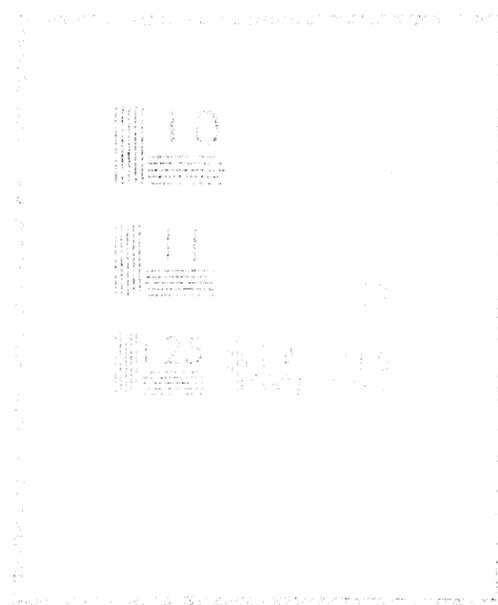


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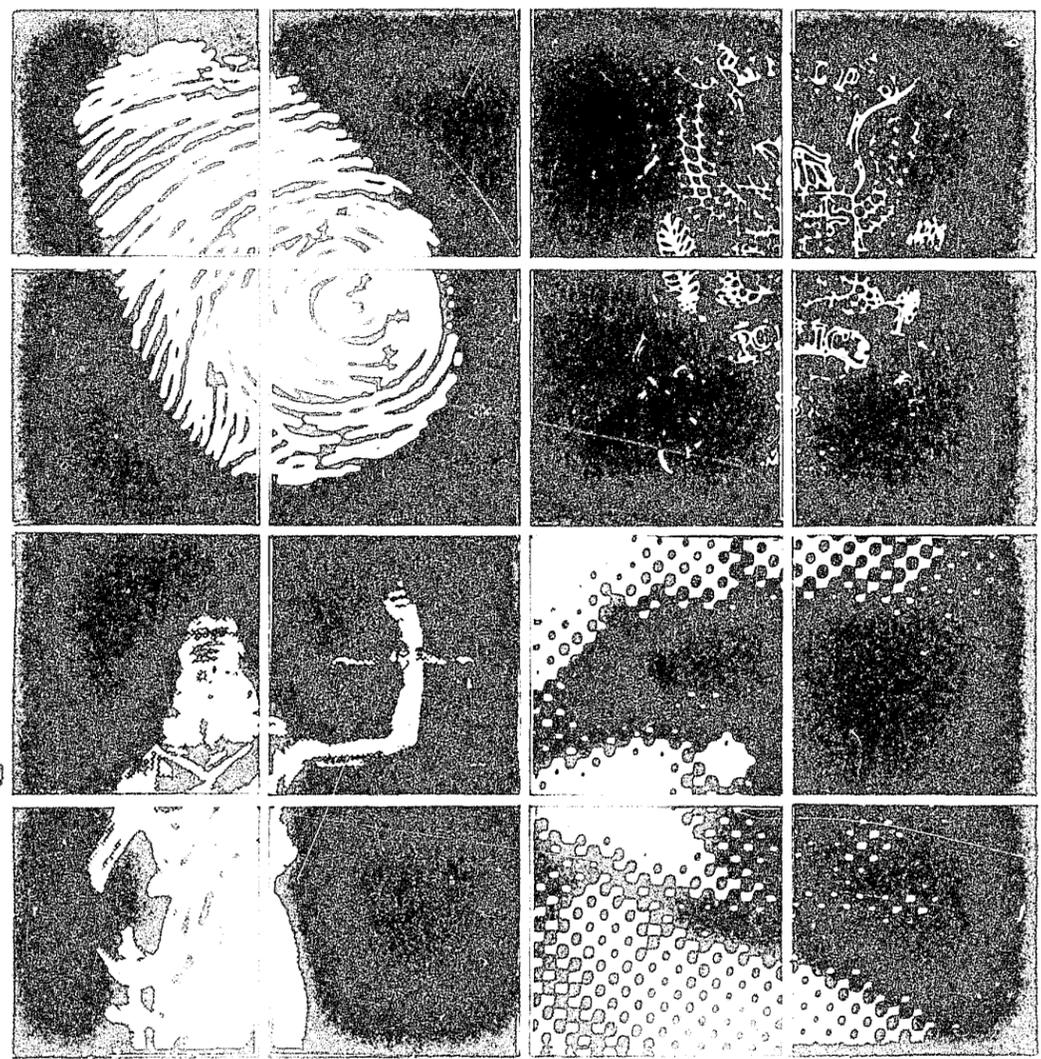
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Under Contract No.
Indiana Criminal Justice Research Center

Publication Date:
December 1976



Institute for Research in Public Safety
School of Public and Environmental Affairs
Indiana University
Bloomington, Indiana 47401

Systems Research
Relating to Justice
Science and Society

EVALUATION OF PROBATION SERVICES AND
VOLUNTEERS IN PROBATION PROGRAMS

Institute for Research in Public Safety
School of Public and Environmental Affairs
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400 East Seventh Street
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FINAL REPORT

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ACQUISITIONS

PREFACE

The evaluation report contained in this volume is based on a review of records provided by the Indiana Criminal Justice Planning Agency, interviews with individuals in 19 probation departments, and a review of such records as were made available by project officials. Data collection has been conducted in two phases, one ending in April, 1976, and the other in September, 1976. Every attempt has been made on the part of the evaluators to present a fair, accurate, and reasonable assessment of the operations of individual Volunteers in Probation and Student Intern Probation Officer Projects, and our apologies are offered in advance to anyone whose remarks we may have misquoted or misconstrued. Obviously, the summary, findings, conclusions, and recommendations included in this final report represent the findings and opinions of the authors, and do not necessarily reflect the position of the Indiana Criminal Justice Planning Agency.

The work presented herein represents the 21st volume in a series of reports presented by the Institute for Research in Public Safety to the Indiana Criminal Justice Planning Agency under the contract to conduct an Evaluation of Probation Services and Volunteers in Probation Programs. The work of the project was done by the project staff listed on the title page, but each member of that staff had a somewhat

different role. Each member did at least one site visit. Ronald W. Drahos assumed responsibility for three especially complex sites, visiting St. Joseph and LaPorte Counties, each of which had three separate grants to be studied, and the City of Gary. Jeff Ripberger was instrumental in the design and testing of the VIP site visit methodology, conducting the first site visit to Jackson County. He subsequently visited project sites in Knox and Allen Counties, and control sites in Porter and Warrick Counties. Rickey L. Stansifer visited projects in Vanderburgh, Jay, and Wayne Counties, and the control site in Rush County. Control site visits to the Columbus City Court and Hendricks County were made by Robert A. Romberg. Rex D. Hume conducted one site visit, provided overall direction for the project, and was the principal author of the Interim Report. This final document, while it bears the stamp of all individuals involved in the project, is the principal work of Mr. Hume and Mr. Ripberger.

The authors are deeply indebted to Mrs. Cynthia Brantner, Evaluation Specialist for ICJPA, for her direction, guidance, advice, and great understanding. Our thanks are extended also to the interviewees whose helpfulness and cooperation made the production of this report series possible. Finally, the authors wish to express a great debt of gratitude to the entire clerical staff of the Institute for Research in Public Safety, without whose substantial efforts these 21

volumes would never have been completed. Special recognition is due to Mrs. Sharon K. Harmon, who typed most of these reports and coordinated the production of others; to Mrs. Wanda Bishop, who took responsibility for coordinating the production of several of the Phase I volumes; and to Mrs. Katherine Siebenthal, who typed and assisted in the production of the remaining volumes.

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1.0 INTRODUCTION

This report deals principally with findings and recommendations arising from site visits to the probation departments of 12 counties and three cities. In all, nine Volunteers in Probation projects and five Student Intern Probation Officer projects were visited, and five probation offices with neither volunteer nor intern projects were used as control sites. Reports on the 14 projects supported by ICJPA grants have been submitted under separate cover. These site visit reports describe in detail the projects visited, the methods of administration employed, the degree to which projects have met their stated goals and objectives, and include assessments of project effectiveness, impact, and comments concerning the financial affairs and survivability of the projects. Separate reports have also been submitted on the control sites containing the baseline information on case-loads, office administration, probation office practices, and other data related to the measures of effectiveness and impact collected at project sites. The present report, therefore, does not describe the individual projects visited, but presents the methodology employed in data collection, findings that are applicable generally across projects, and recommendations concerning possible ICJPA actions in dealing with such projects in the future. Readers desiring project-specific information should, therefore, examine the 19 project reports.

One major caveat related to the findings is in order. While every effort was made to obtain the requisite information at each site, differences in record keeping styles and clear failures to maintain records in some probation departments proved to be a major hindrance. All findings presented here are as accurate as available data permit, and those based on uncertain data have been properly qualified.

2.0 BACKGROUND

Since the focus of national attention on criminal justice has been gradually shifting from the police to correction and the courts, a great amount of attention has been paid to the role of probation in the corrections process and in the criminal justice system as a whole. Consequently, the U.S. Law Enforcement Assistance Administration and the Indiana Criminal Justice Planning Agency have devoted substantial portions of their grant resources in funding a number of experimental projects designed to improve the quality of probation services, to expand the scope of functions of probation departments, and to test several variations on traditional probation to see if they appear to be effective at reducing the recidivism rates among probationers. While this effort has been aimed at probation work in general, a great emphasis has been placed on juvenile probation because of a concurrent concern for across-the-board improvements in the juvenile justice system.

Two major programs funded to improve the quality of probation services are the Volunteers in Probation programs and the Student Intern Probation Officer programs, subjects of this evaluation project. Volunteers in Probation is a part of a national movement towards volunteerism in general, and towards greater lay involvement in the criminal justice system in particular. Student Intern Probation Officer programs, on the other hand, have as their principal goal

the recruitment, training, and screening of potential future criminal justice system personnel by giving college students with a criminal justice or public administration interest first-hand exposure to one aspect of the system in which they can serve a carefully supervised apprenticeship.

The use of citizen volunteers in the criminal justice system is not new. The sheriff's posse is one example of the concept in operation, and has its roots in ancient English tradition. In the American context both parole and probation began as informal arrangements under which prisoners would be released to a citizen volunteer who would accept general supervisory responsibilities for them, and report their progress to the supervising authorities. This model is still used in some jurisdictions, notably some more rural ones, but it is rarely if ever formalized. Volunteers in Probation projects represent an attempt to bring formally into the system citizen volunteers who are willing to devote a portion of their time to assisting a probationer who remains more or less under the direct supervision of a probation officer. In theory, matches between volunteers and probationers are carefully arranged by the probation department or by a coordinator of volunteers employed by the court in order to provide to the probationer some specific element of adult companionship absent in his own experience. The role played by the volunteer could be that of role model, advisor, friend, or authority figure, although the

last is consistently deemphasized. In the case of juvenile probation, assignments to volunteers frequently emphasize the provision of a role model combined with a replacement parent figure.

Volunteers, especially those matched directly with probationers, occupy a curious and sometimes uncomfortable position within the system. They assume many of the duties of probation officers without becoming one, and the scope of their responsibilities is not always clear. To properly understand the role of the volunteer in the probation office, it is necessary to have a general familiarity with probation department operations, and since volunteers are frequently involved in juvenile probation, especially in formal cases, the interface of the police in the juvenile justice area with the probation office is a relevant concern. Discussions of the legal and operational role of court probation departments in Indiana and the role of the police in juvenile justice are presented in the appendices.

Student intern probation officers (SIPO's) occupy a much less ambiguous position. They are normally used by probation departments as deputy probation officers operating under more stringent than normal supervision, so any discussion of the role of the probation officer applies to the student intern.

2.1 The Role of the Citizen Volunteer

As mentioned previously, the citizen volunteer performing work for a court or a probation office occupies a

somewhat unusual position. He frequently performs the supervisory duties of the probation officer; less frequently, he may perform some of the investigatory duties involved in probation work such as pre-hearing investigations, pre-sentence investigations, and bail hearing preparation; he may even substitute for a probation officer in home visits. But the volunteer is not, at least in any of the projects studied under this contract, a sworn probation officer. This factor is considered to be one of the great advantages of the volunteer because it permits him to approach probationers in a non-threatening manner and to offer assistance that appears not to be tied to the law enforcement aspect of the officer's functions. There is, of course, always the implicit threat of sanctions from the probation office against any probationer who refuses to cooperate with a volunteer, but the philosophy of volunteer projects in general is that one main purpose of the volunteer is to reduce the threatening nature of the probation environment by partially insulating probationers from the probation office itself.

The fact that volunteers do not function as deputy probation officers does raise some questions about their responsibilities in handling confidential information, especially when they work in the juvenile area. Volunteers routinely have access to information that is legally confidential, and they presumably have the probation officer's responsibility to maintain that confidentiality. But they

also have routine contact with probationers, and are far more likely than a probation officer to have knowledge of violations of terms of probation, and even of the commission of subsequent offenses. A probation officer, as an officer of the court, would have an unambiguous responsibility to report to the court any knowledge of such violations, but the volunteer's responsibilities in the same situation are ill-defined. In practice, this is an area of judgment on the part of the volunteer which tends to be resolved in favor of the probationer in order to maintain a working relationship for the future. Occasionally, however, probation offices will lay down guidelines for certain situations in which volunteers are to be obligated to report knowledge of subsequent offenses or violations of terms of probation. In such a situation, the volunteer can find himself very easily compromised. On the one hand he is to serve as friend, advisor, and role model to a probationer, and in order to do so he must have that probationer's trust and respect. On the other hand, he cannot maintain confidentiality of information in precisely the areas in which a probationer is likely to need the volunteer's assistance. Almost uniformly among volunteers interviewed in this project, the impact of reporting rules was negligible simply because the volunteers ignored them unless they considered a subsequent violation of a sufficiently serious nature to warrant further court action and the consequent termination of the volunteer-probationer relationship.

The information-handling problem best illustrates the precarious position of volunteer projects in probation offices. Probation departments frequently adopt volunteer programs because they want to either expand the range of functions of the office or to provide a relatively inexpensive way to reduce supervisory caseloads. In the juvenile area the use of volunteers also permits the probation office to reduce formal caseloads by shifting the probation emphases from formal to informal cases, and assigning informal cases to volunteers. At the same time, departments that adopt this approach inevitably lose some control over their clientele, and some chief probation officers are loathe to do so. Faced with ever-increasing caseloads, however, more and more departments are adopting the approach of involving citizen volunteers in the probation process in one way or another. The most popular method employed is the volunteer in probation or volunteer in court project, but many counties have adopted the use of youth service bureaus instead of volunteers in probation. Since youth service bureaus and certain other alternative programs that use volunteers are located physically outside of probation departments they have not been studied here, but they do represent examples of social service agencies that are frequently used to supplement the non-supervisory functions of probation departments around the state.

The typical VIP project is composed of a coordinator of volunteers who reports to the chief probation officer, a clerical assistant of some kind, and a group of citizen volunteers who are recruited, trained, and supervised by the coordinator. Occasionally, however, the volunteer program will be set up in such a way that it is physically and organizationally separate from the probation department; and occasionally, a regular probation officer will serve as the volunteer coordinator in addition to performing other probation office duties. Except in this latter case, volunteers are well-insulated from the probation department by the coordinator and by the fact that they are rarely around the probation office, but some projects in fact use volunteers as general assistants in all phases of probation department work including attendance at hearings and report writing.

2.2 Student Intern Probation Officer Projects

The use of student interns in governmental offices is hardly new, but the organized intern project in probation offices is a relatively recent development. The typical intern is a college undergraduate major in political science, sociology, criminal justice, psychology, social work, or public administration who is interested in a social work or criminal justice career and who has obtained a part-time job as a student intern probation officer. Interns receive a certain amount of on-the-job training from the probation department, and gradually assume most of the normal

duties of a deputy probation officer. Typically, they are treated as part-time personnel.

The normal introduction to the department received by a new intern involves serving first as a clerical assistant to a probation officer while observing the officer in the performance of his normal duties. Gradually, the intern will take over part of the office caseload by taking on duties in specific areas. The most common starting point is in the pre-hearing investigation and home visit area, with the intern conducting interviews and collecting information under supervision of a probation officer. Case supervision will follow shortly thereafter, once interviewing techniques and the duties of the probation officer have been mastered. Unfortunately, some departments insist on using the sink or swim method.

Most probation departments view their interns as supplemental staff to be used to assist in handling excessive caseloads, but the basic philosophy of the intern program statewide is that it should serve primarily as a recruitment tool for the criminal justice system as a whole. Under this philosophy, interns should receive adequate training in whatever facet of probation office work they are to do, and they should gain sufficient experience to permit them to make an informed decision about a criminal justice career. Concomitantly, the department for which the intern works can assess his performance and determine whether or not to

recommend him for whatever job he may ultimately seek. Properly run, the student intern probation officer program statewide will produce a group of individuals who have had adequate exposure to probation work to make an informed decision to enter that as a career, who have relevant job experience in the criminal justice system, and whose performance has been properly evaluated both by professors in their academic field and by a probation department. This pool of trained, potential career criminal justice officials should serve to provide the state's future needs for competent personnel in the field, to reduce attrition rates among junior criminal justice personnel, and gradually, to upgrade the quality of individuals recruited into the system.

3.0 METHODOLOGY AND PROJECT OVERVIEW

The methodology employed in this study can be divided into three major components: review techniques employed to assess the degree of technical compliance with ICJPA regulations; the site visit methodology employed in the on-site evaluation of Volunteers in Probation programs and intern projects; and the methodology of project/control site comparisons.

3.1 Technical Compliance

The degree of technical compliance assessed at this stage of the contract relates primarily to the proper completion of applications for grants, the extent to which reporting requirements were met, and the extent to which reports in fact relate project activities to the goals and objectives originally proposed. This subsection presents the criteria against which technical compliance was assessed. The findings were included in the Interim Report.

