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COST ANALYSIS OF CORRECTIONAL STANDARDS:

Community Supervision, Probation, Restitution, Community Service

Volume II

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COST ANALYSIS OF CORRECTIONAL STANDARDS:

COMMUNITY SUPERVISION, PROBATION, RESTITUTION, COMMUNITY SERVICE

VOLUME II

By

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PREFACE

The subject of this report is the cost and resource implications of correctional standards relating to adult community-based supervision: probation, restitution, and community service. Standards used as a basis for the analysis are those contained in the 1973 Corrections Report of the National Advisory Commission on Criminal Justice Standards and Goals.[1] This is one of several program reports prepared by the Standards and Goals Project. Others cover such topics as "Halfway Houses," "Pretrial Diversion Programs," "Alternatives to Arrest," and "Institutional-Based Programs and Parole."

The purpose of the Project's program reports is to provide state and local decision makers with cost information on the many different kinds of activities advocated in the Standards of the Corrections Report. The decision makers are assumed to include:

- State criminal justice planning agencies
- State correctional administrators and staffs
- State budget office staffs
- State legislatures and staffs
- Similar planners, administrators and staffs at the local level.

Project reports are intended to supplement the Corrections Report by providing information these decision makers need to adopt and to implement state and local standards and goals for corrections.

Similar analytical techniques have been utilized in program reports on the diverse criminal justice activities studied, in order to obtain a set of cost estimates which are comparable. The cost typology which guides all of these reports is described in more detail in Appendix A-1 of this report.

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[1] National Advisory Commission on Criminal Justice Standards and Goals, Corrections (Washington, D.C.: Government Printing Office, 1973); hereafter referred to as Corrections.

Because the Project's reports are also intended to serve as guides to criminal justice administrators and planners, the results of the research effort are presented in two volumes. Volume I summarizes the purpose, methodology and findings of the study. Though it is intended for use primarily by decision makers, others will find it useful as a quick companion reference to this volume. Volume II provides analysts with detailed technical descriptions of estimation techniques applicable to analyzing the costs of probation in any particular jurisdiction, as well as presenting findings of this study.

The form and content of this cost analysis have been guided by the Project's Plan for a Cost Analysis of the Corrections Report. Particularly pertinent to this analysis of community-based supervision are the sections on programmatic changes and guidelines for the Project's general approach to program analysis.[1] Following the procedures in the Plan, this report has been guided in part by comments of those who reviewed earlier drafts. The reviewers included selected members of the Project's Advisory Board, and other individuals having considerable experience in administering or researching community-based supervision programs. The author is especially grateful for the information, assistance and advice given by Walt Busher, Assistant Director and John Galvin, Director, Alternatives to Jail Incarceration Project, American Justice Institute; John Wallace, Corrections Programs Specialist, National Institute of Corrections, Fred Kretz, Project Director, Differential Diagnosis and Treatment Program, Santa Clara County Department of Adult Probation; and Mel Axilbund, Staff Director, Commission on Correctional Facilities and Services of the American Bar Association.

The author wishes to thank Dr. Virginia Wright, Research Director of the Standards and Goals Project, and Billy L. Wayson, Director of the Correctional Economics Center, for their ever patient guidance and assistance throughout this research and writing effort. Finally, the author wishes to thank expressly Barbara Bland, Administrative Assistant who, through her mostly patient translation of the author's handwriting was the person ultimately responsible for rendering this report intelligible.

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[1]Standards and Goals Project, Plan for a Cost Analysis of the Corrections Report (Washington, D.C.: American Bar Association, Correctional Economics Center, 1975), pp. 18, 19, 23, 24 and 34-37; hereafter referred to as the Plan.

CHAPTER I

INTRODUCTION

The most widely used of all sentencing dispositions (excluding fines and suspended sentences) and hence the most widely utilized corrections alternative is supervision in the community. Three types of community-based supervision are employed: probation is by far the most widely utilized of the three; community service and restitution are two relatively recent additions to the corrections field.[1] Community-based supervision, fines and suspended sentences, represent the least severe punishments in the range of sentencing alternatives delineated by the National Advisory Commission in the Corrections Report:

> The court should be authorized to utilize a variety of sentencing alternatives including:
>
> a. Unconditional release.
> b. Conditional release.
> c. A fine payable in installments with a civil remedy for nonpayment.
> d. Release under supervision in the community.
> e. Sentence to a halfway house or other residential facility located in the community.
> f. Sentence to partial confinement with liberty to work or participate in training or education during all but leisure time.
> g. Imposition of a maximum sentence of total confinement less than that established by the legislature for the offense.[2]

Excluding outright release, fines, and suspended sentences, the range of sentencing, and hence correctional alternatives, can be compressed into three categories:

(1) Community-based supervision;

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[1]Parole is not included among the community-based supervision alternatives because it is not a sentencing disposition. The cost and resource implications of correctional standards relating to parole are analyzed in Cost Analysis of Correctional Standards: Institutional-Based Programs and Parole, by Neil M. Singer and Virginia B. Wright (Washington, D.C : American Bar Association, Correctional Economics Center, 1976).

[2]Corrections, p. 569.

(2) Community-based residential programs;

(3) Institutionalization.

Of the three, community-based supervision, in economic terminology, is the least costly to the offender in terms of income and leisure opportunities foregone. For the same reason, community-based supervision is also the alternative which poses the greatest risk or opportunity cost to society in terms of probability and severity of additional crimes committed by offenders during the course of a sentence. However, community-based supervision is the least costly of the three in terms of average annual criminal justice system expenditures per convicted offender.[1]

The analysis of these three types of costs, especially the third, comprises the major portion of this report. Prior to the actual cost analysis, however, each of the types of community-based supervision is discussed in turn. As probation is by far the most widely utilized of the three, as well as the most developed, it will be the subject of greater emphasis.

PROBATION

"Probation"is a word which has several meanings within the criminal justice system: sentencing disposition, corrections subsystem, status, and process.[2] It is now a sentencing disposition itself, rather than a suspension of sentence with conditions and community supervision. The American Bar Association defines this use of the term "probation" as, "a sentence not involving confinement which imposes conditions and retains authority in the sentencing court to modify the conditions of sentence or to re-sentence the offender if he violates the conditions."[3] The term, also, may refer to the legal status of an individual which "has implications different from the status of either free citizen or confined offender."[4] As an organizational entity, probation includes a set of functions relating to preparing reports for the court, community supervision and services for offenders. This report generally will use "probation" to designate a component of the criminal justice system.

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[1]Definitions and discussion of these three and other types of costs associated with community-based supervision are contained in Appendix A-1.

[2]These distinctions in the meaning of the word "probation" are the same as those employed in the Corrections Report, p. 312.

[3]American Bar Association, Standards Relating to Probation, (New York: Institute of Judicial Administration, 1970), p.9. This definition excludes combined jail/probation sentences (shock probation).

[4]Corrections, p. 312.

Probation as a sentencing disposition provided for and regulated by state law has existed since 1878. In that year, Massachusetts passed a law,

> ...providing for the appointment of a paid probation officer for the courts of criminal jurisdiction in the city of Boston. The statute directed that 'such persons as may reasonably be expected to be reformed without punishment' should be selected for probation. The statute prescribed the duties of the probation officer as including court attendance, the investigation of the cases of persons charged with or convicted of crimes or misdemeanors, the making of recommendations to the courts with regard to the advisability of using probation, the submission of periodical reports to the chief of police, visiting probationers, and the rendering of such assistance and encouragement (to probationers) as will tend to prevent their again offending.[1]

The statute further gave the probation officer:

> ...the power to rearrest a probationer without further warrant but with the approval of the chief of police; in such a case the court might proceed to sentence or make such other disposition as may be allowed by law.[2]

By 1900, five other states had enacted probation legislation in addition to Massachusetts; three dealt with adult probation and two related only to children.

It was not until the 20th century, however, that probation as a disposition and separate organizational unit was fully developed. Between 1907, when the first probation directory was published, and 1937, the number of probation officers increased from 795 to over 3,800 and their duties changed significantly. Volunteers, welfare workers and part-time personnel were employed as probation officers principally by juvenile courts during the earlier period. Full-time employment characterized 80 percent of the officers in 1937 and only 2 percent performed other than probation functions by 1947.[3]

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[1]United Nations, Department of Social Affairs, "The Origin of Probation in the United States," Robert M. Carter and Leslie T. Wilkins, Probation and Parole: Selected Readings. pp.12-13.

[2]Ibid., p.13

[3]Information contained in this paragraph is borrowed from Corrections, p. 312. For a more detailed history of probation, see United Nations, Department of Social Affairs, Probation and Related Measures, (New York, N.Y.: United Nations, 1951).

Probation, therefore, existed in the early 20th century in much the same structural form as it does today. The number of offenders on probation, however, has increased steadily over that time and continues to do so.

In Task Force Report: Corrections published in 1967, the President's Commission on Law Enforcement and Administration of Justice stated that in 1965, 53 percent of offenders under sentence were on probation. The Commission also projected that by 1975 the percentage would rise to 58 percent; and that in absolute terms, the numbers of offenders on probation would increase from 648,088 to 1,071,000.[1] The General Accounting Office in a report entitled State and County Probation: Systems and Crisis, determined that in 1974, 77 percent of convicted felons sentenced to either probation or prison in the four counties sampled in the report (Maricopa County, Arizona; Multnomah County, Oregon; Philadelphia County, Pennsylvania; and King County, Washington) were placed on probation.[2] Lastly, for the state of California, in 1966, 52.4 percent of Superior Court dispositions received either probation, or "shock" probation (combined jail/probation) sentences; by 1973, the percentage had increased to 70.1 percent. In absolute numbers, in 1966 there were 33,677 active Superior Court probation cases; in 1973 there were 72,539.[3]

In addition to the large increases in numbers of offenders on probation, the number of presentence investigations completed by probation officers increased significantly as well. For five California counties (Alameda, Santa Clara, Sacramento, Contra Costs and San Mateo), percentage increases in the number of presentence investigations completed in 1974 as compared to 1970 ranged from 25 percent to 122 percent.[4]

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[1]The President's Commission on Law Enforcement and Administration of Justice, Task Force Report: Corrections (Washington, D. C.: Government Printing Office, 1967) pp. 27-37. These figures include felons and misdemeanants, adults and juveniles.

[2]United States General Accounting Office, State and County Probation: Systems in Crisis: (Washington, D. C.: Government Printing Office, 1976).

[3]California Department of Justice, Division of Law Enforcement, Bureau of Criminal Statistics, California Comprehensive Data Systems, Criminal Justice Profile: Statewide (May 1975).

[4]Alameda County Probation Department, Annual Report 1974.
Contra Costa County Probation Department, Annual Report 1974.
Santa Clara County Probation Department, Annual Report 1974.
Sacramento County Probation Department, Annual Report 1974.
San Mateo County Probation Department, Annual Report 1974.

Other counties across the country experienced similar increases in presentence investigations and number of probation cases supervised.[1]

State and county expenditures on probation, however, have not kept pace with increases in active probation cases and presentence investigation. In California, for example, total probation expenditures, even with probation subsidy included increased only 92 percent with inflation accounting for 35 percent of that increase.[2] Over the period 1968 to 1973 most state and county governments have increased probation expenditures by less.[3] The case that probation is underfunded is strengthened even more when probation expenditures are considered relative to expenditures for other corrections activities. In fiscal year 1973, all state governments expended $1,435 million on correctional activities, but only $195 million or 13.6 percent of that amount was expended for probation, parole and pardon activities. Institutions accounted for $1,139 million or 79.4 percent.[4] Furthermore, during fiscal years 1969 through 1975, the United States Law Enforcement Assistance Administration (LEAA) awarded a total of $3.5 billion to the states. Of this $3.5 billion the states allocated only $278 million, less than 8 percent, for probation activities.[5] The result has been that in virtually all counties (and states), average probation caseloads far exceed the standard of 35 determined by several authorities.[6] Average caseloads

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[1]Based on the author's interviews and contacts with the sample of probation departments listed in Appendix A-2.

[2]California Department of Justice, Criminal Justice Profile: Statewide Criminal Justice Expenditures. The index of state and local government purchases, GNP Implicit Price Deflators, Bureau of Economic Analysis, was used to compute the inflation figure.

[3]See U.S. Law Enforcement Assistance Administration and U.S. Bureau of the Census, Expenditure and Employment Data for the Criminal Justice System, Table 40. Detail of Direct Current Expenditures for Corrections Activities of State Governments. This experience is further reinforced by the author's interviews and contacts with the probation departments listed in Appendix A-2.

[4]Ibid.

[5]U.S. General Accounting Office, State and County Probation, p. 2.

[6]See for example, The President's Commission Task Force Report: Corrections and the National Advisory Commission's Corrections.

in many state and county probation departments exceed 100.[1] What has happened is that increases in both presentence investigations requested and probation supervision cases referred by the courts, coupled with less than matching increases in probation personnel and non-personnel resources, have resulted in a less than effective probation system characterised by overutilization of limited resources.

The effectiveness of probation is a sensitive, volitile issue, as is the effectiveness of any criminal justice activity, or even the criminal system as a whole. A major complication is that no uniform effectiveness criteria exists. Effectiveness, however, can be separated into two categories and examined separately: effectiveness in deterring (preventing) offenders from committing additional crimes during probation, and effectiveness in deterring offenders from committing additional crimes after completion of probation (recidivism). The first category deals with the effectiveness of the supervision/societal protective function of probation; the second with the effectiveness of probation in rehabilitating offenders and eliminating or reducing recidivism.

Several recent reports present findings relating to the first type of probation effectiveness. They contain data regarding the extent of additional crime committed by offenders while on probation. In State and County Probation: Systems in Crisis, the G.A.O. randomly sampled probationers in four county probation departments. They found that 45 percent of offenders no longer on probation had been convicted of new crimes while on probation. The G.A.O. further found that of offenders still on active probation, 37 percent had been convicted of new crimes. Of these crimes, 14 percent involved crimes against the person, 23 percent involved property crimes, and 60 percent involved alcohol and drug violations and other crimes.[2]

The findings of the General Accounting Office report are substantiated by another research effort, Characteristics and Recidivism of Adult Felony Offenders in Denver, a report completed in 1975 as a part of the Denver High Impact Anti-Crime Program. Of a sample of 203 offenders placed on probation and tracked over a four year period, 55 or 27 percent had their probation revoked as a result of arrest for new crimes.[3]

These findings indicate that, at the least, probation is not always effective in deterring offenders from committing additional crimes during the course of sentence. Whether such findings represent the current state of probation on a national level is uncertain; no national study of probation

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[1]Several publications have described this. See, in particular, Stuart Adams, "Some Findings from Correctional Caseload Research," in Carter and Wilkins Probation and Parole: Selected Readings, and Rubin L. Smith, A Quiet Revolution: Probation Subsidy (Washington, D.C.: Government Printing Office, 1971). This finding is further substantiated by the author's interviews and contacts with the probation departments listed in Appendix A-2.

[2]U.S., General Accounting Office, State and County Probation.

[3]Stephen F. Brown, John D. Carter, Glenn Cooper, Thomas A. Giancinti and Martin J. Molof, Characteristics and Recidivism of Adult Felony Offenders in Denver, 1975.

effectiveness has as yet been completed. Nevertheless, the fact that five counties in five different states were included in the three studies indicates that these findings are probably not atypical.

The Denver report, Characteristics and Recidivism of Adult Felony Offenders in Denver also contains information regarding the second type of effectiveness, effectiveness in reducing recidivism. The Denver study found that for a sample of 186 offenders who had successfully completed their probation sentence, 52 percent were subsequently arrested for new crimes during the two years following completion, and 42 percent convicted. The Denver study also tracked offenders who had completed parole or county jail sentences, and found that 51 percent of the former parolees and 46 percent of offenders who were released from jail were rearrested for new crimes during the two year followup, and 32 percent of the former parolees and 34 percent of the former jail inmates were subsequently convicted.[1] These findings indicate that probation in Denver has been neither more nor less effective than either incarceration or parole in terms of reducing recidivism.

Evidence presented thus far indicates that probation is currently both underbudgeted and less effective than desired. The question now raised is whether probation effectiveness can be increased via additional funding and restructuring of existing probation organizations.

The National Advisory Commission states in Corrections that,

> Probation is not adequately structured, financed, staffed, or equipped with necessary resources. A major shift of money and manpower to community-based corrections is necessary if probation is to be adopted nationally as the preferred disposition, as the Commission recommends. The shift will require strengthening the position of probation in the framework of government, defining goals and objectives for the probation system, and developing an organization that can meet the goals and objectives.[2]

The General Accounting Office report State and County Probation: Systems in Crisis, concludes:

> State and county probation systems are not adequately protecting the public; the majority of probationers do not successfully complete probation. Federal, State, and local government must cooperate to improve the situation. The Law Enforcement Assistance Administration can help by providing leadership, funds, and technical assistance, and our recommendations focus on actions LEAA should take to foster improvements.

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[1]Stephen F. Brown, et. al., Characteristics.

[2]Corrections, p. 311.

> But something more fundamental is needed. The priority given to probation in the criminal justice system must be reevaluated. One serious problem is the limited time that probation officers had to adequately supervise offenders assigned to them. The system is simply overburdened. . . . Since most offenders are sentenced to probation, probation systems must receive adequate resources.[1]

The National Advisory Commission further elaborates upon the need to restructure probation:

> The system must be organized to deliver certain services that properly belong to probation, to secure needed services from those social agencies already charged with responsibility for their provision to all citizens, such as schools, health services, employment, and related services; and to purchase special services needed by probationers.[2]

Chapter II presents and analyzes the organizational model for probation proposed by the National Advisory Commission and contained in probation Standards of the Corrections Report. Subsequent chapters will analyze the costs associated with implementation of the model. The remainder of this chapter deals with community service and restitution.

COMMUNITY SERVICE AND RESTITUTION

Both restitution and community service are much less widely utilized correctional alternatives than probation, or for that matter, incarceration. When utilized, restitution and community service are typically conditions included in a sentence of probation or, in some cases, in a suspended sentence; few jurisdictions have operative programs in which either restitution or community service exist as sentencing dispositions in their own right. In this report, however, both community service and restitution are analyzed as sentencing dispositions separate and distinct from probation. In the following sections each is discussed on an historical and theoretical level; in chapter IV, the functions and associated operating costs of an independent program responsible solely to the courts for administering and monitoring the performance of both restitution and community service cases are analyzed.

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[1]U.S. General Accounting Office, State and County Probation, cover and p. 74.

[2]Corrections, p. 334.

Restitution

Restitution is not a recent innovation in criminal justice; on the contrary, it has a long and varied history dating back to the major ancient civilizations.[1] Restitution was identified as a correctional alternative in the Code of Hammurabi, dating from approximately 2380 B.C., and was an important element in the subsequent Greek and Roman civilizations as well. In these ancient societies, however, the focus of restitutive justice was considerably different from current restitution programs; it was more concerned with protection of the offender from the vengeance of society than with compensating the victims, although the transfer of money or property from the offender to the victim typically took place.[2] In the seventh century, under King Ethelbert of the Anglosaxons, a restitutive code was developed which specified the amount of compensation to be made by type of crime. In cases of physical injury, amounts of compensation were specified for each part of the body, with injury payments "carefully graded to reflect substantive disabilities which affected the victim's ability to work or fight."[3] An important feature of the Anglo Saxon code was that the offender had two restitution payments to make, one to the victim or his (her) survivors; and a second payment to the king in reparation for "having broken the peace."[4] Other medieval kings adopted this two

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[1]By far the most thorough analysis of the history and merits of restitution as a sentencing/correctional alternative is Herbert Edelhertz, Donna B. Schram, Marilyn Walsh, and Patricia M. Lines, Restitutive Justice: A General Survey and Analysis (Seattle, Wa.: Battelle Human Affairs Research Center, 1975). The bulk of the discussion contained in this section is derived from this report.

[2]Dogan D. Akeman, in an unpublished paper entitled "Compensation for Victims of Crimes of Personal Violence: Ideas and Realizations" (1966), states that "restitution programs in ancient societies apparently stemmed from three major preoccupations: (1) the desire to prevent the 'socially disintegrating effects' of privately wrought restitution (for example, through vengeance toward the offender), (2) the fear by wrongdoers of vengeance and their willingness to submit to some type of communal arbitration rather than risk their property and risk their lives, and (3) the desire to strengthen the central authority." (Edelhertz, op. cit. p. 12) Edelhertz, et. al., concur, "rather than constituting a recognition of the plight of the offender or of his right to exact restitution, early societies seemed more concerned with modifying the increasingly inappropriate and dysfunctional behavior of victims who pursued private vendettas in response to wrongs perpetrated against them". (p. 13)

[3]Edelhertz, et. al,. Restitutive Justice, (p. 5)

[4]Ibid., (p. 8)

payment restitution approach, as well, but steadily increased the size of the second payment. In the following centuries, as political power became more and more concentrated in the central authorities (both royal and ecclesiastical) the shift in receivership of restitution payments from victims to political authority continued until finally the ruling authorities received all payments.[1] Restitution, or compensation, to the victim had in effect, been separated from criminal law, and placed in the realm of civil law where it has since remained for the most part.[2] During the late 19th century the merits of restitution or compensation were debated at several international conferences addressing criminal justice, but no "conscious statements on an operational restitution plan," were ever agreed upon.[3] That is still an accurate description of the current state of restitution as a correctional alternative.

Whereas in the past the terms "restitution" and "compensation" have been used interchangeably, current usage in criminal justice research tends to differentiate between the two. Restitution typically refers to the process whereby an offender pays his (her) victim an amount equal to part or all of the value of the loss sustained as a result of the crime. Compensation, on the other hand, typically refers to benefits paid to the victim by society rather than by the offender (for example, in crimes where the offender is not apprehended, or if apprehended, insolvent). This report considers restitution as a form of community-based supervision (post-conviction); victim compensation, though an extremely important issue, is beyond the scope of this analysis.

Current discussion of the potential usefulness of restitution focuses both on payments from offender to victim for losses suffered, and on offender reform and rehabilitation. The benefits of restitution are fairly self evident, although necessarily limited by the fact that most crimes go unsolved (hence the importance of victim compensation as well). The effectiveness of restitution in terms of reforming or rehabilitating offenders (eliminating criminal behavior both during and after the course of sentence) is unproven, as only a few restitution programs have existed for any length of time, and no conclusive effectiveness studies have yet surfaced. Nevertheless, there are strong arguments for restitution as a supervision alternative. Restitution necessarily involves placing the offender in a working situation in which he can both support himself and adhere to a restitution payment schedule. Secondly, restitution typically involves a meeting between offender and victim during which a restitution contract is agreed upon. Such a meeting brings the offender face to face with the implications of his (her) crime.

Each of these reasons, however, is accompanied by a qualifier. As to the first, restitutive payments can be viewed (by the offender) as a tax on legitimate employment, and therefore, as either a disincentive to work, or as an

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[1]Edelhertz, et al., Restitutive Justice.

[2]Stephen Schafer, in Compensation and Restitution to Victims of Crime, states: "As the state monopolized the institution of punishment, so the rights of the injured were slowly separated from the penal law: compensation as the obligation to pay damages separated from the criminal law and became a special field in civil law." Stephen Schafer, Compensation and Restitution to Victims of Crime (Montclair, N.J.: Patterson Smith, 1970).

[3]Edelhertz, et al., Restitutive Justice.

incentive to commit "part time" crimes to supplement earned income.[1] Regarding the second, the victim may incur substantial opportunity costs in the form of psychological discomfort when meeting the offender again, particularly in crimes against the person (robbery, assault, rape).[2]

Creative restitution programs, however, can be developed which eliminate or minimize these social opportunity costs.[3] One such model program, a combined non-residential restitution/community service program is described, costed out, and analyzed in chapter IV. The next, and final section of this chapter considers community service.

Community Service

Community service is a much more recent innovation in criminal justice; it is only in the past decade that community service programs have appeared, and even presently there are less than a dozen fully operational community service programs in the United States. In direct contrast to the American situation is the British experience. In 1970 the British Advisory Council on the Penal System recommended in a report entitled Non-Custodial and Semi-Custodial Penalties that community service can be included among the sentencing alternatives available to magistrates from criminal court. The Criminal Justice Act of 1972 subsequently empowered courts to order offenders to perform unpaid work as a service to the community. That law specified that a community service disposition could be ordered for all offenders aged 17 or over, (including those who would normally be incarcerated) provided that the offender consented. The law further stipulated that the number of hours to be worked be in the 40 to 240 range, and recommended that the order be completed within a year's time, that work arrangements, as much as possible, not conflict with the offenders' educational, or religious commitments, and that the community service be performed in the area where the offender resided. Community service programs were introduced in six areas in 1973, gradually expanded, and after two years, a research/

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[1]Especially if inability to make restitution payment carries a penalty for noncompliance that is more certain than possible apprehension and adjudication for a new offense. (Edelhertz, et. al., Restitutive Justice).

[2]Currently, restitution programs for the most part include primarily or exclusively offenders convicted of less serious property crimes (misdemeanors) or lower-level felony burglaries); offenders convicted of serious property crimes or crimes against the person are generally excluded. Hence the magnitude of this second social (victim) opportunity cost is lessened.

[3]Fewer than a half dozen restitution programs operating independently (or semi-independently) of probation departments fit into this category. The most well known restitution program in the U.S. is the Minnesota Restitution Center, a residential (halfway house) program. The Minnesota Restitution Center, however, serves primarily offenders diverted out of the state prison system rather than (direct) referrals from the courts.

evaluation effort conducted by the Home Office Research Unit concluded that the community service "scheme" constituted a viable correctional alternative.[1]

The community service programs which exist in the U.S. have been instituted strictly on the local level and only upon the initiative of a particular court, probation department, or private agency. Although the functions performed by the U.S. programs are the same as their unified British counterparts (that is, arranging community service assignments for selected offenders and monitoring their progress), the U.S. programs typically are less accepted (by the courts and the local and state governing bodies) and are characterized by tighter budgets and tighter restrictions regarding offender eligibility. Whereas the British programs include a fairly large number of offenders who would formerly have been incarcerated, the large majority of offender in the U.S. programs have been convicted of traffic violations; very few convicted felons are allowed to participate in a community service program.

The most established and widely accepted community service program in the U.S. is the Alameda County Court Referral Program. Operated by the Volunteer Bureau of Alameda County (a private agency), the Court Referral Program has grown significantly since it inception in 1966; as of January 1975, the program was handling between 300 and 400 referrals per month. Of these referrals, 16 percent had been convicted of drunk driving, 49 percent, of other traffic offenses, and the remaining 35 percent of drug, disorderly conduct, assault, theft, burglary, robbery and other charges. Seventy-five percent of the referrals were <u>not</u> on probation. Approximately half of the referrals received service assignments of 40 hours or less; a quarter, 40-80 hours; and the remaining quarter upward of 80 hours (ranging all the way to 500 hours). The completion rate for the program exceeds 80 percent.

The Alameda County Court Referral Program in particular has demonstrated that a well-organized community service program does offer a viable alternative to jail, probation, fines, or outright release for misdemeanants; its success, furthermore, coupled with that of the British program(s), indicates that community service could be successfully extended to include a wider range of offenders as well.

Community service is in several ways closely related to restitution: they are both community-based (non-residential) supervision alternatives, and they both involve payment on the part of the offender for the crime he or she has committed. The only real difference between the two is that restitution payments consist of the transfer of money (earnings) from the offender to the victim; whereas, community service "payments" are in the form of services to society.[2] One added argument for community service is that typically over

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[1]K. Pease, P. Durkin, I. Earnshaw, D. Payne, and J. Thorpe, <u>Community Service Orders</u> (London, Home Office Research Unit, 1975).

[2]Most of the offenders in community service programs have committed crimes against society rather than against a particular individual.

half of convicted offenders are unemployed at the time of sentence. Community service offers both a means of positively occupying time and, in some cases, an opportunity to gain alternative experience.[1]

Because of the similarities between the two programs, a joint non-residential community service/restitution program model has been developed as part of this research effort. This joint program interviews court referrals, makes the service assignment or restitution contract, monitors progress and reports back to the courts on offenders referred for either restitution or community service. The functions, resource requirements, and associated operating costs of this community service/restitution program are the subject of chapter IV. Chapters II and III, respectively, analyze the organization of probation resources and the costs to the criminal justice system of probation.

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[1]Community service programs, however, are not employment/educational assistance projects. Community service offers an alternative to other post conviction sentencing dispositions and to diversion programs as well.

CHAPTER II

FUNCTIONAL ORGANIZATION OF PROBATION RESOURCES

Despite its conclusions that probation is not adequately structured, financed, staffed, or equipped with necessary resources, the National Advisory Commission strongly viewed probation as the sentencing disposition and corrections subsystem which should be most widely utilized:

> The Commission considers community-based corrections as the most promising means of accomplishing the changes in offender behavior that the public expects--and in fact now demands--of corrections . . . With increased concern about crime, reduction of recidivism, and allocation of limited tax dollars, more attention should be given to probation as a system and as a sentencing disposition. Probation is viewed as the brightest hope for corrections.[1]

The National Advisory Commission therefore, formulated a set of standards dealing with the reorganization and reallocation of probation resources.

