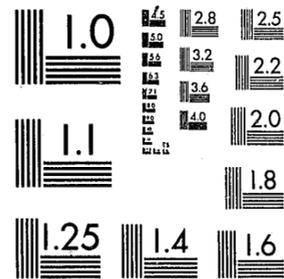


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EIGHTEEN-MONTH PLANNING AND EVALUATION
REPORT OF THE PROBATION ALCOHOL TREATMENT
DEMONSTRATION PROJECT IN SUFFOLK COUNTY

January, 1981

U.S. Department of Justice
National Institute of Justice

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INTRODUCTION

The New York State Governor's Traffic Safety Committee has funded a program jointly developed by the Suffolk County Department of Probation, the New York State Division of Probation and the New York State Division of Alcoholism and Alcohol Abuse. This project, the Probation Alcohol Treatment Demonstration Project addresses the problem of the multiple DWI/DWAI offender* in a rather unique and dynamic way.

This report presents a comprehensive analysis of the characteristics of the multiple DWI offender, and describes in detail the integrated program design currently in operation in this project. In addition, an evaluation of program effectiveness during the first eighteen months of operation is presented. Also, a preliminary assessment regarding the value of using the Mortimer-Filkins screening instrument, the Alco-sensor and other new procedures is reported in this study.

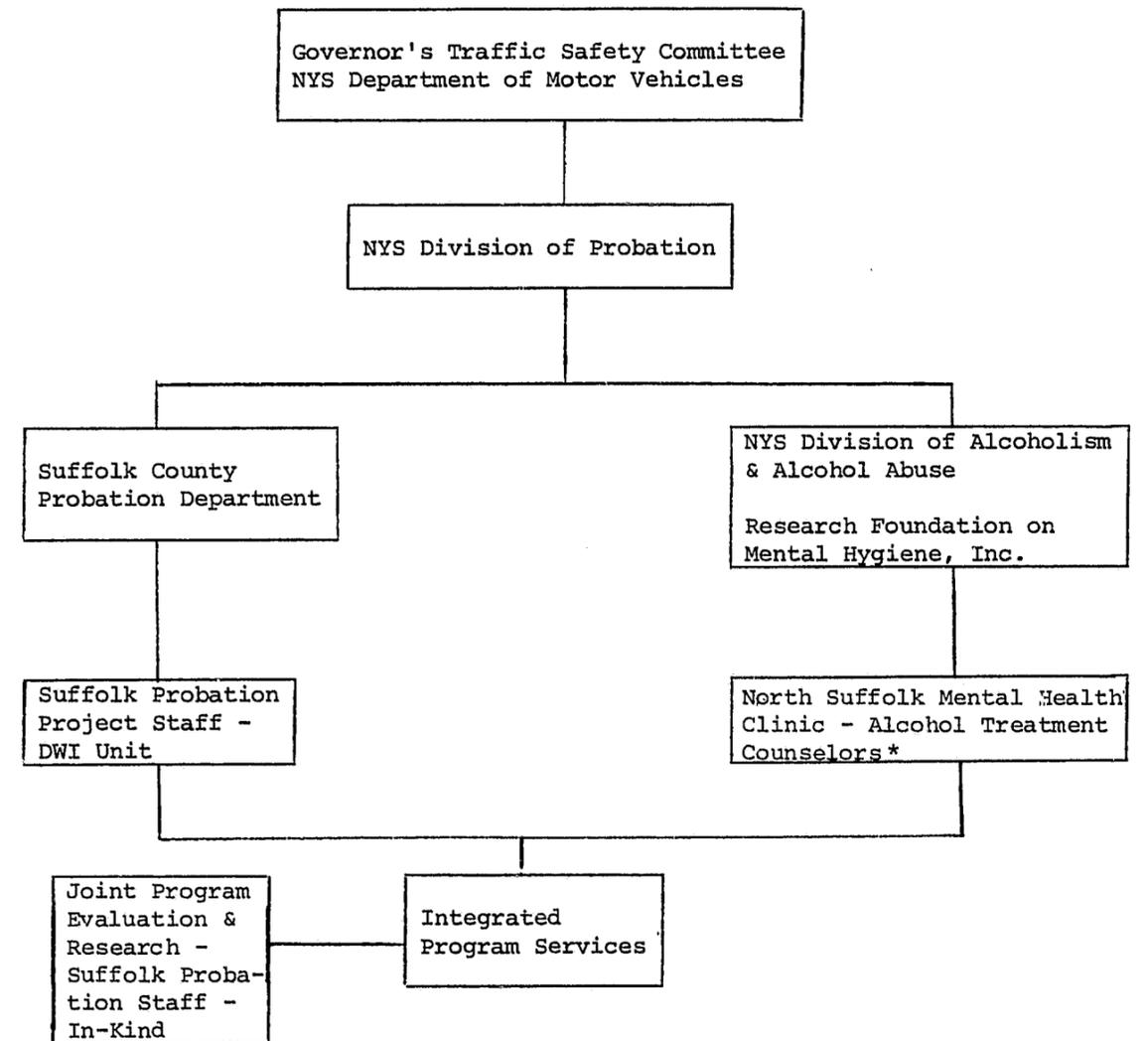
This research report represents the second evaluation document generated by this project. The initial report, entitled, Six-Month Progress Report and Preliminary Assessment of the Probation Alcohol Treatment Demonstration Project was published in March, 1980 and is available upon request. The third phase of program evaluation will involve a comprehensive analysis of the major issues addressed by this project and will be completed in June, 1981. Basically, phase three will involve a more in-depth analysis of the issues of the mandated client, the value of groups for 'Significant-Others' and a detailed study of the Mortimer-Filkins and Alco-Sensor in actual field operations. Also, a greater emphasis will be placed on treatment considerations during this period. Program replication should be greatly facilitated as a result of this research.

*Driving While Intoxicated/Driving While Impaired offenders who are ineligible for the N.Y. State Drunk Driver Program (DDP).

In addition to an evaluative research study, this report is also a planning document. Because of the nature of the project, the operational design is constantly evolving, as more information and the results of experience become available. A comprehensive profile of the multiple DWI offender with special emphasis on the recidivist offender has, therefore been developed in order to help in the decision making process.

The current study reports the results of program operation from July 1, 1979 to December 31, 1980; and has been organized in the following way: I) Introduction; II) Major Findings; III) Program Description and Current Operations; IV) Profile of Presentence Investigation Population; V) Profile of Project's Intensive Supervision Population; VI) Research Methods and Evaluation Design; VII) Results; VIII) Major Issues and Future Directions; IX) Analysis and Conclusions.

FIGURE 1: FUNDING, ADMINISTRATIVE AND OPERATIONAL FLOW CHART FOR THE PROBATION ALCOHOL TREATMENT DEMONSTRATION PROJECT



*Straub Hall administered the project alcohol services through June 24, 1980. However, when they failed to receive refunding, the alcohol staff were responsible to Central Islip State Hospital but were housed at Suffolk Probation. On December 1, 1980, the community-based North Shore Mental Health Clinic assumed administrative and supervisory responsibility for the alcohol treatment staff.

MAJOR FINDINGS

1. The attempt to develop and implement an integrated interagency approach for the multiple DWI offender appears to have been successful during the first eighteen months of project funding. A workable design is fully operational.
2. During the first eighteen months of project operation, 475 Criminal Court 'Driving While Intoxicated' presentence investigations were conducted using the Mortimer-Filkins screening instrument.
3. During the first eighteen months, 151 individuals were accepted into the intensive community supervision component of the program.
4. An analysis of the client profile as of 6/30/80 indicates that the project population is the appropriate target group identified in the original grant proposal. The 109 individuals receiving intensive services during the first twelve months had been charged with 256 prior DWI/DWAI offenses; 284 additional prior criminal offenses; and 377 prior motor vehicle violations. All of the cases were ineligible for the State DDP program, and including the present offense, were responsible for a combined total of 1,028 criminal charges and violations. (Refer to Table 22, p. 39.)
5. The DWI recidivism arrest rate for the first 109 multiple DWI offenders was 5.5% after an average follow-up period of 11.7 months. (Refer to Table 25, p. 50.)
6. The DWI recidivism arrest rate for the first 64 multiple DWI offenders supervised an average of 14 months was 7.8% or 5 out of 64 individuals. Individuals in this group had been on probation between 11 and 17 months at the time of follow-up. (Refer to Table 25, p. 50.)
7. The total accident rate for the 109 probationers on probation between 5 and 17 months was 2.8% or 3 accidents. (One accident was committed by a DWI recidivist, and that individual is, therefore, counted twice.) (Refer to Table 28, p. 52.)
8. The total recidivism arrest rate for DWI and non-DWI offenses for the project supervision population is 8.3% or 9 arrests with an average follow-up period of 11.7 months. (Refer to Table 27, p. 52.)
9. The attendance rate for the first nine (9) joint counseling groups was 93.6% or 1,498 out of 1,594 counseling units. (Table 2, p. 12.) This rate was achieved although 10.1% of the client population was identified as resistant to treatment, and 37.6% was identified as unmotivated. (Table 1, p. 12.)
10. Joint training and ongoing communication between interagency staff have been identified as essential components of project operations. Interagency staff meetings were reported as particularly valuable to the functioning of this integrated approach. In addition, the use of the Mortimer-Filkins screening instrument and the Alco-Sensor have been evaluated quite favorably by project staff.

III. PROGRAM DESCRIPTION & CURRENT OPERATIONS

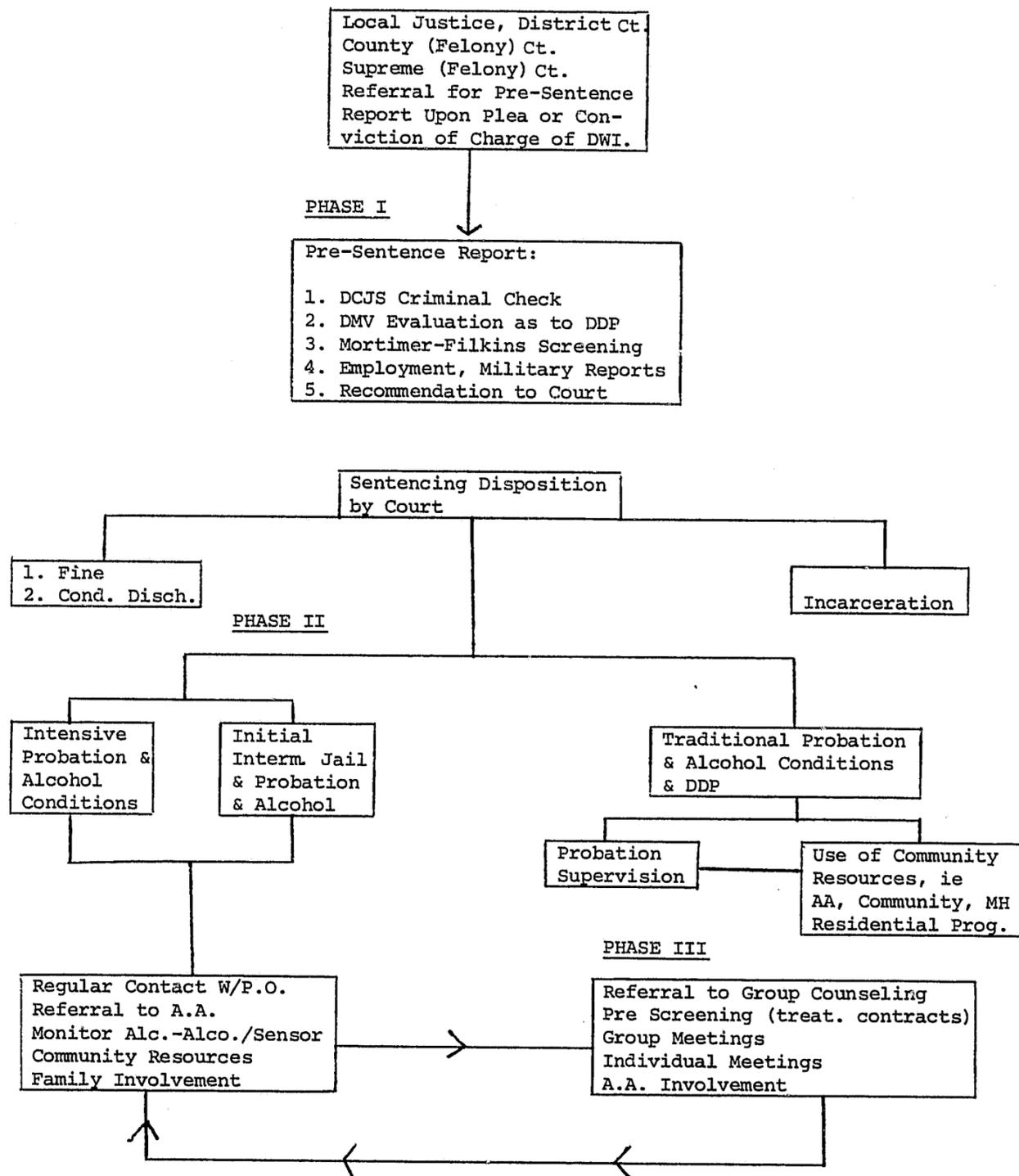
1. Program Overview

This project is engaged in an intensive effort to respond to the problems of the multiple offender who has established a pattern of repeated DWI offenses and as a result is no longer eligible for the New York State Drunk Driver Program. In addition to repeated DWI arrests, this individual quite often has other prior criminal convictions, combined with a sizeable number of traffic violations and chargeable accidents.

Apparently, some offenders need more than the usual sanctions of unconditional discharge, conditional discharge, fine, jail or conventional probation supervision. The sentence to jail may be necessary for some but inadequate or inappropriate for most because of the costs incurred, existing space limitations and limited services available. In response to this condition, a unique interagency approach was developed to determine whether or not a combined effort of the Criminal Justice System and the Health Care System could produce a positive impact on the problems posed by this population. The operational design of this demonstration project is specifically aimed at the integration of these systems, and is a variation of the control model of intensive special probation supervision.

The overall design of this project is based on a no nonsense reality-oriented approach. The Mortimer-Filkins screening instrument is administered by the Probation Officer at the time of investigation in order to get a more accurate assessment of the individual's alcohol problem. Alco-Sensor tests are administered frequently to dramatically reduce denial and manipulation so often characteristic of

FIGURE 2: OPERATIONAL FLOW CHART OF INTEGRATED SERVICE DELIVERY SYSTEM



active alcoholics. An eighteen-week group counseling program, co-conducted by the alcohol counselor and the Probation Officer is mandated and immediately accessible for each individual accepted into this project. Individual counseling is readily available. Probation intensive supervision is an essential element of this system and helps to insure accountability as well as increase protection of the community.

The functioning of this project is especially unique in the sense that the Probation Officers and alcohol counselors actually work as a team, rather than as separate agencies referring cases to each other. Each member of this community supervision team has distinct roles and functions but joint group counseling and joint staffings are essential. Also, communication is constant. This criminal justice/ treatment team is also actively involved in problem solving and decision making regarding the most effective approach for individual offenders. (The major components and procedures of this project are analyzed in greater detail later in this section.)

