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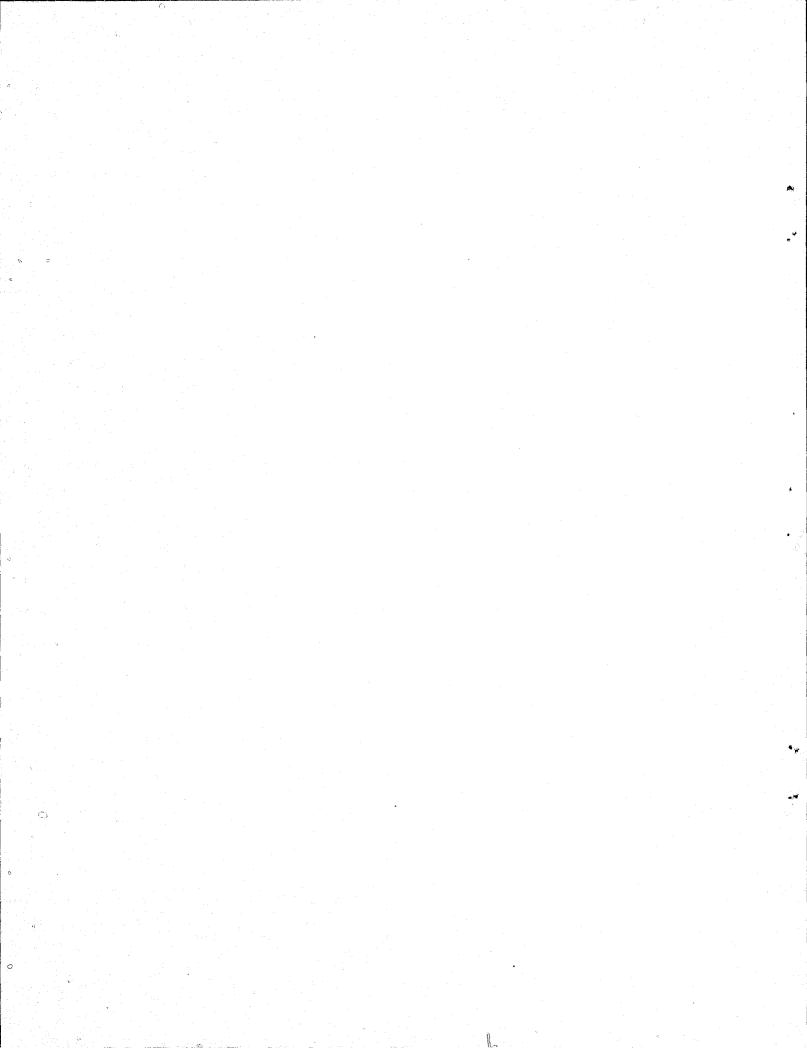


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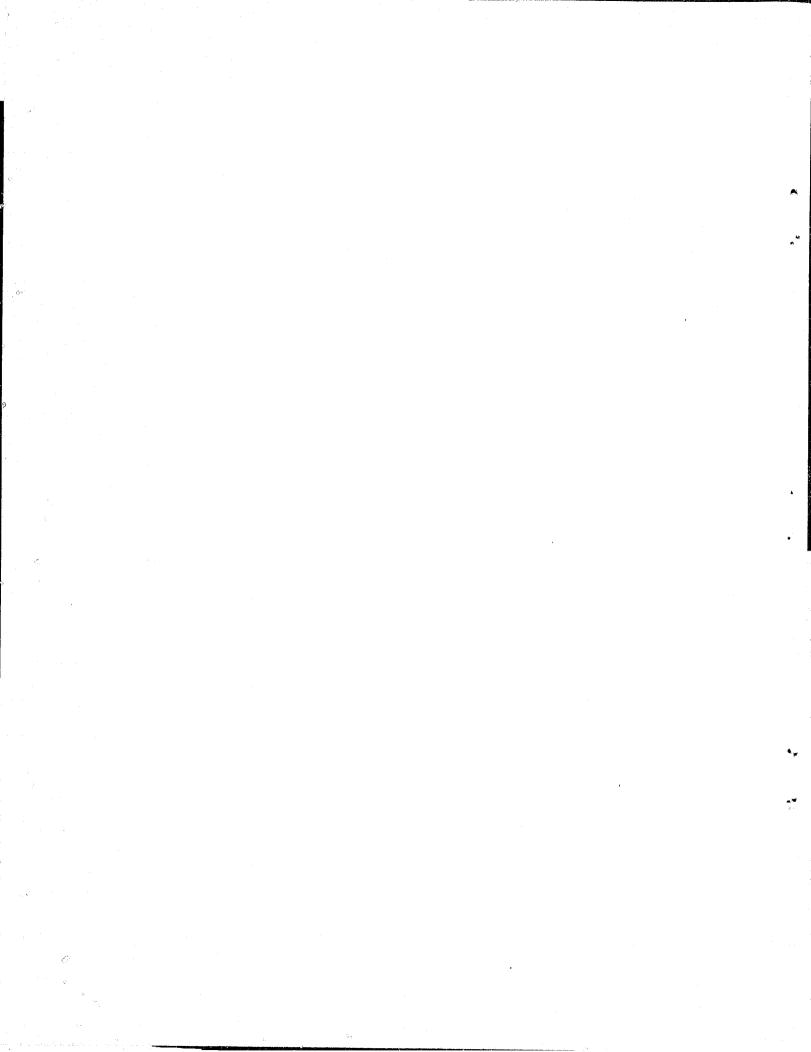
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Highlights

This report summarizes the findings of studies made of seven probation subsidy programs. Four of these special supervision programs dealt with adult probationers; three dealt with juvenile probationers. Following are the major findings:

1. The studies revealed that probation subsidy programs usually serve more difficult offenders than do conventional probation programs.

2. In spite of this fact, the results of the seven AB 180 studies indicate that specialized probation subsidy treatment programs can and do have a significant effect on the rehabilitation of offenders and on increasing public safety.

3. Three counties (Sacramento, San Francisco, and San Mateo) examined the levels of service provided by intensive and regular supervision programs. These three studies clearly showed that more intensive services were provided by the subsidy units.

4. Questionnaire and interview information compiled in the Los Angeles and San Francisco evaluations showed that subsidy probationers viewed their programs in more positive terms, and felt that they were more effective and more supportive than did probationers in regular units. The perceptions of probationers closely agreed with the perceptions of subsidy probation officers.

5. The Fresno and San Mateo evaluation studies revealed that when a concerted effort is made, programs can be effective in preparing probationers for work and in helping them secure employment, and employment was related to lower rearrest rates.

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6. Two of the AB 180 studies revealed that intervention can be effective in diverting juveniles from further penetration into the criminal justice system. Riverside County utilized day treatment centers as an alternative to institutionalization with successful results. San Mateo County utilized a placement intervention program to avoid out-ofhome institutional placements for juveniles in their subsidy unit. Both programs were successful in reducing the need for institutionalization for a sizeable proportion of their caseloads. Both programs brought about substantial cost savings without an increased threat to the safety of the community (i.e., increased violational behavior by subsidy probationers).

7. In four studies, followup recidivism data were collected. All three programs that showed a significant impact on recidivism were specialized subsidy programs that included innovative program elements beyond increased supervision with reduced caseloads.

8. Although the data from these seven modest AB 180 studies are not conclusive, they do support the view that the direction of subsidy should be toward implementing and experimenting with novel, innovative, specialized correctional programs, and away from the routine intensive supervision model which currently is the mode in probation.

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Chapter I

Introduction

This report contains the results of evaluation studies of probation programs operated under the auspices of the probation subsidy program in six selected counties. The funds to carry out these studies were provided by the Legislature as part of Assembly Bill 180 enacted in 1974 (Statutes of 1974, Chapter 411). In addition to the provisions of the act that provided \$2,000,000 in supplemental funds for operational subsidy projects in conjunction with law enforcement agencies, Section 1825(j) WIC allocated \$145,000 for county probation departments to conduct program evaluations of selected subsidy programs, and \$29,000 for the California Youth Authority to provide research consultation to the participating counties and prepare a report of the results of these studies for the Legislature.

The AB 180 subsidy research program is an outgrowth of an earlier study funded by the Legislature through the enactment of AB 368 (McDonald) (Statutes of 1972, Chapter 1004). That legislation for the first time specifically allocated funds for an evaluation of the subsidy program. Two reports resulted from this legislation (Johns, White, and Berkowitz, 1974; 1975). These reports contained comparisons of recidivism data for more than 4,000 juvenile and adult cases in conventional probation, subsidy, and state parole programs in fifteen different study counties. The findings of the AB 368 research can be summarized as follows:

- "Intensive probation supervision, as provided by subsidy, is <u>at least as effective</u> as state incarceration as indicated by recidivism rates for both juvenile and adult offenders.
- The probation subsidy program has resulted in <u>signifi-</u> <u>cantly higher levels</u> of probation services for juveniles and adults placed in 'intensive supervision' caseloads.

