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THE
COMMUNITY BASED DIAGNOSTIC AND
EVALUATION PROJECT

FINAL REPORT

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S U M M A R Y

This is the final report on the Community Based Diagnostic and Evaluation Project which began operating on October 1, 1973 and terminated September 30, 1976. The Project was funded by grants from the Law and Justice Planning Office for the purpose of providing an enhanced diagnostic presentence report to the Superior Court on adult persons convicted of felonies in King County.

In developing a program for King County, the project was to serve as a demonstration for future statewide activities. The program was intended to provide improved presentence reports on adult felons containing clinical diagnoses; i.e., psychiatric, psychological, and medical evaluations in addition to the traditional social criminal history. Maximum use of existing community resources was to be made in developing probation programs tailored to the specific needs or problems of each case. In doing so, it was hoped that the project would accomplish at least these two major goals:

- (1) to increase the number of convicted felons who are retained in the community without increasing the risk to the community.
- (2) to increase the degree of success for offenders served and placed on probation by the Superior Court.

Presentence investigations were conducted for convicted felons by the Seattle Presentence Unit if the convicted felon was not already on probation in the State of Washington. If he was already on probation, the presentence investigation was done by his probation officer in the local field office. More than half of the presentences are conducted in the presentence unit.

In Project Year 1974, a 15 month period from November 1973 through February 1975, 1,628 persons were investigated by the Seattle Presentence Unit. In Project Year 1975, a 15 month period from March 1975 through May 1976, 1,626 persons were investigated by the Presentence Unit.

The Project's research component was initially established using an experimental design with random assignment of cases, but the close physical proximity of the experimental and control groups (same building) administrative tie-ins and critical personnel transfers between groups, led to the contamination of this experimental design.

Because of these difficulties the nature of the project was altered to become a descriptive analysis of the system impact resulting from implementation of the new presentence procedure. In other words, it will examine the kinds of recommendations made by the presentence unit, the degree of Court concurrence with these recommendations, and the results

of these recommendations as measured by probation revocation rates. It will also give a descriptive analysis of the populations served by year, and by program recommendations. This type of data has not been available in the past; therefore, this document will define base line data which can be used for future analysis.

The major goal of the Community Based Diagnostic and Evaluation Project was to increase the number of convicted felons who were retained in the community without increasing the risk to the community. A comparable group was not found which would allow a determination of whether the project had in fact retained an increased proportion of convicted felons in the community. We know that significantly more offenders who committed person crimes were sent to prison in 1975. We do not have the results of the follow-up for Project Year 1975 which would determine whether this change made a difference in risk to the community.

Our results from Project Year 1974 show that we did not increase the level of risk to the community from Project Year 1974. Percentage figures for project revocation rates from Table 8 can be compared to 1972 unpublished data from the Washington State Parole Decisions Project for Board of Prison Terms and Parole statewide revocation rates. Of 1667 persons placed on probation in King County in 1972, 79 (4.7%) were revoked after 6-months, 109 (6.5%) were revoked after 12-months and 168 (10.1%) were revoked after 24-months.

Of 4245 persons placed on probation statewide in 1972, 441 (10.4%) probations were revoked after a 24-month follow-up period. Project data show that probation revocations were 2.9% after the clients had been placed on probation for six months, and 6.1% after clients had been on probation twelve months and 9.6% after clients had been on probation for 24 months. These comparisons support the conclusion that there was no additional risk to the community.

It was found that 84% of all persons placed on probation had no new arrests after a six-month period of time. Those offenders who had committed person crimes had 4% fewer arrests than property offenders. The greatest number of arrests were for property offenses and traffic offenses. Of the 107 persons revoked, 44 had new felony convictions, 72 had at least one felony arrest and 13 had only probation violations. Reasons for revocation were unknown for 22 of the 107 persons revoked. This is a measure of the crime impact for those offenders placed on probation during this time frame. As an example, Table 13 indicates that of 166 person offenders placed on probation, only 4 or 2% of these re-offended by committing another person offense. This is especially significant considering that a disproportionate amount of the Unit's resources were expended in behalf of the person offender. All offenders who had committed a crime against a person and an additional number of persons who, as a result of an initial screening process, needed the resources, were handled utilizing the team process.

The second major goal of the project was to increase the degree of success for offenders served and placed on probation by the Superior Court. Findings of this report indicate that there are significant differences between the success rate when the Court concurred with the Presentence recommendation and when the Court did not concur. Figure 5 is a comparative measure of the six-month status of probationers for each group. The number of persons placed on probation by the Court when the Presentence Unit recommended commitment is small, but there are significant differences using the chi-square test of significance at the .05 level in these groups.

In the majority of cases, the court does agree with the Presentence Unit's recommendation of probation, and only 3% of these probationers are revoked after a 6-month time period, whereas in the non-concurrence group, 21% of the probationers are revoked after a 6-month time period. These differences would indicate that the enhanced diagnostic report prepared by the Project was useful in predicting probation success.

Figure 6 shows that the most successful group, 97% successful, were those persons who were recommended for programs and completed or were still participating in the program at the end of the six-month period. The least successful group, only 81% successful, had dropped out, or had not started the program yet, or the probation officer had decided that the program was not necessary. Thus, for a substantial proportion of the population, appropriate treatment intervention was provided and this group of offenders experienced the highest degree of success on probation.

I N T R O D U C T I O N

This report has been prepared in compliance with the Law and Justice Planning Office regulations governing the submission of sub-grantees final report. This final report represents a culmination of the Community Based Diagnostic and Evaluation Project Grant Awards #805, #1225, #1575, and #76-C-0007. The Community Based Diagnostic and Evaluation Project began operating on October 1, 1973, under Grant Award #805. This grant period terminated as of January 31, 1974. The project was then extended under Grant Award #1225 from February 1, 1974, through January 31, 1975. The third grant period was funded under Grant Award #1575 and covered the period of time from February 1, 1975, through December 31, 1975. The final contract period was funded under Grant Award #76-C-0007, and extended from January 1, 1976, through September 30, 1976.

This document will focus on the system's impact resulting from implementation of a new presentence procedure. In other words, it will examine the kinds of recommendations made by the presentence unit, the degree of Court concurrence with these recommendations, and the results of these recommendations as measured by probation revocation rates. It will also give a descriptive analysis of the populations served by year, and by program recommendations. This type of data has not been available in the past; therefore, this document will define base line data which can be used for future analysis.

* * * * *

Historical Overview

The idea for a grant of this nature was generated by a discussion group referred to as the Program Development Committee which was composed of Adult Probation and Parole administrators and line staff. These discussions took place in the latter part of 1970. A Presentence Investigation includes a recommendation for prison or probation to the Court along with recommended special conditions, if probation is recommended. The Court decides on the basis of information from the Prosecutor, the client's counsel and the Presentence Report to grant probation or prison. In particular, the major concepts of this project were the result of what was seen as inherent shortcomings in: (1) the content of the presentence investigation report, and (2) the presentence process itself.

In regard to the content of the presentence investigation report, it was felt that because of the lack of adequate resources available to the existing presentence unit, information pertinent to the mental status of offenders, as well as realistic community resource planning, was not always made available to the Courts. It was not possible for individual Probation and Parole Officers, preparing the presentence report, to have sufficient knowledge of the ever-changing social service programs within a community; nor by virtue

of their training did they have the capacity to provide thorough mental health assessments of offenders. Given the current indeterminate sentencing model, the Courts in their sentencing decisions must take into consideration the level of risk the offender might represent to the community in the future, as well as his or her potential to respond to different correctional programming alternatives. Such a decision is based, at least in part, on information made available in presentence reports, including the offender's mental status, environmental factors, as well as his prior criminal behavior. What was needed was the capacity to evaluate an offender on the basis of an interdisciplinary approach which would take into consideration the perspectives of different behavioral disciplines.

Regarding the presentence process itself, the major concern involved the methods by which decisions for sentencing recommendations were made. Traditionally, presentence investigations completed by this agency were assigned to individual probation and parole officers. The assigned officer would then be responsible for conducting all aspects of the presentence investigation. Based on an interview with the offender and collateral contacts with significant others, the individual officer would then prepare a presentence investigation report with a sentencing recommendation to the Court. It was not likely that the offender, himself, would have contact with anyone else in the presentence unit during this process. Subsequent to the preparation of the presentence report, the report would then be reviewed as to its content and recommendation by the District Administrator in charge of the unit. The review process was a means of maintaining some quality control in the preparation of presentence reports. Other than through informal communications, the District Administrator usually had no first hand knowledge of the case, and thus any significant review of the decisions made by individual officers were made on the basis of information contained in the presentence report itself. It had been suspected by a great many individuals within the agency that the assignment of the same offender to two different officers to prepare independent presentence investigation reports would possibly result in some disparity in the actual decisions and recommendations made. It was concluded that the traditional presentence process did not provide for any controls over the possibility of personal biases intervening in the decision making process; nor did it provide for perception checks and feedback on individual cases. What was needed was a process which would provide for shared decision making responsibilities and accountability in the information gathering. Thus, it was largely on the basis of these concerns and general conclusions that the project's goals, objectives, and structure were developed.

Project Goals and Objectives

In developing a program for King County, the project originally conceived was to serve as a demonstration for future statewide activities. The program was intended to provide improved presentence reports on adult felons containing clinical diagnoses; i.e., psychiatric, psychological, and medical evaluations in addition to the traditional social criminal history. Maximum use of existing community resources was to be made in developing probation programs tailored to the specific needs or problems of each case. In doing so,

it was hoped that the project would accomplish at least these two major goals:

- (1) to increase the number of convicted felons who are retained in the community without increasing the risk to the community.
- (2) to increase the degree of success for offenders served and placed on probation by the Superior Court.

It was expected that this project would have a systems impact on the sentencing dispositions of the Superior Court. To the extent that an increased number of offenders could be placed in the community on probation without significantly affecting the recidivism rate, it was believed that the project would be successful in having an impact on crime.

Staff Organization and Presentence Process

Cases are assigned to the interdisciplinary team process on a differential basis. All offenders who had committed a crime against a person and an additional number of persons who, as a result of an initial screening process, needed the resources, were handled utilizing a team process. The project is staffed by 23 full-time staff and the part-time consultative services of three mental health specialists. The full-time staff includes the project director, project administrator, research analyst, unit supervisor, eight presentence specialists, two community resource specialists, one counselor aide, one special caseload carrying probation officer, one secretary/clerical supervisor and six clerk typists. In addition to the full-time staff, consultative services are available on a part-time basis by one clinical psychologist and two psychiatrists. At this time, two additional psychometrists who function as sub-contractors to the clinical psychologist have been added. This was done in order to increase our capacity to provide the full range of psychological and/or vocational testing.

The project has gone through many organizational changes since its implementation in October of 1973. During the period of time that the project was funded under Grant Awards #805 and 1225, the project was staffed by one supervisor and twelve full-time employees. Full-time employees included: four presentence specialists, two community resource specialists, one counselor aide, one special caseload carrying probation officer, one research analyst III, one secretary, and two clerk typists. In addition to the full-time staff, there was one part-time clinical psychologist as well as the services of two consulting psychiatrists.

During the period of time that the project's research component was organized on the basis of an experimental design, cases were referred randomly to the existing presentence unit and the specialized unit. Cases referred to the project were assigned to a core team, including a presentence specialist and a community resource specialist. Based on the preliminary information gathering activities, including the initial interview and a review of the Minnesota Multiphasic Personality Inventory, a referral was then made to one or more of the consultive services; i.e., psychological testing, psychiatric evaluations, vocational testing, psychiatric evaluations, vocational testing and/or medical

examinations. Subsequent to gathering all of this information, a case staffing was held in which the decisions and conclusions were made on a cc. sensual basis.

With the implementation of Grand Award #1575, the project undertook some significant organizational changes. Based on our experience up to this time, it was concluded that the assignment of all offenders to the interdisciplinary team process was an unnecessary and inappropriate use of resources. The project, prior to this time, had been established to handle 40% of the presentence caseload. With the implementation of Grant Award #1575, the regular Seattle unit staff, which previously had functioned as the control unit, joined the project. Thus, cases were no longer assigned on a random basis, and from that time on all presentence investigations were assigned to the project.

RESEARCH DESIGN

Research Objectives

In evaluating the project, there were two related research objectives;

- (1) to measure the degree of acceptance by the Superior Court of recommendations made by the enhanced presentence unit for probation or prison and the recommended placement of offenders in existing community agencies, and
- (2) to measure the effect of utilizing community agencies to reduce the rate of future criminal activity.

