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THE TRANSITION FROM PRISON TO EMPLOYMENT:

An Assessment of Community-Based
Assistance Programs

—Evaluation Considerations for an
Individual Project—

Supported Under Grant No. 76NI-99-0083

from the

National Institute of Law Enforcement and
Criminal Justice
Law Enforcement Assistance Administration
U.S. Department of Justice

Principal Investigator: Mary A. Toborg
Co-Investigator: Lawrence J. Center
Co-Investigator: Raymond H. Milkman
Research Associate: Dennis W. Davis

April 1977

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WASHINGTON, D.C.

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ACQUISITIONS

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HIGHLIGHTS

This paper discusses evaluation considerations for an individual employment services program aiding prison releasees. Two major areas are addressed:

- outcomes of program clients, in terms of employment and recidivism; and
- specific services offered by the programs (e.g., counseling, job readiness training, job placement).

Suggested evaluation activities are described at several levels of complexity, so that a program can select the type of analysis best suited to its needs and resources.

Employment Outcomes

Most programs assess the placement rates of their clients. An additional consideration of importance is job stability. Even if a program were to place a large majority of its clients, the positive effects of the program's efforts would diminish if many persons left those jobs soon after and remained unemployed. A useful indicator of job stability is the percentage of the post-program year that clients remained employed. An alternative measure of job stability assesses client employment at specified periods after completing the program (e.g., 30 days, 90 days, one year) and considers the extent of job changes which occur during the follow-up periods.

It is also useful to analyze the "quality" of jobs obtained by program clients. Salary level is often used as a rough indicator of job quality, even though wages alone may not reflect differences in such quality-related factors as working conditions, prestige or opportunities for advancement.

Recidivism Outcomes

Analysis of recidivism is a major outcome area of interest for most employment services programs. Besides recidivism rates, programs may wish to consider the type and severity of crime. There may be important differences in the severity of crimes committed by groups having identical rates of overall recidivism.

It is important to compare employment and recidivism outcomes to assess whether persons with more successful employment outcomes experience better recidivism outcomes. Employment variables of interest include employment status (employed, or unemployed), wage levels and duration of current job.

Need for Comparative Analyses

Client outcomes should be compared with those of similar groups of non-clients, so that the effect of the program's intervention can be determined. Possible comparison groups include:

- prison releasees who were eligible for the program but could not participate because of waiting lists or other neutral factors;
- releasees who were served by other community-based programs (e.g., Comprehensive Employment and Training Programs); and
- releasees returning to the community who are not served by any program but rather seek employment on their own.

Outcome analyses should also consider the characteristics of individuals, to ascertain the types of persons with the most versus least successful outcomes, and the characteristics of programs, to determine whether specific program features are systematically associated with certain outcomes. Individual characteristics of interest include age, race, sex, employment history and criminal history. Program features include types of services offered, methods of service delivery and frequency and duration of services provided.

Service Delivery

A number of evaluation considerations are discussed for the following services:

- assessment of client needs;
- counseling;
- job readiness training;
- supportive services;
- job development;
- job placement; and
- follow-up activities.

In general, these considerations concern ways of analyzing whether a given service seems to affect client outcomes and of assessing the most effective method for providing specific services.

The paper also considers techniques of client identification and whether systematic biases exist in client selection. Additionally, other evaluative areas of importance are mentioned, such as cost analysis and assessment of external factors affecting program operations. Although not discussed in detail in this report, these topics were considered in the state-of-knowledge assessment paper prepared earlier in this study.

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I. INTRODUCTION

As part of its National Evaluation Program, the National Institute of Law Enforcement and Criminal Justice has commissioned a series of Phase I evaluation studies. These studies assess current knowledge about types of projects, the additional information which could be provided through further evaluation and the estimated cost and value of obtaining additional information. In certain instances Phase I assessments may be followed by Phase II evaluation studies to collect the additional information required for more complete knowledge.

A Phase I study has six parts:

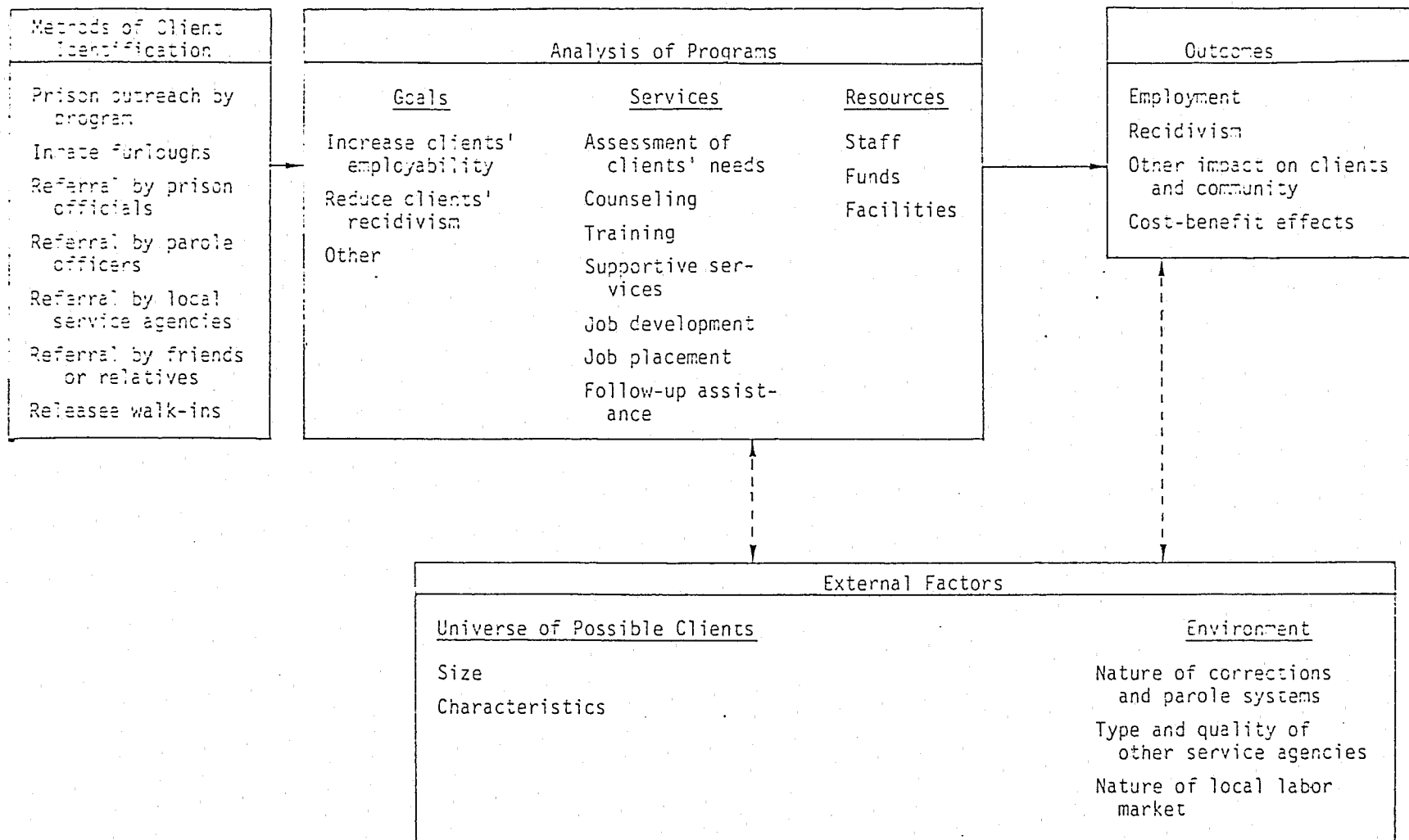
- review of existing literature and work in progress;
- identification of project universe and analysis of actual project operations;
- development of analytical framework for understanding project operations and impacts;
- assessment of the state of knowledge concerning project operations and impacts;
- design of an evaluation of the overall project type; and
- design of an evaluation for an individual project.

This working paper constitutes the result of the sixth study stage, discussing evaluation considerations for an individual project. The assessment of the state of knowledge report presents the results of various evaluation studies conducted for individual projects and provides considerable additional information on evaluation measures and analyses which could be used by individual projects. This working paper incorporates major evaluation ideas discussed in the assessment report and is organized to facilitate use by an individual project.

Because employment services programs vary in terms of their evaluative interests and resources, this paper presents proposals for evaluation efforts at different levels of complexity. Thus, individual programs can utilize the most appropriate types of analyses to meet their own needs and constraints.

Figure 1 shows the analytical framework developed for considering a community-based employment services program serving prison releasees in terms of its operations (goals, services and resources), the external factors which influence program operations, and the outcomes of the programs on clients and society. Much of this paper discusses evaluation of program outcomes, since both programs and funding sources are usually interested in the employment or recidivism outcomes of clients as a reflection of program effectiveness. The other major focus of this paper is on program operations, since programs may exercise great control over those operations and can often implement needed changes relatively quickly. Chapter II discusses specification of goals by which programs can evaluate themselves and program outcomes which reflect achievement of goals. Chapter III discusses analysis of programs' service delivery operations. Chapter IV presents concluding remarks and indicates other types of analyses which programs may wish to implement.

FIGURE 1.—Analytical Framework for Assessing Employment Services Programs



II. PROGRAM GOALS AND OUTCOMES

A. Goals of Employment Services Programs

The main goals of most community-based employment services programs assisting prison releasees are to increase releasee employability and to reduce the likelihood of future criminal behavior. The hypothesis that programs can achieve these goals is a major evaluative consideration.

Although programs usually endorse these two broad goals, more specific service provision goals can often help in the efficient planning of service delivery. Thus, many programs may specify additional goals, such as the provision of certain services or the increased receptivity of the business community toward hiring ex-offenders. Other programs have established operational objectives related to general employment and recidivism goals, such as placing a certain number or percentage of ex-offenders in full-time competitive employment or achieving a specific recidivism rate for all program clients or all program "graduates." For example, Employ-Ex, Inc., a community-based program in Denver, Colorado, has established two main effectiveness objectives: to reduce recidivism of program participants over one year by 25% more than the recidivism experienced by a baseline group of similar ex-offenders and to insure that program participants placed in jobs, training or educational positions will be employed, in training, or in school an average of 60% of the time they are in contact with the program and available for employment, training or school.

Some programs may have difficulty in establishing specific goals and thus state them more broadly. For example, one community-based program's

goals were to develop capabilities of probation-parole and correctional officers to aid ex-offenders in finding and keeping jobs upon release; to enlist the support of employers in hiring ex-offenders; to build an effective working relationship with trade and civic organizations; to integrate the overall ex-offender training and employment program with a Department of Labor program; and to develop an effective delivery system of ex-offenders in job placements.

One example of the manner in which a program can develop overall goals by which later evaluation efforts can be assessed is that utilized by Project H.I.R.E. in Minneapolis, Minnesota. That program operates on a Management by Objectives (MBO) approach. Together with consultants, H.I.R.E. administrators developed eight primary performance objectives. These are to:

- obtain stable employment;
- obtain job placement;
- obtain other employment;
- obtain other manpower services;
- obtain other appropriate community services;
- obtain reasonable earnings;
- minimize program length for positive terminees; and
- minimize program length for non-positive terminees.