3. However, evidence developed by this study <u>did not indicate</u> <u>a significant difference</u> in the level of rehabilitative effectiveness between probation practices under probation subsidy and traditional methods." (Johns, et al. 1975)

The report noted the possibility that some information may have been lost in combining outcomes cf subsidy clients in diverse programs in fifteen different counties. The authors stated that ". . . among the subsidy programs sampled there may be a number of especially effective rehabilitation programs whose performance was offset by averaging them with less successful ones" (p. ii).

Therefore, when the Legislature funded subsidy research for an additional year under AB 180, an opportunity was afforded for a closer look at individual subsidy programs using specific treatment methods and diverse correctional approaches. Two additional benefits from the evaluation of individual local programs were envisioned: (1) local officials could gain experience in objectively assessing the worth of their own programs, and (2) local probation departments could determine how to increase the effectiveness of their programs by modifying their selection procedures. Such modification might include the assignment to special programs of those individuals most likely to benefit from these specific programs and treatment methods.

The issue of differential treatment is one that has not generally been appreciated by laymen or by some professionals in the criminal justice field. Its principal hypothesis is that it is as equally unrealistic to expect one type of correctional treatment to be effective in all situations and with all cases as it is to expect one drug or medical treatment to be R

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effective for all diseases and all patients. This possibility has been recognized by experienced practitioners in the field for at least fifteen years. The California Youth Authority employed the concept of differential treatment in the Community Treatment Project which began in 1961 (Palmer, 1974). Other investigators in the field who have also made a case for differential treatment include Bailey (1966), Jesness, DeRisi, McCormick, and Wedge (1972), Jesness, Allison, McCormick, Wedge, Young (1975), and Glaser (1974). It has long been held that scientific advances in knowledge depend on framing productive questions; poor questions lead to poor answers. Such questions as "Does subsidy work?", "Is subsidy effective?", etc. lead to rather sterile, unidimensional answers. A more productive approach, and one followed in some of the AB 180 research programs, can be stated as follows: "With what types of individuals are certain programs effective and ineffective?"

In addition to differential outcomes, other questions examined in the AB 180 county research projects were:

- a. Can providing employment for probationers reduce the incidence of recidivism?
- b. Will the placement of probation officers on school campuses with high rates of delinquency and attended by a high proportion of juvenile probationers result in a reduction of delinquent acts and an increase in attendance by probationers?
- c. Can day treatment programs provide an effective alternative to the conventional practice of placing

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juveniles in 24-hour detention facilities and at a lesser cost?

- d. How are the social environments of probation subsidy and conventional probation perceived by probation officers and probationers?
- e. How is the probation officer's time actually spent?How much of his time is spent in direct services with the probationer?

This summary report is based on the written reports produced by the seven subsidy programs. Statistics and tables are, for the most part, taken directly from these original reports. In some instances, the original data were incomplete, e.g., numbers of subjects in groups, or methods of matching samples were not described.

The organization of this report is as follows: First, a brief overview of the operation of the AB 180 program is presented; second, research projects conducted in each of the six counties¹ are described in terms of program rationale, program description, evaluation design, and study findings; third, a discussion of program effectiveness utilizing recidivism information is presented; and, finally, a closing section details the conclusions that may be drawn from the AB 180 research program.

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¹The following counties participated in the AB 180 study: Fresno, Los Angeles, Riverside, Sacramento, San Francisco, and San Mateo. Copies of the individual County reports are available from the Research Division, California Department of the Youth Authority.

Chapter II

Description of the County Projects

This chapter provides an account of the organization of the AB 180 research program, and a description of the individual county research project's objectives, methodology, and major findings. The operational features of the overall program will be presented first to provide the reader with a context within which the individual county projects can best be understood.

Assembly Bill 180 authorized the California Youth Authority to grant funds to county probation departments for carrying out evaluation studies of selected probation subsidy programs. The Youth Authority's main function was to coordinate the evaluation efforts of a number of counties. The scope of this coordination role included the initial solicitation of research proposals from the participating subsidy counties, and the selection of proposals that were relevant and offered a balanced approach to the study of the subsidy program. Once the most promising research ideas were selected, the program coordinator, a member of the CYA Research staff assigned to the AB 180 program, worked closely with the counties to develop more comprehensive research proposals. At this stage considerable effort went into planning research designs that would be feasible to execute, and capable of providing valid answers to the questions raised. Only after the research proposals met acceptable evaluation standards were contracts with counties signed.

During the initial phase of the research, the coordinator was available for consultation concerning problems that arose during the actual implementation of the research projects. Sometimes the realities of field

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situations, which could not be foreseen in proposals, required adjustments in the procedures used. Most of the consultation consisted of telephone contacts between the program coordinator and the research project directors in the county probation departments. In some cases, these contacts were with research organizations subcontracted by the counties to carry out the research. The program coordinator also made several visits to each of the projects to provide consultation and to gain a first-hand appreciation of the individual projects that could only be gained through personal contact. The Youth Authority monitored the progress of each of the projects by instituting a uniform quarterly progress reporting system (see Appendix A). In addition, all the AB 180 project directors were invited to attend a meeting of the County Probation Research Organization to present their research and share information and solutions to technical problems. Toward the end of the projects, consultation on statistical methodology and aid in the preparation of the final report were provided.

The counties' participation in the AB 180 projects was one of two basic kinds. Three counties--Fresno, Los Angeles, and Riverside--chose to carry out the research projects within the probation department and assigned department personnel to accomplish the task.² Three other county departments--Sacramento, San Francisco Adult Probation, and San Mateo--chose to contract with private consulting firms to conduct the necessary research. Tasks reported by the first group of counties included administration of funds, selecting an appropriate sample of cases, formulating a data collection

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²Santa Barbara County also participated initially in the AB 180 research program, but because of unforeseen events was not able to complete its evaluation and withdrew from the program,

questionnaire, extracting data from case files, conducting interviews, and providing consultation and input to the subcontractors in preparing the final report.

The organizational structure evolved in the AB 180 research program offered the counties considerable flexibility to pursue their own interests in research, while at the same time encouraging consistent research standards. Although certain problems and difficulties were encountered along the way, it appears that this organizational approach was a valid and useful one, and should be considered again in the future.

Description of the County Research Projects

Following is a description of each of the county research projects that includes the project rationale, a description of the probation program under study, details of the evaluation procedures used, the major study questions, and key findings of the study.

A. Fresno County

1. <u>Program Rationale</u>. One theory of criminal behavior asserts that such behavior is the result of an individual's association with a peer reference group that is alienated from society and holds antisocial values. On the other hand, if an individual identifies with the social system and with others holding prosocial values, he is more likely to accept social conventions and values and refrain from criminal behavior. Of particular importance in developing a tie to conventional values is the individual's success or failure in the world of legitimate work. Therefore, this model hypothesized that by securing employment for the probationer his connection to the social system will be strengthened, a new reference group association with coworkers can occur, and criminal behavior will be reduced.

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2. <u>Brief Program Description</u>. The Fresno AB 180 research program consisted of an evaluation of two components of an employment program operated by the Adult Subsidy Unit at the County Honor Farm. The first aspect of the program emphasized vocational education and counseling. The program included diagnostic testing, basic educational classes taught by instructors from Fresno City College, and referrals to vocational training programs prior to release from the Honor Farm. A job development and placement program comprised the second component of the employment program.

This program emphasized the placement of probationers in on-the-job training employment situations. Wages paid by the employer were partially subsidized by the probation department. In addition to job placement, the program offered the following: (1) diagnostic vocational assessment; (2) psychiatric testing and treatment, if required; (3) technical school and job training; (4) emergency medical, dental, and optical services; (5) educational referral; (6) emergency food and housing; and (7) emergency small loans.

3. <u>Program Evaluation</u>. The assessment of the effectiveness of these programs in increasing employment and reducing recidivism was measured by studying outcomes of approximately 300 probation cases. Almost half of these cases (151) were participants in one or the other of the two employment program components. A total of 150 cases was selected from a minimum service caseload to serve as a comparison group. Both groups were matched on the variables of age, race, education, prior criminal record, and prior employment history. The evaluation consisted of comparing the probationers who participated in the employment program with the comparison "group in terms of their employment and recidivism records. The records

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of the members of each of the two program components were compared with the records of the members in the comparison group.

4. <u>Study Findings</u>. Two basic questions posed by the study were:
(1) Are these programs effective in securing employment for probationers?;
and (2) Does increased employment result in decreased recidivism?

Table 1 presents the average number of days worked during the study period and shows that probationers in each employment treatment group worked significantly more than did probationers in the comparison group sample. About the same proportion found jobs (121 of 147 in the employment groups and 117 of 148 in the comparison group).

