4th	3403
145.05	FE	0	Criminal mischief 3rd	3402
145.10	FD	0	Criminal mischief 2nd	3401
145.12	FB	0	Criminal mischief 1st	3400
145.15	MB	2	Criminal tampering 2nd	3405
145.20	FD	0	Criminal tampering 1st	3404

*For crimes committed prior to September 1, 1974.

ALL LAW CONTINUED

Section No.	*Offense Classification	Offense Category Code	Offense	Department Offense Code No.
150.05	FE	0	Arson 4th	1703
150.10	FC	0	Arson 3rd	1702
150.15	FB	0	Arson 2nd	1701
150.20	FA-I	0	Arson 1st	1700
155.25	MA	2	Petit larceny	1100
155.30	FE	0	Grand larceny not auto 3rd	1003
155.30	FE	0	Grand larceny auto 3rd	1303
155.35	FD	0	Grand larceny not auto 2nd	1002
155.35	FD	0	Grand larceny auto 2nd	1302
155.40	FC	0	Grand larceny not auto 1st	1001
155.40	FC	0	Grand larceny auto 1st	1301
160.05	FD	0	Robbery 3rd	0503
160.10	FC	0	Robbery 2nd	0502
160.15	FB	0	Robbery 1st	0501
165.00	MA	2	Misapplication of property	2702
165.05	MA	2	Unauthorized use of a vehicle	1300
165.15	MA	2	Theft of services	2701
165.17	MA	2	Unlawful use of credit cards	2700
165.20	MA	2	Fraudulently obtaining a signature	2703
165.25	MA	1	Jostling	1200
165.30	MA	1	Fraudulently accosting	1201
165.35	MB	2	Fortune telling	2704
165.40	MA	1	Criminal possession of stolen property 3rd	1403
165.45	FE	0	Criminal possession of stolen property 2nd	1402
165.50	FD	0	Criminal possession of stolen property 1st	1401
170.05	MA	2	Forgery 3rd	1605
170.10	FD	0	Forgery 2nd	1602
170.15	FC	0	Forgery 1st	1600
170.20	MA	2	Criminal poss. forged inst. 3rd	1606
170.25	FD	0	Criminal poss. forged inst. 2nd	1603
170.30	FC	0	Criminal poss. forged inst. 1st	1501
170.40	FD	0	Criminal poss. forgery devices	1604
170.45	MA	2	Criminal simulation	1607
175.05	MA	2	Falsifying business records 2nd	1500
175.10	FE	0	Falsifying business records 1st	1502
175.20	MA	2	Tampering with public records 2nd	1510
175.25	FD	0	Tampering with public records 1st	1501
175.30	MA	2	Offering a false inst. for filing 2nd	1511

ALL LAW CONTINUED

Section No.	*Offense Classification	Offense Category Code	Offense	Department Offense Code No.
175.35	FE	0	Offering a false inst. for filing 1st	1503
175.40	FE	0	Issuing a false certificate	1504
175.45	MA	2	Issuing a false financial statement	1512
175.50	MA	2	Presenting a false insurance claim	1513
180.00	MB	2	Commercial bribing 2nd	4816
180.03	MA	2	Commercial bribing 1st	4814
180.05	MB	2	Commercial bribe receiving 2nd	4817
180.08	MA	2	Commercial bribe receiving 1st	4815
180.40	FD	0	Sports bribing	4812
180.45	FE	0	Sports bribe receiving	4813
185.00	MA	2	Fraud in insolvency	1509
185.05	MA	2	Fraud involving a security interest	1517
185.10	MA	2	Fraudulent disp. of mortgaged property	1516
185.15	MA	2	Fraudulent disp. of property subject to a conditional sale contract	1509
190.20	MA	2	False advertising	1514
190.25	MA	2	Criminal impersonation	1515
190.30	FE	0	Unlawfully concealing a will	1506
190.40	FE	0	Criminal Usury 2nd	1505
190.42	FC	0	Criminal Usury 1st	1520
190.45	MA	2	Possession of usurious loan received	1507
190.50	MB	2	Unlawful collection practices	1519
190.50	MA	2	Making false statement of credit terms	1518
190.60	MA	2	Scheme to defraud 2nd	1522
190.65	FE	0	Scheme to defraud 1st	1521
200.00	FD	0	Bribery 2nd	4800
200.04	FB	0	Bribery 1st	4801
200.10	FD	0	Bribe receiving 2nd	4804
200.12	FB	0	Bribe receiving 1st	4802
200.20	FE	0	Rewarding official misconduct 2nd	4806
200.22	FC	0	Rewarding official misconduct 1st	4803
200.25	FE	0	Receiving reward for official misconduct 2nd	4807
200.27	FC	0	Receiving reward for official misconduct 1st	4805
205.05	MA	1	Escape 3rd	3903
205.10	FE	0	Escape 2nd	3902
205.15	FD	0	Escape 1st	3901
205.16	MA	2	Absconding from temporary release 2nd	3906
205.17	FE	0	Absconding from temporary release 1st	3904
205.18	MA	2	Absconding from furlough program	3900
205.30	MA	2	Resisting arrest	3905

CRIMINAL LAW CONTINUED

Section No.	*Offense Classification	Offense Category Code	Offense	Department Offense Code No.
210.10	FE	0	Perjury 2nd	4602
210.15	FD	0	Perjury 1st	4601
215.00	FD	0	Bribing a witness	4811
215.05	FD	0	Bribe receiving by a witness	4809
215.15	FD	0	Bribing a juror	4810
215.20	FD	0	Bribe receiving by a juror	4808
215.57	FE	0	Bail jumping 1st	4201
220.03	MA	1	Criminal possession of a controlled substance 7th	2025
220.06	FD	0	Criminal possession of a controlled substance 6th	2024
220.09	FC	0	Criminal possession of a controlled substance 5th	2022
220.12	FB	0	Criminal possession of a controlled substance 4th	2020
220.16	FA-III	0	Criminal possession of a controlled substance 3rd	2018
220.18	FA-II	0	Criminal possession of a controlled substance 2nd	2016
220.21	FA-I	0	Criminal possession of a controlled substance 1st	2014
220.31	FD	0	Criminal selling of a controlled substance 6th	2023
220.34	FC	0	Criminal selling of a controlled substance 5th	2021
220.37	FB	0	Criminal selling of a controlled substance 4th	2019
220.39	FA-III	0	Criminal selling of a controlled substance 3rd	2017
220.41	FA-II	0	Criminal selling of a controlled substance 2nd	2015
220.43	FA-I	0	Criminal selling of a controlled substance 1st	2013
220.45	MA	1	Criminal possessing a hypodermic instrument	2009
220.46	FE	0	Criminal injection of a narcotic drug	2010
220.50	MA	1	Use of drug paraphernalia 2nd	2002
220.55	FD	0	Use of drug paraphernalia 1st	2008
220.60	FE	0	Criminal possession of precursors	2012
25.05	MA	2	Promoting gambling 2nd	3306
25.10 sub. 1	FE	0	Promoting gambling 1st - bookmaking	3302
25.10 sub. 2	FE	0	Promoting gambling 1st - lottery or policy	3301
25.15	MA	2	Possession of gambling records	3307

CRIMINAL LAW CONTINUED

Section No.	Offense Classification	Offense Category Code	Offense	Department Offense Code
221.20	FE	0	Criminal possession of Marihuana 3rd	2025
221.25	FD	0	Criminal possession of Marihuana 2nd	2024
221.30	FC	0	Criminal possession of Marihuana 1st	2022
221.45	FE	0	Criminal sale of Marihuana 3rd	2023
221.50	FD	0	Criminal sale of Marihuana 2nd	2020
221.55	FC	0	Criminal sale of Marihuana 1st	2021

LAW CONTINUED

Section No.	*Offense Classification	Offense Category Code	Offense	Department Offense Code No.
221.20 sub. 1	FE	0	Possession of gambling records 1st - bookmaking	3304
225.20 sub. 2	FE	0	Possession of gambling records 1st - lottery or policy	3303
221.30	MA	2	Possession of gambling devices	3305
221.00	MB	2	Prostitution	1804
221.20	MA	1	Promoting prostitution 3rd	1803
230.25	FD	0	Promoting prostitution 2nd	1802
221.30	FC	0	Promoting prostitution 1st	1901
221.40	MB	1	Permitting prostitution	1805
235.05	MA	1	Obscenity 2nd	2300
235.06	FD	0	Obscenity 1st	2301
235.21	FE	0	Disseminating indecent	2302
240.05	MA	2	Riot 2nd	3000
240.06	FE	0	Riot 1st	6001
240.08	MA	2	Inciting a riot	3001
240.10	MB	2	Unlawful assembly	3004
240.20	VL	3	Disorderly conduct	3101
240.21	MA	2	Disruption of religious services	3002
240.25	VL	3	Harassment	3102
240.30	MA	2	Aggravated harassment	3003
240.35	VL	3	Loiterers for begging	3103
240.35 sub. 1	VL	6	Loitering	3100
240.35 subs. 3-9	VL	6	Loitering	3100
240.36	MB	2	Loitering 1st	3005
240.40	VL	3	Appear in public under influence of narcotics or drug other than alcohol	3010
240.45	MB	2	Criminal nuisance	3006
240.50	MB	2	Falsely reporting an incident 3rd	3007
240.55	MA	2	Falsely reporting an incident 2nd	3008
240.60	FE	0	Falsely reporting an incident 1st	3012
240.11	MA	2	Public display of offensive sexual material	2303
51.05	FE	0	Eavesdropping	5400
51.15	FE	0	Bigamy	4300
51.25	FE	0	Incest	1907
50.00	FE	0	Abandonment of child	2400
50.10	MA	1	Endangering the welfare of child	2500

Section No.	*Offense Classification	Offense Category Code	Offense	Department Offense Code
65.01	MA	1	Criminal possession of a weapon 4th	2105
65.02	FD	0	Criminal possession of a weapon 3rd	2101
65.03	FC	0	Criminal possession of a weapon 2nd	2108
65.04	FB	0	Criminal possession of a dangerous weapon 1st	2100
65.10 sub. 1, 2, 5, 7	MA	1	Mfg. transport, etc. dangerous weapons, etc.	2106
65.10 sub. 1-4, 6	FD	0	Mfg. transport, etc. dangerous weapons, etc.	2102
65.35 sub. 1, 3	MA	1	Prohibited use of weapons	2107
65.35 sub. 1, 2	FD	0	Prohibited use of weapons	2103
65.35 sub. 2	FE	0	Prohibited use of weapons	2104
VEHICLE AND TRAFFIC LAW				
77 (5)	M uncl.	2	Unlawful disposal of uniform traffic summons and complaint	2900
77	M uncl.	2	Failure to surrender inspection items upon suspension or revocation	2900
77, f	M uncl.	2	Certain violations of inspection law	2900
78 sub. 7, 319	M uncl.	2	Violation of financial security regulations	2900
78	M uncl.	2	Failure to surrender license, etc. after suspension	2900
75	M uncl.	2	Operating while license or registration is suspended or revoked, where restoration or a new license is dependent upon furnishing proof of financial responsibility	2900
77	M uncl.	2	Violation of regulations regarding insurance policies on vehicles.	2900
75 sub. 1	M uncl.	2	Operating motor vehicle with inadequate brakes	2900
75 sub. 7	M uncl.	2	Sale of unapproved headlighting devices	2900
77	M uncl.	2	Violation of regulations for vehicles engaged in log transportation	2900
76 sub. 25, 379 sub. 9	M uncl.	2	Violation of regulations regarding the transporting of flammable liquids	2900
80 sub. 5	FE	0	Violation of regulations regarding the transporting of dangerous articles, 3rd or subsequent offense	2900
80 sub. 5	M uncl.	2	Violation of regulations regarding the transporting of dangerous articles, 1st or 2nd offense	2900
80 sub. 3	M uncl.	2	Violation of regulations regarding hydraulic brake fluid	2900

APPENDIX B

Complete List of Sentence
Codes for the following Variables

SENT
SENT1
SENT2
SENT3
SENT6
SENT12
SENT18

1st Column

0 Prison
1 Jail
2 Probation
3 Jail/Probation
4 Conditional Discharge
5 Unconditional Discharge
6 Fine
7 Restitution
8 Other
9 Unknown Sentence

2nd Column

Prison - max term = 0 thru 8 (years), 9 (9 or more years)
Jail - max term = 0 thru 8 (months), 9 (9 or more months)
Probation - max term = 1 thru 5 (years), 9 (Lifetime)
Jail/Probation - total max term = 0 thru 5 (years)
Conditional Discharge = 0 thru 9 (months)
Fine/Restitution = 0 (\$100 or less), 1 (\$101 or more)

APPENDIX C

Complete List of Categories of
Conviction Charges for the following Variables

ZCUROFF
ZPRIOR1
ZPRIOR2
ZPRIOR3
ZCHG6
ZCHG12
ZCHG18
MSER

FELONY PERSONAL

Murder	Crim. Poss. of Dangerous Weapon 1 ^o
Murder 1 ^o	Prohibited use of weapons
Murder 2 ^o	Crim. Poss. of Dangerous Weapon 2 ^o
Manslaughter 1 ^o	Kidnapping 1 ^o
Manslaughter 2 ^o	Kidnapping 2 ^o
Criminally Negligent Homicide	Unlawful Imprisonment
Rape 1 ^o	Riot 1 ^o
Robbery 1 ^o	Sex Abuse 1 ^o
Robbery 2 ^o	Sodomy 1 ^o
Robbery 3 ^o	Arson 1 ^o
Assault 1 ^o	Arson 2 ^o
Assault 2 ^o	Arson 3 ^o
	Reckless Endangerment 1 ^o

FELONY PROPERTY

Burglary 1°
Burglary 2°
Burglary 3°
Grand Larceny - not auto 1°
Grand Larceny - not auto 2°
Grand Larceny - not auto 3°
Grand Larceny - auto 1°
Grand Larceny - auto 2°
Grand Larceny - auto 3°
Crim. Poss. of Stolen Prop. 1°
Crim. Poss. of Stolen Prop. 2°
Tampering with Public Records 1°
Falsifying Business Records 1°
Offering a False Instrument for Filing 1°
Unlawfully Concealing a Will
Forgery 1°
Crim. Poss. Forged Instrument 1°
Forgery 2°
Crim. Poss. Forged Instrument 2°
Crim. Poss. Forged Devices
Arson 4°
Crim. Mischief 2°
Crim. Mischief 3°
Crim. Tampering 1°
Crim. Mischief 1°
Crim. Trespass 1°
Issuing a False Certificate

FELONY OTHER

Rape 2°
Rape 3°
Sodomy 2°
Sodomy 3°
Incest
Crim. Injection of a Narcotic Drug
Crim. Selling of a Controlled Sub. 1°
Crim. Selling of a Controlled Sub. 2°
Crim. Selling of a Controlled Sub. 3°
Crim. Selling of a Controlled Sub. 4°
Crim. Selling of a Controlled Sub. 5°
Crim. Selling of a Controlled Sub. 6°
Crim. Sale of Marihuana 1°
Crim. Sale of Marihuana 2°
Crim. Sale of Marihuana 3°
Crim. Poss. of Dangerous Weapon 3°
Mfg., Transport, etc. of a Dangerous Weapon
Disseminating Indecent Material to a Minor
DWI - 2nd Offense
Obscenity 1°
Mfg. or Sale of Illicit Alcohol
Falsely Reporting an Incident 1°
Promoting Gambling 1°
Poss. Gambling Records 1°
Escape 1°
Escape 2°
Bribe Receiving by a Juror
Bribe Receiving by a Witness
Bribing a Juror
Bribing a Witness
Abandonment of Child
DWI - Drugs - 2nd Offense
Crim. Usury 1°
Crim. Usury 2°
Scheme to Defraud 1°
Bigamy
Bribery 1°
Bribery 2°
Sports Bribing
Sports Bribe Receiving
Eavesdropping
Conspiracy 1°
Conspiracy 2°
YO
Promoting Prostitution 1°
Promoting Prostitution 2°
Use of Drug Paraphernalia 1°
Crim. Poss. of Precursors
Crim. Poss. of a Controlled Sub. 1°
Crim. Poss. of a Controlled Sub. 2°
Crim. Poss. of a Controlled Sub. 3°
Crim. Poss. of a Controlled Sub. 4°
Crim. Poss. of a Controlled Sub. 5°
Crim. Poss. of a Controlled Sub. 6°
Crim. Poss. of Marihuana 1°
Crim. Poss. of Marihuana 2°
Crim. Poss. of Marihuana 3°
Abscond from Temp. Release 1°
Bail Jumping 1°
Perjury 1°
Perjury 2°
Rewarding Official Misconduct 1°
Rewarding Official Misconduct 2°
Receiving Reward for Official Misconduct 1°
Receiving Reward for Official Misconduct 2°
All Other Felonies