The overall goal of this project is to determine whether or not a probation sentence with an alcohol treatment program will, for multiple DWI/DWAI offenders, result in a decrease of additional DWI/DWAI convictions as well as a decrease in the incidences of highway property damages, personal injuries and fatalities.

The specific objectives of the project include:

1. To reduce further DWI/DWAI convictions for the already convicted multiple offender;
2. To reduce the number of incidences of property damages, personal injuries and fatalities on the highway;

3. To produce research on the subject of Probation Alcohol Treatment model for multiple offenders as compared with other measures for similar populations in effecting a reduction of highway injuries, property damages, fatalities and recidivism for the DWI/DWAI multiple offender;
4. To determine whether or not a formalized treatment program will increase the use of probation and decrease the use of jail for multiple offenders;
5. To demonstrate the utility of the Mortimer/Filkins Test and other screening instruments as part of the presentence investigation and report in determining the degree of problem drinking and the resultant recommendation to the Judge.

The evaluation of this project is directly related to the program objectives and include five major areas:

1. Highway Related Incidents - the effectiveness of this program in reducing highway fatalities, personal injury, accidents, violations, etc.
2. Criminal Recidivism - the effectiveness of the program in reducing overall criminal recidivism.
3. Systemic Considerations - the feasibility and effectiveness of an integrated interagency systemic approach.
4. Alcohol Abuse - to measure program effectiveness in reducing the severity of the alcoholic dysfunction.
5. Procedural/Instrument Value - the effectiveness and usefulness of project innovations, such as the use of the Mortimer-Filkins Screening Device, and Alco-Sensor, etc. (Applicability to other probation alcohol abusing populations will be determined.)

The Probation Alcohol Treatment Demonstration Project is operationally designed to function in five (5) specific interrelated components or phases.

Phase I: Presentence Investigation

Phase II: Intensive Special Community Supervision

Phase III: Intensive Joint Counseling Treatment

Phase IV: Development of Interagency Cooperation & Procedures

Phase V: Evaluation Process

2. Presentence Investigation Process - Phase I

Each person served by this project has entered the Criminal Justice System as a result of at least one incident of Driving Under the Influence of Alcohol (DWI). Entry into this "phase" of the project is promulgated by the defendant's having been found "guilty of" or having "plead guilty to" a charge of "driving while intoxicated" (DWI) before one of the courts of Suffolk County, New York.* At the request of the presiding Judge, a presentence investigation is prepared, to be used by the court as an assessment tool at the time of sentencing.

Upon notice of the referral by the court, Probation staff initiates requests for data from Division of Criminal Justice Services (DCJS), as to prior contact with police agencies and court services; Department of Motor Vehicles (DMV), as to prior driving activity and specific eligibility for N.Y.S. Drinking Driver Program (DDP); from prior employers and community agencies with whom he/she has had prior contact. The defendant is interviewed and administered the Mortimer-Filkins screening instrument interview which identifies specific areas of dysfunction and assists in clarification of client status and needs.

As of 7/1/80, two-hundred and sixty defendants had been referred by the judiciary for presentence investigation and report.

Assessment was made of data received with the help of the Mortimer-Filkins and a recommendation was made to the courts regarding the most appropriate dispositional alternative. Figure 3 illustrates the distribution of court dispositions for the duration of the project.

3. Intensive Special Community Supervision - Phase II

Having been sentenced by the Court... "to a period of Probation"... an individual's case is reviewed and where meeting criteria of this project, is assigned to a Probation Officer. The basic criteria to be considered is: a) the recidivist history of the individual and b) the specific past participation in the New York State Drinking Driver Program (previous five (5) years).

*Local Justice Courts (East End Townships), local District Court, County (Superior) Court or Supreme Court.

Upon assignment to a project staff Probation Officer, initial contact is made either by an office interview or a personal visit to the probationer's home by the Probation Officer. At that time, the "Conditions of Probation" supervision are reviewed as are "special alcohol conditions" and the status of the probationer's driver's license with the Department of Motor Vehicles. A specific plan of frequency of contact may be contracted at this time. The individual and any family members or significant others are advised of the group counseling/treatment aspect (Phase III) of the project and directed to contact the Alcohol Treatment Counseling Team to set up an initial interview. (Refer to Figure 2 for an illustration of case processing.)

Throughout the course of a probationer's supervision sentence, he is expected to maintain regular contact with the assigned Probation Officer, reporting any changes in living status, employment status, driving status or contact with agencies within the criminal justice or mental health systems. He is further invited to call upon his/her Probation Officer as a resource person concerning any personal developments which may occur. All cases receive intensive supervision services which requires at least four personal contacts monthly.

The Probation Officer has the duty to regularly contact the individual and others (family and significant others) concerned with his successful reintegration into his/her community and successful completion of his court sentence. Additionally, it is the duty of the Probation staff to report to the court violation of any conditions of probation, particularly those which endanger either the probationer, members of his community, or result in a subsequent new conviction before the court.

In an effort to monitor the probationer's drinking posture, staff has been assigned portable breath analysis equipment* (Alco-Sensor) which reveal the presence of alcohol in the system. In cases where a positive finding is made, the probationer is required to submit to a urinalysis to substantiate this fact.

Whenever a probationer's status (remaining in the community) is in jeopardy, the Probation Officer is encouraged to refer to the services available through the program; i.e. individual session with alcoholism counselor, meeting with a team of staff members; or through community resources, i.e. Alcoholics Anonymous (AA), local detoxification station or residential detoxification and treatment facilities. As of 7/1/80, one-hundred and nine (109) individuals were sentenced to Probation and also met the project criteria of "recidivist" DWI's who were not eligible for the State's 'Drunk Driver Program' (DDP). These individuals comprise two separate project supervision groups: Cohort #1 sentenced during the first six months of project operation; and Cohort #2 sentenced during the second six months. The third supervision cohort is not analyzed in this report because of the short follow-up period.

*Provided in cooperation with the N.Y.S. Division of Criminal Justice Services (DCJS).

4. Intensive Joint Counseling Treatment (Group) - Phase III

Having entered the initial stages of Probation supervision, the probationer, at the direction of the Probation Officer, initiates contact with the treatment agency staff located at North Suffolk Mental Health Clinic in Smithtown, N. Y. The probationer client is assigned an alcoholism counselor who is one of the facilitators of the group counseling activity. Prior to initiating the group work process, two (2) pre-screening interviews are required. An additional diagnostic interview with the staff psychiatrist may be made available. As a result of these interviews, at least one individual was seen as not suitable for group process due to physical and emotional dependencies and has been seen on an individual basis.

Upon completion of the pre-screening process which includes a psycho/social interview and establishment of initial areas of needs or weakness, a treatment contract is entered into between the client, counselor, and if possible, Probation Officer who will be the co-facilitator.

The client subsequently enters the group counseling/treatment model which has been designed and revised. He/she attends this program on a weekly basis and is involved in a group consisting of approximately 10-12 clients with an alcoholism counselor and Probation Officer as facilitators. The Probation Officer has been, usually, not the one assigned to the client but another staff member. Each session is for one and one-half hours and lasts for an eighteen (18) week period. Attendance at these meetings and the four individual sessions (for revision of the treatment contract) is required, and must be alcohol free. It is policy that the ALCO-SENSOR II be administered at the beginning of each group session, or prior to each interview.

The initial design of this portion of the program was to reflect 6-8 individuals being served in a group which was to have a life of twelve (12) weeks. At the completion of the first group, the professional staff expressed unanimous concern for "process" which was left incomplete. As the second group progressed, there was a similar concern of staff; and on this occasion, the group members also requested a continuation of the group. Staff had noted that "movement" in the group had not occurred until between the sixth or eighth session leaving less than half the sessions for active participation. Clients expressed an openness about their own personal growth and a desire for continuance. These feelings are supported in a study by Milton Argeriou and Velardy Manohar of 277 drinking drivers in a Boston, Ma. ASAP Project, 1972-74.¹ Additional modifications regarding the length of group sessions may be necessary in the future.

Argeriou, M., Manohar, V.; Treating the Problem Drinking Driver: Some Notes on the Time Required to Achieve Impact, British Journal of Addiction (1977), pp. 331-338.

TABLE 1 : CLIENT ATTITUDE TOWARD FORMAL ALCOHOL TREATMENT
AT THE TIME OF PRE-SENTENCE INVESTIGATION

	FREQUENCY OF RESPONSE	
	#	%
A) Totally Negative (Resistant)	11	10.1%
B) Negative - But Would Cooperate Minimally	41	37.6%
C) Positive - Agrees to Cooperate	55	50.5%
D) Unknown	2	1.8%
TOTAL	109	100.0%

ATTITUDE
TOWARDS
SERVICES

TABLE 2 : ATTENDANCE RATES FOR JOINT GROUP COUNSELING
SESSIONS FOR PROJECT PROBATIONERS

GROUP	NO. OF CLIENTS	NO. OF SESSIONS	TOTAL COUNSELING UNITS	TOTAL ABSENTEE UNITS	ATTENDANCE RATE
I	12	18	216	3	98.6%
II	9	18	135	4	96.3%
III	10	18	180	12	93.7%
IV	8	19	152	6	96.1%
V	8	12	96	17	82.3%
VI	10	18	190	13	93.2%
VII	10	18	180	10	94.5%
VIII	7	14	98	11	88.8%
XI	13	18	234	19	91.8%
TOTAL	87	153	1,498	96	93.6%

*If an individual was terminated from group during the process, the remainder of the sessions were calculated as absences.

As of 12/31/80, eighty-seven (87) clients received group counseling treatment services from the alcohol counseling component of the project currently administered by the North Suffolk Mental Health Clinic. These groups are co-conducted by the alcohol counselors and the Probation Officers and an Alco-Sensor reading is required for each client prior to commencement of the group. Group counseling was not appropriate for several clients, but individual counseling was provided on an immediately accessible basis.

One very important feature of the alcohol counseling component is that it is immediately available for all project probationers. Counseling services have been designed for the mandated client and the Probation Officer and alcohol counseling work as a team to insure attendance and increase the probability of positive adjustment and growth. As illustrated in Table 1, 47.7% of the client population was either totally resistant to treatment, negative or unmotivated. In spite of this fact, Table 2 illustrates that the total attendance rate for the nine groups conducted thusfar was 93.6%. That total attendance rate is conservative since if an individual was serving a split jail sentence, absconded, was terminated from the group, or sent home because of a positive Alco-Sensor reading, he or she was counted as absent.

Another extremely important component of this program is the group process for 'significant others'. These services are conducted with spouses, partners or friends of the client at the same time as the probationer group. The process is parallel so that the family systems impact is greatly increased. (A more detailed description and analysis of the impact of the treatment process will be presented in the next report.)

5. Development of Inter-Agency Cooperation & Procedures - Phase IV

Each individual who enters the criminal justice system as a result of an arrest experiences contact with a minimum of three (3) agencies or services (Police agency, Court services, District Attorney's Office). The drunk driver experiences contact with these services and additionally with the Sheriff's department and Department of Motor Vehicles. The recidivist is likely to experience further contact with local drinking driver programs, probation services and local treatment facilities of both out-patient and residential types. Because these services have their own regulations, the defendant/client/probationer is not usually "tracked" in a conscious comprehensive manner which is operational and understood by all. There is, in fact, no continuum of services.

This project has established as a program goal the establishment of fact that a treatment service (i.e. alcoholism agency) and criminal justice service (probation agency) can share in the servicing of client/probationers and that tangential contact should and can be established with other service agencies such as: N.Y.S. Department of Motor Vehicles, local Drinking Driver Programs, Division of Criminal Justice Services, Local Traffic Safety Boards, community treatment agencies and extended research and training services of these agencies.

a) In-Service Meetings and Training:

During the initial months (through 12/31/79), a format of sharing, program development, clinical issues, and training was developed and undertaken weekly at In-Service meetings. These meetings are now conducted one morning bi-weekly and include all staff members of both the Suffolk County Probation Department and the North Suffolk Mental Health Clinic components. Meetings are held at alternate sites, North Suffolk Clinic.

These meetings have also provided opportunity for joint training workshops on communication, patient resources, family roles, denial, confrontation techniques and need for Alcohol free treatment and are uniformly recognized by project staff as essential to the success of the project. Shared training experience has allowed for an integrated approach by all staff in dealing with the mandated client and family members.

This project was originally developed with Straub Hall on the grounds of Pilgrim State Hospital, but North Suffolk Mental Health Clinic has recently assumed administration of the alcohol treatment component. The alcohol counselor staff has remained stable throughout the life of the project.

Staff has been also afforded the following training experience as a result of the efforts of the Director of Straub Hall's program. Through Pilgrim State Hospital's Office of Training and Staff Development, three (3) members of Straub Hall staff and three (3) members of the Probation staff attended a ten (10) week, thirty-hour Family Counselling Experiential course, certified by the N.Y.S. Civil Service Department. This program included various types of role playing, experiential models and video taping. Joint staff representatives have also attended other training conferences sponsored by the N.Y.C. Affiliate of the National Council on Alcoholism, N.Y.S. Division of Alcoholism.

b) Other Agency Interaction:

The New York State Division of Criminal Justice Services (DCJS) has provided four (4) ALCO-SENSOR II instruments which provide an immediate assessment (digital reading) of alcohol presence in a client. The Division has been most cooperative in provision of these units and the training necessary for authentic operation and re-calibration. At the time of assignment, it was believed that the Suffolk County Probation Department was the first Probation agency to have use of such sophisticated instrumentation.

The Probation Supervisor has been assigned to represent the Director of Probation (Suffolk County) on the local Traffic Safety Board. This is significant in that it provides an avenue of communication with other representatives who include the Clerk of the Court, District Attorney's Office, local Police agencies and Department of Health Services along with concerned community representatives. It is hoped that this membership will result in growth of inter-agency awareness and designation of priority areas needing services.

Contact has been established with the N.Y.S. Department of Motor Vehicles - Driver Improvement Bureau, whereby Probation receives a notice of eligibility status for the N.Y.S. Drinking Driver Program prior to sentencing on the new charge. Further, at such time as an individual assigned to Phase II makes application for return or reissue of a driver's license, DMV is notified of the individual's community activity as to involvement in treatment and abstinence or use of intoxicants.

Due to space requirements, the Suffolk County Department of Health Services has made space available in one clinic, and it is hoped that other space may become available in the near future. By establishing locations for group meetings throughout the county, we have been able to make the treatment more easily identifiable within the client's community.

An East End location has been established for the purpose of group sessions. Community resources are used whenever possible especially for locating sites for conducting group sessions.

6. Evaluation Process and Methods - Phase V

Program evaluation is a continuous part of this project and is especially important because of the severity of the project population. One of the factors that has strongly contributed to the dynamic nature of program design is the willingness of administrators, supervisors and line staff to constantly assess impact and redesign procedures whenever necessary. As a result, the program operations are not static but change as needs are identified. Reasons for change have been empirically based, using standard methods and criteria. This dynamic approach with the ongoing communications process has added a new dimension to this project's operations.

Refer to Section VI for a complete description of research methods, procedures and outcome measures.

