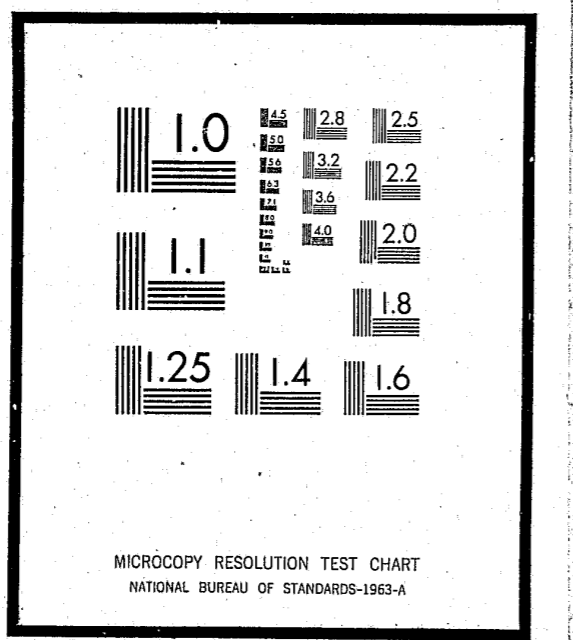


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GOVERNOR'S COMMISSION
ON CRIME PREVENTION
AND CONTROL

EVALUATION DESIGN of Community Based Corrections Projects

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C.A.

EVALUATION DESIGN

of

COMMUNITY-BASED CORRECTIONS PROJECTS

Project Evaluation Unit
Governor's Commission on Crime Prevention and Control
October, 1973

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PRELIMINARY EVALUATION DESIGN
of
COMMUNITY-BASED CORRECTIONS PROJECTS

A. INTRODUCTION

For the past several years, the Governor's Crime Commission has been faced with making funding decisions on numerous community-based corrections projects. Decisions have also been made by the Commission, the Department of Corrections, and individual project directors regarding programmatic changes in individual projects, and the degree to which community-based corrections projects should be initiated as a whole. Rarely has information been available on the effectiveness of these projects in attaining correctional goals. The information which has been available has not been uniformly available for all projects. It has been exceedingly difficult to compare the effectiveness of different treatment approaches or different types of projects.

In constructing this evaluation design, our primary purpose has been to construct a design which provides data to facilitate decision-making at all levels - by project directors, by the Department of Corrections, by the legislature, and by the Governor's Crime Commission. It is the intent of this evaluation design that uniform information be available for all community-based corrections projects to facilitate cross-project comparisons and to allow for an overall assessment of the effectiveness of these projects.

The specific types of evaluations to be conducted on each individual project will necessarily vary depending on the project's stage of development. First-year projects cannot be evaluated in the same fashion as third-year projects which have processed a significant number of clients. Three different types of evaluations

will be conducted by the Project Evaluation Unit:

(1) Effort - This evaluation involves an assessment of input or energy, regardless of the outcome. This form of evaluation requires only the collection and analysis of appropriate data such as the number of clients, the services rendered, and a complete description of the nature of the project. All projects will be evaluated on effort.

(2) Effect or Performance - This evaluation involves an assessment of the results of effort rather than the effort itself. This is a more rigorous evaluation and requires a clear statement of the project's goals and objectives as well as a more rigorous research effort. Implicit in this evaluation is the determination of (a) the project's effectiveness in fulfilling its goals; (b) the relative impact of key project variables; and (c) the project's effects in producing change as opposed to the effect of forces external to the program. This is the type of evaluation on which the Project Evaluation Unit will focus most of its energies. An evaluation of this nature will be completed for all projects by their third year.

(3) Efficiency - This evaluation involves an assessment of the best alternative method to accomplish the same goal. The alternative which is best may be decided in terms of cost - - money, time, personnel and public confidence. For an assessment of efficiency, several projects with similar goals, but different methods must be compared. An evaluation of a project's efficiency will be conducted jointly with all evaluations of effect or performance.

The evaluation design which follows concentrates on the structure of the analysis for effort and efficiency evaluations. Data collection procedures are specified and a discussion of the meaning of key concepts is included. A brief overview on the goals of community-based corrections projects is also presented.

B. TYPES OF COMMUNITY-BASED CORRECTIONS PROJECTS

Review of the community-based corrections projects by the Evaluation Unit indicated that the most appropriate manner of handling these evaluations was to divide the projects by type among the evaluation team members. The projects were divided into three general types: group homes, P.O.R.T. projects, and re-entry halfway houses. This division of the projects required some criteria for differentiating among the types of projects. While there is no consensus as to criteria for this differentiation, two basic characteristics can generally be used: (1) the correctional classification of the clientele (juvenile, youthful offender, or adult); and (2) the intervention stage of the project (pre-adjudication, probation or parole).

Group Homes.* Although group homes serve a variety of clients, the residents are predominantly juvenile. These projects are organized with the intention of intervening in the delinquent careers of their clients in hope that the intervention will redirect the clients into nondelinquent careers. Depending on the particular client and group home, this intervention may occur at a variety of stages: (1) preadjudication, before the client has been adjudicated delinquent; (2) probation, directly after the client has been adjudicated delinquent; and (3) parole, after the client has been adjudicated delinquent and institutionalized for a period of time.

The following projects are classified as group homes: Group Residence for Juvenile Girls (Our House), Community Continuum Program (Mansion), Turnabout, Zion Northside Group Home, Group Home Treatment Program for Pre-Delinquent Youth

*The term "group homes" is used in this design to refer to both group homes and group residences funded by the Commission.

(Koochiching County), Renville-Redwood Counties Group Home (Muensch Boys Ranch), Winona County Group Home (Main House), Project MORAD of Morrison County, and the Mille Lacs Reservation Group Home.

P.O.R.T. Projects. P.O.R.T. stands for "probationed offenders rehabilitation and training." These projects may be identified by their clientele composed primarily of youthful and adult offenders who have been sentenced to state institutions, have had their sentences suspended and have been placed on probation with a condition of probation being participation in the residential P.O.R.T. program. Thus, P.O.R.T. projects intervene while their residents are on probation. An additional feature of the P.O.R.T. projects is that they have concentrated on rehabilitating their clients through some form of group counseling, most often Guided Group Interaction.

The Governor's Commission on Crime Prevention and Control is currently funding the following P.O.R.T.-type projects: P.O.R.T.-Alpha and Portland House in Minneapolis, Bremer House in St. Paul, and P.O.R.T. of Crow Wing County in Brainerd.

Halfway Houses. The term "halfway house" is defined for this design as a "residential facility designed to facilitate the transition of paroled adult ex-offenders who are returning to society from institutional confinement." The limitation to adults serves to distinguish halfway houses from group homes which serve juveniles. The limitation to paroled ex-offenders distinguishes the intervention stage of these projects from P.O.R.T. projects which receive probationed clients.

The following six projects have been classified as halfway houses: Alpha House, Anishinabe Longhouse, Anishinabe Waki-igan, Pi House, Retreat House, and 180 Degrees. These projects are all located in the metropolitan area.

A summary description of the clientele and intervention stage of these three types of community-based corrections projects is shown in Chart I.

CHART I			
CLASSIFICATION OF COMMUNITY-BASED CORRECTIONS PROJECTS			
BY CLIENTELE AND INTERVENTION STAGE			
	Group Homes	P.O.R.T. Projects	Halfway Houses
Clientele	Juvenile	Youthful Offender & Adult	Adult
Intervention Stage	Mixed: preadjudication, parole and probation.	Probation	Parole

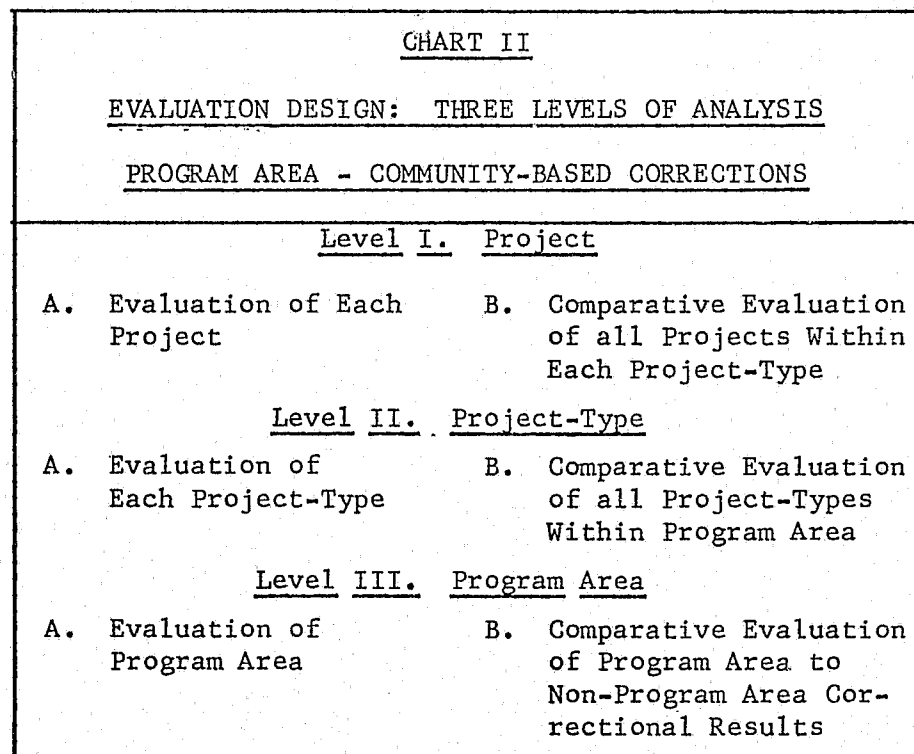
It should be noted that this classification scheme cannot be rigidly imposed. Some difficulties become apparent when examining the projects closely. Most projects do not restrict their clientele in any exclusive fashion. Group homes may accept youthful offenders and P.O.R.T. projects may accept parolees as well as probationers. In addition, there is a great deal of diversity within each of the three categories of projects. For example, among the halfway houses are: Pi House, for female ex-offenders; Retreat House, primarily for St. Paul Model Cities area residents; the two Anishinabe projects, for Indian men; and 180 Degrees, for persons with chemical dependency problems. This diversity suggests that the evaluation team proceed carefully when comparing across the community-based corrections projects.

C. STRUCTURE OF THE ANALYSIS

Since this evaluation design must be appropriate for twenty different community-based corrections projects and for comparisons among the projects, the structure of the design is necessarily complex. The series of questions toward

which the evaluation research will be directed form a hierarchical arrangement - from questions regarding the success of an individual project to questions regarding the success of all community-based corrections projects. This hierarchy of issues reflects the concerns of decision-makers at a variety of levels.

The initial question concerns the effectiveness of each project individually. From the standpoint of a project director, this is generally the central issue. From the standpoint of the Department of Corrections and the Commission however, it is important to compare individual projects to similar projects, as well as to analyze the effectiveness of each type of project. In addition, planning decisions require that three types of projects be compared and that an assessment of residential community-based corrections projects as a whole be made. Finally, it is useful to compare this assessment of residential community-based corrections projects with an assessment of more traditional correctional techniques. This series of evaluative questions can be addressed by conducting an evaluation at three levels of analysis. Chart II illustrates the structure of this analysis.



