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SINGLE PROJECT EVALUATION DESIGN

PHASE I EVALUATION OF INTENSIVE SPECIAL PROBATION PROJECTS

for

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Law Enforcement Assistance Administration

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CHAPTER I

INTRODUCTION

This report presents an evaluation plan for intensive special probation projects. Intensive special probation (ISP) projects are limited to those projects providing unusually individualized or specialized probation services to adult probationers. This includes projects which utilize volunteers, paraprofessionals, as well as professional probation officers for the purposes of improving the attention given and expanding the time available to offer assistance to probated offenders. Basically, probation projects which permit unusually low caseloads and/or specialized counseling or services for offenders would be considered as intensive special probation projects. This evaluation plan has been developed as part of a Phase I evaluation of ISP projects under the National Evaluation Program. The National Evaluation Program is being conducted by the National Institute of Law Enforcement and Criminal Justice. The National Institute has sponsored a series of such Phase I evaluations of specific topic areas. In the Phase I evaluation, basic information related to the topic area is to be collected, synthesized, and assessed. The following products are to be produced under the Phase I efforts:

1) Issues paper drawn from general knowledge and past findings.
2) Flow diagrams and descriptions of existing project intervention activities.
3) Analytical frameworks for use in analyzing existing activities in a topic area.
4) An assessment of what is presently known and not known about interventions in the topic area.
5) An evaluation design for a Phase II evaluation study.
6) A single project evaluation design for use on local projects.
7) A summary of the above work products.

This evaluation plan represents work product (6) and is designed for use on local projects. Its primary purpose is to provide formative information at the local level to better aid in carrying out the project and to provide useful information to local authorities to aid in the allocation of local resources to criminal justice programs. The basic design imposes only those measurements required to accomplish this purpose [1]. The design does not negate the use of experimental or quasi-experimental research designs involving control or comparison groups or the use of a before after design [2]. These research designs would greatly increase the interpretative power of the evaluation relative to the success of the ISP project. They are, however, costly and they require the assistance of trained and experienced professionals to properly implement and analyze the results. If these resources are available at the local level, these designs could be built around the basic design contained in this report. On the other hand, it would be foolish to burden a local project with the data and measurement requirements associated with these research designs if the resources are not available to properly implement and carry out such evaluation research.

The evaluation plan focuses on both project outcomes and project activities. Measurement of outcome is a necessary prerequisite to understanding project effectiveness. It would be useless to expend resources on detailed process measurements to explain unidentified outcomes. On the other hand, it is not sufficient to merely determine whether or not a project is proceeding successfully relative to its anticipated outcomes. Rather, an attempt should be made to relate what is going on in the project to the project's outcomes. If a project is achieving success it is desirable to know which, if any, of the project activities may be contributing to that success, while if unsuccessful, it would be desirable to know if the lack of success could be traced to the failure to implement or carry out as planned one or more project activities.

Moreover, this type of information would be desirable on a periodic basis so that corrective steps may be implemented if required.

To insure that the evaluation will provide formative results, it is necessary to enumerate the desired project outcomes or goals and then to identify the project activities and the sequence of processes leading to the outcomes. To accomplish this, this evaluation plan provides for the construction of a process flow measurement model of the ISP project. The development of this model is discussed in the next section of this report.

The evaluation plan is developed around a general framework for ISP projects. Consequently, the plan is not for a specific type of ISP project but rather consists of self-contained evaluation modules that can be used when applicable. Furthermore, each individual module may be used in whole or in part as appropriate. The evaluation modules are presented in Chapter 3 of this report.

CHAPTER II

THE PROCESS FLOW MEASUREMENT MODEL

To provide formative feedback to project operations the evaluation should measure not only anticipated project outcomes (project goals and objectives) but also those project activities and processes by which it is anticipated that the goals and objectives will be achieved. To provide for such an evaluation design it is necessary to begin with the development of a process flow measurement model. As a first step in constructing the process flow model, it is necessary to identify the planned project activities and the desired or anticipated project outcomes. A conceptual model must then be developed that couples the activities step-by-step towards the desired outcomes. Such a model would normally be developed as a block diagram with blocks representing activities and outcomes and arrows between the blocks representing the linking of the activities with each other and immediate and final outcomes. In proceeding through such a conceptual model it is possible that gaps may be identified in the sequence of steps from activities to outcomes. In such cases revisions and/or additions to project activities and/or anticipated outcomes are required so that functional linkages can be achieved between the project activities and outcomes.

The process flow model provides the linkage of project activities with project outcomes. It implicitly describes the chain of assumptions from expenditure of funds to anticipated impact and identifies the key assumptions associated with the project. It may be viewed as a causal model indicating the sequence of process steps leading to outcomes. By providing the linkage between project activities and outcomes the process model forms the basis for the evaluation effort. The evaluation plan is to be designed to measure not only the project outcomes and impacts but also to measure those planned activities

that are to lead to the outcomes. An evaluation plan based on this concept provides feedback not only on outcomes, but also on the extent to which those activities, responsible for the outcomes, are being carried out as planned.