Each of these objectives is operationally defined, and the population to which each objective will be applied is specified. The time period for which each is measured, the data source from which the relevant information can be obtained, and the staff members responsible for obtaining it are also determined.

To aid in the evaluation of program achievement of the individual goals, expectancies were established based on staff and consultant experience.

For each program objective, a "minimum," "goal," and "optimal" expectancy is set. Weights are then assigned to each objective, reflecting their relative importance. This system is presented in Table 1, including supplemental measures of program performance.

These program performance objectives are evaluated monthly based upon data submitted by all staff members. Each H.I.R.E. staff member has several performance objectives which correspond to the program's overall objectives. Specific expectancies and variances expected are developed, and each staff member's goals are weighted. This permits assessment of each staff member's contribution to attainment of overall program goals.

The specification of goals will usually affect the types of outcomes which programs analyze, as well as the kinds of employment services which are delivered to clients. Thus, analysis of goals is often an initial evaluation task.

B. Outcomes

The outcomes of participants of employment services programs should be analyzed, since the programs are obviously more effective if they induce long-range changes in client employment performance or recidivism than if only short-range gains are experienced.

1. Employment Outcomes of Program Clients

Employment outcomes of participants of community-based employment services programs can be measured in a variety of ways. The ones selected by program staff will depend on staff, time and other resources available to conduct the outcome study. This discussion covers a number of employment measures and potential data collection methods; programs may select the ones most appropriate for their own purposes.

TABLE 1.—Performance Objectives for Project

PRIMARY OBJECTIVES	MEASURES	APPLICABLE TO
1. Obtain stable employment ¹	% of terminees ⁷ who maintain employment for 90 days	All terminees
2. Obtain job placement	% of terminees who only obtain a job	All terminees
3. Obtain other employment ²	% of terminees who only obtain part-time, seasonal or temporary employment	All terminees
4. Obtain manpower ³ and other services.	% of terminees who are accepted for other manpower services and the Armed Forces	All terminees
5. Obtain other appropriate ⁴ community services	% of all negative ⁸ terminees who are accepted for community services	All negative terminees
6. Obtain reasonable earnings.	Hourly wage	All terminees obtaining Objective 6
7. Minimize positive ⁵ program length	Average # of program days ⁹ (from enrollment to termination or acceptance for training)	All positive terminees
8. Minimize other ⁶ program length		All other terminees

DEFINITION OF TERMS:

1. Stable Employment: Employed on the 90th day following job entry on a full-time (30 hours or more per week), non-seasonal or temporary, unsubsidized job paying at least the minimum wage.
2. Other Employment: Terminated in part-time (less than 30 hours per week) temporary or seasonal employment.
3. Manpower: Full-time participation in CETA or non-CETA training or employment programs or in the Armed Forces.
4. Appropriate: Based on special list of approved types of community service programs.
5. Positive program length: Any terminee who obtains benefits 1, 2, 3, or 4.
6. Other program length: Terminees in any other terminated category other than benefits 1, 2, 3, or 4.
7. Terminees: An enrollee who has either achieved the highest level of benefits felt possible (benefits 1, 2, 3, 4) or an enrollee who has been in the program over 90 days but has not entered a benefit category or has been otherwise terminated from services provided by the program. Enrollees in individual slotting supervised by H.I.R.E. are not considered terminees.
8. Negative Terminees: Those clients who did not obtain a major program benefit at termination (benefits 1, 2, 3, 4).
9. Program Days: Number of calendar days from enrollment to termination with the exception of benefit 1 which is measured at job placement rather than after 90 days of employment.

Table I (cont)

I.I.R.E. Minneapolis, Minnesota

TIME OF MEASURE	DATA SOURCE	OBTAINED BY	EXPECTANCIES			WEIGHTS
			Minimum	Goal	Optimal	
Following CETA Termination and at H.I.R.E. termination	Employers, terminees, Parole Agent or Probation officer	Counselors	45%	55%	65%	40
At H.I.R.E. and CETA termination	Employers, terminees, Parole agent or Probation officer	Counselors	15%	10%	5%	5
At H.I.R.E. and CETA termination	Employers, terminees, Parole Agent or Probation officer	Counselors	8%	5%	2%	5
At H.I.R.E. termination	From that program source	Counselors	2%	5%	10%	10
At H.I.R.E. termination	Terminees on community resource	Counselors	30%	50%	65%	5
On the 90th day of employment	Employers or terminees	Counselors	\$2.95	\$3.35	\$3.60	15
At H.I.P.E. termination	Program record	Counselors	80	70	60	10
At H.I.R.E. termination	Program record	Counselors	60	50	40	10

CLIENT CHARACTERISTICS:

1. Prior work history
2. Occupational Skill level
3. Prior Educational History
4. Ethnic Background
5. Legal Jurisdiction
6. Type of Conviction
7. Length of Time Served
8. Number of Times Institutionalized
9. Types of Offenses
10. Number of Offenses
11. Length of Sentence
12. Existence of a Juvenile Record

SUPPLEMENTS:

1. Cost/90 job completors (Benefit number one)
2. Cost/program benefit (Program benefit: terminees who obtain any benefit category one through four)
3. Graduate rate of enrollees supervised by H.I.R.E.
4. Training related employment
5. Wages for terminees in benefits 2 and 3.
6. Yearly recidivism rate
7. Loss rate between placement and termination in stable employment
8. % of program capacity used
9. Program length by various classes of benefits (one through four)
10. % of referrals accepted by H.I.R.E.
11. % of referrals rejected by other CETA programs
12. Number of enrollees entering individual slotting programs supervised by H.I.R.E.

The most common employment outcome measure utilized by programs is placement rates. Although such information may provide an incomplete picture of client employment success, it can give programs some indication of the relative success they are having in securing employment for participants. However, programs should select a definition of "job placement" which adequately reflects program philosophy and objectives. Examples of possible definitions include:

- placement on a full-time job;
- placement on a full-time job with a minimum wage level; or
- employment on a full-time job for a period of time reflecting successful job adjustment (e.g., two weeks, 30 days, 60 days).

Programs should determine the feasibility of collecting more specific employment outcome data on clients. One variable which can be studied is job stability. Even if a program were to place a large majority of its clients, the positive effects of the program's efforts would diminish if many persons left those jobs soon after and remained unemployed. Therefore, longitudinal studies of employment outcomes are needed.

Programs using longitudinal employment outcome measures often look at the percentage of the post-program year that the client is employed. An alternative measure of job stability assesses client employment at specified periods after completing the program (e.g., 30 days, 90 days, one year) and considers the extent of job changes which occur during the follow-up periods.

Another important outcome consideration is "job quality." Past studies have indicated that too often work does not provide releasees with satisfaction, that they do not receive sufficient positive feedback

from their jobs. One outcome study concluded:

The occupational area is far more than a matter of vocational skills. The degree to which the individual is involved in his work and derives positive feedback ("satisfaction") from it is a crucial matter in the role of occupation adjustment....[J]ob participation and job status are highly discriminating items differentiating...successes from failures....[H]aving a job...as such is not the fundamental predictor. ¹What does predict is what the person does on the job.

Many programs use salary level as a rough indicator of job quality, even though wages alone may not reflect differences in such quality-related factors as working conditions, prestige or opportunities for advancement.

Employment outcome studies conducted by programs should also consider client characteristics. Besides indicating which types of releasees seem to do better, such analyses could help programs assess which services seem most effective with different kinds of clients. Characteristics of interest include:

- age;
- sex;
- race;
- employment history;
- criminal history;
- marital status;
- educational level; and
- criminal justice system status (e.g., unconditional release, conditional release, intensive parole, etc.).

An important consideration for programs attempting to evaluate success in the employment outcomes of clients is choice of a research design. If possible, outcomes of program clients should be considered in connection with outcomes of an appropriate comparison group to assess whether employment results can be attributed to the program's intervention or

might have occurred in the absence of program efforts. Comparison groups consist of otherwise similar persons who did not receive services from the community-based employment services program. Possible comparison groups include:

- Releasees eligible for and desiring to participate in the program, but not participating because of waiting lists or other neutral factors. Persons in this group would be participating but for program capacity limitations or other factors unrelated to their employment potential.
- Releasees in need of employment services who are referred to or decide to participate in other local programs (e.g., Comprehensive Employment and Training Programs, State Vocational Rehabilitation Agency, State Employment Service). This group of persons, if selected to match program participants for appropriate characteristics, would represent those persons with backgrounds and needs similar to program clients but who received services from another source. This provides a reasonable opportunity to evaluate program employment outcomes versus those of other existing programs.
- Other releasees returning to the community who do not come in contact with any programs, but attempt to secure employment on their own. If failure to participate in the program reflects poor releasee motivation, then this group might be expected to have worse outcomes than program clients. Alternatively, if they do not participate because their personal problems are not very serious ones and they possess many necessary job-related skills, then better outcomes might be expected. Consequently, the reasons for their failure to participate should be analyzed to assess probable biases in outcome results.
- Persons who would have been eligible for the employment services program, selected from the period immediately prior to the program's inception. However, this group faces the limitations of any group selected from a different time period than the one under consideration, such as the fact that differences in outcomes may be due more to external changes in the environment over time than to the program's intervention (or lack of intervention).

Important employment outcome analyses based on comparison groups include:

- placement ratios—the percentage of each group who obtained full-time employment;
- employment duration ratio—the percentage of time members of each group were employed during a given time period;
- job interest-related employment analysis—the extent to which members of each group secured jobs in areas or occupations in which they were interested;
- training-related employment ratio—the percentage of each group that obtained jobs in areas for which they were trained (especially if the community-based program arranged the training);
- time needed to obtain employment—the mean time it took for members of the two groups to obtain employment (especially if the program emphasizes job development and placement);
- wage analysis—the mean starting salaries received by members of each group; and
- job upgrading analysis—the extent to which the salaries of members of each group increased over a specified time period.

In addition to analysis of outcome differences for program participants and comparison group members, the implications of those differences for the community and their associated costs should be considered. For example, if comparison group members have higher unemployment rates and/or more frequent periods of unemployment, then they are creating a greater processing burden, with higher costs, for the unemployment insurance system and perhaps for the parole system.

An important consideration in conducting an analysis of employment outcomes is accessibility and completeness of data. Often desires for detailed data must be balanced against the difficulty of collecting the data.

Although a comprehensive analysis of client employment outcomes would require follow-up interviews with former or current program participants and comparison group members, some important outcome data can frequently be obtained from existing records. For example, parole officers are often required to record information concerning the employment status of parolees. This may include employment status, wage level and duration of current job. Programs unable to conduct follow-up interviews with clients will probably find parole officers the most convenient data source.

If parole records are unavailable or inadequate, selected data may be available from employers (e.g., personnel departments, last known supervisor). Also, if efforts to collect data from existing records and to contact clients themselves prove unsuccessful, programs may wish to contact friends or relatives of the clients or comparison group members whose employment outcomes are being tracked.

In some cases, even very limited data on employment outcomes can provide important insight concerning program effectiveness. For example, one analysis of Project H.I.R.E. sought information about such issues as:

- client opinions about the value of the program's services;
- current employment in terms of status and wages; and
- change in employment situation since becoming involved with the program.