The three levels of analysis shown in Chart II represent similar evaluations and comparisons, but the scope of each succeeding evaluation is increased. To clarify this structure, an elaboration on the types of questions addressed at each level of analysis follows.

Level I. Project

A. Evaluation of Each Project

1. What type of client is most likely to succeed in the project? Succeed after leaving the project?*
2. What activities of clients while in the project are related to success in the project? Success after leaving the project?
3. What treatment variables are related to success in the project? Success after leaving the project?
4. What is the relationship between successful completion of the project and success after leaving the project?
5. What is the cost per resident of the project?

B. Comparative Evaluation of All Projects within Each Project-Type

1. What differences in project characteristics exist among projects within a project-type?
2. What differences in client success rates in the project and after leaving the project exist among projects within a project-type?
3. What are the relationships between differences in project characteristics and differences in client success rates? Are certain project characteristics related to higher client success rates?
4. What is the relationship between differences in cost per resident and differences in client success rates?

Level II. Project-Type (Group Homes, P.O.R.T. Projects, and Halfway Houses)

A. Evaluation of Each Project-Type

1. What type of client is most likely to succeed in each project-type? After leaving each project-type?
2. What activities of clients while in the projects are related to success in each project-type? Success after leaving each project-type?

*It should be noted that for evaluation purposes the converse of the question is also relevant. That is, it is equally important to know what type of client is most likely to fail in the project.

3. What treatment variables are related to success in the project-type? Success after leaving the project-type?
 4. What is the relationship between successful completion of residency in the project-type and success after leaving the project-type?
 5. What is the relationship between project characteristics and project success rates for each project-type?
 6. What is the average cost per resident of the project-type?
- B. Comparative Evaluation of all Project-Types within Program Area
1. What differences exist among project-types?
 2. What differences exist among client success rates for project-types?
 3. What is the relationship between differences among project-types and project-type client success rates?
 4. What is the relationship between differences in cost per resident and difference in client success rates between project-types?

Level III. Program Area (Residential Community-Based Corrections)

- A. Evaluation of Program Area
1. What type of client is most likely to succeed in community-based corrections projects? After leaving community-based corrections projects?
 2. What activities of clients while in community-based corrections projects are related to success in the projects? Success after leaving the projects?
 3. What treatment variables are related to success in community-based corrections projects? After leaving the projects?
 4. What is the relationship between successful completion of a community-based corrections project and success after leaving the project?
 5. What is the relationship between cost per resident in the projects and client success in the projects?
 6. What are the relationships between differences in project characteristics and differences in client success rates for all community-based corrections projects? Are certain types of project characteristics related to higher client success rates?
- B. Comparative Evaluation of Program Area Results with Non-Program Area Results
1. How does the cost per resident in community-based corrections projects compare to the cost per resident in various state institutions? The cost per client for probation or parole services?
 2. How do the recidivism rates for persons leaving community-based corrections projects compare with the recidivism rates for persons who have not been in community-based corrections projects?

CHART III

CONCEPTS, VARIABLES, AND DATA SOURCES

Concepts	Variables	Data Sources
<p>CLIENT CHARACTERISTICS</p> <p>Client Demographic and Background Variables</p>	<p>Age, Sex, Race, County of Residence, Correctional Classification, Intelligence Estimate, Educational Level, Marital Status, Living Situation at Apprehension, Employment Status at Apprehension, Sources of Support at Apprehension, Drug or Alcohol Problems</p>	<p>Client Record</p>
<p>Client Correctional History</p>	<p>Age at First Adjudicated Offense, Number of Times Adjudicated Delinquent, Total Months in Juvenile Institutions, Total Months in Jails or Workhouses, Total Months in Adult Institutions, Number of Previous Misdemeanors and Gross Misdemeanors, Number of Previous Felonies, Most Recent Offense, Number of Months in Institutions for Most Recent Offense, Maximum Length of Sentence for Most Recent Offense, Correctional Institution for This Sentence, Number of Previous Commitments to Adult Institutions, Severity of Most Recent Offense</p>	<p>Client Record</p>
<p>Client Activities in Program</p>	<p>Employment, Educational, Pre-Vocational or Vocational Training, Recreational, Length of Stay, Pre-release Program Activity</p>	<p>Client Record</p>
<p>Treatment Received by Client in Program</p>	<p>Counseling - type (psychological, family, etc.) - frequency - intensity</p> <p>Contacts with Other Agencies - type - frequency</p>	<p>Counselor Records & Client Records</p>
<p>Client Program Success</p>	<p>Reason for Termination, Goal or Contract Fulfillment</p>	<p>Client Record</p>
<p>Client Post-Program Success</p>	<p>Recidivism, Employment, Pre-Vocational or Vocational Training, Education, Sources of Support, Living Situation</p>	<p>Follow-up Records</p>

Concepts	Variables	Data Sources
<p>PROJECT CHARACTERISTICS</p> <p>Organizational Variables</p>	<p>Number of Beds, Average Occupancy, Staff/Resident Ratio, Staff Characteristics, House Parents or Counselors, Paraprofessionals or Professionals, Ex-Offenders or Non-Ex-Offenders, 24 hour Counselor Coverage, Crisis Placements, Drop-In Counseling, Location (Metro/Nonmetro), Prerelease Counseling, Physical Environment, Cost per Resident, Intake and Termination Procedures</p>	<p>Observations, Interviews with Project Personnel and Grant Application and Progress Reports</p>
<p>Treatment Variables</p>	<p>Group Counseling vs. Individual Counseling, Type of Group Counseling, Type of Individual Counseling Scheduled vs. Non-Scheduled Counseling, Pre-release Counseling</p>	<p>Observations, Interviews with Project Personnel and Grant Application and Progress Reports</p>
<p>Social Environment Variables</p>	<p><u>Practical Orientation</u> - the extent to which the program orients an individual toward training for new jobs, looking to the future setting and working toward concrete goals.</p> <p><u>Autonomy</u> - the extent to which people are encouraged to be self-sufficient and independent.</p> <p><u>Personal Problem Orientation</u> - measures the extent to which residents are encouraged to be concerned with their personal problems and feelings and to seek to understand them.</p> <p><u>Staff Control</u> - assesses the extent to which the staff use measures to keep residents under necessary controls.</p>	<p>Correctional Institution Environment Scale to be administered</p>

D. THE MULTIPLE TIME-SERIES DESIGN

For a variety of reasons none of the projects undergoing evaluation can be assessed through use of a pure experimental-control group design. The most feasible alternative to a true experiment is a quasi-experimental design that employs non-equivalent control groups. Non-equivalent control groups, or comparison groups as they are sometimes called, serve the same research function as do experimental-control groups. Like control groups, comparison groups provide the base-line against which to measure the effects of an experimental treatment. Unlike control groups, however, cases have not been randomly assigned to them.¹ Designs employing comparison groups are most frequently used in the conduct of field research because as is so often the case in the natural setting, the investigator cannot randomly assign cases to treatments. Under such conditions the investigators must instead rely for his comparisons upon "naturally assembled collectives . . . as similar as availability permits."²

The actual design to be employed in this investigation most closely approximates what Campbell and Stanley refer to as the multiple time-series design.³

0	0	0	0	X	0	0	0	0
—	—	—	—	—	—	—	—	—
0	0	0	0		0	0	0	0

In such a design, a group which has been selected for experimental treatment is compared against one which, while in all respects is as comparable to it as possible, has not been exposed to the treatment. Though the pre-experimental differences between the groups have not been equalized through random assignment to treatments (---), this design makes it possible to compensate for the inequality. Pre-treatment measures ('0') of the dependent variable, permit the investigator to determine the extent of pre-treatment equivalence between the groups.⁴

The multiple time-series design is an excellent quasi-experimental design because its structure gives the investigator several advantages. First, use in

this design of both a control group and multiple pre- and post-treatment measures for both groups presents as an advantage the capacity to demonstrate the effects of the experimental treatment in two ways. Effects of the treatment can (1) be compared against the effects of no treatment of the control group and can (2) also be compared against the pre-'X,' 'O' values in its own series.⁵ Secondly, such a design also has the advantage of being internally valid. In general, the multiple time-series design, effectively controls for the confounding main effects of history, maturation, testing instrumentation, regression, selection and mortality.⁶

There is also the added advantage of being able to control for several confounding interaction effects, including among others the interaction between selection and maturation. Selection-maturation, like the main effects of other confounding variables, is controlled through comparisons between the series of multiple 'O' measures. If, for example, the group that has been selected for treatment is older than the non-equivalent control group (selection) and if age is positively associated with rate of gain in the dependent variable, the greater rate of gain by the experimental group would be uncovered through comparison of the pre-'X,' 'O's. In the pre-treatment measures, the experimental group would have higher measured rates of gain than the control group.⁷

There are also some disadvantages to using the multiple time-series design, all of which bear on its external validity. First there is the possibility of an interaction effect between pre-experimental measures ('O') and the treatment ('X'). ". . . the experimental effect might well be specific to those populations subject to repeated testing."⁸ External validity is also threatened by the possibility of an interaction between selection and the experimental treatment. In the case of such an interaction, the effects of the experimental treatment would be limited to the specific sample upon which the investigator had selected to test it. There is "the possibility that this reaction would not be typical of some more general universe

of interest for which the naturally aggregated exposure-group was a biased sample."⁹

Perhaps the most serious threat to external validity sometimes stemming from the use of the multiple time-series design, if not all experimental and quasi-experimental designs are what Campbell and Stanley refer to as the reactive effects of experimental arrangements.¹⁰ Artificiality of the experimental setting and the knowledges of subjects that are participating in an experiment impinges on outcomes by limiting the effects of 'X' to the experimental setting.¹¹ The earliest identified reactive effect of experimentation is the so called Hawthorne Effect. Experimental subjects, aware of the fact that they are receiving special treatment, will respond not necessarily to 'X,' but to the attentiveness and concern of the investigator.

More generally, experimental situations generate what Orne terms demand characteristics which arise from an awareness of participation in an experiment.¹² Often in an experiment "procedures and experimental treatment are reacted to not only for their simple stimulus values, but also for their role as clues in divining the experimenter's intent."¹³ In other words experimental subjects, in addition to responding affirmatively to special treatment may also either try to outguess the investigator, impress him or even merely play act.¹⁴ The setting may then have a greater effect on an experimental outcome, than the experimental manipulation.

