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A HANDBOOK ON COMMUNITY CORRECTIONS
IN DES MOINES. A COORDINATED APPROACH
TO THE HANDLING OF ADULT OFFENDERS

Iowa Judicial District (5TH)
Des Moines, Iowa

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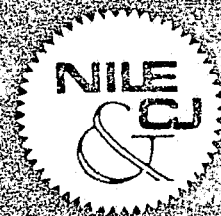
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An Exemplary Project



A Handbook on Community Corrections in Des Moines

A Coordinated Approach to the
Improved Handling of Adult Offenders



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A coordinated approach
to the handling of adult offenders

Fifth Judicial District
Department of Court Services
Des Moines, Iowa

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FOREWORD

This manual was initially published in response to a substantial number of requests received by the Fifth Judicial District Department of Court Services for information on its program.

The manual has been updated and reprinted under sponsorship of LEAA's National Institute of Law Enforcement and Criminal Justice, as part of its "Exemplary Project Program." The Institute program publicizes criminal justice projects which have demonstrated a notable degree of success in operation over a period of time and which are suitable for replication. Projects are selected through the combined efforts of LEAA, the State Planning Agencies, and other major groups with an interest in criminal justice. Criteria for an "exemplary" designation include significant achievement in the reduction of crime or improvement in the quality of justice. Additional criteria include cost effectiveness, suitability for replication in other jurisdictions, and the willingness of project staff to provide information to other communities.

The objective of the manual is to assist other communities in developing community-based correctional programs like those found within Polk County, demonstrating by the Department's successes and failures how such programs might be implemented.

Gerald M. Caplan,
Director
NILECJ

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SUMMARY

The comprehensive, community-based corrections program in Polk County, Iowa, was organized into a single administrative framework, the Polk County Department of Court Services, on January 1, 1971, by resolution of the Polk County Board of Supervisors. This agency consisted initially of a Pre-Trial Release program, a Supervised Pre-Trial Release program, and a County Probation unit, each of which had been administered separately. During June 1971, a Men's Residential Facility, located in remodelled army barracks on the grounds of Ft. Des Moines, was opened. A year later, June 1973, the Department of Court Services, with support of the Iowa Crime Commission, expanded its services to include all the counties of the Fifth Judicial District by opening regional offices in Creston and Chariton, Iowa. With the expansion of the program, the program became known as the Fifth Judicial District Department of Court Services. The final component of the comprehensive corrections program to be established was a Women's Residential Facility in September 1972. Through these various program components the Department provided services to over 1,500 alleged and convicted criminal offenders during 1972.

Pre-Trial Services

The pre-trial services of the Department consist of two complementary units: Pre-Trial (OR) Release and Supervised Pre-Trial Release. Pre-Trial Release was established in 1964, administered and funded by the Hawley Welfare Foundation of Des Moines. Primary responsibility for program formulation and implementation must be given to a group of influential Des Moines citizens who saw a need for reform of the traditional bail bond system. This group consisted of defense and prosecuting attorneys, judges, a prominent editorial writer, and other interested citizens. In 1966, Polk County and the City of Des Moines took on responsibility for funding the project. Financial and administrative responsibility for the program was assumed by the Department of Court Services in 1971.

The Supervised Pre-Trial Release program was implemented in 1970, again at the initiative of an ad hoc committee of community leaders, quite similar in make-up to the earlier group. Funding for the program came primarily from the Des Moines Model Cities Agency. Initially, the program was administered by the Iowa Council of the National Council on Crime and Delinquency. In 1971, the Department of Court Services, financially and administratively, assumed responsibility for the program.

The Pre-Trial OR Release program releases, without money bond, adult criminal offenders who earn five or more points on an

objective community stability point scale (patterned from the pioneer OR release program in New York, Vera-Manhattan Bail Reform Project). Points are earned toward release based upon information received from the defendant concerning his length of residence, length and permanence of employment, family ties in the community, and prior criminal record. If the defendant achieves a minimum of five points, a recommendation for release is made to the court. If accepted, the defendant is released. The only service provided the defendant is notification of scheduled court appearances.

Over 7,000 defendants have been released on recognizance during the program's nine years of operation. The OR Release program released 1,022 defendants during 1972, at a cost of \$52.00 per defendant. Only 1.8% of the defendants granted OR Release in the nine years have failed to appear in court. Fifty-eight percent of all defendants interviewed have been released through the program. Recommendations for OR Release have been accepted by the courts in 97% of the cases, demonstrating a high degree of judicial confidence in the program's decision-making.

The Supervised Pre-Trial Release program (commonly referred to as Community Corrections) interviews and releases, without money bond, defendants who do not qualify for OR release and who require supervision during the pre-trial period. All defendants rejected for release by the OR Release program are referred by that unit to the Supervised Release program. The basis for Supervised Release decision-making is the subjective evaluation by program supervisors of the defendant's ability to refrain from criminal activity in the pre-trial period and his willingness to cooperate with the Supervised Release counselors and benefit from the services provided.

Very practical services are offered to Supervised Release clients: counseling, referral, vocational rehabilitation, specialized counseling (psychiatric, family, financial, etc.), job referral and placement, educational upgrading, and physiological diagnosis and treatment. The only services offered by the program staff are one-to-one counseling, referral, and some job placement. All other services are provided by other community service agencies, usually through referral. The primary goal of the program is to assist the defendant in those specific areas which mitigate against a disposition of probation in the event of conviction: unemployment, poor educational and vocational achievement and skills, unstable family ties, etc.

During the three years of program operation, Supervised Pre-Trial Release has released over 600 defendants with supervision, at an approximate cost of \$670.00 per client. Preliminary indications are that 55% of all defendants interviewed by the program staff are released. A follow-up evaluation, by the National Council on Crime and Delinquency, indicates that 20% of the

Supervised Release clients are arrested and convicted of new offenses subsequent to the pre-trial period. This recidivism rate compares quite favorably to the 37% rate of recidivism of defendants released on bond through professional bonding companies in Polk County. Only 1.7% of the defendants released through the auspices of the Supervised Release program have failed to appear in court. Again, this non-appearance rate compares favorably to the 2.2% rate of the bonding companies.

The two pre-trial units have, without a doubt, established that the ability to make cash bond is not a valid criterion for pre-trial release consideration. These two programs have demonstrated that defendants can be released during the pre-trial period without substantial risk to the safety of the community and with considerable savings to the taxpayers of the community. The National Council on Crime and Delinquency, following evaluation of the Supervised Release program, concluded that in terms of savings to the community due to defendant employment, shorter pre-trial incarceration time, and more extensive utilization of probationary dispositions, the program is near to paying for itself.

Probation and Pre-Sentence Investigation

Probation supervision of convicted criminal offenders developed as a county responsibility in Polk County during the late 1960s, largely as a result of the increased utilization by the courts of probationary dispositions for indictable misdemeanor convictions and the resultant statutory limitations of the state probation and parole agency to supervise this category of offenders. In 1971, with the development of a comprehensive corrections program in Polk County, the responsibility for probation supervision was transferred from the "Friend of the Court" (a subsidiary function of that office), to the Department of Court Services.

During 1971, 327 convicted offenders were granted probation by the courts in Polk County. This figure represents an almost three-fold increase in probation dispositions granted by the courts in Polk County over any previous year. Currently, the Probation unit of the Department supervises nearly 400 probationers (at a cost of \$340.00 per client per year), with a probation revocation rate of 20%. This figure includes revocations for new arrest allegations and for technical violations of the probation contract. This rate is considerably below the national average for probation agencies. Since expansion of the comprehensive program to the sixteen counties of the Fifth Judicial District, the Department of Court Services has assumed responsibility, from the state probation and parole agency, for the supervision of all convicted offenders granted probation by the courts in the District.

The Probation unit also conducts pre-sentence investigations of convicted offenders for the courts of the Fifth District. An average of twenty pre-sentence investigations are conducted each month by the Probation unit. Additionally, the Department's regional offices conduct approximately five pre-sentence investigations each month.

Residential Services

Although a great deal of concern for reform of the traditional, ineffective county jail/penitentiary system of Iowa was voiced throughout the 1960s, institutional alternatives to this regressive system could not be operationalized prior to enactment in the 1970-71 assembly of the Iowa Legislature of Senate File 190. This law, promoted vigorously by certain local officials (particularly judges and county board supervisors), gave authority to county boards of supervisors to (1) designate any facility as a county jail and (2) determine its administering agency. As a result, institutions serving as alternatives to the county jails, not administered by the sheriff's department, could be established.

In June 1971, the Department of Court Services, with the authority of the Polk County Board of Supervisors, established a non-secure residential facility for male offenders (commonly referred to as the Ft. Des Moines Facility). Since its inception, over 300 convicted offenders have been sentenced to the facility. Over 90% have been felons, convicted of offenses ranging from murder to possession of marijuana. At least 1/3 of the inmates have been heroin addicts. It is estimated by the director of the facility that 70% to 80% of the facility's clients have some kind of drug problem. Although the facility has none of the security devices, nor other institutional control features, usually associated with penal institutions, problems with drug use and inmate escape have been no greater than in other more secure facilities in the State of Iowa or elsewhere.

The inmate population at the facility has fluctuated between 45 and 52, at any one time, since the establishment of the facility (the capacity is 52). As in all units of the Department, external, or community, programming is emphasized.

Community resources and services are utilized almost exclusively in all the following areas of programming: employment counseling, vocational training, educational upgrading, job placement, entertainment and recreation; specialized marital, financial, and psychiatric evaluation and counseling; and physiological diagnosis and treatment. Quite unlike the traditional penal institution, the only direct services offered to the inmates of the facility within the institution are one-to-one counseling and group therapy.

It is the underlying concept of the residential program, and throughout the Department of Court Services, that existing community resources can and should be utilized in the correctional setting (1) eliminating the cost and inefficiency of service duplication, (2) ensuring that the institution, and its program of rehabilitation, is part of the community rather than existing as a separate entity, and (3) assisting the client to maintain those community and family ties so essential to his reintegration into the community upon release.

At all times, 80% to 90% of the inmates are either employed or engaged in vocational training or educational upgrading programs in the community. More than 95% of those employed work in private businesses in the community rather than government or government-supported programs. The rearrest rate of Ft. Des Moines clients subsequent to confinement is 35.7%. This stands in contrast to a national rearrest rate estimated at 50% to 70% for releasees from penal institutions.

In September 1972, a non-secure facility (capacity of six) for female offenders was established by the Department. This facility, unlike the Men's Residential Facility, has functioned primarily as a halfway house and work release center for female offenders from the Women's State Reformatory at Rockwell City. A secondary function which the facility serves is as a temporary shelter for homeless female probationers and Supervised Pre-Trial Release clients.

Regional Offices

Offices to serve the 15 counties of the Fifth Judicial District outside Polk County were opened in Creston and Chariton, Iowa, during June 1972. These offices, having a total of 3 staff, provide the same services that the specialized units in Polk County provide (aside from institutional services): pre-trial OR release, supervised pre-trial release, pre-sentence investigation, and probation supervision.

Funding

The total dollar cost of the comprehensive program of the Fifth Judicial District Department of Court Services, as described above, during 1972 was nearly \$800,000.00. During 1972, the Department received funds from the following sources (from largest to smallest in dollar amounts): the Law Enforcement Assistance Administration through the Iowa Crime Commission; the U.S. Department of Housing and Urban Development through the Des Moines Community Development Agency; U.S. Department of Health, Education and Welfare through the Iowa State Department of Social Services; Polk County; and the City of Des Moines. The challenge of the

future will be to assure the continued funding of the program through increased state and local financial assistance.

CHAPTER I. INTRODUCTION

The Fifth Judicial District Department of Court Services was created in 1971 to serve as an administrative framework for the coordination, integration, and development of several projects involved in providing alternatives to the traditional institutions of the criminal justice system. As coordinator and administrator, the Department of Court Services provides a comprehensive community-based correctional program for the Fifth Judicial District of Iowa.

The four units of the Department developed from several origins, with various functions, and under the administration of various organizations and agencies, both public and private. Pre-Trial Release was originally administered and funded by a private organization, the Hawley Welfare Foundation. Supervised Pre-Trial Release, while funded publically, was originally administered by a private organization, the National Council on Crime and Delinquency.

The Probation unit, consisting of pre-sentence investigation and probation supervision, was incorporated from two separate public agencies. The Ft. Des Moines Men's Residential Facility, a minimum security institution; a Women's Residential Facility and rural offices in Creston and Chariton were planned and implemented under the direct administration of the Department of Court Services. The integration of these units into a single structure has allowed the initially fragmented programs to develop into a unique comprehensive program operating in all areas of the criminal justice system subsequent to arrest in the sixteen-county, Fifth Judicial District of Iowa.

The program is unique not only as a comprehensive program, but also as a demonstration of institutionalized change. The units which have become the Department of Court Services developed initially as alternative structures outside, and in some instances in competition with, existing structures. These alternate structures represented changes in the criminal justice system. These changes, in the form of alternative structures, became institutionalized into the existing system as they became a part of the local government of Polk County.

The Department of Court Services, in developing and implementing alternative corrections programs, has recruited staff from a very wide range of backgrounds and life styles, in terms of personality and social groups, experience, and educational background. From the period of early development of the corrections program in the Fifth Judicial District to the present, the Department of Court Services staff has included a considerable

number of non-professionals, para-professionals, ex-convicts, and individuals with considerable "street knowledge". The inclusion of these individuals in the Department's staff has been largely successful; certain of these staff members have received promotions to positions of greater responsibility within the organization. The Department feels that non-professionals, para-professionals, ex-convicts and "street people" occupy a valuable role in the corrections program of the county. However, it is not the desire of the Department to be staffed only with non-degreed personnel and, in all units, the Department works to maintain a balance of degreed and non-degreed staff.

In addressing this handbook to private and public organizations outside Polk County interested in establishing similar programs, it is important to make clear that the comprehensive Department program is not proposed as a panacea model which is inherently replicable in areas outside of Polk County. The needs of the rural clientele, as an example, and resources available for correctional programs, can be expected to be in many ways quite dissimilar from the urban area served by the Department of Court Services. The development of the Fifth Judicial District program has shown that flexibility is a necessary ingredient in the process of implementing new correctional programs to meet the needs of specific communities. Thus, replication of the programs of the Fifth Judicial District Department of Court Services cannot and should not be expected to guarantee success in other areas.

In the following pages, a brief history of the significant events in the development of the Department of Court Services will be presented, where pertinent, followed by a descriptive narrative of the services and procedures of each of its units.

CHAPTER II. PRE-TRIAL RELEASE

Increasing awareness during the early 1960's of the injustice of the American bail bond system focused attention on the need for the development of alternatives to the professional bonding system. The first such project in the United States to directly provide an alternative to the established bail bond system was the Vera-Manhattan Bail Reform Project, implemented in New York City in 1961. It was argued that the appearance of a defendant in court could be assured without recourse to the cash bond. In the process, it was argued, not only would the defendant's rights be protected, but the public safety assured, and with considerable savings to the American taxpayer.

The Des Moines Pre-Trial Release Project, operational since 1964, (now incorporated as a component of the Fifth Judicial District Department of Court Services) has followed a similar successful course of development as that of the Vera-Manhattan Project from which it is directly patterned. After three years of successful operation in Manhattan, the Vera Foundation's Manhattan Pre-Trial Release Project was incorporated into the government of the City of New York as a unit of its Probation Office. Similarly, in 1966 the governments of the City of Des Moines and the Fifth Judicial District assumed the financial burden for the Des Moines Pre-Trial Release Project. In 1971, the Project was integrated, with several other correctional projects and agencies, into the comprehensive program of the Fifth Judicial District Department of Court Services.

It is significant in the analysis of the Fifth Judicial District Department of Court Services that the Pre-Trial Release unit is the only component, (aside from the units incorporated from existing government agencies), which was consciously and directly patterned from a previously existing program in the United States. The Supervised Pre-Trial Release program and the residential program at the Ft. Des Moines Men's Residential Facility, on the other hand, had no clearly formulated models for program development. Their development has required a considerable amount of ingenuity and creativity.

Operational Premises

The operational philosophy of the Pre-Trial Release unit is that offenders are incarcerated prior to trial to assure their appearance for trial, and that the only purpose of posting bond is to assure appearance. Consequently, if a person will appear for trial without bond, he is entitled to be released. The objective criteria utilized for determining which defendants are safe risks and should be released on recognizance

pending trial, are aimed at the citizen who has few savings or other assets to pay for a cash bond, but does have significant family and community ties sufficient to guarantee his appearance in court. That is, the defendant will have enough "going for him" that he will not risk losing what he has by failing to appear in court. Initially, this was stated as an experimental hypothesis. Since 1964, that hypothesis has proved to be quite accurate in fact. Statistical data compiled during six years of operation make the accuracy of the initial hypothesis quite clear. (See Appendix I)

Setting

The Pre-Trial Release unit has, since its implementation, conducted its services in a room of the Municipal Court Building provided by the City of Des Moines. This particular setting has been advantageous to the Pre-Trial Release program for several reasons. The Municipal Court Building houses the municipal courts as well as the municipal police department and city jail. The close contact of Pre-Trial Release to the police, jail, and the courts has enabled the unit to provide its services immediately to defendants confined in the city jail and has greatly facilitated the process of releasing the accused through the courts. Close contact with law enforcement and the municipal courts has enabled the Pre-Trial unit to maintain contact with and knowledge about defendants released through the office on Pre-Trial bond. A third important element of the Pre-Trial setting has been the mantle of authority which Pre-Trial Release is able to command, perhaps appearing to the defendants almost as a branch of the court. This Department has been aware of problems existing with pre-trial release programs in other areas of the country which are, in part, the result of their "out-of-court setting". Groups interested in duplication of the Pre-Trial program should be aware of the importance of the project's setting.

Organization

Five part-time interviewers are supervised by one full-time member of the Department staff. In the past, the Pre-Trial interviewers have not been consistently supervised by a full-time staff member. The unit is currently directed by a full-time staff member for several important reasons.

First, the Department of Court Services is attempting to provide comprehensive services to the defendant in contact with the criminal justice system. In an attempt to coordinate services, the Department feels it is important to have a full-time director, particularly with the frequent change of part-time personnel.

Secondly, Pre-Trial Release handles persons accused of more serious crimes, a factor which did not come into the fore until almost one and a half years ago. Pre-Trial Release must have a director who is able to take direct responsibility for the release of defendants accused of more serious crimes.

A third factor is the current and future attempt to develop a one-stage interview process to serve both the Supervised Pre-Trial Release and Pre-Trial Release units of the Department, requiring considerable coordination between these two units. It is possible that in a less comprehensive program, the need for a full-time director would be reduced and a part-time director might be sufficient.

The five part-time interviewers, previously mentioned, have been recruited from the Drake University Law School since the project's inception in 1964. The Department does not consider it absolutely essential that the Pre-Trial interviewers be law students. However, the use of law students has been beneficial to both the Department and the law students. The recruitment of law students has provided the Pre-Trial Release Program a readily available supply of part-time personnel with some knowledge of the processes and procedures of the judicial system.

Pre-Trial Release interviewers conduct interviews in the city and county jails from 8 a.m. to 12 P.M., Monday through Friday. Saturdays, Sundays, and holidays, the interviewers appear at arraignment at 9 a.m. and conduct interviews following arraignment. The remainder of the day, staff interviewers are on call to conduct interviews and release defendants. Each week a jail count is conducted in the county jail to assure that all eligible defendants have been interviewed. If for some reason a defendant has been overlooked, he is interviewed at that time. During the week, additional notification of a defendant's presence in the county jail may come from any of several sources; the defendant's lawyer, the jailer at the county jail, the defendant's friends or family, or from the defendant himself. Signs informing the defendant of Pre-Trial Release services are located in both the county and municipal jails.

Procedure

The procedure followed in releasing the accused on his own recognizance, according to the 1964-70 Pre-Trial Report, is based on two fundamental objectives; simplicity and objectivity.

That report states:

Through the use of a standardized interview form and an objective point system a staff member can determine if an individual qualifies for release on his own recognizance.

The same form is utilized in 1973 as was used in 1970 and the same objectives apply. As the development of a one-stage screening process progresses some changes in the interview form may be necessary. What changes will be made have not been specified, but it is envisaged that the new interview will be a more expansive and intensive investigation of the social history of the defendant. However, the form used for the past eight years has been quite adequate to serve the informational prerequisites for the release on recognizance of defendants through the Pre-Trial Release program.

Individuals who have been arrested and formally charged are interviewed by the five staff interviewers and the unit director. The only persons not interviewed for potential release through the program are those charged with intoxication, failure to appear, federal offenses, non-indictable traffic offenses, or defendants who are juveniles or on whom "holds" have been placed. The interview, conducted by the staff interviewer, consists of various questions relating to the accused's present and past employment, length of residence in the community, prior criminal record, family ties and obligations, and names of close friends, relatives, or working associates. (See Appendix I for interview form and point schedule.)

The names of persons well acquainted with the defendant are obtained in order that the information provided by the accused can be verified. Usually one or two of the persons given as verifiers are contacted by telephone by the staff interviewer. The number of persons contacted depends largely upon the accuracy of the information obtained from the verifying acquaintance and the discrepancy of that information with the information given by the accused. Records of prior arrests and convictions and present holds or bench warrants are obtained from the State Bureau of Criminal Investigation and the Des Moines Police Department on all persons interviewed.

The release of a defendant on his own recognizance through the Pre-Trial Release program depends upon the verification of information obtained from the accused's acquaintances and the total points earned from the information supplied by the defendant according to the objective point scale. The objective is to determine which defendants are most likely to appear for trial.

A minimum of five points is required for the defendant to qualify for release on recognizance.

Following the verification of information provided by the accused and the determination of his or her qualification for release by earning a minimum of five points, a recommendation is made to the judge or magistrate that the defendant be released on his own recognizance.

If the recommendation of the project is accepted by the court, a bail bond form is completed and signed by the accused as principal and surety. The bond, together with recommendations of the unit, are filed with the clerk of court. (Look to the Appendix for Pre-Trial Release forms.)

The staff interviewer may or may not be required to provide information to the judge about the defendant. Currently, information concerning the accused is seldom requested by the judge prior to his decision on release, demonstrating that after eight years of operation, a high degree of confidence exists in the Pre-Trial Release Unit's judgment. This confidence is well founded as only approximately 1.8% have failed to appear in court at the specified time of their appearance.

It should be emphasized that under no circumstances is the judge given knowledge about the number of points that the defendant has earned. This information is considered confidential and is known only to the unit's staff. Although the ultimate decision is made by the judge, his decision is based, insofar as the Pre-Trial program is concerned, only on information from the interview form and the Pre-Trial unit's recommendation.

At the time of release, the accused is presented by the unit with a card informing him of the charge (s) filed against him, and the date and time of his future appearance in court. This same information is recorded in the office files. Three days prior to the defendant's scheduled appearance in court a letter is sent by Pre-Trial Release to the defendant reminding him of his upcoming court appearance.

Due to its limited staff, Pre-Trial interviewers are unable to be in attendance at all arraignments, preliminary hearings, and trials. Information concerning defendants is obtained from three primary sources, aside from staff attendance in court; the clerk of court's office, the defendant's attorney, and the defendant.

The information gathered in the initial interview need not be reviewed at each step in the path of the defendant through the criminal justice process. In most cases, the defendant's

bond is not reviewed by the Pre-Trial Release staff. However, Iowa law requires that if the defendant's cash bond has not been made within 24 hours, and the defendant has not qualified for release on recognizance, a bond review hearing must take place.

As in other stages of the judicial process, the binding over of the defendant to the grand jury (if indeed that course is taken) does not affect the status of the defendant's release-on-recognizance bond. However, when the bond continues through the grand jury hearing, the defendant is required to call the Pre-Trial Release unit every Wednesday to inform the staff investigator of any change in residence or employment status. The institutionalization of the Pre-Trial Release unit has reduced the need for such continuing contacts. However, for projects in the initial stages of implementation, such procedures are important in the development of judicial and citizen confidence in the pre-trial release program.

If the defendant does not appear in court, an attempt is made by the project to contact the defendant. The staff determines whether the defendant has simply forgotten the time of his court appearance, or has consciously neglected his appearance in court to avoid prosecution. If the latter case is determined to be the circumstance, the defendant's Pre-Trial bond is revoked. As has been noted in studies of the Vera-Manhattan Project, the large majority of non-appearances are involuntary. If this is determined to be the case, the release-on-recognizance bond may be continued by the judge. If the non-appearance is determined as voluntary, the bond is revoked. The only other condition under which the bond is revoked is the rearrest of the defendant on a felony charge while he is released through Pre-Trial Release.