It is, of course, entirely possible that success or failure of the project will be due to exogeneous or environmental factors beyond the control of the project. This determination is beyond the realm of this and even more complex, evaluation plans. It is anticipated, however, that this evaluation plan will provide not only formative feedback, but also insight into the reason a particular outcome was achieved. For example, if a project is deemed to be successful in its outcome, but few if any of the activities were carried out as planned, this knowledge would cast doubt on the underlying hypothesis regarding project operations. On the other hand, if success was achieved in both planned activities and outcomes, although such success could still be due to extraneous factors, one could not rule out the conclusion that the project concept itself was effective.

Unfortunately, there is no exact or algorithmic procedure available for the development of the process flow diagram. The desired result can perhaps best be illustrated by example. Consider the process flow diagram developed for an ISP project designed to reduce recidivism among breaking and entering offenders through the intensive supervision of such offenders. The flow diagram developed for this project is presented in Figure I. A narrative of the process flow follows:

> Overview of Activities and Assumed Sequence of Causation:
> The core of the probation project is an attempt to build a more intensive relationship between probation officers and clients, primarily through reduced caseloads. This intensive relationship is assumed to be reflected in increased client sense of agent caring and in increased client success in employment and community treatment programs. The additional cooperation between units of the criminal justice system as a part of the breaking and entering program assists the probation officer in his work by making information more readily available to him.

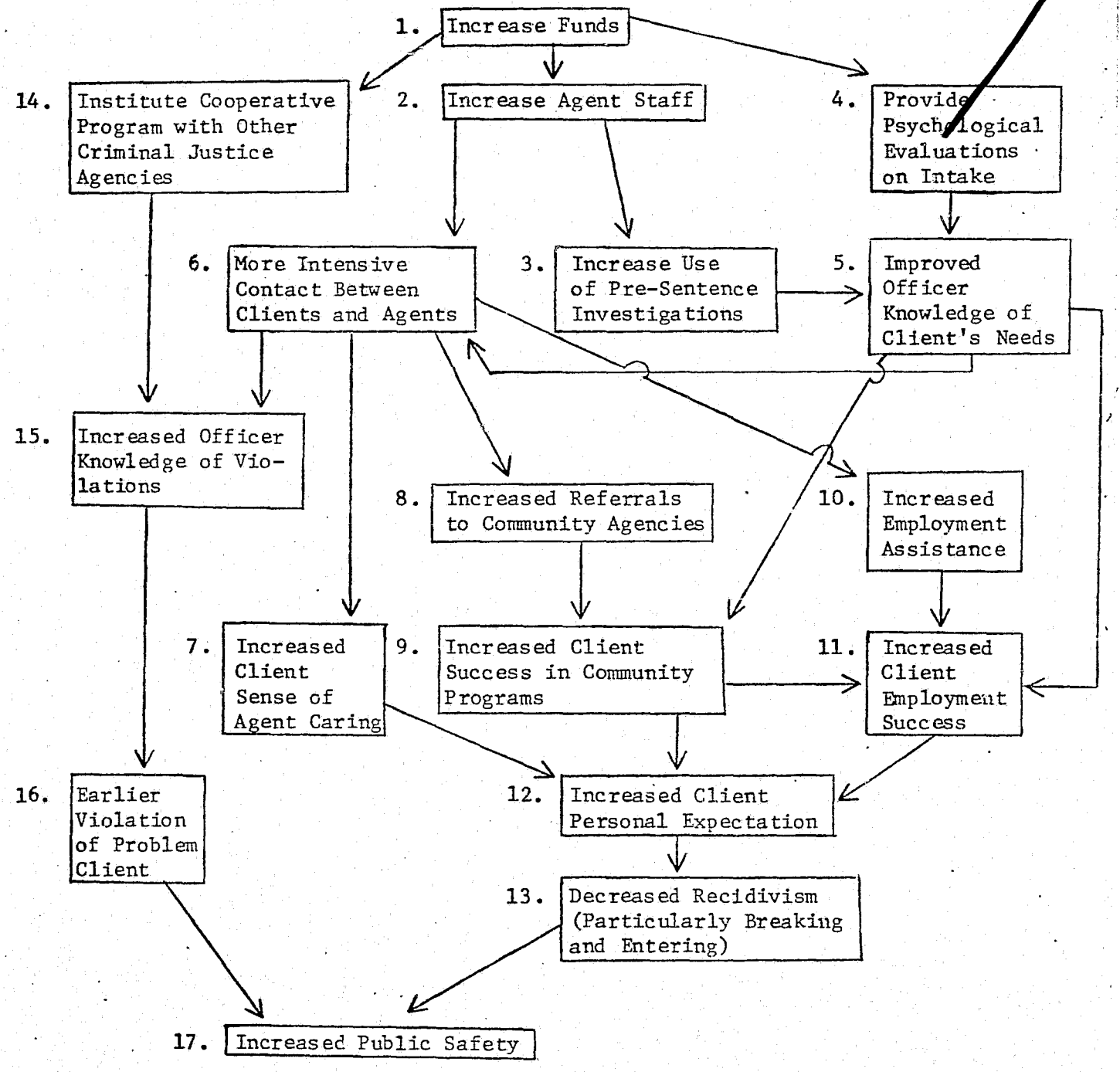


FIGURE 1

INTERVENTION PROCESS FLOW DIAGRAM

Block Details:

1. Increase Funds. Through September, 1976, approximately $97,000 will have been expended on the project.
2. Increase Agent Staff. The principal use of the increased funds has been the addition of two probation agents and associated supervisors.
3. Increase Use of Pre-Sentence Investigations. One consequence sought from the addition of new probation agents was an increase in the frequency of pre-sentence investigations in breaking and entering cases.
4. Provide Psychological Evaluations on Intake. A second consequence of increased funding is the ability to contract with professional psychologists for intake examinations of clients.
5. Improved Officer Knowledge of Client Needs. The combined effect of psychological intake examinations and increased use of pre-sentence investigations is assumed to be an improvement in probation agent's knowledge of clients' needs.
6. More Intensive Contact Between Clients and Agents. Through a reduction in caseload and improved assessment of client needs, it is assumed that a more intensive contact will develop between the probation officer and his client.
7. Increased Client Sense of Agent Caring. One anticipated consequence of a more intensive relationship between client and agent is an increased sense that the agent cares about the success or failure of his clients.
8. Increased Referrals to Community Agencies. One assumed effect of the more intensive supervision of clients at block 6 is an increase in agent referrals of clients to community service programs.
9. Increased Client Success in Community Programs. The combined effects of an increase in referrals to community service agencies at block 8 and the increased appropriateness of referrals resulting from the knowledge at block 5 are assumed to lead to increased client success in community programs.
10. Increase Employment Assistance. Another assumed consequence of more intensive supervision is increased assistance for clients in finding employment.
11. Increased Client Employment Success. The increased officer knowledge and assistance of blocks 5 and 10 are assumed to combine with success in job-related community programs at block 9 to produce increases in client employment.
12. Increased Client Personal Expectations. The aggregate effect of increased employment, increased success in community programs, and an increased sense of agent's concern for the client are presumed to produce an increase in a client's personal expectations. A temporary improvement in life style encourages expectations of a permanent involvement.
13. Decreased Recidivism. One consequence of increased client self-expectations and a corresponding sense of having a stake in the future is assumed to be a decrease in criminal activity. This would in turn be reflected in a decrease in recidivism, especially of breaking and entering offenses.
14. Institute Cooperative Programs with Other Criminal Justice Agencies. The third impact of additional criminal justice funds is the institution of joint criminal justice programs reaching across several agencies and concentrating on particular crimes.

16. Earlier Violation of Problem Clients. Increased knowledge of violations at block 15 is assumed to produce earlier violation and incarceration of problem clients.
17. Increased Public Safety. The combined effect of decreased recidivism at block 13 and earlier violation of problem clients is an increase in public safety. Public safety is measured by the incidence of crime and public perceptions of crime.

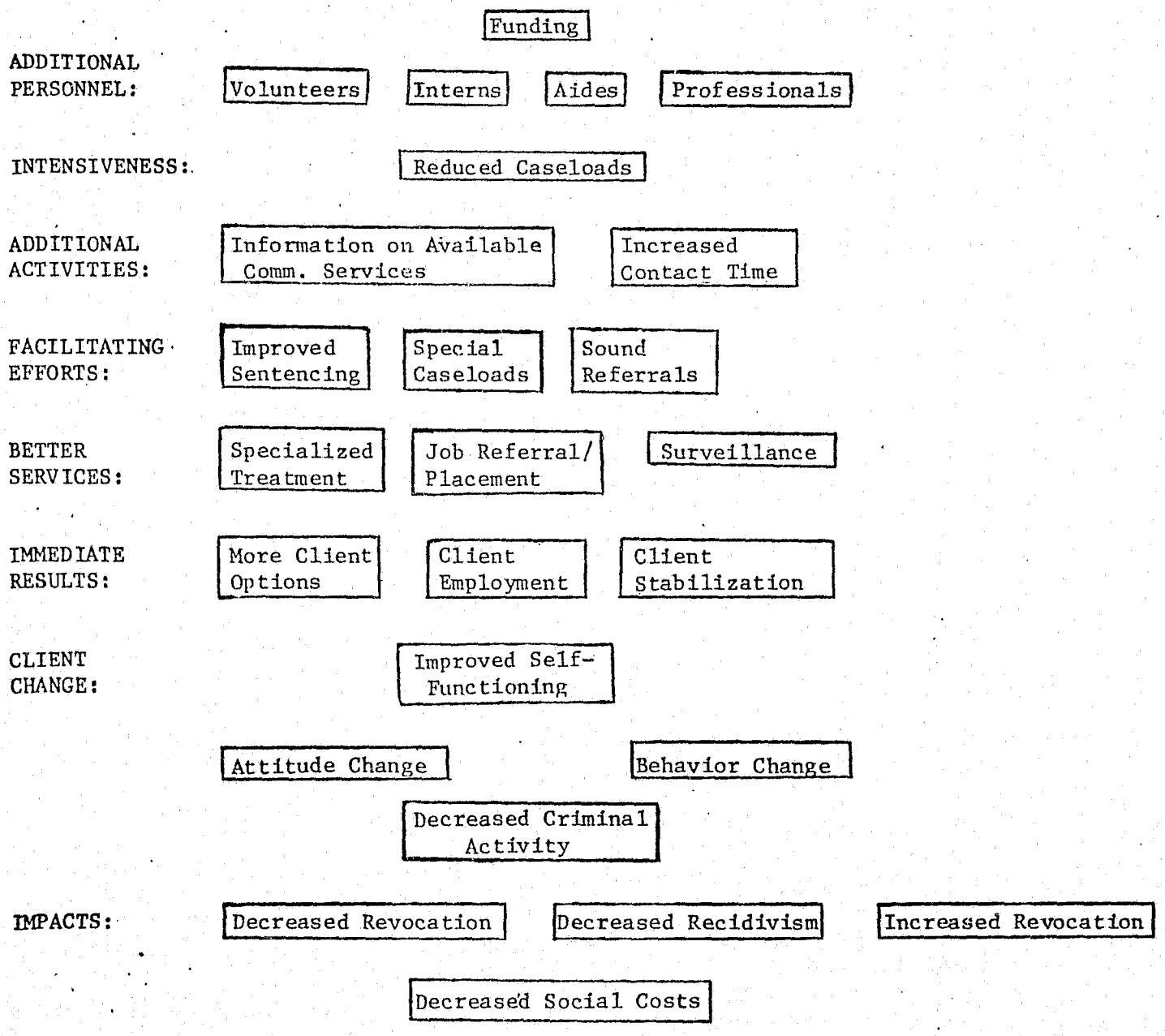
Intervention process flow diagrams have been developed for twenty-one ISP projects. These diagrams are included in the Interventions Papers published as a part of this Phase I effort [3]. From these flow diagrams a general framework was constructed for ISP projects. This general framework is presented in Frameworks [4]. A slightly condensed version of the process elements for this general framework is shown in Figure 2. These process elements may be used as a guide for developing the process flow diagram for an ISP project. Other blocks may have to be added to permit incorporation of special ISP activities or to elaborate upon process areas that are considered critical to the specific project.