Presentence recommendations vary considerably. The first issue handled after the investigation is completed is whether the offender should be placed in an institution or on probation. If the decision is probation, then the problem is one of determining what probation conditions are likely to reduce the probability of future criminal activity. Conditions on probation may be negative or positive; e.g., refrain from the use and/or possession of drugs, or enter a drug treatment program.

The acceptance of the Superior Court of the more intensive diagnostic analysis and the definite placement of offenders in existing community agencies could be quantitatively measured by the rate of the Court's concurrence with the basic recommendation as well as the recommendations for community treatment.

The goal of reducing the rate of future criminal activity on the part of offenders was to be achieved through a more thorough diagnostic analysis and the reliance on community-based agencies. Though the project had very little control over the community-based agencies, the success of the project depended upon their ability to effectively treat the offender's problems. A measure of the impact of utilizing community agencies was accomplished by a follow-up research component which collected data on the criminal activity of all offenders for which presentence investigations were made in the King County area beginning November 1, 1973, through February 28, 1975.

Experimental Design

The project's research design was initially established on an experimental basis. The Community Based Diagnostic and Evaluation Project was established to handle 40% of the presentence caseload randomly assigned. The 40% were chosen on the basis of the last integer of the county cause number. The remaining 60% were assigned to the regular Seattle-based presentence unit.

Presentence investigations were conducted for convicted felons by the Seattle Presentence Unit if the convicted felon was not already on probation in the State of Washington. If he was already on probation, the presentence investigation was done by his probation officer in the local field office. More than half of the presentences were conducted in the presentence unit.

During this phase of the project, the experimental unit and the control group were administratively tied together, and, in fact, were housed in the same building. (Please see organization chart attached as Appendix A, Figure 7) Additionally, it is significant that during the initial phase of the project there were some personnel transfers between units which, in all probability, had the effect of ensuring the contamination of this research design. In February of 1974, a senior staff member of the project was promoted to a Probation and Parole Officer III and assumed supervisory duties in the Seattle presentence unit (control unit). This particular individual had viewed his experience in the project as a positive one and admittedly made some changes within the control group in an effort to bring it in line with the practices of the experimental unit. These factors support the conclusion that the administrative tie-in, physical proximity, and the above described personnel changes inevitably led to the contamination of the design.

Base line data were collected before the experimental project began. These data were collected to test whether the existence of a new experimental unit would have any impact on the regular Seattle Presentence Unit (control group). Since one of the major objectives of the experimental project was to increase the number of felons retained in the community without risk to the community, a comparison of the basic presentence recommendation was made between a random sample drawn in October 1973 of 94 presentence cases from completed files, and data from the control group collected between November of 1973 and February of 1975. These data show that there had been a statistically significant (at the .05 level) difference in the recommendations made by the Seattle unit before and after the project began. Before the project began, the Seattle unit was recommending that the offender be sent to a state prison in 24% of its cases, whereas in February of 1975 the control unit was recommending that 11% go to prison. This differential between the base line and control group data suggests that the procedures utilized by the experimental presentence group had influenced the methods used by the control group. Based on this conclusion with the implementation of Grant Award #1575, the research design of the project was altered.

It is hoped that the evaluation of this experiment will be a useful statement of the difficulties of trying to establish programs in ways which allow for impact evaluation.

Description of Population

The evaluation of the project for Grant #1575, March 1975 through May 1975, involved a matched group comparison design. The Presentence recommendations and the Court dispositions on project cases were compared using the data from November 1973 through February 1975 as baseline data. In order to measure the validity of this process, a comparison of demographic factors was made between the two population groups, Project Year 1974 and Project Year 1975.

The results indicate that there were too many statistically significant differences between Project Years for a matched group comparison. Consequently, we do not have matched groups. These differences will be accounted for as the results are discussed in the following report.

There were significantly more offenders who committed crimes against persons in Project Year 1975, 25% versus 18% in Project Year 1974.

More offenders from Project Year 1975 were unemployed, used force and/or weapons; had alcohol related problems; and had five or more misdemeanor convictions than in Project Year 1974. See Table #1 for a more detailed analysis.

Some of these differences can be attributed to changes in the Prosecutor's Office,* such as:

- 1) There has been an attempt to reduce the amount of plea bargaining for crimes of rape, robbery and residential burglary. (Plea bargaining as defined in the "Annual Report of the Prosecuting Attorney," is the reduction of a crime to a lesser crime in order to obtain a plea of guilty.)
- 2) Less serious crimes against property and the use and sale of drugs were retained at the District Court level in an effort to decrease the workload resulting from the plea bargaining change within the Prosecuting Attorney's Office.

It should be noted that the revised criminal code actually became effective July 1, 1976, but many changes were made in the Prosecutor's Office, in anticipation of this revised code.

Eighteen percent of the crimes in Project Year 1974 were crimes against person; 25% were crimes against persons in Project Year 1975. This was an increase of 125 person crimes. These increases were primarily in assault, rape and robbery. This is offset by fewer property (excepting burglary, which rose) and drug crimes. (Table #2).

*Annual Report of the Prosecuting Attorney of King County - 1975

TABLE 1

CHARACTERISTICS OF PERSONS INVESTIGATED BY
THE PRESENTENCE UNIT BY PROJECT YEAR

	Project Year 1974	Project Year 1975
Men	79%	83%
White	70%	70%
Under 25	73%	72%
Unemployed	58% *	66% *
Person Offenses	18% *	25% *
Use of Alcohol	21% *	27% *
Use of Drugs	34%	31%
Use of Force	15% *	24% *
Use of Weapon	13% *	17% *
In Custody	16%	17%
No Prior Felony Arrest	66%	61%
No Prior Felony Convictions	80%	78%
5 Or More Misdemeanor Convictions	9% *	16% *

N = 1628

N = 1626

* These differences were statistically significant using chi-square test of significance at beyond the .05 level.

TABLE 2

TYPES OF CRIMES INVESTIGATED BY THE PRESENTENCE UNIT
Controlling for Project Year November 1973 - May 1976.

	TOTAL			
	1974		1975	
PERSON OFFENSES	N	%	N	%
Murder	16	1.0	17	1.1
Manslaughter	31	1.9	21	1.3
Assault	82	5.0	116	7.1
Robbery	96	5.9	156	9.6
Sex Offenses	59	3.6	80	4.9
Other Person Offenses	6	.4	19	1.0
TOTAL PERSON OFFENSES	290	17.8	409	25.0
PROPERTY OFFENSES	N	%	N	%
Burglary	259	15.9	332	20.4
Larceny	462	28.4	410	25.2
Auto Theft	80	4.9	46	2.8
Forgery	113	6.9	94	5.8
Other Property Offenses	44	2.7	36	2.2
TOTAL PROPERTY OFFENSES	958	58.8	918	56.5
DRUG OFFENSES	380	23.3	299	18.4
TOTAL	1628	99.9	1626	99.9

Description of Population, (continued)

Also, there were fewer women investigated by the Presentence Unit in Project Year 1975 than in Project Year 1974 - 341 in 1974; 278 in 1975. See Appendix A (Table #16, P:43).

The majority of these differences are within the category of property crimes (245 in 1974 vs. 180 in 1975). Again some of these differences may be attributed to the revised criminal code which raised the required value of the property involved for a felony from \$75. to \$250.

* Project Year 1974 - December 1973 - February 1975 (15 months)

* Project Year 1975 - March 1975 - May 1976 (15 months)

SYSTEMS OVERVIEW

Figure #1 is an overview of the Criminal Justice System process which culminates in successful probation (no convictions while on probation); absconded status, those persons whose whereabouts are unknown; or revocation failure (defined as the client being sent to prison for breaking a probation condition or committing a new crime).

In Project Year 1974, a 15 month period from November 1973 through February 1975, 1,628 persons were investigated by the Seattle Presentence Unit. In Project Year 1975, a 15 month period from March 1975 through May 1976, 1,626 persons were investigated by the Presentence Unit.

Figure #1 shows the flow of clients through the King County System. The Superior Court orders a Presentence Investigation after guilt of the client has been determined. A Presentence Investigation is conducted and a recommendation for prison or probation is given to the Court along with recommended special conditions, if probation is recommended. The Court then decides on the basis of information from the Prosecutor, the client's counsel and the Presentence Report to grant probation or prison.

Probation does not necessarily mean that the person will not suffer loss of liberty. In 31 percent of the cases recommended for probation, the person is given a jail sentence from one to 365 days in the King County Jail, which sometimes includes time spent in the Work Release Program. Work Release cannot be controlled by the judge or PSI Unit, but can only be arranged on a space available basis through the King County Jail.

Also, an offender may be recommended to participate in a community program which may be an in-residence program or a non-residential program.

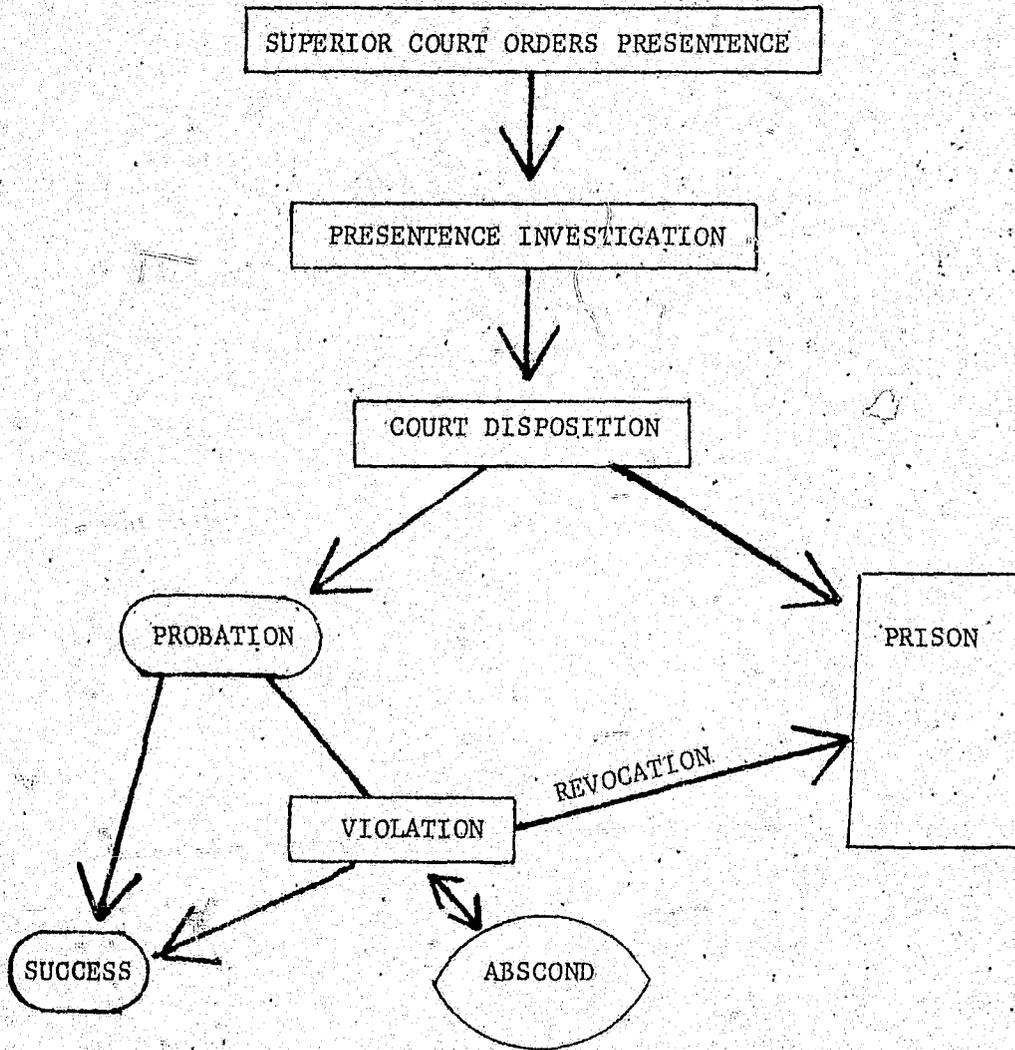
There was follow-up for those offenders granted probation, but not for those sentenced to prison. The research effort was concentrated on finding out the outcomes (success or probation revocation) of decisions for probation.

Each part of the process will be discussed in detail in separate sections:

- 1) Presentence Recommendations and Court Concurrence;
- 2) Community Treatment Program Recommendations and Court Concurrence; and
- 3) Follow-up Data.