Usually the judge who set bond revokes the bond, although that is not mandatory. The revocation is taken by the Pre-Trial staff to the clerk of court, and the clerk of court issues a bench warrant for the accused's arrest. The defendant's records are placed in a special non-appearance file in the Pre-Trial office and remain open until he is arrested. If the original release-on-recognizance bond is revoked, the defendant is excluded from consideration for re-release through Pre-Trial Release auspices.

The Pre-Trial Release unit has a program of nighttime investigation and release. In this phase of the program, the Pre-Trial staff interviewers are permitted to release only those persons confined in the jail who are accused of a misdemeanor. If, after the standard interview is completed, the accused misdemeanorant qualifies for release, the defendant signs the bond. The bond is taken to the jailor and the accused is released without obtaining the approval of a judge or magistrate on the night

of his arrest. The accused misdemeanant is required to appear before the judge the following morning. Most frequently, the accused misdemeanant will be fined or given a short jail sentence, or both at his arraignment, and the bond then discontinues.

Social data sheets, used in the evaluation of the Supervised Pre-Trial Release Project by the National Council on Crime and Delinquency, are completed by the staff counselors on all defendants interviewed and released by the project. These forms are given to the NCCD data collector.

A record is kept in the office files of all persons interviewed and released by Pre-Trial Release. When the disposition of the case has been determined, the bond discontinues and the defendant's file is closed. As stated previously, defendants who do not appear for trial and have their bond revoked, continue to have their Pre-Trial files reviewed. Their records are "red starred" and placed in a separate file. Periodic checks are made with the clerk of court, law enforcement agencies, and the county attorney's office on all non-appearees released by Pre-Trial Release.

The function of the Pre-Trial Release unit of the Department of Court Services does not end at this point. Those defendants who do not qualify for release on recognizance through the auspices of the Pre-Trial Release unit are immediately referred to the Supervised Pre-Trial Release unit of the Department. All information and records obtained on the defendant during the Pre-Trial Release interview and verification process are given to the county jail interviewers of the Supervised Pre-Trial Release staff. Utilizing this information, and a more in-depth interview with the defendant, the Supervised Pre-Trial Release staff determines the acceptability of a client for release to the supervision of the Supervised Pre-Trial Release unit. This process will be described in expanded detail in the section following on the Supervised Pre-Trial Release unit of the Department of Court Services.

It is important to state in this section that the Pre-Trial Release unit, in addition to its routine function of release-on-recognizance of qualifying defendants, plays a complementary role as referral unit for the Supervised Pre-Trial Release unit. For many of the defendants, their contact with the Department of Court Services ends with their release-on-recognizance through the Pre-Trial Release unit. However, for approximately 20% of those initially interviewed for the Vera-Manhattan type of pre-trial release, their contact will not end but will continue in the Supervised Pre-Trial Release unit, Probation unit, the Ft. Des Moines Men's Residential Facility, or in all three units of the Department of Court Services.

The Department suggests that the Vera-Manhattan type of pre-trial release program is the logical first step in the development of a comprehensive correctional program. The Pre-Trial Release unit is the least sophisticated in terms of program development and implementation and provides services to the largest number of defendants at the least cost per client served. The number of staff required to implement this program is less than that of the other units since, unlike the other components of the program, the Pre-Trial unit does not provide continuing services to the client. The Pre-Trial Release program is concerned only with the gathering and verification of information for the purpose of releasing clients earning a minimum number of points on a specific set of objective criteria.

Additionally, as the Pre-Trial unit has been in operation for eight years, its success has been demonstrated. It is not, as are Supervised Pre-Trial Release and the Ft. Des Moines Men's Residential Facility, still in the experimental stages of development. For the above reasons, the Department considers the Pre-Trial unit the most logical program to develop and implement with the least cost in terms of resources, personnel, and program development.

The successful development of the program is the result of many factors. Certain factors should be taken into consideration in the establishment of a similar program in other areas.

Knowledge of the injustices of the bail bond system was enhanced and interest in its reform stimulated due to a series of editorials published in the Des Moines Register and Tribune. This created a very favorable atmosphere for the development of a Vera-Manhattan type of pre-trial release project in Des Moines/Fifth Judicial District.

The inclusion of municipal and district court judges, attorneys, law enforcement officials, and leading citizens of Des Moines in the planning of the Pre-Trial Release Project greatly enhanced their interest in the project and aided its acceptance as a valuable service in the administration of criminal justice. The confidence and cooperation of the judges was particularly essential, and in fact imperative, in the smooth and effective functioning of the pre-trial release program.

The ability of the founders of the project to request and receive funding from a private foundation enabled the project to operate successfully prior to its institutionalization as a governmental unit.

The dedication of the original staff contributed without doubt to the early success of the program. As with all new

programs interested in changing or providing alternatives to existing institutions, a high degree of confidence must be created in the program for its successful acceptance and institutionalization. The quality of the planning and implementing staff played a crucial role in development of this confidence. The confidence generated by demonstrated program success allowed for the early institutionalization of the pre-trial release projects in both Manhattan and Des Moines.

Costs

During the 12 months of '72, 1,022 defendants were released through the auspices of the Pre-Trial Release program at a total cost of \$54,044.66, or \$52.00 per client released. The following is a breakdown of expenditures for Pre-Trial Release during 1972:

Personnel	\$43,342.88
Travel	1,024.53
Office Supplies	762.09
Equipment	21.95
Occupancy	660.32
Grant Administration	1,540.86
Administration	6,692.03
	<u>\$54,044.66</u>

CHAPTER III. DEPARTMENT OF COURT SERVICES' APPROACH TO TREATMENT

The Department of Court Services consists of four units which provide treatment services to criminal offenders: Supervised Pre-Trial Release, Probation Supervision, Ft. Des Moines Men's Residential Facility, and Women's Residential Facility. Although each unit is distinct in terms of the level of penetration of the alleged or convicted offender in the criminal justice process, a central philosophical and practical approach to treatment programming is shared by all units: "'treatment' should flow from the disabilities of the offender rather than from pre-conceived notions of how to change deviate behavior". Thus, rather than concentrating upon therapeutic modalities of treatment, the Department emphasizes programming which is responsive to specific, identifiable problem areas: unemployment, educational underachievement, lack of vocational skills, health deficiencies, psychological problems, problems with finance management, and family and marital relations. The method of programming is to make available to the client alternatives to his present lifestyle, one or several elements of which have lead to criminal involvement.

A second basic premise of the Department's corrections program is the maximum utilization of community resources and services in the treatment process. Community resources are utilized in virtually all areas of programming including health care, recreation, specialized counseling, and job referral and placement.

Although the Department's clientele has consisted of a substantial number of drug abusers of various kinds, the treatment programming for drug abusing clients is indistinguishable from the programming for clients without such problems. The Department does not provide a separable "drug treatment program". Experience with criminal offenders has confirmed that criminal behavior is largely a symptom of larger environmental, behavioral, or personality difficulties. Simply stated, these problems often revolve around several attitudinal themes, including a low level of self-esteem and respect, unwillingness to be responsible, and a feeling that "no one cares". These negative attitudes and feelings are dealt with by offering to the client very realistic alternatives to his past and present life-style; by replacing criminal behavior with positive, acceptable lifestyle alternatives. The major elements of the treatment program in each unit are:

- 1) Psychiatric, educational and vocational evaluation
- 2) Performance contracting
- 3) The treatment plan
- 4) One-to-one counseling

The following is a brief description of each of these major components of the treatment program.

Evaluation

Psychiatric Evaluation Within one to three weeks following admission to any Departmental unit, the client is interviewed by the staff psychiatric consultant. His analysis and evaluation of the client's overall psychological condition, together with specific recommendations and suggestions for treatment of specific problem areas, is related to the counselor in narrative form. Questions relating to the evaluation and recommendations, or suggestions concerning alternative courses of treatment, may and do often require further consultations with the psychiatric consultant. The psychiatric consultant's report functions as a primary input into the development of the treatment plan.

Vocational Evaluation Available to staff of each of the units is a professional vocational rehabilitation counselor on loan from the Vocational Rehabilitation Services Division of the Iowa State Department of Public Instruction. The vocational rehabilitation counselor is trained in the evaluation of vocational skills and aptitude for vocational training of the corrections client. Each vocational rehabilitation counselor, in addition to his own skills, has access to a wide range of community agencies providing comprehensive vocational testing and evaluation services. Recommendations to the counselor as well as referral and placement services are provided by the vocational rehabilitation counselor.

Educational Evaluation The Department of Court Services contracts with Des Moines Area Community College for provision of educational evaluation services. Within one to two weeks following placement in the Department's corrections program, the client is tested and evaluated by the Community College educational evaluation staff. An overall evaluation of the client's academic aptitude, skills, and potential for educational upgrading is available to the counselor. The testing service may recommend several courses of action: GED placement, high school courses leading to diploma, training in technical trades, or other areas of educational upgrading.

As an adjunct to the evaluation procedure described above, the Supervised Pre-Trial Release client submits upon release, and as a condition of release, to a battery of psychological tests administered by a staff counselor. These tests, scales and subscales of nationally recognized psychological tests, provide an additional diagnostic instrument in the development of the treatment plan. Five tests are utilized: The Beta Test (I.Q. and basic aptitude); the Minnesota Multiphasic Personality

Inventory (five scales administered - paranoia, mania, psychotic deviance, lie and frequency scales); Peabody Picture Vocabulary Test (basic comprehension skills); Wide Range Achievement Test (phonetic skills); and the Cornell Index - A-I scale (organic brain dysfunction).

Performance Contracting

As a condition of supervised release, probation supervision, and residential placement, all clients are required to read, comprehend, and sign a performance contract. The performance contract outlines the minimum conditions under which the client must abide to continue in the program. Contract conditions vary according to unit, as would be expected as a result of their respective settings. Each contract allows for the addition of special conditions. For example, clients identified as having drug problems are required, as a condition of their performance contract, to submit voluntarily to periodic urinalysis. A second frequent special condition is the severing of relationships with drug-oriented peers.

The purpose of the performance contract is to assist the client in the development of a personal sense of responsibility for his behavior. By reading and signing the contract, minimum standards of behavior are agreed to by the client. Failure to fulfill or abide by contract conditions, previously agreed to, may result in probation or bond revocation, and return to jail.

The Department's counseling staff attempts to impress upon the client that every individual has certain minimum responsibilities and obligations to himself and others, whether these responsibilities are agreeable or disagreeable. The individual makes a personal choice to either fulfill or disregard these responsibilities, and the consequences of that choice are his own.

The Treatment Plan

The treatment plan of each client is individually designed. The basic question asked in the development of the plan is, "what specific factor or factors keep the client from functioning adequately in society and thus lead to his criminal activity?" Utilizing inputs from the psychiatric, educational, and vocational evaluations, input from the client concerning his interests and problems, and inputs in the form of the counselor's professional judgement, a treatment plan is designed. The plan is discussed with the client, and treatment goals added, modified, or deleted.

Short-Range A treatment plan consists, in most instances, of a long-range and short-range plan. The short-term component of the overall plan focuses on assisting the client in his most immediate or pressing areas of need; for example, health care, crisis psychiatric counseling (usually identified by the psychiatric consultant), shelter, and clothing. These needs are met promptly through referral to community agencies providing these basic services. It is recognized that failure to remove these immediate problem areas will often negate any further rehabilitation efforts.

Long-Range The long range treatment plan consists of one or a combination of the following elements: educational upgrading, vocational training, and employment. Referral to community agencies providing the following services may be incorporated as a part of the long-range treatment plan: marital and family counseling, finance management training, intensive long-term psychiatric counseling, extended medical care, etc. Educational upgrading and vocational training are provided by a variety of community agencies: Des Moines Area Community College, Drake University, Concentrated Employment Program, Occupational Upgrading Program, and community high school extension programs. G.E.D. (high school equivalency) classes are conducted by Des Moines Area Community College instructors in Department offices several nights a week.

The Department provides an intensive job referral and placement program. Job referral and placement is a primary function of the three vocational rehabilitation counselors on loan to the Department. Additionally, a staff member at the Men's Residential Facility is assigned full-time to the task of job development in local industries and trade unions. This component of the program has been so successful that several area businesses utilize the Department's clientele, on a regular basis, as a personnel recruitment resource.

Employment, educational upgrading and vocational training are major components of the treatment plan for all clients.

Vocational training and educational upgrading are pragmatic tools for increasing the client's self-respect. A skill once learned, a diploma or G.E.D. certificate earned, cannot be taken away. They are real and thus suitably lend themselves as realistic, pragmatic goals, particularly to the criminal offender frequently marked by inadequate motivation and goal orientation. Employment is important as a primary means for establishing responsibility as well as self-respect. An employed offender is capable of supporting both himself and his family. A client who is employed learns to take responsibility for his appearance, his punctuality on the job, and his behavior as an employee.

All of these responsibilities would be considered routine to most individuals, but to criminal offenders, particularly drug users, are quite revolutionary.

Rewards for positive behavior at the Ft. Des Moines Men's Residential Facility include furloughs and increased family visitations; and in all units, elimination or modification of restrictive contract conditions, and eventually discharge or administrative closure (probation only). The major reward for positive performance in the Supervised Release program is in the form of a recommendation to the court (in the event of conviction or a plea of guilt) by the counselor for a disposition of probation, founded upon the efforts made and progress established by the client toward positive reintegration into the community. A continuing reward for positive behavior is the continued release on recognizance of the client.

Clients who are unresponsive, for various reasons, to the treatment programming of the Department of Court Services, and in need of intensive therapeutic treatment, are referred to several agencies providing such services: Polk County Broadlawns Hospital - psychiatric unit, Oakdale Security Medical Facility Mental Health Institute at Clarinda, or the therapeutic drug treatment program at Veterans Hospital in Iowa City.

One-to-One Counseling

The client/counselor relationship is vitally important to the total treatment effort. The counselor functions as the first-line referral agent. He is primarily responsible, with the client, for developing a long and short-range treatment plan. Throughout the client's tenure in the program, the counselor monitors the progress made by the client. The counselor constantly exposes the client to his problems, challenges him to establish realistic goals to meet these problems, and informs him of the alternatives before him.

It is in the realm of the counselor/client relationship that the program effectively deals with the client's attitude, that "no one cares". However, caring and counseling is not enough. Combined with the previously described elements of the treatment program, we are able to say to the client, "We care about you; now you take the responsibility to care about yourself".

CHAPTER IV. PRE-TRIAL SUPERVISION

The Pre-Trial Release program demonstrated that a defendant released on recognizance would appear for trial (98% of the time) if he earned 5 or more points on the objective scale. Thus, solid family and community ties were proven to be highly significant as indicators of the likelihood of the defendant's appearance at court. The Pre-Trial Release program did not, however, prove the converse: that defendants not earning the minimum qualifying points would not be safe risks for appearance at trial.

Pre-Trial Release was a significant alternative to the traditional cash bonding system. However, only the defendants with significant family and community ties, with steady employment records were able to qualify for release. Indigent defendants, lacking family and community ties and steady employment remained at the mercy of the professional bonding system. This group was unlikely to be able to raise the money required for a cash bond or for the professional bondsmen's fee and continued to be incarcerated in the period prior to trial. As noted in the first report of the Supervised Pre-Trial Release program, the disposition of a defendant's case is likely to be unfavorable, in terms of community treatment, if he is confined in the pre-trial period:

If the accused, during this time, must be incarcerated in the local jail, the probability of his obtaining probation is reduced because of his inability to obtain or maintain those positive personal and environmental circumstances that the courts look to in evaluating an individual's potential for community rehabilitation.

This handicap is experienced most often by the underprivileged rather than the affluent. Those in our society who are affluent are more likely to be released on bond pending trial than are the poor. They are thus better able to maintain jobs, family, and home, thereby having a much better chance at not being committed to prison.

The Supervised Pre-Trial Release program, unlike the Pre-Trial Release Program, is a program of release-with-supervision to the unit's staff. Continuation of the Supervised Release bond is dependent upon a level of positive performance achieved and maintained by the client throughout the pre-trial period. The supervision by the staff not only increases the probability of the appearance of the client in court, but also serves several

other positive functions. Supervision attempts to reintegrate the defendant into the community, his family ties and friendships, his employment ties, and other positive community ties. The emphasis of the program is upon the reinforcement of the defendant's community ties, within the community setting.

The premise of the Supervised Release program is that too often defendants are removed from their community: (1) severing significant family and community ties which exist and (2) making impossible the utilization of positive ties which may exist as the foundation for rehabilitation.

Supervision, with the development of an individual program, is more likely to affect the favorable disposition of a defendant's case by demonstrating to the court that the client is willing to tackle his problems. The existence of "roots" in the community and participation in positive programs weigh heavily in favor of the defendant in the determination of the appropriate sentence by the court.

The goals of the project are clearly and rather narrowly defined: to release the maximum number of persons consonant with public safety, and to assist the client to become qualified for probation as a final disposition in the event of conviction.

Traditionally, correctional agencies have designed treatment programs which are vaguely related to psychological intervention and which are directed toward foggy and ill-defined goals, such as rehabilitation. Because this project has the narrow and clearly defined goal of preparing releasees for probationary disposition, however, treatment flows directly from the client's disabilities and is directed toward assisting the client to solve very specific and very practical problems.

This point of view begins during the selection process where, contrary to general practice, the incarcerated accused person is evaluated largely on the basis of the negative aspects of his position. That is, the factors which mitigate against his being granted probation are identified and a judgment is made as to the likelihood that staff can assist the client to change those negatives to positives. Thus, if the jailed person is unemployed the fact of being unemployed mitigates against a disposition of probation. Consequently, assisting the man to find a job becomes a part of his "treatment" program. If a contributing factor to unemployment, or to marginal employment, is a poor educational background, remedial education becomes part of the "treatment" program, but the effort is always directed toward assisting the client to qualify for probation.

The Supervised Release program does not consider the criminal guilt or innocence of the defendant. The project primarily endeavors to provide for a more favorable disposition of a case, in terms of community rehabilitation, if the client pleads guilty or is convicted in jury trial. The question is asked: "Does the client have a problem regardless of his guilt or innocence, and can the program help the client with his problems?" The program is concerned with helping clients cope with problems, aiding the development of a more stable behavior pattern for the defendant, and thereby obtaining a more favorable disposition of his case.

As stated in the Pre-Trial Release portion of this handbook, the Supervised Pre-Trial Release program was not modeled after another project existing elsewhere. The program, and its format, developed in the local setting in response to local needs. As the Supervised Pre-Trial Release program of the Department of Court Services is a more or less indigenous program, it is important to briefly recapitulate the history of its origin and development to discover the underlying circumstances for its developmental direction.

Origin and Development of Pre-Trial Supervision

In 1968, a seventeen year old male with a long history of juvenile offenses was arrested in southeastern Iowa. He pled guilty to the charge against him and was immediately sentenced to the State Reformatory for Men at Anamosa, Iowa. At the time of arrest and sentencing, he disclosed his age as 18 although being only 17 years of age. While at the Anamosa institution, he wrote to the Iowa Civil Liberties Union pleading for its representation for appeal on the grounds that he was a juvenile serving sentence at an adult institution. An attorney for the ICLU, representing the juvenile offender, brought suit for his release. He was released on a writ of Habeas Corpus, the ICLU attorney contending that it was the responsibility of the court to verify the age of the defendant.

The ICLU attorney and a group of interested citizens felt that jail was not the proper place for the defendant during the pre-trial period. This group felt that supervised release could guarantee the defendant's appearance in court as well as provide supervision during this period which would not be available in the jail. The group of interested citizens met with the judge and requested the juvenile defendant's release to their supervision. They, in turn, guaranteed the defendant's appearance at the appeal hearing. The judge agreed to the plan for release and released the defendant to the group of citizens on appeal bond. Counseling, employment, medical treatment, and other services were provided to the defendant while on appeal bond by and through the supervision of the group of citizens.

The defendant lost his appeal and was re-sentenced to Anamosa. However, the idea of supervised release, as an alternative to the cash bail bond, had proved successful. Two important hypotheses had been substantiated: (1) that services could be provided to a defendant released in the pre-trial (or pre-appeal) period under supervision of a group of interested individuals; (2) that supervised release, rather than the traditional cash bail bond, could guarantee the appearance of the defendant in court. The group of citizens argued that if a long-time offender could be released successfully to a small group of citizens, an organization could be established to release successfully many more accused unable to post a cash bond.

This group of interested citizens organized themselves into a loose organization called the Ad Hoc Committee to develop a supervised release program, with counseling and other services provided, to aid the release of the group of defendants without employment or community and family ties. Some additions in membership were made and the group eventually included prominent attorneys, municipal and district court judges, editorial writers, and other persons interested in reforms in the administration of criminal justice.

The committee, having previously demonstrated the successful supervised release of one defendant, had difficult decisions to make for the implementation of a program much broader in scope. Initially, a volunteer staff was calculated to be sufficient. However, as the dimensions of the proposed program were realized, and as it was pointed out that such a program necessitated continuing services, plans for a full-time staff were developed.

A full-time staff presented considerable funding problems for the Ad Hoc Committee. A study, conducted by a member of the committee, demonstrated that residents of the Model Cities area of Des Moines were more likely to be confined in the pre-trial period, for longer periods of time, than citizens in other areas of the city. This study drew the support of the Des Moines Model Cities planners. Meanwhile, verbal and formalized funding arrangements were made with the Iowa Crime Commission and the U. S. Department of Health, Education and Welfare. A promise for \$28,000 purchase-of-service funds, and one vocational rehabilitation counselor was received from the State Vocational Rehabilitation Service.

The Iowa unit of the National Council on Crime and Delinquency was chosen by the committee to be the administrative agency for the Supervised Pre-Trial Release program, and the Iowa Director of the NCCD became the first administrator. A pre-sentence investigator for the State of Iowa, well known by the courts, was chosen by the Ad Hoc Committee to be the first director of the program. A pre-sentence investigator (an

associate of the chosen director) and a former parolee were hired simultaneously and began work in January 1970.

A vocational rehabilitation counselor was donated by Vocational Rehabilitation Services to the program and began working in the program in April 1970. Eight additional staff members were hired during the January to June period of 1970.

The court released three clients to the supervision of the program staff in April 1970. At that time, the program had not developed to the point where it was prepared to take defendants under its supervision. However, pressure was building up within the community at that time for the release of defendants to the program.

In June 1970, night programs were established; primarily for group counseling and for the purpose of educating staff and clients about various agencies and services which could benefit the clients and the program's staff. A lengthier discussion of the night program will be presented in a later section of this chapter.

In December 1970, plans were developed to replace the NCCD's administrative role with the integration of a number of projects and agencies into a departmental unit of the government of Polk County. On January 1, 1971, the Supervised Pre-Trial Release program, along with the Pre-Trial Release Project, and the County Probation Department, were consolidated by the County Board of Supervisors into one structure, the Polk County Department of Court Services. In 1972, with the expansion of services to the other fifteen counties of the Fifth Judicial District of Iowa, the program became officially known as the Fifth Judicial District Department of Court Services.

Several significant points should be emphasized from this brief outline of the development of the pre-trial supervision program. First, the present program developed with some modifications from the first experimental release in the early 1960s. The idea of pre-trial supervised release actually developed about the same time as the Pre-Trial Release program developed. When the Pre-Trial Release program, utilizing objective criteria, demonstrated that a significant number of defendants lacked the community, family, and employment ties sufficient to qualify them for release, a group of interested citizens organized to develop a program to fill this gap. The program which developed was in a large measure, then, the answer to local demonstrated needs.

Secondly, the planning for the program utilized the services of many individuals in the community. Judges and attorneys were included in the planning of the program. Their confidence was necessary for the successful performance of the program.

Third, the initial staff of the program was experienced with programs of supervision of criminal offenders. Furthermore, these first staff members were well acquainted with the municipal and district court judges. The confidence of the court in the staff of the program was paramount to its successful development.

Fourth, a vocational rehabilitation counselor brought into the program a staff member well qualified to develop specific program and counselor techniques related to vocational and educational services.

Finally, it is of utmost importance in the development of a program similar to the one described herein that flexibility accompany every stage of development. Particularly was this important in the development of the Supervised Pre-Trial Release program since there was no clearly formulated pattern from which to shape the development of the program. Many beneficial changes have been made in the program and organization of the Supervised Pre-Trial Release program since its inception. Without the required flexibility of the program staff, it might not have developed so successfully.