Table 1

Average Number of Days Employed During the Study Period for Employment and Comparison Groups

Study Group	Average Number of Days Employed	t-test Values for Comparison With Control Group		
Educational-Vocational Group ($n = 99$)	196	2.2*		
Job Development Group $(n = 48)$	228	3.4**		
Comparison Group (n = 148)	157	•		

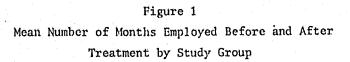
*p < .05

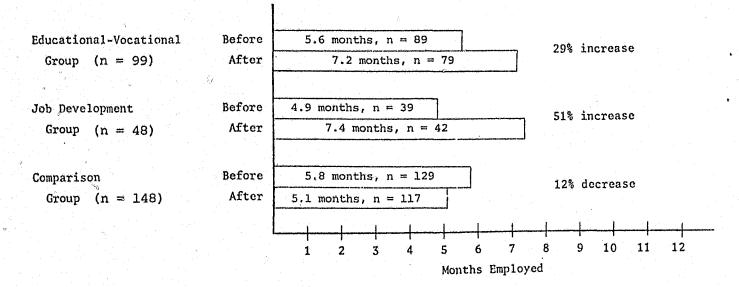
An analysis was also performed to examine the degree of change in mean months of employment for the three study groups. The two time periods

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over which employment data were collected and compared for this analysis were: (1) the 12-month period immediately preceding the probationer's arrest and conviction for current offense, and (2) the 12-month period following "treatmer:" and the acquisition of a job, or the 12-month period after release to probation supervision if no job was ever obtained. These data arg presented in Figure 1.





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The job development group showed a statistically significant increase in number of months employed, with a mean of 4.9 months in the 12 months before and 7.4 months in the year after treatment (t = 3.03, df = 96, p < .01). Although the increase in employment in the educational-

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vocational group was not statistically significant, there was a decided trend in the direction of longer employment in this group. It should be noted that while both employment program groups showed marked gains in employment following treatment, the comparison group actually experienced a decrease in the amount of time employed following probation treatment. These data indicate that increased attention to employment can actually result in more employment for probationers.

Does increased employment lead to a lessening of subsequent crime and increased community safety? The results of this study indicate a positive response to this question. Tables 7 and 8 of Chapter III present arrest and conviction data for the three study groups during the 12-month followup period. Both employment program subgroups showed significantly lower arrest rates than the comparison group. The educational and vocational counseling subgroup also displayed significantly fewer convictions than the comparison group. The job development subgroup conviction rate was also lower than the comparison group, but did not attain a level sufficient for statistical significance.

B. Los Angeles County

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1. <u>Program Rationale</u>. Because of dramatic increases in violent juvenile crime in and around junior and senior high schools in the inner city area of Los Angeles, a program was developed to place juvenile probation officers directly on school campuses. The rationale for this was that because of the probation officers' greater visibility and availability, and because the probation officer could provide a direct and immediate response to disruptive and delinquent incidents, there would be a reduction of these incidents. In addition, it was thought this program might also

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aid in retaining more probationers in full or part-time school programs and in reducing the arrest rate and subsequent referrals of these youth to probation.

2. <u>Brief Program Description</u>. The school Liaison program operated in the inner city area of Los Angeles County and served junior and senior high schools in four contiguous school districts--namely the Inglewood, Compton, Lynwood, and Los Angeles Unified School Districts. A total of 25 schools were serviced by the program. Three of the schools were assigned a full-time probation officer, and the remaining 22 schools had part-time officers. The officer maintained contact with juvenile probationers on his caseload attending the school(s) to which he was assigned. In addition, the school liaison officer was also available to school personnel as a consultant.

3. <u>Program Evaluation</u>. The program evaluation had two basic parts. The first part consisted of gathering attitude and opinion data from the three groups that comprised the program: (1) school staff; (2) probation officers; and (3) subsidy and regular supervision probationers. The second part of the assessment involved a comparison of delinquent activity of subsidy probationers in the program with a matched sample of regular probationers supervised by the same area probation office.

For the first part of the study, 96 personnel from the 25 schools in the program completed a questionnaire regarding the effectiveness of the program. In addition, 16 probation officers involved in the program completed the same questionnaire, as did a subsample of probationers in

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the program and another subsample of probationers under regular supervision.

In the second part of the analysis, the two probationer groups were compared with each other in regard to subsequent delinquent behavior. The two probationer groups were matched on the basis of sex, ethnicity, date of birth, probation activity date, and Welfare and Institutions Code status (all were 602s--i.e., convicted of a felony-type offense in the juvenile court). The basic questions addressed in this study were:

- a. Did the effectiveness of school liaison officers differ from that of regular supervision officers in delinquency prevention on campus and in preventing further law violations of probationers?
- b. Did the effectiveness of the school liaison officer differ from that of a regular supervision officer in facilitating the school adjustment of probationers?
- c. Did the effectiveness of the school liaison officen differ from that of a regular supervision officer in the role of a counselor to the probationers and their families?
- d. How congruent were the views of the probation officers, school personnel, and probationers regarding the effectiveness of the program.
- e. What differences, if any, were there between outcomes with full-time as compared with part-time school

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assignment of officers? Was one more effective than the other?

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4. Study Findings. In order to measure the effect of the school liaison officers in meeting program goals, opinion questionnaires were administered to 61 school liaison probationers, 48 regular supervision probationers, 16 school liaison officers, and 96 school officials. Of most interest are the data from the juvenile probationers who were in a sense the consumers of the program. Figure 2 presents the opinions of the school liaison and regular probationers concerning the effectiveness of the probation officer in 18 areas of interest. The regular probationers serve as a comparison group against which the effectiveness of the school liaison effort can be measured. From Figure 2, it can be seen that the school liaison probationers viewed the liaison program as effective in many areas pertaining to delinquency at school, particularly in the prevention of trouble (item 6), prevention of theft on campus (item 7), prevention of fighting on campus (item 8), and the prevention of weapons on campus (item 9). The program was not viewed as significantly more effective than the comparison group in the areas of facilitating school adjustment and counseling.

An assessment was made of the effectiveness of school liaison officers being stationed full-time at a single school versus those with multiple school assignments. The opinions sampled were from both probation officers and school personnel. The data showed the full-time single school assignments were more effective in flexibly handling student problems, and also more effective in the reduction of school "incidents", vandalism, theft, and weapons on campus. There were no differences in the way the probation

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Figure 2

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Overview of Average (Mean) Opinions Regarding Probation Intervention from the Standpoint of Regular Supervision Probationers and School Liaison Probationers

		0	0	Regular Supervision Probationers (n = 48)
		.		School Liaison Probationers $(n = 61)$
	Areas of Investigation +	1	NO	l yes
1.	Does your P.O. know if trouble is about to happen at school?			9
2.	When there is trouble at school, does your P.O. usually get involved in solving it?	•		
3.	Does your P.O. work with teachers and V.P. to solve trouble situations?			
4.	When there is trouble at school, does your P.O. usually get there right away?			
5.	If your P.O. gets there right away, does this keep the situation from getting worse?			
6.	Does your P.O.'s physical presence prevent trouble?			
7.	Does your P.O. prevent theft on campus?		¢	
8.	Does your P.O. prevent fighting on campus?			
9.	Does your P.O. prevent weapons on campus?			
10.	Is it easy to contact your P.O.?			
11.	Have your grades improved because of your P.O.?			1
12.	Do you attend school more because of your P.O.?			
13.	Is your attitude toward school more positive because of your P.O.?		C	
14.	Has your P.O. helped you feel better about your teachers and Vice-Principal?		ł	
15.	Is it easier to talk to your teachers and Vice-Principal because of your P.O.?	2		
16.	Does your P.O. help you with your personal problems?			
17.	Does your P.O. help you with your school problems?			
18.	Does your P.O. help your family with family problems?			0.
		مرادي تواشده زه أحمد تصدير الرد بروهه		

+Questions asked probationers were sometimes worded differently. The wording on this table used for brevity of presentation.

*Statistically significant difference (p < .05).

**Statistically significant difference (p < .01).

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Figure 2 represents the mean opinion of 61 School Liaison Probationers and 48 Regular Supervision Probationers. These opinions were obtained by interview and later scored, assigned numerical value and dichotomized into this table.

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officers and the school personnel viewed the effectiveness of the program. Thus it appears that the school liaison program was successful in achieving its goal of preventing delinquent acts on school grounds. It also appears to have achieved success in reducing the recidivism among the juvenile offenders it served, a point discussed in greater detail in the following chapter.

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C. Riverside County

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1. <u>Program Rationale</u>. The two community day treatment centers in Riverside County were established to provide an alternative to closed institutional settings for juvenile wards in need of intensive daily supervision. The objective was to try to have the wards remain with their families, if this was possible, and to have an effective alternative that was less costly than institutional placement.

The day treatment program philosophy was based on three key assumptions: (1) the principal responsibility for the child's well-being and growth lies with the family; (2) raising a child's academic achievement to competitive grade levels will induce him to participate constructively in the school system; and (3) improving the child's communication with family, schools, etc., will strengthen these relationships and increase his socialization within these settings.

