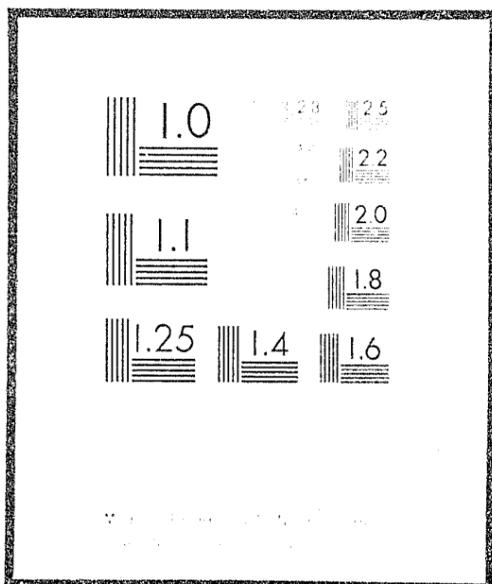


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A SYNOPSIS OF THE
DES MOINES COMMUNITY BASED CORRECTIONS APPROACH

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CHAPTER 1: SUMMARY OF THE DES MOINES COMMUNITY CORRECTIONS PROGRAM

The first chapter of this handbook summarizes the four components of the Des Moines Community Corrections program and identifies the program's basic approach. A more detailed description of the structure, policies and procedures of each of the four Des Moines components is presented in Chapter 3 of this handbook.

A comprehensive, community-based corrections program--commonly called "the Des Moines program"--was organized into a single administrative unit, the Fifth Judicial District Department of Court Services, by resolution of the Polk County (Iowa) Board of Supervisors in January, 1971. The Department of Court Services administers four separate corrections programs, two of which were in operation prior to the Department's creation, and two which have been added since. Each of the components of the Des Moines program has had a significant impact on the criminal justice system of the Fifth Judicial District, and the combination of the four components within a single administrative unit has produced a unique experiment in the coordination of community corrections. Because of its novelty and success, the Des Moines Community Corrections program was the first criminal justice project in the United States to be designated "exemplary" by the National Institute of Law Enforcement and Criminal Justice.

The four components of the Des Moines program provide correctional services to defendants and convicted offenders at different points in the criminal justice process. Two of the components provide services at the pre-trial stage, and two respond to the needs of post-trial offenders. The four components of the Des Moines Community Corrections program are:

1. Pre-Trial Release (ROR)
2. Supervised Release
3. Probation
4. Community Correctional Facility

1. Pre-Trial Release (ROR)

The Des Moines Community Corrections program is based on the recognition that the overwhelming majority of persons who penetrate to the last step of the criminal justice system--corrections--come from the uneducated, the unskilled, and the least affluent segments of the population. The first disability which such persons face occurs immediately following arrest. A defendant who is poor typically remains in jail prior to trial, despite the presumption of innocence, because he is unable to raise money for bond or bail. Because he is jailed prior to trial, he is less able to participate in his own defense and is, therefore, more likely to be convicted. If convicted, he is more likely to be incarcerated because he has been unable to demonstrate a post-arrest ability to behave in a constructive manner. In addition, pre-trial incarceration may result in the loss of the defendant's job, and may cause severe financial strains on his family.

The pre-trial release component of the Des Moines program is modeled on the Vera-Manhattan Bail Reform Project. It is a typical release-on-own-recognizance program. Staff of the pre-trial release component are housed in the Municipal Court Building, site of the city jail and the Des Moines Police Department. Every defendant booked into the jail is interviewed immediately after processing. (Persons charged with simple intoxication and non-indictable traffic offenses are excluded, principally because their cases are disposed of almost immediately.) Pre-trial release staff interview the defendant to determine if he meets the criteria for release on his own recognizance. The release criteria are totally objective, and a point system is used to gauge the degree to which the defendant has stable roots in the community. Points are earned for length of residence in a particular location, stability of employment, and the presence of family ties. Points are lost as a result of the frequency and the recency of prior convictions, and because of past incidents of failure to appear for trial. If a defendant scores a total of five points, the staff recommends to the court that he be released on his own recognizance.

2. Supervised Release

For those defendants who do not qualify for ROR, the options in most communities are typically stark. If the defendant is unable to secure a bond or post bail, in most communities he must remain in jail pending trial. In Des Moines, however, there is another option. The supervised release component, perhaps the most innovative element of the Des Moines program, involves a form of "pre-trial probation". Indeed, one of the explicit goals of the supervised release component is to assist selected defendants to become qualified for probation as a final disposition in the event of conviction.

Defendants who fail to score a sufficient number of points to qualify for release on their own recognizance, but who may be qualified for supervised release, are referred to the supervised release screening staff by ROR interviewers. A member of the supervised release staff then interviews the defendant. Unlike the ROR interview, however, the supervised release interview is open-ended and the decision as to whether the defendant qualifies for entry into the component is subjective.

Since this component has the clearly defined goal of preparing releasees for probation, the emphasis is on the client's disabilities and the task is to assist the client in solving very specific and practical problems. This approach begins during the selection process, where, contrary to general practice, the incarcerated defendant is evaluated largely on the basis of the negative aspects of his position. That is, the disabilities which mitigate against his being granted probation are identified and a judgment is made as to the likelihood that the staff can assist the defendant to overcome those disabilities. If the defendant is unemployed, that fact mitigates against probation. Thus, helping the defendant to find a job becomes part of his "treatment" program. If a contributing factor to unemployment is an inadequate educational background, remedial education becomes part of the treatment program.

If 1) the supervised release staff believes that the specific disabilities of the defendant can be overcome in a carefully structured program of supervision, counseling and treatment, and 2) the interviewer feels that the defendant is willing to participate actively in such supervision, the defendant is recommended for release into the custody of the supervised release staff. If the court approves the release, the defendant is assigned a counselor, is given a psychological, vocational and educational evaluation, and a specific treatment plan is developed with the defendant. Treatment typically involves job development assistance, and the defendant's participation in vocational and educational programs, marital counseling, or alcohol or drug abuse programs.

3. Probation

Although the probation component is the most traditional element in the Des Moines program, the consolidation of correctional programs in the Department of Court Services has made probation an important link in the chain of services provided to defendants and convicted offenders. Formerly, if granted probation, the convicted offender was transferred to the probationary supervision of the State Bureau of Adult Corrections. However, the probation function developed as a county responsibility in Polk County during the late 1960s, largely as a result of the increased utilization by the courts of probationary dispositions for indictable misdemeanor convictions. In 1971, responsibility for full probation supervision of felons and misdemeanants alike was transferred to the new Department of Court Services.

Probation officers in the Des Moines program are housed in the same building used by the supervised release staff. This physical proximity is also matched by a close working relationship between the staffs of the two components. Since supervised release is aimed in part at helping defendants build a "track record" which will qualify them for probation if they are convicted, the probation effort is structured so as to continue the treatment and counseling objectives of supervised release. Although the goal of the probation component is more generalized --to help the client to lead a law abiding life--the major thrust of the

probation unit continues to be problem-solving rather than surveillance and control.

Two basic functions are performed in the probation component:

1) pre-sentence investigation and 2) probation supervision. As in other jurisdictions, the purpose of the pre-sentence investigation function is to provide data which will aid the court in determining an appropriate sentence for the convicted offender and to assist institutional and/or community supervision staff in developing an appropriate correctional plan for the offender. In Des Moines, pre-sentence investigations typically are conducted within a period of two to four weeks, and a report is submitted to the court which presents objective and attitudinal data about the offender and contains recommendations as to which of the five basic sentencing options seems most appropriate for the offender: 1) a suspended sentence, 2) probation, 3) commitment to a community correctional facility, 4) commitment to county jail, or 5) commitment to state prison.

In the case of offenders assigned to probation supervision, a probation officer and the client develop a probation contract. Typically, this contract will be based on the client's earlier treatment plan if he participated in the supervised release component prior to conviction, and will emphasize realistic steps which the client can take to address practical problems.

4. Community Correctional Facility

The fourth component of the Des Moines program is a community-based correctional facility for men (the fourth component also includes a small women's facility). The men's facility is a 50-bed, non-secure institution which is housed in a renovated barracks at Fort Des Moines, a partially-deactivated Army base at the edge of the Des Moines city limits. The Fort Des Moines facility was originally developed in 1971 as one way of easing the chronic overcrowding which had led to the repeated condemnation of the Polk County jail. However, Fort Des Moines

now serves more felons than misdemeanants, and thus eases the burden on the state prison system as well.

Although Fort Des Moines is occasionally used for offenders on the way out of prison, it is not a conventional half-way house. Rather, it is, by statute, a jail and is used primarily to house sentenced offenders for the entire duration of their sentence. As in the supervised release and probation components, the emphasis at Fort Des Moines is on a problem-solving approach to the needs of each client. Based on an extremely low client/counselor ratio (there is approximately one staff person for every two clients), the facility features intensive interaction between clients and staff. After a client enters the facility, he is evaluated, a treatment plan is developed, and a performance contract is signed. Each Fort Des Moines client is expected to work while committed to the facility, and the staff includes a three-man job development unit.

The Fort Des Moines facility emphasizes helping the client within a community setting. Clients work at jobs in the community, and are referred for services to community agencies (for educational programs, family and marital counseling, health care, vocational training, psychiatric counseling, etc.). As clients increase their employment or educational achievement, they become qualified for rewards which include overnight or weekend furloughs.

Although physical security devices are minimal at the Fort--there are no bars or fences--both the number of staff present and the use of informal observation techniques diminish security problems. In addition, the local police and sheriff's departments receive a weekly listing of Fort Des Moines residents which indicates where each resident is to be at specified hours of each day. This information is available to patrol officers who may see a Fort Des Moines inmate in the community.