A community-based employment services program with sufficient resources for a more comprehensive outcome analysis may find it advantageous to review similar outcome studies. For example, follow-up studies of prison-based employment services program participants have often covered many of the outcome areas relevant for analysis of community-based programs' impact. Since the questionnaires used in such studies

have already been field tested, they provide a useful starting point for development of community-based program employment outcome questionnaires.

Although a program's resources for analyzing client employment outcomes are often quite limited, the importance of such analysis should be recognized. The extent to which programs meet their employment goals by accessing clients to satisfying jobs can only be accurately determined through analysis of the employment patterns over time of program participants vis-a-vis an appropriate comparison group. Consequently, a community-based employment services program concerned with evaluating its effectiveness should give serious consideration to conducting such employment outcome analysis at whatever level of detail it can support.

2. Recidivism Outcomes of Program Clients

Recidivism is the second primary outcome measure for community-based employment services programs helping prison releasees. Most programs attempt to collect some form of recidivism data to gauge program effectiveness, but the specific measures utilized and research designs followed vary considerably. One major factor differentiating outcome studies and available data is the definition of recidivism. Measures used include re-arrest, re-conviction and re-incarceration, including or not including misdemeanors and parole violations. Programs comparing the recidivism rates of different program clients or comparing rates of clients with other groups must be sure the data reflect similar recidivism definitions.

Besides simple recidivism rates, programs may wish to consider the type and severity of crime. Analysis of these factors would differentiate among recidivists arrested, convicted or re-incarcerated for misdemeanors and felonies, for crimes against property and crimes against persons, or for violent and non-violent crimes. Additionally, by assessing

severity of crime, programs could determine whether persons were convicted for larceny or burglary, for victimless or victim-oriented crimes, for parole violations due to a minor infraction or a major offense, etc.

To group all recidivists together may overstate the recidivism of program participants, since those convicted for minor misdemeanors may be grouped with those committing capital offenses.

Programs interested in evaluating the severity of crimes may wish to utilize one of a number of recidivism scales which have been developed in the course of past outcome studies. One such tool, for example, is the Ericson-Moberg Recidivism Index or Recidivism Outcome Index, designed for use with parolees. It utilizes a code based upon dispositions, since presumably penalties imposed reflect the severity of any offense to a large degree. This scale and the definitions of its terms are presented in Appendix A.

Another recidivism scale used to assess criminal behavior is the Law Encounter Severity Scale (LESS), also presented in Appendix A. This tool, developed by the Experimental Manpower Laboratory for Corrections (EMLC), consists of 38 categories of law encounters ranked in order of severity. The collection of data for this and other more detailed scales may prove too difficult for programs short of staff and time. However, for those programs able to engage in comprehensive evaluations of client recidivism outcomes, such tools may prove useful.

In addition to considering severity and type of crime, outcome studies must assess the characteristics of program participants. Besides considering client demographic data such as age, sex and race, programs should consider employment information. Such analysis of employment variables could include employment status (employed versus unemployed), wage levels, and duration of current job. Comparisons with recidivism data

would indicate whether persons with more successful employment outcomes experienced better recidivism outcomes.

Recidivism outcome analyses should also consider program characteristics. Thus, the mix of services, variations in services, frequency of services and length of program participation should be compared with recidivism outcomes. For example, analysis may reveal that clients who receive job readiness training experience lower recidivism rates than those who do not, or that participants who undergo periodic counseling for longer periods of time recidivate less frequently than those who are exposed to relatively brief periods of counseling.

When assessing recidivism outcomes, programs must consider the benefits to be received and difficulties to be encountered in the implementation of various research designs. One major consideration is the choice of an appropriate time frame for analyzing recidivism. Analyses over a relatively short time period can be deceptive in overstating positive program results, since past studies indicate recidivism rates tend to increase over time.

Many past outcome studies have assessed recidivism over a one-year period, and this appears reasonable for most community-based programs. It is a long enough period to offer meaningful effectiveness evaluation results and short enough so that program staff may be able to find clients themselves or to secure information about clients from other sources.

As in the study of employment outcomes, a design utilizing comparison groups would be most appropriate. By comparing recidivism outcomes of program participants with other releasees' outcomes, programs can determine their impact on clients' criminal behavior. Groups which could be utilized include:

- releasees eligible for and desiring to participate in the program, but not participating because of waiting lists or other neutral factors;
- releasees in need of employment services who are referred to or decide to participate in other local programs (e.g., Comprehensive Employment and Training Programs, State Vocational Rehabilitation Agency, State Employment Service);
- other releasees returning to the community who do not come in contact with any programs, but attempt to secure employment on their own; and
- persons who would have been eligible for the employment services program, selected from the period immediately prior to the program's inception.

These comparison groups possess the same advantages and disadvantages for assessing recidivism as for analyzing employment outcomes, as discussed earlier.

In certain circumstances, programs may be unable to structure the comparison groups they desire for a variety of reasons, such as lack of time or resources. Nevertheless, efforts can be made to utilize some group of releasees for comparison purposes. For example, one outcome study of a community-based employment services program wanted to develop a group of releasees which was similar to the program participants for recidivism outcome comparison purposes. Rather than performing a complicated matching process on each characteristic, researchers felt that if non-program participants were matched with program clients on a single variable—type of releasing institution—the two groups would also be similar in most other respects. This, in fact, proved to be the case. Characteristics on which the two groups were similar included socio-demographic data, educational achievement, skill level and employment status at time of admission to institution, institution work, vocational progress ratings in institution, institutional behavior, type of release and time served.

Recidivism outcome analyses based on comparison groups could consider:

- percentage of the two groups recidivating;
- percentage of the two groups recidivating for felonies and misdemeanors;
- percentage of the two groups recidivating for property offenses vs. crimes against persons;
- percentage of the two groups recidivating by types of crime (e.g., burglary, car theft, robbery, assault, etc.);
- percentage of study period persons in both groups spent under supervision of criminal justice system (e.g., in jail, in prison, on probation) for new offenses; and
- frequency of minor and/or major law encounters during follow-up period for members of the two groups.

A major consideration for programs structuring recidivism outcome studies must always be the relative difficulty of collection and analysis of data. Data needed for making comparisons may be incomplete, inaccurate or inaccessible. Programs usually must rely on recidivism data originally collected by other sources, such as parole or police departments. Consultation of prison entrance records may assist programs, but these data may be incomplete. If follow-up with releasees is utilized, it may be difficult to verify volunteered information. Additionally, previous outcome studies have found that:

Many communities, especially the smaller towns and counties, do not send their arrest information to the F.B.I. or even to their State [officials]....Those who do send in arrest information often submit incomplete reports, listing only the subject's charge at the time of arrest. The charge may have been changed when the subject went to court, especially if more evidence had been found or ^{2/}if the subject agreed to plead guilty to a lesser charge.

Programs desiring to collect recidivism data and unable to conduct personal follow-up interviews must rely, in spite of existing data problems, on three main sources: police, parole and corrections officials. Because many program clients are parolees and parole officers are required to keep track of the criminal justice status of their clients, this group

may be the most useful source of information. Another advantage results from parole officials' convenience; they are usually located in the same community as the program.

The least difficult kind of data to collect is probably arrest data, because it is collected immediately on a person's involvement with the criminal justice system and is thus subject to few of the complexities affecting conviction and return data (e.g., plea bargaining, prosecutorial discretion, judicial intervention, etc.). Programs with few resources would likely rely upon rearrest data collected largely from a review of police records or continued contact with parole officials. Programs possessing the staff and desire to conduct more detailed outcome studies may wish to review court data, which may be more accurate than police records and more reliable than information obtained second-hand from parole officers. However, review of court records can be time-consuming.

Regardless of the detail of the analyses conducted, it is important for community-based programs to assess their effectiveness in reducing the criminal behavior of program participants. Such analyses will provide an indication of whether programs' efforts at providing employment services make an impact on recidivism, the hypothesis upon which most programs operate.

III. SERVICE DELIVERY

A. Introduction

This chapter discusses the methods by which community-based employment services programs serving prison releasees can assess their delivery of services to clients. Such analyses constitute "process evaluations" and can provide much useful information for improving program operations.

Most programs serving prison releasees tend to deliver the same kinds of services. These include:

- Assessment of Client Needs—This assessment examines client background, abilities, interests and goals in order to establish a plan by which the program will work with the client.
- Counseling—Counseling usually consists of individualized vocational counseling of and with the client by an assigned staff member. Together the two attempt to fulfill the client's needs and meet the client's vocational goals.
- Job Readiness Training—This training usually provides the client with advice and techniques on looking for and retaining a job.
- Supportive Services—Few programs can provide releasees with all the services they need in order to make a successful transition back to the community. Therefore, programs refer releasees to other appropriate agencies, which offer welfare, medical, psychological, food, clothing, family assistance or other services.
- Job Development—Programs may specialize in developing relationships with area employers and in searching for specific positions for which ex-offender clients can be referred.
- Job Placement—Most programs attempt to place clients in jobs, often on an individualized basis in which a client's abilities and interests are matched with a position's prerequisites and duties.
- Follow-up Support—This support, provided to clients after they have secured jobs, helps them to cope with any problems encountered

on the job and assures them a better chance of retaining employment.

Evaluation considerations related to these services are discussed in this chapter.

Some programs also provide other types of aid, such as vocational training, supported work or educational assistance. Although these services are not described in this chapter, they were analyzed in the assessment report prepared during the fourth stage of this study. Consequently, persons interested in these activities can consult the assessment report.

The number and extent of the services provided by programs, and the chronological order in which services are delivered to participants, often largely depend upon program philosophy and available resources. Regardless of the exact form of service delivery, however, all programs must initially concern themselves with the process of client identification and enrollment, or intake.

B. Identification of Potential Clients

Potential program clients are identified in a number of ways. These include conducting interviews of inmates at local prisons and other correctional facilities and receiving referrals from prison staff, parole officials, staff of various local service agencies and friends or relatives of releasees. With any of these client identification methods, two critical evaluation concerns are:

- the extent to which the employment services program identifies all potential clients or at least a client load sufficient to utilize program capacity fully; and
- whether biases in client identification exist.

In order to analyze whether the program is identifying all potential clients, an estimate of the universe of potential clients must be derived. A program could obtain from the State Department of Corrections the number

of persons released to the county or city in which the program is located, since all States collect this information from prospective releasees.

The number of unemployed ex-offenders on existing parole caseloads could be added to that figure. A program could then compare the number of persons it enrolled during the corresponding time period to that sum.

If the number of potential clients can be estimated, an important analysis would consider the reasons for missing potential clients. Such reasons could include:

- the prison facilities made access to all prospective releasees difficult;
- inmates could not obtain furloughs and secured jobs before release through friends or relatives;
- staff at other local service agencies do not routinely identify ex-offenders and thus refer releasees only rarely;
- parole officers are not aware of the program or are not cooperative in referring clients;
- persons referred by other sources encounter difficulty in reaching the program and never appear; or
- program staff inadvertently fail to contact potential clients of whom they have been made aware.