 <u>Brief Program Description</u>. The county had two day treatment facilities, one located in Riverside and the other in Indio. Each center handled about 15 juveniles of both sexes. The criteria for inclusion in the program were: a) that the juvenile had been excluded from school;
 b) that an institutional placement was imminent; and c) that his behavior

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had come to the attention of the probation department through a multiplicity of sources. Rather than send these juveniles to a 24-hour care facility such as a residential home or county camp, the intermediate alternative of day treatment was tried. This prospect offered several possible advantages over full-time care, namely that the individuals could be maintained in the community in which they would have to eventually adjust, and secondly, the cost of day treatment is considerably less than full-time care.

The staff in each facility consisted of a senior deputy probation officer, a deputy probation officer II, two probation aides, a credentialed special education teacher, and a quarter-time psychologist. An initial treatment plan was established during the first two weeks the ward was in the program, and all staff were involved in its formulation so that all could work in a manner consistent with the goals of the plan. The plan included both academic and behavioral components. The treatment utilized a system of recognition for positive behavior and setting of goals which could serve as a measure of success.

The program, in addition to providing educational experience, also provided group and individual counseling. In addition, the program provided aftercare supervision for a period of four to six months after the ward had left the center and returned to the community. The DPO II worked with the ward and his family until wardship was terminated or until the ward could function satisfactorily under conventional field supervision.

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3 <u>Program Evaluation</u>. Among the specific goals of the program were: (1) to raise the juveniles' academic achievement to competitive levels so

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that they might be able to participate constructively in school; (2) to maintain the level of community safety by reducing the level of recidivism among the program participants; and (3) to achieve the above goals at a cost less than that for 24-hour care.

The basic evaluation design included the assessment of violational behavior of three different groups over a time period which extended from one year prior to treatment to one year after treatment. Each group consisted of 75 youths selected from: (1) the two community day treatment centers who might otherwise have gone to a 24-hour care facility,

(2) conventional probation caseloads, and (3) private institutions utilized by the county. In addition to comparing the groups on violational behavior, they were also tested to assess the levels of academic achievement attained by each group. Also, a cost-benefit analysis was carried out to provide information on the cost effectiveness of the day treatment program. The hypothesis was that the day treatment program could provide a lower cost alternative to institutionalization, without jeopardizing the community.

4. <u>Study Findings</u>. School grade point averages were used to measure the achievement of the first program goal (i.e., to increase academic achievement level). These averages covered five time periods--12 months prior to treatment, 6 months prior to treatment, during treatment, 6 months after treatment, and 12 months after treatment. It was found that these data at five points in time were available for only 12 juveniles in the day center subgroup, and partial data available for an additional 29 youths. For those probationers for whom the data were available, there was a statistically significant increase in grade point average during treatment and at 6 and 12 months after treatment compared to the period 12 months

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prior to treatment. Because of the missing data, this finding requires further substantiation.

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The program seems to have achieved the second goal of recidivism reduction. After a 12-month followup, the day treatment cases had significantly fewer sustained petitions than the institutionalized comparison group. Further discussion of these findings is presented in the following chapter.

The cost benefit analysis performed for both the day treatment program and the institutional program indicated that the institution program cost was approximately three times the cost of the day center for the same amount of benefits (i.e., reduction of offensive behavior as measured by subsequent sustained petitions).

The day treatment program in Riverside County, directed at the more serious offender, appeared to achieve each of its three program objectives.

D. Sacramento County

1. <u>Program Rationale</u>. The program under study in this county was the overall operation of the adult probation subsidy unit as it existed in mid-September 1975. The ideas behind the study were that (1) the character and quality of supervision in a subsidy caseload are much better than in regular supervision; (2) many offenders who would otherwise be sent to state-operated correctional institutions can be maintained in the community without increased jeopardy to the citizens of the community; and (3) this alternative to state incarceration would provide an economic saving to the taxpayer because of the relatively greater expense of maintaining an offender in an institution.

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2. <u>Program Description</u>. An operating subsidy unit generally consists of one supervising probation officer, six deputy probation officers, and supporting clerical staff. Subsidy units have smaller caseloads than conventional probation units, the average being about 30 cases, with a maximum set at 50. Officers receive more advanced training than is normally the case in conventional units in an effort to increase the quality of the supervision provided. In many cases subsidy unit officers are more experienced than their counterparts in conventional probation units.

3. <u>Program Evaluation</u>. The research design involved a sample of approximately 150 subsidy cases and an equal number of high risk cases from conventional supervision units. The study focused on the analysis of differences in the character and quality of supervision practices between subsidy and conventional caseloads. Some of these aspects of treatment were:

- a. Length and frequency of contact.
- b. Who initiated the contact.
- c. Type of contact.
- d. Treatment modes utilized.
- e. Officers' perceptions of the interaction with the probationer.
- f. Probationers' perceptions of the interaction with the officer.

In addition to the assessment of the service components of the program, the research addressed itself to the following three basic questions:

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- a. What are the characteristics of the offenders being handled in intensive supervision caseloads and are they different from those in regular supervision caseloads?
- b. What are the essential differences between subsidy and regular supervision services?
- c. What are the distinguishing characteristics of the offenders who succeed under intensive and regular probation supervision?

4. <u>Study Findings</u>. In regard to the first evaluation question (i.e., the characteristics of subsidy vs. regular cases), it was determined that the subsidy program was handling a distinctly different type of offender than was regular supervision. This conclusion was based on a comparison of thirty different social, individual, and offense characteristics of the offenders. Subsidy caseloads were found to contain more high risk serious offenders than regular supervision caseloads. Subsidy probationers were younger, more likely to be male offenders with very poor employment histories, and came from more unstable family situations than the offenders in regular supervision caseloads.

The subsidy probationers also had more contacts with probation both as juveniles and adults. On the average, subsidy cases had been arrested 5.4 times in comparison to 4.1 for regular supervision. Prior conviction rates were about the same for both groups, but significantly more of the subsidy convictions involved felonies. Over one-third of the regular supervision cases had no prior convictions in comparison to 19% of the subsidy sample.

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Nearly one-third of the subsidy cases had been committed to a state or federal institution at some point in their life compared to only 9% of the regular supervision cases. Seventy-three percent of the subsidy probationers had served time in a county jail as a condition of their current probation grant in comparison to 25% of the regular sample.

On the basis of base expectancy scores (utilizing a modified California Department of Corrections BE instrument), it was found that the subsidy units handled offenders who presented a significantly higher probation risk. Fifty-five percent of the subsidy offenders had base expectancy scores in the higher risk categories, compared to 28% of the regular probationers studied.

With reference to differences in services provided, the <u>frequency</u> of contact of probation officer with subsidy probationers was about four times greater than for regular supervision, although the ratio of field, office, and telephone contacts was about the same in both groups. Table 2 presents the data on average number and type of case contacts for subsidy and regular supervision cases.

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Table 2

	Subsidy Supervision		Regular Supervision			
	Contacts Percent		Contacts	Percent		
Total Contacts						
Phone Field Office	1.1 2.6 0.9	26.2 53.6 20.2	0.3 0.6 0.2	30.0 55.0 15.0		
Total Contacts	4.2	100.0	1.1	100.0		
Distribution of Contacts						
Client Collateral Outside Resources	3.0 1.0 0.2	71.4 23.8 4.8	0.8 0.2 0.1	80.9 14.3 4.8		
Total.	4.2	100.0	1.1	100.0		

Average Number and Type of Case Contacts Between Subsidy and Regular Supervision

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Table 3 classifies the type of supervision that was utilized with study cases during a two-month period. Nearly all of the service in both groups was classified as either surveillance or individual counseling. The subsidy services in the Sacramento Probation Department reflect the department policy of providing increased contact with a client, but as Table 3 shows, subsidy services were not found to be substantially different or any more innovative than those offered in regular caseloads in the county.

Recidivism data were collected for the purpose of analyzing any differences in characteristics associated with an arrest-free probation adjustment. Analysis of the data showed certain characteristics to be significantly related to rearrest. Subsidy cases who were rearrested were younger, single, raised by one parent, had more prior contacts with probation, and had served an average of six months in jail as part of their probation sentence. Among regular supervision cases, only sex, prior juvenile history, and prior institutional experience were significantly related to rearrest.

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Table 3

Casework Approach		ubsidy ervision	Regular Supervision		
	No.	Percent	No.	Percent	
Total Cases	150 -	100.0	149	100.0	
Surveillance	86	58.0	72	48.2	
Individual Counseling	50	33.0	56	37.7	
Specialized Counseling	11	7.0	19	12.9	
Testing	3	2.0	2	1.2	

Casework Approach Used with Regular and Subsidy Clients

 $\chi^2 = 4.0$, df = 3, not significant

Employment and educational level were not factors related to probation success for either group.

The average term of service for both subsidy and regular probationers was 16 months. Fifty percent of the subsidy sample were rearrested during this 16-month period. Approximately 30% of the regular supervision cases were arrested during the 16-month service period. This disparity in arrest rates is not surprising in light of the finding that subsidy caseloads were comprised of a greater number of high risk offenders.