Other program procedures also fulfill a control function. Because of the location of Fort Des Moines and the inadequacy of local public transportation, the facility also has its own vans which are used to transport residents of the Fort to and from work.

The Des Moines Program Components--Are They New?

Although the Des Moines program has received a lot of attention and has been declared an "exemplary" program by the National Institute of Law Enforcement and Criminal Justice, what's new about the four Des Moines components? Not much, really. Most of the components have been discussed for many years, and most communities have at least one of them. Pre-trial release (ROR), for example, was first developed in New York more than ten years ago as the Vera-Manhattan Bail Reform Project. After the Vera project proved successful, many communities throughout the country incorporated a form of ROR into their own correctional system. Probation has been around even longer, and nearly every jurisdiction has some form of probation program available for convicted offenders. Other communities have also experimented with community correctional facilities, and although Fort Des Moines has developed a number of original approaches, the basic idea is not really new. Of all the four components, the supervised release element is the most innovative but even in this area other jurisdictions have experimented with methods of providing pre-trial supervision as a condition of release.

In addition, there are many innovative correctional programs which are not available in Des Moines. Chapter 5 of this handbook briefly describes at least a portion of the "universe" of corrections programs which have been tried in various jurisdictions. Many of these programs-- e.g., citation release and deferred prosecution--are not part of the Des Moines system but have become standard elements in other criminal justice systems.

What is new is the way in which the four Des Moines components have been pulled together under a single administrative agency--the Department of Court Services. The Des Moines program is based, in large part, on coordination. Coordination is a concept that is talked about often, but seldom accomplished. But in Des Moines, coordination happens. And both the Des Moines staff and the National Institute believe that it's

the coordination underlying the Des Moines approach that has made the program so successful.

The Des Moines program is coordinated in two basic ways: administratively and functionally. The program is administratively coordinated by its very structure. (An organizational chart of the Des Moines project may be found in Chapter 4 of this handbook, along with a more detailed discussion of the role which coordination plays in the program.) The Department of Court Services is the administrative unit responsible for all four of the Des Moines components. By having a single administrative focal point, the Des Moines program unites four solid correctional components into an integrated whole, and provides a unified structure for additional components which may be added in the future. It avoids the overlapping responsibilities which often fragment the delivery of correctional services in other jurisdictions.

In addition, the Des Moines program features functional coordination. The process by which each of the four components provides correctional services is coordinated with the procedures of the other components as well. Information sharing techniques and other methods are used to shape the program's components into a continuum, so that correctional services are provided to persons involved in different stages of the criminal justice process. This functional coordination enables the program to serve very different types of accused and convicted offenders--from providing simple pre-trial release for low-risk, relatively stable defendants to providing intensive counseling, supervision and treatment services to high-risk defendants or convicted offenders who may lack even the most basic elements of self-respect and self-discipline.

No one claims that the Des Moines program is a panacea for the correctional problems of any or all communities. Nor does it embody all of the corrections programs that have proven successful in other jurisdictions. But it does represent a careful attempt to pull four tested correctional components together into a well-structured administrative unit. It provides one effective model for organizing a number

of correctional programs, a model to which new components can easily be added.

The purpose of studying the Des Moines program, then, is not to suggest that it should be precisely duplicated by other communities. The correctional needs and problems of other communities are too varied for that to work. Instead, the Des Moines program is described in this handbook as an experience from which other communities can learn. By studying the Des Moines approach, it is hoped that other communities will take a fresh look at their criminal justice system and find new ways to upgrade the quality of correctional services.

CHAPTER 2: DOES THE DES MOINES PROGRAM WORK?

Chapter 1 presented a brief summary of the four components of the Des Moines Community Corrections program. A more detailed description of each of the components, together with a discussion of the forms and procedures used in the program, is presented in Chapter 3. But before looking at the Des Moines program in greater detail, it makes sense to ask: does it work? What are the costs of the program developed in Des Moines, and what benefits has it achieved? Chapter 2, therefore, identifies some of the costs and benefits associated with the program. In addition to describing some costs and benefits which are difficult to quantify, it summarizes the results of a major evaluation of the Des Moines program which was conducted by the Research Center of the National Council on Crime and Delinquency (NCCD). A copy of the complete NCCD evaluation will be distributed at the training conference.

Program Costs

In any field as complex as corrections, it is always easier to measure costs than benefits. Correctional programs are expensive, and the dollar costs associated with them are often high. Benefits, on the other hand--even dollar benefits--are more difficult to trace and to measure. Nonetheless, this chapter of the handbook will attempt to describe both costs and benefits involved in the Des Moines Community Corrections program.

One of the major cost implications of the Des Moines program is its emphasis on client "treatment" and problem-solving. This approach requires the program to have a large counseling staff to evaluate the individual problems of program clients and to work with the clients in developing individualized treatment plans. And, once a plan has been developed with a client, counselors are needed to monitor the client's progress in trying to carry out that plan. Much of the success of the Des Moines program has been attributable to the fact that, in most components, the ratio of clients to counselors has been kept low. But, just as this approach seems to be effective, it is also expensive.

The total cost of the four components of the Des Moines program is approximately \$766,000. Table 1 indicates the relative cost of each of the four program components.

TABLE 1

Cost of Des Moines Program Components*

<u>Component</u>	<u>Annual Cost</u>
Pre-Trial Release	\$ 58,756.00
Supervised Release	157,792.00
Probation**	161,551.00
Fort Des Moines	<u>387,909.00</u>
Total	\$766,008.00

*Costs of the four components from January 1-December 31, 1973. Total does not include the cost of the women's residential facility and of two regional offices in other counties of the Fifth Judicial District.

**Probation costs include both the pre-sentence investigation and probation supervision functions.

As the table indicates, the most expensive components of the Des Moines program are those which are treatment-oriented: supervised release, probation and the community correctional facility. The pre-trial release (ROR) component screens defendants and recommends to the court which ones meet the established criteria and should be released on their own recognizance before trial. The program does not provide counseling or other treatment-oriented services to such defendants, and, as a result, the costs of the ROR component are far less than those of the other three components--both in absolute terms and in per client costs. And although probation supervision does involve counseling, the fact that caseloads are higher in probation (approximately 65-75 clients for each counselor) than in supervised release (approximately 20-25 clients per counselor) or at the community correctional facility (approximately two clients per staff member) makes probation cheaper. (The probation cost indicated in Table 1 includes PSI costs as well as supervision. In terms of supervision alone, probation is less expensive than supervised release.)

In addition to dollar costs, however, there are other less quantifiable costs which are always involved in the development of a new program: organizational costs. In the case of a program which attempts to change the basic structure of correctional service delivery, these costs can be

significant. At the most basic level, organizational costs may include "turf disputes"--opposition or constraints to the program caused by agencies or officials whose "turf", or operational jurisdiction, is threatened by the program. Any new program changes the structure by which services are provided, and structural changes often entail changes in the levels of political or bureaucratic power. Anyone who has tried to do something in a new way has encountered the institutional or individual inertia that can often impede what appears to be a rational change. And when changes are made, the sense that someone's turf has been encroached upon may lead to program costs which cannot be measured in dollars.

In addition, a program like the Des Moines project, which is grounded in a clear correctional philosophy, may also encounter organizational costs which occur because others involved in the correctional process do not share the program's philosophy. The Des Moines project was developed gradually, and the initial lack of competing correctional programs made it easier to introduce changes (since there was less organized turf to disrupt), but the program did encounter several types of organizational constraints:

- Although the concept of release on the defendant's own recognizance is not new, the pre-trial release component did encounter some opposition from policemen who objected to the quick release of those arrested. Some officers complained that the defendant was back on the streets before the policeman (who was required to write a report of the arrest). And in some cases this was true.
- The Iowa State Bureau of Adult Corrections had responsibility for conducting pre-sentence investigations and supervising felony probationers prior to the creation of the Des Moines program. As the program expanded, it absorbed the probationary functions performed by the Bureau, leading to some "turf-related" disputes.
- The community-based nature of the Fort Des Moines facility led to some early conflicts with the local police and sheriff's departments. Officers would see a person whom they had arrested and who had been convicted and sentenced to jail (Fort Des Moines is technically a jail) out on the streets. This led to the re-arrest of some Fort Des Moines clients, and to a basic philosophical conflict between the

program staff and clients (who felt that Fort Des Moines residents were unfairly being harassed by the police) and law enforcement officers (who felt that the Fort Des Moines facility was a "country club" rather than a jail). The conflict was resolved by providing local law enforcement agencies with a weekly list of where and when Fort Des Moines residents were to be in the community, but the philosophical objections of some law enforcement officers to the program continue to some extent.

Program Effectiveness

Any attempt to gauge the benefits of the Des Moines program must be based on an analysis of the program's effectiveness in achieving its stated objectives. Although the specific objectives of the Des Moines program vary among components, the program as a whole had a set of four hierarchical objectives, ranging from the "immediate" to the "ultimate":

- Immediate Objective: To protect the community from additional crime during the pre-trial or correction period. (This objective is referred to as "Community Safety" in the evaluation.)
- Enabling Objective: To utilize community resources to the maximum extent possible. (This objective is referred to as "Resource Utilization" in the evaluation.)
- Intermediate Objective: To integrate the offender into society. (This objective is referred to as "Social Effectiveness" in the evaluation.)
- Ultimate Objective: To assure that the accused appears for trial (pre-trial objective) and to reduce future criminal behavior (post-trial objective). (This objective is referred to as "Correctional Effectiveness" for the post-trial components.)

