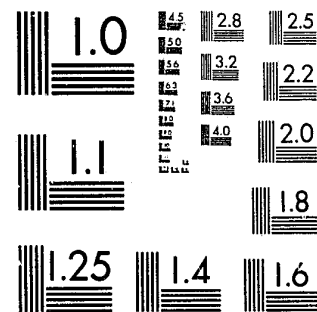


National Criminal Justice Reference Service

ncjrs

This microfiche was produced from documents received for inclusion in the NCJRS data base. Since NCJRS cannot exercise control over the physical condition of the documents submitted, the individual frame quality will vary. The resolution chart on this frame may be used to evaluate the document quality.



MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS-1963-A

Microfilming procedures used to create this fiche comply with the standards set forth in 41CFR 101-11.504.

Points of view or opinions stated in this document are those of the author(s) and do not represent the official position or policies of the U. S. Department of Justice.

National Institute of Justice
United States Department of Justice
Washington, D. C. 20531

2/23/84

Federal Probation



Writing About Justice: An Essay Review Benjamin Frank

Probation as a Reparative Sentence Burt Galaway 91630

Selective Incapacitation: An Idea Whose Time Has Come? Brian Forst

Recent Case/Law on Overcrowded Conditions of Confinement Jack E. Call 91631

Innovative Caseload Project Gennaro F. Vito
Franklin E. Marshall 91632

Women Ex-Offenders: What We Can Do Camille K. Zimbal

Group Training With Unemployed Offenders H. R. "Hank" Gallia
Jerome R. Lorenz

Solving and the Court Counselor Eric T. Assus

Early Released and Pseudoreleased Offenders Laurence A. French 91633

ry, the Public, and Implications for Adewale R. Rotimi 91634

91630-91634

SEPTEMBER 1983

ADMINISTRATIVE OFFICE OF THE UNITED STATES COURTS

U.S. Department of Justice
National Institute of Justice

This document has been reproduced exactly as received from the person or organization originating it. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the National Institute of Justice.

Permission to reproduce this copyrighted material has been granted by

Federal Probation

to the National Criminal Justice Reference Service (NCJRS).

Further reproduction outside of the NCJRS system requires permission of the copyright owner.

WILLIAM E. FOLEY
Director

JOSEPH F. SPANIOL, JR.
Deputy Director

WILLIAM A. COHAN, JR.
Chief of Probation

EDITORIAL STAFF

DONALD L. CHAMLEE
Deputy Chief of Probation
Editor

WILLIAM A. MAIO, JR.
Managing Editor

MILLIE A. RABY
Editorial Secretary

ADVISORY COMMITTEE

WILLIAM E. AMOS, ED. D., Professor and Coordinator, Criminal Justice Programs, North Texas State University, Denton

RICHARD A. CHAPPELL, Former Chairman, U.S. Board of Parole, and Former Chief, Federal Probation System

ALVIN W. COHN, D. CRIM., President, Administration of Justice Services, Inc., Rockville, Md.

T.C. ESSELSTYN, PH.D., Emeritus Professor of Sociology, San Jose State University

BENJAMIN FRANK, PH.D., Chief of Research and Statistics (Retired), Federal Bureau of Prisons, and former Professor, Southern Illinois University and The American University

DANIEL GLASER, PH.D., Professor of Sociology, University of Southern California

RICHARD A. MCGEE, Chairman of the Board, American Justice Institute, Sacramento

BEN S. MEEKER, Chief Probation Officer (Retired), U.S. District Court for the Northern District of Illinois

LLOYD E. OHLIN, PH.D., Professor of Criminology, Harvard University Law School

MILTON G. RECTOR, President Emeritus, National Council on Crime and Delinquency, Hackensack, N.J.

GEORGE J. REED, Commissioner (Retired), U.S. Parole Commission

THORSTEN SELLIN, PH.D., Emeritus Professor of Sociology, University of Pennsylvania

CHARLES E. SMITH, M.D., Professor of Psychiatry, The School of Medicine, University of North Carolina, Chapel Hill

MERRILL A. SMITH, Chief of Probation (Retired), Administrative Office of the U.S. Courts

ROBERTS J. WRIGHT, Commissioner of Corrections (Retired), Westchester County, N.Y., and former Editor, American Journal of Correction

Federal Probation is published by the Administrative Office of the United States Courts and is edited by the Probation Division of the Administrative Office.

