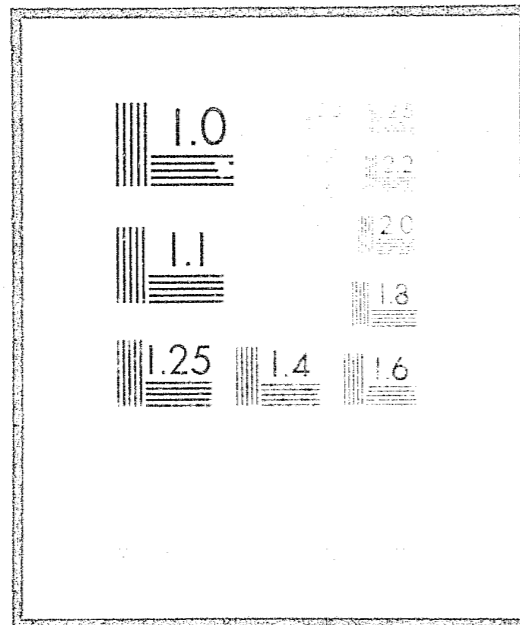


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FROM
COMMONWEALTH OF PENNSYLVANIA
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Box 1661
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ANNUAL REPORT
Development of Specialized Units
of the Pennsylvania Board of
Probation and Parole
October, 1971 to June, 1973

LEAA

MAY 5 1976

NCJRS

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FINAL REPORT

ACQUISITIONS

Development of Specialized Units
of the Pennsylvania Board of
Probation and Parole

DS- 471-74

Submitted to

Pennsylvania Board of Probation and Parole

- Fred W. Jacobs, Chairman
- William F. Butler, Board Member
- Verdell Dean, Esquire, Board Member
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and

Pennsylvania Governor's Justice Commission

Prepared by:

Research and Statistical Division
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 Pennsylvania Board of Probation and Parole

April 9, 1976

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I EVALUATION SUMMARY AND CONCLUSIONS

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Project Overview

The intent of this summary is to provide the Agency with a digest of evaluative findings on program effectiveness. Since effectiveness can be meaningfully evaluated only when viewed in relation to some standard, this study focuses on goals and objectives set forth in this subgrant's application for LEAA funding. A LEAA subgrant application is in reality an annual program plan. To facilitate an understanding of this report's findings, an overview of project objectives is presented below.

The Specialized Units subgrant encompasses three distinctive functional groups: intensive client supervision, pre-parole case analysis and Agency management review. The objectives of intensive supervision are to contribute to the reduction of offenders being returned to prison, provide the community with protection from crime prone offenders, and improve client employment status. The objective of the Case Analysis Unit is to provide a professional review and summarization of client information for parole decision-making. In addition, specialized case analysts develop individual supervision treatment plans and identify "high risk" clientele who can be paroled to intensive supervision units. The management review unit provides for the continual review and analysis of operations and management. Since management analysis and procedures development are activities that are not amenable to evaluation, they were not the focal point of this study. Most of the evaluation concentrated on the intensive supervision units because they impact directly upon client behavior. The Case Analysis Unit was also reviewed although most descriptive information was generated prior to the interim evaluation period.

The research design for this evaluation was a comparison of probation and parole outcome performance of clientele in specialized units with similar subjects in general supervision units. Good comparison groups were difficult to isolate because of data limitations. Available data constrained both meaningful evaluation and the possibility for generalization. Substantial changes have been made in data collection procedures to remedy these limitations for next year's evaluation cycle. This evaluation covered a period beginning October, 1974 through June, 1975.

Statistical measures of program effectiveness were compiled and analyzed in the Board of Probation and Parole's Central Office using the Agency's statistical reporting system. The project evaluators consisted of an in-house evaluation team from the Agency's Research and Statistical Division. The Pennsylvania Board of Probation and Parole allows evaluation activities to be conducted without Agency interference to insure integrity and independent judgment in the assessment of program performance.

This evaluation report has been divided into two analytic sections: a) an analysis of probation and parole outcome measures, and b) an analysis of program output activity and operations. Although most of the evaluation focuses on quantitative information regarding the performance of intensive supervision units, extensive interviewing was also undertaken in order to delineate operational policy and describe functional processes in both the

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specialized supervision units and the pre-parole case analysis units. Detailed interview information may be found in the attached interim report.

Findings and Conclusions

1. The objectives of "intensive" supervision vary among the specialized supervision units depending upon target population and geographic locality.

Interviews revealed that specialized "intensive" supervision meant different things in different localities. Evidence of different objectives was demonstrated by differences in client intake criteria among units in Philadelphia and Pittsburgh. The Philadelphia Intensive Parole Unit concentrates on high risk offenders who have been identified by the specialized Case Analysis Unit and have intensive supervision imposed by the Board as a condition of release. Intensive parole supervision is intended to impact upon crime prone offenders whose release was granted because of the availability of a specialized intensive supervision unit. The Philadelphia Intensive Probation Unit concentrates on 'difficult' probation cases identified by the Court, or by agents who feel an offender needs maximum control. Both Philadelphia units aim at providing the community maximum safeguards against potential crime from offenders who live in high crime urban areas.

The Pittsburgh intensive probation unit attempts to provide maximum coverage of all probation cases in Pittsburgh's high crime urban areas. The objective of Pittsburgh's intensive probation unit was to positively impact upon the less serious offender, especially first offenders, so as to abort their criminal careers in presumably their early stages of development.

Client transfer policy also varied among this subgrant's specialized supervision units. The Philadelphia intensive parole unit transfers "improved" cases to general caseloads where "regular" grades of supervision may be administered. This was not found to be a policy of intensive probation units in either Philadelphia or Pittsburgh except for those clients who may qualify for the program for Social Rehabilitation Services.* Since both client intake criteria and transfer policy have a profound effect on the Agency's ability to assess performance and program accomplishments, a recommendation has been made below concerning goal specification in future project planning.

*The Social Rehabilitation Service of the U.S. Department of Health, Education and Welfare provides funds through the Department of Public Welfare for special services for welfare recipients and drug or alcohol dependent clientele who are on parole.

2. Recidivism when measured by parole recommitments and probation revocations as a percent of total cases closed, was found to be highest in the Philadelphia Intensive Parole Unit (69%) and lowest in the Pittsburgh Intensive Probation Unit (8%). The Philadelphia Intensive Probation Unit showed some improvement during the last quarter of the evaluation period with an unsuccessful case closure rate of 23% for the evaluation period. The wide variation in results was assumed to reflect differences in target group composition and in transfer policy rather than differential program effectiveness. Based upon available comparative evidence, it was tentatively concluded that intensive supervision is positively impacting on its target populations.

One of the major difficulties of this evaluation has been data constraints which precluded the development of meaningful comparison groups. Without base line data on similar subjects, the evaluation of the specialized intensive supervision units is judgmental if not conjectural. For example, it would appear that the concept of intensive probation as it is applied in Pittsburgh has been successful in deterring the less serious offender from crime. Notably, fewer of the intensive probationers in Pittsburgh were revoked regardless of whether a case closure measure or a rate per average monthly caseload measure was developed. However, exactly how much of this outstanding performance is attributable to the effects of intensive supervision and how much is attributable to the good risk "first offenders" in the populations is not known. First offenders are less likely to recidivate regardless of the supervision grade. This analysis gave the benefit of the doubt to intensive supervision as a causal factor and assumed a positive impact on probationers. If, in fact, the lack of a prior criminal record is a dominant characteristic of this population, the need for intensive supervision may be questioned. This example demonstrates that although this study has been successful in the development of accurate case supervision outcome measures as base line data, further investigation is needed to substantiate whether programmatic variables are causally responsible for results.

In regard to the Philadelphia Intensive Parole Unit, the relatively high percentage of unsuccessful closed cases may be attributable to "high risk" characteristics found among these parolees and to the fact that improved cases are transferred, but there is no direct evidence that intensive parole has benefited these offenders in a positive way, or that intensive supervision was as effective as it could have been under these "high risk" circumstances. Clearly, further investigation is needed using more rigorous assessment techniques before a meaningful evaluative judgment can be rendered. The Research and Statistical Division had embarked upon a new client cohort tracking procedure which should increase the analytic utility of outcome measures for program assessment and decision-making.

3. Arrests as a percent of average monthly caseload were occurring at an average rate of 5.5% per month for Philadelphia's intensive parolees in comparison with 4.9% for intensive probation clientele and only 3.2% for general supervision parolees. Arrests as a percent of average monthly caseloads in Pittsburgh were occurring at a rate of 2.0% per month among intensive probationers and 1.4% per month among general supervision clientele. In all groups, new charge police arrests for alleged new crimes were far more prevalent than technical arrests for violation of probation or parole.

Given the high risk characteristics of the intensive probation and parole groups in Philadelphia, it might be expected that violations of the law are more likely to occur than among general supervision clientele. Since aggregate arrest data reflects the cumulative frequency of crimes rather than new offenders, it must be assumed that the frequency of arrest among arrested individual offenders is comparable in all groups. Given this assumption, relatively more frequent total arrests and less frequent technical arrests among specialized units' clientele raises questions about the effectiveness of "intensive" supervision in reducing crime, or more importantly, the effectiveness of agent intervention prior to violation of the law. It may be argued that agent effectiveness has been optimized in this regard and new crimes would have been even more frequent without the benefit of intensive supervision; this issue cannot be addressed with available data. Nevertheless, when an agent's responsibility to safeguard the community from crime is coupled with the high risk prognosis of the Philadelphia clientele, more active pursuit of client misconduct is a reasonable expectation of the intensively supervising agent.

Since the objective of the Pittsburgh Intensive Probation Unit is oriented toward impacting upon the nascent offender, it was surprising to observe more frequent arrests than general supervision clientele. These results were not consistent with recidivism data measured by revocations per average monthly caseload. Theoretically, these probationer arrests may be for less serious crimes and subsequently, probationers are more frequently continued under supervision. Empirical analysis of Agency arrest data reveals that probationers are more frequently arrested for minor crime and do get continuances more often than parolees. Nevertheless, based upon an arrest criterion of effectiveness, similar questions on Pittsburgh agent performance may be raised.

4. The rate at which clients are classified as unconvicted violators by agents was found to be nearly twice as high among Philadelphia's specialized units' clients as general supervision caseloads in the same district office. The rate at which Pittsburgh's intensive probationers were classified unconvicted violators was slightly higher although insignificantly different in a statistical sense, from general supervision clientele.

This finding is consistent with other recidivism measures and is attributable to the high or low risk characteristics of the target population depending upon locality. When Philadelphia special units were examined separately, intensive parole had proportionately more clients declared "at risk" (3.6% of caseload per month) in contrast with intensive probation (2.0%) or general supervision (1.6%) clientele. Pittsburgh's intensive probationers were at risk on the average of 1.3% per month in contrast with 1.1% among general supervision clientele.

5. Specialized Units were found to have consistently lower employment levels than general supervision clientele in the same geographic area. Intensive probation units were consistently higher than the intensive parole unit in client employment levels. The Pittsburgh intensive probation unit was only slightly lower than general supervision cases but intensive parole clientele in Philadelphia was conspicuously disparate in comparative employment levels regardless of survey period. It would appear that although intensively supervised probationers are being reintegrated in their economic communities, intensive supervised parolees in Philadelphia fared poorly with respect to this performance criterion.

Revised computations for the Agency's June, 1975 employment survey indicated about 57% of the intensive parole units' clientele who were able to work, were employed in comparison with nearly 66% among intensively supervised probationers and 69% for general supervision clientele. Pittsburgh's intensive probation unit also had approximately 66% of its able bodied population employed in comparison with nearly 68% among Pittsburgh's general supervision caseload.

6. Available caseload data indicated that average agent caseload size within specialized units has been maintained at prescribed grant standards of approximately 50 clients per agent.

Although intensive parole cases in Philadelphia decreased slightly in number since the start of this evaluation, intensive probation cases increased by nearly one hundred percent. Despite this rapid change in total caseload, case management staff maintained caseload size levels below fifty clients per agent. During the second quarter of 1975, the intensive probation and parole units in Philadelphia were carrying average agent caseload sizes of about 44 clients per agent and intensive probation in Pittsburgh had an average of 50 clients per agent. In contrast, general supervision caseloads had average caseload sizes of 52 and 65 clients per agent in Philadelphia and Pittsburgh respectively.

7. *An analysis of caseload status shows that the higher risk intensive probation and parole caseloads in Philadelphia had proportionately fewer clients under "active supervision" at any point in time than general supervision caseloads. Not unexpectedly, the reputed lower risk intensive probationers in Pittsburgh had proportionately more clientele under "active supervision" than local general supervision clientele.*

An 'active supervision' case may be defined as a client who has personal contact with the agent as opposed to 'active casework' supervision where the offender has absconded or is detained because of new charges or mental illness. Intensive parole caseloads had an average of about 76% in active supervision in contrast with about 88% among Philadelphia's general caseloads. Philadelphia's intensive probation unit had about 86% of its caseload under active supervision. Pittsburgh's intensive probation unit had about 90% under active supervision in comparison with only 84% in general caseloads.

8. *An analysis of the frequency with which agents contact clients or collateral acquaintances indicates that agents in specialized units are having more frequent contact with clients, or collateral associates than general caseload agents in their respective district offices. Intensive parole clientele were contacted more frequently than intensive probation clientele but substantially more frequent collateral contacts were made for intensive probation units than intensive parole units. The data supports the contention that the grade of supervision in terms of contact frequency is higher in specialized units as the grant intended.*

It was observed that Philadelphia agents serving intensive supervision parolees in this grant made an average of 70 client contacts a month for every fifty clients "actively" supervised in comparison with about 55 contacts among intensive probationers and 42 contacts among general caseload clientele. Intensive probation agents in Pittsburgh made about 51 client contacts a month for every fifty clients actively supervised in comparison with only 38 contacts a month among general supervision caseloads. In terms of collateral contact frequencies, the intensive probation agents in Pittsburgh made nearly 90 collateral contacts per month for every fifty clients under supervision in contrast with only 60 collateral contacts a month in general supervision units.

9. *An analysis of client needs and client referrals in Philadelphia suggests that specialized units are utilizing available community resources to facilitate the reintegration of offenders into their community. Although most frequent referrals were for job placement services, employment remained the most pervasive unmet client need cited throughout the evaluation period*

About 87% of the cumulative client needs reported for Philadelphia in a survey pertained to employment. Although there was an apparent correlation with client referral patterns, high actual unemployment levels among Philadelphia's specialized unit parolees underscores the importance of this critical supervision problem. These results suggest that Philadelphia's specialized parole unit may need additional program inputs to overcome its unemployment problems.

10. *A follow up analysis of the case analysis unit's role in parole decision-making suggested that although the professional information processing function of the case analysts may account for a fifteen percent increase in the number of applicants who were granted parole, the increase in applicants who were actually released was only twelve percent when four year averages before and after the grant's inception are compared.*

Decentralized decision-making and improved information processing in pre-parole analysis may have increased the probability of parole but the rate of actual release has been deflated by unknown factors. More specifically, although 75.9% of the applicants were granted parole on the average since 1972, only 65% were actually released. Before 1972, an average of 60% were granted parole and only 52% were released. Possible causal factors include increased institutional misconduct prior to release, increased frequency of being paroled to detainers, or increased failures in the formulation of approved parole plans prior to release.

11. *Extensive staff interviews with staff of the Board of Probation and Parole and Board Members indicated that professional information processing and summarization by the Case Analysis Unit streamlined the parole decision process, improved decision-making risk assessment and facilitated more equitable use of Board discretionary authority.*

Improvements described in detail in the attached interim evaluation are serving as a stepping stone in the Board's ongoing effort to further refine information processing and use in case decision-making. A long range goal of this effort is a data reduction system which identifies critical information, structures discretion and improves decision sensitivity in terms of selecting offenders who can best be served by various parole treatment alternatives. Specific accomplishment of the case analysis unit cited in the interim evaluation report included improved organization of client data, more complete information, improved parole plans, and improved risk assessment, all of which has saved the Board considerable time in reviewing cases and presumably enhanced the judiciousness of their decisions.

Recommendations

This subgrant covers a wide range of varied activities and sub-objectives which are intended to improve the efficiency and effectiveness of parole supervision. One of the problems which confronted the evaluation staff was the fact that program objectives were stated in broad conceptual terms and operationalized in a diverse manner. This was found to be especially

true for the intensive supervision units. As a result, different research questions must be posed for each operational expression of the specialized unit concept because different theories, assumptions and expected results are at issue. This report has begun the process of refining and specifying goals and objectives so that an evaluation can be undertaken which is meaningful. However, an evaluation is an ex post facto analysis; a more appropriate place for goal specification is before the fact, in the project plan rather than afterwards. *This evaluation therefore recommends that future grant applications for this project include more specific measurable objectives which make explicit the program assumptions and intended results.*

The Philadelphia intensive parole population evidenced relatively poor adjustment to parole supervision both in terms of remaining an actively supervised case and in refraining from behavior which leads to police arrests. In light of the fact that 1) the Philadelphia specialized parole unit targets upon cases diagnosed as "high risk," that 2) police arrests were occurring at a substantially higher rate than among general supervision cases, and lastly, that 3) "intensive" supervision is intended to co-opt unlawful behavior, *it is recommended that intensive parole agents be required to exercise their arrest authority with greater vigilance prior to illegal behavior to reduce the number of crimes being committed by these recognized dangerous offenders.* This recommendation would also apply to intensive probation populations which target upon cases professionally diagnosed as potentially troublesome.

Employment is known to correlate positively with successful parole adjustment. The Philadelphia intensive parole population not only had higher recidivism rates but also were more frequently unemployed in comparison with other offender groups examined. The more "difficult" intensive probation client in Philadelphia was also characterized with these performance attributes. *It is recommended that employment be a more actively enforced condition of parole for these high risk clientele and that the Agency mobilize more fully all employment advocate resources to target on job placement for these intensive supervision clientele so as to offer increased justification for probation or parole, and hopefully reduce the economic motives for crime.*

The efficacy of intensive supervision for the less serious probationer had been demonstrated to a large extent by the Pittsburgh Intensive Probation Unit. *It is therefore recommended that the Pittsburgh approach to impacting upon nascent offenders be expanded and that a more rigorous cost-effectiveness analysis be authorized to more accurately ascertain reasons for their overall good performance record.* A caveat to rapid expansion of the specialized unit concept as applied in Pittsburgh is that first offenders may not actually benefit from "intensive" supervision as the outcome data suggests. To test the assumption that an intensive grade of supervision is the most cost-effective approach, further investigation is required. However, the need for further investigation should not prevent a modest expansion of a demonstrably successful effort.

It is further recommended that the Board continue its efforts of improving parole decision-making through the professional review, summarization and assessment of client background information in the parole screening process. A major contributor to this effect has been the Case Analysis Unit funded by this subgrant.

The evaluation recommends that the Governor's Justice Commission continues to support the specialized unit project which is tackling some of the more difficult and perplexing decision-making, management and client service problems confronting community based corrections programming today.

II PROJECT AND EVALUATION ACTIVITIES

Overview of Project Operations and Goals

The Pennsylvania Board of Probation and Parole is an independent State Agency, directed by a five-person Board, and support staff located in Harrisburg. Field staff are grouped into six regions, which are geographically nearly the same as the six 'human service' regions in Pennsylvania. This grant has made possible the creation of a Case Analysis Unit, with a component in each of the seven State Correctional Institutions and in Philadelphia County Prison. This Unit formulates parole plans and makes recommendations to the Board whether or not to grant parole to institutional residents, and suggests a "grade" of supervision. The Case Analysis Unit is directly responsible to the Director of the Bureau of Pre-Parole Services.

Each region controls either one or two district offices, the latter being ten in number. Two of these district offices, Philadelphia and Pittsburgh, have specialized supervision units funded by this grant. Two separate specialized probation and parole units for intensive supervision are located in Philadelphia. A specialized probation unit in Pittsburgh provides intensive supervision for most of the probationers certified by the local courts for supervision, regardless of the nature of the case. The rapid growth in the Agency's caseload during the past five years, especially in the probation caseload, has made intensive supervision an important element of caseload management.

The grant also funds a two-man Specialized Management Review Unit in the Central Office. This unit works closely with the Research and Statistical Division in studies of administrative processes. It is also involved with the development of new inventory and cost systems, cost

reduction, leasing and an Administrative Services Procedures Manual designed to improve the efficiency of administrative procedures.

Operations of this nature are not amenable to program evaluation in the usual sense, so the evaluation will focus its attention only on the Specialized Supervision and Case Analysis Units.

The three distinct types of specialized units have diverse goals which are shown below:

I. Specialized Intensive Supervision

- A. To contribute to and/or reduce the percentage of clients in the Philadelphia and Pittsburgh District Offices who have been returned to prison.
- B. To afford maximum protection to the community through effective supervisory surveillance in the Intensive Supervision Units.
- C. To maintain and improve the employment status of clients receiving intensive supervision.
- D. To maintain low average caseloads of not more than 50 clients per agent.

II. Specialized Management Review

- A. To provide for the continual review and analysis of Agency operations and management, making changes where appropriate and necessary, and to provide planning input to meet future Agency needs.

III. Specialized Case Analysis for Parole Selection

- A. To continue to provide for the professional review and summarization of client information for parole decision-making by the Case Analysis Unit. Also, to continue to improve the treatment planning process for agents in the field.

Evaluation Methods and Activities

There have been several modifications to the evaluation since the interim report which were intended to improve quantitative measures of program effectiveness. The following data formed the basis of the interim evaluation: case closures (recommitments, revocations and final discharges), client arrests, unconvicted violations, total caseload, average agent caseload size, and client employment status. This final report improved upon the methods of analysis used to evaluate these variables but also considerably expanded the evaluation to include an analysis of 'active' caseload status, and agent daily activity. Although multi-variate techniques of data analysis would have greatly improved statistical methodology in this report, fiscal constraints have prevented taking advantage of modern computer software capabilities for a more sophisticated analytic approach.

Most quantitative information used in this evaluation was obtained from the Board of Probation and Parole's management information system which is in varying degrees of automation currently. Data on caseload size, composition and case closures came directly from the Agency's computerized client master listings. Since the interim evaluation report, partial automation of employment and arrest data has occurred. Automated client listings for collecting employment data has eliminated much of the "guesstimation" which was prevalent before procedures were changed. Automated data processing assistance in arrest reporting has enabled the evaluators to separate probationers from parolees to the benefit of the analysis. During the first half of the evaluation period, on-site visits and interviews were completed. Detailed information on interviews was presented in the attached interim report.

One measure which had previously been monitored for the Phila-

delphia specialized units but was not reported in the Interim Report due to lack of an appropriate comparison group was agents' monthly assessment of clients unmet needs, and referrals made to outside treatment agencies. These have been compiled and will be discussed briefly at the end of this report in comparison with a similar survey of Philadelphia Outreach Grant agents.

III ANALYSIS OF PROBATION AND PAROLE OUTCOME FOR SPECIALIZED SUPERVISION UNITS

Although this sub-grant encompasses three different types of specialized functions; management review, pre-parole case analysis and intensive supervision, only the specialized intensive supervision units impact directly on client behavior. The purpose of this section of the analysis is to assess the impact of intensive supervision in terms of influencing clients to be a) law abiding citizens, and b) economically self-sufficient within their communities. The extent to which clients who receive intensive supervision become law abiding and economically self-sufficient is a measure of the relative success of the sub-grant program in attaining the Pennsylvania Board of Probation and Parole's goal of protecting society from crime through effective reintegration of offenders into their community.