The Des Moines program has been evaluated several times, most comprehensively in February 1974. The evaluation of the program was conducted by the Research Center of the National Council on Crime and Delinquency. Following the definition of program objectives, data covering January-November 1973 were gathered and analyzed. The four objectives described above were measured in a number of different ways:

1. Community Safety: Community safety was measured by the number of new alleged offenses committed by program clients during their period of assignment to each program component.
2. Resource Utilization: This objective was measured by the degree to which each component utilized existing community resources and was complemented by other community programs. Pre-trial release, however, was not measured against this objective since it provides no community services to its clients.
3. Social Effectiveness: The integration of the offender into society was measured primarily by employment rates, occupational levels, and educational attainment during a client's participation in a particular component. Once again, pre-trial release was not measured against this objective, since it is not concerned with providing services to its clients.
4. a) Long Range Objectives for Pre-Trial Programs:
 - Appearance for Trial
 - Conviction Rate
 - Incarceration Rate

The ultimate objective of the pre-trial components is to assure that their clients appear for trial and attend all their court appearances. Thus, appearance rate is the primary criterion against which the success of the pre-trial components was measured. However, the ability of the two pre-trial components to screen out criminals and predict individuals who will be neither convicted nor incarcerated is also an objective. Thus, each component's conviction rate (the proportion of adjudicated persons in each component who are convicted) and incarceration rate (the proportion of convicted persons in each component who are eventually incarcerated) were determined. These rates were then compared with the conviction and incarceration rates for those persons who are detained prior to trial in jail and for those persons who are released after posting bail.

b) Long Range Objective for Post-Conviction Programs:

- Reducing Future Criminal Behavior

The reduction of future criminal behavior (the lowering of the recidivism rate) is the ultimate objective of both the probation

and community correctional facility components. The primary measurement of this objective was the number of alleged new offenses committed by persons who were terminated from each post-conviction component. New offenses include felonies, indictable misdemeanors, and non-indictable misdemeanors.

In general, the objectives of the four components reflect the competing goals of community safety and treatment. Obviously, community safety can best be achieved by isolating potential and convicted criminals from the rest of society and placing them in secure prisons or jails. On the other hand, treatment is considered to be a necessary ingredient in the prevention of future criminal activity, and thus correctional programs should provide for the reintegration of the offender into society. But effective social reintegration necessarily means the loss of some community safety. Though a trade-off does exist between these two competing goals, all four components of the Des Moines project are designed to treat the offender without permitting an intolerable increase in criminal activity.

Over and above the program objectives described above, each component must also be evaluated in terms of financial effectiveness. Even if a particular component does in fact achieve all of its stated goals, the costs of operating the program might not justify its benefits. Each component must therefore be evaluated in terms of its cost (either on a per day basis or per average-length-of-program basis) and then compared with the cost of alternative programs. Furthermore, the four components do not operate in a vacuum; to the extent that offenders and potential offenders are channeled into one of the four components, fewer resources need be expended in operating the Polk County Jail, the state prison, and other correctional institutions. Thus, the cost of operating all four Des Moines components must be compared with the increased cost of operating other state, county and local correctional programs were there no Des Moines project.

Finally, the financial benefits of the Des Moines project can not be completely analyzed unless one takes into account both the wages earned by clients in the various programs and also the money saved which otherwise would have been spent in the purchase of bail bonds. If there were no pre-trial release and supervised release components, many clients would not be able to post bail, would therefore be detained in jail prior to trial and

would thus be deprived of the ability to earn income. Similarly, most of the clients in Fort Des Moines, had they been incarcerated in the Polk County jail or a state institution, would also have been prevented from earning any wages after their conviction. And, if there were no pre-trial programs, large sums of money would have been spent by clients who were forced to purchase bail bonds in order to gain release prior to trial.

1. Pre-Trial Release (ROR)

Community Safety: The February 1974 evaluation of the Des Moines project analyzed the records of 633 clients who were released on their own recognizance and later adjudicated before the data collection period ended. The number and rate of alleged new offenses committed by these clients were then compared with the similar figures for clients released to the supervised release program and for clients released on bail during the same period. Table 2 indicates the results.

TABLE 2

Alleged New Offenses Committed During Pre-Trial Period

	<u>New Offense</u>	<u>No New Offense</u>	<u>Total</u>
Pre-Trial Release	50 (7.9%)	583	633
Bail	26 (8.8%)	268	294
Supervised Release	45 (16.8%)	223	268

As the table indicates, the pre-trial release component was successful in meeting its objective of maintaining public safety. The new offense rate for pre-trial release clients was marginally lower than the rate for persons released on bail and significantly lower than that for persons released to the supervised release program.

An earlier evaluation of the pre-trial release program, summarizing the results of the program from its inception in 1964 through 1969, compared the new offense rate for persons released on their own recognizance with the rate for persons released on bail. The result was similar to that reached in the February 1974 evaluation. Specifically, only 6.45% of

those persons who were released on their own recognizance and later adjudicated during the period of evaluation were alleged to have committed a new offense during their pre-trial period (89 out of 1379). On the other hand, 10.83% of all persons released on bail committed new offenses prior to their adjudications (46 out of 426).

Appearance Rate: The 1974 evaluation compared the number of persons who were released on their own recognizance and who failed to appear for adjudication with the number for both the supervised release component and for those who were released on bail. The results appear in Table 3.

TABLE 3

Appearance Rates for Pre-Trial Groups

	<u>Appeared</u>	<u>Failed to Appear</u>	<u>Total</u>
Pre-Trial Release	625	8 (1.3%)	633
Bail	274	20 (6.8%)	294
Supervised Release	254	14 (5.2%)	268

As indicated in Table 3, the failure-to-appear rate for pre-trial releasees was lower than the rate for those released on bail and lower than the rate for those released to the supervised release program.

The success of pre-trial release in achieving a low failure-to-appear rate was also demonstrated in the earlier 1964-1969 evaluation. This evaluation found that the failure-to-appear rate for clients in the pre-trial release program was 1.68%, while the comparable rate for those released on bail was higher, 3.2%.

Conviction Rate: The 1974 evaluation compared the conviction rate for those released to the pre-trial release component with the comparable rates for those released to the supervised release component, for those released on bail, and for those detained in jail prior to trial. The conviction rate was defined as the percent of adjudicated persons who were convicted of at least one offense. The results (as displayed in Table 4, below)

indicate that, although the highest conviction rate was for pre-trial releasees, there was no significant difference among any of the four categories.

TABLE 4

Conviction Rates for Pre-Trial Groups

	<u>Convicted</u>	<u>Not Convicted</u>	<u>Total</u>
Pre-Trial Release	419 (66.2%)	214	633
Bail	179 (60.9%)	115	294
Supervised Release	157 (58.6%)	111	268
Jail	97 (62.2%)	59	156

The earlier, 1964-1969 evaluation compared the conviction rate of pre-trial release with the comparable rate for those released on bail. In that study, the pre-trial release rate was actually lower (50.3%) than the bail rate (72.1%).

Incarceration Rate: The 1974 evaluation indicated that only 4.3% of those persons released on their own recognizance and later convicted were eventually incarcerated. This incarceration rate was far lower than the comparable rate for convicted persons who had previously been released to the supervised release component, released on bail, or detained in jail prior to trial. Table 5 displays the relative rates.

TABLE 5

Incarceration Rates for Convicted Persons

	<u>Incarcerated</u>	<u>Not Incarcerated</u>	<u>Total</u>
Pre-Trial Release	18 (4.3%)	401	419
Bail	25 (13.9%)	154	179
Supervised Release	37 (23.6%)	120	157
Jail	59 (60.8%)	38	97

As indicated in Table 5, the incarceration rates for persons who were released prior to trial (pre-trial release, supervised release and bail) were significantly lower than the rate for those persons detained in jail prior to trial. Although there may be many reasons for this substantial disparity in rates, one possible explanation is that pre-trial detention in and of itself is a factor which influences judges to incarcerate a convicted defendant.

2. Supervised Release

Community Safety: As indicated above in Table 2, 16.8% of all persons who were released to the supervised release component and who were adjudicated prior to the termination of the data collection period were alleged to have committed new offenses during their pre-trial period. This new offense rate was higher than the new offense rate for pre-trial releasees and for bail releasees.

Although supervised release cannot, therefore, be adjudged completely successful in meeting the community safety objective, it should be noted that over 40% of the new offenses allegedly committed by the supervised release group was committed by persons who either were initially rejected by the supervised release program or whose participation in bail release or pre-trial release was subsequently revoked. This fact indicates that initial judgments made in either rejecting clients or revoking their previous release status are generally better than subsequent decisions. If the initial judgments had been followed, the supervised release program would have achieved a far better community safety record.

The results of the more limited earlier evaluation, which was completed in May 1973 but which utilized different criteria and objectives than the February 1974 evaluation, generally support the results detailed in Table 2. The May 1973 evaluation showed that the new offense rate for clients released to the supervised release component was 23.3%, while the new offense rate for bail releasees was slightly lower (20.7%). But those defendants rejected by the project but later released on bail had a significantly higher re-arrest rate (34.4%).

Resource Utilization: The February 1974 evaluation revealed that the level and variety of utilization of community resources were extremely high for the supervised release component. During the 1973 data collection period,

415 community services were utilized by 269 clients; these services were focused primarily in the areas of psychological evaluation and treatment, employment and vocational upgrading, and education. These 415 services were provided by 42 outside community agencies.

Social Effectiveness: The February 1974 evaluation indicated that the supervised release program measurably increased the extent to which its clients functioned productively and lawfully within society. New educational diplomas or degrees were received by 6.4% of all clients for whom data was available during their period of assignment to the component. Moreover, while only 50% of the program's clients were employed at the time of arrest, 80.3% were employed during their period of assignment to supervised release. Finally, the average client earned \$1,433 in wages during his period of assignment.

