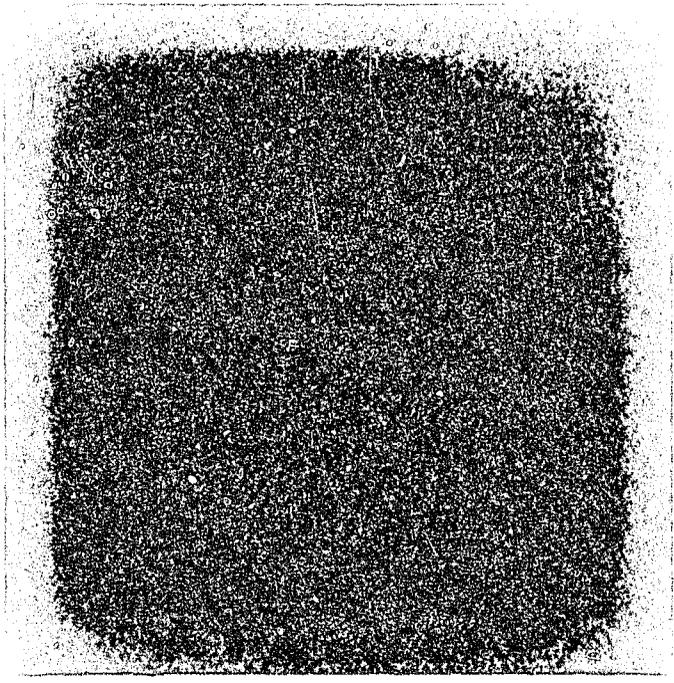


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PROBATION EMPLOYMENT AND GUIDANCE
PROGRAM II
EXPERIMENTAL ACTION PROGRAM

Prepared for the County of Monroe
and the
Monroe County Probation Department

by the

ROCHESTER-MONROE COUNTY CRIMINAL JUSTICE PILOT CITY PROGRAM
UNIVERSITY OF ROCHESTER
GRADUATE SCHOOL OF MANAGEMENT
Room 213, Hopeman
Rochester, New York 14627

Grant 74 NI-02-0002

Elizabeth Benz Croft, Director

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ABSTRACT

The Probation Employment and Guidance (PEG) Program is designed to maximize employment for unemployed or underemployed probationers through utilization of the skills of community volunteers from industrial psychology, manpower training, and personnel fields. The central mechanism for achieving this goal, as well as an impact on recidivism and general social functioning, is referral of screened probationers to a session of the Employment Guidance Council, made up of volunteer experts. Supportive assistance and follow-through is provided by the PEG Coordinator (a Senior Probation Officer) and the Community Liaison Officer, a personnel specialist.

The PEG Program, developed by the Rochester-Monroe County Criminal Justice Pilot City Program and the Monroe County Probation Department, was inaugurated in late August, 1973, with the support of the Law Enforcement Assistance Administration. In June, 1974, the Law Enforcement Assistance Administration awarded \$52,437 in discretionary funds to continue the operations of this experimental program for another twelve months and to provide an expansion of the evaluation design. Community interest and participation in the program has been strong and enthusiastic.

In the second phase of operations, referred to as PEG II, the program will operate in a streamlined version, with referral screening placed in the hands of the PEG Coordinator; more intensive preparation for each Employment Guidance Council session is also envisioned. PEG II is expected to handle 300-360 referrals, with approximately 100-120 probationers referred on to an Employment Guidance Council session.

Preliminary results of follow-up on probationers participating during the first operational phase are encouraging. A first evaluation report, based on six months follow-up data on this group of probationers, is scheduled for February, 1975. A second report, consisting of an analysis of at least 12 months follow-up data on all PEG I and the first half of PEG II probationers, is planned for early in 1976. Both reports will address the impacts of the PEG Program on recidivism, employment, and social functioning of participating probationers.

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I. PEG PROGRAM PROGRESS

The Probation Employment and Guidance (PEG) Program of the Monroe County Probation Department was designed to maximize employment for unemployed and underemployed probationers through utilization of the skills of community volunteers from industrial psychology, manpower training, and personnel fields.¹ The central mechanism for achieving this goal, as well as an impact on recidivism and general social functioning, is the referral of probationers screened by a volunteer Review Panel to a session of the volunteer Employment Guidance Council (EGC), composed primarily of personnel experts. Follow-through assistance in exploring and following EGC recommendations is provided by the PEG Coordinator (a Senior Probation Officer) and the Community Liaison Officer, a personnel specialist.