E. San Francisco County

1. <u>Program Rationale</u>. Although the San Francisco County Adult Probation Department has since withdrawn from the state's probation subsidy program, it desired to evaluate the effectiveness of the program when it was in operation. In effect the study is a program <u>post mortem</u>, though the information gathered is applicable to future administrative program decision making.

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2. <u>Program Description</u>. The San Francisco Adult Subsidy Unit program description was similar to that of the Sacramento Adult Unit with the exception that the average caseload ranged from abovit 25 to 40.

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- 3. Program Evaluation. The evaluation objectives of this study were:
- a. To develop a statistical profile of those clients served in the subsidy program.
- b. To determine the services that were most used and seen as useful by probationers.
- c. To assess the social-interpersonal climate in the subsidy program as viewed by both the probationers and probation officer.
- d. To gather data from both the probationer and probation officer regarding the strengths and weaknesses of the program.

In order to achieve these objectives, 45 probationers who had been assigned to the subsidy program and a matched sample of 56 cases assigned to conventional supervision were interviewed regarding their perceptions of their supervision experience and their view of the total program. Interviews were also conducted with 9 officers who had served in the subsidy program and with a sample of ten conventional unit officers. Other data were collected through file searches and administration of a "Probation Environment Scale."

4. <u>Study Findings</u>. Interviews with special supervision unit (SSU) officers and conventional unit officers revealed that SSU officers were more highly satisfied in the special unit than were the officers doing conventional supervision. The SSU officers were happier and more involved in their work than the conventional officers. In addition, the SSU officers saw clients far more frequently than conventional officers. The SSU

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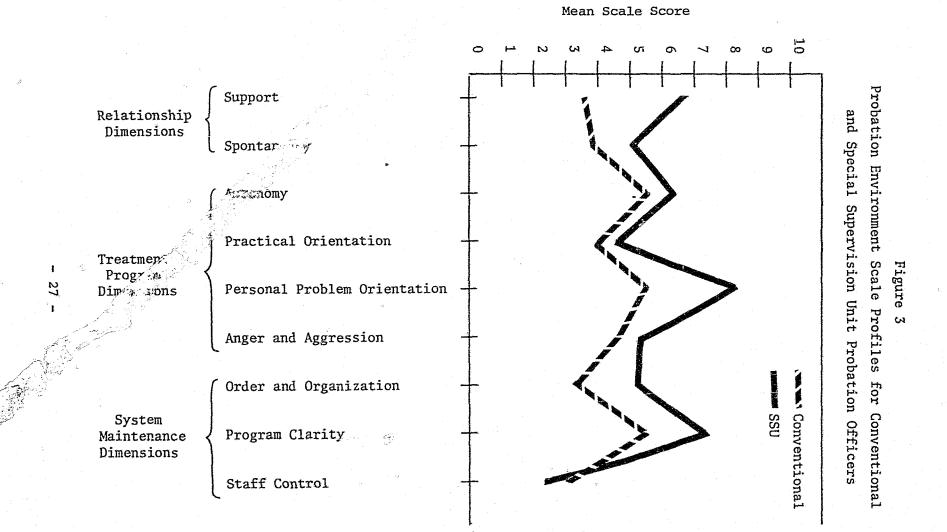
officers' training and smaller caseloads allowed for more contact and gave them the skill to make available more services to their climits.

Analysis of the Probation Environment Scale scores of SSU and conventional probation unit officers indicated that the SSU was seen as higher in support, autonomy, personal problem orientation, and program clarity, and lower in the area of staff control. For the conventional group, most scores were moderate, with support, order and organization, and staff control being low. Figure 3 is a graphic presentation of the responses of the two groups of officers on the scales.

Interview data with special supervision unit and conventional probationers indicated that probationers in the SSU program received more attention and service than did those in the conventional unit. Even though the probation services tended to be seen as compulsory by both groups, they were more accepted and appreciated by the SSU probationers. The clients served by SSU were more likely to view probation as supportive and helpful experience than were the clients on conventional supervision. From the interviews it was clear that the SSU clients felt more commitment and involvement in the program as compared with those probationers in conventional supervision programs.

The perceptions of probation officers and probationers in the SSU and conventional groups were also compared. Results showed that there was a much greater similarity of perception of their respective programs among the SSU probationers and officers than among the conventional probationers and officers.

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F. San Mateo County

1. <u>Program Rationale</u>. San Mateo County evaluated two subsidy programs--one an adult program and the other a juvenile program. The adult program evaluation consisted of an assessment of the regular subsidy program as was done in Sacramento and San Francisco counties.

The special juvenile program studied was the Placement Intervention Program (PIP), a program in which an effort was made to resolve the problems that led to out-of-home placement orders by the court.

The rationale of the Placement Intervention Program was that intensive casework with juveniles who are about to be ordered to an out-of-home placement may resolve the problems that led to such orders, thereby reducing the cost of the community of such placements, while producing no increased risk to the community. It was assumed that the most effective long-range changes in behavior could be accomplished within the family setting.

2. <u>Program Description</u>. In the Placement Intervention Program (juvenile subsidy unit), cases were selected from those in which there was a 90-day suspension on an out-of-home placement order. To be selected, both minor and parents had to formally agree to participate in the program. The unit was therefore given 90 days to work with these cases and their families before returning to court with a recommendation either to modify the order to allow the juvenile to reside at home or to recommend that the court order be carried out without modification. The unit consisted of one supervisor, four male and two female probation officers. The caseload size per officer was 20 cases. In addition, three case aides were also assigned to the unit.

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3. Program Evaluation.

a. Adult Program

The evaluation procedure consisted of studying a sample of 125 cases terminated from subsidy supervision between July 1973 and December 1974, and another sample of 124 cases active in 1971 to 1973 who would presumably have received subsidy supervision had the county operated an adult subsidy program during that period.

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The program objectives were directed toward improving: (1) level and quality of probation services; (2) utilization of community resources; (3) community safety; and (4) correctional effectiveness of the program. The objectives were assessed by comparing number of offenses committed while under supervision with the number committed after supervision had been terminated, and by documenting the frequency and kinds of services provided to the probationer.

b. Juvenile Program

The evaluation of the juvenile program consisted primarily of an analysis of: (1) the reduction of out-of-home placements; (2) the savings to the community that resulted from this reduction; and (3) the subsequent violational behavior of 214 cases referred to and selected to participate in the Placement Intervention Program.

4. Study Findings.

a. Adult Program

In relation to the area of "level and quality of probation services," it was found that adult subsidy cases were contacted almost three times as

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often per month (5.5 versus 1.9 contacts) than were the regular supervision cases (this includes both direct and collateral contacts).

An indicator of the quality of special supervision service was obtained by examining changes in employment status of adult subsidy and regular cases (see Table 4). Twenty percent of the subsidy cases were employed at the time they entered the program while 68% were employed at the time they were terminated. This compares with 41% employment of regular supervision cases at the beginning of their probation and 50% at the time of termination. Program staff attributed the success of the special unit in locating jobs for adult subsidy probationers to help received from other probationers and the additional time available for staff to work on job development with their cases.

Table 4

	Subsidy Supervision		Regular Supervision	
	No.	Percent	No.	Percent
Total Cases	1.25	100.0	124	100.0
Cases Employed at Referral	25	20.0	51	41.1
Cases Employed at Termination	85	68.0	62	50.0*

Changes in Employment Status in San Mateo Adult Probation Study Groups

 $x^{2} = 12.6$, df = 1, p < .01 significant

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The adult subsidy program also appeared to have succeeded in improving utilization of community resources. Table 5 shows that almost 85% of the subsidy cases received outside services as compared to 65% of the regular supervision cases. Outside services most frequently used were agencies dealing with drug, psychological, and vocational problems.

Table 5

Outside Support Services Utilized in San Mateo Adult Probation Study Groups

Type of Services	Subsidy Supervision		Regular Supervision	
	No.	Percent	No.	Percent
Total Cases	125	100.0	124	100.0
Number Receiving Outside Services	106	84.8	81	65.3

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χ^2 = 12.3, df = 1, p < .01 significant

In order to assess the achievement of the "community safety" program, data were collected on arrests and convictions <u>during</u> the 12-month study period. Table 10 of Chapter III presents these data. There was no significant difference in the number of probationers arrested and convicted.

Table 6 presents arrest and conviction data collected for a six-month period <u>after</u> the cases were terminated from probation. The data indicate that there were no significant differences in the performances of the two groups six months after termination with regard to arrests or type of conviction.