In order to meaningfully evaluate the results of intensive supervision, there must be a clear understanding of the project's sub-objectives in relation to target groups under treatment. Different sub-objectives are implicit when client selection criteria vary between intensive supervision units. The concept of intensive supervision coupled with controlled case-load size has three distinct applications within this sub-grant. There are two specialized units in Philadelphia, one for probation cases and one for parole cases, and one in Pittsburgh for probation cases. As was pointed out in the Interim Report (see attachment, pp. 18-20), the objective of intensive supervision differs for each target group. In brief, this is what we learned: 1) the Philadelphia Intensive Parole Unit targets on high risk individuals who probably would have been denied parole if the intensive parole supervision unit did not exist; 2) the Philadelphia Intensive Probation Unit targets on "difficult probation cases," or probationers with the more serious offenses as designated by the Courts, or by agents who transfer probation

clients because they need intensive supervision; and 3) the Pittsburgh Intensive Probation Unit targets on all probationers primarily because most are first offenders whose criminal development may be aborted by timely, intensive supervision.

Implicit in the Pittsburgh approach is the idea that the effect of 'intensive' supervision on the less serious offender will be a decrease in future criminal activity or recidivism, in contrast to cases receiving close, regular or reduced supervision. This approach assumes an enhanced rehabilitative impact, a timely redirection of the offender's behavior. Among 'serious' offenders, however, the assumption of an enhanced rehabilitative impact is not as plausible. An intensive grade of supervision for "high risk" crime prone offenders is intended to exercise maximum control over the offender so as to deter criminal activity while completing a sentence. Deterrence may not be lasting but it is vitally necessary while on parole. If intensive supervision doesn't act as an effective deterrent to crime, then parole is unnecessary. Presumably, reintegration of the high risk offender can only come about under circumstances of maximum control, i.e. conditions which minimize the risk to society. Whereas intensive supervision for "high risk" offenders is a last resort approach for Philadelphia cases, it represents an experimental alternative for the 'low risk' probationer population in Pittsburgh.

Different intake criteria or target populations, and different policy on case transfers are two related factors which had a significant effect on the evaluation. Variable intake criteria and target populations made it very difficult to develop meaningful comparison populations from which relative achievement could be assessed. Equally as important, case transfer policy made it exceedingly difficult to develop valid measures of success within a study group. For example, the Philadelphia Intensive Parole Unit reportedly

transfers all "improved" cases to other units who have mixed grades of supervision. Therefore, measures of recidivism performance are negatively biased toward higher percentages of cases which fail under supervision since we have no outcome information on transferred cases. The following analysis of probation and parole outcome measures attempts to evaluate intensive supervision units in relation to their unique objectives and the limitations of available data.

Analysis of Successful and Unsuccessful Case Closures

One means of measuring the relative effectiveness of intensive supervision is to compare successful and unsuccessful case closures among the specialized supervision units. A 'successful' closure is one that reaches a maximum sentence without new criminal behavior which necessitates recommitment to prison from parole, or revocation of probation. For 'unsuccessful' case closures, the inverse is true; the individual's behavior warrants a return to prison, or revocation depending on supervision status. A case is unsuccessful primarily because street supervision, in the judgment of the Agency, is no longer a tenable means of bringing about client reintegration into society. This recidivism measure differs from a purely 'return to crime' concept since some offenders are allowed to continue supervision after minor infractions because of strong potentials for rehabilitation and a minimal danger to society. The attached Interim Report (page 25) provides more background discussion on the nuances of recidivism measurement technique.

Table I summarizes unsuccessful case closures as a percent of total closures during the interim and final evaluation period. To provide some basis of evaluation, intensive supervision caseloads were compared to general supervision caseloads in their respective geographic areas. This comparison is by no means ideal, but in the absence of a valid control group, it offers some basis from which to judge relative performance.

Table I

Percentage of Unsuccessful Case Closures for Six and Nine Month Intervals

Study Group	Interim Period 10/1/74 - 3/31/75		Final Period 10/1/74 - 6/30/75	
	Total Closures	Percent Unsuccessful	Total Closures	Percent Unsuccessful
Philadelphia Intensive Parole	50	66.0%	71	69.0%
Philadelphia Intensive Probation	28	31.5%	47	23.4%
Philadelphia General Supervision	234	30.4%	311	30.5%
Pittsburgh Intensive Probation	37	8.1%	60	8.3%
Pittsburgh General Supervision	89	49.4%	124	41.1%

Table I indicates a wide variation in results for intensive supervision units depending upon purpose and target group. Over a nine month period, intensive parole in Philadelphia showed 69% returned to jail while intensive probation clients had about 23% and 8% revocations in Philadelphia and Pittsburgh respectively. The comparison general supervision groups in Philadelphia and Pittsburgh had about 30% and 41% unsuccessful closures respectively. The general supervision caseloads exclude narcotics cases and SRS cases.

Since data for 1974 and early 1975 did not distinguish final discharges by probation or parole status, we were unable to develop separate closure measures of probation and parole outcome for the general supervision comparison groups. This data limitation handicaps precise interpretation. However, if the Philadelphia intensive probation and parole case closures are pooled into a mixed caseload, there were 60 unsuccessful case closures out of 118 total closures, or 50.8% closed unsuccessfully of the high risk, intensive supervision case closures. This compares with 30.5% unsuccessful closures among general supervision probationers and parolees in Philadelphia.

The Pittsburgh Intensive Probation Unit only had five revocations out of sixty case closures, or 8.3% unsuccessful case closures over a nine month period. This compares favorably with general supervision mixed caseloads in Pittsburgh (41% unsuccessful) and with Philadelphia intensive supervision probationers (23% unsuccessful). However, since the Pittsburgh intensive supervision unit acts as a clearinghouse for all of Pittsburgh's probation cases and attempts to impact upon the criminal careers of first time offenders, it would be expected that recidivism is lower among Pittsburgh's less serious offenders on probation than among mixed general supervision caseloads, or the 'difficult' probation cases which are assigned intensive supervision in Philadelphia. Nevertheless, when all factors are taken into consideration, the intensive supervision approach in Pittsburgh appears to be exceptionally successful in minimizing recidivism. This tentative conclusion will be corroborated to some extent by other performance indicators.

Before passing judgment on relative unit performances based upon a case closure measure of recidivism, further consideration should be given to the possible adverse effect of internal client transfers on the percentage values derived in the case closure measurement technique. There is evidence that intra-office client transfer policy may negatively bias results toward relative unsuccessful case closures. The expressed transfer policy of the Philadelphia intensive parole unit is to transfer out clients who show "improvement" and do not require an intensive supervision program. The intensive parole supervision unit retains its poor risk cases and loses credit for some "success" by transfer. Similarly, the intensive probation supervision unit in Philadelphia may accept probation cases showing poor adjustment in general supervision caseloads. Only the Pittsburgh intensive probation unit did not appear to have a "risk" criterion for transfers. Table IA presents a

quantitative account of case transfers during the nine month period. These transfers represent only internal transfers within the district offices of the specialized units.

Table IA

Case Transfers

	<u>Case Transfer Inflow</u>	<u>Case Transfer Outflow</u>	<u>Net Transfer</u>
Philadelphia Intensive Parole	63	120	-57
Philadelphia Intensive Probation	162	172	-10
Pittsburgh Intensive Probation	35	57	-22

Table IA excludes cases which were transferred between district offices and new releases from state correctional institutions. As a result, only intra-district case flows are shown relative to the specialized units. Unfortunately, intra-district case flows do not allow us to distinguish inter-unit case transfers between agents in different units from intra-unit case transfers between agents in the same unit. Inter-unit case transfers presumably reflect risk assessment decisions while intra-unit case transfers are assumed to result from case reassignment because of an agent's relocation. For example, in November, 1974, 95 case deduction transfers occurred in the Philadelphia intensive probation unit primarily because of agent turnover rather than client reassignment for less intensive grades of supervision. The Philadelphia intensive probation transfer data is understandably inflated for this reason. However, available information indicates relative agent stability in the Philadelphia intensive parole unit and the Pittsburgh intensive probation unit. This fact implies that transfers in the intensive supervision unit represent a desire to obtain intensive supervision for 'difficult cases' and lower grades of supervision respectively for 'improved' cases. Table IA

suggests that Philadelphia intensive parole is "exporting" more 'improved' cases than it 'imports' difficult cases in their case exchange relationship with other supervision units in Philadelphia. The Philadelphia intensive probation unit also reportedly receives "difficult" cases by transfer from other units. Presumably, their case transfer deductions, although more in balance with their case transfer additions, represent an outflow of improved cases. Although the Pittsburgh intensive probation unit also had a net outflow of inter-district transfers, their open admissions policy suggests that it has no bearing on relative probation outcome assessment.

The case closure method of measuring relative program effectiveness is demonstrably limited when applied to small units where variant transfer policies exist. An alternate method of program performance assessment which is less sensitive than the case closure ratio to client transfers out of the unit, is a comparison of relative case failure based upon the percentage of unsuccessful case closures in an average monthly caseload. Table II demonstrates this approach for the nine month study period of this report. An added advantage of this approach is that the probation and parole populations may be separated for analysis. Using the case closure method, this was impossible because final discharges were not distinguished as to probation or parole status during the evaluation period.

Table II

Unsuccessful Clients as a Percentage of Average Monthly Caseload: October 1, 1974 - June 30, 1975

Group	Average Monthly Parolees	Average Monthly Probationers	Unsuccessful Case Closures				
			Parolees Recommitted		Probations Revoked	% Per Month	
			NC*	TV**			
Philadelphia Intensive Parole	282	3	38	11	1.9	-	-
Philadelphia Intensive Probation	16	153	2	-	1.4	9	0.7
Philadelphia General Supervision	762	309	58	21	1.2	16	0.6
Pittsburgh Intensive Probation	13	258	-	-	-	5	0.2
Pittsburgh General Supervision	329	102	33	12	1.5	6	0.7

Philadelphia

1. t test: Parole Unit versus General Supervision: $t = 3.07, p < .01$
2. t test: Probation Unit versus General Supervision: $t = 0.31, \text{not significant}$

Pittsburgh

1. t test: Specialized Unit versus General Supervision Probationers: $t = 1.96, p < .05$

* New Charge

**Technical Violation

The treatment of the data shown in Table II indicates that the high risk Philadelphia parole cases under intensive supervision were more likely to recidivate than Philadelphia parole cases under general supervision. The difference between these two rates was statistically significant but not as substantially different in magnitude when compared with the closure assessment technique. Since this measurement method minimizes but does not entirely eliminate the effects of transferring out improved cases, it should be recognized that the intensive parole unit's performance is slightly inflated relative to general supervision parolees. Bearing this fact in mind, the intensive parole unit's 'high risk' clientele compare favorably with general supervision clientele in terms of recidivism performance. Table II also indicated that there was no statistical difference between the intensively supervised probationers and general caseload probationers in probation revocations relative to average probation caseloads. Again, since the Philadelphia probation units carry "difficult" probation cases, their comparative performance suggests "intensive" supervision has been effective in controlling offender behavior. Lastly, intensive probation in Pittsburgh had significantly fewer probationer revocations per average monthly probation case than either general supervision probationers in Pittsburgh, or intensively supervised probationers in Philadelphia. This observation reaffirms the earlier conclusion that intensive supervision for probationers with young criminal careers may substantially affect their likelihood of future criminal involvement.

In summary, the data suggests that the specialized units are having a positive effect on offender recidivism as the grant intended regardless of the type of risk population being served. In the final analysis, however, this conclusion must remain essentially judgmental. The plan for next year's evaluation includes a more vigorous cohort follow up technique in combination

with multivariate data analysis. The fruits of this analysis should be less conjectural in interpretation than was possible heretofore.

Analysis of Client Arrests

Although this study has defined program performance in terms of clients whose recidivistic behavior has warranted a termination of street supervision as a tenable means of treatment, a secondary measure of program performance is client arrests which are antecedent conditions to parole commitments and probation revocations. Arrests offer the advantage of being more timely behavioral indicators during the evaluation period since there are substantial time lags between arrest and recommitment. This suggests that unsuccessful case closures may be biased toward earlier time periods in performance assessments. Nevertheless, since arrest data are not accumulated on a client by client basis, the interpretation of arrests offers more limitations than the recommitment and revocation criteria of recidivism which have been adopted by this study. In brief, the limitations of arrest data which often make interpretation conjectural, are summarized below.

Arrests in the current Pennsylvania Board of Probation and Parole's statistical system are cumulative counts of violations or crimes, rather than alleged violators, or criminals. There are several implications for a comparative study which draws from this kind of a data base. First, neither the frequency of arrest of individual alleged violators, nor the seriousness of new violations among offenders in the study's two populations can be compared. Therefore, it is impossible to determine whether high arrest rates are the work of comparable numbers of individuals for comparable types of crime. Also noteworthy is the fact that arrest only implies guilt; aggregate arrests, therefore, do not reveal whether there are comparable numbers of falsely accused offenders in the two study populations.

For these reasons, arrests were not chosen as a primary measure of client performance. Nevertheless, cumulative technical violations or criminal arrests provide some indication of the relative effectiveness of different program approaches in controlling new crime. More importantly, technical violation arrests indicate the relative effectiveness of agents in preempting crime by timely intervention. Thus, despite the shortcomings of arrest data for evaluation purposes, the important role of technical violation, as opposed to criminal arrest, justifies an examination of aggregate arrest data for this evaluation.

Table IIIA displays average probationer and parolee arrests per month as a percent of their respective average monthly caseloads for the three specialized units and the comparison general supervision caseloads in Philadelphia and Pittsburgh.

Table IIIA

Average Monthly Arrests as a Percent of Average Monthly Caseloads October 1, 1974 to June 30, 1975

Comparison Populations	Average Monthly Parolees	Average Monthly Probationers	Total Monthly Arrests	
			Parolees % Per No. Month	Probationers % Per No. Month
Philadelphia Intensive Parole	282	3	140 5.5	- -
Philadelphia Intensive Probation	16	153	1 0.7	68 4.9
Philadelphia General Supervision	762	309	220 3.2	71 2.6
Pittsburgh Intensive Probation	13	258	6 5.1	47 2.0
Pittsburgh General Supervision	329	102	48 1.7	13 1.4

Over a nine month period, beginning in October, 1975, parolee arrests for clients who were receiving intensive supervision in Philadelphia were occurring at an average rate of 5.5% per month in comparison with only 3.2% per month among general supervision parolees. Similarly, arrests among Philadelphia's intensive probation clients occurred at an average rate of 4.9% per month in comparison with only 2.6% per month among general supervision probationers. Higher arrest rates among intensive probationers and parolees is consistent with previous findings on recidivism, and the fact that both intensive supervision groups cater to high risk clientele who are more crime prone than their counterparts.

Intensive supervision probationers in Pittsburgh, however, had average arrest rates which exceeded general probation caseloads in contrast with their relatively low recidivism rate which was demonstrated earlier. One plausible explanation is that the intensive supervision probationers were involved in minor crimes of a less serious nature, and consequently, fewer had their probation revoked. On the other hand, other explanations are also possible as was noted in the Interim Report (page 35). Without a more in-depth analysis of client characteristics and the types of crime being committed, further analysis is conjectural.

Aggregate arrest data is composed of two types of arrests: police arrests for new charges and agent arrests for technical violations of probation or parole. Theoretically, a measure of program effectiveness in protecting the community from crime is the extent to which agents are able to intervene in an offender's life to preempt criminal behavior by technical arrests. Table IIIB displays new charge and technical violation arrests for this grant's three specialized units.

Table IIIB
 Probation and Parole Technical Violation Arrests
 October, 1974 to June, 1975

Comparison Populations	Total Arrests	Technical Arrests	% Technical of Total
Philadelphia Intensive Parole	140	15	10.7
Philadelphia Intensive Probation	68	4	5.9
Philadelphia General Parole	220	29	13.2
Philadelphia General Probation	71	7	9.9
Pittsburgh Intensive Probation	41	1	2.1
Pittsburgh General Probation	13	1	7.7

Although the Philadelphia intensive supervision units carry 'high risk' offenders who might be expected to be in trouble with the law more often than general supervision clientele, a priori reasoning suggests that intensive supervision would facilitate agent intervention when offender behavior warranted external control. The data in Table IIIB, however, raises questions about agent effectiveness in intensive supervision conditions. Regardless of probation or parole status, proportionately more of the general supervision probation or parole arrests were agent initiated than in intensive supervision units. In all units, in fact, new offenses dominated the aggregate arrest record including the general caseloads in Philadelphia and Pittsburgh. This outcome contrasts sharply with other district offices in Pennsylvania which had nearly double the level of technical violation arrests (23.6%) during an equivalent time period.* This finding warrants further monitoring and

*Final Evaluation Report on Regional Offices and Sub-Offices in Pennsylvania's Board of Probation and Parole.

research before venturing an explanation, although management should be alerted that this evaluative criterion suggests some deficiency in program performance.

Analysis of Unconvicted Violators

The 'unconvicted violator' represents a corroborative measure of program performance when criteria of recidivism are under consideration. An 'unconvicted violator' is a client who has been arrested and is awaiting the disposition of charges against him. He may be free on bond or in detention but he has not been officially returned to prison by an order for recommitment or revocation. Unlike arrest or recommitment, the unconvicted violator status is a data event controlled directly by the agent. When a client is declared 'an unconvicted violator', the agent identified the client as part of an "at risk" population under active supervision.

The unconvicted violator status affords the analyst several distinct advantages. In contrast with arrests, the unconvicted violator status counts only people rather than crimes and, consequently, should correlate highly with recommitments and revocations. Similar to arrests, however, the unconvicted violator status is generally more relevant to the time under study since there is usually little lag in time from arrest to reclassification by the agent. Nevertheless, the unconvicted violator status represents only a presumption of guilt and therefore may not be a perfect predictor of recidivism. Also, since there are no explicit definitions of criteria regarding the use of the unconvicted violator status, it must be assumed that all agents are declaring offenders 'unconvicted violators' only for major new offenses in a consistent manner.

Table IV displays UCV data for the entire nine month evaluation period. Unfortunately, new unconvicted violators were not recorded by probation or parole status during the evaluation period. Recent data processing modifications have now rectified this deficiency. Unconvicted violators are expressed in Table IV as a percent average new UCV's per month of average monthly caseloads.

Table IV
New Unconvicted Violators Per Month as a Percentage of
Monthly Average Caseload
October 1, 1974 to June 30, 1975

Group	Average Pa. Clients*	Unconvicted Violators Added	UCV's as % of Caseload Per Month
Philadelphia Intensive Parole	285	93	3.6
Philadelphia Intensive Probation	169	30	2.0
Philadelphia General Supervision*	1,071	154	1.6
Pittsburgh Intensive Probation	271	31	1.3
Pittsburgh General Supervision*	431	43	1.1

*Parolees and probationers have been combined because there is no UCV breakdown available.

Table IV indicates that significantly more parolees in Philadelphia's intensive supervision unit were classified as unconvicted violators than general supervision clientele. Although this difference is consistent with previous findings, this comparison is not meaningful because of the mixture of probation and parole clientele in the general supervision caseload. When the high risk Philadelphia probation and parole population is pooled into one data set, there were 123 new UCV's over a nine month

period and an average monthly caseload of 454 probationers and parolees. The average monthly occurrence of new unconvicted violators was about 3.0% of the pooled intensive supervision population. Thus, offenders in the high risk intensive supervision population in Philadelphia was nearly twice as likely to be classified as unconvicted violators than general supervision clientele in the same district office.

The Pittsburgh intensive probation population had a slightly higher proportion of unconvicted violators than the mixed probation and parole population which was receiving general supervision. This difference was not statistically significant and could have occurred by chance. However, since arrests were found to be more frequent among intensive supervision probationers in Pittsburgh, the high proportion of unconvicted violators is not surprising. Unfortunately, the data provides no insight into the low rate of revocation among Pittsburgh's intensive probation population in contrast with the apparent high rate of arrest. The clarification of this paradoxical result should receive priority consideration in the next evaluation period.

Analysis of Client Employment Status in Specialized Units

One of the objectives of this grant was to maintain and improve the employment status of clients receiving intensive supervision. An important justification of probation or parole as an alternative to incarceration is that it allows offenders who are tax burdens to become tax contributors in an otherwise costly criminal justice system. More importantly, however, employment fosters the reintegration of offenders into their communities and is a factor which correlates positively with successful probation and parole adjustment and negatively with recidivism.

Table V displays survey data on client employment status which is collected quarterly by the Agency's Research and Statistical Division. Shown in Table V are the results of three quarterly surveys: December, 1974, March, 1975 and June, 1975. Only the results of the December, 1974, survey were reported in the attached interim report. Percentages in Table V are computed on the basis of an "able to work" population which is defined as all employable offenders who are not detained in jail, hospitalized, absconded or retired. In addition to employed, or unemployed offenders, Table V takes special note of the number of public assistance recipients in each group. The size of this group is of interest because they represent additional tax burdens upon society. This particular group must be taken into account when the costs and benefits of probation or parole are being computed for comparison with treatment alternatives in the criminal justice system, such as, incarceration.

Table V
Quarterly Client Employment Status

	Philadelphia			Pittsburgh	
	Intensive Parole	Intensive Probation	General Supervision	Intensive Probation	General Supervision
Percent Employed of Total Able to Work					
i. 12/74	53.5%	62.2%	71.7%	71.7%	73.5%
ii. 3/75	59.8%	69.0%	75.0%	72.8%	70.2%
iii. 6/75*	57.0%	65.8%	69.0%	65.8%	67.6%
Percent Unemployed and on Public Assistance					
i. 12/74	21.9%	16.3%	15.5%	14.7%	20.1%
ii. 3/75	23.4%	9.7%	19.5%	17.7%	10.6%
iii. 6/75*	32.9%	19.6%	17.1%	19.2%	16.4%
Total Able to Work					
i. 12/74	215	98	873	251	189
ii. 3/75	132	113	620	243	188
iii. 6/75*	149	158	671	234	367

*June data corrected since PBPP statistics were published.

The data in Table V indicates that Philadelphia specialized units have consistently lower employment rates than general supervision clientele in the same area. Since general supervision units in Philadelphia and Pittsburgh carry mixed probation and parole caseloads, it was impossible to separate probationers from parolees to produce comparable comparison groups for the specialized units. However, since both the intensive probation and the intensive parole units had lower levels of employment, this shortcoming was obviously not critical. The Philadelphia intensive parole unit was conspicuously lower in employment levels; this fact suggests that perhaps "intensive" supervision for these clients should be refocused in orientation so that job placement can be given higher priority consideration. It is apparent that "intensive" supervision for these "high risk" clientele has not been effective in bringing about the economic reintegration of these offenders into the Philadelphia community. It is also apparent that proportionately more of the intensive parole population has been dependent upon public assistance during the evaluation period. In light of apparently higher recidivism rates and the relatively poor performance of intensive parole clients with respect to employment and public assistance levels, the benefits being derived from "intensive" supervision may be questionable.

The Pittsburgh intensive probation unit had comparatively high levels of employment relative to Philadelphia's specialized units, and did not differ appreciably from general supervision clientele in other Pittsburgh mixed probation and parole units. In addition, welfare dependency, although apparently increasing over time, was not substantially different from general supervision offenders. It may be deduced that the less serious offender in the Pittsburgh population is probably more employable than the higher risk offender in Philadelphia. Nevertheless, it is apparent that

the objective of reintegrating offenders into their economic community is being accomplished in the Pittsburgh population.

IV ANALYSIS OF PROGRAM OPERATIONS AND OUTPUTS

The previous analytic section focused on program effectiveness in rehabilitating clients in terms of law abiding behavior and reintegrating them into their respective communities. This section examines underlying operational factors which have some causal relationship to program outcomes. Some factors which are to be presented in this final report, were previously reviewed in the interim evaluation report. However, this report represents a considerable reorganization of information presented in the interim report in order to facilitate the logical interpretation of quantitative material in a manner which distinguishes a process from its final products.

