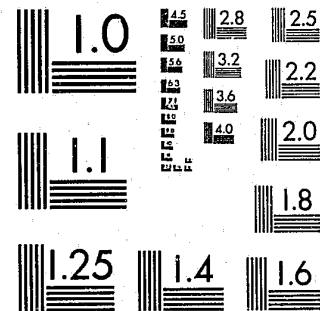


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RISK, SUPERVISION, AND RECIDIVISM:  
THE FIRST SIX MONTHS OF RECORDED  
EXPERIENCE IN THE IMPROVED  
CORRECTIONAL FIELD SERVICES PROJECT

BY

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This is one of a series of reports on the Improved Correctional Field Services Project Evaluation. The series consists of these parts:

1. Abstract
2. Executive Summary by Don M. Gottfredson, James O. Finckenauer, John J. Gibbs and Stephen D. Gottfredson.
3. The Improved Correctional Field Services Project: A Case Study by James O. Finckenauer and Don M. Gottfredson.
4. Screening for Risk: An Assessment of the ICFS Project Instruments by Faye S. Taxman, Don M. Gottfredson and James O. Finckenauer.
5. Risk, Supervision, and Recidivism: The First Six Months of Recorded Experience in the Improved Correctional Field Services Project by Don M. Gottfredson, James O. Finckenauer, and Faye S. Taxman.  
  
Appendix A: ICFS Instructions for Coding.  
Appendix B: Characteristics of the Sample for the First Six Months of Experience in the ICFS Project.
6. Social Adjustment: A Preliminary Report of the Improved Correctional Field Services Project by James O. Finckenauer and Faye S. Taxman.
7. The Needs and Concerns of Probationers: A Thematic Analysis of Interviews by John J. Gibbs.
8. The Needs and Concerns of Probationers: An Analysis of Questionnaires by John J. Gibbs.
9. Additivity and Interactions in Offense Seriousness Scales by Stephen D. Gottfredson, Kathy S. Young and William S. Laufer. 65872
10. Describing Probation Populations: Offense Seriousness by Stephen D. Gottfredson.  
  
Appendix A: Offense Seriousness Scoring System.
11. Exploring the Dimensions of Judged Offense Seriousness by Stephen D. Gottfredson.  
  
Appendix A: Offense Seriousness Study (survey form).  
Appendix B: The Question of Scale Value  
Appendix C: Replication of Factor Structures

#### ABSTRACT

Risk, Supervision, and Recidivism: The First Six Months of Recorded Experience in the Improved Correctional Field Services Project

Three correctional field services (probation) projects--in Illinois, New York, and Florida--were developed and funded by the Law Enforcement Assistance Administration in 1978. The main objective of the Improved Correctional Field Services Project (ICFS) was to determine the effectiveness of using risk screening procedures to assign probationers to different levels of probation supervision. The central question examined in this evaluation report is whether the different supervision levels have, for any risk classification, any effect on a global (combined) measure of recidivism.

An aggregate first cohort sample of 507 cases was followed for six months of probation supervision. There are 102 cases from Kane County, Illinois; 127 from Suffolk County, New York; and 278 cases from Florida. Data were collected from probationer case files. Separate analyses are reported for the aggregate data and for each site. A number of analytical methods were used, e.g., contingency tables, correlational analyses, and analyses of variance and covariance.

The general conclusion, limited by the nature of the samples and the length of follow-up and outcome variance, is that the major hypotheses providing the rationale for the project are not supported. Neither risk classification, nor supervision level, nor the interaction of risk and supervision has much effect on six-month, on-probation global recidivism. There were problems in the strength and integrity of the ICFS treatment which undermine the validity of the experiment. There are, however, certain trends in the data that suggest that some elements in the project may be worth pursuing further.

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## BACKGROUND OF THE PROBLEM

Three correctional field services (probation) projects (in Illinois, New York, and Florida) were developed and funded by the Law Enforcement Assistance Administration in 1978, and are the subjects of this study. The primary objective of the Improved Correctional Field Services is to determine the effectiveness of using risk screening procedures to assign probationers to different levels of probation supervision. The primary goal is "knowledge acquisition regarding the effects of screening and differential levels of supervision."<sup>1</sup> It was hoped that information would prove useful in the development of caseload management techniques for departments of probation. Further, it was expected that the project results would provide guidance for the most efficient allocation of resources and additional information on the system's ability to deal with high risk offenders in the community.

What follows is a brief description of the settings for the program, of the implementing probation agencies themselves, and of the individual projects. The latter description focuses specifically upon how the risk and supervision level variables were operationalized in each of the three sites.

### Kane County, Illinois

Located in the northeastern region of the State of Illinois is the predominantly suburban county of Kane, the fourth most heavily populated county in that state. Kane County's 1980 population is approximately 303,500 people, with about ten percent located in areas defined as urban. The county population is 96 percent white and only four percent black. Young males (10-25



years old), who generally contribute disproportionately to offender populations, constitute about a quarter of the county's population.

Unemployment in Kane County is generally consonant with national unemployment--over eight percent in 1975, but somewhat less than that now. Slightly over half of the white adult population (56 percent) have graduated from high school, while only a little over a third of the black adult population have done so.

Kane County accounts for approximately one percent of the total crime index for the state. It had 1,572 index crimes in 1978, according to the F.B.I.'s Uniform Crime Reports.<sup>2</sup> Most of these were property crimes, including 682 burglaries and 595 larceny-thefts. The offender profile for Kane County is overwhelmingly adult, white and male.

The Kane County criminal justice system employed more than 300 persons in the year 1976, and had a budget of nearly four million dollars. The court system handles approximately 1,500 new felonies and more than 6,000 new misdemeanors each year. This workload is managed by 12 full-time and two part-time prosecuting attorneys, and by eight circuit court judges and seven associates.

The Agency - The implementing agency for the Improved Correctional Field Services Project in Kane County is the 16th Judicial Court Services, with the primary operational agency being Kane County's adult probation department. Altogether, 17 staff members were hired with project funds in three separate county departments--adult probation, community court services and a diagnostic center.

Adult probation has 16 full-time employees (10 probation officers), one part-time employee, and 15 volunteers. The ICFS project added six and one-half employees, including four probation officers. This department performs all pre-sentence investigations for the county courts.

Probation, as a disposition, is precluded in Kane County for certain offenses, for example, armed robbery, homicide, and rape, and for career criminals, and certain drug and sex offenders. It is used most frequently (over 75 percent of the time) with misdemeanors and with such felonies as burglary and drug selling. More than 90 percent of all felony probation sentences are for either 7-12 or 13-18 months; most misdemeanor probation sentences are for 7-12 months. Many probationers receive some special conditions, the two most common of which are requirements for alcohol or drug treatment or for outpatient counseling. All probationers are required to pay court costs and fines.

The Project - In order to implement ICFS in Kane County, the 16th Judicial Court Services devised a classification and assignment procedure to provide a basis for a quasi-experimental design. During the pre-sentence process, the Diagnostic Center research team assigns a level of risk to each individual offender being investigated, using the Center's previously developed risk screening equation.<sup>3</sup> All offenders are classified into high, medium or low risk categories, depending upon their risk scores. Based upon the offenders' risk classification, they are assigned alternately to one of two groups (called A and B) then proportionately to appropriate levels of supervision within those groups. The propor-

tions are used to limit to approximately 10-12 percent the proportion of cases in intensive supervision, to 50-58 percent of the proportion in medium supervision, and to 30-40 percent the proportion in minimum supervision, while maintaining an element of randomness at each step in the assignment process.<sup>4</sup>

Certain offenders are granted probation "instanter," that is, without a pre-sentence investigation or report. These cases are assigned an interim level of supervision (medium) while the risk assessment data elements are being verified. This usually takes less than a month. Once verification has been accomplished, assignment proceeds as described above. The probation officers are not informed of the data elements used in the risk screening instrument, nor are they informed of the actual risk classification.

Certain categories of probationers are excluded from the ICFS Project. These include:

- Those sentenced to a residential treatment (including treatment for drug abuse or for mental health problems) or to a work release program as a condition of probation.
- Those sentenced to a period of incarceration prior to being placed on probation.
- Those sentenced to less than six months of probation.

Further, high risk cases are precluded from assignment to minimum supervision and low risk cases are not assigned to intensive supervision.

There were no provisions made for control or comparison groups

in Kane County. It should be noted, however, that after risk classification a random element is introduced into the supervision level classification in order that comparisons of supervision level within risk groups can be made with an assumption that such comparisons would not be biased by selection factors.

#### Suffolk County, New York

Suffolk County encompasses the entire eastern portion of Long Island. Primarily a residential, farming and resort area, it is made up of ten different townships. Suffolk has experienced a huge increase in population since World War II, especially during the last 20 years. For example, the county's population doubled between 1960 and 1970 (increasing from approximately 600,000 persons to approximately 1.2 million persons). The county is relatively wealthy (\$11,000 mean family income in 1970) and has a relatively small minority population. The largest minority group is comprised of blacks who constitute less than five percent of the population.

In 1979, there were 67,702 Crime Index offenses reported in Suffolk County. The largest proportions of these offenses were grand larcenies (38,434) and burglaries (17,595). The 1980 criminal justice budget for the county is \$121 million. There are more than 4,300 county criminal justice employees, not including court personnel. The police operation in the county, which constitutes the largest criminal justice entity, has more than 3,000 employees and a budget of \$95 million.

The Agency - The Suffolk County Probation Department has exclusive county-wide jurisdiction over all juvenile and adult

probationers. It has a total of 375 employees, including 174 probation officers. The Improved Correctional Field Services Project, during its period of funding, supported eight of these officers and one probation supervisor. This support came from both LEAA and matching grants. The department supervises nearly 8000 adult probationers each year, including approximately 2700 newly assigned cases. Its annual operating budget approaches \$10 million.

Probation is used very frequently with most misdemeanors (in over 75 percent of the cases); and it is a common disposition (25-75 percent of the cases) for such felonies as burglary, aggravated assault and drug sales. There are a number of offenses for which probation is not authorized by New York State law. These include Class A, B, C and D violent and non-violent felons, persistent violent and non-violent felons, narcotics addicts, and some vehicle and traffic law violators.

All felons receive probation sentences of five years, and misdemeanants receive one or three years. All probationers can be discharged earlier by court order. Most felons generally complete half their probation term (2½ years); one year misdemeanants complete the year; and three year misdemeanants complete 1½ years on the average.

The Project - The Suffolk County ICFS project receives its clients from a catchment area consisting of three townships. The project excludes only those cases which cannot be supervised because of placement in a residential facility, for example, drug treatment. Also excluded are probationers who have had several convictions for driving while intoxicated, and who are placed in

another special probation project. As each case is received, it is numbered sequentially, screened for risk and classified into a high, medium or low category.

Risk screening is done using two different instruments.<sup>5</sup> The first is a base expectancy instrument developed for use in the New York State Intensive Supervision Project, and the second is a risk prediction instrument developed locally by the Suffolk County Probation Department. This latter instrument has been used by that agency since 1976. Probation officers are, therefore, aware of the components of the instrument, even though the probationer's actual risk score is not revealed to them. Each of these two instruments was validated on a sample of Suffolk County probationers. Both instruments showed a fairly high level of predictive efficiency, with the Suffolk instrument having a slight advantage. Because the results were so close, it was decided to use both in ICFS. Where there is disagreement between the predictions, the Suffolk County instrument prevails.

High risk cases are assigned randomly to intensive or medium supervision; medium risk cases are assigned randomly to all three supervision levels, with an upper limit of approximately 20 percent to intensive supervision; and low risk cases are randomly assigned to medium or minimum supervision levels. This results in a single group design without a control or additional comparison group. All eligible adult probationers with the exception of those convicted for driving while intoxicated are included in the Project. Those eligible include youthful offenders aged 16-18, who are normally handled by adult courts in New York State.

As with Kane County, the element of randomness in the supervision category allocations is intended to permit comparisons of supervision level outcomes within risk classes. This compensates somewhat for the absence of a control group.

#### Florida

The Florida ICFS project is a statewide program; that is, it draws clients from throughout the State. It differs from the other projects in a number of other ways as well.

The Agency - Since 1975, the Salvation Army Misdemeanant Probation Program (SAMP) has been providing probation supervision for more than 90 percent of the adult misdemeanants in Florida--now over 11,000 newly assigned cases per year from 37 counties. Under the so-called "Salvation Army Act" as amended, SAMP has a purchase of services contract with the State's Department of Corrections.<sup>6</sup> Under this legislation, the Salvation Army receives a ten dollar per month fee from each probationer (since increased to \$15), and an additional six dollars per probationer per month from the state. SAMP is charged with providing counseling, supervision and referral, and with collecting fines and restitution payments. The Salvation Army operates 15 probation sites around the state. Thirteen of these sites participate in the ICFS Project. SAMP has 91 full-time and ten part-time employees, and nine volunteers. A total of 26 probation counselors were hired with ICFS funds.

Most of the Salvation Army clientele are young, first offenders, convicted for such crimes as petty larceny, possession of marijuana, or disorderly conduct. They also have been mostly employed, white, urban males. More than half have been between

18 and 25; 75 percent are white; more than 70 percent are male; and about two-thirds are employed.

In a preliminary evaluation of SAMP, Dr. Charles A. Lindquist of the University of Alabama reported that the SAMP probation revocation rate was exceptionally low, that the program was providing viable alternatives to incarceration, and that its operation costs were considerably lower than those of the state probation supervision.<sup>7</sup>

The Project - The probationers in the project are divided randomly into two groups, called groups A and B. Group A clients are assigned according to a proportionate random process to the three levels of supervision. Group B clients are assigned by risk--high risk to intensive supervision, medium risk to medium supervision, and low risk to minimum supervision. Group A assignments limit to eight percent the proportion in the intensive category, 58 percent in the medium supervision category, and 34 percent in the minimum supervision category. Low risk clients are not assigned to the intensive supervision category. The risk screening instrument used in Florida was developed by the aforementioned Dr. Charles A. Lindquist.

Clients are excluded from the project on the basis of the following criteria:

- Resident in a treatment center for drug, alcohol abuse or other reasons.
- Sentenced to a work release or other residential program.
- Sentenced to incarceration for more than 24 hours prior to being placed on probation.

- Sentenced to probation for less than six months.
- On simultaneous State or Federal probation.

The Florida project has some "overflow" cases in major urban areas (Miami, Tampa, and Clearwater) which meet the ICFS project criteria but cannot be assigned to the project because the counselors' caseloads are full. These cases are assigned to regular (non-ICFS) probation supervision and can be used as an additional comparison group. Risk screening is conducted on these probationers. The average caseload for each ICFS probation counselor in Florida was initially 50 cases, but caseloads were enlarged to as many as 100 cases in May, 1979.

#### THE PROBLEM

The National Institute of Law Enforcement and Criminal Justice of The Law Enforcement Assistance Administration designed and implemented the ICFS program with three principal aims:

- to devise, implement and assess classification methods to permit allocations of probationers to appropriate levels of supervision;
- to test the effectiveness of different levels of supervision; and
- to determine the differential impact of varying levels of supervision (that is, the effect of classification by risk and supervision levels on probation outcomes).

Our evaluation of this program proposed to aim principally at the third objective. It was recognized, however, that the aims identified were interrelated; and we proposed to identify, within the three ICFS projects, how varying levels of supervision were related to outcomes for differing kinds of persons, with differing kinds of supervision. Indeed, the issue was expanded to include the question of "kinds of outcomes." Thus, the general research question became:

What level of supervision, with what mode of treatment, is effective with what kinds of offenders, with respect to what outcomes?

The first ICFS evaluation report on the first six months of recorded experience will be able to address only part of this question. Because the aggregate and individual site sample sizes,



length of follow-up and variances in outcome for the first study cohort of probationers are considerably more limited at this point than was anticipated in the original proposal, the questions to be addressed must be limited; and the answers given are necessarily subject to a number of limitations to generalizations. These limitations include the following:

1. Although it is believed to be useful to explore the relations among classifications of risk, supervision assignment, and an outcome measure within the data combined from the three sites, the known differences among the projects suggest a good deal of caution in interpretations based on that exploration. As already noted, the risk classification instruments differ among the sites. The offender samples are markedly different in offenses of conviction and other attributes known from much prior research to be related to measures of recidivism. And, of course, the meaning of supervision may vary among the three probation agencies.
2. The numbers of cases in table cells, when probationers are classified by risk and supervision, tend to be quite small in some instances, particularly when the data for individual sites are examined separately.
3. The sample sizes and the "base rates" of favorable outcomes (that is, the overall "success rates") are such that separate components of "failure," e.g., technical violations, new arrests, and new convic-

tions, cannot yet be examined. Of particular interest, for example, will be an assessment of relations among the offender and supervision classifications and specific aspects of unfavorable outcomes, including technical violations, rearrests and new convictions. Thus, the "global measure of recidivism" explained below must be regarded as a first, rough criterion of outcome.

4. Related to the issue of the outcome measure to be used is the circumstance that the length of follow-up of probationers after placement on probation is, in the analyses to be discussed, extremely short (six months) and limited also to the period of probation supervision. That is, no assessment of "post-probation" outcomes is yet possible; so the situation is analogous to studying a treatment only in the course of that treatment, when it is not yet finished.
5. The probationers whose experience is to be examined are those, except for the Florida sample, who first entered the program. (The initial probationers who first entered the program in Florida were excluded since retrospective data collection was not feasible.) If the program, including levels or intensity of supervision, changed after an initial period of program implementation, then the results from the initial period only could be misleading.

With these major limitations in mind, the general question

to be examined is:

What level of supervision is effective with what risk classification of offenders, with respect to a global measure of recidivism?

#### Level of Supervision

One of the two main independent variables of concern, level or intensity of supervision, previously has been measured in a number of ways.<sup>8</sup> Operational definitions have ranged from the number of agent-client contacts to their length and type. More comprehensive measures have included indicators of both the nature and amount of supervision.<sup>9</sup>

In the ICFS project, levels of supervision were defined operationally as (1) intensive supervision, consisting of two personal, face-to-face contacts per week and one optional collateral face-to-face contact per week; (2) medium supervision, which included two personal face-to-face contacts per month with a minimum of ten days between contacts and two optional collateral face-to-face or telephone contacts per month; and (3) minimum supervision, comprised of one personal face-to-face contact per month. The precise nature or content of the contact was not specified. The project definitions of level of supervision allowed for variation in both the type and number of contacts within the different levels.

A specific hypothesis which the National Institute wished to test with regard to the level of supervision concerned whether increased levels of supervision (and service) could increase the probability of success for high risk offenders.

#### Risk Classification

The other major NIJ hypothesis was that risk screening mechanisms could be developed which will accurately predict an individual's performance on probation. Each site was to devise and implement a rational screening mechanism that would determine the appropriate form of supervision for any probationer. All clients entering the projects were to be screened for risk using a locally developed and validated screening mechanism. Thus, the other primary independent variable is risk screening and classification.

#### Recidivism

The key dependent variable in this analysis is recidivism. The original proposal called for a comprehensive assessment of the effects of level of supervision on outcomes, requiring a variety of indicators of recidivism. This variety was intended to permit a determination of whether varying levels of intensity of supervision has a differential effect upon either the nature or extent of recidivistic behavior, or upon decisions concerning such behavior. For example, it was anticipated that it might be found that intensive supervision results in more technical violations than does medium or minimum supervision, but fewer repeat offenses.

In measuring recidivism, we proposed to take into consideration technical violations, arrests, convictions and dispositions. Data have been collected on all these indicators for the first cohort of probationers, which is the subject of this report. However, again because of the particular limitations of this sam-

ple, recidivism will be operationalized only as a global measure encompassing technical violations, rearrests and reconvictions occurring during the first six months of probation supervision in the ICFS projects.

A further interest of the National Institute was the hypothesis that levels of seriousness of new offenses, when they occur, may be affected by the risk classification and differential supervision provided in the program. This issue also will be addressed in a separate report.

#### Hypotheses

Juxtaposing the three key variables in order to study program effects resulted in the following null hypotheses which may be tested with the first cohort data, subject to the limitations noted:

- The risk classifications are not related to global recidivism.
- The assigned levels of supervision are not related to global recidivism, overall or within risk classifications.
- There is no interaction of risk and supervision classifications on global recidivism.

It should be noted that, by the design of the risk classification and supervision level assignment procedures, the assigned supervision levels are not independent of the risk measure except for those cases randomly assigned. That is, some probationers have been classified as poorer risks; and there is evidence from the study of the risk measures that these are related to recidivism. Thus, if poorer risks tend to be given more supervision,

measures of risk need to be taken into account in the analysis. This will be done in several ways, but generally the hypothesis may be stated as follows:

- Levels of supervision are not related to global recidivism when corrected for demonstrable bias associated with risk.

## METHODS

### The Sample

When the Rutgers evaluation design was first proposed, expectations were that there would be an estimated 2,800 cases in the total sample from all three projects (Florida, Kane County and Suffolk County). This estimate was based upon the figures projected in the original proposals from the sites. Assuming random assignment to each of three levels of supervision, this would have resulted in more than 900 probationers in each supervision category, including the intensive level. This would have provided the basis for an excellent test of the hypotheses stipulated earlier. As the ICFS program developed, however, certain changes (negotiated by the project site staff and LEAA monitors) resulted in a sharp decline from these estimates and an abandonment of any experimental designs.

The estimated total sample number dropped because intake was much slower and smaller than projected in Kane County, because Suffolk County (which had included in their plan a period of planning and preparation before intake) did not begin intake until June, 1979 (approximately 11 months behind the originally envisioned schedule) and because the initial intake of Florida cases (prior to May, 1979) could not be included in the evaluation since no rosters or adequate records had been maintained at the project site. In addition, most of these Florida cases already had completed probation by the time the evaluation Phase I planning and development was completed in April, 1979, and a retrospective coding operation was not feasible.

The envisioned random assignment system was abandoned by the projects and LEAA. Low risk cases were excluded from assignment to intensive supervision, and with the exception of Florida, high risk cases were not to be assigned to minimum supervision; and the proportionate assignment systems were adopted. The latter were intended to ensure an equitable workload distribution among the probation officers.

The sample cohorts being used in these first analyses include Kane County's intake from October, 1978 to June 30, 1979; Florida's intake from May, 1979 through July 10, 1979; and Suffolk County's intake from June 18, 1979 to August 10, 1979. This first cohort is composed of all cases in each site completing a minimum of six months probation supervision beyond an arbitrary designated intake cut-off date. Six months is the minimum probation period required to be completed in the initial classification and assignment. The cut-off dates were established to permit timely data collection, analyses, and writing for the required report draft due after 21 months from the start.

The first cohort, the subject of this report, is broken down for the combined sites as follows:

Table 1  
FIRST ICFS COHORT\*

RISK	LEVEL OF SUPERVISION			TOTAL
	Minimum	Medium	Intensive	
Low	67	42	1	110
Medium	70	241	36	347
High	3	20	26	49
TOTAL	140	303	63	506

\*The cohort actually contains 507 cases, but one medium supervision case was not screened for risk. The one case in the cell "low risk, intensive supervision" represents an error in the classification and assignment process.

The total cohort is composed of 68 percent whites and 23 percent blacks; 77 percent are males; 57 percent are single and 21 percent married; and 62 percent are employed either full- or part-time, whereas 27 percent are unemployed but employable. The mean age is 25.8 years. The mean number of years of school attained is a perhaps surprisingly high 11.1 years.

More than half the sample (54 percent) deny use of alcohol, but 19 percent admit to being a problem drinker. Similarly, 59 percent deny drug use, but 15 percent admit to using and 6 percent are reported to be addicts. Nearly a third (32 percent) had been using alcohol on the day of their present arrest, and 24 percent were under the influence of drugs.