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Table 6

Performance	Subsidy Supervision		Regular Supervision	
	No.	Percent	No.	Percent
Total Cases	125	100.0	24	100.0
Cases arrested for a new offense	40	32.0	30	24.2
Total number of convictions	24	100.0	19	100.0
No. of felony convictions	14	58.3	8	42.1
No. of misdemeanor convictions	10	41.7	11	57.9

Number of Arrests and Convictions Six Months After Termination of Service for San Mateo Adult Probation Study Groups

 $\chi^2 = 1.12$, df = 1, not significant

b. Juvenile Program

In analyzing the first goal of the San Mateo Juvenile Subsidy Placement Intervention Program, (i.e., reduction of out-of-home placements), it was found that the project was able to set aside the original out-of-home placement court order in 112 (52%) of the 214 cases in the study. Sixty of the 112 cases were returned to regular supervision caseloads while the other 52 were returned to their homes and wardship was terminated.

It would have cost an average of \$4,085 per case if the original court placement orders had been carried out. The average cost for handling the 214 cases in the Placement Intervention Program was \$954, including cost associated with returning 60 cases to regular supervision. Consequently, the average savings for setting aside the 112 out-of-home placements was estimated to be \$3,131 per case, or a total savings of \$670,222.

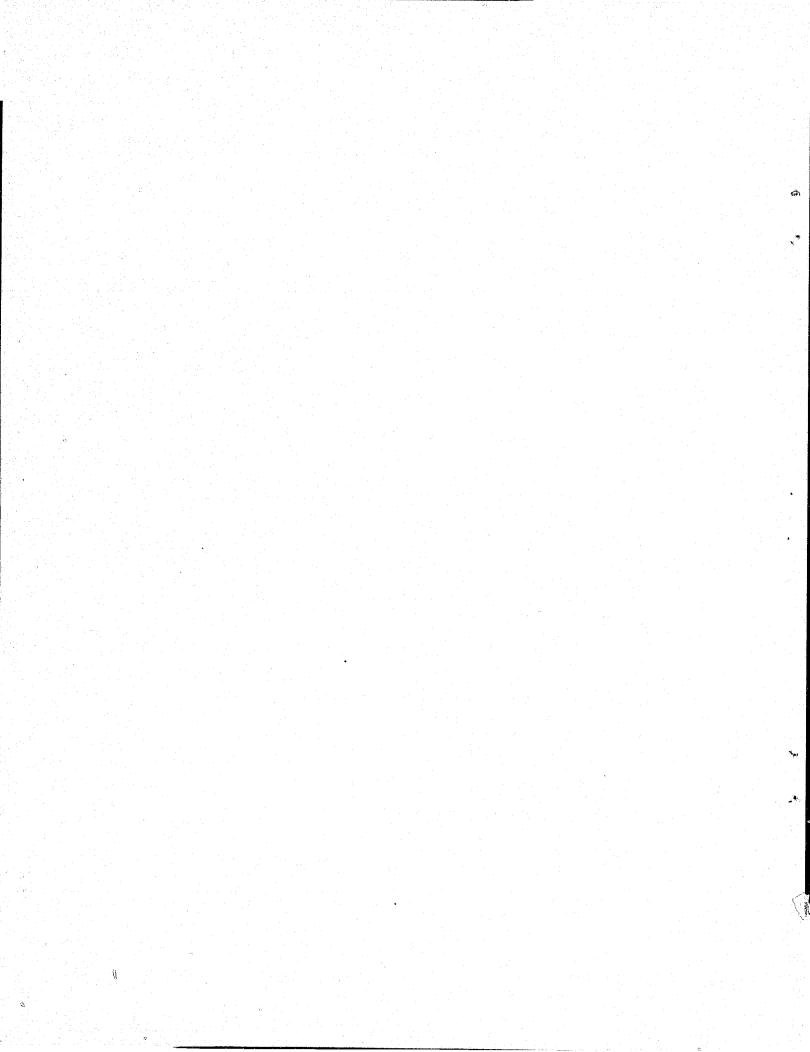
During the subsidy program period, 101 (47%) of the 214 study cases were rearrested. During a follow-up period of one year after termination

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from the PIP program, 103 of the 214 cases (48%) were arrested at least once. For the cases who received out-of-home placement, 74% (75 of 102 cases) were rearrested during the one-year followup period. The arrest rate for cases whom the PIP unit had succeeded in avoiding out-of-home placement was only 25% (28 of 112 cases).

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Chapter III

Probation Subsidy and Recidivism: A Closer Look

Four of the six county research projects funded under AB 180, compared recidivism among probation subsidy probationers with recidivism among probationers in non-subsidy units. The other two studies were primarily process studies that examined the nature of the subsidy program operation and internal program functioning. What follows is a summary of the recidivism data from the outcome studies conducted by Fresno, Los Angeles, Riverside, and San Mateo counties.

A. Fresno County

The subsidy program studied in Fresno County was a specialized employment program for adult probationers comprised of two components--an educational and vocational training program run at the county honor farm, and a job development and placement program. One of the key hypotheses of the program was, "Reduction in time spent in unemployment reduces the rate of recidivism of an offender." *

From a pool of 250 persons who had participated in either employment program, 151 could be located and all necessary data collected. In addition, a comparison group of 150 probation cases was selected from a pool of 1,500 minimum service cases. The selection of comparison cases was done by matching the study group on the variables of age, race, education, marital status, convicted offense, prior criminal record, employment history, and potential risk of recidivism (Base Expectancy Scale Score).

The measures of recidivism were arrests and convictions during the twelve-month period following the conviction for the instant (i.e., current)

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offense. Thus, all probationers were "at risk" for the same amount of time. The findings presented in Table 7 show that both employment program subgroups had significantly lower arrest rates than did the minimum service (comparison) group.

Table 7

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Mean Number of Arrests for Employment and Comparison Groups During the 12-Month Followup Period

Fresno County Probation Group	Number of Cases	Mean Number of Arrests	t-value
Educational-Vocational	101	.60	3.9**
Job Development	50	.80	1.9
Comparison (Minimum Service Group)	150	1.10	

*p < .05

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The number of convictions are shown in Table 8. The educationalvocational counseling subgroup had significantly fewer convictions than did the comparison group. The job development subgroup did not show a statistically significant difference from the comparison group, though their conviction rate was lower.

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Table 8

Fresno County Probation Group	Number of Cases	Mean Number of Convictions	t-value
Educational-Vocational	101	.32	2.1*
Job Development	50	.36	1.0
Comparison (Minimum Service Group)	150	.45	

Mean Number of Convictions for Study and Comparison Groups During the 12-Month Followup Period

*p < .05

Table 9 presents the average length of time until first employed for subjects in each study group who were arrested and not arrested. These data were collected to test the hypothesis that rearrests were related to unemployment. The hypothesis gains support from the data showing that those who were rearrested during the 12-month followup period were unemployed for a longer period of time prior to first employment than were those who were not arrested. For the educational-vocational group and the comparison group, the time differences between those arrested and not arrested were significantly different. In the job development group, the difference was not statistically significant, although a similar trend in that direction is evident.

The data suggest that the specialized probation subsidy program was successful in finding employment for the probationers, and that employment was instrumental in reducing recidivism.

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Table	9
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Fresno County Probation Group	Mean Months First Employed	t-value	
Educational-Vocational			
a. Rearrested b. Not rearrested	3.2 1.6	1.9*	
Job Development			
a. Rearrested b. Not rearrested	3.5 2.4	0.5	
Comparison Group			
a. Rearrested b. Not rearrested	5.5 3.0	2.2*	

Mean Length of Time Until First Employed by Arrest Status and Study Group

^{*}p < .05

B. Los Angeles County

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The school liaison program was a juvenile subsidy probation program in which probation officers were assigned to work in schools located in areas with high crime rates. A large number of juvenile probationers attended these schools. One of the major objectives of the program was, "Reducing arrest rates (police contacts and subsequent referrals to probation resulting in Juvenile Court Action)."

In order to assess the effectiveness of the school liaison program, probationers attending schools in the same probation office area but not served by liaison officers were designated as a comparison group. Thus, the comparison made with respect to recidivism data was between school liaison probation cases and regular probation supervision cases. The regular probation cases were matched with the school liaison cases on the following variables: sex, ethnicity, date of birth, and length of time

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on probation. There was a minor difference between the groups on average length of time on probation, the regular supervision cases having been on probation three months longer. The data show that the cases were otherwise extremely well matched on prior record arrests and petitions sustained. The youths in both groups had extensive prior arrest records.

Figure 4 shows the arrests and petitions sustained for a period of approximately one and one-half years. The data in Figure 4 show that the school liaison cases sustained fewer than one-third the rate of arrests than did the youth on regular supervision, and about one-half of the rate of sustained petitions. Thus, the school liaison program appears to have significantly reduced recidivism among those it served. Although differential decision-making on the part of the officers cannot be ruled out as contributing to the apparent success of the program, the concept of a school liaison program deserves encouragement and further study.

C. Riverside County

The program studied in Riverside County was also a juvenile subsidy project. The project was a Day Treatment Center for juvenile offenders who would otherwise have been committed to 24-hour institutional care. Aside from the potential savings that an effective day center program could generate, it was speculated that there might also be a reduction in recidivism among the juveniles served.