The factors discussed in this report include: 1) caseload growth trends and average caseload size, 2) an analysis of "active" caseload status, 3) an analysis of agent daily activity in terms of client contacts, and 4) an analysis of program service delivery in terms of agent referrals and client needs. Underlying all these factors is our attempt to measure qualitative aspects of "intensive" supervision in this grant's specialized units.

Caseload Growth and Average Caseload Size

An explicit objective of this grant was that caseload size be controlled at fifty clients per agent so that agents could effectively provide an intensive grade of supervision. It is assumed that moderate caseloads (less than fifty per agent) allowed the agent sufficient time to provide both surveillance in the community and rehabilitative treatment, such as, individual or guided group counseling for maximum possible impact on the offender's behavior. In reality, it is recognized that effective supervision is more a function of how an agent uses his time, i.e. skill and

proficiency, in relation to client needs rather than the amount of time he has available due to a low caseload size. The dimension of agent skill, however, is inherent in concept of different supervision grades for different clients, and subsequently, is assumed to be an intrinsic aspect of "intensive" supervision.

In order to realize its objective of controlling caseload size, the management staff of the Pennsylvania Board of Probation and Parole must balance the growth in demand for intensive supervision services with the supply of available manpower resources. Tables VI and VII display caseload growth data and average agent caseload size data respectively from October, 1974 to June, 1975.

Table VI

Caseload Growth Index by Month

Month and Year	Philadelphia			Pittsburgh	
	Intensive Parole	Intensive Probation	General Supervision	Intensive Probation	General Supervision
10/74 Actual	294	107	1,107	267	493
Index Values					
10/74	100.0	100.0	100.0	100.0	100.0
11/74	99.3	113.1	90.3	98.1	97.2
12/74	103.7	162.6	89.5	109.0	88.4
1/75	102.7	166.4	88.3	113.1	93.1
2/75	99.3	133.6	85.5	117.2	97.4
3/75	96.3	214.0	80.3	121.3	107.3
4/75	93.5	223.4	98.1	114.2	97.4
5/75	93.5	194.4	100.4	113.1	95.7
6/75	87.4	191.6	98.3	112.7	97.4
7/75*	90.1	192.5	97.0	115.0	101.0

*Additional month added to validate trend directions.

Since October of 1974, the intensive probation unit in Philadelphia nearly doubled in caseload in comparison with the Philadelphia intensive parole unit and general supervision caseloads. In Pittsburgh, the intensive probation showed modest growth over nine months while general super-

vision units held a relatively constant size.

Because of month to month fluctuation in total caseload, it was decided to use three month averages to evaluate the Agency's response to managing these caseload growth trends. Actual values and detailed caseload data may be found in Appendix I for those who wish to examine monthly patterns.

Table VII

Quarterly Average Agent Caseload Size

	Fourth Quarter 1974	First Quarter 1975	Second Quarter 1975
Comparison Caseloads			
Philadelphia Intensive Parole	59.4	51.6	44.8
Philadelphia Intensive Probation	36.6	39.3	43.5
Philadelphia General Supervision	50.8	43.9	52.2
Pittsburgh Intensive Probation	45.6	52.2	50.4
Pittsburgh General Supervision	78.2	66.6	65.1

Table VI indicates that despite rapid growth in the Philadelphia intensive probation unit's caseload over the nine month study period, average agent caseload size was maintained at levels substantially lower than grant requirements. In addition, average agent caseloads in the Philadelphia intensive parole unit were reduced over these three quarters to levels which are well below required standards. The general supervision caseloads in Philadelphia also maintained moderate average agent caseload during the same period. In Pittsburgh, the intensive probation unit maintained caseloads at acceptable levels in contrast

with general supervision caseload which were substantially larger in average size. It may therefore be concluded that this LEAA funded project was in compliance with prescribed standards regarding caseload size during the evaluation period.

Analysis of "Active" Caseload Status

In the previous section, the evaluation focused on case closures and parole outcome assessments. In this section of the analysis, the focal point is primarily operational effectiveness. An alternative method of comparing relative performance is to examine client caseload status while under supervision. The total active caseload may be subdivided into two main supervision categories for purposes of analysis; 1) clients under "active supervision" because they have personal contact with an agent, and 2) clients who represent "active casework" but have little, if any personal contact with an agent because they are either absconders, or are in detention situation due to new violations or mental illness. Since specialized units are intended to provide "intensive supervision," it might be hypothesized that they would have fewer clients in detention situations. However, the Philadelphia specialized units are comprised of 'high risk' offenders for which there is no comparable control population.. Since we know something about the Philadelphia specialized unit's past performance using recidivism criteria, it may be more realistic to expect proportionately more "active casework" clientele in the intensive supervision populations than general supervision caseloads. Table VIII subdivides the specialized unit's clientele and general supervision clientele into "active supervision" and "active casework" categories.

Since this data was not examined in the Interim Report, some methodological background is useful. The Pennsylvania Board of Probation and Parole prints computerized client listings monthly with caseload status changes. To obtain a static representation, three time periods were selected and averaged. They were December, 1974, March, 1975 and June, 1975. Active supervision clientele were defined as those who were 'reporting regularly' and violators who were free on bail awaiting disposition. Violators who were in detention and absconders were defined as "active casework."

Table VIII

Active Supervision and Active Casework Status

Case Status	Philadelphia			Pittsburgh	
	Intensive Parole	Intensive Probation	General Supervision	Intensive Probation	General Supervision
Active Supervision	75.6%	85.7%	88.0%	90.5%	84.3%
Active Casework					
Absconder	4.3%	7.6%	5.0%	4.5%	10.2%
Detained*	20.1%	6.7%	7.0%	5.1%	5.5%
Total Caseload (Actual)	100.0% (283)	100.0% (238)	100.0% (1,182)	100.0% (316)	100.0% (459)

*Most offenders are detained for new violations although a small minority are paroled to detainers or are in mental hospitals.

The percentage of 'active supervision' cases found in each group shown on Table VIII appears to follow a rank ordering based upon the degree of risk associated with each population. The high risk intensive parole population in Philadelphia had the least cases being supervised under 'active' supervision (75.6%) and the largest proportion in detention for new violations. The Philadelphia intensive probation unit had ten percent more cases under active supervision (85.7%) and compared more

favorably with general supervision mixed caseloads in Philadelphia (88.0%) and Pittsburgh (84.3%) with respect to this performance measure. Not unexpectedly, the Pittsburgh intensive probation unit which aims at all probationers especially first offenders, had the highest proportion of "active" cases in good standing. Since being "active" implies agent-client contact and the possibility of rehabilitative interaction, the intensive probation unit in Pittsburgh again demonstrates the efficacy of specialized intensive treatment for the offender who presumably has a limited prior record.

An interesting aspect of the active-inactive supervision paradigm is what it says about caseload size in relation to grade of supervision. In an active supervision situation, the agent has an opportunity to influence behavior and act as a facilitator for the client in the community; when a client has absconded or is detained, the agent is merely an administrator, a desk jockey awaiting someone's decision. The more cases who are in an 'active casework' category, the more the agent can concentrate on clients in the smaller 'active supervision' caseload. Thus, the percentage differences in Table VIII suggest that clients in active standing in the specialized parole unit in Philadelphia may have received in actuality a qualitatively more intense form of supervision since their caseloads are small to begin with and relatively fewer are "active" at any one point in time. However, the import of this reasoning is reduced by recognition of the fact that active standing clientele may be transferred out of the specialized unit when further intensive supervision is not thought to be necessary any longer. A quantitative measure of the impact of low percentages of "active supervision" cases

in terms of the intensity of supervision is discussed further in the following section.

Agent Daily Activities - Client Contact Frequencies

In addition to low caseloads, agents in specialized units are required to provide intensive supervision in terms of either more frequent contact, or more in depth lengthy interaction. Although data is not available on the average length of time being spent with clients, Agent Daily Activity reports indicate the frequency with which agents contact clients in the office and in the field.

Table IX displays average monthly agent-client contacts for fifty clients in the office and in the field for the specialized units and general supervision units in Philadelphia and Pittsburgh. Average monthly contacts are computed on the basis of both total caseload and "active supervision" caseload. The 'active supervision' class excludes absconders and clients in detention with whom an agent has no opportunity to personally contact. The values shown in Table IX were computed to represent nine month averages, or mean number of agent-client contacts per client per month and then expressed in terms of contacts per fifty clients to eliminate fractions and standardize a normative caseload size.

Table IX

Average Agent-Client Contacts for Fifty Clients
Per Month, October, 1974 through June, 1975

Comparison Group	Office Contacts		Field Contacts		Total Contacts	
	Total Caseload	Active* Caseload	Total Caseload	Active Caseload	Total Caseload	Active Caseload
Philadelphia Intensive Parole	14.5	19	38	51	52.5	70
Philadelphia Intensive Probation	15	17.5	31.5	37	46.5	54.5
Philadelphia General Supervision	13.5	15	23.5	27	37	42
Pittsburgh Intensive Probation	12	13.5	34	37.5	46	51
Pittsburgh General Supervision	8.5	10	23.5	27.5	32	37.5

*Case status printouts for December, 1974, March, 1975 and June, 1975 were used to determine percentages of caseload being actively supervised.

Agent Daily Activity reports clearly demonstrate that specialized units more frequently contact clients than offenders being supervised in general caseload units, regardless of whether agent-client contact ratios were based upon total group caseload, or upon the more accurate "active supervision" caseload. Understandably, when the "active supervision" criterion is applied, the Philadelphia intensive parole unit which was shown to have fewer clients on the average in active supervision status, had the highest estimated average number of total contacts per fifty clients; in other words, the active supervision caseload for Philadelphia intensive parole experienced an average of 70 agent contacts for every fifty clients supervised in comparison with general supervision clientele which experienced an average of only 42 agent contacts for every fifty clients

supervised. Although lower than intensive parole, the frequency of agent contact for fifty in Philadelphia's intensive probation unit was still appreciably higher than general supervision clientele and comparable in frequency to contact ratios for Pittsburgh's intensive probation unit. The data clearly supports the contention that clients in specialized units are being seen more often and consequently, are being supervised more intensively.

Although agent-client contact may be viewed as the most important part of case supervision, contacts between agents and other persons concerning the client, namely "collateral" contacts, provide a vital source of information on client behavior which is necessary to verify agent perceptions. Persons involved in collateral contacts include relatives, employers, police, volunteers and friends. Since agents may make collateral contacts for inactive supervision cases, i.e. the "active casework" client described earlier, they are not separated from a comparison as was done with client contact ratios. Table X displays average agent collateral contact ratios for the comparison populations. Because specialized units are intended to provide intensive supervision services, it might be expected that they make collateral contacts more frequently than do general supervision agents who tend to carry higher caseloads and have clientele with mixed grades of supervision.

Table X

Total Collateral Contacts for Fifty Clients Per
Month Based Upon October, 1974 and June, 1975 Averages

Comparison Groups	Total Contacts
Philadelphia Intensive Parole	78.0
Philadelphia Intensive Probation	85.5
Philadelphia General Supervision	67.5
Pittsburgh Intensive Supervision	89.5
Pittsburgh General Supervision	60.0

The data in Table X clearly indicates that specialized units make more frequent collateral contacts than general supervision units. Since collateral contacts serve the dual purpose of both uncovering pre-criminal behavior and facilitating an offender's reintegration into a community by the coordination of social services or helping in employment finding, the differential pattern of collateral contacts among comparison groups reveal an interesting aspect of the provision of specialized services. Notably, although intensive parolees were generally more frequently contacted than intensive probationers, agents tend to make more frequent collateral contacts for intensive probationers. In particular, the Pittsburgh intensive probation population had 89.5 collateral contacts made for every fifty clients in the caseload. This data further supports the contention that specialized units are receiving "intensive" supervision as required by this grant.

Analysis of Client Needs and Service Delivery

Interviews were conducted with twenty-eight agents and supervisors in the specialized units grant in order to understand differential goals and modes of operation between different units in the program. The results of the interview process will not be rehashed here; the reader is asked to refer to page 45 of the attached Interim Report.

In addition to interviews, each agent in the Philadelphia specialized units was asked to provide information on client needs and referrals to outside agencies for a six month period beginning in December of 1974. Since this data was not available during the preparation of the interim report, our survey results are being presented here. Although agents in specialized units and community parole centers participated in the survey of needs and referrals, agents with general supervision caseloads, unfort-

unately, did not participate; Pittsburgh agents in the intensive probation unit also did not participate. Since the comparison group used earlier in this study was not available, an alternative was needed. The available data from community parole centers represented a comparable population with a mixed probation and parole caseload and variable grades of supervision. In this regard, the community parole group was similar to a general supervision caseload. Therefore, although the community parole center agent is closer to the clientele he serves and probably has more frequent contact with his clients as a result, they were thought to be similar enough in composition to the general supervision caseload that they would do equally well as a comparison group for this portion of the evaluation. Table XI presents the results of a six month survey of client referrals which are a direct measure of project effort to facilitate the reintegration of offenders into their community.

Table XI

Philadelphia Resource Agency Contacts
December, 1974 to May, 1975

Agency Type	Specialized Units		Community Parole Centers	
	Number	Percent Total	Number	Percent Total
Drug and/or Alcohol Treatment	57	24.6	65	20.5
Professional Counseling (legal, marital, etc.)	5	2.1	9	2.9
Financial Assistance	10	4.3	33	10.4
Psychological Services	22	9.5	46	14.5
Job Placement	138	59.5	164	51.7
TOTALS	232	100.0	317	100.0

In comparison with community parole centers, specialized units made proportionately more referrals for job placement services and drug or alcohol treatment than did clients in the comparison group. Table XI indicates that nearly sixty percent of all referrals were for job placement services in the Philadelphia specialized units. These data may be contrasted with data on client unmet needs which reveal that employment was the most critical need among offenders in specialized units despite the efforts of the agents. Table XII displays a cumulative count of unmet needs among offenders in the specialized units.

Table XII

Cumulative Unmet Needs Among Clients Over Six Months*

Unfulfilled Need	Philadelphia Specialized Units		Philadelphia Community Parole Centers	
	Clients	% Total	Clients	% Total
Employment	486	72.5	578	51.9
Job Training/Counseling	98	14.6	349	31.3
Drug/Alcohol Treatment	29	4.3	48	4.3
Psychiatric Treatment	36	5.3	40	3.6
Medical Treatment	7	1.0	14	1.3
Family Counseling	6	0.9	16	1.4
Temporary Housing	5	0.7	8	0.7
Other	3	0.4	61	5.4
Total Cumulative Needs	670	100.0	1,114	100.0

*Includes, detoxification residential, outpatient methodone maintenance, etc.

Nearly three-fourths of the needs cited for specialized units clientele were job placement. In sum, about 87% of the needs cited were related to unemployment problems. This observation corresponds with the performance reported earlier on low levels of employment among specialized unit clientele. Those conditions may have been the result of economic recession during 1975 which was compounded by the poor employability of these offenders who had extensive prior records and were considered by most experts to be "difficult" cases at the very least. Nevertheless, employment is apparently a critical problem for these offenders in particular, a fact which suggests that perhaps the employment issue and the alternative means of attaining jobs should be given priority consideration for future programming in the specialized units.

Follow Up Considerations of the Case Analysis Unit

The specialized case analysis units affect parole decision-making and client treatment by virtue of the fact that they assemble client information and recommend release, and they prepare a parole plan which specifies the grade of supervision upon release. Thus, the primary objectives of the case analysts are to screen, analyze and present pertinent information at release and to develop parole plans to be used as a basis of release. The attached interim report went into descriptive detail regarding the case analysts' functions and the pre-parole process (pp. 51-65). The intent of the follow up is to modify and clarify that portion of the analysis which focused the case analysts' impact on the parole decision-making process.

It was purported in the Interim that the case analysts presumably had a measurable impact on the proportion of parole applicants who were granted release. The interrupted time series approach used in the Interim analysis has been challenged because the standard errors of estimates exceeded the differences between the "before" and "after" linear estimates, and because the cutoff point between "before" and "after" sequence (1970-71) did not take into account the fact that 1973 was the year in which the project became fully operational. Lastly, and perhaps most importantly, the Interim analysis did not take into account the emergent disparity between paroles granted and actual releases. In part, this may have developed because "approved parole plans" did not materialize, because clients were paroled to detainers in county prisons, or because misconduct became increasingly prevalent prior to release. To gain a more accurate picture of the magnitude of change in paroling decisions versus actual releases, a four year before and after averaging technique was used. The results are as follows:

	<u>1968-71</u>	<u>1972-75</u>
Percent Applications Granted	60.3%	75.9%
Percent Applications Released	53.1%	65.3%

Although there was an increase of about fifteen percentage points in applications being granted, there was only an increase of twelve percentage points in actual releases. Although we cannot pinpoint with certainty the exact reason for this increased proportion of paroled clients who failed to get released from before to after the case analysis team began to function, it is inescapable that substantially (12%) more offenders were being released on the average since the subgrant's inception.

A priori this results in a considerable monetary savings to society if prison costs were to be compared to parole costs. Part of the increased rate of parole may have been the result of having specialized supervision units to provide intensive supervision for these "high risk" cases.

A P P E N D I C E S

Appendix IA
Caseload Data

Unit	10/74	11/74	12/74	1/75	2/75	3/75	4/75	5/75	6/75	9 Month Average
Philadelphia Parole Intensive Unit										
Pennsylvania Cases	294	291	303	300	290	281	273	274	256	284.7
Other State Cases	0	1	2	2	2	2	2	1	1	1.4
Total	294	292	305	302	292	283	275	275	257	286.1
Number of Agents	5	5	5	5	6	6	6	6	6	5.55
Caseload Per Agent	58.8	58.4	61.0	60.4	48.7	47.2	45.8	45.8	42.8	51.5
Philadelphia Probation Inten. Unit										
Pennsylvania Cases	107	119	172	174	133	210	222	194	192	169.2
Other State Cases	0	2	2	4	10	19	17	14	13	9.0
Total	107	121	174	178	143	229	239	208	205	178.2
Number of Agents	3	4	4	4	5	5	5	5	5	4.44
Caseload Per Agent	35.7	30.3	43.5	44.5	28.6	45.8	47.8	41.6	41.0	40.1
Philadelphia General (Three Units)										
Pennsylvania Cases	929	830	818	810	768	710	914	933	912	847.1
Other State Cases	178	170	173	167	178	179	172	179	176	174.7
Total	1,107	1,000	991	977	946	889	1,086	1,112	1,088	1,021.8
Number of Agents	18	20	23	21	20	23	21	21	21	20.9
Caseload Per Agent	61.5	50.0	43.1	46.5	47.3	38.7	51.7	53.0	51.8	49.0
Pittsburgh Probation Inten. Unit										
Pennsylvania Cases	258	262	258	268	278	290	275	275	276	271.1
Other State Cases	9	0	33	34	35	34	30	27	25	25.2
Total	267	262	291	302	313	324	305	302	301	296.4
Number of Agents	6	6	6	6	6	6	6	6	6	6.0
Caseload Per Agent	44.5	43.7	48.5	50.3	52.2	54.0	50.8	50.3	50.2	49.4
Pittsburgh General (Two Units)										
Pennsylvania Cases	431	413	403	421	437	485	437	426	434	431.8
Other State Cases	62	66	33	38	43	44	43	46	46	46.8
Total	493	479	436	459	480	529	480	472	480	478.6
Number of Agents	6	6	6	7	7	8	8	7	7	6.89
Caseload Per Agent	82.2	79.8	72.7	65.6	68.6	66.1	60.0	67.4	66.8	69.5

Appendix IB

Agent Activities in Terms of Agent-Client
Contacts per Month per Client

Supervisory Group	Office Contacts		Field Contacts		Total Contacts	
	Total Supervision Nine Month Average	Active* Supervision Nine Month Average	Total Supervision Nine Month Average	Active* Supervision Nine Month Average	Total Supervision Nine Month Average	Active* Supervision Nine Month Average
Philadelphia Inten. Parole	.285	.376	.765	1.016	1.05	1.39
Philadelphia Inten. Prob.	.30	.347	.633	.741	.93	1.09
Philadelphia General Supv.	.269	.304	.474	.541	.74	.85
Pittsburgh Inten. Prob.	.244	.268	.677	.747	.92	1.02
Pittsburgh** General Supv.	.172	.202	.467	.55	.64	.75

NOTE: Urban sub-offices, SRS and Narcotics Units are not included.

*Case status printouts of December, 1974, March, 1975 and June, 1975, respectively, were to determine percentages of caseload being actively supervised.

**One month's data missing.

Appendix IC

Agent Activities in Terms of Total Collateral
Contacts per Month per Client

Supervisory Group	Total Supervision 3 Month Averages			Active Supervision 3 Month Averages		
	Oct. Dec.	Jan. Mar.	Apr. Jun.	Oct. Dec.	Jan. Mar.	Apr. Jun.
Philadelphia Inten. Parole	1.348	1.452	1.882	1.702	1.981	2.547
Philadelphia Inten. Probation	1.360	1.698	2.063	1.533	1.963	2.531
Philadelphia General Supervision	1.141	1.385	1.530	1.273	1.577	1.771
Pittsburgh Intensive Probation	2.095	1.650	1.622	2.300	1.813	1.802
Pittsburgh General Supervision	1.371	1.112	1.129	1.622	1.307	1.352

Appendix ID

Client Employment Data

Time Period	Study Group	Number* Available	Number Employed	Number on DPA
December, 1973	Phila. Parole	163	101	28
	Phila. Prob.	104	69	12
	Phila. GCL	1,302	919	211
	Pgh. Probation	205	150	26
	Pittsburgh GCL	159	119	25
March, 1974	Phila. Parole	165	103	27
	Phila. Prob.	96	56	26
	Phila. GCL	1,236	893	190
	Pgh. Probation	211	162	21
	Pittsburgh GCL	175	126	28
June, 1974	Phila. Parole	174	99	35
	Phila. Prob.	80	49	16
	Phila. GCL	979	714	162
	Pgh. Probation	221	162	26
	Pittsburgh GCL	232	153	55
September, 1974	Phila. Parole	200	124	36
	Phila. Prob.	97	68	19
	Phila. GCL	867	657	100
	Pgh. Probation	261	186	29
	Pittsburgh GCL	252	141	75
December, 1974	Phila. Parole	215	115	47
	Phila. Prob.	98	61	16
	Phila. GCL	873	626	135
	Pgh. Probation	251	180	37
	Pittsburgh GCL	189	139	38
March, 1975	Phila. Parole	132	79	31
	Phila. Prob.	113	78	11
	Phila. GCL	620	465	121
	Pgh. Probation	243	177	43
	Pittsburgh GCL	188	132	20
June, 1975**	Phila. Parole	149	49	85
	Phila. Prob.	158	104	31
	Phila. GCL	671	463	128
	Pgh. Probation	234	154	45
	Pittsburgh GCL	367	248	60

*Available for work, i.e. labor force.

**This data is based on a refined tabulation of raw employment data, which was carried out after publication of the quarterly employment survey report.

