

Office of Criminal Justice Planning in January 1974, and a program manager was hired that same month. Funds became available to the project in September 1974, and the first client was admitted in October 1974. In September 1974, a facility for the project was obtained and prepared for operation.

This facility houses not only the detoxification project, but other NPESI operations as well. It is a two-story combination office and apartment building and is located in south-east San Diego. Approximately three-quarters of the space in the building is occupied by the detoxification center. The administrative and supportive service offices for the detoxification project are located on the first floor of the building. The second floor is where the detoxification actually takes place. On this floor are located five apartments and a kitchen, sundeck, recreation room, and bathrooms. The capacity of the project for detoxification is ten women at any one time.

### III FINANCING

The total budget for the project's first year was \$72,768. The components of the first year's funds were the federal contribution through OCJP, \$50,000; the state buy-in, \$4,167; the local hard match, \$2,500; and the other matching funds, \$16,101. The second year budget, which totals \$67,147 received \$63,613 through the local substance abuse program and \$3,534 from state funds. As is indicated, the second year budget includes no OCJP funds. However, since the major constituent of the project's first year budget was obtained through OCJP, it seems appropriate to include it in the panel of projects to be evaluated by CBCEP.

### IV STAFFING AND TRAINING

The personnel for the Women's Detoxification Services Project are funded on the following basis: the project manager, one-quarter time; four center attendants, full-time; one clerk-typist, half-time; one family counselor, one-third time; and one cook, one-third time. Only individuals with a history of successfully overcome drug use or appropriate professional education and experience in drug treatment programs are considered for the staff. Ethnic and cultural considerations also enter into hiring new staff members in the interest of achieving balance. Because of the ethnic character of the clientele, the project has recruited both Spanish and Black staff members.

A new manager, Paul Moore was hired for the project in November 1975, becoming its fourth manager in 18 months. The four center attendants are all women and consist of one Mexican-American, two blacks, and one caucasian. The cook and the clerk-typist are shared with other NPESI activities.

Since the personnel for the project consist of either ex-addicts or people with experience in drug treatment programs, the preliminary training offered has been minimal. A short orientation course of 40 hours is given to entering staff. This course concerns crisis intervention and detoxification procedures (first-aid and medical and psychological aspects of withdrawal from heroin) and is presented through lectures, movies, and demonstrations. NPESI staff and consultants present the orientation training. The staffs of each of the project components (administrative, supportive services, and detoxification) conduct a presentation concerning services, resources, and operations as part of the orientation. Most of the other training in the project is on an in-service basis and is accomplished through conferences and staff meetings.

V INTAKE AND TERMINATION PROCEDURES

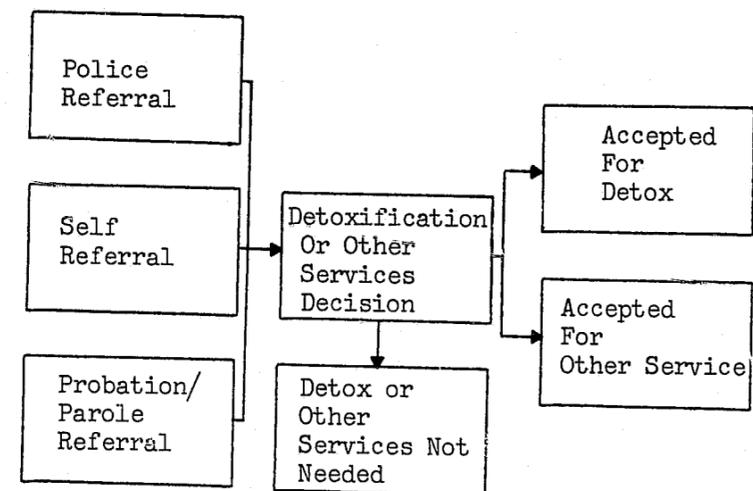
All clients enter the project on a voluntary basis. No service contract is negotiated at any point. The first step in admitting a client into the project is a screening by the receptionist and a referral to the intake specialist, who is the project's caseworker. A large amount of background information is collected during the intake interview, which may last anywhere from 20 minutes to an hour. If detoxification is indicated, a medical history is taken by the nurse who explains the project's rules and regulations. The principal avenue for clients coming into the project is the voluntary walk-in. The next most important source is referrals from parole agents of the California Department of Corrections.

VI SERVICES RENDERED

The detoxification period lasts from three to seven days. While in the project, counseling on an individual or group basis is available as are recreational activities. The client is completely isolated from people outside the Women's Detoxification Services Facility during detoxification. No telephone calls are permitted. The project provides the following services directly: individual, family, and group counseling; emergency services; food; housing; transportation and medical assistance. By referral, the following services are available; job training and placement, employment counseling, and legal assistance. Project Jcve, a development service for ex-offenders, is the principal non-governmental organization used as a referral for job-related services.

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Figure 12  
WOMEN'S DETOXIFICATION  
SERVICES PROJECT  
SAN DIEGO



RAZA DRUG EFFORT

SACRAMENTO

NOTE: This project was defunded in March, 1975, as a result of an action of the Criminal Justice Planning Board of the Sacramento area (OCJP Region D). The defunding was in response to a substantial number of problems existing in the project in the areas of administration, delivery of services, record keeping, and accountability, among others. We are including a description of the project and some information and opinions about the defunding simply because the project was in the list of those that we agreed with OCJP to evaluate and because there may be some value in reviewing some of the aspects of the history of this project, particularly as they relate to its defunding. The information on the circumstances underlying the defunding will be included in Part 2 of this section of the report, which deals with the project's history. One other funding agency also terminated its funding of the Raza Drug Effort at the same time the OCJP funds were removed. The project still continues, however, with funding from other sources.

I. PURPOSE AND OBJECTIVES

This project is concerned with the problem of hard drug use, especially heroin addiction in the Chicano population of the Sacramento area. Its facility is located in the Alkali Flat-Washington area of the city of Sacramento, which is the major center of Chicano population in the area. The Raza Drug Effort is intended to be bi-cultural and bi-lingual in orientation and, as such, deals with a more broadly-based clientele than solely the Chicano. The project is particularly interesting because of the array of services it has offered, including both inpatient (detoxification) and outpatient.

The service objectives of the project were as follows:

1. Providing a detoxification and treatment center for heroin users.
2. Finding employment for 30 percent of the clients in need of employment.

3. Successfully assisting 30 percent of those seeking educational upgrading.
4. Expediting and facilitating the use of Methadone treatment by participants in the project.

## II HISTORY OF THE PROJECT

The Raza Drug Effort related to the regional criminal justice planning agency as a third-party contractor. The project itself emerged from interest in the local Mexican-American community and particularly the organizations representing that community in the problems of heroin addiction and the use of other hard drugs among the local Chicanos. A number of people from such organizations as the councils from the Washington and Alkali Flats neighborhoods and the Concilio got together and began to plan the project that eventually became the Raza Drug Effort. They were joined in the planning process by students from the Chicano Studies program at Sacramento State University. From these various groups and individuals emerged the board of directors of the project. This board hired a consulting service to assist in the planning and the writing of a proposal. The final proposal on the basis of which the OCJP funds were made available, is considered to be primarily the work of the consultants. The consulting service continued to work with the project after it commenced operating, especially concerning itself with matters of management practices, record keeping, statistical reporting and research.

The second year of OCJP funding of the Raza Drug Effort began on September 1, 1974. Throughout the first year of the project, many concerns had been expressed by funding and control agencies, specifically the regional criminal justice planning staff, the Sacramento County Auditor-Controller's office, and the Sacramento County Mental Health Department about the project's lack of responsiveness to recommendations and stipulations made regarding the maintenance of necessary program and fiscal records.<sup>1</sup> Shortly after the project entered its second year,

<sup>1</sup> The material for this account of the defunding of the Raza Drug Effort by the Sacramento Area Regional Criminal Justice Planning Board was taken from the memorandum (with attachments) that was prepared by the Regional Planning Staff for the Board. This memorandum is dated February 26, 1975, and is the statement that the Regional Planning Staff was directed to provide the Board prior to the Board's meeting on March 12, 1975.

the issue of the inadequate records combined with other issues to bring matters to a head.

Among the other major issues cited by the regional criminal justice planning staff was a continuing conflict between the Director of the project and its Board over questions of authority and supervision. This conflict was expressed in an overruling by the Board of the Director's attempt to discharge two employees and in high staff turnover. A further expression of the conflict was the fact that the Director was continued as a probationary appointment beyond the normal time limits while the Board advertised the position of Director in newspapers. Another problem was a breakdown of communications between the staff of the project and the funding agencies. The staff of the funding agencies, including the regional criminal justice planning agency, observed that the Raza staff were becoming significantly evasive, defensive, and unreliable in their communications with them. One of the instances of unreliability was the account provided by the project's staff of a death from a heroin overdose while the deceased was being assisted by that staff.

On the basis of concerns such as these, the Executive Committee of the Sacramento Regional Criminal Justice Board on February 13, 1975, voted to recommend to the full Board the discontinuation of OCJP funding of the Raza Drug Effort if it could not operate in a more successful and responsive fashion. The committee directed the project and the criminal justice planning staff to submit reports bearing on these issues to the full Board prior to its meeting on March 12, 1975. The planning staff did so, presenting a report with a recommendation to discontinue funding the project. At its March meeting, the full Board did, in fact, vote to discontinue the funding of the project. Prior to this action, the Sacramento Mental Health Department had notified Raza that it was terminating its contract with the project.

Subsequent to the removal of support from the project by these two agencies, the Raza Drug Effort continued to operate drawing upon funds from other sources.

### III FINANCING

The total OCJP - relevant budget for the project for the first year was \$50,000 including Federal funding of \$37,500, a state buy-in of \$3,125; a local hard-match of \$1,875, and an other match of \$7,500. The second year OCJP budget for the project totaled \$20,833; the second year was the year in which the OCJP funding was terminated. In the second year the project also was budgeted for \$120,000 through the National Institute of Drug Abuse (NIDA) and another \$48,850 granted through the substance abuse program of the Department of Health. The first year contract period was from September 1, 1973 to August 31, 1974.

### IV STAFFING AND TRAINING

At the beginning of March 1975, shortly before the OCJP funding of the project was discontinued, the project had a staff of 15 people, 11 males and 4 females. All of the staff members at that time were Chicanos. The Director of the project, who was fired shortly thereafter, was Juan Chacon. Chacon had a degree in Spanish Literature, an Elementary School Teaching Credential, and previous experience as a teacher and administrator in a Head Start program. The remaining positions were for a Project Coordinator, five Counselors, five Counselor-Aides, two clerks, and a Family Nurse Practitioner. The Project Coordinator, the Counselors and the Counselor Aides were all paraprofessionals; and all were ex-addicts. A substantial amount of training of new staff was carried out by the senior staff members of the project, most especially, and even after the project got underway, the entering staff members were exposed to a good deal of training outside the facility provided by local health agencies. Some of the matters dealt with in these training

sessions include cardio-pulmonary resuscitation techniques, drug crises and procedures for handling them, emergency first-aid techniques, and alcoholism.

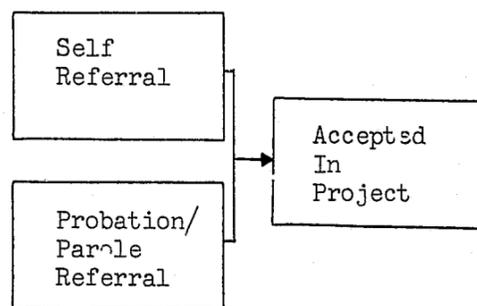
### V INTAKE AND TERMINATION PROCEDURES

Although the primary emphasis of the program was on the Chicano drug user, no more than two-thirds of the participants were in that group. Approximately 20 percent were white, non-Spanish surnamed, and 10 percent black. More than 90 percent of the clients entering the project during the period it received OCJP funding were voluntary walk-ins. Most of the others were referrals from probation and parole. The proposal for the project, as originally submitted to OCJP, had stressed the youthful drug user as the focus of the project. In actuality, relatively few very young drug users entered the program. At approximately the time the OCJP funding was cut off, the age range of participants in the project was 19 to 35, with average age about 28. A client terminated from the project in bad standing was eligible for re-entry into the program 60 days after his departure. A case terminating in good standing was also eligible to return after that same period.

### VI SERVICES RENDERED

The intake procedure involved a medical examination with a urinalysis designed to establish the fact of drug dependency. If the client was in detoxification on an outpatient basis he was tested at the end of the first week of detoxification and of each subsequent week that he was considered to be in detoxification up to the end of the third week, which was considered to be the maximum

Figure 13  
RAZA DRUG EFFORT  
SACRAMENTO



limit for the detoxification phase. The Raza facility contained a five bed unit for inpatient detoxification, but the service was not always available because of a periodic vacancy in the position of Family Nurse Practitioner; nor was it even possible to provide an outpatient detoxification service when there was a vacancy in that position. That was the case because the Family Nurse Practitioner had the responsibility for administering the medication that was used in detoxification. While a client was in detoxification, the Counselor to which he was assigned contacted him every day. During the first two weeks after detoxification, the Counselor tried to contact him once or twice a week. Subsequent to that, the client was encouraged to participate in a group counseling program. The Counselors and Aides assumed the responsibility for job development and placement and employment counseling. Food and housing were also available as direct services of the project. Legal, educational, and methadone maintenance services were provided by referral.

ALCOHOL RECEPTION, DETOXIFICATION,  
AND REFERRAL CENTER  
("The First Step")  
Yuba City-Marysville

I PURPOSE AND OBJECTIVES

The purpose of this project is to provide through an alcohol detoxification center an alternative means of dealing with the high rate of arrests for public drunkenness in the Marysville (Yuba County) and Yuba City (Sutter County) areas. The center offers detoxification referral services for the inebriate and counseling in an effort to help the alcoholic change his or her life. From the beginning the project has been based on a social model of detoxification. The possibility of a medical model was considered in the planning stages but rejected as too expensive. Although the project is based on a non-medical model it is under the supervision of a nurse and qualifies for reimbursement through Medi-Cal for the services received by its eligible clients.

The service objective of the project is to process approximately 2,200 clients a year in a non-hospital detoxification setting.

The outcome and cost benefit objectives of the project are:

1. Effecting a 25 per cent reduction in the number of public inebriate arrests.
2. Reducing by one-third the amount of time spent by law enforcement personnel in dealing with the public inebriate.
3. Reducing recidivism among the clientele by 20 per cent.
4. Reducing the expenditures of criminal justice agencies on the inebriate by \$30,000 per year.

## II HISTORY OF THE PROJECT

The project is an outgrowth of the efforts of Edmund Smith, then the Substance Abuse Coordinator and presently the Director of Mental Health Services for Sutter County. Mr. Smith worked with the police departments, courts, probation departments, and hospitals in the two counties and the local medical society in planning for the detoxification center. The chiefs of police in Marysville and Yuba City were centrally involved in the planning process. The project was approved for funding by the State Office of Criminal Justice Planning in April 1974, and funds were available for project use in June 1974. Most of the staff positions were filled by June 1974. The current project manager, Reberta D'Arcy, a registered nurse, was hired in November 1975. The detoxification center was originally scheduled to open in June 1974 in a wing of the Yuba County Hospital, but the space in that facility became unavailable with the result that another location had to be found. Eventually one was found in downtown Marysville. This facility is situated in the area from which the project receives most of its clients. The cheap hotels and bars of the Marysville skid row are only a short distance away. Both the Marysville Police Department and the Yuba County Jail are within a block of the center.

The physical arrangement of the center, which with its program is called The First Step, is semi-institutional. It is not like a home, nor is it as highly institutional as a hospital. The building is divided into a large dormitory room, a kitchen, a dining and recreation area, and offices. The center opened as a six-bed operation receiving its first client in November 1974, while the rest of the building was being remodeled.

Six weeks later it had the full 20 beds available as originally planned. By January 1975 the center was in full operation.

## III FINANCING

The total amount of the budget for the first year of the project, which ran through August 31, 1975, was \$95,872. Of this, the federal contribution was \$86,284; the state buy-in, \$4,794; and the local hard match, \$4,794. The total budget for the second year, which will end August 31, 1976, is \$121,000. This includes a federal contribution of \$66,000, state funds of \$49,500, and local funds of \$5,500.