Slightly less than 15 percent of these probationers have a known history of past mental health treatment; only six percent were in mental health treatment (either inpatient or outpatient) at the time of the present arrest.

For half the cases (49 percent), the present arrest was their first. Forty-five percent had been arrested before but were not currently involved with the criminal justice system at the time of their present arrest. The mean number of prior adult arrests was 1.14; prior convictions was 1.87; and prior commitments was .47. Only three percent of the cases were already on probation, and just one percent were on bail or release on their own recognition at the time of arrest for the instant offense. Eighty percent of these cases were sentenced to this probation term for one offense only, whereas 18 percent were sentenced for multiple offenses.

The following is a rank ordering of the top five conviction offenses resulting in placement on probation to ICFS by frequency of charges:

		<u>NUMBER</u>	<u>PERCENT</u>
1.	Larceny under \$200 (petty larceny or theft).	111	18.8
2.	Possession of marijuana/hashish.	35	5.9
3.	Shoplifting.	34	5.8
4.	Resisting arrest.	32	5.4
5.	Driving while under the influence of alcohol.	31	5.2

The frequency of convictions for offenses against the person was rather low. One notable exception was a probationer with 25 convictions for battery. Sex crimes, crimes involving weapons and offenses against family and/or children were very infrequent.

#### Data Collection

The data collected at the project sites were derived from individual case files of probationers. Data collection for the first ICFS cohort began in Kane County in March, 1979. Each probation case in each of the three sites was coded on two occasions. First, individual background data were collected on some 87 items. These items include basic demographic information such as age, sex and race; criminal history information such as prior arrests, convictions and sentences; and project-specific information such as risk assignment and supervision level.

The second coding collected follow-up data on each individual probationer six months after the probationer was placed under supervision in the project. These data include the number of face-to-face and collateral contacts with the probation officer, em-



ployment and school status, referrals, and such outcome information as technical violations, rearrests, reconvictions and commitments. The follow-up data collection was done during January and February, 1980. Copies of the background and follow-up code manuals and code sheets are included in Appendix A.

In each site, there were certain desired items of background information which were not originally available in the probationer's case files. Checklists of these items were developed in collaboration with staff at Kane County and Florida, and these data were then collected routinely in both of these sites. Data items missing from the files were identified by the coders and retrieved by the project staffs in these two sites.

The Suffolk County agency did not agree to the use of a similar checklist nor to retrieval of missing information. Thus, any missing information in that site had to be sought on a case-by-case basis while the coders were on site.

The background data, for approximately ten percent of the cases, were re-coded independently for a reliability study. A summary of the reliability study results is presently being completed.

#### Data Analysis

In order to test the general key hypotheses noted heretofore, two independent variables (level of supervision and risk) and one dependent variable (recidivism) were given operational definitions. Level of supervision is here defined in four ways:

1. Level of supervision is the category of supervision (intensive, medium or minimum) to which the proba-

tioner was assigned by the ICFS projects;

2. Level of supervision is the actual number of face-to-face contacts between the probationer and the probation officer during the period of supervision;
3. Level of supervision is the monthly rate of face-to-face contacts over the period of active supervision; and
4. Level of supervision is three newly created supervision levels as determined by the actual number of face-to-face contacts which occurred.

Risk is defined in two ways:

1. Risk is the assigned category of risk (high, medium or low) determined by the projects' risk screening procedures; and
2. Risk is the actual risk score derived from the projects' screening instruments.

Recidivism--the only outcome measure used here--is defined as a global measure encompassing any technical violations, rearrests and reconvictions occurring during the six month follow-up period after the offender is placed on probation. The probation outcome is dichotomized into "favorable" or "unfavorable" as determined by the presence of any of the aforementioned indicators. This outcome variable does not include other effects studied in this evaluation, including recidivism seriousness, costs and social adjustment, which are discussed in other reports; nor does the present analysis include any assessments of exposure to risks of recidivism after the first six months of probation supervision.

Excluded from the analysis are cases in which the probation supervision was not continuous because the probationer was incarcerated or otherwise placed in a residential setting while remaining in the project case load.

Separate analyses were done on the aggregate data and for each individual site. In each analysis a series of contingency tables were created to test the relations of level of supervision and outcome, risk and outcome, and level of supervision by risk and outcome. Secondly, the actual number of contacts, the supervision rate and the risk score were separately correlated with favorable or unfavorable outcomes. Face-to-face contacts and supervision rates were analyzed both in aggregate and by site. Risk scores and outcomes are analyzed only by site, because the risk screening instruments from which the scores are derived are unique for each site.

These analyses consider only two variables at a time, except that some comparisons were made within risk groups. These analyses by themselves may give misleading results if not cautiously interpreted, particularly if groups being compared differ in terms of offender attributes demonstrably related to the outcome measure. Therefore, two analyses were done in order to control statistically for such factors. The first, as explained further subsequently, concerns an assessment of the relation of supervision to the global outcome while controlling statistically for the risk scores that provided the basis for the risk classification. The second method of analysis, also explained in more detail in a later section, compares the actual global outcomes, for the different levels of supervision, with those expected on the basis of offender attributes known at the time of placement on probation.

# FINDINGS - OUTCOMES

The presentation and discussion of findings which follows takes up each subsidiary research question and related hypothesis in turn. Each question is tested first with the aggregate data analysis, where appropriate, and then with individual site data analysis, again where appropriate. Since the National Institute's 1977 "Grant Solicitation for Improved Correctional Field Services Evaluation" stipulated that "the focus of the study should be on the effects of varying the level of supervision," this variable will be discussed first.

- Do differential levels of probation supervision have different effects upon recidivism? Does more intensive supervision result in better performance on probation?

Recidivism outcomes by levels of supervision for all sites is first illustrated in Table 2.

TABLE 2  
OUTCOMES BY SUPERVISION LEVEL

SUPERVISION	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Minimum	20	14%	120	86%	140
Medium	57	19%	247	81%	304
Intensive	12	19%	51	81%	63
TOTAL	89		418		507

$$x^2 = 1.46 ; df = 2; n.s.$$

The table shows that for all sites combined there is no sig-

nificant association between the assigned supervision level and the global outcome measure. In other words, different assigned categories of supervision, considering all sites combined, are not related to recidivism. The minimum supervision probationers, with a lower recidivism rate, did somewhat better as compared to the medium and intensive levels, but not significantly so.

The second analysis compares the actual number of face-to-face contacts (only) with the global measure of outcomes. The resulting correlation coefficient is very small and not significant ( $r = -.02$ ). This means that the overall number of face-to-face contacts between the probationers and their probation officers is not associated with their outcomes. Next is a correlation of the rate of face-to-face contacts over the period of active supervision (supervision rate) with outcomes. This correlation coefficient is small also, and not significant ( $r = -.002$ ). Finally, we created three new supervision levels as determined by the actual number of face-to-face contacts which occurred over the supervision period. By tabulating the number of contacts we were able to subdivide the cohort into three parts: those with a low number of contacts, those with a medium number, and those with a higher number.

The table indicates again that there is no significant association between actual supervision levels and outcomes. It suggests further that the number of face-to-face contacts which actually occurred seems to be considerably fewer than that mandated in all three of the specified supervision levels. This is a subject to which we will return later in this section. The

results are shown in Table 3.

Table 3  
OUTCOMES BY ACTUAL SUPERVISION LEVEL

ACTUAL SUPERVISION (Contacts per month)	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Less than 1	31	18%	137	82%	168
1 - 1.7	34	17%	162	83%	196
More than 1.7	24	17%	119	83%	143
TOTAL	89		418		507

$$\chi^2 = .16 ; df = 2 ; n.s.$$

The result of these analyses of the aggregate data is that we cannot reject the hypothesis that differential levels of probation supervision are not associated with global recidivism. Note, however, that the design of the study--that is, the supervision level allocation process--is such that the better risks (by the project risk scores) were more apt to be assigned to less supervision. Thus, a fair test of supervision levels may not yet have been provided.

What about the individual site data? Let us look at the data from Kane County. Table 4 portrays outcomes by levels of supervision for Kane County only.

Table 4  
OUTCOMES BY SUPERVISION LEVEL  
(Kane County)

SUPERVISION	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Minimum	7	30%	16	70%	23
Medium	17	28%	43	72%	60
Intensive	3	16%	16	84%	19
TOTAL	27		75		102

$$x^2 = 1.41 ; df = 2 ; n.s.$$

The table shows no significant association between level of supervision and outcome in Kane County. The correlation coefficient for face-to-face contacts with outcomes is .15; for supervision rate it is .17. Although these correlation coefficients are larger than those for the aggregate data and are positive (indicating that more contacts tend to be associated with favorable outcomes) neither of them is statistically significant. Again, the null hypotheses cannot be rejected. Note again that the test does not take into account the possible bias associated with risk scores.

Table 5 shows the levels of supervision to outcomes comparison for the Suffolk County data.

Table 5  
OUTCOMES BY SUPERVISION LEVEL  
(Suffolk County)

SUPERVISION	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Minimum	4	10%	37	90%	41
Medium	14	22%	50	78%	64
Intensive	5	23%	17	77%	22
TOTAL	23		104		127

$$x^2 = 2.86 ; df = 2 ; n.s.$$

Again, there is no significant association between the two variables. Face-to-face contacts have a low negative correlation with outcome ( $r = -.09$ ); and supervision rate has a similarly low negative correlation ( $r = -.10$ ). Neither of these correlations is significant.

Table 6 illustrates the same cross-tabulation of data for Florida.

Table 6  
OUTCOMES BY SUPERVISION LEVEL  
(Florida)

SUPERVISION	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Minimum	9	12%	67	88%	76
Medium	26	15%	153	85%	179
Intensive	4	18%	18	82%	22
TOTAL	39		238		277

$$x^2 = .65 ; df = 2 ; n.s.$$

Once again, there is no significant association between levels of supervision and outcomes. The two correlation coefficients, both non-significant, are: face-to-face contacts ( $r = -.002$ ), and supervision rate ( $r = .03$ ).

These data, both in aggregate and by site, show no significant association between the six months global measure of recidivism and varying levels of probation supervision. In these samples, more intensive supervision does not seem to result in better probation performance as determined by the global measure of recidivism; but the analyses do not take account of the risk measures and assignment process.

The second major variable of interest to ICFS is risk screening and classification. The validity of the risk measures used is discussed in detail in a separate report; but the association of the classification and outcomes in these samples may be measured. The question here is:

- Is the classification of risk associated with recidivism in these samples?

In reviewing these data it should be noted that, in a general sense, the aim of the projects is to invalidate, to some degree, the risk classification! That is, the objective is to supervise some poor risks in such a way that their performance is improved.

Table 7, using the aggregate data, shows a cross-tabulation relating the three possible assigned categories of risk to the global outcome measure.

Table 7  
OUTCOMES BY RISK ASSIGNMENT

RISK	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Low	17	15%	93	85%	110
Medium	61	18%	286	82%	347
High	11	22%	38	78%	49
TOTAL	89		417		506

$$x^2 = 1.14 ; df = 2 ; n.s.$$

Table 7 indicates that there is no statistically significant association between assigned risk levels and favorable or unfavorable outcomes. The recidivism rate, as would be expected, is higher for the higher risk levels, but in this sample, not significantly so. The observed differences are in the expected direction, and these data should be interpreted in the light of, first the evidence on validity of the risk measures presented in a separate report and, second, the partial confounding of risk and supervision that obtains as a result of the screening and assignment process previously described.

We can look similarly at the individual site data to see if there is any risk to outcome association, in these samples, by site. Table 8 shows outcomes by risk assignment for Kane County, Table 9 for Suffolk County, and Table 10 for Florida. In no instance is there a significant association.



Table 8  
OUTCOMES BY RISK ASSIGNMENT  
(Kane County)

RISK	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Low	4	21%	15	79%	19
Medium	18	26%	50	74%	68
High	5	33%	10	67%	15
TOTAL	27		75		102

$$x^2 = .65 ; df = 2 ; n.s.$$

Table 9  
OUTCOMES BY RISK ASSIGNMENT  
(Suffolk County)

RISK	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Low	4	19%	17	81%	21
Medium	18	19%	76	81%	94
High	1	8%	11	92%	12
TOTAL	23		104		127

$$x^2 = .85 ; df = 2 ; n.s.$$

Table 10  
OUTCOMES BY RISK ASSIGNMENT  
(Florida)

RISK	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT.	
Low	9	13%	61	87%	70
Medium	25	14%	160	86%	185
High	5	23%	17	77%	22
TOTAL	39		238		277

$$x^2 = 1.49 ; df = 2 ; n.s.$$

The second level of analysis of risk is by project site only, since the probationers' risk scores were derived from three separate and individually developed risk screening instruments. This analysis correlates the actual risk score for each probationer with that probationer's global outcome, that is, favorable or unfavorable. The results are as follows:

Kane County  $r = .19; n.s.$   
Suffolk County  $r = -.17; n.s.$   
Florida  $r = .13; p < .05$

These findings indicate that, in these samples, there is no significant correlation between risk scores and global, six-month outcomes in either Kane County or Suffolk County. There is a significant correlation in Florida. (The correlations are point biserial correlation-coefficients, since the outcome is a dichotomous classification.) The larger number of cases in Florida ( $N = 269$ ) accounts for the statistically significant correlation in that site despite the lower value. In the other two sites, the observed correlations are each in the expected direction (the Suffolk County instrument is scored in reverse order from the others, accounting for the negative correlation).

The analysis of supervision and risk interaction effects, which will follow, will shed some further light on what accounts for the outcomes observed. Meanwhile, an examination of the intercorrelations of risk scores, the supervision rate measure, and the global outcome measure may be reported.

Since risk scores are potentially related to outcomes and also to the level of supervision (as measured by the supervision

rate) the correlation of supervision rate with outcome while controlling for risk scores is of substantial interest. That is, we wish to measure the relation of supervision rates, within each site, with outcome while taking account of the risk scores. This may be done by measuring the partial correlation coefficient, which gives a measure of the correlation desired while nullifying the effects of the risk scores on both the variables being correlated. That is, we wish to know the correlations between supervision rate and global outcome with the influence of risk scores ruled out.

The relevant correlations for Kane County are as follows:

KANE COUNTY INTERCORRELATIONS OF  
SUPERVISION RATE, GLOBAL RECIDIVISM,  
AND RISK SCORE

	<u>GLOBAL RECIDIVISM</u>	<u>RISK SCORE</u>
Supervision Rate	.173	-.242
Global Recidivism		.187

The partial correlation coefficient describing the relation of supervision rates to the global outcomes with risk scores taken into account is .229, which is significant at the five percent level of confidence. This suggests that increased rates of contact are associated with more favorable outcomes when the selection bias due to the risk screening process is taken into account.

The analogous analyses for Suffolk County and Florida data are as follows:

SUFFOLK COUNTY INTERCORRELATIONS OF  
SUPERVISION RATE, GLOBAL RECIDIVISM,  
AND RISK SCORE

	<u>GLOBAL RECIDIVISM</u>	<u>RISK SCORE</u>
Supervision Rate	-.097	.280
Global Recidivism		-.173

The partial correlation coefficient is -.055, which is not statistically significant. Supervision rate is not associated with outcome in Suffolk, even when their risk scores are taken into account. In Florida, the same thing is true. The partial correlation coefficient there is .036, which also is not significant.

FLORIDA INTERCORRELATIONS OF  
SUPERVISION RATE, GLOBAL RECIDIVISM,  
AND RISK SCORE

	<u>GLOBAL RECIDIVISM</u>	<u>RISK SCORE</u>
Supervision Rate	.027	-.063
Global Recidivism		.134

There is one other aspect of the research problem which needs to be addressed. This concerns the specific hypothesis "that increased or intensive levels of supervision. . . can increase the probability of success for high risk offenders."

In order to test this hypothesis, we isolated the high risk probationers from all three sites and analyzed the effects upon them of the differential levels of supervision. The results are shown in Table 11.

Table 11

OUTCOMES FOR HIGH RISKS BY SUPERVISION LEVEL

SUPERVISION	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Minimum	0	0%	3	100%	3
Medium	6	30%	14	70%	20
Intensive	5	19%	21	81%	26
TOTAL	11		38		49

$$x^2 = 1.68 ; df = 2 ; n.s.$$

The table indicates that there is no significant association between supervision level and outcomes for high risk probationers. Because the number of cases is so small, because the data are therefore combined from the three sites, and noting that the observed difference is in the expected direction, this result should be treated very cautiously. However, the hypothesis that increased levels of supervision increase success for high risk offenders does not seem to be supported.

This same analysis was performed for low and medium risk probationers from all sites as well. The results are shown in Tables 12 and 13.

Table 12

OUTCOMES FOR LOW RISKS BY SUPERVISION LEVEL

SUPERVISION	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Minimum	9	13%	58	87%	67
Medium	8	19%	34	81%	42
Intensive	0	0%	1	100%	1
TOTAL	17		93		110

$$x^2 = .81 ; df = 2 ; n.s.$$

Table 13

OUTCOMES FOR MEDIUM RISKS BY SUPERVISION LEVEL

SUPERVISION	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Minimum	11	16%	59	84%	70
Medium	43	18%	198	82%	241
Intensive	7	19%	29	81%	36
TOTAL	61		286		347

$$x^2 = .266 ; df = 2 ; n.s.$$

In each case there is no significant association.

The different levels or categories of risk may be examined similarly while controlling for levels of supervision. The results are shown in Tables 14, 15, and 16.

Table 14

OUTCOMES FOR MINIMUM SUPERVISION BY RISK ASSIGNMENT

RISK	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Low	9	13%	58	87%	67
Medium	11	16%	59	84%	70
High	0	0%	3	100%	3
TOTAL	20		120		140

$$x^2 = .66 ; df = 2 ; n.s.$$

Table 15

OUTCOMES FOR MEDIUM SUPERVISION BY RISK ASSIGNMENT

RISK	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Low	8	19%	34	81%	42
Medium	43	18%	198	82%	241
High	6	30%	14	70%	20
TOTAL	57		246		303

$$\chi^2 = 1.79 ; df = 2 ; n.s.$$

Table 16

OUTCOMES FOR INTENSIVE SUPERVISION BY RISK ASSIGNMENT

RISK	GLOBAL OUTCOME				TOTAL
	UNFAVORABLE		FAVORABLE		
	NUMBER	PERCENT	NUMBER	PERCENT	
Low	0	0%	1	100%	1
Medium	7	19%	29	81%	36
High	5	19%	21	81%	26
TOTAL	12		51		63

$$\chi^2 = .24 ; df = 2 ; n.s.$$

Once again, there are no significant associations.

The inevitable conclusion at this point seems to be that, so far as this cohort is concerned, neither the risk screening classifications nor the assignment of probationers to different levels of supervision is associated with the six-month global criterion. But let us explore and examine further.

The analyses discussed heretofore have had the limitation that selection bias in assignments to supervision levels may not have been taken into account adequately. If demonstrably relevant offender characteristics (that is, probationer attributes associated with the global outcome criterion) are not reflected adequately in either the risk or the supervision classifications, then the results may be misleading. For example, some of the relevant infor-

mation which provides the basis for the risk classification is lost when the continuous risk score is used with cutting scores to divide the sample into three groups, i.e., low, medium and high risk. That is, some potentially relevant information is discarded and hence not taken into account even though the aim in examining risk groups separately is to "control" for the risk measurement.

Similarly, if there are offender characteristics that are related to the outcome criterion but these had not been included in the project risk measures, then these probationer attributes also properly should be taken into account in comparing the outcomes.

Two sets of analyses will be described next, which are intended to provide assessments of the major study hypotheses while controlling statistically for relevant offender characteristics known before the differential classification and supervision processes were imposed. In the first, the objective is to control for the actual risk scores used for classification by the project personnel. In the second, a "risk measure" developed on the basis of the observed relations of offender characteristics to the global outcomes, in the samples studied, is used. In the latter case, we wish to provide a statistical correction for any demonstrable bias in the classification-supervision process. More simply, we wish to compare global outcomes after taking into account the different kinds of probationers assigned to the different risk-supervision combinations.

The first set of these analyses is illustrated by the results from the Suffolk County data. These are shown in Table 17.

TABLE 17

ACTUAL AND ADJUSTED GLOBAL OUTCOMES, FOR SUFFOLK COUNTY,\*  
BY SUFFOLK COUNTY RISK AND SUPERVISION ASSIGNMENTS

RISK	NUMBER	PERCENT WITH FAVORABLE OUTCOMES					
		SUPERVISION LEVEL					
		MINIMUM		MEDIUM		INTENSIVE	
		ACTUAL	ADJUSTED	ACTUAL	ADJUSTED	ACTUAL	ADJUSTED
LOW	21	91% (n=11)	68%	70% (n=10)	47%	--	--
MEDIUM	94	90 (n=30)	89	78 (n=46)	81	72% (n=18)	78%
HIGH	9	--	--	86 (n=7)	100	100 (n=2)	100

OVERALL GLOBAL OUTCOME PERCENT = 81

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## ANALYSIS OF VARIANCE SUMMARY

MODEL: GLOBAL OUTCOME AS A FUNCTION OF RISK CLASS, SUPERVISION CLASS  
AND OFFENDER ATTRIBUTES (SUFFOLK RISK)

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
MODEL	7	2.21	.316	2.22	.04
ERROR	116	16.52	.142		

## ANALYSIS OF COVARIANCE SUMMARY

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
RISK	2	1.294	.647	4.56	.01
SUPERVISION	2	.211	.106	.75	.48
INTERACTION: RISK & SUPERVISION	2	.134	.067	.47	.63
OFFENDER ATTRIBUTES	1	1.484	1.484	10.45	.002

\*Different N's result  
from no risk scores  
on certain cases.



In the top portion of this table, the actual (that is, observed) proportions of probationers with favorable global outcomes may be seen. We wish, however, to analyze the variability in outcomes that is associated with the risk classification as well as the supervision level; further, we wish to determine whether a portion of that variation is associated with the interaction of risk and supervision levels. Moreover, we wish to know whether a portion of that variation in outcomes may be attributed to the risk scores (as distinct from the three-part classification). Finally, we wish to make assessments of risk class, supervision level, and the interaction of these while "holding constant" or correcting statistically for the risk scores of the offenders. The probationer attributes on which these scores are based are descriptive of the persons at the outset of probation--based as they are on history or prior record--and unless it can be shown that the program classification (of risk, supervision, or interaction of these) helps explain the differences in outcomes beyond that explained by these scores, it will be difficult to argue that the classification and supervision program had any differential effect on the global outcome.

The summary of the analysis of variance, in the middle of Table 17, shows that the "model" described above is statistically significant at the five percent level of confidence. Thus, we must reject the hypothesis that the differences in outcome are due to none of the elements: risk class, supervision class, interaction of risk x supervision, or Suffolk risk scores.

The analysis of covariance, summarized at the bottom of the

table, provides a test of each of these elements. The largest contribution to the explanation of the outcome differences is shown to be the Suffolk risk scores; and this is statistically significant. When these scores are taken into account, neither supervision nor the interaction of risk x supervision has a statistically significant effect. The risk classification, however, has an effect, perhaps surprisingly, even after the individual risk scores have been taken into account. (It should be noted that the probation officers are aware that assignments to supervision levels are made, some of the time, on the basis of risk--so that in general probationers assigned to a higher level of supervision will tend to be those defined as poorer risks.)

The analysis of covariance permits also the calculation of an "adjusted mean" global outcome score that may be compared with the actually observed mean outcome. Since the global outcome was scored as a zero (unfavorable) or one (favorable), these means, multiplied by 100, may be regarded as adjusted percents with favorable outcomes. These are shown beside the actual percents in the top third of the table. The adjusted percents may be regarded as the "success rate" after the probationer risk scores have been taken into account. For example, the actual "success rates" for low and medium risk classes of probationers, assigned to minimum supervision, were about the same--91 and 90 percent respectively. When the adjustment is made for the risk scores, the adjusted rates are rather different--68 and 89 percent. This reflects the fact that the probationers classed as low risks were indeed better risks than were those classed as

medium risks.