Having developed the process flow model, ideally one would like to identify measures for the activity or outcome associated with each block in the diagram. In general, precise measurement techniques will not be available for all blocks. This lack of measurement ability will, of course, result in gaps in the evaluation plan, however, an evaluation plan that logically measures at least some of the process activities relating to project outcomes must be preferred to a plan that merely measures activities for the sake of obtaining data without regard to how or whether or not such activities relate to the overall causal sequence of activities. A description of process and outcome measures currently in use for the general process flow model of Figure 2 is given in Appendix A.

The number of process permutations that could be obtained through the general model is very large as is the number of different ISP projects that have been or could become operational. It would be impossible to present an evaluation plan for all such projects and rather than present an evaluation plan

FIGURE 2

INTENSIVE SPECIAL PROBATION PROCESS ELEMENTS



for a few arbitrary funding to impact sequences this report discusses evaluation measures for each of the broad categories of functional elements associated with the general model. Those elements which will be included as evaluation areas are:

- Additional Personnel
- Additional Activities
- Facilitating Efforts
- Better Services
- Immediate Results
- Client Change
- Impacts

The elements within each of these topic areas that will apply to an individual project will, of course, depend upon the nature and assumptions regarding the individual project.

CHAPTER III

EVALUATION MODULES

Evaluation measures are developed around the general framework described in Chapter II. The essential areas of this general model are shown in the macro-model presented in Figure III-1.

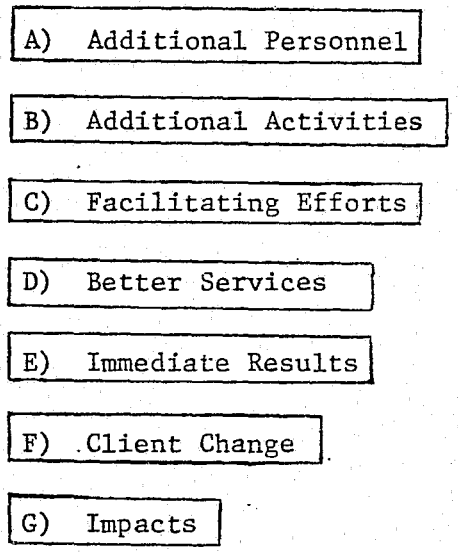


FIGURE 3

MACRO-FRAMEWORKS MODEL FOR ISP PROJECTS

Evaluation measures are prescribed for the activities or outcomes associated with each of the seven elements of the macro model. The evaluation measures associated with block G (Impacts) are designed to measure the progress of the project towards its final outcomes or impacts. The measures for blocks A through F track the contribution of the project activities and immediate outcomes to the overall project success. The data requirements associated with each evaluation measure are also specified in this chapter.

This evaluation plan does not specify data that is required for internal project operations such as client census and history data. Data of this nature are required by probation officers in carrying out their normal probation functions. This client data could provide a basic data base for extensive research studies that attempt to relate client characteristics to probation outcomes. Such studies are, however, beyond the realm of this evaluation plan.

Implementation

The evaluation measures developed in this chapter are not measures for a specific project but rather are self-contained evaluation measurement modules that may be applied in whole or part to specific projects. The determination of which of the specific measures should be applied to a specific project should be made after construction of the process flow model for the project. The design of a specific project evaluation plan must rely on common sense. It is foolhardy to measure some element just because it is measurable if that element or activity is not of relevance to the causal sequence of activities and outcomes associated with the project. On the other hand, difficulty in measuring an element should not be an excuse for deleting that measurement from the evaluation plan should the element provide a critical link in the framework.