CONTINUED

2 OF 4

MISDEMEANOR PERSONAL

Assault 3°

Menacing

Reckless Endangerment 2°

Jostling

Aggravated Harrassment

Riot 2°

Sexual Misconduct

Prohibited Use of Weapons

Endangering the Welfare of a

Child

Inciting a Riot

MISDEMEANOR PROPERTY

Petit Larceny

Fraudulently Accosting

Unauth. Use of a Vehicle

Crim. Poss. of Stolen Prop. 3°

Falsifying Business Records 2°

Making False Statement of

Credit Terms

Unlawful Collection Practices

Unlawful Use of Credit Card

Theft of Services

Misapplication of Property

Fraud. Obtaining Signature

Destroying or Defacing a Vehicle

Issuing a False Finan. Statement

Crim. Impersonation

Fraud. Disp. of Mortgaged

Property

Fraud Involving a Security

Interest

Forgery 3°

Crim. Poss. Forged Instrument 3°

Unauth. Removal from a Vechile

Crim. Mischief 4°

Crim. Tampering 2°

Crim. Trespass 2°

Crim. Trespass 3°

MISDEMEANOR OTHER

Poss. of Burglars Tools	Scheme to Defraud 2 ^o
Sexual Abuse 2 ^o	Crim. Simulation
Sexual Abuse 3 ^o	Fortune Telling
Crim. Poss. of a Weapon 4 ^o	Disruption of Religious Services
Mfg., Transport, etc. of Dangerous Weapons	Commercial Bribing 1 ^o
DWI - Drugs - 1st Offense	Commercial Bribing 2 ^o
Probation Violation	Commercial Bribe Receiving 1 ^o
Parole Violation	Commerical Bribe Receiving 2 ^o
JD	Consensual Sodomy
False Advertising	Use of Drug Paraphernalia 2 ^o
Promoting Prostitution	Crim. Poss. of Hypodermic
Obscenity 2 ^o	DWI 1st Offense
Public Display of Offensive Sexual Material	Loitering 1 ^o
Issuing Abortional Articles	Crimianl Nuisance
Viol. of Regulations Governing Alcohol Sales	Falsely Reporting an Incident 2 ^o
Unlawful Assembly	Falsely Reporting an Incident 3 ^o
Absconding from Furlough Program	Poss. of Gambling Devices
Resisting Arrest	Promoting Gambling 2 ^o
All Other Misdemeanors	Poss. of Gambling Records 2 ^o
	Escape 3 ^o
	Abscond from Temp. Release 2 ^o

ATTACHMENT 5

Case Review Reliability Procedures

Reliability and Validity Issues

Familiarity with the nature of probation case files tends to be positively related to the awareness that the reliability and validity of data gathered from such sources of information is often problematic. Given this state of affairs and the nature of the data to be gathered to test the proposed hypotheses (e.g., number of contacts, use of community resources, clearly stated objectives), reliability and validity issues were of central concern throughout the research effort.

It was originally felt that the poor reliability and validity of data generated from probation casefiles often result from the lack of standardized forms used for probation officer documentation. In contrast to this general situation, ISP probation officers throughout the state have at their access standardized forms which have delineated sections in which certain information is supposed to be recorded. Given the training ISP officers received, formal written guidelines as to how these forms were to be completed, and a strong emphasis on accountability (e.g., monitors examining casefiles), it was assumed that the required information to test the proposed hypotheses would be in the casefiles in a standardized manner and thus easily accessible to the data collectors. Most importantly, the collected data presumably would be generally more reliable and valid than is often the case in similar research projects.

To take advantage of the standardized forms employed within ISP, the data collection form was constructed so that relevant information could be transferred from sections of the standardized forms to the data collection form en toto, thus minimizing the probability of unreliability due to subjective interpretations on the part of the data collectors.

A detailed set of instructions was distributed to the data collectors which emphasized this point and guided the process with a minimum of confusion or ambiguity.

During the course of the pre-test (conducted in three ISP counties chosen for their proximity to the central office) designed to evaluate the adequacy of the data collection instrument, it became immediately apparent that ISP probation officers approached the documentation aspect of their supervisory role in a way unforeseen by the research staff and often times at odds with ISP guidelines. For example, the specificity of long range supervision goals and behavioral objectives varied from probation officer to probation officer (often not following ISP guidelines) and stated objectives were often the objectives of the probation officer (e.g., monitoring treatment) rather than the objective aimed at the probationer (e.g., alcohol abuse treatment). In response to this situation, information originally intended to be gathered which was shown to be most problematic was eliminated from the data collection process and collection efforts focused on that information thought to be least problematic in terms of validity and reliability.

The pre-test phase of the research also highlighted validity problems present in the data. For example, a section of the standardized monthly form calls for probation officers to document what community agencies are being used by his/her probationers and how often those agency services are being utilized by the probationer. In many instances, although an agency was specified there was no indication of the dates the probationer had contact with that agency. In such instances, it would be impossible to ascertain the degree to which community agencies have been utilized, if at all. In addition, in some cases it became apparent that the dates recorded corresponded to P.O. collateral contacts and not probationer usage. It was clear that a validity issue presented itself - were we measuring P.O. contacts or probationer contacts? Improper P.O. documentation called into question our measurement, the greater the discrepancy between P.O. documentation behavior and probationer behavior (utilization of resources) the more invalid our data would be. Bound by our data sources, data collectors were instructed to record information exactly as the P.O.'s had and to write comments regarding inconsistencies present in the casefiles.

Poor documentation also increased the probability that there would be greater reliability problems in the data. For instance, if a probation officer recorded home visits with probationers in the wrong category (e.g., under office visits, see DP-73), it increased the likelihood that one data collector would correctly place the contacts under home visits, while another data collector would place it under office visits (validity issue also arising). To minimize the seriousness of this problem, reliability checks

were conducted on-site so that casefiles would be present when discrepancies in the data were discovered. Eighty-two reliability checks on the total sample of 401 were conducted on-site (a 1 to 5 ratio). Each reliability check was compared with the corresponding case on-site immediately after completion so that discovered errors could be corrected by returning to the original casefile and so that any systematic errors could be discovered before all the cases were completed.

In this manner systematic error was eliminated (which often resulted by utilization of different notation systems by respective counties) via mutual agreement among the data collectors as to the most appropriate interpretation of the information, based on discussions with the P.O.'s present at the time. This process, however, involved a trade-off in certain respects. The reliability of items within a data set is most often determined by the calculation of reliability coefficients (i.e., a score for a particular item is agreed upon by the data collectors in X percent of the cases). The process chosen in the present study precluded the possibility of generating reliability coefficients because the cases were corrected on-site so as to remove any data collector disagreement. Thus, while it is presently impossible to determine what items had greater reliability than other items in terms of a numerical value, we do know that the data collected, to the best of our knowledge, reliably reflects what was present in the original casefiles. Of course, certain items presented greater reliability problems than others (as did certain cases); these items will be mentioned in the text during the discussion of the findings.

Coding

The present research effort involved transferring information from the completed data collection forms to codesheets from which cards were keypunched. As discussed earlier, the research staff feels that the data collected accurately reflects what was present in the original casefiles. To ensure that this reliable information was properly transferred to the codesheets without introducing any additional error, a codebook was developed which contained all variables needed to test the proposed hypothesis. This concern was balanced by reliability and validity issues: Variables were created that minimized unreliable information (e.g., broad categories of contacts and types of agencies were created) and information of questionable validity (e.g., number of times probationer utilized a community agency) were excluded. In addition, information that could not be objectively interpreted were regarded as missing data.

Two staff members were responsible for the coding process, thus reducing the probability of misunderstood directions and resultant systematic error. Both staff members mutually agreed

ATTACHMENT 1

Original Evaluation Data Collection Form

ISP EVALUATION QUESTIONNAIRE

Sample Code (1,2) _____ Sample Name _____
 Name Code (3,4,5) _____ NYSID No. _____
 County Code (6,7) _____ County _____
 Age Code (8,9) _____ DOB _____
 Sex Code (10) - 0 Female, 1 Male
 Race Code (11) - 0 White, 1 Black, 2 Hispanic, 3 Other

Risk Assessment: Select the appropriate responses as they apply to the probationer at the time of the current offense. Enter point value in score column. (Yes 0 No 1)

Arrested within five (5) years prior to the current offense. (19) Yes (4) ___ No (0) ___
 Nineteen or under at time of first conviction/adjudication. (20) Yes (8) ___ No (0) ___
 Prior convictions/adjudications for robbery. (21) Yes (16) ___ No (0) ___
 Three or more prior misdemeanors or one or more prior felony convictions/adjudications. (22) Yes (10) ___ No (0) ___
 Incarcerated while on a prior probation or parole sentence. (23) Yes (20) ___ No (0) ___
 Neither employed nor in school full-time. (24) Yes (4) ___ No (0) ___
 Members of his family (i.e., spouse, children, parents, siblings) have a criminal record (J.D. or Adult). (25) Yes (10) ___ No (0) ___
 One or more address changes in the year prior to current offense. (26) Yes (6) ___ No (0) ___
 Currently living in a situation judged to be unfavorable. (27) Yes (8) ___ No (0) ___
 Has an attitude that is either one in which he rationalizes his behavior; or he is negative and not motivated to change; or he is dependent or unwilling to accept responsibility. (28) Yes (14) ___ No (0) ___

TOTAL (29,30) _____

Prior Record - Conviction/Sentence

1. Conviction Charge (31-34) _____
 Sentence (35,36) _____ Length _____
 2. Conviction Charge (37-40) _____
 Sentence (41,42) _____ Length _____
 3. Conviction Charge (43-46) _____
 Sentence (47,48) _____ Length _____
 4. Conviction Charge (49-52) _____
 Sentence (53-54) _____ Length _____

FOR PAROLE AND COHORT SAMPLE ONLY

Which describes offender while on supervision (55):

0 Success
 1 Sentence Revoked Date of Sentence _____
 2 Unsatisfactory Discharge
 3 New Conviction Date of Failure _____
 4 Absconder
 Conviction/Revocation Charge (56-59) _____
 Sentence (60,61) _____ Length _____

ATTACHMENT 2

ISP Guidelines for Completing the Risk Assessment

Classification and Assignment form (Reason for Referral if Low Score).

III. SPECIFIC PROCEDURES: RISK ASSESSMENT, CLASSIFICATION AND ASSIGNMENT (DP-70, p. 4.11)

A. Identifying Data: Complete this section on all forms by including name, case number, NYSID number and date of birth.

B. Risk Assessment: In Section I after reviewing the presentence report and, if necessary, other sources of information (school, family, probationer and agencies), the probation officer should select the response for each item on the risk assessment which most accurately describes the probationer.

Most of the questions are objective and factual and the information needed can probably be obtained from the presentence investigation report; e.g., whether the probationer has previous convictions or adjudications for robbery. It must be emphasized that where the item requires a factual determination, the scoring system must be strictly adhered to. The misclassification procedure is designed to reclassify any potentially high risk probationer who is not identified by the instrument.

Questions may arise on some of the items because of

possibly varying interpretations or because the item requires a subjective evaluation by the probation officer. The following should assist the probation officer in classifying these potential problem areas:

- Q. 5 - "The probationer was committed to detention on a prior probation/parole sentence." This refers to any detention in jail, prison, lockup or juvenile facility for any reason while on a previous probation or parole sentence, whether overnight or of longer duration.
- Q. 7 - "Members of the probationer's family have a criminal record." This should be checked yes not only for actual criminal records, but also for situations where, for example, the PSI mentions that the police department has had numerous dealings with members of the family. The "family" might in some cases include such relatives as an aunt, if the probationer is living with her or possibly the probationer's legal guardian if the probationer resides with the guardian.
- Q. 9 - "The probationer's current living situation is judged to be unfavorable." Admittedly, this question requires a value judgment on the part of a probation officer. In most instances the living situation should be assumed to be favorable, unless

the PSI or some other information source enables the probation officer to locate some very negative information, e.g., the probationer is currently undomiciled; the probationer is severely beaten often by his father; the probationer is living in a cheap hotel known to be frequented by drug addicts; a young probationer's parents have no control over the probationer, and express a strong desire to have him out of the house.

- Q. 10 - "The probationer's attitude." Again, this requires a value judgment on the part of the probation officer. Several quite different attitudes are covered in this one question, and it is not important to differentiate exactly which one best describes the probationer. The main information sought by this question is whether the probationer has a strong negative attitude, or demonstrates rationalization of his behavior that would severely impact his ability to follow probation rules.

Scoring - After checking each item "yes" or "no" on the instrument, place in the scoring column to the right the number of points indicated in parentheses next to the selected response for each item. After all of the items on the instrument are scored the total score should be

computed and recorded as a total at the bottom of the score column. This total score must also be recorded on the DP-60 form. (See instructions for completing the DP-60).

ISP Referral Score - This is the minimum score for each local department for automatic referral to ISP. Indicate the score decided upon for your department.

Name and Date - The name of the person administering the instrument and the date on which the risk assessment was completed must be recorded.

- C. Classification: On Section 2 of the instrument record whether, as a result of the risk assessment score or as a result of an over-ride of a score which falls below the ISP cutoff, the probationer was actually classified as ISP or non-ISP. Decisions on classification are to be indicated by appropriate checkmarks. A concise statement of the reason for a referral despite a low score must be recorded here.

The name and title of the person making the referral to ISP and the date of that referral should be recorded.

- D. Assignment: In Section 3 of the instrument, indicate either the ISP caseload assignment, or the fact of a referral to regular departmental supervision.

If the probationer is assigned to the ISP, indicate the ISP probation officer assigned to supervise the case and the date on which the assignment was made. The name and title of the assigning officer must be recorded (this is usually the ISP supervisor).

If the probationer cannot be accepted into the ISP caseload because all caseloads are full, or because the probationer's risk assessment score is below the ISP cutoff, place the date on which the probationer is referred to regular departmental supervision, as well as the name and title of the referring officer.

This document will become a permanent part of the supervision case record.

Case No. _____

Date of Birth _____

Risk Assessment: Select the appropriate responses as they apply to the probationer at the time of the current offense. Enter point value in score column.

SCORE

- 1. Arrested within five (5) years prior to the current offense. Yes (4) ___ No (0) ___
- 2. Nineteen or under at time of first conviction/adjudication. Yes (8) ___ No (0) ___
- 3. Prior convictions/adjudications for robbery. Yes (16) ___ No (0) ___
- 4. Three or more prior misdemeanor or one or more prior felony convictions/adjudications. Yes (10) ___ No (0) ___
- 5. Incarcerated while on a prior probation or parole sentence. Yes (20) ___ No (0) ___
- 6. Neither employed nor in school full-time. Yes (4) ___ No (0) ___
- 7. Members of his family (i.e., spouse, children, parents, siblings) have a criminal record (J.D. or Adult). Yes (10) ___ No (0) ___
- 8. Frequent address changes in the year prior to current offense. Yes (6) ___ No (0) ___
- 9. Currently living in a situation judged to be unfavorable. Yes (6) ___ No (0) ___
- 10. Has an attitude that is either one in which he rationalizes his behavior; or he is negative and not motivated to change; or he is dependent or unwilling to accept responsibility. Yes (14) ___ No (0) ___

TOTAL _____

ISP Referral Score _____

Completed by: _____ Date _____

Classification:

ISP Score: Yes ___ No ___

Referred to ISP Unit: Yes ___ No ___

Reason for referral if low score: _____

Referred by: _____ Date _____

Assignment:

ISP Probation Officer Assigned: _____ Date: _____

Assigning Officer: _____ Title: _____

Referred to regular supervision caseload. Date: _____

Referring Officer: _____ Title _____

ATTACHMENT 3

Original and Revised Offense Classifications*

*Offenses are listed by their original classification with the revised classification indicated for each offense.