The PEG Program got underway in late August, 1973, with a preliminary planning phase. The operational phase began with the first Review Panel session on November 7, 1973, and terminated on May 22, 1974, with the last EGC session.

The program has been functioning very effectively within the guidelines of the original grant. As of March 31, 1974, a total of 139 referrals had been made to the PEG Program; 109 of these individuals had already been interviewed by the Review Panel, resulting in 23 probationers designated "not job-ready", 84 designated "job-ready", and 2 undesignated because they reported already having found jobs at the time of the interview. Of the 30 referrals who had not appeared before

¹ See Rochester-Monroe County Criminal Justice Pilot City Program, Probation Employment and Guidance Program: Experimental Action Program, September, 1973.

the Review Panel, about one-third located employment or training before scheduling, three were awaiting interviews, and the remainder were "no-shows" for whom re-scheduling is customarily attempted.

Of the 84 "job-ready" probationers interviewed by March 31, 1974, 45 were randomly selected for the experimental group. Thirty-nine had appeared for an EGC session by that time, with the remainder pending.

Community interest and participation in the PEG Program have remained strong, with a current pool of 29 volunteers available on a rotating basis to staff the Review Panel and the Employment Guidance Council sessions. Cooperation from the adult probation staff has also proved quite satisfactory; as of March 1, 1974, 92% of the probation officers had made referrals to the program. Through the efforts of the PEG staff and its participating volunteers, the Program has generated new recognition and direct involvement, not only among local industries contacted, but also among new and existing local supportive agencies and the various local offices of the New York State Employment Services. (See Appendix I.)

The research and evaluation design -- calling for debriefing interviews with all participants as well as a monthly follow-up for 6 months on all probationers assigned to either the experimental or control groups -- will require several more months to execute. It is the consensus of opinion among the PEG staff, the regular Adult Probation staff, and the volunteer participants, however, that the experimental

program thus far is proving successful. Some preliminary statistics, compiled on probationers in the program long enough to have at least one month research follow-up, are also encouraging.

TABLE I. STATUS OF PEG CLIENTS (3/13/74)

	Control Group (N=25)	Experimental Group ¹ (N=25)
% presently in programs of training and/or education leading to desired vocational goal	0.0%	8.0%
% who have acquired employment since entrance into PEG	20.0%	48.0%
% anticipated successes (jobs committed; awaiting firm hiring date)	0.0%	8.0%
% arrested for new crimes since beginning of PEG (all those re-arrested are on probation for misdemeanors)	12.0%	4.0%

¹ Includes only those probationers who have appeared before the Employment Guidance Council; individuals randomly assigned to the experimental group who dropped out of the program before attending the EGC are omitted.

While it certainly would be premature to draw any firm conclusions from such preliminary indicators (apart from the planned analysis of many other variables), Table I does lend support to the perceptions of the program's merit expressed by project staff and community volunteers.

II. ADDITIONAL ASSISTANCE REQUESTED

Additional support for the PEG Program is requested in order to: 1) extend the operational phase of the program for another 12 months, during which some variations on the original concept will be tried; 2) expand the original research and evaluation design, and provide for a long-term evaluation, based on at least 12 months follow-up on all probationers seen during the first year of operation.

A. 12-Month Extension of the Operational Phase: PEG II

Rationale

The original program design calls for a three-month planning phase followed by a six-month operational phase for the Review Panel and the Employment Guidance Council. The remaining nine months covered by the grant were to be devoted mainly to execution of the research and evaluation design, including the necessary follow-up, data processing and analysis, and preparation of the final evaluation report.

There were two paramount reasons in the original program design for restricting the operational phase to only six months. First, the feasibility of adapting a program like PEG to the probation setting was an open question. In particular, it was impossible to assess in advance whether good cooperation from probation officers could be obtained, and whether the early positive responses elicited from community volunteers would translate into continuing and enthusiastic support of the program. A second reason for the six-month operational

phase was simply that the proposal was prepared and submitted very late in fiscal year 1972-73, when most Pilot City discretionary funds were already committed.

Now that earlier uncertainty about the feasibility of implementing PEG has been alleviated, and early returns on the program are encouraging, a more extended trial of the program concept seems warranted. The extended operational phase proposed -- PEG II -- would run from June, 1974 through May, 1975, concurrently with the research and follow-up activities of the evaluation staff. The evaluation report based on six months follow-up will be completed in February, 1975, as originally scheduled.