Experimenter effects are still another set of factors that can possibly affect the external validity of this design.¹⁵ Typical of such effects are instances in which the experimenter, through his demeanor, intonations and gestures, unconsciously conveys his hypothesis to the research subjects. Following upon this, subjects will reciprocally respond to such cues, and the results will fall out in the predicted direction (self-fulfilling prophecy). Under these circumstances, the experimenter's implicit communications and not the experimental treatment would be the source of the measured effects.¹⁶

An alternative to the multiple time-series design, the ex post facto experiment, was at one time considered for use in this evaluation but was abandoned because, from both a methodological and practical standpoint, it is inferior to the time-series design.¹⁷ Ex post facto experiments are efforts to simulate experiments in situations where a naturally existing group which has experienced treatment 'X' is compared with a non-equivalent control group that has not. The experimental simulation involves an attempt to accomplish a pre-'X' equation by a process of matching on pre-'X' attributes.¹⁸ Within such a design, cases are included in a comparison group if they can be matched with cases in the treatment group, in terms of as many variables as are either known to be associated with or are believed to be associated with the treatment's outcome. Matching theoretically mitigates the biasing effects of selection because it reduces the differences between the groups that are to be compared.¹⁹

There are three major methodological drawbacks associated with the ex post facto experiment. First, any results that accrue from the use of this design will remain of dubious validity because extraneous variables may be undermatched and following from this, inadequately controlled.²⁰ Such undermatching is an inevitable consequence of self-selection as opposed to random assignment to treatments. Self-selection into treatments, occurs as a lawful product of numerous antecedents, which are also likely to be, in addition to 'X' independent determinants of the effects under observation.²¹ Therefore, even if it is possible to match on as many as a half dozen variables, it is highly probable that many more than that remain unmatched and uncontrolled.

The second drawback to using such a design is that, the more variables upon which an attempt is made to match, the greater is the likelihood that the population of cases meeting the matching requirements will be rapidly exhausted. Under such circumstances, the 'N' of the comparison group could be too small to undertake a

valid statistical analysis involving its comparison with the treatment group.²² Furthermore the cases included in both of the groups will be wholly unrepresentative of any population. Obviously this precludes the making of valid generalizations.

Third, matching on pre-treatment variables often produces a regression effect. Changes in the pre-test to post-test scores between the experimental and control group are often a product of regression toward the group mean rather than the effect of treatment 'X.' In addition, the reduction of cases available for analysis and the effects of regression both can be avoided through appropriate statistical analysis.²³ The methodological weaknesses of matching led to the rejection of the ex post facto experiment as a valid alternative.

IMPLEMENTATION OF THE DESIGN:

Implementing the multiple time-series design for an evaluation of the effectiveness of community corrections projects involves some specific benefits and problems. The only problem which will detract from the design's internal validity in the present application is mortality. Longitudinal studies of ex-offenders are notoriously difficult to conduct and, not uncommonly, lose as much as 80% of their samples. This will undoubtedly be a problem in this evaluation when collecting the post-'X' 'O's and to make matters still worse, it is not unlikely that there will be differential mortality rates between treatment and comparison groups. The extent of the problem and the difficulties it will present, will become known during the course of the investigation itself.

The principal external validity problem to be confronted in the course of this evaluation will be a selection-'X' interaction. Should the clientele of a project have significantly less involvement with the criminal justice system than the members of the comparison group, it would be impossible to be certain that comparable results could be achieved with any other population than the sample which was selected as project clientele. Client selection is non-random and involves unknown, unmeasured

informal criteria which have not been controlled. These factors, in interaction with the project's treatment program, would be a possible source of variation making the results impossible to generalize.

Despite this problem, if assumptions can be made about the direction of the selection bias, qualified generalizations can be made. In the case of P.O.R.T. projects for example there are grounds for claiming that, in terms of recidivism, their clientele are lower risk populations than are the offenders in its comparison group of institutional parolees and releasees. The pre-'X' 'O' measures will indicate any differential in criminal and institutional histories between the treatment and comparison group. In all likelihood P.O.R.T. clientele will have less extensive criminal records. In addition, it is acknowledged that P.O.R.T. projects are selective. This is illustrated by one P.O.R.T. director's statement that clients accepted for admission are those "we believe we can help" and "who believe we can help them."

Therefore based solely on a finding of significantly lower recidivism rates for P.O.R.T. clientele, it would be invalid to infer that P.O.R.T. projects are more effective in reducing recidivism than are correctional institutions. If generalizations are to be made, it would be necessary to qualify them with the caution that the results may be a function of the selection-'X' interaction. P.O.R.T. clientele however, given the assumed favorable bias, certainly should not have significantly higher rates of recidivism than the higher risk institutional population. If such negative results are obtained, it would be somewhat more valid to claim that P.O.R.T. programs are not effective. Though somewhat different in content, analogous logic is applicable to references in relation to halfway houses and group homes.

Another external validity problem which will occur in the implementation of this design, stems from the reactive arrangements of the project settings. Reduction in

recidivism for example may be a function of Hawthorne effect. Project clientele will be well aware that they are receiving unusually unique treatment for ex-offenders and may be responding not to the substance of the treatment but only to the fact that they are being exposed to it. Lower recidivism rates might also occur as a function of self-fulfilling prophecy. Again clients may be responding not to the treatment, but to the expectations of project staff, law enforcement officials and private citizens that anyone who has undergone treatment will have less criminal involvement than those who have not.

One problem which will not hamper the external validity of the design in this evaluation is the test-'X' interaction. The measures of criminal involvement to be used in this investigation are not reactive and cannot affect the clients in ways that can bear upon their response to treatment. These measures, based upon information in client records, are discussed at length in a subsequent section.

Another advantage of this design is that it will make it possible to deal with issues other than just effectiveness. For example, from an analysis of the demographic and history data on cases in both treatment and comparison groups, it may be possible to suggest some of the client characteristics that enter into selection decisions.

COMPARISON GROUPS:

Each treatment group will be comprised of cases from each of the projects that is being evaluated. This means that the clientele of each project will be considered a separate treatment group. The comparison group(s) against which each respective treatment group is to be compared, will be comprised of cases which meet 2 criteria: Cases which (1) while eligible for admission to projects of a given project-type, (2) were not included in the project and thus were exposed to the dispositions for which the project-type is an alternative.

Comparison groups comprised of cases meeting these two criteria should be relatively comparable to the cases in the treatment groups. Indeed, the combined population of clients in the projects of a given project-type and the cases included in the comparison group for the project-type is the population from which cases would have been randomly sampled and then randomly assigned to treatments, had it been possible to employ a true experimental design. While the treatment and the comparison groups are non-equivalent, multiple pre-treatment measures of involvement with the criminal justice system will make it possible to determine, for purposes of internal validity, how equivalent they actually are. Selection-'X' interaction, however, remains a problem.

The number of comparison groups needed to compare with each project-type is as follows: P.O.R.T. Projects, one; Halfway Houses, one; Group Homes, two. The chart below suggests the general parameters for each of these groups.

P.O.R.T. PROJECTS

Treatment Group

P.O.R.T. clientele

Comparison Group #1

Adults on parole or released from a correctional institution, who at the time of their sentencing were eligible for admission to a P.O.R.T. project, but who were not probationed to one.

HALFWAY HOUSES

Treatment Group

Halfway House clientele

Comparison Group #1

Adults on parole or released from a correctional institution, who at the time of their parole or release, were eligible for admission to a halfway house but were not paroled to one.

GROUP HOMES

Treatment Group

Comparison Group #1

Juveniles adjudicated delinquent and placed on probation, who while eligible for admission to a group home at the time they were adjudicated, were not probationed to one.

GROUP HOMES - continued

Treatment Group

Comparison Group #2

Juveniles paroled or released from a correctional facility or treatment center who, while eligible for admission to a group home only at the time of their parole or release, were not paroled to one.

The comparison groups, as was mentioned above, are comprised of cases exposed to the respective dispositions for which each type of community-based correctional project is an alternative. P.O.R.T. projects are an alternative for clients who, had they not been probationed to P.O.R.T., would have been incarcerated. The comparison group for P.O.R.T. therefore, is to be comprised of cases that have served sentences in correctional institutions.

Halfway houses serve a clientele of parolees who, had they not been paroled to the project, would have eventually been paroled to the streets. For this reason parolees provide an appropriate comparison group against which to examine the effects of halfway houses.

Group homes serve a more diverse clientele than do either of the other two project-types. Juvenile clientele of these projects are actually selected from as many as four unique populations, but most of their clientele are selected from only two of them. Group homes draw from (1) the population of juveniles who would have been placed on probation, had there been no such projects and (2) the population of juveniles leaving juvenile institutions who, had there been no such projects, would have been paroled to their immediate families, to relatives or to foster homes. For this reason, two comparison groups are being used to assess the effectiveness of group homes -- juveniles placed on "straight probation" and juveniles placed on parole.

THE SAMPLE:

The project-level analysis involves the independent evaluation of each individual project; therefore, treatment-group samples will consist of the population of all clientele in each project of all 3 project types. There will be, however, one comparison group for each project-type which will be used for comparisons with each project within that type. This is a practical measure, but in that the eligibility criteria for projects within a type vary only slightly, it is also valid. A somewhat more complex matter is the definition of the populations for the comparison groups and the drawing of samples from them.

The comparison group populations are to be defined by both disposition and by minimum eligibility criteria for the project type. For example, the comparison group for P.O.R.T. must be a population that has been institutionalized and which meets all of the following minimum eligibility:

1. County of Residence: Residents of the following counties at the time of last arrest or conviction and individuals whose cases were heard before the district courts of the following counties - Ramsey, Hennepin, Morrison, Crow Wing and Aitkin.
2. Sex: Males.
3. Age: 18-30 years of age and juveniles certified by the courts as adults.
4. Class of Offense: Felony convictions and gross misdemeanor convictions.
5. Type of Offense: Not convicted of violent offenses or crimes against person.

Disposition, it should be remembered, is being used to define comparison group populations because community corrections programs are alternatives to the traditional disposition of probation, incarceration and parole. Cases included in the comparison group populations are those who while eligible for admission to a project were subjected to one of these dispositions. Theoretically then, the comparison groups for P.O.R.T., for halfway houses and group homes (#1), should be drawn from

an institutionalized population. However, to draw comparison groups from the population that remains incarcerated would obviously not permit a determination of the rate and extent of their recidivism, the post-'X,' 'O' measures. For this reason cases must be drawn from the population of offenders who were paroled or released.

With this in mind, cases to be included in comparison groups for P.O.R.T. and for halfway houses are to be drawn from the population of offenders, paroled or released from the state reformatory or the state prison during 1972-73 -- the year most community-based corrections projects began accepting clients. As P.O.R.T. projects and some of the halfway houses also admit misdemeanants, cases for the P.O.R.T. and the halfway house comparison groups will also be drawn from the population of offenders paroled or released from county jails and workhouses during 1972-73.

For group home comparison group #1, cases will be drawn from the population of juvenile offenders placed on probation by juvenile court services during 1972-73. Group home comparison group #2 cases will be drawn from the population of juvenile offenders paroled or released from state juvenile institutions and treatment centers during 1972-73.

FOOTNOTES

¹Donald T. Campbell and Julian G. Stanley, Experimental and Quasi-Experimental Designs for Research, (Chicago: Rand McNally & Company, 1963), pp. 47-48.

²Ibid., p. 47.

³Ibid., pp. 55, 57.

⁴Ibid., p. 55.