Organization and Setting of Supervised Release

The Supervised Release unit of the Department of Court Services has a full-time director (who is also director of all community services of the Department). Serving under him is an assistant director and a jail interviewer. Four counselors are supervised by a caseload supervisor. A psychiatric consultant interviews clients every Wednesday in the program office and provides consultation to the counselors.

Supervised Release offices are located in the Model Cities Area of Des Moines. It was anticipated that the greatest number of program clients would come from the Model Cities Area of Des Moines, but the percentage has not been as high as anticipated. However, the location of the office has been quite appropriate to its function; close to the central downtown area of the city, within the Model Cities Area, and not too great a distance from the Pre-Trial Release unit and the County Jail.

The Supervised Release offices are open from 8 a.m. to 9 p.m., Monday through Friday. Saturday and holidays, the office is open from 9 a.m. to 3 p.m.

Process and Procedure

All persons confined in the County Jail on a pre-trial basis are interviewed in the jail by a program staff jail interviewer. All information on the defendant who has not qualified for the

Pre-Trial program is referred to the Supervised Release staff. The interview by the staff member is conducted utilizing a standard interview form (see Appendix II for Supervised Pre-Trial Release forms), the "Face Sheet Information". The interview is brief concentrating on the past history of the defendant, the type(s) of offenses allegedly committed by the defendant, his friends, residence, and employment history. Attitudes and reactions of law enforcement officers and judges are noted on the Face Sheet. Information supplied by the defendant and recorded on the Face Sheet is verified by contacting the reference supplied by the defendant.

Acceptance or rejection by the program of defendants referred to it is largely dependent on several subjective criteria: the attitudes of judges concerned in the case; the attitudes and reactions of law enforcement officers toward the defendant; and residence, family and employment information supplied by the defendant and verified by the jail interviewer. The ranking of these criteria, as to importance, in the decision of which defendants are rejected and/or accepted is difficult to determine. The ultimate decision for acceptance or rejection of a client resides with three staff members: the director, assistant director and the jail interviewer. It is, as stated before, a subjective decision, quite unlike the Pre-Trial Release method of release. Primarily, the intuitive judgment made in determining the suitability of the client is, "Can the program help the potential client to receive probation if convicted and will the client cooperate with the program?"

The defendant who is interviewed and accepted by the program for supervised release is recommended for release to the court. If the court accepts the program's recommendation, a bail bond form is completed and signed by the defendant as principal and surety. The bond and the program recommendation are then filed in the District Clerk of Court's Office.

After the defendant has been accepted, the casework supervisor is notified of the release of a defendant. Utilizing the information from the Face Sheet, the casework supervisor is able to acquaint himself with the problems and social history of the new client. The assignment of a counselor to a client, (or staffing of clients), is determined by three primary factors: (1) existing caseload per counselor, (2) the anticipated success of the counselor/client personality relationship, and (3) the estimated benefit to the client of a counselor's work style. The expertise of a counselor in working with a certain type of clientele is taken into consideration in client staffing. Clients may be transferred from one counselor's caseload to another counselor's caseload if irreparable problems develop between the counselor and client. However, most clients request transfer because of unwillingness to cooperate in the program. Under such a condition, a client is usually not transferred.

Within the first week after the defendant's release to the program, a battery of psychological tests are administered. The five subscales utilized are: (1) the Beta test, utilized to measure IQ and basic aptitudes; (2) the Minnesota Multiphasic Personality Inventory, five scales of which are utilized by the program's testing staff. (The five scales of the MMPI utilized are the paranoia, mania (hyperactivity), psychotic deviance, lie, frequency scales.) (3) Peabody Picture Vocabulary Test, to measure basic comprehension skills; (4) Wide Range Achievement Test, to measure phonetic skills; and (5) the Cornell Index - A-1 scale - designed to measure organic brain dysfunction.

The five subscales used in the current psychological testing are used by the counselors to indicate what treatment program may be beneficial to the client. That is, they are diagnostic in emphasis. If the client's recorded test scores are quite high, the psychiatric consultant is primarily concerned with investigation of the client's case history: (1) interests, (2) history of psychological problems, (3) client attitudes, (4) stability, and (5) employment problems. The psychiatric consultant's evaluation of the client's social history is discussed with the client's counselor and placed in narrative form in the client's file.

Staff counselors are greatly facilitated in their effort to develop individualized programs with the psychological test scores and the evaluation of the psychiatric consultant. These provide insights to the counselors of ways to work more adequately with particular clients. Areas of need are pinpointed, and psychological disorders identified which require treatment at Polk County Broadlawns Hospital or other specialized treatment facilities.

Program Development, Client/Counselor Relationship, Counselor/Counselor Relationship

The designing of a program for each client utilizes all the information gathered from the Face Sheet, the psychological tests, the psychiatric consultant's interview and evaluation, and the initial interview with the client. The development of a client program is perhaps the most important stage in the process of pre-trial supervision. It is also the most difficult process to outline, as each client requires a specialized program. However, the basic inputs of program development and a general description of the counselor/client and counselor/counselor relationships can be identified.

The development of an individual program is a continuing process, inputs continually adding to or altering the initial program format as a working relationship develops between the counselor and client. The development of a client's program is not a step-by-step formulated process. It is imperative

that a program, if it is to be beneficial on an individual client basis, include inputs from the client. A one-way diagnostic approach to program development must be avoided.

Approaches toward program development vary considerably with respective counselors. Generally, however, the counselor attempts to discern identifiable patterns of behavior in the social history of the client. Since employment is a primary factor in the rehabilitation program of the Supervised Pre-Trial Release program, the client's employment history is of particular concern to the counselors. As a large percentage of clients have had employment problems, the counselor attempts to identify what factors have contributed to or caused the client's problems on the job; such as absenteeism, problems with supervisors, and ineffective job performance. Once the client's problem areas have been identified, a corrective program can be proposed.

The counselor should coordinate all the various areas of input into an individualized program for the client. Some of the important areas of program inputs are client interests, needs, and expectations, results of the psychological testing, the psychiatric consultant's evaluation of the client, counselor feelings toward and observations of the client's behavior, the conditions of program release, and the evaluation by the case supervisor.

The immediate needs of the client, such as clothing, food, shelter, medical care, or prompt psychiatric counseling are the initial concern of the counselor. Failure to remove these immediate problem areas will often negate further rehabilitation efforts.

Long-range planning for the treatment of a client is very difficult since the client is under the supervision of the Supervised Pre-Trial Release staff for a relatively short period of time, averaging 110 days. However, a loosely formulated long-range treatment program does facilitate the staff counseling.

An articulated program provides a guideline, at least, for a client's course through the Supervised Pre-Trial Release program. It also functions as a continual "measuring stick" of the client's progress in the program. Initial impressions of the client, reflected in the client's formulated program, provide a valuable means of keeping the client's behavior and progress in perspective, particularly as the counselor/client relationship develops. Finally, an articulated program is an aid to probation officers if the client is placed on probation.

The qualities of ingenuity and flexibility which we earlier specified as important counselor qualities figure in most

prominently in the individualized program of the client. If the counselor is going to be of any benefit to the client, the counselor should be cautious in becoming overly attached to, or dependent upon, the originally developed program so as to avoid the problem of being unable to recognize the positive behavioral changes in the client which had not been anticipated. In some cases, the client's self-styled course of action may be the most positive program of rehabilitation. The important manifestation of a successful program is not necessarily the steady progress of the client through the initially formulated program, but is the increased stability of the client.

The client's program heretofore described has been primarily concerned with program inputs and the counselor approach toward program development. Simply described, the counselor and client identify problem areas and through one-to-one counseling and referral attempt to solve or reduce problems to manageable proportions. Some problem areas and resources, aside from previously mentioned immediate client needs are drug counseling and therapy, alcohol counseling and treatment, job training and vocational rehabilitation, employment, psychiatric counseling, family and marital counseling, financial counseling and advice, remedial educational programs, one-to-one counselor/client counseling, and medical treatment.

As the needs or problem areas vary greatly with each client, so does the appropriate program. The ingenuity of the counselor is tested continually throughout the period of contact with the client. The success of such different programs is difficult to measure. The success of the Supervised Pre-Trial Release program, in terms of what it contributes to the administration of criminal justice and to the criminal offender can be measured in three areas: (1) reduced cost of pre-trial detention; (2) a reduced rate of recidivism; and (3) the increased use of probation by the court rather than confinement in penal institutions.

Throughout the course of the program the counselor is guided by his associates, his immediate supervisor, and the administrators of the project. In-service meetings help to develop methods and techniques which the counselor can utilize. Weekly reports of clients on a counselor's caseload are given to the administrators for review, and advice where appropriate. Previously, the respective counselors and the counselor supervisor regularly discussed the progress of the client through the program. However, counselor evaluation sessions with the supervisor have, to a great extent, been replaced with in-service meetings (to be discussed briefly later).

Pre-trial supervision ends when the client's case has been disposed of by the court. The court may request information about the client throughout the period of supervised release, but the counselor seldom has direct contact with the court.

Usually, contact between the court and the Supervised Release program is through the director or assistant director. A counselor appears at hearings only when requested to appear by the court.

At the conclusion of the program's supervision of a client, and immediately prior to sentencing, the client's counselor makes a recommendation to the court. In the final recommendation, the counselor outlines the significant developments in the course of pre-trial supervision. The counselor informs the court of the positive community, family, and employment "roots" which have been formed or strengthened in the period of supervised release. The recognition of positive community ties facilitates the court in arriving at a sentence which will most benefit the continued rehabilitation of the client in the community setting. If considerable progress has been demonstrated by the client, the counselor recommends a deferred or suspended sentence. If the court follows the program's recommendation, the client is transferred to the probation unit of the Department of Court Services. A smooth transition from pre-trial to post-sentencing supervision is thus accomplished. Furthermore, information concerning clients can be swiftly and completely forwarded to the client's probation officer. The community "roots" developed in the pre-trial period are undisturbed with such a transfer.

A file is kept on all clients released to the program. (Appendix II for forms used in the program). A chronological history of contacts and information while the client is under the supervision of a counselor is entered in narrative form in the client's file. The chronological serves several important functions for the counselor and the program. It is utilized as a treatment yardstick by the counselor. All important contacts concerned with a client are included in the chronological. Documentation of attempts by the client to perform in the program is assured with the chronological. Documentation of events and contacts in the chronological serves as a protective record for the program and the individual counselor. The chronological facilitates the formulation of the written final recommendation to the court prior to sentencing. Also contained in the file on all clients are any legal or court documents relating to the client, the psychiatric consultant's evaluation, the psychological testing results, any medical records, attorney's fees, NCCD code sheets, and any other information relating to the client.

As in the Pre-Trial Release unit, a client's pre-trial bond is revoked if he does not appear for trial or is arrested on a new charge. The Supervised Release bond is, unlike the Pre-Trial bond, conditional upon the observance of the conditions of the contract signed by the client upon release to the program.

Further, if no identifiable progress of the client in the program is made, the program may recommend his return to jail. This, indeed, is an unusual circumstance, but does occasionally occur. Unlike the Pre-Trial Release unit the Supervised Release unit emphasizes pre-trial rehabilitation, although functioning also as an alternative to the traditional cash bail bond system.

In-Service Training

In-service training has been an important factor in the development of counselor expertise. Few of the program counselors have had any counselor training prior to their employment with the Supervised Release unit. An important function of the case supervisor has been the training of program counselors in the techniques and methods of the counselor role. The greatest emphasis of the case supervisor has been training counselors to be sensitive toward personal patterns of behavior of clients and how to deal with them.

Counselor training takes place informally throughout the working hours every day. Much of the training concentrates upon the methods of counselor paperwork; how to put in narrative form what the counselor feels. Instruction in methods of dealing with clients, supervisors, and other service agencies as a counselor is another element of the in-service training. A third important area of counselor training is consultation between the counselor and case supervisor during client crisis periods.

Twice weekly, on Tuesday and Thursday, in-service training meetings are conducted. This is the regularly scheduled portion of the in-service training. Formal lectures and informal discussions are a large part of the in-service meetings; primary emphasis being placed on the role of the counselor, the use of outside referral agencies in the program of a client, and the informal working out of counselor frustrations and problems with clients. Counselors use these meetings to solve problems which they may have with clients, to learn referral contacts, as a means of learning what persons to go to when problems develop. The counselor is trained to utilize his own ingenuity and resources when a problem develops rather than immediately involving supervisors. An essential ingredient in the success of the counseling program has been the sharing of information and problems among the counselors. The open communication among the counselors facilitates the solving of problems common to all counselors.

Open communication of staff counselors not only facilitates the problem-solving capabilities of the counselors, but also facilitates the decision-making capabilities of the organization. The chain of authority and decision-making is kept free

for crucial organizational decisions. As in any organization, the smooth and efficient functioning of the lines of authority tends to determine the problem-solving capability and thus, the success, of the program. Although new programs and organizational structures do not develop efficient lines of authority immediately, the quality of the staff training program will facilitate the hasty development of the organizational structure. The Department considers the development of the in-service training program as crucial in the development of the Supervised Pre-Trial Release program.

Night Program

The Supervised Release unit has a program of night activities which are held four nights a week. Monday and Wednesday night programs have concentrated on instruction about and contact with community services. Tuesday and Thursday night programs, on the other hand, have focused on educational programs. A subsidiary program, the Saturday morning program, has included hobby and handicraft instruction.

Attendance at the night program has been a basic condition of the contract signed by the client when released to the program. The contract requires that the client attend four hours of night programs each week. Attendance is kept on all clients at the night meetings and is reported by the program developer to the client's counselor. The only exceptions to the contract conditions allowed are for clients who are sick or those employed in the evenings. A client is given the option of attending the night meeting which interests him most and suggestions are solicited from clients for input into the programs.

Costs

During the 12 months of 1972, 221 clients were released to the Supervised Pre-Trial Release Program at a total cost of \$155,447.90. The following is a breakdown of expenditures during 1972 for the program:

Personnel	\$106,817.01
Professional Services	11,654.21
Travel	6,649.91
Office Supplies	1,464.34
Client Supplies	114.50
Equipment	471.00
Occupancy	8,985.01
Grant Administration	3,671.12
Administration	15,620.80
	<u>\$155,447.90</u>

CHAPTER V. PROBATION

Pre-Sentence Investigation

The Pre-Sentence investigators occupy an important position within the framework of the corrections program of the Department of Court Services. What has been learned about the defendant in the Supervised Pre-Trial Release unit can be utilized in the preparation of a pre-sentence report. Although the Supervised Pre-Trial Release unit recommends a certain course of action to the court on behalf of the defendant, the systematic investigation of the defendant's social history and present condition, outside of supervision, by the pre-sentence investigators, provides a more "in depth" account of the defendant's past social history and present condition than is supplied by the Supervised Pre-Trial Release recommendation.

Function of the Pre-Sentence Investigation Report. The Federal Division of Probation publication, The Pre-Sentence Investigation Report, presents the model for all pre-sentence reports. The objective of the pre-sentence report, as stated in the federal pre-sentence manual:

...is to focus light on the character and personality of the defendant, to offer insight into his problems and needs, to help understand the world in which he lives, to learn about his relationships with people, and to discover those salient factors that underlie his specific offense and his conduct in general. It is not the purpose of the report to demonstrate the guilt or the innocence of the defendant.¹

The State pre-sentence investigation report has not only the same objective as the federal pre-sentence, but also serves important functions on several levels in the criminal justice system as does the federal pre-sentence report. The primary and most obvious function of the pre-sentence report is to aid the court in determining appropriate sentences for criminal offenders. The pre-sentence report serves other important, although less visible, functions in the administration of criminal justice.

The pre-sentence report assists the state and federal penal institutions in their classification and treatment programs and in their release planning. In the Department of Court Services' comprehensive program, the pre-sentence report is utilized by the Ft. Des Moines Men's Residential Facility as a valuable tool for

¹The Pre-Sentence Investigation Report, Federal Division of Probation, Administrative Office of the United States Courts, Supreme Court Building, Washington, D.C., 1965, p. 1.

the development of treatment programs, and the placement of clients in appropriate treatment teams. Little background information is available on many clients prior to placement in the Ft. Des Moines Men's Residential Facility. The pre-sentence report is invaluable quite frequently as the main source of concrete information available to the staff of the Ft. Des Moines Men's Residential Facility.

The pre-sentence report furnishes pertinent information to the state and federal parole boards in its consideration of inmate parole. This function of the pre-sentence report is a subsidiary function of the pre-sentence report within the corrections program of the Department of Court Services. Evaluation of the inmate's capability for successful parole is largely dependent upon his performance in the Ft. Des Moines corrections program.

A fourth function of the pre-sentence report, as stated in the federal pre-sentence investigation manual, is "to aid the probation officer in his rehabilitative efforts during probation and parole supervision". The Probation staff of the Department of Court Services does utilize the pre-sentence report to some extent in its supervision of probationers and parolees. However, the Probation unit's dependence upon the pre-sentence report for information about a probationer is not as great as that of the Ft. Des Moines facility. As a result of the close contact with the Supervised Pre-Trial Release unit, sharing of information is common concerning clients previously supervised in the Supervised Pre-Trial Release unit. The more removed setting of the Ft. Des Moines Facility does not offer this close informational exchange; hence, its greater reliance on the pre-sentence report.

The pre-sentence report could also serve as a valuable source of information for systematic research in the field of corrections. However, the pre-sentence investigation report is currently not extensively used for research purposes.

The pre-sentence report has developed into a basic tool in the administration of criminal justice in the State of Iowa and the nation-at-large. The utility of the pre-sentence report to the court and to correctional programs largely depends upon the quality of investigation and the reliance by the judges and other administrative organs in the criminal justice system on the information and recommendations presented in the report.

Procedure and Process of Pre-Sentence Investigation and Report. Pre-sentence investigation became a function of the probation unit in July 1972. During the twelve months prior to that date, pre-sentence investigations were conducted by two staff on loan from the Iowa State Bureau of Adult Corrections. Two probation

agents were trained during 1972 to conduct pre-sentence investigations. Each agent has a workload of ten to fifteen pre-sentence investigations per month.

The process of investigation and report commences when the investigator receives a court order instructing the investigator that a pre-sentence investigation on a particular defendant is to be conducted, written and presented to the court within a specified period of time. The time allowed for investigation and report in the State jurisdiction varies considerably with the respective judges. The "predicament" of the defendant is an important factor determining the time allotted for investigation. Generally, a period of two weeks is allowed for investigation if the defendant is incarcerated; three weeks if the defendant is out of jail and supervised by the Supervised Pre-Trial Release unit of the Department. The court order comes directly to the investigator by mail. A copy is also quite often presented by the defendant to the investigator, if out on bond. Pre-sentence investigation reports are assigned on the basis of the existing caseloads of the investigators.

Following assignment of the pre-sentence report, an interview is conducted with the defendant to investigate facts about the defendant's employment record, family relationships, prior criminal offenses, marital status, educational level, military record, physical and mental health, financial status, and interests and hobbies. All other salient information about client attitudes, interests and habits is noted in the initial interview (Appendix III for interview forms of Pre-Sentence).

Following the initial interview, the investigator attempts to verify information provided by the defendant. Personal and telephone interviews are conducted with the defendant's present and previous employers, and with the defendant's family and relatives. The Iowa Bureau of Criminal Investigation, the Des Moines and other metropolitan police departments, juvenile courts, military authorities, educational institutions, the Federal Bureau of Investigation, and many other sources for information concerning a defendant may be contacted during investigation. Considerable effort is made to obtain dispositions if they are omitted on reports. The investigator may also inquire into prior convictions if the circumstances appear to be in doubt.

Of paramount importance to the pre-sentence investigator is the defendant's home environment. A great deal of effort is made by the investigator to personally investigate and evaluate the home environment as it relates to the defendant. If the investigator remains in doubt about the defendant, after investigating his background, he may consult with the judge in order to obtain a psychiatric or psychological evaluation.

Ideally, most of the pre-sentence investigation would be conducted through personal interviews. However, due to the heavy workload and short period allotted for investigation, approximately one-third to one-half of the investigation is conducted utilizing the telephone. The ability of the investigator to discover underlying attitudes which have and do affect the defendant's behavior, and have an important bearing on the determination of an appropriate sentence, is possibly reduced with heavy reliance on telephone interviews.

The information gathered in the pre-sentence investigation is transferred into typed copy, usually five to ten pages in length. The report concludes with the investigator's recommendation to the court on the appropriate sentence for the defendant, based upon the information gathered during investigation. The investigator may recommend any of four general types of sentences; (1) deferred sentence, (2) straight probation, (3) county jail sentence, and (4) state prison sentence; or may recommend a sentence to a specific institution or agency.

The recommendation to the court should be drawn from the information gathered by the investigator. It should not be based on the attitudes of the court toward the defendant or the anticipated sentence of the court. The pre-sentence investigation report is of little worth as an aid to the court unless a great measure of objectivity is maintained by the investigator.

The Pre-Sentence Investigation unit of the Department of Court Services may appear to play a less visible role in the total program of the Department than other units heretofore described. However, the ability of the post-sentence units of the Department to develop treatment programs effectively and efficiently is to a great extent dependent upon the quality of the investigations and reports conducted and submitted by the Pre-Sentence unit. The inclusion of the pre sentence investigators into the Department of Court Services has greatly facilitated the flow of information concerning defendants in the Department's comprehensive program, in addition to its service to other organs and agencies of the criminal justice system throughout the State of Iowa.

Probation Supervision

Process Leading to Probation. A defendant is granted probation by the court following two alternate routes; 1) he may plead guilty to the charge against him without going to jury trial; 2) he may plead innocent and be convicted or acquitted in jury trial. If the defendant enters a guilty plea or is convicted in jury trial, the judge sets the date of sentencing, usually from two to four weeks. If the court desires to have

additional information for determination of the sentence, a court order is sent to the pre-sentence investigators instructing them to conduct a pre-sentence investigation within a specified period of time (described in the previous section). As mentioned previously the investigator may recommend any of four general types of sentences. The court may or may not follow the recommendation of the pre-sentence investigator but in a majority of cases, the recommendation is followed.

A defendant is granted probation by the court, and submits to the supervision of the probation department of the Department of Court Services, if the court either suspends or defers sentencing. If the sentence is deferred, the defendant has entered a plea of guilty and the plea has been accepted. The court, "in the name of justice", does not pronounce the sentence, and the defendant is granted by the court a period of one to two years probation. If at the end of the probation period the defendant's probation has not been revoked, the original charge is "dismissed with prejudice". In theory, the defendant will not have a felony record.

A defendant is also granted probation, and submits to the supervision of the probation department if the court suspends sentencing. In this case, as opposed to the deferred, the sentence is pronounced by the court. The court, in lieu of the sentence, grants the defendant a period of probation. Under the Iowa law, the period of probation granted in lieu of the sentence is indeterminate. That is, the period of supervision is not fixed and can extend as long as the court or the probation officer determines it necessary. The exception to this indeterminate probation period occurs when the court states in the court order that the defendant will serve only "the balance of the sentence on probation". At the end of the probation period, whether indeterminate or defined, a discharge order is signed by the county attorney, the sentencing judge, and the governor (having the effect of restoring full civil rights).

History of Development. Deferred and suspended sentencing, then, are the two types of sentences whereby a defendant may be granted probation in the State of Iowa. Until recently, the supervision of persons granted probation has been the responsibility of the State probation and parole agency, rather than county government agencies. Polk County has, since the late sixties, come to take an increasing responsibility in the supervision of offenders granted probation.

A county probation department was established in Polk County seven years ago to handle persons found guilty of sexual psycho-

pathic offenses, and to act as "friend of the Court" in child support cases. The department was staffed by two part-time attorneys and one probation officer.

The function of the county probation office changed substantially from the year 1970 with the increased number of persons convicted of indictable misdemeanors, particularly possession of marijuana, in Polk County. Since the penalty for an indictable misdemeanor is normally a county jail sentence, the State Bureau of Adult Corrections Services was statutorily unable to supervise offenders found guilty of such offenses. Thus, offenders charged and found guilty of indictable misdemeanors and granted probation, were placed under supervision of the county probation department.

As the workload of the probation office increased (child support cases handled by the department reaching 5,000, and supervised probationers reaching 70 with the increase of indictable misdemeanor offenses), probation became a "stamp work" rather than supervision process. With only a staff of three, the proper supervision of probationers became impossible.