FIGURE I

SYSTEMS OVERVIEW



PRESENTENCE RECOMMENDATIONS AND COURT CONCURRENCE

An evaluation of the project must begin with an examination of Presentence recommendations. Table 3 shows a breakdown of crime categories, the basic recommendation of commitment, or probation by Project Year. In Project Year 1974, the Presentence Unit recommended 1396 clients for probation (89%) and 170 clients for imprisonment (11%), whereas in Project Year 1975 the Presentence Unit recommended 1356 clients for probation (85%) and 240 clients for imprisonment (15%). These percentages are based on recommendations made in all categories of crime. A breakdown of these crime categories, as well as the recommendations for each offense, are provided in Table 3.

Some differences between Project Year 1974 and Project Year 1975 can be attributed to a change in the Prosecutor's Office policy towards use of discretionary authority to recommend probation in certain instances.

"In rape, robbery, or residential burglary cases, firearm or deadly weapon allegations where the weapon was used or was capable of being used in furtherance of the crime and habitual criminal allegations are not the subject of bargaining and will not be dropped for any reason other than our inability to prove the specific allegation." *

This directly affected the number of persons sent to prison where there was a finding of fact which required imposition of a mandatory minimum prison sentence. The presentence unit followed this policy in their recommendations for prison.

Table #4 compares demographic data for those offenders recommended for state prisons with the same data for those offenders recommended for probation. The group of offenders recommended for prison are considered to be a greater risk to the community and therefore need to be incarcerated. They have more of a previous criminal history, have used force or weapons in the commission of these crimes, have committed more serious crimes, more are male and tend to be slightly older than those recommended for probation. However, there were more blacks recommended for prison. The ability of the Unit to identify significant factors related to level of risk is an important aspect of preparing an enhanced diagnostic report.

* SECTION 1053: Disposition from the Prosecutor's Filing and Disposition Standards.

TABLE 3

PRESENTENCE RECOMMENDATIONS BY OFFENSE
 Controlling for Project Year
 November 1973 - May 1976

	PRISON		PROBATION	
	1974	1975	1974	1975
PERSON OFFENSES				
Murder	75%	100%	25%	-0-
Manslaughter	26%	14%	74%	86%
Assault	26%	29%	74%	71%
Robbery	30%	45%	70%	55%
Sex Offenses	22%	32%	78%	68%
Other Person Offenses	-0-	26%	100%	74%
TOTAL PERSON OFFENSES	29%	38%	71%	62%
PROPERTY OFFENSES				
Burglary	11%	9%	89%	91%
Larceny	6%	7%	95%	93%
Auto Theft	5%	7%	95%	93%
Forgery	7%	11%	93%	89%
Other Property Offenses	12%	6%	88%	94%
TOTAL PROPERTY OFFENSES	8%	8%	92%	92%
DRUG OFFENSES	6%	7%	94%	93%
TOTAL	11%	15%	89%	85%
NUMBER	170	240	1396	1356

NOTE: The following were not included:

9 clients sent to Western State in 1974; 5 clients in 1975.

12 clients sent to Western State Sexual Psychopath Program in 1974;
 23 clients in 1975.

9 clients with unknown recommendations in 1974; 2 clients in 1975.

* See Table #2 for raw data

TABLE 4

CHARACTERISTICS OF CLIENTS INVESTIGATED BY
THE PRESENTENCE UNIT BY TYPE OF RECOMMENDATIONS
NOVEMBER 1973 TO MAY 1976

	PRISON	PROBATION
Black	39%	22%
Person Crimes	55% *	16% *
Under Age 25	53% *	65% *
No Force	50% *	86% *
No Alcohol	70% *	77% *
No Drugs	64%	68%
No Weapon	54% *	90% *
Unemployed	77% *	60% *
No Felony Arrests	33% *	68% *
No Felony Convictions	52% *	80% *
No Misdemeanor or Conviction	37% *	51% *
Male	91% *	79% *
	N = 406	N = 2706

* These differences were statistically significant using chi-square test of significance at beyond the .05 level.

RECOMMENDATIONS BY THE PRESENTENCE UNIT

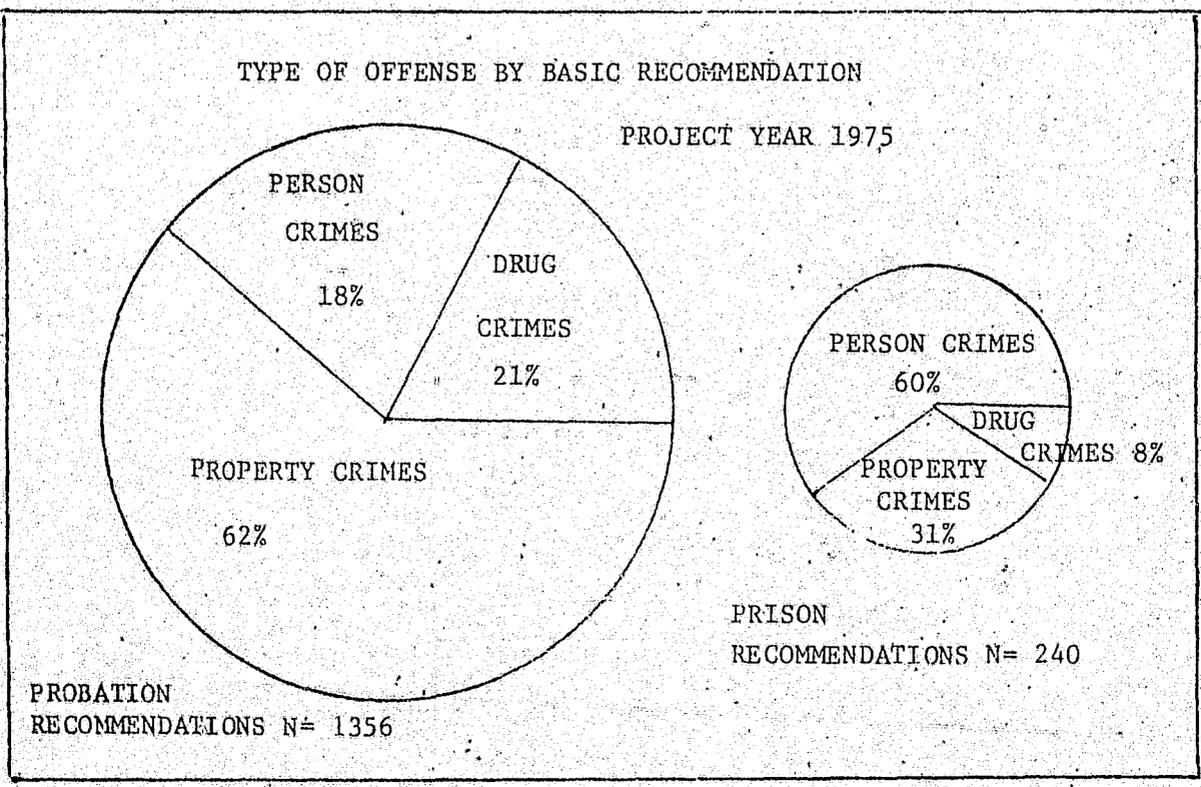
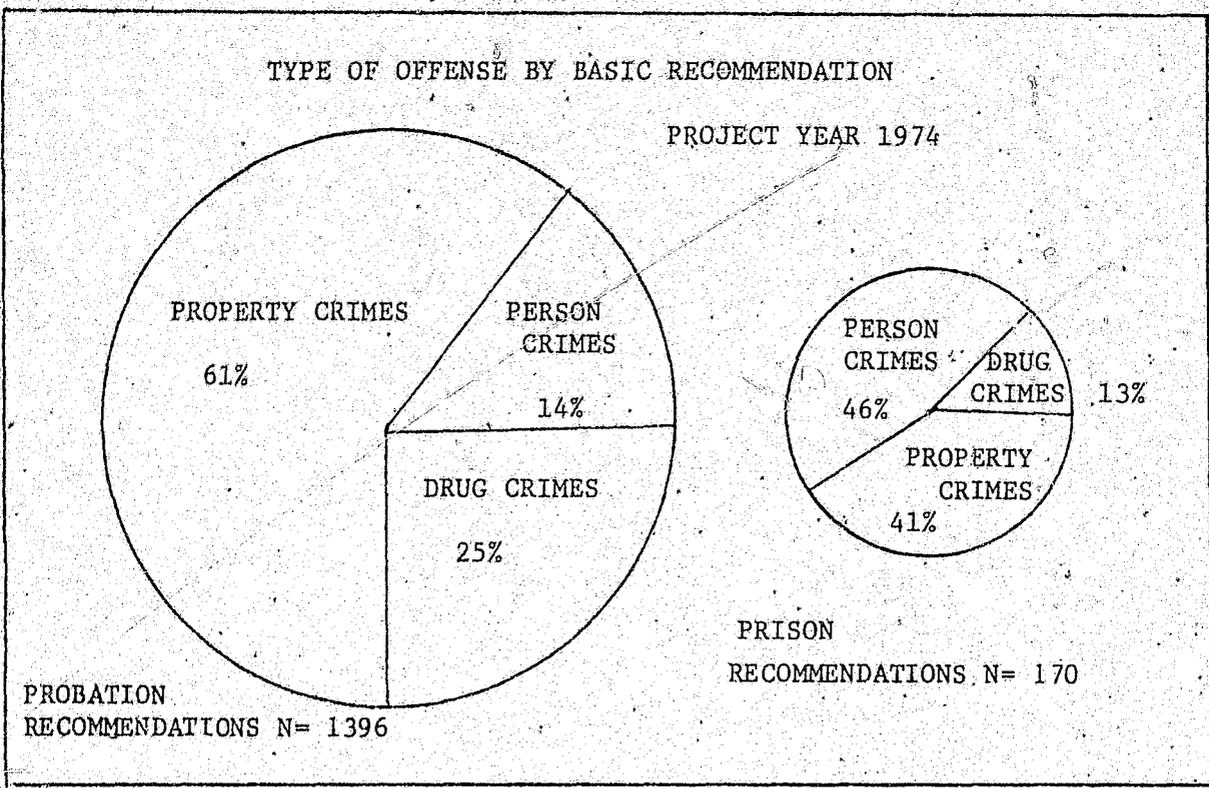


TABLE 5

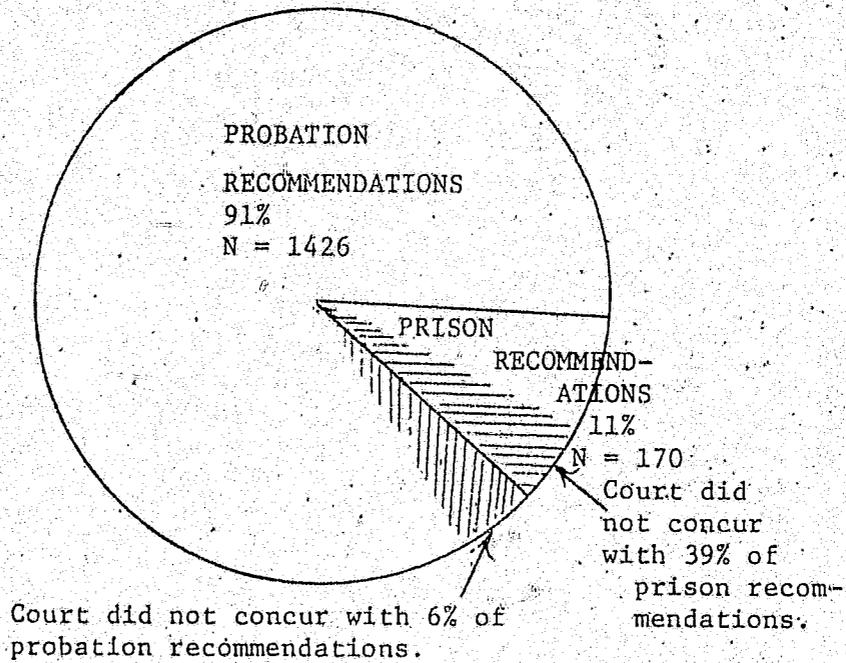
TYPE OF OFFENSE BY BASIC RECOMMENDATION
FOR PROJECT YEARS 1974 AND 1975

TYPE OF OFFENSE	Recommendation for Prison*				Recommendation for Probation			
	Project Year 1974		Project Year 1975		Project Year 1974		Project Year 1975	
	N	%	N	%	N	%	N	%
PERSON CRIMES	78	46%	145	60%	192	14%	238	18%
PROPERTY CRIMES	70	41%	75	31%	851	61%	839	62%
DRUG CRIMES	22	13%	20	8%	353	25%	279	21%
TOTAL NUMBER	170	100%	240	100%	1396	100%	1356	100%