At the heart of the probation structure developed by the National Advisory Commission is a probation system which (1) assesses the risk (to society) associated with each prospective probationer and the service needs of each probationer, and (2) matches up probationers with needed services while maintaining the level of supervision associated with each probationer's assessed risk. The probation structure formulated by the National Advisory Commission deviates from the existing probation structure in several areas. The Commission recommends that probation be uniformly administered on the state level. Standard 10.1 entitled Organization of Probation, states:

> Each state with locally or judicially administered probation should take action, in implementing Standard 16.4, Unifying Correctional Programs, to place probation organizationally in the executive branch of State government. The State correctional agency should be given responsibility for:
>
> 1. Establishing statewide goals, policies, and priorities that can be translated into measurable objectives by those delivering services.
> 2. Program planning and development of innovative service strategies.
> 3. Staff development and training.

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[1]Corrections, pp. 221, 311.

4. Planning for manpower needs and recruitment.

5. Collecting statistics, monitoring services, and conducting research and evaluation.

6. Offering consultation to courts, legislative bodies, and local executives.

7. Coordinating the activities of separate systems for delivery of services to the courts and to probationers until separate staffs to perform services to the courts are established within the courts system.

During the period when probation is being placed under direct State operation, the State correctional agency should be given authority to supervise local probation and to operate regional units in rural areas where population does not justify creation or continuation of local probation. In addition to the responsibilities previously listed, the State correctional agency should be given responsibility for:

1. Establishing standards relating to personnel, services to the courts, services to probationers, and records to be maintained, including format of reports to courts, statistics, and fiscal controls.

2. Consultation to local probation agencies, including evaluation of services with recommendations for improvement; assisting local systems to develop uniform record and statistical reporting procedures conforming to State standards; and aiding in local staff development efforts.

3. Assistance in evaluating the number and types of staff needed in each jurisdiction.

4. Financial assistance through reimbursement or subsidy to those probation agencies meeting standards set forth in this chapter.[1]

The Commission supports a state-administered probation system on the grounds that it can better facilitate coordinated planning, better utilize manpower, improve services to offenders, and monitor implementation of planning strategies.

Currently, less than half of the states operate a statewide probation system; probation is still for the most part operated on the county and local (city) level. Several states, however, are currently developing strategies for consolidation of existing county systems into a state administered system.[2]

The second area in which the probation structure proposed by the Commission differs from existing probation structures is in organization of resources within a local (county or city level) department. Standard 10.2, Services to Probationers, states:

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[1]Corrections, p. 331.

[2]Fewer are developing plans as well for initiating probation programs in areas where currently no such program exists.

> Each probation system should develop by 1975 a goal-oriented service delivery system that seeks to remove or reduce barriers confronting probationers. The needs of probationers should be identified, priorities established, and resources allocated based on established goals of the probation system.
>
> 1. Services provided directly should be limited to activities defined as belonging distinctly to probation. Other needed services should be procured from other agencies that have primary responsibility for them. It is essential that funds be provided for purchase of services.
>
> 2. The staff delivering services to probationers in urban areas should be separate and distinct from the staff delivering services to the courts, although they may be part of the same agency. The staff delivering services to probationers should be located in the communities where probationers live and in service centers with access to programs of allied human
>
> 3. The probation system should be organized to deliver to probationers a range of services by a range of staff. Various modules should be used for organizing staff and probationers into workloads or task groups, not caseloads. The modules should include staff teams related to groups of probationers and differentiated programs based on offender typologies.
>
> 4. The prima . function of the probation officer should be that of community resource manager for probationers.[1]

Standard 10.2 contains the heart of the Commission's proposed probation system. The first important feature of this system is that staff and related non-staff resources providing services to the courts be separate and distinct from resources providing (or arranging for) services to probationers.

Consequently, the general structure of a probation department will be divided into three divisions: administrative personnel and associated resources; staff and associated resources providing services to the courts; and staff and associated resources providing services to probationers.

Figure 1 illustrates the three divisions and the services to be provided by each. Many probation departments do currently have separate units performing intake/presentence investigation and supervision, although the majority of probation departments continue to have probation officers

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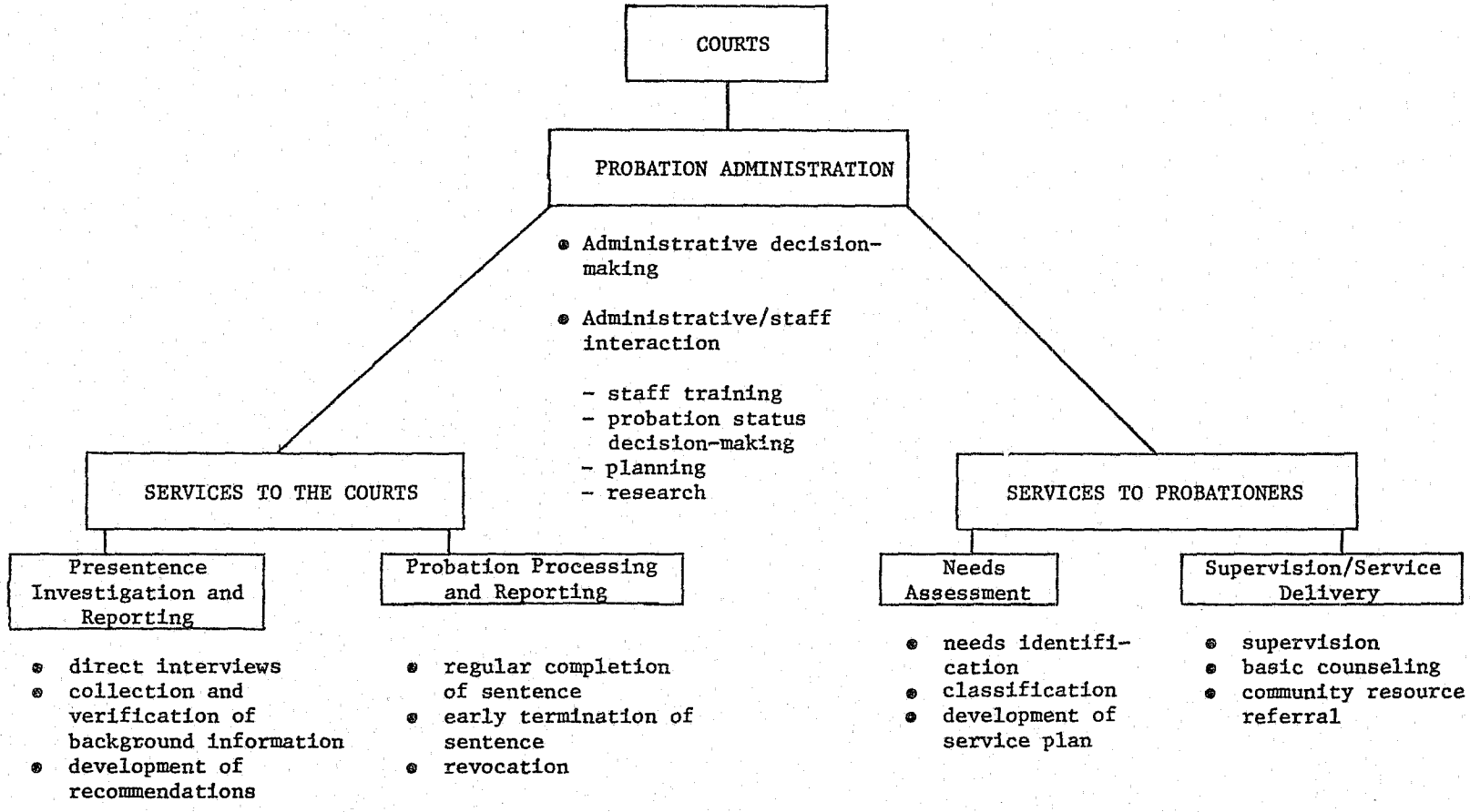
[1] Corrections, p. 333.

Figure 1

Service Structure of a County Probation System



perform both functions simultaneously. Of the probation departments studied as part of this cost analysis (and listed in Appendix A-2), two-fifths have separate investigation and supervision units and the remaining three-fifths employ the conventional dual (joint) functional approach.

When questioned regarding the reasons behind the separate unit approach, probation administrators typically cited three reasons:

(1) Economic efficiency--productivity increased.

(2) Better quality of services--some officers are better suited for direct interaction with probationers (supervision); others perform better in investigation positions.

(3) Staff morale--officers welcome the opportunity to specialize.

While a number of probation departments have incorporated a separate unit approach to service provision, only relatively few have completely implemented the Corrections Standards, particularly those relating to the supervision division. The next three sections discuss the organization of resources and services to be performed within each of the three divisions.

THE ADMINISTRATIVE DIVISION

The administrative division is responsible for determining the overall organizational structure of a department, and setting and maintaining standards relating to functions performed within each of the other two (service) divisions. Traditionally, the administrative section of a primarily urban county probation department consists of a director, an assistant director, a manager of budgets and statistical reporting, a manager of field services, and other research and support staff.

While not specifying any changes in existing administrative structures, the Commission emphasized the need for effective administration and stressed the need for periodic executive and middle-level management training:

> Training emphasis has been at a staff level, and this too can contribute to dysfunction. More emphasis has been placed on training probation officers than on equipping executives and middle-level managers with skills to administer effectively. Organizational change must begin with executives and middle management if probation officers are to have an opportunity to use increased knowledge and skills acquired through training.[1]

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[1] Corrections, p. 316.

Furthermore, the Commission emphasizes the need for communications and interaction with staff members:

> If effective organizations are to be developed, supervisors and administrators should meet and work with staff on a group basis. If the supervisors and administrators do not have the skills to do this effectively, they will revert to the pattern of one to one relationships.[1]

Management staff interaction occurs on two levels:

(1) Management participation in staff training, and

(2) Management participation in staff probation decision-making (for example, in offender classification or in seeking revocation).

Most of the probation department listed in Appendix A-2 currently incorporate management training and management/staff interaction in their programs. Many hold weekly management/staff meetings to raise functional questions, exchange experiences (past and present), and air grievances.

COURT SERVICES: PRESENTENCE

Services to the courts can be divided into two functional areas: presentence investigation and report, and probation processing and reporting. Presentence investigation consists of:

(1) Interviewing the offender and others associated with him (her) or with the crime, and collecting and verifying relevant background information; and

(2) Formulating recommendations regarding a surveillance level (in terms of protecting society by deterring the offender from committing additional crimes during the course of sentence) and a treatment plan; and

(3) Organizing the findings and recommendations into a final written or oral report. Whether the findings and recommendations are delivered orally in the courtroom is typically dependent on the preferences of the presiding judges.

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[1] Corrections, p. 317.

The Commission's Standards regarding presentence investigation and reporting services differ from current probation operations both in terms of the offender population for whom these services are performed and in terms of service structure.

Regarding the target population for presentence investigation services, Standard 16.10 entitled Presentence Reports, states:

> Each state should enact by 1975 legislation authorizing a presentence investigation in all cases and requiring it:
>
> 1. In all felonies.
> 2. In all cases where the offender is a minor.
> 3. As a prerequisite to a sentence of confinement in any case.
>
> The legislation should require disclosure of the presentence report to the defendant, his counsel, and the prosecutor.[1]

Typically presentence investigations are carried out on offenders for whom probation is the likely disposition, but the Commission recommends that presentence investigations be carried out for offenders for whom confinement is the probable disposition. A major resource implication, therefore, is the adjustment in probation staff required in order to comply with the Standard. Although more offenders currently receive probation than are incarcerated, many probation departments do not perform presentence investigations in all felony cases, and perform few, if any, presentence investigations at the municipal court or misdemeanor level. The General Accounting Office, for example, found that of the four counties in its sample, presentence reports were prepared for only 64 percent of felony cases in one county. In another, the courts typically did not request reports, even though the state law provides:

> Before sentencing any defendant to one year or longer a presentence investigation and report shall be made, unless the sentence is death or mandatory sentence to life imprisonment, or unless the court specifically orders to the contrary.[2]

The General Accounting Office further discovered that even when presentence reports were prepared in the four counties, many lacked sentence recommendations and did not sufficiently discuss the offender's risk classification and probability of successfully completing probation.[3] Of the probation departments studied in this project and listed in Appendix A-2,

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[1] Corrections, p. 576.

[2] General Accounting Office, State and County Probation, p. 19.

[3] Ibid., p. 31.

most performed presentence investigations in less than 100 percent of all felony cases.[1] One third carried out presentence investigation at the municipal court level only infrequently, and two departments never carried out presentence investigations for misdemeanor cases. If these instances are representative of probation as a whole, implementation of Standard 16.10 would entail significant resource implications in the form of additional probation staff.

Also entailing significant resource implications, however, is the Commission Standard dealing with the extent of each presentence investigation and the content of reports. Standard 5.14, Requirements for Presentence Report and Content Specification, states:

> Sentencing courts immediately should develop standards for determining when a presentence report should be required and the kind and quantity of information needed to insure more equitable and correctionally appropriate dispositions. The guidelines should reflect the following:
>
> 1. A presentence report should be presented to the court in every case where there is a potential sentencing disposition involving incarceration and in all cases involving felonies or minors.
>
> 2. Gradations of presentence reports should be developed between a full report and a short-form report for screening offenders to determine whether more information is desirable or for use when a full report is necessary.
>
> 3. A full presentence report should be prepared where the court determines it to be necessary, and without exception in every case where incarceration for more than 5 years is a possible disposition. A short-form report should be prepared for all other cases.
>
> 4. In the event that an offender is sentenced, either initially or on revocation of a less confining sentence, to either community supervision or total incarceration, the presentence report should be made a part of his official life.
>
> 5. The full presentence report should contain a complete file on the offender—his background, his prospects of reform, and details of the crime for which he had been convicted. Specifically, the full report should contain at least the following items:
>
> a. Complete descriptions of the situation surrounding the criminal activity with which the offender has been charged, including a full synopsis of the trial transcript, if any; the offender's version of the criminal act; and his explanation for the act.
>
> b. The offender's educational background.

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[1]Some states have laws requiring presentence investigations for all felonies and for certain types of misdemeanors as well. In California, for example, state law requires presentence investigation for all felonies, for all drug diversion cases and for all DWI (Driving While Intoxicated) cases involving prior DWI convictions.

c. The offender's employment background, including any military record, his present employment status, and capabilities.

d. The offender's social history, including family relationships, marital status, interests, and activities.

e. Residence history of the offender.

f. The offender's medical history and, if desirable, a psychological or psychiatric report.

g. Information about environments to which the offender might return or to which he could be sent should a sentence of nonincarceration or community supervision be imposed.

h. Information about any resources available to assist the offender, such as treatment centers, residential facilities, vocational training services, special education facilities, rehabilitative programs of various institutions, and similar programs.

i. Views of the persons preparing the report as to the offender's motivations and ambitions, and an assessment of the offender's explanations for his criminal activity.

j. A full description of defendent's criminal record, including his version of the offense, and his explanations for them.

k. A recommendation as to disposition.

6. The short-form report should contain the information required in sections 5 a, c, d, e, h, i, and k.

7. All information in the presentence report should be factual and verified to the extent possible by the preparer of the report. On examination at the sentencing hearing, the preparer of the report, if challenged on the issue of verification, should bear the burden of explaining why it was impossible to verify the challenged information. Failure to do so should result in the refusal of the court to consider the information.[1]

The Commission recommends the use of short form reports in all cases except those in which incarceration for more than five years is a probable disposition. The additional information contained in long form presentence reports was not deemed to be a contributing factor in most sentencing decisions, but require a substantial amount of staff time.

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[1] Corrections, pp. 184-185. It is important to note that in Standard 5.2 of the Report, the National Advisory Commission recommends that maximum sentence for any offender not specifically found to represent a substantial danger to others should not exceed 5 years for felonies other than murders. Hence long form presentence reports are to be completed only in those particular felony cases.

A number of studies completed over the past decade support this position.[1]

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[1]The San Francisco Project was one such study. Most of the following description of the project results is excerpted from the Corrections Report, pp. 324,325.

The United States Probation Office, Northern District of California, and the School of Criminology, University of California at Berkeley, sought and identified the key factors involved in formulation of presentence recommendations. The Project staff selected cases previously referred for presentence reports. The contents of the reports were analyzed and classified under 24 subject headings commonly used by the probation staff. The information for each heading was reproduced on a file card. The cards were then arranged with the captions visible so that all 24 titles could be shown at the same time to the probation staff. By selecting a caption and turning the card, the probation staff could read the information on that particular subject. They were allowed to select any cards they wished for making disposition recommendation on that particular case, and in any order.

The results upset some of the assumptions. Some probation officers used only one card in making recommendations. The most cards used by any probation officer was 14. The average number of cards used to make a recommendation for disposition was 4.7. Significantly, only one card--the offense--was used in every case.

The study indicated that probation officers were using fewer pieces of information in recommending disposition than was previously assumed. The offense and prior record were two key factors. Attitude, employment history, and marital history were factors of moderate importance.

The Project concluded that other data traditionally collected and presented in written reports actually is not used by staff to develop recommendations for disposition.

In 1970, doctoral research by Yona Cohn ("The Presentence Investigation in Court: A Correlation Between the Probation Officers Reporting and the Court Decision") surveyed 66 judges of courts with midemeanant jurisdiction and 65 judges of courts with felony jurisdiction in New York City. They responded to a questionnaire asking them to list information they deemed (1) essential, (2) desirable but not essential, and (3) of little or no value for presentence reports. Sixteen different items, under captions generally used by probation staff and judges, were given on the questionnaire. Only 10 items were listed by 55 percent or more of the judges with felony jurisdiction, while the judges in the other courts selected only eight items. The topics rated highest were: offense, drug use or involvement, employment history, prior record, and mitigating circumstances. The result was a recommendation that presentence reports should focus on those limited number of items deemed essential by the judges. (For additional examples, see Corrections, Chapter 10).

Similar conclusions on the juvenile level are contained in: Seymour A. Gross, "The Pre-Hearing Juvenile Report: Probation Officers' Conception," Journal of Research in Crime and Delinquency, 4 (1967), pp. 212-217, and Yona Cohn, "Criteria for the Probation Officer's Recommendations to the Juvenile Court Judge," Crime and Delinquency, 9 (1963), pp. 262-275.

Implementation of Standard 5.14, in contrast to implementation of Standard 16.10, would result in a reduction in resources currently utilized in collecting information producing long form reports. Short form reports currently are seldom used in felony cases and in less than one third of misdemeanor cases.[1] If this evidence is representative of probation as a whole, there would appear to be substantial resource savings which could be realized by implementation of Standard 5.14.[2] Whether the savings in resources are more than enough to offset the additional resources required for implementation of Standard 16.10 is uncertain. The resource implications of each of the two Standards, as well as the net resource implications of the two combined will be discussed in the next chapter, both on a departmental and a national level.

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[1]This is based on the volume of presentence reports completed by probation departments in Appendix A-2. The state of New York is one exception on the misdemeanor level. In order to reduce backlogs in the misdemeanor courts, in 1971, the state passed a statute stipulating that:

> In lieu of the procedure set forth in subdivision one, two and three, where conviction is of a misdemeanor the scope of the presentence investigation may be abbreviated and a short form report may be made. The use of abbreviated investigations and short form reports, the matters to be covered therein, and the form of the reports shall be in accordance with the general rules and regulating methods and procedures in the administration of probation as adopted from time to time by the State director of probation pursuant to the provision of article twelve of the executive law. No such rule, however, shall be constructed so as to relieve the agency conducting the investigation of the duty of investigating and reporting upon any matter relevant to the question of sentence that the court directs to be included in particular cases.

Since 1971, the majority of presentence reports completed in misdemeanor cases in New York State have been short form.

[2]Furthermore, there could be even greater resource savings, if paraprofessionals, clerical employees, or volunteers were utilized in the collection and verification of background information. The resource implications of utilizing paraprofessionals and volunteers in this and other probation functions will be analyzed in the next chapter.

The Corrections Report contains one additional Standard dealing with presentence reports--preadjudication reports. Standard 5.15, entitled Preparation of Presentence Report Prior to Adjudication, states:

> Sentencing courts immediately should develop guidelines as to the preparation of presentence reports prior to adjudication, in order to prevent possible prejudice to the defendant's case and to avoid undue incarceration prior to sentencing. The guidelines should reflect the following:
>
> 1. No presentence report should be prepared until the defendant has been adjudicated guilty of the charged offense unless:
>
> a. The defendant, on advice of counsel, has consented to allow the investigation to proceed before adjudication; and
>
> b. The defendant presently is incarcerated pending trial; and
>
> c. Adequate precautions are taken to assure that nothing disclosed by the presentence investigation comes to the attention of the prosecution, the court, or the jury prior to adjudication.
>
> 2. Upon a showing that the report has been available to the judge prior to adjudication of guilt, there should be a presumption of prejudice, which the State may rebut at the sentencing hearing.[1]

Since preadjudication reports are now prepared only infrequently, the resource implications of this Standard are relatively inconsequential and not analyzed further.

COURT SERVICES: PROCESSING AND REPORTING

Probation processing and reporting functions include: organizing records of probationers who successfully complete their sentence; organizing records and recommending early termination of sentence for probationers demonstrating successful behavior patterns; investigating and developing recommendations for revocation cases; and reporting results to the courts when required or requested by one of the judges.

Processing and reporting functions are standard functions within probation and the Corrections Report does not recommend specific changes in the functions traditionally performed (other than the previously discussed separation of resources).

Processing of regular completion of sentence cases is a standard paperwork function. Processing of early termination cases requires some investigation to substantiate recommendation, but is also primarily a routine paperwork function. Processing of revocation cases, however, involves a substantial investigation effort similar to that of a long form presentence investigation.

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[1]Corrections, p. 186.

Regular completion of sentenced cases are typically not reported to the courts except at the request of particular judges. Early termination and revocation cases, however, typically involve court reporting; revocation cases often require the presence of a probation officer during the courtroom hearing.

Presentence reports, offenders supervision and court reporting have traditionally been performed by the same probation officers, but there is a trend toward creating a separate unit responsible solely for court reporting.[1] Two reasons are given for this specialized approach. Courts, in recent years, have increased the number of requests for direct testimony at the time of sentencing regarding information presented in the presentence report.[2] There, also, has been an increase in the number of revocation hearings (due more to an increased number of offenders placed on probation rather than to a greater percentage of revocations). The second reason is simply one of efficiency. Faced with more requests for direct testimony, probation departments have found that the time of probation officers can be better utilized by having a specialized unit. Probation administrators of departments with specialized units also cite the two reasons discussed previously with regard to specialized investigation and supervision units: a higher quality of service and staff morale. All three judges contacted during the course of this study favored the separate reporting unit approach, citing greater dependability on a probation officer being present and a more professional level of testimony as the two primary reasons.

There may be several problems with this specialized court reporting approach, however. Because of the steady contact between judges and the reporting unit, officers may begin to incorporate a certain bias in their testimony based on the performances and habits of the judges. For example, reporting officers may adopt a positive approach (in terms of presentence recommendations) before typically lenient judges and a more negative approach before consistently conservative judges. One solution to this problem is to rotate employees between the reporting unit and the investigation and supervision units.

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[1]This trend is especially evident in the west coast area.

[2]One probation department in California reports that the number of such requests has increased from several hundred to almost 1,500 over the past two years.

[3]It is in a narrower definition of this requirement that the major obstacle to a separate court reporting unit approach lies; required testimony of the supervising officer in revocation cases. Some jurisdictions require the testimony of the supervising officer in all revocation cases; other require testimony from the supervising officer only in those cases involving technical violations. A separate court reporting unit is certainly viable in jurisdiction such as the latter, as technical violations are for the most part infrequent; but in jurisdictions such as the former, the requirement of testimony in all revocation cases would seriously limit any gains to be realized in the separate reporting unit approach.

Rotation between the court reporting unit and investigation or supervising units, rather than both, can lead to a second problem. Probation officers within investigation units tend to be fairly strict in their recommendations regarding revocation because of their relative isolation from contact with probationers; whereas probation officers from the supervision units are inclined to be more lenient as a result of close contact with probationers. Including officers from both units appears to be the best means of overcoming this second problem. A consistent rotating schedule between the reporting unit and the investigation and supervision units appears to provide the best solution to both problems. Cost and resource implications of the specialized and traditional approaches will be discussed in the next chapter.

SERVICES TO PROBATIONERS

Two types of functions are performed within the division providing services to probationers: needs assessment and supervision/service delivery. Needs assessment services consist of (1) identification of the needs of the probationer (such as physical disorders and educational/vocational deficiencies); (2) developing a service plan, including services in the community to which the probationer can be referred; and (3) classification of the offender with regard to risk and the identified needs of the probationer. Supervision/service delivery consists of supervising probationers, providing basic counseling and any other available in-house services, and referring clients to services provided in the community.

The Needs Assessment Function

The Commission recommends a team approach to needs assessment, stating that " . . . no one person possesses all the skills needed to deal with the variety of complicated human problems presented by probationers."[1] The rationale behind a team approach to needs assessment is that it offers utilization of a variety of background and insights in order to more accurately and justly identify the needs of, develop a service plan for, and classify each probationer. The Commission does not specify either the size or the composition of needs assessment teams. Teams may consists of probation officers or other staff members with specialization in certain areas such as clinical psychology, or may include members with relevant experience from outside the probation department. As in the case of a specialized reporting unit within the services to the courts division, needs assessment team positions may be permanent, or members may be appointed on a rotating basis (from within the services to probationers division, or

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[1] Corrections, p. 318.

possibly from within the services to the courts division as well). In the cost analysis presented in the next chapter, costs are based on a needs assessment team comprised of three members, all of whom are probation officers. Cost implications including paraprofessionals or volunteers in the needs assessment function however, are analyzed as well.

The first service component of the needs assessment function, identification of probationers' needs, utilizes both the information collected in the presentence investigation and the information supplied (including the needs as perceived) by the probationer himself during the course of the interview. The Commission stresses in particular, the importance of including the probationer in the identification process:

> An inventory of needs should be developed by involving probationers rather than relying solely on probation staff to identify what it believes probationers needs to be.[1]

Once the probationers' needs have been identified, the assessment team performs the second service component: development of a service plan based on the identified needs. The Commission states:

> From an assessment of needs, problem areas can be highlighted and priorities determined. This process makes it possible to specify how the various needs identified are to be met; whether directly through the probation system or through other social institutions.[2]

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[1] Corrections, p. 321. The Commission further elaborates on the importance of involving the offender directly:

> Almost without exception, classification systems exclude the offender himself from their operations. He is an object, subject or ward; seldom is he given the opportunity to participate in assessing the problems he presents to himself and others. His conception of the classification process imposed on him greatly affects results of programs offered to him. Whether or not correctional agencies see themselves as offering meaningful opportunities for offenders, the latter often view such opportunities as further actions of a vengeful society.
> Corrections, p. 200.

[2] Ibid., p. 325.

The service plan developed, therefore, includes both counseling services to be provided by probation staff, and services to be provided by resources located outside the probation department.[1]

The third service component of the needs assessment is classification of the offender on the basis of both risk or probability of committing additional crimes determined in the presentence investigation and the needs identified. Probationers are classified on the basis of time required to monitor them, to provide services to them directly, and to refer them to community-based services.[2]

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[1]The Commission further elaborates on the development of a service plan which matches internal, in-house services to some needs of the probationer, and external services to others:

> Generally the kinds of services to be provided to probationers directly through the probation system should:
> - Relate to the reasons the offender was brought into the probation system.
> - Help him adjust to his status as a probationer.
> - Provide information and facilitate referrals to needed community resources.
> - Help create conditions permitting readjustment and intergration into the community as an independent individual through full utilization of all available resources.
>
> Other needs of probationers related to employment, training, housing, health, etc. are the responsibility of other social institutions and should be provided by them. Therefore, most services needed by probationers should be located outside the system itself.
> Corrections, p. 321.

[2]The Commission also approaches the classification function from an overall corrections system viewpoint. Two Standards are concerned with offender classifications; the first, Standard 6.1, entitled Comprehensive Classification Systems, states:

> Each correctional agency, whether community-based or institutional, should immediately reexamine its classification system and reorganize it along the following prinicples:
>
> 1. Recognizing that corrections is now characterized by a lack of knowledge and deficient resources, and that classification systems therefore are more useful for assessing risk and facilitating the efficient management of offenders than for diagnosis of causation and prescriptions for remedial treatment, classification should be designed to operate on a practical level and for realistic purposes, guided by the principle that:
>
> a. No offender should receive more surveillance or "help" than he requires; and
>
> b. No offender should be kept in a more secure condition or status than his potential risk indicates.