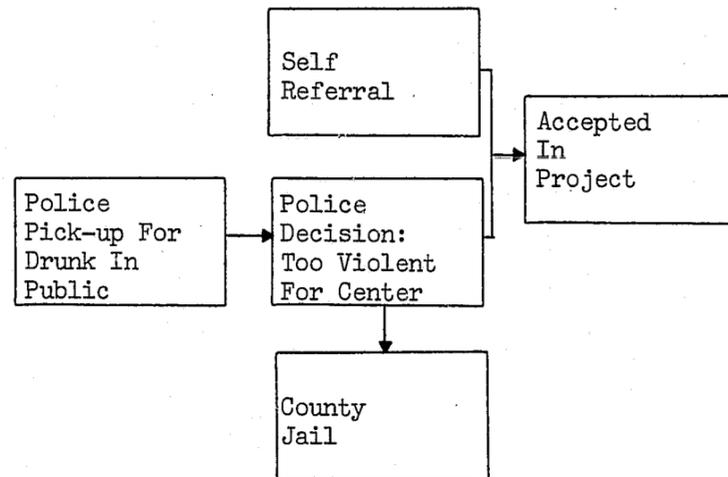
## IV STAFFING AND TRAINING

The staff of the project consists of five women and four men full-time and an additional three women part-time. The full-time staff includes the project manager (registered nurse), one counselor, and seven para-professionals. All of the staff members have had experience in dealing with alcoholism either in their personal lives or in their families. The staff members have been selected on the basis of their understanding of alcohol problems and their empathy for people. They were also chosen to represent a range of approaches and attitudes for the purpose of confronting the clientele with such divergence.

Prior to the opening of their detoxification center, its personnel spent one week at a detoxification center in Salinas, where they received more than 40 hours of classroom instruction. The instruction was in such matters as the operation of an alcohol detoxification program, agencies to which clients may be referred for services, and warning signs indicative of medical

Figure 14

ALCOHOL RECEPTION, DETOXIFICATION  
AND REFERRAL CENTER  
("THE FIRST STEP")  
YUBA CITY-MARYSVILLE



problems in alcoholic patients. Instruction in topics pertaining to alcohol and alcoholism is regularly carried out in the staff meetings of which there are two a month. In addition, some of the staff members have taken courses in alcoholism counseling through University of California Extension.

V INTAKE AND TERMINATION PROCEDURES

Clients are received at the center primarily by self or police referral. The principal police agency using the detoxification service is the Marysville Police Department. This reflects not a lack of interest on the part of other police departments in the area so much as it does the fact that the major concentration of the public inebriation problem of the entire area is in one district within the jurisdiction of the Marysville Police Department. The center does not accept individuals who are involved in more serious crimes, nor does it accept the inebriate who has a significant drug problem. The police, when picking up an individual for public drunkenness, make a judgement as to whether the person is too violent to be accommodated in the center. If he is so judged, he is taken to the county jail. The vast majority of the inebriates picked up, however, are suitable for the detoxification center. The center takes people as space is available; and to this point, only three clients have been refused because of a lack of space. The policeman brings the inebriate to the center and fills out a short form. He then stays to witness the transfer and recording of the client's valuables by the project staff, and after that the policeman is free to leave. All clients are accepted initially, even when they have created disturbances in the past as a result of which they have been asked to leave.

Clients are expected to remain at the center for 72 hours and are discouraged from leaving earlier. However, some occasionally leave earlier due to work obligations. If a client leaves and returns drunk, or if he attempts to bring alcohol into the center, he will be refused admittance. If the client shows signs of significant medical problems, such as entering into convulsions on his arrival at or during his stay in the center, he will be taken to a hospital.

#### VI SERVICES RENDERED

While at the detoxification center, clients are provided with pajamas and a place to shower and sleep. They are also provided with a balanced diet and whatever medication appears to be in order. No television set is available, but the clients are allowed to see educational and entertaining films. Materials for games are also available. The center is designed to promote a high level of peer contact. Group discussions are part of the program.

Before leaving the center, each client receives some counseling which is directed at ascertaining his personal needs and his needs for services that can be obtained from referral agencies. The project provides transportation, if necessary, to enable the client to get to a referral agency. Among the organizations to which clients are referred are the social welfare departments, the mental health department, Alcoholics Anonymous, and alcohol recovery programs. The client may be released from the center to attend AA meetings outside the facility. The primary recovery house to which individuals are referred is Pathways which is located in Marysville. Four or five clients are accepted by

Pathways from the center every month. At the inception of the detoxification program, this recovery house had only five beds. It has now been expanded to 15, and additional housing is planned. Eventually, the manager of Pathways feels that he will have enough bed capacity to accommodate 360 clients from the detoxification center per year.

LONG BEACH ALCOHOLISM DIVERSION PROJECT

I PURPOSE AND OBJECTIVES

The purpose of the Long Beach Alcoholism Diversion Project (LBADP) is to provide a comprehensive community service for handling public inebriates. The LBADP is intended as an alternative to the traditional system of processing public inebriates through the criminal justice system. The major features of this alternative are making available intake detoxification services to public inebriates, directing problem drinkers and alcohol-related offenders into treatment, and coordinating with agencies offering education and treatment services to problem drinkers.

The service objectives of the project are the following:

1. Diverting alcohol-related offenders from the criminal justice system at the rate of 10 percent of the total by the completion of the first year's operation.
2. Developing a comprehensive community-wide intake, treatment, referral, and aftercare network for the handling of the public inebriate through the utilization of existing community resources.
3. Establishing an efficient procedure for the utilization and purchase of complementary treatment services from community based alcoholism agencies participating in the diversion program.
4. Coordinating with law enforcement agencies in the development of diversion capabilities.

## II HISTORY OF THE PROJECT

The LBADP is administered by the Division of Rehabilitative Services of the City of Long Beach Department of Public Health. The original proposal for this project was written by Judy Kennedy, Roger Hatakeyama, and Don Howard of the Long Beach Department of Public Health with the assistance of an independent consultant. The impetus for this project came initially from the Los Angeles Regional Criminal Justice Planning Board. The Planning Board desired to establish an alcohol detoxification facility in Los Angeles County and believed the Los Angeles city geographical area too large to be adequately serviced by a single facility. The Board, therefore, favored a suburban area as a location for the project. Planning Board members approached Long Beach Councilman James Wilson with this concept, and he instructed the Long Beach Department of Public Health to prepare the grant proposal for this project.

Funds became available to the project in March 1974. In May a facility was acquired, prepared, and equipped for operation. The project director, Robert Beckler, was hired in July. On August 15, 1974, the project became operational and received its first client.

## III FINANCING

The operating budget for the initial year totaled \$226,766. Of this total, the federal contribution was \$200,000, the state buy-in was \$16,666, and local allocations amounted to \$10,100. Second year funds totaled \$222,222, with a federal allocation of \$199,998, a state allocation of \$11,112, and local funds of \$11,112. The first grant period was from March 1, 1974, to June 30, 1975. The second year grant period is from July 1, 1975, to June 30, 1976.

## IV STAFFING AND TRAINING

The LBADP staff totals fourteen full-time members and one physician at ten percent time. The project director is a male Caucasian. The research analyst and stenographer are both female Caucasians. There are four registered nurses; all are female and Caucasian. Of the seven medical assistants, six are male and one is female. The medical assistants are three Caucasians, two Blacks, one Asian, and one Native American.

The initial staff members completed a two week orientation and training program prior to the opening of the project. Material on para-medical services and basic first aid techniques was stressed in the training; every staff member is expected to be skilled in these areas. Next, a twelve-week training series, at three hours per week, specifically concerned with alcoholism and alcohol programs was conducted. This series was supplemented by a one day internship in the alcoholism unit of the Long Beach General Hospital and presentations from independent trainers and agencies. The staff of the project also has participated in an ongoing field orientation with local police in a ride-along program, during which staff members are in the field with the officers for a full shift of duty.

Employees entering the project later receive para-medical training through the Fire Department, the alcohol specific training provided by Alcohol Rehabilitation Center and the one day internship at Long Beach General Hospital.

Continuing training of staff is accomplished through in-house seminars. In addition the project encourages staff to take related college courses and many of them have done so.

V CRITERIA OF ELIGIBILITY AND INTAKE PROCEDURES

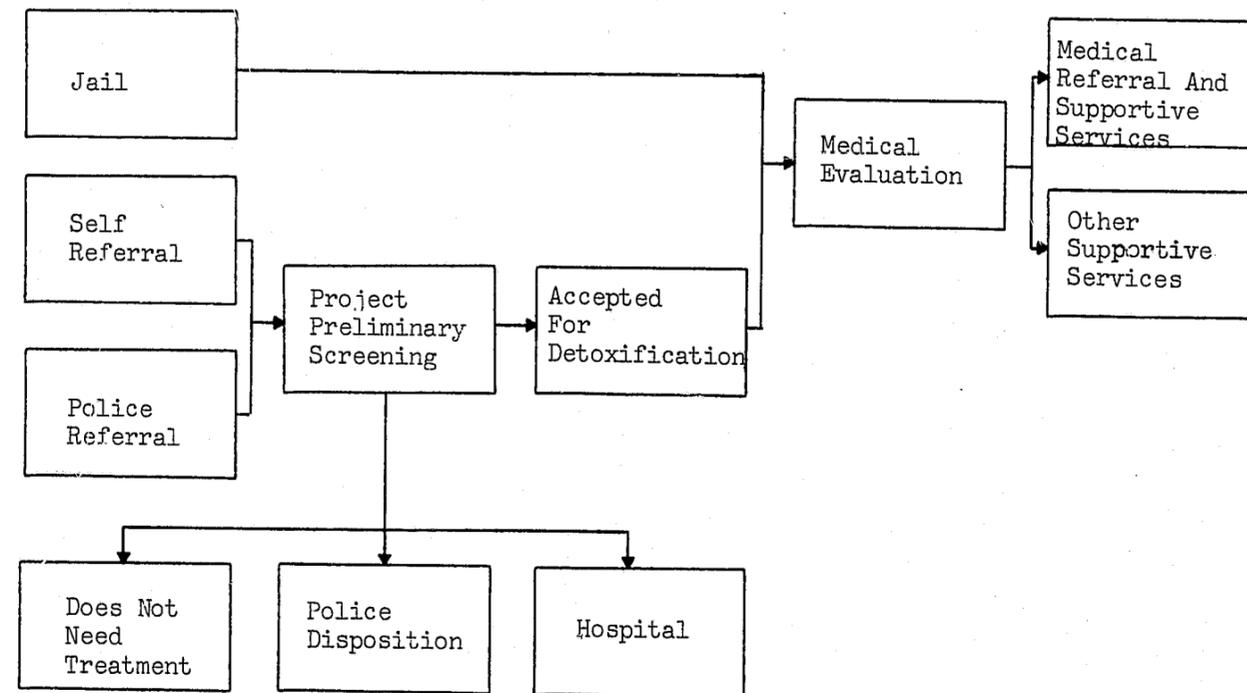
The criteria of eligibility for admission into the project are the following:

1. the client must be under the influence of alcohol;
2. the client must voluntarily enter the project;
3. the client cannot be held for any violation of the Penal Code other than public intoxication;
4. the client must not be under the influence of any dangerous drugs or narcotics ;
5. the client must not be overly aggressive, combative, or violent;
6. the client must not be clearly in need of hospitalization.

The majority of clients are brought to the project by police officers, in which case the officer completes a simple report and waits until eligibility for the detoxification project has been determined. With all clients, a medical assistant obtains the basic identification information, examines the client for vital signs, and takes a medical history. The individual is then fed if necessary and placed in the lounge while the registered nurse completes the medical evaluation. Clients who are not eligible for the project are returned to the custody of the police officer. In those cases where there is a need for hospitalization, the nurse will provide first aid and refer the client to a hospital.

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Figure 15  
LONG BEACH ALCOHOLISM  
DIVERSION PROJECT



VI SERVICES

The Long Beach Alcoholism Diversion Project is designed to provide short-term (72-hour) intensive treatment service for the public inebriate. The project operates on a seven day basis from 8:00 a.m. to 1:00 a.m. The project does not offer 24-hour service because its facility does not meet building standards established for residential treatment facilities. The Salvation Army, 12th Step House, Rescue Mission, and a woman's recovery house provide bed space for the overnight housing of the project's patients. The services offered by the project include emergency medical care, food, medication, transportation to clients residence or other overnight housing, referral to hospital care or Alcoholics Anonymous, and job, family, and psychotherapeutic counseling by referral. In 1975 a new service was added enabling clients who have been detoxified to return to the project for antabuse therapy and participate in supportive group counseling.

METHODOLOGY AND DESIGN

THE TASK

An evaluation model suitable for general application to community-based corrections programs must have several characteristics. It must first of all address itself to the decision making process. Without clear realization that the objective of evaluation research is to link possible outcomes and their accompanying probabilities with assessments of the risks involved, evaluation can become bogged down in the fruitless search for truths which no one wants to know.

Secondly, such a model must provide for the varying levels of decision making which are involved in the operation and oversight of any community-based corrections program; it must provide the descriptive statistics and short term summary analysis needed by the on-site manager, as well as the more comprehensive analysis needed for funding decisions.

A comprehensive model must take into account the fact that programs are constantly changing and that the setting within which they are a part will also change continuously.

The nature of reform-oriented or innovative projects causes them to be in a constant state of flux. The design of evaluation and the data system used therein must reflect this. It is of little use to endeavor to assess a project's impact on clients by focusing on only the first twenty clients. These are almost certainly not going to be a representative sample of the project's clients over the course of any extensive period of its operations.

It is important to keep in mind that the subject of study is the project itself and not the participants or recipients of its services. While characteristics of clients and their ultimate fate are an important consideration, they are not the sole concern of those who are making decisions regarding this project.

Indeed, the task of evaluating the adult diversion program in California implies comparing not only projects but their matrices.

Decision makers in the criminal justice area need to know four fundamental things. First they need to know the relevant "states of nature," e.g. do persons who shoplift repeat this behavior, is shoplifting related to other criminal behavior and what is the usual practice in handling these cases in the district attorney's office? Secondly, they need to know the probabilities associated with each of these states. Thirdly, they need to know all of the available actions. Finally, they need to know the values associated with the possible outcomes of these actions. These values may be their own made more explicit or those of persons having a stake in the problem, such as taxpayers, Police Chiefs and many more.

While the first three of these categories of information have generally been addressed to some extent by evaluation research, the fourth, the determination of relevant values, has been almost entirely ignored. The process of obtaining this information and utilizing it coherently is of course complicated by the fact that there are many decision makers who frequently have different and sometimes conflicting values among themselves, and these values must all be taken into consideration.

One of the most important aspects of the state of nature from the standpoint of this evaluation is the characteristics of the clientele being served by the projects. What happens to the clients is a major consideration in determining the probabilities associated with these states. Data about clients can be used to discover some of the states of nature and their probabilities. While the states of nature to which the characteristics of clients are relevant are not the only ones of interest, they are important and difficult to assess. Therefore, the development of methods for obtaining uniform information about clients was one of the first tasks undertaken. In addition, we needed to know more about the organization within which the programs were functioning, current

and future anticipated funding sources, the matrix of the criminal justice agencies within which they worked and the wider structure of agencies affecting and being affected by the project.

Therefore, along with the development of the data system, we very early in the history of the evaluation project began to accumulate some of these types of background data on the projects we had selected for the evaluation. The means for accumulating these data were a series of interviews with project and criminal justice planning agency staffs and with individuals working with organizations which screened and referred clients to the projects or which received clients from the projects on a referral basis. These matters will be discussed in the following sections of the report.

#### SELECTION OF THE PROJECTS TO BE INCLUDED IN THE STUDY

The California Office of Criminal Justice Planning was unable to furnish us with a current list of funded projects included in FY 1974 Program Category IV, Disposition of Suspects, 1. Diversion. We therefore set out to assemble such a list by searching their files. We obtained copies of the proposals for projects included in this category from those files. It soon became apparent that most of the projects funded in this category were serving juvenile clients. We therefore extended our search to other categories which might have projects which were functionally diversionary without being so classified. We interviewed each of the state monitors in OCJP for their suggestions of projects suitable for inclusion in the study. We located 47 possible projects in this way. We next visited each of the 21 Regional Criminal Justice Planning Agencies. We asked to meet with the Regional Director and the staff person responsible for evaluation. The purpose of this visit was to introduce ourselves to the Regional Staff and to obtain a general introduction to the region and its priorities and plans. In addition we wanted to know what they were doing

or planning to do in the area of diversion programs.