IV. PROFILE OF THE PROJECT'S CRIMINAL COURT PRESENTENCE INVESTIGATION POPULATION

This section presents the profile of those individuals convicted of a 'Driving While Intoxicated' offense and referred to Probation for investigation and report between July 1, 1979 and June 30, 1980. Administration of the Mortimer-Filkins at the time of pre-sentence investigation was instituted for this project as an aid in determining the nature and severity of the offender's drinking problem. A stated objective of this procedure is to increase the quality of probation investigation and also to have the offender begin to understand the nature of his dysfunction. Thus, the presentence investigation would be improved and the treatment process begun at an early stage.

1. Age and Sex

As illustrated in Table 3, 252 of 96.9% of those individuals referred to the project for probation investigation were male. There were only 8 females referred to the project. Out of a total of 260 individuals, 176 or 67.5% were less than 40 years old and 40 or 15.4% were 21 or younger. Twenty-eight to 33 year olds constituted 24.7% of the total and were the largest group. Thus, the DWI presentence investigation population is comprised of 32.5% - 40 years old or older and 30.4% - 27 years old or younger.

2. Geographic Distribution

Table 4 illustrates the distribution of the investigation population by township. Brookhaven, with 72 or 27.4% is the largest; Islip is second with 47 or 18.1% of the cases. The East End townships (Southampton, Southold and Riverhead) comprise 14.7% of the total with 38 individuals residing in that area; Babylon is next with 35 or 13.5%. The remaining 68 cases were residents of Huntington (8.5%), Smithtown (7.7%) or out-of-county areas - Nassau County (6.6%) and N.Y.S. or out-of-state (3.5%).

TABLE 3 : AGE AND SEX OF PROJECT POPULATION REFERRED TO PROBATION FOR INVESTIGATION BETWEEN JULY 1, 1979 AND JUNE 30, 1980

	MALE	FEMALE	TOTAL	
			#	%
16 - 21	38	2	40	15.4%
22 - 27	40	0	40	15.0%
28 - 33	63	1	64	24.7%
34 - 39	31	1	32	12.4%
<u>Age Interval</u> (on date of offense)				
40 - 45	29	2	31	12.0%
46 - 51	17	1	18	7.0%
52 - 57	20	1	21	8.1%
58 - 63	8	0	8	3.1%
63 +	<u>6</u>	<u>0</u>	<u>6</u>	<u>2.3%</u>
TOTAL	252	8	260	100.0%

TABLE 4 : GEOGRAPHIC DISTRIBUTION OF INDIVIDUALS REFERRED TO PROJECT FOR PROBATION INVESTIGATION

	FREQUENCY	
	#	%
1. Babylon	35	13.5%
2. Huntington	22	8.5%
3. Islip	47	18.1%
4. Brookhaven	72	27.4%
5. East End	38	14.7%
6. Nassau County	17	6.6%
7. N.Y.S./Out of State	9	3.5%
8. Smithtown	<u>20</u>	<u>7.7%</u>
TOTAL	260	100.0%

3. Court Disposition by Blood Alcohol Concentration

Table 5 crosstabulates BAC levels with court dispositions. Of those who scored in the lowest BAC range for DWI (.10-.14), 2 out of 14 or 13.3% received jail, 80% received probation and 6.7% received a split sentence. In comparison, 6 out of 20 or 30% of those in the highest BAC range received jail, 45% received probation and 25% were given a split sentence. Neither group had a case receiving some 'other' sentence.

There are many other factors considered when a presentence investigation is conducted and a recommendation is made to the Court, (e.g. prior record, severity of offense, etc.). The Blood Alcohol Concentration, however, is an important indicator of the level of alcohol dysfunction.

4. Criminal Court Dispositions of DWI Investigation Cases

Figure 3 depicts the court dispositions of the DWI investigation cases in Suffolk County from 7/1/79 to 6/30/80. Of the 241 cases where this information was available, 156 or 64.7% received a probation sentence, 39 or 16.2% received a jail sentence and 28 or 11.6% were given a split sentence of probation and jail. Eighteen (18) or 7.5% received a disposition other than those mentioned above.

5. Accident Involvement by Blood Alcohol Concentration

Table 6 crosstabulates BAC level by accident involvement for the total investigation population. As shown by the table, 34.2% of those cases involved a motor vehicle accident at the time of the current DWI offense. While only 18.7% of those who scored a .10 to .14 BAC were involved in an accident. The percentage of accidents rose to 32.6% for those scoring .15 to .24; 45% for those scoring between .25 and .29 and 100% (3 out of 3) for those in the highest BAC range, .30 and over.

TABLE 5: COURT DISPOSITIONS OF D.W.I. INVESTIGATION CASES BY BLOOD ALCOHOL CONCENTRATION

COURT DIS- POSITION	BLOOD ALCOHOL CONCENTRATION					REFUSED OR N/A	TOTAL	
	.00-.09	.10-.14	.15-.19	.20-.24	.25+		#	%
Jail	0	2	10	8	6	13	39	16.2%
Probation/ Jail	0	1	3	6	5	13	28	11.6%
Probation	1	12	27	30	9	77	156	64.7%
Other	1	0	3	5	0	9	18	7.5%
TOTAL	2	15	43	49	20	112	241	
	.8%	6.2%	17.9%	20.3%	8.3%	46.5%		100.0%

*For 19 cases, Criminal Court dispositions were not available at the time of this report.

FIGURE 3: CRIMINAL COURT DISPOSITIONS OF D.W.I. INVESTIGATION CASES BETWEEN 7/1/79 and 6/30/80

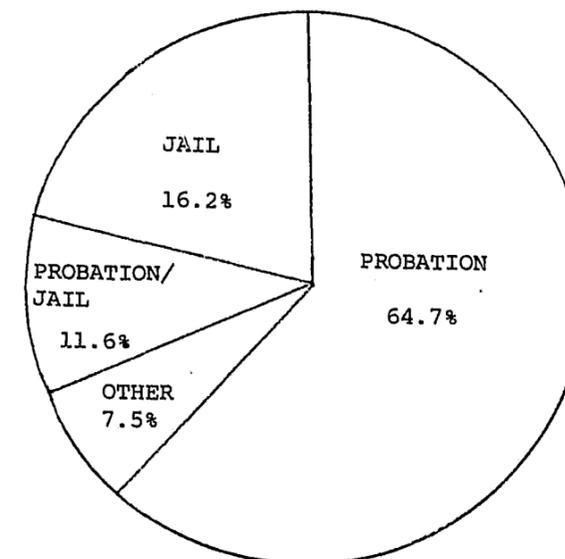


TABLE 6: ACCIDENT INVOLVEMENT FOR D.W.I. PROBATION INVESTIGATION CASES BY BLOOD ALCOHOL CONCENTRATION

	ACCIDENT INVOLVEMENT			
	YES	NO	#	%
.00 - .09	0	2	2	.7%
.10 - .14	3	13	16	6.2%
.15 - .19	15	31	46	17.9%
<u>Blood</u> <u>Alcohol</u> <u>Concentration</u> .20 - .24	16	33	49	19.1%
.25 - .29	9	11	20	12.6%
.30 +	3	0	3	1.2%
Refused of N/A	<u>42</u>	<u>79</u>	<u>121</u>	<u>47.1%</u>
TOTAL	88 34.2%	169 65.8%	257	100.0%

*3 Cases - information currently unavailable

TABLE 7: ACCIDENT INVOLVEMENT BY NUMBER OF PRIOR D.W.I. CHARGES FOR INVESTIGATION CASES

	ACCIDENT INVOLVEMENT*				TOTAL # OF PRIOR D.W.I.'s
	YES	NO	TOTAL #	%	
0	13	17	30	11.8%	0
1	19	31	50	19.7%	50
2	28	59	87	34.3%	174
3	14	24	38	15.0%	114
4	11	17	28	11.0%	112
5	2	8	10	3.9%	50
6	<u>1</u>	<u>10</u>	<u>11</u>	<u>4.3%</u>	<u>66</u>
TOTAL #	88	166	254		566
%	34.6%	65.4%		100.0%	

*Information currently unavailable for 6 individuals.

**The 254 individuals arrested for D.W.I. charges and referred to the project for investigation were responsible for a total of 820 DWI/DWAI charges in their criminal histories. This total represents 566 prior and 254 current DWI/DWAI offenses.

6. Accident Involvement by Prior DWI Charges

Table 7 crosstabulates prior DWI charges with accident involvement at the time of current offense. Those with no prior DWI charges had the highest incidence of accidents, 13 out of 30 or 43.3%, but most of the groups had similar rates; 38% for the 1 prior group; 32.2% for the 2 priors group; 36.8% for the 3 priors group; 39.3% for the 4 priors group. Those with the most prior DWI charges had the least accidents; 5 priors - 20% and 6 priors - 9.1%.

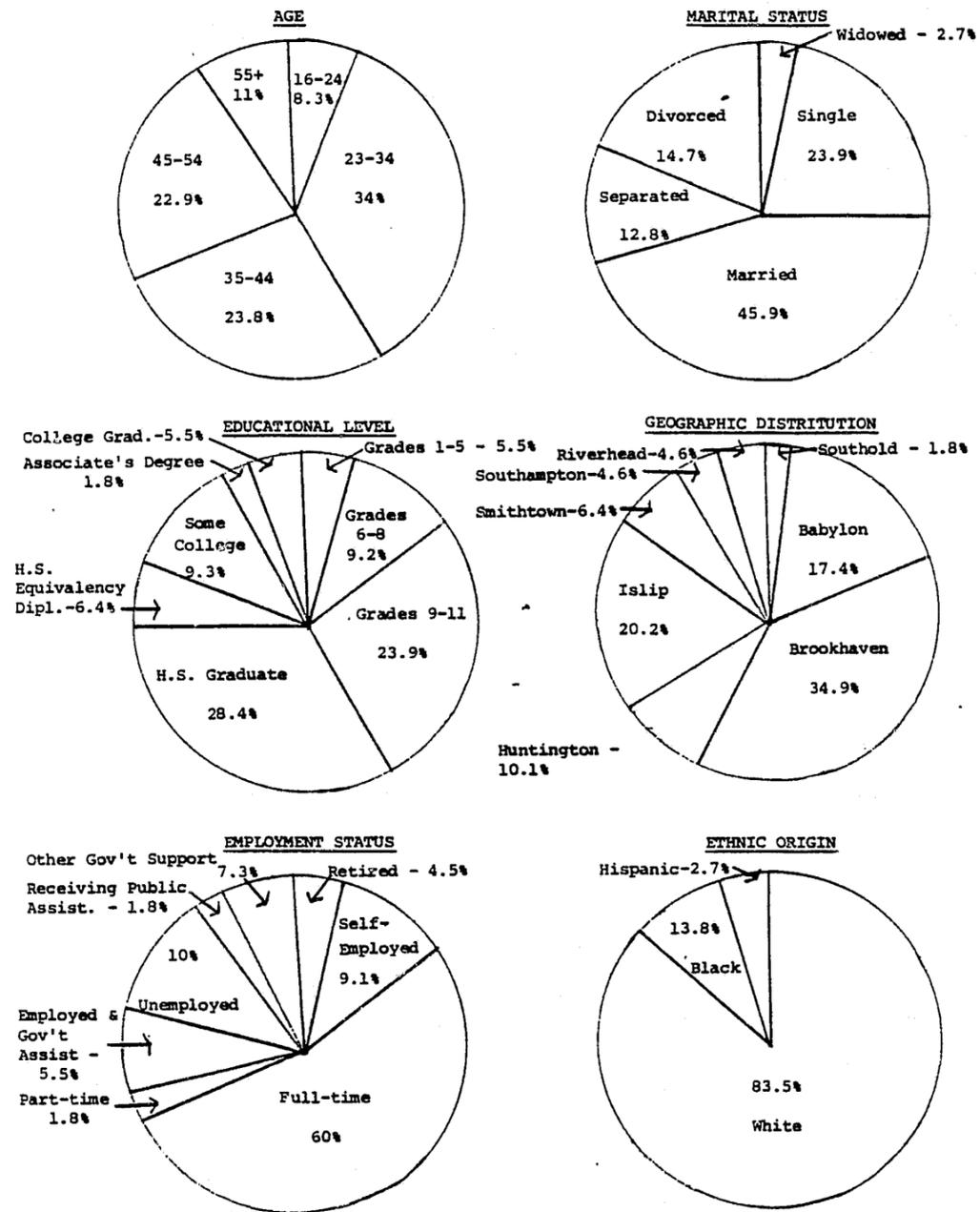
These rates are directly related to the reasons why a case is referred to the Probation Department for an investigation and report.

V. COMPREHENSIVE PROFILE OF THE PROJECT'S INTENSIVE SUPERVISION POPULATION

This section illustrates and describes the profile of those multiple DWI project probationers sentenced to intensive special supervision services between 7/1/79 and 6/30/80. This combined group has been divided into two cohort groups for analysis: Cohort #1 - 64 individuals sentenced to the Project between 7/1/79 and 12/31/79; and Cohort #2 - 45 individuals sentenced between 1/1/80 and 6/30/80. The profile of this combined supervision population of 109 individuals is presented in this section. Cohort #3 sentenced between 7/1/80 and 12/31/80 is not analyzed in this report because of the short follow-up period.

It must be re-emphasized that the individuals sentenced to the project intensive supervision/treatment unit are all multiple DWI offenders who are currently ineligible and excluded from the State's (DDP) Drunk Driver Program. Therefore, the project supervision population's profile will basically be different from the overall DWI investigation population in terms of prior Court involvement, etc.

FIGURE 4: KEY FACTS ABOUT PROBATIONER'S PROFILE



Tables 8 to 22 and Figures 4 and 5 illustrate the following variables for this population: age, sex, marital status, employment status, ethnic origin, educational level, familial criminal involvement, geographic distribution, prior DWI/DWAI criminal record, blood alcohol level for current offense, prior non-DWI/DWAI offenses, prior motor vehicle charges and total prior record.

1. Age and Sex - As illustrated in Table 8, 103 of the 109 probationers in the project were male. The majority of probationers, 100 or 91.7% were 25 years old or over at the time of the current DWI offense. There were 51 individuals 40 years old or over which represents 46.7% of the total client community supervision population.