Appearance Rate: As indicated in Table 3 above, supervised release was successful in achieving a low failure-to-appear rate. Only 5.2% of all persons assigned to the program failed to make their court appearances. Although this rate was higher than the rate for pre-trial release, it was lower than the failure-to-appear rate for bail releasees (6.8%).

The earlier evaluation of supervised release, which was completed in May 1973, corroborates the results listed in Table 3. That evaluation showed that the failure-to-appear rate for persons released to the supervised release component (1.8%) was approximately the same as the rate for those released on bail (1.1%). (Recent increases in failure to appear rates reflect an upgrading of data collection techniques.)

Conviction Rate: As indicated in Table 4, the supervised release program was effectively able to screen out some persons who were eventually convicted. The conviction rate for persons assigned to supervised release and subsequently adjudicated was actually slightly lower (58.6%) than the conviction rate for those assigned to pre-trial release (66.2%), for those released on bail (60.9%), and for those detained in jail prior to trial (62.2%).

Once again, the earlier evaluation of supervised release that was completed in May 1973 contained similar findings. The conviction rate for persons assigned to supervised release and later adjudicated was very slightly lower (63.8%) than the conviction rate both for persons released on bail

(64.0%) and for persons detained in jail prior to trial (71.4%).

Incarceration Rate: As indicated in Table 5, the results of the February 1974 evaluation showed that 23.6% of the clients who had been assigned to the supervised release component and later convicted were eventually incarcerated. This incarceration rate is significantly higher than the incarceration rate for pre-trial releasees (4.3%) and bail releasees (13.9%). However, one must bear in mind that supervised release is a program designed for "higher-risk" defendants who do not qualify for pre-trial release. Thus, it is logical that the incarceration rate for supervised releasees is fairly high. Further, as Table 5 indicates, the incarceration rate for supervised release is far below the rate for those detained prior to trial in jail (60.8%). As mentioned above, the extremely high incarceration rate for those detained in jail prior to trial indicates that pre-trial detention may itself be a factor which influences judges to incarcerate a convicted defendant. Thus, supervised release, by freeing a person prior to trial and letting him build a "track record", may reduce the sentencing inequities which result when a person awaiting trial is incarcerated.

The earlier evaluation of May 1973 reinforces the results of Table 5. In this earlier evaluation period, the incarceration rate for those assigned to supervised release (18.9%) was far below the rate for those detained in jail prior to trial (37.5%), but was higher than the rate for those released on bail (9.9%).

3. Probation

Community Safety: The February 1974 evaluation analyzed 232 clients who were released from probation during the evaluation period of 1973. During this period, 31.5% of these clients allegedly committed new offenses. Over one-third of these alleged offenses were felonies.

This number of alleged new offenses (73) is high, and it indicates that the probation program was not completely effective in meeting its community safety objective. However, it should be noted that a majority of the clients assigned to probation had been convicted of felonies, and, further, that these clients had contact with their supervising probation officers for only a short period of time. Because the opportunity to commit criminal offenses

is significantly greater for probation clients than for clients of more restrictive correctional programs, it is not surprising that the new offense rate for probation was so high.

Resource Utilization: One of the primary features of community-based corrections programs is the greater use of existing community resources which such programs permit. The probation program was extremely successful in placing its clients in educational, vocational, treatment, and counseling services.

One hundred and twenty (120) or 52% of all persons terminated from the probation component during the evaluation period received one or more community services. A total of 305 services were provided by 50 different agencies and programs. Approximately one-third of the services were work-related (employment or vocational), and another one-third involved counseling or psychological, drug, or alcohol treatment.

Social Effectiveness: As indicated above, social effectiveness measures the successful integration of a client into the community and is measured primarily by means of examining the employment and educational achievement of the client while on probation. Clients whose probation is revoked or who are transferred to more restrictive correctional programs cannot be considered to have been successful in functioning legally and productively within society. Thus, the social effectiveness of the probation program was determined by comparing the pre-assignment and post-termination educational and employment characteristics of clients who were favorably terminated from probation.

A limited amount of educational upgrading occurred for the 169 clients who were favorably terminated from probation during the evaluation period. Twenty-two (22) service referrals were made to educational programs, and 16 new diplomas or degrees were received by these successful probation clients.

Increases in employment and occupational levels were more dramatic. The employment rate increased among program clients from 67% at the time of assignment to 83% at the time of termination. Moreover, a significant shift occurred in the movement of workers from unskilled occupational

categories into the semi-skilled and skilled categories. Between the time of assignment and time of termination, the number of semi-skilled workers increased 68% and the number of skilled workers 43%.

Correctional Effectiveness: The ultimate objective of the probation component is to release to society clients who will commit no additional criminal acts. Thus, correctional effectiveness was measured by identifying new offenses committed by clients after they were terminated from the probation program. All new offenses which were alleged to have been committed by terminated clients between their date of termination (on or after January 1, 1973) and December 15, 1973, were included in the study. However, since the arrest records of the state of Iowa Bureau of Criminal Investigation were not made available, the February 1974 evaluation included only those new offenses which were committed or alleged to have been committed in Polk County.

The evaluation indicates that the probation program was successful in achieving correctional effectiveness. During the evaluation period, only 26 of the 232 terminated clients (or 11.2%) allegedly committed an offense. Of these 26 clients; only 6 (or 2.5%) were charged with an indictable offense (4 were charged with felonies and 2 with indictable misdemeanors).

4. Community Correctional Facility

Community Safety: During the period of evaluation, 171 clients were assigned to Fort Des Moines, and 116 of them were terminated. Only 16 of these 116 clients (13.8%) allegedly committed offenses while assigned to Fort Des Moines. Of the 16 alleged new offenses, 14 were felonies, one was a misdemeanor and one was an indictable misdemeanor. Most of the offenses related to absconson from the program, and none involved acts relating to property, sex, public morals, children, or drug abuse.

The one alleged new misdemeanor offense occurred after 62 days of assignment to the program, while the one indictable misdemeanor was charged after 88 days in the program. The clients charged with new felonies committed the alleged offense an average of 124 days after entry into the program.

These statistics demonstrate that the community corrections facility

was very effective in achieving community safety, despite the fact that many of the clients exhibited "high risk" characteristics such as prior convictions, unemployment, and a history of drug or excessive alcohol use. A prior evaluation, prepared in July 1973 and covering an 18-month period, reached the same conclusion. Specifically, it also found that only 13% of the program's clients allegedly committed new offenses while assigned to the residential facility.

Resource Utilization: In 1973, the clients of Fort Des Moines received 195 services from a total of 37 community agencies. The typical client who participated in community service training or counseling received an average of 2.5 referrals from the facility. During this period, the program increasingly focused both upon maintaining or upgrading the employment of persons who were already employed at the time of their assignment to Fort Des Moines and also upon obtaining employment for those who were unemployed. A majority of the services (54%) dealt with employment, education, and vocational training. In general, it appears that the services provided through the community corrections facility were tailored to meet the special needs of the individual client and that a substantial number of outside resources were frequently utilized by the facility.

The earlier evaluation of the community corrections facility, completed in July 1973, also found that the program was effectively utilizing outside community resources. The typical client studied during this 18-month evaluation received an average of 3.25 outside referrals. Most of the referrals (53%) concerned employment, education, and vocational training, though a significant number (18%) in this earlier evaluation related to drug or alcohol treatment.

Social Effectiveness: The February 1974 evaluation found that the community corrections component was successful in increasing the educational and employment levels of its clients. The evaluation analyzed only those clients who were favorably terminated from the program. The 32 clients unfavorably terminated were transferred to other correctional institutions or to jail and were obviously not successfully integrated into the community.

As a result of educational referrals, 14 clients received new diplomas or degrees, while 6 others were actively engaged as students at the time of termination. The community corrections facility was also extremely successful in increasing employment rates and occupational levels for its clients. The employment rate for clients rose from 63% (41 out of 65) at time of assignment to the facility to 95% (62 out of 65) at time of termination. Further, an appreciable employment upgrading into the semi-skilled category occurred during assignment to the facility; the number of workers at this level increased from 20 at time of assignment to the program to 30 at the time of termination. Moreover, a significantly larger proportion of clients relied on their own employment as their primary income source following favorable termination from the program than at the time of assignment.

Once again, the earlier evaluation of July 1973 confirms the finding that the community corrections facility achieved its objective of social effectiveness. During the 18-month evaluation period, 23 new degrees were earned by clients, and the number of students increased from seven at time of assignment to 24 at time of termination. Further, employment rates increased dramatically from 40% prior to commitment to 76% after release. And, finally, the earlier evaluation indicated that the number of clients whose own employment was the primary source of income increased significantly over the period extending from before commitment to that following release.

Correctional Effectiveness: The 1974 evaluation studied the records of the 116 clients terminated from Fort Des Moines during 1973. Of these 116, 23 (19.8%) were charged with new offenses. However, only 13 of these clients (11%) were charged with indictable offenses. The average length of time between termination from the program and the time of the alleged first offense committed by a former client was approximately 6 1/2 months.

The 1974 evaluation also analyzed the new offense rate for clients released prior to 1973. Of the 246 clients released by Fort Des Moines before 1973, 101 (41%) were charged with new offenses, and 53 (21%) were charged with indictable offenses. The average period of time between release and the

commission of an alleged offense was 19 months.