Above and beyond the direct services extended to probationers participating during this period, the operational extension will have other benefits. It will allow experimentation with some program modifications suggested by the experience thus far, and will also facilitate eventual institutionalization should program success be demonstrated.

The original timetable mandated a major break in program services while waiting for final evaluation results -- a break which the assistance requested would prevent. It is apparent that compliance with the original timetable requires cutting off the impressive community involvement in the program for several months, thereby slowing the momentum and necessitating another, although presumably smaller-scale, recruitment effort to re-institute the program. Similarly, gains made by PEG staff in achieving recognition and cooperation in the local employment/training community, as well as in securing probation

officer support, risk almost certain erosion during a long gap in PEG operations. In short, re-introduction of the program after several months' inactivity will incur new "start-up" costs, both monetary and nonmonetary, that can be avoided by continuing operations beyond the completion and publication of the six-month follow-up evaluation report in February, 1975. Under the revised timetable (Chart I), the PEG Program would operate 3 months beyond this date. Assuming a favorable evaluation report, these three months could be used to develop continuation funding for the program beyond May, 1975; a smooth transition could thereby be effected without necessitating any break in program services.

While many issues of program operation will remain open until some evaluation results are available, PEG staff and community volunteers are almost unanimous in feeling that some program modifications are obviously called for at this time. The 12-month extension would allow incorporation of two such changes. The research design will be expanded to allow eventual assessment of these changes.

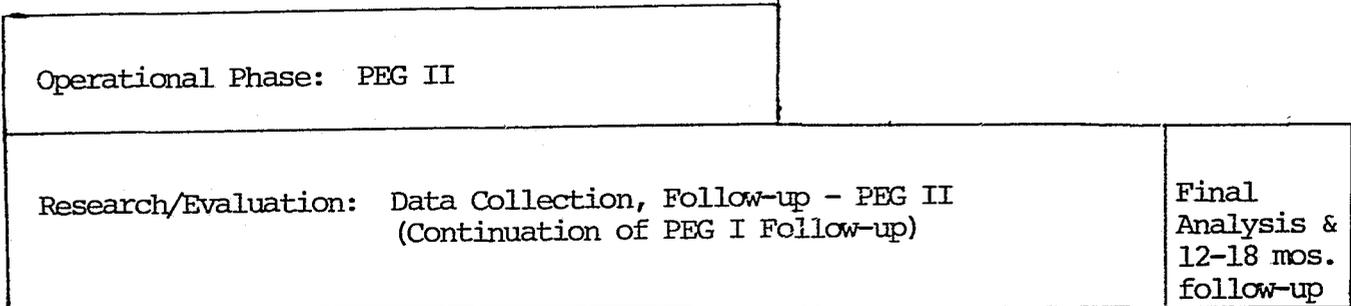
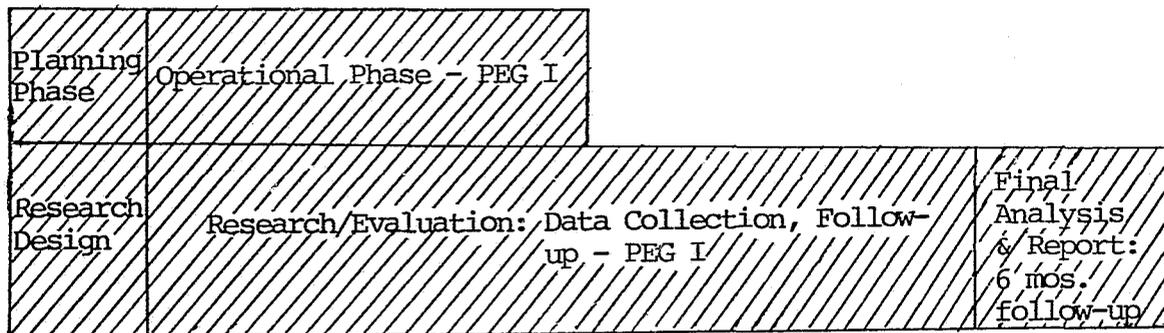
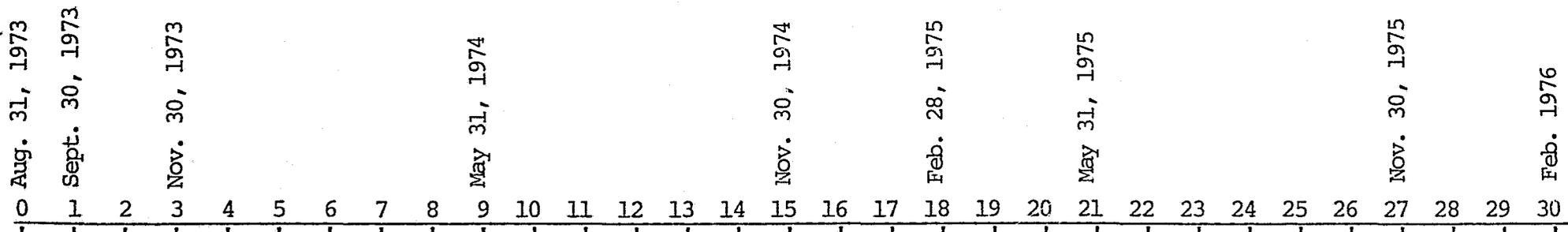
Program Modifications