All phases of preventive and correctional activities in delinquency and crime come within the fields of interest of FEDERAL PROBATION. The Quarterly wishes to share with its readers all constructively worthwhile points of view and welcomes the contributions of those engaged in the study of juvenile and adult offenders. Federal, state, and local organizations, institutions, and agencies — both public and private — are invited to submit any significant experience and findings related to the prevention and control of delinquency and crime.

Manuscripts (in duplicate), editorial matters, books, and communications should be addressed to FEDERAL PROBATION, Administrative Office of the United States Courts, Washington, D.C. 20544.

Subscriptions may be ordered from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402, at an annual rate of \$9.00 (domestic) and \$11.25 (foreign). Single copies are available at \$3.50 (domestic) and \$4.40 (foreign).

Permission to quote is granted on condition that appropriate credit is given to the author and the Quarterly. Information regarding the reprinting of articles may be obtained by writing to the Editors.

FEDERAL PROBATION QUARTERLY
Administrative Office of the United States Courts, Washington, D.C. 20544

Federal Probation

A JOURNAL OF CORRECTIONAL PHILOSOPHY AND PRACTICE

Published by the Administrative Office of the United States Courts

VOLUME XXXXVI

SEPTEMBER 1983

NCJRS

NUMBER 3

OCT 24 1983

This Issue in Brief

ACQUISITIONS

ERRATUM: In Ted Palmer's article, "The 'Effectiveness' Issue Today: An Overview" (June 1983, pp. 5-10), the sentence on page 5, column 2, line 2, beginning with the words, "In contrast," and ending with "are also implied," should have read as follows: In contrast, the differential intervention view suggests that some offenders (BTA's amenable included) will respond positively to given approaches under certain conditions only, and that these individuals may respond *negatively* to other approaches under very similar conditions; other combinations of offender, approach, setting—and resulting outcome—are also implied.

The editors regret that the important missing words, "certain conditions only, and that these individuals may respond *negatively* to other approaches under," were inadvertently omitted.

Writing About Justice: An Essay Review.—This essay review by Dr. Benjamin Frank deals with what are generally considered the three most influential books on political and moral philosophy published in the past decade. They are, in effect, three competing theories of justice for contemporary liberal society. The focus of Dr. Frank's review is on the implications of each of these theories for penal policy.

Probation as a Reparative Sentence.—Probation as a reparative sentence should become the penalty of choice for property offenders, asserts Professor Burt Galaway of the University of Minnesota at Duluth. The reparative sentence requires offenders to restore victim losses either through monetary restitution or personal service. If there are no victim losses or the nature of the offense requires a more severe penalty, additional reparations can be made to the community in the form of unpaid service.

Selective Incapacitation: An Idea Whose Time Has Come?—Selective incapacitation is a popular, yet controversial new idea for dealing simultaneously with overpopulated prisons and jails and with the problem of high crime rates. Brian Forst of INSLAW, Inc., considers the pros and cons of the idea. His arti-

cle focuses primarily on two issues: the compatibility of selective incapacitation with other strategies for determining criminal sanctions, and the problem of errors in predicting which offenders are the most dangerous.

Recent Case Law on Overcrowded Conditions of Confinement: An Assessment of Its Impact on Facility Decisionmaking.—Crowded prisons and

CONTENTS

Writing About Justice: An Essay Review	Benjamin Frank	3
Probation as a Reparative Sentence	Burt Galaway	9
Selective Incapacitation: An Idea Whose Time Has Come?	Brian Forst	19
Recent Case Law on Overcrowded Conditions of Confinement	Jack E. Call	23
The Administrative Caseload Project . . .	Gennaro F. Vito Franklin H. Marshall	33
Hiring Women Ex-Offenders: What We Can Do	Camilla K. Zimbal	42
Job Club Group Training With Unemployed Offenders	H.R. "Hank" Cellini Jerome R. Lorenz	46
Problem Solving and the Court Counselor . .	Eric T. Assur	50
The Mentally Retarded and Pseudoretarded Offender: A Clinical Legal Dilemma	Laurence A. French	55
Penal Policy, the Public, and Implications for Prison Administration in Nigeria . . .	Adewale R. Rotimi	62
Departments:		
Looking at the Law		71
Letters to the Editor		73
Reviews of Professional Periodicals		74
Your Bookshelf on Review		79
It Has Come to Our Attention		87

91632

The Administrative Caseload Project

An Alternative Model of Probation Caseload Management*

BY GENNARO F. VITO, Ph. D., AND FRANKLIN H. MARSHALL**

IN THE PAST 20 years, probation departments in the United States have devoted a great deal of attention to caseload sizes and their impact upon service delivery. This interest spawned several projects which varied the level of supervision provided and examined the outcomes of different types of probationers. This paper presents data from an evaluation of a minimum level of supervision probation project.