TABLE 8: AGE AND SEX OF PROBATIONER PROJECT POPULATION

AGE	SEX		TOTAL #	TOTAL %
	MALE	FEMALE		
16 - 19 yrs.	1	0	1	1.0%
20 - 24	7	1	8	7.3%
25 - 29	14	1	15	13.8%
30 - 34	21	1	22	20.2%
35 - 39	12	0	12	11.0%
40 - 44	14	0	14	12.8%
45 - 49	12	1	13	11.9%
50 - 54	10	2	12	11.0%
55 and above	12	0	12	11.0%
TOTAL #	103	6	109	
%	94.5%	5.5%		100.0%

TABLE 9: MARITAL STATUS OF PROBATIONER PROJECT POPULATION

<u>CATEGORY</u>	<u>NUMBER</u>	<u>PERCENT</u>
Single	26	23.9%
Married	50	45.9%
Separated	14	12.8%
Divorced	16	14.7%
Widowed	3	2.7%
TOTAL	109	100.0%

TABLE 10: EMPLOYMENT STATUS AT TIME OF INVESTIGATION OF PROJECT PROBATIONERS RECEIVING INTENSIVE SUPERVISION SERVICES

	<u>PROBATIONERS</u>	
	<u>NUMBER</u>	<u>PERCENT</u>
Self-employed	10	
Full-time	65	
Part-time	2	
Employed & Gov't Assist.	6	
Unemployed	11	
Receiving Public Assist.	2	
Other Gov't Support	8	
Retired	5	
TOTAL	109	

2. Marital Status - As indicated in Table 9, at the time of investigation, 50 of the 109 probationers or 45.9% were married. Twenty-six (26) or 23.9% were single and 3 or 2.7% were widowed. The remainder were divorced - 14.7% or separated - 12.8%.
3. Employment Status - Table 10 illustrates the employment status of the project clients at the time of investigation. In spite of the fact that each probationer is a multiple recidivist, quite often with several identified dysfunctions, most of them were gainfully employed. As indicated in the table, 65 or 60% were employed full-time; 10 or 9.1% were self-employed; 2 were employed part-time; 5 were retired and 6 were employed and receiving government assistance. Eleven (11) individuals or 10% were unemployed; 2 or 1.8% were receiving public assistance and 8 or 7.3% received some other government support. Thus, the table shows that 80.9% of the project population held some form of employment or were retired.
4. Ethnic Origin - As illustrated in Table 11, the vast majority of the project population, 91 or 83.5% was white; fifteen (15) or 13.8% were black and 3 or a.7% were Hispanic.
5. Educational Level - Table 12 illustrates the educational level of the probationer project population at the time of the presentence investigation. As indicated, 42 or 38.6% did not complete high school; 16 or 14.7% had an eighth grade education or less. Thirty-one (31) or 28.4% were high school graduates with an additional 7 or 6.4% holding a high school equivalency diploma. Twenty-nine (29) or 16.6% received some college education while 6 of those or 5.5% of the total project population were college graduates (4 yr. degree).

TABLE 11: ETHNIC ORIGIN OF THE PROBATIONER PROJECT POPULATION

<u>RACE</u>	<u>NUMBER</u>	<u>PERCENT</u>
White	91	83.5%
Black	15	13.8%
Hispanic	3	2.7%
TOTAL	109	100.0%

TABLE 12: EDUCATIONAL LEVEL AT TIME OF INVESTIGATION OF PROBATIONER PROJECT POPULATION*

<u>Educational Level</u>	<u>INDIVIDUAL PROBATIONERS</u>	
	<u>NUMBER</u>	<u>PERCENT</u>
Grades 1 - 5	6	5.5%
Grades 6 - 8	10	9.2%
Grades 9 - 11	26	23.9%
High School Grad.	31	28.4%
H. S. Equiv. Dipl.	7	6.4%
Some College	21	9.3%
Associate's Degree	2	1.8%
College Graduate	6	5.5%
TOTAL	109	100.0%

TABLE 13: FREQUENCY FOR PROJECT PROBATIONERS OF 'OTHER FAMILY MEMBERS KNOWN TO POLICE'*

	<u>NUMBER</u>	<u>PERCENT</u>
Spouse	2	1.7%
Parent	3	2.6%
Sibling	16	13.9%
Offspring	10	8.7%
None	84	73.1%
TOTAL	115	100.0%

*Total is higher because of multiple criminal involvement of family members.

6. 'Other Family Members Known to Police' - As indicated in Table 13, 26.9% of the project population had one or more family members known to the police because of criminal charges. Sixteen (16) probationers or 13.9% had a sibling involved with police; 10 or 8.7% had an offspring; 3 or 2.6% had a parent and 2 or 1.7% had a spouse. In 84 or 73.1% of the cases, no other family member was known to the police.
7. Geographic Distribution - Table 14 illustrates that the largest number of project probationers reside in Brookhaven Township - 38 individuals or 34.9%. Islip Township is the next largest area with 22 or 20.2% of the probationers followed by Babylon Township with 19 or 17.4%. Huntington residents represent 10.1% (11) of the population; the 7 Smithtown residents represent 6.4%; and the remaining 12 or 11% consists of East End residents (Southampton, Riverhead and Southold).
8. Prior Driving While Intoxicated (DWI) and/or Driving With Alcohol Impairment (DWAI) Charges - The prior legal history of the project population relative to DWI/DWAI charges is summarized in Table 15. All probationers had at least one prior DWI/DWAI charge and were excluded from the Drinking Driver Program (DDP) of New York State. Further, 90 out of 109 probationers or 82.6% had 2 or more prior DWI/DWAI charges while 40 or 36.7% had 3 or more prior charges. These charges are exclusive of other prior criminal charges or motor vehicle violations.

Table 15 also reveals that the total number of prior DWI/DWAI charges for the 109 probation clients was 256. When current offenses are included, this population of 109 multiple DWI offenders is responsible for a total of 365 DWI/DWAI offenses for an average of 3.35 charges per probationer.

FIGURE 5: KEY FACTS ABOUT PROBATIONER'S PRIOR COURT RECORD

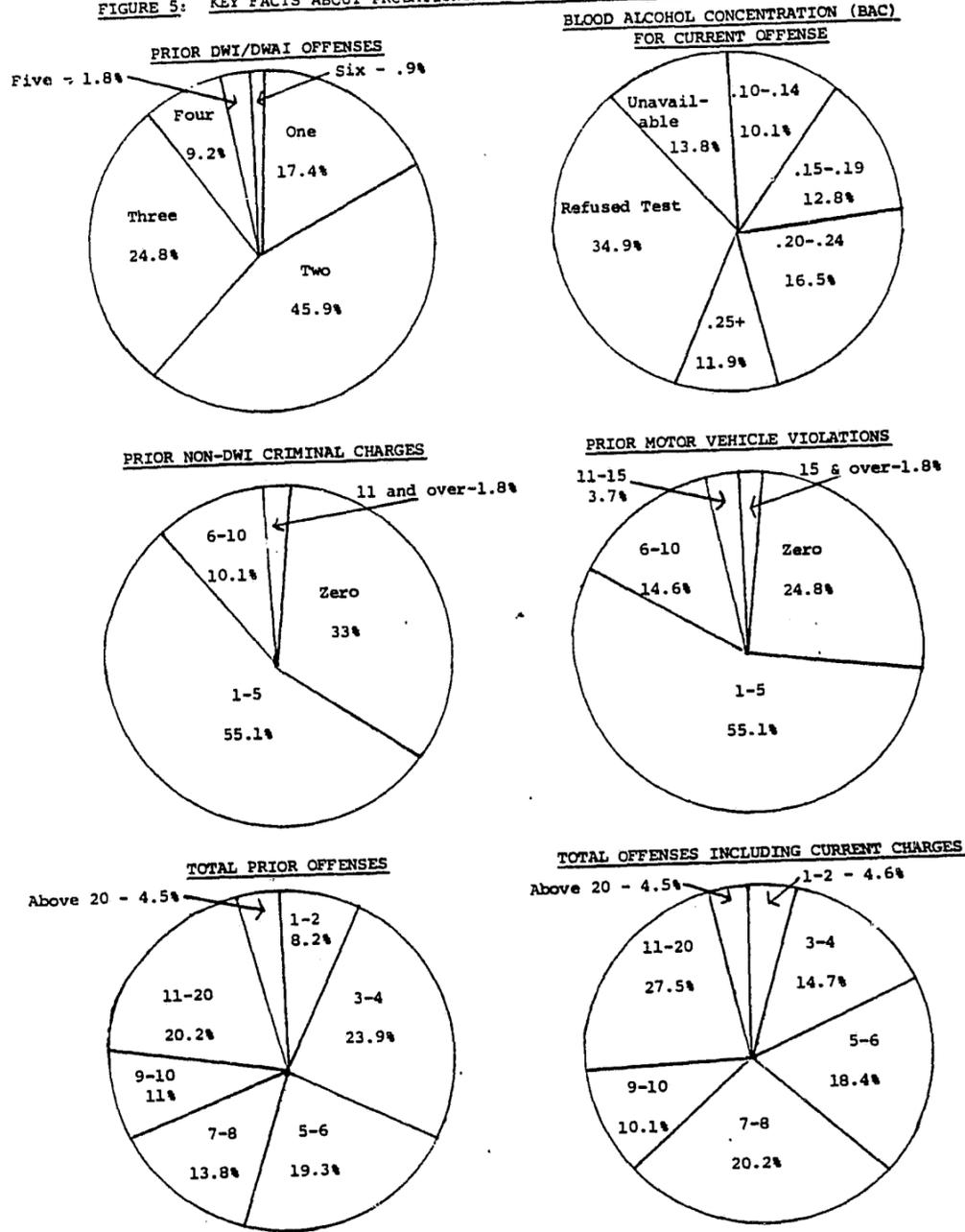


TABLE 14: GEOGRAPHIC DISTRIBUTION OF THE NUMBER AND PERCENT OF INDIVIDUALS ARRESTED FOR DWI AND ACCEPTED FOR INTENSIVE PROBATION SUPERVISION AS OF 6/30/80

TOWNSHIP	#	PROBATIONERS %
Babylon	19	17.4%
Brookhaven	38	34.9%
Huntington	11	10.1%
Islip	22	20.2%
Smithtown	7	6.4%
Southampton	5	4.6%
Riverhead	5	4.6%
Southold	2	1.8%
TOTAL	109	100.0%

TABLE 15: PRIOR DWI/DWAI OFFENSES OF THE PROJECT PROBATIONER POPULATION ACCEPTED INTO THE PROGRAM AS OF 6/30/80

# OF PRIOR DWI/DWAI'S	NUMBER	%	GRAND TOTAL OF DWI/DWAI OFFENSES
0	0	0.0%	0
1	19	17.4%	19
2	50	45.9%	100
3	27	24.8%	81
4	10	9.2%	40
5	2	1.8%	10
6	1	.9%	6
TOTAL	109	100.0%	256

in the related time period. Similar to the prior criminal charges, 60 or 55.1% had 1-5 prior motor vehicle charges. Sixteen (16) or 14.6% had 6-10 charges and 6 or 5.5% had 11 or more prior charges.

12. Total Prior Legal History of Client Population - Tables 18, 19, 20, 21 and 22 illustrate the prior legal history of the 109 probation clients accepted into the intensive services project as of 6/30/80. Table 22 presents the individual unit of analysis as well as summary totals and averages. The Blood Alcohol Level (BAC) for the current offenses was also recorded in this table so that the relationship between refusal as well as specific BAC could be compared to prior record. The mean average of total charges for the project population including the current charge and motor vehicle violations was 9.43 charges. The average number of prior DWI/DWAI charges was 2.35 offenses but increased to 3.35 when the current DWI offense was included. In addition, 284 additional 'other-criminal' charges were reported for this population for a mean of 2.6 other criminal offenses. The mean number of motor vehicle violations was 3.46 representing 377 charges. The total number of prior charges exclusive of the current offense was 917 for an average of 8.41 charges for each of the 109 project clients.

Table 20 indicates the frequency of total charges and motor vehicle violations. Only 5 or 4.6% of the project probationers had only 1 or 2 charges, while 68 or 62.3% had more than 6. Further, 35 or 32% had 11 or more total charges. Table 16 illustrates these totals exclusive of the current DWI offense.

Tables 20, 21 and 22 all document that the amount of police and judicial intervention in the lives of the project population is

TABLE 16: FREQUENCY OF PRIOR CRIMINAL CHARGES EXCLUSIVE OF DWI/DWAI CHARGES AND MOTOR VEHICLE OFFENSES FOR THE PROJECT POPULATION

	INDIVIDUAL PROBATIONERS	
	NUMBER	PERCENT
0*	36	33.0%
1 - 5	60	55.1%
6 - 10	11	10.1%
11 and Over	2	1.8%
TOTAL	109	100.0%

Frequency of Prior Charges

*33.0% of the Project Supervision population had no prior Criminal Charges exclusive of the DWI/DWAI category. This subgroup's criminal status was for alcohol related offenses exclusively and may represent a special subgroup of the project population.

TABLE 17: FREQUENCY OF PRIOR MOTOR VEHICLE CHARGES FOR PROJECT POPULATION AS OF 6/30/80

	INDIVIDUAL PROBATIONERS	
	NUMBER	PERCENT
0	27	24.8%
1 - 5	60	55.1%
6 - 10	16	14.6%
11 - 15	4	3.7%
15 and Over	2	1.8%
TOTAL	109	100.0%

Frequency of Motor Vehicle Violations

9. Blood Alcohol Levels (BAC) for Project Probationers - Of the 109 probationers entered into the supervision phase of this project as of 6/30/80, 38 or 34.9% had refused the breathalyzer for the current offense. The information for 15 cases or 13.8% was not available when this information was tabulated.

Of the remaining 56 cases, 31 or 38.4% had blood alcohol levels of .20 or higher. Thirteen (13) cases or 11.9% had blood alcohol levels of .25 or above.

Table 19 crosstabulates the BAC level with the number of prior DWI/DWAI arrests. Thirty-four (34) out of 38 or 89.5% of the probationers who refused the test had two or more prior DWI/DWAI charges, while 16 out of 38 or 42.1% had been previously charged with 3 or more DWI related offenses. Eleven (11) out of 13 or 84.6% of those individuals with BAC levels of .25 or higher had 2 or more prior DWI/DWAI offenses; while 14 out of 18 or 77.8% of those with BAC readings of .20 or higher had 2 or more prior charges.

10. Prior Criminal Charges Exclusive of DWI/DWAI Charges and Motor Vehicle Offenses - As shown in Table 16, 36 out of 109 or 33% of the probationers had no prior criminal charges. Sixty (60) or 55.1% had 1-5 prior charges; 11 or 10.1% had 6-10 charges and only 2 or 1.8% had 11 or more prior criminal charges. Thus, approximately one-third of the multiple DWI population has a prior record solely involving DWI offenses.