These statistics indicate that the rate of new offense allegations is likely to increase over time. However, pending the broadening of data collection to include all offenses committed within the state of Iowa, the February 1974 evaluation tentatively concluded that the community corrections facility was successful in achieving correctional effectiveness. Probably the most important conclusion of the evaluation was that the community correctional facility was effectively dealing with clients who had high-risk characteristics (such as prior convictions, unemployment, and drug or excessive alcohol use). High-risk clients were charged with no more new offenses subsequent to their period of assignment than were clients with no prior convictions, more substantial employment history, and a relatively minor history of drug or alcohol use.

The earlier evaluation conducted in July 1973 generally contained similar findings as to correctional effectiveness. However, the earlier study made no attempt to describe the new offense allegations on the basis of the most serious offense alleged against each client, and also did not distinguish between indictable and non-indictable offenses. The February 1974 evaluation avoided these limits and provided a more realistic appraisal of the correctional effectiveness of Fort Des Moines.

Financial Effectiveness of the Des Moines Program

Evaluations of the Des Moines project indicate that it has been successful in achieving its programmatic objectives. But another test of any correctional program is its financial effectiveness: how much do various elements cost, and what costs would be incurred if the program did not exist?

Correctional cost is generally calculated in two ways. Many correctional projects calculate an average "cost per day" for each client assigned to that project. Others estimate the average length or term of a client's participation in a component, multiply the average term by the cost per day, and arrive at an "average cost per term" for each client assigned to the component. The rationale behind using the average cost per term rather than the average cost per day is that many correctional programs

provide intensive treatment which is very expensive on a daily basis. However, these same programs enable clients to be released into the community earlier than less intensive programs and, therefore, are less expensive over the entire term or length of the program.

The February 1974 evaluation estimated both the per day and per term cost of all four Des Moines components, as well as the cost of the Polk County jail and four state-operated correctional programs. Costs for central administration were allocated proportionately to all components of the Des Moines project and also to all state-operated programs. None of the cost estimates included capital expenditures. Table 6 displays the cost per day, the average length of terms, and the cost per term for each of the Des Moines components and for the other correctional alternatives.

TABLE 6

1973 Costs (Per Day and Per Term) for the Des Moines Project,
for the Polk County Jail, and for Programs Run
by the State Bureau of Adult Correction Services

	<u>Cost Per Day</u>	<u>Average Length of Terms (Days)</u>	<u>Cost Per Term</u>
1. Des Moines Project			
Pre-Trial Release	\$ 0.44	51.7	\$ 23
Supervised Release	4.84	99.3	481
Probation	1.08	359.4	388
Men's Community Corrections Facility	20.16	107.9	2,175
2. Polk County Jail	\$10.49	47.8*	\$ 501
3. Bureau of Adult Corrections			
State Penitentiary	\$17.04	693.0	\$11,809
Men's Reformatory	18.07	693.0	12,523
Parole and Probation	1.09	468.0	510

*This figure applies only to persons awaiting trial in the jail.

As indicated in Table 6, the per day costs for both pre-trial release and supervised release are far lower than the per day cost of detaining a person in the Polk County jail prior to trial. With respect to per term cost, the expense of operating the pre-trial release program over an average term is virtually negligible. Further, though the length of time spent in supervised release is more than double the length of time spent in jail by jail detainees, the per term cost of supervised release is still lower than the per term cost of pre-trial detention in the Polk County jail.

Among the post-conviction programs, it is apparent that the per day cost of the probation component of the Des Moines project is virtually identical to the per day cost of the state-operated parole and probation unit. However, because of the shorter average period of assignment to the Des Moines probation component, its per term cost is significantly lower than the per term cost of the state parole and probation unit. Finally, though the community corrections facility is more expensive than the state penitentiary and the men's reformatory on a per day basis, it is substantially less expensive on a per term basis.

Over and above the comparative financial effectiveness of the four Des Moines components, it is also important to calculate the additional funds which would have had to be expended by the county and state correctional systems were there no Des Moines project. The 1974 evaluation estimated that, if the four Des Moines components had not been available, the number of clients assigned to the state parole and probation unit would have been increased by 515 clients per day, population of the Polk County jail would have been increased by 56 inmates per day, and the population of all other men's correctional institutions in the state would have been increased by 133 inmates per day. The actual cost savings permitted by the Des Moines project are estimated in Table 7.

TABLE 7

Cost Savings Resulting from Handling Clients Through the
Des Moines Project Rather than Through Other Programs

Program	Add'l Clients	Cost Per Day	Total Add'l Cost Per Day	Total Add'l Cost Per Year
Polk County Jail	56	\$10.49	\$ 587.44	\$214,415
Probation & Parole	515	1.09	561.35	204,893
Men's Institutions	133	17.55	2,334.15	851,965
			Total Additional Costs	\$1,271,273
			1973 Costs of the Des Moines Project*	<u>817,044</u>
			Total Cost Savings	\$ 454,229

*Costs include women's facility

As indicated in Table 7, the Des Moines project saved the county and state correctional systems an estimated \$454,229 in 1973. In addition, the Des Moines program reduced the financial burden imposed on those accused of crimes. The evaluation report estimated that the pre-trial release and supervised release components enabled defendants to save a total of nearly \$154,000 which would normally have been spent for the purchase of bail bonds.

Beyond these quantifiable savings, the Des Moines program also had other benefits. Clients who would normally have remained in jail prior to trial, those who would have been sentenced to incarceration but for their successful participation in the program, and those who were assigned to probation or to Fort Des Moines were able to continue their existing employment or were helped to find new jobs. And, apart from the importance of jobs in changing client attitudes and behavior patterns, increased client employment led to a wide range of benefits:

- taxes on client wages provided support for local government;
- clients were enabled to continue supporting their families, thus reducing state welfare costs;
- by not removing clients from their spouses and children, marriages were saved, and fewer children became wards of the courts;

- wages earned by pre-trial clients were used to hire private defense counsel, thus reducing the burden on the public defender system.

But perhaps the best indication of the effectiveness of the Des Moines program is to be found at the most pragmatic level. The funding for the Des Moines project has, in the past, come primarily from the Law Enforcement Assistance Administration. However, because of the demonstrated success of the Des Moines program in meeting the correctional needs of the community, the Iowa State Legislature committed itself to providing total funding for the project in future years. And in the 1973 session of the legislature, "community-based corrections" was adopted as the model for future correctional programs for the entire state of Iowa. The policy and financial commitment made by the state legislature to the Des Moines approach was not based on correctional philosophies or theories in the abstract. It was grounded in the simple recognition that the Des Moines program--in both correctional and financial terms--works.

CHAPTER 4: THE DES MOINES COMMUNITY CORRECTIONS PHILOSOPHY

This section of the handbook examines the philosophical or theoretical bases of the Des Moines Community Corrections Program. It discusses the consistent themes that run through all four of the program's components and which integrate those components into a single, coordinated program.

Although the various components of the Des Moines Community Corrections program are tailored to the needs of persons involved in different stages of the criminal justice process, there are several philosophic themes that underlie the program as a whole. These themes, in both implicit and explicit form, constitute the "Des Moines approach" to community corrections. Correctional programs in other communities also share many of the philosophic assumptions of the Des Moines program, but in Des Moines, a conscious attempt has been made to translate a series of correctional theories into an integrated program approach.

There are five key elements in the Des Moines Community Corrections philosophy:

- Coordination
- Individualized Treatment Planning
- One-to-One Counseling
- Employment Emphasis/Job Development
- Use of Existing Community Resources

Coordination

As in most other communities, correctional programs evolved gradually in Des Moines over a number of years. The development of the four Des Moines components took time, and the various components were originally administered by different public and private agencies. The pre-trial release (ROR) component began in 1964, and was originally administered and funded by a private organization, the Hawley Welfare Foundation. Supervised release was publicly funded through the Des Moines Model Cities Program, beginning in 1968, but the component was originally administered by the private National Council on Crime and Delinquency. The two elements of the

probation component--pre-sentence investigations and probation supervision --were incorporated into the program in 1971 from two separate public agencies, the Iowa State Bureau of Adult Corrections and the Polk County Probation Department (which supervised probationers convicted of indictable misdemeanors). Only the community correctional facilities (Fort Des Moines and the Women's Facility) were originally planned, implemented and administered by the Department of Court Services when it was established in 1971.

Although the four components of the Des Moines program took shape at different times and as different administrative units, a key factor in the program's success has been the gradual coordination of the original components. For the past several years, all four Des Moines components have been operated by a single administrative unit, the Fifth Judicial District Department of Court Services.

The administrative coordination of the Des Moines program is displayed in the following organizational chart (Chart 1). The Director of Court Services has administrative responsibility for all four of the program components. Reporting to the Director are two Divisional Directors, one who monitors the operation of Community Services (ROR, Supervised Release, and Probation), and one who has responsibility for Residential Services (the community correctional facilities). Under these Division Directors are the supervisors of the four program components.

Although the Department of Court Services provides correctional programs to all 16 of the counties which make up Iowa's Fifth Judicial District, final administrative responsibility for the program rests with the Polk County Supervisors rather than with the judiciary. All funding for the Des Moines program is routed through the Board of Supervisors of Polk County (Des Moines is located in Polk County), and the Board also hires the Director of Court Services and sets salary levels for Department of Court Services employees.