Revised Classification

Felony Personal

Personal	Murder	FA-I
" "	Murder 1°	FA-I
" "	Murder 2°	FA-I
" "	Manslaughter 1°	FB
" "	Manslaughter 2°	FC
Other	Abortion 1°	FD
Personal	Criminally Neglegent Homicide	FE
" "	Rape 1°	FB
Other	Rape 2°	FD
" "	Rape 3°	FE
Personal	Robbery 1°	FB
" "	Robbery 2°	FC
" "	Robbery 3°	FD
" "	Assault 1°	FC
" "	Assault 2°	FD
" "	Reckless Endangerment 1°	FD
" "	Arson 1°	FA-I
" "	Arson 2°	FB
" "	Sodomy 1°	FB
Other	Sodomy 2°	FD
" "	Sodomy 3°	FE
Personal	Sex Abuse 1°	FD
Other	Incest	FE
" "	Criminal injection of a narcotic drug	FE
" "	Crim. Sell. of a Contr. Sub. 1°	FA-I

Revised Classification

Other

Felony Personal

~~Crim. Sell. of a Contr. Sub. 2°~~ FA-II

~~Crim. Sell. of a Contr. Sub. 3°~~ FA-III

~~Crim. Sell. of a Contr. Sub. 4°~~ FB

~~Crim. Sell. of a Contr. Sub. 5°~~ FC

~~Crim. Sell. of a Contr. Sub. 6°~~ FD

~~Crim. Sale of Marihuana 1°~~ FC

~~Crim. Sale of Marihuana 2°~~ FD

Crim. Poss. of dangerous weapon 1° FB

~~Crim. Poss. of dangerous weapon 3°~~ FD

~~Mfg., transport, etc. of a dangerous weapon~~ FD

Prohibited use of weapons FD

Prohibited use of weapons FE

Criminal poss. of a weapon 2° FC

~~Disseminating indecent material to a minor~~ FE

~~Abandonment of child~~ FE

~~DWI - drugs - 2nd offense~~ FE

Kidnapping 1° FA-I

Kidnapping 2° FB

Unlawful imprisonment FD

Riot 1° FE

Personal

Other

Personal

Other

Personal

Revised Classification

Property

Felony Property

Burglary 1° FB

Burglary 2° FC

Burglary 3° FD

Grand Larceny - not auto 1° FC

Grand Larceny - not auto 2° FD

Grand Larceny - not auto 3° FE

Grand Larceny - auto 1° FC

Grand Larceny - auto 2° FD

Grand Larceny - auto 3° FE

Criminal Poss. of Stolen Property 1° FD

Criminal Poss. of Stolen Property 2° FE

Tampering with public records 1° FD

Falsifying business records 1° FE

Offering a false inst. for filing 1° FE

Issuing a false certificate FE

Other

~~Criminal Usury 2°~~ FE

Property

Unlawfully concealing a will FE

Other

~~Criminal Usury 1°~~ FC

" "

~~Scheme to defraud 1°~~ FE

Property

Forgery 1° FC

" "

Criminal poss. forged inst. 1° FC

" "

Forgery 2° FD

Revised Classification

Felony Property

Property	Criminal poss. forged inst. 2°	FD
" "	Criminal poss. forged devices	FD
Personal Property	Arson 3°	FC
" "	Arson 4°	FD
" "	Crim. Mischief 2°	FD
" "	Crim. Mischief 3°	FE
" "	Crim. Tampering 1°	FD
" "	Crim. Mischief 1°	FB
" "	Crim. Trespass 1°	FD
Other	Bigamy	FE
" "	Bribery 2°	FD
" "	Bribery 1°	FB
" "	Bribe receiving 1°	FB
" "	Bribe receiving 2°	FD
" "	Sports bribing	FD
" "	Sports bribe receiving	FE
" "	Eavesdropping	FE
" "	Conspiracy 1°	FB
" "	Conspiracy 2°	FE

Revised Classification

Felony Victimless

Other	YO	
" "	Promoting Prostitution 1°	FC
" "	Promoting Prostitution 2°	FD
" "	Use of drug paraphernalia 1°	FD
" "	Criminal Possession of Precursors	FE
" "	Criminal Possession of a Contr. Sub. 1°	FA-I
" "	Criminal Possession of a Contr. Sub. 2°	FA-II
" "	Criminal Possession of a Contr. Sub. 3°	FA-III
" "	Criminal Possession of a Contr. Sub. 4°	FB
" "	Criminal Possession of a Contr. Sub. 5°	FC
" "	Criminal Possession of a Contr. Sub. 6°	FD
" "	Criminal Possession of Marihuana 1°	FC
" "	Criminal Possession of Marihuana 2°	FD
" "	Criminal Sale of Marihuana 3°	FE
" "	Criminal Possession of Marihuana 3°	FE
" "	DWI 2nd offense	FE
" "	Obscenity 1°	FD
" "	Manufacture or sale of illicit alcohol	FE
" "	Falsely reporting an incident 1°	FE
" "	Promoting gambling 1° - lottery or policy	FE

Revised Classification

Other

Felony Victimless

Promoting gambling 1° - bookmaking	FE
Poss. gambling records 1° - lottery or policy	FE
Poss. gambling records 1° - bookmaking	FE
Escape 1°	FD
Escape 2°	FE
Abscond from temporary release 1°	FE
Bail jumping 1°	FE
Perjury 1°	FD
Perjury 2°	FE
Rewarding official misconduct 1°	FC
Receiving reward for official misconduct 1°	FC
Rewarding official misconduct 2°	FE
Receiving reward for official misconduct 2°	FE
Bribe receiving by a juror	FD
Bribe receiving by a witness	FD
Bribing a juror	FD
Bribing a witness	FD
All other felonies	--

Revised Classification

Personal

" "

" "

" "

" "

Other

" "

" "

" "

" "

Personal

" "

Other

Personal

Misdemeanor Personal

Assault 3°	MA
Menacing	MB
Reckless Endangerment 2°	MA
Jostling	MA
Sexual misconduct	MA
Sexual abuse 2°	MA
Sexual abuse 3°	MB
Criminal Poss. of a weapon 4°	MA
Mfg., transport, etc. dang. weapon	MA
Prohibited use of weapons	MA
Endangering the welfare of a child	MA
DWI - drugs - 1st offense	MU
Aggravated harrassment	MA

Revised Classification

Misdemeanor Property

Other	— Poss. of burglar's tools	MA
Property	Petit larceny	MA
" "	Fraudulently accosting	MA
" "	Unauthorized use of a vehicle	MA
" "	Crim. Poss. of Stolen Prop. 3°	MA
" "	Falisyfing business records 2°	MA
" "	Issuing a false financial statement	MA
" "	Criminal impersonation	MA
" "	Fraudulent disp. of mortgaged property	MA
" "	Fraud involving a security interest	MA
" "	Ⓞ Making false statement of credit terms	MA
" "	Unlawful collection practices	MB
Other	— Scheme to defraud 2°	MA
Property	Forgery 3°	MA
" "	Crim. Poss. forged instrument 3°	MA
Other	— Crim. simulation	MA
Property	Unlawful use of credit card	MA
" "	Theft of services	MA
" "	Misapplication of property	MA
" "	Fraudulently obtaining signature	MA
Other	— Fortune telling	MB
Property	Destroying or defacing a vehicle	MA

Revised Classification

Misdemeanor Property

Property	Unauth. removal from a vehicle	MA
Personal	— Riot 2°	MA
" "	— Inciting a riot	MA
Other	— Disruption of reglious services	MA
Property	Crim. mischief 4°	MA
" "	Crim. tampering 2°	MB
" "	Crim. trespass 2°	MA
" "	Crim. trespass 3°	MB
Other	— Commercial bribing 1°	MA
" "	— Commercial bribe receiving 1°	MA
" "	— Commerical bribing 2°	MB
" "	— Commerical bribe receiving 2°	MB

Revised
Classification

Misdemeanor Victimless

Other

Probation Violation

Parole Violation

JD

False advertising MA

Promoting prostitution 3° MA

Prostitution MB

Permitting prostitution MB

Consensual sodomy MB

Use of drug paraphernalia 2° MA

Criminal poss. hypodermic MA

Criminal poss. of contr.
sub. 7° MA

Art. 33 M

DWI 1st offense MU

Obscenity 2° MA

Public display of offensive
sexual material MA

Issuing abortifacient articles MB

Viol. of regulations governing
alcohol sales MA

Viol. of regulations governing
alcohol sales MU

Other viol. of M.V. laws MU

Unlawful assembly MB

Loitering 1° MB

Criminal nuisance MB

Falsely reporting an
incident 3° MB

Falsely reporting an
incident 2° MA

Revised
Classification

Misdemeanor Victimless

Other

Poss. of gambling devices MA

Promoting gambling 2° MA

Poss. of gambling records 2° MA

Absconding from furlough
program MA

Escape 3° MA

Resisting arrest MA

Abscond from temporary
release 2° MA

All other misdemeanors --

OTHER

Revised Classification

Other

Felony Personal

~~Crim. Sell. of a Contr. Sub. 2°~~ FA-II

~~Crim. Sell. of a Contr. Sub. 3°~~ FA-III

~~Crim. Sell. of a Contr. Sub. 4°~~ FB

~~Crim. Sell. of a Contr. Sub. 5°~~ FC

~~Crim. Sell. of a Contr. Sub. 6°~~ FD

~~Crim. Sale of Marihuana 1°~~ FC

~~Crim. Sale of Marihuana 2°~~ FD

Crim. Poss. of dangerous weapon 1° FB

~~Crim. Poss. of dangerous weapon 3°~~ FD

~~Mfg., transport, etc. of a dangerous weapon~~ FD

Prohibited use of weapons FD

Prohibited use of weapons FE

Criminal poss. of a weapon 2° FC

~~Disseminating indecent material to a minor~~ FE

~~Abandonment of child~~ FE

~~DWI - drugs - 2nd offense~~ FE

Kidnapping 1° FA-I

Kidnapping 2° FB

Unlawful imprisonment FD

Riot 1° FE

Personal

Other

Personal

Other

Personal

Revised Classification

Property

Felony Property

Burglary 1° FB

Burglary 2° FC

Burglary 3° FD

Grand Larceny - not auto 1° FC

Grand Larceny - not auto 2° FD

Grand Larceny - not auto 3° FE

Grand Larceny - auto 1° FC

Grand Larceny - auto 2° FD

Grand Larceny - auto 3° FE

Criminal Poss. of Stolen Property 1° FD

Criminal Poss. of Stolen Property 2° FE

Tampering with public records 1° FD

Falsifying business records 1° FE

Offering a false inst. for filing 1° FE

Issuing a false certificate FE

Other

~~Criminal Usury 2°~~ FE

Property

Unlawfully concealing a will FE

Other

~~Criminal Usury 1°~~ FC

Property

~~Scheme to defraud 1°~~ FE

Property

Forgery 1° FC

Property

Criminal poss. forged inst. 1° FC

Property

Forgery 2° FD

Revised Classification

Felony Property

Property	Criminal poss. forged inst. 2°	FD
" "	Criminal poss. forged devices	FD
Personal Property	Arson 3°	FC
" "	Arson 4°	FD
" "	Crim. Mischief 2°	FD
" "	Crim. Mischief 3°	FE
" "	Crim. Tampering 1°	FD
" "	Crim. Mischief 1°	FB
" "	Crim. Trespass 1°	FD
Other	Bigamy	FE
" "	Bribery 2°	FD
" "	Bribery 1°	FB
" "	Bribe receiving 1°	FB
" "	Bribe receiving 2°	FD
" "	Sports bribing	FD
" "	Sports bribe receiving	FE
" "	Eavesdropping	FE
" "	Conspiracy 1°	FB
" "	Conspiracy 2°	FE

Revised Classification

Felony Victimless

Other

YO

" "	Promoting Prostitution 1°	FC
" "	Promoting Prostitution 2°	FD
" "	Use of drug paraphernalia 1°	FD
" "	Criminal Possession of Precursors	FE
" "	Criminal Possession of a Contr. Sub. 1°	FA-I
" "	Criminal Possession of a Contr. Sub. 2°	FA-II
" "	Criminal Possession of a Contr. Sub. 3°	FA-III
" "	Criminal Possession of a Contr. Sub. 4°	FB
" "	Criminal Possession of a Contr. Sub. 5°	FC
" "	Criminal Possession of a Contr. Sub. 6°	FD
" "	Criminal Possession of Marihuana 1°	FC
" "	Criminal Possession of Marihuana 2°	FD
" "	Criminal Sale of Marihuana 3°	FE
" "	Criminal Possession of Marihuana 3°	FE
" "	DWI 2nd offense	FE
" "	Obscenity 1°	FD
" "	Manufacture or sale of illicit alcohol	FE
" "	Falsely reporting an incident 1°	FE
" "	Promoting gambling 1° -	

Revised Classification

Other

Felony Victimless

Promoting gambling 1° - bookmaking	FE
Poss. gambling records 1° - lottery or policy	FE
Poss. gambling records 1° - bookmaking	FE
Escape 1°	FD
Escape 2°	FE
Abscond from temporary release 1°	FE
Bail jumping 1°	FE
Perjury 1°	FD
Perjury 2°	FE
Rewarding official misconduct 1°	FC
Receiving reward for official misconduct 1°	FC
Rewarding official misconduct 2°	FE
Receiving reward for official misconduct 2°	FE
Bribe receiving by a juror	FD
Bribe receiving by a witness	FD
Bribing a juror	FD
Bribing a witness	FD
All other felonies	--

Revised Classification

Personal

" "

" "

" "

" "

Other

" "

" "

" "

" "

Personal

" "

Other

Personal

Misdemeanor Personal

Assault 3° MA

Menacing MB

Reckless Endangerment 2° MA

Jostling MA

Sexual misconduct MA

— Sexual abuse 2° MA

— Sexual abuse 3° MB

— Criminal Poss. of a weapon 4° MA

— Mfg., transport, etc. dang. weapon MA

Prohibited use of weapons MA

Endangering the welfare of a child MA

— DWI - drugs - 1st offense MU

Aggravated harrassment MA

Revised Classification

Misdemeanor Property

Other	— Poss. of burglar's tools	MA
Property	Petit larceny	MA
" "	Fraudulently accosting	MA
" "	Unauthorized use of a vehicle	MA
" "	Crim. Poss. of Stolen Prop. 3°	MA
" "	Falsifying business records 2°	MA
" "	Issuing a false financial statment	MA
" "	Criminal impersonation	MA
" "	Fraudulent disp. of mortgaged property	MA
" "	Fraud involving a security interest	MA
" "	Making false statement of credit terms	MA
" "	Unlawful collection practices	MB
Other	— Scheme to defraud 2°	MA
Property	Forgery 3°	MA
" "	Crim. Poss. forged instrument 3°	MA
Other	— Crim. simulation	MA
Property	Unlawful use of credit card	MA
" "	Theft of services	MA
" "	Misapplication of property	MA
" "	Fraudulently obtaining signature	MA
Other	— Fortune telling	MB
Property	Destroying or defacing a vehicle	MA