A sample of 75 juveniles (47 males and 28 females) was obtained from the day treatment centers and a similar sample of 47 males and 28 females was obtained from private 24-hour care institutions utilized by

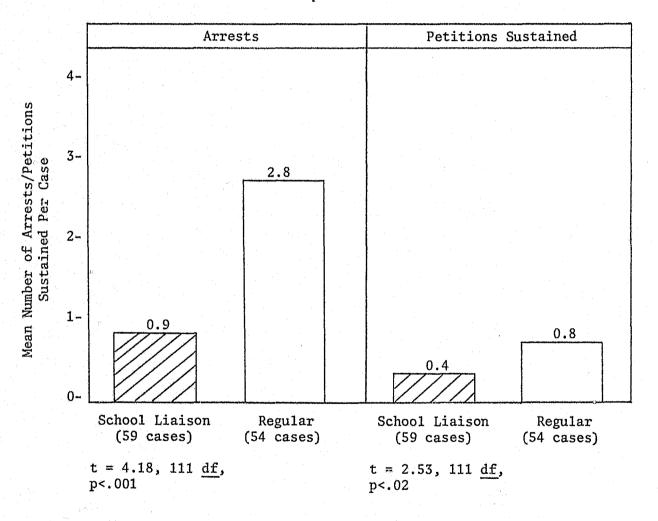
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Riverside County. In addition, a sample of 75 juveniles in conventional probation was obtained.

Figure 4

Mean Number of Arrests and Sustained Petitions During the Study Period for the School Liaison and Regular Supervision Probationers Subsequent to Probation Intervention



These samples were purportedly "matched", but the report does not specify the variables used to match the subjects.

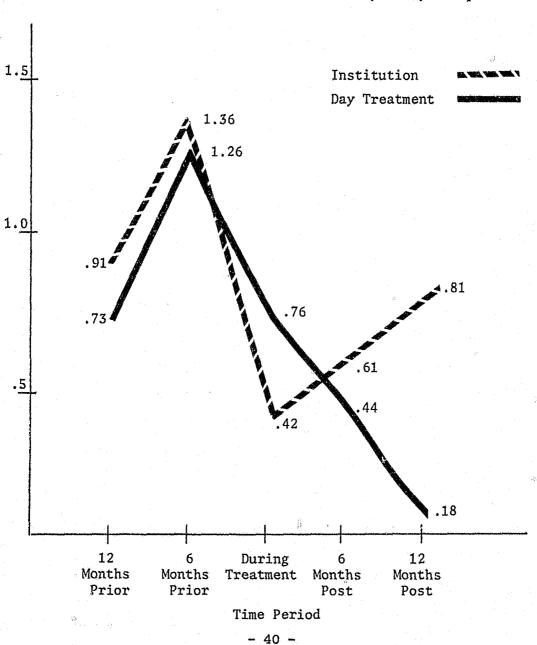
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The number of petitions sustained by the court was determined at five points in time--12 months prior to treatment, 6 months prior to treatment, during treatment, 6 months after treatment, and 12 months after treatment. Figure 5 presents the average number of sustained petitions for the day treatment group and the 24-hour institutional group.



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Figure 5 Mean Number of Petitions Sustained by Study Group During treatment the institutional group had significantly fewer petitions sustained than the day treatment group, but 12 months after release the trend reversed itself and the institutional group showed a significantly greater number of petitions sustained than did the day treatment group. The data on sustained petitions did not show significant differences between the groups prior to treatment. These data indicate that the day treatment program accomplished its objective of reduced recidivism at a reduced cost. This conclusion, however, assumes that the institutional comparison group similar in all respects, an assumption which is not valid due to the lack supportive data in the area of study group characteristics.

D. San Maten County

Included in the San Mateo Adult Subsidy Program study were 125 cases who had been terminal if from subsidy during the 18-month period following the county's reentry into the State's probation subsidy program in July of 1973. The comparison group was composed of 124 cases selected from a pool of 350 high risk cases terminated for meregular probation supervision during the two years prior to the county's recentry into the subsidy program (1971-1973). There was general agreement among the subsidy staff that the cases selected for the comparison group would have been eligible for the subsidy program if it had been in operation at the time. Indeed, the prior criminal histories of the two groups were similar with respect to prior juvenile record and prior adult record.

Table 10 presents the recidivism data for the two study groups. The table shows that both groups had almost identical arrest rates during the 12-month study period (i.e., 1.1 for subsidy vs. 1.0 for regular). In

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relation to convictions resulting from these arrests, it was found that regular supervision had a conviction rate per case of 0.8 compared to 0.5 for subsidy adult probationers. This shows that regular supervision cases who were arrested at the same rate as subsidy cases, were convicted at a rate of almost twice that of subsidy cases. What this means is not clear, but it would appear to represent differential sentencing practices by local courts. At any rate, it can be said that there were no significant differences between the two adult study groups in San Mateo as measured by arrest data. In addition, a followup of 6 months after probation termination revealed no significant differences between the two groups in terms of arrest and conviction rates.

Table 10

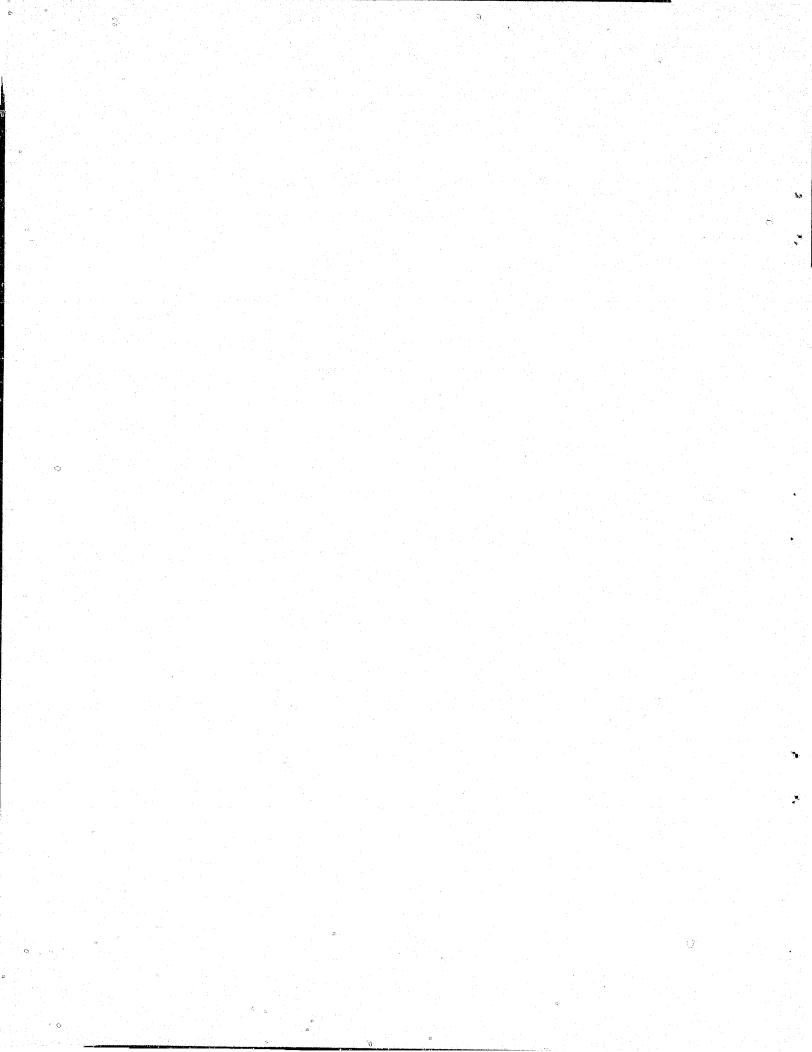
Performance	Subsidy Supervision	Subsidy Supervision
Total Cases	125	124
Number of Subjects Arrested	72	73
Total Number of Arrests	138 •	129
Mean Arrests per Case	1.1	1.0
Total Number of Convictions	62	97
Mean Convictions per Case	<pre></pre>	0.8

Number and Rate of Arrests and Convictions During the 12-Month Study Period for Subsidy and Regular Adult Supervision Cases

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Chapter IV

Conclusions

The results of the seven AB 180 studies presented here indicate that specialized probation subsidy treatment programs can and do have a significant effect on the rehabilitation of offenders and, concomitantly, on increasing public safety. In four studies, followup violational data were collected. It may be no accident that among these four, the three programs that showed a significant impact on the reduction of recidivism were specialized subsidy programs. These programs included innovative program elements other than just increased supervision with reduced caseloads. The one project that showed no significant reduction in recidivism was a study of the effectiveness of a standard intensive supervision subsidy unit. Although the data from these seven modest AB 180 studies are not sufficiently conclusive to warrant a recommendation that future subsidy efforts should be directed toward the implementation of specialized innovative programs, they are highly suggestive. Although unsupported by data, similar conclusions were reached in the study of probation subsidy conducted by the Center on Administration of Criminal Justice at the University of California, Davis.³ These authors recommended that the direction of subsidy should be toward implementing and experimenting with novel, innovative, specialized correctional programs, and away from the routine intensive supervision model which currently is the mode in probation. The data from the AB 180 studies presented here support this view.