11. Prior Motor Vehicle Charges - Table 17 illustrates the frequency of prior motor vehicle convictions for the project population according to the N.Y.State Motor Vehicle history computer check. Twenty-seven (27) of the 109 or 24.8% had no prior motor vehicle convictions

TABLE 18: BLOOD ALCOHOL LEVEL (BAC) FOR CURRENT OFFENSE FOR PROJECT PROBATIONERS AS OF 6/30/80

	<u>NUMBER</u>	<u>INDIVIDUALS</u>	<u>PERCENT</u>
	.10 to .14	11	10.1%
	.15 to .19	14	12.8%
<u>BAC</u>	.20 to .24	18	16.5%
<u>Level</u>	.25 and above	13	11.9%
	Refused Test	38	34.9%
	Unavailable	<u>15</u>	<u>13.8%</u>
	TOTAL	109	100.0%

TABLE 19: BLOOD ALCOHOL LEVELS BY PRIOR DWI/DWAI OFFENSES FOR 109 PROJECT PROBATIONERS AS OF 6/30/80

	<u>NUMBER OF DWI OR DWAI PRIOR OFFENSES</u>						<u>#</u>	<u>TOTAL</u>	<u>%</u>
	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5+</u>				
	.10 to .14	2	6	2	1		11	10.1%	
	.15 to .19	2	8	2	1	1	14	12.8%	
<u>BAC</u>	.20 to .24	4	8	4	2		18	16.5%	
<u>Level</u>	.25 and above	2	5	4	2		13	11.9%	
	Refused Test	4	18	12	2	2	38	34.9%	
	Unavailable	<u>2</u>	<u>7</u>	<u>3</u>	<u>2</u>	<u>1</u>	<u>15</u>	<u>13.8%</u>	
	TOTAL #	16	52	27	10	4	109		
	%	14.7%	47.7%	24.7%	9.2%	3.7%	100.0%	100.0%	

TABLE 20: SUMMARY TABLE OF TOTAL CHARGES COMMITTED BY PROJECT POPULATION INCLUDING CURRENT CHARGES AND MOTOR VEHICLE VIOLATIONS

	<u>PROBATIONER</u>	
	<u>NUMBER</u>	<u>PERCENT</u>
1 - 2	5	4.6%
3 - 4	16	14.7%
5 - 6	20	18.4%
7 - 8	22	20.2%
9 - 10	11	10.1%
11 - 20	30	27.5%
21 - 30	2	1.8%
31 - 40	1	.9%
41 - 50	0	.0%
Above 50	2	1.8%
TOTAL	109	100.0%

No. of Total Charges Including Current

TABLE 21: SUMMARY TABLE OF PRIOR OFFENSES AND VIOLATIONS FOR EACH PROJECT PROBATIONER AS OF 6/30/80

	<u>INDIVIDUAL PROBATIONER</u>	
	<u>NUMBER</u>	<u>PERCENT</u>
1 - 2	9	8.2%
3 - 4	26	23.9%
5 - 6	21	19.3%
7 - 8	15	13.8%
9 - 10	12	11.0%
11 - 20	22	20.2%
21 - 30	1	.9%
31 - 40	1	.9%
41 - 50	1	.9%
Above 50	1	.9%
TOTAL	109	100.0%

No. of Prior Charges

TABLE 22: NUMBER OF PRIOR DWI/DWAI, OTHER CRIMINAL, MOTOR VEHICLE AND TOTAL CHARGES FOR EACH PROJECT PROBATIONER AS OF 6/30/80

<u>CASE #</u>	<u>TYPE OF CHARGES</u>				<u>TOTAL PRIOR & CURRENT</u>	<u>BAC LEVEL</u>
	<u>DWI/DWAI</u>	<u>CRIMINAL</u>	<u>MOTOR VEHICLE</u>	<u>TOTAL PRIOR</u>		
1	4	2	2	8	9	.25
2	3	2	1	6	7	.25
3	3	1	2	6	7	.25
4	2	4	3	9	10	.14
5	4	2	6	12	13	.23
6	3	5	6	14	15	.28
7	3	1	2	6	7	Refused
8	1	3	3	7	8	Refused
9	3	10	2	15	16	.15
10	2	0	3	5	6	Refused
11	1	0	0	1	2	Refused
12	2	7	3	12	13	Unavail.
13	2	2	12	16	17	.16
14	2	1	1	4	5	Refused
15	2	0	4	6	7	.21
16	1	1	7	9	10	.13
17	4	10	13	27	28	Refused
18	2	0	2	4	5	Refused
19	1	1	1	3	5	.25
20	2	5	6	13	14	.13
21	2	0	9	11	12	Unavail.
22	2	0	4	6	7	Refused

(Continued)

<u>CASE #</u>	<u>DWI/DWAI</u>	<u>CRIMINAL</u>	<u>MOTOR VEHICLE</u>	<u>TOTAL PRIOR</u>	<u>TOTAL PRIOR & CURRENT</u>	<u>BAC LEVEL</u>
23	4	1	3	8	9	.22
24	2	0	1	3	4	.18
25	3	5	5	13	14	Refused
26	2	1	5	8	9	.12
27	2	14	34	50	51	.21
28	2	0	3	5	6	Unavail.
29	2	5	2	9	10	.29
30	4	1	1	6	7	Refused
31	2	0	1	3	4	.20
32	1	0	0	1	2	Refused
33	2	35	14	51	52	Refused
34	2	8	22	32	33	Refused
35	3	1	2	6	7	Refused
36	2	3	5	10	11	Refused
37	2	5	6	13	14	Refused
38	1	2	5	8	9	.20
39	1	0	0	1	2	.16
40	2	0	1	3	4	Refused
41	1	0	6	7	9	.20
42	1	6	9	16	17	Refused
43	2	2	2	6	7	.16
44	1	1	0	2	3	.24
45	3	7	10	20	21	Refused
46	1	0	5	6	7	.27
47	4	3	3	10	11	.16

(Continued)

<u>CASE #</u>	<u>DWI/DWAI</u>	<u>CRIMINAL</u>	<u>MOTOR VEHICLE</u>	<u>TOTAL PRIOR</u>	<u>TOTAL PRIOR & CURRENT</u>	<u>BAC LEVEL</u>
48	2	0	2	4	5	Unavail.
49	3	7	1	11	12	Unavail.
50	2	1	2	5	6	.17
51	3	5	8	16	17	Refused
52	1	3	9	13	14	.15
53	3	0	7	10	11	.12
54	3	0	3	6	7	Refused
55	2	0	4	6	7	Unavail.
56	3	4	3	10	11	.26
57	1	0	4	5	6	Unavail.
58	2	3	11	16	17	.14
59	3	4	3	10	11	Refused
60	2	9	0	11	12	.14
61	2	3	7	12	13	.23
62	2	8	3	13	14	Refused
63	3	3	1	7	8	.27
64	2	2	0	4	5	.26
65	2	2	3	7	8	.20
66	3	0	1	4	5	.21
67	2	2	8	12	13	Refused
68	3	2	1	6	7	.14
69	2	5	4	11	12	Refused
70	6	1	3	10	11	N/A
71	2	3	0	5	6	N/A
72	3	0	0	3	4	Refused
73	4	8	4	16	17	N/A

(Continued)

CASE #	DWI/DWAI	CRIMINAL	MOTOR VEHICLE	TOTAL PRIOR	TOTAL PRIOR & CURRENT	BAC LEVEL
74	1	0	0	1	2	.27
75	2	1	1	4	5	.24
76	2	8	0	10	11	.18
77	5	1	2	8	9	Refused
78	2	0	2	4	5	.28
79	2	0	0	2	3	N/A
80	3	1	0	4	5	N/A
81	5	4	2	11	12	.15
82	1	0	3	4	5	.20
83	2	0	0	2	3	.25
84	2	0	2	4	5	.17
85	2	1	0	3	4	Refused
86	3	0	0	3	4	Refused
87	2	2	4	8	9	.20
88	1	0	2	3	4	.12
89	2	0	2	4	5	.16
90	2	1	0	3	4	Refused
91	4	2	0	6	7	.18
92	2	5	0	7	8	.23
93	3	0	0	3	4	.27
94	1	0	1	2	3	.15
95	2	3	8	13	14	.14
96	2	1	0	3	4	Refused
97	3	1	0	4	5	Refused
98	1	0	5	6	7	NG
99	3	5	1	9	10	Refused

(Continued)

CASE #	DWI/DWAI	CRIMINAL	MOTOR VEHICLE	TOTAL PRIOR	TOTAL PRIOR & CURRENT	BAC LEVEL
100	3	4	0	7	8	Refused
101	3	1	6	10	11	Refused
102	3	2	0	5	6	NG
103	2	1	0	3	4	Refused
104	4	1	1	6	7	N/A
105	3	0	1	4	5	.16
106	2	4	1	7	8	.22
107	2	1	0	3	4	Refused
108	4	2	4	10	11	Refused
109	1	0	0	1	2	.24
GRAND TOTALS	256*	284**	377***	917****	1,028*****	
	27.9%	31.0%	41.1%	100.0%		

*The average (mean) number of prior DWI/DWAI charges was 2.35 offenses for this population.

**The mean of prior other criminal charges was an additional 2.6 offenses.

***The mean of prior vehicular charges was 3.46 violations.

****The mean average of total prior charges was 8.41 felony, misdemeanor or traffic violations for this population.

*****The mean average of total charges for the project population was 9.43 charges, including current charges.

NOTE: Case #'s 19 and 41 were sentenced to the project for two charges each which are described as current.

TABLE 23: MORTIMER FILKINS SCORES AT TIME OF INVESTIGATION FOR TOTAL PROJECT SUPERVISION POPULATION*

	FREQUENCY	
	#	%
1 - 39	3	2.8%
40 - 49	5	4.6%
50 - 69	13	11.9%
70 - 99	33	30.3%
100 +	48	44.0%
N/A	7	6.4%
TOTAL	109	100.0%

MORTIMER
FILKINS
SCORE

considerable. Some probationers had over 50 recorded charges in their experience. Only 19% of the 109 had 4 or fewer combined charges.

However, Table 22 illustrates that even those with few total charges have relatively high blood alcohol levels or have refused the test. Case #11 with 2 total charges - refused; Case #19 with 5 scored a .25 BAC; Case #44 with 3 priors scored a .24 BAC; Case #74 with 2 priors scored a .27 BAC; Case #83 with 3 priors scored a .25; Case #109 with only 2 priors scored a .24 BAC.

13. Mortimer-Filkins Score at Time of Investigation - Table 23 reports the results of the Mortimer-Filkins administered at the time of probation presentence investigation. As illustrated in this table, 101 or 92.6% of the cases scored 50 or above on the Mortimer-Filkins which is nearly certain evidence of a serious problem drinker and chronic or episodic alcoholism. (Refer to Appendix A.)

Only 3 cases or 2.8% of the project multiple recidivist population scored 39 or below which by itself is suggestive that they may not be a problem drinker in the strict sense of the term. Five or 4.6% scored between 40 and 49 which is "highly presumptive evidence of an alcohol problem".

Thus, the vast majority of the project's supervision population has a serious alcohol dysfunction.

TABLE 24: BLOOD ALCOHOL CONCENTRATION BY SUFFOLK PROBATION'S RISK-ASSESSMENT CLASSIFICATION SCORES

	LEVEL OF SUPERVISION			TOTAL
	Predictive Scores			
	INTENSIVE 3-4 to 4-12	ACTIVE 2-3 to 2-5	SPECIAL	
Refused Test	25 (65.8%)	13 (34.2%)		38 (100%)
.25 & Above	11 (78.3%)	3 (21.7%)		14 (100%)
.20 - .24	12 (70.6%)	5 (29.4%)		17 (100%)
.15 - .19	11 (73.3%)	4 (26.7%)		15 (100%)
.10 - .14	7 (70.0%)	3 (30.0%)		10 (100%)
Unavailable	11 (73.3%)	4 (26.7%)		15 (100%)
TOTAL	77 (70.6%)	32 (30.4%)		109 (100%)

14. Predictive Risk-Assessment Scores - Table 24 crosstabulates the BAC level with the Suffolk County Department of Probation's predictive differential classification system scores.^{2,3,4} This classification system is based on the probability of recidivism and those individuals who are considered in the Intensive Supervision category IS (3-4 to 4-12) have the greatest chance of rearrest and reconviction

(approximately 70%). Those who are in the Regular or Active Supervision category have a lower probability of recidivism (approximately 28%) while those in the Special or Minimal Supervision category have approximately a 7% chance of recidivism. (The reader is referred to the statistical validation studies conducted by the Suffolk County Department of Probation cited in the reference section.)

As illustrated in Table 24, 77 out of 109 of the multiple DWI offenders were classified as belonging to the most serious risk category. The remaining 29.4% or 32 cases were in the Regular or Active Supervision category. There were no cases in the Special Supervision category. These findings confirm that the project supervision population represents a serious subgroup of the overall probation supervision population especially in the terms of rearrest and reconviction. Out of the 46 cases that had a BAC of .15 or higher, 34 or 73.9% were in the highest predictive category for recidivism.

Thus, the overall profile of the project supervision population is that of multiple DWI recidivists with serious alcohol problems and serious legal and behavioral problems as well. The probability of recidivism with this group without effective intervention methods is quite high.

VI. RESEARCH METHODS AND EVALUATION PROCESS

This section describes the research methods and evaluation process that is currently being used for this project. There are essentially two different purposes of the existing research and evaluation component:

- 1) ongoing monitoring of program effectiveness in daily operations; and
- 2) measurement of program effectiveness on a longitudinal basis.

As explained in Section III of this report, one of the elements that has strongly contributed to the dynamic nature of the program

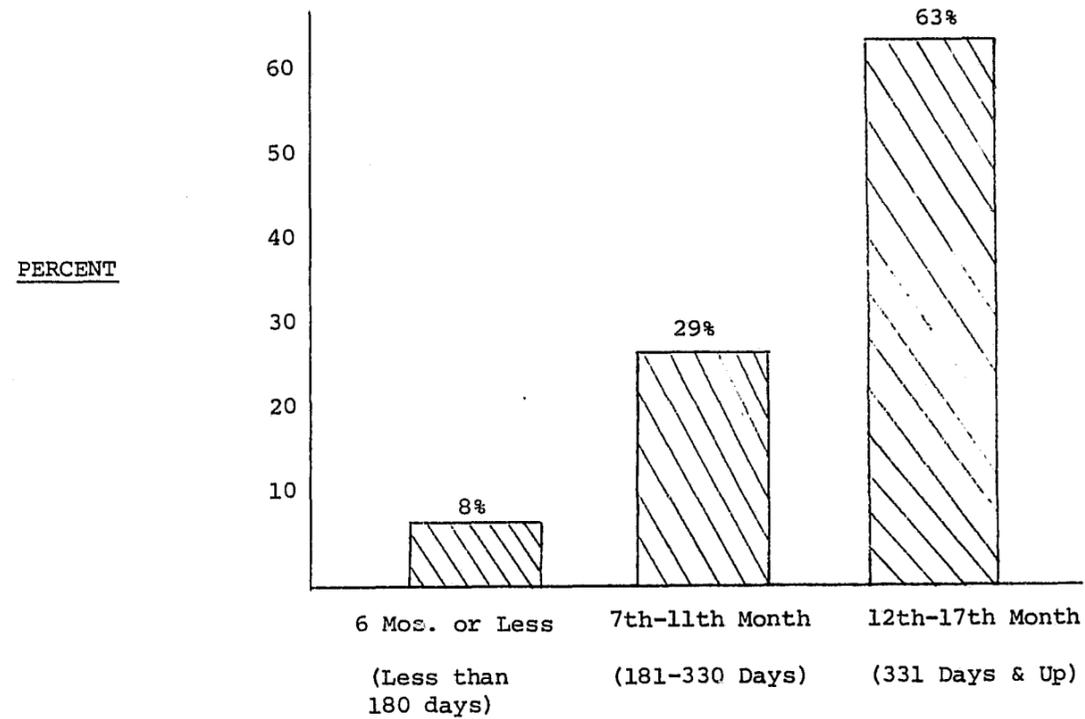
design is the fact that project staff are constantly assessing the effectiveness of their actions for the purpose of improving the results. The project supervisors and staff assert that it is necessary to immediately use those techniques and procedures that prove most effective when dealing with this severe population. As needs are identified, appropriate action must be immediately taken. When one method proves less effective than anticipated in actual field operations, modifications in the case plan and program design must be made as soon as possible. This overall approach has reportedly proven very effective when considering the use of the Alco-Sensor, Mortimer-Filkins, groups with Significant - Others, length of client group sessions, motivational techniques for the resistant client, etc.

The second major purpose of the research and evaluation component is the measurement of program effectiveness on a longitudinal basis. This section presents the formal program evaluation design including the sample, follow-up period, methods, procedures and outcome measures. The major objective of this research and evaluation phase is to determine how effective the project is with different subgroups of the DWI multiple offender population. A critical objective is to define exactly what the essential elements of the project design is so that replication is possible.