Plans for the consolidation of several projects and agencies involved in the administration of criminal justice into a unified Polk County Department of Court Services were formulated by the Polk County Board of Supervisors during December, 1970. These plans provided the opportunity for administratively and functionally splitting the county probation department into two independent units; probation supervision and "friend of the Court", to facilitate the more adequate functioning of both units. These plans for reorganization provided for the integration of the probation unit into the consolidated corrections program, the Department of Court Services, as a logical component of the program. On January 1, 1971, the probation unit became a unit of the Department of Court Services.

Role of the Probation Supervision Unit in the Department.
We have mentioned above the "probation supervision" function of the probation unit. This is its most important role in the Department of Court Services. However, this is not its only role in the comprehensive program of the Department. Probation agents supervise offenders granted parole from the institutional component of the Department; the Ft. Des Moines Men's Residential Facility. The probation staff also provides secondary supervision of offenders granted probation but placed in the state or county institutions by the court as conditions of probation.

In two of its roles, probation and parole supervision, the probation unit is directly and intimately connected to other units of the Department of Court Services. Many defendants

supervised by the Supervised Pre-Trial Release unit are subsequently granted probation and submit to the supervision of the probation office. There exists a close consultative and informational relationship between these two units.

A majority of the probationers (in 1971, approximately 60%) have been the subjects of pre-sentence investigation reports. Thus, an obvious informational relationship exists between pre-sentence and probation.

The parole release of the Ft. Des Moines Facility inmates has increased the responsibility of the probation unit and has forced greater coordination between the Ft. Des Moines Facility and the probation unit. Behavioral observations recorded in the Ft. Des Moines program can and are being used in the development of the program for the parolee.

"Multi-functional" is a word that describes the important role of the probation unit of the Department of Court Services. It is not, as implied in its title, a one-dimensional unit. Rather, it plays an integrative role between the Supervised Pre-Trial Release, Pre-Sentence Investigation, and Ft. Des Moines units of the Department of Court Services.

Organization. The probation office consists of seven professional staff; one supervisor and six probation agents. An average of 400 probationers are supervised by probation agents at all times, requiring an average caseload of 55 to 60 probationers per agent.

Process and Procedure of Probation. After the defendant has received a suspended or deferred sentence, the probation unit receives a court order instructing the staff that the defendant has been granted probation and will be placed under the supervision of a probation agent. The probationer is ordered by the court to appear immediately at the probation office to submit to supervision.

The probationer appears at the office within a day or two following sentencing, and completes a "probationer's statement", a brief summary of the defendant's version of the offense, an initial intake form, and two "release of information" forms. One of the probation agents, operating as "officer of the day" explains the probation contract to the probationer and has the probationer put his signature to the contract. The initial intake is assigned on an alternating basis to staff, allowing the agents to spend more time in the "field" rather than in

the office. The probationer is, in the initial intake, acquainted with the conditions of probation, described in the contract. The probationer indicates he understands and accepts the conditions of probation by applying his signature to the contract. At this initial intake the probationer is instructed to call the probation office on the following Monday to learn who his probation agent will be and when he is to first meet with him.

Staffing of incoming probationers is conducted on Monday of each week. Caseload distribution and assignment is based on the current caseload of respective probation agents and the anticipated ability of the agent to successfully supervise the probationer.

At the first meeting between the probationer and his probation agent, the probation contract is reviewed, and a schedule is constructed for future contacts. The required contacts between the probationer and probation officer, a condition of the probation contract, depends largely upon the status of the probationer and upon which probation agent has been assigned to the case. If the probationer is unemployed, contact may be required every day or one or two times a week depending upon the agent. An employed probationer is required to contact the agent once a week or twice a month, again subject to the agent's determination. The probation agent sets the date and nature of contacts; telephone, personal, or written.

Process and Procedure: Program Development. As in pre-trial supervision, the first concern of the probation agent is attention to the immediate problems of the probationer, or parolee (for our purposes here, the parolee and probationer will be synonymous). These may be family problems, economic problems, alcohol or drug problems, psychiatric problems, medical problems, or other very immediate problems. Various community services and resources are enlisted to help diminish these problem areas. If the probationer has a potentially dangerous psychological problem, he is interviewed by the psychiatric consultant working in the Supervised Pre-Trial Release unit who evaluates how the probationer could best be treated.

Recently, a staff member of the probation office has undergone alcoholism counselor training. All probationers who are known to be alcoholics will be referred to this agent since he is aware of the services and resources available in the community for alcoholism treatment. Similar expertise in various specific problem areas will be developed in the future by other probation agents. Thus, less secondary referrals will be required for immediate attention to critical problems.

As we stated in the previous chapter, immediate problems

must be removed or reduced to manageable proportions so that efforts at meaningful and long-term rehabilitation can be undertaken and have some hope of success.

Following attention to immediate problems, the probation agent reveals the social history of the probationer. Pre-sentence investigation reports, Supervised Pre-Trial Release files, Ft. Des Moines files, and other sources of information concerning a probationer are reviewed. Using these sources, the agent attempts to construct an overview of the probationer, in order to better design a probation program.

The employment status of the probationer is of utmost concern in the development of a probation program. Several factors account for this emphasis: 1) employment helps the probationer meet his financial obligations (minimum upkeep, restitution, fines, etc.); 2) employment occupies the probationer for at least eight hours of the day, reducing the probationer's opportunities for involving himself in additional criminal activity; 3) a probationer who is employed is more likely to be discharged from probation by the court at an earlier date.

If the probationer has training in some field of employment, he is required by his agent to seek a job immediately. If, on the other hand, the probationer has had no training, the agent and a vocational rehabilitation counselor attempt to determine what training the probationer requires for employment.

A third contingency with which the agent must deal is a probationer's preference for further education rather than employment. The agent faced with this situation must make an evaluation and subjective decision concerning reasons why the probationer desires schooling rather than employment. If the probationer requests further schooling, but his records indicate that he has not performed well academically, probation agents usually require that he work a minimum of three months before entering school. It is hoped that a three month period of successful employment, as a condition for future schooling, will help establish a positive pattern of behavior.

Probationers are encouraged to obtain their own jobs. It is reasoned that the probationer who obtains his own job is more likely to keep it. It is recognized that some probationers will be unable to obtain their own employment. If so, the probation agent personally contacts employers concerning a particular probationer's employment.

The probation unit has been markedly successful in its efforts to have all probationers employed. Normally, 90 to 92% of the probationers supervised by the probation unit are employed.

The probation department follows a strict policy regarding probationers who are employed when they submit to supervision. If the employer has no knowledge of the criminal activities of the probationer, then the employer is not told of his employee's status. It is felt that there is no reason to arouse suspicion by the employer if he has had no prior reason to question the employee's performance on the job.

Some of the resources regularly used by the probation unit in the probation program are the toxicology service of the Ft. Des Moines Men's Residential Facility, the psychiatric consultant of the Supervised Pre-Trial Release unit, the G.E.D. program, Vocational Rehabilitation services, and the Ft. Des Moines Facility as a halfway house for probationers. Other community services are utilized and referrals made when problems or needs arise.

The probation staff relate two basic program tenets which guide probation agents and which are impressed upon probationers: 1) that probationers stop and think before acting and 2) that probationers always consider the consequences of their actions. These two simple, basic guides to behavior, if learned by the probationer, will keep the probationer out of further legal and personal difficulties during the period of supervision and afterward. During the first months of supervision, a probation officer must provide a supportive relationship but as he progresses in the program, support is reduced. Simply stated, the probationer's program is designed to induce a higher level of maturity.

The probation contract, signed by the probationer, is utilized as a means of affecting the above-mentioned type of behavioral change. It is designed as a guideline for probationers entering into the probation program. It also is used as a means for rewarding positive behavior. As probationers proceed successfully in their individual programs, certain stipulated contract conditions of probation may be removed or reduced.

Another method of instituting positive change is the return of probationers to jail, referred to by probation agents as the "power of the jail" treatment method. If the probationer is not performing well in his probation program, the probation agent may place the probationer in the county jail for the weekend. Probation agents argue that probationers often feel that by being granted probation they are "getting away with something". Agents further argue that it is difficult, and perhaps unrealistic to expect probationers to make behavioral changes if they do not understand the alternatives to probation--county jail or prison; most probationers have not had this experience. This method dramatically presents the alternative.

The probation staff anticipates that, in the future, much greater use of group counseling techniques will be utilized to complement the present individual counseling method. Agent expertise in various problem areas will be a positive development aiding the probation office in its rehabilitation program in the future.

Process and Procedure: Apprehension, Revocation, Office Paperwork. The probation agent of the Department of Court Services has very little legal authority when and if crisis situations develop. Quite often, however, it is necessary for the probation agent to apprehend probationers. Before attempting apprehension, the director and assistant director of Community Services are notified.

When a crisis develops and a condition of probation has been violated by the probationer, the probation officer sends a "Report of Violations Memorandum" to the sentencing judge within twenty-four hours. Within forty-eight hours a report is made to the sentencing judge by the probation agent recommending a certain course of action concerning the probationer. A decision concerning change in probationary status or revocation of probation is made by the Court, but most often follows the probation officer's recommendation.

The probation office keeps a file on all probationers supervised by its officers which includes the court order and other official documents relating to the probationer, the "probationer's statement", a "release of information" form signed by the probationer, the initial intake, and a record of the probationer's address, auto license, and insurance coverage (the probation unit requires that all probationers with automobiles carry liability insurance).

The probation office has attempted to keep paperwork to a minimum so that probation agents can be free to provide supervision to probationers. Aside from travel permits and monthly reports from the probationers, all other contacts and information are noted in the chronological. None of the existing paperwork is done in duplicate or triplicate; only one file is kept on each probationer supervised by the probation department.

Process and Procedure: Discharge from Probation. At the end of the period of supervision or when the probation agent feels that the probationer is ready for release the agent personally goes to the county attorney's office and requests agreement for discharge of the probationer. If the county attorney agrees, he signs the discharge order. After obtaining the county attorney's signature, the agent personally petitions the judge for agreement on discharge. If the judge agrees he signs the discharge order.

In the case of the suspended sentence, the discharge order is sent to the governor. The application of the governor's signature to the discharge order restores to the probationer his full civil rights. In the case of the deferred sentence, the probationer is allowed to withdraw his plea of guilty, and the court dismisses the defendant's case "with prejudice". In either case, a letter of closure is given to the defendant by the court, all files are officially closed and the probationer is released from the supervision of the probation office of the Department of Court Services.

Costs

During the 12 months of 1972, 327 probationers were placed by the courts under the supervision of the Probation unit at a total cost of \$111,771.93. The following is a breakdown of expenditures during 1972:

Personnel	\$ 77,910.61
Professional Services	2,170.79
Travel	4,499.33
Office Supplies	2,126.01
Client Supplies	5.00
Equipment	2,564.15
Occupancy	8,726.04
Grant Administration	2,640.47
Administration	11,129.53
	<u>\$111,771.93</u>

CHAPTER VI. FT. DES MOINES MEN'S RESIDENTIAL FACILITY

The Ft. Des Moines Men's Residential Facility is a pilot program in the field of corrections in the State of Iowa. The creation of alternatives to the traditional county jail system has been a topic of interest among persons involved in the criminal justice system and its reform in the State of Iowa for a considerable number of years. However, these efforts at reform of the county jail system did not reach fruition until the latter part of June, 1971, with the creation of a non-secure rehabilitation center, the Ft. Des Moines Men's Residential Facility.

Plans for a residential corrections facility in Polk County could not be operationalized prior to legislative enactment, in the 1970-71 legislative session, of Senate File 190 giving authority to County Boards to (1) designate any facility as a county jail and (2) to determine its administrative organ. As a result, alternative institutions to the county jails, not administered by the sheriff's department, could, for the first time be created.

With passage of Senate File 190, plans began immediately for the development of a residential corrections facility within the framework of the Fifth Judicial District Department of Court Services. Specific proposals were formulated in March, 1971, for the implementation of a residential corrections program in 1971. Funding for the proposed facility was obtained from the Iowa Crime Commission, and the site for the facility was chosen. The residential corrections facility accepted its first clients in the Ft. Des Moines facility in the latter part of June, 1971.

Setting and Physical Design of the Institution

The Ft. Des Moines Men's Residential Facility is housed in a remodelled two story army barracks at Ft. Des Moines, a military reservation located within the City of Des Moines. The institution has none of the physical security devices usually associated with institutions which house convicted felons. That is, there are no bars or security screens, no fences, and windows are of ordinary glass with no special locking devices.

The first floor of the Ft. Des Moines facility consists of staff offices and two large rooms, of equal size, for community living. In one-half of the community living area the clients are provided with equipment for playing such games as cards, checkers, chess, pool, and table tennis. A juke box has also been provided for the clients' entertainment. The other half of the community living area contains a color television set, sofas, and easy chairs. Vending machines, located in the

community living area, enable clients to obtain cigarettes, soft drinks, candy, and coffee. Also located on the first floor are pay telephones for the use of clients, with no restrictions on their use. The location of staff offices, adjacent to the community living area, provides clients with open access to the staff.

The renovation plan was designed to provide a number of positive features for the institution as a rehabilitation center. The private bedrooms, with locking doors, to which inmates carry their own keys, were included to provide clients with a place of their own in an effort to reduce the dehumanization usually associated with correctional institutions. There are 32 private rooms with additional space for 18 offenders who are housed in rooms for three or six. This plan also allowed the facility to place a reasonable limit to the number of clients accepted into the program. The "openness" of the institution, aside from the private sleeping quarters, was designed to make it quite difficult for clients to isolate themselves from either the staff or their peers. As mentioned previously, the renovation plan provided for easy access between clients and counselors; a very positive element for institutional correction.

The facility's design, on the other hand, excluded space and equipment for such activities as recreation, education, or vocational training, forcing the staff to make maximum use of existing community resources. The goal was to demonstrate that correctional facilities located in or adjacent to cities need not make huge capital investments in classrooms, shops, gymnasiums, and infirmaries. As a result, the Ft. Des Moines Facility operates as a community-based residential institution, highly dependent upon community resources and services. This concept is the foundation for the programming of the institution.

Organization and Staffing

The Ft. Des Moines Facility attempts to maintain a favorable staff/client ratio. Presently this ratio is one staff member to every two clients.

The lines of authority in the institution extend from the director to the case supervisor and house supervisor; the case supervisor having responsibility for treatment programming and the house supervisor directing institutional maintenance and purchasing. Staff members beneath this top administrative level are divided functionally between "custodial" and "treatment" personnel. However, no salary distinction is made between these two institutional roles, and a great deal of effort is made to assure a flow of information and ideas between these two functional areas.

The full-time staff of the facility is largely non-professional, in terms of experience in corrections, although approximately one-half have college degrees. The non-degreed staff is represented by part-time students, former convicts, and persons with considerable knowledge of "the street". A balance of professional and non-professional staff is the ideal toward which the program is working. Since approximately 35% of the clients at the Ft. Des Moines facility are black, the director has filled that percentage of the staff positions with black candidates.

Lack of experienced staff creates some problems, but it is the judgement of the Department that there have been many positive results. The inexperienced staff, as a group, tend to be more oriented toward serving people (problem solving) and less oriented toward system preservation. There also tends to be a "freshness" of approach in the inputs of program development. As a result, the inexperienced staff tends to propose, develop and implement programs which more experienced staff are generally less willing to embrace. It is the opinion of the Department that the willingness to experiment; to develop new concepts; and to innovate is what truly delineates between the traditional correction approach and the "alternative" concept of corrections.

In addition to the female clerical personnel, there are three female staff members. One is a full-time registered nurse who has general responsibility for handling sick call and making referrals for medical care. The other two, both in their twenties, work as a counselor and as a "desk man", respectively. Although the majority of the clients are convicted felons, these women have no more difficulty in relating to and controlling them than do male staff.

Operational Premises of Ft. Des Moines Program

The Ft. Des Moines corrections program does not exist in isolation from the community, but rather is dependent upon it. As a corrections facility operating in lieu of the county jail and state prisons, it does not have the full authority to decide which clients will be accepted into the program. Thus, the relationship of the facility to the court is very important. Criminal offenders have as many different personalities and problems as there are offenders. The Ft. Des Moines program cannot hope to provide programs which can equally benefit all clients, nor can it control dangerous offenders. A close and coordinated relationship between the facility and the court is necessary in order to maximize the capability of the facility to provide positive assistance to criminal offenders, as well as protect society during the period of confinement.

The Ft. Des Moines program utilizes to a great extent pre-sentence investigation reports of the pre-sentence unit of the Department. The important criteria which the Ft. Des Moines staff looks for in the pre-sentence report is, "how the potential client thinks", and also what he thinks, the way he thinks, and what he thinks he needs for "making it". Correctional programming at the Ft. Des Moines facility is based upon the premise that the facility is a resource which should be utilized by the client. The assessment of client mental capabilities, attitudes, and potential for behavioral change is important in measuring the likelihood of client rehabilitation. Other significant criteria which indicate the possibility of a defendant's rehabilitation are the client's family ties, employment capabilities, friendship ties, educational level, leisure-time activities, and his ability to function in the community. These positive ties are utilized by the corrections program as a foundation for rehabilitation.

In the interest of the corrections program, it is quite important that the county jail continue to exist as an alternative. Not only is the facility incapable of handling the volume of the county jail (nor serve the security function of that facility), but it also utilizes the alternative facility as a positive instrument for behavior modification. For instance, the return of clients to the county jail has been an effective device in the program for an individual client. As mentioned above, the corrections program must be utilized by the client as a resource. If it is not being utilized as such, the return of the client to jail for a short period of time may initiate a positive change in attitude; a sort of "shock effect".

The Ft. Des Moines facility, existing in a larger setting, functions primarily then as (1) a non-secure institution operating as an alternative institution for confinement, relieving the overcrowded county jail, and state prisons; (2) a correctional facility providing rehabilitation programs to criminal offenders in Polk County, (3) as a work and educational release center supervising clients engaged in employment, educational programs, and vocational rehabilitation programs outside the institution.

Process and Procedure

The Ft. Des Moines facility first comes into contact with a criminal offender when the director of the facility is notified by the court that a male felon is being sentenced to the Ft. Des Moines facility. The director of the facility is also periodically requested by the courts, attorneys, or other interested parties to interview defendants and possibly suggest to the court that they be placed in the Ft. Des Moines program. Names of potential clients are referred to the orientation counselor who, having received the information, conducts the

interview. The primary interview format is a series of questions which are designed to indicate the basic thought processes of the client and the capabilities which the client has to utilize a correctional program. In addition, basic demographic data concerning the potential client is collected and recorded on the Face Sheet Information form. A recommendation concerning the suitability of the defendant in the correctional program is forwarded to the judge.

If the Ft. Des Moines facility is at capacity, the client is placed on a waiting list and remains in the county jail.

However, if the facility is at less than capacity, and the court has decided that the offender will be placed in the Ft. Des Moines program, the orientation counselor obtains the court order, certification of release from the county clerk of court's office, and presents these to the jailer. The offender is then released from jail to the orientation counselor's custody.

The first week of the client's stay in the Ft. Des Moines facility consists of intake workup and orientation. The client is not allowed to look for employment nor participate in outside activities for at least the duration of the first week. The orientation counselor utilizes this period for client behavior observation and evaluation. A contract is signed immediately by the client specifying certain restrictions prior to the client's placement in an appropriate treatment team. (See Appendix V. for contract listing restrictions).

During the first week, the client is required to complete an employment application (supplying essential data to the project about the client's educational and employment history), to write a short autobiography, and to develop his own program and give reasons why the client believes such a program would benefit him. The client and his counselor jointly develop a program, based on the client's assessment of his own needs and expectations, and the counselor's observations. This is incorporated into the contract. The orientation counselor collects from the Probation office the pre-sentence report concerning the client, if indeed a pre-sentence investigation has been conducted. Approximately 65% of the clients have been subjects of pre-sentence reports. Where a pre-sentence investigation has not been conducted, the orientation counselor undertakes an investigation to determine essential information about the client. All the above information is placed in the client's file.

The orientation counselor and the casework supervisor evaluate the information collected concerning the client and decide which counselor presents the most positive approach toward

the respective client's rehabilitation. Their assessment is based upon the client's record of prior arrests, his social history, the impressions obtained by the intake officer in the initial interview conducted in the jail, the client's autobiography and program, and the observed behavior of the client during the first week at the facility. When the client is assigned to a counselor, all information and records are placed in a file and given to the counselor assigned to the client.

Clients are introduced to Ft. Des Moines staff in the orientation group. The client is acquainted with requirements, procedures, and program format of the Ft. Des Moines corrections program in the first week orientation group.

Within the first two to three weeks, following intake, orientation, evaluation, and placement, the client is interviewed by the part-time psychiatric consultant. The psychiatric consultant interviews new clients on Monday of each week. Basic elements investigated in the interview are the client's interests, history of psychological problems, attitudes, environmental stability, and employment history. An evaluation is written in narrative form by the psychiatric consultant and given to the client's counselor, suggesting major areas of psychological disorders and personality and behavior problems. He suggests to the counselor what course might be most beneficial to the client in the program. The psychiatric evaluation is utilized primarily to aid the counselor in the one-to-one counseling, rather than in the respective teams.

At some point during the first three weeks, the new client is interviewed by a vocational rehabilitation counselor (loaned to the Department by the State Vocational Rehabilitation Services) for the purpose of defining possible goals in the programs outside the institution. In this interview, the vocational rehabilitation counselor attempts to evaluate client skills, intellectual and vocational, and attempts to define what type of program might be most beneficial for the client; vocational training programs, educational programs, or some type of employment.

The vocational rehabilitation counselor does a considerable amount of contact-making and placement for employment. (This function is now being assumed by the newly acquired job developer.) In addition, he handles placement procedures for vocational training in the Des Moines Concentrated Employment Program and other vocational programs, and in the educational programs of the Area Community College. Where the client has not completed high school, a G.E.D. program is suggested as a possible aspect

of the rehabilitation program. Possible alternative programs outside the institution are discussed with the counselor. The vocational rehabilitation counselor identifies what problem areas will affect the employability of the client or his success in a vocational or educational program.

One staff counselor at the Ft. Des Moines Facility functions as a full-time job developer, counseling and placing clients in jobs and, more importantly, creating new employment resources through personal contact with area industry management and trade union leadership. The job development program has been so successful that approximately 90% of all clients are employed while at the Ft. Des Moines Facility. Of extreme importance to the program, a number of area industries have begun to utilize the facility's clientele as a manpower resource.

Clients continue in the Ft. Des Moines program until the staff feels that the client has progressed in the program as far as he is able. If the client is judged ready to be released, a request for the placement of the client on parole to the probation unit is presented to the sentencing judge.

If, however, the client has not performed well in the program or has broken the agreements of his contract, he may, if judged advisable, be returned to county jail. In that event, a hearing is conducted by the court requiring the facility to "show cause" to the judge, the defense attorney, and the client why the client should be returned to jail. The sentencing judge usually accepts the recommendation presented in the hearing by the director of the Ft. Des Moines Facility. However, in each case of return, the judge makes the decision.

A third possible recourse in the termination of the client's stay at Ft. Des Moines is the transfer of the client to another facility, if it is deemed that another facility has a program which may benefit the client's rehabilitation. Several drug clients have recently been transferred into the drug treatment program at the Clarinda State Hospital. Other clients may be transferred to other facilities which have treatment programs the facility lacks, for such programs as alcoholism treatment and psychiatric treatment. In each case the judge makes the decision as to the transfer or release of a client.

Internal Treatment Programming

The internal treatment programming of the Ft. Des Moines Facility has undergone considerable change and modification since June 1971. Prior to the opening of the facility, a

conscious staff decision was made to delay development of a structured treatment program until the needs of the clientele could be positively identified. Only basic principles were enunciated to guide the institution toward development and implementation of a treatment program.

Three fundamental principles were formulated by the staff for the future development of the Ft. Des Moines program: (1) existing community resources and services would be utilized to the fullest extent and internal programming would be held to a minimum; (2) practical assistance, such as job placement and upgrading of vocational and educational skills would be emphasized; and (3) offenders would be encouraged and expected to assume responsibility for their own behavior.