⁵Ibid., p. 55.

⁶Ibid., p. 55.

⁷Ibid., p. 55.

⁸Ibid., p. 18.

⁹Ibid., p. 41.

¹⁰Ibid., pp. 20-22.

¹¹Ibid., p. 20.

¹²M.T. Orne, "On the Social Psychology of the Psychological Experiment: With Particular Reference to Demand Characteristics and Their Implications," American Psychologist, Vol. 17 (1962), 776-783.

¹³Campbell and Stanley, op. cit., p. 20.

¹⁴Ibid., p. 20.

¹⁵R. Rosenthal, Experimenter Effects in Behavioral Research, (New York: Appleton, 1966).

¹⁶Ibid.

¹⁷Campbell and Stanley, op. cit., pp. 64-71.

¹⁸Ibid., p. 70.

¹⁹Ibid., p. 70.

²⁰Ibid., p. 70.

²¹Ibid., p. 71.

²²Ibid., p. 70.

²³Ibid., pp. 70-71.

E. DATA COLLECTION PROCEDURES

INTRODUCTION

While the Unit definitely endorses a close working relationship with individual projects, the Unit will interfere as little as possible with the day-to-day operation of the projects. The Unit's philosophy is that a project's primary objective is to function and that evaluation procedures should accommodate themselves to the projects as much as possible. At the same time, adequate data collection procedures must be established if projects are to be given a fair evaluation. The Unit will construct a data collection system appropriate for both current and future community-based corrections evaluations. First year projects will be asked to use the Unit's client record forms. Projects with an established record-keeping system will be asked to supplement their file on individual clients.

The Evaluation Unit will transcribe information from the project files onto coding forms without removing files from projects. From past experience, the Unit has found that the close contact developed with a project through on-site data collection and monitoring lends itself toward a thorough understanding and hence evaluation of a project. Many subtle project nuances, which later become invaluable elements of evaluation, can only be derived from a thorough familiarity with a project. Hence, the data collection techniques discussed in this section will yield two classes of data: the obvious "hard" data consciously gleaned from specific "objective" instruments, but also a "softer," more impressionistic data which ultimately will aid in the interpretation of hard data.

DATA COLLECTION

The primary data collection points for client-level data will coincide with critical change points in a client's flow through a community-based corrections project. That flow can roughly be divided into four stages: INTAKE, PROGRAM, TERMINATION, and FOLLOW-UP.

Client Data. Upon intake to a community-based corrections project, certain information accompanies a client. Included in this Client Record are personal history, correctional history, and demographic information. Usually these data are recorded in the record-keeping system of the individual projects and are thus easily accessible by Unit personnel.

Client Program Data. Data concerning a client's activities while in a project are collected here. Most needed information is routinely kept by a project.

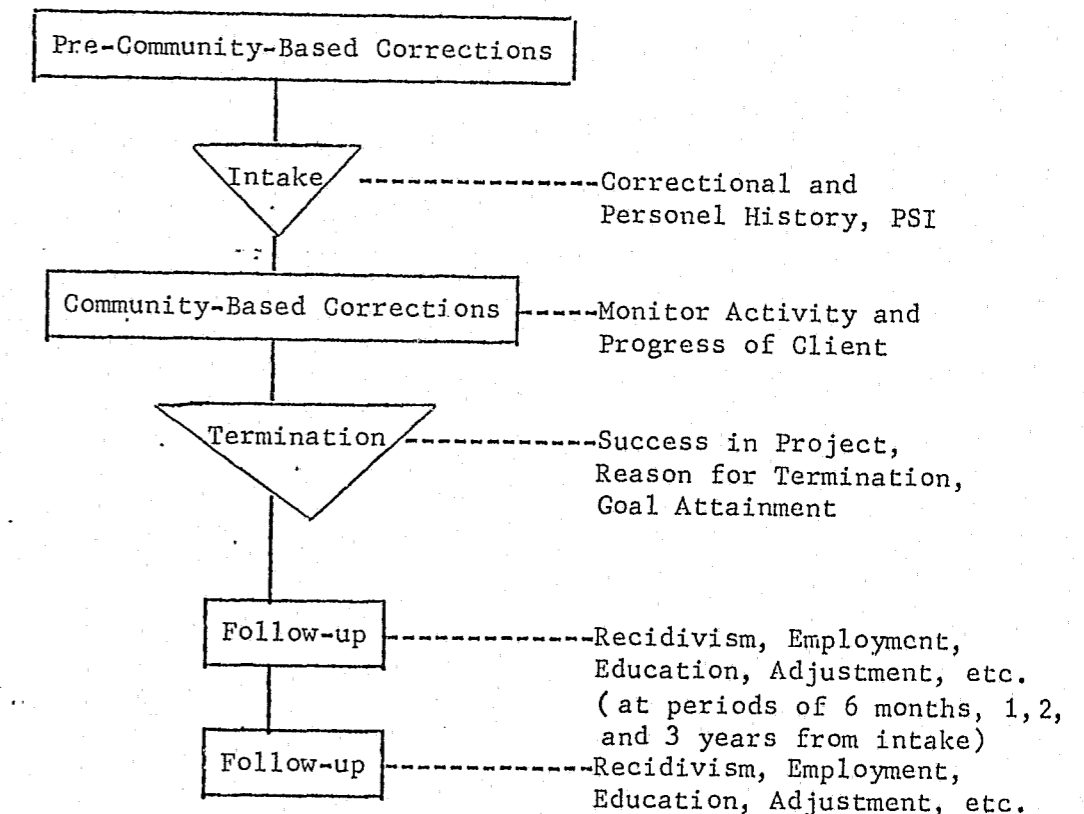
Client Termination Data. Upon termination from a project, the Unit will want to collect certain kinds of data. For example, reason for termination, success in project, activities in project, contract goals fulfilled, future plans (to facilitate follow-ups), etc.

Client Follow-Up Data. The clients will be informed of the follow-up scheme at termination in order to help assure their future cooperation in research. For a period of three years after entrance into a community-based corrections project, a client will be followed up. Wherever possible, follow-up information will be obtained through parole and probation offices; however, it is anticipated that part of the follow-up procedure will require locating and personally contacting a portion of the clients. The basic follow-up information will be concerned with recidivism, with additional information taken concerning employment, education, "adjustment," vocational or pre-vocational training, etc.

Time Line. The time line for data collection depends upon the schedule for evaluation reports. Assuming that major evaluation efforts are geared toward a yearly evaluation report, client data would be collected once a year several months before that report is due. If projects already keep most of the needed data, it is only a matter of transcribing the information to the Unit's coding forms. If there

are any pre-post measurements at the client level, these would be administered by personnel at client intake and termination.

CLIENT FLOW CHART



Project Data. Project level data will also be collected. Data will generally be collected concerning the following three project dimensions: project organization, project treatment model, and project social environment.

Project Organization. A project's organizational data will be collected by the Evaluation Unit. Such project characteristics as cost, location (metro/outstate), decision-making model and staff characteristics will be ascertained by the Unit primarily from grant applications, interviews, and on-site observation at the projects.

Project Treatment Model. Data concerning a project's treatment model will also be collected. Treatment model variables will include structure of therapy, number of formal sessions/week, type of therapy (PPC, GGI, transactional, etc.) as well as data reflecting more informal treatment such as availability of counseling.

Project Social Environment. Data profiling the social environment of a project will be collected. Presently the use of the Moos Correctional Institutions Environment Scale, which would be administered to the staff and clients of each project, is being considered.

Time Line. Project level data will be collected initially when a project has been operational (i.e., taking clients) for six (6) months, and thereafter information will be updated yearly. These data will be primarily collected by Unit personnel.

In order to fully utilize the client follow-up information, and hence to judge the effectiveness of community-based corrections projects concerning recidivism, control groups are desirable. Ideally, the Unit would like to utilize an experimental design involving experimental groups (i.e., a project's clients) and control groups whose individuals are randomly assigned from a single similar universe. The end result should be that there are no systematic differences between these individuals assigned to a community-based corrections project and those assigned to a control group. If evaluation is to be a serious undertaking in the future, the creation of control groups is imperative. While the Unit strongly recommends this for future implementation, at present, formal random assignment of individuals into control and experimental groupings is beyond the control of this Unit.

F. PROBLEMMATIC CONCEPTS

One of the features of the final design for these evaluations will be definitions of the key concepts for evaluation research on residential projects. In the preliminary design which is presented here we offer some definitions of the key concepts along with our reasons for adopting these definitions. The basic concepts which will have to be defined are "client," "treatment" "program success," "post-program success," "recidivism" and "cost."

The first to be defined is "client." In our evaluations we will be concerned with determining how well a client in a residential project succeeds in his adjustment to non-institutional society. Thus, it is extremely important that we define who the clients of these projects are. For example, some of the halfway houses accept parolees on work release in addition to their other residents. Are we to count both work release parolees and other residents as clients, or only the latter group of people? Another problem arises because some people accepted in residential programs abscond within a few days after they arrive at the house. Should these residents be counted along with those who have completed a preliminary stay at the residence? These are among the questions which will have to be answered before we decide on a final definition of "client."

As a preliminary definition, we suggest that all persons accepted as residents in a residential project be counted as clients. Using this definition, any client of a project will be counted as a success or failure of the program. This would still allow us to analyze the relationship between time spent in the program and other variables. This analysis may ultimately reduce the question of a client's exposure to the program of a project to an empirical question.

Definition of the concept "treatment" will depend on what kinds of activities

we consider as treatment. In a broad sense, we can characterize treatment as whatever is done by the staff in order to achieve the goals of the project. Placement in a residential project might be construed as one form of treatment within the criminal justice system. However, this is too broad to be of analytical worth. We want to distinguish treatment from the services which a project might provide, such as room and board. We might do well to limit our definition of "treatment" to processes. For example, job counseling would be counted as treatment if it is defined as a counseling activity performed by a staff member for a client which aids the client in seeking and obtaining employment. But if all that is done at the project for job counseling is providing job descriptions on a bulletin board, we would not say treatment is provided.

Difficulties in defining "treatment" will be found in defining the informal aspects of treatment. For example, the formal aspects of counseling can be measured by counting the number of counseling periods per unit of time, perhaps per week. But obviously, counseling can go beyond the formal sessions with both staff and other residents involved in discussions.

The next concept to be defined is "success." For the client unit of analysis we will distinguish two types of success. First, we will work with the concept of a client's success while he or she is in the residential facility. Second, we will be concerned with the client's success after completing or leaving the residential program.

The first type of success we call "program success." This concept refers to how well a client does in the residential phase of the project. The main criterion for program success is the reason for termination. Clients may leave residential programs for a number of reasons. For example, the client may terminate residence because he committed a new offense for which he was institutionalized,

he may have been returned to a correctional institution for violating parole or probation conditions, he may simply abscond from the project, he may feel he doesn't need the project and move out, he may be discharged from parole and leave because residence in the project was a condition of parole, the staff may decide he is detrimental to the program and ask him to leave, or he may be ready to live in society without the support of a residential project. We would like the concept of program success to distinguish the last reason for termination from the others.

