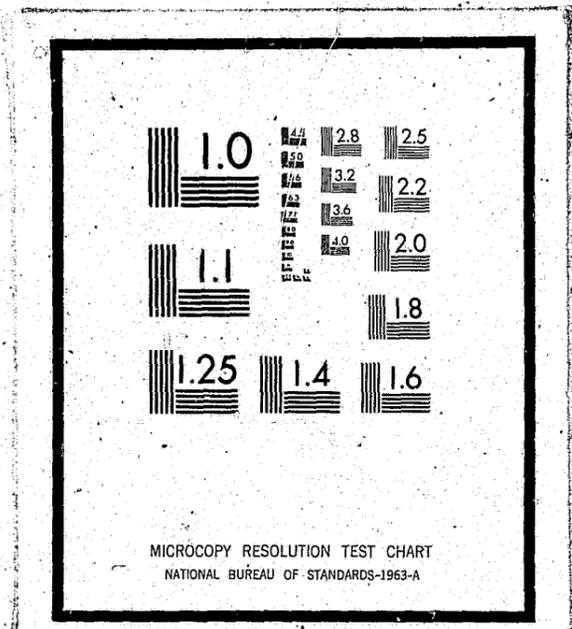


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Date filmed 10/1/75

PROJECT INTERCEPT -

Five-Month Interim Evaluation-of-

PROJECT-INTERCEPT

for

Alameda County

by

Office of Criminal Justice Planning
Alameda Regional Criminal Justice Planning Board
100 Webster Street, Suite 104
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April 1, 1974

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I INTRODUCTION

I INTRODUCTION

Project Intercept is a pre-trial diversion project currently enrolling over 200 participants annually. The project began operating in 1970 in Southern Alameda County, and in January 1974 it opened a North County office in Oakland. The program seeks to provide an alternative to normal judicial processing for first offenders by providing counseling and manpower services. Intervention occurs prior to the beginning of a trial (after arraignment, but before any plea is entered) for any first-offender found eligible and acceptable to all parties concerned.

The program was established in response to the problem addressed by other pre-trial diversion projects, that of avoiding negative experiences for first offenders as they are processed through the criminal justice system. From its inception as a locally funded project serving the San Leandro-Hayward Municipal Court, it has expanded operations to all the Municipal Courts in the County (except Alameda Municipal Court) and is currently being funded from three sources. Since March 1971 it has been wholly or partially funded by the Manpower Administration of the U.S. Department of Labor. Other funding consists of \$100,000 in Federal Revenue Sharing Grants through the County beginning September 1, and a grant from the Office of Criminal Justice Planning for \$50,000 commencing in May 1974. In addition, the State has allocated Federal funds for vocational training through the Manpower Development Training Administration.

In July 1973 the U.S. Department of Labor concluded an exhaustive cluster evaluation of the nine Pre-Trial Intervention Programs funded by its Manpower Administration.¹ This evaluation spanned a twenty-month period beginning November 1971 and includes complete statistical details on client characteristics, nature of offenses and comparative performance indices of the projects regarding: (1) recidivistic behavior; (2) completion status and court disposition; (3) job placements, job referrals, and educational/vocational training placements. The Manpower Area Planning Council utilized that evaluation in submitting a 1974 funding recommendation for Project Intercept to the U.S. Department of Labor, which resulted in an allocation of \$239,896, including funds for vocational training. These funds were received by the Project beginning December 1, 1973.

¹"Pre-Trial Intervention, A Program Evaluation of Nine Manpower-based Pre-Trial Intervention Projects under the Manpower Administration, U.S. Department of Labor." Abt Associates, Cambridge, Mass., July 1973.

In December 1973 the County of Alameda contracted with the Regional Criminal Justice Planning Board to conduct an evaluation of those components of Project Intercept which would be receiving Revenue Sharing funds. It was agreed that such evaluation would: (1) determine if contracted services were being performed; (2) analyze the findings of a limited sampling of pertinent records with the goal of evaluating to what extent project goals are achieved; (3) recommend any improvements in effectiveness of program operations and modify evaluation methods as needed; and (4) advise the County Administrator of any unusual conditions which might cause operational problems to the project.

This interim report, covering the period from August 15, 1973 to the present, therefore fulfills the obligation to perform Task 1 as agreed to in the proposal (The Evaluation of Four Revenue Sharing Projects). While the Report provides a summary of performance for this period and elaborates on the process of service delivery to participants, it also attempts to focus on problems that have arisen since the opening of the North County facility.

II CONTRACTED SERVICES

II CONTRACTED SERVICES

The County of Alameda has contracted with Project Intercept to provide services to economically disadvantaged first offenders to help them return to their communities and avoid reentry into the criminal justice system. The major emphasis of the program is rehabilitation through counseling, manpower training, and subsequent employment. The assumption is that persons with little or no income resort to criminal activity as a result of economic conditions. Either they are financially in need, possibly supported by public assistance, or they cannot find a job which provides adequate financial support. The causes of unemployment usually lie in lack of education or inadequate job skills. In some cases, language is a barrier to employment. And in other cases, youths with little or no education, training, or job experience may feel disenfranchised and alienated from the community.

Project Intercept approaches these problems through multi-level treatment. Counseling, both individual and group sessions, provides participants an opportunity to articulate their problems and needs, and go through the process of self-discovery. Treatment also includes attention to other needs, such as physical health and social services (child care, family services, etc.). The participant is made aware of the consequences of criminal behavior and the necessity for self-reliance. Finally, the project refers participants to opportunities for jobs, training, or education so that they will have the skills to become economically self-sufficient.

Although the core of the program is in Hayward, the program has recently expanded countywide, with a satellite office recently opened in Oakland. The delivery of services to participants is geographically oriented: participants enrolled in North County courts see counselors in Oakland, and those enrolled from South County courts are seen in Hayward.

A. Referral Services

Clients eligible for coverage under revenue sharing funds must be approved by the judge presiding over the arraignment calendar. These placements are termed formal participants, and the program is reimbursed on a fixed fee-for-service basis for services rendered to these participants. The majority of these referrals come from the Public Defenders and District

Attorneys, and their eligibility as formal participants is verified by the liaison officer. The verification process will be outlined in the next section. Other participants, referred by the Probation or Parole Departments, or HRD, are ineligible for formal enrollment, and are termed informal participants. The project does not receive revenue-sharing funds for these participants.

B. Eligibility Criteria

The criteria for enrollment are:

1. Age: 18 to 45
2. Unemployed or underemployed or job in jeopardy as a result of arrest
3. One or more of the following:
 - a. High School drop-out or increasing absenteeism
 - b. Indigent or poverty circumstances
 - c. Recipient of public assistance (Unemployment Insurance or Welfare)
 - d. Physical handicap which adversely affects employability
 - e. Minority, socioeconomic handicap, lack of marketable skills, or negative family circumstances
4. Legal eligibility requirements reporting arrest categories have been established in conjunction with the District Attorney of Alameda County. All persons charged with misdemeanor crimes appearing in Municipal Courts for arraignment will, with the approval of the Court, be eligible for pre-trial diversion into Project Intercept prior to entry of any plea, with the exceptions and special conditions as outlined in Sections A and C of Exhibit "B" of the contract between the County of Alameda and Project Intercept, Inc.

Since the initiation of the project, the scope of these requirements has expanded, permitting greater flexibility within the categories of arrest charges (the project now enrolls select felons), previous arrest records, previous convictions, probation/parole status, and alcoholism. Any further expansion of criteria must be negotiated with the District Attorney of Alameda County, both for contractual purposes and courtroom policy for Deputy District Attorneys.

C. Screening and Enrollment

Once a participant is referred to the project, a screening interview takes place. Each counselor is assigned exclusively to one court, and the entire caseload for the counselor will come from the assigned court. Counselors in the courts have, in advance, copies of the arraignments to be heard on a given day, and they are prepared to interview offenders when the case comes before the judge. This interview either takes place prior to the entrance of any plea, at the project office or sometimes outside the courtroom. At this time, the appropriate forms are completed, and relevant information is recorded. This initial interview determines if the defendant satisfies the preliminary eligibility criteria. If so, the judge then grants a 10-day continuance for final screening.

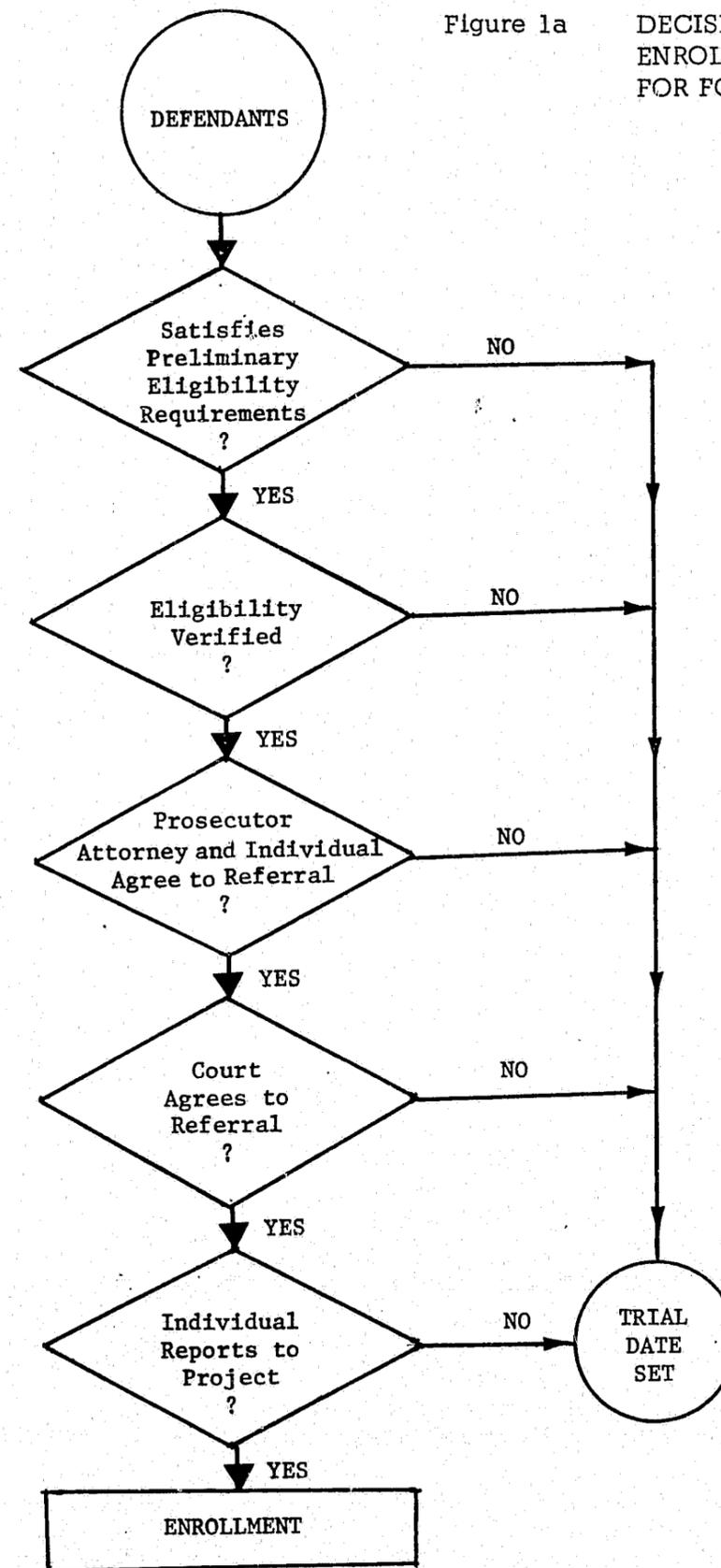
During the 10-day continuance, the project's Screening Committee composed of the Director, Assistant Director and Senior Counselor verifies the eligibility of the defendant. If eligible, the counselor returns to court after 10 days with a letter of acceptance, detailing the specific services to be provided to the participant. If the defendant, prosecutor, defense counsel, and the judge agree to the referral, the defendant's case is continued for a 90-day period wherein the defendant is referred to the project. (See Figure 1a.)