In meeting with the regional staffs, we were particularly interested in determining their problems with evaluation and current and future plans for evaluation of adult diversion programs. We explained our task and asked them for suggestions of programs which might be appropriate for the study which we had not yet located.

Some of the projects in the original list of 47 were eliminated at our meetings with the regional directors because they were being closed, did not fit a diversion model or served primarily juveniles. Other programs were removed from the list because they were in their third year of funding or in several cases represented a minor component of a program funded by other sources. We emerged from these meetings with a list of twenty-four projects for possible inclusion in the study. We then arranged for short site visits to these projects. As a result of these visits, other exclusions were made. Finally, sixteen projects were selected for inclusion in the study.

On December 10, 1974, a Steering Committee formed by The Office of Criminal Justice Planning for the two statewide evaluation projects, one of which (CBCEP) is the subject of this report, met in Sacramento. They reviewed the proposed plans and recommended to the Director of OCJP that these sixteen projects be approved for inclusion in the adult diversion study. On January 23, 1975, the Director sent letters to the Regional Directors indicating his concurrence with this recommendation.

These sixteen projects could be separated into three distinct types. Seven provided pre-trial services and/or diversion, four were residential programs serving to divert by providing an alternative to incarceration. Five were short-term alcohol or

drug detoxification programs which are frequently used as alternatives to jail.

#### SEQUENTIAL DESIGNS

From the project proposals and our own short interviews with the project Directors we abstracted the objectives that seemed to be generally associated with each type of project. Table II shows these objectives classified into service objectives. All of the measurable objectives stated in the grant proposals are reflected in this table.

The various projects were in widely differing stages in their development, although all of them had received final approval for funding in 1974. The type of evaluation suitable to a project varies with its stage of development, and we have conceptualized those stages. We have designated as Stage I those projects that are in the process of developing staff and procedures and possibly accepting the first clients. It appears that residential programs, primarily because of their problems with obtaining suitable sites, have a characteristically long period in Stage I of their development. In addition, programs such as Raza Drug Effort, although they had been in existence for some time, continued to have such overwhelming administrative problems that we never regarded them as having reached Stage II during the period they were funded by OCJP. Another example of a program which never developed beyond Stage I despite much effort to get the project going is The Yolo County Detoxification Project, which was faced with the necessity of changing its design for services from one based on a medical model to one based on a social model; this project is currently inactive.

Stage II is roughly defined as that period when a program has achieved a relatively stable rate of intake and has been accepting clients for at least six months, so that the nature of

TABLE II

Basic Elements of Design for Evaluating Pre-Trial Diversion Projects

Type of Objective to be Evaluated	Specific Objective	Information Requirements and Sources	Evaluation Procedures
1. Service	<ol style="list-style-type: none"> <li>1. Divert a specified group of offenders from full formal court prosecution.</li> <li>2. Integrate diverted cases into individually planned program of work, education, or training.</li> <li>3. Provide more intensive supervision than on regular probation case loads.</li> <li>4. Provide to a greater extent supplementary therapeutic services on an individual or group basis.</li> </ol>	<ol style="list-style-type: none"> <li>1. Records of dispositions of all such cases referred to the District Attorney for screening, number of persons referred to the project and disposition.</li> <li>2. Indications of integrative activity in case files.</li> <li>3. Case file records of frequency and nature of contact for project clients as compared with baseline groups of "matched" cases from prior time period and rejected cases.</li> <li>4. Case file records of frequency and nature of contact for clients as compared with baseline group from prior time period and rejected cases.</li> </ol>	<ol style="list-style-type: none"> <li>1. Compare actual diversionary activity with pre-set objectives, i.e., specified number or percentage to be diverted.</li> <li>2. Compare actual integrative activity with pre-set objectives.</li> <li>3. Determine if there is a greater frequency of contact for diverted cases and more time spent by probation officer on each diversion case.</li> <li>4. Determine if more therapeutic services provided for diverted clients than for baseline groups.</li> </ol>
<p>111</p> <p>Client Outcome</p>	<ol style="list-style-type: none"> <li>1. Percentage of arrests will be at a specified level during participation in the program.</li> <li>2. Rate of arrest of program participants will be no greater than that for baseline groups.</li> <li>3. Percentage of arrests will be at a specified level during a pre-determined time following successful completion of program.</li> <li>4. Client group will show higher levels of participation in education and training and achieve more satisfactory work records.</li> </ol>	<ol style="list-style-type: none"> <li>1. Arrest records in case files and police and Bureau of Identification Records.</li> <li>2. Arrest records from case files, police records, and Bureau of Identification.</li> <li>3. Police or Bureau of Investigation records.</li> <li>4. Case file records.</li> </ol>	<ol style="list-style-type: none"> <li>1. Compare percentage actually arrested with specified percentage.</li> <li>2. Compare participants with contemporary group of rejectees. Compare participants with "matched" group from prior year.</li> <li>3. Compare actual percentage with specified percentage.</li> <li>4. Compare participants with matched group from prior year and rejected cases.</li> </ol>

TABLE II

Basic Elements of Design for Evaluating Pre-Trial Diversion Projects

Type of Objective to be Evaluated	Specific Objective	Information Requirements and Sources	Evaluation Procedures
3. Criminal Justice System Impact	1. No increase in costs of handling the diverted case over the non-diverted; in particular, the increased costs for supervising the diverted will be offset by reductions in court and jail costs.	1. Court and jail records.	1. Compare costs for participants with those for rejected cases and matched group from prior year. Cost estimates for the latter are to be adjusted for inflationary trends.
115 2. Changes in Process (Flow through System)	2. Significantly alter the flow through the system by utilizing a quasi-probationary alternative.	2. Court and probation records.	2. Compare population flow before and subsequent to the implementation program.

TABLE II

Basic Elements of Design for Evaluating Pre-Trial Residential Projects

Type of Objective to be Evaluated	Specific Objective	Information Requirements and Sources	Evaluation Procedures
1. Service	1. Provide a residential alternative for designated groups of clients.	1. Basic demographic characteristics of clientele, history of involvement in criminal justice system, etc.	1. Compare with specified objectives.
	2. Provide directly or through referral such services as job training, crisis intervention, counseling, etc.	2. Project records of services received.	2. Compare services rendered with specified service objectives.
	3. Through alternative programs, minimize disruption of family, employment, etc.	3. Project records of employment status, family contact.	3. Compare with experiences of "similar" clients who are jailed.
2. Client Outcome	1. Reduce drug and alcohol use.	1. Self-reported frequency of use and indications of use in case records.	1. Compare with like period prior to admission into residential setting.
	2. Reduce arrests and probation revocations during and following residential phase of program.	2. Project and probation records.	2. Compare with period prior to admission. Compare long term outcome (to one year) of treatment group with group matched on offense and basic demographic characteristics.
	3. Achieve better records of employment and earnings.	3. Project and probation records.	3. Compare with period prior to admission.
3. Criminal Justice System Impact			
1. Cost Benefit	1. No increase in costs of handling clientele in residential setting compared to probation program with condition of jail.	1. Estimates of jail and probation costs. Estimates of offsetting economic benefits including earnings, reduced welfare costs, etc.	1. Compare net costs for program group with those for "similar" group.

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TABLE II

Basic Elements of Design for Evaluating Alcohol and Drug Detoxification Projects

Type of Objective to be Evaluated	Specific Objective	Information Requirements and Sources	Evaluation Procedures
1. Service	1. Provide detoxification service to general or specific groups as indicated.	1. Basic demographic characteristics; record of involvement with criminal justice agencies.	1. Compare percentage with pre-set objectives. That is, if objective is to divert 15% of alcoholic offenders, then the percentage diverted will be ascertained and compared.
	2. Provide collateral integrative or reintegrative services.	2. Number and types of referrals and counseling contacts.	2. Compare actual totals with stipulated objectives.
2. Client Outcome	1. Decreased frequency and duration of alcohol and drug abuse.	1. Post-release interview data on pattern of alcohol and drug use.	1. Compare post-release pattern with pattern of use prior to participation in project.
	2. Improved functioning (work, residence, medical status, etc.)	2. Canvass referral agencies for information on services received and outcome.	2. Compare information on current functioning with baseline data (employment before and after, etc.).
	3. For specific clients, reduction in number of significant contacts (those resulting in arrest or placement in detoxification service).	3. Check police and detoxification project records.	3. Compare current records for individual clients with pre-project records.
3. Criminal Justice System Impact			
1. Cost Benefit	1. No increase in costs of handling the public inebriate or offender.	1. Abstract court and jail records for frequency and time spent with public inebriate cases and relevant costs.	1. Cost of handling public inebriate cases through regular criminal justice processing will be determined to ascertain if it is equal to/or more than handling such cases through the detoxification program.
2. Changes in Process (Flow through System)	2. Decrease the percentage of cases formally arrested, "brought to trial", etc.	2. Survey police and court records for information relating to population flow.	2. Compare population flow before and subsequent to the implementation of the detoxification project.

services to be provided and procedures to be used has been clarified through actual experience with the clientele. For these programs it makes sense to begin to look at client impact objectives since both the clientele served and the services being provided have arrived at some consistency. It should be noted that most projects report taking clients in the early days of the project who do not really fit its model and objectives. This is done in order to develop sources of referral and credibility with other agencies. Therefore, it is generally not suitable to take the first clients of a program as a sample for study of client outcome, although because of time constraints it was necessary to do so in some instances in this evaluation. Most of the programs which we included in this study were in the second stage of development.

For these projects, we included in our study sample the second half of the first year's clients. In some cases, the projects that we were concerned with were an extension of previously funded projects and were already virtually into Stage II, so that even their first year of funding was suitable for Stage II evaluation.

Stage III generally corresponds to the third year of a project's operation. Not only has the project smoothed out intake and services but during this period it should have improved both efficiency and effectiveness. In addition it should have developed a sense of what it can do and moved to refine and expand its objectives. This is the point at which it makes sense to evaluate the criminal justice impact objectives. However, in order to make such an evaluation, some comparison data should be planned and negotiated for prior to this time.

#### INTERVIEWS WITH ON-SITE MANAGERS OF PROJECTS

The next step in our study was to visit the projects and talk with the person directly responsible for controlling the operations. Two members of the CBCEP staff participated in each of these visits. We needed to spend about three hours with the Project Manager to complete the interview (see Appendix B-2 for a copy of the interview schedule). We also asked to spend at least one hour with the person on their staff who was most familiar with the client record forms. In addition to checking the items listed on the Data Elements Record, which was intended for listing items of information routinely collected on clients and services rendered by each program, (see Appendix B3) we obtained copies of all forms currently in use by the project. Armed with this information, we were better prepared to develop the uniform client data forms for our own use in the evaluation.

#### CLIENT DATA

The client data forms were designed in modules to fit the specific objectives to be studied in each project. All projects with a common objective would need the module relating to that objective. Some items are relevant to more than one objective or are of such general utility that any program should have the information; these were included in the core module. The nature of these separate modules can be seen on the Intake Data Elements form in Appendix B-3. For the initial data collection, all of the modules designed were included in two forms, Diversion Client Intake Data, Appendix B-7 and Diversion Client Follow-up, Appendix B-8. Not all modules in these forms are relevant to all programs. For example, clients in the alcohol detoxification

programs are seldom arrested and even if they were, information about the charges would add little insight, since they are all picked up solely because they are under the influence of alcohol. The combined forms were pre-tested on clients of the projects who were not to be included in the study and the forms were revised.

The follow-up information is designed to be collected at intervals following admission to the diversion project. The first follow-up is at three months from the date of entry and generally represents the period when clients are under the active supervision of the project. Clients may be assigned to the various pre-trial diversion projects, for example, anywhere from three months to two years; however, the period of most intense supervision is during the early period after entry. All diversion clients are on the streets and capable of committing new offenses from the time of admission; therefore, comparability between projects can be obtained by starting the follow-up with the date of admission.

#### TIME TABLE FOR DATA COLLECTION

The data collection forms had been completed in May, 1976 and periods of time to be included in each sample had been selected. At this time it became apparent that we might not be refunded for the second year of the proposed three year evaluation. Therefore, we altered the sample, pushing the dates back in time as far as possible in order to be able to get at least a three month follow-up on each person, complete the data collection and close out the project by September. However, when we were unexpectedly refunded for the second year, we were already committed to some less than optimal samples. In some cases, we were able

to collect data on later samples, discarding the data from the first sample. For example, we changed the sample for Crossroads to a later period. In Ventura, where we had taken the first clients in the program, we have decided to take another sample for comparison from the second year of the operation of the project. We have completed the three month follow-up on all clients in the sample and will complete the six months follow-up during the Spring of 1976.

## CHARACTERISTICS OF CLIENTS

### ADMITTED TO THE PROJECTS

#### PLAN OF THIS SECTION

In this section of the report, intake data are presented for all the projects in the evaluation survey combined (Table III) and for each project individually (Tables IV through XXI). Along with the tables, there are short narratives describing the clients admitted to all projects and to each project individually in terms of the basic set of variables embodied in the data collection instruments employed. The narrative for each project includes a discussion of the clientele of the project itself and a comparison of its clients with those of other projects in terms of the available data.

The types of data discussed vary from project to project depending upon the presence of information in the records of the project. In the case of some projects, the records were reasonably comprehensive and enabled the CBCEP staff to complete many or most of the items in the data forms. In other instances, there was only the most limited amount of information available from the project records with the result that only a few types of data could be recorded expressing only a very fragmentary conception of the clientele of these projects. This kind of situation is inevitable when an evaluator comes into a project after it is underway and it has established and stabilized its record keeping procedure. A better approach obviously is to work with the projects in their developmental stages in devising a uniform data system which can be utilized from the time they begin to receive clients. That approach, however, was not available to CBCEP, which could be characterized as primarily an afterthought as opposed to an evaluation which is integrated in projects in their formative or developmental stages and indeed, is part of the formative process.

#### SAMPLES FROM ALL PROJECTS COMBINED

Data on the 1222 cases in the samples from all the projects combined are presented in Table III. Because of the heterogeneity of the clientele in the three kinds of projects that are represented in this table, it is probably not worthwhile to spend much time discussing these data. However, a number of things do stand out. One is the youth of the clientele, with 48 percent of the cases under 30. The youth factor is representative of the pre-trial diversion projects. In contrast, the clientele of the alcohol detoxification projects is much older, on the average. However, when the samples are combined, the cases from the latter type of project are obscured. Almost two-thirds of the clients (actually 64 percent) were males and more than two-thirds (68 percent) were Anglos.

Thirty-seven percent of the total sample were charged with an offense against property and 1.7 percent with some kind of an offense involving marijuana; 31 percent of the sample were charged with no offense. Of the cases actually charged with an offense, 55 percent were charged with an offense against property and 25 percent with an offense involving marijuana. To describe the severity of the offenses, a scale was developed using as a basis the standard bail schedules from Alameda, San Diego and Sacramento Counties. (The process of constructing this scale, which is called the California Offense Severity Index, is described in a footnote on the tables). The severity scale ranges from one, for the offense of least severity, to 999 for the offense of greatest severity. Of the clients in all samples combined who were charged with an offense, 672 (or 80 percent) were charged with one in the severity index range of one to 99. Clearly, the clientele entering these projects were charged primarily with very minor offenses.



TABLE  
IV  
INTAKE DATA

San Diego Adult Deferred Prosecution Project  
July 1, 1974 through December 31, 1974

Total First Admissions 219		Sample Size 107		
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>	
18-20	24	22	Most Serious Charge at time of Diversion	
21-25	26	24		
26-30	15	14		
31-35	6	6		
36-40	5	5		
41-45	5	5		
46-50	8	8		
51-55	4	4		
56 and over	13	12		
No Information	1	1		
Total	107	100		
SEX	FREQUENCY	PERCENT		
Male	39	36	No Offense No Information	
Female	68	64		
No Information	0	0		
Total	107	100		
ETHNIC STATUS	FREQUENCY	PERCENT		
Black	13	12	1 - 99 Petty Theft Assault or battery Paraph., being in place Poss. Marijuana All others	
Anglo	79	74		
Chicano	9	8		
Native American	0	0		
Other	5	5		
No Information	1	1		
Total	107	100		
TYPE OF OFFENSE	FREQUENCY	PERCENT		
Most Serious Charge at time of Diversion				100 - 199 Poss. D.D. All others
Against persons	0	0		
Against property	107	100		
Dang. drugs & narc.	0	0		
Marijuana	0	0		
Sex	0	0		
Alcohol	0	0		
Against public order	0	0		
Mixed or misc.	0	0		
No Information	0	0		
No Offense	0	0		
Total	107	100		

AGE

The modal age category in the San Diego sample was 21-25 years with 26 individuals or 24 percent of the total sample included in it. Of considerable interest is the wide age range of the cases in the sample; twelve percent of them are 56 years of age or over. It should be noted that the distribution of ages is bimodal, the project serves relatively fewer people between the ages 31-45. Forty percent of the cases were 31 or over as opposed to 13 percent in Project Intercept in Oakland and ten percent in Project Intercept in Santa Rosa.