We provide the following preliminary definition of "program success": A client is successful in the program of a project if, at the time the client ceases to reside in the facility, both he (or she) and the project staff think the client will be able to continue to live in society without being returned to a correctional institution. A second preliminary definition may be given for those projects which have contracts with their clients: A client is successful in the project if he (or she) fulfills the contract with the project.

The concept "post-program success" may be measured in a number of dimensions, such as employment success, recidivism, social adjustment, and so on. The primary purpose of residential projects is to reduce recidivism. Hence, our measure of post-program success will be recidivism. Data on employment success, education, and so on will be collected for component evaluations.

When a client has been on his own for a sufficient time, we will compare his post-program success with his program success. We would hope to find that success in society is directly related to success in the project's program. That is, we will determine whether program success is a reliable indicator of success in society.

"Recidivism" is generally understood to mean a "return to criminal behavior." Unfortunately, it is virtually impossible to determine whether an individual ex-offender has actually returned to criminal behavior unless he has been proven guilty of or confessed to a new offense. Ex-offenders may commit new offenses for which they are neither charged nor convicted. Consequently, direct measures of recidivism cannot be made. Because recidivism cannot be measured directly, we believe a series of indirect measures of "client outcomes" is appropriate.

First, we will classify individuals as "successes" or "failures." Most of the residential projects have two goals in mind for a "reduction of recidivism": a reduction in the rate at which its clients are involved in new offenses and a reduction in the rate at which clients are returned to state institutions. With these objectives in mind, our follow-up studies will classify each client on the following scale:

1. No new convictions or revocations,
2. Conviction or admission of misdemeanor only,
3. Revocation of probation or parole with return to state institution, and
4. Conviction for or admission/confession of new gross misdemeanor or felony.

From this scale we will categorize clients in class 1 as successes, those in class 2 as partial failures, and those in classes 3 and 4 as failures. We should note that "success," "partial failure" and "failure" on this scale are relative to new offenses and revocations only (verified by conviction or admission/confession) and, consequently, will not include any new offenses for which the client has not been determined legally responsible.

Second, we will classify each individual using an adapted version of the "parole outcome scale" developed in California by Kassebaum, Ward, and Wilner. The scale is as follows:

<u>PAROLE OUTCOMES</u>	<u>DISPOSITION</u>
I. No Problems	No disposition recorded
II. Minor Problems	Technical arrest (hold) Parolee at large Arrest and release Trial and release Conviction with misdemeanor probation, fine, or bail forfeited Jail less than ninety days
III. Major Problems	Parolee at large six months or more, or as technical violator Felony arrest with admitted guilt but released 1) if MCA did not revoke parole at District Attorney's request or 2) after restitution made Awaiting trial or sentence on felony charge Jail ninety days or more Felony probation and/or suspended prison sentence Died in course of committing crime
IV. Return to Prison	Return to prison to finish term, that is, technical violator Return to prison with new term*

According to the Kassebaum, Ward and Wilner scale those placed in the "No Problems" and "Minor Problems" classes are parole successes, and those in the "Major Problems" and "Return to Prison" classes are parole failures. It should be noted that this scale differs from the one presented previously. Whereas the previous scale provides a measure in terms of legal determination, this scale measures the "problems" an individual has encountered due to official contacts with the criminal justice system.

For each of the projects we will collect data on (a) the arrest rate for

*From G. Kassebaum, D. Ward, and D. Wilner, Prison Treatment and Parole Survival: An Empirical Assessment, (John Wiley and Sons, Inc., New York, 1971) p. 215.

misdemeanors, gross misdemeanors and felonies, (b) the conviction rate for misdemeanors, gross misdemeanors and felonies, (c) the revocation rate for probationers and parolees, and (d) the rate of return to state institutions. The scale for arrest rate will use three categories: no arrests, arrested for misdemeanor(s), and arrested for gross misdemeanors and/or felonies. Convictions for misdemeanors, gross misdemeanors and felonies will be obtained by tracking the disposition of each arrest. Revocation rates will be based on a dichotomous scale: no revocation/revocation. The return to state institutions will be based on the dispositions of convictions and revocations. While these 4 rates and the 2 scales provide six measures of "client outcomes," we should note that the data required for the 4 rates is the same as that required for the two scales. Each scale and rate provides a different analysis of "client outcome."

We do not propose to label any one of these measures as a measure of "recidivism." But we do believe that these measures will provide meaningful information regarding program and individual success. Furthermore, the data required for these measures is the same set of data required for other measures of "recidivism." Consequently, we will be able to draw comparisons between our measures and other measures of "recidivism."

The cost of a project may be measured in the cost per client per day and compared to the institutional expenses per inmate per day. Of course, an analysis of the cost of a project becomes more complex when one attempts to figure the total costs and benefits to the community, i.e., the intangible and covert expenses to the community beyond simple operating expenses. For example, if rehabilitation is more effectively attained through residential projects and costs the same as traditional incarceration, then in the long run residential projects would represent substantial savings to the community in terms of a reduction in crime, in trial expenses, and in incarceration costs. However, because cost analysis of this type would be very complex, we will be concerned primarily with the overt expenses of operating residential projects. We will compare the costs of projects within project-types and also with traditional correctional institutions.

G. GOALS

Community-based projects have a variety of goals, including rehabilitation of clients, training of non-professional counselors, providing non-institutionalized environments and assisting clients to develop vocational and educational skills. Project level evaluations will be conducted on each project to determine how effective projects are in achieving the goals they set for themselves. Although this idea is straightforward, several problems exist. A determination must be made as to which goals will be used to judge a project's success. Should success be measured only in terms of recidivism rates or should there be measures for the attainment of other goals?

If multiple criteria are used, the advice of Ward and Kassebaum should be considered. It has been their experience that evaluators seem to end up with multiple criteria of success, while in reality they simply kept adding new criteria if the previous criteria did not indicate success. For example, an evaluator might start out by measuring the success of a project in terms of recidivism. If the project does not turn out to be successful on this criterion, the evaluator may add a new criterion such as behavioral change. This procedure might continue until some criterion which shows success of some kind is found. This type of evaluation is unsatisfactory. We must decide, prior to evaluation, whether we will use the criterion of recidivism or multiple criteria.

We intend to use recidivism as the primary criterion for success. It seems fair to say that both the Commission and the Department of Corrections have an overriding interest in this goal. All projects seek to reduce recidivism among their clientele. Another goal of primary concern is the cost of the project. Thus, a basic question for all community-based corrections projects can be asked:

"Does the project achieve a recidivism rate comparable or better than that of traditional institutions at a cost comparable or less than the cost of incarceration in traditional institutions?"

The answer to this question will be the ultimate indicator of a project's success.

Sole reliance on cost and recidivism as indicators of success does pose difficulties. Because data required by these measures will not be available until sometime after the projects have been operational, funding decisions and programmatic changes must be made on the basis of other indicators. Two secondary goals can be used for this purpose: (1) behavior change such as client employment, educational and vocational activity at the post-program stage and (2) level of success within a program. These concepts have been discussed previously. The former goal is important because of its assumed relationships to recidivism (testing this assumption will indicate just how important these goals are). Similarly, success within the program is assumed to be related to success outside the program.

It is possible that first year projects may have had so few clients that even these secondary measures of success do not adequately indicate project success. In these instances, the evaluation will focus on other, more immediate project objectives. Because these objectives are less uniform across projects, the evaluation at this stage will be tailored to the particular project.

In sum, the final evaluation will focus on the highest level of goal attainment, recidivism among project clients. When data on this or other goals is unavailable, the evaluation will focus on the next level of project goals. It should be clear, however, that the ultimate concern of the evaluation is an assessment of the project's ability to reduce recidivism and the cost at which it achieves this goal.

An additional problem is that the goals, as stated in the grant applications, are for the most part, not measurable. The Unit will work with projects in an effort to get their common goals stated in quantifiable terms.

APPENDIX A

Moos Correctional Institutions Environment Scale

PROJECT NAME: _____

SEX: Male _____ Female _____ DATE: _____ AGE: _____

Are you a: Resident: _____ Staff Member: _____

How long have you been (or worked) in this project? _____ years _____ months _____ weeks

In your lifetime, how much time have you spent as an inmate in correctional institutions? _____ years _____ months _____ weeks

In your lifetime, how much time have you spent as an employee in correctional institutions? _____ years _____ months _____ weeks

If you are a staff member, what is your job title? _____

INSTRUCTIONS

There are 86 statements in this booklet. They are statements about correctional projects. You are to decide which statements are true of your project and which are not.

True - Circle the T when you think the statement is true or mostly true of your project.

False - Circle the F when you think the statement is false or mostly false of your project.

Please be sure to answer every statement.

- T F 1. Residents say anything they want to the counselors.
- T F 2. Staff have very little time to encourage residents.
- T F 3. This project emphasizes training for new kinds of jobs.
- T F 4. The staff make sure that the residence is always neat.
- T F 5. Residents are rarely asked personal questions by the staff.
- T F 6. Residents put a lot of energy into what they do around here.
- T F 7. Things are sometimes disorganized around here.
- T F 8. Once a schedule is arranged for a resident, he must follow it.
- T F 9. The staff discourages criticism.
- T F 10. Residents are careful about what they say when staff are around.
- T F 11. Staff go out of there way to help residents.
- T F 12. Staff care more about how residents feel than about there practical problems.
- T F 13. The day room is often messy.
- T F 14. Residents are expected to share their personal problems with each other.
- T F 15. Staff tell residents when they're doing well.
- T F 16. The staff very rarely punish residents by restricting them.
- T F 17. The staff act on resident's suggestions.
- T F 18. Residents rarely help each other.
- T F 19. Residents here are expected to work toward their goals.
- T F 20. Residents rarely talk about their personal problems with other residents.
- T F 21. Staff are involved in resident activities.
- T F 22. Residents are always changing their minds here.

- T F 23. Residents will be transferred from this project if they don't obey the rules.
- T F 24. When residents disagree with each other, they keep it to themselves.
- T F 25. Staff are interested in following up residents once they leave.
- T F 26. There is very little emphasis on making plans for getting out of the project.
- T F 27. The staff help new residents get acquainted in the residence.
- T F 28. Many residents look messy.
- T F 29. Staff are mainly interested in learning about residents feelings.
- T F 30. Staff sometime argue with each other.
- T F 31. If a resident's program is changed, someone on the staff always tells him why.
- T F 32. Staff don't order residents around.
- T F 33. Residents are expected to take leadership in the residence.
- T F 34. Residents are encouraged to show their feelings.
- T F 35. Counselors have very little time to encourage residents.
- T F 36. Residents are encouraged to plan for the future.
- T F 37. The residence has very few social activities.
- T F 38. Resident's activities are carefully planned.
- T F 39. The residents' are proud of this project.
- T F 40. If one resident argues with another, he will get into trouble with the staff.
- T F 41. New treatment approaches are often tried in this project.
- T F 42. Residents never know when a counselor will ask to see them.