1. Sample

The project has been in operation, accepting clients, for eighteen months between July 1, 1979 to December 31, 1980. However, because some reasonable follow-up time is needed for proper analysis, only those individuals referred to the supervision unit between 7/1/79 and 6/30/80 were tracked for evaluation purpose. There are two identified cohorts used for analyzing the time duration of subsequent arrests: Cohort #1, comprised of the first 64 individuals sentenced to this

FIGURE 6: AMOUNT OF FOLLOW-UP TIME ON INTENSIVE SPECIAL PROBATION SUPERVISION AT TIME OF PROGRAM EVALUATION



project between 7/1/79 and 12/31/79; and Cohort #2, comprised of 45 individuals sentenced to probation between 1/1/80 and 6/30/80. Thus, there are 109 individuals selected for follow-up analysis in this report with length of completed supervision terms ranging from five to seventeen months. The third and fourth cohort groups will be the subject of future analysis.

All of these project cases are convicted multiple DWI offenders that are ineligible for the New York State Drunk Driver Program.

2. Follow-up Duration

As illustrated in Figure 6 and Table 25, the average follow-up time in the program on Probation is 11.7 months for the total group. Cohort #1 has been in the program 14 months and represents 58.7% of the total research group. Cohort #2 has been in the program an average

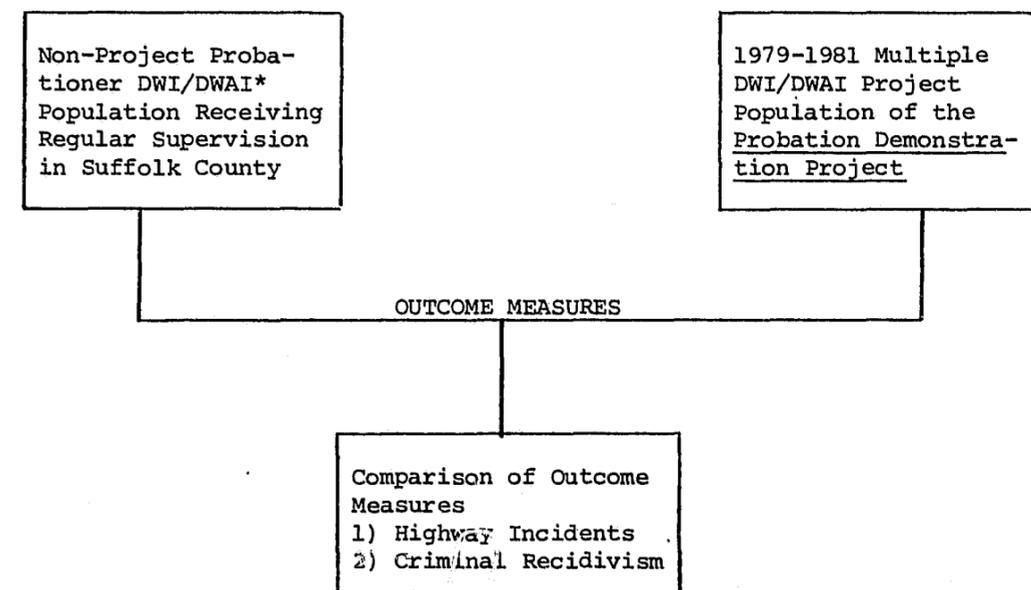
of 8.3 months as of mid-November, 1980. The total project population has been divided into 6-month cohort groups in order to give a more accurate picture of program effectiveness.

3. Methods

The overall evaluation design is thoroughly described in the first evaluation report.⁵

Basically, the major objective of the evaluation is to determine which program is effective for different subgroups of the multiple DWI/DWAI population. Relevant socioeconomic factors, legal status, prior criminal history, major dysfunctions, familial background, educational level, motivational level, risk scores, are collected for each case. The outcome measures that are documented include 1) repeated highway related violations, injuries, arrests, accidents, etc.; 2) Non-DWI criminal recidivism arrests (all types of offenses); and 3) DWI recidivism arrests.

FIGURE 7: COMPARATIVE ANALYSIS OF NON-PROJECT AND PROJECT DWI POPULATION PROJECT POPULATION



*Individual convicted of Multiple Driving-While-Intoxicated/Driving While Impaired offenses who were ineligible for the State DDP program.

As illustrated in Figure 7, the research strategy involves three basic levels of analysis as follows: A) Comparison of the project population with the non-project multiple DWI/DWAI populations of Suffolk County; B) an in-depth longitudinal analysis of the project population for at least a three-year period; and C) a comparison of the project results with Suffolk's standardized predictive risk-assessment projections. Appropriate statistical tests will be used to determine significance of project results.

However, because of the length of the follow-up period, this current analysis only reports the profiles and outcome measures of the first two cohorts. The three levels of analysis described in this section will be conducted on a longitudinal basis and will be contained in subsequent reports.

The methods used to evaluate the effectiveness of the project for the first two cohorts essentially includes gathering valid and reliable client data from the Probation, Police, Motor Vehicle and treatment components. Also, computer checks are made with the Department of Motor Vehicles, the Division of Criminal Justice Services and local authorities for new charges. In addition to gathering relevant information from computer checks and from case records, interviews are conducted with project line and supervisory staff to check the accuracy of the results. The next section describes the outcome measures used in this report.

4. Outcome Measures

The basic outcome measures used to determine the effectiveness of the Probation Alcohol Treatment Demonstration Project are as follows: 1) DWI Criminal Recidivism; 2) Highway Related Recidivism (Accident and Motor Vehicle Violations); and 3) Non-DWI Criminal Recidivism).

There are many definitions of recidivism and considerable variations in the way it is used in evaluating program effectiveness. Three main factors have to be considered in developing recidivism statistics: the nature of events to be counted, categorization of the behaviors and degrees of seriousness to be included and duration of the follow-up period.⁶

The more acceptable definitions of recidivism usually measure reconviction of a designated offense with a follow-up period that includes at least three years of tracking. However, it is often necessary to document more immediate measures of program effectiveness especially when the length of Court delay in securing a disposition is considered. Thus, for this project, current recidivism arrests as well as subsequent conviction will be measured and reported. A three-year longitudinal analysis will be conducted; but in order to assess the project's current progress, the stricter rearrest rate will be analyzed.

1. DWI Criminal Recidivism - For the purpose of this current analysis, any individual rearrested for a DWI/DWAI offense is considered a recidivist. Recidivism conviction will also be analyzed after the follow-up period is long enough to reflect Court dispositions.
2. Highway Related Recidivism (Accident & Motor Vehicle Violations) - For the purpose of this current analysis, all accidents reported through the Motor/Vehicle computer system (chargeable and non-chargeable) are included for analysis. Even minor, non-alcohol related accidents are reported. All motor vehicle violation convictions appearing on the Motor Vehicle computer printout are also reported.

3. Non-DWI Criminal Recidivism - For the purposes of this current analysis, all criminal arrests for offenses that are felony or misdemeanor level crimes according to the New York State Penal Code are included as criminal recidivism. Property related crimes, such as petit larceny, are included although the acts may not have been alcohol-related.

VII. RESULTS

This report divides programmatic results into two major areas: 1) measures of program effectiveness; and 2) an assessment of the value of the specific procedural changes used in this project (e.g. Mortimer-Filkins, Alco-Sensor, etc.). The major emphasis of this current analysis, however, is in the direct measurement of overall program effectiveness, and the reader is referred to Section VI for the definitions of the outcome measures used in this section. A more in-depth analysis of the instrument and procedural innovations used in field operations will be presented in the next study to be completed in June, 1981.

The results of this report are organized in the following way: 1) DWI Recidivism Rate, 2) Non-DWI Criminal Recidivism Rate, 3) Combined Recidivism, 4) Accident Rate, 5) New Motor Vehicle Violations and Convictions, 6) An Analysis of the Recidivist Population, 7) Screening (Mortimer-Filkins and Predictive Score) Outcome Analysis and 8) An Assessment of Procedural/Instrument Effectiveness.

1) DWI Recidivism Arrest Rate

As illustrated in Table 25, there were 109 individuals accepted into this project as of November, 1980. Cohort #1 has 64 individuals, while the second group has 45 individuals. The outcome measure is formal arrest as reported by the New York State Division of Criminal Justice Services, the New York State Division of Probation Rearrest Registrant System and local arrest records. (As previously mentioned, the definition of recidivism using conviction up to a three-year follow-up period is not possible or practical at this time, and the stricter rearrest measure will be used for this study.)

Individuals in the first cohort have been participating in this project an average of 14 months with individual probation terms ranging for 11 and 17 months completed. The DWI rearrest rate for this group is 7.8% with 5 out of 64 probationers rearrested for DWI offenses. The second group has been in the project receiving supervision services for an average of 8.3 months, and the DWI rearrest rate is 2.2%. The combined number of the first two cohorts total 109 probationers, and their collective recidivism rate is 5.5%.

TABLE 25: 'DRIVING WHILE INTOXICATED/IMPAIRED' RECIDIVISM ARREST RATE BY AVERAGE FOLLOW-UP TIME AS OF NOVEMBER, 1980

GROUP #	NO. OF PROJECT PROBATIONERS	AVERAGE FOLLOW-UP TIME	DWI RECIDIVISM ARREST RATE	
			#	%
Cohort #1	64	14 Months*	5	7.8%
Cohort #2	45	8.3 Months**	1	2.2%
Combined Total	109	11.7 Months	6	5.5%

*The range of follow-up time for Cohort #1 is between 11 and 17 months for these 64 individuals resulting in the arithmetic average of 14 months.

**The range of follow-up time for Cohort #2 is between 5 and 11 months for an arithmetic average of 8.3 months.

2) Non-DWI Recidivism Arrest Rate

Table 26 illustrates that the recidivism arrest rate for non-DWI offenses (i.e. petit larceny, possession of marijuana, etc.) is 3.1% or 2 cases for Cohort #1 which has a 14 month average follow-up period. Cohort #2, with an 8.3 month average follow-up period, has a 2.2% or 1 case rearrest rate. The total project population of the 109 offenders sentenced to probation between 7/1/79 and 6/30/80 had a 2.8% non-DWI rearrest rate after an average of 11.7 months in the program. (These

incidents represent arrest and subsequent conviction may not be for a felony or misdemeanor.)

TABLE 26: 'NON-DWI RECIDIVISM ARREST RATE BY AVERAGE FOLLOW-UP TIME AS OF NOVEMBER, 1980

GROUP #	NO. OF PROJECT PROBATIONERS	AVERAGE FOLLOW-UP TIME	DWI RECIDIVISM ARREST RATE	
			#	%
Cohort #1	64	14 Months	2	3.1%
Cohort #2	45	8.3 Months	1	2.2%
Combined Total	109	11.7 Months	3	2.8%

3) Combined Total Recidivism Arrest Rate

Table 27 illustrates that the total rearrest rate for the 109 multiple DWI population was 8.3% or 9 individuals after an average follow-up time of 11.7 months. The rearrest rate for Cohort #1 with a follow-up time of 14 months average is 10.9% or 7 individuals. Probationers in this group have been in the project for periods of time ranging from 11 to 17 months.

Cohort #2 had a 4.4% total recidivism rearrest rate after an average time of 8.3 months, and only one of the two rearrests was for a DWI offense.

It should also be noted that this project did not exclude individuals with special or multiple problems. All of those referred to the program who met the legal criteria were accepted for supervision, although some individuals had exceptional dysfunctions (i.e. severe emotional disturbance, limited intellectual capability, etc.). Also, only 3 out of 109 probationers were discontinued from this project: 1 for absconding or fleeing the jurisdiction and 2 for Violations of

Probation resulting in incarceration. All 3, however, are included in the longitudinal analysis of recidivism rearrest and reconviction.

TABLE 27: TOTAL PROJECT RECIDIVISM ARREST RATE BY AVERAGE FOLLOW-UP TIME AS OF NOVEMBER, 1980

GROUP #	NO. OF PROJECT PROBATIONERS	AVERAGE FOLLOW-UP TIME	RECIDIVISM ARREST RATE	
			#	%
Cohort #1	64	14 Months	7	10.9%
Cohort #2	45	8.3 Months	2	4.4%
Combined Total	109	11.7 Months	9	8.3%

4) Accident Rate

Table 28 indicates that the accident rate for the total group was 2.8% after an average time of 11.7 months. Cohort #1 with a follow-up time of 14 months had a 3.1% rate or 2 accidents. One of these accidents was alcohol-related, and the individual was arrested for DWI at the time of the accident. Thus, the same individual is responsible for a DWI recidivism arrest and the alcohol-related accident.

Cohort #2 was responsible for 1 reported accident or a 2.2% accident rate during the 8.3 average follow-up time.

TABLE 28: ACCIDENT RATE OF PROJECT POPULATION BY COHORT GROUP AND FOLLOW-UP DURATION AS OF NOVEMBER, 1980

GROUP #	NO. OF PROJECT PROBATIONERS	AVERAGE FOLLOW-UP TIME	ACCIDENTS	
			#	%
Cohort #1	64	14 Months	2*	3.1%
Cohort #2	45	8.3 Months	1	2.2%
Combined Total	109	11.7 Months	3	2.8%

*One probationer, Project #25, was also arrested for Driving While Intoxicated and is also counted as a DWI recidivist in Table #26.

5) New Motor Vehicle Violations and Convictions

Table 29 reports the number of known convictions for traffic violation as reported on New York State Motor Vehicle computer records. This table does not report the DWI arrests since they were presented in Table 25. As illustrated in Table 29, there were four (4) convictions for motor vehicle violations by this group as of November, 1980. Cohort #1 was responsible for all of these convictions. The specific offenses were for speeding, tailgating, disobeying a traffic device and operating a motor vehicle with a license that was revoked or suspended. In addition to the above convictions for other cases, #'s 33, 13, 6, 105 had their licenses suspended for failing to answer a summons. (There is a high probability that these incidents will result in motor vehicle convictions as well.)

TABLE 29: NEW MOTOR VEHICLE VIOLATIONS AND CONVICTIONS FOR PROJECT POPULATION BY AVERAGE FOLLOW-UP TIME AS OF NOVEMBER, 1980

GROUP #	NO. OF PROJECT PROBATIONERS	AVERAGE FOLLOW-UP TIME	NEW MOTOR VEHICLE VIOLATIONS & CONVICTIONS	
			#	%
Cohort #1	64	14 Months	4*	3.7%
Cohort #2	45	8.3 Months	0	0
Combined Total	109	11.7 Months	4	3.7%

*The Motor Vehicle violations were for speeding (Case #53), disobeying a traffic device (Case #48), operating a motor vehicle with a license that is revoked or suspended (Case #12) and tailgating (Case #11).

6. An Analysis of the Recidivist Population

This section presents a profile of the DWI and non-DWI criminal recidivist population in order to facilitate program planning. As illustrated in Sections VII - 1, 2 and 3, there were nine (9) individuals arrested from the first two cohorts of 109 probationers. Six (6) clients were arrested for 'Driving While Intoxicated' offenses and three (3) for non-DWI offenses. This section presents summary and individual profiles of this group. The Project Case #'s are identical to the identification numbers previously listed in Table 22. The Summary Profile of this section presents the major variables and characteristics of the recidivist probationers. The next section presents a further analysis of the Mortimer-Filkins score and the Suffolk County Predictive Risk-Assessment score.