Project Description

The Administrative Caseload Project (ACLP) was based upon the belief that as much as 15 to 20 percent of the general caseload in the Eastern District of Pennsylvania (Federal) had no need for the routine assistance, personal contact or the field worker services of a probation officer. It was assumed that these cases needed no attention other than administrative monitoring under the auspices of one probation officer. It was believed that these individuals would perform acceptably and serve their probation period successfully without routine supervision and surveillance. The probation officer would monitor their progress through telephone and written contacts with personal contact held in reserve. However, personal support and assistance would still be available if the probationer should request it.

This minimum level of supervision was justified in two ways. First, this type of offender was not viewed

as a threat to the community and, thus, did not require a high level of supervision. Second, the project would reduce the caseload size of probation officers who would then be free to provide innovative and more effective services to their smaller caseloads.

Previous Research

In short, the purposes and rationales of the ACLP were based upon the findings of the San Francisco Project (Lohman, et al., 1969). It should be remembered that the San Francisco Project was based upon the random assignment of individuals to three levels of supervision in addition to minimum supervision. In this experiment, minimum supervision was defined as follows:

Offenders on probation, parole or mandatory release were required to submit a written report once a month to the United States Probation Office. This was the only required contact between the Probation Officer and the offender. However, specific services or assistance requested by the offender or matters brought to the attention of the Probation Officer by outside persons or agencies were acted upon. There were no routine or normal contacts with offenders in this caseload (Lohman, et al., 1969:59).

Lohman further defined minimum supervision as "crisis supervision"—only that supervision which emerges from a crisis situation and is brought to the attention of the officer by the probationer, another agency or person. Beyond this, the only additional contact between the officer and client was a written monthly report. The implication was that minimum supervision, in a *de facto* sense, had long been standard operating procedure in probation departments.

The amount of contact given to minimum-level probationers during the life of the San Francisco Project was summarized in the following manner. During the 978 months of minimum supervision, there were 122 office visits, 162 telephone calls and 32 other direct contacts with the 118, thus:

- (1) An office visit occurred once every 8 months of minimum supervision.
- (2) A telephone call occurred once every 6 months of minimum supervision.
- (3) "Other" contacts (at home or in the community) occurred once every 30.5 months of minimum supervision. (Lohman, et al., 1969:34-36).

*Paper presented at the "Policy and Management in Probation and Parole" panel of the 1982 Annual Meeting of the American Society of Criminology in Toronto, Canada, November 6, 1982. The viewpoints expressed do not necessarily reflect nor enjoy the support of the U.S. District Court for the Eastern District of Pennsylvania. This paper should not be quoted or reproduced without the permission of the authors. Copyright 1982.

**Dr. Vito is assistant professor, School of Justice Administration, University of Louisville. Mr. Marshall is probation officer, U.S. District Court, Eastern District of Pennsylvania at Philadelphia. The authors wish to thank John Pachkowski, Chris Klinger, and Brett Hahn for their assistance in collecting and coding the data presented in this paper and Dr. Edward J. Latessa of the University of Cincinnati for his comments.

It appears that, in terms of contact level, the label "minimum supervision" was appropriate.

In terms of recidivism rates, it was found that offenders in minimum supervision caseloads performed as well as those under normal supervision (Robinson, et al., 1969). However, it was not suggested that minimum supervision should become the standard for probation caseload management. Rather it was recommended that caseload management be predicated upon excepted violation rates for different categories of probationers. It was suggested that some standard of risk classification would be necessary to assign cases to different levels of supervision.

ACLP Selection Procedures

In this particular project, each probation officer in the district was asked to review his or her existing caseload for potential project candidates. The following criteria were used as entry requirements to the project:

- (1) Usually new cases with 6 months or less time under supervision should not be referred to the administrative caseload. Exceptions are probation cases wherein a presentence report was completed showing that the client has maintained a productive, stable lifestyle. Also the client must be a first-time offender with the instant offense being of low severity.
- (2) A stable reporting record on the part of the client must be in evidence as indicated by the client's attendance for required supervision contacts and current monthly supervision reports. The client must also be generally cooperative and flexible to the reporting requirements of the project.
- (3) The client must demonstrate the ability to maintain stable domestic relations.
- (4) The client must demonstrate residential stability.
- (5) The client's employment and/or dependence upon public assistance must be stable.
- (6) The client must be currently meeting all conditions of probation and parole.
- (7) Clients with fine and/or restitution obligations must be making regular payments and will be able to continue making payments without constant reminder. Delinquent payment cases will not be considered.
- (8) Clients with 6 months or less of remaining supervision time will not be eligible for the project.