If the defendant is found ineligible, or if the judge or district attorney objects to the referral, the defendant returns to court, and a date is set for plea.

D. Intake/Orientation

Participants accepted to the project generally are given a 30-day probationary period, after which the counselor assigned

Figure 1a
DECISION POINTS IN
ENROLLMENT PROCESS
FOR FORMAL PARTICIPANTS



to the participant (usually the same counselor assigned to the court from which the participant was referred) submits a progress report to the judge. If the counselor can recommend to the Project Director that the participant be terminated from the program, the court is notified immediately. Orientation involves:

1. An introduction to project philosophy and services, with an attempt to develop an interest and commitment to both individual and program goals
2. In-depth interviewing to determine the problems and needs of the participant, with particular emphasis on the economic and family situations of the participant
3. Assessment and development of a service plan, including scheduling of individual and group counseling sessions, referrals to HRD for testing, referrals to other social and health agencies to meet particularly pressing needs of the participants, and a dialogue through which both counselor and participant can develop a continuous assessment of progress through the program.

Should a client fail to cooperate with the service plan developed by the project, the participant is terminated by the Project Director, and the court is notified immediately.

E. Service Delivery

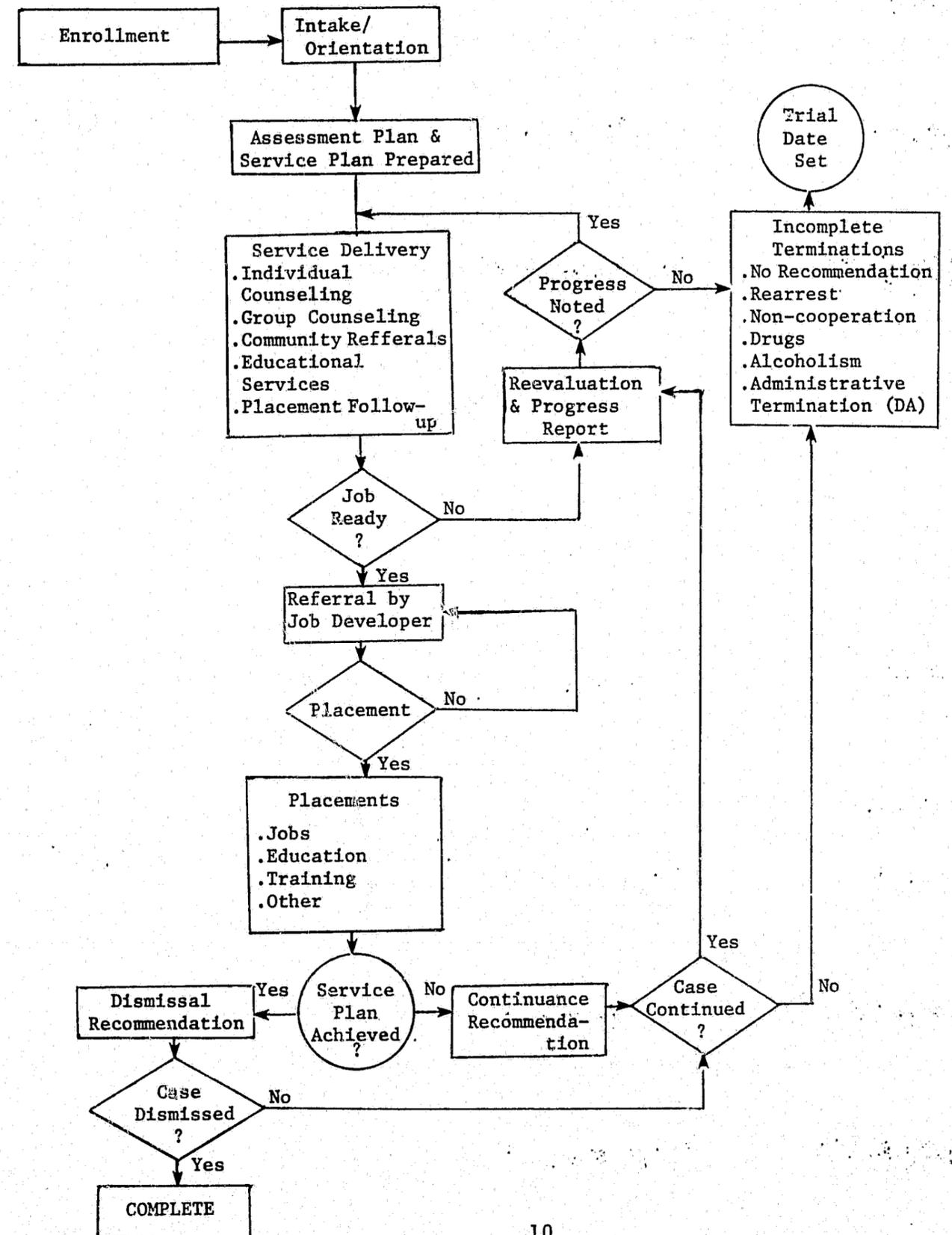
After orientation and intake, the client is provided with a matrix of services tailored to the needs as identified in the service plan. The focus and intensity of the collective services depends on the status of the participant as he moves through the rehabilitative process. The services that are provided are group counseling, individual counseling, community referrals, training and placements, educational services, placement follow-ups, and supportive services. (See Figure 1b.)

1. Group Counseling

Counselors conduct weekly sessions for their entire case-loads. These sessions last from one and one-half to two

Figure 1b

DECISION POINTS IN SERVICE DELIVERY



hours, and are varied in format and purpose. While some sessions are intended as forums for the dissemination and discussion of manpower information, other sessions are far more therapeutic in nature. There is a process of self-examination and decision making that enables continuous feedback to the participant. Also, they provide an integral part of "therapy" (peer group interactions) at a low cost per participant. Ideally, the group counseling sessions attempt to provide the following services to participants:

- a. An organization where individual participants can develop an identification as human service aides
- b. A place where participants can recover and reinforce self-esteem by providing each other with mutual support and assistance, through freely discussing each others problems
- c. A vehicle for increasing perception of, and control over, behavior and the development of "solutions" by the group, so that a "group identity" can be found, and group values, standards, and goals can be crystallized

The "forum" aspect of group counseling usually involves guest speakers and audiovisual presentations; they provide manpower information with special attention to career selection and job experiences.

2. Individual Counseling

Depending on the counselor's assessment of a participant's needs and problems both at intake and during the rehabilitative process, individual counseling sessions are conducted on a regularly scheduled basis throughout the enrollment period. All participants have the right to request additional individual counseling sessions as indicated by special or personal problems that warrant special attention. Due to large caseloads and varied duties of counselors, all individual counseling sessions are limited, usually from a half hour to one hour. However, for crisis situations, the counselor's door is almost always open. Participants almost exclusively speak to their assigned

counselor, although they may request to speak to any staff member.

These sessions are critical to the rehabilitative process. They enable counselors to monitor progress against the service plan, facilitate formulation and redirection of participants' objectives, and determine when participants are ready to move to the next "point" in service delivery. Since the ultimate objective of the rehabilitative process is job referral and/or placement, counselors must determine when a participant has reached a point where their level of skill and attitude indicates that a participant sees employment as a necessary condition for survival in society. The counselor makes this determination based on his/her reading of present skills, results of HRD testing, previous training and education, the participant's talking about skills and the attitude toward jobs, as demonstrated by (1) inquisitiveness by the participant, and (2) positive responses to the job market (especially when given information).

3. Community Referral

Participants requiring services beyond the capability of the project staff are referred to local agencies for supportive services. These include:

- a. Physical health and dental attention
- b. Mental health
- c. Social services, such as welfare, food stamps, housing, legal assistance, clothing distribution, child care, and family counseling

4. Educational Services

The project provides, on a referral basis, remedial and tutorial services for participants who have not earned a high school diploma, General Equivalency Diploma (GED), or higher education qualifications. It provides services for participants with learning disabilities. Individual tutoring, GED preparation and attainment, and college

enrollment for interested project participants are provided in accordance with needs assessed during development of service plans. Most of these services are provided by referral to local agencies and programs. The level at which the participant should be placed is determined during interviews with counselors and education specialists.

Currently, a small group of teachers is providing tutoring services on a volunteer basis in the South County area.