A comparison of the PEG II Flow Chart (Chart II) with the original flow operative to date (Chart III) will clarify the proposed modifications in program operations. The main modification occurs in the area of intake; the second involves preparation for the EGC session.

(1) Intake

During PEG II, the Review Panel will be abolished and its

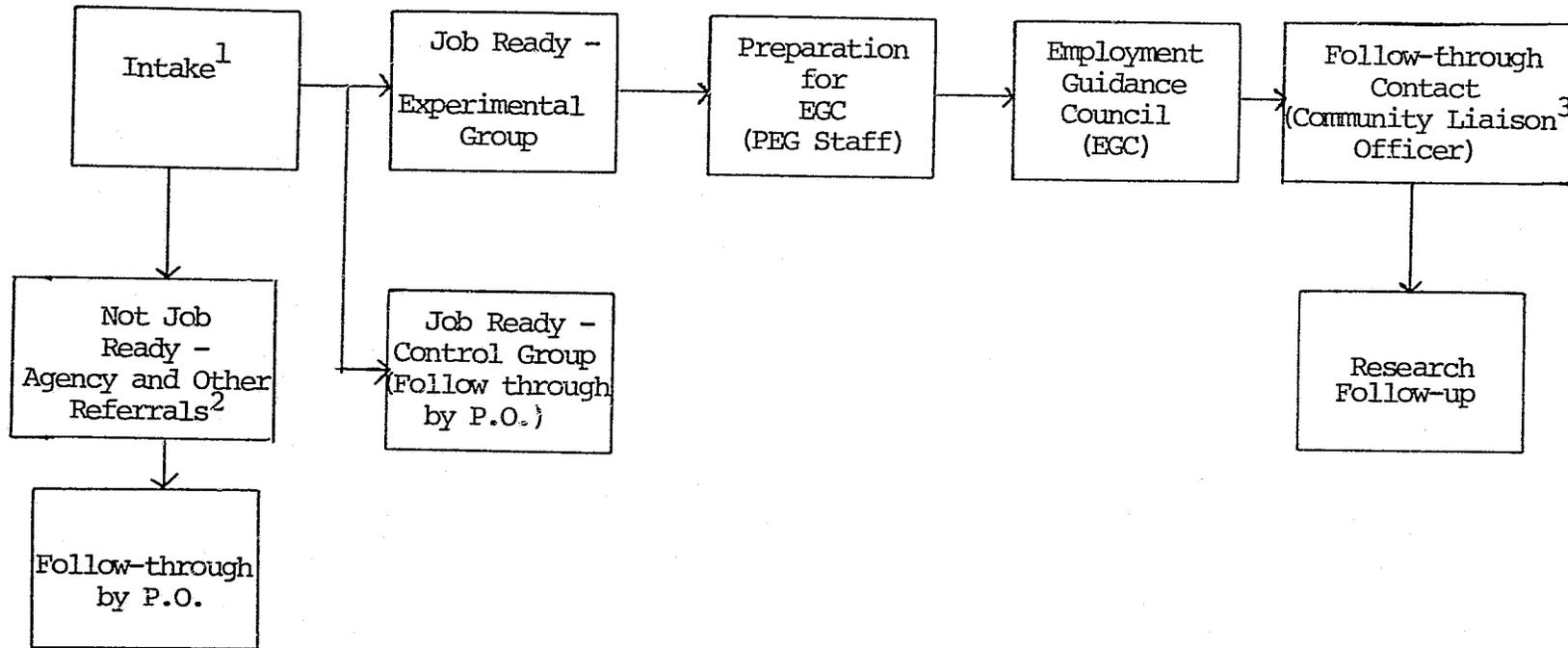
CHART I: PEG TIMETABLE



Key:  Activities Covered by PEG I (Original Grant)
 Activities Covered by PEG II (Proposed)