Once the process flow model has been constructed the appropriate measurement modules for the associated project activities and outcomes can be selected from those presented in this chapter. Since the data requirements are developed for each measurement module, the overall data requirements can easily be determined after the measurement modules have been selected.

Desired levels of performance should be specified for each activity and outcome. This will permit actual performance to be compared with expected performance and will signal the need for corrective action whenever actual performance is substantially below anticipated levels. These desired performance levels can be determined from

- the analysis of prior projects
- subjective judgment based on previous experience

or they could be established after initial operating experience has been gained.

The main purpose of this evaluation plan is to provide formative feedback throughout the project. Therefore, it is essential that the performance measures be calculated and compared to desired performance on a periodic basis throughout the project. For most projects, this periodic review should be conducted monthly.

The remaining portions of this section present evaluation measures for the activities and/or outcomes associated with the seven macro-framework elements. To insure reasonability of the proposed measures, the recommended measures are those that have actually been used in the field on various ISP projects.

A. Additional Personnel

The measurements required for this area are directed at determining the number and background of project personnel. This information is required for other performance measures. The actual measures suggested are very straightforward and should pose no implementation problems. The first set of measures will relate to paid personnel and will be applicable to paraprofessionals, interns, probation aides, and probation officers. This is followed by a set of measures for volunteers.

1) Paid Personnel

a. Number of paid personnel. This can be computed from payroll records for each category of personnel. Assuming a 40 hour work week, then for an "n" week period the average number of equivalent full time personnel would be

$$\frac{\text{Total paid hours for personnel category during the period}}{n \times 40}$$

Total paid hours would include holidays, vacations, sick leave, and other paid leaves of absense. This average number of equivalent full time personnel should be computed for each category of personnel specified in the project flow diagram.

Other measurements that may be of relevance to a particular project may include:

b. Number of years of experience as a probation officer. For each individual probation officer this would be computed as number of years of experience prior to project employment plus the number of years of experience obtained while employed on the project. Total employment experience for each employee should be updated at the end of each reporting period. Total staff experience should be weighted by the fraction of time spent on the project by each officer and could be computed for each period by summing over all probation officers.

$$\frac{\text{Years experience} \times \text{paid hours during period}}{\text{Total working hours in period}}$$

Similar measures, if of importance, could be made for other categories of personnel.

2) Volunteers

Similar measures could also be made for volunteers using hours worked rather than paid hours. Depending on the nature of the volunteer effort more detailed data may be desirable. This may include:

a. Number of active volunteers at end of period

b. Number of volunteers in training at end of period

c. Number of volunteers completing training during period

d. Number of volunteer terminations during period and reason for termination

e. Number of individuals interviewed regarding becoming a volunteer during the period

f. Number of individuals accepted for volunteer training during period

g. Number of volunteer placements made during period

i. with individual probationers

ii. assigned to probation officer

iii. assigned to employment program

iv. assigned to provide transportation

v. assigned to volunteer program administration

vi. other

B. Additional Activities

The evaluation measures in this section are designed to determine the effects of the additional staff associated with an ISP project on the activities associated with the project. The two activities specifically considered are contact time and identification of community services.

1) Contact Time. In many ISP projects the main process objective is to increase the amount of probation supervision (contact time or number

of contacts) provided clients. This is often achieved by decreasing the caseload of probation officers and thus average caseload per probation officer is often used as a process measure.

a. Average caseload per period is computed by:

$$\frac{\text{average number active cases during the period}}{\text{average number of equivalent full time probation officers}}$$

where the average number of active cases would be calculated by summing the total number of active cases each day (week) of the period and dividing by the total number of days (weeks) in the period. Active cases would not include absconded clients or other clients not available for supervision services. The average number of equivalent full time probation officers would be computed as under module A.

The above computation can also be made for each individual probation officer. The numerator would be the average number of active cases for an individual probation officer and the denominator the fraction of full time employment of that probation officer during the period.

To make this computation, data must be maintained for each individual probationer on:

- Probationer officer assignment and date of assignment
- Status change:
  Active to inactive - reason and date
  Inactive to active - reason and date
- Project termination - reason and date

In addition to the average caseload, the maximum and minimum caseload for probation officers could be computed.

The above measures do not consider the preparation of Pre-Sentence Investigation (PSI) Reports. Attempts have been made to weight PSI

reports relative to caseload supervision. No uniformly acceptable weights have been devised and the effort required to prepare such reports can vary greatly depending upon the detail required, the information requirements and availability. Therefore, if the preparation of PSI reports is part of the supervising probation officer's workload, it is recommended that separate measures be made of this activity. One commonly used measure of this activity is the number of PSI reports completed by each probation officer during the period. From this it is possible to compute the average, maximum, and minimum number of PSI completed per probation officer for the period.