Probationers are assigned to one of four classifications:

- minimum risk/service needs
- medium risk/low service needs
- medium risk/high service needs
- maximum risk/service needs

Classification determines the actual amount of probation officer time spent supervising and delivering (or arranging for delivery of) services to each probationer, and hence the average cost of supervision/service delivery. Unit time (workload) values assigned to each classification are discussed in a later section of this chapter dealing with organization of probation services on a workload basis. The cost and resource implications are the subject of the next chapter.

The essentially negative outlook toward existing corrections resources devoted to classification expressed in the Standard primarily reflects the Commission's disenchantment with the typical "medical treatment model" approach to classification. The Commission further states (in a chapter devoted to classification from a systems viewpoint), that:

> Adoption of the treatment model has had major implications for correctional operations. As it gained prominence, the stated purpose of classification moved from segregation of various categories of offenders from each other to that of implementing different rehabilitative strategies . . . In its zeal to "help" those in charge, corrections made the assumption that all offenders are "sick" and that all can thus benefit from casework services . . . The result has been a treatment system in which virtually all offenders are forced to accept "help" (or at least subjected to classification for treatment as if they were going to get help) and in which the goals of that help are set by correctional staff.
>
> Originally hailed as a major revolution in the field, adoption of the treatment model in corrections has undoubtedly had positive impact in moving the system from one in which virtually no individualization occurred to one in which some attempt is made to account for individual differences. However, corrections has failed so miserably to improve its use and understanding of such tools as classification and advanced social work theory that their mode of application today is increasingly being recognized as counterproductive.
>
> Corrections, p. 199

This disenchantment with the medical model contributes to the emphasis the Commission places on involving the offender in the needs assessment function and on classification based on both adjudged risk and identified service needs.

Currently, few departments utilize a team approach in performing the needs assessment function and most of these do so under special grants from the Law Enforcement Assistance Administration.[1] Most probation departments, in fact, do not perform the needs assessment function beyond the initial interview which takes place during the presentence investigation or beyond obtaining information during subsequent probationer visits with the probation officer. Service plans, if they exist at all, tend to be unwritten. The General Accounting Office, in its report State and County Probation: Systems in Crisis, states that, in the course of studying 900 closed probation cases in a three county sample, it discovered that a written rehabilitative plan specifying individual needs and recommended services had been prepared in only 38 percent of the cases.[2]

Regarding the classification service component, most probation departments assign incoming probationers to minimum, medium, or maximum (intensive) categories based either on the severity of crime or length of sentence, or on recommendations regarding probability of committing additional crimes made in the presentence report. Some probation departments initially assign all incoming probationers to medium classification and then, after a certain length of time either keep them there or move them to minimum or maximum, based on their performance over that time. Typically whether a probationer is classified as minimum, medium, or maximum affects only the frequency of required appointments with the probation officer; probationers in the minimum category may be required to meet with their officer anywhere from once a month to once a year; medium, from once every two weeks to every

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[1]Of the probation departments listed in Appendix A-2, team approaches to needs assessment were employed in LEAA funded projects in Santa Clara (California), Multnomah (Oregon), and King (Washington) counties.

[2]The General Accounting Office states:

> Corrections experts generally agree that an effective rehabilitative program should be based on a plan for each individual which denotes the needs the person has to have fulfilled to become a useful member of society. Interim evaluations are also necessary to assess the plan's effectiveness and to change when necessary.
>
> Most probationers (in the sample), however, did not have a formal, written rehabilitative plan that identified their needs because such plans were not required by probation departments. Probation officers stated that an offenders' plan is usually a composite of court conditions, probation officer analyzed conditions, and probationer requested services.

General Accounting Office, State and County Probation, p. 30.

three weeks; and maximum, from once a week to once a month.[1]

The Supervision/Service Delivery Function

The second function performed within the services to probationers division is supervision/service delivery. Sub-functions include counseling, matching the probationer with needed services (both internal and external), and monitoring performance.

The Commission recommends that the kinds of services to be provided to probationers directly should:

- Relate to the reasons the offender was brought into the system.
- Help him adjust to his status as a probationer.
- Provide information and facilitate referrals to needed community resources, and on a more general level;
- Help create conditions permitting readjustment and reintegration into the community as an independent individual through full utilization of all available resources.

The Commission particularly emphasizes the referral role of the probation officer. Standard 10.2, Services to Probationers, states, " . . . The priority function of the probation officer should be that of community resource manager for probationers."[2] The Commission elaborates in depth on the role of the probation officer as community resource manager:

> The responsibility for being the sole treatment agent that has traditionally been assigned to the probation officer no longer meets the needs of the criminal justice system, the probation system, or the offender. While some

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[1]Some probation departments in the short run even require incoming probationers, or probationers suspected of violating conditions, to appear on a daily basis. These frequencies are based on the practices of the probation departments studied during the cost analysis and listed in Appendix A-2. Frequencies vary from department to department based on the ratio of felons/misdemeanants on probation, level of congestion, and administrative policy.

[2]Corrections, p. 333.

> probation officers still will have to carry out counseling duties, most probation officers can meet the goals of the probation services system more effectively in the role of community resource manager. This means that the probation officer will have primary responsibility for meshing a probationer's identified needs with a range of available services and for supervising the delivery of those services.
>
> To carry out his responsibilities as a community resource manager, the probation officer must perform several functions. In helping a probationer obtain needed services, the probation officer will have to assess the situation, know available resources, contact the appropriate resources, assist the probationer to obtain the services, and follow up on the use. When a probationer encounters difficulty in obtaining a service he needs, the probation officer will have to explore the reasons for the difficulty and take appropriate steps to see that the service is delivered. The probation officer also will have to monitor and evaluate the services to which the probationer is referred.
>
> The probation officer will have a key role in the delivery of services to probationers. The change in responsibility will enable him to have greater impact on probationers. As community resource manager, he will utilize a range of resources rather than be the sole provider of services--his role until now and one impossible to fulfill.[1]

A number of probation departments have incorporated the community resource management approach to varying degrees. Many departments refer probationers with alcohol and other drug problems to outside agencies for treatment; a lesser number refer probationers to educational and vocational training resources. Several probation departments assign a proportion of incoming probationers to the caseload of a designated community resource manager. Such assigning may be random, or on the basis of risk (thereby excluding probationers classified as maximum or even medium), or on the basis of needs. Some departments have adopted an even more specialized approach by developing positions in which the probation officer is responsible for initiating and maintaining contacts with the public and private resources in the community and passing that information on to the other probation officers.[2]

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[1] Corrections, p. 322-323.

[2] One LEAA funded project, The Community Resource Management Team Training Project, under the direction of the Western Institute Commission For Higher Education (WICHE), is attempting to train teams composed of probation administrators and staff in linking up with community resources. Teams from selected probation departments (in the West) are brought in for training sessions, then members of the project staff visit the probation departments in order to provide follow up support. No results have as yet been reported by the project. Projected reports include a cost-effectiveness study of the project's impact.

Although a number of departments have incorporated the community resource management approach, the fact remains that most probationers do not receive needed services. The General Accounting Office, in their study of state and county probation, determined that of the 38 percent of probationers for whom written rehabilitative (services) plans had been prepared, only 23 percent completed the recommended service programs specified in the plan.[1]

STAFF TRAINING

The level of staff training is an important determinant of the quality of services provided both to the courts and to probationers. Training must be comprehensive and continuous in order to ensure that probation staff develop and maintain the skills necessary to deliver services.

The Corrections Report placed substantial emphasis on staff training; Standard 14.11, Staff Development, states:

> Correctional agencies immediately should plan and implement a staff development program that prepares and sustains all staff members.
>
> 1. Qualified trainers should develop and direct the program.
>
> 2. Training should be the responsibility of management and should provide staff with skills and knowledge to fulfill organizational goals and objectives.
>
> 3. To the fullest extent possible, training should include all members of the organization, including the clients.

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[1]Regarding the low percentages, the General Accounting Office states:

> Probation officials attributed the low participation (rate) to a lack of motivation on the part of the probationer, and excessive caseloads of probation officers. Although services are not always completed or service programs even attended, probation officers did make referrals to service agencies. For example, probationers had been referred to service agencies for treatment of at least 34 percent of their identified needs.

General Accounting Office, State and County Probation, p. 35. The low completion rate relative to the number of referrals serves to emphasize the importance of the monitoring function on the part of the probation officer (community resource manager).

4. Training should be conducted at the organization site and also in community settings reflecting the context of crime and community resources.

All new staff members should have at least 40 hours of orientation training during their first week on the job and at least 60 hours additional training during their first year. All staff members, after their first year, should have at least 40 hours of additional training a year to keep them abreast of the changing nature of their work and introduce them to current issues affecting corrections.

5. Financial support for staff development should continue from the Law Enforcement Assistance Administration, but State and local correctional agencies must assume support as rapidly as possible.

6. Trainers should cooperate with their counterparts in the private sector and draw resources from higher education.

7. Sabbatical leaves should be granted for correctional personnel to teach or attend courses in colleges and universities.[1]

Staff training takes two forms: training within the department, by administrators, supervisors, or probation officers; and outside training. In-house training typically takes the form of an initial (40 hour) intensive training program conducted principally by supervisors and probation officers, and periodic recurrent training based on interaction between administrators, supervisors, and officers; or conducted by personnel from other probation or corrections activities, or consultants.

Outside training may take the form of special training programs, seminars, or conferences. Costs of both types of training are estimated and analyzed in chapter III.

PROBATION SERVICES FOR MISDEMEANANTS

The Commission emphasizes that probation services be available to misdemeanants as well as felons. In Standard 10.3, entitled Misdemeanant Probation, the Commission states:

Each State should develop additional probation manpower and resources to assure that the courts may use probation for persons convicted of misdemeanors in all cases for which

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[1] Corrections, pp. 494-495.

> this disposition may be appropriate. All standards of this report that apply to probation are intended to cover both misdemeanant and felony probation. Other than the possible length of probation terms, there should be no distinction between misdemeanant and felony probation as to organization, manpower, or services.[1]

The Commission states the rationale for adopting this position as follows:

> The group that comprises the largest portion of the offender population and for which the least service is available are misdemeanants. Misdemeanants usually are given short jail sentences, fines, or suspended sentences. Even in jurisdictions with means to provide services to misdemeanants, probation is used in a relatively small percentage of cases. The rationale usually given is that misdemeanants are not dangerous to the community. But they are a major factor in the national crime problem: they tend to be repeaters; they tend to present serious behavior problems; as a group, they account for a large expenditure of public funds for arrest, trial, and confinement with little or no benefit to the community or the offender. The offense has been the determining factor rather than the offender.[2]

Providing probation services to misdemeanants on a widespread level obviously has profound cost and resource implications. The next chapter deals with both the resource and the criminal justice system cost implications of this Standard.

ORGANIZATION OF PROBATION RESOURCES

In Standard 10.2, the Commission recommends that probation system resources be organized on the basis of workloads or task groups rather than by caseloads.

The workload approach to resource organization consists in assigning unit time values to different types of functions performed. For example, in this cost analysis, the unit time employed in deriving sample budgets for a probation department operating in accordance with the Corrections Standards are as follows:[3]

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[1] Corrections, p. 335.

[2] Ibid., p. 323.

[3] These workload estimates are primarily based on the estimates associated with the probation departments contained in the sample listed in Appendix A-2, and both the derivation and application are discussed in depth in the next chapter and in Appendices 4 and 5.

Services to the Courts

Short form presentence investigations	4.5 hours
Long form presentence investigations	7.5 hours
Processing function:	
regular completion	.25 hours
early termination	.40 hours
revocation	6.50 hours

Services to Probationers

Needs assessment	1.5 hours/3-member team /probationer (4.5 total hours)
Supervision/service delivery (including community resource management):	
minimum	.75 hours/month
medium low (service needs)	1.50 hours/month
medium high (service needs)	2.00 hours/month
maximum	3.00 hours/month

These workload values are described in greater depth in Appendix A-4; the short and long form presentence investigation values are broken down by components (direct interview, background data collection, verification, report dictation, and so forth). Workload values for the needs assessment and supervision/service delivery function are direct time estimates; that is, they do not include time devoted to associated administrative responsibilities. Those responsibilities are accounted for elsewhere. Therefore, the half hour per month difference between the medium risk-low service need and the medium risk-high service need classifications represent time devoted solely to the community resource referral function.

Under a workload system, all presentence investigation requests and incoming probation cases are assigned to probation officers on the basis of matching up the officer's available time (for that month) with the workload values of the incoming assignments. For example, assume that a probation officer has 136 available hours per month once vacation, sick time, training, administrative paperwork, and other requirements have been subtracted out.[1] A probation officer within the services to the courts division therefore, can be expected to produce during the course of the month 30 short form reports, or 18 long form reports, or some combination of the two totalling 136 hours. A probation officer in the services to probationers division can be expected to complete 91 needs assessments, or service 181 probationers

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[1]This is the number of net working hours per month once vacation, sick and personal leave, training, and administrative and personal time allowances have been subtracted out. A complete breakdown is contained in Appendix A-4.

in the minimum classification, 91 in the medium-low service classification, 68, in the medium-high classification, 45 in the maximum classification, or some combination of the five functions totalling 136 hours.

Organization of probation resources according to a workload system offers a number of possibilities for specialization. Probation officers within the services to probationers division, for example, can specialize in needs assessment, or can specialize in providing services to probationers within one specific classification, or even a specific type of probationer within a classification. For example, individual officers may specialize in providing services to probationers with drug problems, or minimum classification probationers with specialized employment needs. Or probation officers can be responsible for a mixed caseload. The workload system, therefore, offers flexibility while at the same time enabling probationers' supervision/service delivery requirements to be satisfied.

Decentralization and Staff Scheduling

The Commission recommends increased flexibility in service provision by decentralizing operations and scheduling evening and weekend shifts.

> Probation services should be readily accessible to probationers. Therefore they should be based in that part of the community where offenders reside and near other public services. Staff serving probationers should be removed from courthouses and separated from staff providing services to the courts . . . Service centers should be located in the more populated areas . . . In such areas, where transportation is a problem, it is important that probation and other community services be in the same physical location.[1]

Regarding flexible working hours, the Commission states:

> Services to offenders should be provided in the evening hours and on weekends without the usual rigid adherence to the recognized work week. The problems of offenders cannot be met by conventional office hours. Arrangements should be made to have a night telephone answering service available to probationers.[2]

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[1] Corrections, p. 322.

[2] Ibid., p. 322.

Decentralized location imposes additional costs if large scale operations are inherently less expensive than smaller scale operations. More flexible houses impose additional costs if staff members must be paid a premium to work during those times and/or if more non-personnel resources (for example, utilities) are expended during those times than during normal working hours. These resource and cost implications, and the implications of the complete probation system proposed by the Commission and presented in this chapter, are the subject of chapters III and V.

CHAPTER III

CRIMINAL JUSTICE SYSTEM EXPENDITURES FOR PROBATION

This chapter analyzes the costs of adult probation incurred by the criminal justice system at the county level. Costs of providing and/or delivering services to the courts and to probationers are analyzed for both existing probation departments and for probation departments operating in compliance with the Corrections Standards.

Total and average operating costs in the form of sample and model budgets are derived and analyzed for (1) a "typical" existing department in a large urban county (population 750,000, including a metropolitan area of 500,000), (2) a probation department for the same size county operating in compliance with the Corrections Standards, (3) a smaller, primarily rural county (population 300,000, including a metropolitan area of 100,000) probation department also operating in compliance with the Corrections Standards, and (4) a primarily urban probation department operating in compliance with the Standards, and utilizing paraprofessionals and volunteers.

The following other criminal justice system costs for probation are also analyzed in this chapter: police costs of surveilling and apprehending probationers who commit additional crimes while on probation, court costs of prosecuting those probationers, court costs of revocation hearings, and costs of other criminal justice activities to which probationers are referred.

OPERATING COSTS OF EXISTING PROBATION DEPARTMENTS

Existing probation can be divided into two separate categories based on quantity and quality of services provided: regular probation and special probation. Regular probation consists of providing traditional services to the courts and to probationers according to departmental policy and departmental budget constraints. For example, the quantity and quality of total services provided to the courts and to probationers depends upon the relative emphasis placed (by administrators, supervisors, and probation officers) on individual services (including administrative), by departmental regulations, and by the size of total staff and other resources available—the larger the staff, the smaller the caseloads, and the greater the amount of time spent performing each presentence investigation or supervising and counseling each probationer.

Special probation, however, consists of providing services to the courts or to a selected target group of probationers, according to policy set forth at the federal or state level, and generally funded at a significantly higher level than regular probation. There are two principal types of special probation in operation at this time: state-subsidized probation programs (at the county level), and IMPACT probation programs (federally funded).

The largest and oldest operational state probation subsidy program is in California. Initiated in 1965, the program subsidizes county probation departments at levels based on differences between current committment rates (to state institutions) and the base committment rate.[1] As a result, special subsidy units exist within each California county probation department, typically staffed by more experienced, more highly trained probation officers with much smaller caseloads than regular units. Funds received by the counties (up to $4,000 per offender not committed) are subject to certain restrictions, the most important of which are:

(1) subsidy funds must be expended in providing services to a select group of probationers;

(2) caseloads must not exceed 50.

Initially, the first restriction limited the group to offenders eligible for committment who were instead sentenced to probation; in 1969, the law was amended, permitting a greater latitude in selection of probationers constituting the subsidy "target" group.

Psychological and psychiatric services are often available for use by probation officer (on a contract basis). More services are provided to probationers within subsidy units than within regular probation units. The net result is that average supervision/service delivery costs are much higher within subsidy units than within non-subsidy, regular units.[2]

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[1]One of the major problems with a state probation subsidy program is devising an equitable funding formula. California's original formula favored those counties which had high committment rates for the base year, and similarly penalizes counties which already had a low committment rate when the program began. Since inception, the subsidy formula has been adjusted in an attempt to correct this deficiency.

[2]One study of the California state probation subsidy program (State of California Department of Finance, A Management Review of the State's Probation Subsidy Program, 1971) found that annual per capita costs for subsidy probationers among the counties participating in the program ranged from $274 to $1,740, with the variable most affecting average costs being caseload size.

IMPACT, on the other hand, is a federal (LEAA) program which has designated one city in each federal region, and which provides federal funds to cities with the single restriction that they be used in reducing the number of "target" crimes: burglary, robbery, assault, rape and murder.[1]

The Portland, Oregon IMPACT program includes a substantial corrections program as part of its effort to reduce crime. Seven special projects comprise the IMPACT corrections component: (1) a Diagnostic Center, the purpose of which is to conduct intensive presentence investigations; (2) a Field Services Project, which provides intensive supervision/service delivery to probationers convicted of one or more of the target crimes; (3) a Client Resources and Services Project to provide monetary support[2] and service brokerage functions to clients (including probationers in the Field Services Project); (4) an Institutional Services Project which provides specialized academic instruction, vocational counseling, and training, and recreational services to the target group of incarcerated offenders convicted of target crimes in the criminal courts of Multnomah County; (5) a Transitional Services Project which provides similar services to just-released or just-paroled offenders convicted of target crimes in Multnomah County; (6) a Training and Information Project, the purpose of which is to provide general and specialized training to staff and volunteers involved in the other IMPACT projects; and (7) a Tracking Project which is responsible for collection, storage, analysis, and reporting of data on clients, caseloads, units, and programs within the other IMPACT projects. The net result is that the IMPACT program is a highly service-intensive program. Presentence investigations conducted within the Diagnostic Center may involve as much as 40 probation officer hours per investigation. Caseloads within the Field Services project average 41 per two-person team consisting of one probation officer and one paraprofessional (as compared to regular caseloads of about 84 per probation officer). Probationers within the Field Services Unit receive financial support and/or referral to other services provided by the Client Resources and Services Project.

Several studies of the effectiveness of subsidy probation as compared to regular probation were undertaken in California. Results indicate that subsidy probation was typically more effective in deterring probationers from committing additional crimes while on probation, but that subsidy probation was no more effective than regular probation in reducing recidivism. (One study determined that subsidy probation had been, in fact, less effective over the time period studied, but attributed that finding to the fact that probationers within subsidy units tend to be those who exhibit more established criminal behavior patterns.

[1]The official name of the LEAA program is the High Impact Anti-Crime Program. The eight cities receiving federal funds under the program are: Atlanta, Baltimore, Cleveland, Dallas, Denver, Newark, Portland, and St. Louis.

[2]This monetary support includes covering rent, utilities, transportation, and medical, educational, vocational training, and in some cases, leisure-related services.

Consequently, IMPACT probation is more service-intensive and more costly than regular probation.[1]

Costs of regular probation are significantly lower than the two types of special probation just discussed. Significant variation in average costs, however, occurs among different departments. Three major sources of variation can be identified: (1) caseload size, (2) difference in services provided, and (3) interregional price differentials.

The prime source of variation is caseload size, which in reality, reflects staffing, hence budget constraints. Average supervision/service delivery costs are inversely related to caseload size. Probation departments characterized by large caseloads will have lower average costs than probation departments with low average caseloads. Similarly, the prime source of variation in average cost per regular presentence investigation among departments is the average number completed by each officer per month (or alternatively, the average amount of time required for each presentence investigation).

Differences in services provided accounts for a lesser part of the variation. Departments which provide multiple in-house services (psychological testing, evaluation, and counseling, vocational counseling and training, medical treatment and other services) will have higher average supervision/service delivery costs than departments which provide few or no in-house services other than mere supervision. Similarly, average presentence investigation costs are higher for probation departments which include psychological testing and evaluation and other in-house or contracted services as part of their presentence investigation function than for departments which do not.

The third source of variation in average regular presentence investigation and supervision/service delivery costs among existing probation departments is interregional price differentials including the price of labor (salaries and fringe benefits), facilities (rent), and other non-personnel components of operating costs. The term interregional refers not only to differences between major regions of the country (the narrowest sense) but also differences among states and counties. The price of labor, or average salary, of probation officers and supervisors is in particular, an important source of variation. The starting salary for probation officers as of August 1, 1975 is $15,481 for the District of Columbia, more than double that for the state of Vermont, $7,280.[2]

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[1]Presentence investigation costs range form $240 to upwards of $500 for the Diagnostic Center. Per capita supervision/service delivery costs for the Field Service Project (excluding support and other services provided by other IMPACT programs) is more than double that of regular probation in Multnomah County, approaching or exceeding $1,000 per year.

[2]These are beginning salary levels for the probation and parole officer identified by the U.S. Civil Service Commission in State Salary Survey, August 1, 1975 (Washington, D.C.: Government Printing Office, 1975). The position description and salary ranges for individual states are as follows:

Average facility (rent, utilities, maintenance) costs typically are less in smaller metropolitan areas than in larger urban areas. Other non-personnel costs such as communications, supplies, purchased services, and travel tend to be greater in both coastal regions than in interior regions.

Another potential source of variation which was analyzed but found to be insignificant is economies of scale. Economies of scale are present, if, in the long run, it is less costly, in terms of average costs

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Probation and Parole Officer

This is the professional beginning level in correctional work, involving juvenile or adult probationers and parolees. Incumbents in this class are responsible for making routine pre-sentence and pre-hearing investigations for the use of judicial or correctional officials in probation and parole proceedings. Work also involves supervising released offenders, preparing periodic reports on their activities, and recommending remedial action when appropriate. Work is performed under the general supervision of judicial or correctional officials. This class usually requires the equivalent of graduation from college with some specialized study in corrections, sociology, or a related field.

District of Columbia . . .	$15481-20125	Rhode Island	$9256-10972
California	14616-17784	Kansas	9204-11676
Alaska	14160-16956	Virginia	9168-12528
New York	14142-16410	South Dakota	9162-11741
Massachusetts	12373-15603	Oregon	9144-11676
New Hampshire	12016-14724	Oklahoma	9060-12240
Michigan	11714-14261	Hawaii	9048-11556
Texas	11460-14436	Idaho	8940-12048
Colorado	11424-15324	Washington	8928-11400
Pennsylvania	11121-13791	Maryland	8846-11558
Illinois	10668-14160	Maine	8824-10686
Mississippi	10500	South Carolina	8757-12085
Connecticut	10440-12852	Missouri	8724-11580
Montanta	10434-13332	Wyoming	8724-13188
Minnesota	10294-13029	Utah	8580-12540
Iowa	10166-14014	Kentucky	8520-11412
New Jersey	10115-13007	Florida	8498-11400
Nebraska	10008-13788	Arkansas	8476-12441
Indiana	9724-12662	Louisiana	8376-13068
North Dakota	9684-12960	New Mexico	8244-11604
Arizona	9648-12342	Georgia	8196-10692
Nevada	9463-12953	Virgin Islands	7966-10014
Ohio	9422-12126	Tennessee	7896-11028
Wisconsin	9408-12276	Vermont	7280-10530
Alabama	9321-11492	Puerto Rico	6178- 7620
Delaware	9320-12922		

No comparable class within scope of definition reported for the following: North Carolina, West Virginia.

State Salary Survey, August 1, 1975

to service a large number of individuals rather than fewer. No such economies of scale were found among probation departments studied (those listed in Appendix A-2).

There are, however, factor indivisibilities which do affect average costs. For example, all probation departments have an administrative division. Typically, the administrative division is larger for larger probation departments and smaller for smaller departments. Administrative costs, however, are not perfectly divisible. Virtually all probation departments have a director and assistant director, yet salaries and fringe benefits for the two positions are not directly related to department size. The salary and fringe benefits paid the director and assistant director of a small department will generally be much more than one-third the salary and fringe benefits paid the director and assistant director of a department supervising three times as many probationers. Consequently, smaller probation departments will typically have a larger average administrative cost component and hence, higher average operating costs than larger departments.

In addition, if a probation department operates one or more satellite field supervision/service delivery offices, staffing requirements as well as nonpersonnel component requirements may not be perfectly divisible. For example, if a satellite office serves 450 probationers and caseloads average 100, five officers may be stationed there rather than 4.5, as well as one supervisor rather than .75, thereby increasing average supervision/ service delivery costs for that satellite unit relative to central departmental costs. In addition, facility and other nonpersonnel requirements may not be perfectly divisible either. Consequently, factor indivisibilities do affect average costs.

SAMPLE BUDGET FOR A TYPICAL PRIMARILY URBAN COUNTY PROBATION DEPARTMENT

Total and average operating costs of a "typical" probation department in a primarily urban county were estimated and are presented here in the form of a sample budget.[1] Appendix A-3 contains a complete derivation of the individual budget items contained in the sample budget presented in figure 2. Costs are based primarily on cost information collected for the departments listed in Appendix A-2. The departments studied were selected on the basis of geographical location, size, and quantity of services provided in-house so as to comprise a representative sample for existing probation departments.

This probation department is designed to perform the number of presentence investigations requested (or required), and to supervise and service the number of probationers referred by the courts in a county of population 750,000, 500,000 of whom are located in a metropolitan area.

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[1]A sample budget is a set of cost estimates by budget line item for a particular activity (probation department) based primarily on the costs of similar existing activities. A model budget contains cost estimates by budget line item for a particular activity for which no existing similar activities exist. For an in-depth discussion of sample and model budgets, see Appendix A-8.

Output estimates were derived by measuring total functions performed by the existing county probation departments listed in Appendix A-2 against their level of compliance with the Corrections Standards, in terms of volume (total number) and distribution of presentence investigations completed, (number of long form presentence reports, as compared to short form reports), and number of felons and misdemeanants supervised. Minimum levels of compliance with the Corrections Standards were estimated as completion of presentence investigations in all felony cases, and in one-third of all misdemeanant cases (with one-forth being long form reports. and the remainder being short form); and supervision of 70 percent of all sentenced offenders not receiving fines or suspended sentences. Deviations between existing distributions and these estimated compliance levels were adjusted.[1] Based on these adjusted output distributions for the counties in the sample, output measures for a primarily urban county of population 750,000; 500,000 of whom are located in a metropolitan area, were then proportionately derived. The total set of services performed by, or output of, this probation department is, therefore estimated to consist of:

4,000 active probation cases
250 cases received per month
240 cases closed per month (regular completion of sentence, (early termination of sentence, revocation)
300-400 referrals per month for presentence investigation.

Four features of the estimates contained in this sample budget and in subsequent model budgets should be noted:

(1) The sample (model) budgets are for an ongoing operational department and as such exclude the higher start up costs which characterize the first years of a new department.

(2) For each budget item, two estimates are given, an average high and an average low. Neither represent the extreme. For example, salaries by staffing position on which personnel costs are based represent averages of either end of salary ranges for each state. Similarly, nonpersonnel costs are based on high and low average unit component costs.

(3) The sample (model) budgets include only those expenditures incurred by the probation department or charged to other criminal justice system (such as CETA personnel) agencies. Excluded from the budget (but analyzed in chapter V) are external costs (for example, the costs of education or vocational training services provided by institutions, agencies, or individuals outside the criminal justice system, to which probationers are referred), and opportunity costs (for example, the cost to society of additional crimes committed by offenders on probation).