CHART II

FLOW CHART - PEG II



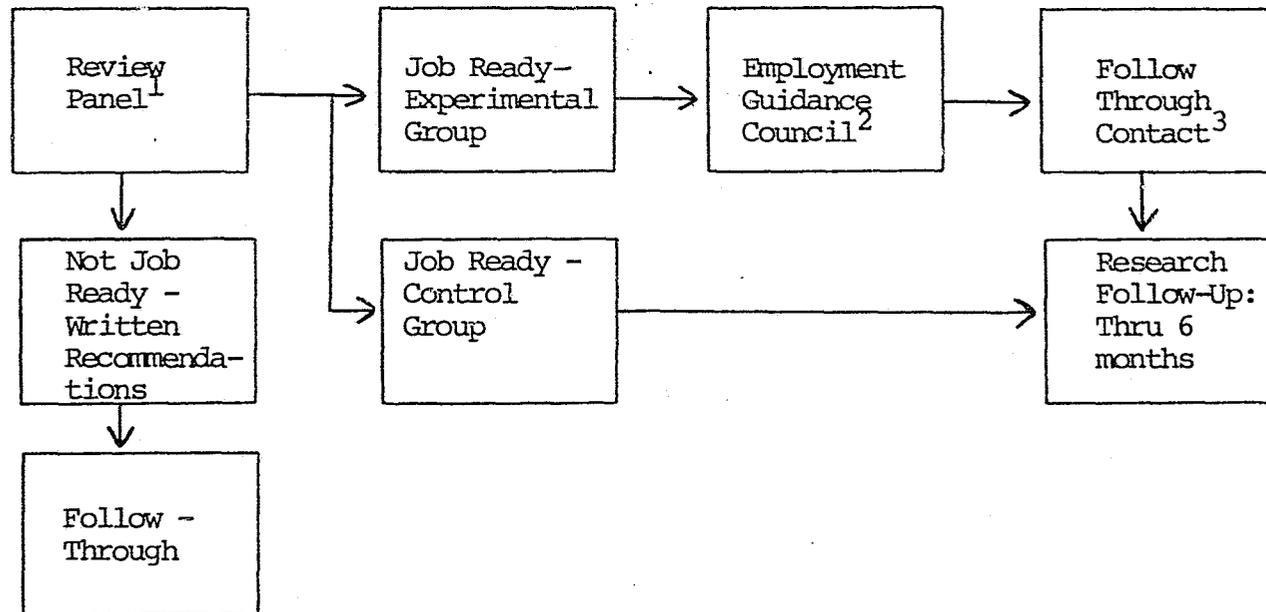
¹ PEG Coordinator will initially interview, screen, evaluate each applicant referred by Probation Officer, determine job readiness, and make recommendations.

² Referrals to existing agencies, training programs, or professional, medical, and/or psychiatric assistance.

³ Follow-through assistance, including vocational counseling, job development efforts, interview scheduling. Done in cooperation with PEG Coordinator and Probation Officer.

CHART III: PEG Program

Monroe County Adult Probation System Flow Chart



¹Industrial Psychologist, personnel specialist, manpower training specialist and senior probation officer (PEG Coordinator).

²Employment and personnel professionals from local businesses and industries.

³Done in cooperation with Adult Probation Officers.

screening and recommendation/referral functions will be transferred to the PEG Coordinator, assisted by the Community Liaison Officer. The following considerations form the rationale for this change:

1) The two-panel structure (Review Panel and Employment Guidance Council) involves much duplication in expenditure of professional energy, material covered, and approach. The Review Panel, designed to simply analyze, screen, and refer, particularly experiences frustration in not being able to consider resolving problems. The depth of knowledge and experience represented in this group is being under-utilized in its current role, which amounts to conducting a relatively brief interview, especially with those probationers who appear "job-ready."

2) The time of Review Panelists is sometimes wasted due to no-shows (currently running about 10%). This does not inspire community people who are volunteering their time, and also presents real scheduling and re-scheduling problems. The simplified one-panel process, in combination with the EGC preparation discussed below, should cut down the no-show problem.