5. Training and Placement Services

The job developer is responsible for job or vocational training placements for participants who are deemed job-ready by their counselors. Placements are oriented toward satisfaction of job interests, (as determined by HRD testing), financial needs, growth potential, and the realities of the existing job market. The job developer counsels participants prior to referrals regarding the importance of punctuality and correct demeanor at interviews, proper dress, and attitude toward work or training. The participant must maintain contact with the job developer following placement.

Resource utilization is vital to the success of the placement component. The establishment of a rapport and linkages with training programs, employers, and other referral agencies (HRD) is the responsibility of the job developer.

Project Intercept is, at this time, the only community-based program to have a contract directly with the state MDTA. They provide vocational and O.J.T. types of training and stipends to support individuals in training programs who would otherwise be unable to complete these programs.

The overall goals of this component are to place previously unemployed persons in jobs, or to upgrade the skills of those unemployable participants who seek jobs.

6. Placement Follow-up Services

After placement, project services, especially counseling, continue to be available. Participants enrolled in training

programs, placed in jobs or enrolled in schools, must maintain contact with job developers and counselors to assure appropriate and successful placement and adjustment. The unique difficulties of the first month on the job are attended to by these followups. In addition, the job developer conducts group counseling sessions for MDTA trainees who share common problems.

F. Completion of Program

Successful completion of the program is largely determined by the counselor who is in charge of the participant, and is based on the following criteria:

1. Involvement in both individual and group counseling sessions
2. Attendance in school and/or maintaining a job training placement
3. An evaluation of the participant's cooperation and motivation

The counselors and the screening committee make the final determination of whether or not a participant's performance has been satisfactory and what type of recommendation is to be presented to the court. The following types of recommendations can be made to the court:

1. Favorable (dismissal of charges recommended)
2. Unfavorable (no recommendation)
3. Other (summary probation, court probation)
4. No recommendation (participant is recommended for further 30-day continuance)

The only feedback on participant performance is a letter of recommendation at the completion of the period of continuance. The letters are written by the counselors and hand delivered to the judge, district attorney, and defense counsel. The

counselors appear before the bench at the time of final disposition of the case. If a recommendation for dismissal is made, the judge requests the district attorney to dismiss the charges. If he agrees to do so, the participant is released from the criminal justice system.

Depending on the disposition by the judge, and assuming the participant has not been terminated due to failure to cooperate, a participant leaves the program in one of the following termination categories:

1. Complete (dismissal recommended and accepted)
2. Incomplete (dismissal recommended and not accepted, probation or further continuance or adjudication imposed by the judge)
3. Other (all unfavorable, i.e., "no recommendation", completions)

G. Postprogram Follow-up

In addition to this process, the program is also responsible for the follow-up of participants for one year after they leave the project. Required contacts are to be made at 3, 6, and 12 months. These records indicate employment status, earnings, further encounters with the criminal justice system, and domestic data. To date, the project has not instituted this system of follow-up. Any follow-ups have been done at the impetus of individual counselors. However, management is currently working on this problem.

III PROJECT ORGANIZATION

III PROJECT ORGANIZATION

Organizationally, Project Intercept is administrated by the Project Director who directs a staff of 11 full-time employees and is responsible to a Board of Directors.

A. Board of Directors

1. Composition

The Board currently has 14 members from most areas of the County. They are recruited through the media, community organizations, or word-of-mouth. The criteria applied in the recruitment process includes:

- a. Education level
- b. Knowledge of community problems and resources
- c. Sensitivity to community issues

The Board is composed of professional, business, and community people. There are attorneys, students, educators, medical professionals, one judge, and representatives of both private and governmental agencies (e.g., United Bay Area Crusade, Human Resource Development Agency, Seventh Step Foundation). Nominations for the Board are solicited by the Project Director, who also serves as Chairman. He initially screens the applicants and forwards a final list of nominees. The Board then interviews and elects new members.

An important asset of the Board is that they possess a wide range of professional expertise, thus they are able to donate professional services (e.g., legal, accounting) to the project and become an additional resource. Also, the prevalent community orientation of Board membership allows for significant community input into policy formulation.

2. Organization

The project's Director is Chairman of the Board. This is an elective position. Currently, there is only one standing committee of the Board, the Personnel Committee. This committee is

responsible for all hiring decisions for professional and non-professional staff. Initial screening of applicants for staff positions are done by the project's Director and Assistant Director. Nominees are sent to the Personnel Committee without recommendation, and hiring decisions are made at that point. However, the Director maintains that it is within his authority to veto any hiring decision made by the Personnel Committee.

The day-to-day business of the Board is conducted by an Executive Committee, which is made up of the corporate members of the Board of Directors. This committee was constituted in January 1974, and was to begin meeting in February 1974. It has not met as of this date.

The Board is currently planning for two new standing committees, a Finance Committee and an Operations (program) Committee.

3. Duties

The Board has the following areas of responsibility:

- a. Determine all policy for program activity (e.g., client criteria, hiring, expansion, etc.).
- b. Insure that the Director implements policy.
- c. Intervene and troubleshoot any problems in the community.
- d. Serve as a resource for the program, both in terms of technical assistance and liaison to various sectors of the community.

The Board apparently enjoys good relations with the program, as evidenced by the offers of technical assistance and professional expertise for which the project would otherwise have had to pay by contract.

B. Project Staff

1. Organization

Staffing assignments and reporting relationships are indicated in Figure 2. Currently, the availability of space limits the Director,

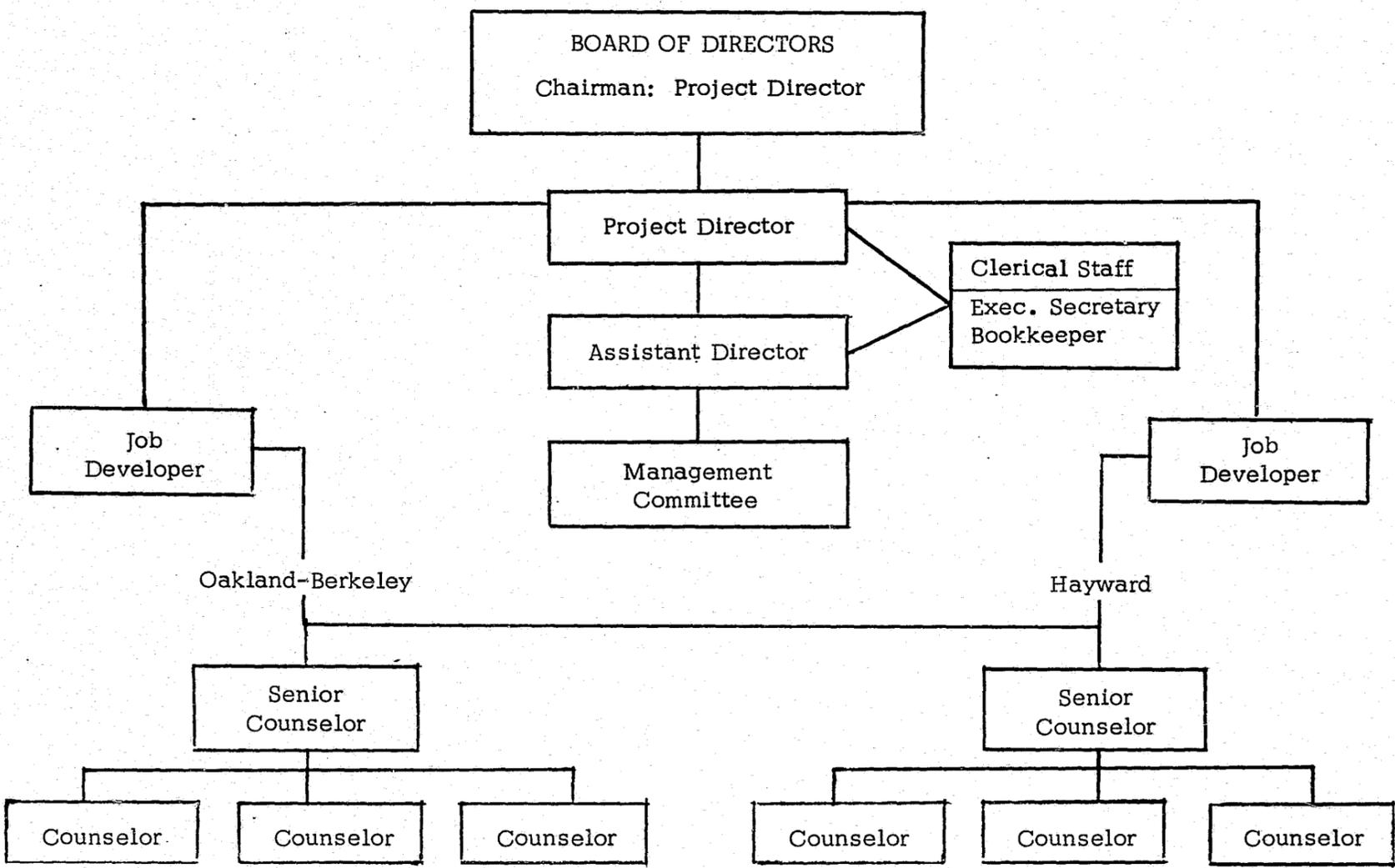


Figure 2

ORGANIZATIONAL FRAMEWORK

Assistant Director, and Bookkeeper to operating out of the Hayward office where central records are maintained. At present, there is one Secretary/Assistant Bookkeeper who divides her time between the North and South County offices. However, another Secretary is being hired to staff the Oakland-Berkeley office, wherein the Assistant Bookkeeper/Secretary will remain in Hayward. Reporting of records to funding and monitoring agencies, fiscal records, and cumulative data are maintained in the Hayward office. When sufficient clerical staff are added in the Oakland-Berkeley office, client records will remain there but they will pass through the Hayward office for tabulation before dissemination of total records to funding and monitoring agencies.

While staff relationships have been previously defined, one new position, Job Developer, which operates out of the Hayward office, has been instituted since the Revenue Sharing Contract began. This person was originally a counselor, however with the renewal of Department of Labor funding on December 1, 1973, and subsequent expansion to the North County, a second Job Developer was added. This seems desirable since the employment climate is different between the two regions, and also because of the expected increase in caseload. The Job Developers are directly responsible to the Director. At this time, it is possible that the two Job Developers will perceive and execute their jobs differently. In the South County, where the project enjoys legitimacy and acceptance, the Job Developer prefers to maintain both a job file and a listing of contacts with employers, training programs, and educational institutions. In the North County, the Job Developer is considering a methodology where a job training or educational referral is tailored to the individual participant's needs. The Job Developer doesn't establish contact with participants until the counselor has assessed that the participant is "job-ready". At this stage the participant and Job Developer meet to determine the type of placement for the participant.