The comparable analysis for the Kane County data is given in Table 18. None of the elements in the model has a statistically significant effect except the Kane County risk scores.

A similar result is found with the Florida program. (See Table 19.) Neither the risk classification, the supervision level, nor the interaction of risk x supervision has a statistically significant effect when the Florida risk scores are controlled statistically. Some variation in outcomes is accounted for by these scores.

In summary, these analyses show that

- . In each site, some of the variation in global outcome is explained by the risk scores developed and used by the staff in classification and assignment to supervision levels.
- . When the risk scores are controlled statistically,
  - the risk classification is found to have an effect in Suffolk County but not in the other two sites;
  - supervision levels have no effect;
  - the interaction of risk class x supervision level has no effect.

The second set of multivariate analyses is completed in the same way, except that the intent is to control for any offender attributes demonstrably related, in these combined samples, to the outcome measure. In order to combine this information in a convenient fashion, items known at the time of probation placement are combined (by multiple linear regression) into a single

TABLE 18

ACTUAL AND ADJUSTED GLOBAL OUTCOMES, FOR KANE COUNTY  
BY KANE COUNTY RISK AND SUPERVISION ASSIGNMENTS

RISK	NUMBER	PERCENT WITH FAVORABLE OUTCOMES					
		SUPERVISION LEVEL					
		MINIMUM		MEDIUM		INTENSIVE	
		ACTUAL	ADJUSTED	ACTUAL	ADJUSTED	ACTUAL	ADJUSTED
LOW	19	82% (n=11)	64%	71% (n=7)	46%	100% (n=1)	77%
MEDIUM	68	58 (n=12)	62	72 (n=47)	72	100 (n=9)	100
HIGH	15	--	--	67 (n=6)	89	67 (n=9)	87

OVERALL GLOBAL OUTCOME PERCENT = 74

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## ANALYSIS OF VARIANCE SUMMARY

MODEL: GLOBAL OUTCOME AS A FUNCTION OF RISK CLASS, SUPERVISION CLASS  
AND OFFENDER ATTRIBUTES (KANE RISK)

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
MODEL	8	2.04	.256	1.34	.24
ERROR	93	17.81	.191		

## ANALYSIS OF COVARIANCE SUMMARY

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
RISK	2	.179	.090	.47	.63
SUPERVISION	2	.255	.128	.67	.52
INTERACTION: RISK x SUPERVISION	3	.520	.173	.90	.44
OFFENDER ATTRIBUTES	1	.912	.912	4.77	.03

TABLE 190

ACTUAL AND ADJUSTED GLOBAL OUTCOMES, FOR FLORIDA\*  
BY FLORIDA'S RISK AND SUPERVISION ASSIGNMENTS

RISK	NUMBER	PERCENT WITH FAVORABLE OUTCOMES					
		SUPERVISION LEVEL					
		MINIMUM		MEDIUM		INTENSIVE	
		ACTUAL	ADJUSTED	ACTUAL	ADJUSTED	ACTUAL	ADJUSTED
LOW	67	86% (n=43)	79%	88% (n=24)	78%	--	--
MEDIUM	180	89 (n=27)	91	87 (n=144)	89	78% (n=9)	83%
HIGH	22	100 (n=3)	100	50 (n=6)	66	85 (n=13)	98

OVERALL GLOBAL OUTCOME PERCENT = 86

## ANALYSIS OF VARIANCE SUMMARY

MODEL: GLOBAL OUTCOME AS A FUNCTION OF RISK CLASS, SUPERVISION CLASS,  
AND OFFENDER ATTRIBUTES (FLORIDA RISK)

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
MODEL	8	1.66	.208	1.74	.09
ERROR	260	30.97	.119		

## ANALYSIS OF COVARIANCE SUMMARY

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
RISK	2	.083	.042	.35	.71
SUPERVISION	2	.469	.234	1.97	.14
INTERACTION: RISK & SUPERVISION	3	.606	.202	1.70	.17
OFFENDER ATTRIBUTES	1	.723	.723	6.08	.01

\*Different N's result  
from no risk scores  
on certain cases.

score. (More detail on the development of this measure is given in a companion report.)

The equation (i.e., the method of scoring for each probationer) takes account of the following offender attributes: educational attainment, age, past residence changes, prior arrests as an adult, prior sentences to probation, age at first arrest, age at first conviction, evidence of substance abuse or drug abuse, certain offenses--including resisting arrest and disorderly conduct, prior arrest for offense against person, prior arrest for offense against property, and prior conviction for offense against property. The scores, which are a weighted linear composite of the scores on these attributes, provide an "expected" value of the global outcome based on these probationer characteristics.

The distributions of these scores (called PREDRISK scores) are shown in Table 20 for the two outcome categories. It should be noted that this table shows the association of these scores with the global outcome for the samples from which they were derived, i.e., the combined data from the three sites. Since we wish to examine the global outcomes for the three sites combined but also for each site separately, it is of interest to note also the relation of these scores to outcomes in the data from each agency; these data are shown in Table 21.

In both Table 20 and Table 21, the PREDRISK scores are grouped to provide seven classifications of probationers. This is done merely to permit a more convenient examination of the association of the scores with the global outcome measure; in

Table 20

RELATION OF PREDRISK SCORES TO GLOBAL OUTCOMES, THREE SITES  
COMBINED, STUDY SAMPLE

GROUP	SCORES	PERCENT OF TOTAL	NUMBER		PERCENT FAVORABLE
			FAVORABLE	UNFAVORABLE	
A	108.7 or above	20	1	0	100
B	108.6 - 96.0	14	66	4	94
C	95.9 - 88.6	21	94	10	90
X	88.5 - 75.5	37	166	20	89
D	75.4 - 68.8	12	43	18	70
E	68.7 - 55.6	13	39	28	58
F	55.5 - 0	3	8	9	47
TOTAL			417	89	.82

Biserial correlation coefficient = .51

Point biserial correlation coefficient = .35

Mean cost rating = .46



Table 21

RELATION OF PREDRISK SCORES TO GLOBAL OUTCOMES FOR  
SUFFOLK COUNTY, KANE COUNTY, AND FLORIDA

	GROUP	PERCENT OF TOTAL	NUMBER		PERCENT FAVORABLE
			FAVORABLE	UNFAVORABLE	
SUFFOLK	A	0	0	0	0
	B	9	10	1	90
	C	16	19	1	95
	X	42	49	4	92
	D	17	18	3	86
	E	15	6	12	33
	F	3	2	2	50
KANE	A	0	0	0	0
	B	2	2	0	100
	C	12	11	1	92
	X	35	29	7	81
	D	19	12	7	63
	E	26	18	9	67
	F	6	3	3	50
FLORIDA	A	0	1	0	100
	B	21	54	3	95
	C	26	64	8	89
	X	35	88	9	91
	D	8	13	8	62
	E	8	15	7	68
	F	3	3	4	43

SITE	BISERIAL CORRELATION	POINT BISERIAL CORRELATION	MEAN COST RATING
SUFFOLK	.63	.43	.58
KANE	.35	.26	.31
FLORIDA	.49	.32	.40

the analysis of covariance the actual (ungrouped) scores are used. (The groups are defined arbitrarily by standard deviation units, such that the scores in group A are at or above two standard deviations above the mean score and B =  $1\sigma$  to  $2\sigma$ , C =  $.5\sigma$  to  $1\sigma$ , x =  $-.5\sigma$  to  $.5\sigma$ , D =  $-.5\sigma$  to  $-1\sigma$ , E =  $-1\sigma$  to  $-2\sigma$ , and F  $\leq -2\sigma$ .) In Table 20, the percent of probationers in each score group who had favorable global outcomes is shown in the column at the extreme right, and it can be seen that the proportions of probationers who "succeeded" decrease with decreasing scores. The correlations of the PREDRISK scores with the global outcome classification are shown below the Table, along with the mean cost rating. (The latter statistic is one often used in assessments of prediction methods of this sort, and it is described in detail in the companion report mentioned previously.) Similar data are given for each site separately in Table 21. Together, these tables show that the PREDRISK scores are related substantially to the global outcome classification, whether the data are combined from the three sites or considered separately.

The analysis of covariance for the data from the three sites combined is summarized in Table 22, which shows also the actual and adjusted favorable outcome percents. The only statistically significant source of variation in outcomes is the PREDRISK scores, i.e., the summary of offender attributes known before the classification and assignment procedures were instituted. After these scores are taken into account in the analysis, neither risk class nor assigned supervision level, nor the interaction of these is statistically significant. It should be noted

(TABLE 22)

ACTUAL AND ADJUSTED GLOBAL OUTCOMES, THREE SITES COMBINED,  
BY RISK AND SUPERVISION ASSIGNMENTS

RISK	NUMBER	PERCENT WITH FAVORABLE OUTCOMES					
		SUPERVISION LEVEL					
		MINIMUM		MEDIUM		INTENSIVE	
		ACTUAL	ADJUSTED	ACTUAL	ADJUSTED	ACTUAL	ADJUSTED
LOW	110	86% (n=67)	80%	81% (n=42)	73%	100% (n=1)	100%
MEDIUM	347	84 (n=70)	86	82 (n=241)	83	80 (n=36)	83
HIGH	49	100 (n=3)	100	70 (n=20)	82	81 (n=26)	88

OVERALL GLOBAL OUTCOME PERCENT = 82

#### ANALYSIS OF VARIANCE SUMMARY

MODEL: GLOBAL OUTCOME AS A FUNCTION OF RISK CLASS, SUPERVISION CLASS  
AND OFFENDER ATTRIBUTES (PREDRISK)

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
MODEL	9	9.55	1.061	8.22	<.0001
ERROR	496	63.80	.129		

#### ANALYSIS OF COVARIANCE SUMMARY

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
RISK	2	.118	.059	.46	.63
SUPERVISION	2	.325	.162	1.26	.28
INTERACTION: RISK & SUPERVISION	4	.207	.052	.40	.81
OFFENDER ATTRIBUTES	1	8.948	8.948	69.36	.0001

that the probability of obtaining a value of  $F$  as large or larger than that shown for the supervision effect, if there is no effect (under the null hypothesis), is .28; the values for risk and for the interaction term are markedly larger.

The comparable analyses for the three sites separately are summarized in Tables 23-25. In no case is there a statistically significant effect for the risk class, the supervision level, or the interaction.

The analyses described thus far have included "level of supervision" as the assigned level, that is, the designated or intended level of supervision. Since it may be expected that there is some variation in actual supervision within assigned levels, a similar, yet different question may be asked: Is there any supervision effect when actual, rather than intended, supervision is measured?

In order to address this question, level of supervision was defined operationally as the monthly rate of face-to-face contacts during the period of active supervision. The results of the analogous analysis of covariance are nearly identical, with one exception. In Florida, the supervision rate is a significant source of variation in global outcomes ( $F = 1.54$ , d.f. = 32,  $p = .04$ ) even after the variation due to the PREDRISK scores is taken into account. Thus, the rate of face-to-face contacts in Florida does affect the outcomes, judging from this analysis.

With that exception, these analyses generally support the conclusions that, in each site and overall:

- . The risk classification had no effect on global outcomes;

TABLE 23  
ACTUAL AND ADJUSTED GLOBAL OUTCOMES, SUFFOLK COUNTY,  
BY RISK AND SUPERVISION ASSIGNMENTS

RISK	NUMBER	PERCENT WITH FAVORABLE OUTCOMES					
		SUPERVISION LEVEL					
		MINIMUM		MEDIUM		INTENSIVE	
		ACTUAL	ADJUSTED	ACTUAL	ADJUSTED	ACTUAL	ADJUSTED
LOW	21	91% (n=11)	85%	70% (n=10)	63%	--	--
MEDIUM	94	90 (n=30)	89	78 (n=46)	81	72% (n=18)	73%
HIGH	12	--	--	88 (n=8)	91	100 (n=4)	97

OVERALL GLOBAL OUTCOME PERCENT = 82

ANALYSIS OF VARIANCE SUMMARY

MODEL: GLOBAL OUTCOME AS A FUNCTION OF RISK CLASS, SUPERVISION CLASS,  
AND OFFENDER ATTRIBUTES (PREDRISK)

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
MODEL	7	4.32	.617	5.02	<.0001
ERROR	119	14.52	.123		

ANALYSIS OF COVARIANCE SUMMARY

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
RISK	2	.438	.219	1.78	.17
SUPERVISION	2	.299	.150	1.22	.30
INTERACTION: RISK & SUPERVISION	2	.099	.050	.41	.67
OFFENDER ATTRIBUTES	1	3.505	3.505	28.50	<.0001

ACTUAL AND ADJUSTED GLOBAL OUTCOMES, KANE COUNTY,  
BY RISK AND SUPERVISION ASSIGNMENTS

RISK	NUMBER	PERCENT WITH FAVORABLE OUTCOMES					
		SUPERVISION LEVEL					
		MINIMUM		MEDIUM		INTENSIVE	
		ACTUAL	ADJUSTED	ACTUAL	ADJUSTED	ACTUAL	ADJUSTED
LOW	19	82% (n=11)	79%	71% (n=7)	66%	100% (n=1)	100%
MEDIUM	68	58 (n=12)	60	72 (n=47)	73	100 (n=9)	95
HIGH	15	--	--	67 (n=6)	70	67 (n=9)	74

OVERALL GLOBAL OUTCOME PERCENT = 74

ANALYSIS OF VARIANCE SUMMARY

MODEL: GLOBAL OUTCOME AS A FUNCTION OF RISK CLASS, SUPERVISION CLASS,  
AND OFFENDER ATTRIBUTES (PREDRISK)

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
MODEL	8	2.17	.271	1.43	.20
ERROR	93	17.69	.19		

ANALYSIS OF COVARIANCE SUMMARY

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
RISK	2	.140	.070	.37	.69
SUPERVISION	2	.279	.140	.74	.48
INTERACTION:					
RISK & SUPERVISION	3	.314	.105	.55	.65
OFFENDER ATTRIBUTES	1	1.033	1.033	5.44	.02

TABLE 25

ACTUAL AND ADJUSTED GLOBAL OUTCOMES, FLORIDA,  
BY RISK AND SUPERVISION ASSIGNMENT

RISK	NUMBER	PERCENT WITH FAVORABLE OUTCOMES					
		SUPERVISION LEVEL					
		MINIMUM		MEDIUM		INTENSIVE	
		ACTUAL	ADJUSTED	ACTUAL	ADJUSTED	ACTUAL	ADJUSTED
LOW	70	87% (n=45)	81%	88% (n=25)	82%	--	--
MEDIUM	185	89 (n=28)	91	86 (n=148)	87	78% (n=9)	100%
HIGH	22	100 (n=3)	100	50 (n=6)	72	85 (n=13)	91

OVERALL GLOBAL OUTCOME PERCENT = 86

## ANALYSIS OF VARIANCE SUMMARY

MODEL: GLOBAL OUTCOME AS A FUNCTION OF RISK CLASS, SUPERVISION CLASS,  
AND OFFENDER ATTRIBUTES (PREDRISK)

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
MODEL	8	3.75	.469	4.23	<.0001
ERROR	268	29.76	.111		

## ANALYSIS OF COVARIANCE SUMMARY

SOURCE	DEGREES OF FREEDOM	SUM OF SQUARES	MEAN SQUARE	F	P
RISK	2	.050	.025	.23	.80
SUPERVISION	2	.253	.126	1.14	.32
INTERACTION:					
RISK & SUPERVISION	3	.261	.087	.78	.51
OFFENDER ATTRIBUTES	1	2.805	2.805	25.27	<.0001



- . The supervision level had no effect on global outcome; and
- . The interaction of risk class and supervision level had no effect on global outcome.

Thus, when allowance is made for relevant characteristics of the probationers assigned to risk levels and differential supervision categories, the major hypotheses providing the rationale for the projects are not supported.

A potential hazard in hypothesis testing such as discussed in this report, presenting a risk that is well recognized, is that there are two kinds of errors potentially to be made. The first, usually called "type I error," consists in rejecting the null hypothesis when in fact it is true. That is, if there really are no classification or treatment effects, but these are claimed, a type I error has occurred. Since none of the results reported here resulted in such a claim (except the Florida supervision rate effect), we are in little danger of making this kind of error. The second type of potential error is the reverse: it consists of failing to reject the null hypothesis when it is not true, i.e., when classification or treatment effects do obtain. In a sense, the five percent level of confidence assumed for the purpose of the statistical tests reported here is conservative with respect to type I errors; following the five percent level of confidence rule means that we are not apt to commit type I errors. But because type II errors represent a risk as well, it may be important to search for any trends or suggestions in the data, suggestions that some elements in the classification-supervision program may be worth pursuing further.

A first means of searching for such clues is given by a comparison, for all sites combined, of the expected and actual values of global outcomes associated with each combination of risk and supervision classes. The expected values are those derived by means of the PREDRISK scores; that is, these are assumed to provide a measure of the expected "success" rates on the basis of relevant offender characteristics known before the program began. The comparison is shown in Table 26.

Generally, the differences between expected and actual values are not large. This is consistent with the finding that significant differences were not found. It may be noted that the persons classed as "low risk" did somewhat more poorly than expected, particularly in the medium supervision caseloads. The "medium risk" classed persons performed about as expected. The "high risk" class performed as expected with medium supervision; but with intensive supervision they performed somewhat better (consistent with the project hypothesis). Again, it should be noted that these differences are not significant.

An overview of the project results with this limited cohort of subjects, studied for only six months after placement on probation with respect to the "global outcome" criterion heretofore defined, is given in Figure 1. This is an "inside-out plot" of the data presented in Tables 22-25. The adjusted "success" rates (i.e., favorable global outcome, defined by the adjusted means in the analysis of covariance) are shown for each class of assigned supervision, according to the site and the project risk classifications. Thus, disregarding momentarily that none of

Table 26  
ACTUAL AND EXPECTED GLOBAL OUTCOMES,  
THREE SITES COMBINED, BY RISK AND SUPERVISION LEVELS\*

RISK	SUPERVISION	N	ACTUAL	EXPECTED	DIFFERENCE
LOW	MINIMUM	67	86.6	88.7	-2.1
LOW	MEDIUM	42	81.0	89.2	-8.2
MEDIUM	MINIMUM	70	84.3	80.6	+3.7
MEDIUM	MEDIUM	241	82.2	81.6	+ .6
MEDIUM	INTENSIVE	36	80.6	80.1	+ .5
HIGH	MEDIUM	20	70.0	70.4	- .4
HIGH	INTENSIVE	26	80.8	74.9	+5.9

\*Risk/Supervision combinations with fewer than four probationers are excluded.

the differences shown were statistically significant, we may ask the central question for the study: "What supervision class worked best for what risk classes?"

If we are now hunting for clues for further study, rather than testing hypotheses, the following features of Figure 1 are worth noting:

1. With probationers classed as high risks, assignment to intensive supervision had a more favorable result than assignment to medium level supervision. This was the case in each site.
2. Persons classified as low risk probationers had more favorable outcomes when placed in minimum supervision (rather than those placed in medium supervision) in Suffolk and Kane counties, though not in Florida, where there was essentially no difference.
3. Results with probationers classified by the projects as medium risks were mixed. The ordering of type of supervision assignment, according to adjusted success rates, is just reversed in Suffolk compared with Kane county; and it is different yet in Florida.

Before the general hypotheses of the study and the causal assumptions from which they were derived are accepted or rejected, one must ask also whether they have been validly tested by the ICFS projects. Some limitations already have been discussed, and we turn next to a discussion of issues concerning the strength and integrity of the supervision (treatment) implementation.

Min = Minimum Supervision  
 Med = Medium Supervision  
 Int = Intensive Supervision  
 Supervision x Risk Classification  
 with N  $\leq$  4 excluded

SITE	RISK CLASS	
SUFFOLK COUNTY	Low	Med Min
	Medium	Int Med Min
	High	Med Int
KANE COUNTY	Low	Med Min
	Medium	Min Med Int
	High	Med Int
FLORIDA	Low	Min Med
	Medium	Med Min Int
	High	Med Int
COMBINED SITES	Low	Med Min
	Medium	Int Med Min
	High	Med Int

Adjusted "Success" Rate  
 (Favorable Global Outcome)

Figure 1  
 Inside-Out Plot of Data from Tables 22 - 25:  
 Supervision Levels by Adjusted Means for Global  
 Outcomes, According to Risk Classifications

# Strength and Integrity of the ICFS Treatment

In a recent paper developing these concepts, Sechrest and Redner make the following observation:

When interpreting the results of an evaluation study, the question of whether the study was a valid one on which to base the interpretations is of paramount importance. For if the validity of the study is suspect, any interpretations will be unwarranted and potentially misleading.<sup>10</sup>

Erroneous conclusions may be reached that a treatment is effective when it is not, according to these authors, or that a treatment is not effective when, in fact, it is.

Sechrest and Redner point out that a failure may occur in what is known as construct validity "when a treatment is assumed to be taking place when, in fact, nothing is happening, or when a treatment is delivered in some diluted. . . way."<sup>11</sup> Their notion of strength of correctional treatment includes such possible elements as number and length of contacts or sessions between treaters and offenders, frequency of contacts, or period of time of exposure.

This concept of treatment strength is very much applicable to ICFS which explicitly designed "treatment" to be administered in certain clearly prescribed strengths or dosages. Some probationers were to have one personal face-to-face contact per month; some two contacts; and some were to have two personal face-to-face contacts per week. These dosages, clearly spelled out and clearly different (particularly in the case of the most intensive supervision), were to be administered over a uniform time of exposure, that is, six months. Sechrest and Redner emphasize that, "Any conclusions about whether a treatment is effective or not

must be reached with full knowledge of just how strong the treatment was."<sup>12</sup> Accordingly, we need to address this issue.

The second related concept, integrity of treatment, must likewise be examined in the ICFS context. "Integrity of treatment refers to the fidelity with which the treatment plan is carried out."<sup>13</sup> To what degree was the planned intervention actually carried out? Did the three ICFS projects, in other words, do what they planned to do in order to provide the basis for valid tests of the research hypotheses about level of supervision and risk?

With regard to two key variables, the projects were given specific mandates by LEAA in its grant approval. The first was to develop and validate a risk screening mechanism, which then would be used to classify and assign probationers by risk to certain supervision or treatment categories. They were to supervise their clients for at least six months, providing the prescribed dosage of contacts between officers and probationers. These two requirements constituted what might be termed the classification and treatment plan. To the extent that they were met, we can have confidence that the experiment provided the basis for an ultimate valid test.

Let us look at the first requirement which was to develop and validate a risk screening instrument. Was this done? The answer, discussed at length in a companion report, is both yes and no. Risk screening instruments were developed in all three sites. In one site only, however, was the instrument actually validated prior to its application to the ICFS population. That

site is Suffolk County. In the other two sites, instruments were developed from what is known as a construction sample and then employed in the ICFS project without validation in any new sample. The consequence of this failure is that the risk variable did not have, at the start of the program, demonstrable validity in two of the three projects. It is true that the ICFS samples themselves can and will serve as validation samples; and, further, that the evaluation can assess the efficiency of those instruments. These assessments, however, are after the fact in that the use of these two instruments was a fait accompli before their validity and efficiency was established.