Average caseload is at best only an individual measure of the quantity of supervision provided clients. Two more direct measures are discussed below.

b. Number of contacts. Average, minimum and maximum number of contacts per probation officer should be calculated for the period. Contacts should be broken down by type (positive or collateral) and place. Positive contact being direct contact with the probationer and collateral contact being contact with a third party, such as family, employer, friend, relative of the probationer. Places of contact can be broken down as:

- Office
- Employment
- Home
- Telephone
- School
- Community

- Referral Agency (specify)
- Other (specify)

This data could also be used to measure average, maximum, and minimum number of contacts per probationer for the period. The required data must be kept by each individual probation officer for each probationer under his supervision.

c. Time of contact. Time of contact could be recorded for each of the categories set out above. Normally interest would center on the time of positive contacts rather than both positive and collateral contacts. It is recommended that time of contact be recorded by the probation officer directly after the contact with the client.

It should normally be adequate to record time of contact in units of tenths or quarters of an hour. From these individual records the following measures can be made:

i. Total time spent in face to face contact

ii. Average time spent in face to face contact

These measures may be made at both the project and probation officer level.

The reliability of number and time of contact measures depends upon the individual probation officer. It is essential therefore to obtain the cooperation of the officers in such data collection efforts. This normally will require explaining the purpose of such measurements, how they will relate to the overall project evaluation, and the assurance that such data will not be used to evaluate individual officers.

2) Identification of Community Services. This process is concerned with the identification of community services that could be used as referral services for the project. On many projects this type of activity is the responsibility of the individual probation officer and is often not formalized. It is suggested that a community services directory be maintained for the project. This directory would include a description of the type of service, the address and contact at the agency, any restrictions or limitations regarding probationers, and experience and/or evaluation of the agency. The date of entry of the agency into the resource directory and, if deleted, the date and reason for deletion should be recorded. The following measurements could be obtained from the resource directory.

a. Number of agencies added to the directory during the period

b. Number of agencies deleted from the directory during the period

and if the agencies are being evaluated, on a periodic basis one could also measure the number of evaluations completed during the period.

C. Facilitating Efforts

1) Improved Sentencing. This process activity is centered around providing better information to the courts for sentencing purposes. Data collection for each PSI should include:

- elapsed time (days) required to complete each PSI
- recommended sentence
- actual sentence
- reason for difference
- recommended probation conditions
- actual probation conditions
- reason for difference

From the data the following performance measures can be derived:

a. Number of PSI reports completed during the period

b. Number of cases in which the actual sentence was the same as the recommended sentence

c. Average and maximum elapsed time required to complete PSI reports.

2) Special Caseload. Special caseloads provide for the division of clients into special groups for specialized supervision. At this point in the process flow it is only necessary to measure whether or not such groups were established. Thus, the required performance measures would be:

a. Number of clients screened for assignment to special groups

b. Number of clients assigned to each special group

For each individual probationer records should be maintained on:

- date screened for possible assignment to special group
- results of screening
- group assigned to and data of assignment
- date of termination of group participation

Outcome measures dealing with immediate results, client change, and impacts (all of which are discussed later in this section) should be maintained for each such special group established on the project.

3) Sound Referrals. This activity is associated with obtaining social services from outside community agencies. The identification of such services was discussed under module B-2. Performance measures at this point should include:

a. Types of service available (e.g., treatment for alcoholics or drug addicts, vocational and employment training, medical services, social services).

b. Number of probationers referred to each type of service

c. Number of probationers being provided each type of service

Verification of performance measure (c) may be difficult in some cases. Agencies are sometimes reluctant to provide information on the activities of probationers. Such difficulties should be noted and if sources other than the agency are used to estimate this measure they should be listed.

D. Better Services

1) Specialized Treatment. Particular client needs may be satisfied through specialized treatment programs. Recommended performance measures for this activity are:

a. List of types of specialized treatment plans available

b. Cumulative and total number for period of probationers recommended for specialized treatment programs

c. Cumulative and total number for period of probationers entering specialized treatment programs

d. Cumulative and number for period of probationers completing specialized treatment programs

e. Cumlative and number for period of probationers dropping out of specialized treatment program

f. Percentage of probationers recommended for specialized treatment programs entering such programs

g. Percentage of probationers entering specialized treatment programs completing the program

To provide for these measures the following data should be collected for each probationer:

- specialized treatment programs recommended and date of referral

- results of referral
  - --if enrolled, date of enrollment
  - --if not enrolled, reason for not enrolling
  - --if completed, date of completion
  - --if dropped out, date and reasons for dropping

As discussed under module C-3, some agencies conducting specialized treatment programs may be reluctant to give information on the status of probationers enrolled in their programs. In such cases, obtaining reliable data often rests on the ingenuity of the individual probation officer.

2) Job Placement. At this block in the process flow diagram performance measures will be associated with measuring assistance in securing job placements. Maintain for each unemployed probationer seeking or recommended for employment:

- the date of each job referral
- the outcome of each referral and reason for the outcome

This data can then be aggregated for the period to determine the number of job referrals made during the period, the number of hires during the period and the following performance measures derived:

a. average number of referrals per unemployed probationer

b. number of referrals required to obtain a hire

3) Surveillance. The surveillance mode of client supervision consists of close client monitoring to determine if infractions occur. A performance measure for this activity would be the number of positive contacts with the client. See module B-1b.