In order for the ICJPA corrections coordinators to be able to properly assess the quality of a grant application and the probability that the proposed project will actually function according to the intent of the program to which application is made, certain minimum information is needed on the face of the grant application itself. The method of presentation of that information is important to the process of application review. An application should of course

specify the period of time over which a grant is to operate; it should identify clearly the population to be served by the proposed project, giving relevant characteristics of that population as well as its size; and the true cost of the project, estimated as closely as feasible, should be presented. The specification of program time period is normally not a problem, since ICJPA mandates that most projects of this type be funded one year at a time. However, a grant application should present a plan for a project over a longer period of time than the original funding would cover. ICJPA rules require this of applications, but individual projects have varied greatly in the degree to which they lay out a detailed long-range plan. The definition of the population to be served is a similar problem. The statement that the citizens of a county, or the clients of a court are to be served is by itself inadequate. The precise definition of population to be served should include such characteristics as the number of clients anticipated to be served by the project, the nature of those clients (by age, type of offense charged or committed, on informal or formal probation, etc.), and projections of trends in the numbers of different types of clients, especially if the project itself is expected to generate new clients or reduce their numbers. For example, certain intern projects are established in order that the number of informal juvenile probationers handled by the department can be expanded. In such a circum-

stance, the current clientele of the project is relevant but of primary interest is the new clientele to be recruited and served by the proposed project. The characteristics of this clientele that are relevant in determining the ways in which they are to be recruited and treated should be carefully detailed in a grant application.

A fairly precise definition of need for the proposed project should also be presented in the grant application. Such a definition of need includes the presentation of a criminal justice problem which, as far as possible, should be stated in quantifiable terms. The specific type of crime or criminal behavior involved in the problem identified should be defined in such a way that it lends itself to solution.

The statement of project purpose should include a logically expressed goal which addresses the problem defined in the needs section. It should precisely identify the types of crime to be prevented and the types of behavior to be modified. Where at all possible, the amount of effect feasible and desired impact should be included.

Project objectives should be logically stated and quantified, and the objectives taken as a whole should potentially lead to meeting the stated goals and hence to the solution of the identified problem. Project description and specification should include an outline of the means of describing and reporting project progress. At a minimum, this

section should state which project official will perform monitoring tasks, the quantitative measures which will be recorded and used for evaluation purposes, and the method to be employed in maintaining project records sufficient to provide those measures.

Action steps should be stated logically in an appropriate sequence and in such a manner that the time required to perform them is realistically presented and the degree of interdependency between steps is demonstrated. The action steps should be logically related to meeting the objectives.

The project budget should indicate the staff requirements of the project, including the number of people to be employed and the number of hours per week or percent of full-time work indicated for each. Salary or wage rates should be included, with anticipated employee benefit expenses carefully specified. Finally, the arithmetic involved in the computations should be correct. Under current rules all other project expenses to which ICJPA is expected to contribute must be presented in detail and properly justified, and the IRPS staff have applied these criteria to the review of project budgets.

In review of quarterly reports, the staff assessed their acceptability and quality by their degree of completeness, and the extent to which progress on each objective reported

was presented in quantifiable terms. Principally, reports should present a statement of progress to date, and a comparison of project progress of that anticipated in the grant application period.

Members of the project staff reviewed the ICJPA files on every project currently funded from the two programs studied under this contract, applying the above criteria to each file, and preparing summary sheets for each project. These summaries were submitted with the Interim Report.

3.2 Site Visits

A total of 15 sites was selected for in-depth review; 10 sites with one or more ICJPA funded projects, and 5 with no intern or volunteer in probation projects. This latter group was used as a control group. The 10 experimental sites were selected on the basis of a review of ICJPA files in order to present a full range of types of projects. Specific site selection criteria included:

- population of county served;
- geographic distribution around the state;
- degree of urbanization of county served;
- presence or absence of reported ties with local social service agencies; and,
- project size, measured in increments of \$5,000.

A representative mix of projects based on the above criteria was obtained, with the exception that site visits were not made to individual counties with sole pro-

jects under \$5,000. Additionally, the grant to the City of Gary was selected because of an information-handling system that had reportedly been developed there.

Sites visited during Phase I of the project include:

- Jackson County Volunteers in Probation;
- La Porte County Superior Court II Volunteers in Probation;
- St. Joseph County Superior Court Volunteers in Probation;
- Vanderburgh County Volunteers in Probation;
- La Porte County Circuit Court Student Intern Probation Officer Program;
- Michigan City City Court Student Intern Probation Program;
- Monroe County Improvement of Probation Services Program (Intern Program);
- St. Joseph County Superior Court Student Intern Probation Officer Program; and,
- St. Joseph Probate Court Student Intern Probation Officer Program.

Projects visited in Phase II include:

- Allen County Volunteer in Court Project;
- City of Gary City Court Volunteers in Probation Program;
- Knox County Intensive Probation and Volunteer Project;
- Jay County Volunteers in Probation Project; and,
- Wayne County Volunteers in Probation Project.

Control sites were:

- The City of Columbus City Court;

- Hendricks County Circuit Court;
- Porter County Circuit Court;
- Rush County Circuit Court; and,
- Warrick County Circuit Court.

In each site visit the evaluator made the necessary appointments with project personnel, did preparation work by reading materials available in the file and by researching the types of problems that might be expected to have been faced by the project to be evaluated. Interviewed at each project (unless absolutely impossible) were the project director, the judge most closely associated with the project, the coordinator of volunteers or immediate supervisor of interns, the chief probation officer, and interns or volunteers, and at VIP projects, 3 probationers. At certain sites other relevant officials were interviewed, such as representatives of prosecutor's office, law enforcement officers, and juvenile referees or commissioners.

Project records, training manuals that might be used for volunteers or for interns, forms used in the project, and estimates of caseload, workload, and other project characteristics were obtained. These data, to the extent that they were available at the sites, are reported in the individual site visit reports.

At the control sites, all information concerning the nature, scope, and extent of probation office operations

relevant to the project sites was collected. In particular, based on Phase I activities it was hypothesized that one impact of both VIP and intern projects was to increase contact between the probation offices and other community service agencies designed to provide services to the same clientele. For example, many of the project sites had developed over the period of their grants contacts with mental health diagnostic and treatment centers, employment services, civic clubs that would assist in providing employment to probationers, youth service bureaus, Big Brothers Big Sisters, Boy's Clubs, Girl's Clubs, and other community service agencies. In many cases, the development of ties with these types of programs and the development of work release programs and other special assistance projects under the auspices of the probation office appear to have been accomplished using the additional labor time provided by student interns and volunteers. At the same time, however, community services in general were experiencing a period of substantial growth, and it is quite possible that the community outreach programs of probation offices were simply a function of the period in question rather than the existence of these ICJPA funded projects. Special attention was paid in control site visits to the whole question of the definition of clientele and of community outreach services in order to determine whether the trends observed at the pro-

ject sites were specific to them, or whether they were the general pattern of the previous five years.

3.3 Intern Project Evaluation Criteria

In the case of intern projects, interviewers obtained basic information concerning activities assigned to interns; the nature of training, orientation, and supervision provided for intern activities; the degree to which the internship is a learning experience; the degree to which it assists interns in making a decision about a career in criminal justice; whether interns would work for as little as academic credit and expenses; whether the interns helped the probation staff in terms of the scope, quality, or quantity of work produced; and to obtain an assessment of the survivability of the project.

Evaluators probed to learn the nature of intern activities in order to determine if the interns were being used to supplement the capability of the probation office staff to perform its normal work, to expand the work, or for other purposes. For example, it was suspected that some interns might be used to perform routine clerical work for departments, or that interns might be used to perform other chores that the regular probation officers didn't like. The breakdown of activities between pre-sentence investigations, formal and informal supervision, report writing, and court or departmental research, was ascertained.

Intern projects were examined to determine the extent to which a true learning experience is provided to the intern, employing criteria related to the areas of training, orientation, supervision, and breadth of experience. The project that meets those goals would provide true in-service training to the new intern, permitting the intern to sit as an observer through different components of the probation process before attempting the activities of a probation officer under close supervision, preferably, at first, in the presence of a supervising probation officer. The work of interns would be carefully reviewed by a probation officer and discussed in detail with the intern, providing the intern an opportunity to argue the logic of material presented in reports and recommendations made. Obviously, the regular probation staff would retain control over final recommendations submitted to the court. Generally speaking, projects that thrust a new intern into the middle of probation office activities without a period of training and orientation were downgraded for failing to adequately prepare the intern and for apparently using the intern simply to reduce the normal caseload of the department.

Intern projects were evaluated on the extent to which they serve as a true recruitment mechanism into the criminal justice system. Ideally, former interns will be experienced probation officers to the extent that they can at

least make an informed judgment as to the viability of a criminal justice system career for themselves. They will also have proven themselves as capable probation officers in the eyes of the experienced officers and judges with whom they have worked, and be able to obtain the recommendations of such people in search of a related criminal justice job.

Interns were asked their own opinions as to the adequacy of their experience in terms of breadth and depth in preparing them for work in the criminal justice system, and they were asked about their desires to go into such work based on their experiences as interns. Judges and probation officers with whom interns had worked were asked similar questions and were asked about their willingness to recommend their former interns for professional positions. An attempt was made to determine how many former interns at each project had in fact entered criminal justice work as a career. The qualifications and backgrounds of interns prior to accepting the Internship were also determined in order to learn if prior experience or particular educational field was a relevant factor in their performance as interns or in their eventual acceptance of criminal justice careers.

In response to interest expressed by ICJPA officials, the question of intern compensation was also raised in order to determine if interns would be willing to perform their duties essentially on a volunteer basis, receiving only ex-

penses and academic credit in exchange for instruction and exposure to probation work.

Finally, as a measure of true viability of the local projects, an attempt was made to determine whether or not the jurisdiction receiving the grant would be willing and able to continue it at local expense once ICJPA funding for the project expired.

3.4 Volunteers in Probation Evaluation Criteria

Volunteers in Probation projects were evaluated along lines similar to those used for interns, but certain subject areas peculiar to the operation of volunteer organizations had also to be covered. The ideal volunteer program, if properly administered, would provide careful recruitment and training of volunteers in order to weed out or to divert into activities other than one-to-one matching, individuals with no true concern for the type of volunteer work they would have to perform.

3.4.1 The Coordinator

The qualities that combine to make a successful coordinator of volunteers are not easily defined. In the four projects studied in Phase I, assessment of the suitability of the coordinator was based primarily on the opinions expressed by volunteers, probationers and the court staff (i.e., judge and probation office personnel), as well as the impressions of the study staff who worked with the coordinator. Ideally, the coordinator should have a background in probation or

parole work and some social service, particularly with juveniles. Experience in managing volunteer organizations is also desirable, since such organizations usually require special handling. Special educational requirements were treated as an open question.

3.4.2 VIP Recruitment and Training

Volunteer recruitment techniques were assessed, with primary attention given to the breadth of recruitment efforts, and their effectiveness in producing an adequate group of usable volunteers. Special attention was paid to organized efforts to recruit through the mass media and local civic groups.

Special care was given to the assessment of the training and orientation of volunteers, since, in practice, the normal volunteer has no related experience and must be given an in-depth and accurate picture of problems likely to be faced in performing this type of work. Such training is especially important for volunteers to be used in one-on-one matching projects. In such situations there are likely to be no other experienced volunteers present when problems arise. When volunteers are used for activities other than one-on-one matches, the relevance of their experience, if any, and the appropriateness of any training provided to the task were assessed.

3.5 Effectiveness and Impact Assessments

In conducting evaluations of both intern projects and

volunteer projects, the site visitors examined the administration of the project and the qualifications and apparent competence of project personnel as described above. An attempt was then made on the basis of available project data to evaluate the effectiveness and impact that the project has had. Effectiveness, for this purpose, was defined as the degree to which project goals were in fact met. For example, if the statement of project goals in the grant application included the reduction of recidivism by a particular amount or the production of a recidivism rate below a certain figure, then the extent to which that particular goal has been met by the project is one measure of effectiveness used in the site studies. Similarly, such objectives as recruiting specified numbers of volunteers and serving specified numbers of probationers in various types of activities were used as the yardsticks against which to measure actual project effectiveness. The degree to which the objectives themselves are realistic was also assessed. A project was rated as fairly effective if it met those non-trivial objectives that could realistically be achieved, even if it fell short of achieving all those stated in the application.

The impact evaluation portion of the project assessed the degree to which the activities funded by a particular grant affected the criminal justice system and agencies with which it interacts. For example, while a reduction in

recidivism rates would be rated as a measure of effectiveness, that reduction would have an impact on the workload of the police, the courts, and the probation office itself. To the extent that a volunteer project or an intern project increased the probation department's capability to utilize diagnostic services and to refer probationers to available community resources such as the Employment Security Division's employment services, the Department of Public Welfare, drug and alcohol abuse diagnostic and treatment centers, Youth Service Bureaus, and other relevant agencies, it impacted upon other components of the community. Available project records and interviews with project participants were utilized in defining the nature and extent of any such impact a project might have.

Finally, site visitors attempted to become thoroughly familiar with the operations and problems associated with each project and with the operation of each type of program. The objective was to assist in the design of an intern program and a volunteers in probation program grant application criteria, and to assist the ICJPA in the definition of data collection requirements in order to permit more systematic monitoring and evaluation efforts in the future. Problems shared by different projects have received particular attention in order to identify areas of need for technical assistance and training that might be organized on a multi-project or multi-county basis, and perhaps even statewide.

4.0 GENERAL FINDINGS

4.1 VIP Projects

In accordance with the research design, five sites were selected in which no VIP or intern program had been funded by ICJPA. These sites constituted a matched control group and served as a basis for comparison with the nine experimental sites (i.e., those with VIP programs) studied. The control sites were selected randomly from groups of counties, categorized by the size of their respective probation offices. The three categories used were: those with only one probation officer; those with two, three, four or five officers; and those having six through ten officers. (It had been previously determined that county probation offices having more than ten probation officers also have some kind of project funded under the program area being evaluated.) Because of the nature of recommendations made in the interim report on this project concerning funding of Intern and VIP projects in one-officer departments, only one county (Rush) in that class was drawn. Likewise, since there are only four counties in the six-to-ten-county class, only one county (Porter) was drawn from that group. The remaining three control sites selected for visits were in counties in the two-to-five-officer class. They were Hendricks, Warrick, and Bartholomew counties. This concentration in the small-to-middle-size departments appeared justified by the perception of the study staff that any impact of VIP projects

is more likely to occur in departments of this size. It was therefore decided that this size probation department warranted somewhat more attention and required more careful study for purposes of obtaining a basis of comparison, since the greatest variation in departmental procedures was expected in this group. The rationale behind the control site studies was simply to see whether those project-related characteristics or activities common to the experimental sites were or were not present in the control sites.

It had been postulated that the existence of a VIP project would result in one or both of the following:

- (1) VIP sites would have measurably lower caseloads per probation officer than those without such programs, since the volunteers would assume part of the existing caseload; or
- (2) those probation offices which had access to volunteers would be freed from doing only case management, and hence would have time to interface with more community service entities which could support the probation office and the court in the handling of juveniles.

From the data available it appears that neither of these hypotheses held in general, although the variety of activities in which volunteers were used somewhat obscures the issue. In Jackson County for example, VIPs are used strictly for one-to-one, long term counseling with their assigned juvenile. In Knox County, VIPs are similarly used, but all juveniles assigned to the program are also assigned to intensive counseling by a probation officer (thus con-

founding attempts to measure only the effect of the VIP program). In Allen County, the emphasis on volunteer activity is short-term family counseling and pre-hearing background investigating. Very few volunteers are involved in one-to-one counseling. Others are used only for filing and other non-client related duties. In Evansville, some volunteers conduct transactional analysis group therapy sessions, and others assist walk-in clients in finding employment. In LaPorte, volunteers participate in an emergency foster care program, a "minor theft" school, tutorial relationships and craft classes, in addition to one-to-one counseling.

A third problem is the varying criteria employed for deciding which offenders are eligible for referral to the volunteer program. In six VIP sites, only juveniles are referred. In two of the other three studied, referrals are made only for adults. In the third, both adults and juvenile traffic offenders are eligible for referral. Among adult-only sites, only felons and voluntary referrals are accepted at one site, while at the second both adult misdemeanants and felons are referred. In the juvenile-only sites, all accept offenders placed on both formal and informal probation. Most sites also accept voluntary referrals. Juveniles placed in the program can have committed either criminal or status offenses. Two of these juvenile-only sites have accepted adult offender referrals on a limited

basis. In both adult and juvenile sites, some refer only first offenders while others accept second or multiple offenders. In summary, all sites have some criteria, however vague, for referring offenders to their volunteer program. But almost every site makes exceptions for some cases which do not meet their criteria. Obviously these marked variances in referral criteria greatly influence the roles that each project seeks to fill in its relationship to the offender. Recidivism rates cannot, of course, be compared between sites where referral eligibility is so varied. Nor can the rate for a particular site be validly computed where there are no fixed criteria, or where existing criteria are not rigidly adhered to.

4.2 Impact of VIP Projects

Table 4-1 presents selected common data elements for all experimental and control sites. These data were provided by the individual sites, and are frequently estimates. The different ways in which volunteers are used is reflected in the column headed "VIP Activities" and also in "Number of Cases Referred to VIP." In this latter column, certain types of activities do not lend themselves to quantification as referrals. Examples are walk-in employment counseling, craft and vocational training classes, interviewing newly arrested persons to determine eligibility for release on recognizance, or filing.