Appendix IE

Paroles Plus Reparoles Applied for and Granted, 1968-75

	Fiscal Year							
	1968	1969	1970	1971	1972	1973	1974	1975
Applications	3,792	3,532	3,782	4,148	4,186	3,772	4,105	4,174
No. Granted	2,230	1,952	2,221	2,793	3,180	2,813	3,184	3,141
% Granted	58.8%	55.3%	58.7%	67.3%	76.0%	74.6%	77.6%	75.25%
No. Actually Released	2,064	1,806	1,895	2,331	2,941	2,564	2,651	2,450
% Released of Granted	54.4%	51.1%	50.1%	56.2%	70.3%	68.0%	64.6%	58.7%

APPENDIX II

INTERIM REPORT

Development of Specialized Units
of the Pennsylvania Board of
Probation and Parole

Submitted to

Pennsylvania Board of Probation and Parole

William F. Butler, Acting Chairman
John H. Jefferson, Board Member
Paul J. Descano, Board Member
William C. Boor, Executive Director

and

Pennsylvania Governor's Justice Commission

Prepared By:

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July 24, 1975

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EXECUTIVE SUMMARY AND THE INTERIM CONCLUSIONS

Project and Evaluation Synopsis

This evaluation summary was prepared to provide an executive with a brief overview of the project and the interim evaluation, and to highlight the preliminary findings, conclusions and recommendations forthcoming from the analysis. The period under evaluation represents the fourth year of contract funding for the Specialized Unit's LEAA Grant. This grant has three distinct components, a Specialized Intensive Supervision component, a Specialized Case Analysis component and a Specialized Management Review component. Overall, the three components were designed to affect improvements in the delivery of probation and parole services. Individually, however, each component targeted on different problems within the Agency and consequently, had different objectives.

The general objectives of Intensive Supervision are consistent with the overall objectives of the agency which are to afford maximum protection to the community through effective supervisory surveillance in Intensive Supervision Units and to maximize the rehabilitation potential of the clients supervised therein. This evaluation has delineated different interpretations of the overall objective of intensive supervision among the three intensive supervision units funded by this grant. These differential objectives are spelled out in the summary of findings which follows.

The Case Analysis component of the grant was designed to provide for professional review and summarization of client information for parole decision-making. In addition, the Case Analysis Unit was established to systematize the preparation of individual client treatment plans prior to the parole hearings to aid in the Board's decision-making process. Lastly, the

Management Review component was designed to provide for a continual review and analysis of agency operations and management so as to maximize the utilization of available resources and provide planning input for future agency needs. A more detailed description of roles and objectives of the individual components of this grant may be found in the attached interim report.

The evaluation of the Specialized Units in this grant focused its attention on the activities and the client accomplishments of the three Specialized Intensive Supervision Units, and on the functions of the Specialized Case Analysis Unit. The functions and/or accomplishments of the Management Review Unit are of a systems analysis or operations research nature, and consequently, were not amenable to evaluation.

Two evaluation techniques were employed during the evaluation period of this interim report. These techniques included 1) the analysis of the statistical data available in the Board of Probation and Parole's statistical reporting system and 2) the analysis of interviews conducted with staff of the case analysis unit and members of the Board of Probation and Parole. The basis of the evaluation design for the three intensive supervision units was a comparison of program performance and effectiveness measures for clients in the special intensive supervision units with clients in general caseloads from their respective district offices. All Social Rehabilitation Services, Narcotics Units, and Community Parole Center clientele were excluded from the comparison. The program performance and effectiveness measures selected for study included client returns to prison (parole recommitments and probation revocations), unconvicted parole violations, arrests, and client employment. Other measures examined included average caseload size per agent and average number of agent-client contacts per client. These measures were used to assess the quality of intensive supervision. The time frame for this interim study was a six month period from October, 1974 through March, 1975.

To provide further information on program accomplishments in regard to the less tangible objectives of the grant, interviews were conducted in the Specialized Supervision Units, a small random sample of Pittsburgh and Philadelphia General Supervision agents, in the Case Analysis Units located in four State Correctional Institutions and in the central office with management staff and the three Members of the Board. Interviews with the Supervision Unit staff were conducted primarily to determine the criteria for client intake and the criteria for transferring clients between specialized units and general case-load units in a district. This information was needed for the proper interpretation of quantitative data being used to measure program effectiveness.

Interviews conducted with Case Analysts were undertaken primarily to determine the organizational structure of the Case Analysis program, the type of information they provide on the institutional population, and functional interrelationships between PBPP Case Analysts and other institutional staff of the Bureau of Corrections. Interviews were also conducted with staff of the Bureau of Corrections, specifically the Directors of Treatment, in order to obtain and pinpoint Case Analysis roles and operations. Finally, an attempt was made through the interview process to compare what Board Members need with respect to information in order to make paroling decisions with what Case Analysis Units were providing them.

It is believed that although the results of this analysis are necessarily tentative, they are highly informative and provide a sound basis for the development of measures which are more sensitive to questions of effectiveness and relative performance.

Interim Findings and Conclusions

1. The Specialized Intensive Supervision component of this grant has been implemented with three distinct operational objectives due to different kinds of problems in different localities.

Differential intake criteria illustrate differential program objectives. Interviews have revealed that the Philadelphia Intensive Parole Unit concen-

trates on 'high-risk' cases who have been identified by the specialized case analysis unit and for whom the Board has imposed intensive grade of supervision. Intensive Supervision for the Philadelphia Intensive Parole Unit is designed, therefore, to impact upon crime prone offenders who would not had been granted parole without the existence of a specialized intensive supervision unit. The objective of intensive parole is to maximize control through surveillance as well as have an optimal effect on offender behavior for purposes of rehabilitation and reintegration into society. The Philadelphia Intensive Probation Unit is also concentrating on 'high-risk' cases for whom the Courts have imposed intensive supervision as a requirement of probation or for whom agents have increased an offenders' grade of supervision from "regular" to "close" to "intensive" for purposes of increasing control and impacting on the offenders' behavior. The Philadelphia Intensive Probation Unit is, therefore, programmatically similar in operational objectives to the Intensive Parole Unit.

The Pittsburgh Probation Unit operates as a clearinghouse for all probation cases with only the excess beyond full capacity levels going into general supervision units. Implicit in the operational objectives of the Pittsburgh Intensive Probation Unit is the theory that an increase in the grade of supervision for 'low-risk' minor offenders will have a net positive impact upon their future criminal behavior. The objective of this Intensive Supervision Unit therefore is to maximize the rehabilitation potential of supervision by intensifying agent-client interaction for offenders, especially first offenders in early stages of criminal development.

Policy with regard to client transfers in and out of specialized intensive supervision units provides further evidence of differential program objectives among this grant's three specialized intensive supervision units. The Philadelphia Intensive Parole Unit transfers parolees to general supervision caseloads when clients have demonstrated adjustment which brings about a reduction of their technical grade of supervision from "intensive" to "close"

to "regular" status. The Philadelphia Intensive Probation Unit, however, does not transfer clients as a rule, unless they have become eligible for the Social Rehabilitation Service Program.* Similarly the Pittsburgh Intensive Supervision Unit is not transferring clients out unless they qualify for the SRS program.

The technical grade of supervision, "Board Imposed Intensive Supervision", does not guarantee that an offender will be assigned to specialized intensive supervision programs in Philadelphia and Pittsburgh. Both the intake of new clients, and policy with respect to transfers, are affected by policy regarding optimal caseload size in the operations of those programs. The result is that general caseload populations do have a mix of clients with different needs and technical grades of supervision although the proportion of "Board Imposed Intensive Supervision" clients found in general caseloads is reported as small. Factors such as, local objectives, intake criteria and policy with regard to transfer, have significant methodological implications when program effectiveness measures are evaluated based upon comparisons of innovative versus traditional treatment modalities.

2. Intensive Supervision Units funded by this grant have been generally successful in maintaining low average caseload sizes to enable agents to contact clients more frequently than in general supervision units.

The six month evaluation period ending in March of 1975, indicated that average caseload sizes ranged from 55.3 clients per agent in the Philadelphia Intensive Parole Unit, to 48.9 in the Pittsburgh Intensive Probation Unit to 38.1 in the Philadelphia Probation Unit. These six month averages mask trends, however, in caseload size; the Philadelphia Intensive Parole Unit trend was a decreasing caseload size over the last three months while intensive probation in both Philadelphia and Pittsburgh demonstrate increasing caseload sizes over the six month period. These trends will be monitored for three more months for the final evaluation report to determine whether they continue.

*The Social Rehabilitation Service of the U.S. Department of Health, Education and Welfare provides funds for parole supervision of specialized caseloads including alcohol, drug dependence, and welfare cases.

Despite higher average caseload sizes over six months in the Philadelphia Intensive Parole Unit, an analysis of client-agent contacts for the month of March, 1975, the last month in the evaluation period, indicated that intensive supervision units more frequently contact clients than do general supervision units. Further research will be necessary to substantiate the fact that average agent-client contacts per client are higher for intensive supervision units over time.

3. Recidivism when defined as client returns to prison as measured by parole recommitment actions and probation revocation actions, was found to be highest among Philadelphia Intensive Parole clientele and lowest among Pittsburgh Probation clientele over the six month study period. These results to a large extent may be explained by the differential objectives and modes of operation of the Intensive Supervision Units.

When compared with general supervision caseload and analyzed in context of objectives, the variation in recidivism was judged as reasonable and indictative of successful program performance. Displayed below are the percentages of clients whose cases were closed unsuccessfully of the total number of cases closed and leaving the supervision system. The method of unsuccessful closures is computed by dividing parole recommitments to prison and/or probation revocations by the total recommitments and/or revocations plus final discharges, a term which means the client successfully served his maximum sentence on the street. The following results were obtained for the six month period of October 1, 1974, to March 31, 1975:

Philadelphia Parole Unit:	66% unsuccessful
Philadelphia Probation Unit:	31.5% unsuccessful
Pittsburgh Probation Unit:	8.1% unsuccessful
Philadelphia General Units:	30.4% unsuccessful
Pittsburgh General Units:	49.4% unsuccessful
Three Specialized Units Combined:	38.3% unsuccessful
Five General Supervision Units Combined:	35.6% unsuccessful

4. Client arrest data indicated that the Philadelphia Intensive Parole Unit had proportionately more clients arrested than any of the other populations studied in this evaluation. The Philadelphia Intensive Probation Unit also had proportionately more arrests than probationers being supervised in Philadelphia's General Caseloads. This finding is consistent with the recidivism data presented earlier and may be explained by the high-risk characteristics of their clientele. Pittsburgh Intensive Probation cases have slightly more arrests than probationers in Pittsburgh's General Supervision Caseload although the proportional differences were not statistically different. In all cases, most probation and parole arrests were new alleged crimes rather than technical violations.

From October 1, 1974 through March, 1975, over one-third of Philadelphia's Intensive Parole average monthly populations were arrested at some time in comparison with over one-fifth of the clients being provided general supervision. The Pittsburgh Intensive Probation Unit had approximately 11% of its average monthly probationers arrested in comparison with only 10% of the average monthly probationers in general supervision caseloads in Pittsburgh. This data will be monitored for the remainder of the evaluation period to ascertain whether or not arrests will eventually reflect higher rates of revocation among intensive probationers in Pittsburgh.

5. Consistent with other findings, the Philadelphia Intensive Parole Unit had proportionately more clients classified as Unconvicted Parole Violators for October, 1974, through March, 1975, than clients receiving supervision in general caseloads from the Philadelphia District Office. The Philadelphia Intensive Probation Unit had a slightly higher, although statistically insignificant difference in the proportion of clients classified as unconvicted violators in comparison with the Philadelphia's general supervision caseloads. Pittsburgh's Intensive Probation Unit had slightly, although insignificantly fewer clients classified as unconvicted violators during the same six month period.

Given processing time lags between arrests, UCV status, and revocation, the relationship of slightly more arrests to slightly fewer UCV's to significantly fewer revocations in the Pittsburgh Intensive Unit in comparison to Pittsburgh's general supervision clientele during the same time period suggests the possibility of future increases in revocation among intensive probationers in Pittsburgh. A possible explanation for this development may be increasing caseload size, a fact which will be monitored closely for purposes of the final evaluation.

6. Proportionately fewer clients in Philadelphia's Specialized Intensive Supervision Units were employed as of January 1, 1975 in comparison

with general supervision clients. In Pittsburgh's Special Intensive Probation Unit proportionately, although insignificantly fewer clients were found to be employed as a result of the same quarterly survey.

A simple linear regression trend analysis of employment data over five quarters beginning in December of 1973, revealed that the Philadelphia Intensive Parole Unit over time had a consistently low percentage of clients employed of their total 'able to work'* client population. Significantly, intensive probation populations in both cities over time had proportionately more clients working of their 'able to work' clientele than their respective general supervision caseloads. Given the relatively large difference in the percentage of clients in Philadelphia's Intensive Supervision Unit who are employed as compared to general supervision clientele, further research is needed to identify causal factors which may be contributing to this large gap. Solutions will be sought through the evaluation mechanism to improve employment levels among these high-risk clientele. This data will be monitored for the remainder of the evaluation and inquiries will be made with intensive supervision staff and management staff for possible explanations of factors causing depressed employment levels among these clientele.

7. Extensive interviews among these case analysis, management staff and members of the Board of Probation and Parole have indicated that the case analysis unit has been doing an effective job of providing case summaries and parole plans for institutional residents to the Board for parole decision-making, and has been successful in identifying high-risk clientele who need intensive supervision as a condition of parole. Quantitative analysis of the percentage of parole applications which have been granted annually since 1969 revealed substantial annual increases. However, an interrupted time series analysis of this trend indicated a significant jump in the trend after the inception of the case analysis unit. As a result, proportionately more institutionalized residents are serving their sentences on the street with a considerable savings to the State in light of^{the} high cost of incarceration.

The percentage of parole and reparole applications which were granted,

*Not incarcerated, absconded, disabled or hospitalized.

increased from 55.3% in 1969 to 77.6% in 1974. Using an interrupted time series method of analysis which is based upon linear regression statistical techniques, the case analysis unit had an impact of at least 5 percentage points in paroles granted in comparison with before the grant. A complete discussion of this analysis is found in the Interim Report. Since the average number of applications per year from 1972 - 1975 was 4,201, we estimate that approximately 200 more offenders were being granted parole since the inception of the case analysis unit based upon our conservative estimate of a 5% impact. The cost differential between parole supervision and institutional confinement has been estimated as being approximately \$7,000 per year.* This would suggest that approximately 1.4 million dollars in tax dollars is being saved annually by granting these paroles. Current statistics indicate that the average length of time for a parolee on the streets is 33.5 months. Therefore, the estimated cumulative savings for these 200 parolees over an average parole period would amount to a savings of 3.9 million dollars for this number of persons placed on parole rather than being incarcerated.

Interviews with the three Board Members, who were asked to list information they needed to arrive at paroling decisions and whether or not the Case Analysis Units were providing it, revealed several important factors:

- a) Summaries are much better organized and more complete with the units funded by this grant than they were previously. It takes the Board Members considerably less time to access material and thereby arrive at a decision than before the unit became operational.
- b) Certain material which was altogether unavailable to the interviewing Board Members under the old system, is now readily available. Examples are prior probation and/or parole adjustment, and institutional adjustment as seen from a "non-institutional" viewpoint (PBPP staff).
- c) The Case Analysis Unit has been very helpful in formulating parole plans, without which a resident could not be granted parole, and in addition has helped to identify 'high-risk' cases for Intensive Supervision.

*Based on Fiscal Year 1973-74 data.

Interim Recommendations

1. For this evaluation and for future evaluations, it is recommended that:
 - A. A further study of employment be undertaken to ascertain the reason for relatively low performance in the Philadelphia Specialized Supervision Units, and to suggest a method to increase levels of employment.
 - B. A further study of arrests and unconvicted violator statuses be carried out to predict their impact on eventual recidivism by return to prison in the different program localities.
 - C. Extend research of agent-client contacts for the final evaluation and compare the intensive supervision units with general supervision units.
 - D. A further study of client characteristics to identify "risk factors" as a) reported by the Case Analysis unit and b) client characteristics actually found in the Intensive Parole unit in comparison with general caseloads be undertaken.
 - E. An organizational chart will be developed indicating the names of supervisory staff, agents, and sources of funding so as to verify staff size and functional responsibilities which have bearing upon intensive supervision.
 - F. For future analyses, a more in-depth analysis of probation and parole outcome will be undertaken by the cohort method, using computer capability to more thoroughly study project effects and analyze interrelated results. For example, by analyzing the outcome of clients paroled to the Philadelphia Specialized Parole Unit, a probability of recidivism prior to being transferred to general caseloads could be calculated and compared with a control group. This would be more meaningful than the present method, because improved cases are transferred to other units.
 - G. For future analyses, a rigorous cost-benefit analysis be incorporated into the evaluation to include all aspects of the operation.
2. It is recommended that closer attention be paid to the maintenance of low caseloads in the three specialized supervision units through monthly monitoring and reporting, so that caseload size does not suddenly increase "unnoticed."

PROJECT ACTIVITIES

Project Goals and Objectives

This project funds three distinct types of specialized units and consequently has multiple goals. They are as follows:

- a.) To contribute to and/or reduce the percentage of clients in the Philadelphia and Pittsburgh District Offices who have been returned to prison despite continual growth in the caseload.
- b.) To afford maximum protection to the community through effective supervisory surveillance in the Intensive Supervision Units.
- c.) To maintain and improve the employment status of clients receiving intensive supervision.
- d.) To provide for the continual review and analysis of Agency operations and management, making changes where appropriate and necessary, and to provide planning input to meet future Agency needs.
- e.) To continue to provide for the professional review and summarization of client information for parole decision-making by the Case Analysis Unit. Also, to continue to improve the treatment planning process for agents in the field.
- f.) To maintain low average caseloads of not more than 50 clients per agent.

Overview of Agency Operations

The Pennsylvania Board of Probation and Parole is an independent State agency, directed by a five-person Board (currently with two vacancies), an Executive Director, and support staff located in Harrisburg. Field staff are grouped into six regions, which are geographically nearly the same as the six 'human service' regions in Pennsylvania. Each region is headed by a LEAA-funded Regional Director, who is directly responsible to the Director of Field Services, who is in turn responsible to the Superintendent of Parole Supervision. The latter reports directly to the Executive Director. In addition, this grant has made possible the creation of a Case Analysis Unit, with a component in each of the eight State Correctional Institutions and in Philadelphia County Prison. This Unit formulates parole plans and makes recommendations to the Board whether or not to grant parole to institutional residents, and suggests a "grade" of supervision. The Case Analysis Unit is directly responsible to the Director of the Bureau of Preparole Services. Each region controls either one or two district offices, the latter being ten in number. Two of these district offices, Philadelphia and Pittsburgh, have specialized supervision units funded by this grant. A specialized parole unit in Philadelphia provides intensive supervision for 'high-risk' parolees. A specialized probation unit, also in Philadelphia, provides intensive supervision for only difficult probation clients. In Pittsburgh, the specialized supervision unit has a different thrust. The specialized probation unit in Pittsburgh provides intensive supervision for most of the probationers certified by the local courts for supervision, regardless of the nature of the case.

The rapid growth in the Agency's caseload during the past five years, especially in the probation caseload, has made intensive supervision an important element of caseload management. In June, 1970 there were 6,107

clients statewide, 1,241 of whom were special probation cases. By March, 1975 the total number of cases experienced a twofold increase to 12,131 clients, while the number of probationers increased nearly fourfold to 4,214 clients. As of March, 1975 there were 512 cases in the two Philadelphia Intensive Supervision Units and 324 cases in the Pittsburgh Probation Unit for a total of 836 in the Specialized Units.

Growth has also occurred in the Pennsylvania Parolee Caseload in the same time period: from 4,166 to 6,549. The Case Analysis Unit, by formulating parole plans and identifying those residents who would present the the least risk to society if paroled, has made possible an increase in the percentage of parole and reparole applications granted from 58% in 1970 to 78% in 1974. The resulting monetary savings to society are considerable, because it costs eight times as much to keep a man incarcerated as it does to supervise him on the street.

The grant also funds a two-man Specialized Management Review Unit in the Central Office. This unit works closely with the Research and Statistical Division in studies of such administrative processes as parole decision-making. It also is involved with the development of new inventory and cost systems, cost reduction, leasing and an Administrative Services Manual designed to improve the efficiency of administrative procedures. This unit is under the Bureau of Administrative Services. Operations of this nature are not amenable to program evaluation in the usual sense, so the evaluation will focus its attention only on the Specialized Supervision and Case Analysis Units.

CONTINUED

1 OF 2

EVALUATION ACTIVITIES

Nature of the Evaluation Activities

The evaluation activities have consisted of several components. Statistical data relative to the measurement of program performance was compiled and analyzed for each of the three Intensive Supervision Units in Philadelphia and Pittsburgh and was compared with the General Caseloads in the two district offices. (SRS¹ Units, Narcotics Units, and Community Parole Centers were not included.) Interviews were conducted with all of the agents and supervisors in the specialized units, the Deputy District Office Supervisor in Philadelphia, and a sample of six agents in the Philadelphia and four agents in the Pittsburgh District Office General Caseload Units. A standard interview format was used (see Appendix I). The questions were designed to determine the operational procedures of the specialized units regarding intake and transfer of clients and to determine the risk factor of the clients in the units relative to those in the General Caseloads.

Site visits were made to the Case Analysis Units in four State Correctional Institutions, where the Parole Case Specialists, Institutional Parole Representatives, and Directors of Treatment (employees of the Bureau of Corrections, Pennsylvania Department of Justice) were interviewed. The Director of Preparole Services and the three Board Members were interviewed in Central Office. The purpose of these interviews was to determine what information the Board requires to arrive at paroling decisions and whether the Case Analysts are providing it. In addition, the interviewers attempted to learn more about the other functions of Case Analysts (such as providing parole plans) and the role of the Case Analyst Unit within the broader administrative structure of corrections. Standard interview formats were used (Appendix I) in all cases.

¹ The Social Rehabilitation Service of the U.S. Department of Health, Education and Welfare provides funds for parole supervision of specialized caseloads including alcohol, drug dependence and welfare cases.

The Identification of Evaluation Measures and Data Sources

The most quantifiable evaluation measures of the extent to which program objectives have been accomplished are indicators of client violations and recidivism, client employment data, and data on caseload size viewed over time. In addition, data on the percentage of paroles and reparoles granted each year will be used to indicate the effectiveness of the Case Analysis Unit.

The number of clients per agent are reported on a monthly basis. This data is available for the Specialized Units for October, 1974, when the statistical reporting system became computerized. Implicit in the goal of reduced caseloads is the assumption that the more time an agent has available to spend with individual clients, the more he should be able to counsel each client and channel activities into socially acceptable patterns. Studies of the affect of agents' caseload size on recidivism have not been conclusive.² Nevertheless, to test the notion that lower supervision caseloads leave more time for agents to contact clients, a comparison of agent daily activity reports was made to ascertain if Intensive Supervision clients were contacted more frequently than General Caseload clients.

Violation and recidivism indicators have been reported regularly for over a decade in the PBPP statistical reporting system. This data was not available for individual units until the computerization which occurred in October, 1974. These indicators include: 1) records of parolees recommitted to prison by the Parole Board on their original sentence, either with new convictions or for violations of the rules of parole (technical violations); 2) records of special probation/parole cases certified by the courts to be

² M. G. Neithercutt and D. M. Gottfredson, "Caseload Size Variation and Difference in Probation/Parole Performance", National Center for Juvenile Justice, Washington, D.C., 1974.

supervised by PBPP agents and who later had their probation revoked by the sentencing judge and/or are sent to prison for probation violation or new criminal behavior; 3) records of clients who are arrested or otherwise violate their parole or probation and are placed in unconvicted violator status by the agent while awaiting disposition of the charges (some are incarcerated while others are released on bond or on their own recognizance). The recidivism measures of recommitments and revocations; i.e., returns to prison may be considered the most precise measure of recidivism. These figures will be much smaller than new unconvicted violators, because violation must be clearly established, and the Parole Board usually does not recommit an individual unless they consider him to be a risk to society, or unable to adjust to street supervision. For this reason, the Agency has always used the recommit and revocation figure to determine its supervision "failure rate."