SEX AND ETHNICITY

The sample of clients from this project has an high percentage of females - 64 percent. Among the pre-trial projects surveyed by CBCEP, Project Intercept in Oakland has the next largest percentage of female clients with 50 percent. These are especially notable in that women are not arrested at as high a rate as men. Seventy-four percent of the clients in the San Diego Project sample are Anglo, 12 percent Black, and 8 percent Chicano. These percentages differ markedly from those of other projects. By comparison, 67 percent of the clients of Project Intercept in Oakland are Black and only 18 percent are Anglo. Differences in populations and in the cases arrested in the different cities probably partially account for these differences. It would be interesting to determine for each jurisdiction the ethnic distributions of cases at various stages of criminal justice processing (arrest, charges filed, diverted, prosecuted) to see if minority groups are overrepresented or underrepresented among those prosecuted.

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

MARITAL STATUS AND LIVING ARRANGEMENTS

Married persons comprised 37 percent of the sample while 43 percent were single and 18 percent divorced or separated. This is a higher percentage of married persons than is the case with most other projects. For example, only 12 percent of the sample of clients from Project Intercept in Oakland were married. The breakdown of the sample in terms of living arrangements was as follows: 19 percent living alone, 18 percent with a spouse, 20 percent with a spouse and children, 22 percent with parents, 13 percent with friends, and 7 percent with children only.

EMPLOYMENT AND INCOME

A large segment 43 percent of the study sample was unemployed at time of arrest while 39 percent reported full-time employment and 13 percent part-time. Data regarding stability of employment were incomplete; however 26 percent of the clients indicated employment during the entire year preceding entry into the diversion project. Information on income was also incomplete, with no information provided on 22 percent of the clients; however 15 percent reported no income during the month prior to diversion, 28 percent reported income from \$1 to \$400 per month, 35 percent reported more than \$400 per month. This compares with 18 percent reporting income over \$400 for all the projects studied. For 45 percent of the sample the client's earnings were reported as the only major source of income for their living units.

EDUCATIONAL LEVEL

Educationally, 66 percent of the clients had completed at least the twelfth grade and 32 percent reported some formal education beyond the twelfth grade. The median educational level for the subjects from all of the projects included in this survey is 12.6 years with 55 percent having completed twelve or more years of education.

DRUG AND ALCOHOL INVOLVEMENT

Clients with a history of drug and alcohol abuse are ineligible to participate in this project. The reviews by the City and District Attorneys and by the staff of the project are designed to eliminate cases with significant drug and alcohol problems. The assumption of the case supervisors in the project apparently is that the review process does accomplish this, since they do not have a place on their intake document for recording this information.

YOLO COUNTY YOUTH AND YOUNG ADULT DIVERSION PROJECT

SAMPLE

The 84 cases served by this project on whom intake data were collected consists of all individuals admitted to the project from July 1, 1974 through December 31, 1974.

OFFENSE CHARGED

Most of the cases assigned to this project are PC 1000 cases. Accordingly, most of the offenses the clients in the sample were charged with are drug-related offenses. Fully 45 cases, or 54 percent of the sample, were charged with possession of marijuana. Another 11 cases, or 13 percent, were charged with possession of dangerous drugs or narcotics. Other than the drug-related, there is a scattering of offenses including one petty theft, and two burglaries. With the passage of time, a gradually increasing proportion of clients admitted to this project has been charged with non-drug offenses.

PREVIOUS ARREST HISTORY

Of the sample of 84 cases, 63 (75 percent) had no prior arrests as adults for offenses other than traffic or drunkenness. Ten cases (12 percent) had a single adult arrest and five (six percent) had two arrests. The subject with the most previous arrests had seven. With respect to most serious prior disposition, adequate data were available on 75 cases. Of these, 52 (69 percent) had no prior convictions noted either as adults or juveniles, five (seven percent) had juvenile dispositions either with or without commitments, 15 (20 percent) had been convicted of misdemeanors, and three (four percent) had been convicted of felonies. Two of

TABLE  
V  
INTAKE DATA

Yolo County Diversion Project  
July 1, 1974 through December 31, 1974

Total First Admissions <u>84</u>		Sample Size <u>84</u>	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	25	30	Most Serious Charge at time of Diversion
21-25	34	41	
26-30	9	11	
31-35	7	8	
36-40	4	5	
41-45	4	5	
46-50	0	0	No Offense
51-55	1	1	No Information
56 and over	0	0	
No Information	0	0	
Total	84	100	
SEX	FREQUENCY	PERCENT	
Male	64	76	
Female	19	23	
No Information	1	1	
Total	84	100	
ETHNIC STATUS	FREQUENCY	PERCENT	
Black	7	8	
Anglo	60	71	
Chicano	9	11	
Native American	0	0	
Other	0	0	
No Information	8	10	
Total	84	100	
TYPE OF OFFENSE	FREQUENCY	PERCENT	
Most Serious Charge at time of Diversion			
Against persons	6	7	
Against property	15	18	
Dang. drugs & narc.	14	17	
Marijuana	45	54	
Sex	0	0	
Alcohol	3	4	
Against public order	1	1	
Mixed or misc.	0	0	
No Information	0	0	
No Offense	0	0	
Total	84	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

the latter were not sentenced to jail as a result of the felony conviction and one was.

AGE

Thirty percent of the sample from the Yolo County Diversion Project were under the age of 21 at time of intake. This compares to 23 percent in the same age group in the San Diego PC 1000 Court Diversion Project, which is the nearest thing to a counterpart to the Yolo Project among those included in the CBCEP survey. Out of the sample of 84 cases from the Yolo County Project, only five of the cases (six percent) were over 40 years of age; only two percent of the cases in the San Diego sample were over 40.

SEX AND ETHNICITY

The sample of clients from the Yolo County Project was 76 percent male and 23 percent female. The sample from the PC 1000 project in San Diego County consisted of 68 percent males and 29 percent females. Ethnicity was available for 74 of the clients in the Yolo County sample. Of these, 81 percent were Anglos, 9 percent were Blacks, and 12 percent were Chicanos. Seventy-nine percent of the San Diego sample were Anglos, and Blacks and Chicanos each represented nine percent of the sample.

MARITAL STATUS AND LIVING ARRANGEMENTS

Reflecting the relative youth of the sample from the Yolo County Project was the fact that 50 of the cases in it (69 percent) were reported as single-never married. Twenty-one (25 percent) of the cases were married either legally or on a commonlaw basis. Also reflecting the youth of the sample was

the fact that 25 of the 72 clients (35 percent) for whom information about living arrangements was available lived with their parents. Nine (13 percent) of them lived alone, and another nine lived with friends. Twenty-five of the clients (35 percent) lived in some kind of the familial arrangement with legal or common-law spouses and/or children.

#### EMPLOYMENT AND OCCUPATIONAL STATUS

Seventeen (22 percent) of the 76 cases in the Yolo County sample for whom occupational information was available were students. This reflects the fact that one of the campuses of the University of California is located in the county. Of the remaining cases, 23 (30 percent) were classified as skilled workers, 18 (24 percent) as unskilled workers, and 14 (18 percent) as laborers. Of the 79 subjects for whom information about current employment status was available, 32 (41 percent) were employed full-time, 30 (38 percent) were unemployed, and the rest were employed part-time.

#### EDUCATIONAL LEVEL

Information about educational achievement was available on 81 of the 84 cases in the Yolo Project sample. Of these clients 26 (32 percent) had more than 12 years of education. Four of the clients were college graduates. Only 22 (27 percent) of the clients had 11 years or less of schooling, and 33 (41 percent) had 12 years. As far as individuals involved in the criminal justice system are concerned, this is an unusually well-educated group.

#### DRUG AND ALCOHOL INVOLVEMENT

Because the Yolo County Project is largely a PC 1000 project, some kind of drug use is necessarily reported for

a very sizable proportion of its clients. The use of marijuana was acknowledged by 68 of the 82 clients (83 percent) for whom information was available. Only two the clients admitted some experience with opiates. Seven of the 82 clients indicated that they did not use alcohol. Use of alcohol without any problems, legal or otherwise was acknowledged by 53 of the clients (65 percent). Another seven cases reported a history of legal difficulties associated with alcohol or a physical or psychological dependence on it.

PC 1000 COURT DIVERSION PROJECT

SAN DIEGO

SAMPLE

The study group for the P.C. 1000 - Project is San Diego was persons admitted to the program from July through December of 1974. This project screens clients into two service modalities. During this period 125 cases were assigned to the treatment modality and all of these cases were included in our study. In addition 230 cases were assigned to the education modality from which we selected a 30% sample at random. Thus the study sample for this project is 125 treatment modality cases and 69 education modality cases for a total of 194 cases.

OFFENSE CHARGED

Data regarding offense charged at time of diversion indicate 84 percent were drug related violations with values less than 100 on the California Offense Severity Index. Twelve percent had offenses of severity between 100 and 199. Possession of marijuana was the charge at time of diversion for 65 percent of project clients followed by possession of paraphernalia or "being in a place" at 19 percent.

PREVIOUS ARREST HISTORY

Information about prior arrest was largely obtained from self-reports and no information was available on 4 percent of the sample. Arrest history data indicate that 74 percent of the sample had no history of previous adult arrest. A juvenile arrest history was reported by 19 percent of the clients. One or more prior arrests for drug violations were found for 15 percent of the clients. Only five percent of the clients reported having previously been on probation while one percent reported prior prison sentences.

TABLE VI  
INTAKE DATA

PC 1000 Court Diversion Project - San Diego

July 1, 1974 through December 31, 1974

Total First Admissions 380		Sample Size 194	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	45	23	Most Serious Charge at time of Diversion
21-25	100	52	
26-30	27	14	
31-35	14	7	
36-40	3	2	
41-45	1	1	No Offense
46-50	1	1	No Information
51-55	0	0	
56 and over	0	0	
No Information	3	2	
Total	194	100	
<hr/>			
SEX	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Male	131	68	1 - 99
Female	57	29	Petty Theft
No Information	6	3	Assault or battery
Total	194	100	Paraph., being in place
<hr/>			
ETHNIC STATUS	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Black	17	9	Poss. Marijuana
Anglo	146	75	All others
Chicano	17	9	
Native American	1	1	
Other	4	2	
No Information	9	5	
Total	194	100	
<hr/>			
TYPE OF OFFENSE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Most Serious Charge at time of Diversion			
Against persons	0	0	
Against property	0	0	
Dang. drugs & narc.	36	19	
Marijuana	155	80	
Sex	0	0	
Alcohol	0	0	
Against public order	0	0	
Mixed or misc.	0	0	
No Information	3	2	
No Offense	0	0	
Total	194	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

VII  
INTAKE DATA  
PC100 COURT DIVERSION PROJECT - SAN DIEGO

TREATMENT CASES

JULY 1, 1974 THROUGH DECEMBER 31, 1974

Total First Admissions 125		Sample Size 125	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	27	22	Most Serious Charge at time of Diversion
21-25	63	50	
26-30	19	15	
31-35	11	9	
36-40	1	1	
41-45	1	1	No Offense
46-50	1	1	No Information
51-55	0	0	
56 and over	0	0	
No Information	2	2	
Total	125	100	
<hr/>			
SEX	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Male	82	66	1 - 99
Female	42	34	Petty Theft
No Information	1	1	Assault or battery
Total	125	100	Paraph., being in place
<hr/>			
ETHNIC STATUS	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Black	11	9	Poss. Narcotics
Anglo	97	78	All others
Chicano	10	8	
Native American	1	1	
Other	3	2	
No Information	3	2	
Total	125	100	
<hr/>			
TYPE OF OFFENSE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Most Serious Charge at time of Diversion			
Against persons	0	0	
Against property	0	0	
Dang. drugs & narc.	27	22	
Marijuana	96	77	
Sex	0	0	
Alcohol	0	0	
Against public order	0	0	
Mixed or misc.	0	0	
No Information	2	2	
No Offense	0	0	
Total	125	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.



The use of "other drugs," a category which includes cocaine, amphetamines, barbiturates and LSD, was reported by 46 percent of the sample. Abstinence from alcohol use was reported by 10 percent of clients sampled. Alcohol use to some degree was reported by 80 percent of our sample, however, only 6 percent reported legal difficulties arising from alcohol use.

PROJECT INTERCEPT - NAPA, SOLANO, AND SONOMA COUNTIES

North Bay Counties Intercept has offices in Napa County, Solano County and Sonoma County. The three offices are treated separately below because of certain operational differences that have developed. The Solano office is most unique in that cases come from county as well as municipal courts, and they are post-trial rather than pre-treat the client is placed in the program after conviction, as a condition of probation. This would appear to account for the smaller intake as well as the higher severity level of offenses charged.

The small sample for the Napa office is consistent with the much smaller county population.

TABLE  
IX  
INTAKE DATA

Project Intercept - North Bay Counties (Sonoma, Solano, Napa)  
January 1, 1975 through June 30, 1975

Total First Admissions 155		Sample Size 155	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	57	37	Most Serious Charge at time of Diversion
21-25	62	40	
26-30	17	11	
31-35	9	6	
36-40	4	3	
41-45	1	1	
46-50	1	1	
51-55	2	1	
56 and over	1	1	
No Information	1	1	
Total	155	100	
SEX	FREQUENCY	PERCENT	
Male	99	64	
Female	56	36	
No Information	0	0	
Total	155	100	
ETHNIC STATUS	FREQUENCY	PERCENT	
Black	11	7	
Anglo	113	73	
Chicano	16	11	
Native American	7	5	
Other	7	5	
No Information	1	1	
Total	155	100	
TYPE OF OFFENSE	FREQUENCY	PERCENT	
Most Serious Charge at time of Diversion			
Against persons	19	12	
Against property	116	75	
Dang. drugs & narc.	3	2	
Marijuana	4	3	
Sex	0	0	
Alcohol	2	1	
Against public order	5	3	
Mixed or misc.	1	1	
No Information	2	1	
No Offense	3	2	
Total	155	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

NAPA INTERCEPT

The sample of cases from Napa Intercept includes all 29 clients admitted January through June, 1975.

OFFENSE CHARGED

Twenty-two of the cases (76 percent) were charged with an offense between one and 99 on the California Offense Severity Index -- the range of least severity on the scale. Thirteen of these were petty theft cases. There were several cases charged with minor disturbances, including one for disturbing the peace, one for disobedience to an officer, one for assault or battery and two for resisting arrest. The cases with offenses of "greater" severity included two charged with non-sufficient funds checks, two with fraud in obtaining aid, one with assault on police and one with second-degree burglary.

PREVIOUS ARRESTS HISTORY

According to the available data, 19 of the cases had no prior criminal justice disposition. There were no adult felony convictions. Seven had an adult misdemeanor conviction; two of these had been to jail and five received probation without jail. For three persons, the most serious prior disposition was a juvenile conviction; one of these was with a commitment.

AGE, SEX AND ETHNICITY

The clients in the sample tended to be relatively young; 35 percent were between 18 and 20 and another 35 percent 21 to 25. Twenty of the 29 (or 69 percent) were males. There were 20 Whites, eight Chicanos and one "other." No Blacks were in the sample.