- (9) Clients with active drug, alcohol, or psychiatric problems will not be considered.
- (10) Cases listed in the special offender category (organized crime) or cases that are "sensitive" or of "high notoriety" will not be considered. Parole cases classified as central monitoring or original jurisdiction will be excluded. Probation cases listed on the Judgment Order as close monitoring will also be excluded until this special condition is removed.

If the client met these criteria, the officer was directed to refer the case to the administrative caseload officer for review. The referring officer was later informed of the final decision, pending a conference with the client, the referring officer, and the ACLP officer. At this meeting, the project was explained to the client and the client had the option of entering the project or remaining on general supervision. If the client accepted the placement, agreement papers were executed by the client and both of the officers, outlining the duties of the client and the responsibility of the project.

Research Design

The research design for the ACLP evaluation combined quasi and nonexperimental aspects. The data came from project files covering the period from June 1, 1979, through June 30, 1981. During this time frame, 188 clients were accepted into the project and 93 of these cases had their probation period terminated. Eighty-two cases were rejected or excluded from project entry. An additional group of cases classified as low risk and under general supervision in 1982 were selected at random for comparative purposes.

Decision to Grant Entry

The first research question was an examination of the criteria for program entry. Were the guidelines of the project regarding this decision followed or were some other and possibly discriminatory forces at work? Here, the analysis followed a before-after design comparing the demographic attributes of those cases accepted into the project (ACLP Accepted, N=188), those cases rejected from the project (ACLP Rejected, N=83) and a random sample of low risk cases from the 1982 general supervision population (Low, N=90). These data are presented in table 1.

TABLE 1.—Demographic Characteristics:
ACLP Accepted, ACLP Rejected, Regular Low Risk Probationers

Dimension		Accepted N* Percent		Rejected N* Percent		Low N* Percent	
Age:	39 and under	86	46.2	35	42.6	45	50.0
	40 and over	100	53.8	47	57.4	45	50.0
	TOTAL	186	100.0	82	100.0	90	100.0
Race:**	White	139	74.3	56	68.2	49	54.4
	Nonwhite	48	25.7	26	31.8	41	45.6
	TOTAL	187	100.0	82	100.0	90	100.00
Sex:**	Male	161	85.6	78	95.1	74	82.2
	Female	27	14.4	4	4.9	16	17.8
	TOTAL	188	100.0	82	100.0	90	100.0
Marital Status:	Married and						
	Common Law	126	67.7	47	58.0	44	48.8
	Single	29	15.7	16	19.8	26	28.8
	Other	31	16.6	18	22.2	20	22.4
	TOTAL	186	100.0	81	100.0	90	100.00
Dependents:	None	40	21.3	16	19.5	27	30.0
	Some	148	78.7	66	80.5	63	70.0
	TOTAL	188	100.0	82	100.0	90	100.0
Education:**	Less than HS	59	31.6	26	31.7	30	33.7
	HS Graduate	63	33.7	31	37.8	33	37.1
	Some College	25	13.4	14	17.0	11	12.3
	College Graduate	29	15.5	7	8.5	15	16.9
	Other	11	5.8	4	5.0	0	0.0
	TOTAL	187	100.0	82	100.0	89	100.0
Employment Status:	Full Time	154	87.0	65	83.3	53	58.9
	Part Time	2	1.1	0	0.0	11	12.2
	Unemployed	4	2.3	1	1.3	15	16.7
	Other	17	9.6	12	15.4	11	12.2
	TOTAL	177	100.0	78	100.0	90	100.0
Occupation:	Professional	80	50.3	32	47.8	14	17.9
	Paraprofessional	7	4.4	0	0.0	5	6.4
	Clerical	2	1.3	0	0.0	8	10.3
	Skilled Labor	58	36.5	32	47.8	16	20.5
	Unskilled Labor	12	7.5	3	4.4	35	44.9
	TOTAL	184	100.0	67	100.0	78	100.0
Salient Factor Score:**	Very Good	146	79.3	47	58.8	41	45.6
	Good	14	7.6	16	20.0	12	13.3
	Fair	16	8.7	8	10.0	3	3.3
	Poor	8	4.4	9	11.2	34	37.8
	TOTAL	184	100.0	80	100.0	90	100.0
Instant Offense:**	Personal	16	8.5	9	11.5	10	11.1
	Property	22	11.7	18	23.1	23	25.6
	Narcotics:	27	14.4	11	14.1	12	13.3
	White Collar	82	43.6	33	42.3	35	38.9
	Other	41	21.8	7	9.0	10	11.1
	TOTAL	188	100.0	78	100.0	90	100.0
Prior Fine or Convictions:	None	132	71.0	47	58.0	50	60.2
	Probation	31	16.6	17	21.0	20	24.1
	1 yr. or less	5	2.7	1	1.2	7	8.4
	Juvenile	2	1.1	2	2.5	6	7.3
	More than 1 yr.	16	8.6	14	17.3	0	0.0
	TOTAL	186	100.0	81	100.0	83	100.0