An additional measure directly related to recidivism is client arrest reports. The total number of arrests of clients, whether for minor or serious charges, police (new charge) or agent (technical) arrests, has been monitored and tabulated from preliminary arrest reports for parolees since October, 1972. Similar data has been collected and compiled for special probation and parole cases since July, 1974. It stands to reason that the number of arrests per month will far exceed the number of new unconvicted violators per month. For example, since many of the arrests are for very minor offenses (vehicle code, etc.), a fine is imposed and the client is continued under supervision. Second, many of the more serious charges (suspected burglary, assault) are dropped early for lack of evidence. Third, the number of arrests will exceed the number of new unconvicted violators because one client could conceivably be arrested several times in a given month but would be placed in 'unconvicted violator' status only once.

The statistical measure of client employment status was obtained from data which is collected quarterly from survey forms filled out by all parole agents statewide. Studies have shown that good employment adjustment correlates highly with success on parole/probation.³ Client employment is also an indicator of whether the intensive supervision offered by the specialized units is effective in locating jobs for clients and encouraging them to remain employed. Reported on this survey are numbers of clients able and available to work, number employed full time, part time, and number receiving public assistance.

The percentage of parole and reparole applications given favorable consideration is tabulated by the Research and Statistical Division and reported monthly and annually.

The other less tangible goals of the LEAA Grant program cannot be measured easily in terms of quantified data. Instead, the success of intended functions such as providing accurate case summaries of institutional residents, providing parole plans, and assisting the Board with decision-making, have been evaluated by utilization of interview techniques. When possible, responses to these interviews have been tabulated and quantified. The Case Analysis component of the project has been approached using this methodology. Questions directed to the Case Analysis Units, their supervisor in Central Office, and the Board Members have been geared to determine effectiveness in providing parole case summaries, etc. Consequently, this evaluation activity has been essentially descriptive in nature rather than evaluative since little was known heretofore about how the Case Analysis Units were functioning.

³ See for example, Probation and Parole: Selected Readings, Edited by R. M. Carter and L. T. Wilkins, John Wiley and Sons, New York, 1970. Pages 131-137; Page 149.

ANALYSIS OF SPECIALIZED SUPERVISION UNITS

Objectives of Intensive Supervision

One of the research problems faced by previous evaluators was that of defining what was expected of specialized supervisory units in light of the Agency's overall objectives of rehabilitating the client while protecting the community from possible criminal activity. It was generally assumed that 'intensive' supervision had the same objective for the Agency regardless of client type or locality. In reality, 'intensive' supervision had slightly different objectives for different clientele. Although the main objective was "to test the effects of lower caseloads on the supervision and services provided to Board clients"¹ and consequently affect the clients' likelihood of committing new crimes, the kinds of clients being selected for specialized treatment varied among the three intensive supervisory units created by the grant and consequently the results achieved must be evaluated by different standards.

Specialized intensive supervision consists of two different program components: one for special probation cases and one for parolees. The intensive parole unit is located in Philadelphia. The philosophy of this unit is to provide intensive supervision for institutional residents who are paroled by the Board in the Philadelphia area and are generally considered high risk individuals who would probably be denied parole if it were not for the existence of the intensive parole unit. It is the responsibility of the Case Analyst Units in various correctional institutions to identify these difficult cases and recommend intensive supervision as a condition of parole. The objective of intensive supervision for parolees with hard core criminal records is to provide frequent contact and close surveillance so as to minimize the likelihood of criminal activity for a group whose record indicates highly probable future crime. Inherent in this concept is the idea that crime prone offenders need a high grade of

¹ Kaufman, J. J. (et.al.) An Evaluation of the Specialized Units Project of the Pennsylvania Board of Probation and Parole. The Pennsylvania State University, Institute for Research on Human Resources, University Park, Pa., October, 1974.

supervision for control purposes as well as having an optimal effect on their behavior for purposes of rehabilitation. Whether a high grade of supervision actually induces less criminal behavior for these clientele is not known; therefore, an actual decrease in crime among them cannot be predicted.

The original philosophy for the Intensive Probation Units, one of which is located in Philadelphia and one in Pittsburgh, was different. It had been thought that if probationers, especially first offenders, were offered intensive supervision services, their chances of avoiding further criminal activity and leading socially acceptable lives would be enhanced. The probationers assigned to the special probation units were not supposed to be any more 'difficult' than those assigned to other units; intensive supervision was merely thought to be a more effective means of influencing clients against future criminal activity. Implicit in this idea is the theory that an increase in the grade of supervision for the "less serious" offender would decrease criminal activity. This has been the case in Pittsburgh; in that office, the majority of probationers taken into units based in the Central District Office headquarters have been received by the intensive probation unit. In March, 1975, there were 273 probationers in this unit as opposed to 125 in the other units (excluding SRS and the East Liberty Community Parole Center).

The intake criterion for the Philadelphia Probation Unit has apparently departed from the original philosophy. Interviews with agents and supervisors in Philadelphia have indicated (with 100% consensus) that their intensive probation unit is enriched by clients for whom the courts specify intensive supervision (difficult cases), or probationers whose grade of supervision has been increased by other agents in other units to intensive (also problem cases). If the Philadelphia courts are assigning 'serious' offenders to probation because of the existence of the intensive supervision unit, then the assumption that an increased grade in supervision would decrease crime may not hold. In March, 1975, there were 178 clients in Philadelphia's Intensive Probation Unit as com-

pared to 278 probationers in the general caseload excluding clients in SRS and the Narcotics Unit. Unlike Pittsburgh then, the Philadelphia Intensive Probation Unit is not acting as a clearinghouse for probationers especially the less serious offender; it is acting as a special unit to control the more serious offender under street supervision.

Regardless of the methodological problems created by the unavailability of certain data and limited opportunities for data manipulation, the data measures selected for evaluative comparisons are difficult to interpret because of the subtle differences in client populations brought about by differential program objectives and client selection processes. The analysis which follows attempts to delineate the effects of intensive supervision in each specialized unit and explain the variance in achievement attained. It does not pretend to explain the causes of varying accomplishments, nor can it be purely evaluative since a clear standard of what constitutes program success is not available. It is hoped that with continued refinement of evaluative measures over time, quantitative standards will emerge which allow for more rigorous assessment of program effectiveness relative to goals.

Caseload Size and Intensive Supervision

An a priori assumption of many parole programs is that if caseload size is reduced and kept low, agents will be able to do a better job with the clients. Logic suggests that fewer cases means an agent will have more time available for any one client, will be able to contact different clients more frequently and will be able to intervene in critical times of need to provide assistance and direction. The outcome of timely intervention is assumed to be clients who are less likely to commit new crimes. A fallacy of this theory is that it assumes that those selected need and benefit from frequent contact, and that the need for intensive supervision once established stays constant over time. Neither of these factors are always true. Nevertheless, the specialized intensive supervision project tacitly accepts the theory that low caseloads promotes better per-

formance with regard to influencing clients' criminal behavior patterns.

It is not our intention here to attempt to causally relate caseload size to effectiveness in order to prove or disprove the underlying theory, nor do we intend to test the clinical judgment and diagnostic skills of Judges or Parole Case Analysts who assign intensive supervision to offenders as a condition of their freedom. Both of these issues involve far more sophisticated data than is currently available to us. The purpose of examining caseload size is to estimate the degree to which supervision could be defined as 'intensive' based upon the time resources available to any agent. Table I displays average caseloads per agent for the three specialized intensive supervision units and the general caseloads in their respective district offices. The data covers a six-month period from October of 1974 through March of 1975. More detailed information may be found in the Appendix.

Table I
Average Caseload Per Agent By
Supervisory Unit and Month

Supervisory Unit	M O N T H						6 Month Average	Average Pa. Caseload Per Agent for 3/75*
	10/74	11/74	12/74	1/75	2/75	3/75		
Philadelphia Intensive Parole	58.8	58.4	61.0	60.4	48.7	47.2	55.3	46.8
Philadelphia Intensive Probation	35.7	30.3	43.5	44.5	28.6	45.8	38.1	42.0
Philadelphia General Supervision (Three Units)	61.5	50.0	43.1	46.5	47.3	38.7	47.3	31.3
Pittsburgh Intensive Probation	44.5	43.7	48.5	50.3	52.2	54.0	48.9	48.3
Pittsburgh General Supervision (Two Units)	82.2	79.8	72.7	65.6	68.6	66.1	71.9	60.6

*Average caseload per agent excluding other states' cases.

The Philadelphia Intensive Parole Unit showed a substantial decrease in average caseload size from approximately fifty-nine clients per agent in October of 1974 to forty-seven clients per agent in March. However, general supervision caseloads in Philadelphia also decreased markedly in size over the same time period and intensive probation caseloads grew from approximately thirty-six clients per agent to about forty-six clients per agent. If the number of offenders in a caseload is a measure of potential time available for agent-client interaction, then this data would suggest that a client in Philadelphia's General Supervision caseloads on the average had greater opportunity for contact in March, 1975, than did Intensive Supervision clients. The General Supervision caseload sizes in Pittsburgh tended to be higher than in Philadelphia but the size rank relationship at least favored the 'Intensive' Probation Unit. Pittsburgh's Special Probation cases have been growing rapidly in comparison to parolees according to county probation data in the Harrisburg Central Office.* This fact is supported by the Pittsburgh Intensive Probation Unit's steady growth in average caseload size. If management efforts are not made to reduce average caseload size in Pittsburgh and maintain the relatively lower levels in Philadelphia, the concept underlying 'intensive' supervision may be moot and more effective results may merely be coincidental.

As if to counter-point the possible implications of average caseload per agent data, a comparison of Agent Daily Activity reports suggests that the Intensive Supervision caseloads are being contacted more frequently than General Supervision caseloads. Table II compares the Intensive Supervision Units and the General Supervision Units in Pittsburgh and Philadelphia in terms of the ratios of office and field contacts reported daily for the month of March, 1975.

*Bureau of Probation Services, Board of Probation and Parole.

Table II

Caseload and Agent Contacts Per Client
During March of 1975

Supervisory Groups	Average Caseload Per Agent*	Ratio of Agent Office Contacts Per Client	Ratio of Agent Field Contacts Per Client	Ratio of Total Agent Contacts Per Client
Philadelphia Intensive Parole	47.2	.28	.86	1.14
Philadelphia Intensive Probation	45.8	.21	.55	.77
Philadelphia General Supervision	38.7	.20	.46	.66
Pittsburgh Intensive Probation	54.0	.20	.64	.84
Pittsburgh General Supervision	66.1	.16	.53	.69

*March, 1975.

The ratio of agent contacts per client suggests that Intensive Supervision Units were more frequently contacting clients on the average than General Supervisory Units in their respective district offices. The Philadelphia Intensive Parole Unit ranked highest with a coefficient of 1.1 agent contacts per client in March, 1975 and the Philadelphia General Supervision caseload lowest with .66 agent contacts per client. The Pittsburgh Intensive Probation Unit ranked second highest with .84 agent contacts per client while Philadelphia Intensive Probation had .77 agent contacts per agent. If we accept the premise of last year's evaluators that "the amount of time available to an agent is not as important as how he uses it,"² then despite their apparent higher average

² Pennsylvania State University, Page 2.

caseloads per agent, the Philadelphia Intensive Supervision agents appear to have had more frequent client contact on the average than General Supervision caseloads in their respective district offices in March of 1975, and consequently must be using more of their time for supervision than General Caseload agents.

This data is far from conclusive, but it does suggest possible avenues for future evaluative research. This interim evaluation will recommend that more rigorous analysis be undertaken to develop a better understanding of the relationship between caseload size, agent activities and eventually the effect of supervision grades upon client success.

Analysis of Successful and Unsuccessful Case Closures

A comparison of successful and unsuccessful case closures is one means of measuring the relative effectiveness of specialized supervision units in achieving their goals. A 'successful' case is one that is closed because the client reached his maximum sentence without a return to crime. An 'unsuccessful' closure is one in which service is terminated by the Agency because the individual returned to crime or violated his conditions of parole. For statistical purposes, unsuccessful is defined as recommitment from parole, or revocation from probation. In both instances, the operating assumption is that the individual is being returned to prison and consequently is no longer under street supervision. Thus, a case is unsuccessful primarily because street supervision is deemed as being no longer a tenable means of reintegrating an individual into society. This emphasis differs from a 'return to crime' concept of recidivism measurement since some parolees may return to crime but continue under street supervision because of their strong potential for rehabilitation and the presumed minimal danger to society. This model assumes that success or failure from an agency viewpoint is determined only when the client leaves the 'treatment' of supervision.

In accounting for successful and unsuccessful closures, the summary statistics used in this study posed problems for the analysis. If a treatment unit were a closed system, where cases entered the system either by probation certification or parole/reparole and exited the system only by return to prison (revocation or recommit) or by final discharge, and if the size of the system remained constant (flow in equals flow out), then the ratio of successful closures (final discharges) to total closures (final discharges plus returns) gives a direct measure of the fraction of clients who 'make it' through their entire period of supervision without returning to prison.

Unfortunately, this picture is complicated by inter-unit and intra-unit client transfers which bias measurements of impact on recidivism. All client transfers are accounted for at the District Office level in the present reporting system. Consequently, intra-unit transfers between agents within a unit cannot be readily separated from inter-unit transfers between agents in different units. The frequency of transfer, the net flow in and out, and the qualitative nature of the transfers in terms of potential recidivists, have an effect upon the percent of unsuccessful cases found in a closure group.

For several different reasons, the effect of transfers on the Intensive Probation and Parole Supervision units are thought to be essentially negative, i.e., the percentage of unsuccessful case closures is being maximized. Staff interviews revealed that the Philadelphia Intensive Parole Unit transferred clients out to other units when their grade of supervision was being reduced from 'intensive to close'. Thus, clients who show improvement are not statistically credited to that unit. Similarly, it was learned that the Philadelphia Probation Unit may accept probation cases needing more intensive supervision due to poor adjustment in a general caseload. The Pittsburgh Probation Unit, however, does not appear to have a 'risk' criterion for transfers. Therefore, excluding Pittsburgh, the effect of transfers on assessments of relative effectiveness in maximizing successful case closures would appear to be negative.

This fact coupled with the risk selection criteria used for Philadelphia parolees suggests that unsuccessful closures are expected to occur more frequently among the intensive supervision unit clients than parolees in the general caseload. What can be assumed with relative certainty is that the Intensive Supervision Units do not transfer out when clients are viewed as liabilities with respect to recidivism.

Table III compares unsuccessful and successful closures among the three study groups being evaluated and their respective district office general caseloads.

Table III

Successful and Unsuccessful Case Closures Over Six Months
October 1, 1974 - March 31, 1975

Study Group	*Successful Closure	**Unsuccessful Closure	Total Closures	Percent Closed Unsuccessful
Philadelphia Intensive Parole	17	33	50	66.0%***
Philadelphia Intensive Probation	20	8	28	31.5%***
Philadelphia General Supervision	163	71	234	30.4%
Pittsburgh Probation	34	3	37	8.1%
Pittsburgh General Supervision	45	44	89	49.4%

*Final Discharge from Supervision.

**Recidivism - Return to Prison.

***Pooled data from Philadelphia Intensive Parole and Philadelphia Intensive Probation equals 52.5% unsuccessful closures.

Philadelphia

1. $\chi^2 = 23.5$, $df = 2$, $p < .001$
2. t test: Phila. Parole vs. General Caseload $t = 4.75$, $p < .001$

Pittsburgh

1. $\chi^2 = 19.1$, $df = 1$, $p < .001$
2. t test: Pgh. Parole vs. General Caseload $t = 4.37$, $p < .001$

The data indicates that two out of every three Philadelphia clients (66%) leaving intensive parole supervision over a six-month period from October, 1974 to March of 1975, were being returned to jail. The intensive probation percentage of revocation was 31.5%. The percentage of recommitment and revocation in Philadelphia's general caseload units was 30.4%. The general caseload excludes the Narcotics Units' cases and the Social Rehabilitation Services' cases (SRS). Unfortunately, the percent of unsuccessful closures in the general caseload does not distinguish between parolees and probationers. This pooled assessment results from the fact that final discharges, clients who successfully reach maximum sentences, are not reported in the current statistical system by parole versus probationer status. (As a result of this evaluation, this method of reporting final discharges is being changed.) Therefore, we can only ascertain that 30% of the pooled parolee and probationer closure group were unsuccessful under street supervision. A comparable pooled assessment for the Philadelphia Intensive Supervision Units (Intensive Parole and Intensive Probation) reveals that approximately 53% of the case closures for Philadelphia's intensively supervised clients are not successful under street supervision.

Table III also indicates that about 8% of the intensive probation population in Pittsburgh were unsuccessful under street supervision. Since the Pittsburgh Intensive Probation population does not represent 'problem cases' as in Philadelphia, the apparent discrepancy in accomplishment is understandable. More noteworthy for Pittsburgh is the relatively high percentage of unsuccessful closures (49%) among its general caseload clientele. This population does not screen out 'high risk' parolees as is done in Philadelphia. Since it includes some probationers as well as high risk parolees, this relatively high percentage of closed cases who were unsuccessful under supervision should perhaps be compared with pooled data for Philadelphia's Intensive Probation and Parole group. Noteworthy, the percentage of unsuccessful closures among Philadelphia's pooled

population of intensive parole and probationary supervision was 53%. The approximate similarity in order of magnitude between these values strongly suggests that the Intensive Supervision Units are reasonably effective in coping with either 'problem cases' or offenders in the early stages of criminal development depending upon the units' differential objectives. Given the major differences in composition which have been noted in these groups, it is not possible to make a truly scientific comparison of each Intensive Supervision group to determine their relative effectiveness. We are in a position, however, to monitor case closure data over time and consequently will be able to ascertain any change in performance in Intensive Supervision Units for the final evaluation report.

An alternative method of assessing probation and parole performance for differential caseloads is to compare unsuccessful closures as a percent of average monthly caseloads. Since this method is not dependent upon final discharges (successful closure), probationers and parolees may be separated for analysis. Table IV presents data using six-month average caseloads as a method of assessing relative effectiveness.

Table IV

Unsuccessful Clients as a Percentage of Monthly Average Caseload:
October 1, 1974 - March 31, 1975

Study Group	Monthly Average Parolees	Monthly Average Probationers	Unsuccessful Case Closures				
			Recommitted NC*	TV**	%	Probations Revoked	%
Philadelphia Intensive Parole	290	4	25	8	11.4	-	-
Philadelphia Intensive Probation	15	138	1	-	6.7	7	5.1
Philadelphia General Supervision	811	336	47	13	7.4	11	3.3
Pittsburgh Intensive Probation	11	258	-	-	-	3	1.2
Pittsburgh General Supervision	341	90	32	7	11.4	5	5.6

*New Conviction

**Technical Violator

Philadelphia

1. t test: Phila. Parole vs. General Caseload Parole $t = 2.09, p < .05$
2. t test: Phila. Prob. vs. General Caseload Prob. $t = 0.93, p$ is not significant

Pittsburgh

1. t test: Pgh. Prob. vs. General Caseload Prob. $t = 2.4, p < .05$

Table IV indicates that 11.4% of the Philadelphia Intensive Parole Units' average monthly caseload was unsuccessful under street supervision in comparison with 7.4% of the average monthly caseload of parolees in Philadelphia's General Caseload (SRS and Narcotics Unit cases excluded). This difference was statistically significant using a difference of proportions statistical test. The magnitude of the difference, however, is not very great; for every one

hundred clients in an average monthly caseload, 11 parolees under intensive supervision as compared to 7 under general supervision were unsuccessful and returned to jail. Since intensive supervision is intended for 'problem cases', the difference would not appear to be unreasonable. Similarly, the Philadelphia Intensive Probation Unit had 5.1% of its average monthly caseload revoked in contrast with 3.3% unsuccessful among general caseload probationers. This difference, however, was not statistically significant and consequently could have occurred by chance. Since the Intensive Probation Unit is intended for 'problem cases' who are screened from the general caseload, this insignificant difference in the percentage of unsuccessful case closures in an average monthly caseload suggests that Intensive Probation Supervision may be having a positive effect on the presumed recidivistic tendencies of the more difficult probationer.

The Pittsburgh Intensive Probation Unit, which was designed to act as a clearinghouse for all probationers so as to affect their chances of further criminal activity, had 1.2% of its average monthly cases revoked in comparison with 5.6% of the Pittsburgh Probationers in General Supervision caseloads. This difference of proportions proved to be statistically significant also, suggesting that Intensive Probation Supervision is having a positive effect on the Pittsburgh Probation population. Notably, three-fourths of the Pittsburgh average monthly probation population received intensive supervision, monthly average of the ninety probationers who received only general supervision presumably represent 'overflow' from the limited resources of the Specialized Supervision Unit. Of the parolees in Pittsburgh's General Caseload, it is ironical that the percentage of clients being returned to prison (11.4%) was identical to the Philadelphia's Intensive Parole Supervision. This coincidence in fact may be an indirect testimonial to the effectiveness of Philadelphia's Intensive Supervision with a supposedly higher risk group. Without a more in depth analysis which is sensitive to factors that identify risk clients, this assertion is difficult to support.

It is interesting that the previous evaluators found little difference in the characteristics of 236 clients assigned to the Specialized Units from July, 1973 to February, 1974, as compared to 351 assigned to the general case-loads.³ However, these evaluators combined all three units into one population, including the large Pittsburgh Probation Unit. The 'average' characteristics of the latter would tend to minimize any differences found between the Specialized Units and General Caseload populations. Their findings, therefore, cannot be incorporated into this analysis.

Regardless of whether unsuccessful case closures are computed as percentages of total case closures or of average monthly caseloads, several generalizations may be made: 1) proportionately more of the Philadelphia Intensive Parole clientele were closed unsuccessful under street supervision, and 2) proportionately fewer of Pittsburgh's Intensive Probation clientele were closed unsuccessful under street supervision. In both instances, the different objectives of the units explain the different results achieved. The fact that Philadelphia Intensive Supervision parolees are more likely to be recidivists and to be returned to prison, provides circumstantial evidence of the success of screening within the Agency with regard to the identification of high risk clients. In addition to the three specialized units providing intensive supervision, this grant also funded a specialized unit for case analyses with the objective of developing parole plans that provide for a more effective parole experience. It is the PBPP Case Analysts in the State's Correctional Institutions who recommend that the most difficult cases be given intensive supervision by the Special Parole Unit. The data suggests that even if the Special Parole Unit was not providing more intensive supervision than a general caseload, the fact

³ M. V. Lewis, B. J. Clark and J. J. Kaufman, An Evaluation of the Specialized Units Project of the Pennsylvania Board of Probation and Parole. The Pennsylvania State University, Institute for Research on Human Resources, University Park, Pa., October, 1974.

that the Likelihood of not finishing parole successfully was considerably higher in the Special Unit, supports the contention that they are sent 'higher risk' cases to supervise.

Despite the different operational objectives of the Specialized Supervision Units, the aggregation of the three special units into one group compared with their respective general caseloads pooled into one population provides a rough means of assessing the net impact of intensive supervision in terms of probation and parole outcome. Table V concludes this analysis with a pooled assessment of unsuccessful clients relative to total closures and average caseloads.