Revised Classification

Misdemeanor Property

Property	Unauth. removal from a vehicle	MA
Personal	— Riot 2°	MA
" "	— Inciting a riot	MA
Other	— Disruption of reglious services	MA
Property	Crim. mischief 4°	MA
" "	Crim. tampering 2°	MB
" "	Crim. trespass 2°	MA
" "	Crim. trespass 3°	MB
Other	— Commercial bribing 1°	MA
" "	— Commercial bribe receiving 1°	MA
" "	— Commerical bribing 2°	MB
" "	— Commerical bribe receiving 2°	MB

Revised Classification

Misdemeanor Victimless

Other

	Probation Violation	
" "	Parole Violation	
" "	JD	
" "	False advertising	MA
" "	Promoting prostitution 3°	MA
" "	Prostitution	MB
" "	Permitting prostitution	MB
" "	Consensual sodomy	MB
" "	Use of drug paraphernalia 2°	MA
" "	Criminal poss. hypodermic	MA
" "	Criminal poss. of contr. sub. 7°	MA
" "	Art. 33	M
" "	DWI 1st offense	MU
" "	Obscenity 2°	MA
" "	Public display of offensive sexual material	MA
" "	Issuing abortional articles	MB
" "	Viol. of regulations governing alcohol sales	MA
" "	Viol. of regulations governing alcohol sales	MU
" "	Other viol. ov M.V. laws	MU
" "	Unlawful assembly	MB
" "	Loitering 1°	MB
" "	Criminal nuisance	MB
" "	Falsely reporting an incident 3°	MB
" "	Falsely reporting an incident 2°	MA

Revised Classification

Misdemeanor Victimless

Other

" "	Poss. of gambling devices	MA
" "	Promoting gambling 2°	MA
" "	Poss. of gambling records 2°	MA
" "	Absconding from furlough program	MA
" "	Escape 3°	MA
" "	Resisting arrest	MA
" "	Abscond from temporary release 2°	MA
" "	All other misdemeanors	--

OTHER

ATTACHMENT 4

Case Review
Data Collection Form
Codebook

NIC EVALUATION
DATA COLLECTION

Sample Code _____ NYSID No. _____
Name Code _____ County _____
County Code _____ I.D. Code _____

I. DP-71 Needs Assessment Evaluation

	Score	Identified Problem		Resource Available	Rank
		P.O.	Prob.		
Academic/Vocational					
Employment					
Financial Management					
Marital/Family Relationships					
Mental Health					
Current Living Environment					
Sexual Behavior					
Alcohol Abuse					
Other Drug Abuse					
Health					
TOTAL					

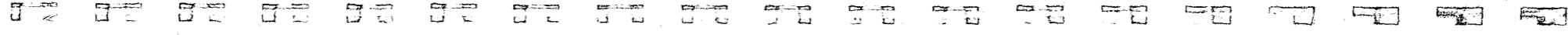
Number of identified problems agreed upon between Probation Officer and Probationer _____

I. Orders and Conditions of Probation

List each special condition of Probation _____

I. DP-72 Initial Supervision Plan

a) Date Sentenced _____ / _____ / _____
b) Initial Interview _____ / _____ / _____
Seen within 72 hours 1) _____ 2) _____
Yes No
c) Primary Contact Person _____
Name of Primary Contact Person _____



DP-72 Initial Supervision Plan

Sample Code _____

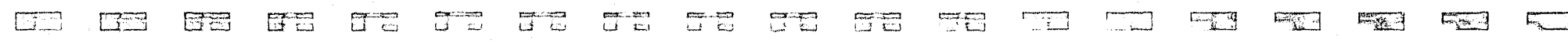
d) Long Range Supervision Goals

Name Code _____

List Each Goal	Does This Goal Match a Special Condition of Probation From the Orders and Conditions of Probation	Does this Goal Match a Need From the Needs Assessment	
		P.O.	Prob.
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
Total Number of Goals _____	Total _____	Total _____	

e) Objectives for first Quarter

List Each Objective	Does this Objective Match a Special Condition of Probation	Does this Objective Match a Need from the Need Assessments	
		P.O.	Prob.
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
_____	yes	yes	yes
Total Number of Objectives _____	Total _____	Total _____	



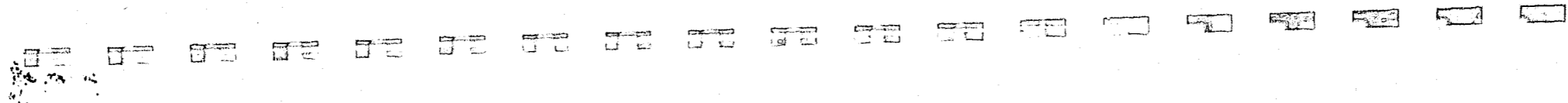
Sample Code _____

Name Code _____

DP-73 MONTHLY ACTIVITY REPORT

Probationer's Activities

	AGENCY	NEED ADDRESSED	DATES	DOES NEED ADDRESSED MATCH 1st PRIORITY	DOES NEED ADDRESSED MATCH 2nd PRIORITY	DOES NEED ADDRESSED MATCH A SPECIAL CONDITION OF PROB
1st month						
2nd month						
3rd month						
4th month						
5th month						
6th month						

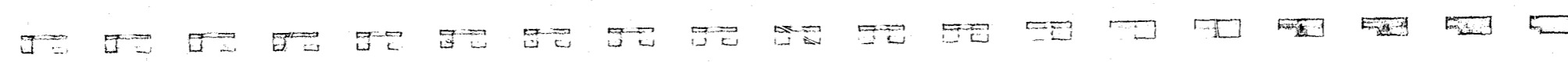


Sample Code _____

Name Code _____

DP-70A Risk Reassessment, Classification and Assignment

ISP Progress Index	Score				
	6 Months	9 Months	12 Months	15 Months	18 Month
1. Employed/School					
2. Compliance with probation conditions					
3. Achievement of supervision plan objectives					
4. Resolution of primary need areas					
5. Utilization of community resources					
Progress Index TOTAL					
DATE:					



Sample Code _____
Name Code _____

DP-73 MONTHLY ACTIVITY REPORT

Probationer's Activities

	AGENCY	NEED ADDRESSED	DATES	DOES NEED ADDRESSED MATCH 1st PRIORITY?	DOES NEED ADDRESSED MATCH 2nd PRIORITY?	DOES NEED ADDRESSED MATCH A SPECIAL CONDITION OF PROBATION?
7th month						
8th month						
9th month						
10th month						
11th month						
12th month						

NEW YORK STATE DIVISION OF PROBATION
INTENSIVE SUPERVISION EVALUATION

CASE REVIEW CODEBOOK

This codebook describes variable names, locations, and values for the 398 cases included in the Case Review Data Collection Sample. The Case Review Sample is a random sample of the 1541 cases in the original ISP Evaluation Sample. All of the variables and values contained on CARD 1 of the Case Review Data Base are identical to the variables and values in the ISP Evaluation Data Base. Variables and values contained on CARD 2 through CARD 5 are limited to the cases in the Case Review Data Base. The Case Review Data Base is defined by the SPSS program SPOCK and the System File is saved under the file name DICK.

CASE REVIEW

CARD 1

Column

1, 2

SAMPCODE

ISP Sample Code - Based on date of sentence.

- 05 October, 1978 through January, 1979
- 06 February, 1979
- 07 March, 1979
- 08 April, 1979
- 09 May, 1979
- 10 June, 1979

Column

3, 4, 5

NAMECODE

ISP Identification Code

Column

6, 7

COUNTY

County of supervision

- | | |
|---------------|----------------|
| 01 Albany | 12 Onondaga |
| 02 Broome | 13 Ontario |
| 03 Chautauqua | 14 Orange |
| 04 Chemung | 15 Oswego |
| 05 Dutchess | 16 Rensselaer |
| 06 Erie | 17 Rockland |
| 07 Jefferson | 18 Schenectady |
| 08 Kings | 19 Steuben |
| 09 Monroe | 20 Suffolk |
| 10 Nassau | 21 Ulster |
| 11 Oneida | 22 Westchester |

Column

8, 9

AGE

Age at current conviction

Column

10

SEX

Sex of probationer

- 0 Female
- 1 Male

Column

11

RACE

Race of probationer

- 0 White
- 1 Black
- 2 Hispanic
- 3 Other

Column

12

OUTSUP18

Outcome of probation at 18 months.

- 0 Success
- 1 Sentence Revocation
- 2 Unsatisfactory Discharge
- 3 New Conviction
- 4 Absconder
- 9 Missing

Column

13, 14, 15, 16

CHG18

Conviction or Revocation Charge for failure between 12th and 18th month. See Appendix A for complete list.

Column

17, 18

SENT18

Sentence type and length for CHG18. See Appendix B for complete list.

Column

19	ARYRPRI
20	NINETEEN
21	PRIRUB
22	MISDFEZ
23	INCARC
24	JOBSCHOL
25	FAMILY
26	ADDRESS
27	SITUAT
28	ATTITUDE

Individual ISP Risk Assessment questions.

0 No
1 Yes

Column

29, 30 TOTAL

Total ISP Risk Assessment score.

Column

31, 32, 33, 34 CUROFF

Conviction charge for current offense. See Appendix A for complete list.

Column

35, 36 SENT

Sentence type and length for current offense. See Appendix B for complete list.

Column

37, 38, 39, 40 PRIOR1

Conviction charge for offense immediately preceding current offense. See Appendix A for complete list.

Column

41, 42 SENT1

Sentence length and type for PRIOR1. See Appendix B for complete list.

Column

43, 44, 45, 46 PRIOR2

Conviction charge for offense preceding PRIOR1. See Appendix A for complete list.

Column

47, 48 SENT2

Sentence type and length for PRIOR2. See Appendix B for complete list.

Column

49, 50, 51, 52 PRIOR3

Conviction charge for offense preceding PRIOR2. See Appendix A for complete list.

Column

53, 54 SENT3

Sentence type and length for PRIOR3. See Appendix B for complete list.

Column

55 OUTSUP6

Outcome of probation at 6 months.

- 0 Success
- 1 Sentence Revocation
- 2 Unsatisfactory Discharge
- 3 New Conviction
- 4 Absconder
- 9 Missing

Column

56, 57, 58, 59 CHG6

Conviction or Revocation charge for failure up to the 6th month. See Appendix A for complete list.

Column

60, 61

SENT6

Sentence type and length for CHG6. See Appendix B for complete list.

Column

62

OUTSUP12

Outcome of probation at 12 months.

- 0 Success
- 1 Sentence Revocation
- 2 Unsatisfactory Discharge
- 3 New Conviction
- 4 Absconder
- 9 Missing

Column

63, 64, 65, 66

CHG12

Conviction or Revocation charge for failure between 6th and 12th month. See Appendix A for complete list.

Column

67, 68

SENT12

Sentence type and length for CHG12. See Appendix B for complete list.

Column

69

TRANSFER

Time in ISP before transfer to regular probation, if transferred.

- 1 IN ISP for 18 months
- 2 Transferred during 1st 6 months
- 3 Transferred 6 - 9 months
- 4 Transferred 9 - 12 months
- 5 Transferred 12 - 15 months
- 6 Transferred 15 - 18 months
- 7 Discharged from ISP before 12 months
- 8 Discharged from ISP before 18 months
- 9 Extraordinary (death, etc.)

Column

7, 8, 9

POID

Probation officer identification code.

Column

10

POPROB

Number of "Identified Problems" checked by probation officer on the ISP Needs Assessment.

Column

11

PROB

Number of "Identified Problems" checked by probationer on the ISP Needs Assessment.

Column

12

APROB

Number of "Identified Problems" agreed upon by the probation officer and probationer.

Column

13

PROMPT

Was probationer seen by probation officer within 72 hours of sentence to probation.

- 1 Yes
- 2 No
- 9 Missing

Column

14, 15

INTERV

Exact number of days between sentence to probation and initial interview by probation officer.

Column

16 PCP

Category of Primary Contact Person.

- 0 Legal Representative
- 1 Spouse - Paramous
- 2 Family Member - Relative
- 3 Employer
- 4 Social Service Agency Person
- 5 Clergy
- 6 School Representative
- 7 Friend
- 8 Unidentifiable Person
- 9 None

Column

17 PGOAL

Number of goals on the Initial Supervision Plan that match probation officer "Identified Problems" on Needs Assessment.

Column

18 PGOAL

Number of goals on the Initial Supervision Plan that match probationer "Identified Problems" on Needs Assessment.

Column

19 GOALS

Total number of long range goals on the Initial Supervision Plan.

Column

20 POBJECT

Number of objectives on the Initial Supervision Plan that match probation officer "Identified Problems" on Needs Assessment.

Column

21 POBJECT

Number of objectives on the Initial Supervision Plan that match probationer "Identified Problems" on the Needs Assessment.

Column

22 OBJECTS

Total number of objectives on the Initial Supervision Plan.

Column

23, 24, 25 ISPTIME

Exact number of days in ISP.

Column

27 OFC1

Number of office visits on Initial Supervision Plan.

Column

28 FTR1

Number of times probationer "failed to report" on the Initial Supervision Plan.

Column

29 PHV1

Number of positive home visits with probationer on the Initial Supervision Plan.

Column

30 OTHER1

Number of other contacts with probationer on the Initial Supervision Plan.

Column

32, 33, 34 OFC2

Number of office visits during the first 3 months.

Column

35, 36 FTR2

Number of times probationer "failed to report" during the first 3 months.

Column

37, 38 PHV2

Number of positive home visits with probationer during the first 3 months.

Column

39, 40 LTR2

Number of letter and phone contacts with probationer during the first 3 months.

Column

41, 42 CRJ2

Number of face to face criminal justice contacts with probationer during the first 3 months.

Column

43, 44 FACE2

Number of other face to face contacts with probationer during the first 3 months.

Column

46, 47, 48 OFC3

Number of office visits during the 4 to 6 month period.

Column

49, 50 FTR3

Number of times probationer "failed to report" during the 4 to 6 month period.

Column

51, 52 PHV3

Number of positive home visits with probationer during the 4 to 6 month period.

Column

53, 54 LTR3

Number of letter and phone contacts with probationer during the 4 to 6 month period.

Column

55, 56 CRJ3

Number of face to face contacts with probationer in a criminal justice setting during the 4 to 6 month period.

Column

57, 58 FACE3

Number of other face to face contacts with probationer during the 4 to 6 month period.

Column

60, 61, 62 OFC4

Number of office visits during the 7 to 9 month period.

Column

63, 64 FTR4

Number of times probationer "failed to report" during the 7 to 9 month period.

Column

65, 66 PHV4

Number of positive home visits with probationer during the 7 to 9 month period.

Column

67, 68

LTR4

Number of letter and phone contacts with probationer during the 7 to 9 month period.

Column

69, 70

CRJ4

Number of face to face contacts with probationer in a criminal justice setting during the 7 to 9 month period.

Column

71, 72

FACE4

Number of other face to face contacts with probationer during the 7 to 9 month period.

Column

74, 75, 76

OFC5

Number of office visits with probationer during the 10 to 12 month period.

Column

77, 78

FTR5

Number of times probationer "failed to report" during the 10 to 12 month period.

Column

79, 80

PHV5

Number of positive home visits with probationer during the 10 to 12 month period.

ATTACHMENT 6

Documentation Scale

To empirically illustrate the degree of variation between probation officers in terms of their documentation performance, a P.O. Documentation Scale was developed. This scale assesses P.O. documentation performance according to written guidelines developed especially for ISP probation officers. Each standardized form used in ISP has associated with it specific instructions on how it should be completed. The guidelines were utilized as the baseline criteria in assessing P.O. documentation; documentation scores thus reflecting the degree to which P.O.'s deviated from ISP guidelines in their documentation performance. In addition to generating a total documentation score reflecting overall documentation, the scale contains scores indicating documentation performance on each specific standardized form within the ISP program. Therefore each is scored on documentation as to goals and objectives, contacts, activities and reassessments. This allows the research staff to assess documentation performance not only between cases but also between the components of those cases. In this manner, specific forms can be shown to be documented in a less than desirable fashion more so than other forms and future efforts at improving documentation performance can be more focused. The total score is based on a possible total of 17 points (17 = excellent documentation), with component totals varying to reflect centrality to the philosophy behind the ISP process and the number of objective guidelines available for P.O.'s to refer to. These scores were then transformed to a ratio value (range from .00 to .99) to allow for facilitated comparisons of scores (a copy of instructions and the DOC scale are enclosed).