3) In the determination of job readiness, the Review Panel has tended to exclude only those: (a) not interested in working; and (b) those in need of professional services before being able to approach the labor market. Professional diagnosis and recommendations by the panel generally have

been limited to referral to appropriate agencies. It appears that the PEG Coordinator, who will have chaired the Review Panel throughout the first operational period, will have sufficient exposure to the Panel's guidelines, approaches, and recommendations to perform the screening/recommendation functions in PEG II.

4) There appears to be frustration on the part of the probationer, who does not fully comprehend the two-panel process and the time span involved, and sees himself as having come out of the first panel with little practical benefit toward job solutions. The probation officers probably experience some of this same frustration with the two-panel process; streamlining procedures would represent a saving of probation officer time.

This modification can be implemented very simply by having all referrals from probation officers submitted to the PEG Coordinator, who will conduct a screening interview of 15-30 minutes with the probationer and develop written recommendations. He, rather than the Review Panel, will formally designate the probationer as "job-ready" or not; the Research Analyst will then inform him whether the job-ready client has been randomly selected for the experimental or control group. All community volunteers currently in the Review Panel pool will be incorporated into the pool of EGC members.

(2) Preparation for the EGC

The experience of the first operational phase has shown that verification and amplification of information contained in the referral and application forms -- including reference checks, retrieval of school transcripts and aptitude test scores, and other items pertinent to employability -- are valuable preliminaries to the EGC session. The session can generate more effective recommendations, and the PEG Coordinator and Community Liaison Officer can proceed to work with the probationer immediately after the EGC, without delaying to do after-the-fact information gathering.

While the PEG Coordinator and Community Liaison Officer currently attempt to do some pre-session information-gathering, time limitations have made it difficult to handle all cases in this way. During PEG II, the staff will attempt to regularize an expanded preparation procedure, including: 1) a brief orientation to the PEG Program, which explains clearly to the probationer what will be required of him and what kinds of advice or outcomes he might expect; 2) a verification and amplification of information provided by the probationer and his probation officer on referral forms, application forms, etc.; 3) general aptitude testing for probationers who have never had testing.

It is intended that this preparation will be done in the 1-2 week period following selection for the experimental group, thereby paralleling the 1-2 week wait now customary between screening and the EGC session. Much of the preparation -- e.g., orientation and testing -- can be done efficiently in group sessions of 4-5 probationers. The

main thrust of this modification is to upgrade the quality of information being given to the EGC members, with the orientation procedure intended to minimize the no-show problem as well.

Projections for PEG II

The target date for initiation of PEG II would be June, 1974, thereby minimizing any disruption to program operations. The rate of PEG referrals to-date has been running at approximately two-thirds of the number estimated in the original grant proposal, although assignment to the experimental group has been running slightly ahead of predictions. Therefore, projections are that PEG II would handle 300-360 referrals, with approximately 100-120 probationers selected for an Employment Guidance Council session. These estimates take into account a possible slackening of referrals during the summer, a peak vacation time for probation officers. PEG II referrals should, however, average 25-30 per month, with an average of 8-10 monthly referrals to EGC counseling.

Some reorganization of Monroe County Probation Services is currently under discussion, which may result in an expansion of PEG's potential target population to include unemployed and underemployed Family Court probationers. It is felt that the PEG Program could accept some additional referrals from this source and that such referrals should pose no unusual or unique service problems. Therefore, in the event that the referral base is broadened, referrals should approach or exceed the upper limits defined above.

Scheduling of EGC sessions during PEG I has been done on

an "as-needed" basis; however, this policy has generally resulted in one session per week except at major holiday seasons. Informal discussions with participating community representatives have suggested that the summer months are characterized by a particularly "slow" job market. Not only is summer a popular vacation time for business and industry employees -- including those in personnel offices -- but the market is also flooded with high school and college students seeking temporary employment. The community experts believe that it would be preferable to defer handling EGC referrals to a time when there is more real hope of success for probationers in the job market. Therefore, in keeping with this advice, a reduced schedule is planned for July and August, with only one EGC session in July and two sessions in August. Normal scheduling will proceed through June and resume in September, with additional sessions scheduled to handle any backlog of referrals if necessary. (The absorption of Review Panel members into the EGC pool should allow for considerable scheduling flexibility.)

Personnel Needs

Extension of the PEG Program's operation for an additional twelve months and incorporation of the described program modifications will require extending employment of the operational staff beyond the time specified in the original grant. In addition, an expanded role for some staff members is envisioned, involving some increment over the staff level maintained in PEG I.