As illustrated in the Summary Profile, the average age of the recidivists was 35 years old with 7 out of 9 individuals 31 years old or older. The average age at the time of the first DWI arrest was 28.6 years, with 4 out of 9 cases arrested before their 23rd birthday. Seven out of nine cases had a DWI criminal history of five years or more with one other case four years and one case one year.

Regarding employment status, 8 out of 9 were employed: 6 full-time, and 2 part-time. Seven out of nine individuals completed high school and the other two cases dropped out of high school in the 10th and 11th grades respectively. Four out of the six DWI rearrests reside in Brookhaven Township, one in Babylon and one in Huntington. Two of the three non-DWI recidivist offenses reside in Islip Township and the other resides in Brookhaven.

Regarding prior offenses, these nine probationers were responsible for an average of 2.7 prior DWI offenses before entering the project, or 24 offenses. In addition, there were nine other DWI charges that originally resulted in each individual being sentenced to Probation and included in the project. Also, 6 out of 9 recidivism arrests were for 'Driving-While-Intoxicated'. Therefore, these 9 individuals have been responsible for 39 DWI offenses plus 22 other criminal charges plus 7 reported accidents (according to Motor Vehicle printouts). When the blood alcohol concentration (BAC) level is analyzed, all nine individuals had either a .21 level or higher in the current or prior offense; or they had refused the test.

The duration of time between the conviction of the original project offense and the subsequent recidivism arrest is quite significant. The average length of time of recidivism arrest was 414 days or 13.8 months. Four out of six DWI recidivists remained arrest free for 13 months and were then rearrested. The duration of the other 2 DWI arrests was 4 months and 9 months respectively. Of the total recidivist population, 6 out of 9 offenders remained arrest free for 13 months or more. The next section presents an analysis of the Mortimer-Filkins score and predictive risk-assessment score of the recidivist group.

SUMMARY PROFILE OF PROJECT'S REARREST RECIDIVIST POPULATION

Name: Project Case #'s 23, 68, 30, 62, 15, 25, 29, 36, 69

Age: 46, 31, 34, 23, 43, 33, 36, 23, 46 (average age - 35)

Township: Brookhaven - 5 (4 DWI's), Babylon - 1 DWI, Huntington - 1 DWI, Islip - 2 non-DWI

Education: Some College - 4, High School Graduates - 3, 11th grade education - 1, 10th grade education - 1.

Employment: 6 employed full-time, 2 employed part-time, 1 unemployed

Predictive & Screening Instruments

1. Suffolk Risk-Assessment Scores: 3-9, 4-10, 3-5, 3-5, 3-5, 4-6, 4-8, 3-5, 4-9. All received Intensive Supervision scores.
2. Mortimer-Filkins Scores: 175, 111, 93, 50, 78, 79, 134, 95, ____.

Blood Alcohol Concentration (BAC) at Time of Project Offense - .22, .14, Refused, Refused, .21, Refused, .29, Refused, Refused

Prior BAC Levels - N/A, .23, .23, N/A, N/A, N/A, .19, N/A, N/A

Prior Criminal and Motor Vehicle Records

Prior DWI's - 4, 3, 4, 2, 2, 3, 2, 2, 2 (Average - 2.7)

Prior non-DWI Criminal Charges - 1, 2, 1, 3, 0, 5, 2, 3, 5 (Average - 2.6)

Motor Vehicle - 3, 1, 1, 3, 4, 5, 2, 8, 4 (Average - 3.4)

Chargeable Accidents - 0, 0, 0, 2, 1, 1, 1, 1, 1, (Total - 7)

Age at First DWI Arrest - 38, 23, 28, 19, 38, 20, 29, 22, 40 (Average - 28.6 yrs.)

Probation Status at Time of Original Project Offense - 7 not on probation, 2 on regular supervision.

Rearrest Offense - DWI, DWI, DWI, DWI, DWI, DWI, Crim. Poss. of Mar. 5th, Att. Arson 2nd, Petit Larceny

No. of Days Between Conviction for Project Offense and Subsequent Redicivism Arrest - 510, 120, 269, 498, 473, 402, 690, 506, 262 (Average - 414 days or 13.8 months)

Redicivist Profile: # One

Name: Project Case #23

Age: 46 years old

Township: Brookhaven

Education: H. S. graduate and some college

Employment: Self-employed carpenter

Suffolk Risk-Assessment Score: 3-9 (Intensive level)

Mortimer-Filkins Score: 175

Date of Original Project Offense: 3/7/79

Project BAC: .22

Prior BAC: N/A

Prior DWI Offenses: 4 offenses

Non-DWI Criminal Record: 1

Motor Vehicle Record: 3 convictions

Total Prior Record: 8

Age at 1st DWI arrest: 38

Probation Status at Original Project Offense: Not on probation.

Rearrest: 7/29/80 - DWI

No. of Days Between Project Conviction and Rearrest: 510

Redicivist Profile: # Two

Name: Project Case #68

Age: 31 years old

Township: Brookhaven

Education: 11 grades

Employment: Plumber's Assistant

Suffolk Risk-Assessment Score: 4-10 (Intensive level)

Mortimer-Filkins Score: 111 total

Date of Original Project Offense: 10/31/79

Project BAC: .14

Prior BAC: .23

Prior DWI Offenses: 3 offenses

Non-DWI Criminal Record: 2 offenses

Motor Vehicle Record: 1 conviction

Total Prior Record: 6

Age at 1st DWI arrest: 23 years old

Probation Status at Original Project Offense: Not on probation.

Rearrest: 7/29/80 - DWI

No. of Days Between Project Conviction and Rearrest: 120 days

Redicivist Profile: # Three

Name: Project Case #30

Age: 34 years old

Township: Brookhaven

Education: 14 years

Employment: Full-time Manufacturing Manager

Suffolk Risk-Assessment Score: 3-5 (Intensive level)

Mortimer-Filkins Score: 93

Date of Original Project Offense: 12/29/78

Project BAC: Refused

Prior BAC: .23, 2 refused

Prior DWI Offenses: 4 offenses

Non-DWI Criminal Record: 1 prior criminal charge

Motor Vehicle Record: 1

Total Prior Record: 6

Age at 1st DWI arrest: 28 years old

Probation Status at Original Project Offense: Yes - on probation.

Rearrest: 9/24/79 - Prom. Prison Contraband 2nd (A Misd.)
1/11/80 - DWI

No. of Days Between Project Conviction and Rearrest: 269 days
378 days

Redicivist Profile: # Four

Name: Project Case #62

Age: 23 years old

Township: Brookhaven

Education: H. S. graduate

Employment: Part-time Auto Mechanic

Suffolk Risk-Assessment Score: 3-5 (Intensive level)

Mortimer-Filkins Score: 50

Date of Original Project Offense: 5/25/79

Project BAC: Refused test

Prior BAC: N/A

Prior DWI Offenses: 2 prior charges

Non-DWI Criminal Record: 1 prior criminal charges

Motor Vehicle Record: 2 accidents, 2 moving violations

Total Prior Record: 5

Age at 1st DWI arrest: 19 years old

Probation Status at Original Project Offense: Not on probation.

Rearrest: 10/4/80 - DWI

No. of Days Between Project Conviction and Rearrest: 498 days

Redicivist Profile: # Five

Name: Project Case #15

Age: 43 years old

Township: Babylon

Education: H. S. graduate

Employment: Paving Mechanic - full-time

Suffolk Risk-Assessment Score: 3-5 (Intensive level)

Mortimer-Filkins Score: 78 total

Date of Original Project Offense: 1/30/79

Project BAC: .21

Prior BAC: N/A

Prior DWI Offenses: 2 offenses

Non-DWI Criminal Record: None

Motor Vehicle Record: 1 accident, 4 N. V. convictions

Total Prior Record: 6

Age at 1st DWI arrest: 38 (10/2/74)

Probation Status at Original Project Offense: Not on probation.

Rearrest: 5/17/80 - DWI

No. of Days Between Project Conviction and Rearrest: 473 days

Redicivist Profile: # Six

Name: Project Case #25

Age: 33 years old

Township: Huntington

Education: H. S. graduate

Employment: Unemployed (driver, painter)

Suffolk Risk-Assessment Score: 4-6 (Intensive level)

Mortimer-Filkins Score: 79 total

Date of Original Project Offense: 12/4/78

Project BAC: Refused test

Prior BAC: N/A

Prior DWI Offenses: 3 offenses

Non-DWI Criminal Record: 5 criminal charges

Motor Vehicle Record: 1 accident, 5 convictions

Total Prior Record: 13

Age at 1st DWI arrest: 20 years old

Probation Status at Original Project Offense: Not on probation.

Rearrest: 1/10/80 - DWI

No. of Days Between Project Conviction and Rearrest: 402 days

Redicivist Profile: # Seven

Name: Project Case #29

Age: 36 years old

Township: Brookhaven

Education: 10th grade education

Employment: Part-time and odd jobs

Suffolk Risk-Assessment Score: 4-8 (Intensive level)

Mortimer-Filkins Score: 134 total

Date of Original Project Offense: 9/2/78

Project BAC: .29

Prior BAC: .19

Prior DWI Offenses: 2 prior DWI and 3 prior public intoxication

Non-DWI Criminal Record: 5 offenses

Motor Vehicle Record: 1 accident, 2 convictions

Total Prior Record: 10

Age at 1st DWI arrest: 29 years old

Probation Status at Original Project Offense: Not on probation.

Rearrest: 7/23/80 - Petit Larceny (A Misd.)

No. of Days Between Project Conviction and Rearrest: 690 days

Redicivist Profile: # Eight

Name: Project Case #36

Age: 23 years old at current offense

Township: Islip

Education: H. S. graduate and some college

Employment: Full-time Instrument Coordinator

Suffolk Risk-Assessment Score: 3-5 (Intensive level)

Mortimer-Filkins Score: 95 total

Date of Original Project Offense: 5/30/79

Project BAC: Refused

Prior BAC: N/A

Prior DWI Offenses: 2 offenses

Non-DWI Criminal Record: 3 prior criminal charges

Motor Vehicle Record: 8 moving violations, 1 accident

Total Prior Record: 13

Age at 1st DWI arrest: 22 years old

Probation Status at Original Project Offense: Not on probation

Rearrest: 10/17/80 - Criminal Possession of Marijuana 5th (B Misd.)

No. of Days Between Project Conviction and Rearrest: 506 days

Redicivist Profile: # Nine

Name: Project Case #69

Age: 46 years old

Township: Islip

Education: H. S. graduate

Employment: Full-time United Parcel Service delivery driver

Suffolk Risk-Assessment Score:

Mortimer-Filkins Score:

Date of Original Project Offense: 10/22/78

Project BAC: Refused

Prior BAC: N/A

Prior DWI Offenses: 2 offenses

Non-DWI Criminal Record: 5 offenses

Motor Vehicle Record: 4 convictions, 1 accident

Total Prior Record: 11

Age at 1st DWI arrest: 40 years old

Probation Status at Original Project Offense: Yes - on probation.

Rearrest: 7/10/80 - Attempted Arson 2nd; 7/24/80 - Aggravated Harassment;
9/2/80 - Obstruct. Gov't Admin. and Resisting Arrest

No. of Days Between Project Conviction and Rearrest: 262 days

7. Mortimer-Filkins Score and Predictive Classification of the Recidivist Population

The Mortimer-Filkins screening instrument helps to identify the nature and severity of alcohol dysfunction experienced by the individual. A general guideline for interpretation of the Mortimer-Filkins score is as follows: 1) Between 1-39, Social Drinker; 2) 40-49, Borderline Problem Drinker; and 3) 50+, Problem Drinker, Chronic or Episodic Alcoholism. (Refer to Appendix A.)

The Mortimer-Filkins scores for the recidivist population are as follows: 1) DWI rearrests - 78, 175, 79, 50, 93, 111; 2) non-DWI rearrests - 95, 79, 134. All of the recidivists were identified as

TABLE 30: MORTIMER-FILKINS SCORE FOR PROJECT PROBATIONERS WITH SUBSEQUENT ARRESTS OR ACCIDENTS

<u>MORTIMER FILKINS SCORE</u>	<u>DWI RECIDIVISTS</u>	<u>NON-DWI RECIDIVISTS</u>	<u>ACCIDENTS</u>	<u>TOTAL</u>	
				<u>#</u>	<u>%</u>
1 - 39					
40 - 49					
50 - 69	1			1	8.3%
70 - 99	3	1	1	5	41.7%
100 +	<u>2</u>	<u>2</u>	<u>2</u>	<u>6</u>	<u>50.0%</u>
TOTAL	6	3	3	12	100.0%

*Scale 1 - 39 Score - Social Drinker
 40 - 49 Score - Borderline Problem Drinker
 50 + Score - Problem Drinker Chronic or Episodic Alcoholism

Also - Refer to Appendix A.

being a serious problem drinker according to the Mortimer-Filkins. In fact, all but one individual had a score of 78 or higher, with 5 out of 9 scoring 93 or above. Table 31 indicates that those individuals who had subsequent accidents also scored quite high on the Mortimer-Filkins with scores of 120, 136, and 79. Table 31 also indicates that only two cases, #23 and #29 (petit larceny rearrest), had high scores on the neurotic behavior dimension (Key 3). All others had alcohol abuse identified as a major dysfunction in the individuals' lives.

Table 32 illustrates the predictive risk-assessment score and category of the nine (9) recidivists and 3 accident involved probationers. 100% of the recidivism cases were identified as high-risk cases requiring Intensive Supervision services. Each of these cases had a positive score on 3 out of 4 or 4 out of 4 major variables, which is indicative of the highest risk group with a probability of reconviction after a three-year follow-up period of 70.3%.

Due to the serious nature of this population (Multiple DWI Offenders ineligible for the DDP Program), no one received a risk-assessment score of the special or minimal supervision category. Also, as illustrated in Table 24, none of the 30.4% of the DWI population that were categorized in the middle-risk category (approximately 28% recidivism probability) were rearrested. Thus, the Probation Alcohol Treatment Demonstration Project has a 100% success rate with the medium-risk category even though those individuals had high scores on the Mortimer-Filkins.

TABLE 31: MORTIMER-FILKINS SCORE FOR PROBATIONERS WITH
SUBSEQUENT ARRESTS AND/OR ACCIDENTS BY SPECIFIC KEYS

RECIDIVISTS - ARRESTS

A. DWI Recidivists

No.	Project #	Key 1	Key 2	QT	Key 3	Total
1	15	32	-2	30	48	78
2	23	48	-17	31	144	175
3	25	20	-1	19	60	79
4	62	14	0	14	36	50
5	30	16	-3	13	80	93
6	68	24	-5	19	92	111

B. Other Criminal Recidivists

No.	Project #	Offense	Key 1	Key 2	QT	Key 3	Total
7	36	Poss. Marij. 5th	30	-3	27	68	95
8	69	Arson 2nd	14	-3	11	68	79
9	29	Petit Larceny	32	-10	22	112	134

C. Subsequent Accidents

No.	Project #	Accident	Key 1	Key 2	QT	Key 3	Total
1	26	Property	16	-4	12	108	120
2	21	Property	28	-4	24	112	136
3	25*	Per. Injury/ DWI	20	-1	19	60	79

*Project #25 was arrested for DWI at the time of this accident and is also counted in Section A (DWI recidivists).