That the risk scores used at each site do have some validity in respect to the global, six months on-probation criterion used in this report is reflected in the results of the analyses of covariance summarized in Tables 17-19. At the bottom of each of those summaries, the phrase "offender attributes" refers to these risk scores. In the analysis for each site, these scores are seen to be a significant source of variation in the global outcomes. Validity, of course, is a matter of degree, and a more detailed assessment is given in the companion report which addresses this aspect of the study as an important topic in its own right. It can be asserted, however, even on the basis of the results shown in Tables 17-19, that each site did develop valid screening instruments. This part of the classification and treatment plan was not carried out with fidelity in two of the three sites, since the critical step of validation was omitted; nevertheless, the risk scores were in fact related to probation outcomes.

But what about the supervision part of the plan? Unfortunately, here the failure is even greater, at least for the first six months cohorts. We examined the variable "supervision rate" (the rate of face-to-face contacts over the period of active supervision) and constructed a frequency table. This analysis of the combined data discloses that the median rate of contacts was 1.3 per month, the mean rate was 1.68, and the mode was one per month. A total of 89 cases (17.7 percent) had a rate of less than one contact per month. In other words, nearly one-fifth of the cohort was in a less than minimum supervision category. A total of 307 cases (60.9 percent) received minimum supervision, that is, at least one, but less than two contacts per month. Together, these two categories constitute 78.6 percent of the sample cohort. Of the remainder, 21.2 percent received medium supervision (two - 7.67 contacts per month). What about intensive supervision? This level, it will be recalled, required 8 contacts per month. The number of cases receiving 8 or more was exactly one, or 0.2 percent of the total. The individual site data are illustrated in Table 27.

Table 27

SUPERVISION RATE BY SITES

	KANE COUNTY	SUFFOLK COUNTY	FLORIDA
Mean	1.8	2.4	1.3
Median	1.3	1.8	1.2
Mode	1.3	1.0	1.0
Less than 1	20 %	3.2%	23.5%
1 - 1.83	52 %	49.6%	69.3%
2 - 7.67	28 %	47.2%	6.8%
8 or more	0 %	0 %	0.4%
TOTAL	100 %	100 %	100 %

These data lead to several conclusions. First, a large proportion of the cases in Kane County and Florida received less than the minimum specified rate of contact. All these cases are outside the parameters of the experimental design. Second, minimum supervision was the modal level of supervision, especially in Florida. Third, Kane County and particularly Florida provided medium supervision to a relatively small proportion of their cases. And, finally, there was no intensive supervision.

The proportions of cases actually receiving a particular rate of supervision can also be compared to the proportions locally assigned to receive that rate of supervision in each site. These results are illustrated in Table 28. Again they indicate that Kane County, and Florida even more so, had disproportionately high numbers of cases receiving less supervision than was assigned. In Suffolk, the major difference seems to be in a shift downward from intensive supervision, and a shift upward in minimum supervision.

Table 28

ASSIGNED AND ACTUAL SUPERVISION RATES BY SITE

Number of Contacts	KANE COUNTY		SUFFOLK COUNTY		FLORIDA	
	Assigned	Actual	Assigned	Actual	Assigned	Actual
Less than 1	0	20%	0	3.2%	0	23.5%
1 - 1.83	30-40	52	36	49.6	34	69.3
2 - 7.67	50-58	28	48	47.2	58	6.8
8 or more	10-12	0	16	0	8	0.4

Obviously, the treatment plan for supervision went seriously astray. The level of supervision variable as measured by supervi-

sion rate was diluted to such an extent that the original re-  
search question cannot even be addressed, much less answered by  
these data. Using only the criteria of strength and integrity  
of the original ICFS treatment, this part of the experiment can-  
not be termed a success.

An examination of supervision rates by supervision levels  
for the aggregate data and by sites discloses that the mean su-  
pervision rate increased, as expected, as the supervision level  
increased. The rate was as expected in the minimum level of su-  
pervision. At the medium level, Kane County and Florida even  
more so, began to fall behind. At the intensive level of super-  
vision, Suffolk County performed the best by far. Kane County  
is below the aggregate mean, but not by much. Florida, on the  
other hand, is far below the aggregate mean. It is easy to see  
from these data that Florida had the least variability in super-  
vision rate by supervision levels. It would appear from this that  
Florida had the most difficulty in adhering to the treatment plan.

Table 29

MEAN SUPERVISION RATE BY SUPERVISION LEVELS BY SITES

	ALL SITES		KANE COUNTY		SUFFOLK CTY.		FLORIDA	
	MEAN	STD. DEV.	MEAN	STD. DEV.	MEAN	STD. DEV.	MEAN	STD. DEV.
Minimum	1.13	.45	1.06	1.06	1.16	.31	1.13	.52
Medium	1.49	1.20	1.48	.76	2.02	.63	1.31	1.40
Intensive	3.81	2.41	3.64	1.99	6.11	1.57	1.65	.89

# SOME IMPLICATIONS AND QUESTIONS

The conclusions from the foregoing analyses and discussions  
may be stated succinctly:

1. The integrity of the original plan was not main-  
tained, since
  - a. In two sites the risk measures were not  
validated before operational use, and
  - b. In no site did the measured levels of  
supervision match the intended levels.
 The "strength" of the treatment, mea-  
sured by face-to-face contacts, was  
less than planned.
2. Supervision, measured by face-to-face contacts,  
did vary according to assigned levels.
3. The risk scores used had some validity in each  
site.
4. Neither risk class, nor supervision class, nor  
the intersection of risk and supervision had a  
significant effect on global, six-month, on-  
probation outcome, at any site.
5. In Florida, the supervision rate, defined by  
the actual number of face-to-face contacts per  
month during active supervision, had a signifi-  
cant effect on the global outcome measure.

These conclusions must be taken in the context of the na-  
ture of the samples, the short period of follow-up study, and  
the rather small variability in outcomes which characterize the



cohort reported on here.

At the same time, the general absence of strength and integrity in the ICFS treatment during the six month period examined tends to undermine the validity of the heart of the study. The theory underlying the ICFS project, and its associated hypotheses, cannot yet be accepted or rejected, because they have not yet been tested adequately.

This does not mean that nothing has been or can be learned from the projects. The general patterns depicted in Figure 1 are suggestive of the need to pursue the original project hypotheses further, particularly since, although not statistically significant, the patterns depicted are generally consistent with them. Similarly, the evidence that supervision rate, in Florida, helps explain the variation in outcomes may be noted.

Particularly limiting is the nature of the recidivism criterion used here--not only by virtue of the short follow-up period but because of the accompanying necessity to combine "technical" violations and measures of "new offenses." With somewhat larger samples and with a lengthier follow-up study it will be possible to study such components of the "global outcome" criterion; and the results of analyses similar to the exploratory ones reported here should be informative.

The preceding discussion has implications for both the project design and site selection (factors which are discussed in a separate evaluation report entitled "ICFS: A Case Study), but also for the implementation and monitoring of the individual projects themselves. For example, one must ask why, when the initial

plans specified a four to six month planning period during which the risk screening mechanism was to be developed and validated, this was not done in two of the sites. Why did Florida and Kane County proceed with unvalidated instruments? Why did these two sites begin intake in October, 1978--only three months after receiving their funds?

Why were the national evaluators not brought on board by LEAA (as intended) before the project began? If we had been, would this have made a difference in project implementation?

Why, in the individual projects, did the probation officers or counselors not adhere to the mandated face-to-face contact requirements? Were they adequately informed about and involved in the development of the experimental design, and did they comprehend its significance? Or were they unable to? What happened to the probation supervisors in the sites? Did they monitor the number of contacts which were occurring? If not, why not? If so, what did they do about the observed shortfall in contacts? If they did nothing, why?

It may be that both the probation officers and their supervisors were not only aware of, but also were concerned about, maintaining the contact level. They may have been unable, however, to enforce the requirement because of inadequate backing (from the courts and perhaps their agency hierarchy) to ensure that technical violations would be brought against probationers who failed to meet the contact conditions. If this was the case, could it have been anticipated?

These particular problems are illustrated by the feedback

which the evaluators received from the Florida project's counselors and supervisors at a series of training sessions held in May, 1979. They (counselors and supervisors) expressed confusion about, and both disagreement and difficulty with maintaining the contact requirements of intensive supervision. They were resistant to the requirement, and were reluctant to violate a probationer who did not comply with contact requirements. Further, they indicated that the judges would not violate an offender's probation if that person's only failing was in making the required number of contacts per week.

What about the responsibilities and role of the national evaluators in monitoring the fidelity with which the treatment plan was carried out? Clearly, beginning the evaluation after the projects had already begun was disadvantageous to us and to them. We could not, for example, alter the fact that two of the three risk prediction instruments had not been validated prior to their adoption.

With respect to the problem of contacts, we did inform LEAA and the projects as early as January, 1979 and on numerous occasions thereafter, that this was a problem. We were aware that this was a threat to the integrity of the design and thus to the validity of the entire project. We tried to make the projects and LEAA similarly aware that it was a threat; but without much success, at least in the first six month period. Awareness did not or could not lead to a willingness and an ability to do something about the problem.

It may be, and in fact we believe that it is the case, that

much has and can be learned from the ICFS projects. The knowledge gained, however, may be different than what was expected or intended. These implications were prophetically predicted early in the project by several National Institute officials, one of whom told us:

"I think that the people at Rutgers University are going to have a very nice time interpreting results. You're going to find a lot of maybe, if's, but's, (and) and's in the final report of the evaluation. . . it may lead to very poor hypothesis testing, but very interesting hypothesis generation."

"We aren't going to get any hard conclusive findings out of this study. Just no way!"

This view was echoed by his colleague who told us:

". . . what we had envisioned was a definitive test on levels of supervision and its impact on recidivism and I doubt if we're ever going to get that, for a lot of reasons."

These were wise prophecies, but the evidence is not yet all in--and some of the hypotheses generated in this first analysis of the first cohorts in the projects can be tested more definitively with the larger samples now available and with the probation successes and failures now taking place.

NOTES

1. Gottfredson, Don M. Proposal for "Improved Correctional Field Services Project Evaluation," School of Criminal Justice, Rutgers University, 1977, p. 1.
2. Federal Bureau of Investigation, Uniform Crime Reports for the United States (Table 8 - Number of Offenses Known to the Police, Suburban Counties, 1978). Released Wednesday, October 24, 1979, p. 142.
3. This risk-screening device and those used by the other two ICFS project sites are described in a separate report.
4. The assignment process was defined more specifically as follows in a memorandum prepared by the Kane County staff:

"During the presentence report writing phase, the research team will assign a level of risk to each individual applying for probation as per the screening equation. Probationers with scores of 11 to 16 will be classified as high risk; probationers with scores of 17 to 20 will be classified medium risk; probationers with scores of 21 to 26 will be classified as minimum risk. Assignment to level of supervision would be as follows: fifty percent of the high risk individuals would be randomly assigned to group A and receive a high level of supervision. The remaining 50% of the high risk group would be assigned to group B. Twenty percent of these individuals would be randomly assigned to high supervision and the remaining 80% would receive medium supervision. Fifty percent of the medium risk individuals would be randomly assigned to group A and receive a medium level of supervision. The remaining 50% of the medium risk individuals would be assigned to group B. Twenty percent of these individuals would be randomly assigned to high supervision, 33% to low supervision, and the remaining 47% would receive medium supervision. Fifty percent of the low risk individuals would be randomly assigned to group A and receive a low level of supervision. The remaining 50% of the low risk individuals would be assigned to group B. Thirty-three percent of these individuals would be randomly assigned to low supervision and the remaining 67% would receive medium supervision. The following table displays the expected number of probationers in each level supervision based on an N of 200.

LEVEL OF RISK		GROUP A		GROUP B	
High	20 <sub>H</sub>	High Sup.	10 <sub>H</sub>	High Sup.	2 <sub>H</sub> +10 <sub>M</sub> = 12
Med.	100 <sub>M</sub>	Med. Sup.	50 <sub>M</sub>	Med. Sup.	8 <sub>H</sub> +23 <sub>M</sub> +27 <sub>L</sub> = 58
Low	80 <sub>L</sub>	Low Sup.	40 <sub>L</sub>	Low Sup.	17 <sub>M</sub> +13 <sub>L</sub> = 30
Total	200				

Random assignment to the appropriate levels of supervision within groups A and B is accomplished through the use of three assignment sheets, one for each level of risk. These high, medium and low risk assignment sheets are designed to assign subjects to the two groups and the levels of supervision within those groups in accord with the percentages outlined above.

Based on the above discussion, the probation supervision assignment procedure is as follows: The client is first assessed for risk utilizing the risk equation and classified as either high, medium or low risk. Then based on the client's risk classification, the corresponding assignment sheet is used to assign the person to group A or B and the appropriate level of supervision within that group."

5. See note 3, *supra*.
6. 945-50 Florida Statutes (June, 1976); amended July, 1977.
7. Lindquist, C.A. "Probation and the Private Sector," paper presented at the Academy of Criminal Justice Sciences annual meeting, March, 1978.
8. Caseload variation studies generally have assumed that size of caseload affects the number of contacts with the clients and this directly influences differential outcomes. Questions regarding clients (parolees or probationers) and agents' perceptions of intensity typically have not been asked: the size of the caseload has been taken as the implied measure of intensity. Refer to S. Adams, "Some Findings from Correctional Caseload Research," Federal Probation 31 (Dec. 1967), 48-57; H. J. Vetter and R. Adams, "Effectiveness of Probation Caseload Sizes: A Review of Empirical Literature," Criminology 8 (Feb. 1978) 333-43; and M. Neithercutt and D. M. Gottfredson, Caseload Size Variation and Differences in Probation and Parole Performance, Washington, D.C.: National Center for Juvenile Justice, 1973.
9. Three kinds of criteria have been used to assess levels of supervision: variations in caseloads, the matching of parolee/probationer and agents' personality factors, and the number of contacts that occur in a specified period of time. Generally, such elements are used as operational definitions for levels or kinds of supervision. The impact of this practice is that the "true" nature of the level of supervision may be transformed for easier measurement, but possibly missing important aspects of the variable. When caseload size is the criterion, the assumption is that as caseload size increases the level of supervision decreases. For an indication of the results of these studies refer to M. G. Neithercutt and D. M. Gottfredson, Caseload Size Variation and Differences in Probation/Parole Performance (Washington, D.C.: National Center for Juvenile Justice, 1973). Studies concen-

trating on matching client characteristics with agency (e.g., "Interpersonal Maturity Levels") are small in number, e.g., T. Palmer, "Matching Worker and Client in Corrections," Social Work, 18 (March 1973, p. 101, as cited in D. Stanley, Prisoners Among Us (Washington, D.C.: The Brookings Institution, 1976), 86 and T. Palmer, V. Neto, P. A. Johns, J. Turner and J. W. Pearson, Community Treatment Projects. An Evaluation of Community Treatment for Delinquents, Seventh Progress Report, Part 1: The Sacramento-Stockton and the San Francisco Experiments (Sacramento: California Youth Authority, Oct. 1968). The third measurement criterion typically used is number of contacts. "Time studies" tend to arrive at an estimate of the amount of time the agent spends with each client in relation to other professional responsibilities. Contact with clients is considered the average amount of time the agent spends with the client and is normally reported in minutes. The relationship between amount of time and recidivism rates usually is not considered. For examples of time studies, see: Washington, D.C.: The Federal Judicial Center, "Probation Time Study," (Feb. 26, 1973); A. P. Miles, A Time Study of Wisconsin Probation and Parole Agents (Madison, Wisconsin: State Department of Public Welfare, Division of Corrections (March, 1964); W. Jachs, A Time Study of Parole Agents (Pennsylvania Board of Parole, March, 1961); and S. Megathalin, Probation Parole Caseload Review (Atlanta, Georgia: Georgia Department of Offender Rehabilitation, 1973) cited in S. Singer Cost Analysis of Correctional Standards and Institutional Based Programs and Parole, Volume II (Washington, D.C.: American Bar Association, 1975).

10.        Sechrest, D. "Strength and Integrity of Treatments in Evaluation Studies," Unpublished paper, 1979, p. 6.
11.        Ibid., p. 6.
12.        Ibid., p. 9.
13.        Ibid., p. 10.

APPENDIX A

## BACKGROUND

### ICFS

#### INSTRUCTIONS FOR CODING

The data collected for this project are derived from individual case files of probationers at each of the ICFS project sites. Of utmost importance is the reliability of coded information. Reliability can be measured by the degree of compliance with established procedures across cases and coders. Therefore, it is essential that all coders are careful in abiding by the rules specified in this manual while performing this task. The instructions which follow are intended to clarify coding procedures.

In completing the codesheet, priority should be given to information taken from forms in the files. If the information is not available, then the coder should consult the ICFS checklist completed on most probationers. Missing or unknown data should be coded with a set of nines (i.e., 99's) unless otherwise noted in the codebook manual.

Due to the differences among our sites, it was necessary to provide for more spaces than may be needed for certain variables (i.e., case number, state number, fines, court costs, etc.). In cases where there is more space provided than needed, it will be necessary to *right adjust* all numeric data. Zeros (0's) should be entered to the left of any set of numbers in order to fill all the space provided.

In the process of *coding offenses* (for all appropriate variables) there may be more spaces than needed. A set of eights (88's) should be entered if there are more spaces provided than necessary (i.e., the subject has fewer prior arrests than the allocated spaces). A set of nines (99's) should be entered if the data is missing or unknown.

Upon completion of the coding sheet for each case file, two checks should be made. The first one is to ensure that there is an entry made in each box. Where numerals are required, each box in a given field should be completed. If an item is not applicable for this client, put an "888" in the box. Second, be sure all digits are clearly written in order to ease the keypunching process. When difficulties in coding arise, these should be discussed with the supervisor. This will allow additional consideration to revising the procedures and instructions as it appears necessary.

The numbers below the boxes refer to column numbers in which the data will be punched on cards.

## COLUMNS

-1-

## BACKGROUND

### CARD 1

#### 1-5 Identifier

Enter the number assigned to this file. All cases from Kane County will begin with 1, 2 for Suffolk County, and 3 for Florida.

#### 6-7 County

If site is 3, then enter the county in which this occurs as follows:

01 - Jacksonville, Fernandina Beach, Orange Park, Green Cove Springs, St. Augustine

02 - Tallahassee

03 - Daytona Beach, Deland, Sanford

04 - Titusville, Cocoa, Melbourne

05 - West Palm Beach, Lake Worth

06 - Miami

07 - Ocala

08 - Lakeland

09 - Winter Haven

10 - Sarasota

11 - Clearwater, St. Petersburg, Pinellas Park

12 - Tampa and Plant City

13 - Gainesville

14 - Panama City

15 - Ft. Walton Beach

If site is 1 or 2, then 88 should be entered in the provided spaces.

#### 8 Type of Case

If site is 1, then enter a "1" if the case is a regular probationer, or a "2" if it is an instant case.

If site is 2, enter "5" if the case is eligible for youthful offender status, "6" if the youthful offender status is required, and "7" if the case is a regular adult case.

If site is 3, enter "8" for not applicable.



## COLUMNS

-2-

## BACKGROUND

Probationer's Name

Enter the name of the probationer, last name first, then first name, and the middle initial. Please print.

9-18 Case Number

Enter the case number as it appears on the file, include any codes or letters that appear on the file. All 0's should be included; all numbers should be right adjusted so that all blanks are filled in with 0's. Thus, 1234 should be entered as "0000001234".

19-28 Court Number

Enter the court docket number assigned to this case; right adjust.

29-38 NCIC or FBI Number

Enter the FBI number if one is available; right adjust. Include all numbers and letters. If the number is unknown, enter "9999999999".

39-48 State Number

Enter the state identification number of this probationer; right adjust. Include all letters and numbers. If the number is unknown, enter "9999999999".

For site 1 (Kane County), this will be the Illinois Bureau of Investigations (IBI) number. For site 2 (Suffolk County), this will be the New York State Identification Number (NYSIN). For site 3 (Florida), this will be the J SO ID ID number.

49-54 Date Probation Began

Code the month, date and year the subject was placed on probation as it appears in the case file. Use the date of sentence if it is the only date associated with commencement of probation.

55-56 Length of Probation

Code the length of time (in months) that the person was sentenced to be on probation.

57-62 Fines

Enter the dollar amount (rounded to the nearest dollar; i.e., \$32.51 = 000033) assessed against the person. If no fine was given, code "888888" for not applicable, enter "999999" if amount is unknown.

The procedure to employ in rounding dollar amounts is that for 51 cents or greater round to the next dollar; less than 50 cents use the present dollar value.

## COLUMNS

-3-

## BACKGROUND

## 57-62 (cont'd.)

Right adjust by placing "0's" in any blank spaces.

If the amount of fines indicated in the file is inseparable from the amount of court costs, enter the collective amount in this category.

63 Fines Payment Period

Enter one of the following codes to specify how frequently the probationer is required to make payments for any fines owed.

1 - weekly	3 - monthly	5 - other
2 - bi-weekly	4 - total amount	8 - not applicable
		9 - unknown

64-69 Fines Amount Per Payment

Enter the dollar amount per payment of fine. Round to the nearest dollar as specified above under "Fines".

If the amount of fines and court costs are inseparable, enter the dollar amount per payment.

70-73 Court Costs

Enter the dollar amount of the court costs that the person was ordered to pay by the judge. Round to the nearest dollar using the procedure described above under "Fines". If no court costs were given, code as "8888"; if unknown, code as "9999".

If the amount of fines and court costs are not indicated separately in the file, enter "999999" for court costs. (The collective amount should be indicated in "Fines", columns 57-62).

74 Court Costs Payment Period

Enter one of the codes listed in "Fines Payment Period" to specify how frequently the probationer is required to make payments for court costs.

## 75-77 Blank

## 78-80 Enter IOI

## CARD 2

1-5 Identifier

Duplicate from CARD 1, cols. 1 through 5.

6-9 Court Costs Amount Per Payment

Enter the dollar amount per payment of court costs. If the probationer is required to make a total payment, enter that amount. Round to the nearest dollar as specified above in "Fines".



**CONTINUED**

**1 OF 2**

C	COLUMNS	-4-	BACKGROUND
	6-9	(cont'd.)	
		If the amount of court costs is inseparable, enter "9999" in the appropriate space.	
	10-14	<u>Restitution</u>	
		Enter the total dollar amount of restitution assessed against the person. Round to the nearest dollar using the procedure described under "Fines". If no court costs were given, code as "8888"; if unknown, code as "9999".	
	15	<u>Restitution Payment Period</u>	
		Enter one of the codes listed in "Fines Payment Period" to specify how frequently the probationer is required to make restitution payments.	
	16-20	<u>Restitution Amount Per Payment</u>	
		Enter the dollar amount per restitution payment. If the probationer is required to make a total payment, enter that amount. Round to the nearest dollar as specified above in "Fines".	
	21-24	<u>Other Payments</u>	
		Enter the total dollar amount of any other probation fees the person is required to pay. Round to the nearest dollar using the procedure described above in "Fines". If no other payments were given, code as "8888"; if unknown, code as "9999".	
		If the payments were assessed on a monthly payment, multiply the monthly fee by the total number of months the person is on probation. Enter the total dollar amount of other payments.	
		For sites 1 and 2, enter "8888" in the appropriate space in most cases. Some special cases may have required probation fees.	
	25	<u>Other Payments Payment Period</u>	
		Enter one of the codes listed in "Fines Payment Period" to specify how frequently the probationer is required to make these payments.	
	26-29	<u>Other Payments Amount Per Payment</u>	
		Enter the dollar amount for each other payment. If the probationer is required to make a total payment, enter that amount. Round to the nearest dollar as specified above in "Fines".	
	30	<u>Number of Special Conditions</u>	
		Enter the total number of special conditions that the judge has included in the probation order. Include restitution, fines, court costs or other required probation fees as part of the number of special conditions. Place an "8" in the space if no extra conditions are given and "9" if the number of special conditions are unknown. The upper limit is "7" which indicates seven or more conditions.	