Analysis of these reasons may suggest ways to improve the client identification process. Also, analysis could be conducted of the percentage of interviewed persons who participate in the program and of the reasons why some persons choose not to participate.

Many programs do not try to identify all potential clients. In many cases program staff may believe their resources are not sufficient to serve the entire universe or even a major portion of the universe of potential participants. Such programs may cope with this situation in several ways, including trying to identify and serve the potential clients who are most motivated or relying entirely on referrals from others and assuming such referrals reflect the extent of releasee interest.

An important evaluation consideration for a program which does not attempt to identify and serve a large portion of the potential client universe is whether the program operates at capacity. An estimate of program capacity can be developed in several ways. For example, the number of persons identified and served at similar programs could be analyzed, or the average effort required for each service could be determined, along with the associated implications concerning the total number of clients who could be served.

For these programs, in addition to analyzing whether they operate at capacity, it would be useful to analyze the percentage of the potential client universe which they serve. If there are large unmet employment-related needs on the part of ex-offenders within the community, the program may want to consider ways it could obtain additional funds to expand its services. Conversely, if most potential clients are already being served, there would be little need to expand.

In summary, possible measures and analyses for employment services programs' potential clients include:

- number of persons interviewed by the program or who are referred to the program;
- percent of potential client universe seen by program;
- analysis of reasons for not identifying and serving more potential clients;
- percent of interviewed or referred persons who participate in the program;
- analysis of reasons why all interviewed or referred persons do not participate in the program; and
- extent to which the community-based employment services program operates at capacity.

An analysis of the characteristics of persons enrolled in the program as compared with other releasees who were deemed ineligible, who were either

not interviewed or referred, or who were not accepted by the program can show whether the program has any biases in client selection. In addition, analysis of the characteristics of persons who participate as compared with those who are not interested or drop out quickly can indicate whether certain parts of the potential client universe are not being "reached" by the program. Reasons for this can be analyzed and possible changes in the program's client identification activities may be suggested by the analysis. For example, there may be language or racial problems between program intake workers or interviewers and certain potential clients which hinder program ability to reach these persons.

One primary example of a program's operating with selection biases is "creaming." This refers to programs' serving only those persons who are considered most likely to succeed. "Creaming" usually means programs are overserving persons with certain characteristics and underserving persons of other backgrounds. The reasons for this kind of client selection vary. Programs may be very success-oriented and concerned about the extent of "successes" needed to obtain future funding. On the other hand, small programs with minimal resources may believe those resources are most appropriately expended for those persons most likely to benefit. In any case, programs should be aware of the existence of such a selection process, since it has implications for the kinds and extent of services needed by program participants and the recidivism or employment outcomes which can be expected of these participants.

One way to analyze possible client selection biases is illustrated in Table 2, which provides for consideration of the percentage distribution for major characteristics (age, race, sex, criminal history, employment history, educational background, etc.) of the potential client universe, as compared with program clients. Analysis of these distributions can identify those characteristics for which program participants differ

TABLE 2.—Analysis of Possible Client Selection Biases

Characteristic	Universe of Potential Clients	Program Clients
<u>Age:</u>		
Under 20 years old		
21-25 years old		
26-30 years old		
Over 30 years old		
Total	100%	100%
<u>Race:</u>		
Black		
Spanish surname		
White		
Other		
Total	100%	100%
<u>Sex:</u>		
Male		
Female		
Total	100%	100%
<u>Education:</u>		
Not a high school graduate		
At least a high school graduate		
Total	100%	100%
<u>Employment History:</u>		
Full-time employment immediately prior to incarceration		
Full-time employment at some time prior to incarceration but not immediately prior		
Some past employment but never full-time		
Never employed		
Total	100%	100%
<u>Criminal History:</u>		
1-4 prior convictions		
5-10 prior convictions		
More than 10 prior convictions		
Total	100%	100%

TABLE 2.—Analysis of Possible Client
Selection Biases
(Continued)

Characteristic	Universe of Potential Clients	Program Clients
<u>Incarceration History:</u>		
Incarcerated less than one year		
Incarcerated 1-5 years		
Incarcerated more than 5 years		
Total	100%	100%
<u>Most Recent Charge</u> <u>Category:</u>		
Drug possession or sale		
Burglary		
Robbery		
Larceny		
Shoplifting		
Forgery		
Prostitution		
Assault		
Other		
Total	100%	100%
<u>Living Arrangement:</u>		
Stable		
Unstable		
Total	100%	100%
<u>Marital Status:</u>		
Married		
Single		
Total	100%	100%
Total number of persons		

significantly from the universe of possible clients. For example, program clients may be 95% male, while the potential client universe is only 70% male. Alternatively, the analysis could be structured to show the percentage of a particular potential client group which was accepted for the program. For example, such analysis might show that 75% of the males in the potential client group were served but only 5% of the females. Analysis of the reasons for differences between potential and actual client groups may indicate that changes in the program's operations should be considered, if the program desires to reduce the selection bias.

C. Assessment of Client Needs

For those persons found eligible for and wishing to participate in an employment services program, the initial activity is an assessment of individual needs. This may involve interviews and/or various forms of testing.

The chief evaluation concerns surrounding the client needs assessment function are the relative effectiveness of different client needs assessment methods and the efficiency of these methods.

If programs utilize some form of testing materials to assess clients, they typically receive no input on which tests are appropriate for which purposes. Counselors within the same program may utilize test results to varying degrees or for different purposes. To analyze the effectiveness of different tests, programs could:

- analyze staff attitudes concerning the relative merits of various assessment tests; or
- determine the percentage of staff who actually utilize test or assessment results in working with the clients.

Where test results are used to make decisions regarding the development of client "employability plans," one might assess the relationship between the tests utilized and the appropriateness of the actions taken. Similar

comparisons of appropriateness of action could be made for needs assessment through tests and through subjective interviews. If no measurable difference occurred, the more efficient methods could be used.

To assess the efficiency of needs assessment methods, programs might consider a cost analysis. Variables considered would include:

- average staff time spent on client needs assessment;
- cost of production of assessment materials; and
- average number of clients undergoing needs assessment over a specified time period.

D. Counseling

Usually after client identification and needs assessment, clients are referred to a counselor with whom a relationship is maintained throughout program participation. Counseling can be defined as the process of assisting participants in assessing their needs, abilities, and potential; of providing guidance in the development of employability goals and means to achieve them; and of helping with the solution of a variety of problems occurring during participation in the program. It usually occurs throughout a releasee's contact with a program, though its scope and purposes vary among programs and even within the same program, depending upon the program's design and the releasee's needs and status at the time the counseling is provided.

The major evaluation concerns regarding counseling include:

- whether counseling provided at different frequencies, over different time spans or in different modes makes a difference in client performance; and
- whether counselor performance itself can be evaluated so as to gauge staff competence.

To assess counseling approaches, a program could compare them with client outcomes. A group of program participants with similar backgrounds and vocational needs could be exposed to different counseling methods in

terms of frequency (e.g., weekly, daily, monthly), length (e.g., 15 minutes, 30 minutes, or one hour), and mode of counseling contact (telephone or in-person interview). Outcomes addressed would include:

- whether persons continued program participation or dropped out;
- whether program participants recidivated while participating in the program; and
- whether clients secured employment.

Assessing counselor performance is an important function for program administrators, since counselors serve as the primary direct service providers at most programs. Project H.I.R.E. in Minneapolis, Minnesota, has developed systematic counselor evaluation methods. Each counselor is rated in three areas: skill development, relationships and accountability. Accountability is weighted with 70 points; relationships, 20; and skill development, 10.

The accountability rating for all counselors with active case loads includes eight primary objectives, each of which has goals which must be achieved. Additionally, minimum acceptable levels and optimal expectancies are set for each goal, and weights are assigned to each. As an illustration of this counselor accountability rating process, Table 3 presents the primary objectives and expected goals.

The variables which comprise the relationship factor are divided into two categories, peer ratings and client ratings. Peer rating variables include:

- openness to influence;
- constructive initiative;
- decisiveness;
- flexibility;
- communications;
- confidence; and
- dependability.

TABLE 3.—Accountability Factor for Counseling Staff at Project H.I.R.E.,
Minneapolis, Minnesota

PRIMARY OBJECTIVES	EXPECTED GOAL
1. <u>OBTAIN STABLE EMPLOYMENT</u> The percentage of terminees who obtain full time, unsubsidized employment (at least 30 hours per week) through 90 days after initial placement.	55% of all terminees
2. <u>OBTAIN JOB PLACEMENT ONLY</u> The percentage of terminees who obtain a full time job, unsubsidized, but do not complete 90 days of retention.	10% of all terminees
3. <u>OBTAIN OTHER EMPLOYMENT</u> The percentage of terminees who obtain part time, seasonal, temporary, unsubsidized employment.	5% of all terminees
4. <u>OBTAIN OTHER MANPOWER SERVICES</u> The percentage of terminees who obtain subsidized (wages supplemented by CETA) employment; vocational education or training, or another CETA funded program placement. Objectives 1-4 comprise the program placement rate into jobs and/or training=75% expected placement rate	5% of all terminees
5. <u>OBTAIN REASONABLE WAGES</u> Average earnings per hour at termination from program.	\$3.35 per hour on 90th day of employment
6. <u>OBTAIN OTHER APPROPRIATE COMMUNITY SERVICES</u> The percentage of non-positive terminees who are referred to <u>and</u> accepted by another community service.	50% of all non-positive terminees
7. <u>MINIMIZE PROGRAM LENGTH FOR POSITIVE TERMINEES</u> The average number of program days from day of enrollment to job/training placement.	Average pre-placement days = 30
8. <u>MINIMIZE PROGRAM LENGTH FOR NON-POSITIVE TERMINEES</u> The average number of program days from day of enrollment to termination from program due to failure to obtain job/training placement. Persons so terminated should receive referral service and acceptance into another community service (see objective No. 6.)	Average pre-termination days = 50

Source: "The H.I.R.E. Salary Compensation Plan and Personnel Evaluation Program: Prepared for Counseling Staff," January 1976.

Client responses used to develop a relationships rating include both opinions concerning the quality of services received from the counselor and general open-ended comments.

The skill development factor is rated more subjectively. Counselors are expected to identify specific skill areas and indicate what efforts, if any, they will expend over the review period in order to develop the skill.

The information collected as a result of this evaluation is utilized by program administrators to assess program objectives versus achievements, to make decisions concerning the modification of program components, and to adjust program management procedures.

Many community-based employment services programs may be unable to conduct comparison group studies of counseling approaches or have the time to implement systematic counselor performance schemes. Nevertheless, such programs may still be interested in assessing the volume and type of counseling received by clients for program management purposes. Items of interest, collected on a weekly or monthly basis for each client, would include:

- type of counseling contacts:
 - personal interview
 - telephone
 - correspondence;
- number of contacts with client;
- average length of contacts;
- main purposes of counseling contacts:
 - general counseling
 - housing assistance
 - education
 - legal aid
 - transportation

- vocational needs
- referral to another program
- job referral
- follow-up
- other; and
- nature of counseling:
 - individual
 - group
 - both.

The collection and analysis of such information would enable programs to monitor counselor activities and consider such issues as:

- which counselors are carrying too heavy or light caseloads; and
- whether counseling patterns or schedules need to be modified.