Table V

Pooled Data of Unsuccessful Closure Ratios
for October through March of 1975

Caseload Groupings	Specialized Units	General Caseloads	Study Totals
Successful Closures	71	208	279
Unsuccessful Closures	44	115	159
Total Case Closures	115	323	438
Percent Unsuccessful of Total Closures	38.3%	35.6%	36.3%
Monthly Average of Pa. Caseloads	716	1,578	2,294
Percent Unsuccessful of Monthly Average Pa. Caseloads	6.1%	7.3%	6.9%

Table V demonstrates that there is no significant difference between pooled data for the three specialized units in comparison with pooled data for general caseloads in the Philadelphia and Pittsburgh district offices in terms of the percentage of unsuccessful case closures in either the total number of cases leaving supervision, or their respective average monthly caseload. This is an important finding because of the fact that despite

the relative concentration of 'high risk' cases from the Philadelphia area, the overall accomplishment of specialized units is the same as general caseload supervision. Had recidivism been significantly greater in intensive supervision units, the overall program effort might have been judged a failure for there would have been little evidence of a positive achievement.

Analysis of Client Arrests

The recidivism concept of returns to prisons as measured by Board commitments from parole and court revocations of probation, represent cases where guilt has been established and street supervisory 'treatment' has been terminated. Because of the usually long time lapse between arrest, conviction and official Board Action, recidivism measured by returns to prison may in fact reflect program performance for an earlier time period. This reasoning suggests that a more timely indicator in a study period may be client arrests if the broader 'return to crime' concept of recidivism is accepted. This disadvantage of arrest data is that client guilt or innocence has not been established, a factor which may bias a comparative assessment. A second limitation is that arrest data for which only summary statistics are available, reflects a count of individual crimes, not individual alleged criminals. Thus, a busy offender who is arrested for three different crimes on three different days will be counted three times in the arrest data.* This inflation factor may also bias a comparative assessment of arrest records.

Table VI shows client arrests according to whether they were criminal violations (N.C. = new charge), or technical violations (T.V.), expressed as a percentage of average monthly caseloads in the Intensive Supervision Units and their respective district General Supervision Units.

*Multiple arrests during a crime because of multiple offenses are only counted once by the most serious offense.

Table VI

Client Arrests as a Percentage of Monthly Average Caseload
October 1, 1974 - March 31, 1975

Study Group	Average Monthly Parolees	Average Monthly Probationers	Arrests as % of Average Caseload							
			NC	%	TV	%	NC	%	TV	%
Philadelphia Intensive Parole	290	4	98	33.8	11	3.8	-	-	-	-
Philadelphia Intensive Probation	15	138	-	-	-	-	31	22.5	2	1.5
Philadelphia General Supervision	811	336	137	16.9	17	5.1	39	11.6	6	1.8
Pittsburgh Intensive Probation	11	258	-	-	-	-	29	11.2	1	0.4
Pittsburgh General Supervision	341	90	31	9.1	3	0.9	9	10.0	1	1.1

t tests:

1. Phila. Parole vs. Phila. General Caseload Parole, total arrest $t = 6.37$, $p < .001$
2. Phila. Prob. vs. Phila. General Caseload Prob., total arrest $t = 2.8$, $p < .001$
3. Total Prob. arrests vs. General Caseload $t = 0.132$, p is not significant
4. Phila. Parole (10.1%) vs. Phila. GCL Parole (11.0%) $t = 0.24$ (insignificant)
5. Phila. Prob. (6.1%) vs. Phila. GCL Prob. (13.3%) $t = 1.04$ (insignificant)
6. Pgh. Prob. (3.3%) vs. Pgh. GCL Prob. (10.0%) $t = 0.84$ (insignificant)

The client arrest data indicates that the Philadelphia Intensive Parole Unit had proportionately more clients arrested than the other populations under study. This finding is consistent with the recommitment data presented earlier and may be explained by the 'high risk' characteristics of its clientele. Most parole arrests were for new alleged crimes rather than technical parole violations. Client arrest data for probationers was less consistent with the previous

analysis of revocations. The Philadelphia Intensive Probation Unit had proportionately twice as many clients arrested (about 24%) as probationers in general supervision caseloads (about 13%) but had an insignificantly different proportion of revocations during the same time period (5.1% versus 3.3%; see Table IV). Since the Intensive Probation Unit experienced a growth in case-load size during the same six-month period, it might be inferred that the more 'difficult' cases are being sent for intensive supervision which is reflected in an increased number of arrests. The high arrest rate also foretells of possible increases in future revocations among intensively supervised probationers. This trend will be monitored for the final evaluation report.

The arrest data for Pittsburgh Intensive Probation Unit indicated little difference in alleged criminal activity between their intensively supervised clients and those under general supervision. This contrasts with the previous finding of significantly fewer revocations in the Intensive Supervision Unit. Since the Pittsburgh Intensive Probation Unit emphasizes the 'less serious' offender, especially the first offender, several explanations are possible. Perhaps, proportionately fewer of their arrests lead to revocation due to the minor nature of their crimes and/or because agents in this unit have developed good relationships with local judges. Clients arrested for minor offenses are more likely to be continued on probation. Possibly time lags between arrest and revocation hearings would also account for the differences. Alternatively, perhaps their growing caseload size affects potential criminal behavior and consequently arrests have increased. The latter would suggest that the Intensive Probation Units' impressive revocation record may be diminished in the future. None of these explanations may be accepted with any confidence without more in depth analysis of client characteristics, types of crimes and the effects of agent caseload size on their ability to influence individual client behavior.

An increase or decrease in revocation for intensively supervised probationers in Pittsburgh will provide evidence which supports one of the proposed explanations. A follow-up of these data will be included in the final evaluation report.

Analysis of Unconvicted Violators

There is an intermediate step in the arrest-to-return process which is called the 'unconvicted violator' classification. If a probationer or parolee is arrested and detained or posts bond pending disposition, he undergoes a statistical change in status from 'reporting regularly' to 'unconvicted violator'. On the other hand, if the charges are minor and disposed of early by summary fines or if the charges are dismissed rapidly for any reason (such as lack of evidence or lack of prosecution), he is not likely to be reclassified. Additions to the 'UCV' file are reported monthly. Unfortunately, there is still no provision to identify on the computer printouts the new UCV's in the general units as parolees or probationers. An output modification is being instituted to overcome this problem. A client could conceivably be arrested several times in a short period of time but should be classified as a 'UCV' only once until the first charge against him was disposed. If an offender's arrests are spaced sufficiently far apart, it could cause one individual to be classified as a UCV more than once assuming he is repeatedly returned to street supervision. In comparison with arrest data, double counting individuals is far less likely.

Table VII compares clients classified as unconvicted violators as a percent of average monthly caseloads for intensive supervision units with their respective district office general supervision caseloads over a six-month period.

Table VII

New Unconvicted Violators as a Percentage of Monthly Average Caseload: October 1, 1974 to March 31, 1975

Study Group	Average Pa. Clients*	Unconvicted Violators Added	UCV's as % of Caseload
Philadelphia Intensive Parole	293	75	25.6%
Philadelphia Intensive Probation	153	17	11.1%
Philadelphia General Supervision	1,146	105	9.2%
Pittsburgh Intensive Probation	269	21	7.8%
Pittsburgh General Supervision	432	37	8.6%

*Parolees and probationers have been combined because there is no UCV breakdown available.

Philadelphia

1. Phila. Parole vs. General Caseload $t = 7.58, p < .001$
2. Phila. Prob. vs. General Caseload $t = 0.78, p$ is not significant

Pittsburgh

1. Pgh. Prob. vs. Pgh General Caseload $t = 0.35, p$ is not significant

The Philadelphia Intensive Parole Unit had proportionately more clients classified as unconvicted parole violators (25.6%) from October, 1974, through March, 1975, than probationers and parolees receiving general supervision in the Philadelphia District Office (9.2%). This finding is consistent with arrest data and recommitment data previously discussed. Although the Philadelphia Intensive Probation Unit added 11% of its average monthly caseload to UCV status during the six-month period, a statistical test of proportions indicated

that the small difference between the proportion of new UCV's in the Intensive Probation Unit and the General Supervision Units may have been due to chance. Similarly, the Pittsburgh Intensive Probation Unit had slightly fewer of its clients, as a percentage, classified as UCV's than General Supervision caseloads in Pittsburgh for probationers and parolees but the difference in proportions was statistically insignificant. This observation was not consistent with arrest data which indicated a slightly higher, but insignificantly different, percentage of intensively supervised probationers being arrested. The mix of parolees and probationers in general caseloads in part explain the subtle differences in the comparison of unconvicted violators relative to its general caseload.

In conclusion, the three Specialized Units have been analyzed with respect to the three measures of recidivism: primary (arrest), intermediate (unconvicted violator), and ultimate (return to prison). The only significant findings are that:

- 1) The Philadelphia Intensive Parole Unit is highest in recidivism, and higher than the Philadelphia General Caseload parolees, by all three measures. This is expected because the Case Analyst Unit identifies the highest risk parole prospects and recommends that they be assigned to this unit.
- 2) The Pittsburgh Probation Unit has recently had a much better revocation record than have probationers in the Pittsburgh General Caseload, but this may change if caseload size continues to increase, arrests continue to grow in number and clients are more frequently classified as unconvicted violators.
- 3) The Philadelphia Intensive Probation Unit did significantly poorer than general caseload unit probationers by the arrest measure but had an insignificantly different proportion of client revocations. Because it is believed that higher risk probationers are assigned to this unit, their results with respect to arrests might be expected.

- 4) When all three Specialized Units and both General Caseloads are aggregated, there is no significant difference in ultimate recidivism measure (returns) between the two groups. This is true for both methods of computing a rate of return, the case closure and the percent of average caseload method. Since there is a concentration of difficult parolees in this population, this result provides some evidence of success in the Intensive Supervision Unit in affecting this offender groups' criminal activities.
- 5) The Philadelphia Intensive Parole Unit and Pittsburgh General Caseload parolees have had the same recommit rate when expressed as a percentage of average monthly caseload.

Clients Employment in the Specialized Units

In addition to reducing recidivism, a goal of this project has been increasing client employment. Although this is partially accomplished by parole plans provided by the Case Analysis Unit, client employment in the Specialized Probation and Parole Units is an indicator of program effectiveness. Employment data on all clients throughout the State are collected quarterly and a report is published by the Research and Statistical Division. This data is broken down into clients employed full time, part time, and unemployed who were receiving no aid, public assistance, unemployment compensation, or financial assistance while in a training program. Excluded are clients who are incarcerated, absconded, hospitalized, or otherwise unavailable to work. The following table summarizes employment status for the Specialized Units from the most recently completed survey (January 1, 1975).

Table VIII

Client Employment Survey for Specialized Units
January 1, 1975

Population Group	No. Employed and % of Able Caseload	No. Unemployed DPA and % of Able Caseload	Sub-Total	Able and Available Caseload
Philadelphia Intensive Parole	115 53.5%	47 21.9%	162	215
Philadelphia Intensive Probation	61 62.2%	16 16.3%	77	98
Philadelphia General Supervision	626 71.7%	135 15.5%	761	873
Pittsburgh Intensive Probation	180 71.7%	37 14.7%	217	251
Pittsburgh General Supervision	139 73.5%	38 20.1%	177	189

Philadelphia

$X^2 = 10.7$, $df = 2$, $p < .001$
 t test: Phila. Parole vs. General Caseload $t = 5.13$, $p < .001$
 Phila. Prob. vs. General Caseload $t = 1.95$, $p < .05$
 DPA Parole vs. General Caseload $t = 2.25$, $p < .05$

Pittsburgh

$X^2 = 1.23$, $df = 1$, p is not significant
 t test: Unemployed and DPA $t = 0.79$, p is not significant

The Philadelphia Specialized Units have a lower employment rate than the General Caseloads. Employment in the Philadelphia Probation Unit is also lower than the General Caseload, although the significance level is marginal; the probability is not quite 95% that the difference is real and not due to chance alone. For Pittsburgh, the Special Probation Unit does not differ significantly from the General Caseload in any measure of employment status.

The general depressed state of the economy has resulted in generally low employment figures in the last survey. To see if the recent employment pattern has been a persistent characteristic, the data for five quarterly reporting periods have been examined. For each of the five groups, the total number employed is depicted graphically in Figure I as a function of the total number available for work. Since the study begins with the December 31, 1973, data when SRS was fully operational, possible bias resulting from mass transfers of cases from the General Caseloads into SRS Units has been avoided. Table VIII presents the results of a linear regression fit of the number of employed clients in relation to the number able to work over the period covered by the five employment surveys.

Table IX

Simple Regression of Clients Employed Onto
Total Clients Able to Work by Quarter:
December, 1973 - January, 1975

Y	X	(a) Slope	(b) Intercept	(c) Correlation
No. Employed Phila. Intensive Parole Unit	No. Able to Work Phila. Intensive Parole Unit	.381	+38.5	.82
No. Employed Phila. Probation Unit	No. Able to Work Phila. Probation Unit	.816	-16.9	.87
No. Employed Phila. General Caseload	No. Able to Work Phila. General Caseload	.659	+69.3	.995
No. Employed Pgh. Probation Unit	No. Able to Work Pgh. Probation Unit	.578	+35.1	.98
No. Employed Pgh. General Caseload	No. Able to Work Pgh. General Caseload	.280	+79.2	.83

The slopes (a) and intercepts (b) represent coefficients in the simple equation $Y = ax + b$. The correlation coefficient (r) measures how close the individual points fall to a 'straight line' plot' in other words, how strongly the number of clients employed is associated with the number able to work and available for employment. The correlation coefficients are all greater than

FIGURE I

A. EMPLOYMENT STATUS OF
PHILADELPHIA SPECIALIZED UNITS
DECEMBER 31, 1973 - JANUARY 1, 1975

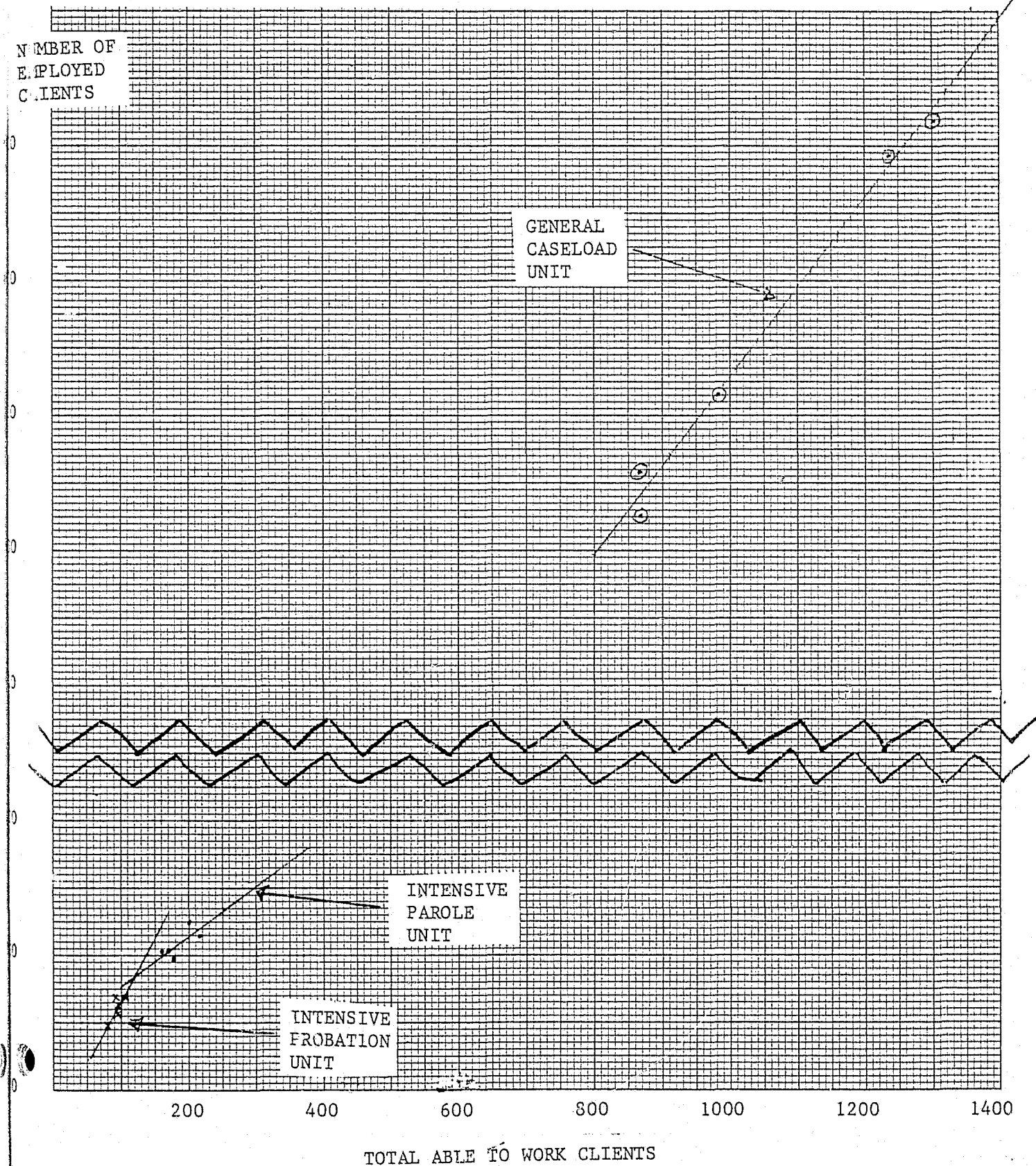
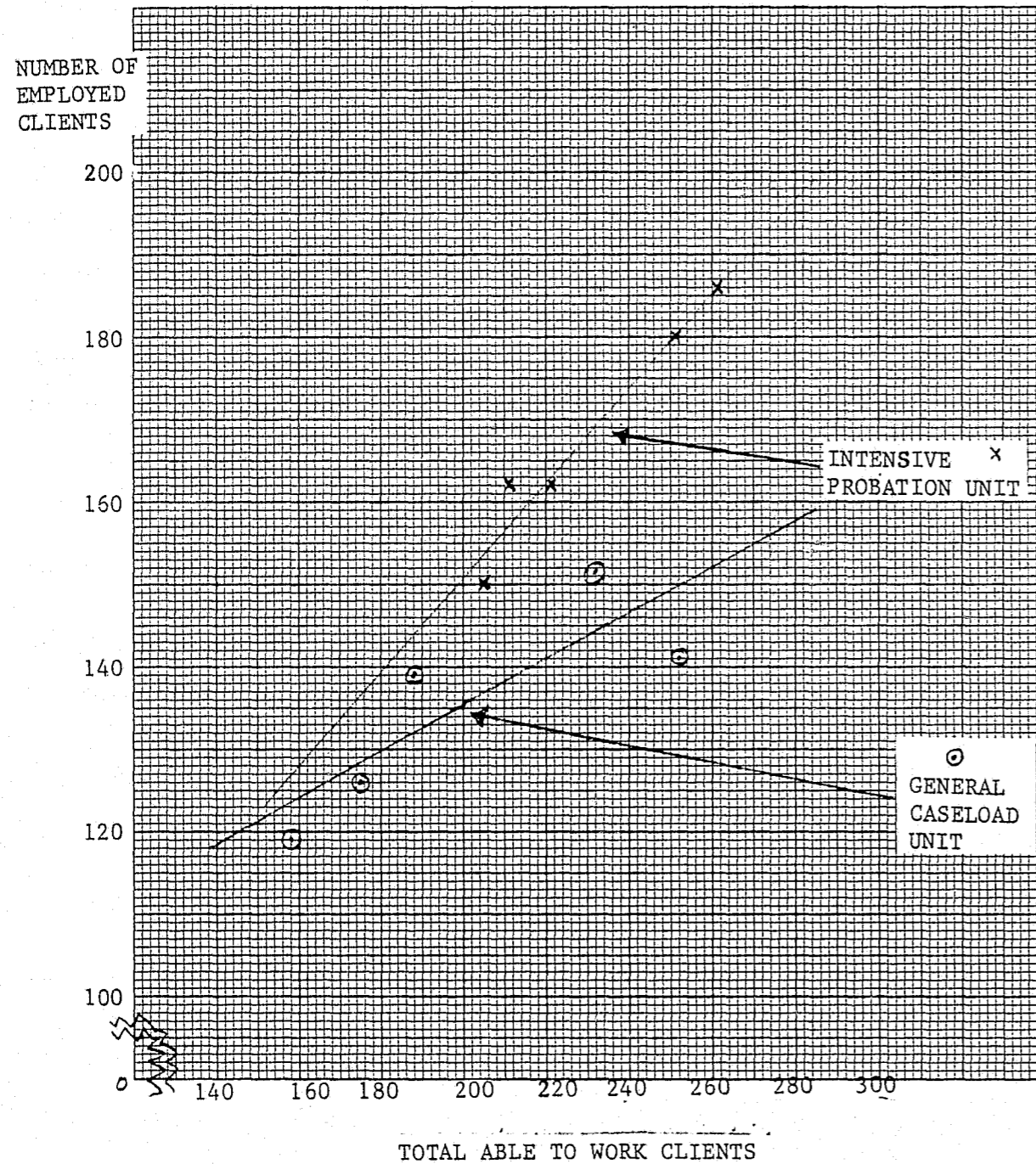


FIGURE I

B. EMPLOYMENT STATUS OF
PITTSBURGH SPECIALIZED UNIT
DECEMBER 31, 1973 - JANUARY 1, 1975



0.8, indicating a strong degree of association in all five population groups.

The slopes may roughly be interpreted to represent the fraction of new clients entering the population groups who will be employed. As expected, the Philadelphia Intensive Parole Unit comes out low in this regard: 38.1%. The Philadelphia Probation Unit is surprisingly high: 81.6%. For the Philadelphia General Caseload, on the other hand, one would predict that 65.9% of all new clients will be employed.

The results of the regression analysis of the two groups in Pittsburgh are rather surprising. While 57.8% of all new clients in the Probation Unit can expect to be employed, only 28% of those added to the General Caseload can have this expectation. This means that in the Pittsburgh General Caseload, the number of employed clients has shown a much slower rate of growth than has the total number of available clients over the past year. It appears that agents in the two probation units have been more successful in finding jobs for their clients than the agents in the general caseloads.

Analysis of Interviews for Intensive Supervision Units

Available statistical data provides limited information for the purpose of assessing program effectiveness. Other information such as intake or selection criteria and other qualitative factors which affect program operations and performance are not made explicit in the normal program information system. To understand differential goals and modes of operation, on-site interviews of agents and supervisors were conducted in the three intensive supervision units funded by this grant and in two general supervision groups for comparison purposes. A total of twenty-eight interviews were conducted with the following staff locations: one Philadelphia Deputy District Supervisor, three intensive supervision supervisors, five Philadelphia intensive parole agents, four Philadelphia intensive probation agents, five Pittsburgh intensive probation agents, six Philadelphia general caseload agents, and four Pittsburgh general caseload agents.

A set of five questions were asked of the intensive supervision staff and four different questions were asked of the general supervision staff. These questions are discussed individually below; a summary and general interpretations of the evaluation team follow the presentation of questions.

Question #1: What are the intake criteria for the Specialized Units?

Agents of the Philadelphia intensive parole unit were not aware of the criteria actually used to select clients for intensive supervision. From their viewpoint, the Board decides who needs intensive supervision based on the Case Analysts' recommendations. Their general response, therefore, was that clients were sent with prison release papers stamped "Board Imposed Intensive Supervision." It should be noted that this label has two possible interpretations, technical and programmatic. From a programmatic viewpoint, clients in the intensive supervision units get the highest grade of supervision in terms of required number of contacts monthly. In a technical sense, however, any client with this label must be supervised in accordance to the regulated number of minimum contacts regardless of where he is placed programmatically. Therefore, some general caseload clients may have an effective grade of supervision which is identical to the intensive supervision program funded by this grant. Agents of Philadelphia Probation Units noted that the Courts imposed intensive supervision as a condition of probation; Court reasons

cited for utilizing this special condition include 'soft' drug abuse, alcohol problem, mental illness or general problem case. Another means noted for obtaining another client was through intra-unit transfer. Agents of the intensive probation supervision unit said that if a probationer's grade of supervision was increased from 'close' to 'intensive', they had an obligation to accept the case if space were available in one of their caseloads.