E. Immediate Results

1) More client options. The outcome expected is a greater number of alternatives within the community for probationer services. This includes services such as training, specialized treatments but also other services or activities such as housing and transportation. One measure of performance would be:

a. number of different types of services available

Other measures would depend upon the particular service. For example, if transportation service was being provided then appropriate performance measures may be:

b. number of probationers requesting (or needing) transportation services

c. number of above probationers obtaining transportation services

2) Employment. Performance measures for this block will focus on the extent of employment of probationers. For other employment related performance measures see the following sub-module dealing with stability. The data requirements for this block are for each probationer.

- date available for employment (some probationers may be enrolled in vocational or other specialized programs and therefore not available for employment)
- hours employed during the period

Performance measures would be:

a. number employed full time during period

b. number employed part time during period

c. employment rate

where the employment rate would be calculated as

$$\frac{\text{total hours of employment for all eligible probationers}}{\text{total hours available for employment for all probationers}}$$

If pay records are available other performance measures associated with changes in pay could be calculated. These performance measures would provide some overall measure of performance on the job and the quality of employment. The additional measures are:

d. number of probationers with increased earnings during the period

e. number with decreased earnings

f. number with no change in earnings

3) Stability. The performance measure discussed here relates to stability of employment. Similar measures could be developed for other programs such as vocational training, education, and specialized treatment programs. The recommended performance measures for stability of employment are:

a. number of probationers changing jobs during the period

b. number changing jobs for:

   i. better pay

   ii. better working conditions

   iii. loss of previous job

   iv. other

c. number of job losses during the period due to:

   i. illness

   ii. fired

   iii. quit

   iv. laid off

   v. other

Data required to calculate these measures would be for each probationer:

- date and reason for job change
- date and reason for job loss

This data most likely will have to be obtained from a combination of employers and probationers. The reliability must rest with the best judgment of the individual probation officer.

F. Client Change

Ideally, one would like some quantitative measure of client change in areas such as self-functioning, attitude, and behavior. Typically, these types of client changes are not measured explicitly, but information relative to progress in these areas is recorded in casebook narratives. What is suggested here as a performance measure is an attempt to quantify the type of information recorded in the casebook. Basically, a three point scale is established for each area of interest. Each probationer is to be graded on this scale based on his performance in that area for the period. The scale provides for the following grades of performance

- excellent
- satisfactory
- unsatisfactory

For each area of interest (self-functioning, attitude, behavior) the following performance measures can be calculated from the individual probationer scores

1) number of probationers in each of the following grade scales:
   a. excellent
   b. satisfactory
   c. unsatisfactory
2) Number of changes in grade scale from previous month:
   a. number with improved performance
   b. number with no change in performance
   c. number with worse performance

G. Impacts.

The two impact areas for which performance measures will be established ar. revocations and recidivism. Unfortunately, among ISP projects there is no commonly accepted definition of these terms. As a step towards uniform treatment of these terms use of the definition of recidivism developed by the National Advisory Commission on Criminal Justice Standards and Goals is recommended. The definition is:

> "Recidivism is measured by (1) criminal acts that resulted in conviction by a court when committed by individuals who are under correctional supervision or who have been released from correctional supervision within the previous three years, and by (2) technical violations of probation or parole in which a sentencing or paroling authority took action that resulted in an adverse change in the offender's legal status. Technical violations should be maintained separately from data on reconvictions."

We shall classify (1) as recidivism and (2) as revocation if the change in legal status results in a revocation of probation. For the performance measures to be developed the following data will be required on each probationer:

- If a technical violation
  --date of technical violation
  --nature of technical violation
  --date of revocation--if violation resulted in revocation
- If arrested for a crime
  --date of arrest
  --nature of charge
  --court disposition

Data on technical violations would be collected as long as the probationer was assigned to the ISP project. Those probationers released from probation should be tracked relative to future recidivism for a period of three years after release or until convicted by a court, whichever occurs first. The difficulty in tracking such probationers and the resultant costs must be considered before a final decision can be made as to the degree to which such tracking can be accomplished.

The following performance measures can be calculated:

1) number of technical revocations during the period

2) cumulative number of technical revocations

3) number of probationers convicted of a crime during the period

   a. while in the program

   b. after release from the program

4) cumulative number of recidivists

   a. while in the program

   b. after release from the program

Technical revocation and recidivism rates may also be calculated. Without considering the total risk time (length of probation plus length of follow-up after project release) of probationers the rates can be calculated as

5) $$\text{revocation rate} = \frac{\text{cumulative number of revocations}}{\text{cumulative number of probationers entering project}} \times 100\%$$

6) $$\text{recidivism rate} = \frac{\text{cumulative number of probationers convicted}}{\text{cumulative number of probationers entering project}} \times 100\%$$

Note that according to the suggested definition if a probationer is convicted of a crime he is to be counted as a recidivist not a revocationist. Furthermore, if a probationer has his probation revoked for an incident that later results in a criminal conviction, the data base should be updated to reflect this probationer as a recidivist and he should not be counted as a revocationist.

Using the same denominator for both rates 5 and 6 permits the addition of these rates to determine a total rate of violation.