Although the judges of the Fifth Judicial District do not have direct administrative control over the Department of Court Services, they do

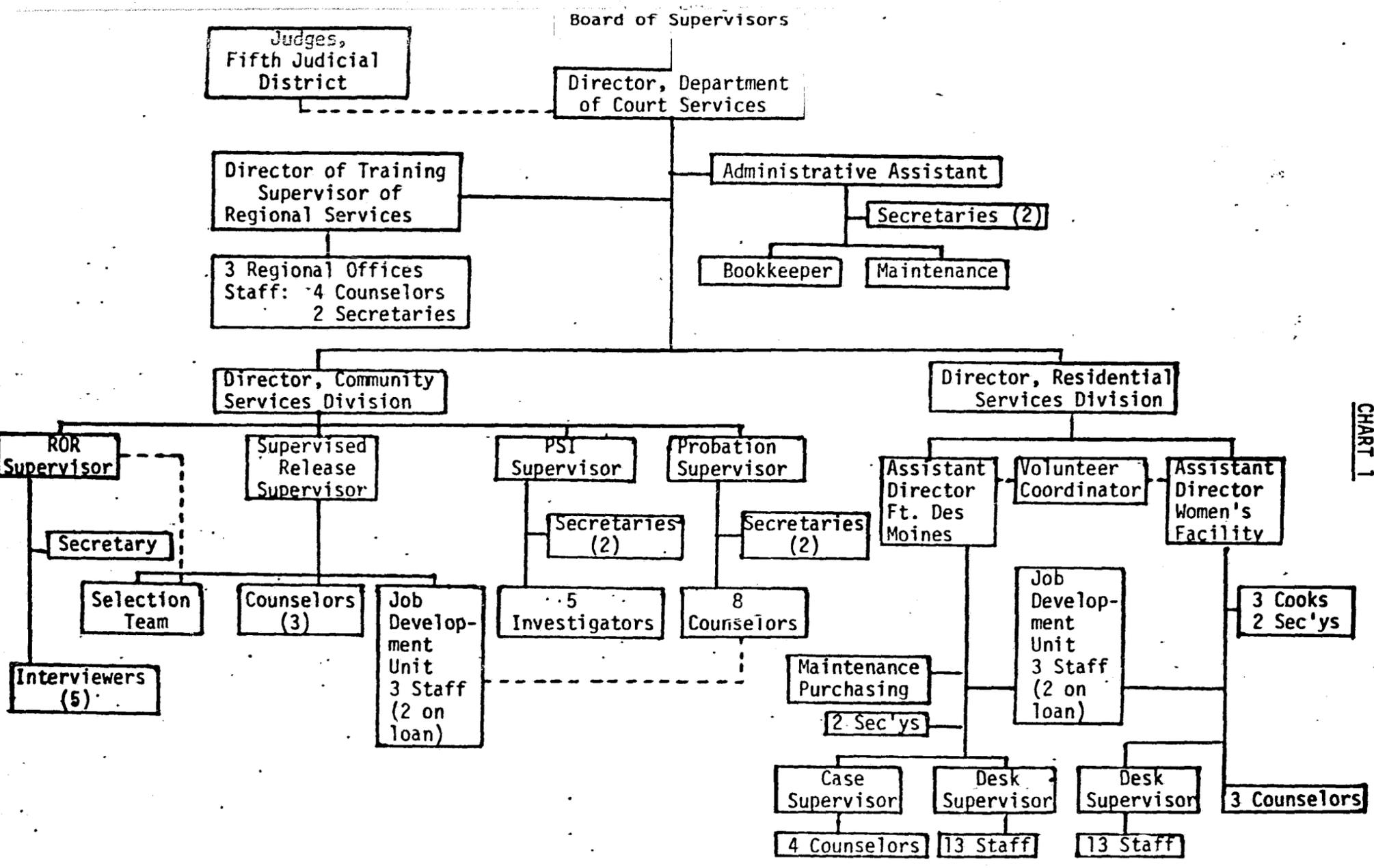


CHART 1

participate--both formally and informally--in the development of policies for the Department. Since all of the four components of the program depend upon judicial cooperation (defendants can be released on their own recognizance or into the custody of local supervised release staff only with the approval of a judge; and only a judge can place a convict on probation or commit him to the Fort Des Moines facility), the staff of the Department of Court Services and the judiciary work closely together.

In addition to the administrative coordination of the Des Moines program which is achieved by having one administrative unit (the Department of Court Services) operate all four correctional components, the program is also functionally coordinated. This functional coordination takes place in a number of ways: information sharing between components is used to provide a continuum of correctional services to persons moving through the criminal justice system; rotation of staff from one component to another is used both to broaden the skills of staff members by introducing them to a wide range of correctional tasks and to make the staff of each component more sensitive to the needs of clients and staff alike in each of the program's four components; weekly staff meetings and a departmental newsletter are also used to bring the staff from all four components together and to inform them of the procedures, problems, and successes of other components.

On a day-to-day basis, the functional coordination of the Des Moines program goes to the heart of what an integrated community corrections program is all about. For example, when a defendant is interviewed for possible release on his own recognizance, an interview form (see Chapter 3) is filled out. This form contains considerable data about the defendant, his place of residence, his employment, the names of his closest friends or relatives, etc. If the defendant does not qualify for ROR, the interview form is given to the staff of the supervised release component. This sharing of information eliminates the need for the supervised release staff to ask the defendant the same questions asked earlier by the ROR staff. It thus gives the supervised release staff a base of information from which to develop a subjective interview.

An extension of this functional coordination can also be seen in the development of client "treatment plans." (Treatment plans are discussed in greater detail below.) When a defendant is released into the custody of the supervised release component, a treatment plan is drawn up with the defendant. It sets out specific pre-trial objectives: e.g., holding a job, receiving marriage counseling, participating in a drug or alcohol treatment program. If the defendant is convicted of the crime for which he is charged, the treatment plan is typically continued during the pre-sentence investigation period. The plan itself, together with other information which program staff has gathered about the defendant, is given to the staff person who is conducting the PSI. A report on the progress which the defendant made during his supervised release period typically is included in the PSI report. After sentencing, this functional coordination continues. If the judge places the offender on probation, the supervised release treatment plan often continues in effect as the probation staff member begins to work with the probationer. The original treatment plan may be modified as the needs of the probationer change, but in each case the new treatment plan draws on information and plans developed by other component staff members. If the offender is sent to Fort Des Moines, the process works in a similar manner. Objective data and treatment plans developed by the staff of other components are sent to the counselor who will be working with the client at the Fort. Earlier treatment plans are modified as short term goals are achieved and new ones are identified.

Functional coordination of the type which takes place in Des Moines can, of course, exist in a correctional system which is not operated by a single administrative unit. And a program which is administratively coordinated may fail to achieve true functional coordination. But the Des Moines experience seems to indicate that a program which combines administrative and functional coordination simplifies the integration of individual correctional components into a unified whole. And the better the coordination, the greater the scope of service delivery. The Des Moines approach emphasizes the provision of correctional services at all stages of the criminal justice process. By coordinating the "flow" of

services throughout that system, the Des Moines program is able not only to serve more clients, but to improve the quality of the correctional services which those clients receive.

Individualized Treatment Planning

Since the pre-trial release component of the Des Moines program is a release-on-own-recognizance project, the only requirement for defendants who are released from jail through the ROR component is that they return for trial; they are not supervised during the pre-trial period. But, with the exception of the pre-trial release component, the other three parts of the Des Moines program provide treatment services to their clients. Thus, the second key element of the Des Moines Community Corrections approach is the individualized treatment planning which takes place in the supervised release, probation and community correctional facility components.

Although different correctional programs mean different things by the word "treatment," the Des Moines program is based upon a very specific treatment philosophy: *treatment should flow from the disabilities of the offender rather than from pre-conceived notions of how to change deviate behavior.* As a result, the program makes use of treatment planning which focuses on the individual defendant or offender and his specific, identifiable problems: e.g., unemployment, educational underachievement, lack of vocational skills, health deficiencies, psychological problems, problems with finance management, or family and marital problems.

When a potential client is referred to one of the three treatment-oriented components, the first question thus becomes: Does the client have identifiable life-style problems which have resulted in a low level of self-esteem and which may lead to negative or criminal behavior in the future? To answer this initial question, project staff make use of a variety of evaluation techniques:

- Client Interview. The first stage in the evaluation of the treatment needs of each client involves an intensive, subjective interview. Unlike the ROR interview, which gathers objective data about the client's employment, residence and criminal justice history, this interview is used to probe the attitudes, problems and concerns of the client.
- Psychological Evaluation. Shortly after the client enters one of the program's three treatment-oriented components, the client is interviewed by a staff psychiatric consultant. The results of this interview are then forwarded to the client's counselor in narrative form. This psychological evaluation serves as one of the key elements in the development of the treatment plan.
- Vocational Evaluation. Each of the three "treatment" components of the Des Moines project also makes use of vocational rehabilitation counselors who are provided to the program on loan from the Vocational Rehabilitation Services Division of the Iowa State Department of Public Instruction. Through the use of these counselors and through access to other comprehensive vocational testing and evaluation services, the vocational skills of the client are evaluated and specific vocational needs are isolated.
- Educational Evaluation. The educational level of each client is evaluated in terms of academic aptitude, skills and potential for educational upgrading. In addition to the educational tests administered by staff counselors, the program makes use of the Des Moines Area Community College educational evaluation staff.
- Testing. As part of the client evaluation process, the Des Moines project staff administers vocational and educational

tests, and makes use of three general tests: the Minnesota Multiphasic Personality Inventory (MMPI-Short Form); the Peabody Picture Vocabulary Test (basic comprehension skills); and the Wide Range Achievement Test (phonetic skills).

Each client who participates in the Des Moines supervised release, probation, or community correctional facilities components must sign a basic performance contract as a condition of participation in the program. The performance contract outlines the minimum conditions which the client must fulfill to remain in the program. Failure to abide by contract conditions may result in probation or bond revocation, and may lead to the client's return to jail.