	COLUMNS	-5-	BACKGROUND												
	31	<u>Special Conditions 1 through 7</u>													
	32														
	33	Enter the appropriate code to reflect the type of special condition(s) awarded in the probation sentence. The codes are as follows:													
	34														
	35														
	36														
	37	<table border="0"> <tr> <td>0 - none/not applicable</td> <td>5 - employment related</td> </tr> <tr> <td>1 - jail time</td> <td>6 - no driving, automobile-related</td> </tr> <tr> <td>2 - suspended sentence</td> <td>7 - continued probation</td> </tr> <tr> <td>3 - alcohol-related, DWI</td> <td>8 - other, please specify</td> </tr> <tr> <td>4 - mental health related, counseling</td> <td>9 - unknown</td> </tr> </table>	0 - none/not applicable	5 - employment related	1 - jail time	6 - no driving, automobile-related	2 - suspended sentence	7 - continued probation	3 - alcohol-related, DWI	8 - other, please specify	4 - mental health related, counseling	9 - unknown			
0 - none/not applicable	5 - employment related														
1 - jail time	6 - no driving, automobile-related														
2 - suspended sentence	7 - continued probation														
3 - alcohol-related, DWI	8 - other, please specify														
4 - mental health related, counseling	9 - unknown														
		In all cases, where an "8" (other) is placed in the appropriate box, specify the condition.													
		Enter "0" in boxes where the number of boxes exceeds the number of conditions or no special conditions are awarded.													
	38	<u>Type of Sentence</u>													
		Enter one of the following codes which defines the type of sentence the probationer received.													
		1 - Sentenced for a single offense.													
		2 - Sentenced for more than one count of the same offense with the two sentences served together.													
		3 - Sentenced for two or more offenses with the sentences served together.													
		4 - Sentenced for two or more counts of the same offense with the sentences served separately.													
		5 - Sentenced for two or more offenses with the sentences served separately.													
		6 - Sentenced for a single offense where part of the sentence involves jail time and the other involves a period of time on probation.													
	39-44	<u>Date of Birth</u>													
		First code the month of birth, day, then year. Enter the code for month of birth as follows:													
		<table border="0"> <tr> <td>01 - January</td> <td>05 - May</td> <td>09 - September</td> </tr> <tr> <td>02 - February</td> <td>06 - June</td> <td>10 - October</td> </tr> <tr> <td>03 - March</td> <td>07 - July</td> <td>11 - November</td> </tr> <tr> <td>04 - April</td> <td>08 - August</td> <td>12 - December</td> </tr> </table>	01 - January	05 - May	09 - September	02 - February	06 - June	10 - October	03 - March	07 - July	11 - November	04 - April	08 - August	12 - December	
01 - January	05 - May	09 - September													
02 - February	06 - June	10 - October													
03 - March	07 - July	11 - November													
04 - April	08 - August	12 - December													
	45	<u>Sex</u>													
		Enter the appropriate code.													

## COLUMNS

-6-

## BACKGROUND

46 Ethnic Group

Enter the appropriate code.

47-48 Age When Placed on Probation

Enter the age of the subject as of his last birthday before probation began.

49 Marital Status

Use the most recent marital status given for the subject which reflects the marital status at the time of placement on probation.

50 Number of Dependents

Enter the number of dependents, besides the probationer, the probationer claims. This includes both legitimate or illegitimate children that the probationer acknowledges supporting or any other financial dependents. Do not count the probationer.

A "7" indicates seven or more dependents.

An "8" will indicate not applicable because the probationer is dependent upon another person for financial support.

A "9" indicates the information is unknown.

A "0" indicates no financial dependents.

51-52 School Attainment

Enter the appropriate code that corresponds to the amount of schooling the subject claims to have obtained.

53 Number of Resident Changes Within the Past 12 Months

Enter the number of residences in which the subject claims to have lived during the past 12 months. The upper limit is 7. "8" means not applicable and "9" indicates unknown.

54 Employment Status at Time of Arrest

Enter the appropriate code indicating the employment status of the subject at the time of arrest. Full-time employment consists of 35 or more hours a week, whereas part-time employment is 34 or less hours a week. In terms of school, use the file's definition of full-time or part-time enrollment in classes. If the subject is both employed and in school, enter the code reflecting the individual's full-time endeavor. In cases where the individual is both employed and enrolled in school full-time, enter the "2" for full-time employment.

Code "4" for unemployable refers to individuals who are retired, handicapped, or a full-time homemaker.

## COLUMNS

-7-

## BACKGROUND

55 Number of Jobs Held

Enter the number of full-time jobs held by the subject in the last 12 months.

Code "8" if the subject has not had any full-time jobs; code "9" if the information is unknown.

56-57 Number of Months Employed on Last Held Job

Enter the number of months the subject was employed (or presently has been employed) on the last full-time job. Enter "88" if not applicable (i.e., no full-time job) or "99" if unknown.

58 Planned Living Arrangements

Enter the code indicating the living arrangements indicated as part of the subject's plan on probation.

Halfway houses and community treatment centers should be coded as "With Others -- Other(s)". Rooming and boarding houses and YMCA's/YWCA's should be coded as "Alone -- Fixed Abode".

If subject is being released to a halfway house or community treatment center and then plans to live with parents, friends, etc., or alone, code this plan rather than the release to halfway house or CTC.

59 Living Arrangements at Time of Arrest

Enter the code indicating the living arrangements of the subject at the time he/she was arrested. Use the same definitions as given in Planned Living Arrangements.

60 Alcohol

Code 1 (Use Denied; Not a Problem Drinker) should be used if there is no known alcohol involvement, the subject denies use, or the subject drinks socially which is not reported as a problem or matter of concern by the probation agency or court.

Code 2 or 3 should be used depending upon whether or not the person admits to having a drinking problem. If the subject admits to having a drinking problem, use Code 3. Code 2 should be used when the file indicates some evidence of a drinking problem but the person does not admit it.

Code 4 should be used if there is definite information to indicate that the subject is an alcoholic. Such information would include:

- The person had a reputation of being an alcoholic or problem drinker.
- The person has a record of any arrests for intoxication or for disorderly conduct involving drunkenness regardless of disposition of the arrest.

C	COLUMNS	-8-	BACKGROUND
	60	(cont'd.)	
		c)	The person ascribes his present or past difficulties to the excessive use of alcohol.
		d)	The person's history includes any indication of social problems due to drinking, including marital or family difficulties, loss of job, hospitalization for treatment of alcoholism, etc.
			Consider Code 4 to be more serious than any other code; Code 3 is more serious than Code 2.
			If no information exists, use Code 9.
	61-66	<u>Drugs -- Type of</u>	
			This item seeks record of any evidence of use, on a frequent basis, of any of the substances listed.
	67	<u>Drugs</u>	
			The question being asked is how problematic is the subject's use of drugs. Codes 1, 2, and 3 should be coded in the same fashion as those under alcohol. Code 4 should be used if there is confirmed evidence that the person is an addict to any drug, including heroin, opiate derivatives, morphines, synthetic substances, barbiturates, etc.
	68	<u>Mental Health Treatment - Past</u>	
			Enter the appropriate code to indicate whether or not the subject had received treatment for a mental health problem. The code should indicate whether treatment occurred in a mental hospital or in an outpatient care. Disregard the basis for confinement, i.e., whether committed voluntarily, and disregard the length of time.
			Do not count any mental hospital confinement for study and/or observation. If subject has been confined in the psychiatric section of a hospital or prison at any time, count this as in-patient care.
	69-70	<u>Length of Past Inpatient Treatment</u>	
			Enter the number of months that the subject spent confined in a mental hospital. "85" indicates 85 months or more; "88", not applicable; "99", unknown.
	71-72	<u>Length of Past Outpatient Treatment</u>	
			Enter the number of months that the subject spent undergoing outpatient treatment for a mental health problem. "85" indicates 85 months or more; "88", not applicable; "99", unknown.

O	COLUMNS	-9-	BACKGROUND
	73	<u>Mental Health Treatment - Present</u>	
			Enter the appropriate code to indicate whether or not the subject currently receives treatment for a mental health problem. Present treatment refers to any treatment within the last six months. All other should be classified as past treatment. The code should indicate whether treatment occurs in a mental hospital or outpatient care. Disregard the basis for confinement, i.e., whether committed voluntarily, and disregard the length of time.
	74	<u>Length of Present Inpatient Treatment</u>	
			Enter the number of months that the subject spent confined in a mental hospital. "8" indicates not applicable; "9", unknown.
	75	<u>Length of Present Outpatient Treatment</u>	
			Enter the number of months that the subject has been receiving treatment for a mental health problem on an outpatient basis. "8" indicates not applicable; "9", unknown.
	76-77	Blank	
	78-80	Enter IO2	
	CARD 3		
	1-5	<u>Identifier</u> (Duplicate from CARD 1)	
	6-7	<u>Longest Job in Free Community</u>	
			Enter the number of months which indicates the longest period on any full-time job held by the subject.
			Sporadic employment or short term part-time jobs should be coded as "00".
			"85" refers to 85 or more months. "88" refers to not applicable in cases where the subject has never been employed as far as is known. If there is inadequate information in the case record, enter "99".
			This item asks only for legitimate employment. Do not count work as a prostitute, pimp, bookie, or drug pusher.
	8	<u>Aliases</u>	
			An alias is a last name that differs from the case name. Include nicknames that are the last name. Exclude obvious misspellings and contradictions and changed first and/or middle names. Include the maiden name and each name a woman takes for marriage.
			"0" means not indicated; "7" indicates seven or more aliases; "8" means not applicable; and "9" means unknown.

9 Number of Co-Defendants

Enter the number of associates allegedly involved in the commission of the current offense, including any not brought to trial with the subject. The upper limit is "7" which refers to seven or more defendants. "8" means not applicable or no co-defendants; "9" means unknown.

10-15 Original Charge 1 through 10

16-22 Refer to Appendix A: Offense Code Sheet. This lists the pertinent offenses and respective codes.

23-28 First, code the offense which is a three-digit number. Thus, 101 indicates a charge of murder while 201 indicates a charge of rape.

29-34 Second, enter a "1" if the charge was for a felony offense or a "2" if it was for a misdemeanor offense. If the file does not specify this, consider it a felony charge.

35-40 Third, enter the number of counts for a particular charge occurring at the arrest.

41-46 If the file has more than ten charges, enter the ten most recent ones. A set of "888888" should be entered if the offense is unknown. However, it is possible to specify offense category without knowledge of the specific offense type. The categories are as follows:

- |  |   |
|--|---|
| 1 - Offenses Against Persons                 | 5 - Crimes of Weapon                        |
| 2 - Crimes of Sex                            | 6 - Crimes of Drugs and Alcohol             |
| 3 - Offenses Against Property                | 7 - Motor Vehicle Offenses                  |
| 4 - Crimes of Forgery, Fraud, and Conspiracy | 8 - Offenses Against Family and/or Children |
|  | 9 - Miscellaneous Offenses                  |

68-74 Present Conviction 1

Use the same codes (Appendix A) and scheme as above (Original Charge 1 through 10) except reference here is to the actual offense(s) of which the subject was convicted.

75-77 Blank

78-80 Enter IO3

## CARD 4

1-5 Identifier (Duplicate from CARD 1)

6-11 Present Conviction 2 through 10 (cont'd.)

12-17  
18-23  
24-29  
30-35  
36-41  
42-47  
48-53  
54-59

60 Weapon Present in Offense

Enter the appropriate code indicating whether or not there was a weapon present at the time the crime was committed. "Present" refers to possession of a weapon by the defendant or co-defendant(s) for the purpose of using the weapon or threatening use of the weapon (i.e., implied, feigned, or simulated use).

61 Weapon Used in Offense

Enter the appropriate code indicating whether or not a weapon was used in the commission of the crime. Use of a weapon refers to actual involvement of the weapon where bodily or property damage was ensued.

62 Type of Weapon

Enter the appropriate code indicating the type of weapon which was present during the commission of the crime or used in committing the crime.

Enter an "8" if this category is not applicable or a "9" if it is unknown.

63 Physical Harm Ensued

Enter the appropriate code indicating the type of physical harm ensued. "0" indicates none, "1" indicates bodily harm, and "2" indicates bodily harm resulting in death. Indicate "1" bodily harm, if there is evidence that the victim or witnesses of the crime experienced some bodily damage such as a stabbing, broken bones, etc.

Indicate an "8" if this crime could not result in bodily harm or a "9" if it is unknown.

64 Property Damage Ensued

Enter the appropriate code indicating whether property damage was the result of the commission of the crime. Property damage refers to actual destruction of goods, merchandise, buildings or any other property. Do not consider loss of merchandise or car due to theft or burglary as property damage.

Indicate not applicable "8" if the crime could not result in property damage or a "9" for missing information.

65-66 Status at Time of Arrest

Enter the code reflecting the person's involvement with the criminal justice system at the time of arrest. Exclude any previous sentences of probation or parole. Only include present status. Thus, "new case" may include persons with a previous history of probation or parole. "First time" indicates this is the person's first conviction.



67-71 Dollar Value - Property

If the offense code begins with "3" (any offenses against property) and "4" (crimes of fraud), include the dollar value involved. Include dollar value of goods stolen and/or the dollar value of damages to property due to vandalism or criminal trespassing. Round to the nearest dollar using the procedure employed under "Fines".

The upper limit is 87,000, which indicates \$87,000 or more. "888888" indicates not applicable and "999999" indicates unknown.

72-76 Dollar Value - Narcotics

If the offense code begins with a "6" (crimes of drugs and alcohol) and involves possession or sale of drugs, indicate the dollar value involved. Round to the nearest dollar using the procedure employed under "Fines".

The upper limit is 87,000, which indicates \$87,000 or more. "888888" indicates not applicable and "999999" indicates unknown.

77 Blank78-80 Enter IO4

## CARD 5

1-5 Identifier (Duplicate from CARD 1)6 Alcohol -- Use

Enter the appropriate code illustrating whether the description of the offense included the fact that the subject was drinking or had been drinking on the day that the offense was committed.

Enter a "9" if the information is not available in the offense descriptions, either the official or defendant's version.

7 Drugs -- Use

Enter the appropriate code illustrating whether the description of the offense included the fact that the subject was under the influence of some drug on the day that the offense was committed.

Enter a "9" if the information is not available in the offense descriptions, either the official or defendant's version.

8-13 Reason for First Arrest  
14-19

Refer to Appendix A: Offense Code. Enter the appropriate codes which reflect the reason why the subject was arrested. Include only arrests for delinquent or criminal behavior; exclude traffic offenses that do not include drunk driving, hit and run, and manslaughter.

If this is the subject's first arrest, enter the current charge(s).

8-13 (cont'd.)  
14-19

Space is provided for two different charges. If the first arrest resulted in more than two charges, then use the following priority system.

- 1) Give preference to those charges that were not dismissed.
- 2) Give preference to those charges which resulted in the most serious sanctions.
- 3) Use Appendix A as a guide. Include those offenses which begin with the smallest number first.

However, if the subject is arrested on three separate counts or the same offense simultaneously, then the last two digits of the offense code (number of counts) would be "03".

"888888" should be in the space for the second offense when the subject is only charged with less offenses than space provided for. "000000" should be entered if the offense is unknown.

20-21 Age at First Arrest

Age means age at last birthday prior to first arrest. Include all offenses except traffic offenses which do not involve drunk driving, hit and run, and manslaughter. This should be consistent with Reason for First Arrest.

22-27 Reason for First Conviction  
28-33

Refer to Appendix A: Offense Code. Enter the appropriate codes which reflect the reasons for the first conviction; use the conviction offense, not the offense charge. Include only convictions for delinquent or criminal behavior. Exclude traffic offenses that do not include drunk driving, hit and run, and manslaughter.

Enter the current offense if it is the subject's first conviction.

If the subject was concurrently convicted of more offenses than space provided, use the procedures described under "Reason for First Arrest" to determine which conviction offense to include.

Include any type of sentence, even suspended sentence.

34-35 Age at First Conviction

Enter age at last birthday prior to the first conviction. Disregard type of sentence and whether or not it was suspended. Include the current offense if it is the subject's first conviction.



## C COLUMNS

-14-

## BACKGROUND

36-41 Reason for Commitment  
42-47

Refer to Appendix A: Offense Code. Enter the appropriate code which reflects the reasons for the offense for which the person was committed to an institution. A commitment must result from a sentence, thus, disregard any periods or pretrial detention or time spent awaiting execution of sentence. Include commitments to a juvenile institution if the commitment was the result of delinquent behavior. Disregard sentences to confinement if confinement was suspended. Include commitments for traffic offenses.

If the subject has not been committed to an institution, enter "888888" for not applicable.

If the subject was confined for more offenses than space provided, use the procedures described under "Reason for First Arrest" to determine the offenses to enter.

48-49 Age at First Commitment

Enter the age (at last birthday) at which the subject received any sentence to confinement which was followed by confinement. A commitment must result from a sentence, thus disregarding any periods of pretrial detention or time spent awaiting execution of sentence. Include commitments to a juvenile institution only if commitment was the result of delinquent behavior. Disregard sentences to confinement if confinement was suspended.

This includes any commitments for traffic offenses (infractions or misdemeanors). (This means age at first commitment could be younger than age at first arrest and age at first conviction.)

50 Number of Juvenile Arrests

The question being asked is how many times the subject has been arrested for a delinquent offense. A juvenile is defined as any person 17 years or younger. Seven is the upper limit which means seven or more arrests. Enter "8" if the subject has not been arrested; "9" if the information is unknown.

51 Number of Juvenile Adjudications

The question being asked is how many times the subject has been adjudicated as a juvenile delinquent. "7" is the upper limit which means seven or more adjudications. Enter "8" if the subject has not been arrested and therefore not adjudicated. If the person has been arrested as a juvenile but no adjudications occurred, enter "0". "9" refers to the information is unknown.

52 Number of Prior Juvenile Commitments

The question being asked is how many commitments the subject has served in a juvenile correction institution. If the institution houses both adults and youth and the subject is 17 years or younger, consider this a juvenile commitment.

"7" is the upper limit which means seven or more commitments. Enter "8" if the subject has not been committed as a juvenile and "0" if the subject was arrested and never committed as a

## C COLUMNS

-15-

## BACKGROUND

52 (cont'd.)

juvenile. Enter "9" for unknown.

53 Number of Prior Adult Arrests

The question being asked is how many times the subject has been arrested as an adult on felony or misdemeanor charges. An adult is considered anyone 18 years or older. Exclude minor traffic offenses. Include DWI's, hit and run, or other criminal (traffic) charges.

Exclude arrest for the current offense(s).

"7" is the upper limit which means seven or more arrests. Enter an "8" if the subject has not been arrested prior to the current offense or a "9" if the information is unknown.

54 Number of Prior Adult Convictions

The question being asked is how many convictions the subject has had. Use the same rules as Number of Prior Adult Arrests to determine which convictions to include.

Enter a "0" if the person was arrested but never convicted as an adult and "8" if the subject was never arrested and convicted as an adult.

55 Number of Prior Adult Commitments

The question being asked is how many commitments the subject has served in jail or prison as an adult. Adult is considered to be anyone 18 years or older.

Enter a "0" if the person was arrested but never committed as an adult and "8" if the subject was never arrested and committed as an adult.

56 Number of Adult Jail Commitments

The question being asked is how many commitments the subject has served in any jail (as a sentence for commission of a crime). Jail commitments to be coded should only include those that follow sentences. Exclude pretrial detention, awaiting execution of sentence, and other forms of pretrial jail commitments unless some sentence is being served in the jail. Include split sentences. A jail is a correctional institution to which offenders normally are sentenced to one year or less.

Enter a "0" if the person was arrested but never committed as an adult and "8" if the subject was never arrested and committed as an adult.

57 Number of Other Prior Sentences

Enter the known number of prior sentences excluding jail, prison and probation. Types of sentences include fines, restitution, suspended sentence, etc.

Count all instances of court sentences other than a sentence to prison, jail, probation, etc., whether or not sentences were suspended. Include placement on a work release or halfway house program, fines, or other sentence dispositions that follow a conviction.

Probation Continued -- If this sentence is the result of a new criminal act by the subject, count it as another "Prior Sentence". If probation is continued as the result of a technical violation or a juvenile "status offense" (truancy, etc.), do not count it as another prior sentence.

Do not count any military sentences unless the sentence followed conviction for an offense not unique to the military services (e.g., assault, robbery, etc.).

Do not include sentences for traffic infractions. Do include sentences for traffic misdemeanors.

Enter a "0" if the person was arrested but never had prior sentences as an adult and "8" if the subject was never arrested and had prior sentences as an adult.

58 Number of Prior Sentences with Probation

Enter the number of separate instances of assignment to probation supervision in the life history of the subject.

Follow rules as given under Other Prior Sentences for coding Probation Continued dispositions.

Count unofficial and non-judicial probation. Also, count bench parole.

Include split sentences.

Do not include sentences to probation for traffic infractions. Include sentences for traffic misdemeanors.

Enter a "0" if the person was arrested but never had prior sentences with probation as an adult and "8" if the subject was never arrested and had prior sentences with probation as an adult.

59 Number of Prior Incarcerations

Enter the number of violations of probation/parole, recapture after escape, or other periods of incarceration. Do not count as incarceration detention for suspicion, investigation, awaiting trial or imposition of sentence, or determination of competency to stand trial.

## 59 (cont'd.)

Count confinement in prisons, reformatories, farms or camps; disciplinary barracks or brigades of the military service if the offense has a civil counterpart or sentence resulted in confinement of 90 days or more; jails and their farms and camps; and juvenile institutions at federal, state, and local levels.

Do not count transfers from one facility to another within the same state, county, city, or federal system.

Include returns to prison from parole as a separate incarceration. Also, include returns to confinement following escape.

Include incarcerations for traffic infractions and for traffic misdemeanors.

Enter a "0" if the person was arrested but never had any prior incarcerations as an adult and "8" if the subject was never arrested and had any prior incarcerations as an adult.

60 Number of Probation Revocations

The question being asked is how many times probation has been revoked for this subject. Include revocations for adult or juvenile sentences of probation.

Enter a "0" if the person was arrested but never had any probation revocations as an adult and "8" if the subject was never arrested and had any probation revocations as an adult.

61 Number of Parole Revocations

The question being asked is how many times parole has been revoked for this subject. Include both revocations as either an adult or juvenile.

Enter a "0" if the person was arrested but never had any parole revocations as an adult and "8" if the subject was never arrested and had any parole revocations as an adult.

62-67  
68-73Type of Prior Arrests

Refer to Appendix: Offense Code Sheet. Enter the type of prior arrests with the last two numbers reflecting the number of arrests for this offense (i.e., 301104 indicates four arrests for larceny under \$200).

Space is provided for up to six different offenses. If the subject has been arrested for more than six different offenses, then use the following priority system:

- 1) Give preference to those arrests which result in a conviction.

## COLUMNS

-18-

## BACKGROUND

62-67 (cont'd.)  
68-73

2) Give preference to those convictions with the most serious sanctions.

3) Use Appendix A as a guide. Include those offenses which begin with the smallest number.

If the subject has less than six different types of arrests, then put "888888" in the remaining spaces.

74-77 Blank

78-80 Enter IO5

## CARD 6

1-5 Identifier (Duplicate from CARD 1)

6-11 Type of Prior Arrests (cont'd.)

12-17  
18-23  
24-29

30-35 Types of Prior Convictions

36-41

42-47 Refer to Appendix A: Offense Code Sheet. Enter the type of  
48-53 offenses the subject has been convicted of. The last two digits  
54-59 of the code should reflect the number of arrests for this parti-  
60-66 cular offense.

Use the same procedures as Type of Prior Arrests to determine which convictions to include.