Another function of the Job Developer is to run group counseling sessions for those participants who have been placed in MDTA training programs.

This serves two needs: (1) to establish counseling sessions to deal with the unique problems of participants already placed in training programs, and (2) to lower the size of group sessions, repeatedly cited as a problem for counselors.

The Senior Counselors are responsible for the overall supervision of counseling services and caseload management. They troubleshoot problem areas in direct service delivery, including courtroom difficulties, group sessions, and individual counseling. If a counselor has too heavy a caseload, the Senior Counselor will assume some of that load for an interim period. They "supervise" counselors also in a therapeutic sense, helping them deal with personal and emotional problems encountered in counseling rehabilitation.

Although implementation of policy is the responsibility of the Director, it is carried out through the mechanism of the Management Committee. This committee meets weekly and is composed of the Director, Assistant Director, two Senior Counselors, two Job Developers, and the clerical staff. These meetings have varied agenda, but generally include the following:

- a. Discussion of mechanisms for implementing policy and resolving bookkeeping, data-reporting, or other procedural problems
- b. Monitoring of weekly progress by Director through a review of reporting systems
- c. Coordination of staffing patterns and activities
- d. Scheduling of meetings to deal with special problems

The full staff, including counselors, also meets weekly. These meetings are usually oriented toward a discussion of problems of service delivery, policy changes, and a general discussion where staff shares their feelings and perceptions. These meetings are open; where there are common problems, alternatives are discussed ("brainstorming") with decisions reserved for the Management Committee. Staff meetings are run by the Assistant Director, whose responsibility primarily the coordination and training of staff in service delivery.

Within the past month two new staff have been added and two more will be added in May 1974, as the funding from OCJP commences.

Staff evaluations are performed by the Director, Assistant Director, and Senior Counselors. Supervisory staff are evaluated by the Director. If an employee refuses to sign the evaluation, disciplinary action is initiated. This is in the format of a hearing before the Personnel Committee of the Board.

2. Staff Characteristics

The staff has grown substantially since the inception of the Revenue Sharing Contract. In August 1974, there were three counselors and two other full-time staff. Currently, there are five counselors, two senior counselors, two job developers, two clerical staff (full-time), and the Director and Assistant Director.

Staff characteristics are shown in Figure 3 on the following page.

Figure 3

PERSONNEL EXPERIENCE BY JOB CLASSIFICATION

<u>Title</u>	<u>Race</u>	<u>Sex</u>	<u>Education</u>	<u>Experience in Community Program</u>	<u>Meets Minimal Job Requirements</u>
Director	Chicano	Male	Some college	Project Intercept Director since 3/71	Yes
Assistant Director	Chicano	Male	Informal	Over 3 years of extensive experience in Manpower program, counseling services and program administration	Yes
Clerical (2)	Chicano White	Female Female	Some college	At least 2 years in other diversionary or Manpower programs	Yes
Job Developers (2)	Chicano Black	Male Female	Some college	At least 2 years as counselors or job developers for under- employed poor persons	Yes
Senior Counselors (2)	Chicano	Male Female	High school Master of Science	Over 2 years experience as Project Intercept Counselor	Yes
Counselors (5)	1 White 1 Puerto Rican 1 Portuguese 2 Chicano	Female Male Male Male	Some college	Most have at least one year, some are in first year	Yes

C. Training of Counselors

The primary emphasis of service delivery is rehabilitation through manpower training and employment. All aspects of the service plan are oriented toward this goal. The quality of service delivery is a direct function of the training that counselors receive, thus training becomes a critical element of service delivery. There is comprehensive in-service training for new counselors, and the entire staff participates in semi-annual "retreats" to upgrade their techniques of assessing counseling needs and individual counseling techniques.

Training programs can be subdivided into two categories:

1. Pre-Service Training

When new staff are hired, they receive training on the procedural skills of case documentation. This consists of:

- a. The mechanics of processing new staff, such as payroll forms, time sheets, weekly activity reports, and staff evaluation procedures
- b. The mechanics of staff operations, including management teams, staff meetings and responsibilities, and reporting relationships
- c. Case management with specific attention to the details of participant data forms, action plans, and other forms used in the documentation of participant development

2. In-Service Training

At the discretion of the Assistant Director, who is responsible for staff training, new staff advance to the next level of training. They participate in all phases of service delivery with a resident staff member, including:

- a. Sitting in on group counseling sessions, learning how to lead a group. They develop techniques of what to look for in group interactions, how to develop a service plan.

- b. Intake interviewing, where they observe techniques of assessment, elicitation of responses from passive or withdrawn participants, and determination of participant's needs in order to develop a service plan.
- c. Documentation of cases, filling out reporting forms and data collection.
- d. Court exposure, where they learn techniques of interception, how to perform completions before the judge, introductions to officers of the court, and indoctrination to court procedures.

Training lasts for approximately one month, at which time new counselors are assigned to a court and begin to develop a case-load. The training techniques utilized include role-playing and psychodrama with the Assistant Director serving as facilitator. Audiovisual aids are employed to provide staff with immediate feedback on their behavior during particularly intense situations. At the completion of training, counselors can be regarded as competent paraprofessionals in counseling techniques and intervention services. The skills acquired during in-service training include:

1. Intervention processes
2. Individual counseling techniques
3. Sensitivity techniques and trust exercises

The overall goal is for counselors to become sensitive to the issues facing groups of people with common problems, and to help these people talk about their problems before peer groups. Counselors are taught to "move people from one point to the next" in treatment stages. Thus, the behavioral goals of counseling vis-a-vis participants are:

1. To learn both about others and from others, and thus learn about themselves
2. To develop objective views of behavior

3. To develop realistic expectations for themselves
4. To facilitate breaking down of defenses and building of trust in others
5. To facilitate making decisions about careers, given the options available

Participants remain in the program for a maximum of 120 days. Barring termination, the normal duration is 90 days. Trainers feel this is too short a time to develop therapeutic treatment stages. Recognizing these limitations, counselors are taught to:

1. Look for certain behaviors and rectify any behavioral problems such as excessive non-verbal behavior, and;
2. Apply "mild" forms of therapy, emphasizing a "here and now" approach. This entails working with a problem at that moment, instead of psychoanalytic approaches that require reading into an individual's past for explanations and/or solutions. In other words, counselors use the "problem" and the "process".

For exaggerated behavioral problems, such as depression, passivity, drug use, excessive verbalization, nervousness, or desperation, counselors are instructed to refer participants to community agencies for psychiatric consultation. Counselors are also told to look for positive behavior patterns in interactions with group members so as to identify potential peer leadership from within the group. Based on assessments and perceptions of participant's group performance, individual counseling is prescribed as a supplementary treatment modality.

D. Project Linkages

The project is sponsored by the District Attorney of Alameda County. While there is no direct link between sponsor and program in the management phase of program operations, the District Attorney is responsible for monitoring and serving as a liaison between the County and program.

This function is performed by the Deputy District Attorney of the Fremont Municipal Court. The Liaison's role is primarily concerned with control: to insure that the County pays only for what is done. Payment occurs when a formal participant has been in the project for 90 days or longer. The project forwards a bill which is a list of participants, the court, and the charges, to the Liaison for monitoring. The Liaison compares this listing to his records showing charges and referrals, in order to determine eligibility. If the bill shows a participant who is ineligible, there is no payment.

The Liaison has no direct relationship with project management or the Board. Rather, the Liaison maintains some policy input. This input is accomplished two ways:

- a. Negotiation of eligibility criteria with the project's management.
- b. The option of veto over any referral, which is maintained by the local district attorney in each court.

In addition, the Liaison keeps separate records to monitor the participants for precompletion rearrest. However, these records contain no information beyond names, docket numbers, and dates.

IV PROJECT PERFORMANCE

IV PROJECT PERFORMANCE

Performance is monitored in this section so as to provide the reader with an indication of the trends in enrollment, distribution of caseload, and completions. It is by no means to be construed as an assessment of impact or success/failure to reach objectives. These trends will reflect any significant changes in program performance since the start of the Revenue Sharing Contract, plus an indication of the types of participants that the program is serving.

A. Screening and Enrollment

The volume of participants is shown by performance in this area, particularly reflecting on the effectiveness of intervention techniques by counselors in the courtrooms.

1. Enrollee Characteristics

Socioeconomic data on participants appears in Figure 4a. It should be noted that the characteristics of enrollees basically reflect the eligibility requirements as stipulated in the contract.

The data shows that slightly more than half of the formal participants are non-white, and the large majority are under 26 years of age. In addition, almost half of the participants have not completed secondary education. A large majority come from families where the income is either below Federal poverty guidelines, or they are recipients of public assistance. Since the Revenue Sharing Contract began, no felons have been enrolled. The majority of those screened but ineligible defendants were not enrolled because of pending charges in other cases, or because of economic or educational situations. For a further breakdown, please refer to Figure 4a on the following page.

Figure 4a. CHARACTERISTICS OF ENROLLEES

	<u>Total</u>
<u>Sex:</u>	
Male	103
Female	88
<u>Race:</u>	
White	85
Black	33
American Indian	2
Oriental	5
Other	8
<u>Spanish Surname:</u>	
Mexican-American	50
Puerto Rican	5
Other	4
<u>Age:</u>	
Under 18	0
18 - 21	114
22 - 26	56
27 - 35	21
<u>Education:</u>	
6th or less	8
7th - 8th	3
9th - 11th	84
12th & over	96
<u>Family Income:</u>	
Below \$2,000	94
\$2,000 - \$3,999	43
\$4,000 - \$5,999	30
\$6,000 - \$7,999	18
\$8,000 - over	6
<u>Public Assistance at Arrest:</u>	
Unemployment Insurance	29
Welfare	43
<u>Offense:*</u>	
Felony	0
Misdemeanor	191
Total Screened	368
Total Enrolled	191
<u>Not Enrolled:</u>	
Prior Record	16
Court Refusal	4
Defendant in Other Case	88
Ineligible (economically or educationally)	59

*After 12/1/73, cumulative data compiled on arrest categories.
(Refer to Figure 4b on the following page.)