The implementation of a correctional institution with neither definitive program nor structure is perhaps quite a high risk approach, but does have certain value. Structure rapidly develops within the institution whether in response to identified client needs or from pre-conceived ideas and theories of offender rehabilitation. By allowing the development of structure to await implementation, the internal program of the institution has tended to develop in response to the needs of the clientele. The continuing challenge has been to promote and sustain among the staff a willingness to experiment, to continually evaluate and modify the program as the population of the institution has changed.

The internal treatment programming of the Ft. Des Moines Facility has undergone several phases of development and change since June 1971. Throughout, treatment has revolved around two basic techniques of treatment, one-to-one counseling and team treatment. At various points treatment has shifted from one technique to the other. During the first 12 months of operation team treatment programming was utilized. Since then, individual counseling has been emphasized. Always, however, the development of programming has followed the principles stated above; particularly the maximum use of community resources and services. This has been and will continue to be the foundation of treatment at the Ft. Des Moines Facility.

The Ft. Des Moines Facility was established to handle misdemeanants and minor felons. However, within a short time following implementation, felons convicted of a myriad of serious offenses and having a multitude of health, mental health,

personality, and drug problems were sentenced to the facility. Presently, two structured treatment modes exist at the facility to deal with the above variety of problems: a triad team and individual counseling.

Triad Team. The triad team program is organized into four groups or triads, each having three client members. Modification of behavior is attempted through a system of collective responsibility. That is, privileges are earned, and restrictions reduced, by each triad collectively, rather than on an individual basis. All three members must demonstrate acceptable behavior for any member to receive privileges. Likewise, privileges earned by the triad may be taken away by the non-performance or demonstration of inappropriate behavior by one client. In theory, a system of collective responsibility modifies the behavior of the least mature client, or whomever is demonstrating inappropriate behavior most frequently.

Each triad is supervised by one counselor. The counselor functions as both the coordinator and data gatherer. All information concerning client behavior which is recorded by staff on behavior observation forms (See appendix) is assembled by the counselor and placed in the client's file.

As the triad team members tend to be the strongest and most mature clients in the facility, all are engaged in employment or training programs outside Ft. Des Moines. Behavior reports from work or training supervisors in the community are solicited by the counselor in order to better evaluate the client's behavior outside the institution. If the client is employed, regular contact is maintained by the counselor with the employer to check on attendance and performance. A similar check is made with instructors if the client is enrolled in an educational or vocational rehabilitation program. The triad counselor is also responsible for reviewing the client's status on payment of the \$5.00 service fee or equivalent work in the institution.

Triad team meetings are held weekly for discussion of team and individual problems. Triad team member files containing behavior reports are brought to the meeting and utilized in discussions pertaining to each client's observed behavior. If a particular client has received several negative reports concerning his behavior, he is requested to explain to the counselor and to his peers on the triad, the reasons for negative reports.

The negative behavior of one client may result in the forfeiture of privileges by the other two members of the triad.

On the other hand, positive behavior reports on all three members of the triad may earn for the group some additional privileges. The privileges which may be earned are stated in the contract signed by the client shortly after placement. The following are the more important privileges which triad members may receive: (1) increased visitation, (2) leaving the building, (3) increased participation in activities outside the institution, (4) work-release, (5) furlough, and (6) parole. Other privileges suited to the individual client or team may be extended.

Currently, the three clients in each triad room together. Close contact between clients on a triad allows for a better system of behavior modification through group interaction and evaluation. As triad clients progress in the program and as their behavior reports continue to be positive, a recommendation for parole release is made. Positions in the triads which are left open by the release of clients are filled by other clients, normally those who have been in the institution more than just a few weeks.

Individual Counseling. The individual counseling mode of treatment places primary emphasis upon one-to-one counseling rather than on a system of collective responsibility. The basic problem area of clients outside the triad team tends to be a lack of self-confidence and goal direction; a supportive client/counselor relationship must be established. Clients are evaluated individually and privileges are earned on an individual basis. The primary role of the counselor is individual client counseling.

The tendency of most clients to have a low level of maturity requires the selection of specific and realistic goals. Although the major goals, stated in the client contract, may include only minor behavioral changes the formulation of specific goals is essential. Without articulation of definite goals, an immature client tends to be inactive in a program designed to increase maturity.

The transfer of clients to the triad team largely depends upon achievement, by the client, of the agreed upon goals as well as the particular needs of the client. If it appears that the one-to-one counseling techniques are ineffective and that group pressure may be necessary for effecting positive behavioral change, the client may be placed in the triad team.

Probably as important to the prospects for rehabilitation as any program is the general atmosphere of the institution. Clients wear "street" clothes and, to a visitor, are indistinguishable from staff. The relationship between staff and clients is quite informal, with everyone on a first name basis.

The clients have open access to public phones, to coffee, candy, and cigarettes. Thus, the dehumanization process usually associated with correctional institutions, is minimized.

In addition, clients are kept in constant contact with the community. Families may visit three times a week, for a total of nine hours, and clients are frequently transported to a variety of community activities. Employed offenders can continue to, or frequently begin, to support their families.

Outline for Action. Common to both modes of treatment described above is the Outline for Action (O.F.A.), an instrument to allow the counselor a means of assessing a client's situation, thereby developing goals and the means to implement those goals. The O.F.A. strives to give one an insight as to how the client arrived in his present situation and what changes he and his family must make in order to become successfully functioning members of society. Input into the program is solicited from a number of sources: client, family, past employers and teachers, and significant others in his life.

The O.F.A. is designed to facilitate concrete and tangible goal direction. The staff of the Ft. Des Moines facility works under the premise that in order to produce effective results, as they pertain to treatment, goals must be realistic and non-nebulous. Thus clients are made fully aware of exactly what their programs are. They and their families must be able to "get a handle on" the O.F.A., interpret it, and act on the clients' expectations or goals. As an example, employment is an expectation for all clients. The client must realize that if he is not ready to address himself to finding a job and following through on that job, then Ft. Des Moines is not at that time an appropriate treatment resource for him. The relationship between employment and participation in the facility, thus, is a strong one: typically, 85-90% of the clientele are employed.

Because most of the experiences a client has had with the different systems (education, employment, criminal justice) in the community has been of a negative nature, much of the evaluation of a client's treatment program is based on the idea of success experiences and reinforcement in relation to those experiences. If one examines the work records of most clients coming to Ft. Des Moines, one finds numerous jobs -- each of which typically lasted only a few weeks in duration. A client is required to hold a job for a lengthy period of time in order to develop some stability as to work habits. If after six months a client can conceptualize that he has held a job for a

number of months -- and the longest he had ever previously held a job before was only two weeks -- the result can be an experience on which to build. The same is true in the area of education. If a client has the mental capabilities, within his first few days in the program he will be working towards his G.E.D. In many cases the final product, receiving his diploma for the purpose of getting a better job, is secondary to the fulfillment of the success experience.

Relating to this philosophy of assisting clients in experiencing a measure of success and assuming increasing responsibilities, the Ft. Des Moines Facility has recently started utilizing a system of graduated employment. This graduated employment model is based upon the ability of the Ft. Des Moines Facility to utilize three different types of employment: entry level employment, which is basically menial work but requires responsibility on the part of the client in that regular attendance and proper behavior are required; temporary employment which carries more responsibilities and greater earnings; and permanent employment, in which levels of responsibility and income are the highest. Depending on a client's ability to assume responsibilities and to interact acceptably, he may enter employment or On The Job Training at any of these levels. Clients entering at the entry level or temporary level, upon successful performance at those levels, may graduate to a job or level having increasing responsibility and greater reward. Thus, an immature client having considerable difficulty in maintaining a job may commence his tenure at the Des Moines facility by working as a kitchen helper or car wash employee. Should he progress in either of these jobs, however, he might move on to the "temporary" level, obtaining a job involving parts assembling, farm labor, roofing, etc. Finally, upon success at this level, he might eventually complete his stay at the Ft. Des Moines Facility employed at a packing house, telephone company, chemical manufacturing company, or the like. As the Ft. Des Moines Facility has been the recipient of a great deal of cooperation from employers in the Polk County area, such a graduated employment system is possible. Without such support -- and without the general community support generated by the Ft. Des Moines Facility -- such a program would be impossible.

Ft. Des Moines Custodial Activity

An important functional area in the success of the Ft. Des Moines program is the activity of the custodial staff. A counselor is supervisor of the floating and desk men. Certain members of the custodial staff are also counselors on the drug and the triad teams. However, three members of the Ft. Des Moines staff function solely as desk and floating

personnel.

The desk man has responsibility for control of the institution at all times. He is placed at the front entrance of the facility and is charged with the responsibility of signing clients in and out of the institution, recording in the log the temper and activities of the clients, and checking visitors in and out of the building. Periodic visitor shakedowns may be requested by the desk man to check for contraband. Shifts are tightly scheduled so that at least one staff member is functioning as desk man 24 hours a day.

The floating man functions as an independent staff member circulating throughout the institution, observing client behavior, taking a count of all clients each hour (called the eye check), and recording the count in the log. If the eye check results in a discrepancy between the number of clients present and the number of clients released to the facility, an investigation is made to determine the reason for the discrepancy. If the missing client(s) cannot be located in the institution, the director of the Ft. Des Moines facility is notified. At least one staff member is functioning as floating man 24 hours a day.

Both the desk man and the floating man are responsible for observing and recording behavior of individual clients. The behavior observation reports are placed in the appropriate counselor's file. A record of all client phone calls and visitors is also kept and placed in the appropriate counselor's file. Although the paperwork involved in the process of behavior observation, recording, and evaluation increases the workload of both counselor and custodial staff, it is anticipated that feedback to counselors concerning clients' behavior can be dramatically increased, benefitting the entire treatment program.

This short narrative cannot pretend to completely describe the entire compass of the Ft. Des Moines Facility's program. During the writing of this manual, substantial improvements were made in the program. What appears in this section on the Ft. Des Moines Facility is actually an artificial extraction at one point in time of a dynamic development process. Any narrative, at any time, attempting to describe the Facility, would suffer this same drawback. This fact is indeed a testimonial to the vitality of the institution and its staff. The Department hopes that all future attempts at narrative description will be equally unsuccessful. If so, the Ft. Des Moines Facility will continue to perform its function as a demonstration of a viable and innovative alternative approach to criminal corrections within the institutional setting.

Costs

During the 12 months of 1972, 137 convicted offenders were placed by court order in the Ft. Des Moines Facility. The total cost of the Ft. Des Moines program during 1972 was \$391,528.54. The following is a breakdown of expenditures during 1972:

Personnel	\$231,271.30
Professional Services	18,220.75
Travel	15,076.50
Office Supplies	3,709.12
Client Supplies	38,862.00
Equipment	15,761.69
Occupancy	27,801.87
Grant Administration	7,751.94
Administration	33,073.37
	<u>\$391,528.54</u>

CHAPTER VII. EXPANSION OF SERVICES

During 1972 the Department of Court Services expanded its services significantly. During June, two offices were opened outside Des Moines/Polk County. These offices, in Chariton and Creston respectively, provide the same pre-trial and probation services to the ten counties of the Judicial Elective District 5B, as are provided by the Des Moines offices to Polk County and the other five counties of the 5A area of the District. With the expansion of services into the rural counties, the Department has assumed responsibility from the State agency for presentence investigation reporting and probation supervision in the Fifth Judicial District.

With the encouragement of the State Bureau of Adult Corrections, the Department of Court Services opened a small, six-bed residential facility for female offenders in September 1972. The facility has been utilized, unlike the Ft. Des Moines Facility, primarily as a pre-parole halfway house and work-release center for female offenders from the Women's Reformatory at Rockwell City, and as a temporary shelter for homeless female probationers and pre-trial releasees. As State law forbids sentencing of female offenders to a local facility for a period exceeding thirty days, it has not been possible for the facility to serve as a dispositional alternative to the courts of the District as has the Ft. Des Moines Facility.

CHAPTER VIII. RELATIONS WITH LAW ENFORCEMENT

There has been a remarkable degree of cooperation between both city and county police agencies and the Department of Court Services. While law enforcement personnel of both the City of Des Moines and the Sheriff's Office have had and still have reservations about some aspects of the program, there has been no effort to prevent the development of the various program components or to undermine them once in operation.

The major reason for this has been the attitude expressed by the Chief of Police of Des Moines, that the traditional prison system has not worked well in preventing recidivism and other alternatives need to be tried. Consequently, in spite of reservations about specific program components, the police have adopted a wait and see attitude. They have been willing to give the programs an opportunity to demonstrate their effectiveness or ineffectiveness. The Sheriff has the same attitude.

The Sheriff, the Chief of Police and the Director of Court Services have discussed coordination and cooperation in only an extremely casual way. There are no set meetings of the three. In fact, since the creation of the Department of Court Services the three have never met as a group. Most meetings have been casual with passing references to coordination and cooperation such as, "If we can be of any help, let us know", or "If problems develop, let me know". In none of the three departments has anyone been designated as "coordinator" to work out problems between the departments. The fact that no one is specifically responsible for coordination and cooperation removes the tendency "to let George do it" and tends to make it necessary for personnel involved in direct operations to accommodate each other. The key in this, however, is that the administrations of the three departments make it clear to personnel in one way or another that they must find ways to work together.

As an example, staff of Pre-Trial Release are housed in the same building with the municipal police and the city jail. The need for Court Services staff to conduct interviews in the jail creates extra work for jailors, but they do accommodate the interviewers in spite of the extra work. On the other hand, Court Services restricts the number of people authorized to interview in the city jail. As a result, these interviewers become well known to the jailors and become quite familiar with the problems with which the jailors must deal. Because personnel at the operational level are familiar with each other and with each other's problems they have developed methods of working together, of "getting along" in spite of the fact that there might be substantial philosophical differences.

Work release and educational release are heavily emphasized at the residential facilities. Shortly after the first facility - for men - opened, work releasees were frequently stopped and questioned by law enforcement officers of both city and county. The predictable initial reaction among Court Services staff was that police were harrasing the offenders. Instead of attacking police, however, the Director of the facility contacted them and learned that officers knew that certain offenders had been committed, but were not aware that they were on work release. Consequently, they assumed the work-releasees were in fact escapees. As a result, a system was inaugurated through which both city and county police receive a list of all work and educational releasees showing where they are supposed to be at given hours. Police "harrassment" ceased since police now know which offenders are authorized to be where, and Court Services received the bonus of having an additional and highly effective control over releasees. The essential point, however, is that this particular arrangement was developed by operational staff in response to a very specific problem.

A great deal of interviewing is done in the county jail and, at times, becomes a problem for the jailor. Again, Court Services restricts the number of staff who are authorized to interview in the jail. As a result, their staff is familiar with the jailor's problems and, since they must work with him on a day to day basis, they tend to adjust their schedules to conform to his needs and he attempts to expedite interviews in return. Again, the arrangements are informal and have been worked out by operational staff to the mutual benefit of both the jailor and the staff of Court Services.

Recently the County Jail lost its medical services and could not provide sick call. This was brought to the attention of Court Services, which employs a registered nurse full time, by the Chief Deputy. The Director of Residential Services worked out an arrangement with the Chief Deputy and the jailor whereby Court Services' nurse now provides sick call service in the County Jail. This arrangement was worked out with virtually no involvement of the Sheriff or the Director of Court Services.

While there are other examples of cooperation between law enforcement agencies and Court Services, the essential point is that cooperation does exist. This is not to say that there is a love feast. There are unquestionably areas of philosophical disagreement but in spite of this it is apparent that a degree of mutual trust has developed among the three departments, or at least among the personnel of the three departments who work together at various times. The principle reason for this seems to be the fact that the administrators of the law

enforcement agencies have made it clear to their respective staff that Court Services should have an opportunity to demonstrate the effectiveness of its programs.

CHAPTER IX. SUMMARY OF EVALUATION FINDINGS*

The Fifth Judicial District Department of Court Services is being evaluated on a continuous basis by the Research Center of the National Council on Crime and Delinquency in Davis, California, augmented by an evaluation staff located in Des Moines, Iowa.

The Community Corrections Project (pre-trial release with supportive services) has been evaluated over a three-year period. Following the first two annual evaluation reports, a final three-year evaluation report was published in July, 1973.

The Ft. Des Moines Residential Corrections Program has been in operation since mid-1971. Although evaluation of the project did not begin officially at that time, the current evaluation contract of NCCD enabled the evaluation team on a post hoc basis to collect and analyze data from the beginning of the project. The data collection and analysis effort culminated in the issuance of the first evaluation report for the residential corrections program in July, 1973.

The Pre-Trial Release Project has been in operation in Des Moines, Iowa since 1964. A summary of the results of the project from 1964-1969 was issued in 1969. This project has also become a focus of the evaluation, with an updated summary of its results from 1971-1974 currently in preparation by NCCD.

In early 1974, a comprehensive evaluation report for the overall program of the Department of Court Services will be prepared. This evaluation report will include an initial evaluation of the Fifth Judicial District Probation Project. Updated results of Pre-Trial Release, Community Corrections and the Ft. Des Moines Facility will also be reported, with a specific focus upon the interfacing of the coordinated correctional services.

Evaluation Methodology

Program evaluation consists of determining on the basis of objective, measurable information the extent to which a program has achieved its objectives. The end product of a program evaluation is a set of definitive statements, based upon valid observable facts, relating to the program's actual

*This section was prepared by the evaluation staff of the National Council on Crime and Delinquency. The full evaluation reports upon which these summaries are based may be obtained from Peter S. Venezia, NCCD Research Center, Suite D, Brinley Building, Davis, California, 95616 or Roger O. Steggerda, NCCD Evaluation Office, 1226 6th Avenue, Des Moines, Iowa 50310.

achievements. Usually this set of statements should be accompanied by some explanation or identification of the specific successes and failures of the program as well as some attempt to identify the factors related to success or failure.

Program evaluation is not simply someone's subjective judgement about the worth of a program; nor is it simply a monitoring of a program's operations; nor is it simply a description of a project's activities. Several of these considerations may be involved in the carrying out of a program evaluation; however, the central thrust of a program evaluation is outcome. Descriptions of activities or processes, however complex or sophisticated, are important only to the extent that they are related to program outcome.

A well-conceived, successful program evaluation should optimally be an on-going process which begins with the planning of the program itself. Five separate, but highly interrelated, steps are involved in a program evaluation, and are followed in the evaluation of the various components of the Department of Court Services:

- specification of the project's goals and objectives, identification of the assumptions (theoretical and empirical) underlying the objectives, and determination of the relationships between the objectives.

- development of an evaluation design which specifies what information is needed, what comparisons are important, and what controls are necessary to enable determination of the extent to which the project objectives have been accomplished.

- formulation of a data collection system adequate to fulfill the information needs specified in the design; and, implementation of the data collection system.

- creation of a system by which the collected data may be processed and analyzed, culminating in the actual processing and analysis of the data.

- presentation, interpretation, and dissemination of the results.

Following are brief summaries of the findings of the evaluations of the Community Corrections, Residential Corrections, and Pre-Trial Release components of the Department of Court Services.

Pre-Trial Supervision (Community Corrections Project)

The Supervised Pre-Trial Release program, often referred to as the Community Corrections Project, has been evaluated on a three-year basis. The general successes indicated in the first and second-year reports were confirmed and augmented by the final results of the three-year evaluation effort. Comparisons among groups of defendants -- pre-trial releasees vs. those not released -- served as the basis of the evaluation.

Client Characteristics. Assessment on thirty-one individual, social, and demographic defendant characteristics provided a profile of clients released to the project. Contrasted with this were two comparison groups: the first, a group of defendants not recommended for release to the project, was demonstrated to be much more marginal as compared to the project group -- marginal in the sense of a higher expectation of pre- and post-trial recidivism. The other group, composed of defendants released on bail, was slightly less marginal.

Client Selection. The group of defendants who were not recommended for release by the project, but who were subsequently released, experienced a higher rate (34.4%) of pre-trial release failure (i.e., new offenses during the pre-trial period) than the group recommended for release by the project (23.3%).

Appearance for Trial. Less than 2% of all clients released to the project failed to appear for their trials, a rate equivalent to the group released on bail. In 1972, 99.2% of all project clients appeared for trial.

Pre-trial Offenses. Clients of the Community Corrections Project and defendants released on money bail were equivalent with respect to the number of offense allegations during the release period (approximately twenty-two percent).

Pre-trial Jail Time. Based upon the average number of days between arrest and trial for those detained during the pre-trial period, the project's existence saved 25,681 jail days, 13,006 of which would have been spent by defendants who were not found guilty.

Pre-trial Employment and Income. The project's employment assistance aids its clients to avoid unemployment; thus, their income is maintained rather than lost completely, as it is for jailed defendants.

Legal Representation. People released to the project were able, more often than those jailed, to retain and pay their own defense attorneys rather than relying upon court appointed counsel.

Court Outcome. Several findings apply for court outcome:

- defendants released prior to trial show a trend towards less convictions than those jailed.
- project defendants are less often incarcerated subsequent to conviction than the defendants detained before trial.
- sentence lengths for project clients are shorter than either jailed or bail groups.

Primary Goal Effectiveness. If "safe pre-trial release" is defined as release without any greater risk of failure to appear for trial or greater risk of new offenses during the pre-trial period, then the project's selectivity and supportive services are achieving its primary goal:

- to obtain the safe pre-trial release of high risk defendants who would ordinarily remain in jail until trial because they do not meet release on recognizance stability criteria and cannot afford bail.

Secondary Goal Effectiveness. The available evidence suggests that individuals who are provided with the project's pre-trial supportive services or who are released on bail without services are less likely to commit new offenses subsequent to trial than are defendants who remain in jail prior to trial. Pending additional study, this finding is tentatively accepted as indicating that the project is accomplishing its secondary goal:

- by means of the community-based rehabilitative and upgrading services provided by the project to those defendants released to it, to reduce the amount of future crime committed by this group.

Financial Effectiveness. During its three-year existence, the total project budget has been \$518,235. Based upon the \$374,205 earned by released defendants during the pre-trial period; the projected 25,681 jail days saved at an estimated \$4.00 per defendant day, or \$102,724; an estimated 40,000 post-sentence institutional days saved at \$6.00 a day, or \$240,000; it is estimated that the existence of the project resulted in a total financial benefit of \$716,929 to the community. Although this cannot be considered as direct savings to the community, it appears that the financial benefits resulting from the project at least balance the financial cost of the project.

Societal Effectiveness. The evidence indicates that the community is benefitting from the program. With supportive services provided by the program, defendants are able to sustain

or initiate productive activity in the community prior to trial without impairing the safety of the community. Furthermore, the probability of change in a defendant's lifestyle is increased and unnecessary hardship for defendants -- especially defendants who are ultimately acquitted -- and their families is decreased.

The Ft. Des Moines Residential Corrections Project

Examination of the experience of the Ft. Des Moines Residential Corrections Project in the light of certain generic program objectives has constituted the primary focus of the evaluative research effort. The evaluation report provided an initial description of the effectiveness of the program. Following is a summary of the evaluation results:

The Program. On the basis of the seriousness of the sentencing offense - felony or non-felony - it was discovered that the program exists both as an alternative to jail and as an alternative to prison. Of the 246 clients in the first 18 months, 188 were sentenced on felony charges and 58 on non-felony charges.

The Population. Assessment on forty-two individual, social, and demographic client characteristics provided a profile of program clients. Based upon that profile, and upon additional analysis, it was discovered that clients from the first six-month period were more often sentenced on felony charges, were less often employed, and were more frequent users of both marijuana and narcotics. Overall, the program's clients appear to have had relatively unstable family relationships, poor employment history, low educational achievement, somewhat high drug usage, and some criminal background.

The Process. The residential corrections program consists of treatment and services provided both by the program staff and by outside community resources. Based upon available information, the typical client received 3.25 service referrals during an average 104.9 day term at the Fort. These service referrals consisted primarily of vocational education, drug and alcohol treatment, and employment, educational, and medical services.

Community Safety. A paramount objective of the correctional system is to protect society. It was found that the community is not endangered as a result of this program. New offenses during the commitment period were charged against only 13% of its clients. Further, only 3% of all clients were charged with offenses against persons, property, morals, or drugs. The remaining 10% were charged with use of alcohol, unauthorized leave from the premises, and traffic charges.

Additionally, it was found that the vast majority of these new offenses occurred in the first six-month period of the project, with only two clients charged with serious offenses in 1972.

Social Effectiveness. The program appears to be highly socially effective. A significantly increased proportion of clients, after they were released, were employed, were relying on their own employment as a primary source of support, were supporting their dependents financially, and, if not employed, were more often engaged in an educational program than prior to their arrest. It appears that the program is being successful in its objective to release to society individuals who are capable of functioning legally within it.