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[1]Case disposition data for each county was derived from one or more of the following sources: (1) the sample of probation departments listed in Appendix A-2, (2) the USA-JUSSIM model for the National Criminal Justice System (1973), (3) differential FBI arrest rates for the general population and for cities over 250,000, (4) the ongoing American Justice Institute's Alternatives to Jail Incarceration Project.

Figure 2

Sample Budget for a "Typical" Probation Department Providing Basic Probation Services[a]

Item	Average High	Percent of Total Operating Costs[b]	Average Low	Percent of Total Operating Costs[b]
PERSONNEL				
Director	$ 22,331	1.5%	$ 17,888	1.6%
Assistant Director	20,451	1.4	16,267	1.4
Manager Budget/Statistical Reporting	19,976	1.4	15,072	1.3
Manager, field services	18,570	1.3	14,646	1.3
Statistician/research analyst	11,590	.8	8,681	.8
Personnel specialist	11,577	.8	8,846	.8
10 Supervisors	148,080	10.3	114,030	10.2
57 Probation officers	677,559	47.0	522,918	46.6
29 Support personnel	191,400	13.3	148,248	13.2
TOTAL SALARIES	1,121,534	77.7	866,596	77.3
Fringe benefits (15%)	168,230	11.7	129,989	11.6
TOTAL PERSONNEL COSTS	$1,289,964	(89.4)	$ 996,585	(88.9)
NONPERSONNEL				
Rent, utilities, maintenance	58,344	4.0	48,246	4.2
Communications	21,973	1.5	18,104	1.6
Supplies	21,389	1.5	15,768	1.4
Travel	15,549	1.1	13,505	1.2
Training	8,906	.6	7,592	.6
Purchased services	16,644	1.1	13,724	1.2
Other	10,512	.7	7,592	.6
TOTAL NONPERSONNEL COSTS	$ 153,317	(10.6)	$ 124,531	(11.1)
TOTAL OPERATING COSTS	$1,465,851	(100.0%)	$1,138,751	(100.0%)

Average Costs[c]

	High	Low	Mean
Probation officer working hour	$15.49	$12.03	$13.76
Supervision case (all cases)	$ 20.14/month $241.68/year	$ 15.64/month $187.68/year	$ 17.89/month $214.68/year
Presentence investigations	$ 99.14	$ 76.99	$ 88.06

[a]This probation department supervises 4,000 active cases with 250 cases received and 240 cases closed per month. This department also conducts 350-400 presentence investigations per month. This department does not operate jails, reformatories, juvenile halls, pretrial release or diversion projects, vocational training projects, or any other special projects. For a complete breakdown of the functions performed and services provided by this department, see Appendix A-3.

[b]Percentages may not add to 100 because of rounding.

[c]The methodology employed in deriving average costs is described in Apprndix A-3.

(4) Estimates presented in the sample (model) budgets are in (calendar) 1974 dollars. Therefore, anyone using these estimates as a basis for determining the costs of operating a probation department in his or her county will need to make allowances for post-1974 price increases (by using, for example, indexes constructed by the U.S. Bureau of Economic Analysis and the U.S. Department of Labor Statistics).

Specific Budget Items

Salaries, in conformance with the definition used by the U.S Office of Management and Budget, includes pay for vacation, holidays, and sick leave, as well as for services performed. High and low average salaries were obtained from U.S. Civil Service Commission, Bureau of Intergovernmental Personnel Programs, State Salary Survey, August 1, 1975, and the International Personnel Management Association's Pay Rates in the Public Service (Chicago, 1975).

Positions and attendant responsibilities are as follows:

The director of the probation department has overall responsibility for the department. His (her) functions include establishing and maintaining uniform methods and procedures in the administration of probation services; hiring, coordinating, and supervising departmental staff; and establishing and maintaining liaisons with the courts, with the county board of supervisors or county manager, with directors of other criminal justice agencies or departments, and with leaders in the community. This position typically requires the equivalent of college graduation with some specialized study in corrections, sociology, or a related field; and extensive experience in professional corrections work.

The assistant director assists the director in performing these functions and takes a more direct part in monitoring and supervising the day to day operation of the department. This position carries the same requirements as that of director, the only exception being lesser required experience.

The manager of budget/statistical reporting is responsible for planning, developing, and conducting a program of budget compilation and statistical analysis involving the gathering of data, preparation of reports, and analysis of information; and for developing standards for uniform reporting and recording data. This position usually requires the equivalent of a bachelor's degree in statistics, accounting, or social sciences, and extensive, progressively responsible experience in the budgetary process and statistical work, including some supervisory experience.

The manager of field services is responsible for coordinating and supervising the staff providing services to probationers, including determining and maintaining a level of training for staff members. The manager of field services operates as an intermediary between the director and assistant director and supervisors and probation officers. The position requires the equivalent of graduation from college with some specialized study in corrections, sociology, or a related field, and considerable experience in professional corrections work.

The statistician/research analyst is responsible for data collection and analysis, and report preparation. The position typically requires the equivalent of a bachelor's degree in statistics, accounting, or social sciences including courses in statistical theory and methods, and experience in technical statistical work.

The personnel specialist is responsible for performing or assisting in recruitment, selecting, hiring, and maintaining records of departmental staff. The position requires the equivalent of a bachelor's degree in personnel, business, or public administration, and some experience.

Probation supervisors are responsible for assigning cases to probation officers, critically reviewing presentence investigations or case reports, providing in-house training of new probation officers, and assisting in the resolution of difficult probation problems. The position usually requires the equivalent of graduation from college with some specialized study in corrections, sociology, or a related field, and considerable experience as a probation officer.

Probation officers are responsible for performing presentence investigation and supervision/service delivery functions, including attendant administrative responsibilities such as preparing periodic reports, and processing regular completions, early terminations and revocations. This position usually requires the equivalent of graduation with some specialized study in corrections, sociology, or a related field, and limited or no prior experience.

Support personnel include receptionists, clerks, secretaries, and typists.

Fringe benefits include employer contributions to retirement plans, health, accident, and life insurance policies, and unemployment and workmen's compensation programs, and represent 15 percent of total wages and salaries.

Rent, utilities, maintenance includes all costs associated with leasing and operating the facility (ies) housing the department.

Communications includes telephone and postage costs.

Supplies includes office supplies, and duplication services, including xeroxing, mimeographing, and printing.

Travel includes local staff travel, and long distance travel associated with training seminars and conferences.

Training costs include training fees, conference fees, and costs of materials associated with training.

Purchased services include retainer fees or contractual expenditures for legal, accounting, and computer services, and expenditures for psychological and other testing (such as urinalysis) and evaluation services.

Other costs include special equipment purchases, insurance, and discretionary funds available to some administrators.

Average Costs

As discussed in Appendix A-3, average costs are based on unit time estimates of 1.3 hours per supervision case per month and 6.4 hours per presentence investigation (which are in turn based on average functional responsibilities per probation officer of 71 supervision cases, and 7 presentence investigations per month), and high and low average (loaded) costs per probation officer working hour of $15.73 and $12.22 with a mean of $13.98. Average costs per presentence investigation amount to $100.67, $78.21, and $89.47 for the high average, low average, and mean estimates, respectively. Annual average supervision/service delivery costs amount to $245.31, $190.63, and $218.09, respectively. These costs include courtesy supervision (in keeping with the interstate compact) and processing of normal completion of sentence, early termination, and revocation cases. Average supervision/service delivery costs were not calculated on the basis of different supervision (minimum, medium, maximum) classifications because classification criteria vary widely among existing departments. Average supervision/service delivery costs are, however, calculated by classification group for probation departments operating in compliance with the Corrections Standards, based on the estimated distribution of probationers among the classification groups.

OPERATING COSTS OF PROBATION DEPARTMENTS OPERATING IN COMPLIANCE WITH THE CORRECTIONS STANDARDS

Total and average operating costs for probation departments operating in compliance with the Corrections Standards, have been estimated and are presented in the form of model budgets for:

(1) a large urban probation department (serving the same population and characterized by the same output as that of the "typical" existing department) by division (administrative, services to the courts, and services to probationers) and for the whole department;

(2) a smaller primarily rural department; and

(3) a large urban department utilizing paraprofessionals and volunteers.

As in the sample budget for a typical existing probation department, cost estimates contained in these model budgets are for operational departments; as such, they exclude higher start-up costs (such as new equipment) which characterize new activities. Similarly, these model budgets contain only operating costs attributable to the probation department or other criminal justice agencies; external costs are excluded and are analyzed separately in chapter V.

Model Budget for the Administrative Division of a Probation Department Operating in Compliance with the Corrections Standards

Figure 3 presents the model budget for the administrative division of a probation department operating in compliance with the Corrections Standards. Administrative positions are identical to those discussed in the narrative accompanying the sample budget for a typical existing probation department. Personnel costs account for 91 percent of total operating costs for the administrative division. Appendix A-5, entitled Derivation of a Model Budget and Average Costs for a Probation Department Operating in Compliance with the Corrections Standards (Located in a Large Urban County) details the methodology employed (and accompanying calculations) in deriving nonpersonnel costs by component.[1]

Model Budget for the Services to the Courts Division of a Probation Department Operating in Compliance with the Corrections Standards

Figure 4 presents a model budget for the services to the courts division of a large urban county probation department operating in compliance with the Corrections Standards. This division is designed to perform the functions requested or required by the courts in a large urban county with the same population and characteristics as that described in the analysis of costs of a typical existing probation department. Specifically, these functions consist of performing (as described in chapter II) 400 presentence investigations per month, 100 of which are long form and the remainder, short form, and processing and reporting 240 cases closed each month; 154 regular completion of sentences (64%), 70 early terminations of sentences (30%), and 16 revocations (6%).

Staffing of the services to the courts division was done on a workload basis, as recommended by the Corrections Standards, utilizing the values derived on the basis of an analysis of the Standards and of existing procedures, and presented at the end of chapter II. Appendix A-4 details the methodology employed and the calculations made in deriving the staffing pattern for the services to the courts division.

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[1]Nonpersonnel costs were allocated to each division, including administrative, on the basis of ratio of divisional personnel to total departmental for rent, utilities, and maintenance; and on the basis of the ratio of divisional non-support personnel to total departmental non-support personnel for other components (as detailed in Appendix A-5). The administrative division will not be located apart from the other two divisions, but is designed to be located with at least the central portions of the services to the courts and services to probationers divisions. If the administrative division were to be located apart from the other two divisions budgeted nonpersonnel costs would have to be reallocated among the three divisions. Nonpersonnel costs in the services to the courts and services to probationers divisions account for approximately 18 percent of total operating costs, as compared to nine percent for the administrative division. (The difference is due to the greater number of personnel in each of the other two divisions.)

Figure 3

Model Budget for the Administrative Division of a Primarily Urban County Probation Department Operating in Compliance with the Corrections Standards[a]

Item	Average High	Percent of Total Operating Costs[b]	Average Low	Percent of Total Operating Costs[b]
PERSONNEL				
Director	$ 22,331	16.7%	$ 17,886	17.2%
Assistant Director	20,451	15.3	16,267	15.6
Manager, Budget/ Statistical Reporting	19,976	14.9	15,072	14.5
Statistician/research analyst	11,590	8.7	8,681	8.3
Personnel specialist	11,577	8.7	8,846	8.5
3 Support personnel	19,800	14.8	15,336	14.7
TOTAL SALARIES	105,725	79.1	82,088	78.7
Fringe benefits (15%)	15,859	11.9	12,313	11.8
TOTAL PERSONNEL COSTS	$121,584	(91.0)	$ 94,401	(90.5)
NONPERSONNEL				
Rent, utilities, maintenance	4,576	3.4	3 784	3.6
Communications	1,505	1.1	1,230	1.2
Supplies	1,465	1.1	1,080	1.0
Travel	1,490	1.1	1,295	1.2
Training	855	.6	730	.7
Purchased services	1,480	1.1	1,225	1.2
Other	720	.5	520	.5
TOTAL NONPERSONNEL COSTS	12,091	9.0	9,874	9.5
TOTAL OPERATING COSTS	$133,675	(100.0%)	$104,265	(100.0%)

[a]This probation department services 4,000 active probation cases with 250 new cases received and 240 cases closed per month, and completes 400 presentence investigations per month.

[b]Percentages may not add to 100 because of rounding.

Figure 4

Model Budget for the Services to the Courts Division of a Primarily Urban County Probation Department Operating in Compliance with the Corrections Standards[a]

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
Director	$ 18,570	3.9%	$ 14,646	3.9%
3 Supervisors	44,424	9.3	34,209	9.2
18 Probation officers	213,966	44.9	165,132	44.5
10 Support personnel	66,000	13.9	51,120	13.8
TOTAL SALARIES	324,960	72.0	265,107	71.4
Fringe benefits (15%)	51,444	10.8	39,766	10.7
TOTAL PERSONNEL COSTS	394,404	(82.8)	304,873	(82.1)
NONPERSONNEL				
Indirect (administrative)	31,622	6.6	24,665	6.6
Rent, utilities, maintenance	18,304	3.8	15,136	4.1
Communications	6,622	1.4	5,456	1.5
Supplies	6,446	1.4	4,752	1.3
Travel	6,556	1.4	5,698	1.5
Training	3,762	.8	3,212	.9
Purchased services	6,572	1.4	5,390	1.5
Other	3,168	.7	2,288	.6
TOTAL NONPERSONNEL COSTS	83,052	(17.2)	66,599	(17.9)
TOTAL OPERATING COSTS	$477,456	(100.0%)	$371,470	(100.0%)

Average Costs[b]	High	Low	Mean
Probation officer working hours	$ 16.23	$ 12.62	$ 14.42
Presentence Investigation:			
Long form	121.73	94.65	108.15
Short form	73.04	56.79	64.89
Regular completion processing	4.06	3.16	3.61
Early termination processing	6.49	5.05	5.77
Revocation processing	105.50	82.03	93.73

[a]This probation department services 4,000 active probation cases with 250 new cases received and 240 cases closed per month, and completes 400 presentence investigations per month.

[b]The complete derivation of average costs is contained in Appendix A-5.

Qualifications and responsibilities for the director position are identical to those associated with the manager of field services position described in the narrative accompanying the sample budget for a typical probation department; qualifications and responsibilities for the supervisor, probation officer, and support staff personnel positions are identical to those described in the same narrative. High and low average salaries utilized are listed in Appendix A-4.

Nonpersonnel costs were derived as described in Appendix A-5, and allocated to this division on the same basis as that described in the narrative accompanying the sample budget in the administrative division (on the basis of ratio of divisional staff to total departmental staff, or on the basis of divisional non-support staff to total departmental non-support staff); however, a portion of total adminstrative division costs have been allocated to the services to the courts division (with the remainder charged to the services to probationers division) and included as a separate component of nonpersonnel costs. Inclusion of this portion of administrative costs, allocated on the basis of ratio of non-support staff between the two divisions, ensures that all operating costs, direct and indirect, associated with the services to the courts division are included in total and average operating cost estimates.

The services to the courts division is designed to be centrally located together with the administrative division and the core of the services to probationers division. Some staff may be located in the same building housing the courts, if the central probation location is not close by.

Regarding operation of a separate court reporting unit, the workload and staffing estimates contained in Appendix A-4 justify the existence of three probation officers with the sole responsibility of reporting to the courts on the results (findings and recommendations) of presentence investigations and processing functions, particularly regarding early (successful) termination of sentence and revocation.

Personnel costs associated with the existence of such a unit would not be greater unless a fulltime supervisor were included in the unit (rather than a half-time supervisor). Certain nonpersonnel costs (rent, utilities, maintenance, and communications) could be larger or smaller depending upon relative costs associated with the building housing the courts as compared to the central probation facility. In addition, transportation costs would be higher if the courts are located at some distance from the probation department.

Average Costs of Functions Performed in the Services to the Courts Division

Figure 4 presents average cost estimates for services provided to the courts, the complete derivation of which is contained in Appendix A-5. Average operating cost per probation officer working hour for the services to the courts division amounts to a high average of $16.23, a low average of $12.62,

and a mean of $14,42. Average presentence investigation costs are $73.04, $56.79, and $64.89, for the short form report, and $121,73, $94.65, and $108.15 for the long form. These estimates compare with the presentence investigation cost estimates for the typical existing probation department of $99.14, $76.99, and $88.06, respectively. The latter estimates are higher than those for the short form report, but less than the long form report estimates. Using the mean estimates, the monthly cost of completing 100 long form and 300 short form reports, amounts to $30,282, while the monthly cost of performing 400 presentence investigations in the "traditional" manner amounts to $35,788. Employing the short form therefore, in the case of referrals described in chapter II, generates a cost savings of approximately $5,000 per month, or $60,000 annually.

Average cost estimates for the regular competion and early termination processing functions are relatively low; little time is involved. The average costs of revocation processing, however, are substantial, amounting to $105.50, $82.01, and $93.73 for the high, low and mean averages respectively.

Model Budget for the Services to Probationers Division of a Probation Department Operating in Compliance with the Corrections Standards

Figure 5 presents the model budget for the services to probationers division of a primarily urban county probation department operating in compliance with the Corrections Standards. This division is designed to perform the following functions according to the procedures described in chapter II:

- conduct 250 needs assessments of incoming probationers per month, and
- supervise and deliver services (including referrals to community resources) to 4,000 active probation cases classified as follows:

- minimum risk and service needs	1,000 (25%)
- medium risk and low service needs	1,200 (30%)
- medium risk and high service needs	1,000 (25%)
- maximum risk and service needs	800 (20%)

Staffing of the services to probationers division was done on a workload basis, as recommended by the Corrections Standards, using the values derived on the basis of an analysis of the Standards and of existing procedures, presented in chapter II. Appendix A-4 details the methodology employed and the calculations made in deriving the staffing pattern for this division. Average salaries employed in the calculation of personnel costs are listed in Appendix A-4 as well.

Nonpersonnel costs were derived and allocated in the same manner as described in the narrative accompanying the model budget for the services to the courts division.

Figure 5

Model Budget for the Services to Probationers Division of a Primarily Urban County Probation Department Operating in Compliance with the Corrections Standards[a]

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total operating Costs
PERSONNEL				
Director	$ 18,570	1.2%	$ 14,646	1.2%
10 Supervisors	148,080	9.9	114,030	9.8
60 Probation officers	713,220	47.9	550,440	47.5
28 Support personnel	184,800	12.4	143,136	12.4
TOTAL SALARIES	1,064,670	71.5	819,625	70.9
Fringe benefits (15%)	159,701	10.7	122,944	10.6
TOTAL PERSONNEL COSTS	1,224,371	(82.2)	945,196	(81.6)
NONPERSONNEL				
Indirect (administrative)	102,053	6.8	79,600	6.9
Rent, utilities, maintenance	56,628	3.8	46,827	4.1
Communications	21,371	1.4	17,608	1.5
Supplies	20,803	1.4	15,336	1.3
Travel	21,158	1.4	18,389	1.6
Training	12,141	.8	10,366	.9
Purchased services	21,016	1.4	17,395	1.5
Other	10,224	.7	7,384	.6
TOTAL NONPERSONNEL COSTS	265,394	17.8	212,905	18.4
TOTAL OPERATING COSTS	$1,489,765	(100.0%)	$1,158,101	(100.0%)

Average Costs[b]	High	Low	Mean
Probation officer working hours	$15.19	$11.81	$13.50
Needs assessment	68.36	53.15	60.75
Supervision/Service delivery			
Minimum	11.40/month (136.80/year)	8.86/month (106.32/year)	10.13/month (121.56/year)
Medium — Low (service needs)	27.79/month (272.48/year)	17.72/month (212.64/year)	10.25/month (243.00/year)
Medium — High (service needs)	30.38/month (364.56/year)	23.62/month (283.44/year)	27.00/month (324.00/year)
Maximum	45.57/month (546.84/year)	35.43/month (423.16/year)	40.50/month (486.00/year)

[a]This probation department services 4,000 active probation cases with 250 new cases received and 240 cases closed per month, and completes 400 presentence investigations per month.

[b]The complete derivation of average costs is contained in Appendix A-5.

The major portion of the services to probationers division is designed to be centrally located in the metropolitan area together with the administrative and services to the courts divisions, but two satellite offices serve probationers in outlying areas.

Assuming even divisibility of staff among satellite offices (as discussed in the earlier section dealing with sources of variation among costs of existing probation departments), the added costs of operating satellite offices are nonpersonnel. Rent, utilities, maintenance costs may or may not be higher. Any greater office space needs will be offset in whole or in part by lower rental costs in the outlying areas (also discussed in the earlier section on sources of variation). Transportation and communication costs, however, will be higher, the size of the differential directly related to the level of interaction between the satellite offices and the central office.

Similarly, flexible working hours (evenings and weekends) will not impose additional personnel costs as long as probation officers are willing to work these hours or if particular officers are hired specifically to work these hours at regular prevailing salaries for probation officer positions. Union agreements, however, may specify higher salaries for irregular working hours with the result that additional personnel costs are incurred by offering services during evenings and weekends, as recommended in the Corrections Standards.

Average Costs of Functions Performed Within the Services to Probationers Division

Appendix A-5 presents the methodology employed in deriving average costs. Average costs per probation officer working hour, $15.19, $11.81, and $13.50 for the high, low and mean averages, respectively, are lower than those for the services to the courts division, due to the greater number of officers in this division.

The needs assessment function, performed by a team comprised of three officers with different areas of specialized education and experience, costs, on the average, $60.75.

Annual supervision/service delivery costs on the average (mean) amount to $121.56 for the minimum risk/service needs classification, $243.00 for the medium risk/low service need classification, $324.00 for the medium risk/high service need classification, and $486.00 for the maximum risk/service need classification. These average cost estimates compare with the average supervision/service delivery cost (for all classifications combined) for the typical existing probation department, of $214.68.

Complete Model Budget for a Probation Department Operating in Compliance With the Corrections Standards

Figure 6 presents the complete model budget for a probation department operating in compliance with the Corrections Standards. Total departmental personnel costs are derived by summing total personnel for each of the three divisions. Total nonpersonnel costs are similarly derived by summing component costs by division (indirect administrative costs are excluded so as not to double count). Total operating costs for this department exceed those of the typical existing probation department by a high average of $524,140 (36 percent), and a low average of $408,455 (36 percent).

MODEL BUDGET FOR A PROBATION DEPARTMENT OPERATING IN COMPLIANCE WITH THE CORRECTIONS STANDARDS LOCATED IN A SMALLER, PRIMARILY RURAL COUNTY

Operating costs were estimated for a smaller, primarily rural county (population 300,000, 100,000 of whom are in a metropolitan area) probation department in addition to a large, primarily urban one. Based on arrest rates and a typical sentencing disposition pattern for a population of that size, the department is designed to service 1,500 active cases classified as follows:

minimum	375
medium - low	450
medium - high	375
maximum	300.

94 cases received per month
90 cases closed per month:

- 54 regular completion of sentence
- 30 early termination of sentence
- 6 revocations.

150 referrals for presentence investigation:

- 38 long form
- 112 short form.

Figure 7 presents the complete model budget for this probation department.

Model budgets for each of the three divisions and the methodology employed in deriving those model budgets are presented in Appendix A-6.

Positions for the department are identical to those of larger urban probation departments operating in compliance with the Corrections Standards, with the exception that administrative positions have been reduced in all three divisions.

Figure 6

Model Budget for a Primarily Urban County Probation Department Operating in Compliance with the Corrections Standards[a]

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
Administrative division	$ 121,584	6.2%	$ 94,401	6.2%
Services to the Courts division	394,404	20.0	304,873	20.0
Services to Probationers division	1,224,371	62.2	945,196	61.7
TOTAL PERSONNEL COSTS	$1,740,359	(88.5)	$1,344,470	(87.9)
NONPERSONNEL				
Rent, utilities, maintenance	79,508	4.0	65,747	4.3
Communications	29,498	1.5	24,294	1.6
Supplies	28,714	1.5	21,168	1.4
Travel	29,204	1.5	25,382	1.7
Training	16,758	.9	14,308	.9
Purchased services	29,068	1.5	24,010	1.6
Other	14,112	.7	10,192	.7
TOTAL NONPERSONNEL COSTS	226,862	(11.5)	185,101	(12.1)
TOTAL OPERATING COSTS	$1,967,221	(100.0%)	$1,529,571	(100.0%)

[a]This probation department services 4,000 active probation cases with 250 new cases received and 240 cases closed per month, and completes 400 presentence investigations per month.

[b]Nonpersonnel line items for the department do not exactly equal the sum of line items from the individual sectors because of rounding in the allocation process.

Figure 7

Model Budget for a Primarily Rural County Probation Department Operating in Compliance with the Corrections Standards[a]

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
ADMINISTRATIVE DIVISION				
Director	22,331		17,886	
Assistant Director	20,451		16,267	
Budget analyst/ statistician	14,173		10,882	
Personnel specialist	11,577		8,846	
3 Support personnel	19,800		15,336	
TOTAL SALARIES	88,332		69,217	
Fringe benefits (15%)	13,250		10,383	
TOTAL ADMINISTRATIVE DIVISION	$101,582	12.3%	79,600	12.4%
SERVICES TO THE COURTS DIVISION				
2 Supervisors	29,616		22,806	
7 Probation officers	83,209		64,218	
4 Support personnel	26,400		20,448	
TOTAL SALARIES	139,225		107,472	
Fringe benefits (15%)	20,884		16,121	
TOTAL SERVICES TO THE COURTS DIVISION	$160,109	19.4	$123,593	19.2
SERVICES TO PROBATIONERS DIVISION				
4 Supervisors	59,232		45,612	
23 Probation officers	273,401		211,002	
11 Support personnel	72,600		56,232	
TOTAL SALARIES	405,233		312,846	
Fringe benefits	60,785		46,927	
TOTAL SERVICES TO PROBATIONERS DIVISION	$466,018	56.5	$359,773	60.0
TOTAL PERSONNEL COSTS	$727,709	(88.2)	$562,966	(87.6)
NONPERSONNEL				
Rent, utilities, maintenance	33,176	4.0	27,434	4.3
Communications	14,207	1.8	11,705	1.9
Supplies	11,720	1.4	8,640	1.3
Travel	14,065	1.7	12,225	1.9
Training	6,840	.8	5,840	.9
Purchased services	11,840	1.4	9,800	1.5
Other	5,760	.7	4,160	.6
TOTAL NONPERSONNEL COSTS	$ 97,608	(11.8)	$ 79,804	(12.4)
TOTAL OPERATING COSTS	$825,317	(100.0%)	$643,770	(100.0%)

[a]This probation department services 1,500 active probation cases with 94 new cases received and 90 closed per month and, in addition, performs 150 presentence investigations per month. For a complete breakdown and description of functions performed and total output, see Appendix A-6.

(cont'd)

Figure 7 (cont'd)

AVERAGE COSTS	High	Low	Mean
SERVICES TO THE COURTS			
Probation officer working hours	$ 18.36	$ 14.30	$ 16.33
Long form presentence investigation	137.70	107.25	122.48
Short form presentence investigation	82.62	64.35	73.49
Regular completion processing	4.59	3.58	4.08
Early termination processing	7.34	5.72	6.53
Revocation processing	119.34	92.95	106.15
SERVICES TO PROBATIONERS			
Probation officer working hours	$ 16.37	$ 12.75	$ 14.56
Needs assessment	73.67	57.38	65.52
Supervision/service delivery			
Minimum	12.28/month (147.36/year)	9.56/month (114.72/year)	10.92/month (131.04/year)
Medium — Low (service needs)	24.56/month (294.72/year)	19.13/month (229.56/year)	21.84/month (262.08/year)
Medium — High (service needs)	32.74/month (392.88/year)	25.50/month (306.00/year)	29.12/month (349.44/year)
Maximum	49.11/month (589.32/year)	38.25/month (459.00/year)	43.68/month (524.16/year)

Nonpersonnel costs have been derived employing the same methodology as that for the larger urban probation department, with the exception that travel and communications components of nonpersonnel costs are 20 percent higher (per non-support staff member) as a greater proportion of staff will work out of satellite offices. This probation department is centrally located in the metropolitan area of the county but operates two satellite offices in outlying rural areas.

Average Costs for a Small, Primarily Rural Probation Department Operating in Compliance With the Corrections Standards

Average costs for all services performed are higher for this small, primarily rural department as compared to the larger, urban department operating in compliance with the Corrections Standards. The major reason is the larger relative (though smaller absolute) administrative components of total personnel costs and total operating costs. Whereas administrative personnel costs accounted for only 6.2 percent of total operating costs for the larger, primarily urban department, administrative personnel costs account for 12.3 percent of total operating costs of this small, primarily rural department. Administrative costs are not perfectly divisible with level of output (services performed). Mean average operating cost per probation hour is $16.33 for the services to the courts division and $14.56 for the services to probationers division as compared to $14.42 for the services to the courts division of the larger, primarily urban department, and $13.50 for the services to probationers division.