Risk time may be incorporated in these rates as follows:

7) $$\text{revocation rate} = \frac{\text{cumulative number of revocations}}{\text{sum of fractions of risk period completed for each probationer}} \times 100\%$$

8) recidivism rate = $\frac{\text{cumulative number of recidivists}}{\text{sum of fractions of risk period completed for each probationer}}$

where the revocation risk period for a probationer is the length of his probation sentence and the risk period for the recidivism calculation is the length of the probation sentence plus the length of the follow-up period. For example, if a probationer is given a two year probation and the follow-up period is three years after project release, the recidivism risk period would be five years or sixty months. After three months on the project, the probationer will have completed 3/60 = .05 of a risk period. The fractional risk period must be updated each reporting period for all probationers including those convicted of a crime or having their probation revoked. Thus, the fraction of a risk period will reach the value one for a probationer only after the total elapsed time since project entry to date is equal to the total length of the risk period for that probationer. Using this method of computing revocation and recidivism risk periods means that performance measures 7 and 8 will ultimately converge to performance measures 5 and 6.

These adjusted performance measures (7 and 8) assume that the likelihood of a probationer recidivating or having his sentence revoked is uniform over the risk period. If, in fact, a probationer is more likely to recidivate or have his sentence revoked earlier in his risk period than later, these measures will tend to initially over-estimate the actual rates.

As recommended by the National Advisory Committee the above recidivism rates have been based on court dispositions rather than arrest data. Since there may be a substantial delay between arrest and ultimate judicial outcome, arrest data can be used to calculate an approximate recidivism rate. The use of arrest data will result in over-estimating the actual rate.

The evaluation plan developed in this report has been centered around a general framework for ISP projects. To apply the plan requires first that a process flow model be constructed for the specific ISP project. The process flow model provides the linkage between the planned project activities and the anticipated outcomes. This document has developed recommended performance measures for those activities and outcomes likely to be associated with an ISP project. These measures shall be applied as appropriate for the specific ISP project.

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APPENDIX A

PROCESS AND OUTCOME MEASURES IN INTENSIVE SPECIAL PROBATION

Element	Definition/Levels	Typical Measurements
Funding	Additional funds provided for the purpose of the project.	Funds awarded, or dollars expended--usually in terms of personal services, supplies, equipment, travel.
Volunteers	Activities include recruitment, training, matching with clients, and supervision of volunteers. Volunteers may engage in one-on-one client counseling or special training ventures such as provision of group therapy sessions.	Number of volunteers recruited, trained, and matched with clients. Some background information on volunteers on client contacts. Number of clients matched to a volunteer, maintained weekly and cumulated monthly.
Interns	Directed training and practicum efforts toward production of future professionals.	Number of interns
Aides	Paraprofessional hired to perform such functions as investigations, client relationships, and community liaison.	Number of aides, experience, education, salary, geographic residence. Work measures such as number of PSI's completed or completion of psychological profile instrument on clients.
Professionals	Usually, probation officer. Also, on occasion, evaluators, specialized supervisors.	Number of staff hired. Experience.
Reduced Caseload		Number of active clients divided by number of agents (on a monthly basis).
Information on Available Community Services	Identify those community resources available for client referral.	
Increased Contact Time	Time of client-probation staff interaction.	Number of contacts

Element	Definition/Levels	Typical Measurements
Improved Sentencing	Provide the court with better information, provide range of conditions on probation.	Number of PSI's completed.
Special Caseloads	Division of client population into special groups based on various criteria.	Type and number.
Sound Referrals	Obtain social services from outside community agencies.	Number of services rendered. Agencies providing services.
Specialized Treatment	Provision of treatment focused on particular client needs—e.g., alcoholism, drugs, sex offenses, and so on. More broadly this also encompasses special training efforts, both for general education and job oriented, and various counseling programs.	Program description--criteria for client inclusion. Number partaking of special program elements. Periodic urinalysis results.
Job Placement	Provision of assistance in securing job placement.	Number of probation officer efforts and job referrals made.
Surveillance	An authoritarian stance places emphasis on the rules with close client monitoring to determine if infractions occur.	Number of contacts
More Client Options	Greater information and number of alternatives available within the community for probationer service.	
Employment	Employment	Employment and referral records.
Stability	Includes both a satisfactory means of support and a realistic value system.	Employment and employment history, vis-à-vis drug or alcohol programs, can measure stabilization via urinalysis or drinking incidents reported.

Employment	Definition/Levels	Typical Measurements
Improved Self-Functioning	The central notion is client change toward greater self-responsibility.	Casebook discussion of family problems and other aspects of client life style and their status. Tally number of legal dependents, public assistance, income and source, student status, marital status and living arrangements at entry and exit.
Attitude Change	Personal attitudes, goals, and values merge socially acceptable attitudes, goals, and values.	Subjective judgments, if at all.
Behavior Change	Alter client behavior of concern.	Casebook narratives describing behavioral problems and their correction.
Decreased Criminal Activity		Arrests and convictions while on probation. Revocation.
Decreased Revocation	Return of offender to prison due to technical violation of probation conditions or to commission of new crime.	Number and type of revocation per time unit.
Increased Revocation	As a result of increased surveillance, increase number returned to prison for violations/crimes.	Number and type of revocation per time unit.
Decreased Recidivism	Can be defined: a) after probation, or b) during probation Can count: a) new arrests b) new indictments c) new convictions d) revocations e) or exclude revocations	Number of arrests during probation

END