Correctional Effectiveness. Due to lack of comparative recidivism information, it is not possible to determine on a comparative basis the correctional effectiveness of the residential corrections program. New charges subsequent to release from the program were made against 35.7% of all released program clients, while 25.6% have been convicted on new charges.

Factors found to be related to recidivism were use of narcotics, employment status at time of commitment, primary source of income, job stability, and number of prior arrests.

Financial Effectiveness. The Ft. Des Moines Residential Corrections program is an extremely low-cost correctional effort when compared to on-going state correctional programs on the basis of cost per client from commitment to release. On that basis, residential corrections was found to cost only approximately one-fourth the amount of the state institutions per client served. Cost was also found to be approximately equal that of the local county jail, which is purely custodial in nature.

The Pre-Trial Release Project

An evaluation report for the Pre-trial Release Project from May 1971 - December 1972 is currently in preparation by the evaluation staff of NCCD. The preliminary findings are summarized here and should be treated as highly tentative.

The evaluation effort is focusing upon comparisons of those defendants released under the Pre-trial Release Project with defendants released outside of the project, either on their own recognizance or on money bail.

Defendant Characteristics. Individuals were studied on the basis of thirty-two characteristics. As expected, defendants released through the project reflect its release criteria. The typical releasee was a male, 18-27 years old, with a minor criminal record, a long time resident of Des Moines, and employed. He was most often single, with no dependants, though likely to have relatives working within Polk County. He had no known drug or alcohol problems at the time of his arrest.

Appearance for Trial. Less than 2% of the entire project group failed to appear for trial. This rate was approximately equal to the non-appearance rates for other groups of released defendants.

Pre-trial Offenses. A total of six percent of all project clients were charged with new offenses during the pre-trial period, significantly fewer than any other released group.

Defendant Selection. The group of defendants released to the Pre-trial Release Project was equivalent to other released groups on the basis of appearance rate, and experienced a significantly smaller number of new offense allegations, indicating that the selection procedures of the project are able effectively to distinguish between higher- and lower-risk defendants.

Legal Representation. A higher proportion of defendants released through the project was represented by private (as opposed to publicly-provided) counsel than any other group.

Court Outcome. Several findings apply for court outcome:

- the project group experienced a lower conviction rate (56%) than the bail group (67%).
- among convicted defendants, a greater proportion of the project group than the bail group was given probation, suspended, or deferred sentences as opposed to incarceration.
- groups did not differ with respect to length of sentence.

Financial Effectiveness. The approximate Pre-trial Release Project budget of \$90,000 during the period covered by this evaluation (May 1971 - December 1972) amounts to an average cost of \$60 per defendant released through the project. Undoubtedly, some present project releasees would be released on their own recognizance or on money bail in the absence of the pre-trial release project. However, a large number would be

detained in jail prior to trial, at an approximate cost of \$562 (\$9 per day for an average of 62.55 days).

Evaluation Conclusion

Through an array of community-based programs, the Fifth Judicial District Department of Court Services appears to be providing effective correctional services, at no great risk to society and at a cost substantially less than traditional corrections programs. Based upon these findings, the National Council on Crime and Delinquency has recommended that the "...approach be implemented wherever community support can be generated for its acceptance".

CHAPTER X. CONCLUSION

A great deal of attention has been directed recently to the failure of corrections to correct, or rehabilitate, and most of this attention has been directed to reforming services which already exist. The fact is however, that correctional systems as they now function probably cannot be reformed or significantly improved. This is true because of the enormous task society expects corrections to perform. In a typical prison are people who are mentally ill; people who are mentally retarded; people who are alcoholic; people who are drug addicts; people who suffer from severe reading disabilities; and people who are almost universally poor. American society believes, or acts as though it believes, that all criminal behavior results from a common etiology. As a result, the community's expectation has been, and to a large extent continues to be, that at some point in time corrections will discover the common causative factor from which it can develop a "magic pill" which will result in instant rehabilitation. To a large extent officials in the criminal justice system foster this expectation by prating about a treatment program into which individual people who exhibit myriad problems are forced, while ignoring the obvious fact that no single social agency can conceivably develop the expertise necessary to provide treatment for every individual.

The Fifth Judicial District Department of Court Services has consistently maintained that corrections cannot be all things to all people and has, as a result, restricted its own program in favor of utilizing other community resources to the fullest extent possible. The long range goal of the Department is to demonstrate that other social agencies are more competent in dealing with specialized problems, and that they have a responsibility to do so, even though criminal behavior may be involved. It is hoped that we can then move to the point where offenders' specific disabilities are treated by the most appropriate agency, rather than preserving and maintaining a system which focuses almost exclusively on criminal behavior.

APPENDIX I. INTRODUCTION AND PRE-TRIAL RELEASE

Fifth Judicial District Department of Court
Services in the Criminal Justice System

Flow Chart of Defendant Thru Criminal
Justice System in Polk County

1964-1970 Pre-Trial Release Report

Pre-Trial Daily Record

Pre-Trial Release Interview Sheet

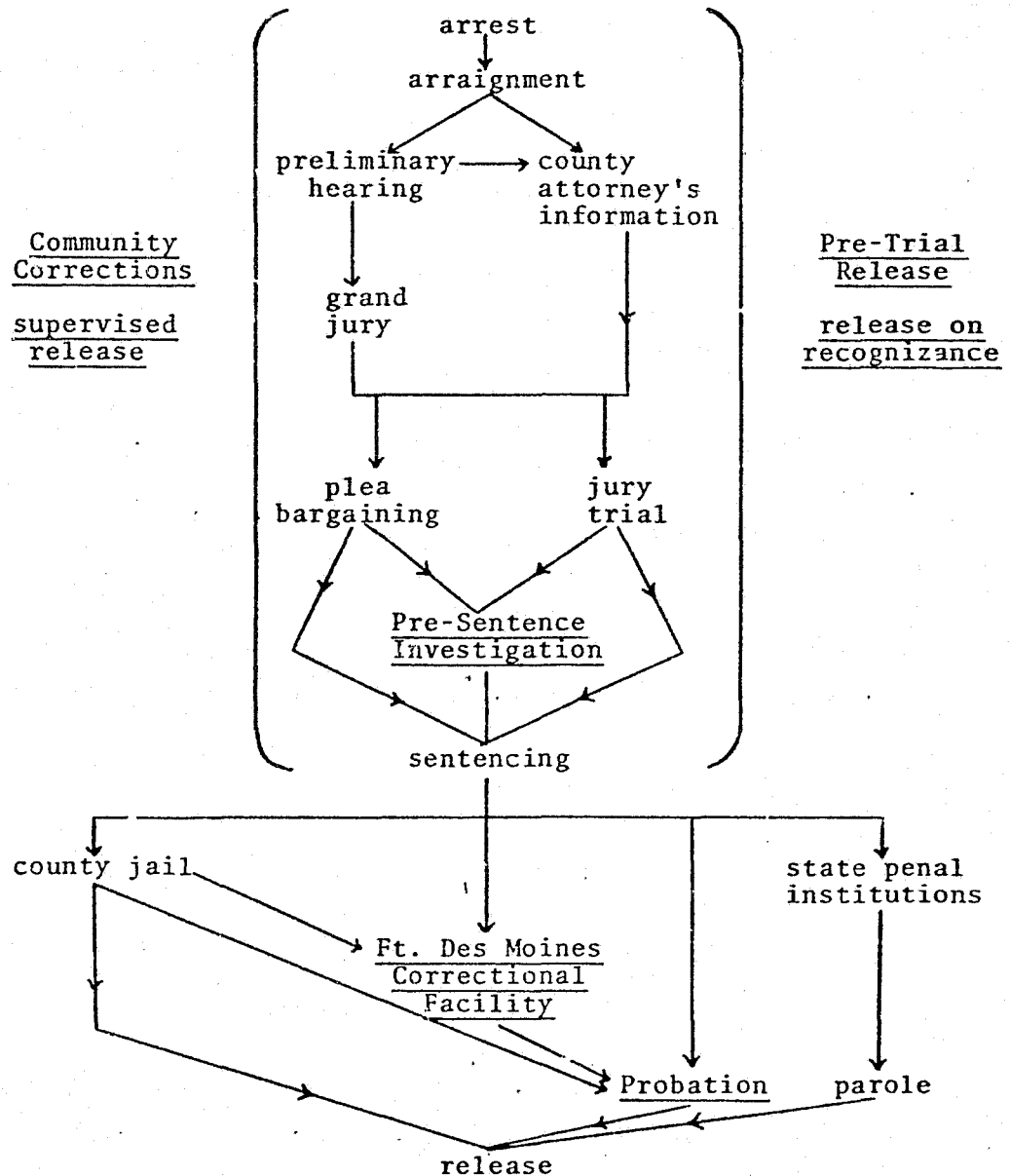
Pre-Trial Point Schedule

Pre-Trial Contract and Reminder Card

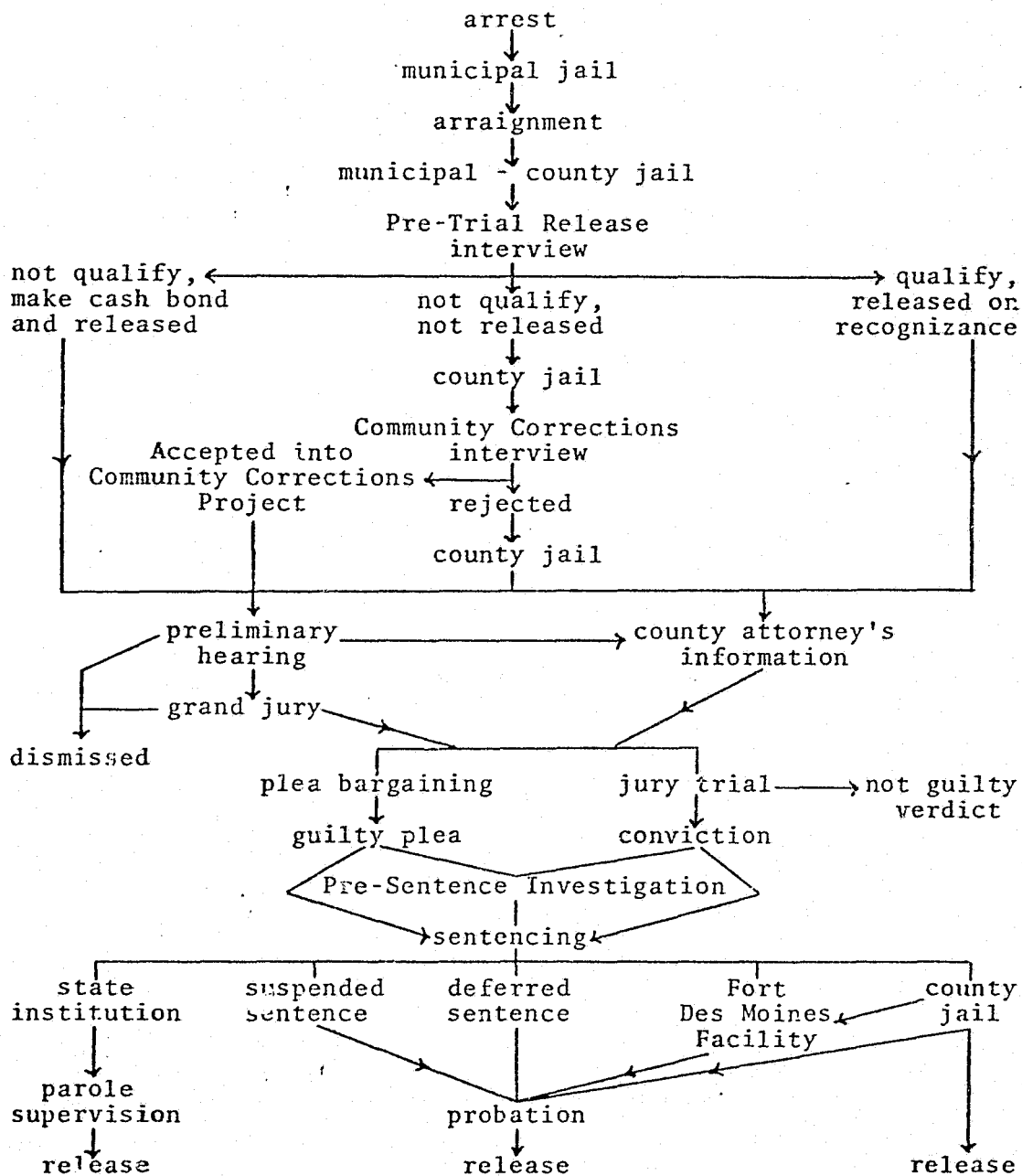
Pre-Trial Release ROR Bond

Pre-Trial Release Evaluation

FIFTH JUDICIAL DISTRICT
DEPARTMENT OF COURT SERVICES
IN THE CRIMINAL JUSTICE SYSTEM



FLOW CHART OF DEFENDANT THRU CRIMINAL JUSTICE SYSTEM IN POLK COUNTY



1964-1970 PRE-TRIAL RELEASE REPORT

STATISTICS FOR THE DES MOINES
PRE-TRIAL RELEASE PROJECT

In order to reflect the accomplishments of the Des Moines Pre-Trial Release Project during the past six years it has been in operation, the following statistics have been compiled. In 1966 our statistical system was completely revised and re-evaluated so that our annual statistics would reflect more accurately the operation of the Project. In so doing, the statistics for the prior years were completely re-calculated. During 1969 the revised system for computing annual statistics was continued and it is believed that the following statistics clearly reflect the performance of the Project during the past six years.

1. Total Number of Individuals Interviewed.....6,787
 1. Number interviewed in 1964..... 877
 2. Number interviewed in 1965.....1,125
 3. Number interviewed in 1966*.....1,114
 4. Number interviewed in 1967.....1,205
 5. Number interviewed in 1968.....1,342
 6. Number interviewed in 1969.....1,124
- A. Individuals interviewed but not qualified for recommendation.....1,298
 1. Insufficient points after interview...1,124
 2. Insufficient points after verification 174
- B. Individuals qualified for recommendation....5,176
 1. Recommendations made and accepted.....4,601
 - a. Recommendations accepted in 1964..... 629
 - b. Recommendations accepted in 1965..... 825

*This figure differs from that which appeared in the Three-Year Annual Report which was published during March, 1967, in that previously our statistical year followed our fiscal year which ran from February to February. Currently, however, our fiscal as well as our statistical year follows the calendar year, which accounts for the deduction from the 1966 figures of the period from January 1, 1967 to February 3, 1967.

- c. Recommendations accepted
in 1966..... 765
- d. Recommendations accepted
in 1967..... 748
- e. Recommendations accepted
in 1968..... 833
- f. Recommendations accepted
in 1969..... 801
- 2. Individuals qualified, but no recommendations
made for extraneous reasons, e.g. plead guilty,
posted bond before our process completed,
etc. 682
- 3. Recommendations not accepted by the
judge 132
 - a. Not accepted in 1964 24
 - b. Not accepted in 1965 9
 - c. Not accepted in 1966 9
 - d. Not accepted in 1967 25
 - e. Not accepted in 1968 41
 - f. Not accepted in 1969 24

C. Summary

As indicated by the above data, of the 6,787 individuals interviewed by the Des Moines Pre-Trial Release Project approximately 77% qualified for release under the auspices of the Project, and 4,601 or 68% were actually released by the courts on recommendation of the Project. The number of individuals qualified for release on their own recognizance has remained rather constant over the past six years, fluctuating between 75% and 85% of those individuals interviewed.

II. Crimes Charged

- 1. The 6,787 individuals interviewed by the Project were charged with a total of 8,266 criminal offenses. The 4,601 individuals released through the recommendation of the Project were accused of a total of 5,612 offenses. A breakdown of these charges is as follows:

<u>Charge Classification</u>	<u>Total Charges</u>	<u>Recommended and Released*</u>
Felony	2,587	1,328 (51%)
Indictable Misdemeanor	977	818 (84%)
Simple Misdemeanor	2,763	2,196 (79%)
Traffic Offense	1,929	1,390 (72%)
Totals	8,266	5,732 (70%)

- B. During the past six years the Project has been in operation a total of \$2,667,535 in Surety Bonds were written on the 5,732 criminal charges handled by the Project. If the individuals recommended and released by the Project had posted a surety bond through a professional bondsman, they would have paid approximately \$266,753 in fees.

III. Willful Non-Appearances

The Project has released 4,601 individuals during the six years of operation and of this number only 103, or 2.2% have failed to appear in court at the specified time for their appearance. During 1967 the total number of non-appearances dropped significantly. The following breakdown by years of the willful non-appearances reflects the decline during the past two years.

<u>Year of Non-Appearance</u>	<u>Total Non-Appearance</u>	<u>Non-Appearance Still at Large</u>
1964	12 individuals	0 individuals
1965	28 "	5 "
1966	26 "	9 "
1967	14 "	5 "
1968	12 "	8 "
1969	11 "	5 "
Total	103 individuals	32 individuals

*The percentage of the total charges which individuals were qualified for recommendation or actually recommended and released is noted beside the category and the totals.

PRE-TRIAL DAILY RECORD

[illegible]

75

PRE-TRIAL RELEASE INTERVIEW SHEET

APPEARANCE

File No. _____
Court _____ Interview Date _____
Date _____ Arrest Date _____
Time _____ Investigator _____
R4A R4NA Day S.S.N. _____
NI R1 R2 R3 Night F I M T Date of Release _____
Name _____ Attorney _____ Phone _____
last first middle
Aliases _____

Description

Age _____ D.O.B. _____ C N M I Sex: M F Education _____
Charge _____ Bond \$ _____
\$ _____

Residence

1. Present Address _____ With _____
No. Street Apt.
Own Rent How Long? _____ Phone _____
2. Previous Address _____ How Long _____ With _____
3. Total number of address changes in last year 1 2 3 4 5 more
4. Place of birth _____ Other States _____
5. How long have you lived in Polk County? _____

Employment

1. Present Employment _____
Company Address
Phone Job Title How Long Income
2. Previous Employment _____
Company Job Title How Long

Pre-Trial Interview Sheet (Cont.)

3. Total number of jobs held within the last year? 1 2 3 4 more

4. Supported by Self, Parents, Other _____ You Support _____

Previous Criminal Record

1. Arrests _____ Convictions _____
1. Arrests _____ Convictions _____

2. B.C.I. _____ D.M.P.D. _____ P.T.R. _____

3. _____
Charge Where When Disposition

4. Ever been on probation or Parole _____ Now? _____ Violate? _____
Probation Officer _____ Name _____ Address _____

5. Number of juvenile felony offenses. 1 2 3 4 5 6 7 8 or more

6. Do you currently have a case pending in any criminal
court? _____ What _____

7. Age at first offense? _____

8. Prior Jail Sentence: _____

9. Prior Prison Sentences: _____

Marital Status

1.. Living arrangement: Single Married Divorced Separated

Widow(er) C.L. Marriage

2. If married: a. wife's name _____
Last First Maiden

b. marriage date: _____

c. number of children: _____

3. If divorced: a. When divorced: _____ Is it final Y N

b. How many children supported? _____

Pre-Trial Interview Sheet (Cont.)

References

A. RELATIVES: (If none in Polk County, so state)
NAME RELATION ADDRESS PHONE HOW OFTEN

B. OTHER:

Other Information

1. Health Problems _____ Doctor _____
a. Drug problems Y N
b. Alcohol problems Y N
2. Military Status _____
3. Would you go back to school if given the opportunity? Y N
4. Will you be leaving Des Moines between now and trial? _____
5. Between now and trial you can be reached at:

Address Phone Time of Day

6. Remarks: _____

INSTRUCTIONS:

Fill interview sheet completely, where applicable.

Check D.M.P.D. records on all defendants and B.C.I records on all felony or indictable misdemeanor charges.

Note which references were contacted on the interview sheet and on the recommendation sheet.

Be sure to get phone numbers for contacting the defendant at home.

CONFIDENTIAL: FOR STAFF ONLY

DES MOINES PRE-TRIAL RELEASE PROJECT
POINT SCHEDULE

To be recommended for release on his own bond, a defendant needs:

1. A Polk County address where he can be reached, AND,
2. A total of five (5) points from the following categories:

INT	VER	<u>RESIDENCE</u>
3	3	Present residence one year or more
2	2	Present residence 6 months..OR..present & prior 1 year
1	1	Present residence 4 months..OR..present & prior 6 months
<u>FAMILY TIES</u>		
3	3	Lives with Wife* AND had contact** with other family members
2	2	Lives with wife or parents
1	1	Lives with family person whom he gives as reference

Note - Wife* (If common-law, must have been living together for 2 years to qualify as "wife")

Contact** (Must see the person at least once a week)

TIME IN DES MOINES OR POLK COUNTY

1	1	Ten years or more
---	---	-------------------

EMPLOYMENT

4*	4*	Present job one year or more
3*	3*	Present job four months..OR..present and prior 6 months
2*	2*	Present job one month
1*	1*	Current job

OR unemployed 3 months or less with 9 months or more on prior job

OR supported by family

OR receiving unemployment compensation or welfare

CONTINUED

1 OF 2

Pre-Trial Point Schedule (Cont.)

*Deduct one point from first three categories if job is not steady, or if not salaried, if defendant has no investment in it.

PRIOR CRIMINAL RECORD

2	2	No convictions
1	1	No convictions within the past year
0	0	One felony conviction, or misdemeanor conviction(s) within the past year
-1	-1	Two or more felony convictions

____ TOTAL POINTS TOWARD RECOMMENDATION

PRE-TRIAL RELEASE CONTRACT

I, _____ understand
that my case has been:

_____ Sent to the Grand Jury

_____ Set for the next Jury Term

and it may be several months before my case will be considered.

I agree that if I am released on my own bond through the recommendation of the Pre-Trial Release Project, I will notify the Project every Wednesday of my whereabouts. If I fail to notify the Project, I understand that my bond will be revoked and a warrant issued for my arrest.

Name

Address

Telephone

PRE-TRIAL RELEASE REMINDER CARD

Name _____
Charge _____
Court _____
Date _____
Time _____
Investigator _____

STOP IN OUR OFFICE WHEN YOU
APPEAR AT COURT

PRE-TRIAL RELEASE ROR BOND

IN THE MUNICIPAL COURT OF THE CITY OF DES MOINES,
POLK COUNTY, IOWA

STATE OF IOWA
CITY OF DES MOINES,

Vs.

Bail Bond - Recognizance

Defendant

The defendant is accused of the crime of _____
and the (hearing) (trial) has been
adjourned until the _____ day of _____, 19____, at
o'clock ____m., and the said defendant has been admitted to bail
in the sum of _____ dollars, without surety.

I, the undersigned defendant herein, understand that in
the event I fail to observe any of the conditions of this
release, or if I fail to appear in Court when required, I will
be subject to punishment by imprisonment in the penitentiary at
hard labor for not more than five years or by a fine not exceed-
ing \$5,000, in the event the offense charged be a felony.

If the offense be a misdemeanor, by imprisonment in the
county jail not more than one year or by a fine not exceeding
\$1,000.

I further understand that if I violate any of the conditions
of my release from custody, a warrant for my arrest will be
issued immediately.

I further understand that if I fail to appear as stated
above, a civil judgment will be rendered against me for the
total amount of said bond.

I further agree to the following terms as conditions for
being released from custody on my own recognizance without bond,
or released on bond without surety, during the pendency of this
case:

1. I will not leave the State of Iowa without written consent of the Court.
2. I will keep my attorney informed of my whereabouts at all times.
3. I will personally appear in this case in all Courts and proceedings, including Municipal and District Courts, at which my personal appearance is required by law or ordered by the Court. Notice to my attorney of record by such Court or County Attorney, of the time and place for all such appearances, shall constitute notice to me as though served on me personally.

4. _____

I further understand that if I fail to observe any of the above terms, I will be subject to punishment, as provided by law, even though prosecution of this case may be dismissed or I may be found not guilty of the offense charged against me.

I understand the terms of this agreement and voluntarily enter into it.

Defendant

Witness

Pre-Trial Investigator

I, attorney for the above-signed defendant herein, hereby express my approval of the defendant entering into this agreement.