Figure 4b

BREAKDOWN OF FELONY AND MISDEMEANOR OFFENSES
 COMMITTED BY PROJECT INTERCEPT ENROLLEES
 AFTER DECEMBER 1, 1973

<u>Arrest Categories</u>	<u>Number of Arrests</u>
Petty Theft	61
Theft	12
Loitering	2
Concealed Deadly Weapon	2
Battery	4
Burglary	2
Drunk	2
Resisting Arrest	3
Violations of Unemployment Insurance Laws	1
Grand Theft	1
Stolen Credit Card	2
Possession Stolen Property	3
Disturbing the Peace	4
Bad Check	1
Forgery	1
Malicious Mischief	2
Insufficient Funds (Vagrancy)	1
Auto Tampering	1
Possession of Narcotics	1

2. Intake Performance

The number of offenders screened and enrolled is shown in Figures 5a and 5b. With the addition of new staff in November and December 1973, the level of intake began to increase, both in terms of numbers of offenders interviewed and accepted. Since the number of counselors in court remained constant through January, the increases must be attributed to the addition of the Assistant Director in November. This position had a direct effect on counselor training, particularly in the area of court intervention techniques. One can conclude, therefore, that better training led to an upgrading in performance in these areas.

Total enrollment since the start of the Revenue Sharing Contract is 190 for a 7-month period. Since the expected annual enrollment is 500 participants, this would indicate subpar performance. However, a number of factors has produced this effect. New counselors were not operating in the courts until February 1 so that the increases in intake volume will not significantly occur for some time. Also, as additional funds became available in November and December, the project made the decisions not to add additional line staff, but to add three managerial positions so as to upgrade the quality of program services. Training periods for new counselors were lengthened, and the project met some resistance from the courts in new areas. Thus, the program operated with three counselors until February, yet, they managed to slightly exceed enrollments for previous years when they had an equal number of counselors.

The project began operating in North County courts in February. When the courts in those areas begin to develop confidence in the program and when the managerial innovations begin to take root in the program, the volume of enrollees is expected to increase.

B. Active Caseload

The reliability of data on active caseloads is questionable. After December 1, 1973, when third-year funding from the Department of Labor commenced, two sets of records were kept: one for the second-year contract and another for the third-year contract.

Figure 5a

SCREENINGS AND ENROLLMENT

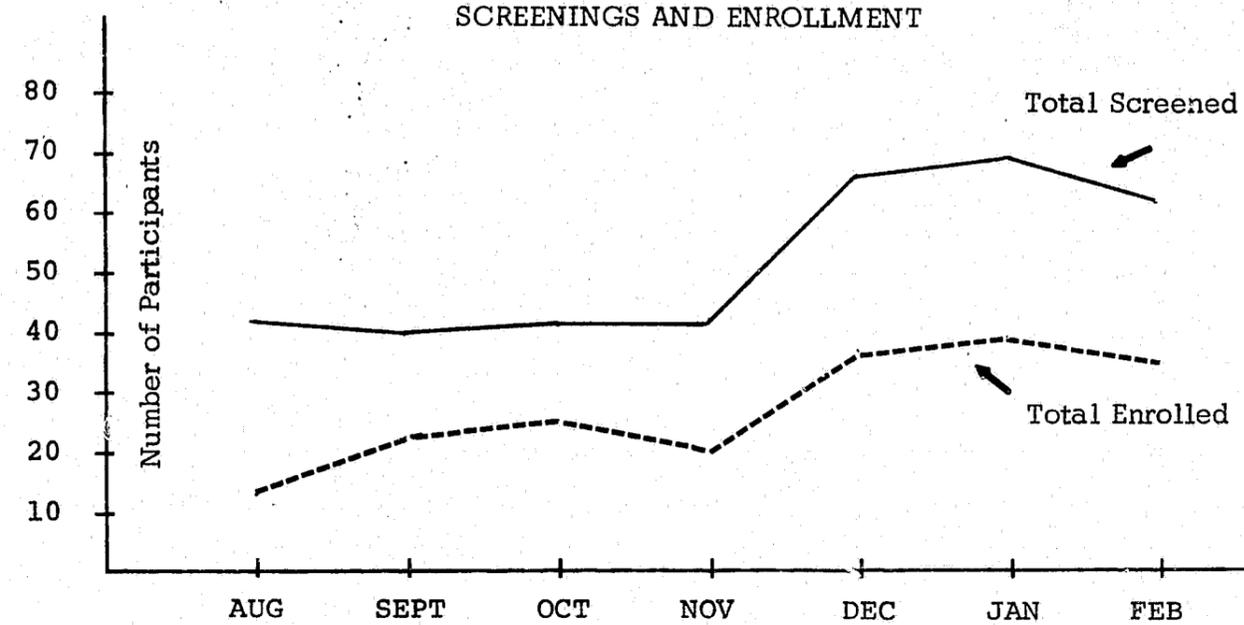
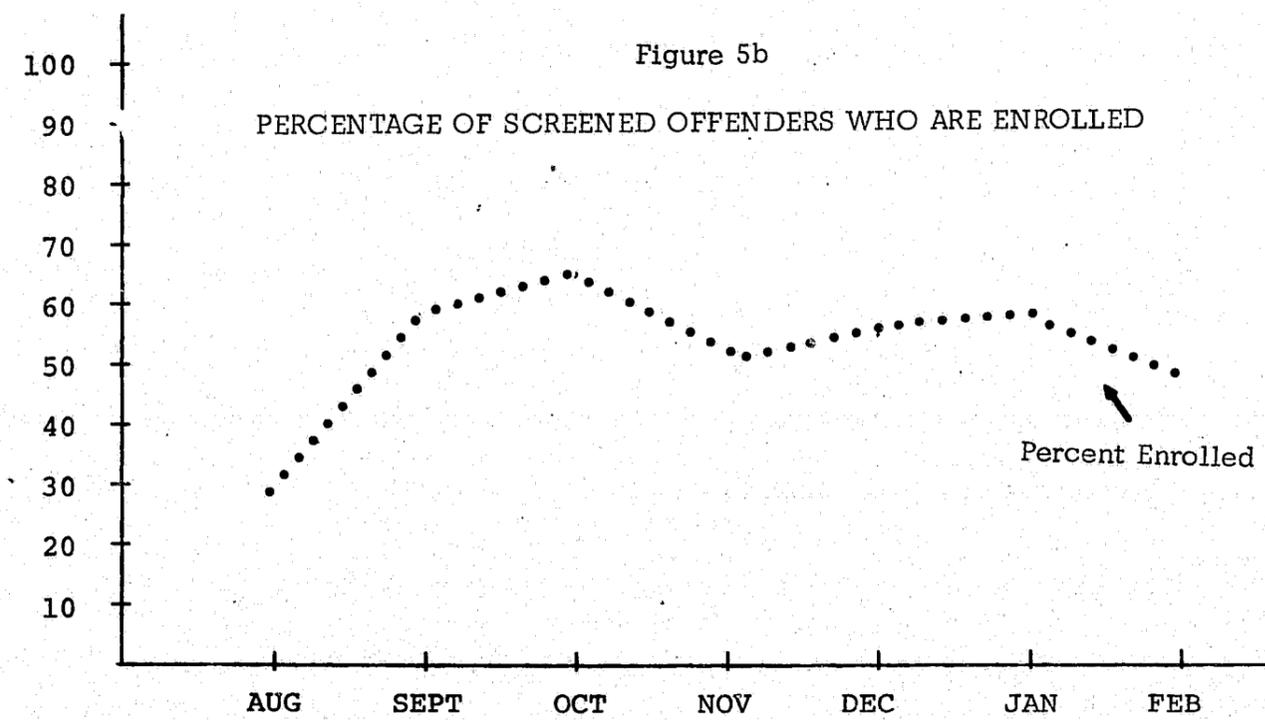


Figure 5b

PERCENTAGE OF SCREENED OFFENDERS WHO ARE ENROLLED



Thus, cases pending under the previous contract were not listed in the new monthly reports. Since comprehensive records on participants were not centrally kept before December 1, data on pending cases remained untabulated in the individual case folders. The project does not maintain data in such a way as to provide for internal performance monitoring. Only within the past month have steps been taken by project management to rectify this situation. Data on distribution of active caseload, Figure 6 accurately reflects the status of participants up to December 1. Beyond that date, the data is only accurate for participants enrolled after December 1. Data on cases active as of December 1 is "in limbo", and the project is still trying to recover this data.