TABLE 1.—Demographic Characteristics:
ACLP Accepted, ACLP Rejected, Regular Low Risk Probationers
(Continued)

Dimension		Accepted N* Percent		Rejected N* Percent		Low N* Percent	
Case Type:	Probation	161	87.5	64	84.2	68	78.1
	Parole	16	8.7	12	15.8	17	19.5
	Magistrate Parole	7	3.8	0	0.0	2	2.4
	TOTAL	184	100.0	76	100.0	87	100.0
Classification:	Maximum	1	0.6	3	3.9	1	1.1
	Medium	62	38.5	25	32.9	1	1.1
	Low	98	60.9	48	63.2	88	97.8
	TOTAL	161	100.0	76	100.0	90	100.0
Six Months of Supervision?:	Yes	186	100.0	72	90.0	76	85.3
	No.	0	0.0	8	10.0	13	14.7
	TOTAL	186	100.0	80	100.0	89	100.0
Payment of Fine or Restitution:	Yes	101	96.2	28	68.3	83	92.2
	No	4	3.8	13	31.7	7	7.8
	TOTAL	105	100.0	41	100.0	90	100.0
Meeting Conditions of Probation:	Yes	180	99.4	68	88.3	83	93.3
	No	1	0.6	9	11.7	6	6.7
	TOTAL	181	100.0	77	100.0	89	100.0
Employment/Financial Stability?:**	Yes	181	97.3	74	92.5	72	80.0
	No	5	2.7	6	7.5	18	20.0
	TOTAL	186	100.0	80	100.0	90	100.0
Residential Stability?:	Yes	185	99.5	79	98.8	85	94.4
	No	1	0.5	1	1.2	5	5.6
	TOTAL	186	100.0	80	100.0	90	100.0
Stable Domestic Relations?:	Yes	181	98.4	77	96.3	88	97.8
	No	3	1.6	3	3.7	2	2.2
	TOTAL	184	100.0	80	100.0	90	100.0
Stable Reporting Record?:	Yes	173	93.5	78	97.5	87	95.7
	No	12	6.5	2	2.5	3	3.3
	TOTAL	185	100.0	80	100.0	90	100.0

*N:
Accepted Group = 188
Rejected Group = 82
Low Group = 90

If totals are less, the remaining cases were missing for that category.

**Chi-Square value is significant at the .05 level.

***Classification for Instant offenses is adapted from the classifications of the Administrative Office of the U.S. Courts and the U.S. Code.

Personal: Homicide, Robbery, Assault, Rape.
Property: Burglary, Larceny/Theft, Auto Theft, Forgery and Counterfeiting.
Narcotics: Control, Possession, Manufacture, Distribution, Importation.
Other: Sex Offense, Miscellaneous General Offenses, Immigration Laws, Liquor, Other Federal Statutes.

These data reveal that the average ACLP client was:

- A married, 40 or older, white male with some dependents, who had a high school education or higher.
- Employed full time at a professional occupation.
- Considered a very good risk in terms of Salient Factor Score.
- Placed on probation as a result of a white collar crime conviction and had no prior record.
- Meeting the conditions of supervision at time of entry.
- Had at least 6 months of supervision remaining.
- Had to pay either fines or restitution.
- Stable in terms of employment and finances, residence, domestic relations and reporting.

The only statistically significant differences between the ACLP Accepted clients and their counterparts in the Rejected and Low Risk groups were:

- There were fewer nonwhites in ACLP, especially in comparison with the Low Risk group. The racial proportions in the Accepted and Rejected groups were roughly equal.
- There were fewer females in the Rejected group.
- The Accepted group was more highly educated, had committed fewer personal and property offenses and were more stable in terms of their employment and financial relations.
- There were fewer poor risks as indicated by the Salient Factor Score among the Accepted.

Since the accepted group was so similar to the rejected group, the files of the rejected group were examined in order to determine if the written reasons for rejection should shed any light upon this decision. Of the 82 rejected cases, 74 had their reasons for rejection identified in writing in their file. These reasons are listed in table 2.