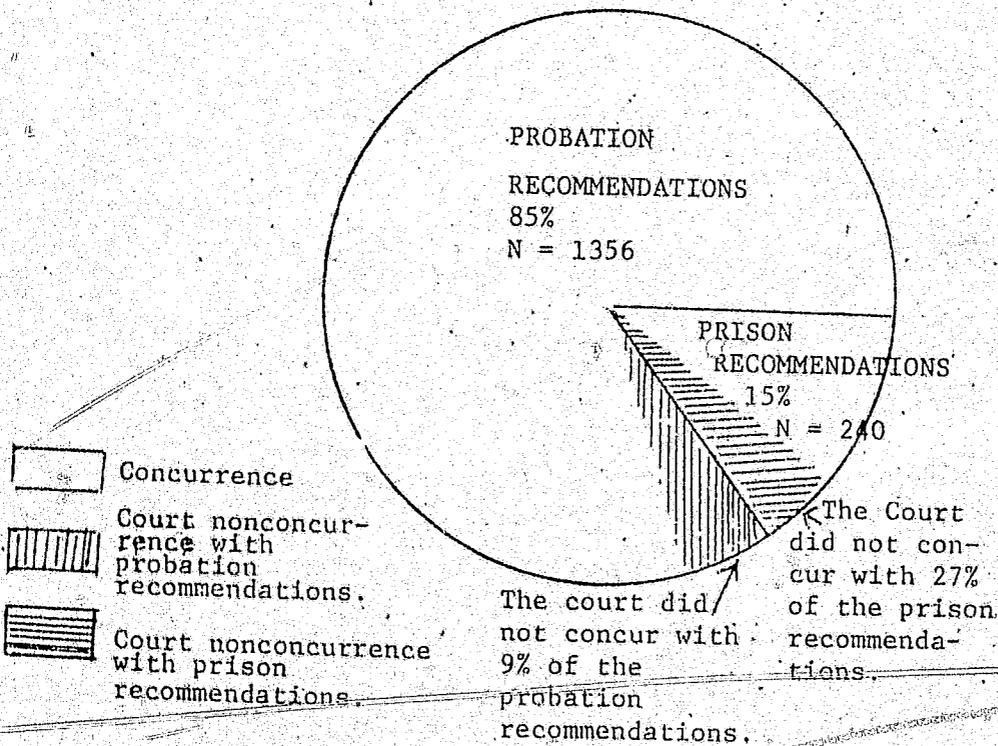
* Using the chi-square test, differences between those recommended for prison during Project Years 1974 and 1975 by type of offense were statistically significant beyond the .05 level.

COURT CONCURRENCE WITH PRESENTENCE UNIT RECOMMENDATIONS

PROJECT YEAR 1974
92% TOTAL COURT CONCURRENCE



PROJECT YEAR 1975
92% TOTAL COURT CONCURRENCE



* This table does not include recommendations for Western State or the Sexual Psychopath Program.

Table #6 shows that during Project Year 1974 the Presentence Unit recommended that 11% of the clients go to prison and in Project Year 1975 the Presentence Unit recommended 15% of the clients go to prison.

Table #7 shows the difference between Project Years in Court concurrence. The Court concurred slightly more with the PSI Unit's recommendations in Project Year 1975 (92% to 93%). There is a statistically significant difference from the Project Year 1974 data to Project Year 1975 for prison recommendations (65% to 78%). This is directly related to the Unit's goal of increasing Court concurrence.

TABLE 6

PROBATION RECOMMENDATIONS BY
STUDY POPULATION

Type of Recommendation	Project Year 1974		Project Year 1975		TOTAL
	Number	Percent	Number	Percent	Number
Probation	1396	89%	1356	85%	2752
Prison	170	11%	240	15%	410
Total	1566	100%	1596	100%	3162

* Using the chi-square test of significance the differences between Project Year 1974 and Project Year 1975 were statistically significant beyond the .05 level.

TABLE 7

COURT CONCURRENCE WITH PRESENTENCE RECOMMENDATIONS

November 1973 - May 31, 1976

	PROJECT YEAR 1974		PROJECT YEAR 1975		TOTAL
	Number	Percent	Number	Percent	Number
Prison Concurrence	107*	65%	176*	78%	283
Prison Non-Concurrence	58*	35%	51*	22%	109
Total Recommended for Prison	165	100%	227	100%	392
Probation Concurrence	1340	95%	1239	95%	2579
Probation Non-Concurrence	64	5%	62	5%	126
Total Recommended for Probation	1404	100%	1301	100%	2705
Total Concurrence	1447	92%	1415	93%	2862
Total Non-Concurrence	122	8%	113	7%	235
TOTAL	1569	100%	1528	100%	3097**

* Using the chi-square test, these differences were statistically significant beyond the .05 level.

**NOTE: 95 cases were not included in this table as court concurrence was unknown.

COMMUNITY TREATMENT PROGRAM RECOMMENDATIONS AND COURT CONCURRENCE

The degree to which a Presentence Unit utilizes community agencies to effect a reduction of the rate of future criminal activities is reflected in the range and type of recommendations made for client participation in community treatment programs. Figure #4 is a comparative measure of this dimension of the Presentence Investigations. Data at this time indicates that the Presentence Unit recommended a community program as a condition of probation approximately 54% of the time in both Project Years. The Presentence Unit recommended a community treatment program for 1403 individuals out of a total of 2598 clients. For crimes against persons, the Presentence Unit recommended some type of community program for 78% of the clients recommended for probation. The Presentence Unit recommended outpatient mental health programs more frequently than any other type of community program regardless of offense; with recommendations for drug and alcohol treatment programs second and third respectively. The fact that efforts are being concentrated on the person offender explains in part the higher rate of programs recommended for this category.

The second level of measurement is the Courts' acceptance of the Project's recommendations for types of community programs. The Court agreed 76% of the time. It is important to note that when the Court disagreed with the type of community program recommended, typically no program at all was ordered by the court. These figures are approximately the same for Project Year 1974 as Project Year 1975.

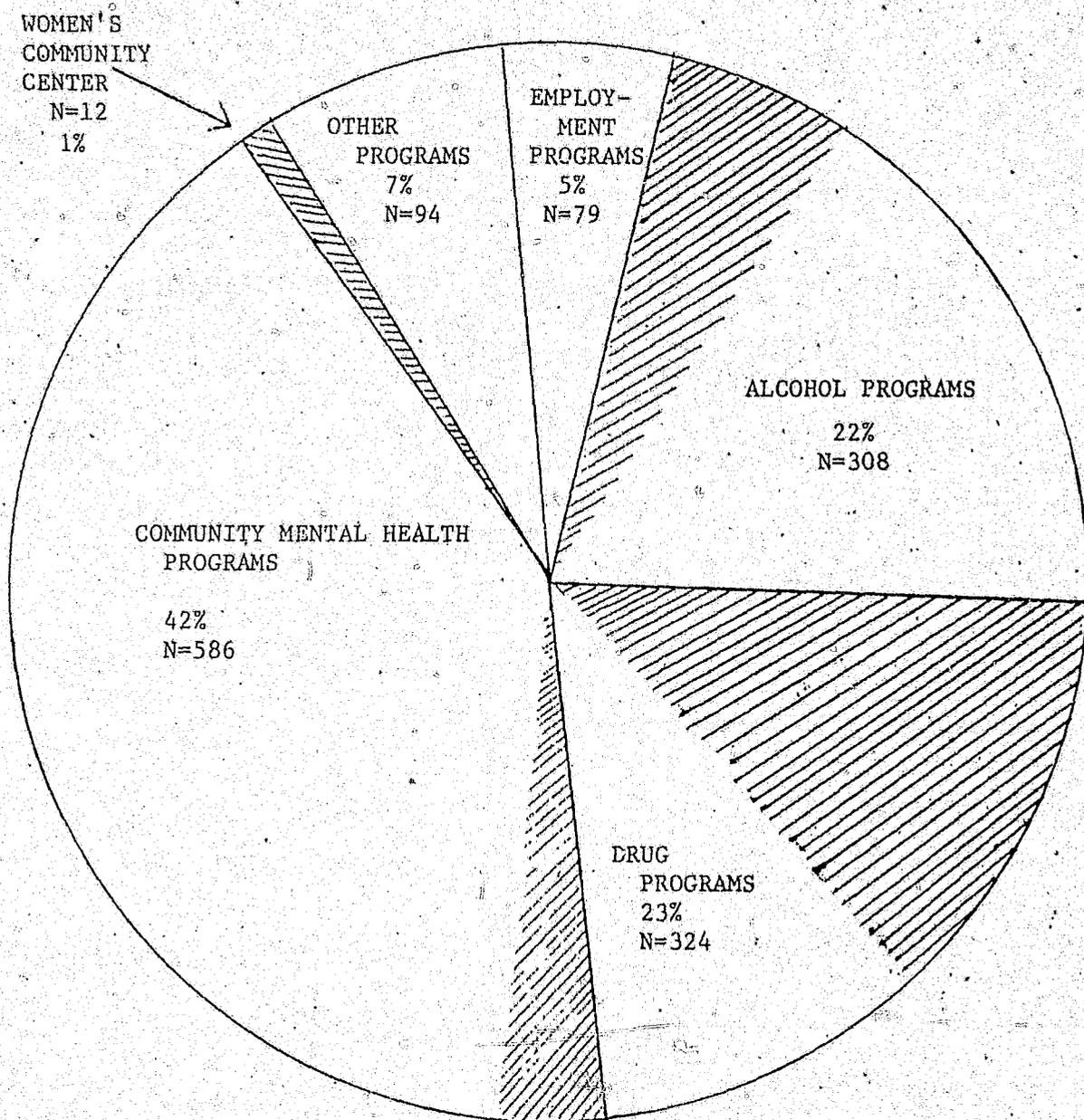
Table # 8 points to the fact that those persons where the Presentence Unit recommended a community program had more problems, such as: use of alcohol and drugs, use of force and/or weapons, unemployed at the time of arrest, prior criminal records*, in custody at the time of the Presentence Investigation, committed crimes against persons and fewer were under twenty-one years of age than the persons not recommended for community programs.

There were 7% fewer black persons included in the group recommended for community programs.

The significance of the differences in ~~the characteristics of these populations~~ would indicate that the Unit successfully identified those persons who needed programs from those who did not. This is directly related to the Unit's objective of effectively utilizing community agencies.

* Juvenile records excluded.

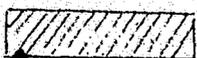
FIGURE #4



N = 1403

TYPES OF COMMUNITY PROGRAMS
RECOMMENDED BY THE PRESENTENCE UNIT

NOVEMBER 1973 - MAY 31, 1976



RESIDENTIAL PROGRAMS



NON-RESIDENTIAL PROGRAMS

TABLE 8

CHARACTERISTICS OF
PERSONS RECOMMENDED FOR
PROBATION BY PROGRAM RECOMMENDED

	No Program Recommended	Yes Program Recommended
Alcohol	12% *	32%
Drugs	30% *	34%
Force	9% *	20%
Weapon	6% *	14%
Employed	45% *	36%
Jail Custody	5% *	14%
No Prior Felony Arrests **	74% *	63%
No Prior Felony Convictions **	87%	80%
No Prior Misdemeanor Convictions **	60% *	44%
Person Offenses	8% *	22%
Age Under 21	39% *	33%
Race - Black	26% *	19%
	N = 1264	N = 1480

* These differences were statistically significant using the chi-square test of significance at greater than .05 levels.

** Juvenile records excluded.

*** 38 persons not included where program recommendation was unknown.

FOLLOW-UP DATA

A measure of the degree of success achieved by the probationers going through the Unit, and the impact of utilizing community agencies to reduce the rate of future criminal activity, is a function of the follow-up study of the Project's research component. From Project Year 1974, 1,280 six-month follow-up questionnaires have been received from Probation and Parole Officers located in King County and other parts of the state; 1,097 twelve-month questionnaires and 480 twenty-four month questionnaires have been received.

The purpose of this questionnaire was to determine the relative success rate of offenders placed on probation.

One of our measures of success for the project was to compare base line data involving probation revocations for King County in 1972 before the project began in order to test whether we had indeed "increased the number of convicted felons in the community without increasing the risk to the community." The assumption is that, if these success rates have remained the same, the project was successful. Percentage figures from Table 9 can be compared to 1972 unpublished data from the Washington State Parole Decision Project for Board of Prison Terms and Parole state-wide revocation rates. Of 1667 persons placed on probation in 1972 in King County 79 (4.7%) were revoked after 6 months, 109 (6.5%) were revoked after 12 months and 168 (10.1%) were revoked after being on probation for 24 months. Of 4,245 persons placed on probation in 1972 statewide, 441 (10.4%) were revoked after a 24-month follow-up period. We can compare this to project data in which probation revocations were 2.9% at the end of a six-month follow-up period and 6.1% at the end of a 12 month follow-up period and 9.6% at the end of a 24-month time period. These differences are not significantly different. The project was unable to find a comparable group to determine whether or not a increased number of felons had been retained in the community.