- 1) Full participation in the program will be required of the PEG Coordinator and the current Stenographer-Grade II

through May, 1975. While the general role of the Coordinator will remain substantially the same, aside from his new duties as referral screener, some changes in the Stenographer's role are planned. The latter is now thoroughly familiar with most facets of PEG and in addition to performing some stenographic duties, will assist in two other areas of activity: 1) making telephone contacts for the PEG Coordinator and Community Liaison Officer: to reduce no-shows, resolve scheduling problems, and to do verification of information on referral and application forms; 2) coding and data collection, under the supervision of the Research Analyst.

2) Services of an additional Stenographer-Grade II will be required for approximately 30 weeks. This person will assume many of the stenographic duties of the current Stenographer, especially the very time-consuming preparation and dissemination of the minutes and recommendations resulting from EGC sessions.

3) Services of the EGC Chairperson will be required for an estimated additional 50 EGC sessions.

4) The Community Liaison Officer's services will be required through May, 1975. Through most of this time, her services will be required about 15 days per month.

B. Expansion of the Research/Evaluation Component

Rationale

The early success of the PEG Program experimental group indicated by the preliminary tallies of persons entering training, finding jobs, etc., has suggested that the program should receive a more intensive evaluation than was originally planned. The current research design calls for a 6-month research follow-up on all participating probationers; it is now felt that this time period may well be too short to evaluate any possible "falling-off" of the initial positive impacts on probationers which seem so apparent at this stage. (One might say the principle being applied here is that the better a program appears to be, the better and more intensive an evaluation it deserves.)

The addition of a PEG II operational phase, incorporating some variations on the original concept, also argues strongly in favor of an expanded research design which can compare PEG I and PEG II operations and analyze any differential impacts on probationers participating in the two different periods.

Finally, a more basic reason for some expansion lies in the fact that the PEG I experimental and control groups will apparently exceed the numbers projected in the original program plan. Approximately 81 experimental and control members had been expected to be involved, but as of March 31, 1974 -- with approximately two more months of operation to go -- that number had already been reached.

This obviously places some additional burden on the Research Analyst, particularly since he will also be faced with continuing the monitoring of additional probationers under PEG II as well.

Proposed Modifications

A two-stage research and evaluation strategy is proposed. The first stage will consist of the execution of the original research design, with some expansion of scope of work, but culminating in the six-month follow-up evaluation report as planned in February, 1975, (Month 18). The second stage of the research will consist of an analysis of at least 12-months follow-up data on all experimental and control probationers participating during PEG I, as well as all those participating during the first six months of PEG II operations. This information will be available for analysis at the end of November, 1975 (Month 27), and analysis could be completed in a 3-month period ending February, 1976, (Month 30).

Stage One

During this time, the work will proceed substantially within the framework of the original research design. The format and scheduling of the debriefing for probation officers, Review Panel members, and EGC members, will be modified slightly, however, to conserve time and elicit reactions to PEG I before the new operational phase begins.

During this time the Research Analyst will continue to administer various research instruments designed for PEG I probationers

to PEG II probationers, and will maintain similar follow-up procedures. It is anticipated that the Research Analyst will also supervise the collection of additional information for comparative analysis on unemployed and underemployed probationers who did not participate in the PEG Program. This analysis, if it proves meaningful, will be incorporated in the 6-month follow-up evaluation report. In addition, some analysis of the process of PEG II based on observation and interviews with participants (staff, volunteers, probationers, and probation officers) will be incorporated. However, follow-up on this phase will be too preliminary to support intensive quantitative analysis.

During this time period extra research assistance will be required for the Research Analyst, as well as some consultation with a research/evaluation specialist. This consultant will also be responsible for outlining a long-range plan for the quantitative analysis of the 12-month follow-up data, when it becomes available.

Stage Two

Upon completion of the six-month evaluation report, the Research Analyst will be responsible for setting up long-term data collection procedures, including a follow-up strategy and coding procedures so that adequate monitoring can be continued with a minimum input of man-hours. He will orient a part-time research assistant to such procedures, as well as the overall program design, so that this person can monitor and tabulate data after May, 1975, and prepare it for computer processing.