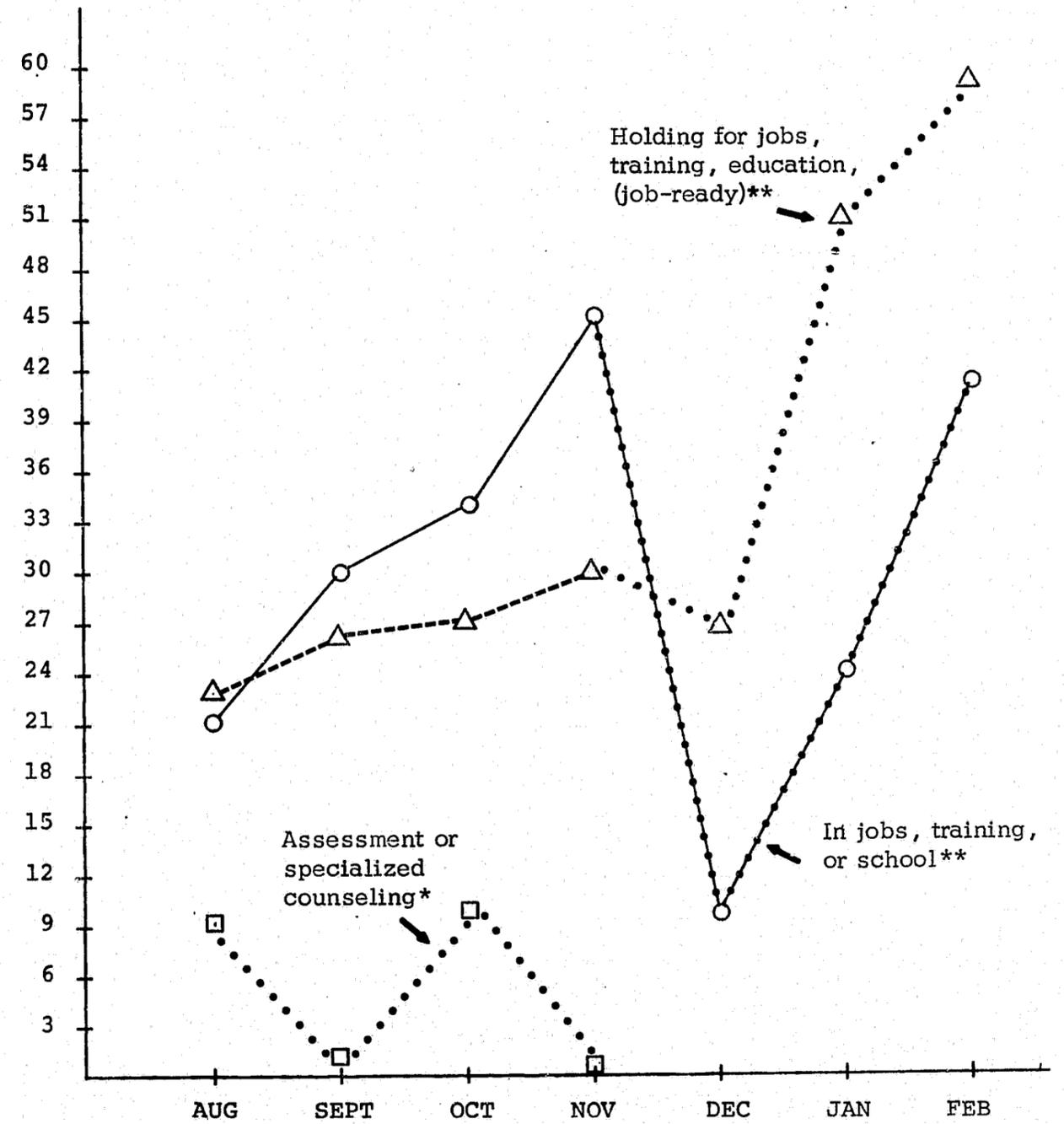
With this in mind, the reader can see that these difficulties in reporting reflect on the distribution of active caseload. After December 1, the number of participants in "holding" categories exceeded those with placements. Ideally, the project would like to have the largest percentage of enrollees in placements. But the failure to include the "lost" cases in the monthly reports meant that participants who were advanced in the program (and theoretically placed in jobs, school, or training) were not counted. Only "new" participants reflect in the data after December 1, and these people must spend some time in the program before they can be placed. Data from previous months show that the "placements" usually exceed the "holdings", and it can be assumed that an accounting of total caseload for the period after December 1 would have reflected similarly.

Another result of changes in data collection is the dropping of the "assessment and counseling" category from the distribution of active caseload. Participants formerly in this category are now listed as "holding". This gives a misleading perception of the distribution of active caseload. Assessment and counseling are legitimate components of project services, and their inclusion in "holding" status can lead to a false conclusion that the project is having difficulty in placing its participants.

Thus, it is difficult at this time to assess the success of the placement phase of Project Intercept. When the records are straightened out and when the institution of training

Figure 6

ACTIVE CASELOAD (PARTICIPANTS PER MONTH)



*This category was dropped after year 2 of the Department of Labor Contract.
**Beyond December 1, 1973, data is accurate for participants enrolled after that date.

procedures and the new position of Job Developer have taken effect, this phase of project performance will be assessed in detail.

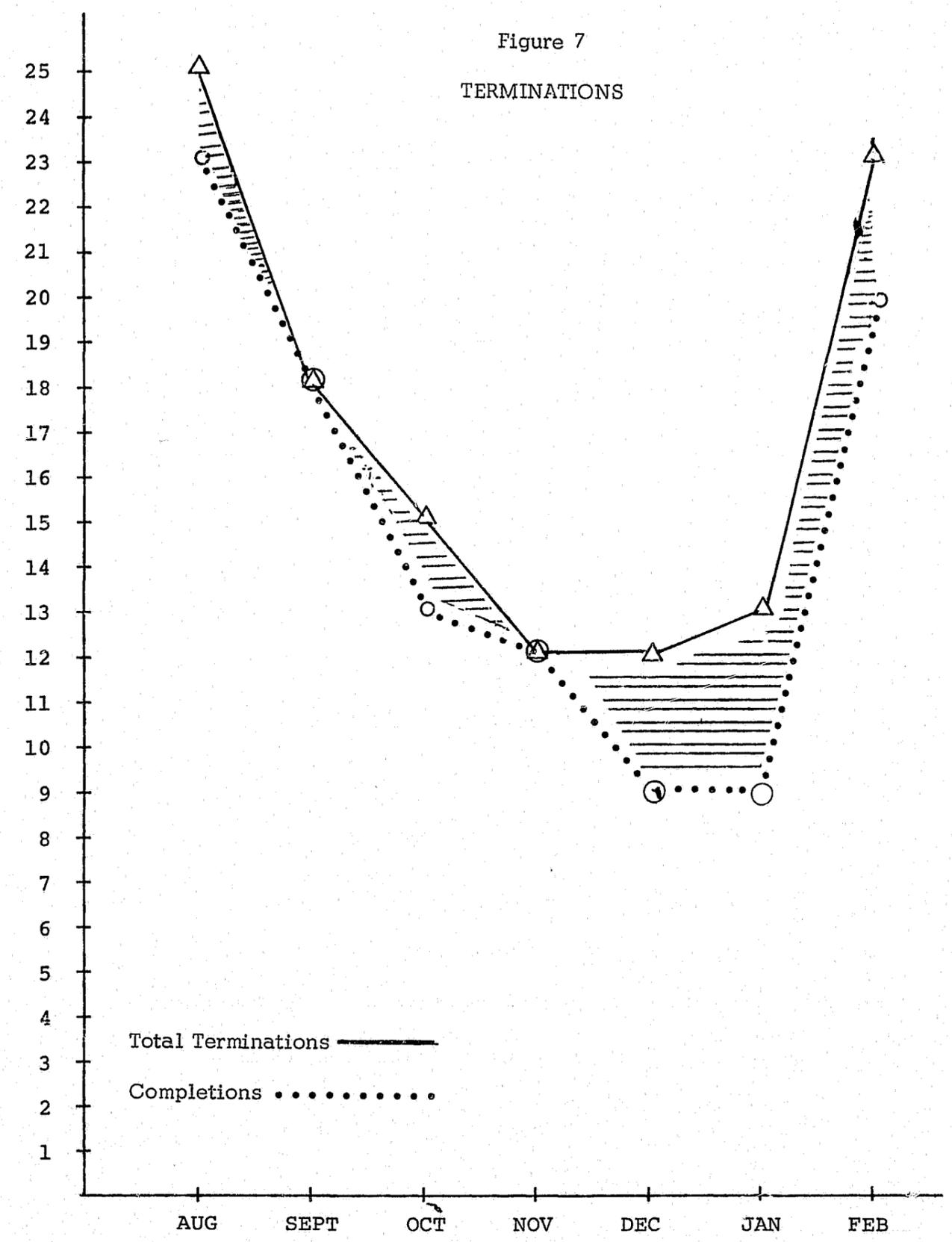
C. Terminations

The data for terminations is similarly of questionable reliability. The data from "carryover" cases from the old Manpower Contract is not readily accessible except by polling individual counselors. Such an investigation was conducted in order to obtain the termination data in Figure 7. However, it should be stressed that the evaluator has received conflicting data summaries on terminations from project staff, as well as discrepancies observed by the evaluator from various data sources. These discrepancies are the result of chronic deficiencies in record keeping by the project; data is constantly being updated as "lost" casefolders become found.

However, the overwhelming majority of terminations are completions. Completions are participants who have successfully fulfilled program requirements, including placement in jobs, training, or school, and whose cases have been dismissed. In the past four months, however, there have been at least four precompletion rearrests. Some terminations are the result of noncooperation by participants. Other precompletion terminations are the result of charges being dismissed by the District Attorney. In addition, there is a 100% rate of dismissals for those participants who are recommended for dismissal to the court. This is due, in large part, to the careful deliberations with the District Attorney of Alameda County and his full support and cooperation with the program. This does not imply that all participants are recommended for dismissal, as reflected in Figure 7. A small percentage of cases return to court either terminated before completion due to rearrest or noncooperation, or without recommendation. This percentage is indicated by the shaded area in Figure 7.

Total terminations decreased from August to January and they increased sharply in February. This is due in part to additions in counseling staff for that month, but mostly to the fact that the increased enrollments after December 1 did not generate completions until February. The earlier decreases were also partly the result of a change in judicial assignments in South County courts. Judges in municipal courts in Hayward and San Leandro exchanged assignments. Since Hayward is a "high

Figure 7
TERMINATIONS



volume" court, the new judge was somewhat more cautious about granting dismissals and referring offenders to the program.

The extent to which the program fails to successfully treat participants is reflected below.

Figure 8

INCOMPLETIONS

<u>Month</u> (1973)	<u>Noncooperation</u>	<u>Rearrests</u>
August	2	0
September	0	0
October	2	0
November	0	0
December	1	0
(1974)		
January	2	2
February	3	1
March	0	1

The data for rearrests (precompletion) show an increase for the past three months. However, it is too early to conclude that this is the beginning of a new trend or merely a cyclical fluctuation. This will be indicated in the final report. However, as the project approaches its goal of an active caseload of 55 per month, its ability to provide close supervision to participants may become diluted, resulting in increases in precompletion rearrests. Careful in-house monitoring to adjust counselor caseloads can avert this problem.

D. Postprogram Follow-up

This function has not been centralized in the project's office. Previously, follow-up has been the responsibility of individual counselors, and follow-up records have been forwarded, untabulated, to the prime sponsor. Since the Assistant Director was hired, follow-up procedures are now being standardized and records will be centrally kept by the project. As of January 25, 1974, systematized follow-up procedures have been introduced, and are the responsibilities of the senior counselors.

V PROGRAM CONSTRAINTS

V PROGRAM CONSTRAINTS

In addition to the project performance as documented in the previous section, the evaluator has observed areas which have presented problems and have hindered the growth of the program, especially in the North County area. These areas are covered under Internal and External Constraints to the program.