Court Concurrence and Success Rates

There are significant differences between the success rate when the Courts concurred with the Presentence recommendations and when the Court did not concur. Figure #5 is a comparative measure of the six-month status of probationers for each group. The hypothesis is that there would be no difference in outcome between the concurrence group and the non-concurrence group. The number of persons placed on probation by the Court when the Presentence Unit recommended commitment is small (48), but there are significant differences, using the chi-square test of significance at the .05 level between these groups (Table #10)

In the majority of of cases, the Court does agree with the Presentence Unit's recommendation of probation, and only 3% of these probationers are revoked after a 6-month time period, whereas in the non-concurrence group where the PSI Unit recommended prison 21% of the probationers were revoked after a 6-month time period. These differences would indicate that the enhanced diagnostic report prepared by the Project was useful in predicting probation success.

TABLE 9

REVOCATIONS OVERTIME FOR
KING COUNTY PRESENTENCE POPULATION

November 1973 - February 1975

NUMBER PLACED ON PROBATION	AFTER 6 MO.		AFTER 12 MOS		AFTER 24 MOS.	
	N	%	N	%	N	%
502 *	15	2.9	29	5.8	48	9.6
928 **	27	2.9	58	6.3		
1430	42	2.9	87	6.1		

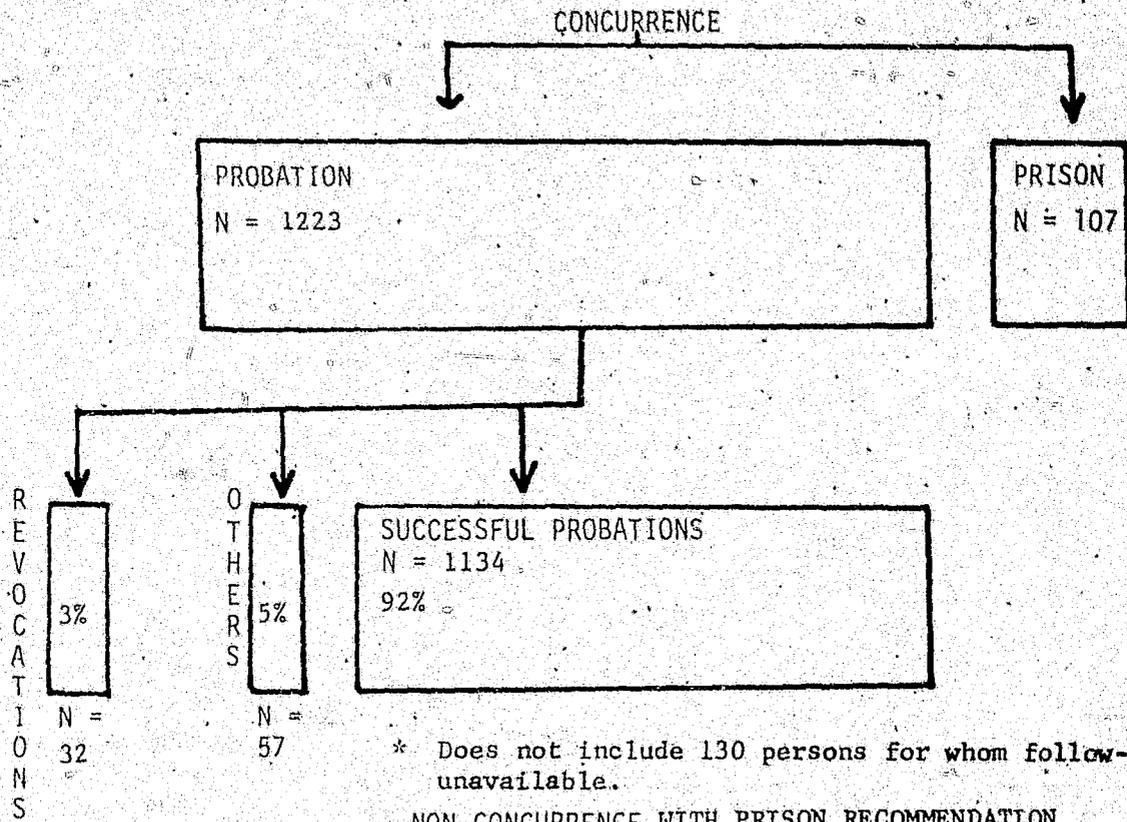
Revocation is defined as the person being sent to prison for a new felony offense or sent to prison for violation of probation rules.

Numbers and percents are cumulative

* Number of persons followed on probation for 24 months by number and percent who were revoked:

** Number of persons followed on probation for twelve months by number and percent who were revoked:

SIX MONTH FOLLOW-UP DATA SHOWING COURT CONCURRENCE*
AND NON-CONCURRENCE WITH PRESENTENCE RECOMMENDATIONS



NON-CONCURRENCE WITH PRISON RECOMMENDATION

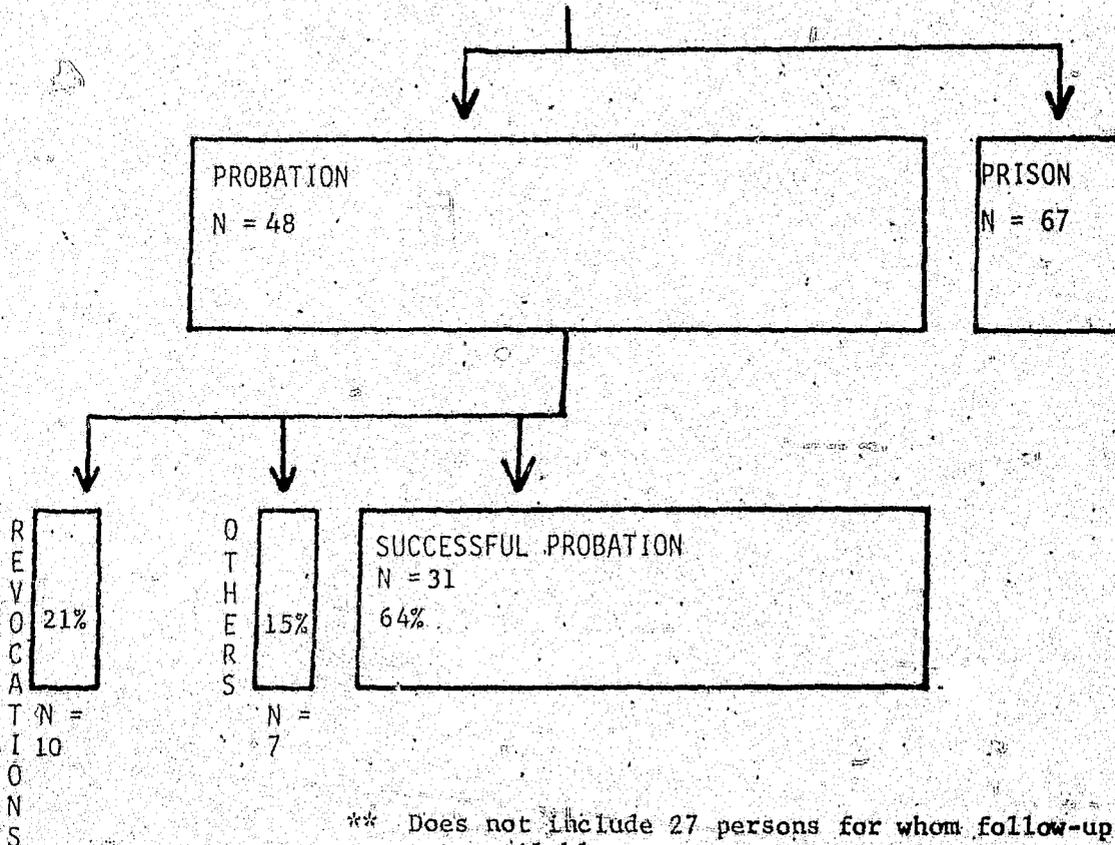


TABLE 10

SIX-MONTH FOLLOW-UP DATA SHOWING COURT CONCURRENCE
AND NON-CONCURRENCE WITH PRESENTENCE RECOMMENDATIONS

PROJECT YEAR 1974

OUTCOME	COURT CONCURRENCE		COURT NON-CONCURRENCE WITH PRISON RECOMMENDATIONS	
Successful Probation	1134	92%	31	64%
Probation was Revoked	32	3%	10	21%
Other (death, Transferred to another state, etc)	57	5%	7	15%
TOTAL	1223	100%	48	100%

* Follow-up data was not received for 130 persons in the court concurrence category and 27 persons in the non-concurrence category.

The differences between outcomes for the two groups using the chi-square test of significance were statistically significant at the greater than .05 level.

Note: There were no more revocations in the non-concurrence category after a 12-month follow-up was completed.

Court Concurrence and Success Rates, (continued)

Table #11 shows the characteristics of persons granted probation by Court concurrence. Follow-up data for the group where the Presentence Unit recommended probation and the courts ordered prison was not analyzed as community follow-up was not possible in the time frame permitted by the grant. The non-concurrence group consists of offenders that were recommended for prison by the Presentence Unit, but were actually granted probation by the Courts. The two groups differ significantly in every category except the use of drugs. Many of these differences suggest that the offenders in the non-concurrence group presented a greater risk to the community than the offenders in the concurrence group. Specifically, more had used weapons, more had a prior criminal history and were unemployed at the time of arrest. Consequently, the Presentence Unit's expectations for probation success were less for this non-concurrence group.

There were many statistically different characteristics in the offenders who had their probation revoked than who were successful. A prior criminal record, lack of employment at the time of arrest, being under the age of 21, placed on this probation for a property crime and not granted personal recognizance at time of arrest were characterized by those whose probations were revoked. These characteristics did not change significantly after a 24-month period and the number revoked increased to 107. (Table #12)

Table 13 shows all arrests, revoked or not revoked. It is a measure of crime impact on the community for those individuals placed in the community on probation. These figures realistically should be considered only in relation to the total crime being committed in the community. Studies being conducted by the Systems Response to Burglary seem to indicate that only 5% of the total crimes committed result in arrest.

Eighty-four percent of all persons placed on probation had no new arrests after a six-month period of time. Those offenders who had committed person crimes had 4% fewer arrests than the property offenders. The greatest number of arrests were for property offenses and traffic offenses.

Of the 107 persons revoked from the 1974 Project Year probation population 72 had at least one or more felony arrests, 13 were violated for technical violations and it was unknown why 22 were revoked. Of the 72 persons arrested for felonies, 44 had new felony convictions.

As an example, of 166 person offenders placed on probation, only four (2%) re-offended by committing another person offense. This is especially significant considering a disproportionate amount of the Unit's resources were expended in the behalf of the person offender.

CHARACTERISTICS OF PERSONS
GRANTED PROBATION BY COURT CONCURRENCE
FOR
ALL PERSONS GRANTED PROBATION BETWEEN
DECEMBER 1, 1973 MAY 31, 1976

	Concurrence With Probation Recommendation	Non-Concurrence With Prison Recommendation
White	72% *	53% *
Under 21	36% *	27% *
Person Offense	14% *	28% *
Use of Force	13% *	29% *
Use of Alcohol	22% *	29% *
Use of Drugs	31%	29%
Use of Weapons	8% *	23% *
Jail at Time of Sentencing	8% *	34% *
Unemployed at Time of Arrest	54% *	68% *
No Prior Felony Arrests	68% *	40% *
No Prior Felony Convictions	82% *	56% *
No Misdemeanor Convictions	51% *	41% *
	N = 2582	N = 126

* These differences were statistically significant using chi-square test of significance at beyond the .05 level.

TABLE 12

CHARACTERISTICS OF CLIENTS
GRANTED PROBATION BY 6-MONTH OUTCOME

	REVOKED	SUCCESSFUL
Race White	56% *	76% *
Under Age 21	48% *	35% *
Original Offense Property	67% *	62% *
No Force	74% *	90% *
No Alcohol	71% *	82% *
No Drugs	62%	68%
No Weapon	79%	92%
Personal Recognizance	45% *	74% *
Unemployed at Arrest	72% *	53% *
No Prior Felony Arrest	56% *	74% *
No Prior Felony Conviction	78% *	86% *
No Prior Misdemeanor Conviction	40% *	58% *
Male	84%	76%
	N = 43	N = 975

* These differences were statistically significant using the chi-square test of significance at beyond the .05 level.