TABLE 4-1
ARRAY OF SIGNIFICANT VARIABLES: EXPERIMENTAL AND CONTROL SITES

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Experimental Sites																
Vanderburgh	2.75	1,2,3	259	32	9	A-F/Vol	2,3 TA	3	2,4	1	1,2,5,6	2-9	29,999	35	7 yrs	3.78
St. Joseph Superior Court	4	1,2,3	450-475	13	2.8	A-F 6M	2,5	---	2,4	2	1	NA	18,888	15	2 yrs	NA
La Porte Superior Court II	5	1,2,3	706 (1974)	20-26	3.7	J,Vol	1,2 8	2,3	2,3&4	2	1,2,5&8	2,4,7	16,666	40	2 yrs	NA
Gary	NA	NA	NA	35	NA	A-M&J-TFC	Limited 1-1	5,3	3&4	4	1	NA	29,022	55	3 yrs	NA
Allen Sup/Juvenile Ct.	8 in-take 17 Field Svcs.	1,2,3	NA	23 total 35 other	.009 .01	J,F&I	Limited 1-1	3	2,3&4	2	1,2,3, 6,8&9	2,3,5 8&10	39,886	47	6 mos	9.28
Jackson Circuit Court	1	1,2,5	225 (1st 9 mos 1976)	23 (1st 9 mos 1976)	10.2	J,F&I	2,3 4,6 8,7	1	2,3,4 85	2	1,2,68	3&5	8,333	26	3 yrs	NA
Knox County	2	1,2,4,6	178-J	40	22	J,F&I	2,3	3	2,3&4	4	1,2&8	2,3,5&7	10,911	61	3 yrs	30%
Wayne County	3	1,2,3	1020 (est)	75 (est)	7	J,F&I	1&3 3	4	2,3&4	2	3,8&6	3,5,6&8	10,600	46	7 yrs	10% (est)
Jay County	2,5	1,2,4	137-J	15-20	13	J,F&I	3	3	2,3&4	2	NA	3,5,6&7	10,000	NA	2 yrs	NA
Control Sites																
Columbus City Court	2	1,3	80-120	---	---	---	---	---	---	---	1,2,3	3,8	---	---	---	18-20%
Hendricks County	2	1,2,3	J-80 A-40	---	---	---	---	---	---	---	1,3,8	2,3,8	---	---	---	5% (est)
Porter County	2-Ad 4-Juv	1,2,3	514 J's 1st 8 mo (1976)	---	---	---	---	---	---	---	1,2,3	1,5,3,8	---	---	---	NA
Rush County	1+1/2 time Coun.	1,2,3	J-7 A-17	---	---	---	---	---	---	---	1,2,3	11 (one case only)	---	---	---	30% for adults
Marrick County	2	1,2,3	J-201 A-UNK	---	---	---	---	---	---	---	1,2,3,6 8&9	3,4,7	---	---	---	NA

Explanation of Column Entries -- Table 4-1

Column #

1. Location of site.
2. Size of Probation Office Staff. Includes part-time probation officers and counselors. Clerical staff is not included.
3. Range of functions performed by Probation Office.
 - 1 = Intake and/or background investigation of offenders
 - 2 = Case supervision
 - 3 = Counselling, routine
 - 4 = Counselling, intensive
 - 5 = Juvenile Officer
4. Total caseload of Probation Office. For experimental sites, only the caseload from which are selected referrals to the volunteer program are shown. That is, if the VIP program is for adults, only the adult caseload is shown. If only juveniles are referred, then only the total juvenile caseload is given. Figures are for 1975 unless the entry specifically notes otherwise.
5. The number of cases referred to the volunteer program for the same period covered by total caseload.
6. Percentage of all cases referred to the volunteer program, i.e., $\frac{\text{Column 4}}{\text{Column 5}}$.
7. The type of client usually referred to VIP.
A = Adult
F = Felon
M = Misdemeanant
TFC = Traffic Offender
J = Juvenile
F = Juvenile on formal probation
I = Juvenile on informal probation
Vol = Self-referral

8. Types of activities/roles performed by volunteers.
 - 1 = Tutor
 - 2 = Role model/example
 - 3 = Friend
 - 4 = Monitor/authority figure
 - 5 = Information collector/reporter for the court
 - 6 = Family counselor
 - 7 = Parent, either foster or surrogate
 - 8 = Chauffeur/filing/other support
9. Type and time of training for volunteers.
 - 1 = None
 - 2 = Individual training prior to assignment to a case
 - 3 = Group training prior to assignment to a case
 - 4 = Individual training subsequent to assignment
 - 5 = Group training subsequent to assignment
10. Method(s) by which volunteers are supervised.
 - 1 = No supervision
 - 2 = Written reports after contact with assigned client(s)
 - 3 = Verbal reports after contact with assigned client(s)
 - 4 = Periodic meetings of volunteer with coordinator or probation officer
 - 5 = Feedback from client is solicited by coordinator
11. Integration, i.e., the degree to which the volunteer program is absorbed into the everyday operation of the Probation Office.
 - 1 = Total separation
 - 2 = Coordinator is not a member of the regular Probation Office Staff
 - 3 = Probation officer acts as the VIP coordinator
 - 4 = Coordinator is a deputy probation officer
- 12(a). Agencies from which cases are received by the Probation Office and/or volunteer program.
 - 1 = Police agencies
 - 2 = Welfare department
 - 3 = School system
 - 4 = Youth Service Bureau
 - 5 = Other community agencies
 - 6 = Self-referrals
 - 7 = Department of Corrections, parole officer
 - 8 = Parent(s), guardian(s), or foster parent(s)
 - 9 = Detention center or jail

12(b). Agencies to which the Probation Office and/or volunteer program refer clients for additional assistance or treatment.

- 1 = Youth Service Bureau
- 2 = Schools, special programs
- 3 = Diagnostic/treatment services, e.g., community mental health centers
- 4 = Temporary (non-punitive) residential facilities
- 5 = Welfare department
- 6 = Employment
- 7 = Vocational training
- 8 = Socialization/therapeutic groups, e.g., Big Brothers, YMCA, etc.
- 9 = Financial counselling
- 10 = Homemaking counselling/tutoring
- 11 = Pastoral counselling

- 13. Average annual funding (federal, state, and local) received for the volunteer program.
- 14. Number of volunteers qualified through training for assignment to a case.
- 15. Period of time which the volunteer program has been in existence. Usually coincides with the beginning of ICJPA funding.
- 16. Recidivism rates for all cases and also for cases assigned to the volunteer program.

NOTE: The reader is referred to the individual report on each site for clarification or further details regarding entries in this table.

If one rationale for a VIP program is to relieve the regular probation office staff of a portion of its caseload, then the percentage of the total caseload entrusted to volunteers is a measure of how successful the program has been in achieving that goal. By dividing the total caseload (column 4) into the average annual cases referred to VIP (column 5), we derive column 6. It can be seen that the percentage of the total pertinent caseload referred to VIP (where this percentage can be computed) ranges from a high of 22% in Knox County to a low of one-tenth of one percent in Allen County. Such percentages cannot, however, be viewed in isolation from the situation that prevails at the particular site. In the case of Allen County, the "Juvenile Division Annual Report--1975" reflects only one referral to the volunteer program that year, yet project records indicate many more referrals than this received from the court during the same period. The reason for this disparity is unknown.

In the case of Knox County, the VIP coordinator is one of the two probation officers, and provides intensive counseling to each juvenile referred to the VIP program. Accordingly, volunteer efforts in Knox County do not replace the probation officer, they simply augment his attention to VIP-assigned juveniles.

The next highest percentage is Jay County, where 13% of the total caseload is referred to VIP. Here too the probation officer continues to see each probationer in

addition to his/her regular contact with the assigned volunteer. This is true of most of the sites; the probationer must still report regularly to the probation officer, in addition to regular contact with the assigned volunteer. It can be argued then that:

- a. If only a small percentage of the overall caseload is referred to the volunteer program, or
- b. If the referred probationer must still maintain regular contact with the probation office for purposes of monitoring or supervision or counseling,

then the volunteer program has not achieved the goal of reducing the caseload burden of the probation office.

On the basis of the data collected during this study, it is concluded that at least eight of the nine experimental sites which were studied use their volunteers to supplement probation services, rather than using them in lieu of a regular probation officer.

Regarding the second hypothesis, that volunteers allow the probation office to interface with a wider variety of community service agencies, the data in Table 4-1 are more definitive. Column 13 of Table 4-1 indicates the types (but not necessarily the number) of community service to which both experimental and control sites refer their clients. It can be seen that six of seven VIP sites (or 85%) on which these data are available have access to, and use, diagnostic/treatment agencies. Similarly, four of the five control sites (80%) also utilize such agencies.

Four of the seven VIP sites (or 57%) use socialization/therapeutic group agencies. Similarly, three of the five control sites (or 60%) also use such agencies. In the case of vocational training, VIP sites appear to refer offenders to such training more frequently (four of seven, or 57%) than do the control sites (1 of 5, or 20%). This same ratio holds true for referrals to special programs (e.g., remedial reading) conducted by the local school systems. Experimental sites also hold an appreciable edge in referrals to the local Welfare Department: five of seven VIP sites (71%) as compared to only one of five (20%) of control sites. The following table summarizes the "referred-to" data.

Agency Type	VIP Sites		Control Sites	
	N	%	N	%
1. Youth Service Bureau	0	--	1	20
2. Schools--Special Programs	4	57	1	20
3. Diagnostic/Treatment Services (e.g., CMH)	6	85	4	80
4. Temporary Residential Facility	1	14	1	20
5. Welfare Dept.	5	71	1	20
6. Employment	3	42	0	--
7. Vocational Training	4	57	1	20
8. Socialization/Therapeutic Groups	4	57	3	60
9. Financial Counseling	1	14	0	--
10. Homemaking Counseling Tutoring	2	28	0	--
11. Pastoral Counseling	0	--	1	20

In summary, diagnostic/treatment agencies and socialization/therapeutic groups are used equally by control and experimental

groups. Experimental sites do report higher use of five other areas: special school programs; employment; vocational training; homemaking training; and the Welfare Department. It can be tentatively concluded then that the existence of a VIP program does enhance the ability of a probation office to interface with, and use, a greater variety of community service agencies to assist them in reaching offenders referred to the volunteer program.

But here too some caveats are in order. It may be that the experimental sites either had or would have developed these greater interfaces without the volunteer program. It may also be that the use of probation interns played some role in expanding the scope of referral services. Further, in the case of Porter County, referrals are simply made to the local Youth Services Bureau, which then interfaces with a broad array of community service agencies. Thus the site does refer to many agencies, but usually through the YSB. Finally, it may be that other services are used by either control or experimental sites which were not mentioned to the study staff during the site visits.

4.3 Cost Effectiveness of VIP Projects

Using the data from Table 4-1, some general conclusions regarding cost effectiveness can be drawn.

By dividing the annual cost of each project (column 13) by the number of reported cases referred to the VIP project (column 5), the following costs per case at each of the nine experimental sites can be derived:

Vanderburgh	\$937/case
St. Joseph Superior Court	\$1,453/case
LaPorte Superior Court II	\$833 to 641/case
Gary	\$820/case
Allen Superior/Juvenile Court	\$1,734 to 1,140/case
Jackson Circuit Court	\$272/case
Knox County	\$272/case
Wayne County	\$141/case
Jay County	\$666 to 500/case

There is another possible perspective from which cost effectiveness can be viewed. This would be to compare the total number of hours per year devoted to referred offenders by the volunteers at a particular site with the number of hours in the same period which a full-time probation officer would devote to these same cases. Stated another way, the question would be "do the hours per year 'purchased' by the volunteer project's funds exceed the number of probation officer hours which could be purchased with an equivalent sum of money?" Unfortunately, records are not available to allow an analysis of this nature. Even if they were available, other variables preclude such a calculation for most sites. For example, the Knox County VIP Coordinator is also a Deputy Probation Officer. As such he devotes only a fraction of his time to the VIP program, and the remainder to probation officer duties. Accordingly, only that portion of his time spent on VIP-related tasks could be counted as costs which

could be spent to purchase additional probation officer time. Another problem is a lack of time accounting data by volunteers at most sites.

We can however take the Jackson County VIP project as an example, since we do have some idea of the time spent by volunteers with their clients. Further, the VIP coordinator in Jackson County has no probation officer duties.

Each VIP at this project reportedly meets with his or her juvenile once a week. If we assume a one hour meeting, then the 21 cases active in the first nine months of 1976 provide 21 hours per week, or 90.3 hours per month (assuming 4.3 weeks per month). A full time probation officer, if hired for the same salary as the project cost (\$8,333 per year), could provide 172 hours per month. It would appear then that, at the current caseload and contact rates per week, more hours of contact time could be purchased by hiring another probation officer, rather than establishing a VIP program.

4.4 Student Intern Probation Officer Projects

The effectiveness and impact of intern projects was somewhat easier to assess than that of volunteers in probation, in large part due to the relative uniformity of these projects with respect to most of the variables studied. Intern projects uniformly were used to reduce probation officer caseloads and to expand the range of probation office activities. With one exception (Monroe County) interns assumed

the normal probation office workload, thereby freeing regular probation officers to engage in special projects such as a work release program (Michigan City), or the exploitation of community contacts in the provision of other social services. It is, of course, impossible to determine whether this expansion in range of services would have occurred in the absence of the interns, but most of the offices in question were sufficiently understaffed to render this prospect unlikely.

Likewise, each project has been effective as a recruitment and screening mechanism for the criminal justice system, although some are more effective than others. One of the larger projects has placed virtually all of its former interns in criminal justice jobs of some type, and it is interesting to note that many former student intern probation officers decided on the basis of their experience in probation work to seek employment with the police, frequently as juvenile officers. Also, based on work experience with probation departments, a few interns did in fact decide that they were not suited for criminal justice and corrections work, and ultimately sought employment in other social service areas.

One class of interns requires special attention in the context of recruitment. A few interns employed by projects in Indiana have been law students, and two of the four projects studied originally set out to exclusively recruit such

interns. It is extremely rare that a member of the bar will seek employment as a probation officer (although it is not entirely unknown), and the concept of employing law students in such a capacity should be carefully rethought to determine if it potentially meets the goals of student intern probation officer projects.

In the areas of recruitment and training of interns most sites were fairly effective, but one stands out as a true exemplary project in the type of training and supervision it provides, and one as providing clear unacceptable training and supervision for its sole intern. In order to avoid undue repetition in this report, the detailed issues in recruitment, training, and supervision will be dealt with in the recommended model student intern probation officer program in Section 7.0. One training issue will, however, be discussed here. In order to produce adequately trained probation officers, a probation department must expose each of its interns to the full range of probation office activities. City courts clearly cannot do this, since they are not courts of general jurisdiction. It is suggested that a probation department that handles only city court cases (or exclusively adult misdemeanor cases) is not an appropriate site to fund under this program. Juvenile probation departments, on the other hand, do offer a broad range of services which encompass most of all activities performed by probation departments, and it is considered appropriate for interns to serve an apprenticeship by specializing

in the juvenile area. The city court situation has been rendered moot by recent legislative action, and will soon pose no problem. In the future, however, ICJPA should favor probation departments of general jurisdiction or juvenile jurisdiction, and should look skeptically at departments that serve only a county court.

5.0 GENERAL FINDINGS: THE VOLUNTEERS IN PROBATION PROGRAM

The intensive review of 14 VIP projects, the files built on them at the regional and state levels, and a review of literature on volunteers in probation projects nationwide has provided some insight into the types of projects that can be expected to function well within the Indiana environment. Additionally, it has formed the basis for recommendations contained in this section that relate to both project and program record keeping, monitoring, and evaluation. The aspects of VIP operations presented here are those which have been observed in Indiana and which appear to have worked. For the most part, the types of project activities described are those that the evaluation project staff would be willing to recommend to a court considering the establishment of a new VIP project. Certain types of activities, such as intensive professional counseling, are deliberately not discussed because they are generally not appropriate or applicable in the context of the normal volunteer project, and are outside the scope of activities that one normally associates with the use of untrained citizen volunteers as an adjunct force in the delivery of probation services.

Those subsections that deal with overall program guidance rather than the design of individual projects constitute recommendations to ICJPA concerning the organization of the VIP program statewide, and especially concerning its monitoring,

coordination, and evaluation in the future. It constitutes a qualified endorsement of the concept of continuation of funding of VIP projects subject to the condition that newly funded projects be designed in accordance with these guidelines and that ICJPA commit adequate resources to provide the technical assistance required in substantive areas in which local expertise is scarce.

In the design of recommendations for the shape of future funded VIP projects in the state of Indiana the voluminous literature on volunteers in probation nationwide is of relatively little use. That body of literature fits into three basic categories: (1) monographs extolling the virtues of the use of citizen volunteers in probation and in social services in general; (2) general newsletters describing in non-critical terms the activities in which certain projects engage; and (3) evaluative literature. The first type is good sales literature and should probably be recommended reading for individuals considering the possibility of establishing a new project. The second is also useful in those terms, but general descriptions of project activities do not in themselves constitute information concerning the type of project activities that might best fit peculiar situations, or even work in general. The third, while it does contain a few excellent sources of program evaluation, is inapplicable to the Indiana experience because it deals with evaluations of the effect of different types of VIP

projects operating under controlled circumstances that do not exist in any Indiana project. In short, while there is much literature that was valuable in providing general insight into the operations of volunteers in probation projects around the nation, there was little that could be used to inform this section on recommended VIP activities for Indiana projects.

As can be seen by the mix or match nature of the recommendations below, the project outlined here is not a model VIP project in the normal sense. It covers goals and objectives that appear in practice to have been appropriate; specific project activities to meet those objectives that Indiana projects have tried and successfully implemented under conditions that are identified in the report; and recommended internal and external monitoring techniques for use in keeping track of projects. The section should, therefore, be viewed as advice to potential project directors concerning the type of project that might be designed for local use, and advice to ICJPA on the types of projects that ought to be fundable. Additionally, a checklist for use with the ICJPA corrections coordinators in the evaluation of grant applications has been written to conform to the new application form just promulgated.

5.1 The Local VIP Project

5.1.1 Project Purpose

The general goals and objectives of the current VIP projects tend to be ill-defined and the objectives are almost

consistently non-quantifiable. There are in practice several distinct sets of goals and objectives which are operationalized in the field in different ways. The failure of active projects to make explicit the reasons for their existence contributes greatly to the problems of evaluating projects, and renders it impossible for probation departments to assess the value of their own operations.

A sensible overall goal of all probation projects is, where legally possible, to divert offenders from the more severe components of the corrections system and to provide rehabilitative services that will tend to encourage probationers not to become repeat offenders. The use of volunteers in probation is one device to further that overall goal, and the goal of a VIP project should be to assist in the rehabilitation of probationers by assisting in the provision of probation services.