The reasons given in table 2 closely follow the criteria given to each officer to decide whether or not a case should be submitted to the ACLP. This analysis also gives a clearer indication than the demographic comparisons as to how exclusions were made. It appears that the project was able to focus upon the clientele whom they wished to serve and

TABLE 2.—Reasons for Rejection From the
Administrative Caseload Project

Ranking		No. of cases
1	Will not be able to pay fines or restitution:	12
2	Too little or too much time remaining in supervision:	10
3	Officer requested early termination: Drug problem:	8 8
4	Severe prior record: Employment problems:	6 6
5	Questionable reporting record: Subject decided not to enter program: Special offender case: Close supervision is required by the court:	3 3 3 3
6	Poor past supervision record: Alcohol problem: Medical problem:	2 2 2
7	Subject is outside of Eastern District of PA Temporary rejection: Open charges pending Financial problems: Poor attitude: Member of Federal Witnesses Protection Program:	1 1 1 1 1 1
	TOTAL:	74

that exclusions were made on the basis of the subject's suitability for the project.

Outcome Analysis: Effect Upon Caseload Size

One of the stated purposes for the ACLP was the reduction of caseload size by shifting the responsibility for a large number of cases to one officer. At the time the project began (June 1, 1979), the total number of active cases in the Eastern District of Pennsylvania had an all-time high of 2,431 probation and parole cases (-41.7%) by the end of June 1982.

This decline in the number of cases occurred independently of project operations and thereby blocked our ability to determine whether the ACLP had any impact upon caseload size. For this reason, the ability of the ACLP to reduce caseload size must remain an untested proposition. In any event, the ability of a minimum supervision project to reduce caseload size is tied to the presence of sufficient numbers of low risk cases in the general population.

Outcome Analysis: Service Delivery

Focus upon the 93 cases which were terminated while under ACLP supervision gives an indication

of the level of service delivery to cases in the project. This information is presented in table 3.

TABLE 3.—Service Delivery Data for 93 Cases Terminated From ACLP

Average number of months in project:	10.9
Average number of office contacts:	1.6
Average number of home contacts:	0.2
Average number of collateral contacts:	0.5
Average number of telephone contacts:	3.2
Average number of written contacts:	11.3

Payment of fines/restitution: 100% (44/44) = \$140,155.38

No change in employment status: 87% (80/92)

No change in educational status: 95.5% (84/88)

On the whole, these findings are consistent with the results of the San Francisco Project with regard to minimum supervision cases. For the most part, supervision took the form of written and telephone contacts and the collection of fines and restitution.

Questionnaires sent to the ACLP clients who were terminated from supervision (40/93, 43 percent

response rate) revealed their support for the project. Their responses were uniformly positive and specifically mentioned that the project gave them a feeling of faith and trust, a relief from the personal pressure and stigma of probation supervision and more time to spend with their families and jobs. They were also impressed with the idea that the officer was still available for help when they needed it and some did request assistance in dealing with other agencies and in complying with their conditions of probation.

In sum, the project did deliver services consistent with the definition of minimum supervision and it appears that the project clientele were satisfied with the level of service provided.

Outcome Analysis: Recidivism

In this portion of the evaluation, a comparison of outcomes in the ACLP cases which were terminated (N=93) and those which were rejected (N=82) was made. The analysis of the demographic characteristics of these two groups presented in table 4 reveals that these two groups were very similar and that an outcome comparison would be valid.

TABLE 4.—Demographic Characteristics: ACLP Terminated vs. ACLP Rejected

Dimension		Terminated		Rejected	
		N*	Percent	N*	Percent
Age:	39 and under	47	51.1	35	42.7
	40 and over	45	48.9	47	57.3
	TOTAL	92	100.0	82	100.0
Race:	White	65	69.8	56	68.3
	Nonwhite	28	30.2	26	31.7
	TOTAL	93	100.0	82	100.0
Sex:**	Male	82	88.2	78	95.1
	Female	11	11.8	4	4.9
	TOTAL	93	100.00	82	100.0
Marital Status:	Married and Common Law	59	63.4	47	58.0
	Single	15	16.2	16	19.8
	Other	19	20.4	18	22.2
	TOTAL	93	100.0	81	100.0
Dependents:	None	67	72.8	16	19.5
	Some	25	27.2	66	80.5
	TOTAL	92	100.0	82	100.0
Education:	Less than HS	12	12.9	26	31.7
	HS Graduate	50	53.8	31	37.8
	Some College	13	13.9	14	17.1
	College Graduate	14	15.1	7	8.5
	Other	4	4.3	4	4.9
	TOTAL	93	100.0	82	100.0