A. Internal Constraints

1. The opening of the North County facility in Oakland has required attention to establishing linkages in the courts, as well as the customary logistical problems of starting a new program. For example, the furniture for the new office arrived one month late due to the trucking slowdowns in January and February. In addition, management of the new office was modeled after the existing facility. As unique problems arise, the management of that facility will have to be continuously updated and adjusted.
2. The North County facility is understaffed. There is no secretarial help, and one counselor is presently covering four arraignment departments in Oakland Municipal Court. This is a tremendous burden, both emotionally and physically, since the counselor is literally running between four courtrooms while attempting to monitor four arraignment calendars, and simultaneously explaining the program and interviewing potential participants. The Senior Counselor for the North County office has assumed some of the caseload, but this has detracted from the supervisory functions that were originally intended for that person.
3. All screening of potential enrollees is done in Hayward. This necessitates much travel between offices and at times limits communication to phone conversations. Case records are constantly traveling between offices. Also, training and management is centralized in Hayward, creating another situation requiring travel. Due to fuel shortages, this presents additional emotional strains for staff.
4. The South County office has been in existence since 1970, and much of the staff has been there two or more years. The

Assistant Director, whose duties include training and supervision of staff, has been with the program since November. There is some resistance to the training and documentation policies that are now being introduced, resistance which can be overcome through strong leadership from the project's Director.

5. The rapid addition of new staff has required extensive time and effort devoted to training. New staff needed experience in case documentation and management; some of this was provided during training, but much of it is occurring "on the job". The burden of this training has fallen on the Assistant Director. He also is responsible for developing and coordinating the multiple documentation systems, as well as reorganization of staff. Since the Assistant Director was hired in November, this has left little time to develop these programs. Much of it seems to be on a "trial and error" basis with constant adjustment.
6. Due to its multiple funding sources, Project Intercept has had to conform with several reporting systems, leading to confusion in record-keeping and documentation as well as overburdened clerical and management staff. Since the program was originally sponsored by the U.S. Department of Labor, the project never developed its own record-keeping system for case documentation. In November 1971, the evaluators of the national program instituted a recording system which required no local tabulation of data. Instead, tearsheets of client records were sent directly to the national headquarters, where control records were maintained. Data analysis by the project was done on an "ad hoc" basis as situations demanded. With a new regional organization implemented to make Manpower funding recommendations, the project has had to conform to their reporting system. Now that Revenue Sharing funds are available to the project, another reporting system has been initiated. It is apparent that with each new funding source, the project will have to adjust to yet another system of data collection and analysis. The current reporting system does not accurately reflect the status of participants in the program. Therefore, monthly reports tend to read negatively for one period and positively for another. Time and energy has been, and continues to be, diverted from programmatic concerns to training sessions regarding caseload management and documentation of data.

7. The Bookkeeper's position was created and filled in December 1973. This person inherited a nonexistent data file, and had the trying task of organizing nearly three years of records into a coherent internal reporting system. Also, the bookkeeper, who brought excellent professional credentials with her, had to implement an ongoing reporting system and initiate staff into the procedural aspects of this system. Staff has been slow to respond.
8. Hiring and organizational decision making has been contingent on an uncertain funding picture. When the project initially applied to the County for Revenue Sharing funds, it was intended that these funds would facilitate expansion to the North County. However, Federal funds were frozen and legislative delays caused uncertainty regarding the renewal of a sizeable Department of Labor contract. Therefore, planning became a "piecemeal" function, and the program was forced to utilize the Revenue Sharing funds to maintain operations in the South County. With the addition of each funding source, decisions were made regarding what type of staff to hire. First, the Assistant Director was hired; then the bookkeeper was hired; a new counselor was hired, and a veteran counselor was moved (without training) to the newly created position of Job Developer. Finally, when the Federal funds were renewed, other counselors were promoted to Senior Counselors as additional counselors were hired. With each new hiring, new training became necessary, and the characteristic phase-in periods limited the total growth of the project. These limitations are reflected by the performance data showing limited growth and fewer terminations.
9. Followup data, rearrest data, and other information on participants is not uniformly provided to the project. In most instances, the project must rely on the participant; in other cases, the participant reports nothing, but the court will inform the project of a violation or rearrest.

B. External Constraints

1. Although crime and criminal justice are both growth industries, the data is subject to cyclical patterns. Thus, some months show high enrollment for the project, while others

are low. For example, there were 32 enrollments in February. In the Oakland-Piedmont Municipal courts, there were 16 referrals. (This figure is for the first full month that the program was operational in that court. It is an indication of the high volume of referrals that will come from that source when the program has gained acceptance from the judges, prosecutors, and public defenders.) There were five referrals in the Albany-Berkeley courts, and 11 in the South County courts, where court personnel are familiar with the program. Referrals from the Fremont court were extremely low--of nine defendants screened, only one was found eligible by the project. The Project Director visited the court to verify these figures.

2. Judges in various courts have diverse feelings about Project Intercept. Different judges require different types and amounts of data about participants before they will refer them. Each judge chooses to run the court in an individual fashion, and the counselors must spend a certain amount of time "proving themselves" before judges will fully accept the program and readily refer defendants. In some courts, the Project Intercept counselors are accepted and treated as officers of the court; in other courts, judges require extensive data before referral in excess of that normally kept by the project. Some judges require documentation of cases comparable to input filed by the Probation Department. Some judges have referred ineligible defendants and some judges have referred defendants to more than one diversion program. These problems have arisen even after 14 municipal court judges attended a seminar on procedural issues and data requirements for Project Intercept.
3. There are no facilities for initial screening in the courts. Counselors in court must conduct initial interviews in hallways, on benches, or in the gallery. This atmosphere seems to inhibit an already frightened defendant who has just been arrested or charged with a misdemeanor. Also, part of the problem for judges with respect to understanding intervention programs is the large number of screening personnel from other programs in the courtroom. In Oakland, they all occupy seats immediately behind the table occupied by the District Attorney and Public Defender. It seems logical then, that judges would require more data regarding the referral, or that a judge would mistakenly refer defendants to two programs.

CONTINUED

1 OF 2

4. The project feels threatened by the political environment in which it operates. More specifically, the project feels it will be subsumed by a County agency. They feel there is antagonism and rivalry and that they are performing "better" than existing County agencies performing similar functions. Therefore, they have assumed a defensive posture. This has led to two detrimental effects:

- a. They are constantly "looking over their shoulders", and,
- b. They have had difficulty coordinating and cooperating with criminal justice agencies.

Within the past few months, the project has placed a quota of one informal referral per counselor per month from the Probation and Parole Departments. Although the stated reason involves size of group sessions and caseloads, it is indicative of strained inter-agency relationships.

VI CONTRACT COMPLIANCE

VI CONTRACT COMPLIANCE

The project has complied with all terms of the contract pertaining to the screening and processing of participants. They have not violated the most critical element, eligibility criteria, except randomly and very infrequently. The few cases where the project has claimed fee-for-service from the County for ineligible participants can be attributed to inadequate information from the defendant regarding prior arrests or family income, or confusion in data-processing. They have provided those services as detailed in Exhibits "A" and "B" in their County contract.

However, there have been certain provisions in the contract which have not been met. They are listed below.

- A. In Section B.5 of Exhibit "A", Follow-up, the project has only recently implemented a systematic and centralized follow-up procedure (January 1974). Before that, each counselor was responsible for periodic follow-ups on former participants and central records were not kept. This was a legacy of the system implemented by the Department of Labor as part of their data system used for evaluation. Also, the system of establishing contact for follow-up purposes was not standardized until the January date.
- B. There is no control group, as stipulated in Section B.8 of Exhibit "A". In previous years, the project has served over 500 formal participants, yet they have only been able to develop a control group of eighteen persons over that time. This control group was part of the national evaluation of Manpower-funded pre-trial intervention projects, and those defendants were each paid \$10 to participate as controls. The project feels it is in an ethical dilemma regarding control groups. It is extremely difficult for them to deny the services of the program to an otherwise eligible person for the sake of scientific validation of what is considered an experimental program. These problems are not unique to Project Intercept; other Manpower programs throughout the County have encountered similar difficulties in generating control populations. The problems were considered at National Conferences on Manpower Intervention programs in Minneapolis (1972) and Emeryville, California (1973). It was suggested at these conferences that the provision in the Federal

contract requiring a control group be dropped. Insofar as its value in proving the impact of the program on its target population, there are other ways of assessing this.

- C. The project has failed to provide required statistics on a quarterly basis on the participant population as stipulated in Section D, paragraphs 1, 2 and 3. Requirements in paragraph 4 have been met. These statistics should be forwarded to the County via the Liaison. They have not been sent to the Liaison, except for possibly one instance at the very beginning of the contract period (the Liaison could not remember). This violation of contract terms was not reported to the County nor to the evaluators, although contract compliance was an issue raised when the evaluator met with the Liaison officer. Subsequently, the Liaison officer questioned the usefulness of such statistics, apparently as a rationale for not requiring the project to meet these provisions. Although some of this data is tabulated by the project monthly and forwarded to the prime sponsor, it is not sent to the County on a regular basis.

VII SUMMARY AND RECOMMENDATIONS

VII SUMMARY AND RECOMMENDATIONS

The findings of this five-month interim evaluation indicate that Project Intercept is providing valuable services to economically disadvantaged first-offender misdemeanants by helping them to return to their communities and avoid reentry into the criminal justice system. The major emphasis of the program is rehabilitation through counseling, manpower training, and subsequent employment. Successful completion of the program results in a dismissal of charges and avoidance of the employment handicap of a criminal record.

The program has expanded rapidly in the past five months. As new revenues became available, the program has made strategic decisions as to allocations of funds in anticipation of a larger volume of clients. Initially, they expanded the management phase by hiring a Bookkeeper, Job Developer and an Assistant Director. Then they augmented their counseling staff and expanded their services to Municipal Courts in the North County area. Although they have experienced procedural difficulties in the North County, the project is beginning to gain acceptance and confidence there. This is largely due to the cooperation and assistance of the District Attorney, and intake from North County courts for the first month of operation there was high. In the future, it is apparent that intake from those courts will exceed that of South County courts and the project will have to make appropriate administrative and logistical adjustments. Their major difficulties to date have been in record keeping and case documentation. It remains to be seen whether they can resolve these difficulties internally or if they will have to seek technical assistance.