The definition of specific objectives in quantifiable form appears to produce very serious problems for individuals at the project level. The following is a set of suggested objectives for VIP projects which can be adopted in part or in whole:

- Reduce Recidivism Rates. Most sites studied had adopted as one objective the reduction of recidivism, but no site collected adequate records to measure recidivism rates among probationers assigned to the project and those not assigned, controlled for other factors such as severity of offense, age of offender, and other factors associated with risk. A project should maintain records that would permit the measurement of recidivism by each of several definitions, since each one yields use-

ful information in its own right. At a minimum, the rates of subsequent conviction, revocation of probation, subsequent criminal contact with the police, and subsequent complaint from other referring agencies should all be recorded for all probationers regardless of assignment to the VIP project. Additionally, the nature of any subsequent complaints or offenses should be recorded in order that the trend of offense severity can be traced. The statement of this objective in a grant application should include an estimate of the current recidivism rate for all probationers, and a target recidivism rate after one year, two years, and three years for probationers assigned to the project.

It is especially important to note that the maintenance of recidivism rates before, during, and after requires that probation office records be used to identify the recidivism rate for the type of offender assigned to the VIP project before its implementation; that records for this class of offender not assigned be maintained separately during project operation; and that follow-up of at least two years be maintained on former probationers in order to provide a common and extended base for recidivism statistics.

- The Recruitment and Training of a Specific Number of Volunteers. The statement of objectives should include an assessment of the level of effort to be invested by the project in locating and recruiting new volunteers, and in the completion of their training.
- Assignment of a Specific Number of Volunteers to Specific Activities. If the project operates exclusively on a one-to-one match basis, this is straightforward and is directly related to the number of probationers targeted to be assigned to the project. If other activities are also to be performed by volunteers, the objectives should so state, and should estimate the number of volunteers required to conduct each activity. The objective for recruitment, training, and assignment should then be based on the estimate of needs for the desired activities.
- The Reduction of Costs of the Delivery of Probation Services or the Expansion of Probation Services Within Operating Costs. Volunteers might most effectively be used in this manner, since their

effectiveness in the reduction of recidivism is unclear. Grant applications should specify clearly the activities in which volunteers are to be employed, the management cost associated with them, and an estimate of the cost of providing the same services using professional probation office staff. Objectives of this type could take the specific form of a reduction in probation officer caseloads at no additional cost, the expansion of ties to other community services, the expansion of office activities into new areas (e.g., misdemeanor probation where none currently exists), or the provision of tutoring services to permit probationers to gain general education qualifications that may be prerequisite to employment. As for all other objectives, objectives of this type should be clearly based in an analysis of needs and in the ability of the probation department to deliver services on the proposed schedule.

It should be noted that the justification for hiring a full-time coordinator to manage a volunteer project with cost reduction as one of the objectives would require that an adequate number of volunteers be recruited to provide more services than one full-time probation officer can provide. This objective was not in fact met by the vast majority of projects reviewed under this contract, and appears to be a very difficult one to even approach. For reasons that are not clear, the management of volunteer organizations tends to consume such large amounts of coordinator time that the services provided by the volunteers could in many cases have been provided directly by the probation office at less cost.

Action steps designed to pursue the stated objectives should also be made explicit, and should be defined in quantifiable form. For example, steps required to recruit volunteers should include the preparation of a news release, the transmission of that news release to specific media outlets, an attempt to obtain time on local radio or television talk shows, where applicable, and presentations before specified civic groups on a specified schedule. Activities related to

training of volunteers include the acquisition of training materials, which should be identified in the application; the scheduling of training sessions; the identification of personnel necessary to conduct those training sessions; course preparations by the instructional staff if local instructors are to be used; and the methods for assessing the effectiveness and completion of the required training.

The point to remember in the design of a project is that the objectives themselves must be quantifiable, the action steps required to meet them must be either discrete steps or quantifiable, and they must follow a logical sequence. Ideally, the temporal sequence of activities will be defined in such a way that those steps which logically depend upon the completion of prior steps will be so identified, and that steps which can be conducted concurrently will be labelled in that fashion. The new grant application forms adequately provide for this.

Objectives and action steps should be defined for each of the project components discussed below.

5.1.2 Appropriate Volunteer Activities

Generally speaking, it is considered appropriate to use volunteers to supplement the probation office staff to support whatever activities are appropriate for probation officers, except that citizen volunteers should not be asked to perform activities that legally require sworn personnel.

However, certain activities performed by volunteers in some probation offices, while perfectly proper and of great assistance to the office, are not appropriate for a Volunteers in Probation project - defined here unless the stated objective is purely fiscal. For example, assisting in routine clerical work certainly relieves a financial burden for a probation department, but it has no bearing on goals related to direct assistance to probationers, and probably should not be supported by VIP project funds. Efforts of this type can be operated without outside help, since they impose no implementation burden. The rest of this section is devoted to a discussion of activities in which volunteers have been engaged at different project sites and which are adjudged appropriate to overall project goals. It is recommended that ICJPA fund other activities not listed below only after careful consideration.

One-to-One Matches

The principal use of volunteers has traditionally been in one-to-one matching programs. Under this model of volunteer activity, a probationer is assigned to a volunteer who is to be seen as a role model, a surrogate parent figure, an authority figure, a friend, or a counselor, or some combination of the above, and the volunteer is expected to assume and expand upon the supervisory and counseling role of the probation officer. Properly used, this type of volunteer project has the effect of providing supervision

for probationers that is at least as good as that provided by the probation office, and it can reduce the overall work load of professional probation officers. Over the long term, one impact of such a project should be to reduce the needs of the probation department for full-time professional staff, either by permitting reductions in staff or by preventing future increases. Additionally, it should be possible for the probation office to expand the range of services it provides, since its available staff, including volunteers, has been greatly expanded.

Volunteers in one-to-one match projects can be used to perform the following basic services:

- Counseling. For these purposes the term counseling is used loosely to include periodic, frequent meetings between the volunteer and the assigned probationer, both on a fixed schedule and as either person involved feels a need for some kind of meeting. It was found generally that it is important for volunteers to be available to their probationers at more than regular meeting times, and that they be willing to respond to emergency calls for assistance in the form of a sympathetic individual with whom to talk. Discussions should be free and open, and a volunteer should be willing to respond uncritically to any kind of request for advice. Volunteers should not try to dictate decisions to their probationers, but should assist in the decision-making process when so requested. (This last statement assumed a non-directive counseling style, which is the most prevalent. It should be considered as advice that is generally applicable in the context of volunteer-probationer relationships, but it is recognized that exceptions exist.)
- Referral to Needed Community Services. Volunteers should be well-versed and oriented by the Coordinator of Volunteers in available community services and the clientele eligible for receipt of each of them. An excellent example of such a referral service

can be found in an appendix of the site visit report for the Vanderburgh County Volunteers in Probation, where each volunteer is equipped with a directory of available community services. It should be noted that these services include counseling and family finance as well as the normal range of mental health diagnostic and treatment facilities, alcoholism treatment and diagnostic facilities, and public welfare functions.

- Pre-Hearing, Pre-Sentence, and Bail Investigation. Volunteers in some projects are used by the probation office to perform or assist in necessary investigatory activities performed by the department. The utilization of volunteers in this area is one way in which professional probation officer time can be freed for other activities involving direct support to probationers. It should be noted that conducting pre-hearing investigations and pre-sentence investigations requires a substantial amount of training and supervision, but a volunteer who has undergone an apprenticeship can conduct investigations subject only to review by a probation officer before submission to the court. Preparation of materials for bail hearings is a particularly fruitful area of volunteer application, since the nature of the data to be collected is relatively straightforward and since this particular activity is one that probation departments tend to neglect when pressed. Volunteers have been very fruitfully used in bail-bond and Release on Recognizance (ROR) projects.
- Special Group Counseling and Analysis Sessions. This area, including T-groups, transactional analysis groups, and other group counseling techniques is one in which volunteers have been used with some claim to success. For purposes of this report, judgment is withheld on this type of activity in general, but it is worthy of note that most probation departments do not have sufficient technical capabilities to implement this kind of program. Where sufficient assistance from appropriately trained professionals is available, and where these professionals believe the use of volunteers appropriate, they might profitably be used.
- Emergency Foster Care. One project studied used volunteer couples to board juveniles on an emergency basis to avoid having to place them in the county jail or other unsuitable detention facilities. Such a procedure is clearly advantageous both to the

juveniles involved and to the county, since exposure to jail facilities is avoided for juvenile offenders and the cost of alternative juvenile detention facilities is not borne by the county budget. However, it is not clear that this kind of support is necessarily related to any goal of rehabilitation, especially since the clientele for it is determined by the unavailability of appropriate parental care at home rather than to the nature of the offense committed. It is, of course, possible that potential delinquents lacking in suitable home facilities can best be helped and diverted from the juvenile justice system through this kind of arrangement rather than permitting them to be processed normally, and under that logic emergency foster care would be a suitable Volunteers in Probation activity.

- Group Activities For Juveniles. In some projects adult volunteers are used to provide general supervision and support for group social and recreational activities for juvenile probationers. To the extent that the probationers in question lack general social skills (as is argued by the proponents of this kind of system), supervised group activities of any kind can assist in the development of an ability in interpersonal communications and a general ability to function in peer groups.
- Tutoring. Many juvenile probationers have problems at school, and many young adult probationers have problems finding employment because they failed to finish high school. Volunteers can fruitfully be used to serve as tutors to assist high school students in academic problem areas, and to assist individuals who are not full-time students in performing the work required to obtain a high school equivalency diploma. To the extent that unemployment or underemployment is related to the potential for criminal activity, the use of volunteer tutors can be considered a most valuable tool. It should be noted that this activity is suggested not as assistance for the learning disabled, but to provide general tutoring help to individuals of normal intelligence who, for whatever reason, have not made normal progress in their education.

5.1.3 Volunteer Recruitment

One key to building a successful VIP project is the successful recruitment of needed volunteers. Methods which have proven effective include:

- Speaking at Civic Group Meetings. The chief probation officer or coordinator of volunteers can easily arrange to be included as a guest speaker on the program of civic clubs and church groups, whose members represent a broad cross-section of the citizens of a community most likely to be active in volunteer organizations. Even if no volunteers are recruited at such a meeting, the contacts made will frequently result in the referral of potential volunteers to the program. It is especially important that news releases be prepared for the appropriate local media each time the coordinator makes such a recruiting appearance, since even a small note concerning the speaker at a civic group meeting may receive some limited attention. A potentially effective variation on this technique is to obtain a speaker from a VIP operation in another county, or from the ICJPA state or regional staff. Occasionally, supplemental funds can be raised in this manner.
- Press Releases. A series of press releases describing the VIP project, its activities, and the nature of volunteer sought may itself solicit some response, and it is likely that local newspapers will carry short articles of this type as a public service.
- Local Radio and Television Talk Shows. In larger communities it is frequently possible for the coordinator to obtain an appearance on a radio or television talk show of local interest to describe the VIP project and its purposes, and to make a public solicitation for volunteers.
- Media Advertising. While less effective than personal appearances or non-commercial explanations of the project, simple advertisements carried in local newspapers and on radio and television may yield some response. The possibility of persuading the various media outlets to carry such advertisements as a public service should be explored. This technique is most effective in soliciting additional volunteers for an ongoing program that has maintained a relatively high profile, and should be expected to be substantially less effective in obtaining the initial volunteers to start a new project.

- Personal Approaches to Rehabilitated Ex-Offenders. The individual who has successfully completed a period of probation without further trouble, and especially one who is a product of the VIP project, should be considered as a possible choice as a volunteer. Such individuals, because they can be easily identified, may be approached individually and asked for their support, or a court-sponsored mailing soliciting volunteers from this particular group could be mounted.
- Word-of-Mouth. In an ongoing VIP project, simple word-of-mouth transmission of information from volunteers to their friends can be a particularly effective recruitment tool. Obviously, this technique requires that a project be active and that it actually make use of available volunteers.

Recruitment for most projects has not been a major problem, although there have been some failures to recruit adequate numbers of volunteers when they were needed. A more serious problem has been the inability of projects to adequately utilize volunteers that have already been recruited, and occasionally, to use those recruited and trained. It is extremely important in the management of volunteer organizations that volunteers be provided ample and satisfying duties as soon as possible after recruitment in order that they not lose interest before having an opportunity to learn what the project does. Avoiding this problem is a very simple matter. It requires only that the coordinator of volunteers and other project personnel properly estimate the number and type of volunteers that they can in fact utilize, and then that they actively solicit only enough volunteers to fill immediate needs. With this kind of system recruitment becomes an ongoing process instead of a periodic one,

since there will inevitably be some turnover in volunteer staff, but having to continually solicit a few volunteers is an extremely small burden compared to the reputation that a project can gain if it fails to adequately utilize those recruits. Obviously, individuals who volunteer their services but who cannot be put to work immediately can be told that there is nothing for them to do at the time but that they will be contacted as soon as something arises, but this approach should never be taken with a volunteer whose services were actively solicited.

5.1.4 Volunteer Training

Training is an essential element in a volunteer program the importance of which cannot be over-stressed. Volunteers can generally be treated as individuals capable of performing all of the duties required of a probation officer, but who have neither the requisite training nor experience. This requires that the job of the volunteer be well defined, and that each volunteer be properly trained to perform that job. Adequate training will contribute not only to good performance but to volunteer job satisfaction.

The first step in the determination of appropriate training is the development of a volunteer job description. The activities to be performed by volunteers in the project should be carefully defined, and the elements of each of those activities should be explicitly laid out in a formal job

description. For example, if volunteers are to be used in the conduct of pre-hearing investigations, a list of steps to be completed in such an investigation should be compiled, and the nature of the investigation report should be clearly defined. Next, a series of exemplary reports should be selected from probation office files and used in the training program. In addition to the list of steps to be performed, a compilation of problems to avoid should also be made.

Once the elements of each specific job have been defined, instructional materials can be collected. Project directors should write to the following organizations for their current publication on volunteer programs in probation and related areas:

- The American Bar Association
Commission on Correctional Facilities and Services
1800 M Street, N.W.-2nd Floor
Washington, D.C. 20036
- National Center for Volunteer Action
1758 Massachusetts Avenue, N.W.
Washington, D.C. 20036
- National Informational Center on Volunteerism
P.O. Box 4179
Boulder, Colorado 80302
- Volunteers in Probation and Parole (National Council
on Crime and Delinquency)
200 Washington Square Plaza
Royal Oak, Michigan 48067
- National Governor's Conference
Volunteer Action Program
1150 17th Street, N.W.
Washington, D.C. 20036

- Director, Governor's State Voluntary Action
Committee
Room 117 Statehouse
Indianapolis, Indiana 46204
- National Institute of Law Enforcement and Criminal
Justice
Law Enforcement Assistance Administration
U.S. Department of Justice
- Director of Probation
Indiana Department of Correction

One excellent source of recent and usable training materials is another ongoing VIP project, since numerous projects have either developed or obtained a substantial amount of curriculum materials for their own project. Where available, these materials have been collected on site visits and included in the appendices to the site visit reports written in conjunction with the present study. Once training materials have been identified, they should be put in the format appropriate to the size of group and nature of facilities to be used in the local project. For example, instruction of a class of volunteers would probably require the preparation of visual materials either in the form of overhead slides, 35 mm slides, or flip chart presentations, while the training of a single volunteer or a very small group may be conducted entirely with written materials used in a discussion format.

The training of the volunteers themselves should be very carefully organized. It should occur as soon as possible after recruitment, and prior to assignment of any

duties. Active volunteers who are reassigned to new jobs should also be trained for the new position that they are to occupy, since there are relatively few elements of commonality between the different activities discussed earlier. Additionally, periodic retraining should be conducted to simply refresh the memories of active volunteers and to attempt to rekindle and maintain interest. This reeducation effort can utilize outside speakers whose job it is to provide volunteers with additional information concerning the criminal justice as a probation subsystem, and to continually reinforce their confidence in the value of the work they are doing. For example, one site has used faculty from a local college and staff members of the federal penitentiary in Terre Haute in its training program. Monthly meetings appear to best satisfy this purpose.

5.1.5 Volunteer Supervision

For supervision purposes volunteers should be treated like any other members of the staff, with the obvious exception that there is no possibility of withholding their pay as a disciplinary measure. The smooth operation of a volunteer organization requires careful supervision, close monitoring of volunteer activities and products, and occasionally, the elimination of a volunteer from the project. These supervisory activities can be conducted in much the same way they would with a paid staff, with the understanding that people who are donating their time obviously require a great degree

of schedule flexibility, and that dealings with them must of necessity be handled in a more tactful fashion than is required with employees. In general, however, if volunteer workers are treated in much the same fashion as one would treat valued, paid employees, they can be expected to respond by producing their best work.

Coordinators of VIP projects can obtain advice and assistance from a variety of experienced sources on the best way to monitor and control volunteer organizations, but one source of such assistance that is consistently available is the Agricultural Extension Service, which has devoted substantial resources to the development of training packages for county extension agents, home agents, and community development agents. A new coordinator attempting to decide how to manage a project should solicit the assistance of the Extension Service, as well as reading the publications obtained from the sources mentioned above.

Supervisory Structure

The structure of supervision of volunteers depends in large part on the activities in which they are to be involved. Generally speaking, there should be a single individual designated as coordinator of volunteers who has the principal responsibility for recruitment, training, and assignment to specific activities.

If volunteers are to be used in a one-to-one match program, matching should be performed by the coordinator, who

should also take responsibility for the general supervision and monitoring of volunteer activities. If the volunteer project is to function exclusively in the one-to-one match, social service provision and group activity areas, consideration should be given to physical and organizational separation from the probation office in those counties generating a sufficient volunteer caseload to justify a full-time coordinator. This "separation model" has been tried with reasonable success in large jurisdictions. The separation from the probation department, if it receives strong judicial and probation office support, is more than physical and organizational. It gives probationers the distinct impression that they have been largely relieved of the onerous aspects of probation. It is clearly not appropriate in small jurisdictions or where volunteers are assigned more normal probation office duties, and it cannot work well in the face of opposition or indifference from referring agencies.

Where volunteers perform pre-hearing or pre-sentence investigations, release on recognizance and bail bond reports and general office duties the coordinator should assign volunteers to the probation officer who will review their products. In this situation the coordinator functions largely as a recruitment, training, and referral agent who may also engage in a certain amount of trouble-shooting and reassignment when

personality conflicts arise between probation officers and individual volunteers.