TABLE  
X  
INTAKE DATA

Project Intercept - North Bay Counties (Napa)  
January 1, 1975 through June 30, 1975

Total First Admissions 29			Sample Size 29		
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>		
18-20	10	35	Most Serious Charge at time of Diversion		
21-25	10	35			
26-30	5	17			
31-35	1	3			
36-40	1	3			
41-45	0	0	No Offense No Information	FREQUENCY	PERCENT
46-50	1	3			
51-55	1	3			
56 and over	0	0	1 - 99		
No Information	0	0	Petty Theft	13	45
			Assault or battery	1	3
			Paraph., being in place	0	0
			Poss. Marijuana	0	0
			All others	8	27
Total	29	100	Subtotal	22	76
			100 - 199		
			Poss. D.D.	0	0
			All others	5	17
			Subtotal	5	17
			200 - 299		
			Poss. Narcotics	0	0
			All others	0	0
			Subtotal	0	0
			300 - 399	1	3
			400 - 499		
			Burglary	1	3
			All others	0	0
			Subtotal	1	3
			500 - 599	0	0
			600 - 699	0	0
			700 - 799	0	0
			800 - 899	0	0
			900 - 999	0	0
			Total	29	100
SEX	FREQUENCY	PERCENT			
Male	20	69			
Female	9	31			
No Information	0	0			
Total	29	100			
ETHNIC STATUS	FREQUENCY	PERCENT			
Black	0	0			
Anglo	20	69			
Chicano	8	28			
Native American	0	0			
Other	1	3			
No Information	0	0			
Total	29	100			
TYPE OF OFFENSE	FREQUENCY	PERCENT			
Most Serious Charge at time of Diversion					
Against persons	8	28			
Against property	17	59			
Dang. drugs & narc.	0	0			
Marijuana	0	0			
Sex	0	0			
Alcohol	0	0			
Against public order	4	14			
Mixed or misc.	0	0			
No Information	0	0			
No Offense	0	0			
Total	29	100			

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

MARITAL STATUS AND LIVING ARRANGEMENTS

The marital status distribution of the sample was consistent with the age of the 29 cases; only 5 were married, while 15 were single and 9 separated or divorced. Five lived with their spouse and 2 others with their children, while 11 lived with their parents, 7 with a friend and 3 alone. Eighteen (or 62 percent) of the clients were unemployed, but 10 of the 11 who were employed had full-time jobs.

OCCUPATION AND EDUCATION

The occupational status of the sample was low; the median on the occupational scale was only 7.2. Seven is the scale value for, generally speaking, unskilled workers and 8 for laborers. The median numbers of years of education achieved by the sample was 11.6.

SOLANO INTERCEPT

SAMPLE

The size of the sample of clients of Solano Intercept is 26 -- all cases received January through June, 1975.

OFFENSE CHARGED

The offense charged was unavailable for two individuals; 14 of the remaining 24 cases were below 100 on the California Offense Severity Index, i.e. at the low severity end. Six of these were petty theft, and three were assault or battery. There was one filing of a false police report, one unauthorized firearm and one concealed weapon. Clients charged with offenses in the 100's included one for bad checks, one for welfare fraud and one for receiving stolen property. Solano Intercept had a much larger proportion of charges above the 200 level (29 percent) than either Napa Intercept (7 percent) or Sonoma Intercept (4 percent). These charges for Solano clients involved felony drunk driving, embezzlement, assault on a policeman, drug sales and three cases of second-degree burglary.

PREVIOUS ARREST HISTORY

Although data were missing for two cases, the prior offense history of this group was relatively limited. Six individuals had an adult conviction; four of these cases did no jail time (2 felonies and 2 misdemeanors) while two other misdemeanants had been sentenced to jail. The data show eight individuals with adult arrests. Five had been sentenced to probation for four individuals the most serious prior disposition was a juvenile conviction, but no juvenile commitments were recorded for these cases.

TABLE  
XI  
INTAKE DATA

Project Intercept - North Bay Counties (Solano)

January 1, 1975 through June 30, 1975

Total First Admissions		Sample Size	
26		26	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	8	31	Most Serious Charge at time of Diversion
21-25	10	39	
26-30	3	12	
31-35	2	8	
36-40	1	4	
41-45	0	0	
46-50	0	0	No Offense
51-55	0	0	
56 and over	1	4	No Information
No Information	1	4	
Total	26	100	
		FREQUENCY	PERCENT
		0	0
		2	8
		6	23
		3	12
		0	0
		0	0
		5	19
Subtotal		14	53
SEX	FREQUENCY	PERCENT	
Male	21	81	100 - 99
Female	5	19	Petty Theft
No Information	0	0	Assault or battery
Total	26	100	Paraph., being in place
		0	Poss. Marijuana
		3	All others
Subtotal		3	12
ETHNIC STATUS	FREQUENCY	PERCENT	
Black	8	31	200 - 299
Anglo	16	62	Poss. Narcotics
Chicano	0	0	All others
Native American	1	4	
Other	1	4	
No Information	0	0	
Total	26	100	
		2	8
		1	4
		3	12
Subtotal		3	12
TYPE OF OFFENSE	FREQUENCY	PERCENT	
Most Serious Charge at time of Diversion	6	23	500 - 599
Against persons	12	46	600 - 699
Against property	1	4	700 - 799
Dang. drugs & narc.	0	0	800 - 899
Marijuana	0	0	900 - 999
Sex	0	0	
Alcohol	1	4	
Against public order	1	4	
Mixed or misc.	0	0	
No Information	2	8	
No Offense	3	12	
Total	26	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

AGE, SEX AND ETHNICITY

The data indicate a relatively young sample, with 31 percent in the 18 through 20 category and 39 percent in the 21 through 25. Twenty-one of the 26 or 81 percent were males. There were 8 Blacks (31 percent) and 16 Whites (62 percent), plus one Native American and one "other." No Chicanos were in the sample.

MARITAL STATUS AND LIVING ARRANGEMENTS

Consistent with the age distribution noted above, 4 individuals were married, while 17 were single and 5 were separated or divorced. Three lived with their spouse and 2 others with their children, while 9 lived with their parents, 6 with friends and 6 lived alone.

EMPLOYMENT, OCCUPATIONAL STATUS AND EDUCATION

A very high proportion (88 percent) were unemployed. Only 3 individuals were employed, 2 full-time and 1 part-time. The "usual" occupational level of this sample was higher than might be expected. The median of the sample on the occupational scale was 6.2. Six is the scale value corresponding to the category including skilled workers. The median number of years of education completed by this sample was 11.8.

SONOMA INTERCEPT

SAMPLE

The sample of clients from Sonoma Intercept consists of 100 cases out of the 160 clients received January through June, 1975.

OFFENSE CHARGED

The program is oriented mainly to light-weight property offenders. Ninety-six of the cases had an offense charged with a scale value below 100 on the California Offense Severity Index (the low end of the scale), and 82 of these were charged with petty theft. The others included three cases of assault or battery, two of glue sniffing and three of possession of marijuana. The only offenses above the 100 level were one of possession of narcotics and three of second-degree burglary.

PREVIOUS ARREST HISTORY

According to the available data, 25 individuals had been arrested as adults. Data on most serious prior disposition show no adult felony convictions and only fifteen adult misdemeanor convictions -- ten of these with probation and five with some jail time. Two individuals had been committed as juveniles and for five others the most serious disposition was juvenile conviction without commitment.

AGE, SEX AND ETHNICITY

The sample of clients from the project was relatively young. Thirty-nine of the 100 cases were 18 to 20 years of age and 42 others were 21 to 25. These figures compare to 19 percent and 29 percent for the population of all the projects in the survey combined. Forty-two of the 100 clients were females, a greater



SAMPLE

For Project Crossroads, the sample consists of all 55 cases received during July through September, 1975. Crossroads differs from the other projects in this survey in that clients are referred by the Public Defender's office.

OFFENSE CHARGED<sup>1</sup>

With data for 51 of the cases, only 14 or 27 percent of the offenses charged were between one and 99 on the California Offense Severity Index. This compares to the 80 percent in that range of the 834 cases in all projects surveyed in which criminal charges are involved. Thirteen or 24 percent of the cases involved second-degree burglary charges making this offense the single most frequently occurring offense.

PRIOR ADULT CONVICTIONS

Data on the most serious prior disposition show 31 of the 55 individuals with adult convictions, including seven with records of no jail time, 13 with jail time, and 11 with prison time. For six the most serious disposition was a juvenile conviction, three with and three without commitments.

AGE

The distribution for the 51 cases on which age was available is about the same as for the entire population of all projects combined, with the largest group, 16 or 31 percent, falling in the 21-25 age category.

<sup>1</sup>Percentages have been calculated on those cases for whom data are available, and therefore will not correspond exactly to those in Table 13.

TABLE  
XIII  
INTAKE DATA

Project Crossroads - Oakland  
July 1, 1974 through      ember

Total First Admissions		Sample Size	
55		55	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	9	16	Most Serious Charge at time of Diversion
21-25	16	29	
26-30	7	13	
31-35	6	11	
36-40	4	7	
41-45	4	7	No Offense
46-50	2	4	
51-55	1	2	No Information
56 and over	2	4	
No Information	4	7	
Total	55	100	
SEX	FREQUENCY	PERCENT	
Male	45	82	
Female	9	16	
No Information	1	2	
Total	55	100	
ETHNIC STATUS	FREQUENCY	PERCENT	
Black	31	56	
Anglo	17	31	
Chicano	4	7	
Native American	0	0	
Other	0	0	
No Information	3	6	
Total	55	100	
TYPE OF OFFENSE	FREQUENCY	PERCENT	
Most Serious Charge at time of Diversion			
Against persons	13	24	
Against property	25	46	
Dang. drugs & narc.	3	6	
Marijuana	0	0	
Sex	2	4	
Alcohol	4	7	
Against public order	3	6	
Mixed or misc.	1	2	
No Information	4	7	
No Offense	0	0	
Total	55	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

SEX AND ETHNICITY

Of the sample of 54, 83 percent are males and 17 percent females. Thirty-one of the 55 cases in the sample (56 percent) are Black, a much higher proportion than for most of the projects. Seventeen or 31 percent are Anglo and four (seven percent) are Chicano.

STABILITY OF RESIDENCE

Some information is available relating to stability of residence. With data for 35 cases, 29 percent had lived one year or less at their present address, 43 percent had lived from one to eight years at their present address, and six individuals had lived more than eight years at their present address. Seventy-seven percent (27 cases) have lived within the county eight years or more compared to 33 percent for all groups in the study although this information was only available on 57 percent of all the cases in the programs studied.

MARITAL STATUS AND LIVING ARRANGEMENTS

With data for 50 cases, 28 percent were married, 40 percent had never married, and 30 percent were separated, divorced, or widowed. Living arrangements were consistent with this. Twenty-seven percent lived with spouse and or children, thirty-five percent with parents, eleven percent with friends, and eighteen percent alone.

EMPLOYMENT, OCCUPATIONAL STATUS AND EDUCATIONAL LEVEL

At the time of arrest or contact with Project Crossroads, 71 percent were unemployed (data on 49 cases) while 14 percent were employed full-time and 12 percent part-time. Based on self-reported occupation, the status of the Crossroads sample is

relatively low. Median status is 7.5 on the San Bernardino Occupational Scale, lower than the 7.0 which is typical for unskilled occupations or the 6.8 median for all project populations combined. The median number of years of education completed by the subjects was only 12.0, however slightly lower than the overall median of 12.3.

#### DRUG AND ALCOHOL INVOLVEMENT

Twenty-three or 43 percent of 53 of the cases were known to have used drugs or some other illegal substance, ranging from glue or marijuana to opiates. Sixteen individuals had used drugs for over a year, nine of these for over four years. Ten individuals have undergone some kind of drug treatment. Twenty-three cases (undoubtedly a low figure) showed some problem with the use of alcohol. For nine of these individuals an alcohol problem had existed for over four years. Six cases have received some treatment for alcohol abuse.

## PRE-TRIAL DIVERSION PROJECT

### OAKLAND INTERCEPT

#### SAMPLE

The Oakland Intercept sample of 123 includes every other client received by the project during January through June 1975.

#### OFFENSE CHARGED

Data for the 123 cases show that the offenses charged were relatively minor, 88 percent falling between one and 99 on the California Offense Severity Index (C.O.S.I.). This compares to 80 percent for all the projects studied combined. Eighty-eight of the Oakland Intercept cases or 72 percent were charged with petty theft. Only Santa Rosa Intercept with 82 percent and San Diego Adult Deferred Prosecution with 89 percent had a higher proportion of petty theft cases. There were no drug cases at all apparently because these cases are routinely referred to T.A.S.C., a drug program administered by the Alameda County Probation Department. Four cases were charged with prostitution, four with malicious mischief, and three with resisting arrest.

#### PREVIOUS ARREST HISTORY

The data on previous arrest history in the files is undoubtedly incomplete, since it is based on self reporting. Nevertheless for 22 or 18 percent of the cases there is a known juvenile arrest, and for 18 or 15 percent there is a known juvenile commitment. Also reflecting the relative

TABLE  
XIV  
INTAKE DATA

Pre-trial Diversion Program - Project Intercept - Oakland  
January 1, 1975 through June 30, 1975

Total First Admissions 248		Sample Size 123	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	42	34	Most Serious Charge at time of Diversion
21-25	45	37	
26-30	19	15	
31-35	6	5	
36-40	4	3	
41-45	3	2	
46-50	3	2	
51-55	1	1	
56 and over	0	0	
No Information	0	0	
Total	123	100	
SEX	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Male	61	50	1 - 99 Petty Theft Assault or battery Paraph., being in place Poss. Marijuana All others
Female	62	50	
No Information	0	0	
Total	123	100	
ETHNIC STATUS	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Black	82	67	100 - 199 Poss. D.D. All others
Anglo	22	18	
Chicano	8	7	
Native American	1	1	
Other	10	8	
No Information	0	0	
Total	123	100	
TYPE OF OFFENSE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Most Serious Charge at time of Diversion			200 - 299 Poss. Narcotics All others
Against persons	7	6	
Against property	110	89	
Dang. drugs & narc.	0	0	
Marijuana	0	0	
Sex	4	3	
Alcohol	1	1	
Against public order	0	0	
Mixed or misc.	1	1	
No Information	0	0	
No Offense	0	0	
Total	123	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

youth of the project population is the fact that only six cases are known to have adult convictions. There are apparently no adult prison sentences, but there are four known cases of adult probation.

The records show that for five cases the most serious prior disposition was juvenile probation, for fourteen it was juvenile commitment, for three it was adult conviction without jail, and for three others it was adult conviction with jail. Only three cases were on probation and three cases on parole at the time of entry into the program.

AGE

Thirty-four percent were between 18 and 20 years old upon entry, as compared to 19 percent for all projects studied combined.

SEX AND ETHNICITY

The Intercept population is unusual in sex composition, 50 percent females as compared to only 35 percent for the combined population of all projects studied. Only the three projects in the survey which are all female (Quest, Mustard Seed, and San Diego Detoxification) and one other program (San Diego Adult Deferred Prosecution) exceeded Oakland Intercept in this regard. The Oakland Project also had a large Black population (67 percent). This proportion is well above that of any other program, e.g. Crossroads, also in Oakland (56 percent Black), and Vallejo Intercept (31 percent Black).

#### LENGTH OF RESIDENCE IN COMMUNITY

For 110 of the 123 cases, the length of time at their address at entry was unknown. However, ten individuals had lived in the county for at least one year, 30 others for 8 years, and 54 others for some period longer than 8 years at the time of entry into the project.

#### MARITAL STATUS AND LIVING ARRANGEMENTS

Consistent with the age distribution are the data on the marital status of the subjects in the sample; 70 percent were never married, 12 percent were married, 7 percent were separated, and 9 percent divorced. Only the San Diego PC 1000 project and Santa Rosa Intercept approach this figure, with 68 percent never married and 60 percent never married, respectively. The living arrangements of Oakland Intercept clients correspond to their marital status, with 42 percent living with parents, 21 percent living alone, 15 percent with friends, 11 percent with spouse, and 12 percent with children.

#### EMPLOYMENT AND OCCUPATIONAL STATUS

Seventy-six percent of Oakland Intercept cases were unemployed at time of arrest, and 40 percent had held their last job for five months or less. These proportions suggest considerable instability of employment. Almost all occupations (according to self report) were between 4 (service employee) and 8 (unskilled laborer) on the nine point San Bernardino scale of occupational status. With data for 110 cases the median occupational status is 6.6. This is close to the median of 6.8 for all the projects' sample populations combined.

#### EDUCATIONAL LEVEL

The educational level of the Project Intercept clients is about average among the various projects. Based on 116 cases, the median number of years of education is 12.3 years; this was the same as the median for all projects combined.