67-68 Longest Time Free Since First Commitment

Enter the number of months indicating the longest time, after the first commitment, in the subject's life which was uninterrupted by institutionalization as a result of crime convictions or delinquency adjudication. This includes time spent under parole/probation supervision in the community. Time spent in a mental hospital should be counted as free time. "85" is the upper limit indicating 85 or more months. "88" indicates not applicable for subjects with no commitment history. "99" indicates unknown.

69-70 Longest Time Served on Any Commitment

Enter the number of months indicating the longest single time served on any commitment after any type of admission to confinement (probation, parole, or mandatory release violator, etc.), to the nearest month. Do not count time served on a present sentence, even if subject is a parole/probation violator with a new court commitment.

## COLUMNS

-19-

## BACKGROUND

69-70 (cont'd.)

The question to be answered here is what was the longest period during which the subject was continually incarcerated without interruption.

Code this time from the date of incarceration until the date of release, regardless of the nature of release.

"85" is the upper limit indicating 85 or more months. "88" indicates not applicable to this subject and "99" means information is unknown.

71 Escape History

Escape is defined as any escape or attempted escape from any official custody (jail or prison).

Code "no" if there is no record of any escape or attempted escape.

Code "yes" if there is any record of escape.

Code "8" if not applicable because the person has never been confined; "9" means unknown.

72 Absconding History

Absconding is defined as any failures to inform the probation/parole authorities of one's whereabouts for a prolonged period of time.

Code "no" if there is no record of any absconding from authorities.

Code "prior" if there is any record of absconding from a prior sentence.

Code "present" for any absconding from the date this current probation began.

Code "both" if prior and present are indicated.

Code "8" if not applicable; "9" if unknown.

73 Risk Assignment

Enter a "1" if the risk assessment instrument places the person in the low category, "2" for medium, and "3" for high risk.

74 Supervision Level

Enter a "1" if the person is assigned by the agency to minimum supervision, "2" for medium, and "3" for intensive.

COLUMNS

75 Experimental Category

Enter the experimental group in which the person is placed. "1" is for assignment according to the risk assessment instrument, "2" is for random assignment, and "3" is for the control group.

76-77 Blank

78-80 Enter IO6

CARD 7

1-5 Identifier (Duplicate from CARD 1)

6-15 Florida's Risk Assessment Instrument

For site 3, enter the values as they appear in the risk assessment instrument for each probationer in the appropriate box. If there is a discrepancy between the instrument and other information reported in the file, enter the values appearing in the instrument.

For sites 1 and 2, enter "8's" for not applicable in these boxes.

16-37 Suffolk County's Risk Assessment Instrument

For site 2, enter the values as they appear in the risk assessment instrument for each probationer in the appropriate box. If there is a discrepancy between the instrument and other information reported in the file, enter the values appearing in the instrument.

For sites 1 and 3, enter "8's" for not applicable.

38-50 Kane County's Risk Assessment Instrument

For site 1, enter the values as they appear in the risk assessment instrument for each probationer in the appropriate box. If there is a discrepancy between the instrument and other information reported in the file, enter the values appearing in the instrument.

For sites 2 and 3, enter "8's" for not applicable.

APPENDIX A: OFFENSE CODE SHEET

The first digit (1 through 9) represents the general category of offense while the next two digits represent the specific offense type. The actual offense code, however, consists of the first three digits. In addition, a "1" should be placed after the offense type if the crime is classified as a felony or a "2" for a misdemeanor. Coding of current charges and convictions, reserves the last two digits for the number of counts. For previous arrests or convictions, these two digits are donated to number of times the person has been arrested or convicted of this particular offense.

Missing data should be coded as "000". If some information is available about the general nature of the offense (i.e., it falls within certain categories), coding should be as follows. Within each offense category, provisions are available to code an unknown offense, which occurs within a category, in the codes. Thus, 100 means unknown offense against a person, 200 is unknown crime of sex, 300 is offense against property, etc.

If more spaces are provided than needed, a set of eights ("888") should be entered.

If too few spaces are provided use the following priority system to determine which offenses to include:

- 1) Give preference to those charges that were not dismissed.
- 2) Give preference to those charges which resulted in the most serious sanctions.
- 3) Use Appendix A as a guide. Include those offenses which begin with the smallest number first.

1. Offenses Against a Person

100 unknown	101 murder
102 attempted murder with firearm	103 attempted murder with knife, cutting instrument
104 voluntary manslaughter	105 involuntary manslaughter - reckless homicide and non-vehicle
106 involuntary manslaughter - reckless homicide and vehicle	107 criminally negligent homicide
108 assault - aggravated & battery	109 assault - aggravated - firearm
110 assault - aggravated - knife, cutting instrument	111 simple & minor assault
112 robbery - armed - firearm	113 robbery - armed - knife, cutting instrument
114 attempted robbery - armed - firearm	115 attempted robbery - armed - knife
116 attempted robbery - other dangerous weapon	117 attempted robbery - unarmed
118 kidnapping	119 aggravated kidnapping
120 armed robbery - unknown tool	121 aggravated battery
122 battery	123 assault
124 robbery - unarmed	

2. Crimes of Sex

200	unknown	201	rape
202	attempted rape	203	forcible sex acts
204	unnatural sex acts (includes incest, homosexual acts, public indecency, sex for advertisement purposes)	205	prostitution
206	soliciting for prostitution or patronizing a prostitute	207	sale of obscene material and harmful material - disseminating obscene material

3. Offenses Against Property

300	unknown	301	larceny under \$200 (petty larceny or theft)
302	larceny over \$200	303	attempted theft
304	theft of a motor vehicle	305	attempted theft of a motor vehicle
306	shoplifting	307	burglary - forcible (unlawful entry)
308	burglary - unlawful entry without force	309	attempted forcible entry
310	possession of burglar's tools	311	arson
312	attempted arson or possession of explosives	313	trespassing
314	criminal damage to property (vandalism)	315	criminal damage to vehicle or land (vandalism)

4. Crimes of Forgery, Fraud and Conspiracy

400	unknown	401	forgery
402	fraud	403	embezzlement
404	issuing or possession of a fraudulent instrument (bad checks)	405	uttering a fraudulent instrument
406	credit cards - fraudulent use	407	receiving or possession of stolen property
408	deception	409	criminal impersonation or simulation
410	blackmail or extortion	411	welfare fraud
412	unemployment fraud	413	conspiracy

5. Crimes of Weapon

500	unknown	501	unlawful use of
502	unlawful sale of	503	unlawful possession of a firearm
504	unlawful possession of ammunition	505	other weapon-related offenses

6. Crimes of Drugs and Alcohol

600	unknown	601	possession of marijuana/hashish
602	sale of marijuana/hashish	603	possession of a controlled substance
604	manufacturing, delivery, possession with intent to deliver	605	sale of a controlled substance
606	failure to keep operating records	607	sale of alcohol to minors
608	soliciting alcoholic beverages	609	drunk or drinking in a public place
610	illegal possession or consumption by minors	611	use and intoxication of other compound
612	possession of narcotic paraphernalia		

7. Motor Vehicle Offenses

700	unknown	701	driving while under the influence of alcohol
702	driving while under the influence of drugs	703	transporting alcoholic liquor
704	reckless driving	705	hit and run
706	no registration for vehicle or revoked or cancelled registration of vehicle	707	no license or suspended or revoked driver's license
708	unlawful use of a driver's license	709	unlawful use of a motor vehicle
710	failure to report accident	750	other vehicle-related offense

8. Offenses Against Family and/or Children

800	unknown	801	nonsupport or neglect
802	failure to provide for	803	child-beating
804	wife- or husband-beating	805	contributing to the delinquency of a minor
806	paternity	807	truancy
808	miscellaneous	809	runaway

9. Miscellaneous Offenses

900	unknown	901	bookmaking or numbers game
902	keeping a gambling place	903	promoting gambling (possession of gambling records)
904	other violations of gambling laws	905	escape from custody
906	interfering with the enforcement of the law	907	resisting arrest
908	standing traffic violation	909	moving traffic violation
910	other traffic or vehicle law violation	911	cruelty to animals

(continued on following page)



BACKGROUND

9. Miscellaneous Offenses (cont'd.)

- |  |  |
|--|--|
| 912 habitual criminal                      | 913 harboring a fugitive                 |
| 914 contempt of court                      | 915 bribery                              |
| 916 intimidation                           | 917 extortion                            |
| 918 violation of civil rights              | 919 criminal defamation                  |
| 920 telephone threats, obscene phone calls | 921 public demonstration, looting        |
| 922 obstructing a peace officer            | 923 disorderly conduct/criminal mischief |
| 924 fugitive warrant                       | 925 bail bond jumping                    |
| 926 probation violation                    | 927 public nuisance                      |
| 928 abetting and hauling illegal aliens    | 929 vagrancy/loitering                   |
| 950 others                                 |  |

ICFS CODEBOOK  
CARD 1

ICFS: CODESHEET I

CODER:

DATE CODED:

ID#

COUNTY

TYPE OF CASE

NAME  Last  First  Middle Initial

CASE#

COURT#

FBI#

STATE#

DATE PROBATION BEGAN

LENGTH OF PROBATION (in months)

FINES

FINES PAYMENT PERIOD

FINES-AMOUNT

- 1 = weekly
- 2 = bi-weekly
- 3 = monthly
- 4 = total amount
- 5 = other
- 8 = not applicable
- 9 = unknown

COURT COSTS

COURT COSTS PAYMENT PERIOD

- 1 = weekly
- 2 = bi-weekly
- 3 = monthly
- 4 = total amount
- 5 = other
- 8 = not applicable
- 9 = unknown

CARD 2

IDENTIFIER

RESTITUTION

RESTITUTION PAYMENT PERIOD

- 1 = weekly
- 2 = bi-weekly
- 3 = monthly
- 4 = total amount
- 5 = other
- 8 = not applicable
- 9 = unknown

COURT COSTS AMOUNT PER PAYMENT

AMOUNT PER PAYMENT



OTHER PAYMENTS      
21 22 23 24

OTHER PAYMENT PERIOD   
25

OTHER PAYMENT AMOUNT      
26 27 28 29

NUMBER OF SPECIAL CONDITIONS   
30  
1 = one  
7 = seven or more  
8 = not applicable/none  
9 = unknown

1 = weekly  
2 = bi-weekly  
3 = monthly  
4 = total amount  
5 = other  
8 = not applicable  
9 = unknown

SPECIAL CONDITIONS 1  31

SPECIAL CONDITIONS 2  32

SPECIAL CONDITIONS 3  33

SPECIAL CONDITIONS 4  34

SPECIAL CONDITIONS 5  35

SPECIAL CONDITIONS 6  36

SPECIAL CONDITIONS 7  37

TYPE OF SENTENCE  38

Sentenced for a single offense. 1

Sentenced for more than one count of the same offense with the two sentences served together. 2

Sentenced for two or more offenses with the sentences served together. 3

Sentenced for two or more counts of the same offense with the sentences served separately. 4

Sentenced for two or more offenses with the sentences served separately. 5

Sentenced for a single offense where part of the sentence involves jail time and the other involves a period of time on probation. 6

DATE OF BIRTH        
39 40 41 42 43 44

SEX  45  
1 = male  
2 = female

ETHNIC GROUP  46  
1 = White  
2 = Black  
3 = Hispanic  
4 = Other

AGE WHEN PLACED ON PROBATION (years)    
47 48

MARITAL STATUS  49  
1 = Single  
2 = Married  
3 = Widow(er)  
4 = Divorced  
5 = Separated  
6 = Common Law  
9 = Unknown

NUMBER OF DEPENDENTS  50  
0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

SCHOOL ATTAINMENT: YEARS OF SCHOOL CLAIMED    
51 52  
None 00 First grade 01  
Second grade 02 Third grade 03  
Fourth grade 04 Fifth grade 05  
Sixth grade 06 Seventh grade 07  
Eighth grade 08 Ninth grade 09  
Tenth grade 10 Eleventh grade 11  
Twelveth grade/  
high school 12 GED 13  
Some college 14 Vocational  
training 15  
B.A. or B.S. 16 M.A. 17  
More than M.A. 18 Other 19  
Not indicated 99

NUMBER OF RESIDENT CHANGES WITHIN PAST TWELVE MONTH PERIOD  53  
0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

EMPLOYMENT STATUS AT TIME OF ARREST  54  
1 = Not employed  
2 = Employed - full-time  
3 = Employed - part-time  
4 = Not employable  
5 = In school - full-time  
6 = In school - part-time  
9 = Unknown

NUMBER OF JOBS HELD DURING THE PAST TWELVE MONTHS (Full-time only)  55  
0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF MONTHS EMPLOYED ON LAST JOB HELD    
56 57  
01 = one  
85 = up to 85 months or more  
88 = not applicable  
99 = unknown

LIVING ARRANGEMENTS AT TIME OF ARREST  58  
With Others  
Parents/guardian 1  
Spouse and/or children 2  
Girlfriend/boyfriend 3  
Other(s) 4  
Alone  
Fixed abode 5  
No fixed abode 6  
Other  
Institution/halfway house 7  
Not applicable 8  
Unknown 9

PLANNED LIVING ARRANGEMENTS  59  
With Others  
Parents/guardian 1  
Spouse and/or children 2  
Girlfriend/boyfriend 3  
Other(s) 4  
Alone  
Fixed abode 5  
No fixed abode 6  
Other  
Institution/halfway house 7  
Not applicable 8  
Unknown 9

ALCOHOL <input type="checkbox"/>		DRUGS -- Type of (check all that apply) (Enter 0 = use not indicated; 1 = use indicated)	
Use denied; not a problem drinker	1	Marijuana & Hashish	<input type="checkbox"/>
Problem drinker - indicated in file	2	Stimulants	<input type="checkbox"/>
Problem drinker - person admits	3	Barbiturates & Sedatives	<input type="checkbox"/>
Alcoholic	4	Tranquilizers	<input type="checkbox"/>
Not applicable	8	Opiates, Herion, Methadone, synthetic substitutes	<input type="checkbox"/>
Unknown	9	Other	<input type="checkbox"/>
DRUGS <input type="checkbox"/>		MENTAL HEALTH TREATMENT - PAST	
Use denied; not a problem user	1	Inpatient	1
Problem user - indicated in file	2	Outpatient	2
Problem user - person admits	3	Both	3
Addict	4	Not applicable	8
Not applicable	8	Unknown	9
Unknown	9		
LENGTH OF TREATMENT - INPATIENT (past) (months)		PAST OUTPATIENT TREATMENT (months)	
<input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/>	
69 70		71 72	
MENTAL HEALTH TREATMENT - PRESENT <input type="checkbox"/>		LENGTH OF TREATMENT - INPATIENT (present) (months)	
Inpatient 1		<input type="text"/> <input type="text"/>	
Outpatient 2		74 75	
Both 3			
Not applicable 8			
Unknown 9			
LENGTH OF TREATMENT - OUTPATIENT (present) (months)		I 0 2	
<input type="text"/> <input type="text"/>		78 79 80	
76 77			
CARD 3		ALIASES	
IDENTIFIER <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		0 = none	
1 2 3 4 5		7 = seven or more	
LONGEST JOB IN FREE COMMUNITY (months)		8 = not applicable	
<input type="text"/> <input type="text"/>		9 = unknown	
6 7			
NUMBER OF CO-DEFENDENTS <input type="text"/>			
0 = none			
7 = seven			
8 = not applicable			
9 = unknown			

ORIGINAL CHARGE 1 (Enter offense category, offense, classification, and number of counts for this charge.)		ORIGINAL CHARGE 6	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
10 11 12 13 14 15		40 41 42 43 44 45	
ORIGINAL CHARGE 2		ORIGINAL CHARGE 7	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
16 17 18 19 20 21		46 47 48 49 50 51	
ORIGINAL CHARGE 3		ORIGINAL CHARGE 8	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
22 23 24 25 26 27		52 53 54 55 56 57	
ORIGINAL CHARGE 4		ORIGINAL CHARGE 9	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
28 29 30 31 32 33		58 59 60 61 62 63	
ORIGINAL CHARGE 5		ORIGINAL CHARGE 10	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
34 35 36 37 38 39		64 65 66 67 68 69	
PRESENT CONVICTION 1 (Enter offense category, offense, classification, and number of counts for this charge.)		I 0 3	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		78 79 80	
70 71 72 73 74 75			
CARD 4			
IDENTIFIER <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		PRESENT CONVICTION 6	
1 2 3 4 5		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
		30 31 32 33 34 35	
PRESENT CONVICTION 2		PRESENT CONVICTION 7	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
6 7 8 9 10 11		36 37 38 39 40 41	
PRESENT CONVICTION 3		PRESENT CONVICTION 8	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
12 13 14 15 16 17		42 43 44 45 46 47	
PRESENT CONVICTION 4		PRESENT CONVICTION 9	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
18 19 20 21 22 23		48 49 50 51 52 53	
PRESENT CONVICTION 5		PRESENT CONVICTION 10	
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
24 25 26 27 28 29		54 55 56 57 58 59	
WEAPON PRESENT IN OFFENSE <input type="checkbox"/>		WEAPON USED IN OFFENSE <input type="checkbox"/>	
0 = no		0 = no	
1 = yes		1 = yes	
9 = unknown		9 = unknown	
60		61	
PHYSICAL HARM ENSUED <input type="checkbox"/>		PROPERTY DAMAGE ENSUED <input type="checkbox"/>	
0 = none		0 = no	
1 = bodily		1 = yes	
2 = death		8 = not applicable	
8 = not applicable		9 = unknown	
9 = unknown			
63		64	

STATUS AT TIME OF ARREST   65 66

First time	01	New case	02
Probation-misd.	03	Probation-felony	04
Parole-misd.	05	Parole-felony	06
Released on		Release on	
recognizance	07	bail	10
Not applicable	88	Unknown	99

DOLLAR VALUE OF NARCOTICS      72 73 74 75 76

00000 = none  
87000 = 87,000 or more  
88888 = not applicable  
99999 = unknown

DOLLAR VALUE OF PROPERTY      67 68 69 70 71

00000 = none  
87000 = 87,000 or more  
88888 = not applicable  
99999 = unknown

78 79 80

I 0 4

CARD 5

IDENTIFIER      1 2 3 4 5

ALCOHOL -- USE INDICATED ON DAY OFFENSE COMMITTED  6

0 = no; none indicated  
1 = yes  
9 = unknown

DRUGS -- USE INDICATED ON DAY OFFENSE COMMITTED  7

0 = no; none indicated  
1 = yes  
9 = unknown

REASON FOR FIRST ARREST (Enter code from Offense Sheet)

AGE AT FIRST ARREST (years)   20 21

8 9 10 11 12 13 14 15 16 17 18 19

REASON FOR FIRST CONVICTION

22 23 24 25 26 27

28 29 30 31 32 33

AGE AT FIRST CONVICTION   34 35

REASON FOR FIRST COMMITMENT

36 37 38 39 40 41

42 43 44 45 46 47

NUMBER OF PRIOR JUVENILE ADJUDICATIONS  51

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF PRIOR ADULT CONVICTIONS  54

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

AGE AT FIRST COMMITMENT   48 49

NUMBER OF JUVENILE ARRESTS  50

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF PRIOR JUVENILE COMMITMENTS  52

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF PRIOR ADULT ARRESTS  53

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF PRIOR ADULT COMMITMENTS  55

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF ADULT JAIL COMMITMENTS  56

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF OTHER PRIOR SENTENCES  57

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF PRIOR SENTENCES WITH PROBATION (include split sentences)  58

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF PRIOR INCARCERATIONS  59

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF PROBATION REVOCATIONS (include split sentences)  60

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

NUMBER OF PAROLE REVOCATIONS  61

0 = none  
7 = seven or more  
8 = not applicable  
9 = unknown

TYPE OF PRIOR ARRESTS (Enter offense category, offense, classification, and number of counts for this conviction.)

62 63 64 65 66 67

68 69 70 71 72 73

78 79 80

I 0 5

CARD 6

IDENTIFIER      1 2 3 4 5

6 7 8 9 10 11

12 13 14 15 16 17

18 19 20 21 22 23

24 25 26 27 28 29

TYPE OF PRIOR CONVICTIONS (Enter offense category, offense, classification, and number of counts for this conviction.)

30 31 32 33 34 35

36 37 38 39 40 41

42 43 44 45 46 47

48 49 50 51 52 53

54 55 56 57 58 59

60 61 62 63 64 65

LONGEST TIME FREE SINCE FIRST COMMITMENT   66 67

01 = one  
up to 85 = 85 months  
or more  
88 = not applicable  
99 = unknown

LONGEST TIME SERVED ON ANY COMMITMENT   68 69

01 = one  
up to 85 = 85 months  
or more  
88 = not applicable  
99 = unknown

ESCAPE HISTORY  70

0 = no  
1 = yes  
8 = not applicable  
9 = unknown

ABSCONDING HISTORY  71

0 = none  
1 = prior  
2 = present  
3 = both  
8 = not applicable  
9 = unknown

RISK ASSIGNMENT  72

1 = low  
2 = medium  
3 = high

SUPERVISION LEVEL  73

1 = minimum  
2 = medium  
3 = intensive

EXPERIMENTAL CATEGORY  74

1 = risk  
2 = random  
3 = control

78 79 80

I 0 6

ICFS  
INSTRUCTIONS FOR CODING

FOLLOW-UP CODEBOOK

The data collected for this project are derived from individual case files of probationers at each of the ICFS project sites. Of utmost importance is the reliability of coded information. Reliability can be measured by the degree of compliance with established procedures across cases and coders. Therefore, it is essential that all coders are careful in abiding by the rules specified in this manual while performing this task. The instructions which follow are intended to clarify coding procedures.

In completing the codesheet, priority should be given to information taken from forms in the files. If the information is not available, then the coder should consult the ICFS checklist completed on most probationers. Missing or unknown data should be coded with a set of nines (i.e., 99's) unless otherwise noted in the codebook manual.

Due to differences among our sites, it was necessary to provide for more spaces than may be needed for certain variables (i.e., case number, state number, fines, court costs, etc.). In cases where there is more space provided than needed, it will be necessary to *right adjust* all numeric data. Zeros (0's) should be entered to the left of any set of numbers in order to fill all the space provided.

In the process of *coding offenses* (for all appropriate variables) there may be more spaces than needed. A set of eights (88's) should be entered if there are more spaces provided than necessary (i.e., the subject has fewer prior arrests than the allocated spaces). A set of nines (99's) should be entered if the data is missing or unknown.

Upon completion of the coding sheet for each case file, two checks should be made. The first one is to ensure that there is an entry made in each box. Where numerals are required, each box in a given field should be completed. If an item is not applicable for this client, put an "888" in the box. Second, be sure all digits are clearly written in order to ease the keypunching process. When difficulties in coding arise, these should be discussed with the supervisor. This will allow additional consideration to revising the procedures and instructions as it appears necessary.

The numbers below the boxes refer to column numbers in which the data will be punched on cards.

FOLLOW-UP CODEBOOK

COLUMNS

CARD 8

1-5 Identifier

Duplicate from Background Characteristics Codesheet.

6-15 Case Number

Enter the appropriate case number.

16-17 Number of Face-to-Face Contacts 1

Enter the number of contacts the probationer has had with a probation officer in the first month of probation. Contact refers to office or home visits with the probationer; "00" means no contacts; "77" means seventy-seven or more; "88" means not applicable which refers to the fact that the probationer has not been under supervision for this period of time; "99" means unknown.

18-19 Number of Face-to-Face Contacts 2

Same as Number of Face-to-Face Contacts 1 except reference is to the second month of supervision. Refer to columns 16-17.

20-21 Number of Face-to-Face Contacts 3

Same as Number of Face-to-Face Contacts 1 except reference is to the third month of supervision. Refer to columns 16-17.