** Revoked = sent to prison for committing a new felony offense or violating a condition of probation.

TABLE 13

SIX MONTH ARREST DATA BY TYPE OF OFFENSE
FOR ALL PERSONS GRANTED PROBATION IN
PROJECT YEAR 1974*

OFFENSE OF ARREST	TOTAL		TYPE OF CONVICTION FOR WHICH PLACED ON PROBATION					
	N	%	PERSON		PROPERTY		DRUG	
	N	%	N	%	N	%	N	%
TOTALS	1280	100%	166	100%	794	100%	320	100%
No New Arrests	1081	84.4	146	88.0	663	83.5	272	85.0
Felony-Person	24	1.9	4	2.4	16	2.0	4	1.3
Felony-Property	50	3.9	3	1.8	44	5.5	9	2.8
Felony-Drug	20	1.6	1	.6	10	1.3	9	2.8
Misdemeanor-Person	9	.7	2	1.2	3	.4	4	1.3
Misdemeanor-Property	19	1.5	3	1.8	14	1.7	2	6.3
Misdemeanor-Drug	14	1.1	0	0	8	1.0	6	1.9
Traffic	46	3.6	7	4.2	27	3.4	12	3.8
Other	17	1.3	0	0	9	1.1	2	.6

*Follow-up data was not received for 135 persons placed on probation in Project Year 1974, and consequently they are not included in this table.

Program Participation and Successful Probation

Figure 6 is a flow chart of offenders where the Court agreed with the basic recommendation of probation, and this figure breaks down these offenders into those recommended for programs and offenders not recommended for programs. It was shown in Table 7 that these two groups are from differing populations. Ninety-three percent were successful on probation from the group where no program was recommended, whereas, 90% were successful in the group where the court did not agree that an offender needed a treatment program. The most successful group -- 97% successful -- were those persons who were recommended for programs and completed, or were still participating in the program at the end of the 6-month time period. The least successful group -- only 81% successful -- had dropped out, or not started the program yet, or the probation officer had decided the program was not necessary. Some of the revocations in this last group were the result of the offender leaving the program without permission, and not due to commission of new offenses. Also, Table 14 indicates that these same trends continue after 12-months of follow-up.

It cannot be concluded that the group having the highest success rate was the result of having participated in or completed a program. It may be that those persons would have been successful without participation in a program. However, Table 15 compares the most successful group with the least successful group. There were significant differences in only two areas -- greater unemployment at arrest and more were non-white. These two factors may be correlated, as the unemployment rate for blacks is 67%, compared with 60% for whites. In addition, the clients who did not participate in the community programs had less of a prior criminal record. This comparison suggests that these two groups were more alike demographically than any other two groups mentioned in this study.

BREAKDOWN OF PROBATION SUCCESS AFTER SIX MONTHS WHERE THE COURT CONCURRED WITH BASIC RECOMMENDATION OF PROBATION PROJECT YEAR 1974--1392 PERSONS

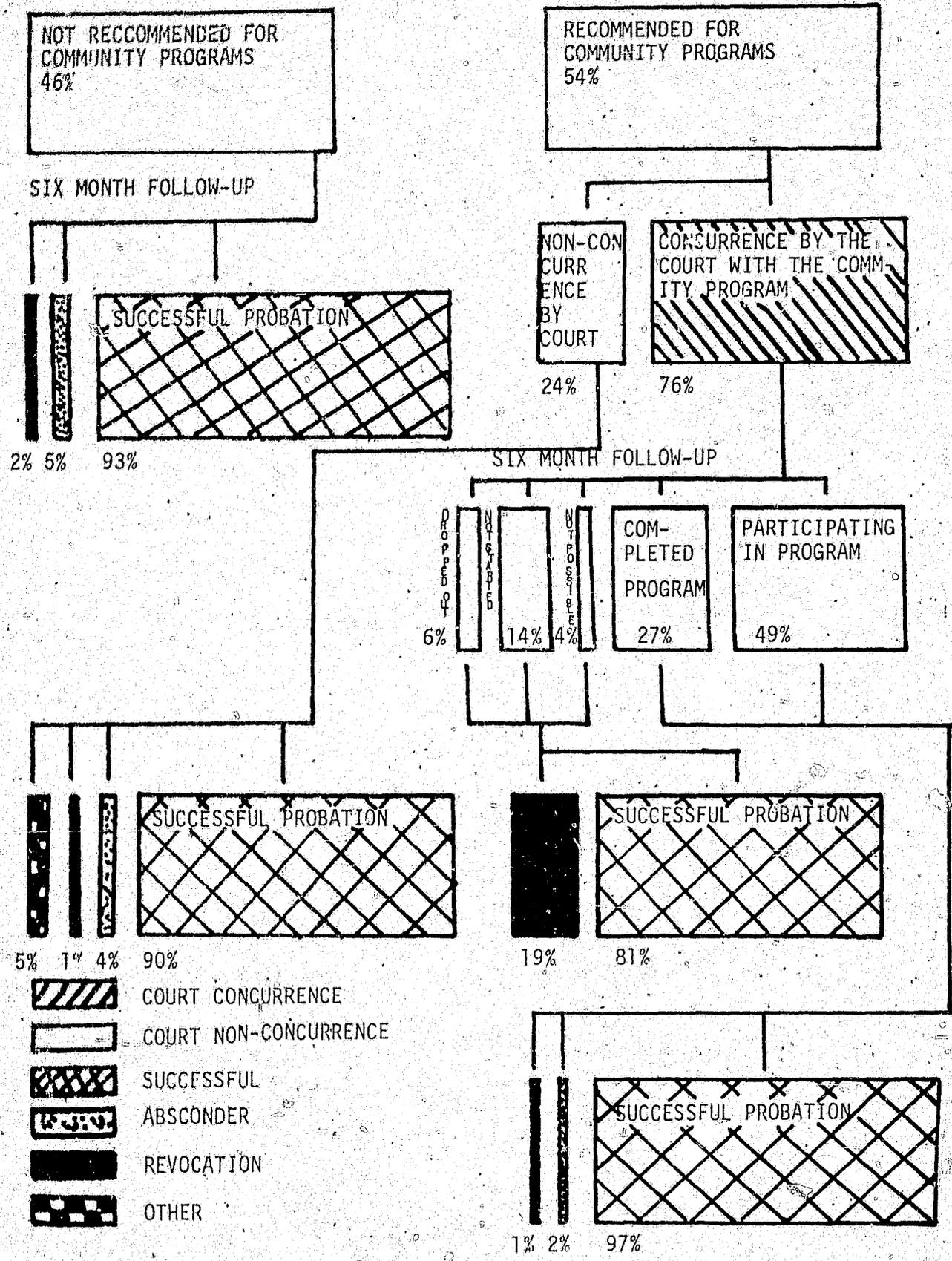


TABLE 14

TREATMENT PROGRAM AND PROBATION SUCCESS WHERE
 COURT CONCURRED WITH BASIC RECOMMENDATION OF PROBATION
 IN PROJECT YEAR 1974 (NOVEMBER 1973--FEBRUARY 1975)

	Number In Original Group	Revocations After 12 Months	
		N	%
Not Recommended for Community Programs	641	21	3%
Recommended for Programs but Court did not Concur	181	4	2%
Recommended for Programs but dropped out or never started	137	38	28%
Recommended for Programs and were Participating or Completed Program	435	7	2%
TOTAL	1394	70	5%

* These differences were statistically significant using the chi-square test at beyond the .05 level.

** 7 persons were not included as program participation was unknown.

CLIENT CHARACTERISTICS OF THOSE WHO COMPLETED
OR WERE PARTICIPATING IN A PROGRAM AT THE
6-MONTH FOLLOWUP AND THOSE WHO DROPPED OUT, OR
HAD NOT STARTED PROGRAM (PROJECT YEAR 1974)

	Not In Program	Completed Or In Program
Number	N = 124	N = 394
Race White	65% *	83% *
Age Over 31	32%	42%
No Force	80%	81%
No Alcohol	71%	64%
No Drugs	65%	69%
No Weapon	84%	86%
Unemployed At Arrest	72% *	61% *
No Prior Felony Arrest	70%	61%
No Prior Felony Conviction	83%	78%
No Prior Misdemeanor Conviction	45%	44%
Male	80%	81%

* Statistically significant using the chi-square test of significance at beyond the .05 level.

CONCLUSIONS

The major goal of the Community Based Diagnostic and Evaluation Project was to increase the number of convicted felons who were retained in the community without increasing the risk to the community. A comparable group was not found which would allow a determination of whether the project had, in fact, retained an increased proportion of convicted felons in the community. We know that significantly more offenders who committed person crimes were sent to prison in 1975. We do not have the results of the follow-up for Project Year 1975 which would determine whether this change made a difference in risk to the community.

Our results from Project Year 1974 show that we did not increase the level of risk to the community from Project Year 1974. Percentage figures from Project Revocation rates from Table 8 can be compared to 1972 unpublished data from the Washington State Parole Decisions Project for Board of Prison Terms and Parole statewide revocation rates. Of 1667 persons placed on probation in King County in 1972, 79 (4.7%) were revoked after 6 months, 109 (6.5%) were revoked after 12 months and 168 (10.1%) were revoked after 24 months.

Of 4245 persons placed on probation statewide in 1972, 441 (10.4%) probations were revoked after a 24-month follow-up period. Project data in which probation revocations were 2.9% after the clients had been placed on probation for six months, and 6.1% after clients had been on probation twelve months and 9.6 after clients had been on probation for 24 months. These comparisons support the conclusion that there was no additional risk to the community.

Also, Table 13 indicates the relative level of risk that offenders placed on probation represents to the community. Eighty-four percent of all persons placed on probation had no new arrests after a six-month period of time. Those offenders who had committed person crimes had 4% fewer arrests than property offenders. The greatest number of arrests were for property offenders. The greatest number of arrests were for property offenses and traffic offenses. Of the 107 persons revoked, 44 had new felony convictions, 72 had at least one felony arrest and 13 had only probation violations. Reasons for revocation were unknown for 22 of the 107 persons revoked. This is a measure of the crime impact for those offenders placed on probation during this time frame. As an example, Table 13 indicates that 166 person offenders placed on probation, only 4 or 2% of those re-offended by committing another person offense. This is especially significant considering that a disproportionate amount of the Unit's resources were expended in behalf of the person offender. All offenders who had committed a crime against a person and an additional number of persons who, as a result of an initial screening process, needed the resources, were handled utilizing the team process.

The second major goal of the project was to increase the degree of success for offenders served and placed on probation by the Superior Court. Findings of this report indicate that there are significant differences between the success rate when the Court concurred with the Presentence recommendation and

when the Court did not concur. Figure 15 is a comparative measure of the six-month status of probationers for each group. The number of persons placed on probation by the Court when the Presentence Unit recommended commitment is small, but there are significant differences using the chi-square test of significance at the .05 level in these groups. In the majority of cases, the court does agree with the Presentence Unit's recommendation of probation, and only 3% of these probationers are revoked after a 6-month time period, whereas in the non-concurrence group 21% of the probationers are revoked after a 6-month time period. These differences would indicate that the enhanced diagnostic report prepared by the Project was useful in predicting probation success.

Figure 6 shows that the most successful group, 97% successful, were those persons who were recommended for programs and completed or were still participating in the program at the end of the six-month period. The least successful group, only 81% successful, had dropped out, or had not started the program yet; or the probation officer had decided that the program was not necessary. Thus, for a substantial proportion of the population, appropriate treatment intervention was provided and this group of offenders experienced the highest degree of success on probation.

The project, however, did provide a descriptive analysis of the population served by year, and by program recommendations. This type of data has not been available in the past; therefore, this document will define base line data which can be used for future analysis.