E. Job Readiness Training

Job readiness training usually refers to helping clients acquire adequate vocational and job seeking skills, as well as an appropriate "world of work orientation." This latter factor can be defined as "a set of psychological constructs (attitudes and perceptions) which permits an individual to accept and work within the social constraints established by a work environment."³ Very few prison releasees are job ready when they first enter a community-based program; almost all are in need of some kind of job readiness training.

Although most program staff agree that prison releasees often need some form of job readiness training, the extent to which such training contributes to client success has not been determined. One planned study will address this issue by:

- comparing the employment outcomes of program participants with those of a group of demographically matched parolees selected and supervised by the same parole officer; the two groups will be matched on age, sex, race, educational attainment, number of

prior felony convictions, type of offense, and prior employment history; and

- administering a battery of standard and attitudinal measures to participants upon entry, at the conclusion of the program, and after a nine-month follow-up period and comparing their scores with those of the comparison group at the beginning of their parole supervision and after the nine-month follow-up period.^{4/}

Other needed evaluation of job readiness training would assess the impact of differences in training content, methods of instruction, length of training and the time at which the service is provided to clients.

Specific analyses could compare outcomes for:

- clients receiving instruction in job hunting, interviewing and resume preparation and for persons receiving only one or two of those types of instruction;
- persons trained through mock interviews versus lectures only;
- clients trained for different time periods (e.g., one day, one week, two weeks); and
- clients trained at the commencement of program participation, during regular program participation and immediately prior to job referral.

To assess the relative importance of job readiness training, a program could analyze two groups of clients with similar backgrounds. One group would be provided with all services available through the program, while the other group would receive all services except job readiness training. Analysis of outcomes could then indicate whether the group receiving job readiness training performed better than the group lacking such training.

F. Supportive Services

Programs often provide a number of supportive services, usually through referral to another local agency. Such services include:

- assistance in finding suitable housing;
- help with legal problems;
- medical attention;

- specialized counseling (e.g., on marital difficulties or drug abuse problems);
- immediate financial aid;
- assistance in obtaining food, clothing or transportation; and
- help in making child care arrangements.

Supportive services are frequently considered essential for a releasee's successful readjustment to the community. These services are usually provided in parallel with the program's employment services.

There are three major types of evaluation considerations which an individual project should address when assessing supportive services:

- staff knowledge of supportive service availability, including awareness of appropriate referral agencies;
- outcomes of referrals; and
- identification of important service gaps.

Staff knowledge of supportive service availability should consider staff awareness of:

- the identity of agencies which offer specific services;
- the manner in which each agency delivers various services;
- specific individuals to contact when referring clients to various agencies;
- eligibility restrictions or other problems which might hinder client service (e.g., long waiting lists, disinterested staff); and
- persons to contact if clients encounter difficulties at other agencies.

Such analyses might indicate important differences in the knowledge that individual staff members have about referral agencies offering supportive services. If so, the employment services program may need to develop a manual describing service availability at different agencies and discussing past experiences with the various referral organizations. This could help equalize staff knowledge about other agencies and improve the assistance offered to clients.

Besides knowledge of other service agencies, it is important to analyze outcomes of referrals made to them. Questions to consider include:

- To what extent were clients accepted for service at the various referral agencies?
- What were the reasons for rejecting clients referred for service?
- What was the quality of service provided?
- Were clients satisfied with the services provided?
- What problems, if any, arose while the service was being provided?

Such analyses might identify organizations where the employment services program needs to make special efforts to improve communications and to try to encourage the agencies to provide better services to prison releasees. The analyses might also indicate which of several possible organizations seems to be providing the best services to releasees; referrals to such an organization could be increased and to the other agencies, reduced.

Analyses of service availability and referral outcomes would identify areas where there are major gaps in the supportive services which can be provided to releasees. If the service gaps appear to be major ones, the program may wish to explore ways of providing the service itself or ways of persuading other organizations to do so.

G. Job Development

Evaluation of job development activities should incorporate consideration of several different issues. An important one concerns the extent to which such activities identify employers who later hire releasee clients. Such analysis requires the following data:

- number of employers contacted;
- number of employers expressing willingness to hire prison releasees; and

- number of employers actually hiring referred clients.

Such data would indicate the efficiency of job developers' contacts with potential employers. If few of the contacted employers actually hire referred clients, then job developers may be targeting their efforts on the wrong types of employers. A review of job development strategies might identify a better set of potential employers to be contacted in the future.

In addition, a comparison of job development outcomes with techniques used might indicate the relative effectiveness of:

- visiting employers in person versus contacting them through the mail or over the telephone;
- maintaining frequent versus infrequent contact with interested employers; or
- using job development approaches which emphasize the employer's responsibility to hire such disadvantaged groups as prison re-leasees, the opportunity for the employer to receive pre-screened applicants or the fact that program clients would receive follow-up support from the program to help them resolve any problems arising on the job.

Since an important part of job developers' tasks is to locate relevant jobs for clients, a program may wish to compare the characteristics of openings identified by job developers with those of jobs actually obtained by program clients. Characteristics of interest include:

- occupations;
- skill levels;
- starting salaries; and
- geographic location of jobs.

Similar analyses could be conducted for clients who were placed in positions identified by job developers and for clients who found jobs on their own.

Additional factors to analyze include:

- the number of interviews prior to job acquisition;
- the length of time required to find jobs;

- the length of time that jobs are held; and
- the extent of job upgrading which occurs over various time periods.

Such analyses may provide important insights concerning differences in the types of jobs identified by job developers versus acquired through clients' own efforts. This information may in turn suggest needed changes in the program's job development activities.

H. Job Placement

An employment services program may use a variety of job placement techniques. Comparison of placement success with techniques utilized may identify the placement methods which are most effective. For example, placement outcomes could be compared with:

- the manner in which job openings are identified;
- the amount of time staff members spend with clients to achieve job placements; and
- the nature of advance information given to the employer or client about the other before a job interview.

Placement outcomes could also be compared with client characteristics, to identify the types of individuals who are easiest versus hardest to place. Characteristics to consider include age, race, sex, criminal history, employment history and job skills.

Other analyses of placement rates that would be of interest in assessing program performance include:

- skill levels of the jobs obtained;
- wages paid; and
- extent to which the jobs match the clients' interests and aptitudes.

Although such analyses may provide useful insights concerning the relevance of program's placement efforts for different types of clients, they cannot address the issue of whether the program's services were

responsible for the placement outcomes. As discussed in Chapter II, such a determination can only be made by comparing the outcomes of program clients with those of similar groups of non-clients. Analyses of this type are particularly needed for employment services programs aiding prison releasees.

I. Follow-Up Activities

Follow-up activities after job placement are often considered essential for helping releasees adjust to the work environment. There is great variation in the way programs conduct such follow-up. For example:

- Follow-up contact may be made with the client, the employer and/or the client's family.
- It may be conducted through personal visits by the follow-up worker or over the telephone.
- Follow-up aid may be initiated by program staff or by the client.
- Follow-up may be conducted on a set schedule or on an ad hoc basis; it may also occur frequently or infrequently.
- Follow-up assistance may be provided over a relatively long period (e.g., a year or more) or a quite short one (e.g., 30 days).
- Follow-up may be conducted by program specialists or by the client's counselor.

Despite the wide differences in the ways follow-up activities are implemented, many programs have little knowledge of the types of techniques which seem most effective. One way to acquire such knowledge is to vary the manner in which follow-up is provided to groups of similar clients and to assess whether any outcome differences result. For example, four groups of randomly assigned clients, placed in similar work environments, could receive:

- follow-up with the employer or supervisor only;

- follow-up only with the client, at home and/or at the work site;
- follow-up with both the client and the employer; and
- no follow-up assistance.

Analysis of the outcomes of the four groups would indicate the most effective follow-up method.

J. Client Flow

Besides analyzing individual services, it is important to consider their interrelationships. This can be done by assessing the flow of clients through a program. Such analysis could begin with development of a flow chart similar to that shown in Figure 2. Such a flow diagram should indicate the major steps in the program's processing of clients. Once these steps have been identified, the program could analyze:

- the extent to which clients drop out of the program at various processing stages;
- the reasons for client losses;
- the amount of time required for completion of each processing stage and whether these time allocations seem reasonable;
- the relative importance of the various services offered; and
- whether the processing of clients could be simplified or otherwise improved.

Another way to analyze the interrelationships of program services is to consider the various types of contacts made with clients and the outcomes of those contacts. To accomplish this, Project MORE in New Haven, Connecticut, completes a monthly data form (reproduced in Appendix B) which includes:

- background information on the client (e.g., age, race, sex, length of time in program);
- number, length and purpose of contacts with the client during the month;