Short form, long form, and revocation mean average costs are $73.49, $122.48, and $106.15, respectively, for this department, as compared to $64.89, $108.15, and $93.73 for the larger urban department. Mean average supervision/service delivery costs follow the same pattern, with the cost for maximum risk/service need classification exceeding $500 per year ($524.16).

MODEL BUDGET FOR A PRIMARILY URBAN COUNTY PROBATION DEPARTMENT OPERATING IN COMPLIANCE WITH THE CORRECTIONS STANDARDS AND UTILIZING PARAPROFESSIONALS AND VOLUNTEERS

Operating costs were also estimated for a primarily urban county probation department operating in compliance with the Corrections Standards identical to that of figures 3-6, but utilizing paraprofessionals and volunteers.[1]

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[1]The National Advisory Commission recommends extensive use of volunteers in probation:

> Correctional administrators must define roles in which volunteers can serve. They must recruit, train, and properly supervise volunteers across the entire range of programs, from intake to discharge, from highly skilled roles to simpler relationships, from group social events to intensive casework, including library work, teaching, legal service, and cultural activities. The range seems endless. (Corrections, p. 230.)

Specifically, paraprofessionals perform the background data collection and verification components of the presentence investigation function and occupy one of the three needs assessment team positions. (See Appendix A-4 for a breakdown of both functions.) Volunteers are utilized in supervising and delivering services to probationers in the minimum risk/service need classification.

Paraprofessional perform services which were previously the responsibility of a probation officer. Paraprofessionals (in this model department) are paid the prevailing salary among probation departments which currently employ paraprofessionals, approximately 70 percent of that paid probation officers. Volunteers perform the minimum supervision/service delivery function previously performed by three probation officers. As volunteers incur no significant travel or other costs in performing that function, no wages or stipends are paid. The department covers training costs; a volunteer training cost component is included in the model budget for this probation department which is presented in figure 8. Model budgets for each of the individual divisions, and the staffing and other calculations involved in deriving these model budgets are contained in Appendix A-7.

Total operating costs savings realized by utilization of paraprofessionals and volunteers amounts to a high average of $107,446 (5.8 percent) and a low average of $81,897 (5.7 percent). Furthermore, the positions in which paraprofessionals and volunteers are utilized in this model probation department are certainly not the only ones in which their lower cost services can be utilized. Other functions, for example, include the case processing functions (regular completion, early termination, and a portion of the revocation processing function) and the medium-low supervision/service delivery function. Potential cost savings, however, can be offset by union opposition to the use of paraprofessionals and volunteers. Such opposition has been demonstrated in New York and California, where unions including probation staff are steadily growing in number and power.

APPLYING THE COST ESTIMATES

As stated in the Preface of this report, direct criminal justice estimates presented in this report are intended to serve as cost benchmarks and guides to administrators, planners, and analysts in estimating and

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A fairly substantial literature exists on the utilization of paraprofessional and volunteers in probation and so I will not further elaborate on either the history or the range of functions in which paraprofessional and volunteers have been employed. See: Irvin H. Scheier and Leroy P. Goter, Using Volunteers in Court Settings, A Manual for Volunteer Probation Programs (Washington, D.C.: Government Printing Office, u.d.); Charles R. Horejsi, "Training for the Direct Service Volunteer in Probation," Federal Probation, September 1973; Donald W. Reless, William S. Pilcher and Ellen J. Ryan, "Use of Indigenous Nonprofessionals in Probation and Parole," Federal Probation, June 1972; and U.S., Department of Justice, Law Enforcement Assistance Administration, "The Volunteer Probation Counselor Program: An Exemplary Project" (Washington, D.C.: Government Printing Office, 1975).

Figure 8

Model Budget for a Primarily Urban County Probation Department Operating in Compliance with the Corrections Standards and Utilizing Paraprofessionals and Volunteers[a]

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
TOTAL ADMINISTRATIVE DIVISION	$ 121,584	6.5%	94,401	6.5%
Services to the Courts Division				
Director	18,570		14,646	
3 Supervisors	44,424		34,209	
15 Probation officers	178,305		137,610	
3 Paraprofessionals	24,963		19,265	
10 Support personnel	66,000		51,120	
TOTAL SALARIES	332,262		256,850	
Fringe benefits (15%)	49,839		38,528	
TOTAL SERVICES TO THE COURTS	382,101	(20.5)	295,378	(20.4)
Services to Probationers Division				
Director	18,570		14,646	
9 Supervisors	133,272		102,627	
1 Volunteer coordinator	14,808		11,403	
51 Probation officers	606,237		467,874	
3 Paraprofessionals	24,963		19,265	
28 Support personnel	184,800		143,136	
TOTAL SALARIES	982,650		758,951	
Fringe benefits (15%)	147,398		113,843	
TOTAL SERVICES TO PROBATIONERS	1,130,048	(60.8)	872,794	(60.3)
TOTAL PERSONNEL COSTS	$1,633,733	(87.9)	$1,262,573	(87.2)
NONPERSONNEL				
Rent, utilities, maintenance	79,508		65,745	
Communications	29,498		24,294	
Supplies	28,714		21,168	
Travel	28,142		24,501	
Training (staff)	16,193		13,781	
Volunteer training	1,665		1,439	
Purchased services	29,068		24,000	
Other	14,112		10,200	
TOTAL NONPERSONNEL COSTS	$ 225,862	(12.1)	$ 185,100	(12.8)
TOTAL OPERATING COSTS	$1,859,595	(100.0%)	$1,447,674	(100.0%)
TOTAL OPERATING COST SAVINGS AS A RESULT OF UTILIZING PARAPROFESSIONALS AND VOLUNTEERS	$ 107,626	(5.8%)	$ 81,897	(5.7%)

[a]This probation department is identical in output to that described in the text and characterized (in terms of cost) by the model budgets in figures 3-6. The probation departments differ only in combination of inputs (personnel) employed. This department employs paraprofessionals and volunteers in performing selected functions performed by probation officers in the other.

analyzing the costs of a probation department in their own state, county, or locality. Therefore, mean average costs for functions performed by the first three types of probation departments for which operating costs have been estimated and analyzed are combined in figure 9. Average cost for the first probation year is calculated by adding the cost of needs assessment service to the cost figure for whichever supervision/service delivery classification a probationer is in. For example, the average cost for the first year of a probationer in the maximum supervision/service need classification amounts to $547.75 for the primarily urban county and $589.68 for the smaller, primarily rural county. These figures can be compared to the average annual cost of a non-residential pretrial diversion program ($3,900) of a halfway house ($6,649) or a state institution ($9,215) operating in compliance with the Corrections Standards.[1]

Even at the most expensive level, average operating costs of probation departments operating in compliance with the Corrections Standards, are less than 20 percent of the cost of pretrial diversion, and less than 10 percent of the cost of either a halfway house or a state institution operating in compliance with the Corrections Standards.

The estimates contained in the sample and model budgets and in figure 9 are all operating cost estimates. Operating costs are of the most immediate importance to administrators, planners, and analysts, but they represent only a part of the total costs associated with probation. Consideration of operating costs alone underestimates the total cost of probation and any other criminal justice activity. Operating costs must be combined with estimates of other relevant costs in order to assess total economic costs of probation.

OTHER CRIMINAL JUSTICE SYSTEM COSTS

The remainder of this chapter deals with four other types of criminal justice system costs associated with probation: police costs of surveillance and apprehension of probationers who commit crimes while on probation, court costs of prosecuting probationers charged with committing additional crimes, court costs of revocation hearings, and costs of other criminal justice system activities to which probationers are referred.

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[1]The pretrial diversion program cost estimate is derived from Ann M. Watkins, Cost Analysis of Correctional Standards: Pretrial Diversion (Washington, D.C.: American Bar Association, Correctional Economics Center, 1975). The halfway house cost estimate is derived from Donld J. Thalheimer, Cost Analysis of Correctional Standards: Halfway Houses (Washington, D.C.: American Bar Association, Correctional Economics Center, 1975), and the state institution cost estimate is derived from Neil M. Singer and Virginia B. Wright, Cost Analysis of Correctional Standards: Institutional-Based Programs and Parole (Washington, D.C.: American Bar Association, Correctional Economics Center, 1976).

Figure 9

Average Criminal Justice System Costs for a "Typical" Probation Department and Three Model Probation Departments Operating in Compliance with the Corrections Standards, Serving a Primarily Urban County with Regular Staffing, a Primarily Urban County Utilizing Paraprofessionals and Volunteers, and a Smaller, Primarily Rural County

Type of Average Cost	"Typical" Urban County	Models		
		Urban County		Rural County
		Regular Staffing	Paraprofessionals and Volunteers	
Services to the Courts				
• Presentence Investigation per Report	$ 89.47	-----	-----	-----
• Presentence Investigation Long Form, in Compliance	-----	$ 108.15	$ 101.97	$122.48
• Presentence Investigation Short Form, in Compliance	-----	$ 64.89	$ 61.42	$ 73.49
Revocation Processing	-----	$ 93.73	-----	$106.15
Services to Probationers				
• Needs Assessment (One-Time Service)	-----	$ 60.25	$ 57.86	$ 65.52
• Supervision/Service Delivery (Per Client Year)	$ 218.09	-----	-----	-----
Minimum Supervision/Needs	-----	$ 121.56	$ 63.54	$131.04
Medium Supervision/Low Needs	-----	$ 243.00	-----	$262.08
Medium Supervision/High Needs	-----	$ 324.00	-----	$349.44
Maximum Supervision/Needs	-----	$ 486.00	-----	$524.16
Total Budgets				
High Average	$1,443,081	$1,967,221	$1,859,775	$825,317
Low Average	$1,121,116	$1,529,571	$1,447,674	$642,770

Police Costs of Surveilling and Apprehending Probationers who Commit Additional Crimes While on Probation

Data presented in the Introduction to this report (chapter I) indicated that a substantial percentage (25-50 percent) of probationers are arrested for committing additional crimes while on probation. The General Accounting Office report, State and County Probation: Systems in Crisis, which states that 45 percent of probationers sampled had been rearrested for committing additional crimes while on probation, in particular, indicates that the amount of police resources devoted to surveillance of probationers and apprehension of those suspected of committing additional crimes is quite large.

Surveillance is a function separate and distinct from the supervision/service delivery functions performed by probation officers. Surveillance entails maintaining a close watch over certain individuals in order to deter them from committing additional crimes or apprehend them when they are either in the process of committing, or have committed, an additional crime. Supervision/service delivery on the other hand, although it does include surveillance to the degree that the probationer's actions are accounted for while he is in the probation office, and his performance with regard services to which he has been referred is monitored, primarily consists in counseling the probationer and performing the actual referral service.[1]

Consequently, probation departments perform the supervision function while police departments are primarily responsible for performing the surveillance and apprehension functions. Both functions, and hence departments, are to a certain degree interdependent. The greater the amount of probation officer time and resources devoted to supervision, the lesser the amount of resources required in the police department to maintain a fixed level of surveillance. No estimate of the amount of police resources deployed in surveillance and/or apprehension of probationers has been undertaken either on a departmental, or higher (state and national) level; therefore, the extent of this trade-off cannot be identified.

One alternative to the current situation where police resources engaged in surveillance and apprehension are completely separate from resource providing services to probationers is to form a surveillance/apprehension unit within the probation department. Two benefits from such a formation would be any efficiencies in administration resulting from consolidation, and communication between the surveillance unit and the supervising officer regarding evidence of regressive behavior prior to criminal behavior. The formation of surveillance/apprehension units within the probation department could be accomplished by transferring existing police resources, by training existing probation personnel, or by developing new resources. In the absence of

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[1]For a more elaborate discussion of surveillance as compared to supervision/service delivery, see Eliot Studt, Surveillance and Service in Parole (Berkeley, Ca.: Institute for the Study of Law and Society, University of California, 1973), and Robert Martinson, Judith A. Wilks, "A Static Description Model of Field Supervision," Criminology, vol. 1B, No. 1, May 1975; and Robert Martinson, "Restraint in the Community," unpublished.

actual data regarding police expenditures for either surveillance or apprehension or probationers who commit additional crimes while on probation, a rough estimate can be derived utilizing a unit cost estimate developed in another Standards and Goals Project cost analysis. Police patrol time (including departmental indirect costs) for all cities of 100,000 and over was estimated at $9.44 per hour.[1] Assume: Police surveillance of probationers amounts to four hours per probationer per year; over the course of a year, 15 percent of probationers are arrested for new crimes; and police search, apprehension, booking and court appearance, time average two and one-half hours per case (all low estimates given previously cited evidence). Then, total annual police costs associated with surveillance and apprehension of probationers committing additional crimes in a primarily urban county would amount to $165,200.

Court Costs of Prosecuting Probationers who Commit Additional Crimes While on Probation

In addition to the police costs of apprehending probationers who commit additional crimes while on probation, there are court costs associated with prosecuting those probationers. Unit cost estimates for resources used in presecution were also derived in the Cost Analysis of Correctional Standards: Alternatives to Arrest report. These unit costs amount to $21.58 for a public magistrate, $16.38 for a prosecutor, and $19.32 per hour for a public defender. If each prosecution requires one hour of court time, then the annual costs of prosecuting the 15 percent of probationers arrested for committing additional crimes while on probation would amount to $34,368.

Costs of Revocation Hearings

Revocation hearings impose significant costs in the courts, especially when such hearings are conducted in compliance with the Corrections Standards. Both Standard 5.4, Probation, and Standard 12.4, Revocation Hearings, state that individuals faced with revocation have rights to: written notice of the alleged infractions of rules and conditions; access to official records regarding their cases; the right to be represented by counsel, including the right to appointed counsel, if they are indigent; the opportunity to be heard in person; the right to subpeona witnesses on their own behalf; and the right to cross-examine witnesses or otherwise to challenge allegations or evidence held by the state.[2]

Revocation hearings conducted in compliance with the Standards are characterized by significantly higher average costs than traditional revocation hearings. (Average parole revocation hearings costs for the California

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[1]This "loaded" (in the same sense that it includes all costs, including indirect costs) police unit cost is derived from Susan Weisberg, Cost Analysis of Correctional Standards: Alternatives to Arrest (Washington, D.C.: American Bar Association, Correctional Economics Center, 1975).

[2]Corrections, pp. 158-159, 425-426.

Adult Authority amounted to only $42 for fiscal year 1975-76); average costs for revocation hearings conducted by the (California) Narcotic Addict Evaluation Authority during the same time period amounted to $532.[1] The second estimate is a reasonably good estimate of the costs of implementing Standard 12.4 except for the costs of counsel, which are not included.[2] Average per case costs associated with court appointed counsel are estimated by the National Center for Defense Management in a study undertaken for El Paso county, to be in the $150-$200 range.[3] Therefore, the cost per revocation hearing conducted in compliance with the Corrections Standards can be estimated to be approximately $700. With an average of 16 revocation hearings per month, the rate of hearings associated with a primarily urban probation department (in a county of 750,000), the annual costs of revocation hearings amount to $134,400. An additional significant cost is the greater average of incarcerating those offenders whose probation is actually revoked (over ten times that of probation) or of placing them in a halfway house (eight to ten times as expensive as probation depending upon the level of services provided within the house).[4]

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[1]These estimates were derived from the Standards and Goals Project's cost analysis of institutional-based programs and parole. For a complete discussion of offender rights and costs associated with those rights, see Singer and Wright, Cost Analysis: Institutional-Based Programs.

[2]Non-felon narcotic addicts are subject to the Narcotic Addict Evaluation Authority, a board akin to the Adult Authority, which has the authority to assign patients to an outpatient status, the equivalent of parole. The California Bye decision required that an addict not be removed from outpatient status without a revocation hearing modeled after the Monissey v. Brewer decision on which Standard 12.3 is based. The Corrections Report does not recommend differential revocation hearing procedures for probationers and parolees. Hence, parole revocation estimates are valid indicators of court costs of revocation hearings involving probationers.

[3]National Center for Defense Management, System Development Study for El Paso County, Texas (Washington, D.C.: National Center for Defense Management, 1976).

[4]Singer and Wright, Cost Analysis: Institutional-Based Programs, and Thalheimer, Halfway Houses.

Costs of Other Criminal Justice System Activities to Which Probationers are Referred

Probationers with particular behavioral problems may be referred to other activities, both within and outside of the criminal justice system. If the activity is a criminal justice system agency, then the cost of serving the probationer incurred by that agency, while not a direct cost of the probation department from which the probationer has been referred, is nevertheless a criminal justice system cost and is therefore considered here. Costs incurred and absorbed by non-criminal justice system activities serving probationers referred by a department are defined as external costs and considered in chapter V in which non-criminal justice system costs are estimated and analyzed.

Several criminal justice system agencies conduct programs offering services available to probationers. The agency for which the most detailed data is available and which is therefore included in this analysis is the Treatment Alternatives to Street Crime (TASC) Program serving individuals with drug abuse problems. Most individuals in the TASC programs are clients of pretrial diversion activities; TASC does, however, serve offenders on probation and parole, and clients of halfway houses as well. TASC programs offer counseling and rehabilitative services, while screening each individual's behavior for evidence of drug use.

An estimate of TASC per client costs was determined as part of the Standards and Goals Project's cost analysis of pretrial diversion programs. Average cost per client year was estimated to be $1,331 for low budget programs and $1,643 for higher budgeted programs, with average costs per client day of $3.65 and $4.50, respectively.[1]

Probationers who are also undergoing counseling or psychiatric services in a TASC activity, incur criminal justice costs under both programs. If the probationer requires drug-related medical treatment, or if the probationers is an alcoholic, he (she) may be referred to an agency/organization outside the criminal justice system, the costs (external) of which are the subject of chapter V.

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[1]Both of these estimates include only those costs of TASC activities which are borne by the criminal justice system. Excluded are the costs of services typically provided outside the criminal justice system, such as drug-related medical treatment. The average cost per year is derived by dividing the total annual criminal justice expenditures by 250, the client capacity in the sample drug diversion activity. A complete sample budget for a typical TASC program is contained in Appendix A-9.

CHAPTER IV

ORGANIZATION OF RESOURCES AND CRIMINAL JUSTICE SYSTEM EXPENDITURES FOR A COMBINED NON-RESIDENTIAL COMMUNITY SERVICE/RESTITUTION PROGRAM

This chapter presents and analyzes a model combined community service/restitution program operating indepantly of the county probation department (and other correctional agencies) in interviewing, assigning a service or restitution contract to, monitoring and progress of, and reporting back to the courts on offenders referred by the courts. The structure of the program is presented and described, functions performed are discussed, the resource implications are delineated, and lastly, the criminal justice system costs of the program are analyzed.

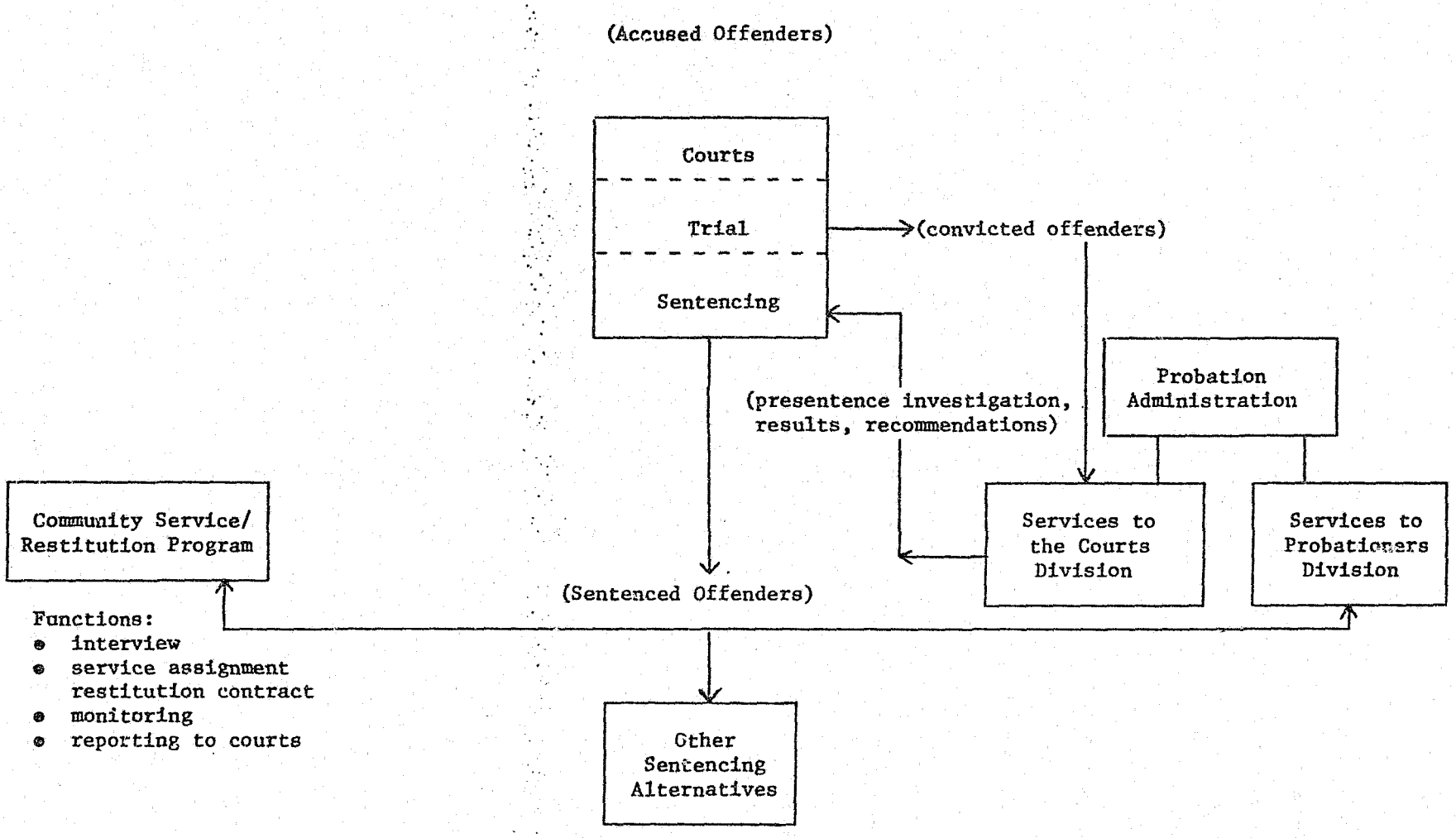
THE COMMUNITY SERVICE/RESTITUTION PROGRAM STRUCTURE

Chapter I discussed the rationale for a combined community service/restitution program. Figure 10 diagrams the role of that program in the criminal justice system. Convicted offenders are either sentenced directly or referred to the services to the courts division of the probation department for a presentence investigation. Based on the presentence investigation results and recommendations, if an investigation has been conducted, or based on the judge's own information, if one has not, offenders convicted of less serious crimes may receive a restitution or community service sentence rather than a fine, probation, or a jail term.

Once referred to (and having reported to) the community service/restitution program, offenders are interviewed by an interviewer/monitor or coordinator to determine what type of community service or restitution contract is most applicable for the individual. The length of the interview depends upon the type of crime of which the offender was convicted, the amount of existing information (either presented in the courtroom or in a presentence report), and the characteristics of the offender (whether he or she is currently employed or in school, married, ill, and so forth). In restitution cases, a second interview may include the victim of the crime as a third party. Based on the interview, the offender is then presented with either a service assignment (matched up with one of the service agencies participating in the program) or a restitution contract, in accordance with the sentencing disposition. Progress of the offender is monitored by either the interviewer/monitor or the coordinator. When the assignment or contract is completed, or when the offender has demonstrated a complete unwillingness to fulfill the terms of either the contract or the assignment, a report is presented to the court (either orally or in writing).

Figure 10

Community Service/Restitution as a Link in the Criminal Justice System



RESOURCE IMPLICATIONS OF A COMBINED COMMUNITY SERVICE/RESTITUTION PROGRAM IN A PRIMARILY URBAN COUNTY

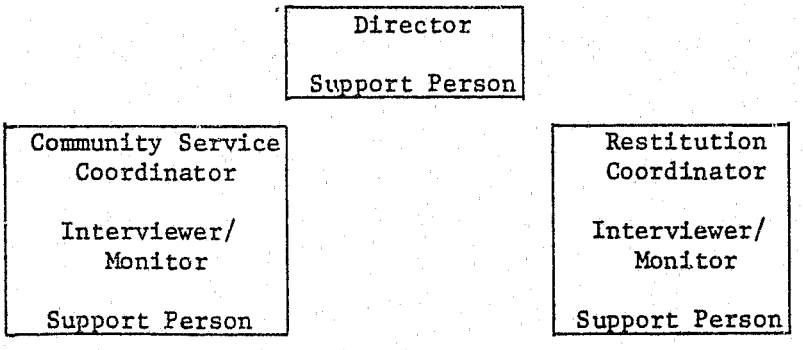
The model community service/restitution program presented and analyzed is designed to serve a primarily urban county the same size as that in which the "typical" and model probation departments analyzed in chapter III are located: population 750,000 with 500,000 located in a metropolitan area. The design capacity of the model program is 250 referrals per month or a total of 3,000 referrals annually, of which half are referred for community service and the other half for restitution. Based on the experience of the Alabama County Court Referral Program in particular, with an allowance for a wider range of offenders (in terms of history and severity of crimes committed) included in the program, and based in part upon the British experience, it is assumed that approximately 40 percent of the offenders referred for community service assignment receive sentences of 40 hours or less; 30 percent of 40-80 hours; and the remaining 30 percent receive assignments of more than 80 hours service. Fifty percent of offenders are expected to complete their assignments in one month; 35 percent within two months; and the remainder, within one year. Lastly, it is assumed that 45 percent of offenders require one hour or less for interviewing/monitoring services in the first month (primarily traffic offenders); 30 percent require two hours or less; 15 percent require three hours or less; and the remaining 10 percent, more than three hours.

Of the offenders referred for restitution, 55 percent are required to make restitution of $250 or less; 20 percent of $250-$500; and the remaining 25 percent, more than $500. Only 45 percent are expected to complete their restitution contract within one month; 35 percent within two months; and the remaining 20 percent within two years.

Thirty five percent of offenders referred for restitution require one hour or less for interviewing and monitoring services; 40 percent two hours or less; 15 percent three hours or less; and the remaining 10 percent more than three hours. Based on these assumptions and the breakdown of working hours presented in Appendix A-4, the staffing pattern as is presented in figure 10A was developed on a workload basis.

FIGURE 10A

Community Service/Restitution Staffing Pattern



Recommended qualifications for each of the positions are as follows:

Program Director - An administrator and program developer with a master's degree and substantial experience in community organization and administration, and demonstrable ability to deal with the courts, correctional agencies, and community organizations and agencies.[1]

Community Service or Restitution Coordinator - A supervisor and coordinator of program functions, preferably with a master's degree in social work, or one of the related social sciences; experience in training, counseling, and interviewing; and the ability to deal with the courts, correctional agencies and community organizations and agencies.

Interviewer/Monitor - A college graduate with experience in interviewing and monitoring and ability to relate well with people of all ages and ethnic background.

OPERATING COSTS OF A COMBINED COMMUNITY SERVICE/RESTITUTION PROGRAM

Operating costs for the community service/restitution program in the form of a model budget are presented in figure 11. Budget line item descriptions are identical to those presented in the previous chapter on probation. As in the model budgets for probation departments presented previously, cost estimates contained in this model budget are for an operational program; typically higher start-up costs (such as new equipment) which characterize new activities, are excluded. Similarly, this model budget contains only operating costs attributable to the community service/restitution program or other criminal justice agencies; external costs are excluded and are analyzed in chapter V. Estimates are presented in calendar 1974 dollars in two sets of estimates, an average high and an average low.

The salary for the program director position is derived from Ann M. Watkins' Cost Analysis of Correctional Standards: Pretrial Diversion. The remaining salaries are derived from the U.S. Civil Service Commission's State Salary Survey, 1975. Non-personnel costs are based, in large part on sample budgets contained in Cost Analysis of Correctional Standards: Pretrial Diversion and the Bay Area Planning Council's A Model Court-Ordered Work Program.

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[1]These recommended qualifications borrow heavily from those associated with similar positions in the Alameda County Court Referral Program, as described in the Bay Area Planning Council's A Model Court-Ordered Work Program (Oakland, Ca.: Bay Area Planning Council, 1974).