RECOMMENDATIONS FOR FUTURE RESEARCH

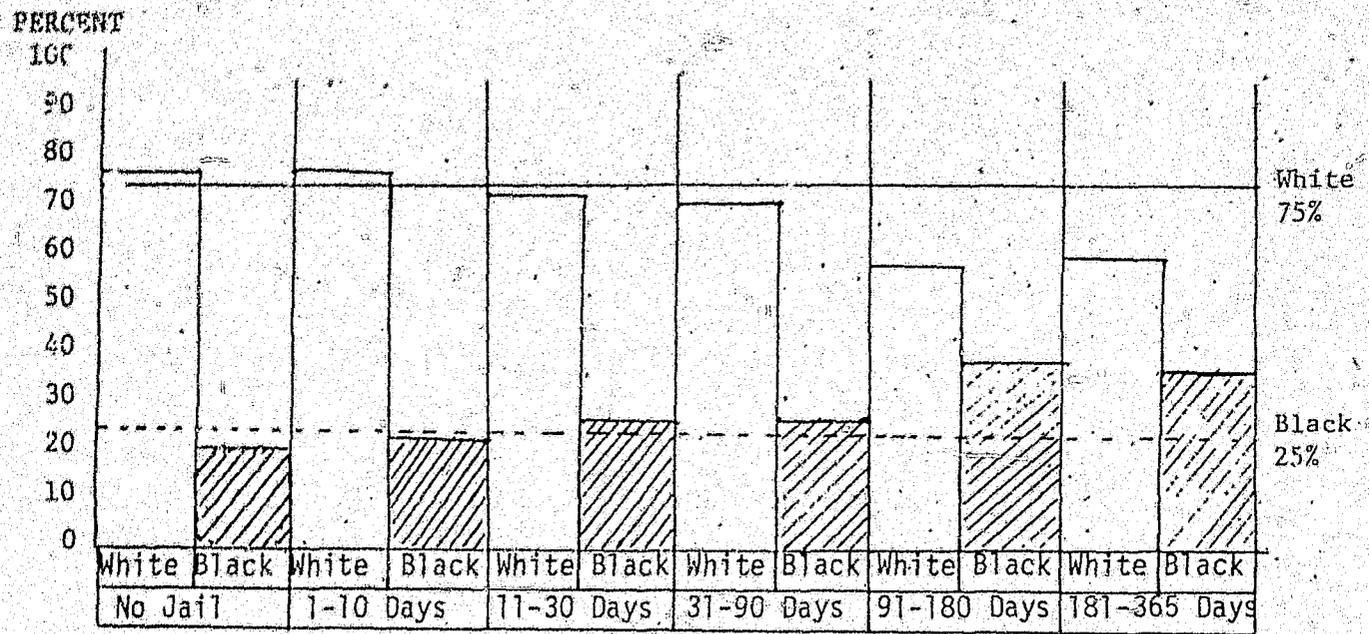
1. An analysis of the process is the first important step in dealing with decision-making and discretionary authority in preparing recommendations for the Courts. Our study points out the shortcoming and the need for reliable research efforts on the decision-making process and in particular the development of standards and guidelines in the use of discretionary authority at this point in the Criminal Justice System.
2. Further analysis of probation success is needed as is identification of types of offenders and the success of different treatment methods with these types. Also looking into assignment of offenders to certain probation officers "on something other than a random basis. Perhaps with some attention given to previous relationships, the type of person the probation officer works best with, the type of person the clients work best with, personal preferences and attitudes may mean the difference between forming a relationship that is constructive and therapeutic and between just being another number in the growing corrections computer." Dick Hooper, Probe Washington Correctional Association Newsletter October 1976.
3. There should be an emphasis on keeping an accurate record-keeping system. This is absolutely necessary for good follow-up research to be done.
4. There should be an effort to coordinate research efforts with the King County Prosecutor's automated Criminal Justice System, the Subject in Process System. This system will collect and disseminate information at every stage of the criminal process from the initial arrest and booking of the criminal suspect through sentencing and appeals.

The adult correction division needs to follow the offender after sentencing in order to obtain the information needed to make sound decisions regarding the management and effectiveness of a correction system. This data needs to be available to the Probation Officer and his supervisor in local offices.

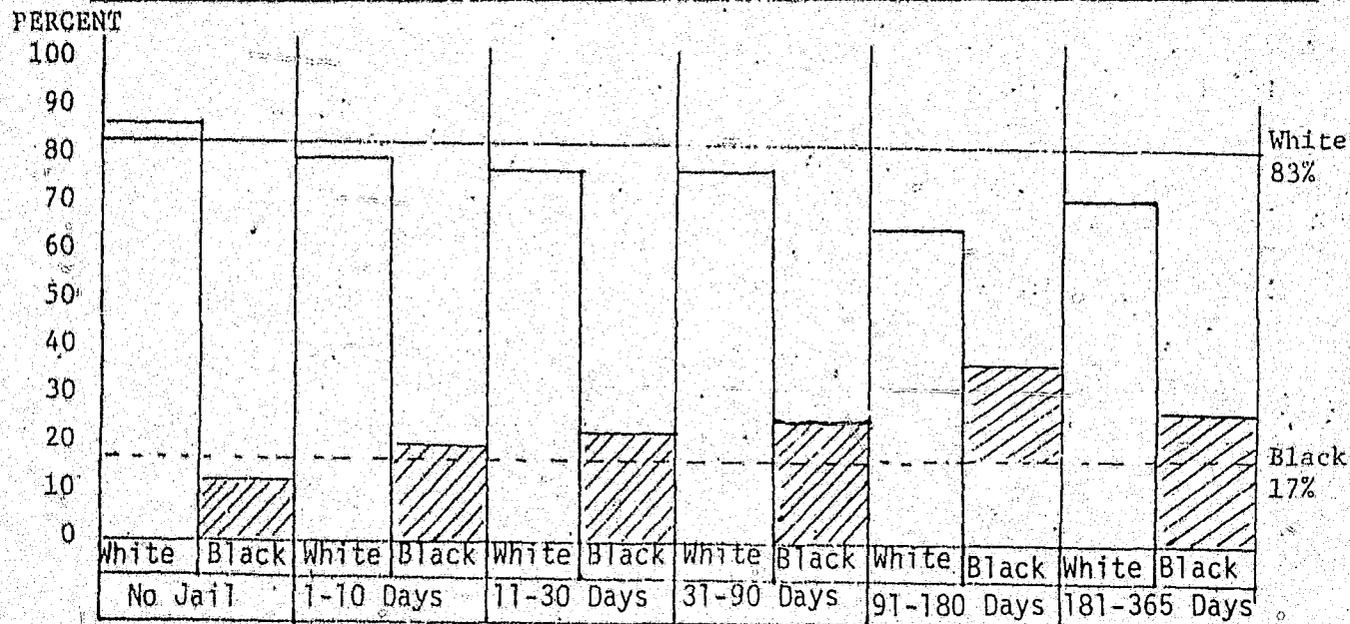
5. Additional analysis and research needs to be done on fair treatment of offenders. There were noticeable discrepancies between black offenders and white offenders in recommended prison sentences, Table 4; and recommended jail sentences, Figure 7. The black population is over-represented. Also, Table 11 shows more Court non-concurrence among black offenders than white offenders. In addition, Table 8 shows fewer black offenders were recommended for community programs and Table 15 indicates more blacks had not participated in programs. The reasons for these differences need further exploration, analysis and research.
6. Much of the data in this report indicates that unemployment is one of the factors that impacts most offenders. In Project Year 1975 66% were unemployed at time of arrest. We need to find out what is getting in the way of offenders getting and keeping jobs and then try to address this problem with adequate resources.