TABLE 32: SUFFOLK COUNTY PREDICTIVE RISK-ASSESSMENT INSTRUMENT
SCORE FOR PROBATIONERS WITH SUBSEQUENT ARRESTS OR ACCIDENTS

RECIDIVISTS - ARRESTS

A. DWI Recidivists

No.	Project #	Risk Score	Recidivism Risk-Level
1	15	3-5	High Risk
2	23	3-9	High Risk
3	25	4-6	High Risk
4	62	3-5	High Risk
5	30	3-5	High Risk
6	68	4-10	High Risk

B. Other Criminal Recidivists

No.	Project #	Offense	Score	Risk-Level
7	36	Poss. Marij. 5th	3-5	High Risk
8	69	Arson 2nd	4-9	High Risk
9	29	Petit Larceny	4-8	High Risk

C. Subsequent Accidents

No.	Project #	Accident	Score	Risk-Level
1	26	Property	3-5	High Risk
2	21	Property	3-5	High Risk
3	25*	Per. Inj./ DWI	4-6	High Risk

*Project #25 was arrested for DWI at the time of this accident and is also counted in Section A (DWI recidivists).

8. An Assessment of Procedural/Instrument Effectiveness

As previously explained, the next research report will be published this summer and will present an indepth analysis of the relative value of the new procedures and instruments used in this project. The current report, however, does present the preliminary findings and current staff impressions on several issues after eighteen months of field experience. The views presented in this section were identified through group evaluation meetings, staff meetings, individual interviews, and analysis of the actual case process. The four areas analyzed are as follows: A) Mortimer-Filkins; B) Alco-Sensor; C) Comcon Communications Network; and 4) Program Design.

A. Mortimer-Filkins Screening Instrument

There is strong agreement that the Mortimer-Filkins screening process is a valuable addition to the probation presentence investigation process. The probation officers and alcohol counselors essentially agree that the information gathered with the Mortimer-Filkins enhances and improves the resulting investigation and disposition recommendation to the judiciary. In addition, the Mortimer-Filkins screening process is valuable because it helps the offender to define his or her problems in terms of alcohol abuse at an early stage. Denial and manipulation are reduced through this interview process, and treatment benefits often result according to project staff.

However, some of the staff believe that in order to be totally applicable for the presentence investigations, modifications or revisions to the Mortimer-Filkins are necessary. Since the Mortimer-Filkins was designed and validated when administered

at the time of arrest, the meaning of certain questions are changed six or eight months later at the time of investigation. Suggestions to improve this screening device will be presented in the next report.

All project staff express a strong belief that the Mortimer-Filkins screening instrument is an important component in project operations.

B. Alco-Sensor

The Alco-Sensor is considered one of the most important innovations and improved procedures of the project. Staff administer this device for a blood alcohol reading during home visits, office reports and before group counseling sessions. Each probation officer and alcohol counselor is highly trained and knowledgeable regarding the interpretation of the results. The perceived impact on the multiple recidivist DWI offender is that the Alco-Sensor minimized the manipulation characteristic of the active alcoholic. In addition, the resulting BAC reading is immediate and available in field situations, so that appropriate action, such as detoxification, can be initiated effectively. A more indepth analysis, including specific situations, will be conducted in the next phase of research. Current assessment is quite positive, however.

C. Comcon Communications Network

Another factor that staff perceive as critical to the successful operations of this project is the high degree of communication between alcohol counselors and probation officers. There are joint unit staffings on a regular basis, probation officers and alcohol counselors co-conduct groups, and there is constant communication regarding individual cases between staff. There is the

very real perception of a team approach with common objectives. The project staff unanimously identified the communication factor built into the design as one of the most important elements overall.

Inherent in the operation of the Probation Alcohol Treatment Demonstration Project is the COMCON communications network. A communications network refers to the different avenues or routes of communication that are available to persons working in a group seeking the solution of problems. The findings of numerous professionals indicate that in a group situation the greatest effort should be made to create as much communication as possible among members of that group. Satisfaction will be highest when everyone is interacting with everyone else, as in the comcon.⁶ See Figure #8.

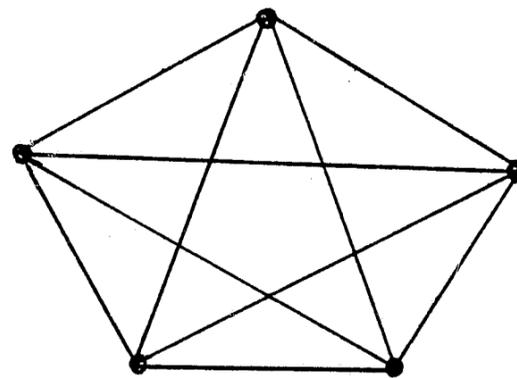


FIGURE 8

COMCON COMMUNICATION NETWORK

o --- Persons
Lines --- Avenues

In addition to increased satisfaction among personnel, the quality of the information can be greatly improved. An essential characteristic of the resulting information is that it is timely, and more accurate. Misconceptions or disagreements regarding interpretation of the facts are confronted in the joint staffings or in individual conferences.

It should be emphasized that this communication design is characteristic of a team approach, as opposed to two agencies referring cases to each other and receiving periodic reports.

D. Program Design

The basic program design for the Probation Alcohol Demonstration Project is an integrated interagency systems model that combines components of the criminal justice system with components of the health care system. The operational design is specifically aimed at integrating these systems under actual field conditions; and is actually a combination of the control model and intensive special probation supervision model.

The resulting design is based on a no nonsense reality-oriented approach which utilizes the Alco-Sensor, Mortimer-Filkins screening instrument and other procedures to insure accountability. Essentially, this approach attempts to substantially reduce the manipulation and denial characteristic of the active alcoholic; and to provide immediately accessible treatment services once the manipulation is controlled. There is considerable effort exerted to maximize protection of the community either through intensive supervision or alcohol treatment techniques (or both).

The functioning of this project is also rather unique in the sense that the probation officers and alcohol counselors actually work as a team, rather than as separate agencies referring cases to each other. Because of the crisis-oriented nature of the multiple DWI recidivist population, working hours are more flexible than found in traditional supervision settings.

During the next phase of research, a concerted effort will be made to evaluate those elements of the operational design that are essential for replication; and the results will be reported in subsequent reports.

VIII. MAJOR ISSUES & FUTURE DIRECTIONS

The major issue of this project involves empirically testing whether this program model is effective in reducing recidivism and accidents with the most serious multiple DWI offender. All other issues are ancillary to this central question.

However, there are several other issues that are also quite important to corrections and health services that this project will also examine. One of the most critical issues in corrections is the questions regarding the effectiveness of probation supervision, probation intensive supervision, and probation intensive special supervision. This project is an intensive special supervision design for probationers with alcohol dysfunctions; and many of the findings should be applicable to other alcoholic offenders. This entire question will be analyzed in detail.

Another important issue is that of effectiveness in treating the mandated client. In health care agencies, this issue is becoming more and more critical. The basic question involves whether an effective treatment program can be designed for the unmotivated or resistant client.

In corrections, almost all of the clients are mandated; and it is essential to develop methods that address the needs of this population.

A major systems issue is assessing the feasibility of developing the integrated interagency approach for common target populations with identifiable dysfunctions. A considerable amount of effort has been invested in developing compatible procedures between agencies from different disciplines. The results are encouraging, but obstacles arise frequently (i.e. regarding subcontracts, funding, etc.). Further development and support is still needed in this area.

Other related issues involve the value of different screening devices, techniques, procedures and approaches and will be analyzed by all staff members throughout the project. In addition, the entire issue of cost effectiveness will be examined.

ANALYSIS AND CONCLUSIONS

This study has attempted to identify the severity of the project supervision population, describe daily project operations and measure program effectiveness. Although the follow-up period is still not long enough to make definitive conclusions; and a better measure will be available when the results of the control group are tabulated; the initial findings of program effectiveness that we do have are excellent.

The DWI recidivism arrest rate of the first cohort who were on probation between 11 and 17 months is 7.8%; the overall recidivism arrest rate is 10.9%. Thus, 92.8% of this group remained DWI arrest free after an average follow-up time of 14 months. For the second group with an average follow-up time of 8.3 months, 44 out of 45 probationers or 97.8% remained DWI arrest free. The total recidivism rate for this group is 4.4%. The total DWI arrest rate for both groups (109 probationers) was 5.5% after an average follow-up period of 11.7 months. (Refer to Table 25.)

An examination of the profile of the multiple DWI Project population, including prior records, indicate that these results are much better than would be projected especially when the predictive risk-assessment scores are considered. Initial indications are that effective intervention is occurring with this population.

A closer examination of the recidivist population, as compared to the non-recidivist population, reveals that all of the recidivists had been identified as high-risk cases (Suffolk Classification Instrument) with serious alcohol problems (Mortimer-Filkins). Conversely, this means that those individuals who were not identified as belonging to the most serious category with the Mortimer-Filkins; or were not identified as high-risk with the Suffolk instrument had a 0% recidivism rate. This group comprises over 30% of the total target population; and this demonstration

project appears remarkably effective in helping to prevent recidivism with that identifiable group. These findings are consistent for the total recidivist group including the non-DWI arrest and accident populations. Obviously, further analysis is needed, but these findings have wide range implications regarding programs for other DWI populations and other alcohol abusing probationers.

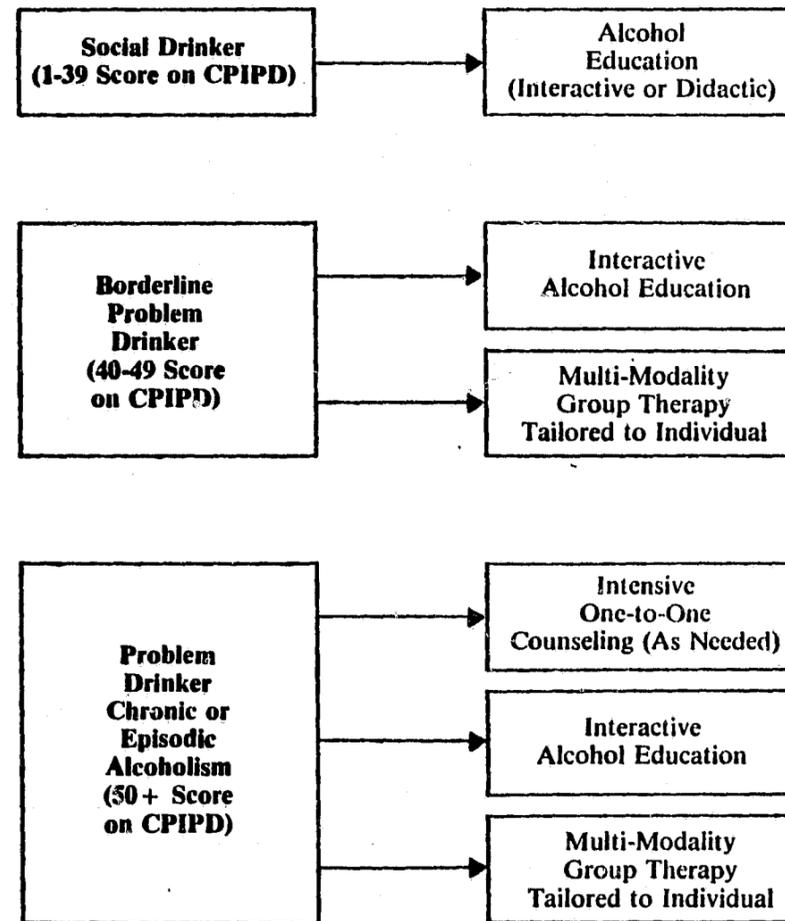
Analysis of the recidivist group for subsequent arrest and accidents indicate that there is still a subgroup, although relatively small at this time, that may benefit from additional supervision and/or treatment services. In fact, the protection of the community objectives may require other methods of dealing with this group. Initial impressions indicate that these individuals have not been able to establish adequate support systems either through the groups, in their families, or in the community. Other procedures (i.e. chemical, correctional or treatment) may have to be designed for this population and will be the subject of continuing analysis.

Overall, program operations appear to be working quite well. The integrated systemic design is fully functional and would be capable of expansion with additional staff. The numbers of referrals for investigation is continuously increasing and projections are that they will accelerate. The results are quite encouraging and support the concept of integrated interagency program designs.

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**SUGGESTED
EDUCATION/
TREATMENT BY
DRINKER TYPE**



APPENDIX B: GUIDELINES FOR IDENTIFYING ALCOHOL DYSFUNCTION USING THE MORTIMER-FILKINS, BLOOD ALCOHOL CONCENTRATION & PRIOR DWI ARRESTS

	TYPE OF PROBLEM		
	May Not Be a Problem Drinker	Highly Presumptive Evidence of Problem	Nearly Certain Evidence of Problem
M/F	39 or less	40 - 49	50 or more
BAC	.05 to .14	.15 to .19	.20 or more
Previous DWI/DWAI Arrests	0	1 - 2	3+

APPENDIX "C"

SUFFOLK COUNTY DEPARTMENT OF PROBATION

DIFFERENTIAL CLASSIFICATION FORM FOR THE SUPERVISION OF PROBATIONERS

NAME: _____ CASE NO: _____ DATE: _____

PROBATION OFFICER: _____ S.P.O: _____ OFFICE: _____

		Yes <input type="checkbox"/>	No <input type="checkbox"/>	SCORE
A. Current Offense - Status:				
1. Felony conviction(s) (2 pts)				<input type="text"/>
2. Assaultive conviction(s) (2 pts)				<input type="text"/>
3. Driving While Intoxicated (1 pt)				<input type="text"/>
B. Psychological Instability:				
1. Hospitalization or commitment to a rehabilitative program (2 pts)				<input type="text"/>
2. Diagnosed psychotic, severely emotionally disturbed, severely retarded (2 pts)				<input type="text"/>
3. Alcohol or drug dependent (2 pts)				<input type="text"/>
C. Prior Record (last 7 years) :				
1. Felony conviction(s) (2 pts)				<input type="text"/>
2. Misdemeanant conviction(s) (2 pts)				<input type="text"/>
3. Youthful Offender (YO) convictions (2 pts)				<input type="text"/>
4. Juvenile Delinquency (JD) Adjudication (1 pt)				<input type="text"/>
D. Social Instability:				
1. Educational vocational, employment deficits (1 pt)				<input type="text"/>
2. Weak, non-existent positive family or community attachments (1 pt)				<input type="text"/>
3. Recidivism or Recidivistic tendencies (2 pts)				<input type="text"/>
E. Age: This variable is only used for marginal cases. Between 16 - 24 years old (1 pt)				<input type="text"/>

Variables	Status	Level of Severity
A. Current Offense		
B. Psychological Instability		
C. Prior Record		
D. Social Instability		
Subtotal		
E. Age	XXXXX	
Total		
LENGTH OF SENTENCE:	TIME SERVED:	LENGTH OF A.S:

CLASSIFICATION: Intensive Active Special

END