It is assumed here that volunteers will be used largely to supplement and replace functions of probation officers in such a way that they attenuate the cost to the county of probation services. For this to happen it is necessary that the cost of administering the volunteer project be less than the cost of hiring professional probation officers and other support staff to perform the duties done by volunteers. Since the only large recurring cost of a volunteer project is the salary of the coordinator, it follows that the volunteers supervised by the coordinator must do more probation office work than the coordinator could do himself in that portion of his time allocated to VIP coordination. For example, if the normal caseload for an officer in a particular department is 60 supervisory cases and 15 investigations per month, volunteers would have to take an average of at least 60 assignments and at least 15 investigations in order to support the salary of a full-time coordinator. The value of volunteer labor should be computed in precisely this manner, and detailed records should be kept of volunteer time donated to the project in order to assess the total cost of providing those services that probationers actually receive.

Volunteer Personnel Management

It does not follow that volunteers, because they donate their time, should be left free of instruction and super-

vision. One problem faced in Indiana VIP projects is an unwillingness on the part of some coordinators to actively manage volunteers. As mentioned above, there are numerous sources of sound advice on the management of voluntary organizations, but the principal tenant for the coordinator to bear in mind is that volunteer personnel require explicit job descriptions, instructions on what they should do and when they should do it, and regular and candid feedback on the quality of their performance. While criticism should always be constructive in nature, the coordinator and other supervising staff should never hesitate to criticize a volunteer's work where such criticisms are warranted and where the mistakes made have a direct bearing on the proper performance of probation department duties.

Monitoring

While much of the labors of the probation department can be shifted to volunteers, the responsibility for the completion of necessary work cannot. It is incumbent upon the department or the coordinator of volunteers to maintain a rudimentary internal information system that will provide on a weekly basis at least the following information:

- volunteer hours committed to the project;
- volunteer-probationer contact hours, by type of activity;
- special activities, including type of activity and numbers of volunteers and probationers involved; and,

- any special problems encountered.

Careful monitoring of these data by the coordinator will permit the early identification of potential problem areas with volunteers, including volunteer attrition. While it is obviously difficult to enforce reporting requirements of this type on volunteers, the continual encouragement to submit reports that can be provided at each meeting, by telephone, and by mail should result in a fairly complete picture of project activities, even if the coordinator must fill out forms based on conversations.

Time-critical activities such as pre-hearing investigations require somewhat more elaborate monitoring in order to assure performance within the schedule of the court. When an investigation is assigned to a volunteer, an assignment sheet can be provided which lists a detailed schedule for the completion of each discrete work product of which the investigation is comprised. The volunteer can be asked to check off these activities as they are completed, and work products submitted to the supervising probation officer should be duly logged on a copy of the schedule. The office copies of these schedules can then be used to follow up on the activities of volunteers who appear to be running behind schedule so that some prompting can be done, or investigations reassigned if necessary.

5.1.6 Record Keeping and Reporting

There is evidence of substantial resistance to normal record keeping and reporting requirements on the part of probation offices and VIP projects studied in this evaluation. Much of this opposition appears to rest on unfounded assumptions about the nature of the record keeping burden. Obviously, paperwork should not become an all-consuming activity, but, based on interviews with VIP coordinators and probation office staff, it is estimated that the maintenance of an appropriate management information system for a VIP project should require not more than one day monthly on the part of the coordinator, and two days clerical time. These estimates are probably high.

The nature of records to be kept will depend in large part on the activities conducted by the project. At a minimum, records should be maintained to permit the determination of:

- the recidivism rate prior to the project;
- the recidivism rate of probationers assigned both to volunteers and to Probation officers (after project implementation);
- the monthly caseload of the probation office categorized by adult felons, misdemeanants, and juveniles, both criminal and status offenders;
- the ratio of clients to probation officers;
- average caseload for each volunteer;
- average monthly frequency of client-volunteer consultation;
- average monthly frequency of client-Probation Officer consultation;

- number of new volunteers;
- number of active volunteers;
- number of volunteers available for assignment; and,
- assessment of progress toward meeting specific milestones in the project plan.

The maintenance of information of this type in such a way that it can be reported on a quarterly and annual basis will permit the project to satisfy not only ICJPA report requirements, while an ICJPA grant exists, but will also serve as the basis for arguments for the cost efficiency of the project when funding is sought on a local level.

5.2 The State Volunteers in Probation Program

In order to assure the proper operation of volunteers in probation projects throughout the state, it is recommended that ICJPA provide services of information dissemination and general technical assistance to individual projects. Additionally, more careful evaluation of initial grant applications would better ensure that projects have been carefully conceptualized and well planned at the time that state funding is requested. Continual monitoring would make it possible for the state to determine whether funds are being expended for the originally planned purposes in time to make such changes as may be necessary to redirect individual projects to their original purposes.

This section of the report is devoted to a discussion of the above topics. The development of forms for project re-

porting has not been included here because the IRPS staff, on careful review, are convinced of the adequacy of the newly implemented ICJPA forms. While it is true that the information content of the forms currently in ICJPA files is not sufficient to provide ICJPA with management and monitoring information, that lack is a result not of inadequacies in the forms themselves, but in the failure of individual projects to properly understand how to prepare them. Consequently, what was expected to have taken the form of recommendations for new forms will instead be presented in the information dissemination and technical assistance sections of this report.

5.2.1 Information Dissemination

One glaring problem consistently observed across projects was the general lack of information concerning similar activities being conducted elsewhere in the state and the nation. Consequently, many VIP projects have had to "re-invent the wheel" simply due to lack of awareness that their operation was not unique. Many coordinators of volunteers did in fact gradually acquire knowledge of other projects, and many also obtained printed materials from organizations that prepare such aids, but the ability of the local project to obtain such information depended almost entirely on chance and on the background, training, and experience of the coordinator. For example, materials available from the Indiana Depart-

ment of Correction were known and used by only two VIP project sites studied under this project.

Obtaining information concerning the state-of-the-art of VIP projects should not be left to chance. It is recommended that ICJPA provide information dissemination services to probation offices in general, and especially to those that have indicated an interest in applying for a VIP project grant. To perform this function, ICJPA might maintain a continually up-to-date library of materials the contents of which would be periodically distributed to probation officers, and copies of which could be made available upon request. While it would be desirable to provide this service free of charge to probation offices within the state, the cost of reproducing or purchasing materials could be recovered from offices that request them.

ICJPA might sponsor regional or state conferences annually which would bring together chief probation officers of departments which use volunteers, coordinators of volunteers, and representatives of other probation offices who wish to attend. These conferences could be devoted to reports on activities of volunteer projects in the previous year, the results of any individual project evaluations that have been run locally or by the state, and general information on new developments in the use of volunteers in probation. A conference of one day duration would probably be adequate for this purpose,

and to reduce the cost associated to ICJPA of sponsoring it it could be held in Indianapolis in conjunction with a meeting of regional directors. Alternatively, the Planning Agency might arrange for similar types of activities at meetings of the Indiana Corrections Association or the Indiana Probation Officers Association, whose members presumably have an interest.

It is recommended that the ICJPA juvenile justice, corrections, and evaluation staff be made available to speak to local audiences on request around the state about volunteer projects. This is particularly important for probation departments attempting to initiate a new project and recruit the first group of volunteers to be used in it. Additionally, the availability of ICJPA staff members to speak to groups of volunteers from local projects could greatly enhance the ability of coordinators to maintain local visibility of their projects.

The state needs some means of periodic dissemination of VIP project news. In the Interim Report of this project, it was recommended that space in the Criminal Justice Newsletter be allocated for that purpose. With the demise of that journal, it is suggested instead that a monthly or quarterly (to coincide with the receipt of quarterly reports?) single sheet newsletter be instituted and circulated to VIP projects around the state. Such a newsletter, which would occupy

relatively little of the Corrections Coordinator's time, would contain basic information on the progress, activities, and levels of effort of each VIP project in the state of Indiana, and could be used to share innovative approaches that are being attempted at individual sites. In order to heighten interest at the local level and to reduce the internal ICJPA burden of producing the newsletter, each issue might contain a guest article about one page describing activities of interest at one site.

More specific information dissemination services will be described in the technical assistance section, since there is substantial overlap between the two areas.

5.2.2 Technical Assistance

Local VIP projects desperately need technical assistance in two principal areas: project design; and monitoring.

Project Design

As is recognized by ICJPA officials, it is frequently impossible to tell from VIP project grant applications exactly what the local project intends to do with volunteers, and whether they have the ability to properly manage them. It was initially thought that this problem could be resolved through the development of more detailed applications forms, using specific blocks of the form for the quantitative specification of objectives. On further reflection and considerable effort, the IRPS staff have con-

cluded that the forms currently in use, while not perfect, are adequate to the purpose if the local project staff can be instructed in their use. The principal problem in forms design lies in the great diversity of VIP projects.

The principal problem in forms completion is very simply that most of the individuals who have prepared grant applications in the past have not clearly understood certain basic concepts of project design. The language of management by objectives (MBO) on which the forms are based is not commonly understood by applicants; the concept of the quantifiable objective is less well understood; and the concept of a criminal justice problem less specific than crime itself is almost non-existent.

The solution to this problem lies then in the provision of technical assistance to project applicants in the form of very detailed instruction in the preparation of a grant application. This assistance could be provided either by the ICJPA corrections coordinator, an evaluation specialist, or by the regional office staff. It should be given as part of the development of the regional plan, since the process of development of objectives for a particular project might well result in the withdrawal of some applicants in favor of other possible solutions to the problem they are interested in attacking.

As a prelude to the provision of direct technical assistance, ICJPA should prepare a general document on project de-

sign, laying out the terms to be used in the application forms, defining them, and providing unambiguous examples of each. Enclosed as part of this document should be a prototype application, which could be either an actual exemplary application form, or a sample prepared specifically for the purpose.

5.2.3 Monitoring by ICJPA

Monitoring efforts by ICJPA have to date been confined largely to reading quarterly reports, with an occasional evaluation made by an ICJPA evaluation specialist. Monitoring of this type would be adequate if projects could be persuaded to include in their quarterly and annual reports the information required. For this purpose, the IRPS staff recommend a return to the SPEC forms set for effectiveness and impact reports. The personnel and equipment reports are considered less important, unless of course, ICJPA needs an inventory of equipment bought locally under project funds.

As part of its technical assistance mission it is recommended that ICJPA adopt instruction of new subgrantees in the maintenance of project records and the completion of required reports in such a way as to actually provide the information which ICJPA needs for monitoring purposes. In the opinion of the staff of this project, current reporting and records requirements are not excessive. The time required to maintain the entire information system currently mandated by ICJPA is probably less than 5% of the total administrative time for which the VIP grants pay. There is,

however, substantial resistance on the parts of chief probation officers and coordinators of volunteers to paper work of any kind. This resistance tends to translate into the attitude that required reports constitute an undue burden, and into non-existent records and sloppy reports. The only possible solution to this problem is the training program recommended here combined with real enforcement of reporting requirements.

It is recommended that monitoring of projects by ICJPA take the form of a review of quarterly narrative reports as they arrive, with particular care taken to follow-up on any apparent problems that VIP projects report. The reports should be carefully reviewed to ascertain any information or technical assistance requirements that local projects may have, and the appropriate ICJPA officials could then act accordingly.

Enforcement of reporting requirements might take the form of a requirement that reports be complete, adequate, and accurate when they are submitted to ICJPA. When first received, reports could be reviewed for completeness and for clarity, and those which are incomplete or unclear could be returned to the submitting subgrantee or the regional office for clarification and revision. There should be a fixed schedule for the return of revised reports. It is suggested here that reports be reviewed by ICJPA within ten days of

their arrival; that reports returned to subgrantees be revised and resubmitted within 14 days of return; and that revised reports be reviewed within five days of their arrival. The ICJPA official in charge of monitoring this system could be prepared with standard follow-up letters to subgrantees who fail to submit reports on time, or whose resubmissions are late.

In addition to the monitoring of reports, ICJPA officials could periodically follow-up by requesting additional information from projects, and an ICJPA evaluation specialist could continue to do field evaluations on the schedule currently used, if not more frequently.

6.0 FINDINGS: STUDENT INTERN PROBATION OFFICER PROGRAM

The purpose of Student Intern Probation Officer programs is to serve as a recruitment and screening mechanism for the criminal justice system. As defined in this report, an intern project should:

- provide interns with exposure to the criminal justice system as a whole and to probation work in particular in order to permit an informed decision concerning a career in criminal justice;
- train interns on-the-job in the full range of probation office activities in order to provide a steady flow of trained, experienced recruits for professional probation officer jobs as they come available; and,
- evaluate the performance on-the-job of interns in order to provide potential employers with a fair assessment of the capabilities and potentials of each intern, and to screen out of the system those interns who are clearly incapable.

Incidentally, the study staff feel that student interns should work for the department that trains them for a period of time sufficient to repay the cost of their training and to convince the department that it has in fact benefited from its intern project.

The following suggestions for intern program operations are based on the review of intern projects conducted under this contract.

6.1 The Student Intern Probation Officer Project

In order to properly design and operate a Student Intern Probation Officer project a probation office must determine the duties that it would like to assign to interns. It must

then recruit and train them, provide adequate on-the-job supervision for the duration of the internship, and be prepared to provide candid recommendations and evaluations of performance to potential employers.

Ideally, interns would eventually be assigned all of the duties of a professional probation officer, although they might not perform all of them at any given time. In determining the duties of interns a department might start with home visits and pre-hearing investigations and gradually work up through pre-sentence investigations, bail hearing preparations, and case supervision. Finally, interns should be brought into the department's outreach program in order to learn the full range of community services available to probationers. Over the course of the internship, they should be exposed and trained in every functional area in which the employing department has jurisdiction.

6.1.1 Intern Recruitment

In order to assure adequate maturity, interns should, for the most part, be junior or senior level full-time college or university students. While students with any major may be considered, preference should normally be given to those with relevant academic majors such as criminal justice, sociology, psychology, political science, social work, public administration, or education and counseling.

The probation department seeking new interns can contact the student placement services of regional colleges and

universities and the chairmen of the academic departments from which students are most likely to be drawn. These individuals can then refer students to the chief probation officer or his agent as vacancies arise, and in some areas, it might be possible to maintain a waiting list for future positions. Departments in college communities will, generally speaking, have no recruiting problems, since there are always students looking for social-action-oriented employment. Outside of these communities, however, departments must advertise their existence and the availability of positions very carefully, and convince college officials who recommend and place students of the seriousness of their intent to properly utilize student labor.

Once students have been referred to the department, they should be asked to submit four documents:

- a standard employment application describing relevant education, training, and experience, and detailing the available hours of work;
- two recommendations, one from a past employer (where possible), and one from a professor; and,
- a sample of written work.

In the evaluation of applications special attention should be paid to:

- recommendations concerning the students initiative and ability to work alone;
- apparent interest in a criminal justice system career;
- job experience that required extensive interpersonal dealings with a clientele;
- job experience that required report writing;

- the quality of the writing sample, especially important given the volume of report writing required of probation officers; and,
- a commitment to employment in the intern position for an academic year on a half-time basis and one summer full-time, in order to provide adequate time for training and to repay the training department for the cost of its time and effort.

Compensation for interns should be set at whatever is required to attract competent interns. Interns are occasionally available on an academic credit and expenses arrangement, but most must earn money while in school. Monetary compensation normally falls in the \$2.35 to \$3.00 an hour range, but departments hiring interns who live in other counties frequently pay transportation expenses.

Funds to support an intern project are available from a variety of sources in addition to ICJPA grants. These sources include:

- Local Appropriations. Since interns will perform services for the employing department that will equal or exceed the value of training and supervision provided, they represent a particularly cost-effective source of labor for the probation department. As such, the use of local appropriated funds is easily justified.
- Work Study Program. The federally subsidized work study program funded through colleges and universities can sometimes be used to support interns employed in social action programs, including probation offices. Arrangements with colleges and universities for an allocation of work study funds should be explored by any department that wants interns. Under this kind of arrangement, the department would normally be required to pay 20% of personnel costs.

- Other Community Agencies. In some communities a community services council or comparable organization has independent sources of funds to employ individuals on a part time basis to perform needed community services. Where such an organization exists in the community, it should be explored as a potential source of funds.

6.1.2 Intern Training

Based on examination of active intern projects, IRPS recommends that training provided to a new intern be conducted in the following sequence:

1. Orientation discussion with the chief probation officer and others he may designate. Part of this orientation should include meeting the staff of the probation office and, where possible, the judges with whom the office works most closely.
2. Assignment to a probation officer to simply observe his activities for a period of about a week. Great care should be taken to ensure that this initial exposure period covers a broad range of probation office activities, and it should definitely include observing court appearances and the presentation of reports to the court.
3. In the second week of employment, interns can continue to observe the activities of the probation officer, but they should gradually become involved in selected aspects of the officer's work. One system that appears to have worked very well in practice involves assigning interviewing duties to the new interns, with the intern first observing several interviews, and then conducting several in the presence of a probation officer. The supervising probation officer in this situation would interject himself into the process only to correct obvious errors or to fill in gaps in information collected at the end of the interview.
4. Repeat step 3 above for each area of activity, gradually expanding to include the entire scope of probation office activities.

5. Once the intern has established a capability in the preparation of investigation reports, he can be assigned a certain amount of work requiring court appearances and the presentation and defense of reports in court. As will be discussed below, all of these activities should be conducted under careful supervision.

6.1.3 Intern Supervision

All work performed by an intern must be carefully supervised and written work reviewed by a member of the professional staff of the probation department. The extent of supervision will vary according to the length of service of the intern, with great care being exercised for interns still in training to ensure that every detail of their work is carefully reviewed. Senior interns--those with the department more than six to eight months, may be permitted greater freedom of activity, subject only to periodic or cursory review if their past work has been consistently satisfactory.

It is recommended that interns be evaluated on their performance monthly by each probation officer for whom they have worked. The elements of this monthly performance review might include:

- an A through F rating of the intern's performance on each of the specific types of jobs performed during the month by the officer for whom it was done;
- written comments from each officer for whom work was performed for the intern, explaining the letter grade mentioned above;
- an assessment of factors related to common office courtesy, such as punctuality;

- the record of the intern in submitting weekly activity summaries; and,
- an assessment of the intern's abilities at dealing with the probation office clientele on a personal basis.