FIGURE 7

RECOMMENDED JAILTIME FOR OFFENDERS RECOMMENDED FOR PROBATION IN 1974 *



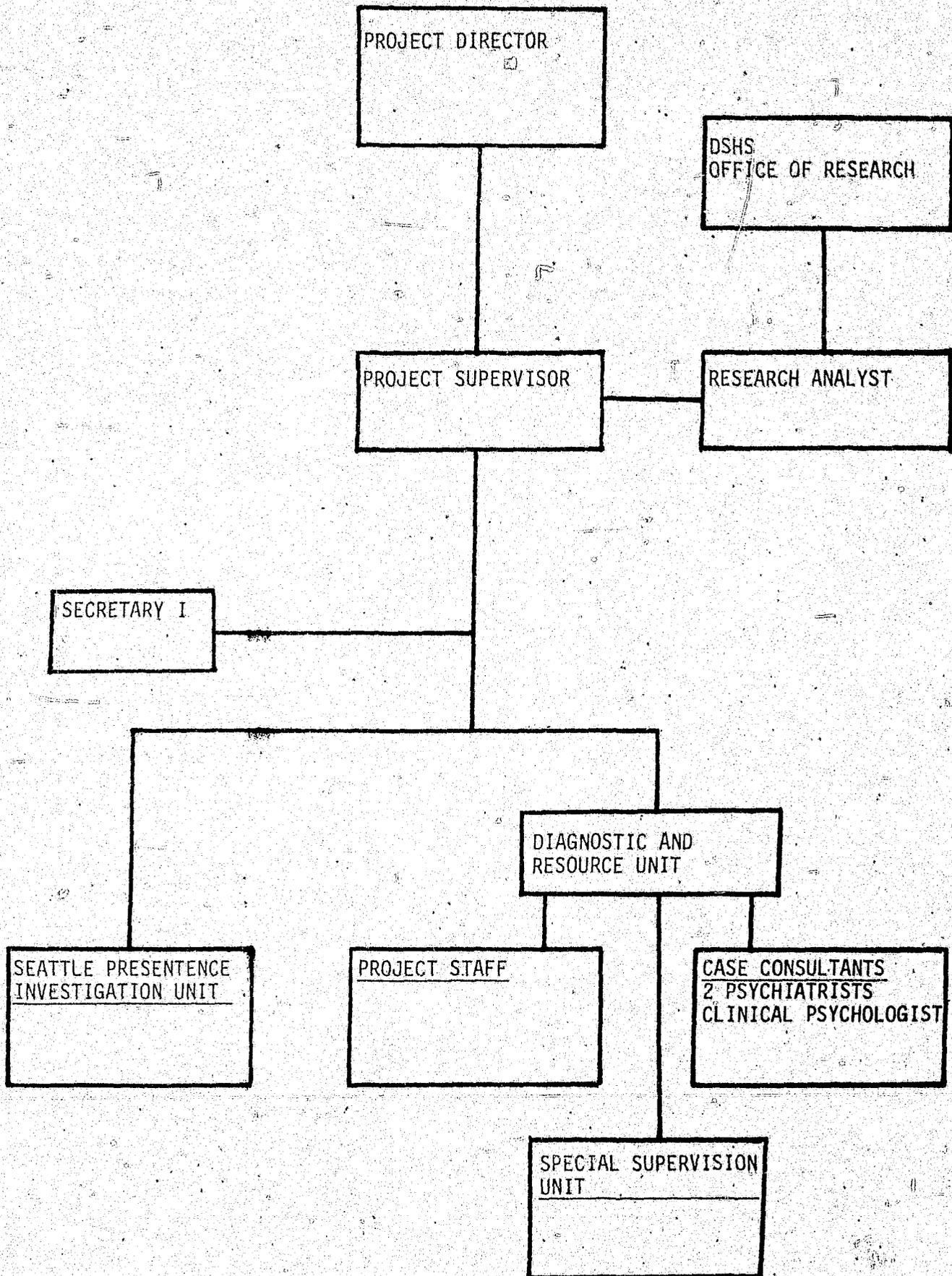
RECOMMENDED JAILTIME FOR BURGLARY OFFENDERS RECOMMENDED FOR PROBATION IN 1975 *



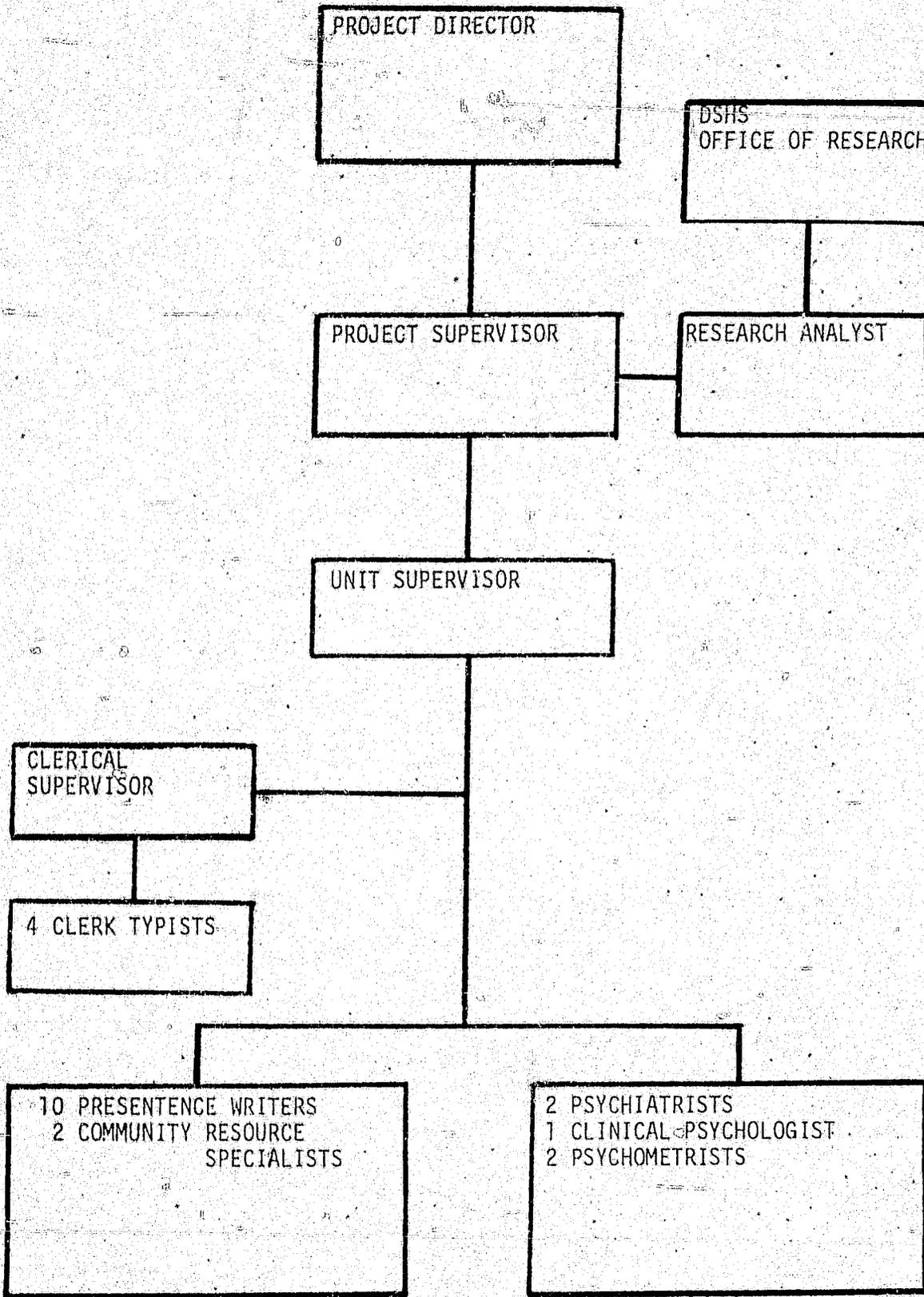
These charts indicate that the black population is over-represented and the white population is under-represented in recommendations for jailtime. These differences between races are statistically significant using the chi-square test of significance at the greater than .05 level.

* These charts excluded persons recommended for state prison.

APPENDIX A - FIGURE #8
ORGANIZATIONAL CHART - PROJECT YEAR 1974



ORGANIZATIONAL CHART - PROJECT YEAR 1975



APPENDIX B

TABLE #16

PRESENTENCE RECOMMENDATIONS BY SEX

PERSON CRIMES	MEN		WOMEN	
	1974 N = 258	1975 N = 380	1974 N = 29	1975 N = 27
Prison	27%	35%	28%	37%
Probation	73%	65%	72%	63%

PROPERTY CRIMES	MEN		WOMEN	
	1974 N = 706	1975 N = 725	1974 N = 245	1975 N = 180
Prison	9%	9%	3%	4%
Probation	91%	91%	97%	96%

DRUG CRIMES	MEN		WOMEN	
	1974 N = 306	1975 N = 228	1974 N = 67	1975 N = 71
Prison	6%	8%	4%	1%
Probation	94%	92%	96%	99%

ALL CRIMES	MEN		WOMEN	
	1974 N = 1270	1975 N = 1333	1974 N = 341	1975 N = 278
Prison	150	220	19	19
Probation	1120	1113	322	259

REVIEW OF RELATED STUDIES

This project contained a two-fold purpose: 1) to increase the number of convicted felons who were retained in the community without increasing the risk to the community, and 2) to increase the degree of success of the offenders served and placed on probation by the Superior Court. A few research studies in this area will be summarized and compared to the present project. This is not meant to be an exhaustive review of the literature, but rather a short summary of related studies.

1. State and County Probation: Systems in Crisis, Report to the Congress by the Comptroller General of the United States, LEAA, Department of Justice, May 27, 1976.

This review by the Comptroller General examined the use and effect of probation and the Presentence process; the lack of services for probationers; the models of probation prediction tools; and the limitations and shortcomings of LEAA and the states in probation management.

Concluding recommendations urged the use of the Presentence diagnostic process in order to give the judges better information which would enhance sentencing decisions. The report endorses the need for more supportive services for probationers because well-utilized services affect the degree of success on probation. These services, or sentencing alternatives, need to be brought into focus by making the community resources more available and applicable to the probationer.

Additional use and research of the various probation prediction models was recommended. Future research should include the systematic collection of data on possible predictive characteristics, the development of predictive models for specific sub-groups in the probation population, and the evaluation of mathematical procedures used to consolidate predictive characteristics.

Recommendations for the improvement of probation management supported the development of standards and guidelines and the improvement of information systems for identifying problems and evaluating probation effectiveness.

The closing remarks and conclusions stress the need for change. Inadequate sentencing alternatives and standards, lack of service delivery, and poor information and evaluation systems, were some of the problem areas addressed by the Comptroller's

report.. It was recommended that these areas need to be improved. Otherwise, the probation system will deteriorate, the community will face increased danger, and the recidivism rate will climb.

2. Probation and Its Effects on REcidivism: an Evaluative Research Study of Probation in Nassau County, New York, Nassau County Probation Department, Mineola, New York, 1972.

The purpose of the Nassau County study was to show with what effect probation performed its principal roles and functions. The study showed that increasing numbers of probationers did not belong to a homogeneous group of offenders. There were varying degrees of risk and rehabilitative challenges presented to the offenders and to the community which demanded a wider choice of services and programs.

The study successfully proved the worth of the Presentence Investigation Report in diagnosing high risk offenders to the community. Related to the high risk or recidivist-prone offender, a greater variety and quality of probation services were recommended. One of the findings of the study demonstrated that recommendations in the Presentence Report accurately pointed to the future adjustment of the offender groups.

The leasing recommendation of the report was to proceed with the probation recommendations but following a case conference staffed by an immediate supervisor, a social worker, or case aid, a senior probation officer, and the probation officer conducting the investigation. The investigating officer could be aided by the services of a psychologist. Thus a more explicit recommendation could be made in the investigative report and result in a meaningful and successful plan of treatment.

3. Guidance in Sentencing: The Presentence Diagnostic Observation Program by Robert M. Dickover and Kay A. Durkee, for the Research Division, California Department of Corrections, Sacramento, California, September 1974, Research Report No. 53.

This report emphasized as its purpose an examination of their diagnostic evaluation process, its problems and achievements. The Probation in California (1957) report indicated strong differences in decision-making policies and practices within the various courts. The project also dealt with the problem of inappropriate commitment to prison.

Two alternative ways of dealing with this problem were presented in the report: 1) for the client who would benefit by remaining in the community, the guidance center staff made such a recommendation with the expectation that the committing court would concur with their recommendation and 2) by "norm setting" or attempting to develop a standard of sentencing for the particular judge reviewing the recommendation. The expected outcome might be the court concurrence with the non-prison recommendation for a given case and the use of the same standard of sentencing again with cases portraying similar characteristics and patterns of offense.

The expected outcome of the project's procedures was the reduction of varying prison sentences and other dispositions among the different counties in the State of California.

Reflections on the Presentence diagnostic observation program after fifteen years of operation included the comment from the authors that the diagnostic observation procedure was viewed by the judiciary of California as a distinctive means for guidance in sentencing.

The percentage of felons committed to the Department of Corrections in the years 1967, 1968, and 1969 represented more than 40% of the diagnostic observation intake. As of 1972, this number was reduced to 24.3%. These figures allude to a new found function in the diagnostic observation project, that of a short-term commitment to prison.

In terms of effects or results, the California project became a means for committing convicted felons to prison on a short-term basis and as a way of providing Presentence diagnostic service. Diversion of cases from the Department of Corrections in California has increased in number, and significantly increased savings of "human" and monetary costs. The final effect of the California project was increased collaboration between information providers and decision-makers.

4. Sentencing of California Felony Offenders, by Carl E. Pope, Criminal Justice Research Center, Albany, New York, LEAA, Department of Justice, 1975.

The principal purpose of this study was to analyze a transactional data base, with consideration given to its qualities and limitations, and to demonstrate possible uses of these data in providing new information unavailable in the past. This is the second monograph in a series of three. The emphasis in this report is on the problem of differential sentencing.

The study examined sentencing methods in both the lower and superior courts, and both type of sentence and length of time sentenced to prison or probation as indicators of sentence severity.

The report concluded that only a data base, which systematically included individual persons and their characteristics, would support the type of analysis required to improve and solve the existing problems of modern crime control systems.

The findings in these studies point to the increasing importance found in the community-based diagnostic evaluations and in the Presentence investigation reports. Our efforts have been to learn from these past studies and to apply some of these findings and recommendations to the King County Community-Based Diagnostic and Evaluation Project.

FOLLOW-UP QUESTIONNAIRE

The following questionnaire is being sent to you as a data collection tool for the Community Presentence Resource Project. Consistent with the Project's commitment to LEAA, the data will be used to evaluate the effects of the presentence recommendations and Court-ordered special conditions on the probationer's adjustment. In realization of your pressing workload, we have made a concerted effort to limit the questionnaire to those items which are absolutely necessary. To ensure confidentiality, probation officer or client identified data will only be seen and used by the Research staff. Your cooperation in this effort is sincerely appreciated. Thank you.

After you have completed this form, please return it to: Patricia Holm, Research Analyst
Community Presentence Resource Unit
410 United Pacific Building
1000 Second Avenue
Seattle, Washington 98104

Phone No. 464-6961

Probation Office _____

Date: _____

Client's Name _____

Cause No. _____

PLEASE CHECK THE APPROPRIATE ITEMS

A. CLIENT'S STATUS AT THIS TIME

- Active - still in custody (jail)
- " - in the community (on probation)
- " - work release
- Terminated - successfully
- " - on-active letter
- " - probation revoked
- " - absconded or bench warrant
- " - death
- " - other (specify) _____

Date terminated (Leave blank if not terminated) _____

B. MONTHS IN THE COMMUNITY SINCE SENTENCING _____
(Minus jail time)

C. KNOWN VIOLATIONS OF COURT-ORDERED SPECIAL CONDITIONS

- | | |
|---|---|
| <input type="checkbox"/> None | <input type="checkbox"/> Non-payment of Court costs |
| <input type="checkbox"/> Association | <input type="checkbox"/> " " of restitution |
| <input type="checkbox"/> Location | <input type="checkbox"/> No community service |
| <input type="checkbox"/> Employment/Education | <input type="checkbox"/> Not participating in program ordered |
| <input type="checkbox"/> Non-payment of fines | <input type="checkbox"/> Other (specify) _____ |

D. NUMBER OF ARRESTS SINCE SENTENCING _____

E. MOST SERIOUS OFFENSE FOR WHICH ARRESTED SINCE PLACED ON PROBATION

- Not applicable - no known arrests
- Felony - crime against person
- " - property offense
- " - drug offense
- Misdemeanor - crime against person
- " - property offense
- " - drug offense
- Traffic offense (specify) _____

F. MONTH OF FIRST ARREST SINCE PLACED ON PROBATION _____

G. MONTH OF MOST SERIOUS ARREST SINCE PLACED ON PROBATION _____

H. MOST SERIOUS DISPOSITION FROM ARRESTS SINCE PLACED ON PROBATION

- No new offense, not applicable
- Released after investigation
- Charges dismissed by the Court
- Awaiting disposition
- Probation
- Jail sentence
- Prison sentence
- Absconded - no disposition yet
- Other (specify) _____

I. NUMBER OF CONVICTIONS SINCE SENTENCING

Misdemeanors _____

Felonies _____

J. TYPE OF COMMUNITY PROGRAM PARTICIPATION

Not participating in a community program

Alcohol program - (residential)

Alcohol program - (nonresidential)

Drug program - (residential)

Drug program - (nonresidential)

Mental Health program
(residential)

Mental Health program
(nonresidential)

Women's Community Center

Employment - training

Other (specify) _____

K. HAS THE CLIENT COMPLETED A COMMUNITY PROGRAM?

Not ordered by the Court

Not started yet

Not able to arrange a community program for this client

Presently participating in a community program

Has completed a community program

Dropped out of program

L. IS THE CLIENT EMPLOYED? (Leave blank if not employable.)

Not employed

Employed - full-time

Employed - part-time

Casual labor or odd jobs

Other (specify) _____

School - full-time

School - part-time

Training - full-time

Training - part-time

M. HAS CLIENT COMPLETED COMMUNITY SERVICE?

Not ordered by the Court

Not started yet

Not able to arrange community service for this client

Presently doing community service

Has completed community service

END