Interviews with agents of the Pittsburgh Probation Unit indicated that their intake criteria were quite different. These agents were unanimous, that as a matter of policy, all special probation and parole cases were certified to intensive probation except when maximum caseload levels were reached. When caseloads were filled, probation overflow was channeled back to general caseloads. Two of four agents also stated that preference for intensive supervision was given to first-time offenders. The intensive supervision unit of Pittsburgh is therefore in keeping with original philosophy of the grant which theorized that if probationers in general were given intensive supervision while on the street, they would be less likely to revert to crime.

Question #2: What are the criteria for assigning agents to the Specialized Units, if any?

Based upon the range of varied answers to this question, "no criteria", "random choice", "upon request of agent or on the basis of ability", "most experienced", "new men", there is no explicit policy with regard to agent selection for Philadelphia intensive supervision. There does seem to be a difference in perception between agent level staff and higher management. The agents perceive no criteria where new staff get vacant slots, while the management staff tended to view ability and experience as general criteria. The original intent of the grant was that there be one Parole Agent III and one Drug Specialist in the Probation Unit. Thus, there is no reason to believe the intensive parole supervision unit in Philadelphia has staff of any higher caliber than other supervision units. The Pittsburgh probation unit had similar responses with one agent noting "agent request" and another referring to "ability to write reports, deal with people and have a working relationship with Judges."

Question #3: Are clients transferred out of the Specialized Units if their adjustment has been successful?

For the Philadelphia intensive parole unit, the answer to this question appears to be yes. There was 100% consensus in the unit that successful clients are transferred out as soon as their grade of supervision is reduced from "intensive" to "close" to "regular" and the prognosis is for continued stability.

The unit supervisor reported that after 6 to 9 months they attempt to transfer these cases out; otherwise, the unit would be overloaded. Soft drug users are transferred to the general caseloads and hard-core users to the narcotics units or SRS, if there is space available for them, according to one agent. The unit supervisor emphasized that they 'try' to transfer clients out, but nobody else really wants to handle these

cases. Regardless of this attitude, the fact remains that transfers occur in the intensive parole unit for those least likely to fail under supervision: a fact with important methodological implications for an evaluation based upon a comparison of groups at one point in time. This fact is emphasized in this evaluation's analysis of parole outcome.

The responses from the Philadelphia Probation Unit were somewhat different. Most answered in the negative even when grade of supervision is reduced. The supervisor reported that transfers to SRS were the only exception. Although two agents claimed that transfers out of the unit "had been accomplished in the past," the evaluator's impression was that transfers were the exception rather than the rule. Since available computer data indicate a large number of transfers (159) between October, 1974 and March, 1975, it may be inferred that most were intra-office transfers between agents in the same unit. There was unanimity among the Pittsburgh intensive probation agents that the only transfers out of their unit were for SRS eligible clients.

Question #4: Is there a significant difference between the percentage of early terminations from Specialized Units as compared to clients in general supervision?

This question is particularly relevant to probationers since probation sentences may be reduced by a judge if the client has demonstrated good behavior and is supervised at a lower effective grade despite being in an intensive supervision unit. This condition is applicable to the Pittsburgh intensive probation unit where programmatically a majority of clients are assigned and a small minority are transferred. Pittsburgh intensive supervision respondents were fairly evenly split when answering this question. Some thought that there was a difference in the percentages of early terminations being granted and others thought there was no difference. It was believed, however, that deserving clients were more likely to obtain early termination rulings from the Court in the intensive probation unit rather than the general supervision unit. Since percentage of early terminations would be a good indicator of relative effectiveness if quantified, this evaluation recommends that future research make attempts to empirically observe early termination rates to test the hypothesis that the intensive supervision programmatic approach is more effective in promoting rehabilitation among probationers than general supervision grades.

The rationale discussed above would not be true for the Philadelphia intensive probation unit where clients are screened to isolate difficult cases rather than less serious offenders or first time offenders. Consistent with what might be expected, the Philadelphia intensive parole respondents reported a difference in percentages being granted early terminations. Clients in the Philadelphia intensive probation unit were less frequently granted early termination from probation in the intensive supervision program than were probationers in general supervision units. This occurs probably because these clients are in an intensive supervision program and their technical grade of supervision has not been significantly reduced, making them less eligible than general caseload clients. Further empirical research will be needed to substantiate these observations.

The concept of early terminations is not as applicable to parole as to probation because the client must solicit a commutation from the Board

of Pardons (after a qualifying five years of parole) to be granted the equivalent of an early termination. Given this restricted possibility, the respondents of the Parole Unit answered that there were no early terminations of parole under intensive supervision since clients never reach their maximum sentence in the unit but are transferred out as their effective grade of supervision is reduced.

Question #5: (Philadelphia Parole Unit) Do you have any relationship with the Case Analysts in the Institutions? Of what nature?

The Unit Supervisor reported having an excellent relationship with Case Analysts primarily because they help him regarding "waivers for hearings." The Deputy District Supervisor confirmed this observation. However, only one parole agent reported having an official relationship with Case Analysts, which in this case was in reference to preparole investigations. It appears, then, that the Case Analyst Unit identifies those cases which belong in the Intensive Parole Unit but the decision is not transmitted directly to the Unit staff. Clients are assigned to the unit based on whether or not their release papers specify "Board Imposed Intensive Supervision."

General Caseload Agent Interviews

The questions asked of the ten general caseload agents were primarily directed at whether or not they were supervising clients who qualified for specialized unit supervision and if it were difficult to transfer them. The questions listed below are relatively simple and self-explanatory.

Question #1: Do you have any clients who could qualify for Specialized Units, and if so, about how many in your estimation?

There was a unanimous response, regardless of location, that general caseloads do have clients who would qualify for intensive supervision in a specialized unit. On the average, Philadelphia general caseload agents said that three clients in their caseloads were eligible for intensive supervision although their actual answers ranged from one to five eligible clients. Estimates of eligible intensive supervision clients in Pittsburgh's general supervision caseload were higher than Philadelphia with an average of eight eligibles reported by Pittsburgh agents. Pittsburgh respondents ranged from a low estimate of three to a high estimate of eleven clients in their caseload who would qualify for an intensive supervision program. Since the Pittsburgh program focuses on probation only, this difference is understandable.

Question #2: Why are they (potential intensive supervision cases) in the general caseload?

The answers to this question varied in Philadelphia. A majority of the agents cited examples of clients who needed the intensive supervision program in the agents' own estimation due to mental deficiencies, alcohol problems, minor drug problems or marital problems. In the instances where minor drug problems were cited, it was decided that constant association with addicts in the narcotics unit would have a detrimental effect which would conflict with the positive effects of intensive supervision provided there. It was also reported that there are some instances where probationers are certified by the courts for intensive supervision or parolees receive 'Board Imposed Intensive Supervision' but fail to end up on the specialized intensive supervision units' caseloads due to temporarily full caseloads or other unknown reasons. Aside from the kinds of situations cited above, Philadelphia's specialized units appear to be absorbing most intensive supervision cases in the eyes of general caseload personnel. In Pittsburgh, general caseload agents (4 interviews) recognized that their probationers (34 in all) represented an overflow from the probation unit when it has reached full capacity. This is consistent with previous interviews with respect to intensive probation agents.

Question #3: Is it difficult to affect a transfer to the Specialized Units?

The six Philadelphia general caseload agents were divided on this issue. Apparently, their answers depended on their own experiences in transferring clients into the Specialized Units. If they tried to transfer cases when these units' caseloads were too large, they were more likely to encounter difficulty than when the Specialized Units were less congested. All four Pittsburgh agents said that it was not difficult to affect transfers if an opening is available, except that the necessary paperwork involved tended to be troublesome.

Summary of Interview Findings

The interviews with staff in the Specialized Units and with some of the general caseload agents clarified the following important points:

- 1) All clients released to the Philadelphia Intensive Parole Unit were reported as being high risk clients referred under the 'Board Imposed Intensive Supervision' procedure, although some clients for whom the Board requires this grade of supervision do receive service in general caseloads. An exception to this rule is that hard-core drug addicts who are referred as 'Board Imposed Intensive Supervision', are sent to the Special Narcotics Units.
- 2) Clients do not remain in the Philadelphia Intensive Parole Unit to complete parole; after six to nine months they are either transferred to other units or

return to prison.

- 3) The Philadelphia Probation Unit normally receives the most difficult cases, (except for hard-core drug cases), either by way of court-mandated intensive supervision or by transfer from the general caseload when a probationer's grade of supervision is increased to 'intensive.'
- 4) Transfers of clients out of the Philadelphia Probation Unit are rare, even when their grade of supervision is reduced. However, transfers out have been accomplished in the past when the general caseloads were not as overcrowded.
- 5) The Pittsburgh Probation Unit is set up to accept all probation certifications until caseload sizes become excessive and the 'spillover' is diverted into the general caseloads. Only SRS-eligible clients are deliverately transferred out.

ANALYSIS OF THE SPECIALIZED CASE ANALYSTS' UNITS

General Background

This grant provided for three distinct types of specialized units to improve the State's probation and parole program: intensive client supervision units, case analysis units and management review unit. Of the two specialized units not discussed in this evaluation thus far, the Case Analysis Unit is most directly related to the parole process and the delivery of client services. The Case Analysis Specialized Unit has two functions which affect client treatment, the service delivery system and ultimately, the Agency's goals of offender rehabilitation while protecting the community. Case Analysts affect the likelihood of a resident's being granted parole by their pivotal role in assembling client information and recommending release, and they affect the kind of treatment given a client when granting parole by their judgment in the parole plan as to the best grade of supervision for the offender in question. The purpose of this section of the evaluation is to critically review their role and accomplishments as a specialized unit.

Two goals or objectives were cited in the grant for the specialized Case Analysis Unit:

- 1) To aid the Board in reaching parole decisions by the analysis and presentation of pertinent information, and
- 2) To develop treatment plans for parole and to provide parole related counseling to institutional residents.

Unfortunately, it is difficult to quantitatively measure the effectiveness of Case Analysts in reaching these goals or their contribution to underlying goals of the Agency. Aside from one possible indirect measure, most of the analysis which follows is essentially judgmental and dependent upon the interview process as a means of collecting information.

In terms of relative size, the Case Analysis Unit might be judged as important as the intensive supervision specialized unit. There are only 15 professional positions in the Intensive Supervision Units while the Case Analysis Units carry 23 professionals; this component is therefore 1.5 times the size of the intensive supervision component. The intensive supervision component consisted of six federally paid and two state match positions in Philadelphia, five federally paid positions in Pittsburgh, and two federal positions in the Central Office. In contrast, the Case Analysis program consists of seven federally funded Parole Case Specialists and one state match Parole Case Specialist in various State Correctional Institutions and the Philadelphia County Prison. In addition, there are eleven state funded professional staff in State Correctional Institutions, one state funded Parole Case Specialist in Allentown who works with County Prisons and two federally funded Parole Case Specialists in the Harrisburg Central Office.

Analysis of Case Analysts' Impact

The objective of the Case Analysis program component of this grant is to aid the Board of Probation and Parole in reaching parole decisions by standardizing the evaluation of inmate parole-worthiness, developing parole plans and counseling the inmate. Unfortunately, it is difficult to measure the impact of this specialized unit program component in a quantified manner. One possible indicator of the effectiveness of Case Analysts is the percentage of paroles and reparaes granted each year before and after the beginning of this grant. If Case Analysts are collating and evaluating inmate information, developing client parole plans and submitting to the Board systematic case reviews with recommendations based on critical information, then it can be postulated that the decision-making process has been improved, the probability of a decision favorable to a client has been enhanced and subsequently, the percentage of inmates applying for parole

who are granted parole would demonstrate the impact of Case Analysts in the parole decision-making process. Table X presents the total number of parole and reparole applications and the total number of paroles and reparaes granted by fiscal year from 1968 through 1974 for this interim evaluation. Fiscal year 1975 will be added into the final evaluation report. The percentage of parole applications which were granted is also computed.

TABLE X
Paroles Plus Reparaes Applied for and Granted, 1968 - 1974

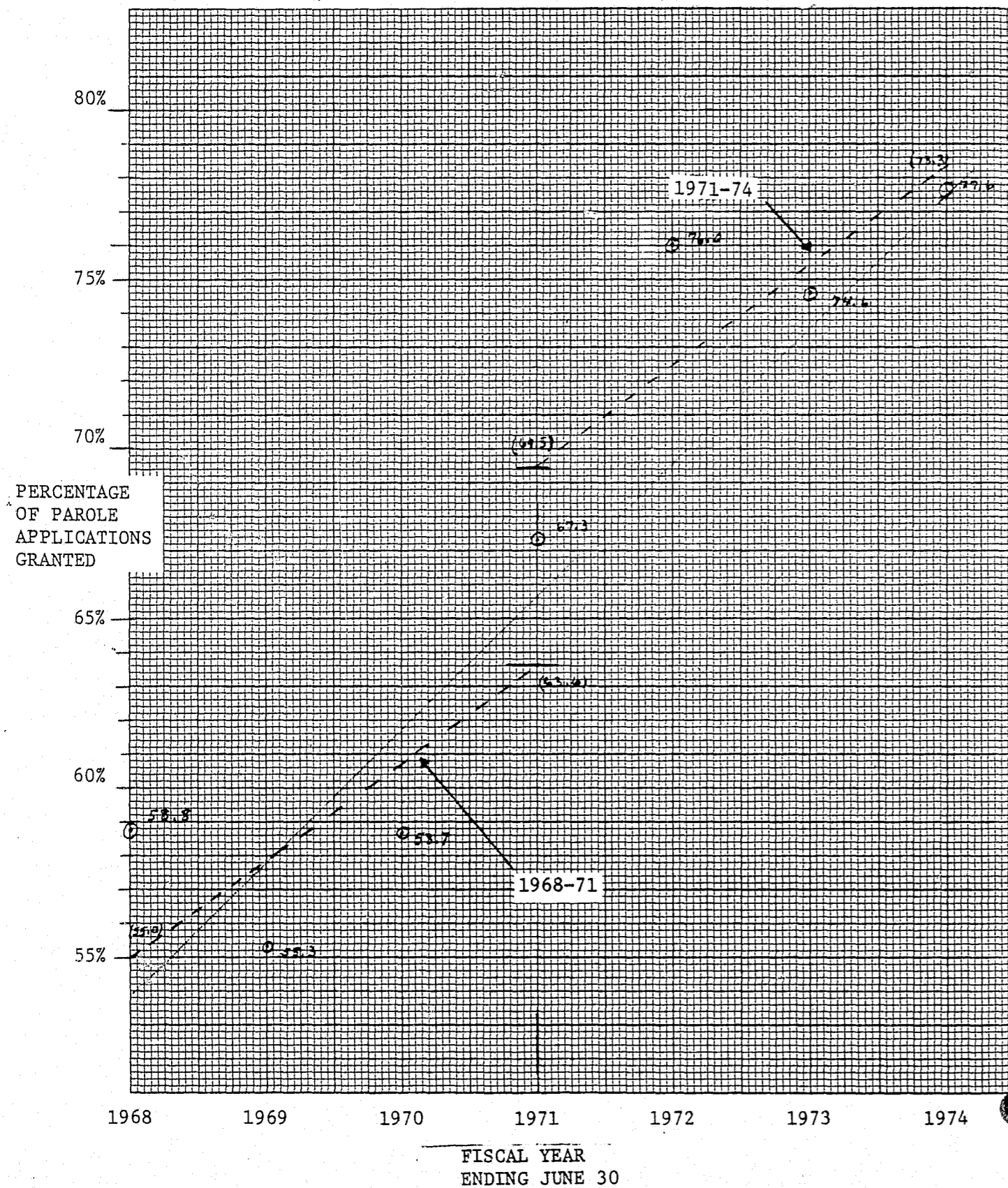
	FISCAL YEAR						
	1968	1969	1970	1971	1972	1973	1974
Applications	3,792	3,532	3,782	4,148	4,186	3,772	4,105
No. Granted	2,230	1,952	2,221	2,793	3,180	2,813	3,184
% Granted	58.8%	55.3%	58.7%	67.3%	76.0%	74.6%	77.6%

It is apparent that since FY 1968, there has been a steady upward trend in the percentage of applicants who were granted parole. In FY 1968, 58.8% of the applicants were granted parole in comparison with 77.6% in FY 1974. Given this upward trend, has the Case Analyst program component accelerated this trend since its implementation in 1971? To assess the impact of the Case Analysts program component on the trend in parole applications granted, an interrupted time series technique was used. The trend before and after the Case Analysts program's inception were compared by fitting each time series before and after 1971 to a simple linear regression trend estimate. The 1971 observation was chosen as an 'overlap' year applicable to both time series; the two linear estimates are shown on Figure 2.

Figure 2 reveals that both time series have similar positive slopes indicating two upward trends of approximately the same rate of increase annually. From FY 1968 through FY 1971, the percentage of parole applications being granted

FIGURE II

TRENDS IN PERCENTAGE OF PAROLE AND REPAROLE APPLICATIONS GRANTED: 1968-74



increased 2.84% annually in comparison with 2.95% annually for the period from FY 1971 to 1974. However, there is a discontinuity in the two trend estimates of 5.0% in the 1971 overlap year indicating a "quantum jump" in the trend of parole applications granted from before to after that year. If starting up time was allowed from the Case Analyst's inception in 1971 to when it was fully operational in October, 1972, and the fiscal year of 1972 were used as an overlap year for two linear trend estimates, a discontinuity of 2.8% in FY 1972 would still be observed. Thus, the definite upward trend observed during this decade corresponds with the inception of the Case Analysts' program component indicating a definite impact on the percentage of applications granted.

Analysis of Case Analysts' Interviews

To provide a qualitative albeit subjective description of how well the Case Analysts were working within the parole decision-making system, a series of interviews were conducted with the three members of the Board, the Case Analysts, PBPP Management staff and BOC management staff.

Since one of the objectives of the grant was to aid the Board in parole decision-making by reviewing and evaluating critical information on parole potentialities, the Director of Preparole Services and Case Analysis staff in four of the eight State Correctional Institutions (Pittsburgh, Graterford, Camp Hill, and Dallas) were asked the following questions:

- 1) Please list the information you provide the Board for decision-making.
- 2) Does this information, in your opinion, adequately meet the needs of the Board?
- 3) What is the difference between a 'case analyst' and a 'parole case specialist'?
- 4) Do you have any suggestions for coordinating the activities of (PBPP) institutional staff and the Bureau of Corrections' Director of Treatment?

Each question and the responses to it will be reviewed individually and related to other interviews conducted with members of the Board of Probation and Parole, or staff of the Bureau of Corrections for purposes of analysis.

INFORMATION PROVIDED FOR BOARD DECISION-MAKING

The Director of Preparole Services provided the evaluator with examples of the documents used to prepare a comprehensive summary report used to consider an offender's parolability which have been developed since the inception of specialized Case Analysis Units. Appendix II contains copies of the Board Interview Docket, a Guideline for Summarization on Preparole Cases, a Guideline Summarization Face Sheet and a Service Plan Summary. These documents play an important role in the informational system which has developed under the Specialized Units Grant. Rather than describe anew how this information system works, a September, 1974 overview supplied by the Director of Preparole Services is quoted verbatim below:

"Board, in the past, was confronted with two serious problems; a lack of appropriate and relevant information upon which to base a parole decision, and the high caseloads which hindered effective supervision and treatment.

This situation created a number of potentially dangerous problem areas, such as an individual being granted parole who should have remained institutionalized due to a lack of, or inadequate, information and a reduced field capability to protect the public and reintegrate the offender into the community.

With the help of federal funds, the Board has been able to significantly increase their institutional staff by employing Case Analysts under the direction of the Board Secretary and the Pre-Parole Bureau.

These new resources enabled the Board to establish a treatment plan project to further improve Board decision-making capabilities, as well as the supervision and treatment of Board clients. This project has since evolved into the development of a comprehensive summarization report which includes a specific, individual service plan.

The Case Analyst in each institution evaluates each client eligible for parole or reparole and prepares a complete analysis and a treatment plan specifically designed to meet each individual's needs.

Each summarization is covered with a face sheet that contains the identification information, sentence structure, detainers, and parole violation status.

The report itself contains six (6) basic areas of consideration:

- A. Official Version - This section gives an accurate, detailed account of the client's current offense.
- B. Prior Arrest Record - includes a breakdown of juvenile and adult arrests, incarcerations, and terms of previous probation and parole. An analysis of the arrest record is made to determine any pattern of crimes, increases in aggressiveness, affiliation with organized crime, complete history of drug and alcohol involvement.
- C. Institutional Adjustment - includes an evaluation of what each client has done while incarcerated, including: involvement in programs; vocational and educational achievement; psychological, psychiatric and medical reports; misconducts and furloughs. The recommendations and Comments of the Bureau of Corrections is also noted under this heading.
- D. Parole Plan - not only is the current status of the client's plan reported, but also an analysis of the family structure and interrelationships, community reactions and any anticipated difficulties the client may encounter.
- E. Evaluation Recommendations - The Case Analyst reviews all available information and records his general observations, the attitude of client, unusual or outstanding incidents. The Analyst also makes a recommendation regarding parolability. He also includes his reasons for the recommendation and what special conditions may be appropriate.
- F. Service Plan Summary - identifies the client's problems and what might be done about them. This plan also indicates the client's level of attained adjustment and achievement, problems that still exist and suggestions to enhance the treatment process. The Analyst further states specific objectives to be achieved by the individual to facilitate his re-entry and how possessed skills might be supplemented or utilized in dealing with problem areas.

The report is available to the Board at the parole interview and gives them a complete evaluation, identifying each individual's problem areas and the type of supervision and treatment necessary to reduce community risk and enhance the client's adjustment in the community.

Upon receiving favorable Board action, a copy of each report is forwarded to the appropriate District Office to be reviewed by the supervising agent. This summarization provides the agent with a thorough evaluation of the client's adjustment, behavior and achievements while in the institution. The agent is also provided appropriate short-range and long-range goals for each client, which can be utilized to develop a workable, supervision, treatment plan."

The Case Analysis Unit under the management of the Director of Pre-Parole Services prepared the comprehensive case summaries described above. In response

to our request, they listed the kinds of information they provide to the Board for decision-making. This table was prepared as a composite list of the types of information provided to the Board according to the case analysis.

TABLE XI

Information Case Analysts in Institutions Claim to Provide
(Sample of Four State Correctional Institutions)

Information

1. Summary Face Sheet PBPP #28
2. Summarization Report
3. Preparole Summary
4. Parole Plans
5. Institutional Adjustment: Record and Attitude
6. Dispositions of Detainers and Other Detainer Data
7. Offense
8. Prior History of Arrest
9. Marital Status
10. Bureau of Correction's Recommendation
11. Parole Staff's Evaluation and Recommendations which also include Supervision Recommendation Data or Special Services Requirements such as Drug Treatment.
12. Notice of Any Changes which occur after the Summarization is submitted - Current Information
13. Behavior Patterns
14. Verification of Institution-Prepared Information
15. Verification of Institution Opinion on Adjustment and Readiness for Parole
16. Work with resident for four months before interview date on Parole Planning. Get to know the individual and give Board their impressions - SCIC
17. Case review for clients denied parole

This list on Table XI appears to be exhaustive. To evaluate it, the three members of the Board of Probation and Parole were asked independently to list their information needs to arrive at a parole decision and to indicate if the Case Analysis Unit provides each item listed. Table XII provides a composite review of these information items listed by the Board of Probation and Parole.