A summary of these ratings should be discussed with the intern by the chief probation officer, and an opportunity to respond to any criticisms should be offered. The atmosphere of these monthly discussions should be constructive, with the chief probation officer offering to the intern criticisms that have been made of his performance and suggestions for ways to improve performance in the future. At the same time, any problems the intern has been experiencing should be discussed.

In addition to the performance evaluation procedures mentioned above, each intern should be required to account on a weekly basis for time spent in probation work. The easiest method of handling such an accounting is for interns to enter in a weekly activities summary specifying the number of pre-hearing investigations completed, the number of pre-sentence investigations completed, the number of bail bond reports completed, the number of probationers counseled, etc. An estimate of the amount of time spent in each activity and the total amount of time worked for the week should be provided. These summaries can be saved as part of the intern's record, and should be reviewed as they are submitted by the chief probation officer in order that the CPO might have a clear idea of the activities in which each

intern is engaged. A periodic summary of these activity sheets should be prepared for each intern to provide the chief probation officer with a management tool in assuring that the intern has in fact been provided adequate exposure to each of the probation department activities in which he is supposed to gain experience. These summaries also constitute the department's official records of that portion of the work load born by interns, and is hence the justification for continued funding of the intern project.

6.2 ICJPA Technical Assistance and Monitoring of Intern Projects

6.2.1 Information Dissemination and Technical Assistance

Since the implementation of an intern project is so straightforward and essentially the same as the handling of other personnel matters, no major need for an active information dissemination program or technical assistance has been identified. It is suggested that ICJPA stand ready to refer inquiries about ways to recruit, train, and utilize interns to a probation office with an active project.

Monitoring requirements for purposes of control also appear to be minimal, but the needs presented here have been identified from the site visits and reviews of files. Two tendencies of intern projects that are contrary to the stated goals of an SIPO program have been observed: (1) retaining individuals in an intern status too long; and (2) providing less than adequate training and supervision prior to the

assignment of full probation officer duties. IRPS suggests that one summer full-time and an academic year half-time constitutes a reasonable tenure for an intern, beyond which he is probably serving as an underpaid professional probation officer. Recommendations on the definition of adequate training and supervision appear earlier in this section. It is recommended that ICJPA monitor quarterly reports and applications to ensure that interns are not being carried in that capacity for excessive periods of time, and to note the schedule on which new interns acquire new duties.

7.0 MAJOR FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

Based on the review of project files and on the site visits, the Institute staff have arrived at the major findings, conclusions, and recommendations presented below. Other specific findings and recommendations have been presented earlier in this report. These recommendations are limited to areas in which the ICJPA can take action in the form of recommendations, standards, information dissemination, or technical assistance.

7.1 Project Design

FINDING:

An almost universal problem among projects reviewed lies in the basic design of a criminal justice project. For the most part, chief probation officers and judges are not trained in project design, nor do they normally have much relevant experience in the area. Hence, many projects tend not to be properly designed to meet their own objectives. Sometimes the problem is an improper conceptualization of the criminal justice problem to be solved; sometimes it is an improper definition of objectives to meet the problem and properly deal with it; and sometimes it lies in the area of defining the specific actions necessary to meet objectives. Generally speaking, project directors for intern and volunteers in probation projects have given inadequate attention to all of these steps, which logically should go into the preparation of a grant application. As a result, they

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frequently fail to take the appropriate action to solve the problem they originally intended to attack.

CONCLUSION:

To a large extent, of course, the projects evaluated here are experimental in nature, and some degree of floundering could be expected. There is now however an adequate base of experience from which to say that certain approaches to certain problems are likely to work. Those apparently successful project features are discussed in Sections 5.0 and 6.0 of this report.

RECOMMENDATION:

In order to at least partially solve problems in the area of project design, the evaluation team recommends that the ICJPA implement the following suggestions:

The ICJPA might provide instruction in the form of literature and, perhaps, seminars to project directors and potential project directors (i.e., applicants) in the mechanics of preparing a grant application. In the process of teaching someone how to prepare a grant application, it is, of course, necessary to instruct them in the preparation of the materials which must be included and the preparation of answers to the questions in the forms. Instruction in how to properly prepare the grant application currently used by ICJPA necessarily involves instruction in the design of a project, since the application form itself is structured in

such a fashion. Any training and assistance provided should stress heavily the definition of a problem, the design of methods to address the problem, and the quantification of objectives in such a way that actual progress can be monitored by the project staff and subsequently evaluated by the ICJPA.

7.2 Records

FINDING:

The purpose of the evaluation of projects was rendered extremely difficult by a general lack of project records that could be used to demonstrate that particular objectives had been met. For example, most projects had as a stated goal the reduction of recidivism rates, but most maintained no summary data from which they could be computed. Likewise, objectives were set to assign interns or volunteers certain specified caseloads and other duties, but in most cases project records were not kept that would permit either the project staff or an outside evaluator to determine what activities were conducted by interns and volunteers, or at what level they appeared to be working.

CONCLUSION:

In general, there is a need for the maintenance of such records as are necessary to assess the propriety and adequacy of day-to-day operations by project directors, and to enable the ICJPA or its agent to periodically evaluate the project itself.

RECOMMENDATION:

In order to assist local projects and probation offices in the satisfaction of these needs, the ICJPA should consider the following actions:

- (a) More rigid enforcement of current reporting and record keeping standards.
- (b) The provision of technical assistance in designing and establishing effective systems for the maintenance of project records. This should be done without imposing an undue burden on probation offices, which tend to be understaffed. Such assistance could take the form of mandated record formats, reporting forms, and data items. A mandated definition of recidivism would in itself provide some assistance in the assessment of the degree to which objectives had been met.

7.3 Innovative Approaches

FINDING:

In the process of experimenting with volunteers and with interns, a number of local projects have by design and by accident developed some novel approaches that appear to work. For example, while some Volunteers in Probation projects simply use volunteers in the traditional one-on-one match, a few use their volunteers in a wide variety of activities such as a Release on Recognizance Program, Bail Assessment projects, and to supplement the activities of court-employed professional counselors and psychologists. Some intern projects on the other hand, employ interns to conduct activities not previously engaged in by the probation department rather than using them in simple normal probation office activities.

CONCLUSION:

In many cases, local projects might well implement ideas developed elsewhere, or adapt them to the local situation, if they were simply made aware of them.

RECOMMENDATION:

To facilitate the flow of information between projects in order to encourage the adoption of exemplary ideas and methods, the ICJPA might consider:

- (a) The provision of information dissemination services such as a specialized Volunteers in Probation Newsletter or a Student Interns in Probation Newsletter, published as a single sheet on a quarterly basis by a corrections coordinator.
- (b) The sponsoring of regional or statewide meetings of personnel involved in local projects in order to promote the exchange of views and ideas.

7.4 Intern Job Experience

FINDING:

The five intern projects visited as part of Phase I varied radically in the scope of their activities, and in the quality and adequacy of the training and education they provided to interns. They varied also in the degree to which they prepared interns for criminal justice careers, and in the degree to which they served as an effective recruitment mechanism. Generally speaking, the probation office with only one full-time probation officer and the large caseload is ill equipped to be continually orienting, training, and supervising student interns, and the quality of the super-

vision provided suffers accordingly. Probation departments that serve only adults, and especially those with only misdemeanor jurisdiction are also incapable of providing a proper breadth of experience.

CONCLUSION:

Such an approach to the project results in less than satisfactory education and a narrow range of experience.

RECOMMENDATION:

Since intern projects are perceived primarily to benefit the criminal justice system as a whole rather than individual probation departments, The ICJPA might therefore consider:

- (a) limiting of student intern probation officer grants to courts with more than one probation officer; and,
- (b) limiting them to departments that provide general probation services, or at least whose jurisdiction is not exclusively misdemeanor.

7.5 Youth Service Bureaus

FINDING:

Where Youth Service Bureaus exist, they are engaged in activities which largely duplicate those performed by Volunteers in Probation projects that deal with juvenile offenders.

CONCLUSION:

To fund both a juvenile VIP project and a Youth Service Bureau in the same jurisdiction needlessly duplicates functions and creates entities which compete for the same pool of

volunteers, community support, and services from community service agencies.

RECOMMENDATION:

That where Youth Service Bureaus exist, Volunteers in Probation projects that treat juveniles should not be funded. It should be noted that while Youth Service Bureaus can assume the same responsibilities as a VIP project, a VIP project cannot perform the same functions as a Youth Service Bureau. Therefore, it is further recommended that, where a jurisdiction already has a VIP project and requests funding for a YSB, the VIP project be made a part of the Youth Service Bureau.

7.6 Probation Office/Volunteer Interface with Schools

FINDING:

The majority of sites studied reported inadequate or nonexistent coordination and information exchange with the local school system. This means that probation officers are unable to routinely request department, grades, or attendance information from schools. Similarly, volunteers are precluded from gaining access to this information. This lack of feedback prevents the probation office or the volunteer from truly assessing any impact resulting from probation, counseling, etc. On the other hand, the schools are frequently denied knowledge about the involvement on the part of a delinquent student with the criminal justice system. Several of the sites studied reported that the stated reason

for this lack of feedback from the schools is the alleged fear of school officials that to provide such information would constitute a violation of the recently enacted Privacy Act. At those sites which report adequate to excellent liaison and cooperation with the school system, it was uniformly accomplished on an informal basis and appeared to rest on the personalities involved.

CONCLUSION:

That there is no consistent policy between school districts regarding cooperation with juvenile probation offices and their volunteer adjuncts. Where such liaison is inadequate or does not exist, it seriously hampers the efforts of the criminal justice system at large in monitoring deviant behavior and effecting meaningful modification of that behavior. More particularly, it is a major factor in the inability to assess the effectiveness of innovative programs such as the volunteers in probation concept.

RECOMMENDATION:

That the ICJPA request an opinion from the state Attorney General that would define the conditions under which schools and courts can legally share information on the behavior of juveniles.

7.7 Goal and Objective Identification

FINDING:

Without exception, the sites studied had made only a superficial and perfunctory identification of the goals and objectives of its VIP project or its intern project.

CONCLUSION:

A detailed definition of the goals and objectives of such projects is desirable. Such a definition would first assist in the valid evaluation of the impact of programs. Such detailed goals and objectives would have to be predicted on existing data. Where the site is compelled to scrutinize these data and use them as a basis in formulating goals and objectives, that scrutiny will result in an appreciation of the deficiencies in data. This realization could result in an aggressive data collection activity designed to support both progress reporting and project evaluation. In addition to program goals and objectives, it was found that it was the rare volunteer who sat down with his probationer and attempted to define what the goal of their relationship would be. This inevitably left the volunteer bereft of a sense of purpose. More importantly, it can create confusion and false expectation on the part of the juvenile probationer.

RECOMMENDATION:

That sites be required to establish specific project goals and objectives. Further, that each volunteer who is assigned a case enter into an explicit (though informal) agreement with his or her respective probationer in which the goals and objectives specific to that probationer are spelled out.

7.8 Information Dissemination

FINDING:

The Indiana Department of Correction promulgated several manuals which provided policy and procedures guidance to probation officers in running Volunteers in Probation projects. Only two of the ten sites studied knew of these manuals and had used them.

CONCLUSION:

That there is a need for some agency involved in the grant process to serve as a clearinghouse for manuals and other guidance that would be of interest to more subgrantees.

RECOMMENDATION:

That the ICJPA issue, with the approval of each grant application for a VIP project, the current edition of all policy and procedures manuals which are congruent with ICJPA policy. As an alternative, ICJPA should consider notifying the Director of Probation in the Department of Correction of each project at its inception and requesting that the DOC issue manuals to the site.

7.9 Life Activities Inventory

FINDING:

Data at all sites were found to be inadequate for the purposes of making a valid determination--based on quantitative data--of effectiveness. There was a particular dearth of information from the juvenile offenders referred to the volunteer program and changes in their living styles attributable to court intervention.

CONCLUSION:

VIP sites have an urgent requirement for instruments to measure changes in juvenile offenders who are referred to innovative programs such as volunteers in probation.

RECOMMENDATION:

That the ICJPA in its role of central coordinator for projects and as an agent for the transfer of technology assess the Life Activities Inventory instrument recently developed for the National Highway Traffic Safety Administration (DOT Contract #DOT-HS-191-3-759). This instrument was developed by the University of South Dakota and is designed to measure changes in attitudes and life styles as a result of court referrals to rehabilitative/counseling type programs. While still undergoing testing and refinement, this instrument has thus far shown more promise than any other known to the project staff. Its adaptation to general probation activities would require only the deletion of the alcohol questions. A copy of the current version appears in the appendices.

7.10 Data Collection

FINDING:

All of the sites studied were afflicted with glaring deficiencies in data. Further, they evidenced little concern for meaningful and accurate evaluation of their programs. The lack of consistency in goals, objectives, procedures and policies would make program evaluation--as dis-

tinct from evaluating a particular project--impossible, even if data were available.

CONCLUSION:

a) If funded projects are to be successfully evaluated on an individual basis, there must be an effort by site personnel to collect accurate, relevant and timely data.

b) If efforts to evaluate the impact of the VIP program are to be successful (i.e., all sites funded), then there must be consistency between projects in goals, objectives, referral criteria, definitions, and policies and procedures, as well as the collection of uniform, site-specific data.

RECOMMENDATION:

a) That the ICJPA require subgrantees who apply for funding of volunteer projects to meet data collection and operational criteria outlined above. Further, that the ICJPA consider the provision of technical assistance for each such program funded. The purpose of such technical assistance would be to assist in the design and implementation of a tightly controlled design at each project in order to ensure that meaningful project and program evaluations can be undertaken.

7.11 VIP Project Goals

FINDING:

That the data collected during this study show few significant differences between experimental and control sites.

CONCLUSION:

That the stated or implied purpose of the VIP program to either a) reduce the caseload of regular probation officers or b) allow greatly increased interaction with other community service agencies to better rehabilitate offenders and thus reduce recidivism have not been achieved, with exceptions noted in Section 4.0. This is not to say that volunteer programs have no effect, or are of no value. As an adjunct or supplement to other probationary services, they may indeed be achieving worthwhile and lasting change among referred offenders, but such changes were not observed in this study.

RECOMMENDATION:

That the ICJPA ensure that communities which request funding for such programs be made aware of what such programs apparently can--and cannot--be expected to accomplish, in the terms in which they are described in this report. Further, that grant applications spell out goals and objectives for volunteer programs which are consistent with their actual capabilities, and which, hopefully, are capable of being accurately and reasonably measured as to whether or not these goals were achieved. VIP projects may be of value; but the reasons used to justify funding frequently are not empirically supportable. To augment the efforts of a probation officer would appear to be just as legitimate a goal

as to replace him in some pre-determined types of cases,
and is certainly a goal more reachable than drastic reduction
in recidivism.

APPENDIX A

PROBATION: A LEGAL OVERVIEW

A.1 Probation Departments--A General Discussion

When dealing with adult probationers, the primary goal of probation is to assist them to adjust to society and to cope with their daily environment in order to protect society further by preventing possible future crime. In addition, the probation department must ensure that the probationer is fulfilling the terms of his probation. Achievement of these goals means extensive contact with the probationer and monitoring of his problems. Accordingly, the adult probation officer provides both opportunities for one-to-one counseling and referral to specialized agencies for specific problems. He may also become involved in identification of job possibilities.

With regard to juveniles, the goals of the probation department are basically similar, but the methods of handling juvenile probationers are somewhat different. Generally speaking, juvenile courts appear to be placing more and more juveniles on informal probation. The probation department tries to assist each youth referred to it by identifying his problems, ascertaining the best alternative solutions, and following whatever course of action seems appropriate. Most departments emphasize prevention of delinquency (as well as supervision of offenders), as is indicated by the acceptance of many minor delinquency cases.

A.1.1 Legal Description*

The policies and personnel of the county probation departments in Indiana are to a certain extent determined by a state agency, the Indiana Department of Correction. Within this department, the Division of Probation has the responsibility of exercising general supervision over the administration of juvenile and adult probation in all courts throughout the state. The Division is further charged with keeping informed concerning the wards of all probation officers. It has access to all probation officers and is required to promulgate general rules which will regulate the methods of procedure in the administration of probation, including investigations, supervision, case work, record keeping and accounting.

The Division is required to conduct competitive examinations from time to time to establish lists of persons eligible for appointment as probation officers, to prescribe the qualifications for entrance to these examinations, and to establish rules for the conduct of the examinations and for the eligibility of candidates for appointment.

It is the duty of the Division of Probation, with the assistance of a probation standards and practices committee appointed by the director of the Division, to adopt and

*Much of the materials in this section first appeared in The Criminal Justice System in Monroe County, Indiana, prepared for ICJPA Region VI, June 1, 1972. Appropriate revisions have been made.

prescribe, subject to the approval of the Department of Correction, minimum standards for the operation of probation practices, selection of probation personnel, establishment of salary levels and to prepare a method of assessment of probation practices within the state. These standards are to be sufficiently flexible to foster the development of new and improved probation practices.

The Division may arrange conferences of probation officers or of judges. It is required to prepare an annual report covering the work of the Division for the preceding fiscal year and including statistical and other appropriate information concerning the administration of probation services throughout the state. All juvenile and adult probation officers are required to submit such reports to the Division as it may require on prescribed forms. The Division is required to compile and publish annually a list of the probation officers of the state.

Under the general policies of the state Division of Probation, the county probation departments function within certain prescribed limits. The operations described in the following paragraphs apply generally to all counties in the state.

Adult Probation

One or more probation officers may be appointed to serve courts under the direction of the appointing judge, as the

needs of the court shall require. The judges of two or more courts within a county or in adjoining counties may jointly appoint a probation officer to serve in their respective courts.

It is the duty of a probation officer to investigate all cases referred to him for investigation by the court. He is to furnish to each person released on probation under his supervision a written statement of the conditions of probation and to instruct him regarding these conditions. The officer must keep informed concerning the conduct and condition of each person on probation under his supervision by visiting, requiring reports, and in other ways. He is to report on his probationers at least monthly to the court placing the person on probation. At the close of the probation period or whenever directed to do so by the court, the probation officer must report to the court with a statement of the conduct of the probationer while on probation. The officer shall use all suitable methods not inconsistent with the conditions imposed by the court to aid and encourage persons on probation and to bring about improvement in their conduct and condition. He is to keep a detailed record of his work.