Attorney for Defendant

ORDER

Now on this _____ day of _____, 19____, the Court having fully advised the defendant of the consequences of his failure to appear as stated above, the defendant having been specifically ordered to personally appear in all Courts and proceedings, including Municipal and District Courts, at which his personal appearance is required by law or ordered by the Court:

IT IS THEREFORE THE ORDER of this Court that the defendant, _____, be and is hereby

released from custody (on his own recognizance, without bond)
(upon filing with the Clerk of this Court his personal
appearance without surety in the amount of \$_____.)

IT IS FURTHER ORDERED that such release from custody be
and is hereby subject to the terms of the foregoing agreement.

Dated this _____ day of _____, 19____.

Judge

PRE-TRIAL RELEASE EVALUATION

THE PRE-TRIAL RELEASE PROJECT OF POLK
COUNTY, IOWA, 2nd Floor Municipal Court
Building
Phone: 283-4949

S.S. No. _____
File _____

Date _____

Does _____ recommend for Pre-Trial Release: Day _____ Night _____

Score _____ APPEARANCE _____

Charged With _____ Court _____

Bond \$ _____ Date _____

Based on the following verified information: Time _____

A NA

RESIDENCE AND FAMILY _____ POINTS
Disposition _____

Address _____

Lived there for _____ Legal Counsel: _____

With _____ District Court: _____

Phone _____

Previous Address _____

Lived there for _____

RECORD OF CASE:
OFFICE USE ONLY
Action _____ Court _____

Date _____ Time _____

DES MOINES RESIDENT FOR _____

A NA Disposition _____

EMPLOYMENT _____ Points

Employed by _____ Action _____ Court _____

Date _____ Time _____

As a _____ for _____ N NA Disposition _____

Previously Employed by _____

Action _____ Court _____

As a _____ for _____ Date _____ Time _____

A NA Disposition _____

Pre-Trial Release Evaluation (Cont.)

VERIFICATION

Name _____

Address _____

Action _____ Court _____

Relationship _____ Phone _____

Date _____ Time _____

PREVIOUS CRIMINAL RECORD _____ POINTS A NA Disposition _____

_____ Action _____ Court _____

_____ Date _____ Time _____

_____ A NA Disposition _____

Investigator _____

APPENDIX II. PRE-TRIAL SUPERVISION

Face Sheet Information

Release of Information Form

Release Contract

Chronological Record Sheet

Weekly Client Progress Report

Summary Sheet

Community Corrections Bond

Court Order

FACE SHEET INFORMATION

Name:

Date:

Case No.

Address:

Docket No.

Offense:

Address During Release:

Penalty:

Telephone No.

Telephone No. during Release:

Bond:

Age:

D.O.B.:

Arraigned:

Sex:

Race:

Preliminary Hearing:

Education:

Marital Status:

Defense Counsel:

Social Security No.

FBI No.:

Grand Jury Action:

BCI NO.:

Verdict:

Arresting Department:

Model City Resident:

Disposition:

Pre-Trial Release:

Co-Defendants:

_____ Contracted _____ Rejected

PROJECT RECOMMENDATIONS:

REASON FOR REJECT BY PROJECT

DISTRICT COURT ACTION ROR REJECT Date:

PRIOR RECORD

CURRENT OFFENSE

Defendant: _____

Face Sheet Information (Cont.)

RESIDENCE INFORMATION:

Residence for last 12 months:

WHERE: _____ How Long: _____

MARITAL HISTORY: _____ Status _____

Dependents: _____

Comments: _____

EMPLOYMENT HISTORY:

Present: _____

Former Jobs: _____

Comments: _____

Vocational Goals: _____

FINANCIAL STATUS:

Annual Income at time of arrest \$ _____ per _____

Income during Release Period \$ _____ per _____

Indebtedness: Attorney Fees \$ _____ at \$ _____ Mo.

_____ \$ _____ at \$ _____ Mo.

_____ \$ _____ at \$ _____ Mo.

_____ \$ _____ at \$ _____ Mo.

Comments: _____

Face Sheet Information (Cont.)

HEALTH: Drug Abuse _____ Alcohol Abuse _____

Physical: _____

Mental: _____

HABITS & RECREATION:

Interests: _____

Activities: _____

Associates: _____

SERVICE RECORD: Branch: _____ Dates: _____ To _____

Service No. _____ Selective Service No. _____

Selective Service Board _____ Selective Service No. _____

Comments: _____

RELIGION:

TESTING & EVALUATION:

REHABILITATION PLAN:

REFERRALS:

To	Date	For	Results
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Face Sheet Information (Cont.)

REVIEWED:

By: _____

Date: _____

Approved

Date: _____

**Director, Community Corrections
Project**

CLOSING SUMMARY: _____

Date: _____ **By:** _____

RELEASE OF INFORMATION FORM

Name _____

Date of Birth _____

Home of Record _____

I, the undersigned, hereby grant permission to disclose and deliver to the Des Moines Model Neighborhood Corrections Project, any and all information contained in my record. Such information disclosed or delivered may include my complete case history as shown by my records, and any other information relating to my adjustment, treatment, and/or condition.

SIGNED _____

Date _____

Witness _____

Title _____

RELEASE CONTRACT

I, _____, having read the order of the Court of this date releasing me from custody to the Des Moines Model Neighborhood Corrections Project, hereby agree to the following conditions of release established by the Des Moines Model Neighborhood Corrections Project:

1. I will appear in Court when required or be subject to bond forfeiture, imprisonment in the penitentiary for a term of not more than Five Years, or fined not to exceed \$5,000.00.
2. I will not violate any laws of the State of Iowa, or any ordinance of any City of said State.
3. I will not violate the laws of any State of the United States.
4. I will make a report in person to the Des Moines Model Neighborhood Corrections Project at least three times weekly or as often as the latter may require.
5. I will maintain suitable residence and employment throughout the period of the time under the project's supervision and shall not change either residence or employment without prior approval from the supervising authority.
6. I will appear for any meetings that the project feels are to my benefit, and also agree to testing at the project and interviewing by the Staff Psychiatrist.
7. I will not leave the territorial limits of Polk County, Iowa, without written consent of the supervising authority.
8. I will abstain from the excessive use of intoxicants, or any use of drugs unless prescribed for me by my Doctor, and I agree to submit to toxicology testing upon the request of my Counselor.
9. I will not engage in any anti-social conduct which would furnish good cause to the Court to believe that the release order should be revoked in the public interest.
10. I will actively cooperate and participate in any program established for me by the Des Moines Model Neighborhood Corrections Project.

Release Contract (Cont.)

SPECIAL CONDITIONS: _____

I have carefully read and do clearly understand the provisions of my release and do hereby agree to abide by and accept the said terms and conditions. I further understand that any violation of the above conditions is a violation of my release which could cause my release to be revoked by the Court and could result in the issuance of a warrant for my arrest.

Dated this _____ day of _____, 19____.

Witness

Client

CONTACT SYMBOLS

[illegible]

WEEKLY CLIENT PROGRESS REPORT

Counselor's Name: _____

Date: _____

[illegible]

SUMMARY SHEET

NAME _____ FILE NO. _____

SOCIAL SECURITY NUMBER _____

PRESENT ADDRESS _____

DATE: _____

PRESENT TELEPHONE NUMBER: _____

DATE: _____

FINAL DISPOSITION:

DATE: _____

COMMUNITY CORRECTIONS BOND

**IN THE DISTRICT COURT OF THE STATE OF IOWA
IN AND FOR POLK COUNTY**

STATE OF IOWA,

Plaintiff,

vs.

Defendant.

CRIMINAL NO. _____

AGREEMENT AND ORDER

I, _____, the defendant, agree to the following terms for being released from custody on my own recognizance without bond, or released on bond without surety, during the pendency of this case, to the Des Moines Model Neighborhood Corrections Project:

1. I will not leave the State of Iowa without written consent of the Court.
2. I will keep my attorney informed of my whereabouts at all times.
3. I will faithfully and honestly, to the best of my ability, follow and carry out the programs and placement and/or treatment plans developed with me by the Des Moines Model Neighborhood Corrections Project.
4. I will personally appear in Court in this case in all proceedings at which my personal appearance is required by law, or ordered by the Court. Notice to my attorney or to the Des Moines Model Neighborhood Corrections Project by the Court or County Attorney of the time and place for all such Court appearances shall constitute notice to me.
5. **SPECIAL CONDITIONS:**

I understand that if I fail to observe any of the above terms I will be subject to punishment for contempt of Court under the provisions of Chapter 665 of the Iowa Code, and I understand that punishment for such contempt shall be by a fine not exceeding \$500.00 or by imprisonment in the County Jail not exceeding 6 months, or both.

I further understand that any willful failure on my part to appear in Court as required by law or by the Court shall result in forfeiture of any bond or security given for my release and also amounts to a crime which may result in punishment by fine or imprisonment, or both, as set out in Chapter 420, Acts of 62nd General Assembly (up to a maximum of (5) years imprisonment or fine not exceeding \$5,000.00.

I further understand that if I fail to observe any of the above terms I will be subject to punishment even though prosecution of this case may be dismissed or I may be found not guilty of the offense charged against me in this case.

I understand the terms of this agreement and voluntarily enter into it.

Defendant

I, attorney for the above signed defendant herein, hereby express my approval of the defendant entering into this agreement.

Attorney for Defendant

COURT ORDER

The foregoing agreement, having been signed by defendant and his attorney in the presence of the Court, is hereby approved by the Court. Defendant is specifically ordered to personally appear in Court for all proceedings in this case at which his personal appearance is required by law, or ordered by the Court. It is ordered that defendant be released from custody (on his own recognizance without bond) (upon filing with the Clerk of this Court his personal appearance bond without surety in the amount of \$_____.) to the Des Moines Model Neighborhood Corrections Project. It is further ordered that such release from custody is subject to the terms of the foregoing agreement.

Dated this ____ day of _____, 19____.

JUDGE

APPENDIX III. PROBATION

Pre-Sentence Investigation

Initial Intake and Report Form

Probation Supervision

Initial Intake

Release of Information Form

Statement of Probationer

Probationer's Monthly Report

Case Review

Terms and Conditions of Probation

Discharge Order

Deferred Sentence

Suspended Sentence

INITIAL INTAKE AND REPORT FORM

Pre-Sentence Investigation

IN THE DISTRICT COURT IN AND FOR _____ COUNTY, IOWA

STATE OF IOWA	CAUSE NO.
VS:	ORDERED BY AND PREPARED FOR

Alias: Date Submitted:

Plaintiff: Sentence Date:

Offense: Plea:

Code Section: Verdict:

Penalty:

Present Address: Telephone No.:

Legal Residence: Citizenship:

Place of Birth: Date of Birth:

Education: Age:

Military Service: Sex:

Marital Status: Race:

Dependents: Color of Hair:

Social Security No.: Color of Eyes:

Height: Weight:

Custody:

County Attorney:

Defense Counsel:

Charges Pending: BCI No:

Co-Defendants: FBI No:

Prior Offenses:

PRESENT SITUATION:

On _____ the defendant appeared in _____ County District Court with his attorney, _____. The Honorable _____ presiding. (A plea of _____ was entered). (A jury trial returned a verdict of guilty) for the crime of _____, as defined in Section _____ of the _____ Code of Iowa.

OFFICIAL VERSION: Photostatic copy attached.

MINUTES OF TESTIMONY: Photostatic copy attached.

DEFENDANT'S VERSION: _____

(Additional Information:)

PRIOR OFFENSES:

The defendant's FBI number is _____, and his BCI number is _____.

<u>DATE</u>	<u>LOCATION</u>	<u>OFFENSE</u>	<u>DISPOSITION</u>
-------------	-----------------	----------------	--------------------

FAMILY HISTORY:

Natural father _____ is _____ years of age. He was born on _____ in _____. He presently resides at _____, and his telephone number is _____. Mr. _____ is (was) employed at _____ for _____ years as _____. He obtained an _____ education. He is described as a _____. He has (no) prior record of mental illness and (or) alcoholism. He has (no) criminal record. He is in _____ health.

NATURAL MOTHER:

Natural Mother _____ is _____ years of age. She was born on _____ in _____. She presently resides at _____, and her telephone number is _____. Mrs. _____ has worked as a _____. She obtained an _____ education. Mrs. _____ is in _____ health. She has (no) prior record of mental illness and (or) alcoholism. She is described as a _____ mother. She has (no) criminal record.

(Additional Information)

Mr. and Mrs. _____ were married on (in) _____ in
_____. There were _____ children born to this
union. Their marriage is considered to be _____. They
reside in a _____ and have a _____ economic status.

SIBLINGS:

_____, who is _____ years of age, was born on _____.
He (She) received a _____ education. He (She) presently is
employed as _____ at _____, and resides in _____.
Marital status: _____.

(Additional space for sibling information included on form.)

FAMILY RELATIONSHIPS:

The defendant's relationship with his family is described as
_____.

DEFENDANT:

_____ is a _____ year old (female)(male). He (She) was
born on _____ in _____. He (She) was the _____
eldest in a family of _____ children.

LIVING ARRANGEMENT:

The defendant is presently living at _____. It appears
to be a _____ home.

RELIGION:

The defendant is a _____.

EDUCATION:

The defendant began school at _____ when he was _____ years
of age. He completed the _____ grade at _____ in
_____. His reason for leaving was _____.
While in school he was a _____ student with his best subjects
being _____. School testing indicates _____.

MILITARY SERVICE:

The defendant entered the _____ in (on) _____. He received
an (a) _____ discharge on _____. He was a _____ at
the time of his discharge. The defendant's service no. was _____.
He was _____ court martialled on _____ occasion(s).

for _____. He is classified as _____. While in the military service the defendant worked in the capacity of _____.

MARITAL STATUS:

On (in) _____, the defendant married _____, who is _____ years of age. They were married at _____. There were _____ children born to this union. The marriage was (is) described as _____.

DEPENDENTS:

_____ is _____ years of age. _____ is presently residing at _____ with his (her) _____.

(Additional space for dependent's information included on form.)

EMPLOYMENT:

From _____ to _____, the defendant worked for _____ at _____. He _____ and earned _____. Reason for termination was _____.

(Additional space for employment information included on form.)

HEALTH AND HABITS:

The defendant is _____ tall and weight _____ pounds. He has _____ hair and _____ eyes. The defendant's health is considered to be _____. The defendant _____ using marijuana or any dangerous drugs. His drinking habits are _____. The defendant smokes _____.

MENTAL HEALTH:

The defendant has received psychiatric help from _____ in _____ for _____.

(Additional Information):

RECREATION AND HOBBIES:

The defendant enjoys _____.

ECONOMICS:

PROGRAM PLANNING:

SUMMARY:

CONCLUSION:

PROBATION SUPERVISION

INITIAL INTAKE FORM

NAME _____

OFFENSE _____

CRIMINAL NO. _____

DATE _____

ADDRESS _____

PHONE _____

SENTENCE _____

ATTORNEY _____

JUDGE _____

EMPLOYMENT _____

COURT COSTS _____

FAMILY _____

AGE _____ **D.O.B.** _____

EDUCATION _____

OTHER DETAILS _____

AGENT _____

RELEASE OF INFORMATION FORM

NAME _____

DATE OF BIRTH _____

RECORD _____

I, the undersigned, hereby grant permission to disclose and deliver to the Department of Court Services, Probation Division, any and all information contained in my records. Such information disclosed or delivered may include my complete case history as shown by my records, and any other information relating to my records, and any other information relating to my adjustment, treatment, and/or condition.

SIGNED _____

DATE _____

WITNESS _____

TITLE _____

STATEMENT OF PROBATIONER

NAME _____ AGE _____ DATE OF BIRTH _____
PRESENT ADDRESS _____ TELEPHONE _____
RACE _____ HEIGHT _____ WEIGHT _____ COLOR OF HAIR _____
COLOR OF EYES _____ SOCIAL SECURITY NUMBER _____
PLACE OF BIRTH _____
SENTENCING JUDGE _____ DATE _____
SENTENCE _____ PLEA _____ OFFENSE _____
_____ MAXIMUM SENTENCE _____
PRESENT EMPLOYER _____ TELEPHONE _____
IF UNEMPLOYED, WHERE DO YOU THINK YOU CAN OBTAIN EMPLOYMENT _____
FATHER'S NAME, AGE, ADDRESS AND TELEPHONE _____
MOTHER'S NAME, AGE, ADDRESS AND TELEPHONE _____
BROTHERS' NAMES, AGES, ADDRESSES AND TELEPHONE _____
SISTERS' NAMES, AGES, ADDRESSES AND TELEPHONE _____
MARITAL STATUS _____ SPOUSE'S NAME _____
AGE _____ ADDRESS _____
CHILDREN'S NAMES, AGES AND TELEPHONE _____
CHILD SUPPORT (AMOUNT AND PLACE PAID) _____
RESTITUTION (AMOUNT AND PLACE PAID) _____

NAME OF PRINCIPAL CREDITORS

AMOUNT OWED

NAME OF BANK _____ SAVINGS _____ CHECKING _____
BALANCE _____ BALANCE _____

HIGHEST GRADE COMPLETED _____ LOCATION _____

_____ YEAR COMPLETED _____

TYPE OF VOCATIONAL TRAINING RECEIVED _____

WHERE _____ WHAT YEAR RECEIVED _____

HAVE YOU EVER BEEN IN THE ARMED FORCES _____ WHAT BRANCH _____

YEAR ENTERED _____ YEAR LEFT _____ TYPE OF DISCHARGE _____

PREVIOUS ARRESTS INCLUDING JUVENILE _____

THE PRESENT OFFENSE WAS COMMITTED ON OR ABOUT _____

I WAS THEN LIVING AT _____

WITH _____

CO-DEFENDANTS _____

THE FOLLOWING IS MY VERSION OF THE OFFENSE _____

SIGNATURE

DATE

MONTHLY REPORT

SUPERVISING AGENT _____ 19____

NAME _____ PRESENT ADDRESS _____
STREET _____

APT. # _____ CITY _____ STATE _____ ZIP _____ TELEPHONE NUMBER _____

SOCIAL SECURITY NUMBER _____ DO YOU OWN YOUR HOME? _____

MONTHLY PAYMENTS _____ DO YOU RENT? _____ MONTHLY RENT _____

EMPLOYER OR FIRM NAME _____ ADDRESS _____

TELEPHONE NUMBER _____ NAME OF SUPERVISOR _____

TYPE OF EMPLOYMENT _____

RATE OF PAY _____ PER _____ TOTAL TAKE HOME PAY _____

DO YOU OR ANY MEMBER OF YOUR FAMILY RECEIVE ANY OTHER INCOME OR
ASSISTANCE? _____ IF ANSWER IS YES NAME AGENCY AND AMOUNT _____

HOW MUCH DO YOU OWE ON BILLS? _____ HOW MUCH PAID OUT
DURING MONTH ON BILLS _____

NAME OF CREDITORS	AMOUNT OWED
_____	_____
_____	_____

NAME OF BANK _____ SAVINGS _____ CHECKING _____
BALANCE _____ BALANCE _____

DID YOU ATTEND AA MEETINGS? _____ WHAT AA GROUP? _____

ARE YOU USING NARCOTICS OR DRUGS AT THIS TIME? _____

EXPLAIN _____

AUTOMOBILE:

MAKE OF CAR _____ MODEL _____ YEAR _____ COLOR _____

REGISTERED OWNER _____ ADDRESS _____

CAR LICENSE # _____ DRIVER'S LICENSE # _____

DATE OF EXPIRATION OF DRIVER'S LICENSE # _____

INSURANCE:

AGENCY _____ POLICY _____

WHAT OTHER VEHICLES DO YOU DRIVE? _____

WERE YOU ARRESTED DURING THE PAST MONTH? _____ EXPLAIN _____

DID YOUR ADDRESS CHANGE THIS MONTH? _____

DID YOUR EMPLOYER CHANGE THIS MONTH? _____

DID YOU CHANGE AUTOMOBILES THIS MONTH? _____

DID YOUR INSURANCE COMPANY CHANGE THIS MONTH? _____

SPECIAL PROBLEMS OR REQUESTS _____

SIGNATURE

CASE REVIEW

NAME: _____

ADDRESS: _____

CHARGE: _____

CRIMINAL NUMBER: _____

DATE OF SENTENCE: _____

SENTENCE: _____

ATTORNEY: _____

JUDGE: _____

REVIEW: _____

RECOMMENDATION: _____

FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

TERMS AND CONDITIONS OF PROBATION

Probation
Division

Number _____
Sentence _____

TO WHOM THESE PRESENTS BRING:

I, _____, having been granted (probation) (deferred sentence) on the _____ day of _____, 19____, by the District Court, Polk County, Iowa for the offense of _____ for which the Court allowed me supervision under the authority of the Department of Court Services. If sentence was deferred, the Court further ordered that I be returned to the above named Court for further disposition on the _____ day of _____ 19____.

I do hereby agree to abide by the following terms and conditions as set forth by the Court and Department of Court Services:

- 1.) I will secure and maintain lawful employment as approved by my Probation Officer and I agree to contact same, within twenty-four (24) hours, if I lose such employment.
- 2.) I will support my dependants and fulfill all my financial obligations to the best of my ability.
- 3.) I will obey all laws and conduct myself honestly and responsibly in my associations with others.
- 4.) I will reside in Polk County, State of Iowa unless otherwise granted permission by my Probation Officer.
- 5.) I shall secure from my Probation Officer written and/or oral permission before:
 - a.) changing employment
 - b.) borrowing money, going into debt, or buying on credit
 - c.) opening or using a checking account
 - d.) traveling outside my county of residence
 - f.) purchasing or operating a motor vehicle which shall be adequately covered by liability insurance
 - g.) changing place of residence
- 6.) I will contact my Probation Officer as frequently as he may direct, by oral and/or written report.

7.) I will not own, possess, carry or use a firearm or weapon of any kind.

8.) I agree:

- a.) to (completely abstain from)(limit) the use of alcoholic beverages
- b.) to completely abstain from use of narcotic drugs, stimulants, hallucinogenics, or marijuana, except those prescribed to me by a licensed physician
- c.) that upon request of my Probation Officer, I will submit to Toxicology testing
- d.) to contact my Probation Officer immediately if I have any contact with Law Enforcement authorities
- e.) that any information I have under my control, I will make available to my Probation Officer

9.) I expressly agree and consent that should I leave the State of Iowa and be arrested in another state, I do hereby waive extradition to the State of Iowa from any state in which I may be found, and also agree that I will not contest any efforts by any jurisdiction to return me to the State of Iowa.

10.) Special conditions:

11.) I understand that I am under the Supervision of the Fifth Judicial District Department of Court Services, and that any violation, of the above conditions, may be cause for a Report of Violation to be submitted to the Court which could lead to revocation of my probation privileges.

I hereby certify that I have had read to me the above stipulations, and I agree to co-operate fully with this Agreement until discharge by the Court. I further certify that I have received a copy of the Probation Agreement.

Signed and witnessed this _____ day of _____, 19____.

Intake Agent

Signature

Supervising Agent

DISCHARGE ORDER: DEFERRED SENTENCE

**IN THE DISTRICT COURT OF THE STATE OF IOWA
IN AND FOR POLK COUNTY**

Name _____ **Crime** _____

Address _____ **Judge** _____

Date of Sentence _____ **Length of Sentence** _____

STATE OF IOWA,

Plaintiff,

vs.

Defendant

CRIMINAL NO. _____

**ORDER
DISCHARGE**

**NOW, on this _____ day of _____, 19____, it
appearing to the Court that the above named defendant entered
a plea of guilty to the indictment in the above entitled cause:
and,**

**WHEREAS the Court, after investigation, placed the defend-
ant on Probation under the supervision of the Department of
Court Services; until the _____ day of _____, 19____,
and,**

**WHEREAS the said defendant has fully complied with the
conditions of said probation, and has earned and received the
recommendation from the Probation Officer and the County Attorney
of Polk County, Iowa; and**

**WHEREAS the said defendant now be permitted to withdraw
the plea of guilty and that the motion to dismiss this case
be sustained.**

**IT IS THEREFORE ORDERED that the defendant be, and is
hereby authorized to withdraw a plea of guilty; that the with-
drawal of the plea of guilty is accepted by this Court; and the
motion to dismiss this case with prejudice be and the same is
hereby sustained.**

Dated at Des Moines, Iowa this _____ day of _____, 19____.

JUDGE

APPROVED:

PROBATION OFFICER

COUNTY ATTORNEY

DISCHARGE ORDER: SUSPENDED SENTENCE

**IN THE DISTRICT COURT OF IOWA
IN AND FOR POLK COUNTY**

Name _____
Address _____
Date of Sentence _____
Length of Sentence _____
Crime _____
Judge _____

STATE OF IOWA)
)
Plaintiff,)
)
vs)
)
Defendant.)