Although each performance contract contains a set of standard clauses, the most important part of the contract is the individualized treatment plan that becomes a part of the contract itself. On the basis of the client interview and the psychological, vocational and educational evaluations conducted after the client enters a project component, a treatment plan is designed by the client and his counselor. Each treatment plan sets out both short- and long-range goals which are specifically tailored to the individual client and which are aimed at helping the client to overcome those conditions and behavior patterns which may lead to anti-social or criminal activity in the future.

Short-range goals typically address the client's most immediate needs: e.g., health care, crisis psychiatric counseling, shelter, clothing, food. To achieve these short-range goals, the Des Moines project staff may refer the client to one or more of the community agencies in and around Des Moines which provide these basic services. Long-range goals typically focus on the need for educational upgrading, vocational training, and employment. As a result, the treatment plan may call for the client's participation in a wide variety of services: drug or alcohol treatment; marital and family counseling; finance management training; intensive, long-term psychiatric counseling; extended medical care, etc. To help the client achieve these long-range goals, the counselor may refer the client to local

educational and vocational programs, to an alcohol or drug rehabilitation program, to medical and psychiatric treatment programs, to marital counselors, or to a wide range of other service agencies. And, most important, the program provides intensive in-house job referral and placement services to every client (see the discussion of job development activities below).

The purpose of the individualized treatment planning used in the Des Moines program is to avoid the preconceived rehabilitation formulae which have often been institutionalized in other correctional systems. By focusing on the specific problems and needs of each client and involving the client in the development of his own treatment plan, the Des Moines program has attempted to eliminate unreal expectations from its treatment approach. Each Des Moines project treatment plan is expected to set out specific actions which the client will take to address specific problems. In this way, the client and his counselor have an explicit set of shared treatment goals to work toward. Through individualized treatment planning, clients and counselors thus develop a specific, case-by-case definition of "rehabilitation," and set realistic goals in order to achieve it.

One-to-One Counseling

The third key element in the Des Moines Community Corrections philosophy is the emphasis on one-to-one counseling. As with individualized treatment planning, three of the four Des Moines components-- supervised release, probation, and the community corrections facility--make extensive use of one-to-one counseling. When a client enters one of the three treatment-oriented components, he is immediately assigned a counselor. It is the counselor's responsibility to coordinate the psychological, vocational and educational evaluation of the client. The client and counselor, working together, then develop the client's individualized treatment plan.

The client/counselor relationship is vitally important to the entire treatment effort. In working with a client, the counselor performs both structured and unstructured functions. The structured functions of the counselor include conducting client interviews, coordinating the testing and evaluation of the client, development of the client treatment plan, coordination of client referrals to local service agencies, the monitoring of the client's achievement of both short- and long-range treatment goals, and the preparation of reports on the client's progress as requested by the court.

In addition to these structured functions, the counselor is also expected to perform a number of unstructured functions as well. One of the elements in the anti-social or criminal behavior of many clients is the client's low level of self-esteem and respect, unwillingness to be responsible, and a general feeling that "no one cares." Thus, an effective client/counselor relationship must be one in which the client comes to understand that someone does indeed "care."

In its most simple form, this means that the counselor should be available--not only during scheduled counseling sessions, not only during office hours--to help the client confront his own reality, his own problems. And it means hiring and training counselors--whether professionals or "street people"--who have the desire and skills to work with clients without assuming either an authoritarian or an "all-accepting" attitude. The goal for counselors in the Des Moines program is to say to the client, both explicitly and implicitly, "We care about you; now you take the responsibility to care about yourself."

Client/counselor contact is maximized in the Des Moines approach. The frequency with which each client meets with his counselor is determined by two basic factors: 1) the amount of supervision and assistance which the counselor feels the client needs; and 2) the size of the counselor's caseload. Clients in the supervised release component typically meet with their counselor about once a week, and counselor caseloads average about 20-25 clients, a level that the staff of the Des

Moines project feel allows for close monitoring and supervision. The caseloads in the probation component average about 65-75 clients, and the staff feels that this level is too high. Even though some probationers (especially those convicted of misdemeanors) require only minimal supervision, the high caseloads are felt to have limited the quality of counseling services. In the Fort Des Moines facility, the client/staff ratio is very low. The component has one staff member for every two clients, and the ability of the staff of the Fort to keep close track of clients is correspondingly high. In addition, the physical design of the Fort Des Moines facility promotes close client/counselor relationships. Counselors at the Fort do not have private offices, and this fact, combined with the lay-out of the facility, forces frequent client/counselor interaction.

To help achieve the honest interchange of ideas and concerns upon which effective counseling must be based, the Des Moines program also attempts to recruit and train counselors who share some of the clients' characteristics. An attempt is made, for instance, to have roughly the same percentage of minority members on the counseling staff as are found among the clients. In addition, the percentage of women on the counseling staff is roughly the same as the percentage of the clients who are women. The program does not, however, assign only minority staff to counsel minority clients, nor exclusively assign women counselors to women clients. But it does attempt to offer a counselor population which is generally similar in demographic terms to the client population.

Given the fact that many of the program's clients have more "street education" than formal education, the Des Moines program also attempts to keep a balance of both professionals and "street people" on its counseling staff. And, although the two types of staff bring different skills to counseling, the salary for professional and non-professional counselors is the same. Although this salary policy occasionally causes some friction among the counseling staff, it is felt overall to have strengthened the ability of the program to tailor its services to the actual needs of its clients. (The salary scale for the Des Moines project may be found in Appendix A of Chapter 3, ADA Form 2.)

The importance of the counseling function in the Des Moines program is underscored by one other administrative policy. Because a good counselor may not necessarily make a good administrator, the salary scale for the program has been constructed so that it is possible for some counselors to make a slightly higher salary than a program supervisor. Thus, good counselors do not need to be elevated to tasks which they do less well simply to achieve higher salaries. This salary policy appears to have worked well in the Des Moines program, and it is one more tangible indication of how much importance is placed on the one-to-one counseling function.

Employment Emphasis/Job Development

The fourth key element in the Des Moines Community Corrections philosophy is the program's emphasis on job development as a means of increasing the level of client employment. Although the Des Moines program attempts to avoid pre-conceived rehabilitation formulae, the exception to this rule is the emphasis on employment. The Des Moines program is based on the clear assumption that the maintenance of a good job is the single most important factor underlying positive changes in client attitudes and behavior. In this sense, the Des Moines program is grounded on a belief in work therapy, and considerable program energies are focused on helping clients to find, secure and maintain good jobs.

Job development services are integrated into the three treatment-oriented components of the Des Moines program. Two coordinated job development units are used--one located in the office which houses the supervised release and probation components; and one located at Fort Des Moines. Each of these two job development units is made up of three staff members: a job developer, a vocational rehabilitation counselor, and a representative of the Iowa State Employment Service. Although the three members of each job development unit work together as a team and strict separation of duties is avoided, the job developer generally is responsible for probing the client's employment history, determining the client's current job skills, identifying the client's own employment goals, assisting the client with job applications and interviews, and

contacting local employers to generate new job openings for program clients. The vocational rehabilitation staff person assists in identifying client vocational constraints, and refers clients who need vocational training to the appropriate local vocational programs. And the staff person assigned to the program by the Iowa State Employment Services office uses a job bank--a list of available jobs which is listed on microfiche and updated each day--to locate those jobs for which program clients are qualified.

The two job development units work closely with the counseling staff of each of the treatment-oriented components. Given the emphasis in the Des Moines program on one-to-one counseling, the counselor serves as the primary contact person for each client. It is the counselor who coordinates the educational, vocational and psychological evaluation of the client, and develops the client treatment plan. Typically, the counselor will refer his client to the job development unit during this evaluation and treatment planning process.

The degree to which the job development unit works with each client is, of course, determined by the employment status of the client. If the client has a job with which he is satisfied when he is assigned to one of the program components, his use of the job development staff may be minimal. In these cases, the job development unit will be used by the counselor on a case-by-case referral basis in much the same manner as he makes use of other community resources. However, many program clients--especially those at Fort Des Moines--do not have jobs when they enter the program. Indeed, some have no employment experience at all, while many others have had a series of unrewarding job experiences, holding a job for only a few weeks at a time. It is with these clients that the job development unit works most closely, often working as closely with the client as does his counselor.

The job development process used in the Des Moines program can best be described by focusing on a typical client entering Fort Des Moines, the type of client who generally needs the most employment counseling and job development assistance:

After a brief orientation period during which the client works with his counselor to become adjusted to Fort Des Moines and to develop his performance contract, the client is referred to the job developer at the Fort. During an initial interview, the client is helped to fill out a standardized "employment record" form used by Iowa State Employment Services offices, and the client's pre-sentence investigation report is reviewed. Through conversations with the client, the job developer begins to probe the problems and successes which the client has had with past employment. The employment aspirations of the client are discussed, and areas in which the client has actual skills are reviewed.

In many cases, clients will inflate their descriptions of past jobs or indicate that they have skills which they do not in fact possess. In these cases, the job developer's role is to help the client gradually to cut away unrealistic expectations and practiced excuses about the reasons for past employment failures. The goal is to help the client to take stock of his actual skills, and to determine whether those skills are adequate to qualify the client for the jobs which he would like to have. If the client has insufficient skills, the job developer helps the client to identify his two basic options: 1) to take a less attractive job for which he is qualified, or 2) to get the educational or vocational training needed to qualify for a more skilled job.

Often, the client will decide to combine these options, by taking a lower skilled job and also participating in educational or vocational training programs. To help the client upgrade his employment skills, the job developer refers the client to the rehabilitation counselor loaned to the Des Moines program by the Vocational Rehabilitation Services Division of the Iowa State Department of Public Instruction. The client may then be enrolled in the local Career Exploration Center, in vocational training programs, in a GED program, or in higher education courses.