³An Evaluation of the California Probation Subsidy Program, 6 vols. Center on the Administration of Criminal Justice, U. C. Davis, September 1975.

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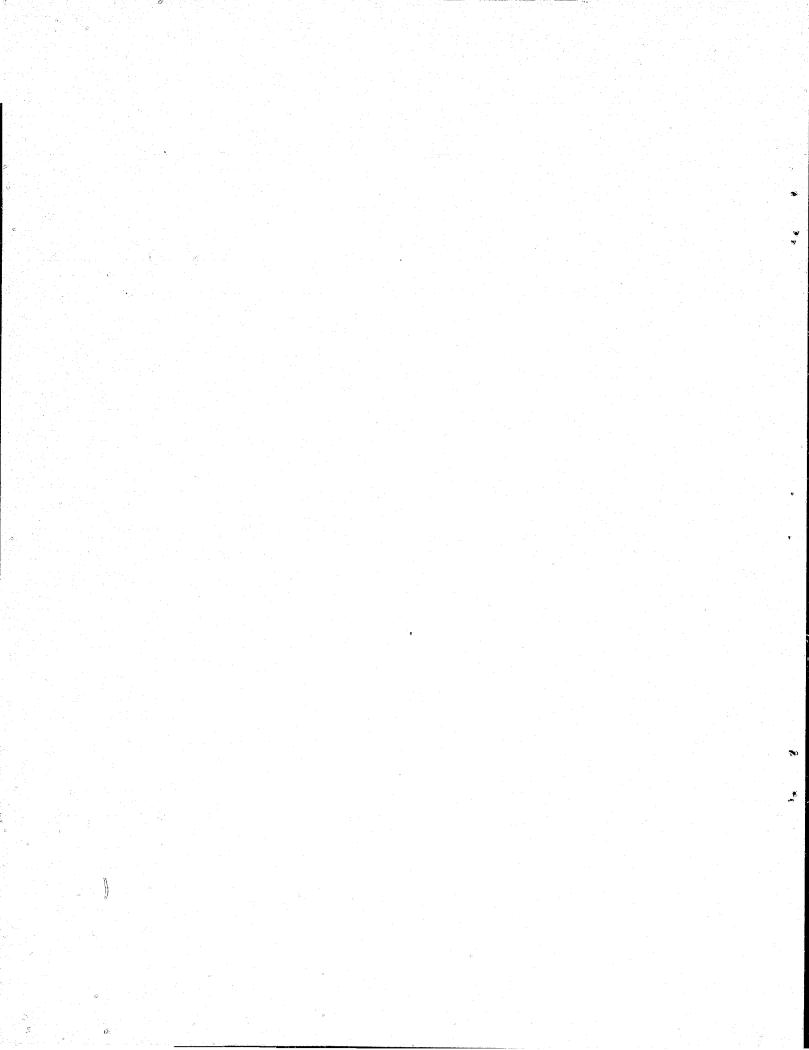
A major reservation regarding these data should be mentioned by way of a caveat to the reader. All four studies that included data on recidivism employed a matching (i.e., quasi-experimental) research design to select individuals for comparison groups to use as a yardstick against which the degrees of effectiveness of the special treatment program could be measured. The validity of this type of design depends on how closely the experimental and comparison groups are matched. Although other demographic and risk measures were included, the primary variable used to match cases in these studies was prior record, the variable most predictive of recidivism. Other variables related to outcome were not included, and in most instances could not be since a selection process was involved in assigning cases to the special programs. Quasi-experimental research designs of this kind are always open to the criticism that these other variables are not taken into consideration in matching the cases. In addition, in most of the studies project staff were unable to locate and obtain data on all of the clients who participated in programs. The influence of this loss of cases on outcomes cannot be assessed.

One answer to the problems posed by quasi-experimental designs is the use of a more powerful research procedure known as random assignment. In this type of design, individuals are randomly assigned to the treatment and control groups. Ordinarily, any effects due to characteristics of those in the program are balanced out, and the program outcomes can more safely be attributed to the type of treatment program, rather than to the possibly biased selection of certain types of individuals for each program. Though this type of design requires more intrusion into the operation of programs and is sometimes inconvenient for operations staff, it provides the most

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scientifically valid data on which program and policy decisions can be made. Future research in subsidy should endeavor to incorporate this superior research methodology. Time constraints relating to availability of research funds prohibited the studies herein presented from attempting evaluation designs utilizing random assignment.

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Appendix A AB 180 Research Progress Report Quarterly Report

Date

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County:

Project Director:

I. Research Component Staffing Expenditures from April 1, 1975 to June 30, 1975 (provide following information for each position).

Classification of Position	Date Position Filled	Duties of Position	Salary/Wages Paid to Date of Position
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Total

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Item	Cost
1.	
2.	
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7.	
8.	
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10.	

II. List all non-personnel expenditures incurred between April 1, 1975 and June 30, 1975 (include travel, consultation, etc.).

Total Cost

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III. List all of the research tasks listed in your flow chart from the previous report, and indicate the proportion of each task completed (if a task has not yet been started, then indicate percent completed for that task).

NOTE: The initial progress report required the presentation of a flow chart of all research tasks necessary for the completion of each task. Each subsequent quarterly report solicited an update of this information.

- IV. If you have fallen behind your target dates for any particular task:
 - 1) State the reason for the delay,
 - 2) Discuss the steps you plan to take to remedy the situation.
- V. If you have had to alter the research design on types of data collected since April 1, 1975, please explain the change and why it was necessary.
- VI. If applicable, please attach a copy of all research forms that you have developed that were not included in your last AB 180 progress report.

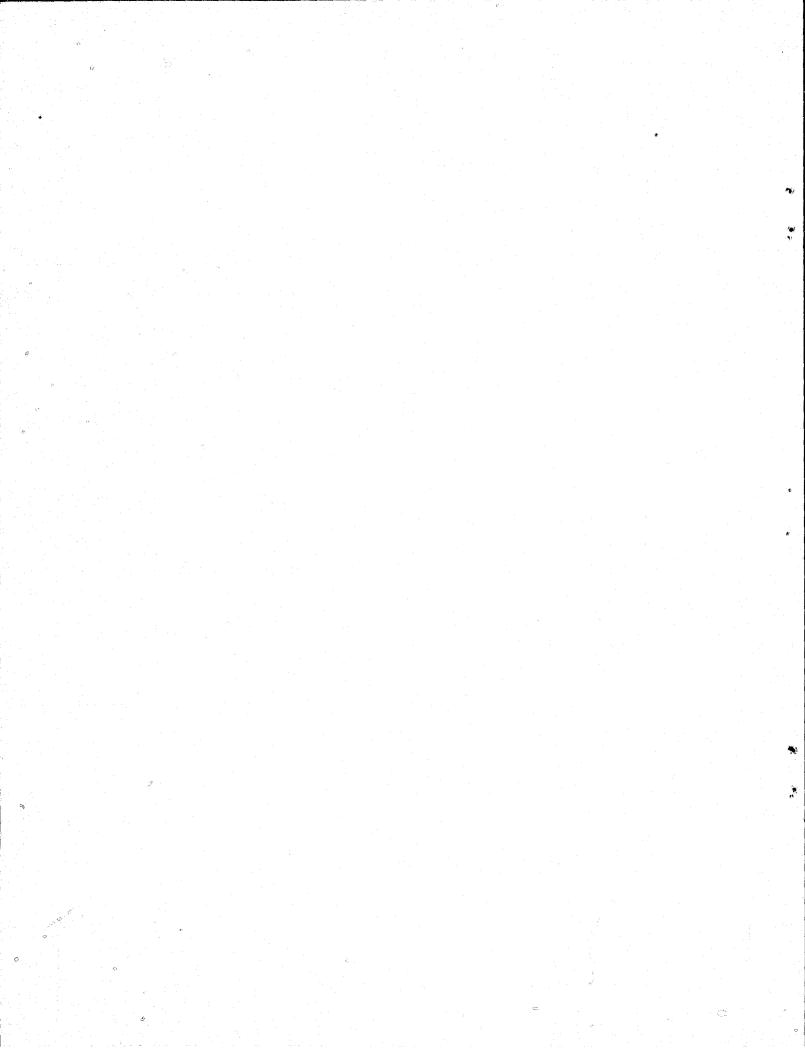
- VII. If you have made changes in your overall study design since your last AB 180 progress report, please graphically present your new research design.
- VIII. Do you anticipate any problems in carrying out any of the research tasks? If yes, please explain.
 - IX. Can the Youth Authority be of help to you in your project? If yes, what would you like help with?
 - X. Feedback to the AB 180 Project Coordinator. What areas of service do you need to be improved? State any current problems. Be frank!

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