Whenever a precommitment investigation is required in a criminal case, the probation officer must prepare such a report. The probation officer making the investigation must

inquire into the circumstances of the offense and make such investigation as is prescribed by the state probation director of the Department of Correction. In addition, he must perform such other duties as the court may direct. A probation officer is required to give bond if the court desires. Any probation officer, with the approval of the appointing judge, may also act as parole officer over persons released from any correctional institution upon the request of the correctional authorities.

A probation officer in the execution of his duties has the powers of a constable or county sheriff insofar as such powers are necessary to carry out his statutory duties. At any time within the probation period the probation officer may arrest the probationer only upon a warrant issued by the sentencing court.

Juvenile Probation

A juvenile probation officer for the purposes of carrying out the provisions of the juvenile court laws and the Indiana Juvenile Code has the following powers and duties;

- Make such investigations, reports and recommendations as the court may direct, and keep a written record of such investigations, reports and recommendations. He must report his disposition of any child placed in his charge to the judge of the juvenile court. He is also required to make a report of each visit with a child to the court concerning the condition surrounding the child at the time of the visit.
- Receive and examine complaints and charges of delinquency, neglect or dependency for purposes of considering the commencement of proceedings.
- Make informal adjustments.

- Make and submit the investigator's report required for a dispositional hearing by the Indiana Juvenile Code. Such report must include an investigation of the child's home and environmental situation, his previous history, and any other factors relevant to the treatment and rehabilitation of the child as prescribed by the state probation director of the Department of Correction.
- File a petition for adjudgment of dependency, neglect or delinquency of a child when so authorized by the court.
- Supervise and assist by all suitable methods a child placed on probation or in his care by order of the court or other authority of law, including, unless excused by the court, visiting every child placed under his charge at least twice a year.
- Keep complete records of his work and comply with any order of the court concerning the collection, protection, and distribution of any monies or property coming into his hands.
- Perform such other functions designated by the juvenile court statutes, by the Indiana Juvenile Code, or by the court.
- Not disclose outside the probation department any information and data received in the discharge of official duties unless ordered by the court.

A probation officer, in the interest of the child, must be present at all hearings and trials before the juvenile court concerning children.

A.1.2 Organization

The main purpose of the statewide Division of Probation is to upgrade and improve, as well as to establish, significant programs for the probation departments throughout the 92 counties of Indiana. Present thought on the organizational structure for the Division of Probation may be summarized by

saying that while certain universal principles apply to all probation units the specific or detailed organization of each individual unit must be designed to meet local conditions and needs. The organization of a county probation department to a great extent will depend upon the type of court or courts served, the volume of work, the size of staff, and related local problems.

A.1.3 Functions

Referrals of juveniles to a juvenile probation officer are made by any person, organization, or agency which has a complaint on the behavior of a youth. A juvenile may be apprehended and detained by law enforcement officers for allegedly committing an act, which, if committed by an adult, would be considered a crime. School counselors and social workers often refer youths who present serious problems to the school system to the probation department. Cases may also originate from a number of other sources, e.g., parents, welfare department, or local businesses.

The decision as to how the case will be handled depends upon the individual youthful offender and the nature and severity of the case and is entirely up to the discretion of the probation officer handling the case. Cases can be treated as formal, informal, warned and dismissed, or social service cases.

Formal cases are those in which the probation officer has decided to take the juvenile into court (i.e., before the

juvenile court judge/referee) to have him declared delinquent. In such cases the probation department files a petition with the clerk of the court stating the acts which the child is alleged to have committed. The probation officer prepares a summary of the case and makes recommendations to aid the court in determining the appropriate sentence. If the youth is declared delinquent, the court will decide whether the child will be sent to a state correctional institution or be placed on official probation.

If official probation is selected, an initial conference is held between the probation office, the juvenile, and his parents. Subsequent conferences are usually just between the probation officer and the juvenile. Such conferences last anywhere from 30 minutes to three or four hours, most lasting between 30 and 60 minutes. The frequency of such conferences and suggestions for referrals are solely the decision of the probation officer. The length of the probation is determined by the juvenile court judge/referee and is usually at least six months. A standard form is presented to the youth at the court hearing which outlines conditions of probation which must be obeyed in order to avoid further contact with the court. The juvenile court judge/referee, however, may impose upon the youth special conditions of probation as he may deem best.

In general, the number of formal adjudications of juvenile cases has steadily declined primarily because of

the increasing use of informal probation. Informal probation constitutes an officially sanctioned attempt to divert youthful offenders, especially younger, first-time, minor offenders, from the normal criminal justice system processes and to handle them in some other fashion. Frequently, a case handled informally is managed by the chief probation officer without the intervention of the judge, although in some jurisdictions judges hold off-the-record hearings in informal cases and dictate disposition. An informal case is distinguished from a formal one primarily in that no petition is filed with the court in an informal case.

The terms of informal probation are normally much the same as those of formal probation, except that there can be no direct penalty for violation of those terms. There is of course always the implicit threat that the probation office can file a petition with the court at any time the juvenile fails to make the anticipated progress under informal supervision, and that any subsequent offenses will be treated even more harshly than they might otherwise have been.

Warned and dismissed cases are generally minor cases which involve an initial conference between the probation officer, the youth and his parents, and, in some instances, the referral source. The incident is discussed and analyzed. A warning is given to the youth to avoid further asocial behavior and the case is dismissed.

Some juvenile problems are also handled as social service cases. These are not strictly probation cases but rather require some type of order maintenance function involving a group of youths. The probation department usually agrees to take these referrals as a service to the community. These cases involve at least an initial conference and often require considerable time to be resolved.

The probation department has two functions in relationship to adult offenders: pre-sentence investigations, and supervision of probation. When an adult offender has been found guilty, the judge may request a pre-sentence investigation in order to determine the most appropriate sentence. The adult probation officer then gathers all pertinent information on the defendant, such as his personal and social history and prior criminal records. The probation officer then evaluates the significant factors in the offender's life and compresses them into a readable summary and recommendations for a treatment plan.

When an adult is placed on probation as a result of a court sentence, he comes under the direct supervision of an adult probation officer. An initial conference is arranged between the adult probation officer and the probationer, primarily to interpret the conditions of probation and to discuss his needs and plans for treatment. Subsequent conferences, counseling sessions, and suggestions for referrals

are at the discretion of the adult probation officer. Generally, the adult probationer is experiencing problems which involve finances, health, and family. The probation officer will attempt to give the probationer assistance in several ways:

1. Working with state and private employment agencies and local businesses in locating jobs.
2. Providing probationers with a one-to-one counseling situation.
3. Referring adults to public and private agencies which offer services which may help him with his problems.

If a probationer engages in proper conduct during the length of the probationary period as set by the judge (usually one year), he will probably receive a final discharge upon recommendation of the probation officer. If the adult probationer violates any of the rules associated with terms of his probation, the probation officer may file a petition for revocation of probation with the prosecutor. In most instances the probation officer will request revocation only if the probationer presents serious or persistent violations of probation conditions.

A.2 The Role of the Police in the Juvenile Justice Subsystem*

With the changing role of the police officer in today's society it is important that every police agency should strive to meet each challenge. The changing life styles and the

*Prepared as part of the commentaries to the Indiana Criminal Justice Standards and Goals.

pressures of family life today are contributing more and more to the juvenile coming into contact with members of the police agency, either through criminal violations or through social contact in schools, churches, or youth groups. With the increase in juvenile involvement with the police agency, it is important that each police agency have selected personnel, or a juvenile bureau, to handle cases involving juveniles. Contact with juveniles should not be dependent upon criminal or deviant behavior. A police officer can many times be a positive influence on children acting as an adult model for them to relate to outside of the criminal sphere, thus decreasing the chances of these children becoming delinquent. The police officer can many times act as the deciding influence in social problems involving children by referring them to the proper agency.

A.2.1 Related Indiana Law

Juveniles coming to the attention of the police are of three descriptions. A delinquent child is defined as any person under the age of eighteen who commits an act which, if committed by an adult, would be a crime; is incorrigible; is habitually truant; or is in violation of curfew. A neglected child is a person under the age of eighteen who does not have proper parental care or guardianship; is destitute, homeless, or abandoned; habitually begs or receives alms; by reason of neglect or disrepute on the part of the parents is living in an improper place; or is in an environ-

ment dangerous to life or limb, or injurious to health or morals. A dependent child is a needy person under the age of 16, or under the age of 18 if regularly attending school, who has been deprived of parental support or care by reason of death, continued absence, physical or mental incapacity, and whose relatives are unable to provide adequate support or care without public assistance.

Indiana law mandates basic training and makes available in-service training by the Law Enforcement Training Board. There are no training courses in preventing delinquent behavior in the mandatory basic training curriculum. However, the Law Enforcement Training Board is authorized to develop in-service and advanced training courses to fulfill specific needs of agencies of the state or its political subdivisions. Courses in the prevention of juvenile delinquency may, therefore, be developed by the board. In addition, the director of community services of the Indiana Youth Authority (a division of the Department of Corrections) is to disseminate information, make speeches and surveys, give technical assistance and evaluate proposed local treatment and detention facilities to prevent or reduce juvenile delinquency in any community in Indiana.

The State Department of Public Welfare handles the assistance to be given to neglected and dependent children. Among its duties is research into crime, delinquency and the cause of dependence. When requested, the department is also

to assist other departments, agencies and institutions of the state in performing services furthering the purpose of the welfare department.

All peace officers must report to the court any knowledge of a dependent, neglected or delinquent child within the county. Abandoned or neglected children are proper subjects of a search warrant. Presumably, any information about dependent, neglected or delinquent children gained under the authority of a search warrant must be reported to the court. The county Department of Public Welfare [an agent of the State Department of Public Welfare] is to give prompt notice to law enforcement officials of the furnishing of aid to dependent or abandoned children. Neglected children receiving care from an authorized agency need not necessarily come to the attention of the court. A runaway child may be returned home by the officer finding the child. If he or she objects to being returned home, the officer may select a temporary, alternative place to keep the child in such a case. The officer shall immediately report his actions to the appropriate court.

Upon receiving any such information, the court shall notify the probation officer of the pendency of the action. The probation officer is to make a preliminary inquiry considering the child's previous history, home environment and the circumstances of the alleged condition or offense to determine whether the best interests of the child and society

require that further action be taken. All local and state police officers are required to furnish any records of the child the probation officer may request for the preparation of a pre-hearing investigation report. When the pre-hearing investigation report is completed, the court, after consulting with the probation officer, may determine that the child is not guilty of the offense charged, or that his or her best interests will not be served by prosecution. In such a case; the child will not be brought to court, but will be permitted to remain with the parents or guardian. If the case is not dismissed, the probation officer will file a petition with the court asking that the child be adjudged delinquent, dependent or neglected.

The court will then issue a summons stating the time and place the child and parent or guardian is to appear. Service of summons shall be made by the sheriff or an officer of the court. Unless it is impracticable, or he is otherwise ordered by the court, the officer issuing summons will leave the child in the care of the parent or guardian, accepting his or her written promise to bring the child to court at the stated time. When it appears that the child's surroundings may endanger his or her well being or that service of summons will be ineffectual, the judge of the court may issue a warrant, or endorse upon the summons an order that the sheriff or officer take the child into immediate custody. Any peace officer may, however, without a warrant, immediately

take into custody a child found violating a law or ordinance, or reasonably believed to be a fugitive from justice, or whose surroundings are such as to endanger his or her health, morals, or welfare unless immediate action is taken. When a police officer does take such a child into custody, such fact should be immediately reported to the court. The trial court may order that a child 15 years or older be fingerprinted and photographed for identification purposes. When so ordered, the fingerprints and photograph of the child will be kept by the appropriate sheriff or police department in a separate file.

No child under the age of 14 shall be placed in any jail, lock-up or police station pending trial. If such child is unable to give bail, he or she may be placed in the care of the sheriff, police matron or probation officer who shall keep the child in some suitable place. No child who is alleged or determined to be a dependent or neglected child shall be incarcerated in a county jail, city lock-up, detention center, state penal institution, Indiana Boys School, or Indiana Girls School. No child shall be detained in any police station or other place where he or she may come into contact with any adult convicted of a crime. If the child's conduct is a menace to other persons, the consent of the judge or probation officer is required to place the child in a separate room in an adult detention center. Any police

department maintaining a juvenile aid division is permitted to place a delinquent child in a specially provided room in the police station where he or she shall not come into contact with adult offenders. Juveniles in county prisons must be treated with humanity and, if possible, in apartments separate from those containing experienced and hardened criminals. It is the duty of sheriffs to follow the rules and regulations for the control of prisoners in county jails which are formulated by the Department of Correction. These rules require the separation of the young and inexperienced in crime from the vicious and criminal.

If the court finds the child guilty of the offense charged, or neglected or dependent, he or she may be returned to the parents, committed to the care of a volunteer probation officer, placed in the family of some suitable person, placed in a home where dependent children are kept, or required to pay a fine. If the child is found to be guilty of the offense charged and appears willfully wayward or unmanageable, the court may commit him or her to any state penal or reformatory institution authorized by law to receive such a boy or girl. Fugitives from either the Indiana Boys School or the Indiana Girls School may be arrested and returned to the institution by any officer or citizen.

When a delinquent child has been of good behavior for at least two years, the court may hold a hearing to determine whether the child has been reformed. Sheriffs and

police officers must produce files and records on the delinquent child if requested by the court. If the delinquent is adjudged reformed, the entire record of the case, including records produced by the sheriffs and police chiefs may be destroyed.

APPENDIX B
RECOMMENDED GRANT
APPLICATION REVIEW PROCEDURES

B.1 Overview

This section suggests procedures and criteria to be used in evaluating applications for grants for volunteers in probation and student intern probation officer projects. For the most part, references will be to Sections 5.0 and 6.0 of this report, which contain information on the types of projects that appear to have worked in the past, and on appropriate ways to state goals, objectives, and activities. Guidelines will be presented in the forms of questions the corrections coordinator should ask when reading the application form.

B.2 VIP Project Applications

B.2.1 Items A through G, 1, 2, and 3

Check for completeness and apparent accuracy.

B.2.2 Item 4--Project Director

If the proposed project director is a probation officer, check with the regional office to learn if the application has the active support of the chief probation officer and of the relevant court.

If the proposed project director is a judge, check to be sure that it is the judge to whom the chief probation officer reports. Grant applications listing a junior judge on a multi-judge bench should be treated with great caution, as some disagreement among judges concerning the appropriateness of the project might be indicated. Generally speaking, the

project director should be an individual who is in a position to ensure that referrals are in fact made to the project, or it should be well understood that support from such an individual is present.

B.2.3 Item 5--Project Financial Officer

Check accuracy of title of financial officer against item 5 instructions.

B.2.4 Item 6--Funding

Check arithmetic. Federal share should be the appropriate percentage of total project costs as indicated in item D above.

B.2.5 Item 7--Award Benefit

Check arithmetic, and check allocation against statement of problem and objectives to see if the incidence of benefit to adults and juveniles appears reasonable. The total for item 7 should equal the federal share for item 6.

B.2.6 Item 8--Future Funding

It should be assumed that applications for VIP projects will involve funding for three years, and this item should reflect that assumption. Questions to ask in evaluating this item include:

- Are anticipated future pay raises reflected in the future funding budgets?
- Is any assumption of a gradually increasing local share incorporated, and if not why not?

B.2.7 Problem Statement

Look for the support data for this item. Acceptable problem statements include:

- The department needs to provide more contact time with juvenile probationers. Current caseloads permit only one-half hour per month, and one hour per week is considered desirable.
- Current probation officer caseloads in the department average 80, as opposed to a desirable 50. Volunteers will be used to help reduce caseloads in order that the probation officer staff might devote more time to the development of ties with community service agencies whose assistance can be valuable to our clientele.
- The department has an average of 25 probationers at any given time who need intensive tutoring services. Inadequate staff time is available to provide these services, and it is desired to recruit volunteers to perform the service.
- Department activities have greatly expanded in the areas of diagnosis and referral to other community agencies, resulting in a greatly increased load at the intake level. It is desired to recruit volunteers to assist in the intake and referral process, and to monitor the activities of probationers referred to other agencies.

If it is proposed to use volunteers to reduce probation office caseloads, the objectives and cost should be very carefully checked to see if the same objectives might not be better accomplished by the addition of a full-time probation officer. Simple cost per case computations before and after potential implementation of the VIP project will provide this information. In general, careful attention should be paid to the relationship between cost and additional services provided in the form of time spent with probationers. Care-

ful attention should be paid to administrative costs and their relationship to the cost of providing the same service with professional staff.

B.2.8 Item 10--Objectives

For structure refer to the instructions for page 2. The IRPS recommendations for appropriate fundable objectives for VIP projects are outlined in section 5.0 of this report, as are activities required to meet those objectives. In evaluating grant applications, examine the objectives to see that they are related to the problem statement in item 9 above, and check to see if they are among those listed in Section 5.0. In particular, objectives concerning recruitment of volunteers and matching of volunteers to probationers should be closely related to caseload figures presented in the problem statement.

Under each objective action steps should be listed. An objective to match 20 probationers to volunteers in the first year of a project should include action steps of at least the following:

- assignment of administrative responsibilities (or recruitment of coordinator);
- dissemination of informational materials on the project;
- identification of a clientele, and the schedule on which probationers will become available for matching;
- recruitment of volunteers (with the schedule tied to that for the availability of the clientele);
- training of those volunteers;

matching; and,
early monitoring.

The start and completion dates should be reasonable within the context of the size and nature of the program. For example, a large project with a full-time coordinator would probably require a longer lead time for planning, public information, recruitment, and training than would a small project that depended upon the current resources of the probation department to gradually recruit and train a few volunteers each month or two. As a general rule, however, at least a month should be allowed for a public information campaign, and a month should be allowed for volunteer recruitment, but these two activities could overlap. A week or two should be allowed for initial training, and about a month should be allowed for completion of first matches once both volunteers and probationers are available for match.

The curriculum description for volunteer training should be attached, as should a description of the training personnel.