22-23 Number of Face-to-Face Contacts 4

Same as Number of Face-to-Face Contacts 1 except reference is to the fourth month of supervision. Refer to columns 16-17.

24-25 Number of Face-to-Face Contacts 5

Same as Number of Face-to-Face Contacts 1 except reference is to the fifth month of supervision. Refer to columns 16-17.

26-27 Number of Face-to-Face Contacts 6

Same as Number of Face-to-Face Contacts 1 except reference is to the sixth month of supervision. Refer to columns 16-17.

28-29 Number of Face-to-Face Contacts 7

Same as Number of Face-to-Face Contacts 1 except reference is to the seventh month of supervision. Refer to columns 16-17.

30-31 Number of Face-to-Face Contacts 8

Same as Number of Face-to-Face Contacts 1 except reference is to the eighth month of supervision. Refer to columns 16-17.

## COLUMNS

32-33 Number of Face-to-Face Contacts 9

Same as Number of Face-to-Face Contacts 1 except reference is to the ninth month of supervision. Refer to columns 16-17.

34-35 Number of Face-to-Face Contacts 10

Same as Number of Face-to-Face Contacts 1 except reference is to the tenth month of supervision. Refer to columns 16-17.

36-37 Number of Face-to-Face Contacts 11

Same as Number of Face-to-Face Contacts 1 except reference is to the eleventh month of supervision. Refer to columns 16-17.

38-39 Number of Face-to-Face Contacts 12

Same as Number of Face-to-Face Contacts 1 except reference is to the twelfth month of supervision. Refer to columns 16-17.

40-41 Number of Collateral Contacts 1

Enter the number of collateral contacts the probation officer has had with people familiar with the probationer in his/her first month under supervision. Collateral contacts refers to contacts with the probationer's family, friends, employers, etc., for the purpose of acquiring further information about the probationer. "00" means no contacts; "77" means seventy-seven or more; "88" means not applicable which refers to the probationer not being under supervision for this period of time; "99" means unknown.

42-43 Number of Collateral Contacts 2

Same as Number of Collateral Contacts 1 except reference is to the second month of supervision. Refer to columns 40-41.

44-45 Number of Collateral Contacts 3

Same as Number of Collateral Contacts 1 except reference is to the third month of supervision. Refer to columns 40-41.

46-47 Number of Collateral Contacts 4

Same as Number of Collateral Contacts 1 except reference is to the fourth month of supervision. Refer to columns 40-41.

48-49 Number of Collateral Contacts 5

Same as Number of Collateral Contacts 1 except reference is to the fifth month of supervision. Refer to columns 40-41.

50-51 Number of Collateral Contacts 6

Same as Number of Collateral Contacts 1 except reference is to the sixth month of supervision. Refer to columns 40-41.

## COLUMNS

52-53 Number of Collateral Contacts 7

Same as Number of Collateral Contacts 1 except reference is to the seventh month of supervision. Refer to columns 40-41.

54-55 Number of Collateral Contacts 8

Same as Number of Collateral Contacts 1 except reference is to the eighth month of supervision. Refer to columns 40-41.

56-57 Number of Collateral Contacts 9

Same as Number of Collateral Contacts 1 except reference is to the ninth month of supervision. Refer to columns 40-41.

58-59 Number of Collateral Contacts 10

Same as Number of Collateral Contacts 1 except reference is to the tenth month of supervision. Refer to columns 40-41.

60-61 Number of Collateral Contacts 11

Same as Number of Collateral Contacts 1 except reference is to the eleventh month of supervision. Refer to columns 40-41.

62-63 Number of Collateral Contacts 12

Same as Number of Collateral Contacts 1 except reference is to the twelfth month of supervision. Refer to columns 40-41.

64 Employment Status

Enter the appropriate code indicating the current employment status of the probationer during the past month. Enter "1" if the person is currently unemployed and "4" if the person is unemployable (retired, handicapped, or a full-time homemaker). Full-time refers to employment which consists of thirty-five or more hours a week whereas part-time employment is thirty-four or less hours a week.

65 School Status

Enter the appropriate code indicating the current school status of the probationer during the time under supervision. Enter "8" if the individual is not enrolled in school or the file does not indicate the person is enrolled in school. Enter full-time school ("2") or part-time school ("3") for any type of school (i.e., high school, community college or college) except for vocational training/apprentice shop or G.E.D. classes. Rely on the file for a definition of whether the person is attending school part-time or full-time.



## COLUMNS

66 Number of Jobs During Probation Period

Enter the number of jobs (full and part-time) the probationer has had during his/her time under supervision. If the probationer is regularly employed by a contracting firm count this as one job; do not consider the number of assignments. "0" refers to no jobs; "7" refers to seven or more jobs; "8" refers to not applicable (i.e., the person is retired, unemployable, or full-time homemaker); "9" refers to unknown.

67 Referral to Employment Agency

Indicate whether or not the probation officer recommended the probationer contact an employment agency (either private or public agency). If the file does not indicate any recommendation, enter "0" for none.

68 Probationer Contact with Employment Agency

Indicate whether or not the probationer contacted any employment agency recommended by the officer. Enter "8" if the officer did not make a recommendation and the probationer did not report any contact with an employment agency. "0" refers to a recommendation by the probation officer to contact an employment agency and the probationer did not report such contact. "1" refers to the case where the probation officer recommended the probationer contact an employment agency and the probationer followed through. In cases where the probation officer did not recommend contact with an employment agency and the probationer reported contact, enter "2" in the appropriate box.

69 Total Number of Probation Officer Contacts with an Employment Agency

Indicate whether or not the probation officer has had any contact with the employment agency(s). If the officer did not refer the probationer to an employment agency, enter "8". If a recommendation was made and the probation officer did not contact an agency enter "0" for no contacts made. "7" indicates seven or more contacts with the employment agency(s). The casenotes will serve as the source of information; if this information is not in the casenotes, enter "0" for no contacts.

70 Referred to Residential Alcohol Treatment

Indicate whether or not the probationer was referred to an inpatient residential alcohol treatment program by the probation officer. A residential program is one that requires a probationer to remain within the confines of the institution for a day (24 hours) or longer. If the file does not indicate any recommendations, enter "0" for none.

## COLUMNS

71 Probationer Contact with Residential Alcohol Program

Indicate whether or not the probationer contacted a residential alcohol program recommended by the officer. Enter "8" if the officer did not make a recommendation and the probationer did not report any contact with a residential alcohol program. In cases where the probation officer did not recommend contact with a residential alcohol program and the probationer reported contact, enter "2" in the appropriate box. "0" refers to a recommendation by the probation officer to contact a residential alcohol program and the probationer did not report such contact. "1" refers to the case where the probation officer recommended the probationer contact a residential alcohol program and the probationer followed through.

72 Total Number of Probation Officer Contacts with Residential Alcohol Program

Indicate whether or not the probation officer has had any contact with the residential alcohol program(s). If the officer did not refer the probationer to a residential alcohol program, enter "8". If a recommendation was made and the probation officer did not contact a program enter "0" for no contacts. "7" indicates seven or more contacts with the residential alcohol program(s). The casenotes will serve as the source of information; if this information is not in the casenotes, then enter "0" for no contacts.

73 Referred to Outpatient Alcohol Treatment Program

Indicate whether or not the probationer was referred to an outpatient residential treatment program by the probation officer. Outpatient refers to attendance at group or individual treatment for a few hours at a time. Alcoholics Anonymous is considered an outpatient treatment program. If the file does not indicate any recommendations, enter "0" for none.

74 Probationer Contact with Outpatient Alcohol Treatment Program

Indicate whether or not the probationer contacted any outpatient alcohol treatment program by the officer. Enter "8" if the officer did not make a recommendation and the probationer did not report any contact with an outpatient alcohol treatment program. In cases where the probation officer did not recommend contact with an outpatient alcohol treatment program and the probationer reported contact, enter "2" in the appropriate box. "0" refers to a recommendation by the probation officer to contact an alcohol treatment program and the probationer did not report such contact. "1" refers to the case where the probation officer recommended the probationer contact an outpatient alcohol treatment program and the probationer followed through.



## COLUMNS

75 Total Number of Probation Officer Contacts with the Outpatient Alcohol Treatment Program

Indicate whether or not the probation officer has had any contact with the outpatient alcohol treatment program(s). If the officer did not refer the probationer to an outpatient alcohol treatment program, enter "8". If a recommendation was made and the probation officer did not contact a program enter "0" for no contacts made. "7" indicates seven or more contacts with the outpatient alcohol treatment program(s). The casenotes will serve as the source of information; if this information is not in the casenotes, then enter "0" for no contacts.

76 Referred to Residential Drug Program

Indicate whether or not the probationer was referred to a residential drug treatment program by the probation officer. A residential program requires the probationer to remain within the confines of the institution or community center for a day (24 hours) or longer. If the file does not indicate any recommendations, enter "0" for none.

77 Probationer Contact with Residential Drug Program

Indicate whether or not the probationer contacted any residential drug program recommended by the officer. Enter "8" if the officer did not make a recommendation and the probationer did not report any contact with a residential drug program. In cases where the probation officer did not recommend contact with a residential drug program and the probationer reported contact, enter "2" in the appropriate box. "0" refers to a recommendation by the probation officer to contact a residential drug program and the probationer did not report such contact. "1" refers to the case where the probation officer recommended the probationer contact a residential drug program and the probationer followed through.

78-80 I08

## CARD 9

1-5 Identifier

Duplicate from CARD 8

6 Total Number of Probation Officer Contact with Residential Drug Program

Indicate whether or not the probation officer has had any contact with the residential drug program(s). If the officer did not refer the probationer to a residential drug program, enter "8". If a recommendation was made and the probation officer did not contact a program enter "0" for no contacts made. "7" indicates seven or more contacts with the residential drug program(s). The casenotes will serve as the source of information; if this information is not in the casenotes, then enter "0" for no contacts.

## COLUMNS

7 Referred to Outpatient Drug Program

Indicate whether or not the probationer was referred to an outpatient drug treatment program by the probation officer. An outpatient drug treatment program is one where the probationer attends a session or two on some regular basis. Consider a community treatment program as an outpatient program. If the file does not indicate any recommendations, enter "0" for none.

8 Probationer Contact with Outpatient Drug Program

Indicate whether or not the probationer contacted any outpatient drug program recommended by the officer. Enter "8" if the officer did not make a recommendation and the probationer did not report any contact with an outpatient drug program. In cases where the probation officer did not recommend contact with an outpatient drug program and the probationer reported contact, enter "2" in the appropriate box. "0" refers to a recommendation by the probation officer to contact an outpatient drug program and the probationer did not report such contact. "1" refers to the case where the probation officer recommended the probationer contact an outpatient drug program and the probationer followed through.

9 Total Number of Probation Officer Contacts with an Outpatient Drug Program

Indicate whether or not the probation officer has had any contact with the outpatient drug program(s). If the officer did not refer the probationer to an outpatient drug program, enter "8". If a recommendation was made and the probation officer did not contact a program enter "0" for no contacts made. "7" indicates seven or more contacts with the outpatient drug program(s). The casenotes will serve as the source of information; if this information is not in the casenotes, then enter "0" for no contacts.

10 Referred for Psychological Testing/Diagnosis

Indicate whether or not the probationer was referred for psychological testing/diagnosis by the probation officer. If the file does not indicate any recommendations, enter "0" for none.

11 Probationer Obtained Psychological Testing/Diagnosis

Indicate whether or not the probationer obtained psychological testing or diagnosis. Enter "8" if the officer did not make a recommendation and the probationer did not obtain any psychological testing/diagnosis. In cases where the probation officer did not recommend psychological testing/diagnosis and the probationer reported undergoing testing, enter "2" in the appropriate box. "0" refers to a recommendation by the probation officer to obtain psychological testing/diagnosis and the probationer did not report such contact. "1" refers to the case where the probation officer recommended the probationer obtain psychological testing/diagnosis and the probationer followed through.

## COLUMNS

- 12 Total Number of Probation Officer Contacts with Agency Administering the Psychological Tests/Diagnosis
- Indicate whether or not the probation officer has had any contact with the agency administering the psychological tests/diagnosis. If the officer did not refer the probationer to an agency, enter "8". If a recommendation was made and the probation officer did not contact an agency enter "0" for no contacts made. "7" indicates seven or more contacts with the agency(s). The casenotes will serve as the source of information; if this information is not in the casenotes, then enter "0" for no contacts.
- 13 Referred for Inpatient Mental Health Treatment
- Indicate whether or not the probation officer referred the probationer to receive inpatient mental health treatment. Inpatient refers to confinement of the probationer in a home, community center, or institution for more than a day (24 hours). If the file does not indicate any recommendations, enter "0" for none.
- 14 Probationer Contact with Inpatient Mental Health Treatment Facility
- Indicate whether or not the probationer contacted any inpatient mental health care treatment facility recommended by the officer. Enter "8" if the officer did not make a recommendation and the probationer did not report any contact with a facility. In cases where the probation officer did not recommend contact with a facility and the probationer reported contact, enter "2" in the appropriate box. "0" refers to a recommendation by the probation officer to contact an inpatient mental health treatment facility and the probationer did not report such contact. "1" refers to the case where the probation officer recommended the probationer contact an inpatient mental health treatment facility and the probationer followed through.
- 15 Total Number of Probation Officer Contacts with Inpatient Mental Health Treatment Facility
- Indicate whether or not the probation officer has had any contact with the inpatient mental health treatment facility(s). If the officer did not refer the probationer to a facility, enter "8". If a recommendation was made and the probation officer did not contact a facility enter "0" for no contacts made. "7" indicates seven or more contacts with the facility(s). The casenotes will serve as the source of information; if this information is not in the casenotes, then enter "0" for no contacts.
- 16 Referred for Outpatient Mental Health Treatment
- Indicate whether or not the probation officer referred the probationer to receive outpatient mental health treatment by a psychiatrist, psychologist or psychiatric social worker. Outpatient refers to attending individual or group sessions on a routine basis (i.e., weekly, biweekly, etc.) without actual

## COLUMNS

- 16 Referred for Outpatient Mental Health Treatment (cont'd.)
- confinement in a home, institution, or community center. If the probation officer recommends that the probationer who resides in some community center, seek counseling, this should be considered as a referral for outpatient mental health treatment. If the file does not indicate any recommendations, enter "0" for none.
- 17 Probationer Contact with Outpatient Mental Health Practitioner
- Indicate whether or not the probationer contacted any outpatient mental health practitioner recommended by the officer. A practitioner is considered a psychiatrist, psychologist, or psychiatric social worker. Enter "8" if the officer did not make a recommendation and the probationer did not report any contact with a practitioner. In cases where the probation officer did not recommend contact with a practitioner and the probationer reported contact, enter "2" in the appropriate box. "0" refers to a recommendation by the probation officer to contact an outpatient mental health practitioner and the probationer did not report such contact. "1" refers to the case where the probation officer recommended the probationer contact an outpatient mental health practitioner and the probationer followed through.
- 18 Total Number of Probation Officer Contacts with Outpatient Mental Health Practitioner
- Indicate whether or not the probation officer has had any contact with the practitioner. If the officer did not refer the probationer to a practitioner, enter "8". If a recommendation was made and the probation officer did not contact a practitioner enter "0" for no contacts made. "7" indicates seven or more contacts with the practitioner(s). The casenotes will serve as the source of information; if this information is not in the casenotes, then enter "0" for no contacts.
- 19 Referred to Counselor
- Indicate whether or not the probation officer recommended the probationer consult with a counselor. A counselor is anyone who offers counseling service but is not trained as a psychiatrist, psychologist, or psychiatric social worker. Counselors can include religious leaders, school counselors, or other social workers. If the file does not indicate any recommendations, enter "0" for none.
- 20 Probationer Contact with Counselor
- Indicate whether or not the probationer contacted any counselor recommended by the probation officer. Enter "8" if the officer did not make a recommendation and the probationer did not report. In cases where the probation officer did not recommend contact with a counselor and the probationer reported contact, enter "2" in the appropriate box. "0" refers to a recommendation by the probation officer to contact a counselor and the probationer did not report such contact. "1" refers to the case where the probation officer recommended the probationer contact a counselor and the probationer followed through.

## COLUMNS

21 Total Number of Probation Officer Contacts with Counselor

Indicate whether or not the probation officer has had any contact with the counselor. If the officer did not refer the probationer to a counselor, enter "8". If a recommendation was made and the probation officer did not contact the counselor, enter "0" for no contacts made. "7" indicates seven or more contacts with the counselor. The casenotes will serve as the source of information; if this information is not in the casenotes, then enter "0" for no contacts.

22 Referred to Community Service

Indicate whether or not the probation officer recommended the probationer contact a community service. If the community service was required as a condition of probation, do not consider this a referral to a community service; enter "0" for no referral.

23 Probationer Contact with Community Service

Indicate whether or not the probationer contacted the community service recommended by the probation officer or court. Enter "8" if no community service was recommended and contact made. In cases where the probation office or court recommended contact, enter "1" for yes; enter "2" for self-initiated contact if the person contacted a community service of his own accord.

Indicate type of community service.

24 Total Number of Probation Officer Contacts with Community Service

Indicate whether or not the probation officer has had any contact with a community service. If the officer or court did not refer the probationer to a community service, enter "8". If a referral was made or required and the probation officer did not contact the service, enter "0" for no contacts made. "7" indicates seven or more contacts with the agency. The casenotes will serve as the source of information. If this information is not in the casenotes, enter "0" for no contacts.

25-28 Amount of Fines Paid

Indicate the total amount of fines paid to date. The upper limit is 8700, which indicates \$8700 or more. Enter "0000" if no fines have been paid but the probationer was required to pay a fine. "8888" means the probationer does not owe any fines. The procedure to employ in rounding dollar amounts is that for 51 cents or greater round to the next dollar. Less than 50 cents, use the present dollar value (i.e., \$32.52 = \$33.00 while \$45.48 = \$45.00).

## COLUMNS

29-32 Amount of Court Costs Paid

Indicate the total amount of court costs paid to date. The upper limit is 8700, which means \$8700 or more. Enter "0000" if no court costs were paid but the probationer was required to pay court costs. "8888" means the probationer does not owe any court costs. The procedure to employ in rounding dollar amounts is that for 51 cents or greater round to the next dollar. Less than 50 cents, use the present dollar value (i.e., \$32.52 = \$33.00 while \$45.48 = \$45.00).

33-36 Amount of Restitution Paid

Indicate the total amount of restitution paid to date. The upper limit is 8700 which indicates \$8700 or more. Enter "0000" if no restitution has been paid but the probationer was required to pay restitution. The procedure to employ in rounding dollar amounts is that for 51 cents or greater round to the next dollar. Less than 50 cents, use the present dollar value (i.e., \$32.52 = \$33.00 while \$45.48 = \$45.00).

37-40 Amount of Probation Fees Paid

Indicate the total amount of probation fees paid to date. The upper limit is 8700 which indicates \$8700 or more. Enter "0000" if no fees have been paid but the probationer was required to pay fees. "8888" means the probationer does not owe any probation fees. The procedure to employ in rounding dollar amounts is that for 51 cents or greater round to the next dollar. Less than 50 cents, use the present dollar value (i.e., \$32.52 = \$33.00 while \$45.48 = \$45.00).

41 Number of Arrests

Enter the total number of times the probationer has been arrested while under supervision. Arrest refers to apprehension by a law enforcement official for participation in criminal activities as defined by Appendix A. "7" means seven or more arrests. "8" means no arrests and "9" means unknown.

42-47 Arrest 1

Refer to Appendix A: Offense Codesheet. Enter the appropriate code for the offense for which the probationer was arrested. If there are more than two arrests, use the procedures explained in the appendix to determine which offenses to enter. Include the arrest if it was for a technical violation.

48-53 Date of Arrest 1

Enter the date (month, day, year) that the arrest occurred. If more than one date is given, enter the first one. Right adjust all days and months separately so that January 5, 1979 is coded as "01 05 79". Enter "888888" if no arrest occurred and "999999" if the arrest date is unknown.

## COLUMNS

- 6-11 (cont'd.)  
use of a weapon, substance abuse (alcohol or drugs), continuous failure to report to the probation agency, failure to complete special conditions established by the court, failure to pay required fees (probation, court costs, fines, and restitution), failure to maintain employment, failure to inform probation officer of changes in the probationers' status (residence, marital situation, and living arrangements), association with known criminals, frequenting bars or other prohibited places, failure to obtain mental health counseling, absconding, and incarceration in a jail or prison. Enter "888888" if the officer never implied or indicated a potential violation in his/her casenotes.
- 12 First Violation Report Cited Arrest  
Indicate whether or not the issued violation report included an arrest as a reason for revoking probation. "8" means a violation report was not issued.
- 13 First Violation Report Cited Possession and/or Use of a Weapon  
Indicate whether or not the issued violation report included possession and/or use of a weapon as a reason for revoking probation. "8" should be used if a violation report was not issued.
- 14 First Violation Report Cited Substance Abuse (Drugs or Alcohol)  
Indicate whether or not the issued violation report included substance abuse as a reason for revoking probation. "8" means a violation report was not issued.
- 15 First Violation Report Cited Failure to Report to Probation Agency  
Indicate whether or not the issued violation report included failure to report to probation agency as a reason for revoking probation. "8" means a violation report was not issued.
- 16 First Violation Report Cited Failure to Complete Special Conditions Required by the Court  
Indicate whether or not the issued violation report included failure to comply with special conditions as a reason for revoking probation. Special conditions can include driving without a license, attending a drug or alcohol program, or whatever was ordered by the sentencing judge. Enter "8" if a violation report was not issued.
- 17 First Violation Report Cited Failure to Pay Required Fees  
Indicate whether or not the issued violation report included failure to maintain employment as a reason for revoking probation. Enter "8" if a violation report was not issued.
- 18 First Violation Report Cited Failure to Maintain Employment  
Indicate whether or not the issued violation report included failure to maintain employment as a reason for revoking probation. Enter "8" if a violation report was not issued.

## COLUMNS

- 19 First Violation Report Cited Failure to Inform Probation Officer of Changes in Status  
Indicate whether or not the issued violation report included failure to inform the probation officer of any significant changes in the person's life such as a new residence or marital status. Enter "8" if a violation report was not issued.
- 20 First Violation Report Cited Association with Known Criminals or Frequenting Bars or Other Prohibited Places  
Indicate whether or not the issued violation report included association with known criminals and/or frequenting bars or other prohibited places. Enter "8" if a violation report was not issued.
- 21 First Violation Report Cited Failure to Obtain Mental Health Counsel  
Indicate whether or not the issued violation report included failure to obtain mental health counsel as a reason for revoking probation. Enter "8" if a violation report was not issued.
- 22 First Violation Report Cited Absconding  
Indicate whether or not the issued violation report included absconding as a reason for revoking probation. Absconding requires the issuing of a warrant for continuous failure to appear. Enter "8" if a violation report was not issued.
- 23 First Violation Report Cited Incarceration in Jail or Prison  
Indicate whether or not the issued violation report included incarceration in jail or prison as a reason for revoking probation. Enter "8" if a violation report was not issued.
- 24-29 Date of Second Violation Report Issued  
Enter the date (month, day, year) that the second technical violation report was issued. Right adjust all days and months separately so that January 5, 1979 is coded as "01 05 79". Enter "888888" if no report was issued and "999999" if the date is unknown.
- 30 Second Violation Report Cited Arrest  
Indicate whether or not the issued violation report included arrest as a reason for revoking probation. Enter "8" if a violation report was not issued.
- 31 Second Violation Report Cited Possession or Use of a Weapon  
Indicate whether or not the issued violation report included possession and/or use of a weapon as a reason for revoking probation. "8" should be used if a violation report was not issued.



## COLUMNS

32 Second Violation Report Cited Substance Abuse

Indicate whether or not the issued violation report included substance abuse as a reason for revoking probation. "8" means a violation report was not issued.