According to the three Board Members, all information items listed were provided by the Case Analysis Unit with the exception of one, the opinion of Judges toward parole.

TABLE XII

Information Required by the Board to Reach Parole Decisions

A. Types of Information Cited by Three Board Members:

1. Analysis of Prior Record
2. Analysis of Parole/Probation past performance.
3. Institutional behavior - from non-institutional viewpoint.
4. Report on Institutional Programs. (Vocational, educational, etc.)
5. Parole plans formulated by case analysts.
6. Client strengths and weaknesses or areas of instability.

B. Types of Information Cited by Two Board Members:

1. Classification of Offender as to Danger Proneness.
2. Case Analyst Recommendation.
3. Official Version of Offense/Circumstances of the Crime.

C. Types of Information Cited by one Board Member:

1. Specific Detail on Seriousness of Infractions in the Institution.
2. Age
3. Psychological Work Up Results.
4. Furloughs - Approved and carried out, or just approved.
5. Bureau of Correction's consideration for a Community Service Center.
6. Service Plan Summary provided by case analysts.
7. Copy of Classification Summary and Arrest Report.
8. Client Social Service Recommendations and objectives.
9. Client Attitude about the Criminal Justice System.
10. Client Attitude toward self-help.
11. Opinion of Judges toward Parole (currently not provided).

Comparing information listed by the Board for parole decision-making with the case analysts' list of information provided to the Board reveals a fairly consistent pattern of types of information between the two groups although the Board's lists appears to be slightly more exhaustive. The Board Members expressed satisfaction with the information being provided them from the case analysts. The case analysts themselves thought that they were adequately meeting the needs of the Board although

several suggested in various ways that they be allowed to participate more in the process by "sitting in on a parole hearing" or get feedback on their work by asking the Board for recommendations and comments. One case analyst did note that he felt "the Board could use more updated psychiatric evaluations" to arrive at parole decisions.

Evidence of the harmony between the case analysts and the Board in thinking was provided by the Director of Preparole Services who reported that of 219 recommendations recently made by the institutional staff of the State Correctional Institution at Camp Hill, the Case Analyst disagreed in 85 cases representing a 38.8% rate of non-concurrence. In 83 of these 85 cases, the Board accepted the Case Analysts' judgment rather than the recommendation of the institutional staff. The case analysts reportedly consider past parole adjustment and offense pattern more important than institutional staff who weight institutional adjustment more heavily. This would imply that the Board concurs with the Case Analyst along these parameters. A challenge for future research and development is the issue of relative weights to be assigned to various factors and their association with a successful parole experience.

A third question asked of the Pennsylvania Board of Probation and Parole staff was whether there is a difference in the role of a case analyst and a parole case specialist. The answer from all sources was no; in reality, the terms are interchangeable. A "Parole Case Specialist" is a Civil Service Classification for the grant term of "Case Analyst". There is a difference, however, between a "Case Analyst" and an "Institutional Parole Representative." The Institutional Parole Representatives (also a Civil Service Classification) are primarily concerned with the "leg work" involved in preparole investigations. They write various reports and provide information for the Case Analysts.* The Case

*An exception is Muncy where there is no Parole Case Specialists so the Institutional Parole Representative wears two hats!

Analyst is responsible for completing and pulling together all sources of information analyses, and providing an evaluation of the material. The Case Analysts supervise all other Pennsylvania Board of Probation and Parole Staff including the Institutional Parole Representatives. Case Analysts are responsible for attending District Office Staff Meetings in order to maintain liaison with field staff and explain the paroling system to them. The Case Analysts are also used as trainers: they train institutional personnel from the Bureau of Corrections on Board policy and procedures. They assist Correctional Staff in revising methods of classification and changing forms, and keep the Bureau abreast with informational needs. The Director of Preparole Services cited one instance where four Bureau forms were condensed into one because of the Case Analysts' efforts.

The last question asked of the Case Analyst's staff was, "Do you have any suggestions for coordinating the activities of the Pennsylvania Board of Probation and Parole institution staff with the Bureau of Corrections' Director of Treatment?" There was a variety of answers from the Case Analysts, some of which had good suggestions. For purposes of documenting the range of answers, each institution where a Case Analyst was interviewed will be presented separately.

a. SCI-PITTSBURGH

The Case Analyst expressed a need for more information in the form of reports on misconduct of residents; better coordination of the activities of clients between the granting of parole and their actual release since there is no active check after the parole interview. An Institutional Parole Representative expressed the need for better data on detainers, including court dispositions.

b. SCI-GRATERFORD

Both Case Analysts believe they are now coordinating quite well with the Bureau's Director of Treatment.

c. SCI-CAMP HILL

Both Case Analysts and the Institutional Parole Representative reported the working relationship there to be quite good.

d. SCI-DALLAS

The Case Analyst thought that a Pennsylvania Board of Probation and Parole representative should sit in on institutional furlough hearings, especially when the client is experiencing difficulty finding a job, which is required as part of his parole plan.

The Director of Preparole Services noted that the Case Analyst presently coordinates all activities with the Bureau of Corrections's staff. The Bureau of Correction's staff at Huntingdon and Graterford was reported to have requested that the Pennsylvania Board of Probation and Parole staff assume the entire classification and summarization operation, but this Agency has not had sufficient personnel to do so.

In order to obtain a different viewpoint, three questions asked of the Case Analysts were also asked of the Bureau of Correction's Director of Treatment.

They were:

- (1) What is the difference between the role of a Case Analyst and an Institutional Parole Representative?
- (2) How do the Case Analyst Units coordinate with you?
- (3) Do you have any recommendations for improvement?
(In coordination)

The Treatment Directors at Graterford and Dallas did not know what the specific roles of the Case Analysts were. The Director at Camp Hill gave essentially the same response as did the Case Analysts. The Director at Pittsburgh reported the following: "The Case Analyst sees the resident upon his arrival at the institution. He is part of a support team responsible for the recreation, training, and work of the resident while he is institutionalized. The Institutional Parole Representative interviews the client prior to parole about 90 days before minimum expiration date."

It seems quite obvious from these responses that in three out of four instances the Director of Treatment was not especially aware of the structure or functions of a Pennsylvania Board of Probation and Parole Case Analysis Unit. The description from SCI-Pittsburgh might well be true, but the duties described are not the Case

Analyst's primary responsibility according to the PBPP staff. It would seem apparent that some communication between the two agencies might be beneficial so that the Bureau of Correction's Director of Treatment might be better informed of professional staff resources that are available to them in the correctional process.

In response to the question of coordination, the Bureau's Directors of Treatment were more informed. Their responses were much more technical and consequently much of the detail will be omitted here. The general impression of the evaluator was that the coordination was good - sharing of information, consultation on individual cases if problems arise, consultation concerning recommendations in certain cases, coordination with secretarial staff to prepare the Board Docket, informing the Case Analysis Unit about cases coming up for review, etc. The one exception was at Dallas, where the Treatment Director did not believe there was much coordination. This unusual response may be due to the fact that the man had been there for only two months at the time of the interview.

In response to our request for general suggestions for improved coordination, the four Directors of Treatment noted the following:

- a. Graterford: "Participation of parole staff in the initial classification process would be helpful, since many residents are incarcerated only a short time before the expiration of their minimum sentence."
- b. Camp Hill: "The Case Analysts do more than is expected of them. A programmatic improvement would be to keep data on time served by indeterminate cases to give us some guidelines as to when to recommend them for interview."
- c. Dallas: "Give the Case Analysts more work and responsibility. Specifically have them prepare the 9C and 10C Parole Summaries; provide the Treatment Center with a list of referral agencies in the communities and give an index on the quality and the availability of their services; provide a follow-up on the clients released, stating the

successes and failures, and report this information to the Institution's Bureau of Treatment."

- d. Pittsburgh: "There is a need for a consultant to aid in the changing of the activities of the Assessment Support Teams. The resident should be exposed to all aspects of the institution, similar to employe training in private industry. There should be more resident involvement in what happens to him while he is in the institution."

Some of these suggestions appear to be constructive although the Dallas Treatment Director's suggestions appear demanding and would place a considerable additional burden on the staff.* The follow-up study would be beyond the scope of the Case Analyst's capabilities. Such studies are in the process of being started (by computer) by the Board's Research and Statistical Division and may be obtained by the Bureau of Corrections if requested. Such a request would be welcomed since cooperative arrangements should be worked out to pay for the machine time and programming costs of this type of comprehensive research.

There are nine Case Analysts in the seven State Correctional Institutions (Graterford has two) and Philadelphia County Prison. According to the Director of Preparole Services, a Case Analyst working full time can complete an average of two good analyses per day, or 18 total. This would amount to about 4,300 per year. In fiscal year 1973-74 there were 4,105 applications for parole and reparole, a figure which will probably not be much different for 1974-1975.

It appears that there should be an adequate number of Case Analysts to do a good job. However, there actually is a shortage because the Case Analysts have other duties: counseling residents, attending meetings, hearings, etc. The Director felt the shortage to be especially acute at Graterford.

* In the first three months of 1975, more applications were reviewed by the Board at Dallas (138) than any other institution except for Graterford (194).

Summary of Findings for Case Analysis Units

The Case Analyst portion of this project appears to be achieving its stated objectives and goals quite well, as determined from information gleaned from numerous interviews with the Board Members and with Case Analyst staff. Roles of Case Analysts (Parole Case Specialists) and Institutional Parole Representatives have been clarified. Constructive suggestions for improving coordination between PBPP institutional staff and the Institutions' Directors of Treatment have been obtained. Although the latter do not all have a clear-cut knowledge of the administrative structure of the Case Analysis Units, they do appear to cooperate well with the Case Analysts. An interpreted time-series analysis of the percentage of parole and reparole applications shows a significant increase in 1971, indicating that more and better parole plans are being formulated than previously. Finally, the fact that the Philadelphia Intensive Parole Unit has a relatively poor parole performance record indicates that the Case Analysts (especially at Graterford) are doing a skillful job in identifying those residents who are sufficiently high-risk to be paroled subject to supervision by that unit.

APPENDIX I

CASELOAD DATA

Unit	10/74	11/74	12/74	1/75	2/75	3/75	Monthly Average
Philadelphia Parole Intensive Unit							
Pennsylvania Cases	294	291	303	300	290	281	293.2
Other State Cases	0	1	2	2	2	2	1.5
Total	294	292	305	302	292	283	294.7
Number of Agents	5	5	5	5	6	6	5.33
Caseload Per Agent	58.8	58.4	61.0	60.4	48.7	47.2	55.25
Philadelphia Probation Intensive Unit							
Pennsylvania Cases	107	119	172	174	133	210	152.5
Other State Cases	0	2	2	4	10	19	6.2
Total	107	121	174	178	143	229	158.7
Number of Agents	3	4	4	4	5	5	4.17
Caseload Per Agent	35.7	30.3	43.5	44.5	28.6	45.8	38.1
Philadelphia General (Threc Units)							
Pennsylvania Cases	929	830	818	810	768	710	810.8
Other State Cases	178	170	173	167	178	179	174.2
Total	1,107	1,000	991	977	946	889	985.0
Number of Agents	18	20	23	21	20	23	20.8
Caseload Per Agent	61.5	50	43.1	46.5	47.3	38.7	47.3
Pittsburgh Probation Intensive Unit							
Pennsylvania Cases	258	262	258	268	278	290	269.0
Other State Cases	9	0	33	34	35	34	24.2
Total	267	262	291	302	313	324	293.2
Number of Agents	6	6	6	6	6	6	6.0
Caseload Per Agent	44.5	43.7	48.5	50.3	52.2	54	48.9
Pittsburgh General (Two Units)							
Pennsylvania Cases	431	413	403	421	437	485	431.5
Other State Cases	62	66	33	38	43	44	47.7
Total	493	479	436	459	480	529	479.3
Number of Agents	6	6	6	7	7	8	6.67
Caseload Per Agent	82.2	79.8	72.7	65.6	68.6	66.1	71.9

CLIENT EMPLOYMENT DATA

TIME PERIOD	STUDY GROUP	NO. AVAILABLE* (X)	NO. EMPLOYED (Y ₁)	NO. DPA (Y ₂)
Dec. 1973	Phila. Parole	163	101	28
	Phila. Prob.	104	69	12
	Phila. GCL	1302	919	211
	Pitts. Prob.	205	150	26
	Pitts. GCL	159	119	25
March 1974	Phila. Parole	165	103	27
	Phila. Prob.	96	56	26
	Phila. GCL	1236	893	190
	Pitts. Prob.	211	162	21
	Pitts. GCL	175	126	28
June 1974	Phila. Parole	174	99	35
	Phila. Prob.	80	49	16
	Phila. GCL	979	714	162
	Pitts. Prob.	221	162	26
	Pitts. GCL	232	153	55
Sept. 1974	Phila. Parole	200	124	36
	Phila. Prob.	97	68	19
	Phila. GCL	867	657	100
	Pitts. Prob.	261	186	29
	Pitts. GCL	252	141	75
Dec. 1974	Phila. Parole	215	115	47
	Phila. Prob.	98	61	16
	Phila. GCL	873	626	135
	Pitts. Prob.	251	180	37
	Pitts. GCL	189	139	38

* Available for work, ie. labor force

Regression Series

- A. Estimated trend: No. Employed = f (No. Available)
- Phila. Parole $Y_1 = .381x + 38.5$ $r = .82$
 - Phila. Prob. $Y_1 = .816x - 16.9$ $r = .87$
 - Phila. GCL $Y_1 = .659x + 69.3$ $r = .99$
 - Pitts. Prob. $Y_1 = .578x + 35.1$ $r = .98$
 - Pitts. GCL $Y_1 = .280x + 79.2$ $r = .83$
- B. Estimated trend: No. DPA = f (No. Available)
- Phila. Parole $Y_2 = .324x - 24.8$ $r = .93$
 - Phila. Prob. $Y_2 = -.063x + 23.7$ $r = -.11$
 - Phila. GCL $Y_2 = .201x - 51.4$ $r = .94$
 - Pitts. Prob. $Y_2 = .170x - 11.4$ $r = .72$
 - Pitts. GCL $Y_2 = .522x - 60.9$ $r = .98$

BOARD INTERVIEW DOCKET

INSTITUTION _____

DOCKET # _____

NAME _____

INST. # _____

PAROLE # _____

INTERVIEWER _____

TYPE OF INTERVIEW _____

DATE _____

NOTES:

APPENDIX II

PAROLE/REPAROLE

- ___ a. to an approved plan
- ___ b. to detainer sentence only (Board sentence)
- ___ c. to detainer sentence only; however, an approved home to be available
- ___ d. subject to detainers
- ___ e. in-patient program only: specify _____
- ___ f. Close/Intensive supervision the first _____ months
- ___ g. Out-Patient therapy: drug & urinalysis; alcohol; psychiatric/psychological
___ 1 if deemed necessary by agent
___ 2 to be included in plan
- ___ h. must maintain employment
- ___ i. Do not associate with _____
- ___ j. Do not consume intoxicating beverages.
- ___ k. Must support dependents
- ___ l. Fines, costs, and restitution
- ___ m. Other _____

REFUSE

- ___ a. recent misconduct
- ___ b. recent misconduct while on furlough
- ___ c. no involvement in programs
- ___ d. poor institutional adjustment
- ___ e. due to failure at C.S.C.
- ___ f. serious nature of offense
- ___ g. serious pattern of criminal offenses
- ___ h. negative interest in parole
- ___ i. without prejudice. Will review when you request consideration.
- ___ j. need for further: counseling, treatment, educational/vocational training; other _____
- ___ k. Review in _____
- ___ l. You must
___ 1 participate in _____
___ 2 maintain clear conduct record.
- ___ m. Other _____

CONTINUE

- ___ a. pending receipt of additional information. Specify _____
- ___ b. pending successful adjustment to C.S.C. program (standard action for C.T.C.)
- ___ c. pending disposition of criminal charges.

TIME SETTING (SCIC-FLAT SENTENCES)

- ___ a. Review in _____
- ___ b. You must
___ 1 participate in _____
___ 2 maintain clear conduct record.

MEMBER: _____ MEMBER: _____ MEMBER: _____

DATE: _____ DATE: _____ DATE: _____

Pennsylvania Board of Probation and Parole
SUMMARIZATION FACE SHEET

Name _____ Interview Month _____
Age _____ Marital Status _____ Inst. & No. _____
Offender Type _____ Parole No. _____

A. Interview _____ Parole _____ Parole Review _____ Reparole _____ Reparole-Review _____

B. Offense _____ Minimum Expiration Date _____
Plea _____ Effective Date of Sentence _____
Sentence _____ Maximum Expiration Date _____
Detainer(s) (Specify) _____

C. Reparole Only

Date Paroled _____ Reason _____ TPV _____ CPV _____
Date Returned _____ Back Time _____
Date Reparoled _____ New Maximum Date _____

D. Parole Violation Only

Date Paroled _____ Reason _____ TPV _____ CPV _____
Back Time _____ New Maximum Date _____

*This face sheet must accompany all copies of Summarization Reports.
Every effort should be made to determine outstanding fines, costs, and
restitution and should be reported under Detainer Section.

GUIDELINE FOR SUMMARIZATION ON PRE-PAROLE CASES
(Including The Service Plan Summary)

The first page of this report should have the Resident's name, Parole Number, Institution and Number.

This material is presented only as a guide in preparing a Summarization. The factors listed will not apply in all cases and in some cases there will be additional information that should be reported.

A. OFFICIAL VERSION

Sources

- Pre-Sentence Investigation
- Order of Commitment
- Transcript of Court
- Statement of Arresting Officer
- Pardon Board Investigation

Criteria to Consider

- When, where, by whom was the arrest made.
- Circumstances of arrest.
- Accomplices and the disposition of their charges.
- Whether or not Resident was armed and with what weapon.
- In drug offense cases, specify kind, quantity, how long drugs were used, and if Resident was a pusher.

The Official Version is very important and it is essential to get an accurate account. This section should be a short paragraph stating exactly what happened, without the usual legal wordage. It is also important to list all known accomplices and the disposition of their charges. If an Official Version is absolutely unavailable, report as accurately as possible what happened by using the Resident's version and any other facts that may be available.

B. PRIOR ARREST RECORD

Briefly break down the juvenile arrests and prior adult arrests, incarcerations, terms of Probation and Parole.

Important Criteria to Note

- Pattern of crime
- Increase in aggressiveness
- Organized crime affiliations
- History of drug use or drug pusher and specify:
 - Kind of drug used or sold
 - Length of use
 - Any known reasons for use
- History of alcohol use and specify:
 - Length of use
 - Any known reasons for use

When any of the above or other factors apply, specify the circumstances. It is important to briefly state the Resident's pattern of offenses.

C. INSTITUTIONAL ADJUSTMENT

Involvement in Programs (e.g. A.A., Drug Therapy, Counseling, etc.)

Vocational - (Special Skills Learned)

Educational - (Achievements of Note)

The above areas are listed as guides, if there is nothing outstanding about Resident's involvement, simply indicate adjustment is satisfactory. It is only necessary to elaborate when adjustment was unusual or outstanding (e.g. completed computer operator training; became highly skilled in carpentry, masonry, etc.; did not work for 12 months, changed jobs every week, etc.).

Psychological Report

Psychiatric Report

Medical Report

In case of murder, sex offenses, arson, patteredn of assaultive offenses, a psychiatric or psychological report should always be requested (providing a current report is not available). Any limitation or treatment received should be noted.

Misconducts, specify dates and dispositions

Furloughs, all furloughs are to be listed with dates and any reactions or incidents.

Community Treatment Program, note if Resident is approved for C.T.C. or other status, note any reactions.

Any other area of adjustment or special program not mentioned above should also be outlined. Personal contact with instructors, counselors and Resident may be helpful in completing this report. The Bureau's folder (if accessible) should also prove helpful. Indicate reasons for receiving the reported adjustment.

Bureau of Correction Recommendation

State the Staff recommendation and any other pertinent comments offered by Bureau staff.

D. PAROLE PLAN

Home (Same structure as Request for Pre-Parole Investigation)

Job (Same structure as Request for Pre-Parole Investigation)

Status - approved, formulated, submitted for investigation, home available and date.

Note any pertinent family relationship (previous or current)

Note unusual or relevant change in family structure since preparation of original classification summary. (E.g. additional children, divorce proceeding, etc.)

Note anticipated difficulties Resident may encounter

Specify any other irregularities (e.g. married - parole plan to parents, etc.).

Community Reaction - specify known community sentiments or anticipated reactions, etc.

E. EVALUATION AND RECOMMENDATION

Areas to consider might be:

- General observations
- Attitude of Resident
- Resident's understanding of parole
- Clarification of any contradictions, (e.g. poor overall adjustment, staff recommends for parole, etc.)
- Any other unusual or outstanding incidents or reactions.

Case Analyst Recommendation

State parole, refuse. When recommending parole, give some indication why and what special conditions may be appropriate. If a refusal is recommended, state realistic data when Resident should be reviewed, why Resident should be refused and what he should do until next review date.

F. SERVICE PLAN SUMMARY

The service plan is an identification of the individual's problems and what might be done about them.

This plan should indicate what level the Client has attained regarding adjustment or achievement, what problems still exist, and suggestions to enhance the rehabilitation process.

Strengths

- Proven desire to overcome difficulties
- Satisfactory progress in institution
- Strong family or community ties
- Possessed or potential for vocational skills
- Academic potential

It may be helpful to note how these areas were achieved.

Barriers

- History of Drug or Alcohol Use
- History of Assaultive Behavior
- Cannot take orders
- Defies Authority
- No meaningful work experience
- No marketable skill
- Low academic or vocational potential
- Weak or non-existent family ties
- Poor health, physical handicaps

The above-listed Strengths and Barriers are general examples and are only a few of the possible areas for consideration. These statements should be as specific and individualized as possible.

Objectives and Social Service Recommendations

State the specific objectives and recommendations to be achieved with the Client to facilitate his adjustment to the community. These objectives should reflect suggestions to deal with the reported Barriers. Objectives should also reflect how Strengths might be supplemented or utilized in dealing with Barriers.

The Service Plan Summary is beneficial to the Supervising Agent and any appropriate short-range or long-range goals should be reported in the "Objectives" section.

The last page of this Report should contain the name and title of the individual who prepared Report, and the date.

The criteria presented in this guide may not apply in all cases, but it is hoped that this outline will aid in providing an accurate, standardized summary on each Client.

The distribution of this Report (original and two copies) will be:

1. Original to be submitted with the necessary material to the Board Secretary's Office.
2. One copy to be submitted to the appropriate District Office upon receiving favorable Board Action.
3. One copy to remain with the institutional material.

SERVICE PLAN SUMMARY

NAME: Tyrone Garvin
INSTITUTION NO: SCIC No. F-3523
PAROLE NO: 4266-J

Below are listed this Client's strengths and weaknesses. This information is for the Agent's use in preparing a treatment plan.

1. Strengths:

- (a) Accepts supervision and counseling.
- (b) Has vocational potential at the semi-skilled-skilled level.
- (c) Has had some training in Auto Mechanics. Desires more training in this field and, eventually, employment as an Auto Mechanic.

2. Barriers:

- (a) Academic retardation.
- (b) No work experience. Insufficient vocational training.
- (c) Needs firm, consistent supervision.
- (d) Weak parole plan (little family support).

3. Objectives and Treatment Recommendations:

- (a) Intensive supervision initially until Client learns to follow procedures.
- (b) Vocational training in Auto Mechanics, in conjunction with employment in this field.
- (c) Develop strong volunteer program.

END