Figure 11

Model Budget for a Combined Non-Residential Community Service/Restitution Program (1974 Dollars)[a]

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
Director	$ 21,600	15.4%	$ 14,700	14.29%
Community service coordinator	14,669	10.4	10,881	10.5
Restitution coordinator	14,669	10.4	10,881	10.5
2 Interviewers/monitors	25,586	18.2	19,570	19.0
3 Support personnel	19,800	14.1	15,336	14.9
TOTAL SALARIES	96,324	68.5	71,368	69.1
Fringe benefits (15%)	14,449	10.3	10,705	10.4
TOTAL PERSONNEL COSTS	$110,773	(78.8)	$ 82,073	(79.5)
NONPERSONNEL				
Rent, utilities, maintenance	8,150	5.8	6,000	5.8
Communications	4,100	2.9	3,000	2.9
Supplies	4,500	3.2	3,300	3.2
Travel	4,500	3.2	3,300	3.2
Training	1,600	1.1	1,200	1.2
Purchased services	5,635	4.0	3,381	3.3
Other	1,400	1.0	1,000	1.0
TOTAL NONPERSONNEL COSTS	$ 29,885	(21.2)	$ 21,181	(20.5)
TOTAL OPERATING COSTS	$140,658	(100.0%)	$103,254	(100.0%)

Average Costs	High	Low	Mean
At Design Capacity of 250 referrals per month (3,000 per year)	$46.89	$34.42	$40.65
At referral rate of 200 referrals per month (2,400 per year)	$58.61	$43.02	$50.82
At referral rate of 150 referrals per month (1,800 per year)	$78.14	$57.36	$67.75

Estimates from these sources have been utilized because the responsibilities and required qualifications associated with each position match those (described on the previous page) for the positions in this community service/restitution program. Similarly, the non-personnel cost estimates have been utilized due to the similarity in services provided by this model program and the Court-Ordered Work Program and many pretrial diversion programs.

Total operating costs for the combined program amount to an average high of $140,658 and an average low of $103,254. Personnel costs account for just under 80 percent of total operating costs.

Average Costs of a Combined Non-Residential Community Service/Restitution Program

At the design capacity of 250 referrals per month, for a total of 3,000 annually, average costs per referral amount to an average high of $46.89, and average low of $34.43, and a mean of $40.64.

Referral rates of less than capacity result in higher average costs, since all operating costs are, for the most part, fixed. At a referral rate of 200 per month (80 percent capacity), mean average costs increase to $50.82; at a referral rate of only 150 cases per month (60 percent capacity), mean average costs amount to $67.75. Even at the lower referral rate, however, average costs are much lower than either probation (minimum supervision service needs, $121.56; medium supervision/low service needs, $243.00; medium supervision/high service needs, $324.00; high supervision/service needs, $486.00) non-residential pretrial diversion, $3,900, a halfway house, $6,649; or a state institution operating in compliance with the Corrections Standards, $9,215.[1]

A primary reason for these much lower average cost estimates for the community service/restitution program (in comparison to probation and diversion) is that almost all offenders in the program fulfill their obligation in less than a year; slightly less than half, in fact, complete their sentence in one month or less. Second, in comparison to halfway houses and institutions, the community service/restitution program is non-residential, and hence does not pay any subsistence (shelter, food) costs for offenders.

OTHER CRIMINAL JUSTICE SYSTEM COSTS

Failure to complete the community service assignment or restitution contract, or commission of an additional crime, may result in another round of arrest and prosecution, there imposing additional costs upon the

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[1]The pretrial diversion program cost estimate is derived from Watkins' Pretrial Diversion. The halfway house estimate is derived from Thalheimer's Halfway Houses, and the state institution cost estimate is derived from Singer and Wright's Institutional-Based Programs and Parole.

criminal justice system. The expected average costs of arrest and prosecution are the same as those presented and analyzed in the previous chapter. The total magnitude of these costs is, and will likely continue to be, much less because fewer offenders currently are, and at least for the forseeable future, will be, in community service/restitution programs than on probation; and secondly, because offenders in community service/restitution programs generally have less serious criminal records than offenders on probation.

Offenders in community service/restitution programs also impose similar, albeit lower (since offenders in such programs tend to have less serious criminal histories than those on probation) external costs and opportunity costs on society, and incur (lower) employment and leisure-related opportunity costs as well. These costs are the subject of chapter V.

CHAPTER V

OTHER COSTS

The previous two chapters dealt with analyzing costs incurred by the criminal justice system in the operation of a probation department or a community service/restitution program. In addition to these criminal justice system costs, are:

- External costs incurred by individual and public or private agencies and organizations outside the criminal justice system in serving offenders on probation or in a community service/restitution program (which are not charged to the probation department, community service/restitution agency, or any other criminal justice system agency);
- Opportunity costs incurred by society; and
- Opportunity costs incurred by offenders on probation or in community service/restitution programs.[1]

EXTERNAL COSTS

One of the themes consistently present throughout the Corrections Report is that greater use of community resources must be made in providing services to individuals entering the criminal justice system. Standard 7.2 of the Report, Marshaling and Coordinating Community Resources, specifically states:

> Each State correctional system or the systems of other units of government should take appropriate action immediately to establish effective working relationships with the major social institutions, organizations and agencies of the community, including the following:
>
> 1. Employment resources--private industry, labor unions, employment services, civil service systems.
> 2. Educational resources--vocational and technical, secondary college and university, adult basic education, private and commercial training, government and private job development and skills training.
> 3. Social welfare services--public assistance housing, rehabilitation services, mental health services, counseling assistance, neighborhood centers, unemployment compensation, private social service agencies of all kinds.

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[1] A more detailed definition and discussion of these costs are contained in Appendix A-1.

> 4. The law enforcement system--Federal, State, and local law enforcement personnel, particularly specialized units providing public information, diversion, and services to juveniles.
>
> 5. Other relevant community organizations and groups--ethnic and cultural groups, recreational and social organizations, religious and self-help groups, and others devoted to political or social action.[1]

The Report elaborates further in the accompanying narrative:

> Instead of hiring a large number of additional correctional staff members to perform the services already provided to nonoffenders, it is much wiser for correctional agencies to try to develop effective working relationships with the agencies and institutions with which offenders come in contact.[2]

To the extent to which offenders under community-based supervision are referred out to services provided by resources in the community, external costs will be incurred by those resources. Five types of external costs are analyzed in this report: external costs associated with volunteers, and external costs incurred by the following public and private agencies and institutions to which offenders under community-based supervision are most often referred for specialized services:

(1) agencies/institutions providing full-time educational and vocational training services;

(2) agencies/institutions providing drug treatment services (sometimes in conjunction with a TASC program);

(3) agencies/institutions providing detoxification services for alcoholics; and

(4) agencies/institutions providing mental health services.

Discussion of the services provided by each and associated external cost estimates are contained in the following sections.[3]

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[1] Corrections, p. 240

[2] Ibid., pp. 240-241.

[3] Cost estimates for treatment services for individuals with drug, alcoholic, or mental problems were derived from Watkins' Pretrial Diversion.

Costs of Education and Vocational Training

Offenders under community-based supervision are for the most part, undereducated and unskilled, and a large percentage are unemployed. The General Accounting Office in State and County Probation: Systems in Crisis, determined that of the probationers sampled, at least 61 percent had not completed high school; 57 percent of the major needs identified by those probationers were related to employment, vocational training and academic education; and 40 percent were unemployed at arrest.[1] There is, therefore, a large number of probationers who should apparently benefit from education and vocational training services.

Some probation departments have in-house General Equivalency Diploma (GED) programs; nearly every community offers such classes at low cost, typically less than $100.00. Further accredited education beyond the high school degree requires referral outside the department or program to an agency or institution providing such services. Institutions providing education/vocational training services are two year community colleges (associate degree), four year colleges (bachelor and advanced degrees) and trade and technical schools. Estimated costs of educational/vocational training by such institutions are presented in figure 12.

As illustrated in figure 12, the costs of providing educational services are significantly less ($287 per year and $541 per year for two-year and four year colleges, respectively) than vocational training costs ($900 per year). This differential may be overstated, however, by the fact that the cost estimates for educational services are for public institutions only; private educational institutions are typically more costly.

Costs of Drug Treatment Services

Offenders under community-based supervision with drug problems may require specialized counseling and psychiatric services, and if addicted, medical treatment (methadone maintenance, for example) services.[2] Such services are usually non-residential (outpatient), but for individuals physically addicted, medical drug treatment may require residence for a short time. Figure 13 contains cost estimates for the different types of agencies and institutions providing these services.

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[1]U.S., General Accounting Office, State and County Probation, p. 26.

[2]TASC programs do provide counseling and psychiatric services, but do not provide drug treatment services. Currently, TASC programs are operated in only 20 states.

Figure 12

Costs of Education and Vocational Training (1974 Dollars)

Type of Program	Type of Cost	Cost per Client Year[a]	Cost per Client Day[a]
Two-Year Community College	Tuition and Fees	$287	$1.05
Four-Year Public College	Tuition and Fees	$541	$1.98
Trade/Technical School	Tuition only	$900	$3.30

Sources: (1) College Scholarship Services, Student Expenses at Post-secondary Institutions (Princeton, N.J.: Colege Entrance Examination Board, 1974).
(2) National Association of Trade and Technical Schools, Washington, D.C. Estimates are based on the actual costs of student attending the 430 member schools of the Association.

[a]Costs are based on an academic year, September through June, and are therefore based on a time period of nine months or 273 days.

Costs of drug treatment are substantially higher than the costs of education and vocational training, ranging from $1,278 per client year for non-residential treatment services to $6,254 per client year for residential services. Costs of drug treatment services are typically charged to agencies outside the criminal justice system and are therefore external costs (although in some cases, probation departments may have to bear urinalysis costs of pass them on to probationers).

Costs of Detoxification Services for Alcoholics

Offenders on probation or in community service/restitution programs who are alcoholics may require specialized outpatient counseling and psychiatric services, and for more severe problems, inpatient detoxification treatment for short periods. Such services are provided by public and private hospitals and detoxification centers. The costs of these services are presented in figure 14. Costs range from $15.84 per client day for outpatient treatment to $171.55 for inpatient treatment services. The more significant statistic, however, is cost per client stay, which ranges up to $1,274.21 for partial hospitalization. Moreover, offenders with severe alcoholic problems may require several stays. As costs of providing both outpatient and inpatient detoxfication services are typically charged to agencies/institutions outside the criminal justice system and hence, external, probation departments or community service/restitution programs with a high percentage of offenders with alcohol problems requiring outside referral for treatment may also incur substantial external costs.

Costs of Mental Health Services

Offenders on probation or in community service/restitution programs with mental illnesses may require outpatient or short run inpatient services provided by public and private hospitals or other institutions (outside the criminal justice system). The costs of providing such services are contained in figure 15. The daily cost per patient ranges from $30.86 for inpatient care at public hospitals at $72.80 for inpatient care at private hospitals. As the major expense is personnel costs, outpatient care is not much less costly than inpatient; for treatment in an outpatient psychiatric clinic, the daily cost per patient is $36.60.

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[1]TASC programs do provide counseling and psychiatric services, but do not provide drug treatment services. Currently, TASC programs are operated in only 20 states.

Figure 13

Cost Estimates of Providing Drug Treatment Services (1974 Dollars)

MODALITY	COST PER CLIENT YEAR[a]	COST PER CLIENT[a]
Drug-Free Residential Community	$6,754[b]	$1,813[g]
Outpatient Abstinence Clinic	$1,278[c]	$ 592[h]
Day-Care, Drug-Free Project	$2,750[d]	not available
Outpatient Methadone Treatment Center	$1,300-$2,100[e]	$ 515[i]
Residential Methadone Maintainance Project	$5,135[f]	$1,000[f]

Footnotes explaining sources and components for the cost estimates shown in this table appear in Appendix A-10.

CONTINUED

1 OF 2

Figure 14

Estimates of External Costs Incurred as a Result of Alcohol Diversion Referrals to Alchol Treatment Projects, by Treatment Modality (1974 dollars)

TREATMENT MODALITY	TREATMENT SITE	Cost Per Client Day	Average Length of Stay	Cost Per Client Stay
Inpatient Emergency Care	General Hospital	$171.55	.4 days	$589.14
	Specialized Alcoholism Hospital	57.70	4 days	230.84
	Other Specialized Hospital	97.39	4.9 days	471.56
	Hospital Affiliated Medical Emergency Care Center	78.55	3.8 days	149.15
	Hospital Affiliated Non-Medical Emergency Care Center	16.39	3.1 days	53.01
Inpatient Care	General Hospital	87.38	10.4 days	766.24
	Specialized Alcoholism Hospital	33.78	8.0 days	270.21
	Other Specialized Hospital	93.66	9.4 days	923.98
	Hospital Affiliated Inpatient Care Under Medical Supervision	117.00	6.2 days	1,173.71
Intermediate Care	Partial Hospitalization	74.15	16.8 days	1,274.21
	Recovery Home	12.66	56 days	687.02
	Other 24-Hr. Non-Medical Residential Center	21.08	29.8 days	735.17
	Specialized Alcoholism Hospital	26.74	30.3 days	792.99
Outpatient Care	Hospital-Based Outpatient Clinic	20.07	13 visits	60.23
	Family or Neighborhood Alcoholism Center	15.84	11.7 visits	219.97
	Community Mental Health Center	32.22	8.3 visits	300.87

Source: Booz Allen and Hamilton, "Cost Study of Model Benefit Package for Alcoholism Treatment Services," prepared for the National Institute on Alcohol Abuse and Alcoholism and the National Council on Alcoholism, 1974.

Figure 15

Cost Estimates of Providing Mental Health Services
(1974 Dollars)

MODALITY	COST PER CLIENT DAY
Free Standing Outpatient Psychiatric Clinics[a]	$36.60
Inpatient Service at Public Hospitals[b]	$30.80[e]
Inpatient Service at Private Hospitals[c]	
Non-Profit	$72.80[f]
For Profit	$63.00
Residential Treatment Centers[d]	$37.82

Sources: U.S. Department of Health, Education and Welfare, National Institute of Mental Health Statistics A-10, A-13 and Statistics Note 106 and preliminary unpublished data from the National Institute of Mental Health; and Jeff Gillenkirk, "There's No Place Like Home," Washingtonian, (September 1974), pp. 162-164. All costs have been converted to 1974 dollars using the GNP implicit price deflator for purchases of all goods and services by state and local governments.

[a]Estimate is for all ages for all diagnostic conditions. 74 percent of the cost is for salaries; 21 percent for other operating expenditures; 5 percent for capital expenditures.

[b]Estimate is U.S. average. 79 percent of cost is for salaries.

[c]Estimate is U.S. average. 63 percent of cost in non-profit hospitals is for salaries; 54 percent if profit hospitals is for salaries.

[d]Estimate is for Washington, D.C.

[e]Estimate is U.S. average, all facilities, all patients under 18.

[f]The average costs of hospitalization for mental illness are lower than hospitalization for alcoholism, drug addiction or for other physical ailments bacause mental hospitals are often only custodial, are understaffed with low-paid personnel and because the treatment of mental illness, unlike physical illness, does not require costly equipment. Interview with M.J. Witkin, Division of Biometry, National Institute of Mental Health, with A.M. Watkins, 9 October 1975.

Costs of such services are almost always charged to the institution providing the services and hence external. Relatively few offenders are referred out for treatment of mental illness as compared to referral for treatment of alcohol and drug problems, and hence aggregate external costs of providing treatment services to mentally ill offenders are not expected to be as large.

Volunteer Services

A final type of external cost is that borne by volunteers who work in probation departments or community service/restitution programs.

Methods of estimating the external costs incurred by volunteers vary. Costs may be estimated as the value of volunteers' leisure time foregone plus their expenses (such as transportation and meals) which are not reimbursed, or as the imputed value of the volunteers' services were they to be paid a salary.

The Standards and Goals Project did not attempt to derive estimates for this type of external cost. The Corrections Report, however, stresses increased use of volunteers in corrections, as was discussed in chapter III. As with the previous external costs analyzed, to the extent to which the Corrections Standards are implemented, external costs associated with volunteers will increase.

Aggregate External Costs of Community-Based Supervision

No estimates have been made of either average or total numbers of offenders under community-based supervision who are referred out for services provided by agencies, institutions, or individuals outside the criminal justice system; therefore, no estimates of aggregate external costs, on a national level, for community-based supervision can be determined. Total referrals and, hence, external costs associated with services provided by resources located outside the probation department or community service/restitution program depend upon the (identified) needs of clients and the referral policies and resource constraints of the probation department or community service/restitution program.

Whereas no estimates of aggregate external costs can be made on a national level, with certain assumptions regarding numbers of probationers referred out for different services, external costs can be estimated for a single probation department. Consider the primarily urban county probation department operating in compliance with the Corrections Standards; assume that 20 percent of the probationers are referred out for education or for vocational training; 10 percent are referred out for drug treatment; 15 precent for alcoholism treatment; and 5 percent for mental health treatment. A lower bound on the total external costs of that probation department would be $2,099,000, distributed as shown in figure 16. Referral of half of the

Figure 16

Estimated External Costs for Services Provided to Probationers

Type of Service	Number Referred	Percentage of Total Referrals	External Cost for one Year[a]	Percentage of External Cost
Education	400	20%	$ 216,400	10.3%
Vocational Training	400	20	360,000	17.2
Drug Treatment				
Methadone Maintenance	200	10	255,600	12.2
Outpatient Abstinence Clinic	200	10	260,000	12.4
Alcohol Treatment				
Outpatient Detoxification Counseling Clinic	600	30	626,184	29.8
Mental Illness Treatment				
Outpatient Psychiatric Clinic	200	10	380,640	18.1
All Services	2000	100	2,098,824	100

[a]More specifically, assume: 400 probationers are attending classes at a public four-year college, 400 others, classes at a vocational school; 400 probationers are receiving non-residential drug treatment services, 200 at a methadone clinic, and 200 at an outpatient abstinence clinic; 600 probationers are receiving detoxification services (once a week) at a hospital outpatient clinic; ar 200 probationers are receiving weekly counseling sessions at an outpatient psychiatric clinic.

probationers out for services in the community has incurred external costs greater than departmenal operating costs. Probation needs requiring more specialized treatment or necessitating residential care would raise that estimate even more. Obviously, external costs are significant and should be considered in planning and decision-making.

Equity becomes a consideration when one or more of the resources providing external services reaches a client load exceeding either physical capacity or available resources. Which clients (from which referring agency or department) shall receive first priorty in receiving services is an important policy issue. Currently, many resources, particularly those providing mental health services, are operating at or near capacity, hence equity has become an important consideration.

Referral for services may also be determined based on a relative cost comparison. For example, comparison of the percentage breakdown to total referrals and total external costs contained in figure 16 demonstrate that mental health treatment services are considerably more expensive than education and vocational training services. The 200 probationers referred out, for mental health treatment incurred 18 percent of total external costs, while 800 probationers referred out for education and vocational training services accounted for only 27 percent of total external costs. Cost differentials such as this may affect the distribution of probationers among service producing resources when aggregate external costs become a planning consideration, particularly if a constraint is placed on aggregate external costs.

OPPORTUNITY COSTS INCURRED BY OFFENDERS UNDER COMMUNITY-BASED SUPERVISION

Offenders on probation or in community service/restitution programs incur opportunity costs as a result of involuntary supervision and restricted mobility. Employment opportunities may be lessened as a result of having to report to the probation office or community service/restitution agency during working hours. This opportunity cost is eliminated if probation officers or community service/restitution program personnel are available for evening and/or weekend appointments. Similarly, probationers and offenders in community service/restitution programs incur opportunity costs associated with having to travel from where they live or work to where the office is located; this opportunity cost is lessened by the operation of satellite or mobile offices. In the language of an economist, there exists a trade-off between employment-related supervision and the availability (flexibility of working hours) of probation departments or community service/restitution agency personnel; another trade-off exists between transportation-related opportunity costs incurred by offenders under supervision and location of probation or community service/restitution program resources. Another type of opportunity cost is any leisure-related costs imposed by conditions of probation or community service/restitution. A condition that an offender under community-based supervision not leave the city or county, for example, restricts leisure opportunities and hence imposes leisure-related opportunity costs.

In comparison with other corrections alternatives, however, offenders under community-based supervision are better off than offenders in halfway houses, and far better off than inmates of institutions, who have substantial restrictions on their employment and leisure opportunities.

Opportunity Costs Incurred by Society

Society incurs opportunity costs as a result of offenders on probation or in community service/restitution programs committing additional crimes. These opportunity costs take the form of actual physical loss of possessions, medical costs incurred as a result of injuries suffered during the course of crimes being committed, and mental suffering accompanying crimes committed or in expectation (fear) of crime. The extent of societal opportunity costs associated with probation is largely unknown.

The General Accounting Office in State and County Probation: Systems in Crisis, analyzed rearrests of probationers for additional crimes committed while on probation. Sixty percent of the crimes were drug possession arrests (hard drugs, marijuana, alcohol), technical violations, or other violations such as possession of a gun, escape and so forth; 26 percent involved property crimes of burglary, theft and larceny, vehicle theft, and forgery and fraud; and 14 percent of the arrests involved crimes against people of murder negligent manslaughter, robbery, assault, rape and sex offenses.[1] Hence, 40 percent of the crimes committed imposed serious opportunity costs upon society. The statistics discussed in chapter I regarding number of probationers arrested for additional crimes while on probation indicate that opportunity costs incurred by society as a result of placing offenders under community-based supervision are substantial. There is, in other words, a very real trade-off between the level of opportunity costs imposed on society, and the numbers of offenders, particularly felons, given community-based supervision rather than incarceration. From a total cost perspective, there is a trade-off between opportunity costs incurred by society associated with additional crime, and criminal justice system costs of corrections. The greater the number of offenders sentenced to community-based supervision rather than incarcerated, the lower total criminal justice system costs for corrections, and the greater the opportunity costs to society.[2]

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[1]U.S., General Accounting Office, State and County Probation.

[2]To the extent that society ultimately pays for criminal justice system costs, however, the net relationship is unclear.

CHAPTER VI

SUMMARY AND CONCLUSIONS

This report has a two-fold function: (1) to estimate and analyze the costs of community-based supervision activities operating in compliance with the Corrections Standards, and (2) to present the findings in such a way as to be of immediate use to administrators, planners, and analysts engaged in decision-making on regional, state and local levels.

In the previous five chapters several probation department models and a combined community service/restitution program model operating in compliance with the Corrections Standards have been described, and the costs associated with these programs have been estimated and analyzed. This chapter summarizes what has been developed in the previous chapters and concludes by recommending directions for additional research efforts.

Organization of Probation Resources

Standards relating to probation propose several major changes in the organization of probation resources. These changes include:

(1) That resources providing services to the courts be separate and distinct from resources providing services to probationers;

(2) That presentence reports be prepared in all felonies, in all cases where the offender is a minor, and as a prerequisite to a sentence of confinement in any case, and that the reports be short form in all cases except where incarceration for more than five years is a possible disposition;

(3) That the primary function of the supervising officer become that of a community resource manager rather than one-to-one counselor;

(4) That services be provided to misdemeanants as well as felons; and

(5) That probation resources be organized on the basis of workloads or task groups rather than caseloads.

The complete organization of probation resources and the alignment of functions within the organization is contained in figure 1 on page 17.

Costs of Probation Departments Operating in Compliance With the Corrections Standards

This cost analysis has included all costs associated with probation departments operating in compliance with the Corrections Standards. These costs include:

- Criminal justice system costs
- External costs
- Opportunity costs to probationers
- Opportunity costs to society.

The focus of this analysis, however, has been on those costs about which substantial information is available, and therefore, on criminal justice system expenditures and external costs.

Criminal Justice System Costs of Probation

Total and average operating costs in the form of sample and model budgets were derived and analyzed for:

(1) a "typical" existing probation department in a large urban county (population 750,000, including a metropolitan area of 500,000);

(2) a probation department for the same size county operating in compliance with the Corrections Standards;

(3) a probation department for the same size county, operating in compliance with the Corrections Standards, and utilizing paraprofessionals and volunteers; and

(4) a smaller, primarily rural county (population 300,000, including a metropolitan area of 100,000) probation department, operating in compliance with the Corrections Standards.

Personnel costs for the probation departments were estimated by first determining the staffing requirements for each division utilizing a workload approach, then applying average salaries and a fringe benefit rate of 15 percent; nonpersonnel costs were determined based primarily on staff size and average nonpersonnel costs for a representative sample of fourteen probation departments. The following workload estimates were utilized in determining staffing requirements and hence operating costs:

Short form investigations	4.5 hours
Long form investigations	7.5 hours
Processing function:	
regular completion	.25 hours
early termination	.40 hours
revocation	6.50 hours
Needs assessment	1.5 hours/team member (3) /probationer (total of 4.5 hours)
Supervision/service delivery (including community resource management):	
minimum	.75 hours/month
medium - low (service needs)	1.50 hours/month
medium - high (service needs)	2.00 hours/month
maximum	3.00 hours/month

Average costs for each of these functions for a typical existing department in a primarily urban county, and both large urban and small rural department operating in compliance with the Corrections Standards are presented in the following figure (figure 9).

Average cost for the first probation year is calculated by adding the cost of the needs assessment service to the cost figure for whichever supervision/service need classification a probationer is in. For example, the average cost for the first year of a probationer in the maximum supervision/service need classification amounts to $546.75 for the primarily urban county and $589.68 for the smaller, primarily rural county. These cost estimates compare to the average annual cost of a non-residential pretrial diversion program of $3,900, a halfway house cost of $6,649, or a state institution of $9,215, each operating in compliance with the Corrections Standards.

There are four other types of criminal justice system costs:

(1) Police costs of surveilling and apprehending probationers who commit additional crimes while on probation. Average costs of police time involved in surveillance and apprehension, including departmental indirect costs, was estimated to be $9.44 per hour. A lower bound on these annual surveillance and apprehension costs for a large urban county was estimated at $165,200.

(2) Court costs of prosecuting probationers who commit additional crimes while on probation. Unit prosecution costs were estimated to be $21.58 for a public magistrate, $16.38 for a prosecutor, and $19.32 for a public defender. A lower bound (based on the assumption that only 15 percent of probationers come to trial for additional crimes) on the annual costs of prosecuting probationers who commit additional crimes while on probation amounts to $34,368.

Figure 9

Average Criminal Justice System Costs for a "Typical" Probation Department and Three Model Probation Departments Operating in Compliance with the Corrections Standards, Serving a Primarily Urban County with Regular Staffing, a Primarily Urban County Utilizing Paraprofessionals and Volunteers, and a Smaller, Primarily Rural County

Type of Average Cost	"Typical" Urban County	Models		
		Urban County		Rural County
		Regular Staffing	Paraprofessional and Volunteers	
Services to the Courts				
° Presentence Investigation per Report	$ 89.47	-----	-----	-----
° Presentence Investigation Long Form, in Compliance	-----	$ 108.15	$ 101.97	$122.48
° Presentence Investigation Short Form, in Compliance	-----	$ 64.89	$ 61.42	$ 73.49
Revocation Processing	-----	$ 93.73	-----	$106.15
Services to Probationers				
° Needs Assessment (One-Time Service)	-----	$ 60.25	$ 57.86	$ 65.52
° Supervision/Service Delivery (Per Client Year)	$ 218.09	-----	-----	-----
Minimum Supervision/Needs	-----	$ 121.56	$ 63.54	$131.04
Medium Supervision/Low Needs	-----	$ 243.00	-----	$262.08
Medium Supervision/High Needs	-----	$ 324.00	-----	$349.44
Maximum Supervision/Needs	-----	$ 486.00	-----	$524.16
Total Budgets				
High Average	$1,443,081	$1,967,221	$1,859,775	$825,317
Low Average	$1,121,116	$1,529,571	$1,447,674	$642,770

(3) Costs of revocation hearings. Average costs per revocation hearing conducted in compliance with the Corrections Standards (including court appointed counsel) is estimated to be $700. With an average of 16 revocation hearings per month, the rate of hearings associated with a large urban probation department, annual costs of revocation hearings amount to $134,400.

(4) Costs of other criminal justice activities providing services to probationers. The average cost per client year of one such program, TASC, was estimated to be $1,331 ($3.65 per client day) for low budget activities and $1,643 ($4.50 per client day) for higher budgeted activities.

Organization of Resources for a Combined Non-Residential Community Service/ Restitution Program

Two other types of community-based supervision were included in the analysis: community service and restitution. As staff functions performed within community service and restitution programs are basically identical, a combined non-residential community service/restitution program model operating in compliance with the Corrections Standards and designed to serve a large urban county was developed as part of this research effort. (The organization of personnel within this program is contained in figures 10 and 10A on pages 74 and 75 respectively.

Functions performed within the community service/restitution program include: maintaining liaisons with courts and with community service agencies, interviewing offenders referred by the courts, assigning service or restitution obligations; monitoring performance and submitting reports to the courts (if requested).

The director is primarily responsible for monitoring liaisons; the other personnel share in the remaining responsibilities.

Operating Costs of a Combined Non-Residential Community Service/ Restitution Program

The staffing pattern for the program was determined on a workload basis; both personnel and nonpersonnel cost estimates were based in part on average operating costs for existing community service and diversion programs performing similar functions.