TABLE 4.—Demographic Characteristics: ACLP Terminated vs. ACLP Rejected

(Continued)

Dimension		Terminated		Rejected	
		N*	Percent	N*	Percent
Employment Status:	Full-time	77	93.9	65	83.3
	Part-time	0	0.0	0	0.0
	Unemployed	1	1.2	1	1.3
	Other	4	4.9	12	15.4
	TOTAL	82	100.0	78	100.0
Occupation:	Professional	33	36.3	32	47.7
	Paraprofessional	4	4.4	0	0.0
	Clerical	1	1.0	0	0.0
	Skilled Labor	34	37.4	32	47.7
	Unskilled Labor	19	20.9	3	4.6
	TOTAL	91	100.0	67	100.0
Salient Factor Score:	Very Good	65	70.7	47	58.8
	Good	11	11.9	16	20.0
	Fair	11	11.9	8	1.0
	Poor	5	5.5	9	11.2
	TOTAL	92	100.0	80	100.0
Instant Offense:**	Personal	9	9.7	9	11.5
	Property	23	24.7	18	23.1
	Narcotics	11	11.8	11	14.1
	White Collar	36	38.7	33	52.3
	Other	14	15.1	7	9.0
	TOTAL	93	100.0	78	100.0
Prior Convictions:	None	56	60.2	47	58.0
	Probation	21	22.6	17	21.0
	1 yr. or less	4	4.3	1	1.2
	Juvenile	1	1.1	2	2.5
	More than 1 yr.	11	11.8	14	17.3
	TOTAL	93	100.0	81	100.0
Case Type:	Probation	81	90.0	64	84.2
	Parole	9	10.0	12	15.8
	TOTAL	90	100.0	76	100.0
Classification:	Maximum	0	0.0	3	3.9
	Medium	31	34.4	25	32.9
	Minimum	59	65.6	48	63.2
	TOTAL	90	100.0	76	100.0
Six months of active supervision?:	Yes	73	85.9	72	90.0
	No	12	14.1	8	10.0
	TOTAL	85	100.0	80	100.0
Payment of Fine/Restitution?:*	Yes	44	97.8	28	68.3
	No	1	2.2	13	31.7
	TOTAL	45	100.0	41	100.0
Meeting Conditions of Probation?:	Yes	82	98.8	68	88.3
	No	1	1.2	9	11.7
	TOTAL	83	100.0	77	100.0

TABLE 4.—Demographic Characteristics:
ACLP Terminated vs. ACLP Rejected

(Continued)

Dimension		Terminated		Rejected	
		N*	Percent	N*	Percent
Employment/Financial Stability?:	Yes	80	95.2	74	92.5
	No	4	4.8	6	7.5
	TOTAL	84	100.0	80	100.0
Residential Stability?:	Yes	85	100.0	79	98.8
	No	0	0.0	1	1.2
	TOTAL	85	100.0	80	100.0
Stable Domestic Relations?:	Yes	84	98.8	77	96.3
	No	1	1.2	3	3.7
	TOTAL	85	100.0	80	100.0
Stable Reporting Record?:	Yes	76	89.4	78	97.5
	No	9	10.6	2	2.5
	TOTAL	85	100.0	80	100.0

*N:

Terminated Group = 93.

Rejected Group = 82.

If the Totals are less, the remaining cases were missing for that category.

**Chi-square value is significant at the .05 level.

***Classification for Instant offenses is adapted from the classification of the Administrative Office of the U.S. Courts and the U.S. Code.

Personal: Homicide, Robbery, Assault, Rape

Property: Burglary, Larceny/Theft, Auto Theft, Forgery and Counterfeiting

White Collar: Embezzlement and Fraud

Narcotics: Control, Possession, Manufacture, Distribution, Importation

Other: Sex Offenses, Miscellaneous General Offenses, Immigration Laws, Liquor, other Federal Statutes.

Of the 93 ACLP cases which were terminated from probation over the 2-year period in question, only two (2.2%) were unsatisfactory—one had committed a technical violation and the other had a new conviction. Of the 82 rejected cases, two were later admitted to the project and two were terminated on technical violations (2.5%).

Again, the findings with regard to recidivism replicate the earlier findings of the San Francisco Project. Furthermore, it would appear that those persons who were originally denied access to the ACLP could have been admitted to the project with no significant increase in the failure rate for the project.