FIGURE 2.—Example of Client Flow Through an Employment Services Program

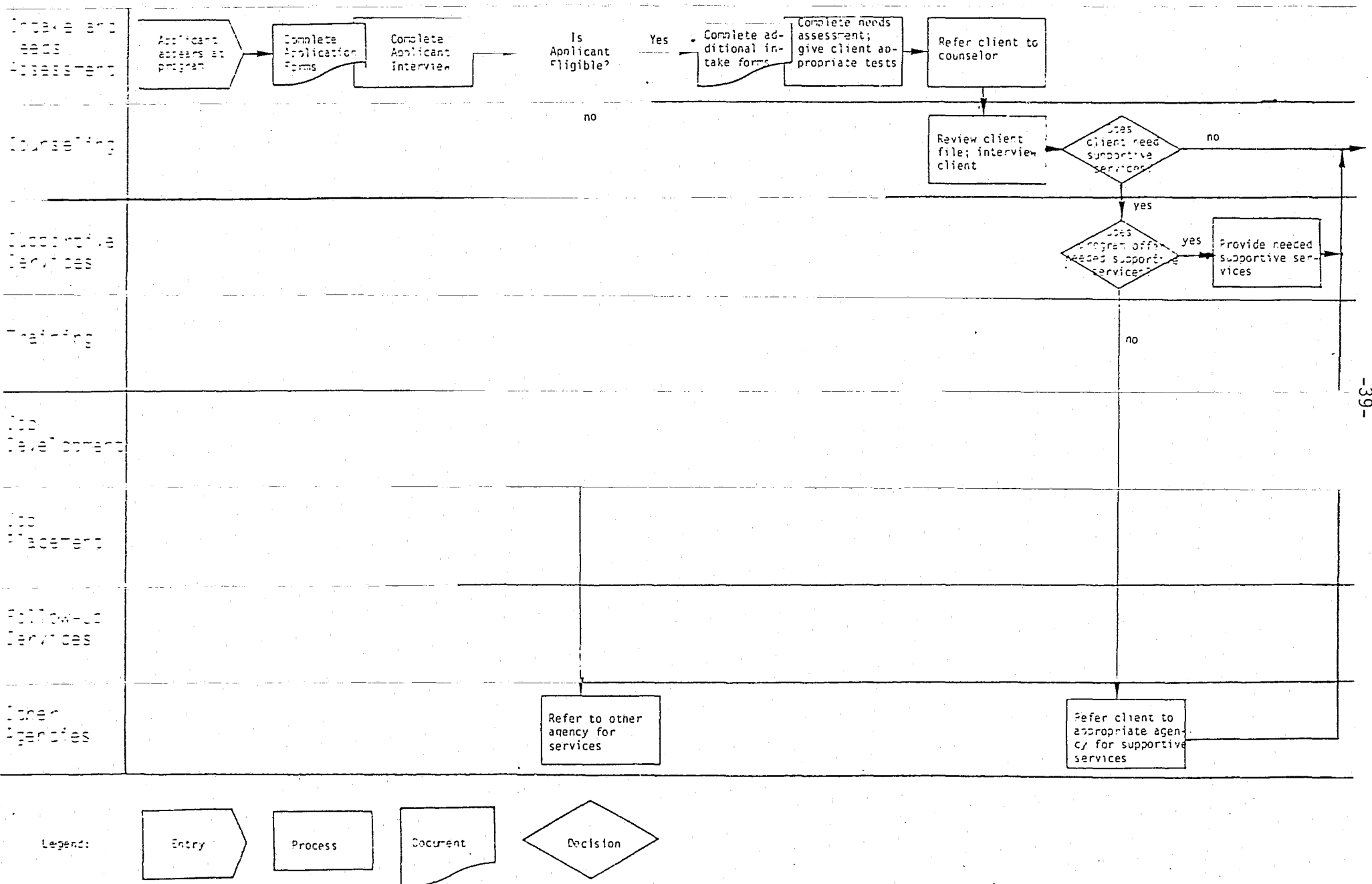


FIGURE 2.—Continued

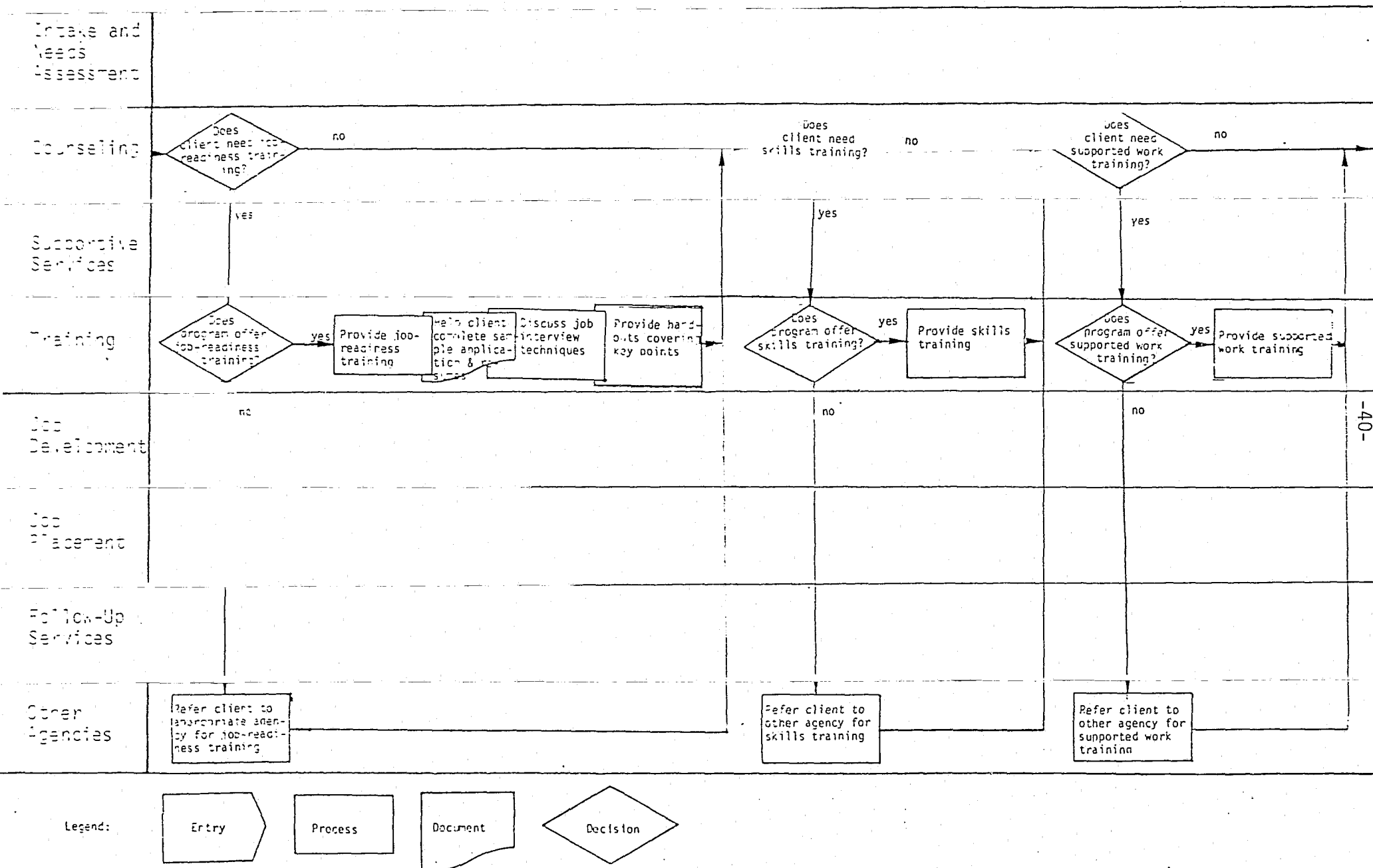


FIGURE 2.—Continued

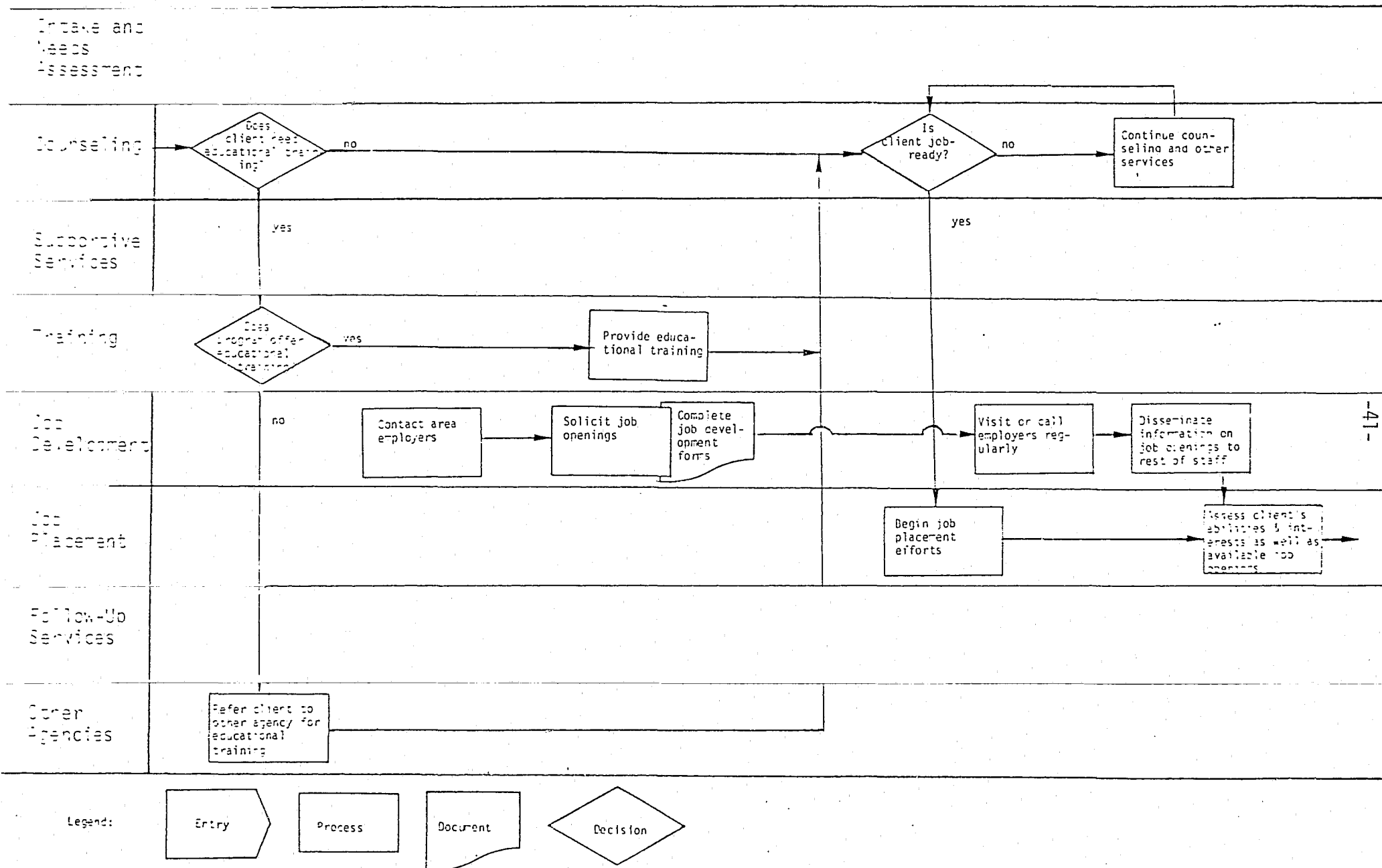
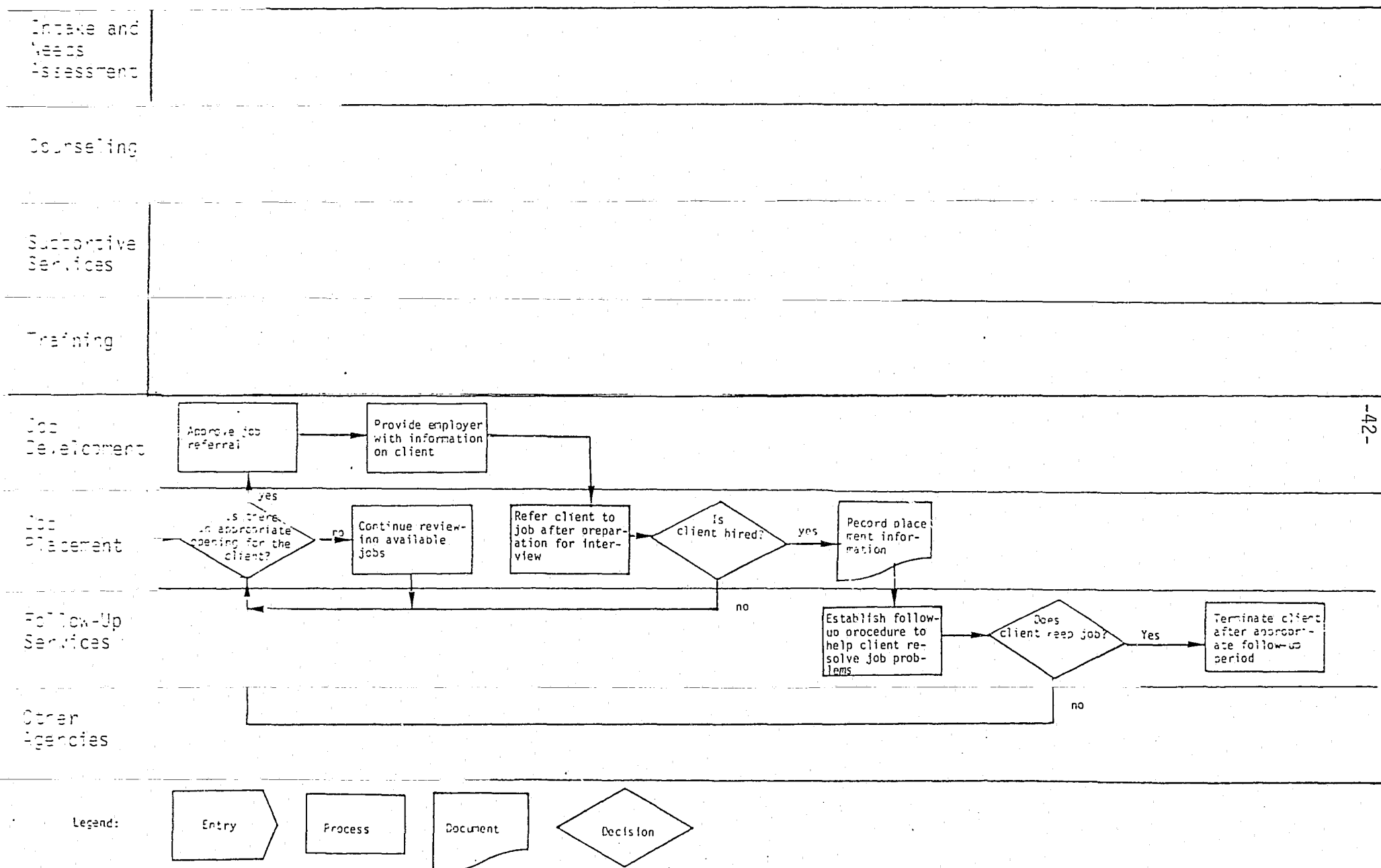