- T F 43. All decisions about the residence are made by the staff and not by the residents.
- T F 44. It is hard to tell how residents are feeling in this project.
- T F 45. The more mature residents in this project help take care of the less mature ones.
- T F 46. Staff encourage group activities among residents.
- T F 47. The residence usually looks a little messy.
- T F 48. Personal problems are openly talked about.
- T F 49. Very few things around here ever get people excited.
- T F 50. If a resident breaks a rule, he knows what will happen to him.
- T F 51. Residents may criticize staff members to their face.
- T F 52. Residents here are encouraged to be independent.
- T F 53. Staff and residents say how they feel about each other.
- T F 54. Counselors sometimes don't show up for their appointments with residents.
- T F 55. Residents must make plans before leaving the project.
- T F 56. The staff set an example for neatness and orderliness.
- T F 57. The staff discourage talking about sex.
- T F 58. Discussions are pretty interesting in this residence.
- T F 59. Residents never know when they will be transferred from this project.
- T F 60. The staff give residents very little responsibility.
- T F 61. Staff rarely give in to resident pressure.
- T F 62. There is very little emphasis on what residents will be doing after they leave the project.
- T F 63. This is a friendly residence.
- T F 64. Staff try to help residents understand themselves.
- T F 65. Residents don't do anything around here unless the staff ask them to.

- T F 66. In this residence staff think it is a healthy thing to argue.
- T F 67. The residents know when counselors will be in the residence.
- T F 68. Residents can call staff by their first names.
- T F 69. Staff encourage residents to start their own activities.
- T F 70. People say what they really think around here.
- T F 71. Residents are encouraged to learn new ways of doing things.
- T F 72. This is a very well organized residence.
- T F 73. Residents hardly ever discuss their sexual lives.
- T F 74. Residents here really try to improve and get better.
- T F 75. Staff are always changing their minds here.
- T F 76. The project staff regularly check up on the residents.
- T F 77. There is no resident government in this project.
- T F 78. Residents tend to hide their feelings from the staff.
- T F 79. The staff know what the residents want.
- T F 80. There is very little emphasis on making residents more practical.
- T F 81. Residents in this project care for each other.
- T F 82. Discussions in the residence emphasize understanding personal problems.
- T F 83. There is very little group spirit in this residence.
- T F 84. When residents first arrive in the project, someone shows them around and explains how the project operates.
- T F 85. Residents are rarely kept waiting when they have appointments with the staff.
- T F 86. Residents have a say about what goes on here.

APPENDIX B

Intake Information Form
Community-Based Corrections Facilities

INTAKE

Governor's Commission on Crime Prevention
and Control
444 Lafayette Road
St. Paul, Minnesota 55101

CLIENT INTAKE INFORMATION FOR
COMMUNITY-BASED CORRECTIONS FACILITIES

1. PROJECT I.D. NUMBER: _____
2. CLIENT I.D. NUMBER: _____

NAME OF PROJECT: _____
CLIENT'S NAME: _____

7. DATE OF ENTRY TO RESIDENCE: _____
mo. day year

10. SEX:
1 Male
2 Female

11. DATE OF BIRTH: _____
month day year

14. AGE: _____

15. ETHNIC BACKGROUND:
1 White
2 Black
3 Indian
4 Chicano
5 Puerto Rican
Other; specify: _____
8 Unknown

16. COUNTY OF RESIDENCE: (Determine this from client's last known legal address at the time of his/her most recent criminal apprehension or conviction) _____

17. HIGHEST ACADEMIC SCHOOL GRADE COMPLETED:
_____ Actual grade, if 1-12
12 GED
Other; specify: (e.g., "1 year college") _____
98 Unknown

18. MARITAL STATUS AT INTAKE:
1 Never married
2 Divorced/separated
3 Widow/widower
4 Married
8 Unknown

19. NUMBER OF PERSONS SUPPORTED OTHER THAN SELF: (Include persons for whom the client is legally responsible and persons for whom the client has provided more than 25% financial support): _____

20. FINANCIAL RESOURCES AT TIME OF LAST OFFENSE: (In the client's opinion, which statement best characterizes the state of his/her financial resources at the time of last offense)
1 No financial problems
2 Minor financial problems
3 Major financial problems
8 Unknown

21. PRIMARY SOURCE OF SUPPORT AT TIME OF LAST OFFENSE: (Either monetary or material support)
1 Self
2 Spouse/partner
3 Parent(s)
4 Friends/relatives
5 Government assistance (e.g., Welfare)
6 Insurance (e.g., Survivors benefits, Unemployment Ins., etc.)
7 Scholarships/training grants
Other; explain: _____
98 Unknown

22. FINANCIAL RESOURCES AT INTAKE: (See Item #20, In the client's opinion,--)
1 No financial problems
2 Minor financial problems
3 Major financial problems
8 Unknown

23. PRIMARY SOURCE OF SUPPORT AT INTAKE: (Either monetary or material support)
1 Self
2 Spouse/partner
3 Parent(s)
4 Friends/relatives
5 Gov't Assistance (e.g., Welfare)
6 Insurance (e.g., Survivors benefits, Unemployment Ins., etc.)
7 Scholarships/training grants
8 Correctional Institution/Jail/Workhouse
Other; Explain: _____
98 Unknown

24. LIVING SITUATION AT TIME OF LAST OFFENSE:
1 Parent(s)
2 Spouse/partner
3 Foster parents
4 Friends/relatives
5 Self
6 Correctional Institution
7 Jail/workhouse
Other; specify: _____
98 Unknown

25. LIVING SITUATION AT TIME OF INTAKE:
1 Parent(s)
2 Spouse/partner
3 Foster parents
4 Friends/relatives
5 Self
6 Correctional institution
7 Jail/workhouse
Other; specify: _____
98 Unknown

26. WHO REFERRED CLIENT TO THE PROJECT? (If not evident, ask client who referred him/her):
1 Project staff
2 Prosecutor
3 Court
4 Defense attorney
5 Client (self)
6 Police/sheriff
7 Welfare dept.
8 School
9 Clergy
10 Parent
11 Detox. Center
12 Parole officer
13 Institutional Staff (e.g., Case Worker)
16 Other inmate
Other; specify: _____
98 Unknown

NOTE: IF THE INFORMATION REFERRING TO JUVENILES IS NOT AVAILABLE, WRITE "NOT AVAILABLE" IN THE SPACE PROVIDED.

27. NUMBER OF JUVENILE ARRESTS: _____

28. NUMBER OF TIMES ADJUDICATED DELINQUENT, STATUS OFFENSES: (Acts which are considered offenses only because of a child's status as a minor, e.g., truancy, drinking underage.) _____

29. NUMBER OF TIMES ADJUDICATED DELINQUENT, NON-STATUS OFFENSES: (Acts which would also be considered offenses if committed by adults, e.g., auto theft, forgery.) _____

30.A. AGE AT FIRST ADJUDICATION AS DELINQUENT: _____
B. AGE AT FIRST CONVICTION AS AN ADULT: _____

31. TOTAL NUMBER OF MONTHS IN JUVENILE CORRECTIONAL FACILITIES: (2 or more weeks is to be considered a month.) _____

32. NUMBER OF ADULT ARRESTS: _____

33. NUMBER OF MISDEMEANOR CONVICTIONS: _____

34. NUMBER OF GROSS MISDEMEANOR AND FELONY CONVICTIONS: _____

35. NUMBER OF MONTHS IN JAILS AND WORKHOUSES: _____

36. NUMBER OF MONTHS IN STATE AND FEDERAL ADULT CORRECTIONAL INSTITUTIONS: _____

37. REASON FOR TERMINATION OF LAST PROBATION OR PAROLE PRIOR TO ENTRY INTO PROJECT:
1 Discharge
2 Revocation, violation of rules
3 Revocation, replacement
4 Revocation, new offense admitted
5 Revocation, new offense adjudicated/convicted
6 Transfer of jurisdiction
7 Not applicable; client was never on probation or parole
8 Not applicable; last probation or parole has been continued
Other; specify: _____
98 Unknown

38. LEGAL STATUS AT INTAKE:
1 Awaiting adjudication
2 Adjudicated, awaiting sentencing
3 Probation
4 Work release
5 Parole
6 Discharged from institution; not on parole
7 Institutionalized, serving sentence
Other; specify: _____
98 Unknown

39. OFFICIAL CORRECTIONAL CLASSIFICATION:
1 Juvenile
2 Youthful offender
3 Adult
7 Not applicable
8 Unknown

OFFENSES FOR PRESENT CONVICTION/ADJUDICATION:
41. First: _____
42. Second: _____
Third: _____

43. NUMBER OF MONTHS IN CORRECTIONAL INSTITUTIONS FOR PRESENT CONVICTION/ADJUDICATION: (2 or more weeks is to be considered a month.) _____

NAME OF CORRECTIONAL INSTITUTION(S) WHICH CLIENT WAS IN FOR PRESENT CONVICTION/ADJUDICATION:

44. First: _____
 45. Second: _____

53. VOCATIONAL TRAINING PRIOR TO INTAKE:

- 1 Has earned certificate or degree
- 2 Attended classes/courses - no degree
- 3 None
- 8 Unknown

54. ACADEMIC SCHOOL ATTENDANCE AT INTAKE:

- 1 Full-time, college
- 2 Part-time, college
- 3 Full-time, grade 1-12
- 4 Part-time, grade 1-12
- 5 GED preparation
- 6 None
- 8 Unknown

APPENDIX C

Termination Information Form
 Community-Based Corrections Facilities

46. EMPLOYMENT AT TIME OF LAST OFFENSE: (if client did not work for 2 weeks prior to offense, circle 4 - "Unemployed")

- 1 Full-time
- 2 Part-time
- 3 Irregular (odd jobs)
- 4 Unemployed
- 8 Unknown

47. EMPLOYMENT AT INTAKE: (if client did not work for 2 weeks prior to intake, circle 4 - "Unemployed")

- 1 Full-time
- 2 Part-time
- 3 Irregular (odd jobs)
- 4 Unemployed
- 8 Unknown

48. LAST OCCUPATION HELD PRIOR TO INTAKE: (Include as much information as you can, e.g., "worked as helper to machine operator in a plant that manufactures plastic parts for automobiles")

49. HOURLY WAGE IN LAST OCCUPATION PRIOR TO INTAKE: (if client did not receive hourly wage, divide week's salary by 40) \$ _____

50. PRESENT OCCUPATION: (See Item #48, include as much information as you can)

51. PRESENT HOURLY WAGE: (if client does not receive hourly wage, divide week's salary by 40) \$ _____

55. RANK THE CLIENT'S MOST IMMEDIATE NEEDS. Rank only those which are, in your opinion, actually apparent. Leave all others blank. For example, for the most immediate need, place the number "1" in the space to the left of the need. For the second ranked need, place a "2" in the space to the left of the need, etc.:

- 01 ___ No identifiable needs
-
- 02 ___ Basic survival needs (food, clothing, housing)
- 03 ___ Medical/dental treatment
- 04 ___ Drug treatment
- 05 ___ Alcohol treatment
- 06 ___ Educational services
- 07 ___ Pre-vocational evaluation
- 08 ___ Vocational training
- 09 ___ Job counseling/referral/placement
- 10 ___ Financial counseling
- 11 ___ Legal counseling
- 12 ___ Family counseling
- 13 ___ Group counseling
- 14 ___ Diagnostic services
- 15 ___ Mental health treatment
- 16 ___ Advocacy with other agencies
- 17 ___ Restitution
- 18 ___ Personal support
- 19 ___ Recreation
- ___ Other; specify: _____
- 98 ___ Unknown

52. VOCATIONAL CLASS ATTENDANCE AT INTAKE:

- 1 Full-time
- 2 Part-time
- 3 None
- 8 Unknown

NAME OF STAFF MEMBER FILLING OUT CLIENT RECORD: _____

TITLE OF STAFF MEMBER FILLING OUT CLIENT RECORD: _____

DATE: _____

TERMINATION

Governor's Commission on Crime Prevention and Control
 444 Lafayette Road
 St. Paul, Minnesota 55101

1. PROJECT I.D. NUMBER: _____
 2. CLIENT I.D. NUMBER: _____

CLIENT TERMINATION INFORMATION FOR
 COMMUNITY-BASED CORRECTIONS FACILITIES

NAME OF PROJECT: _____
 CLIENT'S NAME: _____
 CLIENT'S ADDRESS AFTER LEAVING PROJECT:
 Street _____ City _____ State _____ Zip _____ Phone _____
 NAME AND ADDRESS OF RELATIVE OR OTHER PERSON LIKELY TO KNOW CLIENT'S WHEREABOUTS AFTER LEAVING PROJECT:
 Name _____ Phone _____ Relationship _____
 Street _____ City _____ State _____ Zip _____
 NAME AND ADDRESS OF PROBATION OFFICER/PAROLE AGENT:
 Name _____ Phone _____
 Employer _____
 Street _____ City _____ State _____ Zip _____

66. DATE CLIENT TERMINATED RESIDENCE:
 Month _____ Day _____ Year _____

69. REASON CLIENT TERMINATED RESIDENCE:
 1 Successfully completed program/contract/residency phase
 2 Voluntary termination
 3 Withdrawn by committing agency
 4 Lack of cooperation/poor adjustment
 5 Absconded
 6 Rearrested
 7 Convicted for new offense
 Other; explain: _____
 98 Unknown

73. REASON FOR TERMINATION FROM PROJECT:
 1 Successfully completed program/contract
 2 Voluntary termination
 3 Withdrawn by committing agency
 4 Lack of cooperation/poor adjustment
 5 Absconded
 6 Rearrested
 7 Convicted of new offense
 Other; explain: _____
 98 Unknown

74. HIGHEST ACADEMIC SCHOOL GRADE COMPLETED AT TERMINATION:
 _____ Actual grade, if 1-12
 12 GED
 Other; specify: (for example, "1 year college") _____
 98 Unknown

70. DATE OF TERMINATION FROM PROJECT:
 Month _____ Day _____ Year _____

75. LIVING SITUATION AFTER RESIDENCY:
 1 Parent(s)
 2 Spouse/partner
 3 Foster parents
 4 Friends/relatives
 5 Self
 6 Correctional institution
 7 Jail/workhouse
 Other; specify: _____
 98 Unknown

76. PRIMARY SOURCE OF SUPPORT AT TERMINATION:
 (Either monetary or material support)
 1 Self
 2 Spouse/partner
 3 Parent(s)
 4 Friends/relatives
 5 Government assistance (e.g., Welfare)
 6 Insurance (e.g., Survivors benefits, Unemployment Ins., etc.)
 7 Scholarships/training grants
 8 Correctional institution/jail/workhouse
 Other; explain: _____
 98 Unknown

77. FINANCIAL RESOURCES AT TERMINATION:
 (In the client's opinion, which statement best characterizes his/her financial resources at the time of termination)
 1 No financial problems
 2 Minor financial problems
 3 Major financial problems
 8 Unknown

79. BELOW is a list of services that might be offered to the client by the staff and/or service agencies. First, go through the list and rank the services that were provided by the staff in the order of their importance. Then do the same for services provided by agencies.

STAFF PROVIDED RANK	SERVICES	AGENCY PROVIDED RANK	AGENCY NAME(S)
_____	01 No identifiable services	_____	_____
_____	02 Basic survival needs (food, clothing, housing)	_____	_____
_____	03 Medical/dental treatment	_____	_____
_____	04 Drug treatment	_____	_____
_____	05 Alcohol treatment	_____	_____
_____	06 Educational services	_____	_____
_____	07 Pre-vocational evaluation	_____	_____
_____	08 Vocational training	_____	_____
_____	09 Job counseling/referral/placement	_____	_____
_____	10 Financial counseling	_____	_____
_____	11 Legal counseling	_____	_____
_____	12 Family counseling	_____	_____
_____	13 Group counseling	_____	_____
_____	14 Diagnostic services	_____	_____
_____	15 Mental health treatment	_____	_____
_____	16 Advocacy with other agencies	_____	_____
_____	17 Restitution	_____	_____
_____	18 Personal support	_____	_____
_____	19 Recreation	_____	_____
_____	Other; specify: _____	_____	_____
_____	98 Unknown	_____	_____

<p>100. ACADEMIC SCHOOL ATTENDANCE AT TERMINATION:</p> <table border="0"> <tr> <td>1 Full-time, college</td> <td>5 GED preparation</td> </tr> <tr> <td>2 Part-time, college</td> <td></td> </tr> <tr> <td>3 Full-time, grade 1-12</td> <td>6 None</td> </tr> <tr> <td>4 Part-time, grade 1-12</td> <td>8 Unknown</td> </tr> </table>	1 Full-time, college	5 GED preparation	2 Part-time, college		3 Full-time, grade 1-12	6 None	4 Part-time, grade 1-12	8 Unknown	<p>112. NUMBER OF WEEKS IN RESIDENCE: _____</p> <p>113. NUMBER OF WEEKS IN PROJECT: _____</p>
1 Full-time, college	5 GED preparation								
2 Part-time, college									
3 Full-time, grade 1-12	6 None								
4 Part-time, grade 1-12	8 Unknown								
<p>101. VOCATIONAL CLASS ATTENDANCE AT TERMINATION:</p> <table border="0"> <tr> <td>1 Full-time</td> <td>3 None</td> </tr> <tr> <td>2 Part-time</td> <td>8 Unknown</td> </tr> </table>	1 Full-time	3 None	2 Part-time	8 Unknown	<p>114. REASON FOR TERMINATION OF PROBATION OR PAROLE:</p> <ol style="list-style-type: none"> 1 Discharge 2 Revocation, violation of rules 3 Revocation, replacement 4 Revocation, new offense admitted 5 Revocation, new offense adjudicated 6 Transfer of jurisdiction 7 Not applicable; client was never on probation or parole 8 Not applicable; last probation or parole has been continued Other; specify: _____ 98 Unknown 				
1 Full-time	3 None								
2 Part-time	8 Unknown								
<p>102. VOCATIONAL TRAINING WHILE IN PROGRAM:</p> <ol style="list-style-type: none"> 1 Has earned certificate or degree 2 Attended classes/courses - no degree 3 None 8 Unknown 	<p>115. RANK THE CLIENT'S MOST IMMEDIATE NEEDS. Rank only those which are, in your opinion, actually apparent. <u>Leave all others blank.</u> For example, for the most immediate need, place a number "1" in the space to the left of the need. For the second ranked need, place a "2" in the space to the left of the need, etc.</p>								
<p>103. EMPLOYMENT AT TERMINATION: (If client did not work for 2 weeks prior to termination, circle 4 - "Unemployed")</p> <table border="0"> <tr> <td>1 Full-time</td> <td>4 Unemployed</td> </tr> <tr> <td>2 Part-time</td> <td>8 Unknown</td> </tr> <tr> <td>3 Irregular (odd jobs)</td> <td></td> </tr> </table>	1 Full-time	4 Unemployed	2 Part-time	8 Unknown	3 Irregular (odd jobs)		<ol style="list-style-type: none"> 01 ___ No identifiable needs ----- 02 ___ Basic survival needs (food, clothing, housing) 03 ___ Medical/dental treatment 04 ___ Drug treatment 05 ___ Alcohol treatment 06 ___ Educational services 07 ___ Pre-vocational evaluation 08 ___ Vocational training 09 ___ Job counseling/referral/placement 10 ___ Financial counseling 11 ___ Legal counseling 12 ___ Family counseling 13 ___ Group counseling 14 ___ Diagnostic services 15 ___ Mental health treatment 16 ___ Advocacy with other agencies 17 ___ Restitution 18 ___ Personal support 19 ___ Recreation ___ Other; specify: _____ 		
1 Full-time	4 Unemployed								
2 Part-time	8 Unknown								
3 Irregular (odd jobs)									
<p>104. OCCUPATION AT TERMINATION: (Include as much information as you can, e.g., "worked as helper to machine operator in a plant that manufactures plastic parts for automobiles")</p> <p>_____</p> <p>_____</p>	<p>98 ___ Unknown</p>								
<p>105. HOURLY WAGE IN OCCUPATION AT TERMINATION: (If client does not receive hourly wage, divide week's salary by 40) \$ _____</p>									
<p>106. NUMBER OF ARRESTS WHILE IN PROJECT: _____</p>									
<p>107. NUMBER OF RUNS/UNAUTHORIZED ABSENCES: _____</p>									
<p>108. NUMBER OF DETENTIONS: _____</p>									
<p>109. TOTAL DAYS ABSENT &/OR IN DETENTION: _____</p>									
<p>110. MARITAL STATUS AT TERMINATION:</p> <table border="0"> <tr> <td>1 Never married</td> <td>4 Married</td> </tr> <tr> <td>2 Divorced/separated</td> <td>8 Unknown</td> </tr> <tr> <td>3 Widow/widower</td> <td></td> </tr> </table>	1 Never married	4 Married	2 Divorced/separated	8 Unknown	3 Widow/widower				
1 Never married	4 Married								
2 Divorced/separated	8 Unknown								
3 Widow/widower									
<p>111. LEGAL STATUS AT TERMINATION:</p> <ol style="list-style-type: none"> 1 Awaiting adjudication 2 Adjudicated, awaiting sentencing 3 Probation 4 Work release 5 Parole 6 Discharged from institution; not on parole 7 Institutionalized; serving sentence Other; specify: _____ 98 Unknown 									

121. Begin at the top statement, and check the first one that describes the client since his/her residency began:

- 01 ___ Returned to correctional institution to finish term due to technical violation
- 02 ___ Returned to correctional institution with new term
- 03 ___ Parolee at large six months or more, or as technical violator
- 04 ___ Felony arrest but released after restitution made, or if adult, MCA did not revoke parole at District Attorney's request
- 05 ___ Awaiting trial or sentence on felony
- 06 ___ Jail, 90 days or more
- 07 ___ Felony probation and/or suspended prison sentence
- 08 ___ Technical arrest
- 09 ___ Died in the course of committing crime
- 10 ___ Parolee at large
- 11 ___ Arrest and release
- 12 ___ Trial and release
- 13 ___ Conviction with misdemeanor probation, fine or bail forfeited
- 14 ___ Jail, less than 90 days
- 15 ___ No disposition recorded
- 98 ___ Unknown