The following are the average operating costs for the combined community service/restitution program at different levels of capacity:

Average Costs	High	Low	Mean
At Design Capacity of 250 referrals per month (3,000 per year)	$46.89	$34.42	$40.65
At referral rate of 200 referrals per month (2,400 per year)	$58.61	$43.02	$50.82
At referral rate of 150 referrals per month (1,800 per year)	$78.14	$57.36	$67.75

Other Costs of Community-Based Supervision

As the Corrections Report recommends greater referral of offenders to services provided by community resources, much of the added cost of implementing the Standards can be expected to be external. External costs for the major services to which offenders under community-based supervision may be referred were estimated as shown in the table below:

Type of Service	Average Cost
Education (four year public college)	$541/client year
Vocational training (trade/ technical school)	$900/client year
Drug treatment	$1,728/client year - $6,254/client year
Detoxification	$15.84/client day - $171.55/client day
Mental Health	$30.86/client day - $72.80/client day

Two other types of costs, important but largely unquantifiable, which were discussed but of which no estimates were derived, are opportunity costs to offenders under supervision and opportunity costs to society.

Offenders under community-based supervision do incur opportunity costs, but in comparison to offenders in halfway houses, or, in particular, institutions, are better off.

Just the opposite relationship exists in terms of societal opportunity costs associated with additional crimes committed by offenders under community-based supervision. Probation imposes greater opportunity costs associated with crimes committed by offenders under sentence on society than does residential (halfway houses and institutions) corrections.

DIRECTIONS FOR ADDITIONAL RESEARCH

This report has described a comprehensive analysis of the costs of operating community-based supervision activities in compliance with the Corrections Standards. This analysis has not, however, been able to analyze in depth all cost-affecting or cost-related variables. Areas in which additional research is needed include:

- What is the most effective means of linking up probation resources to probationers? Community service/restitution program resources to offenders referred?
- What is the most efficient means of training different types of staff?
- What is the most efficient means of transporting resources between offices?
- What is the impact of turnover of personnel on costs?
- What are acceptable levels of nonpersonnel costs (for either specified output levels or staff sizes)?
- Are there economies of scale? What is the most efficient scale of operation?
- What are the most efficient methods of distributing resources provided by resources external to the criminal justice system?
- What are the trade-offs between opportunity costs to offenders under community-based supervision and criminal justice system costs?
- What are the trade-offs between costs to society and other costs?
- How can these costs be minimized?

The other side of analysis, the analysis of benefit or effectiveness of different activities, has been touched upon only marginally during the course of this cost analysis. Benefit/effectiveness analysis, or performance measurement as it is often labeled, is an equally important field of analysis, which has not yet been applied on a comprehensive and thorough basis to community-based supervision. Questions which might be addressed by such an analysis are:

- What constitutes a success?
- What is the optimal method for assessing offenders needs?
- What is the optimal means for classifying offenders? Are predictive models effective?

- How much surveillance of offenders under community-based supervision is necessary, and where should resources performing the surveillance function be located?

- What is the effectiveness of different types and levels of training?

For decision-making purposes, the most useful analyses are those which combine cost analysis and output/benefit analysis to determine exactly how they relate to one another. There are two such types of analysis: cost/benefit analysis and cost/effectiveness analysis. Both attempt to relate costs of programs to performance. Cost/benefit and cost/effectiveness analysis are most valuable because, rather than determining which are the least costly alternatives or which alternatives yield the most societal benefits, they determine which alternatives produce the highest net benefits (relative or absolute) or which alternatives are most cost/effective. Because non-monetary criteria are employed in measuring output/benefits, cost/effectiveness in particular lends itself to an interdisciplinary effort, including other social scientists in addition to economists.

Cost/effectiveness analysis would be applicable to most of the research questions previously identified. Such analysis would be particularly valuable in answering the following questions:

- How cost/effective are flexible working hours and decentralized location?

- How cost/effective is specialization on a unit level (for example, separate investigation, court reporting, and supervision units)?

- What level of utilization of paraprofessionals and volunteers is most cost-effective?

APPENDIX A-1

TYPOLOGY OF COSTS

Administrators and planners, in satisfying the demands of the annual budgetary process, are frequently forced to consider and to justify their programs in terms of their own budgetary costs alone. Therefore the following types of costs are often neglected in budgetary debate and program analysis:

- The costs of goods and services from resources outside the agency whose budget is being considered. (Example: Such resources may include individuals as well as private or governmental agencies. Specific examples of measures of the value of their goods and services are: the cost of donated facilities and equipment for a halfway house, the value [imputed cost] of volunteer labor in a probation department, or the value to a bail agency of legal aid or public defender consultation.)

- Full costs of support or administrative activities which, though they do not benefit a "clientele" directly, are necessary to provision of direct services. (Example: The accounting department for a corrections agency has no direct relation to a person on probation, yet it manages the accounts for all probation activities. Likewise, the manager of the accounting department may never prepare data on probation activities, yet is accountable for the work of those who do.)

- Costs incurred by individuals as a result of their participation (whether voluntary or involuntary) in a given activity. (Example: if one participates in a diversion activity, he or she my be losing the right to a speedy trial. It is assumed that this loss will have a value to the individual, and in this sense represent a "cost" of the diversion activity.)

- Costs incurred by society as a result of a given action or inaction. (Example: Incarcerating people suspected of a crime has been assumed to reduce the risk of danger to society. If society chooses to place some individuals on probation rather than in institutions, it presumably agrees to assume a greater risk of crime. The expected value associated with this risk represents a cost to society.)

In the budgetary process of criminal justice agencies, it may not be possible to consider all these costs routinely, but they are within the proper domain of economic analysis. Ideally, familiarity with them could open budgetary debate to consideration of the full range of program costs.

For the Standards and Goals Project's reports, the kinds of costs described above have been incorporated into a cost typology which can be used for analyzing the resource implications of all criminal justice activities. Types of costs within this typology are described and compared in the paragraphs which follow. For the Project's program reports, only costs incurred by the particular activity being studied (in this report, community-based supervision: probation, restitution, and community service) are analyzed in detail.[1]

CRIMINAL JUSTICE SYSTEM COSTS

Criminal justice system costs include direct outlays for, or the imputed value of, goods and services by:

- Law enforcement agencies
- Courts
- Legal services agencies, bureaus or firms
- Other agencies, organizations or individuals whose stated mission could not be carried out if there were no crime
- Activities of organizational units or individuals financed by any of the above.

The criminal justice system thus is defined to comprise the activities and agencies listed above.

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[1]Costs averted by undertaking a particular activity (for example, the trial costs that are averted if a person successfully completes a formal pretrial diversion activity) are considered only briefly in the Standards and Goals Project's program analysis reports. They are however, a focus of the Project's summary analysis.

Criminal justice system costs may be further subdivided in the following way:

- Public expenditures--direct outlays for, or the imputed value of, goods and services provided or financed by governmental agencies or units.

- Private expenditures--direct outlays for, or the imputed value of, goods and services provided or financed by non-governmental agencies or units.[1]

EXTERNAL COSTS

External costs include direct outlays for, or the imputed value of, goods and services provided by all agencies, organizations or individuals external to the criminal justice system.[2] External costs, like the previous classification, may be further subdivided into:

- Public expenditures--direct outlays for, or the imputed value or, goods and services provided or financed by governmental agencies or units.[3] For example, these would include: welfare, health, and mental health departments or facilities; employment and training programs, public schools and departments of education.

- Private expenditures--direct outlays for, or the imputed value of, goods and services provided or financed by non-governmental agencies or units.[3] For example, these might include: private employment agencies or day care centers, and private mental health practitioners (not paid under government contract).

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[1]There will be cases in which goods or services are financed through governmental as well as private sources. The ratio of such financing would determine whether they were classified as "private" or "public" expenditures.

[2]The "criminal justice system" is defined to include the agencies or individuals listed under "criminal justice system costs" above.

[3]There will be cases in which goods and services are financed through governmental as well as private sources. The ratio of such financing would determine whether they were classified as "private" or "public" expenditures.

This cost analysis of community-based supervision will be concerned only with those external costs that are associated with probation departments or community service/restitution programs. For example, though the analysis is not concerned with all of the costs of providing educational services to adults, it is concerned with the costs of providing educational services to adults on probation or in community service/restitution programs.

DIRECT AND INDIRECT COSTS

The following types of costs apply to all the categories above (criminal justice and external costs) when a specific activity (for example, probation, citation, summons, diversion) is assessed. Direct costs include personnel and other expenditures associated with the provision of services to clients by a specific service-producing activity; in this report, service producing activity is a probation department or a community service/restitution program. For example, the salary of a probation officer supervising probationers or referring them to outside services would be considered a direct cost of a probation department. Likewise, communications, supplies and other non-personnel operating costs would be considered direct costs.

Services may be provided directly to the activity's clients by the activity itself (the probation department or community service/restitution program) or by other agencies (both within and outside of the criminal justice system). Costs associated with services provided by other agencies within the criminal justice system are provided by other agencies outside the criminal justice system, then those costs, while still direct since the agencies are serving a client of the activity being analyzed, are external direct costs.

Costs which cannot be attributed to a specific service-producing activity, such as a probation department or community service/restitution program, but which are known to be associated in part with that activity, are defined to be indirect costs. Indirect costs, therefore, include:

(1) administrative or surveillance costs which are associated with an agency or organization other than the service-producing activity;

(2) costs which are expended or charged to another agency or organization (except those of other criminal justice agencies noted under direct costs above).

Only direct costs have been analyzed in the Standards and Goals Project's reports for relatively self-contained activities, such as probation departments, community service/restitution programs, correctional institutions, most halfway houses (except those which are a part of a group administered by a single private agency) and diversion projects. Indirect costs associated with general administrative services, which are provided by state or local government personnel, are assumed to be associated with general administration of correctional programs and not specific correctional activities.

OPPORTUNITY COSTS

In addition to criminal justice system and external costs described above, another type of cost is considered in this cost analysis of probation departments and community service/restitution programs. Opportunity cost is a measure of the cost which results from the fact that when one activity is undertaken another activity must be foregone. Opportunity cost can be viewed from the perspective of many different levels of resource aggregation, that is, there is an opportunity cost associated with:

- a single resource which could be used in different ways (such as a probation officer who could be employed in a different capacity);
- a set of resources which could be used in alternative community-based supervision/service delivery activities (such as $10,000 of office supplies for a probation department or community service/restitution program);
- a set of resources which could be used in alternative criminal justice program areas (such as a vocational training program for probationers);
- a set of resources which could be used in alternative public or private activities (such as $5 billion in bonds to build a correctional institution as opposed to a new public housing project or a private office building).

In all of these comparisons, if the opportunity cost (that is the product of the activity foregone) is greater than the product of the activity undertaken, there is a loss or "cost" to society above and beyond the eight types of costs described earlier. This loss to society is a social cost to be allocated to undertaking the activity whose productivity is lower. The question of how to define and measure productivity (or even relative productivity) becomes a major problem when the analysis moves from the level of individual resources to criminal justice activities whose "products" are differentially defined as deterrence, rehabilitation and so forth, by policymakers and analysts.

Another opportunity cost to society is the cost of additional crimes committed by offenders during the course of sentence. Because less restrictions are placed upon offenders in community-based supervision activities than in institutions, social opportunity costs costs of additional crimes will be higher for the former than the latter.

Opportunity costs are associated as well with offenders who have entered the criminal justice system. Such individuals incur opportunity costs associated with their employment and leisure opportunities foregone. The level of opportunity costs incurred by offenders also depends upon the degree to which restrictions are placed upon their behavior and choices. Opportunity costs vary directly with the level of restrictions; the highest costs are incurred in institutions, the lowest under community-based supervision (excluding, of course, outright release, fines, and suspended sentences).

Both opportunity costs to society and to probationers or offenders in community service/restitution programs, are analyzed in this report.

ANALYSIS OF COMMUNITY-BASED SUPERVISION/SERVICE DELIVERY COSTS

The typology of costs presented in this appendix serves as an introduction to analysis presented in the Standards and Goals Project's program reports, and as a guide for administrators and planners considering the full costs of existing and contemplated probation departments and community service/restitution programs.

It is beyond the scope of this report to treat all costs of all community-based supervision activities with the same amount of analytical and numerical precision. It will therefore focus on:

- Analyzing costs of most immediate concern to criminal justice decision-makers (primarily public expenditures of the criminal justice system);
- Signaling (and analyzing to the extent possible) other types of costs that are likely to be most significant in calculating the full costs of probation departments and community service/restitution programs.
- Analyzing differences in the costs of current activities and the types of community-based supervision recommended in the Corrections Report.

APPENDIX A-2

SELECTED CHARACTERISTICS OF A SAMPLE OF PROBATION DEPARTMENTS STUDIED

Location	Type	Population (1974)	Active Supervision Cases (1974)	Presentence Investigations	Unit Workload Values: Presentence Investigations[d] (hrs./invest.)	Unit Workload Values: Supervision Case[d] (hrs./month)
Contra Costa County, California	County	583,600	5,048	5,592	6.8	.7
Santa Clara County, California	County	1,181,600	7,193	8,105	4.7 regular (10.3 intensive)	1.2-1.6
Alameda County, California	County	1,088,600	13,185	11,458	N.A.	N.A.
San Mateo County, California	County	572,600	3,795	3,619	9	I-1.2 (34%) II-1.6 (49%) III-2.6 (17%)
Multnomah County, Oregon	County	538,500	1,758	1,603	N.A.	.5
Multnomah County, Oregon	State	538,500	2,350[b]	4,200[b]	2.8 regular (20-40 Impact)	.6 regular (2-8 Impact)
King County, Washington	State	1,134,500	3,697[b]	15,481[b]	6.2 - 7	I .3 (38%) II .5 (35%) III 2.3 (19%) IV 3.3 (8%)
Seattle, Washington	Municipal	503,073[a]	435[c]	1,155[c]	3.3 - 5	.8-2
El Paso County, Texas	County	410,00	1,473	112	6 - 7	1.5
Hennepin County, Minnesota	County	924,800	1,913[b]	1,293[a]	6	1.5
Dade and Monroe Counties, Florida	State	1,468,700	6,791	4,187	4.5 - 6	.5 - 2.5
Jefferson County, New York	State	90,800	179	279	N.A.	N.A.
Lewis County, New York	State	25,100	70	76	N.A.	N.A.
District of Columbia		733,801[a]	3,523	4,008	5	1 - 2.5

[a]Population estimates for cities are for 1973; 1974 estimates had not been completed.

[b]Superior courts only

[c]Municipal courts only

[d]Multiple estimates refer to different classifications. IMPACT is the High Impact Anti-Crime Program.

APPENDIX A-3

DERIVATION OF A SAMPLE BUDGET AND AVERAGE COSTS FOR A "TYPICAL" EXISTING PROBATION DEPARTMENT

This probation department is designed to perform the following functions in a county with a population of 750,000, 500,000 of whom are located in a metropolitan area:[1]

- 4,000 active probation cases
- 350-400 referrals per month (presentence investigation)
  - 40 percent felonies
  - 60 percent misdemeanors
- 250 cases received per month
- 240 cases closed per month (regular completions, early terminations, revocations).

PERSONNEL COSTS

Administrative staff positions are based upon existing staffing patterns for probation departments in the sample. Probation officers are responsible for both presentence investigations and supervision functions. Total probation officer positions are based upon a sample average caseload of 71. The number of supervisors and support personnel are based on staffing ratios of one supervisor to six officers and one support person to two and a half staff respectively. Total staff positions were calculated as follows:

Number of active cases	4,000
Divided by average caseload	71
Equals total probation officers required	57
Number of probation officers	57
Multiplied by staffing ratio	1:6
Equals total supervisors required	10
Total staff	73
Multiplied by staffing ratio	1:2.5
Equals total support staff required	29

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[1]These statistics are based on 1974 data for the sample described in Appendix A-2, USA-JUSSIM data for the National Criminal Justice System (1973), and differential FBI rates for the general population and for cities over 250,000.

The following average salaries were employed in calculating personnel costs[1]:

	High	Low
Director	$22,331	$17,888
Assistant Director	20,451	16,267
Manager budget/statistical reporting	19,976	15,072
Manager, field services	18,570	14,646
Statistician/research analyst	11,590	8,681
Personnel specialist	11,577	8,846
Supervisor	14,808	11,403
Probation officer	11,887	9,174
Support person	6,600	5,112

Fringe benefits were calculated at 15 percent of total salaries.

NON-PERSONNEL COSTS

Nonpersonnel costs, with the exception of rent, utilities, and maintenance costs, were calculated based on sample average nonpersonnel costs per non support staff member. Rent, utilities, and maintenance costs are based on an average of 110 square feet of office space per staff member at high and low average rates of $5.20 and $4.30 per square foot. Average departmental nonpersonnel operating costs by component are as follows:

Item	High Average		Low Average	
	Per Staff Member	Per Non-Support Staff Member	Per Staff	Per Non-Support Staff Member
Rent, utilities, maintenance	$572		$473	
Communications		$301		$248
Supplies		293		216
Travel		213		185
Training		122		104
Purchased services		228		188
Other		144		104

[1]Salary ranges for all positions except support personnel were derived from U.S., Civil Service Commission, Bureau of Intergovernmental Personnel Programs, State Salary Survey, August 1, 1975 (Washington, D.C.: Government Printing Office, 1975). The salary range for support personnel was derived from International Personnel Management Association, Pay Rates in the Public Services (Chicago: 1975).

AVERAGE COSTS

Average caseload per officer	71
Referrals per month	400
Divided by number of officers	57
Equals Average Presentence investigations	7

An (sample) average of 67 percent of working hours are devoted to supervision (including regular completion, early termination, and revocation processing) and 33 percent to presentence investigation. Therefore, average time (workload) values for each function can be calculated as follows:

136 hours per month
x67 percent
91 hours per month

91 hours per month
71 (average caseload)

= 1.3 hours per month per case for supervision and processing.

136 hours per month
x33 percent
45 hours per month

45 hours per month
7 presentence investigation per month

= 6.4 hours per investigation

Average costs per function are calculated as follows:

	Average High	Average Low	Mean
Total operating costs	$1,165,851	$1,138,751	$1,302,301
Divided by number of probation officers	57		
Equals	25,717	19,978	22,847
Divided by number of working hours/year	1,634.5		
Equals average operating cost/probation officer working hour	$ 15.73	$ 12.22	$ 13.98

[1]Probation officer working hours does not include training, administrative responsibilities, or personal time. Appendix A-4 contains a complete breakdown of probation officer working (and non-working hours per month.

Multiplied by average time values for supervision and presentence investigation	1.3 6.4		
Equals average cost/function:			
supervision	$ 20.45/month $245.31/year	$ 15.88/month $190.63/year	$ 18.17/month $218.09/year
presentence investigation	$100.67	$78.21	$89.47

APPENDIX A-4

UNIT WORKLOAD VALUES AND STAFFING CALCULATIONS
FOR A PRIMARILY URBAN COUNTY PROBATION DEPARTMENT
OPERATING IN COMPLIANCE WITH THE CORRECTIONS STANDARDS

DERIVATION OF PROBATION OFFICER WORKING HOURS PER MONTH

Total Annual Working Hours:	8 hours/day
	260 days/year (52 x 5)
	2,080 hours
Subtractions:	
vacation	8.0 hours/day
	12.5 days
	100.0 hours
personal leave, sick leave	8.0 hours/day
	5.0 days
	40.0 hours
recurrent training	52.0 weeks
	1.0 hour/week
	52.0 hours
special training (seminars, conventions, training programs)	8.0 hours/day
	2.5 days
	20.0 hours
personal, administrative, intra-departmental communication, etc.	260.0 days
	-26.5 days (12.5 + 5 + 6.5 + 2.5)
	233.5 days
	x 1 hour/day
	233.5 hours
Total Subtractions	445.5 hours
	2,080.0 total annual working hours
	445.5 total subtractions
Total net annual working hours	1,634.5 hours
	1,634.5
	÷ 12.0 months/year
Net monthly working hours	136.2

APPENDIX A-4 (cont'd)

UNIT WORKLOAD VALUES

Presentence Investigation	Hours per Case	
	short form	long form
preliminary case review	.50	.75
interview with defendant	.70	1.00
interview with others	.50	.90
collection of background information	1.10	2.10
verification	.70	1.10
report dictation	.60	1.00
court reporting	.30	.50
other	.10	.15
total	4.50	7.50

regular completion processing	.25
early termination processing	.40
revocation processing	6.50

Probation Services

needs assessment	1.5 hours/case/team member (3 team members for a total of 4.5 hours)
supervision/service need classification	hours per case/month (75% direct service delivery) (25% monitoring)
minimum	.75
medium — low (service needs)	1.50
medium — high (service needs)	2.00
maximum	3.00

DERIVATION OF STAFFING REQUIREMENTS FOR A PRIMARILY URBAN COUNTY PROBATION DEPARTMENT OPERATING IN COMPLIANCE WITH THE CORRECTIONS STANDARDS

Output: 4,000 active probation cases

minimum		1,000	(25%)
medium	low	1,200	(30%)
	high	1,000	(25%)
maximum		800	(20%)

400 presentence investigations/month

- 150 long form
- 250 short form

250 cases received/month

240 cases terminated/month

- 154 regular completion
- 70 early termination
- 16 revocations

PROBATION OFFICER STAFFING REQUIREMENTS FOR THE SERVICES TO THE COURTS DIVISION

Functions		Resource Requirements	
Presentence Investigation	short form	250.0	cases/month
		4.5	hours/case
		1,125.0	hours/month
	long form	150.0	cases/month
		7.5	hours/case
		1,125.0	hours/month
Regular Completion Processing		154.00	cases/month
		.25	hours/case
		38.5	hours/month
Early Termination Processing		70.00	cases/month
		.40	hours/case
		28.00	hours/month
Revocation Processing		16.00	cases/month
		6.5	hours/case
		104.00	hours/month

	1,125.0
	1,125.0
	38.5
	28.0
	104.0
Total hours required/month	2,420.0
Net working hours/probation officer/month	÷136.2
Total probation officers required	18.0

PROBATION OFFICER STAFFING REQUIREMENTS FOR THE SERVICES TO PROBATIONERS DIVISION

Functions	Resource Requirements
Needs assessment	250.0 cases/month
	1.5 hours/case
	375.0
	3.0 team members
	1,125.0 hours/month
Supervision/service delivery	1,000.00 cases
	.75 hours/month/case
minimum	750.00 hours/month
	1,200.00 cases
medium (low)	1.50 hours/month/case
	1,800.00 hours/month
	1,000.00 cases
medium (high)	2.00 hours/month/case
	2,000.00 hours/month
	800.00 cases
maximum	3.00 hours/month/case
	2,400.00 hours/month
	1,125.0
	750.0
	1,800.0
	2,000.0
	2,400.0
Total hours required/month	8,075.0
Net working hour/probation officer/month	÷136.2
Total probation officers required	60.0

APPENDIX A-4 (cont'd)

COMPLETE STAFFING REQUIREMENTS

ratio of supervisor/probation officer = 1/6
ratio of support personnel 1/2.5
support personnel consists of:
receptionist
secretary
clerk/typists

	Salary range[a]	
	low	high
Administrative Sector		
Director	$17,888	$22,331
Assistant Director	16,267	20,451
Manager of budget/statistical reporting	15,072	19,976
Statistician/research analyst	8,581	11,590
Personnel analyst	8,846	11,577
3 Support personnel	5,112	6,600
Services to the Court Sector		
Director	$14,646	$18,570
3 Supervisors	11,403	14,808
18 Probation officers	9,174	11,887
10 Support personnel	5,112	6,600
Services to Probationers Sector		
Director	$14,646	$18,570
10 Supervisors	11,403	14,808
60 Probation officers	9,174	11,887
28 support personnel	5,112	6,600

[a]Salary ranges for all positions except support personnel were derived from U.S. Civil Service Commission, Bureau of Intergovernmental Personnel Programs, State Salary Survey, August 2, 1975 (Washington, D.C.: Government Printing Office, 1975). The salary range for staff personnel was derived from International Personnel Management Association, Pay Rates in the Public Service (Chicago: 1975).

APPENDIX A-5

DERIVATION OF MODEL BUDGETS AND AVERAGE COSTS FOR PRIMARILY URBAN COUNTY PROBATION DEPARTMENT OPERATING IN COMPLIANCE WITH THE CORRECTIONS STANDARDS

DERIVATION OF SAMPLE BUDGETS

Personnel Costs

Salaries were calculated in the typical manner for each division.

Number of personnel in each category x average salaries (high, low)
Both number of personnel in each category (in each division) and average salaries are listed in Appendix A-4.

Total departmental costs were obtained by summing up total salary costs by division.

Fringe benefits were calculated by applying a benefit rate of 15 percent. Fringe benefits are assumed to include employer contributions to retirement plans, health, accident and life insurance policies, and unemployment and workmen's compensation programs.

Nonpersonnel Costs

Nonpersonnel costs were calculated based on average nonpersonnel costs (by line item) for the sample of probation departments listed in Appendix A-2. Average rent, utilities, and maintenance costs were based on the total number of staff employed; average costs for the remaining nonpersonnel line items were based on nonsupport staff, as that is the more meaningful denominator. Upward adjustments were made in the training and travel cost components in accordance with the greater-than-current level of training called for in the Corrections Standards.

Rent, utilities, maintenance costs are based on average of 110 square feet of office space per staff member, at a high average rate of $5.20 per square foot, and a low average rate of $4.30 per square foot.

Average and total departmental nonpersonnel operating costs by line item are as follows:

APPENDIX A-5 (cont'd)

Average and Total Departmental Nonpersonnel Operating Costs

Item	High	Staff Members	Nonsupport Staff Members	Low	Staff Members	Nonsupport Staff Members
Rent, Utilities Maintenance	79,508	572	—	65,747	473	—
Communications	29,498	—	301	24,294	—	248
Supplies	28,714	—	293	21,168	—	216
Travel	29,204	—	298	25,382	—	259
Training	16,758	—	171	14,308	—	146
Purchased Services	29,068	—	296	24,010	—	245
Other	14,112	—	144	10,192	—	104
Total Departmental Nonpersonnel Operating Costs	226,862		2,314	185,101		1,890

Total departmental nonpersonnel operating costs were then allocated among the three divisions (administrative, services to the courts, services to probationers) based on either total number of staff, or number of nonsupport staff in each division.

APPENDIX A-5 (cont'd)

Individual Model Budgets

The sample budget for the Administrative division was calculated employing the procedures just described. The Services to the Courts and Services to Probationers divisions' sample budgets were also constructed following the same procedures; in addition, however, total administrative operating costs were allocated between the two divisions based on number of nonsupport staff employed. This indirect administrative cost was included in nonpersonnel costs under the heading indirect (administrative) costs. The allocation calculation was as follows:

	Services to the Courts		Services to Probationers	
	High	Low	High	Low
Total administrative operating costs	133,675	104,265	133,675	104,265
Multiplied by ratio of nonsupport staff per division total departmental nonsupport staff	22/93 = .2366		71/93 = .7634	
Indirect (administrative) cost component per division	31,622	24,665	102,053	79,600

Total nonpersonnel operating costs and total operating costs for each division therefore, reflect inclusion of the indirect (administrative) cost component.