The final documentation scale was created via a process which included a pre-test with a sample of 10 cases. Original ambiguous instructions and problematic items in terms of reliability and lack of variation were modified to insure greater reliability and variability. A random sample of 102 cases out of the total sample of 401 cases was then generated. The sample was stratified by county of supervision to insure all counties being represented in the sample. This was done because the case review revealed a great amount of variation in P.O. documentation across counties (certain counties were perceived to have better documented files). In addition, different P.O.'s were sampled within each county. This would allow for specifying sources of variation in documentation performance. The following question could be addressed. Do individual counties, either through explicit policies or supervisory practices, account for a greater proportion of the variation in documentation than non-systematic variation attributable to individual P.O.'s?

To ensure reliability of the DOC scale scores, two members of the research staff each scored all 102 cases in the sample. A small group of cases would be completed by each researcher after which the respective scores would be compared. Very few discrepancies were discovered and the ones that did occur were resolved to each researchers mutual satisfaction. Any consistent discrepancy was thus eliminated very early in the scoring with the above scheme ensuring total reliability by the end of the scoring process. The scores were then matched with the corresponding data collection form. The face validity of the scoring was supported because cases with perceived poor documentation

received lower scores than the better documented cases.

The P.O. documentation scale can also be used in an analytic fashion to control the error introduced into the data set by variability in P.O. documentation. As mentioned earlier, it is probable that these casefiles documented in a less than desirable fashion may be those cases for which collected data contain more error. This is because cases with low documentation scores may have required greater subjective interpretation on the part of data collectors instrument (e.g., categorizing contacts). This problem can, of course be dealt with by using broad categories of contacts (e.g., all face to face contacts vs. office contacts and home visits). However, poor documentation may also be associated not only with greater unreliability but also with data of more questionable validity. For example, an explicit criterion in assessing P.O. documentation is whether the dates of probationer activities indicated dates of attendance by the probationer. If no (e.g., dates indicate P.O. collateral contacts with agency), then the resulting information is more problematic in terms of validity than information clearly indicating actual probationer activities. Although it is impossible to determine the validity of even properly documented information without some sort of reverse record check, the P.O. documentation scale provides a tool by which to examine whether relationships found in the total sample maintain when the sample is partitioned into cases with high documentation scores versus low documentation scores. If relationships do not hold across these sub-samples, a possible

explanation would be that the sample with poorly documented casefiles contain more error and thus a less valid testing of relationships than the other sample. In such instances, more faith in the results should be placed on the sample with better documented cases. This type of approach will be taken but its utility is limited because time constraints allowed for DOC scores to be obtained on only 102 cases of the total sample. Nevertheless, the DOC scale does allow for some control over the validity problems in the data.

to a standard coding scheme and continuous decision making between the two resolved any problems in interpretation and coding as they arose. This process was encouraged by the method of reliability checks chosen. Every tenth case had a reliability check conducted on it with discovered discrepancies being corrected to each coder's mutual satisfaction. Coder error appeared to be random, errors usually consisting of computational mistakes. Overall reliability was generally very good, the few number of discrepancies being of a minor non-systematic nature and thus amendable to facile corrections. Once the data was keypunched, errors such as wild codes and other inconsistent information was "cleaned" via computer analysis.

The research staff collected and manipulated the data in such a way as to minimize the unreliability and invalidity of the data set in its final form. The staff's awareness of reliability concerns was illustrated by the precautions taken at every step of the process to ensure that the collected information in its final form approximated the information present in the probation casefiles. The data will be invalid to the degree that the original sources of information contained erroneous information. This, of course, relates to probation officer documentation. Researchers utilizing probation casefiles should be wary of the data gathered in future research efforts. They should narrow the scope of their inquiry to issues which can be examined in a scientifically sound manner given the nature of the information found in probation casefiles. Efforts at improving probation officer documentation behavior seems a logical first step in guaranteeing meaningful research in the area of probation.

Instructions

Scale of P.O. Documentation

I. NEEDS ASSESSMENT (DP-71)

	No/Yes
A. Was Needs Assessment completed? If no, score as 0. If yes,	
1. Were all problem areas scored?	0,1
2. Are Identified Problems (by P.O.) ranked?	0-1
3. Is "Resource Available" checked for all problem areas scored 2 or 3? (Total scored 2 or 3 with "resources available" checked/total # scored 2 or 3)	0-1

NEEDS TOTAL 0-3

II. INITIAL SUPERVISION PLAN (DP-72)

A. Goals And Objectives	
1. Are Goals and Objectives written for the probationer? (Total written for probationer/Total Written = Score)	0-1
B. Objectives	
1. Are Objectives derived from "Identified Problems" on Needs Assessment? (Total number of Objectives derived from Identified Problems/Total number of Objectives = Score)	0-1
C. Specificity of Objectives. Do the Objectives answer the questions:	
1. What is the probationer required to do?	0,1
2. When precisely is the probationer to do this?	0,1
3. Where exactly will the probationer do this?	0,1

Goal and Objectives Total 0-5

III. MONTHLY ACTIVITY REPORTS (DP-73)

A. Contacts with Probationer	
1. Are any of the month's totally devoid of contacts with the probationer? (If NO, Score = 1; If YES, the number of BLANK months/total number of months = SCORE)	0-1

2. Are any of the contacts unspecified?
(If NO, Score = 1; If YES, the number
of months with unspecified contacts/
total number of months = SCORE) 0-1

3. Are the dates of the Monthlys unambigu-
ous? NOTE: a) The dates on each monthly
should cover only one month time period.
b) There should be no time periods left.
c) A contact entered should have occurred
in the specified time period. (Number of
unambiguously dated monthlys/total number
of monthlys = SCORE) 0-1

B. Collateral Contacts

1. Are any of the collateral contacts unspeci-
fied? (If NO, SCORE = 1; If YES, the number
of months with unspecified contacts/total
number of months = SCORE) 0-1

CONTACTS TOTAL 0-4

C. Probationers Activities Verified

1. Are all three boxes (Agency, need, addressed,
dates) filled in for each month? NOTE: If
probationer did not utilize any community-
based agency, N/A or none is acceptable.
A BLANK is not. NOTE: An appropriate
community-based agency as defined by ISP
guidelines, is a community agency offering
services which are part of the supervision
plan. This does not include criminal justice
agencies such as jails or courts, or a
person's regular place of employment. (If
YES, SCORE = 1; If NO, total number of
months with completed boxes including
months with N/A or NONE/total number of
months with some agency mentioned = SCORE). 0-1

2. Are all of the agencies appropriate Commu-
nity based agencies? NOTE: See above defi-
nition. (If YES, Score = 1; If NO, total
number of months with appropriate community
based agencies only/total number of months
with some agency mentioned = SCORE). 0-1

3. Do the dates indicate dates of attendance
by the probationer? (Total number of
months correctly listing probationer's
dates of attendance/total number of months
with some dates entered = SCORE). 0-1

Activities Total 0-3

IV. RISK REASSESSMENT (DP-70A)

A. Were Reassessments done on time and at the
correct intervals? NOTE: ISP Guidelines call
for Risk Reassessment at 6 months and every 3
months thereafter until the person is no longer
in ISP. In order to be on time, the 1st Reas-
sessment should be dated no later than 14 days
after the beginning date of the 7th month (see
dates on contacts section of monthlys), and
every Reassessment thereafter should be com-
pleted 3 months (within 14 days) follow-
ing the previous Reassessment. (Total number
of correctly timed Reassessments/Total number
of required Reassessments X 2 = SCORE) 0-2

Reassessment Score 0-2

TOTAL SCALE SCORE 0-17

P.O. Documentation Scale

I). Needs Assessment (DP-71) Score

A. 1.	_____
2.	_____
3.	_____

Needs Total ____/3 = ____

II). Initial Supervision Plan (DP-72)

A. Goals and Objectives

1.	_____
----	-------

B. Objectives

1.	_____
----	-------

C. Specificity of Objectives

1.	_____
2.	_____
3.	_____

Goal and Objective Total ____/5 = ____

III). Monthly Activity Reports (DP-73)

A. Contacts with Probationer

1.	_____
2.	_____
3.	_____

B. Collateral Contacts

1.	_____
----	-------

Contacts Total ____/4 = ____

C. Probationer Activities Verified

1.	_____
2.	_____
3.	_____

Activities Total ____/3 = ____

IV). Risk Reassessment (DP-70A)

A.

1.	_____
----	-------

Reassessment Sure ____/2 = ____

ATTACHMENT 7

"Communication" Sample

Interviews
Interview Codebook

INTRODUCTION

My name is _____ from the New York State Division of Probation Research and Evaluation Unit. We are doing some research on probation supervision and we have been interviewing people after they have seen their probation officers. We would like to discuss some of the topics you've discussed with your probationers. Any thing you say tous will remain confidential and will not be passed on to the probationer or anyone in the probation department.

1) Concerning this probationer, what area or problem do you feel is the major obstacle to his/her being a success on probation?* (If P.O. says there is no specific problem, probe with: "What is it about him/her that you would think is an obstacle to being a success on probation?")

PICK ONE AREA ONLY

*A success is someone who while on probation, does not meet the following criteria: a) New conviction for misdemeanor or felony b) Unsatisfactory discharge from probation c) Probation is revoked and gets jail time d) Absconds.

2) Has your probationer indicated to you by his/her actions or conversations that (s)he also feels this problem area is the major obstacle to his/her success?

____ (1) Yes

____ (2) No

____ (7) Other _____

Explain _____

1)
(1) (2)

2) /
(3) (4) (5)

3) How would you characterize your general approach in trying to overcome this major obstacle? _____

4) a. What message have you tried to convey or "get across to this probationer, so far, concerning this obstacle?

b. IF NO MESSAGE, ASK: How have your previous meetings with this probationer helped him/her overcome this obstacle?

3) (6) (7) (8)

4a) (9) (10) / (11) (12)

4b) (13) (14) / (15) (16)

5) Do you think the probationer understood this message as you intended it?

____ (1) Yes

____ (2) No

____ (7) Other _____

EXPLAIN: _____

6) Since you originally assessed this problem/area, have you ever required or expected any specific tasks or actions from this probationer from which you could evaluate his/her progress on probation?

____ (1) Yes

____ (2) No (skip to 8)

____ (7) Other _____

WHAT HAVE YOU REQUIRED? _____

5) / / /

6) / / / /

 /

7) Did your probationer agree to do the tasks or actions you've required?

____ (1) Yes

____ (2) No

____ (7) Other _____

8) Are you satisfied, so far, with the probationer's progress in meeting your expectations in this problem area?

____ (1) Yes

____ (2) No

____ (7) Other _____

7)
(27) (28)

8)
(29) (30)

9) Was anyone besides your probationer involved in talking about this problem/area/obstacle?

 (1) Yes

 (2) No

List All Others: _____

10) Which of the following four statements best describes your philosophy in interacting with the probationer whom you just saw?

1. My 1st concern is to insure that the the probationer does not cause the community any more inconvenience, money or harm. I try to encourage the right habits and be firm but fair.
2. My 1st concern is to provide an understanding and supportive atmosphere so the probationer can develop insight into his attitudes. Correct habits can only be learned after attitudes have changed.
3. My 1st concern is that the rules and regulations of the department are carried out efficiently. I don't try actively to change the probationer because people change only if they want to.
4. My 1st concern is to try to intervene in both the community as well as in the life of the probationer. I try to encourage the probationer to stabilize ties with family and appropriate community agencies by demonstrating how some behaviors may be ineffective in reaching mutually planned goals.

Philosophy with this probationer _____

9) / / /

(31) (32) (33)

 / / / /

(34) (35) (36) (37)

10)

(38)

11) Ask the Probation Officer if any of the following topics were discussed today? Check all topics discussed.

TOPICS

- 1) Employment / Job training
- 2) School (other than vocational)
- 3) Financial Problems
- 4) Drinking
- 5) Drugs
- 6) Family Problems
- 7) Police Problems
- 8) Emotional Problems
- 9) Any other Probation Problems (specify all) _____

- 10) Any other Personal Problems (specify all) _____

- 11) Any topics not already mentioned (specify all) _____

11) (39) (40) (41) (42)
 (43) (44) (45) (46)
 (47) (48)

12) How much time did you spend with your probationer today?

(Indicate the correct time in the appropriate category)

____ (1) Less than 15 minutes

____ (2) 15 to 30 minutes

____ (3) 31 to 45 minutes

____ (4) 46 to 60 minutes

____ (5) More than 60 minutes

13) DATE: ____ / ____ / ____

14) NAME CODE: ____

15) I.D. CODE: ____

Interviewer

16) RACE ____

17) SEX ____

12) (49)

14) (50) (51) (52)

15) (53) (54) (55) (56) (57)

16) (58)

17) (59)

CONTINUED

3 OF 4

INTRODUCTION

My name is _____ from the New York State Division of Probation Research and Evaluation Unit. We are doing some research on probation supervision and we have been interviewing people after they have seen their probation officer. We would like to ask you a few questions about some of the different topics you may have discussed with your probation officer. Your participation is voluntary and you are under no obligation to help us. Anything that you say to us will remain confidential and will not be passed on to the probation officer or to anyone else in the probation department. The interview should only take about 5 to 10 minutes. Do you have any questions?

1) What do you think is the major obstacle or area you need to improve in most, in order to complete your probation sentence successfully? _____

1) (1) (2)

2) What does your Probation Officer think is the major obstacle or area you need to improve in most, in order to complete your probation sentence successfully? _____

2) (3) (4)

3) Have you and your Probation Officer ever discussed (area identified by P.O.)?

____ (1) Yes

____ (2) No

____ (7) Other _____

3) (5)

4) Do you feel that (topic) is a major obstacle to successfully completing your probation sentence?

____ (1) Yes

____ (2) No

____ (7) Other _____

4) (6)

5) What message or idea has your Probation Officer tried to get across to you so far concerning this topic? IF NO MESSAGE:

Ask, "Why have you discussed this topic?" _____

5) (7) (8) (9)

6) How much time do you and your Probation Officer spend talking about this topic? Would you say you spend:

____ (1) More time than other subjects

____ (2) About the same amount of time as other subjects

____ (3) Less time than other subjects

____ (7) Other _____

6) (10)

7) Did your Probation Officer ever ask/tell you to do something about this topic? (Probe: What does (s)he expect/has expected you to do?)

____ (1) Yes

____ (2) No (skip to 11)

____ (7) Other _____

7) (11)

8) What did (s)he tell you to do? (Include all future expectations) _____

9) Did you agree to do what (s)he told you to do?

____ (1) Yes

____ (2) No

____ (7) Other _____

10) Is your Probation Officer satisfied, so far, with your progress in doing what (s)he asked?

____ (1) Yes

____ (2) No

____ (7) Other _____

8) (12) (13) (14) (15)

(16) (17)

9) (18)

10) (19)

11) Was anyone besides your Probation Officer ever involved in talking about this topic?