#### DRUG AND ALCOHOL INVOLVEMENT

Information on drug involvement and alcohol use is almost nil for clients of Oakland Intercept. Although the intake forms include categories for both items, they are rarely used. Similarly there is almost no information on prior treatment for drug or alcohol abuse.

ADULT DIVERSION PROJECT - VENTURA COUNTY

SAMPLE

The sample of clients from the Ventura Adult Diversion Project consists of the total intake, 102 cases, into the project during the period January 1, 1974, through June 30, 1975.

OFFENSE CHARGED

Some 59 (58 percent) of the cases in the sample were charged with the offense of petty theft. The percentage of clients with this type of offense was lower than was the case in the samples from the other pre-trial diversion projects studied. In the San Diego Adult Deferred Prosecution Project sample, 89 percent of the clients were charged with petty theft. In the Oakland Intercept sample, 72 percent were charged with that offense. On the other hand, cases charged with assault and battery represented 22 percent of the Ventura clientele as opposed to two percent in Oakland and no cases at all in San Diego. The presence of this large a percentage of assaultive cases in the clientele of the Ventura Project undoubtedly has a considerable influence on the character of the project and the services it renders.

PREVIOUS ARREST HISTORY

At the time of the arrest which resulted in their being admitted to the Ventura Project, 99 percent of the clients had no legal hold on them and one percent were on probation. No prior probation terms were reported by 88 percent of the clients while 11 percent reported one prior probation. No prior conviction or juvenile dispositions were reported by 73 of the 93 cases (78 percent). A misdemeanor was reported as the most serious prior disposition by 12 percent of

TABLE  
XV  
INTAKE DATA

Ventura Adult Diversion

October 1, 1974 through March 31, 1975

Total First Admissions		Sample Size	
102		102	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	24	24	Most Serious Charge at time of Diversion
21-25	23	23	
26-30	18	18	
31-35	9	9	
36-40	9	9	
41-45	7	7	
46-50	2	2	
51-55	5	5	
56 and over	5	5	
No Information	0	0	
Total	102	100	
SEX	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Male	61	60	1 - 99 Petty Theft Assault or battery Paraph., being in place Poss. Marijuana All others
Female	41	40	
No Information	0	0	
Total	102	100	
ETHNIC STATUS	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Black	6	6	100 - 199 Poss. D.D. All others
Anglo	73	72	
Chicano	21	21	
Native American	0	0	
Other	2	2	
No Information	0	0	
Total	102	100	
TYPE OF OFFENSE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Most Serious Charge at time of Diversion			200 - 299 Poss. Narcotics All others
Against persons	28	28	
Against property	71	70	
Dang. drugs & narc.	0	0	
Marijuana	1	1	
Sex	1	1	
Alcohol	0	0	
Against public order	0	0	
Mixed or misc.	1	1	
No Information	0	0	
No Offense	0	0	
Total	102	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

those reporting, a felony by nine percent, and a juvenile disposition by two percent. The clientele of the Ventura Project has a more extensive record of prior involvement in the criminal justice system than those of the other projects studied. For example, 95 percent of the sample admitted to the San Diego Project did not have a history of previous arrest compared to the 78 percent of the Ventura Project.

AGE

Some 64 percent of the Ventura sample was 30 years of age or younger. This compares to the 86 percent of the Oakland Intercept sample that were in that age range. At the other end of the age distribution, 12 percent of the clients in the Ventura sample were 46 years of age or older while only three percent of the Oakland sample were in that group. On the other hand, in the sample of admissions to the San Diego Deferred Prosecution Project 24 percent were 46 or older. Therefore, in terms of dealing with an older clientele, the Ventura Project occupies somewhat of an intermediate position.

SEX AND ETHNICITY

Of the sample of intake into the Ventura Project, 60 percent were males and 40 percent females. This compares to the equal proportions (50% males and 50% females) in the Oakland Intercept sample and the preponderance of females (64 percent) in the San Diego Project sample. Seventy-two percent of the Ventura sample were Anglos, 21 percent Chicanos, and six percent Blacks. As is the case with other projects, the ethnic composition of the intake into the Ventura Project reflects, to some degree, the ethnic distribution in the population in its service area.

#### MARITAL STATUS AND LIVING ARRANGEMENTS

For the Ventura sample, 46% of the individuals were married, while only 32% were single and 21% separated, divorced, or widowed. These figures contrast with those for San Diego Deferred Prosecution (37% married, 43% single, and 18% separated, divorced, or widowed) and contrasts even more with the Oakland Intercept figures (12% married, 70% single, 16% separated, widowed, divorced). Living arrangements of the Ventura clientele at the time of their entry into the project were as follows: 37 percent with spouse and children, 8 percent with children only, 16 percent alone, 9 percent with legal spouse, 2 percent with a friend, and 24 percent with parents.

#### EMPLOYMENT AND INCOME

Full-time employment was reported by 49 percent of the Ventura clients, and seven percent were employed part-time. A status of unemployed was reported by 44 percent of the clients. A large proportion of the sample (45 percent) provided no information about their monthly income. However, of those for whom information was available, 30 percent reported income of \$101 to \$400, 24 percent \$401 to \$700, 33 percent between \$701 and \$1250, 7 percent \$1251 or more. Another six percent reported no income. Approximately 16 percent of the clients in the total sample were receiving support through public welfare programs.

#### EDUCATIONAL LEVEL

Twenty-three percent of the Ventura clients had completed more than twelve years of education, 38 percent the twelfth grade, and 37 percent 11 years of less. The educational achievement of this sample is somewhat lower than that of the San Diego sample, of which 36 percent had completed the twelfth grade and 32 percent had received education beyond that point.

#### DRUG AND ALCOHOL INVOLVEMENT

The drug and alcohol use reported by the clients of the Ventura program was minimal. None of the cases reported prior use of opiates. Only nine percent of the Ventura sample reported a history of marijuana use. In only one case did a charge of involvement with marijuana lead to participation in this diversion project. The use of dangerous drugs was reported by a single case only. Abstinence from alcohol was claimed by 72 percent of the Ventura sample while 16 percent reported using it without any legal difficulties or a psychological or physical dependence. Six percent had experienced legal difficulties or a dependency. For another six percent, alcohol was involved in their diversion case.

NARCOTIC EDUCATION LEAGUE RESIDENTIAL FACILITY

OAKLAND

The staff of CBCEP included the Narcotics Education League (NEL) in the list of projects they intended to evaluate. However, the Alameda County Regional Criminal Justice Planning Board had, prior to the time of this decision, received special funds for planning and evaluation. These funds enabled the region to do fairly intensive evaluations of certain projects. One of the projects subjected to such an evaluation was NEL (Langer, 1975). The CBCEP staff was of the opinion that the evaluation model they were designing would lead to the generation of different evaluative data about the program than had previously been gathered by the regional staff. Therefore, they approached NEL with a proposal to do another evaluation. The senior staff of NEL felt that they had been evaluated enough and were quite satisfied with the existing evaluation anyway. Since the CBCEP was dependent upon the cooperation of the project, its staff members decided to turn their efforts in other directions. One of the other directions they chose was to evaluate the evaluation of NEL that was done by the region. This effort is the subject of Appendix A.

HUMBOLDT ALCOHOL OFFENDER DIVERSION PROJECT

EUREKA

SAMPLE

The sample of cases from this project consists of 40 cases admitted between June 1, 1974 and June 30, 1975.

OFFENSE CHARGED

All of the clients admitted to this project enter voluntarily. Their coming into the program does not directly result from an action of any segment of the criminal justice system or any other agency.

AGE

The median age of the sample of clients of the Humboldt project was 45.5 years. This median is lower than the median for the alcohol detoxification projects in Long Beach and Marysville which were 47.9 and 52.1, respectively. Only one case in the Humboldt sample was less than 25 years of age, and only three were less than 30.

SEX AND ETHNICITY

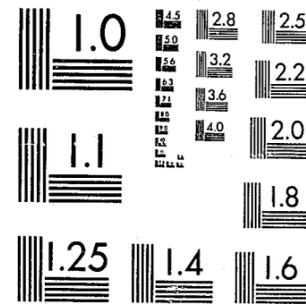
The Humboldt project was intended to deal primarily, if not exclusively, with a male clientele. Accordingly, 95 percent of the sample was male and only five percent (two cases) female. The sample consisted of 32 Anglos (80 percent), 7 Native Americans (17 percent), and 1 Chicano (three percent). No Black clients were in the sample.

**CONTINUED**

**2 OF 3**



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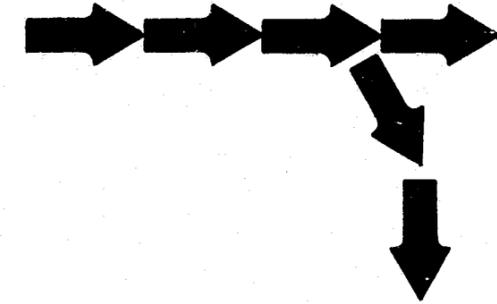
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DATE FILMED

JULY 21, 1981



# *Evaluation of Adult Diversion Projects CBCEP Report - Part One*

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*X* Community Based Corrections Evaluation Project  
California Department of Corrections  
Sacramento, California

February, 1976

EVALUATION OF ADULT DIVERSION PROJECTS

CBCEP REPORT PART-ONE

Robert Dickover  
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This project was funded by OCJP  
grants numbers 1804-1 and 1804-2.

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Community Based Corrections Evaluation Project  
California Department of Corrections  
Sacramento, California

February, 1976

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ADMINISTRATIVE ABSTRACT

Evaluation of Adult Diversion Projects: Report No. 1  
Community - Based Corrections Evaluation Project, February 1976

BACKGROUND OF THE EVALUATION PROJECT

The Community - Based Corrections Evaluation Project (CBCEP) is funded by the Law Enforcement Assistance Administration (LEAA) through the Office of Criminal Justice Planning (OCJP). It has the responsibility of evaluating 15 adult diversion projects which were receiving funding during the 1974 action period of OCJP. The projects included in the panel being evaluated fall into three categories: pre-trial diversion, residential alternatives to jail, and alcohol and heroin detoxification. As an aggregate, they have constituted, during the period of time the evaluation focuses on, what might be termed the adult diversion program in California. The orientation of the evaluation project is toward a program level evaluation rather than an evaluation of individual projects.

The projects in the evaluation panel are geographically distributed from San Diego to Eureka. Some are in major urban centers, and some in small communities. Some are ethnically-based, employing at least partially a paraprofessional staff; and others are professionally staffed in the traditional bureaucratic sense. All of them, however, possess one fundamental characteristic; and that is that they are designed to minimize the penetration of their clientele into the criminal justice system.

METHODOLOGY AND DESIGN OF THE EVALUATION

The basic element in the methodology of the evaluation is an information system involving two forms. One of these forms is designed to collect information available on the client at the time of intake into a project and is concerned with such things as the

characteristics of the client, his prior criminal history, and his current legal status. The other form is used in the follow-ups, one of which is at three months and the other at six months. The length of the follow-up period is governed by the length of time the clients are under the supervision of the projects. Since this tends to be short in most cases, the follow-up periods used in the evaluation are likewise short. The data generated through these forms will be supplemented by other information accumulated through interviews of the project staffs, their clients, and the managers of business concerns who have entered criminal complaints against people who were ultimately diverted into the projects.

#### THE CLIENTELE OF THE PROJECTS

The intake form was completed on a total of 1222 admissions to the 13 projects for which data pertaining to clientele were available. The size of the samples for the individual projects ranged from 194 for the PC 1000 Court Diversion Project in San Diego County to nine for the Bay Area Quest Project. The large San Diego group represented a sample of those clients admitted to the project during the period July through December 1974. The nine admissions to Quest were the totality of cases admitted to the project during December 1974 through June 1975. The samples from the various projects were admitted during different periods of time. This was necessitated by, among other things, differing start-up times from project to project.

Age of Clients. The clients admitted to the adult diversion projects in the evaluation panel are relatively young. Some 60 percent of the sample were in the age range 18-30. The exceptions to this generalization are the alcoholism-oriented projects which necessarily have an older clientele; the median age of the clients admitted to the alcohol detoxification project in Marysville, for example, was 52.1 years.

Sex. Slightly less than two-thirds of the clients (64 percent)

in the total sample were males. Aside from the three projects which admit only females, the project with the largest percentage of females in its sample was the San Diego Adult Deferred Prosecution Project with 64 percent. This is a remarkably high percentage of female clients as far as any criminal justice activity dealing with both sexes is concerned and is in marked contrast to the PC 1000 Project in San Diego, Yolo County Diversion Project and Project Crossroads in Oakland, which had percentages of women in their samples of 29, 23, and 16 percent, respectively.

Ethnicity. In terms of ethnicity, 68 percent of the total sample were Anglos (White, non-Spanish-speaking or surnamed), 16 percent Blacks, and 10 percent Chicanos. The ethnic distribution in a project's intake necessarily reflects to a considerable extent the composition of the community the project serves. The sample from Project Intercept in Oakland was, therefore, 67 percent Black; in contrast, only eight percent of the sample from the Yolo County Diversion Project were Black.

Type of Offense. No offense was involved in the admission of 376 of the total sample of 1222 cases into the projects. Those without offenses were admitted into the detoxification projects on a "pre-arrest" basis. For another nine cases, no information was available on the offense. Of the remaining 837 cases who were charged with an offense, 351 (42 percent) were charged with petty theft and 176 (or 21 percent) with possession of marijuana. On an offense severity scale ranging from a low of one to a high of 999 that was constructed by the CBCEP staff using bail schedules as a basis, both of these offenses have a scale value of less than 99. Indeed, 672 (or 80 percent) of the charged offenders have offenses with scale values in the range of one to 99. Only 18 of those who were charged were charged with an offense having a scale value of over 500, and the largest group charged with a relatively "severe" offense were the 35

cases charged with burglary. The latter offense has a severity scale value of 401. In short, the vast majority of cases in the sample who were charged with offenses (and who were admitted because of those offenses) were charged with very minor offenses. Since the cases in this survey charged with offenses were largely admitted to pre-trial diversion projects, it may be said that the pre-trial diversion projects in the evaluation panel are dealing primarily with very minor offenders. As far as specific projects are concerned, 95 (or 89 percent) of the 107 cases in the sample of admissions to the San Diego Adult Deferred Prosecution Project were charged with petty theft. Similarly 132 (or 85 percent) of the sample of 155 admissions to Project Intercept in the North Bay Counties were charged with offenses in the severity range of one to 99.

#### OVERVIEW OF PRE-TRIAL DIVERSION PROJECTS

As the first step in a program level evaluation, the staff of CBCEP looked at the pre-trial diversion projects in the evaluation panel as a program. Even at this early stage of the evaluation and even in the absence of a number of critical elements such as follow-up data, some important observations about the effectiveness and efficiency of pre-trial diversion projects can be made.

Offense Severity and Restrictions on Cost Effectiveness. On the basis of the samples of cases admitted to the pre-trial diversion projects in the evaluation panel, it can be said that the clientele these projects are dealing with is composed to a very great extent of minor offenders. The projects are extending to these minor offenders case supervision that is in some instances more intensive than that which would ordinarily be provided to cases sentenced to formal probation. This level of supervision makes it impossible for these pre-trial diversion projects to be cost effective. Virtually the only factor that can result in a savings in costs through the utilization of the pre-trial diversion mechanism employed in some of the projects surveyed is the

avoidance of the court hearing or hearings. The savings realizable through this are more than offset by the cost of case supervision. A very substantial proportion of the cases going through the projects, in the absence of the projects as alternatives, would have received such low cost dispositions as fines and summary probation. Indeed, there is a possibility that many of the cases might have been dismissed prior to prosecution. The alternative (diversion) provided to prosecution and conviction seems to be one of greater cost than prosecution and conviction. It would seem possible to realize the advantages to the client and to the criminal justice system from diversion without incurring the increase in costs from the kind of supervision now provided under it. One means is to utilize an analog of summary probation in the diversion status. Another approach to the problem of costs is to increase the proportion of cases with more severe offenses assigned to diversion projects. Some or many of these cases would be sentenced to formal probationary supervision if they were convicted. If these cases were diverted into a project based on case supervision, there would be essentially no increase in costs arising from the alternative processing.