33 Second Violation Report Cited Failure to Report to Probation Agency

Indicate whether or not the issued violation report included failure to report to probation agency as a reason for revoking probation. "8" means a violation report was not issued.

34 Second Violation Report Cited Failure to Complete Special Conditions Required by the Court

Indicate whether or not the issued violation report included failure to comply with special conditions as a reason for revoking probation. Special conditions can include driving without a license, attending a drug or alcohol program, or whatever was ordered by the sentencing judge. Enter "8" if a violation report was not issued.

35 Second Violation Report Cited Failure to Pay Required Fees

Indicate whether or not the issued violation report included failure to pay required fees as a reason for revoking probation. "8" means a violation report was not issued.

36 Second Violation Report Cited Failure to Maintain Employment

Indicate whether or not the issued violation report included failure to maintain employment as a reason for revoking probation. Enter "8" if a violation report was not issued.

37 Second Violation Report Cited Failure to Inform Probation Officer of Changes in Status

Indicate whether or not the issued violation report included failure to inform the probation officer of any significant changes in the person's life such as a new residence or marital status. Enter "8" if a violation report was not issued.

38 Second Violation Report Cited Association with Known Criminals or Frequenting Bars or Other Prohibited Places

Indicate whether or not the issued violation report included association with known criminals and/or frequenting bars or other prohibited places. Enter "8" if a violation report was not issued.

39 Second Violation Report Cited Failure to Obtain Mental Health Counseling

Indicate whether or not the issued violation report included failure to obtain mental health counseling as a reason for revoking probation. Enter "8" if a violation report was not issued.

## COLUMNS

40 Second Violation Report Cited Absconding

Indicate whether or not the issued violation report included absconding as a reason for revoking probation. Absconding requires the issuing of a warrant for continuous failure to appear. Enter "8" if a violation report was not issued.

41 Second Violation Report Cited Incarceration in Jail or Prison

Indicate whether or not the issued violation report included incarceration in jail or prison as a reason for revoking probation. Enter "8" if a violation report was not issued.

42 Probation Revoked

Indicate whether or not probation was revoked. Enter "8" if not applicable and "9" for unknown.

43 Consequences of Revocation

Indicate the result of the administrative hearing revoking probation for this probationer. If probation was not revoked, enter "8"; enter "9" if this information is unknown.

44-45 Length of Consequences (months)

Enter the length of the sentence or confinement resulting from the revocation. Enter "88" if probation was not revoked and "99" if unknown.

46 Number of Convictions

Enter the total number of convictions the probationer has had since placement on probation. Do not include those convictions that resulted from arrests prior to placement on probation. Enter "0" if the person was arrested but not convicted, "8" if not arrested nor convicted, and "9" if unknown.

47-52 Conviction 1

Refer to Appendix A: Offense Code Sheet. Enter the appropriate code referring to the conviction offense. If there are more than two convictions use the procedures in Appendix A to determine which offenses to include. Enter "888888" if not applicable.

53-54 Sentence 1

Indicate the type of sentence awarded for the new conviction. If more than one condition of a sentence is given, specify what the remaining conditions are (i.e., probation plus fines, jail, etc.).

Enter "88" for no new sentence and "99" for "unknown".

## COLUMNS

55-58 Fines

Enter the total dollar value of fines that were assessed by the court for this conviction. "8888" means not applicable/none and "9999" means unknown or to be determined.

59-60 Sentence Length (months)

Enter the total number of months that the probationer is required to serve for all non-confinement sanctions (probation, suspended sentence, court parole, probation continued, etc.). Enter "88" for not applicable and "99" for unknown.

61-62 Confinement Length (months)

Enter the total number of months that the probationer is required to spend incarcerated (jail or prison) as a result of this new conviction. Place "01" in the box if the sentence requires more than 24 hours but less than 30 days in jail. Enter "88" for not applicable and "99" for unknown.

63-68 Conviction 2

Refer to Appendix A: Offense Code Sheet. Enter the appropriate code referring to the conviction offense. If there are more than two convictions, use the procedure in Appendix A to determine which offense to include.

69-70 Sentence 2

Indicate the type of sentence awarded for the new conviction. If more than one condition of a sentence is given, specify what the remaining conditions are (i.e., probation plus fines, jail, etc.).

Enter "88" for no new sentence and "99" for "unknown".

71-74 Fines 2

Enter the total dollar value of fines that were assessed by court for this conviction. "8888" means none/not applicable and "9999" means unknown or to be determined.

## 78-80 I10

## CARD 11

1-5 Identifier

Duplicate from CARD 8.

6-7 Sentence Length (months)

Enter the total number of months that the probationer is required to serve for all non-confinement sanctions (probation, suspended sentence, court parole, probation continued, etc.). Enter "88" for not applicable and "99" for unknown.

## COLUMNS

8-9 Confinement Length (months)

Enter the total number of months that the probationer is required to spend incarcerated (jail or prison) as a result of this new conviction. Place "01" in the box if the sentence requires more than 24 hours but less than 30 days in jail. Enter "88" for not applicable and "99" for unknown.

10 Number of Probation Officers

Enter the total number of probation officers the probationer has had during his probation tenure. "7" is the upper limit indicating seven or more officers. "8" indicates not applicable and "9" means unknown.

11-12 Length of Probation Officer 1 (months)

Enter the total number of months the probationer has been under supervision for each assigned officer. If there were more than two officers, enter the assignments which lasted the longest period of time. Place an "88" in boxes which exceed the number of probation officers and "99" if the number of months is unknown.

13-14 Length of Probation Officer 2 (months)

Enter the total number of months the probationer has been under supervision for each assigned officer. If there were more than two officers, enter the assignments which lasted the longest period of time. Place an "88" in boxes which exceed the number of probation officers and "99" if the number of months is unknown.

15 Changes in Supervision Level 1

Enter the appropriate code describing the first change in supervision level.

16-21 Date of Change 1

Enter the date (month, day, year) that the first change in supervision level was secured. Right adjust all days and months separately so that January 5, 1979 is coded as "01 05 79". Enter "888888" if no change occurred and "999999" if the date is unknown.

22 Change in Supervision Level 2

Enter the appropriate code describing the second change in supervision level.

23-28 Date of Change 2

Enter the date (month, day, year) that the second change in supervision level occurred. Right adjust all days and months separately so that January 5, 1979 is coded as "01 05 79". Enter "888888" if no change occurred and "999999" if the date is unknown.

29 Change in Supervision Level 3

Enter the appropriate code describing the third change in supervision level.



## COLUMNS

30-35 Date of Change 3

Enter the date (month, day, year) that the third change in supervision level occurred. Right adjust all days and months separately so that January 5, 1979 is coded as "01 05 79". Enter "888888" if no change occurred and "999999" if the date is unknown.

36 Transfer to Another County/State

Indicate whether or not this case has been transferred to another county or state. If so, please be as specific as possible in listing the agency currently supervising the probationer.

37-38 Termination

Indicate the condition which applies to this probationer at the time of coding. Absconding means that a warrant was issued for the person's arrest.

78-80 Ill

## ADDENDUM

## CARD 8

16-17 Face-to-Face Contact 1

(This applies to Face-to-Face Contact 2-12 cols. 18-39.)

If a probationer appears for a visit and speaks with another probation officer, include this as a face-to-face contact. Exclude incidents where the probationer came in to change an appointment but did not speak to the officer.

40-41 Collateral Contact 1

(This applies to Collateral Contact 2-12 cols. 42-63.)

Collateral contacts do not include calls to change the date or time of a scheduled appointment.

Include as a collateral contact any chance meetings the probationer and officer have where there is an actual verbal exchange of information (i.e., met on the streets). Do not include any incidents where the officer sees the probationer but does not talk with him/her.

64 Employment Status

"Unemployable" (code 4) also refers to incidents where the probationer cannot work because he/she is responsible for the care of an ill member of the family.

Full-time employment status (code 2) should be given to any probationer who worked two regular part-time jobs during the probation period. Also, a construction worker is considered full-time unless the notes state that he/she works periodically for different companies.

66 Number of Jobs During Probation Period

If a person has the same job (either a full-time and part-time job or two part-time jobs running concurrently) and does not change jobs during the entire probation period, consider this one job.

The category is trying to capture stability in employment during the probation period.

## CARD 9

19 Referred to Counselor

The category counselor excludes those already covered by other variables. In incidents where the casenotes refer to the "out-patient drug counselor" (or any other counselor covered by other variables) as a counselor, record the contact or other information under the appropriate contact.

School counselors who function as career guidance counselors are excluded from this category.

22 Referred to Community Service

If the community service is a condition of probation, enter "0" for no in the referral to community service category.

23 Probationer Contact with Community Service

If the community service was a requirement of probation, enter "1" for yes if the probationer had contact with the agency. Do not consider this to be self-initiated (code 2). Indicate type of community service.

68 Number of Known Letters of Violation Sent

This refers to informal warnings sent to the probationer. (Informal in the sense that the court is not notified that the letters are being sent.)

CARD 10

6-11 Earliest Date of Technical Violation Report Behavior Noted In Catenotes

If a formal technical violation report was issued, record the date of the earliest behavior problems noted in the casenotes. This behavior does not necessarily have to be any of the reasons cited in the violation report.

CARD 11

10 Number of Probation Officers

If the probation officer was not in the office at the time of the appointment and the probationer spoke with another officer, do not consider this to be a transfer to another officer.

This question refers to the number of times the probationer was transferred to another officer.

37-38 Termination

The following codes are to be used if applicable:

- 14 - transferred
- 15 - revocation or warrant pending
- 16 - probation extended through modification (please specify length of extension and reason)
- 17 - probation by mail (please specify reason)

FOLLOW-UP CODESHEET

CODER \_\_\_\_\_

DATE \_\_\_\_\_

CARD 8

Identifier

1	2	3	4	5
---	---	---	---	---

Probationer's name last first middle initial

Case #

6	7	8	9	10	11	12	13	14	15
---	---	---	---	----	----	----	----	----	----

Face to face contact 1

0 - none	16	17
----------	----	----

- 1 - one
- 7 - seven or more
- 8 - not applicable
- 9 - unknown

Face to face contact 2

18	19
----	----

Face to face contact 3

20	21
----	----

Face to face contact 4

22	23
----	----

Face to face contact 5

24	25
----	----

Face to face contact 6

26	27
----	----

Face to face contact 7

28	29
----	----

Face to face contact 8

30	31
----	----

Face to face contact 9

32	33
----	----

Face to face contact 10

34	35
----	----

Face to face contact 11

36	37
----	----

Face to face contact 12

38	39
----	----

Collateral contact 1  
0 - none  
1 - one  
7 - seven or more  
8 - not applicable  
9 - unknown

40	41
----	----

Collateral contact 2

42	43
----	----

Collateral contact 3

44	45
----	----

Collateral contact 4

46	47
----	----

Collateral contact 5

48	49
----	----

Collateral contact 6

50	51
----	----

Collateral contact 7

52	53
----	----

Collateral contact 8

54	55
----	----

Collateral contact 9

56	57
----	----

Collateral contact 10

58	59
----	----

Collateral contact 11

60	61
----	----

Collateral contact 12

62	63
----	----

Employment status  
1 - unemployed  
2 - employed full-time  
3 - employed part-time  
4 - unemployable  
9 - unknown

64
----

## FOLLOW-UP CODESHEET

-2-

## School status

- 1 - vocational training  
2 - in school full-time  
3 - in school part-time  
4 - G.E.D. classes  
8 - not applicable/none  
9 - unknown

☐  
65

## Number of jobs during probation period

☐  
66

## Referral to employment agency

- 0 - no  
1 - yes

☐  
67

## Probationer contact with employment agency

- 0 - no  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

☐  
68

## Total number of probation officer contacts with employment agency

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

☐  
69

## Referred to residential alcohol treatment

- 0 - no  
1 - yes

☐  
70

## Probationer contact with residential alcohol program

- 0 - no  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

☐  
71

## Total number of probation officer contacts with residential alcohol program

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

☐  
72

## Referred to outpatient alcohol treatment

- 0 - no  
1 - yes

☐  
73

## Probationer contact with outpatient alcohol treatment

- 0 - none  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

☐  
74

## Total number of probation officer contacts with outpatient alcohol treatment

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

☐  
75

## Referred to residential drug program

- 0 - no  
1 - yes

☐  
76

## Probationer contact with residential drug program

- 0 - no  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

☐  
77

CARD 9

Identifier

I	0	8
78	79	80

1	2	3	4	5
---	---	---	---	---

## FOLLOW-UP CODESHEET

-3-

## Total number of probation officer contacts with residential drug program

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

☐  
6

## Probationer contact with inpatient mental health treatment

- 0 - no  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

☐  
14

## Referred to outpatient drug program

- 0 - no  
1 - yes

☐  
7

## Total number of probation officer contact with inpatient mental health treatment

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

☐  
15

## Probationer contact with outpatient drug program

- 0 - no  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

☐  
8

## Referred to outpatient mental health program

- 0 - no  
1 - yes

☐  
16

## Total number of probation officer contacts with outpatient drug program

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

☐  
9

## Probationer contact with outpatient mental health practitioner

- 0 - no  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

☐  
17

## Referred for psychological testing/diagnosis

- 0 - no  
1 - yes

☐  
10

## Total number of probation officer contacts with outpatient mental health practitioner

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

☐  
18

## Probationer obtained psychological testing/diagnosis

- 0 - no  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

☐  
11

## Total number of probation officer contacts with agency administering the tests

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

☐  
12

## Referred to counselor

- 0 - no  
1 - yes

☐  
19

## Referred to inpatient mental health treatment

- 0 - no  
1 - yes

☐  
13

## Probationer contact with counselor

- 0 - no  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

☐  
20

## FOLLOW-UP CODESHEET

-4-

Total number of probation  
officer contacts with  
counselor

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

Referral to community  
service

- 0 - no  
1 - yes

Probationer contact  
with community service

- 0 - no  
1 - yes  
2 - yes - self-initiated  
8 - not applicable

Total number of probation  
officer contacts with  
community service

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable

Amount of fines paid

Amount of court  
costs paidAmount of  
restitution  
paidAmount of proba-  
tion fees paid

Number of arrests

- 1 - one  
7 - seven  
8 - not applicable/  
none

Arrest 1

Date of  
arrest 1

Arrest 2

Date of  
arrest 2Number of known failures  
to report

- 00 - none  
01 - one  
87 - eighty-seven or more

Number of known letters  
of violation sent

- 0 - none  
1 - one  
7 - seven or more

Number of technical  
violation reports  
issued

- 0 - none  
1 - one  
7 - seven or more

Date of  
first tech-  
nical viola-  
tion report  
issued

CARD 10

Identifier

Earliest date  
of technical  
violation  
report behavior  
noted in the  
casenotes

## FOLLOW-UP CODESHEET

-5-

First violation  
report cited:

arrest

- 0 - no  
1 - yes  
8 - not applicable

possession or use of  
a weaponsubstance abuse  
(drugs or alcohol)failure to report  
to probation agencyfailure to complete  
special conditions  
required by courtfailure to pay  
required feesfailure to main-  
tain employmentfailure to inform  
probation officer  
of changes in  
residence, marital  
status, etc.association with  
known criminals,  
frequenting bars  
or other pro-  
hibited placesfailure to obtain  
mental health  
counseling

absconding

in jail or  
incarceratedDate of second  
technical vio-  
lation report  
issuedSecond violation  
report cited:

arrest

- 0 - no  
1 - yes  
8 - not applicable

possession or use  
of a weapon

substance abuse

failure to report  
to probation agencyfailure to complete  
special conditions  
required by courtfailure to pay  
required feesfailure to main-  
tain employmentfailure to inform  
probation officer  
of changes in  
residence, marital  
status, etc.association with  
known criminals,  
frequenting bars  
or other pro-  
hibited places

## FOLLOW-UP CODESHEET

-6-

failure to obtain  
mental health  
counseling

☐  
39

absconding

☐  
40

in jail or  
incarceration

☐  
41

Probation revoked

- 0 - no  
1 - yes  
8 - not applicable  
9 - unknown

☐  
42

Consequences of  
revocation

- 1 - confinement in jail  
2 - confinement in prison  
3 - confinement in other  
institution  
4 - probation extended  
5 - confinement in mental  
institution  
6 - other  
8 - not applicable  
9 - unknown

☐  
43

Length of conse-  
quences (months)

☐  
44 45

Number of convictions

- 0 - none  
1 - one  
7 - seven or more  
8 - not applicable  
9 - unknown

☐  
46

Convic-  
tions 1

☐  
47 48 49 50 51 52

Sentence 1

- 01 - fine  
02 - jail  
03 - fines and jail  
04 - suspended sentence  
05 - prison  
06 - probation  
continued  
07 - probation and  
fines  
10 - split sentence  
(jail & probation)  
11 - probation with  
other sentences  
12 - restitution  
13 - public service  
14 - weekends in jail  
15 - weekends in jail  
and probation  
88 - not applicable  
99 - unknown

☐  
53 54

Fines 1

☐  
55 56 57 58

Sentence length  
(months)

☐  
59 60

Confinement  
length (months)

☐  
61 62

Conviction 2

☐  
63 64 65 66 67 68

Sentence 2

- 01 - fines  
02 - jail  
03 - fines and jail  
04 - suspended sentence  
05 - prison  
06 - probation  
continued  
07 - probation and  
fines  
10 - split sentence  
(jail & probation)  
11 - probation with  
other sentences  
12 - restitution  
13 - public service  
14 - weekends in jail  
15 - weekends in jail  
and probation  
88 - not applicable  
99 - unknown

☐  
69 70

## FOLLOW-UP CODESHEET

-7-

Fines 2

☐  
71 72 73 74

CARD 11

☐  
78 79 80

Identifier

☐  
1 2 3 4 5

Sentence length  
(months)

☐  
6 7

Confinement  
length (months)

☐  
8 9

Number of proba-  
tion officers

- 0 - none  
1 - one  
7 - seven or more

☐  
10

Length of probation  
officer 1 (months)

☐  
11 12

Length of probation  
officer 2 (months)

☐  
13 14

Changes in super-  
vision level 1

- 0 - no change  
1 - intensive to medium  
2 - intensive to minimum  
3 - medium to intensive  
4 - medium to minimum  
5 - minimum to medium  
6 - minimum to intensive

☐  
15

Date of  
change 1

☐  
16 17 18 19 20 21

Changes in super-  
vision level 2

- 0 - no change  
1 - intensive to medium  
2 - intensive to minimum  
3 - medium to intensive  
4 - medium to minimum  
5 - minimum to medium  
6 - minimum to intensive

☐  
22

Date of

change 2

☐  
23 24 25 26 27 28

Change in super-  
vision level 3

- 0 - no change  
1 - intensive to medium  
2 - intensive to minimum  
3 - medium to intensive  
4 - medium to minimum  
5 - minimum to medium  
6 - minimum to intensive

☐  
29

Date of

change 3

☐  
30 31 32 33 34 35

Transferred to another  
county/state

- 0 - no  
1 - yes

☐  
36

If yes, please fill in the  
following:

Probation department

Address

street

county state zip code

Officer or contact person

FOLLOW-UP CODESHEET

-8-

Termination

37	38

- 01 - revoked
- 02 - early discharge
- 03 - normal discharge
- 04 - died, natural causes
- 05 - died during commis-  
sion of criminal acts
- 06 - died from substance  
abuse
- 07 - died, unknown causes
- 10 - suicide
- 11 - absconded
- 12 - incarcerated
- 13 - continued on  
probation

I	1	1
78	79	80

APPENDIX B

SOME CHARACTERISTICS OF THE SAMPLE



CHARACTERISTICS	ALL SITES N=507		KANE COUNTY N=102		SUFFOLK COUNTY N=127		FLORIDA N=278	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
SENTENCE								
Single Offense	406	80	93	91	97	76	216	78
Multiple Offense	92	18	9	9	29	23	54	19
Missing values	6	2	0	0	1	1	8	3
	507	100	102	100	127	100	278	100
RACE								
White	346	68	70	69	100	79	176	63
Black	116	23	30	29	16	13	85	31
Other	29	6	1	1	8	6	5	2
Missing values	16	3	1	1	3	2	12	4
	507	100	102	100	127	100	278	100
SEX								
Male	390	77	86	84	111	87	193	69.4
Female	111	22	16	16	16	13	79	28.4
Missing values	6	1	0	0	0	0	6	2.2
	507	100	102	100	127	100	278	100.0
MARITAL STATUS								
Single	296	59	59	58	89	70	148	53
Married	109	21	17	17	20	16	72	26
Other	87	17	24	23	17	13	46	17
Missing values	15	3	2	2	1	1	12	4
	507	100	102	100	127	100	278	100
EMPLOYMENT STATUS								
Not employed	137	27	36	35	36	28	65	23
Employed	316	62	52	51	83	65	181	65
Not employable	33	7	7	7	7	6	19	7
Missing values	21	4	7	7	1	1	13	5
	507	100	102	100	127	100	278	100

CHARACTERISTICS	ALL SITES N=507		KANE COUNTY N=102		SUFFOLK COUNTY N=127		FLORIDA N=278	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
LIVING ARRANGEMENTS AT TIME OF ARREST								
With others	460	91	94	92	118	93	248	89
Alone	29	6	3	3	7	5	19	7
Other	2	0	1	1	0	0	1	0
Missing values	16	3	4	4	2	2	10	4
	507	100	102	100	127	100	278	100
PLANNED LIVING ARRANGEMENTS								
With others	454	89	94	92	116	91.3	244	88
Alone	29	6	3	3	8	6.3	18	6
Other	3	1	2	2	0	0.0	1	0
Missing values	21	4	3	3	3	2.4	15	6
	507	100	102	100	127	100.0	278	100
ALCOHOL ABUSE								
Use denied	273	54	68	67	80	63	125	45
Problem drinker/alcoholic	121	24	31	30	45	35	45	39
Missing values	113	22	3	3	2	2	108	16
	507	100	102	100	127	100	278	100
DRUG ABUSE								
Used denied	301	59	62	61	99	78	140	50
Problem user/addict	81	25	38	37	26	20	17	6
Missing values	125	16	2	2	2	2	121	44
	507	100	102	100	127	100	278	100
PAST MENTAL HEALTH								
Inpatient	33	7	17	17	3	2	13	5
Outpatient	31	6	0	0	20	16	11	4
Both	8	1	0	0	3	2	5	2
Missing values	435	86	85	83	101	80	249	89
	507	100	102	100	127	100	278	100

CHARACTERISTICS	ALL SITES N=507		KANE COUNTY N=102		SUFFOLK COUNTY N=127		FLORIDA N=278	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
PRESENT MENTAL HEALTH								
Inpatient	9	2	4	4	2	2	3	1
Outpatient	19	4	1	1	12	9	6	2
Both	1	0	0	0	1	1	0	0
Missing values	478	94	97	95	112	88	269	97
	507	100	102	100	127	100	278	100
TYPE OF WEAPON								
Firearm	11	2	3	3	6	5	2	1
Knife	7	2	2	2	3	2	2	1
Other	17	3	4	4	10	8	3	1
Missing values	472	93	93	91	108	85	271	97
	507	100	102	100	127	100	278	100
PHYSICAL HARM ENSUED								
None	423	83	92	90	107	84	224	80
Bodily	54	11	8	8	19	15	27	10
Death	1	0	0	0	1	1	0	0
Missing values	29	6	2	2	0	0	27	10
	507	100	102	100	127	100	278	100
STATUS AT TIME OF ARREST								
First time	246	48	28	27	73	57	145	52
Other	248	49	73	72	54	43	121	44
Missing values	13	3	1	1	0	0	12	4
	507	100	102	100	127	100	278	100

END