(1) Yes

(2) No

LIST ALL OTHERS: _____

12) How important is this matter to you personally? Would you say it is:

(1) Very important

(2) About the same importance as other matters

(3) Not very important

13) How much time did you spend with your Probation Officer today? (Indicate the correct time in the appropriate category)

(1) Less than 15 minutes

(2) 15 to 30 minutes

(3) 31 to 45 minutes

(4) 46 to 60 minutes

(5) More than 60 minutes

11) / / /

 / / / /

12)

13)

14) I'm going to read four short statements to you. I would like you to listen to them all and then tell me which of the four statements describes your Probation Officer best. (Repeat as necessary)

1. His/Her 1st concern is to make sure that I don't cause the community any more inconvenience, money or harm. (S)He tries to encourage the right habits and is firm but fair.
2. His/Her 1st concern is to provide an understanding and supportive atmosphere so I can develop insight into my attitudes. He feels that correct habits can only be learned after attitudes have changed.
3. His/Her 1st concern is that the rules and regulations of the probation department are carried out efficiently. (S)He doesn't try to change me because (s)he feels I will only change if I want to.
4. His/Her 1st concern is to intervene in my life as well as in the community. (S)He encourages me to stabilize the ties with my family and with appropriate community agencies, by demonstrating how some of my behaviors may prevent me from reaching mutually planned goals.

a) _____ Most characteristic

14 a) _____
(29)

15) Ask the probationer if any of the following topics were discussed today? Check all topics discussed.

TOPICS

- 1) ___ Employment / Job training
- 2) ___ School (other than vocational)
- 3) ___ Financial Problems
- 4) ___ Drinking
- 5) ___ Drugs
- 6) ___ Family Problems
- 7) ___ Police Problems
- 8) ___ Emotional Problems
- 9) ___ Any other Probation Problems (specify all) _____

- 10) ___ Any other Personal Problems (specify all) _____

- 11) ___ Any topics not already mentioned (specify all) _____

15) / /
(31) (32) (33) (34)
 / /
(35) (36) (37) (38)

(39) (40)

16) DATE: ___ / ___ / ___

17) NAME CODE: ___

18) I.D. CODE: ___

Interviewer

19) RACE _____

20) SEX _____

17) (41) (42) (43)

18) (44) (45) (46) (47) (48)

19) (49)

20) (50)



NEW YORK STATE DIVISION OF PROBATION
INTENSIVE SUPERVISION EVALUATION

N.I.C. INTERVIEW CODEBOOK

<u>Column</u>	<u>Variable Name</u>
1,2	PROB
Probationer I.D. Number	

<u>Column</u>	<u>Variable Name</u>
3,4	AREA2
What do you think is the major obstacle or area you need to improve in most, in order to complete your probation sentence successfully?	
00 None	08 Attitude
01 Alcohol	09 Maturity/Responsibility
02 Drugs	10 Undefined Psych. Issues
03 Employment	11 Negative Associations
04 Job Training	12 General Expectations of P.O.
05 Education	13 Other
06 Restitution	14 Getting Off Probation
07 Financial Problems/Management	99 No Response/Missing

<u>Column</u>	<u>Variable Name</u>
5,6	AREA3
What does your Probation Officer think is the major obstacle or area you need to improve in most, in order to complete your probation sentence successfully?	
00 None	08 Attitude
01 Alcohol	09 Maturity/Responsibility
02 Drugs	10 Undefined Psych. Issues
03 Employment	11 Negative Associations
04 Job Training	12 General Expectations of P.O.
05 Education	13 Other
06 Restitution	14 Getting Off Probation
07 Financial Problems/Management	99 No Response/Missing

<u>Column</u>	<u>Variable Name</u>
7	TALK2
Have you and your Probation Officer ever discussed <u>(area identified by P.O.)?</u>	
1 Yes	
2 No	
7 Other	
9 Missing	

<u>Column</u>	<u>Variable Name</u>
8	AGREE

Do you feel that (area identified by P.O.) is a major obstacle to successfully completing your probation sentence?

- 1 Yes
- 2 No
- 7 Other
- 9 Missing

<u>Column</u>	<u>Variable Name</u>
9	CONVERG

This variable is a measure of the convergence between the message given by the probation officer and the message received by the probationer. See Appendix A for the exact interview questions and the scoring procedure.

- 0 No Convergence
- 1 Some Convergence
- 2 High Convergence
- 9 Unscorable/Missing

<u>Column</u>	<u>Variable Name</u>
10	TIME

How much time do you and your probation officer spend talking about this topic (area identified by P.O.)? Would you say you spend:

- 1 More time than other subjects
- 2 About the same amount of time as other subjects
- 3 Less time than other subjects
- 7 Other
- 9 Missing

<u>Column</u>	<u>Variable Name</u>
11	EXPECT2

Did your probation officer ever ask/tell you to do something about this topic? (Probe: What does (s)he expect/has expected you to do?)

- 1 Yes
- 2 No
- 7 Other
- 9 Missing

<u>Column</u>	<u>Variable Name</u>
12	EXPECT

This variable is a measure of the agreement between the probation officer's expectations concerning the major obstacle and the probationer's perception of the probation officer's expectations. See Appendix B for the exact interview questions and the scoring procedure.

- 0 No Agreement
- 1 Some Agreement
- 2 High Agreement
- 9 Unscorable/Missing

<u>Column</u>	<u>Variable Name</u>
13	TASK2

Did you agree to do what (s)he told you to do? :

- 1 Yes
- 2 No
- 7 Other
- 9 Missing/No Expectations

<u>Column</u>	<u>Variable Name</u>
14	SATIS2

Is your probation officer satisfied, so far, with your progress in doing what (s)he asked?

- 1 Yes
- 2 No
- 7 Other
- 9 Missing/No Expectations

<u>Column</u>	<u>Variable Name</u>
15	OTHERS1
16	OTHERS2
17	OTHERS3

Was anyone besides your probation officer ever involved in talking about this topic?

- | | |
|----------------------------|--------------------------|
| 0 None | 5 Criminal Justice Agent |
| 1 Professional | 6 Employer |
| 2 Family Members/Relatives | 7 Other |
| 3 Friends | 9 Missing |
| 4 Spouse/Paramour | |

Column Variable Name

18 IMPORT

How important is this matter to you personally? Would you say it is:

- 1 Very Important
- 2 About the same importance as other matters
- 3 Not Very Important
- 9 Missing

Column Variable Name

19 TIME2

How much time did you spend with your probation officer today?

- 1 Less than 15 minutes
- 2 15 to 30 minutes
- 3 31 to 45 minutes
- 4 46 to 60 minutes
- 5 more than 60 minutes
- 9 Missing

Column Variable Name

20 ROLE2

I'm going to read four short statements to you. I would like you to listen to them all and then tell me which of the four statements describes your probation officer best. (Repeat as necessary)

- 1 His/Her 1st concern is to make sure that I don't cause the community any more inconvenience, money or harm. (S)he tries to encourage the right habits and is firm but fair.
- 2 His/Her 1st concern is to provide an understanding and supportive atmosphere so I can develop insight into my attitudes. He feels that correct habits can only be learned after attitudes have changed.
- 3 His/Her 1st concern is that the rules and regulations of the probation department are carried out efficiently. (S)He doesn't try to change me because (s)he feels I will only change if I want to.
- 4 His/Her 1st concern is to intervene in my life as well as in the community. (S)He encourages me to stabilize the ties with my family and with appropriate community agencies, by demonstrating how some of my behaviors may prevent me from reaching mutually planned goals.

9 Missing

Column Variable Name

21,22 COUNTY

County Code * (values match ISP County Codes)

- | | |
|---------------|----------------|
| 01 Albany | 13 Ontario |
| 02 Broome | 14 Orange |
| 03 Chautauqua | 15 Oswego |
| 04 Chemung | 16 Rensselaer |
| 05 Dutchess | 17 Rockland |
| 06 Erie | 18 Schenectady |
| 07 Jefferson | 19 Steuben |
| 08 Kings | 20 Suffolk |
| 09 Monroe | 21 Ulster |
| 10 Nassau | 22 Westchester |
| 11 Oneida | 99 Missing |
| 12 Onondaga | |

Column Variable Name

23 SEX2

Sex of probationer

- 0 Female
- 1 Male
- 9 Missing

Column Variable Name

24 RACE2

Race of probationer

- 0 White
- 1 Black
- 2 Hispanic
- 3 Other
- 9 Missing

Column Variable Name

25,26 TOTAL

Probationer's Risk Score

Column Variable Name

28,29 PO
Probation officer I.D. Number

Column Variable Name

30 OBNEED
Does (area identified by P.O.) match a need from the ISP Needs Assessment?

0 No Match
1 Area Matches #1 ranked NEED
2 Area Matches #2 ranked NEED
3 Area Matches a NEED ranked 3-10
9 Missing Needs Assessment

Column Variable Name

31 OBGOAL
Number of goals written to (area identified by P.O.) on the Initial Supervision Plan.

Column Variable Name

32 GOALS
Total number of goals written on the Initial Supervision Plan.

Column Variable Name

33 OBOBJ
Number of objectives written to (area identified by P.O.) on the Initial Supervision Plan.

Column Variable Name

34 OBJECTS
Total number of goals written on the Initial Supervision Plan.

Column Variable Name

35 ACTIV
Does "Probationer's Activities Verified" section of the Monthly Activity Report, completed for the time period including this interview, include a direct reference to (area identified by P.O.)?

0 No
1 Yes
9 Missing

Column Variable Name

36 SPECPRB
Does "Special Problems" section of the Monthly Activity Report, completed for the time period including this interview, include a direct reference to (area identified by P.O.)?

0 No
1 Yes
9 Missing

Column Variable Name

37 PROGRESS
Does "Progress Towards Quarterly Objectives" section of the Monthly Activity Report, completed for the time period including this interview, include a direct reference to (area identified by P.O.)?

0 No
1 Yes
9 Missing

Column Variable Name

38 CONTENT
This variable is an index to measure the extent to which the case record includes information derived from or directed to the (area identified by P.O.) The index includes variables ACTIV, SPECPRB, PROGRESS.

0 No Case Record Content
1 Low Case Record Content
2 Medium Case Record Content
3 High Case Record Content
9 Missing

Column Variable Name

39 MONTH

Number of months on probation when outcome information was gathered.

- 0 Failed before Interview
- 1 Outcome after Interview and before end of 6th month
- 2 Outcome in 7th month
- 3 Outcome in 8th month
- 4 Outcome in 9th month
- 5 Outcome in 10th month
- 6 Outcome in 11th month
- 7 Outcome in 12th month
- 9 No Outcome Information

Column Variable Name

40 OUTCOME

Outcome of supervision.

- 0 Success
- 1 Sentence Revocation
- 2 Unsatisfactory Discharge
- 3 New Conviction
- 4 Absconder
- 9 Missing

Column Variable Name

41,42,43,44 FCHG

Failure charge code. See Appendix C for complete list.

Column Variable Name

45,46 FSENT

Sentence type and length. See Appendix ^D for complete list.

Column Variable Name

47 TRANSFER

Category of transfer or early discharge information, if any.

- 0 Still in ISP in Outcome month or failed in ISP
- 1 Transferred to regular supervision before 6 months
- 2 Transferred to regular supervision during 6th month
- 3 Transferred to regular supervision during 7th month
- 4 Transferred to regular supervision during 8th month
- 5 Transferred to regular supervision during 9th month
- 6 Transferred to regular supervision during 10th month
- 7 Transferred to regular supervision during 11th month
- 8 Transferred to regular supervision during 12th month
- 9 Success and early discharge before 12th month.

Column Variable Name

49, 50 AREAL

Concerning this probationer, what area or problem do you feel is the major obstacle to his/her being a success on probation? (If P.O. says there is no specific problem, probe with: "What is it about him/her that you would think is an obstacle to being a success on probation?")

- | | |
|----------------------------------|---------------------------------|
| 00 None | 08 Attitude |
| 01 Alcohol | 09 Maturity/Responsibility |
| 02 Drugs | 10 Undefined Psych. Issues |
| 03 Employment | 11 Negative Associations |
| 04 Job Training | 12 General Expectations of P.O. |
| 05 Education | 13 Other |
| 06 Restitution | 14 Getting Off Probation |
| 07 Financial Problems/Management | 99 No Response/Missing |

Column Variable Name

51 PRAGMT

Has your probationer indicated to you by his/her actions or conversation that (s)he also feels this problem area is the major obstacle to his/her success?

- 1 Yes
- 2 No
- 7 Other
- 9 Missing

Column Variable Name

52 STYLE

Category of Probation Officer's general approach or style in supervising this probationer. See Appendix E for a complete explanation of the derivation of these categories.

- 1 Refers to Outside Resource
- 2 Non-Directive Probation Officer
- 3 Positive Directive Probation Officer
- 4 Negative Directive Probation Officer
- 9 Missing

Column Variable Name

53 GOTMESS

Do you think the probation understood this message as you intended it? (Refers to the probation officers message used to assess variable CONVERG, column 9.)

- 1 Yes
- 2 No
- 7 Other
- 9 Missing

Column Variable Name

54 TASK 1

Did your probationer agree to do the tasks or actions you've required?

- 1 Yes
- 2 No
- 7 Other
- 9 Missing

Column Variable Name

55 SATIS1

Are you satisfied, so far, with the probationer's progress in meeting your expectations in this problem area?

- 1 Yes
- 2 No
- 7 Other
- 9 Missing

Column Variable Name

56 OTHERSA
57 OTHERSB
58 OTHERSC

Was anyone besides your probationer involved in talking about this problem/area/obstacle?

- | | |
|----------------------------|--------------------------|
| 0 None | 5 Criminal Justice Agent |
| 1 Professional | 6 Employer |
| 2 Family Members/Relatives | 7 Other |
| 3 Friends | 9 Missing |
| 4 Spouse/Paramour | |

Column Variable Name

59 ROLE1

Which of the following four statements best describes your philosophy in interacting with the probationer whom you just saw?

- 1 My 1st concern is to insure that the probationer does not cause the community any more inconvenience, money or harm. I try to encourage the right habits and be firm but fair.
- 2 My 1st concern is to provide an understanding and supportive atmosphere so the probationer can develop insight into his attitudes. Correct habits can only be learned after attitudes have changed.
- 3 My 1st concern is that the rules and regulations of the department are carried out efficiently. I don't try actively to change the probationer because people change only if they want to.
- 4 My 1st concern is to try to intervene in both the community as well as in the life of the probationer. I try to encourage the probationer to stabilize ties with family and appropriate community agencies by demonstrating how some behaviors may be ineffective in reaching mutually planned goals.
- 9 Missing

Column Variable Name

60 TIME1

How much time did you spend with your probationer today?

- 1 Less than 15 minutes
- 2 15 to 30 minutes
- 3 31 to 45 minutes
- 4 46 to 60 minutes
- 5 More than 60 minutes
- 9 Missing

Column Variable Name

61 SEX1

Sex of Probation Officer

- 0 Female
- 1 Male

Column Variable Name

62 RACE1

Race of Probation Officer

- 0 White
- 1 Black
- 2 Hispanic
- 3 Other

Column Variable Name

63, 64	REINT
65, 66	REHAB
67, 68	REFORM
69, 70	RESTR

Total score for each Probation Officer for each area in the O'Leary Correctional Policy Inventory.

APPENDIX A

CONVERG

Column

Variable Name

9

CONVERG

The two questions listed below were the basis of scoring the level of convergence between the message said to be given by the Probation Office to a particular probationer about a specific problem area, and the probationer's stated perception of what that specific message was.

Probation Officer

- a. What message have you tried to convey or get across to this probationer, so far, concerning this obstacle?
- b. If NO MESSAGE: How have your previous meetings with this probationer helped him/her overcome this obstacle?

Probationer

- a. What message or idea has your Probation Officer tried to get across to you so far concerning this topic?
- b. If NO MESSAGE: Why have you discussed this topic?

Copies of the recorded answers by both the Probation Officer and the probationer were distributed to six members of the Division of Probation's Research and Evaluation Staff. Three members were actively working on the N.I.C. Evaluation Grant, two members were assigned to other projects at the time they completed the scoring, and the sixth member was the Chief of Research and Evaluation.

Besides the recorded answers, each member was given the following instructions for assessing the level of convergence between the answers:

Compare the answers on the probationer's interview to the answers on the Probation Officer's interview. Assess the level of convergence between the two messages.