Criminal No. _____

FINAL DISCHARGE

Now on this ____ day of _____, 19____, it
appearing to the Court that the above defendant was hereto-
fore granted probation from the sentence of this Court, dur-
ing his good behavior, and that the County Attorney, Sheriff
and Probation Officer of this County have now recommended
that said defendant be finally discharged from said sentence.

IT IS THEREFORE THE JUDGMENT of this Court, upon the
above recommendations that said defendant be and he is here-
by granted a final discharge from the sentence in this cause.

APPROVED

County Attorney:

Sheriff:

Probation Officer:

JUDGE

RESTORATION OF CIVIL RIGHTS
IS HEREBY GRANTED

Governor, State of Iowa

APPENDIX IV. FT. DES MOINES FACILITY

Intake

Face Sheet Information

Contract

Employment Application

Custodial

Driver's Record

Visitor Sheet

Sign Out Sheet

Monthly Record

Feedback

Driver's Report

Work Report

Phone Report

Recreation Report

Visitor Report

Medical Report

Behavior Observation

Outline For Action

INTAKE

RESIDENTIAL CORRECTIONS SERVICES
Bldg. 65, Ft. Des Moines
Des Moines, Iowa 50315
515-285-0676

FACE SHEET INFORMATION

Name:	Date of Intake Interview:
Home Address:	Place Interviewed:
Home Telephone No.:	Court:
Age: D.O.B.:	Case No.:
Sex: Race:	Docket No.:
Education:	Length of Sentence:
Marital Status:	Time Served:
Social Security #:	Discharge Date:
FBI No.:	Bond:
BCI No.:	Committing Judge:
Arresting Dept.:	Mittimus:
Pre-Trial Release:	Defense Counsel:
Community Corrections Release:	Co-Defendants:
	Work Release:
	Employer:
	Hours:
	Transportation:
	Car: Make Year
	 Color Lic. No.

Project Recommendations:

_____ **Accept** _____ **Reject** **Date** _____

Reason for Reject by Project: _____

Interviewers: _____

Date of Admission: _____ **Counselor:** _____

CONTRACT

Ft. Des Moines Residential Corrections Center is a treatment center available to you on a voluntary basis. Before anyone comes to the center, they must understand what is expected of them and what they expect of the treatment center. Ft. Des Moines was developed for the man who is ready to make a change in his life style but may need some help. If you feel that you don't need or want to change your life style, then the treatment center is probably not for you.

When you enter the Ft. Des Moines Residential Corrections Center, there will be an assessment period of at least one week. During this time, you will be restricted to the building and will have no visitors. You and your counselor will discuss what goals you may have. For instance, you may want a job, or to further your education. However, no one is going to force you into a specific job or school. You are the only one who knows what you want. This is not to say that you can just "put in your time" and leave. If you just want to put in your time, the Polk County Jail is the place to do that, and you will be asked to leave. The staff is available to you if you need them, and there must be mutual cooperation between you and the staff.

There are many privileges you may earn during your stay here, but you also have responsibilities. These are:

1. There is a service fee of \$5.00 per day (subject to change according to the costs of the institution) to cover part of the expenses of the program. Some men pay this money out of their earnings while on work release. Those without jobs may work 21 hours per week (at \$1.69 per hour) around the building as directed by the maintenance supervisor to cover their expenses. If you fall behind more than one week, you will be subject to return to the Polk County Jail.
2. Entrance to the Correctional Facility means restriction to the building and no visitors. Privileges will be granted on the basis of merit.
3. Privileges that can be granted are:
 - a. Visitors
 - b. Leaving the building with the permission of the desk man.
 - c. Attending activities on or off the grounds.
 - d. Work Release

- e. Furlough
- f. Parole or probation
- g. Other possibilities suited to individual needs at the discretion of your counselor.

Any privilege given must be in writing and signed by your counselor.

You are responsible for:

1. Reporting for work at 9:00 a.m.
2. Keeping your room clean.
3. Conducting yourself with consideration for others, clients and staff.
4. Following the directions of staff members. If you feel that you have been treated unfairly, a written complaint should be filed with the Director. If the proper manner is not taken, the right of complaint could be denied.
5. Showing respect for the personal property of others and also of the facility.
6. No fighting.
7. No one is to leave with building after dark except with a counselor. No one is to leave the building at any time without the explicit permission of the counselor. Be sure the counselor writes this permission in the log. When he does give this permission he must be kept informed where you are. Be specific: report to him at least once an hour. The counselor in charge must know where all clients are at all times. It is your responsibility to keep him informed as to where you are.
8. You must be able to demonstrate progress toward rehabilitation. You must show that you are utilizing the program for your own benefit.

You will receive privileges through mutual agreements with your counselor based on your performance. Failure to meet the responsibilities as outlined in this contract will make you subject to return to the Polk County Jail.

I fully understand the conditions of this contract and agree to abide by it. I also understand the consequences of failing to abide by this contract.

Date

Signature

Witness

Counselor

EMPLOYMENT APPLICATION

NAME: _____ DATE: _____
 Last First Middle

PRESENT MAILING ADDRESS: number & street city county state zip

PERMANENT ADDRESS: number & street city county state zip

TELEPHONE NUMBER: home business SOCIAL SECURITY #: _____

DATE OF BIRTH: _____ PLACE OF BIRTH: _____
city county state

SEX: _____ HEIGHT: _____ WEIGHT: _____ AGE: _____ MARITAL STATUS: _____

(Personal explanation of marital status if necessary) _____

DEPENDENTS: _____ Names, ages, & relationship _____
 number

Do you have a valid Iowa drivers license? yes__no__

Do you have a car to use in your work if necessary? yes no

When are you available for work?

Condition of employment you will accept: Part-time
Temporary
Permanent

Names of relatives or persons who will always know your address:
(name, address, phone number, relationship)

a) _____
b) _____

Who should be contacted in case of emergency or accident?
(name, address, phone number, relationship)

List any physical disabilities: _____

List all periods of hospitalization and reasons:

Are you a U.S. Citizen? yes___no___ Naturalized? yes___no___
(If answer no, please explain)_____

Are you now or have you ever been a member of the Communist Party,
U.S.A., or any Communist organization? yes___no___
(If yes, explain)_____

Are you now or have you ever been a member of any organization,
association, movement, group or combination of persons which
advocates the overthrow of our constitutional form of government,
or an organization, association, movement, group or combination
of persons which has adopted a policy of advocating or approving
the commission of acts of force or violence to deny other persons
their rights under the Constitution of the United States by un-
constitutional means? yes___no___ (If yes, please explain)_____

EDUCATION:	Name & Location	Courses	Dates Attended	Degree & Date
Elementary	_____	_____	_____	_____
High School	_____	_____	_____	_____
College	_____	_____	_____	_____
Business	_____	_____	_____	_____
Other	_____	_____	_____	_____

Highest Grade Completed:_____

LIST SPECIFIC SKILLS YOU HAVE: typing___w/m shorthand___w/m
dictation___w/m

What office machines can you operate skillfully?_____

Other skills:_____

EMPLOYMENT RECORD: (Most recent first)

Name of employer_____

Dates of employment: From_____To_____

Exact title or position:_____

Salary or earnings: Starting_____Final_____

Address:_____ Phone Number:_____

street city state

Average hrs. work per week_____ Kind of business_____

Name and title of immediate supervisor:_____

Description of work_____

Reason for leaving_____

(Additional space for employment record provided on form.)

May inquiry be made of past employers regarding your character,
qualifications, and record of employment? yes___no___

If no, why?_____

List and describe all periods of unemployment:

From	To	Description
From	To	Description
From	To	Description

ARREST RECORD:

Offense	Date	Disposition
a)		
b)		
c)		

Personal reflections: _____

Have you ever or do you use any alcoholic beverages? yes ___ no ___
(If yes, what, when, and to what extent?) _____
Personal comments _____

Have you ever used or do you use any narcotic drugs? yes ___ no ___
(If yes, what, when, and to what extent?) _____
Personal comments _____

MILITARY STATUS:

Present	Anticipated duty	Branch
From _____ To _____	Previous service	Branch _____ Rank _____
From _____ To _____	Type of discharge	

Additional comments _____

SPORTS AND HOBBIES: _____

CLUBS AND ORGANIZATIONS: _____

REFERENCES: (Other than relatives or former employees)
Address Phone Number Relationship Years Known

a) _____
b) _____
c) _____

Have you ever been discharged or forced to resign from a job?
yes ___ no ___ (If yes, please explain) _____

CERTIFICATION OF APPLICANT:

I hereby certify that all statements made in this application are true and I agree and understand that any misstatement of material facts herein may cause forfeiture on my part of all rights to and employment with this firm.

_____	_____
Date	Signature

OTHER COMMONLY ASKED QUESTIONS:

- a) Have you ever applied for work or worked for this company before? yes___no___ (If yes, when, where)
- b) Are any of your relatives currently employed with this firm? yes___no___ (If yes, name, relationship, where)
- c) Why are you applying for work with this firm?
- d) Who referred you to this company?
- e) Be prepared to submit a financial statement if necessary.

Driver's Record

Condition of vehicle _____

[illegible]

VISITOR SHEET

[illegible]

SIGN OUT SHEET

NAME _____

DATE	TIME OUT	EXP. RET.	WHERE (Company, School, Home) ADDRESS & PHONE	TIME IN

MONTHLY REPORT

NAME	ROOM
-------------	-------------

[illegible][illegible]

W - Work/School X - Here F - Furlough S - with staff member O - Other

FEEDBACK

Driver's Report

TO: _____ FROM: _____

CLIENT: _____ DATE: _____ TIME: _____

DESTINATION: _____

Reason for the trip:

Client's behavior during the trip:

Other clients in the vehicle:

Work Report

TO: _____ FROM: _____

CLIENT: _____ DATE: _____

HOURS WORKED: _____

Attitude or behavior of client while working:

Report of Phone Calls for Clients

TO: _____ FROM: _____

CLIENT: _____ DATE: _____ TIME: _____

WHO CALLED: _____

Nature of Call:

Comments:

Recreation Report

TO: _____ FROM: _____

CLIENT: _____ DATE: _____ TIME: _____

NATURE OF ACTIVITY: _____

Client's behavior to and from the activity:

Client's behavior while at the activity:

Visitor Report

TO: _____ FROM: _____

CLIENT: _____ DATE: _____ TIME: _____ TO: _____

VISITORS: _____

COMMENTS:

Medical Report

TO: _____ FROM: _____

CLIENT: _____ DATE: _____ TIME: _____

Nature of illness or complaint:

Medication and/or treatment recommendations:

Client's response or attitude:

Behavior Observation

TO: _____ FROM: _____

CLIENT: _____ DATE: _____ TIME: _____

Nature or circumstances of contact or observation:

Behavior or attitude of the client:

**OUTLINE FOR ACTION
FT. DES MOINES MEN'S RESIDENTIAL FACILITY
FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES**

I. Behavioral Functioning

Family

Peers and Significant Others

Education

Employment

Community Role-Status

II. Behavioral Assessment

III. Treatment Goals-Plans

I. Behavioral Functioning

Family

1. Demographic data (ages, relationships, status of marriage, occupations, educational levels, mobile family) What does everyone do?
2. Dynamics of marriage and or family, evaluation of family members as individuals and a group; who talks to who about what? Evaluate interaction of family; who makes decisions in family?
3. How does the family feel about client's trouble? Do they hold it against him? Who wants to take an active part in program? Who would be important to have active part in program?
4. How does client perceive his family members? Who is most significant? Is the family directed towards goal orientation? In what manner was client parented?
5. How do you feel about marriage? (Your parents' marriage?) How do parents get along with each other? Assessment of client's marriage. How does he define husband's role, wife's role? Who should discipline children? How about working wives? Where did he get his ideas about marriage? What is most important in making a marriage work?

Peers and Significant Others

1. Who are client's friends? Who is most significant to client? Evaluate his friends. Do they have similar criminal ties and family background as does client?
2. How important are friends to client?
3. What sort of people does he prefer as friends? Why?
4. What kind of people does he find as objectionable? Why?
5. Does client have a large or small group of friends?
6. What makes the difference whether a person is a close friend or just an average friend?
7. What kind of people does client most admire? Wish to be like? Ever have a hero?
8. What kind of girl do you like most? Dislike most?

Education

1. How does he see his past educational experiences? What was positive vs. negative?
2. Was he a disciplinary problem? Truancy?
3. What are his thoughts toward furthering and upgrading his education?
4. What sort of data is available in terms of his capacity and intelligence?
5. Training Programs?

Employment

1. What is his work history? How many jobs? How long a period of time has he ever worked at one given job? Does he have skill? Why did he leave job?
2. Does he have realistic goals toward employment? What are his plans?
3. Is he capable of employment at this time?
4. Verification of employment record.

Community Role and Status

1. Does he have a long history of living in one particular area of town?
2. How do the police see client?
3. Does he have any active roles in the community, such as little league, church affairs?
4. Is he seen as a drunk or junkie?
5. Does he take active role in his childrens activities such as P.T.A. or other school activities?
6. Does he have any leisure time activities?

Juvenile-Adult Record

1. Was client ever on supervision, probation or committed to Eldora or group home as a juvenile? Have you gathered data from Juvenile Court or Eldora? Have you checked D.V.R. file?

2. What kind of trouble did he get into?
3. Evaluate his criminal record.
4. Evaluate his present legal status.

II. Behavioral Assessment

1. Sees the world as givers or withholders: Are his relations with others centered on whether they give or deny him? The world should take care of him, but ordinarily does not do an adequate job. He does not perceive himself as needing to contribute anything.
2. Thoroughly egocentric: Life's experiences are described in terms of his own needs, his responses, his wants, his frustrations, his self-concerns.
3. Undifferentiated view of others: Is he aware of the feelings of others? Is he capable of understanding what others expect of him? Sees people as barriers to his satisfactions?
4. Unrealistic optimism regarding future: In spite of the difficulties and conflicts which he describes in his past, he faces the future with high hopes and no realistic plans. He anticipates very little personal trouble in the future once he is free of authoritative restrictions (including R. C.S.). Extreme discrepancy between actual achievement level and his felt capacity to achieve.
5. High magical distortion: Exaggerated belief on his own powers and abilities and exaggerated belief in his own importance to others. May even believe that he is predestined for greatness. Sees rehabilitation as the "magical cure".
6. A "receiver" of life's impact: Feels the victim of life with no control over self and future. A fatalistic look at life. He does not choose goal and strives towards them, unfortunate things just happen to him. He feels the victim of an unreasonable, inevitable, hostile and confusing world.
7. Not a "generator": Does not see himself as a contributor to response in others. Does not perceive the connections between his connection between his feelings and behavior and the response of others to him.

8. Resentment of denying figures: Someone or something must be to blame for his lack of need fulfillment. May constantly complain about some past adult figures or agencies for not taking care of him properly or not giving him what he feels he was entitled to.
9. Dependency: Attempts to use others for gratification of infantile needs. Enormous, "bottomless pit" dependency. May describe positive feelings about mother or other supportive figures in terms of what they gave him. From time to time a complete verbal denial of dependency, often accompanied by nonverbal demands to be taken care of.
10. No self-critical capacity: Expresses no remorse about any of his behavior, past or present. No capacity to criticize his own behavior.
11. Impulsivity: Behaves impulsively, blows up easily, reacts suddenly and violently on the basis of immediate feelings even when there is no obvious evidence of stress or pressure. Cannot predict that others may react at all. Poor impulse control, inability to bind tension, poor control of incoming stimuli, uncontrolled activity out of hostility, inability to pursue goals in any meaningful or sustained way. No real two-way (reciprocal) relationships with others.
12. Reasons for criminal activities: Criminal behavior may result from poor impulse control (wanting-taking, hating-physical attack, fear-flight) or inability to cope with external pressures ("used" by adults or peers in criminal acts, agitated by others into aggressive acts.)

III. Treatment Goals and Plans

1. Job and School: Assessment and planning made with D.V.R. & Job Developer. Try seeking employment in which the client is capable of performing. Confer with employer and teacher as to client's level of maturity, help predict client's behavior, and try to give perspective on client's problems and your short-long range plans.
2. The worker should be available to help clarify for the client the meaning of specific behavioral acts- both his and those of important figures in his life. Interpretation of more acceptable forms of behavior figures in his life.

3. Family: Defending and developing family roles. Support given to family. Interpretation of client's behavior. Individual and group program to develop family-relating and interaction capacities. Budgeting.
4. Offer clear, unambiguous structure. Goals should be concrete and of an action nature.

OUTLINE FOR ACTION
REPRESENTATIVE PERSONAL HISTORY
FIFTH JUDICIAL DISTRICT DEPARTMENT OF COURT SERVICES

NAME: Michael Doe
AGE: 19
SENTENCE: 180 days
DATE: October 31, 1972

I. Behavioral Functioning

Family

The dominant figure in this family is May Doe, age 49. She is currently working on her Ph.D. in Special Education. She views Michael as having an organic or perceptual problem. She has interpreted his actions and problems in this way, both to him and to others throughout his life. She has a history of interference and non-cooperation with schools, Eldora, and probation. She has sheltered Michael to a ridiculous extreme, i.e., supplying him with his own condiments at Eldora. She explains her marriage as merely a Catholic "till death do us part" commitment. She explains her husband as an alcoholic having an "irregular EES" and has in the past year committed him to Lutheran psychiatric. In conversation with her she has confined herself to Michael's past rather than expressing interest in his present treatment.

Robert Doe, 56, is a retired mailman who earned \$171.00 per week. He has a high school education. He has in the past made attempts to be more directive with his son, i.e., after Eldora, but apparently these were short lived. From information gathered from Ann Marie (daughter) and DVR files it appears, Mr. Doe is an alcoholic and unstable. He is slight in build and has felt threatened by Michael.

Gregory, 21: Works as a parking lot attendant and lives upstairs at his parents home. He has engaged in some delinquent behavior while growing up, but was not caught. He is married and the father of two children. It appears he enjoys a limited family life. His attitude toward Michael is violent.

Ann-Marie, 18: She is a senior at South High. She appears very mature and is active socially and in extracurricular activities. She states she has raised herself and spent the overwhelming majority of her time outside the home. She does not express condemnation of her family but acknowledges that it is abnormal.

It appears that the home has the atmosphere of a circus. Mr. and Mrs. Doe, Gregory and Michael are the primary participants, with Ann being an observer.

Peers

Michael is quite obvious in his attempts to "be cool" and to "get in" with his peers. He is regarded by some facility clients as quite immature and is avoided a majority of the time. One client has observed that he thinks it's cool to "mouth-off", i.e., calling someone a punk, and appears oblivious of the extent to which he is aggravating them.

Ann states he had no friends while in school, was teased and almost tortured by school mates. He then began affiliating with youths who had been in trouble. He often misplaced his trust, losing clothing and in one case, a guitar and amplifier.

Education

Michael attended parochial schools until entering Urbandale in 9th grade, he was expelled in February of 1969 for "truancy, violation of rules, disrespect and poor attitude". After this he attended Dowling briefly. He also attended Drop-In but was expelled due to truancy and poor attitude.

Michael has always had the tools to do well in school, and maintains that potential now.

He received his GED as part of his probationary period. DVR records show his IQ as high bright-normal.

Employment

Michael has never shown motivation toward obtaining or maintaining employment. He remained on a car wash job for five weeks, 3½ years ago, when influenced by his probation officer. He has now worked for 1½ weeks, suspecting that quitting this job means a return to jail.

His immediate employment goals are both unrealistic and contradictory.

Again, he has the potential to eventually secure an interesting and well-paying job but does not possess the attitude or sense of reality necessary.

Medical and Psychiatric

This is included, as Michael seeks to avoid responsibility, get attention and shelter himself by presenting himself as psychotic or brain-damaged.

On July 1, 1970, Michael was released from Eldora and sent to the State Psychopathic Hospital at Iowa City. He has just turned 17 at this time and has been using drugs heavily since age 14. At this time Michael termed himself "egocentric, schizophrenic, having split-second mood changes, intelligent, paranoid and always trying to manipulate everyone." Dr. Jones states, "on testing this patient's mental status today, there is no evidence of organicity or psychosis..." He continued, "our diagnosis at this time was sociopathic - drug addiction (psychologic) with possible periods of psychosis probably secondary to chronic drug usage."

On August 19, 1971, Michael was admitted to Lutheran Hospital for evaluation.

At this time, "general physical and neurological examinations were within normal limits." He was of estimated below normal intelligence without any gross sensorium changes." "Michael Doe was classified as a personality disorder, dyssocial behavior." There was some evidence of a convulsive disorder. It was at this time that Michael was placed on Mysoline.

Ann has stated doubt regarding Michael's drug use. She states he has seen drug use as something to brag about and may have exaggerated his own history.

II. Behavior Assessment:

A. DVR counselor has described Michael as having, "an apathetic attitude toward involvement with authority, completing assignment of jobs and relating with peer group." He is extraordinarily ambivalent in terms of long and short-range goals and in his attitude toward himself and others.

B. He employs a wide variety of unsophisticated attention-getting devices and attempts to manipulate the staff. He denies any knowledge of doing this when called on specific actions.

C. He chooses to present himself as handicapped, mentally and physically, rather than accepting the responsibilities of adulthood.

D. He changes his goals and priorities, both immediate and long-range, quite frequently, i.e., several times a day.

Through his behavior, he almost creates a caricature of himself, effectively hiding the fact that he is a healthy adult male with the ability to assume responsibility for himself and his actions.

III. Treatment Goals and Plans

The primary goal is to force Michael into acting maturely in all the above areas. The broad method of achieving this is to condemn all his immature and childish manipulative actions and to provide penalties rather than rewards for them.

A. His contacts with staff should be reported. When he is merely seeking attention, i.e., "taking a poll" for advice he does not need, he should incur a penalty. When he is manipulating to achieve a specific thing, he should receive the reverse. An example: When complaining of muscle aches, he should be made to exercise.

B. He should be treated at all times as healthy and normal. He must hold employment, this being the main gauge of his progress. Rewards should be based primarily on employment. He should not be given any assistance in tasks he himself can complete, i.e., deciding time and location of a weekend pass.

C. He must be made to follow-up on any commitments he makes, even unrealistic. For example: he states his first day at F.W. Means, that he would "work for a month."

The separation between himself and his parents should be continued, hopefully after he leaves the facility.

A transfer to a male counselor or inclusion on a triad may be advisable in the future.

John Jones

APPENDIX V. COST BREAKDOWN - 1972

	<u>Pre-Trial</u>	<u>Community Correct.</u>	<u>Probation</u>	<u>Men's Res.</u>	<u>Women's Res.</u>	<u>Dreston Office</u>	<u>Chariton Office</u>
Personnel	43,342.88	106,817.01	77,910.61	231,271.30	25,222.39	6,667.93	3,926.03
Pro. Serv.	--	11,654.21	2,170.79	18,220.75	--	--	--
Travel	1,024.53	6,649.91	4,499.53	15,076.50	841.74	680.03	610.73
Office Sup.	762.09	1,464.34	2,126.01	3,709.12	274.26	671.66	101.28
Client Sup.	--	114.50	5.00	38,862.00	2,054.70	5.00	--
Equipment	21.95	471.00	2,564.15	15,761.69	4,341.60	1,898.29	338.30
Occupancy	660.32	8,985.01	8,726.04	27,801.87	2,485.81	1,131.04	554.63
Grant Adm.	1,540.86	3,671.12	2,640.47	7,751.94	841.82	338.05	223.68
Dept. Adm.	6,692.03	15,620.80	11,129.53	33,073.37	3,199.35	1,025.87	587.73
	<u>54,044.66</u>	<u>155,447.90</u>	<u>111,771.93</u>	<u>391,528.54</u>	<u>39,261.67</u>	<u>12,417.87</u>	<u>6,342.38</u>

145

	<u>Total</u>	
Personnel	\$495,158.15	
Pro. Serv.	32,045.75	
Travel	29,382.77	
Office Sup.	9,108.76	
Client Sup.	41,041.20	
Equipment	25,396.98	
Occupancy	50,344.72	
Grant Adm.	17,007.94	
Dept. Adm.	71,328.68	
	<u>\$770,814.95</u>	
Evaluation Payment	<u>6,617.00</u>	<u>\$777,431.95</u>

END