The staff is experienced, well trained, and competent in service delivery; their performance indices indicate a well-functioning program. Precompletion rearrest is low and job placements are high, but in North County, these performance indices remain untested. Nevertheless, the following recommendations are made to both the County and to the project in order to maximize performance and fully meet contractual obligations.

- A. Project Intercept should continue its current practice of using community resources for professional services, particularly in the areas of staff training and service delivery. The Assistant Director should retain responsibility for coordinating training activities, but due to his role as administrator, he should not be involved as a group facilitator during sensitive training exercises.

B. The project should initiate a continuing series of seminars and meetings with judges to clarify and correct procedural and informational difficulties.

C. Regarding expansion of eligibility criteria:

1. Any expansion should be deferred until the North County office is fully operational and stabilized.
2. The project should study the feasibility of any expansion with regard to impact on caseloads and procedural matters in the courts (e.g. accepting felonies necessitates intervention and screening in Superior Court).

D. Regarding the North County office:

1. More detailed supervision and attention should be given by management to the problems encountered in this new operation. Particular attention should be given to problems with the courts and in establishing liaisons with the employment community. Technical assistance should be made available to the project to develop a program for job development in the North County area. It is not sufficient to rely on a successful model used in the South County, where the employment climate is quite different.
2. There should be an increase in staff allocations to the North County office. First, there should be at least one additional counselor in the Oakland-Piedmont Municipal Court. Presently, there is one counselor covering four arraignment courts. Second, there should be a full-time receptionist/typist in that office. That office has had to close at certain times due to understaffing.

E. More group counseling sessions should be scheduled, and alternative locations should be found for them. Two problems which have repeatedly been cited by staff are the size of the group sessions (too large) and the space limitations of existing facilities (too small). The optimization of group size is critical to the effectiveness of group counseling as a treatment modality.

F. Regarding the Board:

1. The Board of Directors should meet more frequently and become more involved in policy issues of the program. Currently, they meet only four times per year. They should implement the committee structure that has been discussed in this interim report, and take a more active role in the operations of the program. Also, the Board should consider expansion to include members of the employment community and members from the North County area.
2. The Board of Directors can be strengthened by electing its own chairperson, rather than having the Project Director serving in that role. In addition, representation from the District Attorney's office should exist on the Board.

G. The community-based approach and community identification of the project are its strongest points. Any changes in program, policy, or management should reinforce these aspects, not weaken them.

H. Follow-up procedures, once they have been operationalized, should be expanded to two years. In addition, the project should establish liaison procedures with criminal justice information agencies so as to have access to official arrest records. In this way, the project does not have to rely on participant feedback in determining rates of recidivism.

I. Since the project is in a critical stage of growth, and since there currently are problems in documentation of formal participants, there should be a moratorium on acceptances of informal participants.

J. In studying Project Intercept for refunding purposes, the County of Alameda should allow for a six-month phase-in period for the North County office. This period would end in July 1974. The project should be monitored by indices of growth and performance, as well as acceptance by the courts. Any conclusions during this period on the viability of Project Intercept's expansion to the North County area would be premature.

- K. The project should attempt to establish liaisons with other intervention and referral programs in the County. There should be coordination of both screening activities and dissemination of information to judges, prosecutors, and defense attorneys. One possible mechanism would be a consortium of these programs to establish common goals and pool resources so as to provide better services to target populations.
- L. Project Intercept should seek technical assistance to alleviate the massive confusion in central record keeping.
- M. The County should consider dropping the contractual stipulation for a control group. The issues involved in this decision are detailed in the Methodology Section.

VIII METHODOLOGY

VIII METHODOLOGY

The final evaluation of Project Intercept will be a comprehensive design focusing on two areas; first, an examination of the project's impact as dictated by its stated objectives, and secondly, a detailed examination of process within the project, with specific attention to the delivery of service to its participants.

A. Performance Objectives

Impact will be measured according to the objectives outlined in their original proposa. The performance of the project could be assessed in comparison to a control group for the following indices:

1. Recidivism (rearrest, both precompletion and postprogram)
2. Court dispositions
3. Job placements
4. Job retention
5. Upgrading of employment skills

However, variables such as treatment and diversion are inter-related and do not have separate impacts of their own. Therefore, their nonadditive effects must also be measured as they interact on participants. This suggests an evaluation design whereby one can examine the effects of treatment vs. nontreatment, diversion vs. nondiversion, and also the project's approach of combined treatment and diversion. Such a design is a randomized factorial design whereby subjects are randomly assigned to treatment groups. The design looks like this:

	Diversion	Nondiversion
Treatment		
Nontreatment		

Performance within each "cell" of the design is measured according to the criteria listed previously. Such a design necessitates the use of three control groups:

1. A standard control group by which subjects are matched identically with participants but are given no project services
2. A control group wherein participants are given project services but are not diverted from criminal prosecution
3. A control group wherein participants are diverted from prosecution but are not given project services

In this way, the effects of both phases of the project plus their combined effects can be verified for each of the performance criteria. Feedback from this process can enable the project to reorder its priorities, to modify project services, or to redefine its objectives more realistically. However, this design necessitates three control groups, not just one, and raises some general problems regarding control groups. For a program such as Project Intercept, there is an ethical dilemma involved in denying project services to otherwise eligible defendants for the sake of controlled experimentation. It is a problem that is common to the other pre-trial intervention programs funded by the Manpower Administration of the U.S. Department of Labor. At a recent conference in Emeryville, California, in 1973, the funding agencies were convinced by the local projects that raising a control group was too difficult and complex a task. The stipulation was dropped by the Manpower Administration. However, the evaluating agency, ABT Associates, insisted that, for the validity of the evaluation design, a control group was necessary. The Manpower Administration then reneged again on its agreement with local projects and reinstated the requirement for control groups. The result was that, for a 20-month cluster evaluation, the size of control populations raised by each of the project sites was woefully inadequate for any scientific analysis.

If rigorous statistical analysis is required for scientific validation of the effectiveness of Project Intercept's treatments and services, then a control group is mandatory. There are three ways that such a population can be raised and are listed below:

1. By a court order where eligible defendants are randomly assigned to one of the blocks in the evaluation design as they are arraigned
2. By a retrospective sampling of police files where the records of defendants from a period prior to the existence of the project can be used to develop a control population, or
3. By going to an alternative geographical location where economic, demographic and criminal justice-related parameters are comparable to Alameda County and selecting a control population from their court system

Of the three, only the first provides a truly valid control group. Thus, of every four defendants who would have been recommended for diversion and rehabilitation, three would be given only partial services or no services at all. However, at this time, the project's services are available to virtually every eligible defendant. Even if the evaluation were to include a statistically feasible design with only one control group, thereby denying services to one of four eligible defendants, there would be an outcry from project administrators and concerned citizens. This was the case in the evaluation of the Des Moines, Iowa Pre-Trial Release Program,² generally considered a model program.

The evaluator feels it is possible to do less rigorous statistical analyses of impact without the use of a control group. This sacrifices full scientific validation of the impact of Project Intercept. However, one can, through process observation, reach relatively sound, subjective judgments as to project impact. The impact on treated clients can be statistically described. The question that cannot be statistically answered (but only subjectively) is: "Would the client have done just as well without the service?" Even with a control group, this question could not be completely answered because of the many intangible, less visible benefits of the program to the client. Measures of success between control populations and client populations are not easily defined.

²"Pre-Trial Release with Supportive Services for 'High-Risk' Defendants", Evaluation Report No. 3. National Council on Crime and Delinquency, May 1973.

The decision among these options should be the choice of the users of this evaluation, although the evaluator recommends that no control group be established at this time.

B. Developmental Objectives

This phase of the evaluation will stress the development of the program as it expands its scope of operation countywide. Project Intercept has instituted two major changes regarding the scope and quality of delivery of service which are as follows:

1. The introduction of the position of Job Developer
2. The expansion of the program to the North County courts

These objectives do not necessarily convey specific quantitative criteria for measurement of impact. Rather, each has an objective of enhancing the delivery of service for the target populations served. For example, the creation of the position of Job Developer means that a full-time staff person can maintain daily and full-time contact with the employment community. Thus, the job referral phase of program treatment can be taken from the counselor, who can also devote full attention to the responsibilities of day-to-day contact with participants. Thus, it is expected that the number and quality of vocational and educational referrals will increase.

Expansion into the North County courts means that the project will serve all eligible first offenders throughout the municipal courts in the County (except Alameda Municipal Court). At this time, it is assumed that the establishment of a fully operating program in these courts, providing comprehensive services to these participants similar to those provided in the Hayward Office, will indicate an achievement of objectives. This can be measured by the following criteria:

1. An increase in new enrollments and active caseload
2. A significant increase in the rate of job referrals, placements, vocational training and educational placement
3. A significant increase in the rate of acceptance of recommendations by judges and district attorneys in North County courts

These criteria must be evaluated and assessed from the perspective that the Oakland-Berkeley Office is starting with a baseline of no enrollees, no job files, and no office facilities until February 1, 1974. The establishment of comprehensive service delivery by the end of the period of the Revenue Sharing Contract will indicate achievement of these objectives.

C. Final Evaluation

The final evaluation will include the results of a survey to be administered to judges, district attorneys, and public defenders. This survey will define the attitudes of court officers toward the project, the problem areas that they define, and their perceptions of the directions that Project Intercept should take as it continues to evolve. This methodology can be helpful to users as a planning guide in the area of pre-trial intervention and community-based corrections. It will also assist the project in correcting procedural difficulties currently encountered in the courts, and to develop a uniform methodology for court/project interactions.

D. Assessment of Project Component Services

There will be a detailed assessment of each component of project services, including the following:

1. The percentage of time allocated by counselors and job developers to each phase of service delivery
2. The philosophy and methodology of each phase of service delivery
3. A structural analysis of each component of rehabilitation, with emphasis on treatment modalities, therapeutic stages, decision-making processes of counselors, and the underlying assumptions of each

E. Statistical Methods

Statistical methods will include correlation and regression to determine comparative rates of recidivism and analysis of variance to isolate and test the significance of both treatment services and diversion techniques for areas where impact is being assessed.

END