NAME OF STAFF MEMBER FILLING OUT CLIENT RECORD: _____

TITLE OF STAFF MEMBER FILLING OUT CLIENT RECORD: _____

DATE: _____

APPENDIX D

Follow-up Information Form

and

Arrest Information Form

Community-Based Corrections Facilities

<p>FOLLOW-UP</p> <p>Governor's Commission on Crime Prevention and Control 444 Lafayette Road St. Paul, Minnesota 55101</p>		<p>1. PROJECT I.D. NUMBER: _____</p> <p>2. CLIENT I.D. NUMBER: _____</p> <p>140. FOLLOW-UP INTERVAL:</p> <table> <tr> <td>1 6 months</td> <td>3 24 months</td> </tr> <tr> <td>2 12 months</td> <td>4 36 months</td> </tr> </table>	1 6 months	3 24 months	2 12 months	4 36 months																
1 6 months	3 24 months																					
2 12 months	4 36 months																					
<p><u>COMMUNITY-BASED CORRECTIONS FACILITIES</u></p> <p><u>FOLLOW-UP INFORMATION</u></p>																						
<p>NAME OF PROJECT: _____</p> <p>CLIENT'S NAME: _____</p> <p>CLIENT'S ADDRESS: _____</p> <p style="text-align: center;">Street City State Zip Phone</p> <p>NAME AND ADDRESS OF RELATIVE OR OTHER PERSON LIKELY TO KNOW CLIENT'S WHEREABOUTS:</p> <table> <tr> <td>Name</td> <td>Phone</td> <td>Relationship</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Street</td> <td>City</td> <td>State</td> <td>Zip</td> </tr> </table> <p>NAME AND OFFICE ADDRESS OF PROBATION OFFICER/PAROLE AGENT:</p> <table> <tr> <td>Name</td> <td>Phone</td> </tr> <tr> <td>_____</td> <td>_____</td> </tr> <tr> <td>Employer</td> <td>_____</td> </tr> <tr> <td>Street</td> <td>City</td> <td>State</td> <td>Zip</td> </tr> </table>			Name	Phone	Relationship	_____	_____	_____	Street	City	State	Zip	Name	Phone	_____	_____	Employer	_____	Street	City	State	Zip
Name	Phone	Relationship																				
_____	_____	_____																				
Street	City	State	Zip																			
Name	Phone																					
_____	_____																					
Employer	_____																					
Street	City	State	Zip																			
<p>141. DATE OF FOLLOW-UP: _____</p> <p style="text-align: center;">Month Day Year</p>	<p>147. MARITAL STATUS:</p> <table> <tr> <td>1 Never married</td> <td>4 Married</td> </tr> <tr> <td>2 Divorced/separated</td> <td>8 Unknown</td> </tr> <tr> <td>3 Widow/widower</td> <td></td> </tr> </table>		1 Never married	4 Married	2 Divorced/separated	8 Unknown	3 Widow/widower															
1 Never married	4 Married																					
2 Divorced/separated	8 Unknown																					
3 Widow/widower																						
<p>144. TYPE OF CONTACT: (Indicate who is providing this information)</p> <ul style="list-style-type: none"> 1 Client himself/herself 2 Relative 3 Project staff 4 Probation/parole officer 5 Law enforcement officials Other; specify: _____ 		<p>148. PRIMARY SOURCE OF SUPPORT: (Either monetary or material support)</p> <ul style="list-style-type: none"> 1 Self 2 Spouse/partner 3 Parent(s) 4 Friends/relatives 5 Government assistance (e.g., Welfare) 6 Insurance (e.g., Survivors benefits, Unemployment Ins., etc.) 7 Scholarships/training grants 8 Correctional institution/jail/workhouse Other; explain: _____ 98 Unknown 																				
<p>145. HIGHEST ACADEMIC GRADE COMPLETED:</p> <ul style="list-style-type: none"> Actual grade, if 1-12 _____ 12 GED Other; specify: (e.g., "one year college") _____ 98 Unknown 																						
<p>146. LIVING SITUATION:</p> <ul style="list-style-type: none"> 1 Parent(s) 2 Spouse/partner 3 Foster parents 4 Friends/relatives 5 Self 6 Correctional institution 7 Jail/workhouse Other; specify: _____ 98 Unknown 		<p>149. FINANCIAL RESOURCES: (In the client's opinion, which statement characterizes the state of his/her financial resources.)</p> <ul style="list-style-type: none"> 1 No financial problems 2 Minor financial problems 3 Major financial problems 8 Unknown 																				

ARREST	1. PROJECT I.D. NUMBER: _____ 2. CLIENT I.D. NUMBER: _____ 180. REPORTING PERIOD 0 While in project 1 6 months 3 24 months 2 12 months 4 36 months
---------------	--

COMMUNITY-BASED CORRECTIONS FACILITIES
ARREST INFORMATION

NAME OF PROJECT: _____
 CLIENT'S NAME: _____
 NAME OF PERSON FILLING OUT CLIENT RECORD: _____
 TITLE OF PERSON FILLING OUT CLIENT RECORD: _____
 DATE: _____

INSTRUCTIONS

The following items deal with the arrest of the client. Include parole and probation violations. Include all arrests and traffic tickets EXCEPT parking. Items are divided into SECTIONS and each section covers a single arrest -- i.e., First Arrest, Second Arrest and Third Arrest. In the appropriate SECTION, enter the information about each respective arrest of the client that has taken place during the present reporting period. If no arrests have occurred, enter "Not Applicable" in the first item of SECTION I. If more than 3 arrests have occurred, use the back of page 4 to enter the additional information about each of these other arrests.

Include information between the dates: _____ and _____.

SECTION I: FIRST ARREST

181. DATE OF ARREST: _____ Month Day Year 184. CHARGES: 1. _____ _____ 2. _____ _____ 3. _____ _____	190. DISPOSITION (Adults) 0 Case pending (no judicial involvement) 1 Charges dropped 2 Dismissed 3 Acquitted 4 Continued without finding 5 Misdemeanor conviction 6 Felony conviction 7 Charges dismissed/dropped because parole/probation revoked 8 Other, specify: _____ _____ 98 Unknown
187. DISPOSITION DATE: _____ Month Day Year	

191. TYPE OF SENTENCE (Adults) Circle all that apply. 0 Case pending (no judicial involvement) 1 Suspended or stayed 2 Probation 3 Fined 4 Imprisoned-Jail/workhouse 5 Imprisoned-State/Fed. Institution 6 Sentenced for previous conviction (parole/probation revocation) 7 Other, specify: _____ _____ 88 Not applicable 98 Unknown	191. ADJUDICATION (Juveniles) 10 Not adjudicated/not found delinquent 11 Adjudicated 12 Adjudicated and committed 13 Other, specify: _____ _____ 88 Not applicable 98 Unknown
190. JUVENILE PETITION (Juveniles) 0 Case pending (no judicial involvement) 10 None written/filed 11 Dismissed 12 Admitted 13 Sustained 14 Other, specify: _____ _____ 98 Unknown	192. SENTENCE: _____ Months 193. FINE: _____ 194. FACILITY SENTENCED TO: _____ _____ 195. OFFENSES OF DISPOSITION: 1. _____ _____ 2. _____ _____ 3. _____ _____

SECTION II: SECOND ARREST

181. DATE OF ARREST: _____ Month Day Year 184. CHARGES: 1. _____ _____ 2. _____ _____ 3. _____ _____	190. DISPOSITION (Adults) 0 Case pending (no judicial involvement) 1 Charges dropped 2 Dismissed 3 Acquitted 4 Continued without finding 5 Misdemeanor conviction 6 Felony conviction 7 Charges dismissed/dropped because parole/probation revoked 8 Other, specify: _____ _____ 98 Unknown
187. DISPOSITION DATE: _____ Month Day Year	

<p>191. TYPE OF SENTENCE (Adults) Circle all that apply.</p> <p>0 Case pending (no judicial involvement) 1 Suspended or stayed 2 Probation 3 Fined 4 Imprisoned-Jail/workhouse 5 Imprisoned-State/Fed. Institution 6 Sentenced for previous conviction (parole/probation revocation) 7 Other, specify: _____</p> <p>88 Not applicable 98 Unknown</p>	<p>191. ADJUDICATION (Juveniles)</p> <p>10 Not adjudicated/not found delinquent 11 Adjudicated 12 Adjudicated and committed 13 Other, specify: _____</p> <p>88 Not applicable 98 Unknown</p>
<p>190. JUVENILE PETITION (Juveniles)</p> <p>0 Case pending (no judicial involvement) 10 None written/filed 11 Dismissed 12 Admitted 13 Sustained 14 Other, specify: _____</p> <p>98 Unknown</p>	<p>192. SENTENCE: _____ Months</p> <p>193. FINE: _____</p> <p>194. FACILITY SENTENCED TO: _____</p> <p>195. OFFENSES OF DISPOSITION:</p> <p>1. _____</p> <p>2. _____</p> <p>3. _____</p>

<p>191. TYPE OF SENTENCE (Adults) Circle all that apply.</p> <p>0 Case pending (no judicial involvement) 1 Suspended or stayed 2 Probation 3 Fined 4 Imprisoned-Jail/workhouse 5 Imprisoned-State/Fed. Institution 6 Sentenced for previous conviction (parole/probation revocation) 7 Other, specify: _____</p> <p>88 Not applicable 98 Unknown</p>	<p>191. ADJUDICATION (Juveniles)</p> <p>10 Not adjudicated/not found delinquent 11 Adjudicated 12 Adjudicated and committed 13 Other, specify: _____</p> <p>88 Not applicable 98 Unknown</p>
<p>190. JUVENILE PETITION (Juveniles)</p> <p>0 Case pending (no judicial involvement) 10 None written/filed 11 Dismissed 12 Admitted 13 Sustained 14 Other, specify: _____</p> <p>98 Unknown</p>	<p>192. SENTENCE: _____ Months</p> <p>193. FINE: _____</p> <p>194. FACILITY SENTENCED TO: _____</p> <p>195. OFFENSES OF DISPOSITION:</p> <p>1. _____</p> <p>2. _____</p> <p>3. _____</p>

SECTION III: THIRD ARREST

<p>181. DATE OF ARREST: _____ Month Day Year</p> <p>184. CHARGES: 1. _____ 2. _____ 3. _____</p>	<p>190. DISPOSITION (Adults)</p> <p>0 Case pending (no judicial involvement) 1 Charges dropped 2 Dismissed 3 Acquitted 4 Continued without finding 5 Misdemeanor conviction 6 Felony conviction 7 Charges dismissed/dropped because parole/probation revoked 8 Other, specify: _____</p> <p>98 Unknown</p>
<p>187. DISPOSITION DATE: _____ Month Day Year</p>	

END