B.2.9 Budget Detail

The principle concern of the corrections coordinator in this area is to determine the type of individuals the proposed project expects to employ. Special attention should be paid to individual consultants and to determine the type of work that they are expected to do. For example, if a training consultant is to be used, the coordinator should check the

number of days allocated for the training consultant with the number of training sessions that are indicated in the project objectives and action steps. Care should also be taken to ensure that the amount of personnel time allocated to the project is in accord with the proposed workload. For example, the management of a volunteer organization that had an active caseload of 20 should not cost more than the department's cost of providing normal probation services to 20 probationers. In a department with a normal caseload of 60, this means that the project should not be expected to bear more than the equivalent of the cost of 1/3 of one probation officer for the management of volunteers to process 20 cases. Obviously, if the overall goal of the project is to provide intensive supervision of a group of probationers, a time basis rather than full-time equivalent basis must be used for this comparison.

B.3 Student Intern Probation Officer Applications

The project goals and objectives outlined in Section 6.0 should be adhered to by departments applying for intern grants. The evaluation of these applications is very straightforward: it requires only that the applicant demonstrate an awareness of the overall goals of student intern probation officer projects; and that a specific objectives and action steps list outline a schedule for orientation and on-the-job training that would lead to the gradual assumption of all probation

office duties. If the department expects to rotate interns through different types of activities, the rotation schedule should be included among the action steps in project schedule.

In the process of making comparative judgments between applications for intern projects, those that display the most detailed and carefully prepared schedules for orientation and training should be favored.

In the budget section of the application, care should be taken to ensure that the project has provided for payment of at least minimum wage, which has recently changed, and that employee benefits such as social security have been provided for. Additionally, projects that expect interns to do home visits and investigative work should provide for transportation expenses.

APPENDIX C

LIFE ACTIVITIES INVENTORY FORM

ASAP SHORT TERM REHABILITATION STUDY
LIFE ACTIVITIES INVENTORY: SECTION THREE
INITIAL INTERVIEW

U.S. DEPARTMENT
OF TRANSPORTATION

NATIONAL HIGHWAY TRAFFIC
SAFETY ADMINISTRATION



BACKGROUND INFORMATION

AGE _____

DATE OF BIRTH ____/____/____
month day year

SEX

- 1 Male
- 2 Female

RACE

- 1 Caucasian/Anglo
- 2 Black
- 3 Mexican American
- 4 American Indian
- 5 Oriental
- 6 Other

RELIGIOUS PREFERENCE

- 1 Protestant
- 2 Catholic
- 3 Jewish
- 4 Other Religious Preference
- 5 No Religious Preference

RESIDENCE

- 1 In ASAP Jurisdiction
- 2 Outside ASAP Jurisdiction

EDUCATION (Circle highest completed)

GRADE SCHOOL								HIGH SCHOOL				COLLEGE				POST COLLEGE				
1	2	3	4	5	6	7	8	1	2	3	4	1	2	3	4	1	2	3	4	or more

NUMBER OF TIMES MARRIED (Circle number).

0 1 2 3 4 5 6 7 8 9 or more

LIFE ACTIVITIES INVENTORY

1. What is your current occupation?

enter title and/or brief description

[] []

2. Which one of the following categories best describes your occupation at the present time?

check one box

- 1 Professional (for example doctor, lawyer, college teacher, banker, engineer)
- 2 Manager (for example small businessman, administrator, farm manager, farmer, etc.)
- 3 Sales/Clerical/Communication (for example salesman, store clerk, secretary, telephone operator)
- 4 Skilled labor/craftsman (for example plumber, mechanic, machinist, foreman, heavy equipment operator, heavy truck driver, etc.)
- 5 Unskilled labor (for example, construction labor, farm labor, factory worker, etc.)
- 6 Service work (for example, maid, janitor, waitress, waiter, gardener, etc.)
- 7 Teacher (elementary and secondary, not college)
- 8 Housewife
- 9 Student
- 10 Not working

[] []

*if the client is not currently working, skip to question 4:
if the client is currently working, ask the following . . .*

3. In your present job, or jobs, how many hours do you usually work per week?

enter the number of hours to the nearest hour [] []

[] []

4. Of the following categories, which one or ones best describes your current primary income source?

check one or more boxes

- Earned income (for example, salary, wages, tips)
- Pensions, Social Security, etc.
- Support by others (such as family, spouse, friends, etc.)
- Public assistance (for example, welfare, unemployment compensation, aid to dependent children)
- No income (for example, living on savings)

[] [] [] [] [] [] [] [] [] []

5. What is your present total family monthly income before deductions for taxes and other things?

enter the amount to nearest the dollar \$ [] [] [] [] [] [] [] [] [] []

[] [] [] [] [] [] [] [] [] []

6. How many days, that you normally would have worked, did you miss in the past 30 days?

enter the number of days [] [] [] [] [] [] [] [] [] []

[] [] [] [] [] [] [] [] [] []

*If the number of days missed is zero, skip to question 10;
if the number of days missed is not zero, ask the following . . .*

7. How many of these days did you miss work because you were ill?

enter the number of days [] [] [] [] [] [] [] [] [] []

[] [] [] [] [] [] [] [] [] []

8. How many of these days did you miss for other reasons you would consider acceptable to your employer, such as a death in the family, jury duty, bad weather, etc.?

enter the number of days [] [] [] [] [] [] [] [] [] []

[] [] [] [] [] [] [] [] [] []

9. How many of these days did you miss work for personal reasons other than the previous two, such as just not feeling like going to work, etc.?

enter the number of days

The sum of responses to questions 7, 8, and 9 must equal the response to question 6.

10. In the past 30 days, how many times have you been "chewed-out" or verbally disciplined by people at work, whether or not you argued back?

enter the number of times

11. In the past 30 days, how many arguments have you had with people at work?

enter the number of arguments

If the number of arguments is zero, skip to question 13; if the number of arguments is not zero, ask the following . . .

12. How many of these arguments involved physical injury or attack, that is, striking someone or being struck?

enter the number of arguments involving injury or attack

13. Has your primary source or sources of income changed in the last 6 months?

check one box

Yes

No

If no, skip to question 15; if yes, ask the following . . .

14. Which one of the following categories best describes the impact of the change or changes in source?

check one box

1 Generally good or favorable

2 Neither favorable nor unfavorable

3 Generally bad or unfavorable

15. Has the amount of your monthly income changed in the last 6 months?

check one box

Yes

No

If no, skip to question 18; if yes, ask the following . . .

16. Has your income increased or decreased?

check one box

Increased

Decreased

17. By what amount has your monthly income changed?

enter the amount of change to the nearest dollar \$

18. How many times have you quit a job in the last 6 months?

enter the number of times

If the number of times is zero skip to question 21; if the number of times is not zero, ask the following

19. How many times did you quit with a new job already lined up?

enter the number of times

20. How many times did you quit with no new job lined up?

enter the number of times

The sum of responses to question 19 and 20 must equal the response to question 18.

21. How many times have you been discharged (fired or layed off) from a job in the last 6 months?

enter number of discharges

If the number of discharges is zero, skip to question 25; if the number of discharges is not zero, ask the following . . .

22. How many of these discharges were the direct result of a drunk driving arrest (lost license, job requires driving; company policy, etc.)?

enter number of discharges

23. How many of these discharges were for reasons such as strikes, general or seasonal layoffs, plant closings, etc.?

enter number of discharges

24. How many of these discharges were for other reasons such as poor work performance, personality conflicts, etc.?

enter number of discharges

The sum of responses to questions 22, 23 and 24 must equal the response to question 21.

25. Have you been promoted or assigned additional job responsibilities in the last 6 months?

check one box

1 Yes

2 No

26. During the last 6 months, have you participated in any formal education or training to increase your work skills or to provide career advancement?

check one box

1 Yes

2 No

If no, skip to question 28; if yes, ask the following . . .

27. How much of your time, in the last 6 months, has been involved in this formal education or training? Include both class time and homework time.

check one box

1 Nine hours or less

2 Ten to twenty hours

3 Twenty to seventy-five hours

4 More than seventy-five hours

28. Have you received any bonuses or other rewards for good work performance during the last 6 months? Include merit raises, sales awards, and any other formal recognition of work performance such as certificates, acknowledgement in company newsletters, etc... Exclude normal raises for cost of living, union contracts, etc...

check one box

1 Yes

2 No

29. Are you currently taking any drugs or medications for the relief of temporary physical conditions such as the flu, a cold, etc.?

check one box

1 Yes

2 No

30. Are you currently taking any drugs or medications for the relief of chronic physical conditions such as heart trouble, arthritis, diabetes, hay fever, asthma, etc.?

check one box

1 Yes

2 No

If no, skip to question 32; if yes ask the following

31. How long have you been taking a drug or medication for this reason?

check one box

- 1 One month or less
- 2 One month to one year
- 3 More than one year

32. Are you currently taking any drugs or medications such as tranquilizers, sleeping pills, stimulants, etc., for the relief of tension, depression nervousness, or similar conditions?

check one box

- 1 Yes
- 2 No

If no, skip to question 34; if yes, ask the following

33. How long have you been taking a drug or medication for this reason?

check one box

- 1 One month or less
- 2 One month to one year
- 3 More than one year

34. Are you currently taking any drugs or medications other than alcohol to produce "highs" or altered states of consciousness?

check one box

- 1 Yes
- 2 No

If no, skip to question 36; if yes, ask the following

35. How long have you been taking a drug or medication for this reason?

check one box

- 1 One month or less
- 2 One month to one year
- 3 More than one year

36. How many different medications or drugs are you currently taking? Include all drugs mentioned in previous questions and any other drugs you are currently taking such as, antabuse, methadone, vitamins, birth control pills, antacid tablets or liquids, pain killers, etc...

enter the total number of medications or drugs

37. On the average, how many hours sleep per night did you get for the last 7 nights?

enter the number of hours

38. On which of the last 7 days have you been bothered by each of the following health problems? Do not include specifically alcohol related ailments.

It would be helpful to work through the preceding week one day at a time and ask if any of the listed physical problems occurred on Monday, then Tuesday, etc.

check appropriate boxes

	Mon	Tues	Wed	Thur	Fri	Sat	Sun	
Digestive problems	<input type="checkbox"/>							
Headaches	<input type="checkbox"/>							
Sleep problems	<input type="checkbox"/>							
Nervousness	<input type="checkbox"/>							
Fatigue/weakness	<input type="checkbox"/>							
Muscular aches	<input type="checkbox"/>							
Allergies, asthma, etc.	<input type="checkbox"/>							
Colds, flu, etc.	<input type="checkbox"/>							
	<input type="checkbox"/>							

40. On the average, how many hours sleep per night did you get for the last 7 nights?

enter the number of hours

39. How many times in the last 30 days have you visited a doctor, hospital, or other medical treatment facility for each of the following reasons relating to your own health care?

Be sure all alcohol related visits whether directly alcohol related (e.g. detoxification) or indirectly alcohol related (e.g. injury received as the result of drunkenness) are included in the "alcohol related problems" category.

reasons

enter the number of times

Alcohol related problems such as vitamin deficiency, cirrhosis of the liver, injury incurred while drunk, drying out, etc.

Chronic physical conditions such as heart trouble, ulcers, diabetes, arthritis, etc.

Accidents or injuries such as sprains, fractures, cuts, lacerations, etc.

Treatment of temporary illness or ailments such as flu, infections, rashes, pneumonia, etc.

Regular physical checkups

40. During the past 30 days, how many days have you been physically ill, whether or not the illness forced you to miss work?

enter the number of days

41. During the last 5 months have you voluntarily sought psychiatric or psychological help or counseling?

check one box

1 Yes

2 No

If no, skip to question 43; if yes, ask the following

42. Did you seek such help for problems related to alcohol?

check one box

- Yes
 No

43. How many of each of the following types of drinks have you had on each day of the past 7 days?

It would be helpful to work through the preceeding week one day at a time and record the number of drinks of each type for Monday, then proceed to Tuesday, etc.

Record malt liquor as 2 drinks beer and fortified (18-20%) wine as 2 drinks wine

enter the numbers of drinks in boxes

	Mon	Tues	Weds	Thurs	Fri	Sat	Sun	
12 oz. beer	<input type="text"/>							
1 oz. liquor	<input type="text"/>							
4 oz. wine	<input type="text"/>							
	<input type="text"/>							

1 quart beer = 2-2/3, 12 oz. beers

1/2 pint liquor = 8, 1 oz. drinks liquor

1 pint liquor = 16, 1 oz. drinks liquor

1 fifth liquor = 26, 1 oz. drinks liquor

1 quart liquor = 32, 1 oz. drinks liquor

1/2 pint wine = 2, 4 oz. glasses wine

1 pint wine = 4, 4 oz. glasses wine

1 fifth wine = 6 1/2, 4 oz. glasses wine

1 quart wine = 8, 4 oz. glasses wine

44. How many times in the last 30 days have you driven a car, or other motor vehicle, after having more than three or four drinks? This does not necessarily mean driving while legally intoxicated.

enter the number of times

45. What is the largest number of drinks (12oz. beer, 4oz. wine, or 1oz. liquor) that you have drunk on one occasion during the last 30 days?

enter the number of drinks

46. How many days of work have you missed in the last 30 days because you were drunk?

enter the number of days

47. How many days of work have you missed in the last 30 days because you were hung over?

enter the number of days

48. During the past 30 days, where have you done most of your drinking?

check one box

1 At home

2 Away from home, for example, bars, friends houses, etc.

49. How many times in the last 30 days have you been drunk?

enter the number of times

50. How many times in the last 30 days have you been drunk for more than one day at a time?

enter the number of times

51. How many times in the last 30 days have you experienced blackouts or lapses of memory after drinking?

Explain the difference between a blackout and physically passing out. Record blackouts only.

enter the number of times

52. How many times in the last 30 days have you gotten away with driving while intoxicated?

enter the number of times

53. What is your current marital status?

check one box

- 1 Never married
- 2 Divorced
- 3 Separated
- 4 Married
- 5 Widowed

54. Has your marital status changed in the last six months?

check one box

- 1 Yes
- 2 No

If no, skip to question number 56; if yes, ask the following . .

55. What was your marital status immediately preceding your current marital status?

check one box

- 1 Never married
- 2 Divorced
- 3 Separated
- 4 Married
- 5 Widowed

56. How many people are you living with now?

enter the number of people

57. Has the number of people living with you changed in the last six months?

check one box

- 1 Yes
- 2 No

If no, skip to question 59; if yes, ask the following

58. How many people were you living with prior to the most recent change?

enter the number of people

59. How many people are presently dependent on you for one half or more of their financial support?

enter the number of people

60. How many people, excluding yourself, do you presently take care of; for example, cooking, cleaning, personal attention, etc.?

Male respondents participating in family care should be included in this item.

enter the number of people

If the number of people is zero, skip to question 62; if the number of people is not zero, ask the following

61. Do you share these care responsibilities with one or more others, for example, a spouse?

check one box

- 1 Yes
- 2 No

62. How many close or intimate friends, excluding immediate family, do you presently have with whom you could talk out a particular problem you might have?

enter the number of friends

63. Has this number increased, decreased, or remained the same in the last six months?

check one box

- Increased
- Remained the same
- Decreased

If the number has decreased, skip to question 65; if there has been no change in the number, skip to question 66; if the number has increased, ask the following

64. How many friends have you gained in the last six months?

enter the number of friends gained

skip to question 66

65. How many friends have you lost in the last six months?

enter the number of friends lost

66. Do you presently engage in any form of physical fitness activity?

check one box

- 1 Yes
- 2 No

If no, skip to question 69; if yes, ask the following

67. How frequently do you engage in physical fitness activities?

check one box

- 1 Every day
- 2 Several times a week
- 3 Once a week or less

68. What is the total number of hours per week you spend on all your physical fitness activities together?

enter the number of hours

69. In the past 7 days, how many times have you participated in each of the following activities alone, and how many times have you participated in each of the activities with others?

enter the number of times in each box

	alone	with others	
Spectator sports events	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Participant sports activities such as tennis, fishing, hunting, handball, golf	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Movies, concerts, shows, etc.	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Bars, night clubs, dancing	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Parties, picnics	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Games such as checkers, chess, cardgames, monopoly, puzzles	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Visiting	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Pleasure drives	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Other recreational activities	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Watching television	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>

70. How many times in the last 30 days have you left home, with the following people, to seek recreation or entertainment.

enter the number of times in each box

With family and/or friends living with you	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
With relatives not living with you	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
With friends not living with you	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>
Alone	<input style="width: 30px; height: 20px;" type="text"/>	<input style="width: 20px; height: 20px;" type="text"/> <input style="width: 20px; height: 20px;" type="text"/>

71. How many times in the past 30 days have you left home temporarily to get away from others at home, for example, going for a walk or a drive?

enter the number of times

72. How many times have you bought gifts for people in the last 30 days?

enter the number of times

73. How many times in the last 30 days have you talked with a friend about a problem he or she was having?

enter the number of times

74. How many times in the last 30 days have you helped someone with a task, for example, moving furniture, painting a house, offered the use of your car, etc.?

enter the number of times

75. How many times in the past 30 days have you entertained others in your home, for example, having someone over for dinner or having a party?

enter the number of times

76. How many new acquaintances did you make in the last 30 days?

enter the number

77. How many hours in the last 30 days have you contributed to activities in the following categories?

activity categories

enter the number of hours in each box

Religious, such as church council, Bible classes, etc., not regular worship services.

Civic, such as the Boy Scouts or JayCees, etc.

Fraternal, such as the Elks, Moose, etc.

Political

Charitable, such as cancer fund committees, collecting for charities, etc.

78. Which of the following activities have taken place in the last 6 months?

check one box in each row

has occurred has not occurred

activity

- Acquired credit cards
- Chaired a committee
- Started a business
- Acquired a dependent
- Opened a savings account
- Started an education/training program
- Acquired a pet
- Made a large purchase (over \$500)
- Opened a checking account
- Had a medical checkup
- Acquired a subordinate at work
- Began a new hobby
- Took out an insurance policy
- Invested money
- Had a dental checkup
- Started repair/remodeling your home
- Took out a loan

79. How many times in the last 6 months have you felt a personal loss because of the death of a friend or relative?

enter the number of times

80. How many times in the last 6 months have you been emotionally upset because of the serious injury or illness of a friend or relative?

enter the number of times

81. How many charitable organizations, for example, a cancer fund or heart fund have you contributed to during the past 6 months?

enter the number of organizations

END