Specific Recommendations on the ACLP

In order to expand the use of the ACLP, it would be necessary to deal with some specific problems. First, it would be necessary to identify low risk cases as

soon as possible. One of the universal problems facing the use of risk classification on probation caseloads is the reluctance of officers to part with low risk cases. For example, California parole officers have complained about the assignment of all low risk cases to one particular officer under a "New Model" of supervision. Specifically, the officers stated that it was frustrating to "deal with hard guys" all the time.

They were very possessive of their old caseload ("like a mother hen") because the variation in types of cases relieved boredom (Gettinger, 1981).

In order to counter this problem, it is recommended that all low risk cases be sent to project officials for screening as soon as possible. The data reveals that a high salient factor score (or similar indicator on RPS-80, see Eaglin and Lombard, 1981) is an excellent indicator, with the factors listed in table 2 used as specific reasons for denial. Retention

of the policy enabling clients to refuse entry into the project is also recommended.

The finding that the program could have been expanded to include the rejection group must be qualified. Automatic acceptance of this group overlooks the possibility that general supervision had an impact upon the performance of this group. It seems that persons with severe personal problems or other attributes which would indicate the necessity of closer supervision should be excluded.

Yet, even if early referrals of low risk cases are made, it will still be necessary to deal with the possessiveness problem. In order to obtain timely referrals from the officer, a "Theory Z" approach to management is required. Theory Z builds upon Likert's Theory Y, which served as one of the foundations of participatory management and shared decisionmaking (see Archambeault, 1982). The purpose and benefits of the ACLP must be explained and demonstrated to the officers. Appeals to "increased efficiency and effectiveness" are likely to be transformed into fears of eliminated jobs if adequate explanations are not provided. Since the referrals of low risk cases is so intimately related to the personal interests of the officers, they must be consulted in this matter. The fears of losing low risk cases are unfounded. The data reveal that not all low risk cases were admitted to the project.

If these management concerns are adequately addressed, the ACLP should continue to function at a high level of performance.

Conclusions: Policy Implications

On the surface, it appears that the Administrative Caseload Project represents an alternative model of probation caseload management. However, its ability to operate and its reason for being are predicated upon the presence of a significant number of low risk cases in the general caseload. It appears that these clients can be identified by risk prediction instruments (such as the Salient Factor Score), evidence of the ability to function in society and the absence of severe personal problems which would require the attention of a probation officer. If such factors and clientele are present, the ACLP can be one method used to streamline supervision. Its ability to reduce caseload size and permit officers to focus

upon cases which merit their close attention remains a common sense assumption.

Yet, the need for such a project begs the question as to why such cases are clogging a probation department caseload. A recent review of research in the area of probation supervision reveals that the need for ACLP-like projects may be widespread. In their analysis of the scholarly and evaluative literature on adult probation that had been produced since 1950, Allen, Parks, and Carlson (1980:289) offered the following ukase:

For many standard-setting organizations, probation is the sentence of choice unless circumstances appear to require incarceration. In addition to endorsing this position, we suggest that many offenders who are currently placed on supervised probation be placed, instead, on unsupervised probation. From the available research, we have the strong impression that mandatory supervision for perhaps a large number of probationers is not only irrelevant but also constitutes a significant, unnecessary cost burden to most probation agencies.

Perhaps projects like ACLP will not simply reduce caseload size but can also be tied to a reopening of the probation sanction to those offenders who are presently incarcerated and thus contribute to a reduction in prison overcrowding. Such a shift or chain reaction in emphasis should help to restore probation supervision to its original purpose as an alternative to incarceration.

REFERENCES

- Allen, Harry E., Evalyn Parks, and Eric W. Carlson, "Emerging Issues in Probation and Parole," in Foust, C. and R. Webster (eds.) *An Anatomy of Criminal Justice* (Lexington, Mass: Lexington Books, 1980): 263-297.
- Archambeault, William G., "Management Theory Z: Implications for Correctional Survival Management," *46 Federal Probation*, (1982): 7-11.
- Eaglin, James B. and Patricia A. Lombard, "Statistical Risk Prediction as an Aid to Probation Caseload Classification," *45 Federal Probation* (1981): 25-32.
- Gettinger, Stephen, "Separating the Cop from the Counselor," *7 Corrections Magazine*, (April 1981): 34-41.
- Lohman, Joseph D., et al., *The Minimum Supervision Caseload: A Preliminary Evaluation, Research Project No. 8*, (Berkeley, CA: University of California, School of Criminology 1969).
- Robinson, James, et al., *The San Francisco Project, Research Report No. 14* (Berkeley, CA: University of California, School of Criminology, 1969).

END