#### The Extent of Penetration into the System and Cost Effectiveness.

Pre-trial diversion projects have been traditionally justified on the basis of their limiting costs through the avoidance of processing cases through the courts. In general, the CBCEP staff has found it to be true that the pre-trial diversion projects (other than the PC 1000) have limited the amount of court processing. In one situation that we have observed, on the other hand, the client makes no less than three appearances in court before being assigned to the diversion project. Obviously, this is a costly procedure and in view of the example of other pre-trial projects unnecessary. In any event it seems that some considerable thinking needs to be done about a model diversion procedure - one that would insure a reduction in costs without infringing upon the rights of the client.

Record Keeping Procedures in Pre-Trial Diversion Projects.

Another justification that is offered for pre-trial diversion is that the divertee avoids the stigma of the conviction and the disposition resulting from it. This is true to some extent, but unfortunately records of the fact of the diversion of a client which have a potentially stigmatizing effect are still established in a number of places, and these may be readily available to other agencies at a later point in time. One example of such a record is the Bureau of Identification (CII) rap sheet. In many projects, the divertee's arrest is noted on the rap sheet; and if he completes the project satisfactorily, a notation such as "dismissed, diversion" will be entered on the rap sheet adjacent to the listing of the arrest. This kind of a record obviously is to the client's disadvantage, since the guilt of the individual who is diverted is at least implicit. It is, therefore, difficult in the face of the existence of this record to say that the client has been removed from the stigmatizing influences of the criminal justice system as a result of his diversion.

One project surveyed by the CBCEP, the Ventura Adult Diversion Project, has made a particularly significant attempt to avoid the establishment and communication of records of its clients. The staff of this project has made arrangements whereby if the Bureau of Identification finds no evidence of a prior criminal record in response to an inquiry from the project, no new rap sheet is established. The project maintains control over all records of its intake. Accordingly, a client who is cited is not booked by the police but is processed by the project itself. No record of that arrest is established in the arresting police department, nor is the fact of the arrest communicated to the Bureau of Identification by the police. There are a number of other procedures employed by this project as well, all of which have the purpose of minimizing its stigmatizing potential. This project seems to the CBCEP staff to deserve consideration as a model for pre-trial diversion projects from the standpoint of the management of records.

REPORTS SCHEDULED FOR THE FUTURE

As the title of this report indicates, this is the first report in a series. There will be one additional report. The next report to emerge from the project will present the data on the follow-up of the clientele served by these projects and the implications of these data for the evaluation of the projects and the adult diversion program. A more comprehensive evaluation of pre-trial diversion projects will be presented along with evaluations of the detoxification and residential projects. The report will be concluded with an interpretive program level evaluation encompassing all of the projects in the survey.

## EVALUATION OF COMMUNITY-BASED CORRECTIONS

### INTRODUCTION

In the early part of 1974, the Research Unit of the California Department of Corrections (CDC) was awarded a contract by the State Office of Criminal Justice Planning (OCJP) to conduct an evaluation of adult diversion programs receiving Law Enforcement Assistance Administration funds through that planning agency. The CDC evaluation project (CBCEP), presently has a staff of ten people and has received an additional year of funding to continue through June 30, 1976.

Subsequent to being awarded, the original contract was altered in a number of ways. As finally amended in May, 1974, the contract stipulated that CBCEP would have the responsibility of evaluating a panel of programs that would include "minimally" all programs in OCJP's program category IV-1 (IV, Disposition of Suspects, 1. Diversion) that were both in California's 1974 Comprehensive Plan and were receiving funding or expected to receive funding during the fiscal year 1974 action period. The amended contract further stated that a total of 15 to 20 adult diversion projects in program category IV-1 should be selected for evaluation. At that point, it was assumed that there would be more than 15 to 20 programs in that category serving adults and that it would be possible to establish certain standards of "appropriateness" for evaluation. The panel of 15 to 20 programs would then be selected from the larger pool on the basis of those standards.

In actuality, the vast majority of the 105 programs in category IV-1 in the 1974 action period served a juvenile clientele. It was therefore impossible to find 15 to 20 adult diversion projects in that category that were suitable for evaluation. The CBCEP staff then decided to look into the matter of the definition of diversion, a term which has been applied restrictively or broadly in the field of criminal justice depending upon the inclinations of the user. An example of a restrictive application

would be the limitation of its use to pre-trial intervention programs. However, the meaning of the term diversion as it is used in general discourse would permit a substantially wider application, and accordingly it has been used by some writers in the field of criminal justice to refer to any program that attempts to "minimize the penetration" of an individual into the criminal justice system. In that sense, a post-conviction residential alternative to a jail program would be a diversion program, since the penetration of a participant in the residential program is minimized. That is to say, by virtue of his involvement in the residential program, the participant is removed from the necessity of remaining in jail, which is more confining and "further along" in the series of alternative dispositions in the criminal justice system.

With the broader definition of diversion as a starting point, the evaluation project staff decided that they would look at other program categories than IV-1 which seemed to include projects that could be considered to minimize the penetration of the people involved in them into the criminal justice system. The intention was to locate projects in these other categories which seemed appropriately diversionary and which, when combined with the limited number of adult diversion projects from category IV-1, would yield or at least come close to yielding the minimum of 15 stated in the amended contract. By November, 1974, a list of 16 projects had been assembled by the CBCEP staff. These projects had received visits from the staff by that time, and the staff had also consulted before that with each of the OCJP regional planning staffs about those programs selected that were in their regions.

The CBCEP staff had entered into an agreement with the then-Director of OCJP to submit the list of programs chosen for evaluation to a steering committee appointed by him for its review and recommendation. The steering committee was composed primarily of representatives from the regional planning staffs and members of the OCJP staff (a list of the members of the steering committee is presented in Appendix E). If the steering committee recommended the list for approval, it was then to be submitted to the Director for his review and acceptance. The list was presented to the steering committee on December 10, 1974, and was recommended by them for approval. The Director of OCJP subsequently accepted that recommendation.

Under more nearly ideal conditions, a substantially greater number of adult diversion projects than 16 would have been available for which a selection could have been made for inclusion in the evaluation project. Some criteria of appropriateness for evaluation could be established and projects chosen on the basis of them. Among the criteria which would seem to be appropriate in that they would contribute to the selection of a "representative" group of projects would be the following:

1. The projects should be distributed throughout the state geographically and be reflective of the urban-rural mix.
2. The projects should include both those that are "professionally" developed and administered in the traditional bureaucratic sense and those that are based on considerations of ethnicity and self-help and are not "professionally" managed in that sense.
3. The projects should be both large and small in terms of amount of funding.
4. The projects should be located in counties which have a history of relatively low utilization of community-based correctional programs as well as moderate or high usage as manifested in such considerations as percentage of convicted felons sentenced to prison and misdemeanor convictions sentenced to straight jail terms.
5. The projects should be located in both facilitative and non-facilitative contexts, e.g., pre-trial diversion situations when the district attorney's offices are "cooperative" and "uncooperative."
6. The projects should have varying degrees of potential for "success"; the probable losers should be included along with the probable winners.
7. The projects should offer direct services; such things as a transportation component which is the only service funded by OCJP in a multi-service project should be avoided.
8. The basic conditions for at least minimally satisfactory evaluative research should be present including such things as adequate records and the availability of comparison groups.
9. All projects in the third year of funding should be excluded.

In spite of the limitations of choice imposed on the evaluation project by the small number of adult diversion projects funded in the 1974 action year, it was possible to select a panel of programs for evaluation that embodies to a considerable degree the kind of diversity implied in those criteria. There are projects with relatively small and large budgets. Some are located in major urban centers and are professionally administered and staffed in the bureaucratic sense, as well as those which are not professionally based. The projects did appear, at the time of the survey and selection process, to have varying degrees of potential for success and, indeed, for continuity and survival. In fact, one program had its funding through OCJP terminated during the course of the first year of the evaluation. Varying degrees of cooperation between the projects and other agencies in the criminal justice system could also be noted. In general, then, the projects in the pool to be evaluated, which are listed in Table 1, on the following page, constitute a heterogeneous group and would seem to represent to some degree the universe or potential universe of adult diversion programs.

However, their heterogeneity is not of such a degree that they are unrelated in their focus on their objectives. The list of projects in Table 1 is in three groupings, pre-trial intervention, residential, and alcohol detoxification. These groupings are all diversionary in the sense of the definition previously discussed which states that diversion is the minimization of penetration into the criminal justice system. The pre-trial intervention programs are generally diversionary in that penetration into the criminal justice system is minimized by channeling cases in a direction away from a trial or formal plea, conviction, and sentencing. The alcohol detoxification projects provide an alternative outside the criminal justice system to the familiar practice of arresting and possibly holding, sentencing, and jailing the public inebriate. This alternative is made available to that segment of the publicly intoxicated for whom no other possibility seemed to exist for generations other than repeated arrests, the drunk tank, and summary processing in the courts. Two of the residential projects, one in San Mateo County operated by the local probation department and the other in San Francisco County (Quest) operated by a non-governmental contractor, were established for women as more constructive substitutes for jail. Both of these residential projects have part-time release poli-

TABLE I

List of Projects Approved for Evaluation by the  
Community-Based Corrections Evaluation Project

- I Pre-Trial Diversion Projects
  - San Diego Adult Deferred Prosecution Project (OCJP #1477)
  - Yolo County Diversion Project (OCJP #1509)
  - PC 1000 Court Diversion Project, San Diego (OCJP #1670)
  - Project Intercept - North Bay Counties (OCJP #1690)
  - Project Crossroads - Oakland (OCJP #1895)
  - Pre-Trial Diversion Project (Project Intercept) - Oakland (OCJP #1901)
  - Ventura Adult Diversion (OCJP #2064)
- II Residential Projects
  - Narcotic Education League - Oakland (OCJP #1907)
  - Humboldt Alcohol Offender Diversion (OCJP #1945)
  - Community Rehabilitation House - San Mateo (OCJP #1535)
  - Bay Area Quest Project - San Francisco (OCJP #2052)
- III Alcohol and Heroin Detoxification Projects
  - Women's Detoxification Services - San Diego (OCJP #1472)
  - Raza Drug Effort - Sacramento (OCJP #1510)
  - Alcohol Reception, Detoxification, and Referral Center Marysville (OCJP #1924)
  - Yolo County Detoxification Project (OCJP #2067)
  - Long Beach Alcoholism Diversion Project (OCJP #1830)

cies and necessarily offer more opportunities for work and training and interaction with the community in general than does the jail with its policy of 24-hour-a-day confinement. The element of diversion that exists in those programs is the departure from the prior practice of total confinement. The third residential project is a recovery house in Humboldt County for alcoholics. This project is viewed by its staff as an alternative to the confinement of those arrested for and convicted of public intoxication. For those arrested for public drunkenness, who would not be confined to jail on the action of a court, the recovery house is intended to serve as an alternative to repeated re-arrests.

On the basis of the fact that the projects listed in Table 1 can be viewed as involving a common factor, the minimization of penetration into the criminal justice system, it is possible to regard them as significant and representative constituents of a larger entity that can be called the "adult diversion program" in California. The advantage of conceptualizing such a program entity from the standpoint of evaluation is that it makes possible what is referred to as a program level evaluation. In this case the program level evaluation could be conceptualized as the evaluation of the statewide "adult diversion program."

The advantage of a program level evaluation lies in the possibilities it provides for comparing projects that supposedly have similar objectives and for arriving at generalizations about the projects. In comparing projects, one does not of course assume that the communities in which they function or the relationships they have with other criminal justice agencies or anything else about them are precisely the same. One operates on the assumption that certain interesting things can be learned about a project by comparing it to another even if many circumstances within and surrounding the two projects are different. It is certainly possible, for example, to compare two alcohol detoxification projects in terms of their cost per patient per day or in terms of the average cost for each patient admitted to the project. Similarly, one can compare two pre-trial intervention projects in terms of the types and costs of services rendered by legal counsel to clients at various critical points in their movement through the projects.

With the information acquired through the program level evaluation, generalizations about such significant factors as cost effectiveness can be made, and models for projects can be developed embodying what has been learned in the evaluation. A program level evaluation is directed at a program concept itself. It attempts to deal with broad questions such as how the notion of pre-trial intervention has been applied in California. One can derive through it information about the range of cost effectiveness, procedures, and clients that are dealt with in a project category such as pre-trial intervention. If the evaluator is restricted to a single project, he is left with the problem of having no basis for generalization. Any evidence of cost effectiveness, lack of procedural safeguards for the civil rights of the clientele, and dislocations between the project and other agencies in the local criminal justice system may be peculiar to that project alone. An alternative to the evaluation of a single project is the "cluster" evaluation, wherein a small number of projects (e.g., three to five) in each category are evaluated. This is an improvement over the evaluation of a single project. However, if the total number of projects in a category is substantially larger, the cluster evaluation is faced with the possibility of unrepresentativeness.

This report is the first of two that will be produced this year and is divided into a number of sections. The section immediately following (Chapter 2) contains descriptions of the individual projects, including such items as the history of the development of the programs, their objectives, financing including that from sources other than OCJP, facilities, staffing, criteria of eligibility, relationships with other criminal justice agencies, clientele served, and services rendered both directly and through referral. The third chapter will outline the methodology of the CBCEP: the research designs employed and the data collection instruments. In the fourth chapter, the data on the characteristics of the intake are presented for each project. Chapter 5 contains a discussion of the client-related data for each project as it pertains to the achievement of the projects' service objectives. Chapter 6 pre-

sents the first installment of a program level evaluation of pre-trial diversion projects. The seventh and last chapter contains an interpretive overview of the projects and the conclusions emerging from this evaluative effort.

The second report, which will be released in the third quarter of 1976, will include follow-up data on samples of clients going through the projects.

#### DESCRIPTION OF THE PROJECTS EVALUATED

This chapter of the report contains a description of each of the projects in the list of those approved for evaluation by CBCEP.<sup>1</sup>

Included in these descriptions will be the following items:

1. Purpose and objectives of the project
2. History of the project and a description of the facilities if the project is a residential or detoxification project
3. Financing
4. Staffing and arrangements for training
5. Criteria for eligibility and intake and termination procedures
6. Services rendered, including those by referral

Along with a narrative description of each project, a flow-chart will be provided, which diagrams the movement of the client from the initial contact with the criminal justice system, through intake into, and processing within the project itself. The flow charts also indicate the relationships between the projects and the other parts of the criminal justice system. In Appendix F of this report, there is a summary table presenting information on each project in terms of the amount of funding, "stage of development" (i.e. the contract year in which the project is presently operating and the date of termination of that contract year), service objectives, and outcome and cost effectiveness objectives. The presentation of the objectives in this chapter of the report also maintains the distinction between these two types of objectives. As defined by the CBCEP staff, the service objectives of a project are those pertaining to the number of clients that will be processed in a given interval of time and the kinds of services that will be rendered to the clients, e.g. individual

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<sup>1</sup> There is one exception to this, the Yolo County Detoxification Project, which did not begin to accept clients at an early enough point to be included in this evaluation.

and group therapy or development of individual education and rehabilitation plans. The outcome and cost effectiveness objectives are expressions of the anticipated results of the project, e.g. reduction of involvement of clientele in the criminal justice system during and subsequent to the participation of the clients in the project and savings in costs resulting from reduced levels of court proceedings.

In the descriptions of the projects in this chapter, the objectives are stated, with the exception of minor changes of an editorial nature, precisely as they are in the proposals on the basis of which the projects were funded. In many cases, the objectives as stated are meaningless from the standpoint of the evaluator, because they are expressed imprecisely so that it is impossible to develop any means for ascertaining the extent of their achievement. Other objectives are concerned with "reducing recidivism." In view of the widespread failure of correctional programs to "reduce recidivism," the fact that this is expected in this context is more than a little interesting. Nonetheless, the presentation of the objectives as originally written will give a very significant indication of the kinds of proposals that were being developed and funded in California before and during the period of CBCEP.

In this chapter and in Appendix F, the projects are presented in the three categories in which they have been divided for the purpose of CBCEP, the pre-trial diversion, the residential, and the alcohol and heroin detoxification programs.

## ADULT PROPERTY CRIME DEFERRED PROSECUTION

### SAN DIEGO

#### I PURPOSE AND OBJECTIVES

This project is designed to provide an alternative to conventional prosecution for selected clients. As such it is a resource for the offices of the San Diego City Attorney, from which it receives approximately 75 percent of its clients, and the San Diego County District Attorney, from which it receives most of the rest of its intake.