Placement of the client in his initial job is coordinated by the job developer who first goes to his own list of employers and employment openings. Since one of the job developer's prime responsibilities is to truly develop jobs, he makes contacts with employers through a variety of means--everything from talking to members of bowling leagues about their firms and job openings, to contacts with employer associations, to "cold turkey" approaches in which the job developer walks into a company, asks to see the personnel director, and explains what the Des Moines project is all about.

If the job developer's own list of employers and job openings does not produce an employment opportunity for the client, the job developer turns to the staff person loaned to the program by the Iowa State Employment Services division. The ISES staff person typically makes use of a job bank system that contains a list of jobs (updated daily) displayed on a microfiche system. The ISES staff person also maintains contact with other staff at the ISES offices to monitor turnover in listed jobs.

When a job is located in which the client is interested, the job development staff helps the client to fill out the necessary application and, in a few cases, attends the job interview. Employers are told that the client is an inmate at Fort Des Moines, but in most cases it is up to the client to decide if he wants to tell his co-workers that he is a convicted offender.

Typical first jobs for clients with little job experience may pay only \$2.00-2.50 per hour, but the job development staff at the Fort is also available to help a client who proves that he can handle a low skilled job move up to a higher skilled, better paying job. After a client is hired, the job development staff makes periodic phone and on-site checks with the employer to find out how the client is doing on the job; if the client is having problems at work, the job developer and the client's counselor often work together to try to find a solution.

Since many Fort Des Moines clients have had no positive job experiences, some clients either refuse to work or seek employment with a half-hearted attitude. To these clients, the job development staff makes it clear that Fort Des Moines is intended only for those who want to work and/or receive additional education. (In a few cases, a counselor may refuse to let a client work if he has a special problem that is felt to require special treatment, but this is the exception to the general rule at Fort Des Moines.) A client at the Fort quickly learns that having a job is a prerequisite for privileges at the Fort. Clients who do not have a job typically do not qualify for such rewards as increased visitation, the ability to leave the building, participation in activities outside the Fort, overnight or weekend furloughs, and, of course, parole. For clients who eventually indicate that they are simply not interested in working, Fort Des Moines is not the appropriate remedy, and these clients are typically sent to another facility (county jail or state prison).

The emphasis on client employment and job development services is reflected in the high employment rates for Des Moines program clients. Since supervised release clients participate in that component for a relatively short period between their arrest and trial, the range of employment services

which they can make use of in that period is limited. Nonetheless, although only approximately 50% of clients entering the supervised release program were employed at the time of their arrest, approximately 80% were employed during their period of assignment to that component. In the probation component, approximately 67% of all clients were employed at the beginning of their probationary period, while 83% were employed at the time of the termination of probation. The results at Fort Des Moines were the most dramatic. Approximately 63% of all clients assigned to Fort Des Moines were employed at the time of that assignment, but fully 95% were employed at the time of their termination. In addition, many clients in each component upgraded their employment--moving to higher paying and more skilled jobs--because of job development efforts. Still others received educational training which opened up a wide range of future employment opportunities.

Because the program provides ongoing job counseling and makes periodic follow-up contacts with employers after a program client has been employed, local employers who have hired Des Moines program clients are generally enthusiastic supporters of the Des Moines approach. Several local firms have committed a number of permanent job slots for program clients. From the employer's view, the counseling back-up services and the fact that Fort Des Moines employees are taken to and from work each day often means that program clients are more dependable workers than other employees.

Although Fort Des Moines clients are driven to and from work each day (because of the location of Fort Des Moines and the inadequacy of public transportation), the counseling and job development staff at the Fort make it clear to each client that it is up to him to take responsibility for keeping his job. Counselors do not wake clients up in the morning to make sure that they make it to work. If a client oversleeps, or misses the van which is to take him to work, he must take the consequences, whether it means a day's lost pay or the loss of the job itself. In each of the treatment-oriented components, the attitude taken toward jobs by the staff is that which underlies the program as a whole. Each client will receive the assistance he needs to get a job (or some other service), but the client is expected to take the responsibility which any employed worker must take to keep his job. Help is provided, but client responsibility is expected.

With clients who have little self-discipline and/or little employment experience, the job development staff typically starts the client out in a lower paying job in a field where high turnover is expected by the employer (e.g., a janitorial job). There are two basic reasons for this approach: 1) clients with no job experience have to learn what working itself is all about before they are ready for a higher skilled job, and 2) if a client who has little job experience fails in a low level job, his failure will not endanger the continuing relationship between the program and local employers who provide better paying, more highly skilled jobs. Simply put, the job development staff attempts to place a client in a job which he can handle. Typically, the client's treatment plan or performance contract will indicate that when the client had shown that he can keep a low level job, the job development staff will help him find a higher paying, more skilled job. In each case, the counseling and job development staff attempt to give the client more and more responsibility through better jobs--but only as the client shows that he or she is ready to handle that level of responsibility.

Given the importance placed on client employment in the Des Moines project, it is fortunate that the unemployment rate in the Des Moines area is less than 4%, a rate significantly below the national average. Clearly, communities which have higher unemployment rates will find it more difficult to develop jobs for clients of correctional programs. However, the Des Moines approach clearly indicates the importance of employment as a cornerstone of any rehabilitation effort. For those clients who have been convicted of a crime, a job becomes a personal resource--providing both income and self respect--which will help the client make the transition back into the community at the end of probation or incarceration. For those clients who are helped to find a job or to get vocational training before trial and then are found innocent, their job is no less a resource--a resource which may prevent a future arrest. The comprehensive evaluation of the Des Moines project indicates that of all the characteristics of the program's clients, the most important in terms of program success is employment. The program's emphasis on client employment and job development activities reflects the importance of that finding.

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1 OF 2

Use of Existing Community Resources

The fifth basic element in the Des Moines Community Corrections philosophy is the program's emphasis on the use of existing community resources. In many communities, correctional services and programs are brought in to the institution itself. Recreational and educational programs are operated in jail, medical services and specialized counseling are brought in to the offender, and jails and prisons may include inmate shops and industries. The Des Moines program takes the opposite approach. It attempts to make the maximum use of those programs, services and resources already existing in the local community. Rather than bring services and programs in to the client, it attempts to get the client out into the community, where the services and programs are offered.

There are two basic reasons for this emphasis on the use of existing community resources: 1) the cost of establishing new services is enormously expensive, and 2) the goal of the Des Moines program is not to help clients learn to function in correctional institutions but to help them gain the confidence and personal skills which will enable them to function more effectively in the community.

The Des Moines program, of course, does provide some services in-house. All three of the treatment-oriented components make use of the services of a consulting psychiatrist, who interviews clients when they enter the program, consults with counselors about specific client problems, and is available in crisis situations. In addition, the program does have two job development units (see above) which include on-loan staff having vocational rehabilitation and job placement skills. But with these exceptions, the majority of specialized client services are provided by agencies and institutions which are independent of the Des Moines program.

Counselors in the Des Moines program bear the primary responsibility for referring clients to the relevant service agencies. During the psychiatric, vocational and educational evaluation of the client and the development of an individualized treatment plan (see above), the counselor is expected to identify those services or programs in which the client will participate as part of his treatment. Each counselor in the Des Moines program has a

list of scores of local agencies and programs which provide services that may be needed by a client. But the counselor is expected to do more than refer to a listing of local community services. As part of his work with a client, the counselor is expected to maintain personal contact with the staff of agencies which are frequently used by program clients. And after a client has been referred to a local agency, the counselor's job is to monitor both the performance of the client in responding to assistance, and the performance of the service agency in providing the needed assistance. Thus, the counselor's job is to act as an on-going advocate for the client as he makes use of local resources, and to help cut through the red tape that may conrain flexible service delivery.

The list of agencies and services to which Des Moines program clients are referred is long and varied. The evaluation of the Des Moines project indicated that the level of resource utilization achieved in the treatment-oriented components was very high. A total of more than 50 separate resources provided over 1,000 services to clients during 1973. Examples of the community services which are most often used by the program are:

- Employment counseling and job placement
- Vocational rehabilitation and training
- Educational upgrading (GED, high school, or community college courses)
- Psychological diagnosis and specialized treatment
- Drug and Alcohol de-toxification, counseling and treatment
- Financial counseling and finance management training
- Medical care
- Legal assistance
- Family and/or marital counseling
- Welfare assistance
- Housing assistance

The decision not to try to build a wide range of services into the Des Moines program was originally based on a simple financial reality: the program could not afford to include a variety of specialized counselors in

its budget. Underlying this fact was the awareness that even if the funds for such services were available, the Des Moines program would be providing specialized services on an intermittent basis, and would likely not provide the quality of services available from a full-time service agency. In addition, since local service agencies are funded to provide services for all community residents, program staff felt that those services should be used by clients of the Des Moines Community Corrections program as well as by other local residents.

The strong emphasis on using existing community resources is also based on a correctional philosophy which has shaped the Des Moines program from its inception. This philosophy is grounded on the recognition that all offenders eventually return to the community. As a result, the Des Moines program is aimed at answering the question: *How can the offender (or defendant) be helped to gain the skills and attitudes that will make his return to the community more successful?* And since the client's reintegration into the community is the goal, the program is based on the belief that client treatment should logically take place in the community itself.

Viewed from another perspective, the Des Moines approach is based on the belief that keeping a person in jail prepares that person only to be a prisoner. As a result, the Des Moines program works with each client in the community in an attempt to prepare the client to cope with and live in that community. And, according to existing evaluations of the Des Moines program, it is an approach that pays off.

END

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