- 0 No Convergence
- 1 Some Convergence
- 2 Excellent Convergence

Each of the case scores were then examined to determine inter-scorer agreement. If the scores of at least four scores were identical, the variable CONVERG was assigned that value for that particular case. If at least four of the scores agreed there was either some convergence or excellent convergence (i.e. at least some convergence) the case was given a value of 1, the lowest score indicating some convergence. Four cases had to be scored as 9 (unscorable/missing). One of these probationer interviews was terminated prior to the question. The other three were scored as having no convergence by three raters, and at least some convergence by three raters.

The following is the distribution of the level of agreement among scorers:

<u>6 AGREED</u> n=21	<u>5 of 6 AGREED</u> n=23	<u>4 of 6 AGREED</u> n=17	<u>OTHER</u> n=13
		n=74	

APPENDIX B

EXPECT

Column

Variable Name

9

EXPECT

The two questions listed below were the basis of scoring the level of convergence between specific expectations or requirements said to be given by the Probation Officer to a particular probationer about a specific problem area, and the probationer's stated perception of what those specific expectations were.

Probation Officer

Since you originally assessed this problem/area, have you ever required or expected any specific tasks or actions from this probationer from which you could evaluate his/her progress or probation?

WHAT HAVE YOU REQUIRED?

Probationer

Did your Probation Officer ever ask/tell you to do something about (area identified by P.O.)?

What did (s)he tell you to do? (Include all future expectations).

The same procedure was followed with this scoring as in Appendix A. Copies of the answers were distributed to four scorers. Along with the recorded answers, each member was given the following instructions.

Compare the answers on the probationer's interview with the answers on the Probation Officer's interview. Assess the level of agreement between what the Probation Officer expected of the probationer and what the probationer said was expected of him/her.

Scoring

- 0 No Agreement
- 1 Some Agreement
- 2 High Agreement (includes those cases where both say nothing was required)

The process for assigning scores was similar to the process in Appendix A, If the scores of at least three scorers were identical, the variable EXPECT was assigned that value for that particular case. If at least three of the scorers agreed there was either some agreement or high agreement, the case was given a value of 1, the lowest score indicating some agreement. Three cases had to be scored as 9 (unscorable/missing). Two of these interviews were terminated early. The third interview was scored as having no agreement by two raters, and some agreement by the other two raters.

The following is the distribution of the level of agreement among scorers:

<u>4 AGREED</u>	<u>3 of 4 AGREED</u>	<u>OTHER</u>
n=48	n=24	n=1
	n=73	

APPENDIX C

FCHG

Charge codes are reproduced in APPENDIX A to
ATTACHMENT 4-Case Review Codebook

APPENDIX D

FSENT

Column

45, 46

Variable Name

FSENT

The following is the code for the sentence for a failure charge:

Column 45

- 0 Prison
- 1 Jail
- 2 Probation
- 3 Jail/Probation
- 4 Conditional Discharge
- 5 Unconditional Discharge
- 6 Fine
- 7 Restitution
- 8 Other
- 9 Unknown Sentence

Column 46

- Prison - max term = 0 thru 8 (years), 9 (9 or more years)
- Jail - max term = 0 thru 8 (months), 9 (9 or more months)
- Probation - max term =) thru 5 (years), 9 (Lifetime)
- Jail/Probation - total max term = 0 thru 5 (years)
- Conditional Discharge = 0 thru 9 (months)
- Fine/Restitution = 0 (\$100 or less), 1 (\$101 or more)

APPENDIX E

STYLE

Column

52

Variable Name

STYLE

The following question from the Probation Officer interview was the basis for determining the general approach, or "style" of the Probation Officer in responding to (area identified by P.O.) for a particular probationer.

Now would you characterize your general approach in trying to overcome this major obstacle?

The main problem in utilizing the answers from this type of question was in establishing meaningful categories of the content of open ended answers. The following narrative details the steps taken to reduce 75 open ended answers into meaningful categories of the approach utilized by the Probation Officers in the sample. Both full time N.I.C. Evaluation staff members reached joint decisions at each step.

Step 1

Each of the 75 responses were summarized into one word or a short group of words.

For example, one answer read; "Encouragement - No real forcing needed as probationer has been cooperative up to this point." We characterized the Probation Officer's general approach in this case as "Encouragement."

Step 2

Each of the summary characterizations were then combined into groups based on similarity. This yielded 15 major groups. In the example used in STEP 1, "encouragement" was combined with the following responses:

Encouragement
Encourage persistence
Encourage and reinforce
Positive reinforcement - directive
Reinforce progress
Strong encouragement/prodding
Encouragement
Supportive and encouraging

Step 3

In STEP 3, we examined the 15 major groups with the idea of trying to further collapse categories by establishing a series of dichotomies beginning with the most general and working towards

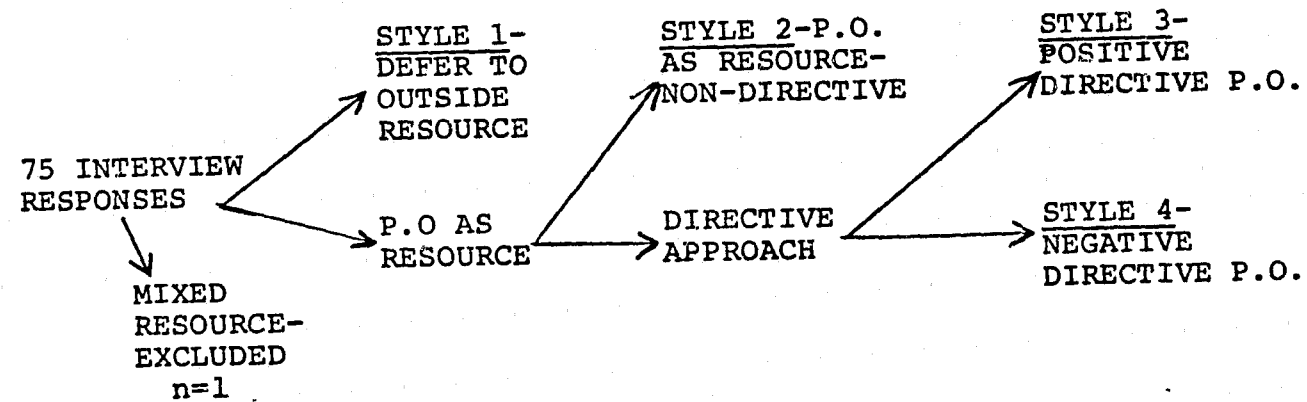
the most specific. We noticed that all but four groups indicated an approach reflecting the Probation Officer as the resource for the problem. The remaining four groups stated a preference to refer the probationer to a resource other than the Probation Officer as the general approach.

We then examined those groups in which the Probation Officer served as the resource and further dichotomized this category into directive/non-directive approaches. This dichotomy could not be utilized in the cases where a resource other than the Probation Officer was indicated for two reasons:

- 1) We didn't interview these "outside" resources to determine their approach.
- 2) Since there was only 4 groups, with 19 cases, falling in this category, we felt the analysis would be weakened by further dividing this limited number of cases.

This dichotomy also yielded a distribution containing all but four groups classified on "non-directive" contained 27 cases.

The final effort made in STEP 3 was to further dichotomize the "directive" groups into those which placed the major emphasis on "encouraging positive behavior," and those placing the major emphasis on "preventing negative behavior." In this manner, only one case had to be excluded from the analysis because it was unable to be placed in one of the four styles.



STYLE

- | | |
|--|--------|
| 1. P.O. defers to outside referral | n = 19 |
| 2. P.O. as resource - Non-directive approach | n = 27 |
| 3. Positive Directive P.O. | n = 18 |
| 4. Negative Directive P.O. | n = 10 |

ATTACHMENT 8

O'LEARY CORRECTIONAL POLICY INVENTORY

CORRECTIONAL POLICY INVENTORY

A survey of correctional philosophy and characteristic methods of dealing with offenders

by
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1. The chief obstacle for correctional systems to overcome in assisting most offenders to avoid further criminal behavior is:

- a. The existence of poor attitudes and values on their part which must be replaced by more positive ones.
- b. The availability of practical alternatives which the community is willing to provide and the offender's perception of those alternatives.
- c. The maintenance of the correctional system's program from which the offender can benefit if he desires.
- d. The presence of emotional problems within offenders which usually can be traced back to early defective relationships with parents.

Completely Characteristic : 10 : 9 : 8 : 7 : 6 : 5 : 4 : 3 : 2 : 1 : Completely Uncharacteristic

2. I feel that the best way to cause change in the behavior of an offender is to:

- a. Plan with him several alternative courses of action, let him choose the one that seems most sensible to him and help him test it.
- b. Assist him through a close personal relationship to mature so he can better cope with his problems.
- c. Stress the need for change as well as the rewards or penalties which will be imposed on him depending on his compliance.
- d. Stress the shortcomings in the offender's current behavior and depend on his own ability to deal with these problems.

Completely Characteristic : 10 : 9 : 8 : 7 : 6 : 5 : 4 : 3 : 2 : 1 : Completely Uncharacteristic

3. I believe a correctional institution should operate under the following philosophy:

- a. The institution should be a place which operates in an orderly fashion and processes offenders through established programs without disruption.
- b. The institution should be a place in which inmates are required to acquire acceptable behavior habits which will carry over on the outside once their sentences are completed.
- c. The institution should be a kind of hospital in which inmates can recover from their "sickness" through the development of insight into their personal problems.
- d. The institution should be a place in which there is a high degree of collaboration between inmates, staff and the community in running the institution and shaping its programs.

Completely Characteristic : 10 : 9 : 8 : 7 : 6 : 5 : 4 : 3 : 2 : 1 : Completely Uncharacteristic

4. Pre-release programs in correctional institutions are operated best under the principle that:

- a. Pre-release activities are the most important in institutional programs. An inmate needs to be encouraged to develop alternatives. Opportunities to test his practical plans for return should be given high priority.
- b. Pre-release programs should aim to reduce personal stress on the inmate as he returns to the community. They provide a chance to explore an inmate's feelings about life in the community and to develop a relationship with parole staff.
- c. Pre-release programs should be used as a reduction in custody to reward the inmate for his conduct. Other inmates will be encouraged thereby to cooperate and observe institutional regulations.
- d. Pre-release programs should be used to reinforce changes which have taken place within the inmate by giving him special privileges. Community representatives should meet with inmates to instruct them on ways of succeeding after release.

Completely Characteristic : : : : : : : : : : Completely Uncharacteristic
10 9 8 7 6 5 4 3 2 1

5. I believe that the best way for a parole board to function is:

- a. The ideal parole board should be modeled closely on that of a clinical review team in a hospital. There should be professionals on the board who can judge the degree to which an inmate has developed insight into his problems.
- b. The board should monitor primarily the decisions of other persons through the application of jointly developed and widely known policies. The stress should be on getting inmates into the community as soon as possible.
- c. The board task is to administer a fair program of clemency. It should release inmates when they have done enough time to pay for their offense and have shown by their behavior that they have reformed.
- d. The board should protect its discretion and resist efforts to require it to state the specific reasons for its decisions. It should respond to community desires and to the requirements of law enforcement, institutional and parole supervision agencies.

Completely Characteristic : : : : : : : : : : Completely Uncharacteristic
10 9 8 7 6 5 4 3 2 1

6. There are disputes over what legal rights a parolee should have; I believe that:

- a. The introduction of procedures such as the right to an attorney injects tension in what should be a harmonious relationship between staff and parolees. Such procedures are unnecessary legalisms which interfere with staff efforts to help offenders.
- b. Openness and a willingness to share power with offenders are basic to correctional change. Due process concerns support those types of efforts and promote a sense of justice and fairness.
- c. Once convicted an offender loses his rights. No parole system can operate with necessary efficiency if it must constantly face challenges to its decisions.
- d. Granting offenders rights such as counsel will result in their continual efforts to resist reform. They will expend their energy challenging requirements of parole rather than changing their behavior.

Completely Characteristic : : : : : : : : : : Completely Uncharacteristic
10 9 8 7 6 5 4 3 2 1

7. Among the skills an ideal probation staff should have the most important is:

- a. The skill to develop self-understanding and acceptance by probationers.
- b. The skill to establish and enforce probation regulations effectively.
- c. The skill to modify community institutions — like school, industry, welfare — to create alternatives for probationers.
- d. The skill to relate to the community and maintain its support of the probation system.

Completely Characteristic : : : : : : : : : : Completely Uncharacteristic
10 9 8 7 6 5 4 3 2 1

8. A correctional officer is often confronted by inmates who want to discuss the worth or fairness of institutional rules. The best course to follow in such a situation is:

- a. The officer should generally refrain from discussing institutional rules with inmates. He should stress that they have been fixed by official authorities and he has to report any violation.
- b. The officer should make clear his agreement with the behavior required of inmates. He should be concerned as being seen as firm but fair in the enforcement of the rules.
- c. The officer should encourage the inmate to see a counselor with whom he can express feelings about institutional rules. The officer should refrain from defending the rules but may listen patiently and give inmates a chance to express hostility.
- d. The officer should openly discuss the reasons for the rules with inmates. After discussion, the officer should indicate his willingness to attempt to change any rule which he and the inmates feel needs to be modified.

Completely Characteristic : : : : : : : : : : Completely Uncharacteristic
10 9 8 7 6 5 4 3 2 1

9. Citizen volunteers can be used best in a correctional institutional program by:

- a. Having them provide extra services and programs which will reduce inmate frustrations and thereby assist officials to run a smooth program.
- b. Asking them to help shape institutional policies and to organize groups and individuals in the community to create opportunities for inmates.
- c. Using them as representatives of the law-abiding community to serve as models for inmates and to help teach them proper attitudes and values.
- d. Having them help create and maintain an atmosphere of concern for inmates and thereby support the efforts of the therapists in the institution.

Completely Characteristic : : : : : : : : : : Completely Uncharacteristic
10 9 8 7 6 5 4 3 2 1

10. To what extent should parolees be used in correctional programs to change the behavior of other parolees?

- a. Offenders have a great potential for the developing of law-abiding behavior among other offenders. They should be used and given as many opportunities as possible.
- b. Changing most offenders requires considerable professional training. Offenders can help at times if the entire process is done under the guidance and participation of professional staff.
- c. Most offenders need to learn new attitudes. These are best taught by law-abiding citizens who already possess those attitudes.
- d. Offenders as employees pose some risk to a parole system. They should be used only after they have completed parole and fully met the requirements for employment in the agency.

Completely Characteristic : 10 : 9 : 8 : 7 : 6 : 5 : 4 : 3 : 2 : 1 : Completely Uncharacteristic

MODEL CORRECTIONAL POLICIES

In recent years, the effectiveness of correctional programs has been subject to increasing question. Arguments are waged over which correctional program is most effective. Rarely, however, do individuals spell out exactly what correctional program they are pursuing. The need to be clear about our policies is obvious — we can't tell how much better one system works than another if we are not clear about its goal. We must first have some way of classifying our policies to find out: 1) which policy we are following as compared to others and 2) how consistently we follow it. The Correctional Policy Inventory is designed to provide that needed method of classifying philosophy and practice. It is based on an adaptation of some concepts developed by Herbert Kelman.¹ When these ideas are applied to correction, it appears there are at least three major ideas about changing offenders.

Correctional Compliance

The correctional advocates of this kind of influence argue that their task is to induce law-abiding behavior by requiring the observance of community standards. Imposing rewards and punishment on behavior are the most effective ways of getting that observance. Offender attitudes as such are irrelevant, if an offender follows a behavior long enough he will develop the appropriate attitudes. The central problems under this influence style are: 1) the maintenance of surveillance over the offender; and 2) developing legally and socially acceptable reward and punishment techniques which will encompass a substantial portion of the offender's behavior.

Typically from this influence strategy, control is authoritarian. The agents and the organization as a whole impinge actively and directly on the action of the inmate. Concomitantly, the organization makes rather severe behavioral demands on staff. Agents and their superiors have demanding schedules to keep and a great deal of surveillance work to do.

¹Herbert Kelman, "Compliance, Identification and Internalization: Three Processes of Attitude Change," *Journal of Conflict Resolution*, Vol. 2 (1958) 51-60.