FIGURE 2.—Continued



- identification of services provided by the program and the manner in which such services were delivered; and
- identification of services provided by referral to other organizations, the way the referrals were made and the outcomes of the referrals.

Analysis of this information permits assessment of program workload, extent of client contact, nature of services delivered and results of referrals to other organizations.

IV. CONCLUDING REMARKS

This report has considered two primary areas for evaluation at the individual employment services program level:

- outcomes of clients assisted by the program, especially as compared with the outcomes of similar groups of non-clients; and
- the impact of major program services, such as assessment of client needs, counseling, job readiness training, supportive services, job development, job placement and follow-up activities.

There are, of course, many other areas which warrant analysis by programs. For example, a program could conduct a number of important analyses of its use of funds. Such analyses might include:

- assessment of the program's allocation of funds by function, to determine whether stated program priorities are reflected in the cost structure;
- comparison of amounts budgeted versus expended, both overall and by function, so that future budgetary planning could be improved; and
- analysis of the unit costs of various program services and identification of possible ways to reduce costs which seem excessive.

Similarly, a program may need to analyze the external factors constraining its effectiveness and to develop possible ways of influencing external groups to become more cooperative. Such external factors include:

- the nature of the corrections systems and parole departments with which the program interacts;
- the type and quality of other service agencies in the community; and
- the attitudes of local employers toward hiring prison releasees.

Analyses of the program's relationships with these groups (i.e. corrections officials, parole officers, other service agencies and local employers) might consider:

- the degree of cooperation received in the past;
- the extent to which the program has attempted to influence each group to become more cooperative;
- the degree of program success in influencing each group to become more cooperative;
- the probable accuracy of each group's information about the program and its services; and
- the likely outcome of any future efforts to achieve a more hospitable external environment for the program and its clients.

Such analyses could help a program determine whether additional resources should be allocated to trying to influence external groups to become more cooperative.

Thus, there are a number of analyses that programs may wish to conduct which do not deal specifically with client outcomes or program services. Besides the analyses indicated above, additional ones were discussed in the assessment report prepared during the fourth stage of this study. However, analyses of client outcomes and program services are critical to evaluation of program impact, and programs with limited evaluation resources will probably wish to focus their efforts on these topics. Outcome analysis of clients versus otherwise similar non-clients is particularly crucial for determining the program's impact on helping persons successfully complete the transition from prison to employment.

FOOTNOTES

¹W.O. Jenkins, et. al. The Behavioral Demography of the Young Adult Male Offender (Montgomery, Ala.: Experimental Manpower Laboratory for Corrections, 1975), pp. 120, 127.

²A.D. Witherspoon, et. al., The Law Encounter Severity Scale (LESS): A Criterion for Criminal Behavior and Recidivism (Montgomery, Ala.: Experimental Manpower Laboratory for Corrections, 1973), p.2.

³Stephen D. Benson and Marna C. Whittington, Transition to Work: Contribution of the Job Readiness Posture (JRP), (Philadelphia, Pa.: Associates for Research in Behavior, Inc., 1973), p.5.

⁴George Kaitsa, "A Proposal—The Franklin County PREP Program Evaluation Project" (Columbus, Ohio: State of Ohio Adult Parole Authority, 1976).

APPENDICES

APPENDIX A

SCALES FOR ASSESSING
THE SEVERITY OF
CRIMES

- Ericson-Moberg Recidivism Index
- Law Encounter Severity Scale

ERICSON-MOBERG RECIDIVISM INDEX

Basis: Disposition. (Presumably penalties imposed reflect the seriousness of an offense to some degree, but this is not an index of the severity of offenses as such. It is based upon the most serious breach of rules or of the law during the period covered, the basic criterion for seriousness being disposition.) Multiple offenses are classified according to the most serious (lowest score) disposition category.

Code	Definition
0	Reimprisoned: Convicted of felony.
1	Reimprisoned: Felony admitted, confessed, or agent-alleged, but no prosecution or no conviction for the offense. (This includes parolees reimprisoned for other reasons who have felonies on the record other than the one leading to Commission action and "killed while attempting armed robbery.")
2	Reimprisoned: Convicted of misdemeanor.
3	Reimprisoned: 1) Misdemeanor admitted, confessed, or agent-alleged, but no prosecution or no conviction for the offense; 2) Technical violation with evidence or suspicion of misdemeanor or felony but no confession or admission to having committed it; 3) Technical violation with prior and separate misdemeanor for which sentence has already been imposed and/or served on an earlier occasion during current parole; 4) Technical violation with absconding on the record, whether part of the current charge or not.
4	Reimprisoned: Technical violation without any evidence, allegation, or suspicion of other offenses.
5	Absconder: Also wanted for or charged with an alleged felony, or has been convicted of or confessed to a felony on the same or a separate charge; or arrested and arraigned for an alleged felony and awaiting disposition.
6	Absconder: Also wanted for or charged with an alleged misdemeanor or has been convicted of or confessed to a misdemeanor on the same or a separate charge; or arrested and arraigned for an alleged misdemeanor and awaiting disposition.

Code	Definition
7	Absconder: Has no record of any other convictions nor of any alleged offenses during current parole; or offenders convicted of one or more offenses for which a sentence of more than 90 days in a jail or workhouse or a fine of over \$100 has been imposed.
8	Offenders convicted of a law violation for which a jail or workhouse sentence of 90 days or less or a fine over \$25 and up to \$100 has been imposed; or technical violators of parole rules whose violations have been officially reported to the paroling authorities but have not had their parole revoked as a result.
9	Offenders arrested and temporarily jailed without charges supported by arraignment or other substantial evidence; or offenders convicted of one or more law violations for which there has been no jail sentence and no fine of more than \$25; or technical violators of parole rules, including any illegal activities reported in Quarterly Illegal Activities Reports, Progress Reports, or Chronological Case Records of the parole officers but for which no revocation of parole was recommended to the paroling authorities.
10	No illegal activities on any available official records; or parolees returned to a correctional institution for placement only without any other offense record; or parolees reimprisoned or otherwise prosecuted for offenses that occurred prior to the current parole period who have not committed any other technical violations or illegal activities of any kind recorded in official records.

Source: Correctional Service of Minnesota, Second Interim Report on the Effectiveness of H.I.R.E., Inc. (Minneapolis, Minn.: Correctional Service of Minnesota, 1973).

LAW ENCOUNTER SEVERITY SCALE

GROUP I

1. No law encounters.

GROUP II

2. Picked up and/or questioned or searched concerning a misdemeanor(s); not charged; released.
3. Picked up and/or questioned or searched concerning felony(s); not charged; released.
4. Traffic violation(s); fined and/or sentenced (not including DWI).
5. Arrested (charged) with misdemeanor(s); charges dropped; released.
6. Arrested (charged) with felony(s); charges dropped; released.

GROUP III

7. Tried in court for misdemeanor(s); no conviction; released.
8. Tried in court for felony(s); no conviction; released.
9. Picked up for technical parole violation; had hearing; parole reinstated.
10. Picked up for technical parole violation; awaiting hearing.
11. Misdemeanor warrant(s) issued; subject still not apprehended.
12. Fugitive; bond(s) forfeited; subject still not apprehended (misdemeanor).
13. Arrested for misdemeanor(s); awaiting trial.
14. Arrested for misdemeanor(s); awaiting trial and a parole hearing.
15. Killed during the commission of a misdemeanor.
16. Convicted of misdemeanor; sentenced to 30 days or less or comparable fine.
17. Convicted of misdemeanor; sentenced to 31 days or more but less than 90 days or comparable fine.
18. Convicted of misdemeanor; sentenced to 91 days or more but less than 180 days or comparable fine.
19. Convicted of misdemeanor; sentenced to 181 days or more or comparable fine.

GROUP IV

20. Felony warrant(s) issued; subject still not apprehended.
21. Fugitive; bond forfeited on felony charge(s).
22. Absconded from parole; parole warrant issued.
23. Absconded from parole; parole warrant issued; and misdemeanor warrant(s) issued.
24. Absconded from parole; parole warrant issued; and felony warrant(s) issued.
25. Absconded while on parole; charged and awaiting trial for misdemeanor(s).
26. Absconded while on parole; charged and awaiting trial for felony(s).
27. Arrested for felony(s); awaiting trial.
28. Arrested for felony(s); awaiting trial and parole hearing.
29. Picked up for technical parole violation; parole violated at hearing.
30. Parole violated at hearing; in prison awaiting trial for felony(s).
31. Parole violated for misdemeanor conviction; returned to prison.
32. Killed during the commission of felony.
33. Convicted for felony(s); placed on probation.
34. Convicted for felony(s); sentenced to less than one year.

GROUP V

35. Convicted for felony(s); sentenced to more than one but less than five years.
36. Convicted for felony(s); sentenced to more than five but less than ten years.
37. Convicted for felony(s); sentenced to more than ten but less than 20 years.
38. Convicted for felony(s); sentenced to 20 years or more.

OTHER STATUS CATEGORIES

Dead—Deceased (natural or accidental).

0A—Subject moved out of study area (spent less than total of three months in follow-up study).

Source: A.D. Witherspoon, et. al., The Law Encounter Severity Scale (LESS): A Criterion for Criminal Behavior and Recidivism (Montgomery, Ala.: Experimental Manpower Laboratory for Corrections, 1973).