Assuming that the 6-month evaluation report does identify program impacts worthy of longer-term testing, a research/evaluation specialist will be sought to conduct a post-November, 1975, quantitative analysis and produce a final evaluation report. The determination that such a long-term analysis should be conducted will be jointly made by the PEG Project Director and the Director of the Pilot City Program. The outline for long-term analysis prepared by the research/evaluation specialist retained in stage one will be used as a guideline for this analysis.

Personnel Needs

- 1) The services of the Research Analyst will be required for an additional 3 months, to monitor and conduct research through the end of this new operational phase (May, 1975), to develop continuing data collection procedures, and to orient a part-time research assistant to carry out the procedures.
- 2) As outlined under personnel needs in Section A above, the current Stenographer-Grade II will assist in some data-collection and coding, under supervision of the Research Analyst.
- 3) Approximately 500 hours of Research Assistant time will be required to assist the Research Analyst in preparation for the quantitative analysis, programming, and performing the analysis.

4) A research/evaluation consultant will be required to outline a plan for the quantitative analysis of the 12-month data and to provide some advice and consultation to the Research Analyst and Assistant responsible for the six-month evaluation. A total of 18 days involvement is estimated to meet this need.

5) Two hundred hours of Research Assistant time will be required to maintain data collection over the period June, 1975, through November, 1975.

6) A research/evaluation specialist will be retained to perform the analysis of the 12-month follow-up data and produce an evaluation report.

APPENDIX I. COMMUNITY REACTION TO P.E.G. I

Prepared by Robert Norton, P.E.G. Coordinator

Community interest, involvement, and support would seem to indicate evidence for the present value of this program to the community, and to warrant its contribution to further development of community awareness and to maintenance of support thus far achieved.

Community people have volunteered to participate. Several are waiting to serve on a panel. Professional people have expressed their interest in trying to help at the probation level where they feel that they can do some good, in getting involved in the area of employment where they can function professionally, and in becoming acquainted with the criminal justice system while being exposed to the specific problem of the individual.

In addition to those various firms represented by members of the panels, much contact has been initiated within the community. (See attached exhibit.)

The responses to the Probation Department getting into the professional area of employment have been those of surprise, interest and support. (There were a few companies who had had contact with Probation Officers. Many did not know of the Probation Department's organizational structure, however, or its function within the criminal justice system.) We now receive two companies' employment needs in writing. We have endeavored to establish relations on the basis of meeting the needs of the employers and representing their interests

in resolving our mutual concern with proper placement. Employers seem to look upon probationers more positively as still within the "preventative" stage rather than "rehabilitative." This seems to allow them to consider more options and to express less concern for the crime and more concern for the individual's place in the labor force. There is much willingness to offer job possibilities if the probationer provides the motivation required.

Judges are interested in the program. More Probation Officers are getting involved. More officers have expressed greater confidence in utilizing the program. We know that at least one probationer recommended PEG to another probationer.

Awareness of PEG (the Probation Department getting involved in employment and its interaction with members of the community) is just now coming about and needs to be pursued to take advantage of the inroads into the community now developed, and to increase these further.

EXHIBIT

Contacts and Visitations have been made to:

Agencies Visited:

USES (3 offices)
Concentrated Employment Program
Urban League
Baden Street Settlement
High School Equivalency Program (Adult Ed.)
Educational Opportunity Center
Industrial Management Council
Rochester Jobs Inc.
Rochester Rehabilitation Center
(Al Sigl Center)
Office of Vocational Rehabilitation
Veterans Outreach
Threshold Learning Center
Jail Program
Supportive Services

Employers Visited:

Pfaudler
R. F. Communications
Ritter
Taylor
General Railway Signal
Tobin
Bausch & Lomb
Rochester Telephone Co.
Gleason Works
Xerox (Webster)
Great Lakes Press
Davenport Machine Tool
Highland Hospital
Stromberg-Carlson
Mixing Equipment Co.
Fischer Optical Co.

Companies and Agencies represented by members on the panels are:

Gannett Newspapers
Lincoln First
Xerox
Sybron
Kodak (office)
Kodak Park
Bausch & Lomb
Ward's Natural Science
Hartman Engineering
General Railway Signal
Rochester Telephone Co.
Monroe Community College
Former N.Y.S. Employment
City of Rochester
Rochester Institute of Technology

Sibley's
Former Manager Industrial
Management Council
Case-Hoyt Printing
Rochester Products (G.M.)
University of Rochester
Urban League
Rochester Jobs Inc.
Singer-Graflex Program
Office of Vocational
Rehabilitation
Empire State College

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