APPENDIX A-5 (cont'd)

DERIVATION OF AVERAGE COSTS

Derivation of Average Costs Per Probation Officer Working Hours

Methodology	Services to the Courts Division			Services to Probationers Division		
	High	Low	Mean	High	Low	Mean
Total operating costs (including the allocated administrative cost component)	$477,456	$371,470	$424,463	$1,489,765	$1,158,101	$1,323,937
Divided by number of probation officers	18	18	18	60	60	60
	$ 26,525	$ 20,637	$ 23,581	$ 24,829	$ 19,302	$ 22,066
Divided by number of working hours/ month	1,634.5	1,634.5	1,634.5	1,634.5	1,634.5	1,634.5
Equals average operating cost per probation officer working hour	$ 16.23	$ 12.62	$ 14.42	$ 15.19	$ 11.81	$ 13.50

APPENDIX A-5 (cont'd)

Derivation of Average Costs for Functions Performed Within the Services to the Courts Division

Methodology	Long Form Presentence Investigation			Short Form Presentence Investigation			Regular Completion Processing			Early Termination Processing			Revocation Processing		
	High	Low	Mean	High	Low	Mean	High	Low	Mean	High	Low	Mean	High	Low	Mean
Average operating cost per probation officer working hour	$16.23	$12.62	$14.42	$16.23	$12.62	$14.42	$16.23	$12.62	$14.42	$16.23	$12.62	$14.42	$16.23	$12.62	$14.42
Multiplied by unit time factor	7.5			4.5			.25			.40			6.5		
Equals average cost per function	$121.73	$94.65	$108.15	$73.04	$56.79	$64.89	$ 4.05	$ 3.16	$ 3.61	$ 6.49	$ 5.05	$5.77	$105.50	$82.03	$93.73

APPENDIX A-5 (cont'd)

Derivation of Average Costs for Functions Performed Within the Services to Probationers Division

Methodology	Needs Assessment			Supervision/Service Delivery: Minimum			(Service needs) Medium - Low			(Service needs) Medium - High			Maximum		
	High	Low	Mean	High	Low	Mean	High	Low	Mean	High	Low	Mean	High	Low	Mean
Average operating cost per probation officer working hour	$15.19	$11.81	$13.50	$15.19	$11.81	$13.50	$15.19	$11.81	$13.50	$15.19	$11.81	$13.50	$15.19	$11.81	$13.50
Multiplied by unit time factor	4.5 (1.5 x 3 team members)			.75			1.5			2.0			3.0		
Equals average cost per function	$68.36 (per month)	$53.15	$60.75	$11.40 (per month)	$ 8.86	$10.13	$22.79 (per month)	$17.72	$20.25	$30.38 (per month)	$23.62	$27.00	$45.57 (per month)	$35.43	$40.50
Average Annual Cost				$136.80 (per year)	$106.32	$121.56	$273.48 (per year)	$212.64	$243.00	$364.56 (per year)	$283.44	$324.00	$546.84 (per year)	$425.16	$486.00

APPENDIX A-6

MODEL BUDGETS FOR A PRIMARILY RURAL COUNTY PROBATION DEPARTMENT OPERATING IN COMPLIANCE WITH THE CORRECTIONS STANDARDS

In this appendix, total and average operating costs are derived for a probation department operating in compliance with the Corrections Standards, but located in a primarily rural county, in order to compare those costs with the costs of the larger probation department located in a primarily urban county (which are presented in sample budgets 2-5). The probation department for which these costs are derived is designed to serve a county with a population of 300,000, 100,00 or whom live in an urban area. This probation department is designed to service 1,500 active probation cases, with 94 cases received and 90 cases closed each month, and 150 referrals/month for presentence investigations. The total breakdown of the probation department's output is as follows:

1,500 active cases

minimum	375
medium - low (service needs)	450
medium - high (service needs)	375
maximum	300

94 cases received per month

90 cases closed per month
- 54 regular completion processed
- 30 early termination processed
- 6 revocations processed

150 presentence investigations
- 38 long form
- 112 short form

The methodology employed in deriving the sample budgets is identical to that presented in the previous appendix, Appendix A-5, with the exception that the (average) travel and communications components of nonpersonnel costs are 20 percent higher in order to reflect the lesser concentration of probationers in an urban area.

DERIVATION OF STAFFING REQUIREMENTS

Services to the Courts Division

Functions	Resource Requirements
Presentence Investigation	
short form	112.0 cases/month 4.5 hours/case 504.0 hours/month
long form	38.0 cases/month 7.5 hours/case 285.0 hours/month
Regular completion processing	54.00 cases/month .25 hours/case 13.5 hours/month
Early Termination Processing	30.00 cases/month .40 hours/case 12.0 hours/month
Revocation Processing	6.0 cases/month 6.5 hours/case 39.0 hours/month

	504.0
	285.0
	13.5
	12.0
	39.0
Total hours required/month	853.5
Net working hours/probation officer/month	÷136.2
Total probation officers required	7

Services to Probationers Division

Functions	Resource Requirements
Needs assessment	94.0 cases/month 4.5 hours/case 423.0 hours/month
Supervision/service delivery	
minimum	375.00 cases/month .75 hours/case 281.25 hours/month
medium (low)	450.00 cases/month 1.50 hours/month/case 675.00 hours/month
medium (high)	375.00 cases/month 2.00 hours/month/case 750.00 hours/month
maximum	300.00 cases/month 3.00 hours/month/case 900.00 hours/month

	423.0
	281.25
	675.0
	750.0
	900.0
Total hours required/month	3,029.25
Net working hours/probation officer/month	÷ 136.2
Total probation officers required	23

Model Budget A-6a

Administrative Division Operating Costs for a Primarily Rural Probation Department Operating in Compliance with the Corrections Standards

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
Director	$22,331	20.0%	$17,886	20.4%
Assistant Director	20,451	18.3	16,267	18.5
Budget analyst/statistician	14,173	12.7	10,882	12.4
Personnel Specialist	11,577	10.4	8,846	10.1
3 Support personnel	19,800	17.7	15,336	17.5
TOTAL SALARIES	88,332	79.2	69,217	78.9
Fringe Benefits	13,250	11.9	10,383	11.8
TOTAL PERSONNEL COSTS	$101,582	(91.0)	$79,600	(90.7)
NONPERSONNEL				
Rent, utilities, maintenance	4,004	3.6	3,311	3.8
Communications	1,204	1.1	992	1.1
Supplies	1,172	1.1	864	1.0
Travel	1,192	1.1	1,036	1.2
Training	684	.6	584	.7
Purchased services	1,184	1.1	980	1.1
Other	576	.5	416	.5
TOTAL NONPERSONNEL	10,016	9.0	8,183	9.3
TOTAL OPERATING COSTS	$111,598	(100.0)	$87,783	(100.0)

Model Budget A-6b

Services to the Courts Division Operating Costs for a Primarily Rural County Probation Department Operating in Compliance with the Corrections Standards

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
2 Supervisors	$ 29,616	14.1%	$ 22,806	13.9%
7 Probation officers	83,209	39.6	64,218	39.26
4 Support personnel	26,400	12.6	20,448	12.5
TOTAL SALARIES	139,225	66.3	107,472	65.7
Fringe Benefits (15%)	20,884	9.9	16,121	9.9
TOTAL PERSONNEL COSTS	$160,109	(76.2)	$123,593	(75.6)
NONPERSONNEL				
Indirect (administrative)	27,900	13.3	21,946	13.4
Rent, utilities, maintenance	7,436	3.5	6,149	3.8
Communcations	3,251	1.5	2,678	1.6
Supplies	2,637	1.3	1,944	1.2
Travel	3,218	1.5	2,797	1.7
Training	1,539	.7	1,314	.8
Purchased services	2,664	1.3	2,205	1.3
Other	1,296	.6	936	.6
TOTAL NONPERSONNEL COSTS	$ 49,941	(23.8)	$ 39,969	(24.4)
TOTAL OPERATING COSTS	$210,050	(100.0%)	$163,562	(100.0%)

Model Budget A-6c

Services to Probationers Division Operating Costs for a Primarily Rural County Probation Department Operating in Compliance with the Corrections Standards

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
4 Supervisors	$ 59,232	9.6%	$ 45,612	9.5%
23 Probation officers	273,401	44.4	211,002	44.0
11 Support Personnel	72,600	11.8	56,232	11.7
TOTAL SALARIES	405,232	65.9	312,846	65.3
Fringe Benefits (15%)	60,785	9.9	46,927	9.8
TOTAL PERSONNEL COSTS	$466,018	(75.7)	$359,773	(75.1)
NONPERSONNEL				
Indirect (administrative)	83,698	13.6	65,837	13.7
Rent, utilities, maintenance	21,736	3.5	17,974	3.8
Communications	9,752	1.6	8,035	1.7
Supplies	7,911	1.3	5,832	1.2
Travel	9,655	1.8	8,392	1.8
Training	4,617	.8	3,942	.8
Purchased services	7,992	1.3	6,615	1.4
Other	3,888	.6	2,808	.6
TOTAL NONPERSONNEL COSTS	$149,249	(24.3)	$119,435	(24.9)
TOTAL OPERATING COSTS	$615,267	(100.0%)	$479,208	(100.0%)

DERIVATION OF AVERAGE COSTS

Derivation of Average Costs Per Probation Officer Working Hour

	Services to the Courts Sector			Services to Probationers Sector		
	High	Low	Mean	High	Low	Mean
	$210,050	$163,562	$186,806	$615,267	$479,208	$547,238
Divided by	7			23		
Equals	$ 30,007	$ 23,366	$ 26,687	$ 26,751	$ 20,835	$ 23,793
Divided by	1634.5					
Average Operating Cost per probation officer working hour	$ 18.36	$ 14.30	$ 16.33	$ 16.37	$ 12.75	$ 14.56

Derivation of Average Costs for Functions Performed Within the Services to the Courts Division

	Long Form Presentence Investigation			Short Form Presentence Investigation			Regular Completion Processing			Early Termination Processing			Revocation Hearing		
	High	Low	Mean	High	Low	Mean	High	Low	Mean	High	Low	Mean	High	Low	Mean
	$18.36	$14.30	$16.33	$18.36	$14.30	$16.33	$18.36	$14.30	$16.33	$18.36	$14.30	$16.33	$18.36	$14.30	$16.33
Divided by	7.5			4.5			.25			.40			6.50		
Equals	$137.70	$107.25	$122,48	$82.62	$64.35	$73.49	$ 4.59	$ 3.58	$ 4.08	$ 7.34	$ 5.72	$ 6.53	$119.34	$92.95	$106.15

Derivation of Average Costs for Functions Performed Within the Services to Probationers Division

	Needs Assessment			Supervision/Service Delivery											
				Minimum			Medium - Low			Medium - High			Maximum		
	High	Low	Mean	High	Low	Mean	High	Low	Mean	High	Low	Mean	High	Low	Mean
Average cost/ month	$16.37	$12.75	$14.56	$16.37	$12.75	$16.37	$16.37	$12.75	$14.56	$16.37	$12.75	$14.56	$16.37	$12.75	$14.56
Multiplied by	4.5			.75			1.5			2.0			3.0		
Average cost per month	73.67	57.38	65.52	12.28	9.56	10.92	24.56	19.13	21.84	32.74	25.50	29.12	49.11	38.25	43.68
Average cost per year				147.36	114.72	131.04	294.72	229.56	262.08	392.88	306.00	349.44	589.32	459.00	524.16

APPENDIX A-7

MODEL BUDGETS FOR A PROBATION DEPARTMENT OPERATING IN COMPLIANCE WITH THE CORRECTIONS STANDARDS BUT UTILIZING PARAPROFESSIONALS AND VOLUNTEERS

In this appendix, operating costs are derived in the form of sample budgets for a probation department with output identical to that described in the text (and in sample budgets 2-6), but utilizing paraprofessionals and volunteers in the provision of certain services. Specifically, paraprofessionals perform the background data collection and verification components of the presentence investigation function and take part in the needs assessment function (one of the three needs assessment team positions will be occupied by a paraprofessional). Volunteers will be utilized in performing the minimum supervision/service delivery function. This will result in the following staffing requirement changes:

PRESENTENCE INVESTIGATION

Of the 4.5 hours required for a short form presentence investigation, and 7.5 hours required for a long form investigation, the collection of background information and verification functions comprise 1.80 hours (40 percent) and 3.2 hours (42 percent), respectively. Hence of the 16.5 probation officers required to perform presentence investigation, paraprofessionals will replace 41 percent or six.

NEEDS ASSESSMENT

Utilizing paraprofessionals in performing the needs assessment function will reduce the number of probation officers required to perform that function by one-third or three officers. Paraprofessionals will be paid the prevailing salary among probation departments which currently employ paraprofessionals, approximately 70 percent that paid probation officers.

MINIMUM SUPERVISION/SERVICE DELIVERY

Volunteers will replace probation officers performing the minimum supervision/service delivery function. As that function requires 750 working hours, the number of probation officers required in the Services to Probationers sector will be reduced by six. Paraprofessionals and volunteers, will, therefore, be responsible for the functions previously performed within the Services to Probationers division by nine probation officers. In addition, one of the supervisors will assume the role of volunteer coordinator.

Utilization of paraprofessionals and volunteers will not affect administrative costs but will lower total and average operating costs for the Services to the Courts and Services to Probationers divisions.[1] Model budgets for a probation department operating in compliance with the Standards and utilizing paraprofessionals and volunteers in the previously identified functions, are presented for the Services to the Courts and Services to Probationers divisions.[2]

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[1]More specifically personnel costs will be lower; five percent of the travel and training components of nonpersonnel costs will be reallocated to a volunteer training component.

[2]For an example of a halfway house utilizing volunteers in the provision of particular services, see Donald J. Thalheimer's Cost Analysis of Correctional Standards: Halfway Houses (Washington, D.C.: American Bar Association, Correctional Economics Center, 1975), p. 68. In the sample budget for that house, one of the line item budget components included funds for volunteer stipends covering transportation, meals, and related expenses. In that example, however, volunteers were required to work within the halfway house (as night and weekend monitors and counselors). As volunteers are not required to do so in one to one probation counseling, it is assumed that no stipends will be paid volunteers. The positions in which paraprofessionals and volunteers are employed in this model probation department are certainly not the only ones in which their lower cost (and perhaps equal or in some instances, higher quality) services can be utilized. Other functions, for example, include the case processing functions (regular completion, early termination, and a portion of the revocation processing function), and the medium-low supervision/service delivery function.

MODEL BUDGET A-7a

Services to the Courts Division Operating Costs for a Probation Department Operating in Compliance with the Corrections Standards and Utilizing Paraprofessionals

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
Director	$18,570	4.0%	$14,646	4.0%
3 Supervisors	44,424	9.6	34,209	9.5
15 Probation officers	178,305	38.3	137,610	38.0
3 Paraprofessionals	24,963	5.4	19,265	5.3
10 Support personnel	66,000	14.2	51,120	14.1
TOTAL SALARIES	332,262	71.4	256,850	71.0
Fringe Benefits	49,839	10.7	38,528	10.6
TOTAL PERSONNEL COSTS	$382,101	(82.1)	$295,378	(81.6)
NONPERSONNEL				
Indirect (administrative)	31,622	6.8	24,667	6.8
Rent, utilities, maintenance	18,304	3.9	15,136	9.2
Communications	6,622	1.4	5,456	1.5
Supplies	6,446	1.4	4,752	1.3
Travel	5,556	1.4	5,698	1.7
Training	3,762	.8	3,212	.9
Purchased services	6,572	1.4	5,390	1.5
Other	3,168	.7	2,288	.6
TOTAL NONPERSONNEL COSTS	82,052	(17.9)	66,599	(18.4)
TOTAL OPERATING COSTS	$464,153	(100.0)	$361,975	(100.0)
TOTAL OPERATING COST SAVINGS AS A RESULT OF UTILIZING PARAPROFESSIONALS AND VOLUNTEERS	$ 13,303	(2.9%)	$ 9,497	(2.6%)

MODEL BUDGET A-7b

Services to Probationers Division Operating Costs for a Probation Department Operating in Compliance with the Corrections Standards and Utilizing Paraprofessionals and Volunteers

Item	Average High	Percent of Total Operating Costs	Average Low	Percent of Total Operating Costs
PERSONNEL				
Director	$18,570	1.3%	$14,646	1.3%
9 Supervisors	133,272	9.6	102,627	9.5
1 Volunteer coordinator	14,808	1.1	11,403	1.1
51 Probation officers	606,237	43.4	467,874	43.1
3 Paraprofessionals	24,963	1.8	19,265	1.8
28 Support personnel	184,800	13.2	143,136	13.2
TOTAL SALARIES	982,650	70.4	758,951	69.9
Fringe Benefits (15%)	147,398	10.6	113,843	10.5
TOTAL PERSONNEL	$1,130,048	(81.0)	$872,794	(80.4)
NONPERSONNEL				
Indirect (administrative)	102,053	7.3	79,600	7.3
Rent, utilities, maintenance	56,628	4.1	46,827	4.3
Communications	21,371	1.5	17,608	1.6
Supplies	20,803	1.5	15,336	1.4
Travel	20,100	1.4	17,470	1.6
Training	11,534	.8	9,848	.9
Volunteer training	1,665	.1	1,438	.1
Purchased services	21,016	1.5	17,395	1.6
Other	10,224	.7	7,384	.7
TOTAL NONPERSONNEL	$265,394	(19.0)	$212,905	(19.6)
TOTAL OPERATING COSTS	$1,395,442	(100.0)	$1,085,699	(100.0)
TOTAL OPERATING COST SAVINGS AS A RESULT OF UTILIZING PARAPROFESSIONALS AND VOLUNTEERS	$94,323	(6.3%)	$72,410	(6.3%)

DERIVATION OF AVERAGE COSTS FOR FUNCTIONS PERFORMED IN PART OR IN FULL BY PARAPROFESSIONALS OR VOLUNTEERS

Presentence Investigation

mean probation officer annual salary	$10,531
divided by number of probation officer working hours/year	1,634.5
equals mean probation officer salary per working hour	$ 6.44
mean operating cost per probation officer working hour for the services to the courts division for a primarily urban probation department operating in compliance with the Corrections Standards (from Appendix A-5)	$ 14.42
less mean probation officer salary per working hour	6.44
equals average other operating costs per probation officer per working hour	$ 4.51

	Short Form Report	Long Form Report
unit time (sub-function performed by paraprofessional)	1.8	3.2
multiplied by average hourly salary	$4.51	$ 4.51
equals salary cost	$8.12	$14.43
unit time (sub-function performed by probation officer)	2.7	4.3
multiplied by average hourly salary	$ 6.44	$ 6.44
equals salary cost	$17.39	$27.69
unit time (complete function)	4.5	7.5
average other cost	$ 7.98	$ 7.98
other cost	$35.91	$59.85
	$ 8.12	$ 14.43
	17.39	27.69
Average Cost Per	35.91	59.85
Presentence Investigation	$61.42	$101.97

Services to Probationers

mean operating cost per probation officer working hour	$13.50
less probation officer salary cost per working hour	6.44
equals average other cost per working hour	$ 7.06

Needs Assessment

unit time (paraprofessional)	1.5
	$4.51
salary cost	$6.77
unit time (2 paraprofessionals)	3.0
	$ 6.44
salary cost	$19.32
unit time (complete function)	4.5
	$ 7.06
salary cost	$31.77
	$ 6.77
	19.32
	31.77
Average Cost per Needs Assessment	$57.86

Minimum Supervision/Service Delivery

salary cost	$ 0
other cost (.75 hours per month times 12 months)	9 hours
	x$ 7.06
	$63.54
Average Annual Minimum Supervision/ Service Delivery Cost	$63.54

APPENDIX A-8

METHODOLOGICAL NOTE ON THE DERIVATION OF SAMPLE AND MODEL BUDGETS USED IN STANDARDS AND GOALS PROJECT REPORTS[1]

For several different types of activities envisioned in the Standards of the Corrections Report (for example, drug and "DOL MODEL" diversion and halfway houses), sample budgets have been derived by the Standards and Goals Project staff. A sample budget is a set of estimated criminal justice system expenditures, by line item (staff salaries by position, fringe benefits, facilities and so forth), for a type of activity suggested in the Corrections Report.

Included as criminal justice system expenditures are direct outlays for, or the imputed value of, goods and services provided by:

- Law enforcement agencies
- Courts
- Legal services, agencies, bureaus or firms
- Other agencies, organizations or individuals whose stated mission could not be carried out if there were no crime
- Activities of organizational units or individuals financed by one of the above.

Estimates shown in a sample budget are derived from, but not necessarily identical with, budget or expenditure statistics from two or more existing activities which have characteristics similar to those advocated by the Corrections Report. Two estimates are provided for each line item--a "high average" and a "low average"--to reflect variation in the cost of approximately the same item (a staff person at a particular level [for example, a police patrolman] or 1,000 square feet of office space) for different parts of the country.

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[1]This appendix was written by Dr. Virginia B. Wright, Research Director for the Standards and Goals Project.

Procedures and assumptions used to derive the particular values shown in the several sample budgets presented in different Standards and Goals Project reports vary, depending on the types of statistical data which are available and the number of places for which such data could be obtained within the Project's time and resource constraints. Therefore more specific procedures and assumptions used in constructing each sample budget are discussed in the text accompanying it.

For other activities envisioned in the Corrections Report, (such as a probation system which has separate procedures and personnel for providing services to the courts and probationers), there are no existing activities which approximate the recommended activity, or budget and expenditure data are so limited that it is not possible to derive a sample budget (as described above). In such cases, model budgets have been derived by the Standards and Goals Project staff. A model budget is also a set of estimated criminal justice expenditures, by line item, but it is not based on expenditure or budget estimates from existing activities. Instead, it is derived from more indirect sources, such as workload estimates for probation officers performing different kinds of services for different types of probationers, ratios of direct and indirect costs for government agencies, and so forth. More specific procedures for deriving a particular model budget are discussed in the text which accompanies it.

APPENDIX A-9

Sample Budget of Annual Criminal Justice Expenditures for an Operational Drug Diversion Activity[a]

ITEM	AMOUNT (1974 DOLLARS) AVERAGE LOW	AVERAGE HIGH	PERCENT OF TOTAL COSTS[d]
PERSONNEL SERVICES			
Wages and Salaries			
Administrative Unit:			
Project Director	$ 17,600	$ 22,100	13.6%
Deputy Director	9,800	14,100	
Administrative Assistant/Bookkeeper	8,800	13,700	
Secretary	6,800	7,900	
Intake and Diagnostic Unit			
Clinical Psychiatrist	17,600	27,300	14.1
Social Worker	8,400	11,300	
Counselor	9,200	16,200	
Secretary	6,800	7,900	
Screening Unit			
Supervisor	10,200	11,300	16.7
Interviewers (3 @ $8,300 and 9,400)	33,200	37,600	
Lab Technician	6,500	9,800	
Escort	7,300	8,200	
Court Liaison Unit (2 @ $8,800 and 9,800)	17,600	19,600	5.0
Tracking Unit			
Supervisor of Evaluation	11,200	11,600	19.2
Case Managers (4 @ $9,300 and 9,600)	37,200	38,400	
Statistical Clerk	7,300	8,400	
Records Clerk	6,300	7,400	
Secretary	6,800	7,900	
Total Wages and Salaries	228,600	280,700	(68.7)
Fringe Benefits	34,290	42,105	10.3
TOTAL PERSONNEL SERVICES	$262,890	$322,805	(79.0)%
OTHER DIRECT COSTS			
Travel	$ 11,000	$ 13,500	3.3 %
Equipment	1,300	1,600	0.4
Supplies	5,700	6,900	1.7
Duplication Services	2,300	2,900	0.7
Rent, Utilities and Maintenance	14,300	17,600	4.3
Communications	3,300	4,100	1.0
Urinanalyses (5,000 @ $2.75 and $3.00)	13,750	15,000	3.9
Miscellaneous	18,200	24,200	5.7
TOTAL OTHER DIRECT COSTS	$ 69,850	$ 85,800	(21.0)%
TOTAL ANNUAL CRIMINAL JUSTICE EXPENDITURES	$332,740	$408,605	100.0%
AVERAGE COST			
Per Client Year (250 per Year)[b]	$ 1,331	$ 1,643	
Per Client Referral (500 per Year)[b]	$ 665	$ 817	
Per "Successfully" Terminated Client (350 per Year)[c]	$ 951	$ 1,167	

Footnotes are on the following page.

[a]This budget includes only those costs of a drug diversion activity which are borne by the criminal justice system. Excluded are the costs of services typically borne outside the criminal justice system, such as drug treatment. These services to which clients are referred are considered as external costs. Also excluded from the above budget are opportunity costs of diversion, including the individual client's loss of the speedy trial and any potential risk to society of increased crime committed by program unit.

[b]The average cost per year is derived by dividing the total criminal justice expenditure by 250, the number of "client slots" available in the sample drug diversion activity. The "design capacity" and the "actual total clients served" of drug diversion activities are assumed to be identical, based on statistics for operational TASC activities. (For DOL-type diversion, actual total clients served and design capacity are estimated at different levels, based on statistics for operational activities.) In this sample drug diversion activity, the typical client tenure is six months. Thus the total number of clients (500) served during the typical year is estimated at twice the number of client slots.

[c]"Successful termination" is defined as meeting the court requirements for successful participation in drug diversion and treatment, with the result that charges against a client are dropped (or at least the penalty is reduced).

APPENDIX A-10

SOURCES AND COMPONENTS FOR ESTIMATES OF EXTERNAL COSTS ASSOCIATED WITH DRUG TREATMENT REFERRAL (FIGURE 13)

[a]Costs per client year and costs per client not necessarily comparable because they come from two sources, the first from SAODAP, the second from Booz Allen. See Source Note below. In the second source, 1973 dollars are inflated to 1974 dollars using the GNP implicit deflations for purchase of all goods and services by state and local governments.

[b]Drug-Free Residential Communities are modeled after Synanon, Daytop, and Phoenix House, therapeutic communities (TC) which are communal, residential, and drug-free. They attempt behavior modification in a strict and highly structured atmosphere. The typical activity has a capacity of 30 clients. Staff includes an administrator, secretary, one in-house resident counselor and eight other counselors; personnel accounts for 63 percent of the total budget. Other budget items include psychiatric consultants (3 hours/week @ $40/hour), 3 percent; travel for staff and clients, 2 percent; equipment, 4 percent; medical intake exams @ $75/exam, 2 percent; utilities and communications, 3 percent; rent and renovation, 7 percent; food ($2.20/client/day), 13 percent; training and lab testing services, 3 percent.

[c]The typical outpatient abstinence clinic is designed to treat 200 patients and is open seven days a week, eight hours a day, with an average of three visits per week per client. No medication will be dispensed in this unit. Because polydrug abusers attend the clinic, professional counseling is especially necessary. Staff includes an administrator, secretary, clerk typist, half-time psychiatrist, a clinical psychologist, psychiatric social worker, vocational rehabilitation specialist and six counselors. Personnel costs account for 64 percnet of the total budget. Other budget items include medical consultants, 2 percent; staff and client travel, 2 percent; equipment, 2 percent; intake medical exams @ $75/exam, 10 percent; utilities and communications, 1 percent; rent, 4 percent; supplies, 3 percent; training, 1 percent; and lab services ($2.50 per urine), 13 percent.

[d]The typical day-care drug-free projects treat 40 clients and operate six days a week for 10 hours per day. It is a structured but non-residential setting geared to redirecting life, emphasizing employment or education for employment. Activities include individual counseling and encounter group therapy three times a week, daily vocational readiness seminars with family threapy and individual vocational counseling as needed. Each client has a job assignment, for example,

food preparation. Enrollment in educational or job training programs or employment begins typically within 90 days. At that time, the client participates in weekly groups and individual counseling as needed until satisfactory adjustment to the community has been made. The costs of clients lunches, therapy, family counseling, and educational and vocational services are included; the costs of services provided by community health and legal aid programs to which the clients may be referred are not. Staff includes an administrator, secretary, three counselors and one vocational rehabilitation specialist. Personnel costs account for 67 percent of the total budget. Other costs are medical consultants (4 hours per month), 1 percent; local travel for clients, 1 percent; equipment, 4 percent; intake medical exams which are contracted at $75 per exam, 5 percent; utilities and communications, 3 percent; rent, 6 percent; food, 8 percent; lab services, 6 percent.

[e]Range in cost is due to economies of scale. The more costly serves 100 clients; the other 300. Both centers are open seven days a week. Staffing patterns satisfy FDA regulations and shares of budget items are as follows:

300 Clients		100 Clients	
Item	Share of Budget	Item	Share of Budget
Personnel 2 administrators secretary clerk typist 1/2 time doctor 4 nurses 1/2 time vocational specialist 4 counselors	71%	2 administrators secretary clerk typist doctor 6 nurses vocational specialist 10 counselors	65%
psychiatric consultants	2%	psychiatric consultants	3%
travel	1%	travel	1%
equipment	1%	equipment	2%
medical exams	6%	medical exams	10%
communications and utilities	1%	communications and utilities	1%
rent	4%	rent	3%
supplies	3%	supplies	3%
training and lab services	11%	training and lab services	11%

[f]Residential methadone maintenance, unlike the drug-free community is geared for fairly rapid turnover; after an average of five weeks the client is back in the community while continuing in an outpatient methadone clinic.

The typical residential program is designed for 48 clients. It operates seven days a week, 24 hours a day and provides detoxification, maintenance, individual and group therapy, family counseling and vocational services on site. Each client has a job assignment, for example, housekeeping. Emergency medical services are available, but the initial physical exam will be contracted out at $75 per exam. Needed legal services are referred to a community legal aid agency and are not covered in this budget. Within a month to six weeks of employment, each maintenance client returns to the community to live and received methadone from the clinic as an outpatient. The staff includes an administrator, secretary, two nurses, one full-time, the other one day a week, three counselors, and one vocational specialist. Personnel costs account for 59 percent of the budget. Additional items are as follows: 4 hours per week for medical consultants, 2 percent; travel and training, 1 percent; equipment, 5 percent; medical exams @ $75 each, 2 percent; utilities and communications, 3 percent; rent and renovation, 9 percent; lab services, 3 percent; food @ $2.20/client/day, 16 percent.

[g]As defined in footnote[b] above and similar to it in the structure of the budget. Based upon survey of drug-free residential communities in Baltimore, Charleston, Chicago, Gary, Watts (Los Angeles), Miami, New Orleans, San Fransisco and South Alameda County, California.

[h]As defined above in footnote[c] above and similar to it in budget structure. Based on survey of outpatient abstinence clinics in cities listed in footnote[g] above.

[i]As defined in footnote[e] above and most similar to budget structure of center for 300 clients. Based upon survey of outpatient methadone centers listed in footnote[g] above.

APPENDIX B

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