APPENDIX B

Project MORE
New Haven, Connecticut

Monthly Client Data Form

Project More primarily provides counseling and referral services to its clients. In order to monitor staff activities, the program's funding source requires client data forms to be submitted each month. This information can be used to insure staff accountability and to measure program efficiency.

MONTHLY CLIENT DATA FORM
Project P/PRRP

Case Number _____
(Agency Number & Client Number = Case number)

Service Month _____

I BACKGROUND INFORMATION

- | | | |
|---|--|--------------------------------------|
| 1) Sex | a) Male _____ | b) Female _____ |
| 2) Age | a) Under 16 _____ | c) 22-30 _____ |
| | b) 16-21 _____ | d) 31-45 _____ |
| | | e) Over 46 _____ |
| 3) Ethnic Origin | a) Black _____ | c) Hispanic _____ |
| | b) White _____ | d) Other _____ |
| 4) Current Legal Status
(Check S for State or
F for Federal status) | a) Accused _____ F _____ S _____ | c) Parole _____ F _____ S _____ |
| | b) Sentenced _____ F _____ S _____ | d) Probation _____ F _____ S _____ |
| | | e) Ex-Offender _____ F _____ S _____ |
| 5) Marital Status | a) Single _____ | c) Divorced _____ |
| | b) Married _____ | d) Separated _____ |
| 6) Referral source | a) Prison _____ | f) Work Release _____ |
| | b) Jail _____ | g) Project Fire _____ |
| | c) Probation _____ | h) Court _____ |
| | d) Community Agency _____ | i) Client initiated _____ |
| | e) Parole _____ | j) Out of State _____ |
| 7) First Contact with client | a) Pre-trial _____ | d) 1-14 days prior to release _____ |
| | b) Over 35 days prior to release _____ | e) Post release _____ |
| | c) 15-35 days prior to release _____ | f) Post court disposition _____ |
| 8) Actual time served on most current Sentence | a) None _____ | d) 181 days to 365 days _____ |
| | b) 1-30 days _____ | e) 366 days to 3 yrs. _____ |
| | c) 30 days to 6 mos. _____ | f) Over 3 yrs. _____ |

II MONTHLY DATA

- | | | |
|------------------------------------|-------------------------------|-------------------------|
| 9) Type of contacts | a) Personal interview _____ | c) Accompaniment _____ |
| | b) Telephone _____ | d) Correspondence _____ |
| 10) Number of contacts with client | a) 1 _____ | d) 4 _____ |
| | b) 2 _____ | e) Over 4 _____ |
| | c) 3 _____ | |
| 11) Length of contacts (combined) | a) Less than 15 minutes _____ | c) 1-4 hours _____ |
| | b) 15 minutes to 1 hour _____ | d) 5-8 hrs. _____ |
| | | e) Over 8 hrs. _____ |
| 12) Purpose of contact | a) Counseling _____ | f) Legal _____ |
| | b) Housing _____ | g) Transportation _____ |
| | c) Employment _____ | h) Follow up _____ |
| | d) Education _____ | i) Welfare _____ |
| | e) Treatment _____ | j) Volunteer _____ |
| | | k) Other _____ |

COUNSELING

13) Service provided

a) Inhouse _____
b) Referral _____

c) Both _____
d) Follow up _____

INHOUSE:

14) Manner Service provided

a) Personal Interview _____
b) Telephone _____

c) Accompaniment _____
d) Correspondence _____

15) Number of Contacts

a) 1 _____
b) 2 _____
c) 3 _____

d) 4 _____
e) Over 4 _____

16) Length of Contacts
(Combined)

a) Less than 15 minutes _____
b) 15 minutes to 1 hour _____

c) 1-4 hours _____
d) More than 4 hrs. _____

17) Type of Counseling

a) Personal _____
b) Family _____
c) Drug _____

d) Alcohol _____
e) Other _____

18) Nature of Counseling

a) Individual _____
b) Group _____

c) Both _____

19) Still in Counseling

a) Yes _____
b) No _____

c) As needed _____

REFERRAL:

20) How referral made

a) Telephone call _____
b) Accompaniment _____

c) Written or oral information given _____

21) Type of referral agency

a) Public _____

b) Private _____

22) Type of Counseling

a) Personal _____
b) Family _____
c) Drug _____

d) Alcohol _____
e) Other _____

23) Client showed for first appointment

a) Yes _____
b) No _____

c) Pending _____

B. EMPLOYMENT

24) Service provided

- a) Inhouse _____ c) Follow up _____
b) Referral _____

25) Reason for Assistance

- a) Unemployed _____ b) Underemployed _____

26) Nature of Assistance

- a) Direct Employment _____ c) Training program _____
b) On-the-Job training _____ d) Welfare entitlement _____

INHOUSE:

27) Manner Service provided

- a) Personal Interview _____ c) Accompaniment _____
b) Telephone _____ d) Correspondence _____

28) Number of Contacts

- a) 1 _____ d) 4 _____
b) 2 _____ e) Over 4 _____
c) 3 _____

29) Length of Contacts

- a) Less than 15 minutes _____ c) 1-4 hours _____
b) 15 minutes to 1 hr. _____ d) More than 4 hrs. _____

30) Number of Interviews
Arranged

- a) 1 _____ d) 4 _____
b) 2 _____ e) Over 4 _____
c) 3 _____

31) Number of Interviews kept

- a) 1 _____ d) 4 _____
b) 2 _____ e) Over 4 _____
c) 3 _____

32) Number of Interviews with
Staff Accompaniment

- a) 1 _____ d) 4 _____
b) 2 _____ e) Over 4 _____
c) 3 _____

REFERRAL:

33) How referral made

- a) Telephone call _____ c) Written or oral
b) Accompaniment _____ information given _____

34) Type of referral

- a) Public _____ b) Private _____

RESULTS:

35) Service secured

- a) Yes _____ b) No _____
Inhouse _____ c) Pending _____
Referral _____

36) Type of placement secured

- a) Full-time job _____ c) On-the-job training _____
b) Part-time job _____ f) Volunteer _____
c) Temporary job _____ g) Welfare _____
d) Training program _____

37) Nature of Placement

- a) Skilled _____ c) Unskilled _____
b) Semi-skilled _____

C. HOUSING

38) Service provided

a) Inhouse _____

b) Referral _____

39) Type of Housing Assistance
needed

a) Emergency _____
(individual)

c) Planned relocation _____
(individual)

b) Emergency _____
(family)

d) Planned relocation _____
(family)

INHOUSE:

40) Manner service provided

a) Personal
interview _____

d) Correspondence _____

b) Telephone _____

c) Accompaniment _____

41) Number of contacts with client

a) 1 _____

d) 4 _____

b) 2 _____

e) Over 4 _____

c) 3 _____

42) Length of contacts (combined)

a) Less than
15 minutes _____

c) 1-4 hrs. _____

b) 15 min.-1 hr. _____

d) More than 4 hrs. _____

REFERRAL:

43) How referral made

a) Telephone call _____

c) Written or oral
information _____

b) Accompaniment _____

44) Type of referral

a) Public _____

b) Private _____

45) Client showed up for
first appointment

a) Yes _____

b) No _____

c) Pending _____

RESULTS:

46) Housing secured

a) Yes _____
(temporary)

c) No _____

Inhouse _____

Referral _____

b) Yes _____
(permanent)

Inhouse _____

Referral _____

47) Type of housing

a) Family _____

d) Apartment _____

b) Boarding house _____

e) Halfway house _____

c) Hotel _____

D. EDUCATION

48) Service provided

a) Inhouse ____

b) Referral ____

49) Nature of need

a) GED ____

d) College ____

b) Vocational School ____

e) High School ____

c) Technical School ____

f) Special course ____

INHOUSE:

50) Manner service provided

a) Personal interview ____

d) Correspondence ____

b) Telephone ____

c) Accompaniment ____

51) Number of contacts with client

a) 1 ____

d) 4 ____

b) 2 ____

e) Over 4 ____

c) 3 ____

52) Length of contacts (combined)

a) Less than 15 minutes ____

c) 1-4 hrs. ____

b) 15 min.-1 hr. ____

e) Over 4 ____

REFERRAL:

53) How referral made

a) Telephone call ____

c) Written or oral information given ____

b) Accompaniment ____

54) Type of referral

a) Public ____

b) Private ____

RESULTS:

55) Was placement secured

a) Yes ____

b) No ____

Inhouse ____

Referral ____

56) Level of client involvement

a) Part-time ____

b) Full time ____

57) Financial Assistance provided

a) Yes(public) ____

c) Yes (Inhouse) ____

b) Yes (Private) ____

d) No ____

58) Financial assistance generated by agency involvement

a) Yes ____

b) No ____

E. TREATMENT

59) Type of treatment required

a) Drug ____

c) Medical ____

b) Alcohol ____

d) Psychiatry ____

60) Nature of treatment

a) Emergency ____

c) Both ____

b) Long term ____

61) Successful referral

a) Yes ____

c) Pending ____

b) No ____

62) Type of referral

a) Hospital ____

c) Mental Health ____

b) Clinic ____

d) Private ____

63) How referral made

a) Telephone call ____

c) Written or oral information given ____

b) Accompaniment ____

64) Method of service payment

a) No charge ____

c) Public funds ____

b) Client ____

d) Private funds ____

F. LEGAL

65) Type of assistance

- a) Inhouse _____ c) Both _____
b) Referral _____

INHOUSE:

66) Nature of Inhouse Service

- a) Advocating for client _____ c) Counseling _____
b) Generating financial assistance _____ d) Accompaniment to court _____

67) Manner service provided

- a) Personal interview _____ c) Correspondence _____
b) Telephone _____ d) Accompaniment _____

68) Number of contacts with client

- a) 1 _____ d) 4 _____
b) 2 _____ e) Over 4 _____
c) 3 _____

69) Length of contacts (Combined)

- a) Less than 15 minutes _____ c) 1-4 hrs. _____
b) 15 min. - 1 hr. _____ d) Over 4 hrs. _____

REFERRAL:

70) Type of referral

- a) Private attorney _____ c) Legal assistance group _____
b) Public defender _____

G. VOLUNTEERS

71) Manner service provided

- a) Personal interview _____ c) Accompaniment _____
b) Telephone _____ d) Correspondence _____

72) Number of contacts between volunteers and client

- a) 1 _____ d) 4 _____
b) 2 _____ e) Over 4 _____
c) 3 _____

73) Length of contacts (combined)

- a) Less than 15 minutes _____ c) 1-4 hrs. _____
b) 15 min. - 1 hr. _____ d) Over 4 hrs. _____

74) Nature of volunteer involvement

- a) Counseling _____ c) Transportation _____
b) Employment Svce. _____ f) Accompaniment to interviews, court etc. _____
c) Education/Treatment referrals _____
d) Housing referrals _____

H. TRANSPORTATION

75) Number of times transportation provided

- a) 1 _____ d) 7-10 _____
b) 2-3 _____ c) Over 10 _____
c) 4-6 _____

76) Reason for transportation

- a) Job or job training interviews _____ c) Court dates _____
b) Treatment _____ d) Other _____

77) Type of assistance provided

- a) Payment for transportation _____ b) Direct service _____
c) Referral _____

END