Punishment is active. Various rules have been set to govern a wide range of behavior and are to be followed rigidly. When a man does not conform he is punished; when he does, he is rewarded. Surveillance is active and like punishment occurs rather frequently. People are punished by the taking away of privileges and the exercise of more stringent control. Freedom is reduced to a degree suggested by the seriousness of the break in conformity. Punishment occurs not only for an ultimate failure in change — such as the commission of a new crime — but also for breaking regulations during the change process.

Correctional Identification

This type of influence strategy is manifested by programs which minimize the direct presentation of demands to observe community standards. The stress is on helping the offender to mature and to understand himself more fully, the assumption being that such changes within the individual will result in widespread and favorable changes in his behavior. Often there is great concern with early life experiences of the offender, the effects of which must be dealt with if core attitudes are to be influenced.

The primary instrument of change is the relationship of staff to the offender. In an extreme form, staff may attempt to avoid any reference to standards external to the relationship and depend on the goals of the offender to give exclusive direction to the relationship. This tactic has very limited usefulness in correctional settings although its techniques may be widely emulated. Most typically desired community values are transmitted through carefully nurtured relationship with staff or offender groups which they foster. The chief problems with this strategy are: 1) the extent of choice which is actually permitted the offender; and 2) the dependency on the relationship as the basis of maintaining desired behavior.

Under this style punishment is also active. However, it is masked by differences in presentation and time of use. Punishment will not necessarily follow a break in regulations; it is

mediated by an assessment of the changee's attitude. Typically, an agent may talk over a behavioral mistake with the changee; if his explanation is satisfactory and the offender appears still committed, he will probably receive another chance. Punishment will likely follow when the offender shows he does not care that he has deviated from the program. Above all, punishment is presented as part of the treatment or change program. During a counseling session, the agent may explain why restriction is necessary — that it is for the good of the offender. Punishments often may be very temporary and lack the finality they have in the compliance style.

Correctional Internalization

Agencies which stress this type of influence attempt to place emphasis on coping simultaneously with community standards and offender attitudes. A central concern is finding practical alternative pathways within the community by which the means to live successfully with its standards can be obtained. The offender makes choices among various options based on his prior experiences and new experiences provided to allow him a chance to test out the alternatives. The motivation for change arises from the offender's perception of new and viable behaviors open to him. Activities directed toward the community include not only creating better access to its social institutions, but developing within it a greater tolerance for the life styles represented by various groups of offenders. The chief dilemmas inherent in this strategy are: 1) the degree to which community change and tolerance can be reasonably expected; and 2) the readiness of offenders to engage in various degrees of alternative testing.

Under this approach, control is largely democratic. It is the belief that people will conform best to programs they are committed to. And commitment increases as everyone affected by the program or plan has a stake in its formulation. Control is shared and joint decisions are made. Control is not exercised from above, or *sub rosa*, but neither is it abdicated. Rather people, both offenders and staff, are controlled directly by the activity they are engaged in.

Although used infrequently, punishment does occur. Rules are few but explicit and are specifically linked to clear and important security measures and the observance of legal behavior. Typically, staff and offenders have clear opportunities to influence their shape and methods of enforcement. The fact that the offender is punished is used as part of the reality testing exercise. The problem is approached not as a following of rules or an acceptance of a particular set of societal values. Rather, staff and offenders decide what kinds of behavior would avoid the inconvenience and inefficiency of the present punishment. Additional punishment cannot be overlooked. But the whole organization from this position operates to clarify situations and alternative actions so that punishment is no longer inevitable.

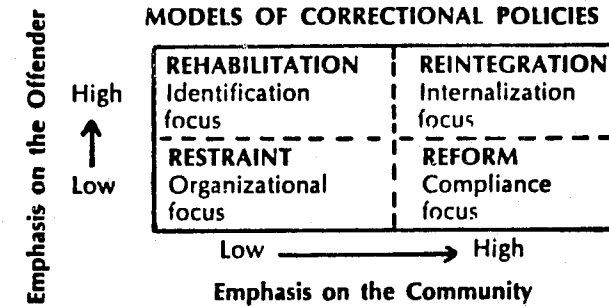
Models of Correctional Policies

Having linked processes aimed at influencing individuals to more generalized correctional concerns, it becomes possible to develop a system of classifying correctional organizations which might permit us to make explicit some of the assumptions under which various correctional systems seem to be operating. It should also help us forecast the staff and offender behaviors likely to be found in such organizations and their probable consequences.

A recently completed study of detention practices with respect to juvenile offenders concludes that the extent to which youths were detained reflected either a concern for commu-

nity protection or a concern for the protection of the youngster.² The balance between these concerns has been posed as a central dilemma for correction many times. It is the relative stress which is placed on these concerns which forms the basis upon which our classification of organizations is developed.

The classification system, called Models of Correctional Policies, is built by placing against each other the two dimensions: 1) emphasis on the community and 2) emphasis on the offender. By assuming a high and low on each dimension we derive four basic models³:



When we develop this kind of typology we are no longer considering individuals, but organizations. We are characterizing whole systems regardless of differences among individual workers. And obviously we oversimplify if we fail to recognize the myriad combinations of styles which can and actually do exist.

The Reform Model. This model, in the lower right corner, is characterized by maximal stress on community standards and low stress on the individual offender. The basic influence style is correctional compliance. It is the organizational duty to insure that the offender does not cause the community any more inconvenience, money or injury. More than that, the offender's conduct is expected to be more generally conforming; he should not only become more law-abiding, but a better husband, employee and citizen.

The Reform Model is based on behavior change or, perhaps more accurately, behavioral molding. Minimizing the stigma attached to a conviction is not a concern, but instead it may be used to control offenders. The prison situation is aimed at instilling right habits. Typically inmates are expected to follow a rigid and conforming routine on their own. In the same view, parole officer activity tends to be of the police-regulatory-investigatory type. An important goal in prison is the acquiring of a vocational skill which may require prescribed educational experiences. Recreation or counseling are secondary and are used to relieve the drudgery that work routine can become.

The staff, in this model, try to be "firm but fair." Staff are not required to be highly educated, except for needed specialists such as teachers, nor do they need to be specially skilled in behavioral or psychological disciplines. They must be good

²Don Gottfredson, *Measuring Attitudes toward Juvenile Detention*, New York: National Council on Crime and Delinquency, 1968.

³Glaser and Schrag used several of these terms in their descriptions of correctional eras. Daniel Glaser, "The Prospect for Corrections," paper prepared for the Arden House Conference on Manpower Needs in Corrections, mimeographed, 1964; Clarence Schrag, *Contemporary Corrections: An Analytical Model*, paper prepared for the President's Commission on Law Enforcement and Administration of Justice, mimeographed, 1966.

administrators — to plan their work and inmates' schedules. Under this model it is highly desirable that staff are dedicated to the ideals and values of the larger society.

Offenders have few rights in this system. They have privileges granted by the state in accordance with the success of their conforming behavior. These privileges are granted and taken away, however, in a unilateral and standardized fashion. The decision process by which some offenders take up one job and others another, or by which some are paroled and some are not, is a "low visibility" process. The staff has complete discretion and is not to be questioned or debated. Staff from this viewpoint oppose legal interference or the granting of rights to inmates. The adversary legal system dissipates the authority necessary for proper control and inmates may choose to fight legal battles rather than learn new habits.

Parole board members under this type are ideally representatives of the dominant values and attitudes in the community. They should be community leaders who can recognize correct behavior by inmates that is likely to result in permanent and steady employment. Above all, such men in reflecting the communities' perception of criminals can adequately assure that only those inmates who may be productive for society are returned prior to sentence expiration date.

Pre-release, work release, and other such programs are minimal in this kind of organization. Classes may be conducted in proper behavior for community living. But, in general, programs that reduce custody prior to release are discouraged because these programs reduce the control necessary for habit-changing. These programs and parole itself may be used as a clemency-granting device for inmates who have already demonstrated their ability to conform.

Rehabilitation Model. This correctional model, in the upper left corner, is characterized by a high stress on the individual offender and low stress on the community. Correctional identification is the basic influence style. With supportive control and punishment presented as therapy, the atmosphere sought under this model approaches that of a hospital. The "sick" label is substituted for the stigma of the criminal one. The language — of diagnosis and prognosis — and the entire image of criminality as a personal disability tend to be borrowed from the medical profession. Classification committees, for example, work on attitudes and only secondarily on habits or skills. An understanding and supportive atmosphere is designed to develop insight by inmates into their attitudes and foster relationships with staff. There is an emphasis on programs of self-expression or creativity on the part of the inmates.

Unless the need for trained persons drive them to locate near the sources of such staff, as in the Reform Model, prisons are remote, independent units although considerable effort is expended to give them a more benign cast. There, free from the contamination of societal pressures, skilled practitioners work with inmates in individualized programs. Parole officers are also, ideally, skilled counselors who meet with parolees at periodic interviews to discuss and solve their personal problems.

In this model, the therapist is the ideal staff figure. This model more than any other splits treatment and custodial staff, in the belief that therapy is the sphere of trained professionals. Custodial personnel are charged merely with maintaining a peaceful atmosphere and marshaling inmates between the active phases of programs. The parole officer, likewise, follows the ideology of psychotherapy and attempts to foster self-understanding and self-acceptance on the part of parolees.

As there is in the Reform Model, there is objection in the Rehabilitation Model to legal interventions. This model takes the view that the motivations of staff are beneficent and they should not be hampered in their rehabilitative work by the sophistry and the legal jargon of lawyers. The harmonious atmosphere necessary for therapeutic change is not compatible with the procedural rights given normal and healthy citizens. It is absurd, argues the therapist in this model, to contest in adversary fashion what is best for inmates. The legal argument for disclosure of records and decision rationale is particularly dangerous, since the therapist's knowledge should be privileged and his work unhampered by the pace and openness of legal communication.

The parole board in staffing and operations differs considerably from the Reform Model. In the rehabilitative system, parole board members ideally are professionals of the behavioral and medical disciplines who can accurately review an inmate's record and make decisions based on his progress on the treatment prescribed for him. Under this type of board, rules tend to be de-emphasized. In its ideal form, parole is prescribed for inmates healthy enough to return. Similarly, revocation will not follow immediately upon rule infraction, but when it is ordered it is often based on the inmate's need for further treatment.

Work release and pre-release take a different task under this model. Classes may be conducted in which the inmate is encouraged to explore his feelings about returning home or returning to the job routine. There is an emphasis on creating a healthy and helpful relationship between parole officer and inmate.

The Restraint Model. This correctional model, in the lower left hand corner, is characterized by minimal concern for the community and the individual. Because people change only if they want to, no member of the staff is actively trying to change anyone. This model merely accepts the people the court sends and tries to make the stay as comfortable as possible both for inmates and staff. Punishments are not given out in an attempt to change people, but only to control them or calm them down. The appearance of efficiency is important so that the organization will survive, not to change inmates but simply to survive and perhaps prosper.⁴

It is likely that this model also includes large and remote prisons, but it is possible that this model might also emerge in a community-oriented department. In either case, it is likely that this model is the result of the failure of another model or the product of a two model clash that ends in stalemate. It is the philosophy of this model that the only possible achievement is "keeping the lid on," and a "good front." Both staff and inmates are "serving their own time."

The staff in this model observe and control inmates. Any punishment that must take place, or any changes in routine that must occur, may be presented with the explanation that "someone above ordered it," "the Department wants it," or "those are the rules." A high degree of education for staff is not required unless it is in technical skills necessary for high production. Individual staff members are expected to do their own jobs and neither depend on nor demand too much from others, except as such demands may be related to institutional output or appearance. The parole officer, like the prison

⁴The model can be best seen against the background of a third dimension—activity. Some restraint organizations, low in activity, are thought to be efficient if they provide secure custody with minimum cost. Others may be high in activity and measure themselves against such criteria as their industrial production or farming output. In neither case is the stress on the community or the offender except as they may affect the organization.

worker, is an observer with regard to change. He recommends revocation only when necessary or to keep "heat off the agency."

Due process and other legal considerations are again discouraged, because the characteristics of the adversary process do not lend themselves to a smooth, orderly routine. Furthermore, the larger the number of challenged decisions or lawyer-included hearings, the greater the book work and demand for explanations.

The parole board in this model responds greatly to public opinion. No inmate should be paroled whom the public disfavors and no parolee should escape revocation who is making his presence felt in the community. The board is highly concerned with the maintenance of the system, but most of all in "protecting" its members against criticism.

Pre-release programs may be used to keep the inmates quiet, but work release is too disruptive to be valuable. In this model effectiveness of administration is equated with smoothness of operation.

The Reintegration Model. This correctional model, in the upper right corner, is characterized by high stress on both the offender and the community. Correctional internalization is the influence style. Unlike the Reform Model, the inmate isn't told what to do, but he works with a range of alternatives. Unlike the Rehabilitation Model, the inmate's feelings in relationship to staff is not the central concern, but feelings are examined rationally for their effect on situations and for situational effects on them. Short term use may be made of compliant or relationship influence processes to enable offenders to deal better with reality, but the major stress is on molding the community and on an internalization process in which mistakes in the programs are corrected by a demonstration of their ineffectiveness in reaching mutually planned goals.²

There is, within this model, major concern with reducing the stigma attached to criminality because that stigma is a block to entrance to the community. Stress on the community does not mean simply a stress on maintaining it and its values but on promoting changes as well within its institutional structure to provide opportunities for offenders and reduce systematic discrimination because of economic or cultural variances.

Confinement is specific and used as little as possible. The preferred treatment is community supervision. Those institutions in use are, ideally, close to the community of return. Parole officers are located in the neighborhoods where parolees live and work. They try to intervene in the community as well as in the life of the parolee. All agents are involved with the various community institutions, businesses, churches

²Under any of the models, similar differential responses toward individual offenders can be described. For example, Reform Model behaviors can range from an intimate, paternalistic style to the detached martinet. The Rehabilitation Model can include many typologies which require different behavior on the part of treaters but which finally always center on a defect within the offender.

and schools. The parole officer is the parolee's advocate as well as his counselor and mediator.

There is no "ideal" staff member in this model. All staff members are valued for change skills they can bring to the team effort. There is emphasis on teamwork. Custodial staff is expected to participate as actively in the task of change as professional staff. Moreover, the distinctions between "professional" and "custodial" are blurred, while volunteer and community workers are sought.

Due process notions do not seem to be as incompatible with the task of correctional change. Inmates and staff develop programs conjointly and openness and confrontation are encouraged. There is no immediate apparent reason why legal power should not also be shared, or why programs should not be contested in an adversary format.

The parole board members in this model have no ideal background. They act as reviewers of programs involving many other persons and as an appellate body studying the decisions of institution and community-based staff. Revocation is used as a last resort. Policies are clearly spelled out and regulations are clear and few in number. Parole rules are worked out among the parole officer, the institution, the board, and the inmates.

Pre-release and work release programs are near the core of the reintegration program. The attempt is made to minimize all breaks with the community and to keep lines of communication open. The community itself is the center of treatment and the institution, when used, is located in the community of release.

Summary

While four kinds of correctional policies have been described as being independent of each other, in the world of correction many systems have all four policies operating to a greater or lesser degree, at the same time. And probably it is just as well that correctional practitioners are able to employ each of the policies at different times and under various circumstances. Some restraint concern is likely necessary for the operation of a correctional system. Some offenders may respond best for a time to a reformist stance and others may require a rehabilitative response. Ultimately, however, all offenders must face the task of living in the community and reintegration is the policy which most directly faces this issue.

In order to provide normative data with which to compare the emphasis the individuals who complete the inventory place on each of the correctional philosophies in particular situations, hundreds of correctional managers from all parts of the United States representing all phases of correctional activity — probation, prisons, juvenile training schools, parole — were asked to complete the Correctional Policy Inventory. On the next pages you may summarize your score on the Correctional Policy Inventory and compare your score against the actual scores of the national sample of correctional managers.

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