The service objectives of the project are:

1. Diverting ten percent of the first time adult property crime offenders from formal court prosecution.
2. Providing a more intensive level of supervision for its clients than they would receive in standard probation.

The outcome and cost benefit objectives are:

1. Achieving the standard of an arrest-free record for 95 percent of its clients while they are on deferred prosecution supervision.
2. Achieving the standard of an arrest-free record for 90 percent of its clients during the 60 days following termination from the program.
3. Generating savings in costs resulting from a reduction in court proceedings and custodial services.

#### II HISTORY OF THE PROJECT

The basic conception of the project came from the San Diego Regional Criminal Justice Advisory Committee (regional criminal justice planning agency). The Deferred Prosecution Project Feasibility Study Committee actually developed the project. This committee included representatives from the regional planning agency, the offices of the District and City Attorney, the Probation Department, and various consultants. The proposal was prepared in its

final form by Ronald Hudson, a Supervising Probation Officer in the San Diego County Probation Department. The funding of the project was approved by the Office of Criminal Justice Planning in November, 1973. Funds became available to the project in January, 1974. The staffing of the project began with the assignment of Mr. Hudson as project manager in January, 1974, and was completed in April, 1974. The project received its first client in January, 1974.

III FINANCING

The total budget for the first year of the project was \$134,836, of which the federal contribution was \$85,699, the state buy-in \$7,142, local hard match \$4,300, and other matching funds \$37,695. The total budget for the second year, which ran from December 1, 1974 to November 30, 1975, was \$123,678. Of this amount, the federal contribution was \$111,311, state buy-in \$6,183, and the local hard match \$6,184.

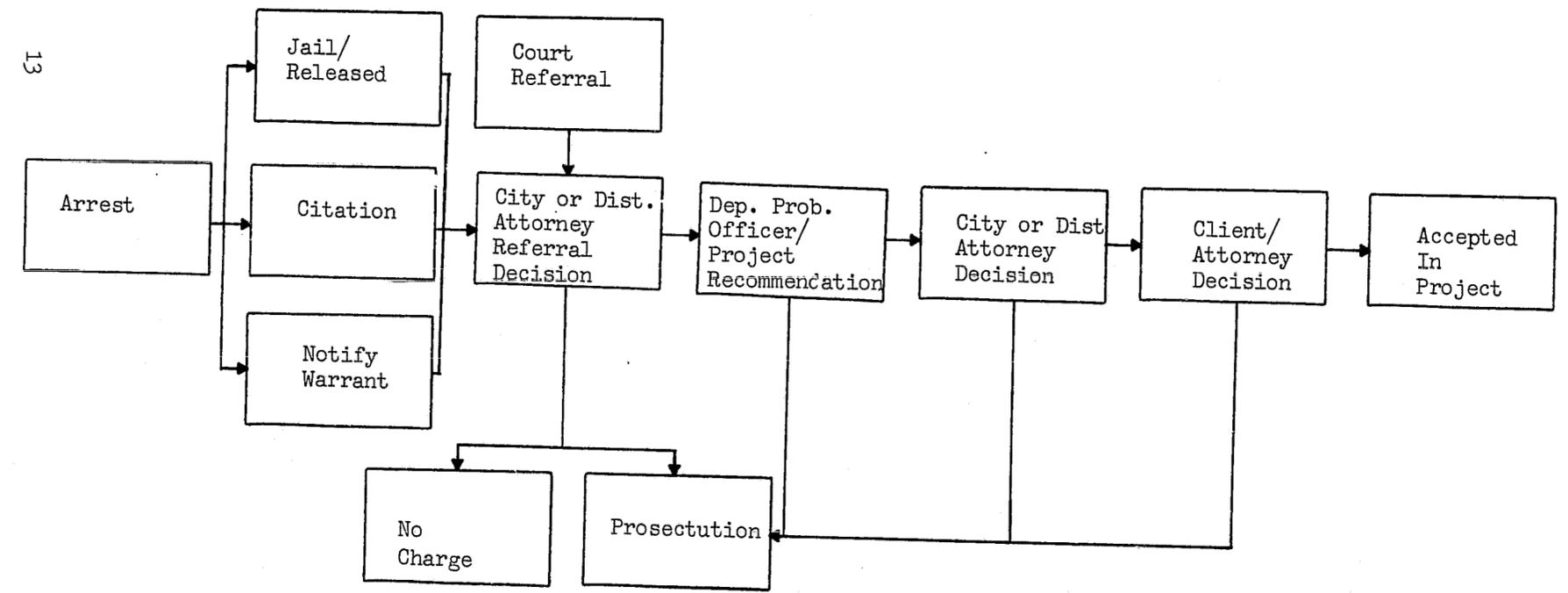
IV STAFFING

The project is staffed with the project manager (Supervising Probation Officer), six Deputy Probation Officers, and two clerks. The manager, Mr. Hudson, is a 38-year-old Caucasian with ten years' experience in the San Diego County Probation Department. The remainder of the staff is all Caucasian, with the exception of one Deputy Probation Officer. Five of six Deputy Probation Officers are female. All staff members were transferred from previous assignments within the Probation Department.

V INTAKE AND TERMINATION PROCEDURES

The office of the San Diego City Attorney is the source for the majority of the referrals to the Adult Property Crime Deferred Prosecution Project. The City Attorney's office processes only individuals arrested for misdemeanors in the city of San Diego. The process of referral in the City Attorney's office can be outlined as follows: The Deputy City Attorney screens requests for notify warrants (a process whereby certain merchants report criminal activity to the prosecutor in a written report without involving the police) and field

Figure 1  
ADULT PROPERTY CRIME DEFERRED PROSECUTION  
SAN DIEGO



citations (police are called, take a report, make a record check, and release the offender on his promise to appear in court at a later date) for offenders who appear to meet the criteria of eligibility for diversion. Among the criteria of eligibility are: no prior criminal record, low dollar value of offense, positive attitude on the part of the client, only a single item involved if the offense is one of property, no crime partners in the offense. The cases designated in this process are subsequently screened by one of the Deputy Probation Officers assigned to the project. The cases deemed inappropriate for diversion by the DPO are processed by the City Attorney in the usual manner.

The other major source of referrals is the San Diego County District Attorney's office. In that office, the Deputy District Attorney responsible for screening requests for criminal complaints is the source of referrals. After identifying an offender who is eligible for diversion, the case is referred to the diversion project for background check and report. If the case is deemed appropriate by the probation officer or the project staff, he will recommend the case for deferred prosecution outlining specific conditions under which the case will be supervised.

The courts also are indirectly involved in the referral of a few clients to the project. During an arraignment, the judge may see a defendant he feels is a good candidate for deferred prosecution. He will then continue the arraignment and refer the case to the prosecutor for reconsideration. However, the decision to defer prosecution still remains with the prosecutor.

Upon receipt of a referral from the prosecutor, the project assigns the case to a Deputy Probation Officer, who contacts the defendant and schedules an appointment to explain the deferred prosecution process and to obtain background information. In the initial contact, the DPO informs the client of the following matters:

1. Participation in the project is entirely voluntary.
2. Selection of candidates rests entirely with the prosecutor.

3. The defendant has an absolute right to have his guilt or innocence determined in court by a judge or jury.
4. The defendant retains his right to withdraw from the program at any time he chooses.
5. Prosecution will be deferred as long as the defendant remains in the program and conforms to all the conditions of the deferred prosecution agreement.
6. If the defendant successfully completes the program, the prosecutor's file will be retired, and he will no longer be subject to prosecution for that offense. If a complaint has been filed, the charge will be dismissed.
7. If the defendant is not accepted into the program, he will be prosecuted. If he is rejected, the rejection will not prejudice his prospects for acceptance in a formal court-granted probationary program after prosecution and conviction.

The applicant for deferred prosecution is not required to admit guilt in order to be eligible for deferment. He is informed that he must have the advice of counsel prior to final acceptance into the program. To this purpose, the defendant may contact his own attorney; or if he does not have funds to hire his own attorney, he will be provided counsel through Defenders, Inc., a firm of attorneys with which San Diego County contracts for the services of a public defender.

If an offender fails to meet the terms of the deferred prosecution agreement or is charged with committing a new offense, his continued participation in the program is reviewed. In either case, the Deputy Probation Officer informs the appropriate prosecutor in writing of the new circumstances and recommends that the defendant be retained in the program or that prosecution be resumed. The final decision to prosecute or to continue deferred prosecution is again the prosecutor's.

#### VI SERVICES RENDERED

There is no predetermined length of supervision for the client in deferred prosecution. The average length is approximately six months. The frequency of contact with the supervising Deputy Probation Officer also varies, depending on his perception of the need of the offender.

The minimum requirement for contacts is one per month, either in the office or in the field. The greatest number of referrals for services from the project are to the job development unit within the San Diego County Probation Department. The services provided by this unit are either job placement or referral to another employment agency.

## YOLO COUNTY YOUTH AND YOUNG ADULT DIVERSION PROJECT

### I PURPOSE AND OBJECTIVES OF THE PROJECT

The purpose of the Yolo County Diversion Project is to provide supervision and program services under the provisions of PC 1000 to those charged with minor drug offenses. A small, but growing, number of individuals charged with other offenses have also received supervision and services from the project. The majority of these other offenses have been against property but some have also been against people, including assaultive and sex offenses.

The service objectives of the project are:

1. Providing for the diversion of 150 clients during its first year of operation.
2. Integrating 100 per cent of its clientele into full-time work, school, or training situations within six weeks after entry into the project.
3. Involving 100 per cent of its clientele in individual or group therapy.

The outcome and cost-benefit objectives of the project are:

1. Cost savings resulting from reduction in court proceedings.
2. Successful completion of the project by 85 per cent of the cases entering into it.

### II HISTORY OF THE PROJECT

The project was developed by a committee consisting of Leroy Ford, the Chief Probation Officer of Yolo County; Robert Jameson, the District Attorney of the county; and Philip Walker from the staff of the Yolo County Mental Health Services. The project was approved by the State Office of Criminal Justice Planning and

received its first allocation of funds in January, 1974. At that time, one probation officer was transferred to the project as a Counselor. Another Counselor was hired in February, and the Project Manager, Penni Clarke, was assigned in April, 1974. The project received its first clients in May and was operating at capacity by September, 1974. The Director of the project is Leroy Ford, the Chief Probation Officer of Yolo County, and the project is housed in the offices of the Probation Department in Woodland.

### III FINANCING

The funding for the first year of the project totaled \$75,361; included in this were a federal contribution of \$45,900 through OCJP, a state buy-in of \$3,825, a local hard match of \$2,295, and other matching funds of \$23,341. The first year of the project with an extension ran from January 1, 1974, to March 31, 1975. The second year of the project is to run from April 1, 1975, to March 31, 1976. The OCJP-related segment of the second year's budget consists of a federal contribution of \$22,950, a state buy-in of \$1,275, and a local hard match of \$1,275, for a total of \$25,500; in addition to these funds the budget of the project included another approximately \$43,000 made available through the budget of Yolo County. The tentative budget for the third year of the project includes an OCJP-related portion of \$12,751; of this total, \$11,475 represents the federal contribution, \$638 the state buy-in, and \$638 the local hard match. The rest of the budget, approximately \$73,000, will be covered by funds from the county.

### IV STAFFING AND TRAINING

The project is staffed with a Manager and two Counselors. The Manager, a 27 year old white female, and one of the Counselors, a 34 year old white male, had previous experience as probation officers with Yolo County. The other Counselor is a black female, age 23. There have been no changes in the staff of the project since its in-

ception. The Manager of the project carried out the initial training of the two Counselors in diversion procedures. In addition, the staff has received training in co-therapy, family therapy, crisis intervention, alcoholism, and the abusive client.

### V CRITERIA FOR ELIGIBILITY AND INTAKE/TERMINATION PROCEDURES

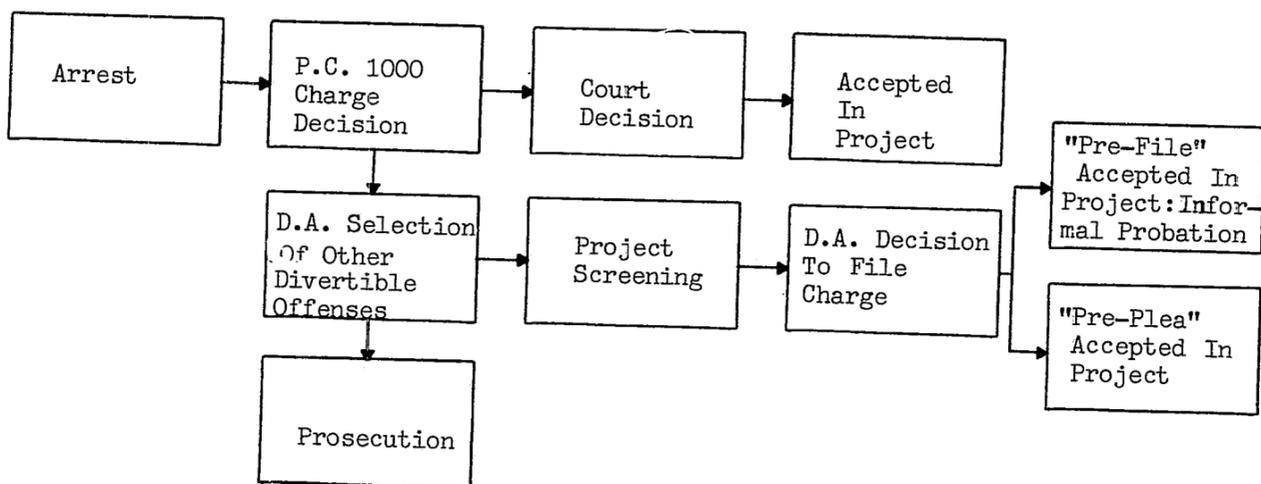
In the case of the PC 1000 cases, the referral procedures and criteria for eligibility are established by law, and diversion is virtually an automatic procedure for first offenders charged with certain types of drug offenses. In these cases the District Attorney has no real involvement in the decision-making process but functions as a facilitator. The case is in the hands of the Judge, who, if the defendant meets the statutory criteria and is agreeable, will place him in the diversion project. The District Attorney and his staff of nine Deputy District Attorneys are centrally involved in the selection of those cases, other than the PC 1000, who are referred to the diversion project. The following general criteria have been agreed upon by the diversion project staff and the District Attorney for establishing eligibility for the project:

1. Age: The preferred age range for participants in the project is 18-23; older people are acceptable if they meet other criteria.
2. Previous History of Diversion or Probation: Those with a prior unsuccessful experience in probation or diversion as adults are ineligible.
3. Prior Criminal Record: Only first offenders or "near" first offenders will be considered.
4. Circumstances of the Offense: Since the intention of the project is to serve those who would benefit from non-criminal proceedings, the seriousness and circumstances of the offense are important considerations.

These criteria, especially the last one, lend themselves to different interpretations. This is especially significant in view of the fact that the screening function for diversion is not assumed by one Deputy

Figure 2

THE YOLO COUNTY DIVERSION PROJECT



District Attorney. All nine of the Deputy District Attorneys in Yolo County potentially serve as screeners in referring cases to the project; at an earlier point, two of them decided not to use the diversion mechanism in dealing with their cases. This is no longer the case, however. Presently, all of them consider the project as a possibility for dealing with offenders. Those defendants appearing to the Deputy District Attorneys to be likely prospects for diversion are referred by them to the diversion project staff for investigation.

The project staff interviews the client and "significant others" and sometimes employers if the defendant is employed and they have his permission to do so. They talk with the arresting agency and the policemen in the town where the defendant resides regarding any "stop" record he may have. If he has been undergoing therapy, the staff attempts to obtain a release from him to get his records. On the basis of the information they accumulate, the project staff recommends for or against diversion and the amount of time to be spent in diversion. The recommendation and investigation is then sent back to the referring Deputy District Attorney.

On the basis of information in the project staff's investigation and sometimes a personal interview with the defendant, the Deputy District Attorney attempts to determine the extent to which the individual is involved in criminal activity. If the incident is a one-time situation and it appears that the person is unlikely to become involved again in criminal activity, the District Attorney has the option of placing him in an informal probationary status and assigning him to the diversion project without filing charges. These cases are referred to as "pre-file." If the offender fulfills the agreement for informal probation, which usually is simply to stay out of trouble for a few months, the Deputy District Attorney will recommend the dismissal of the case. In the case of other offenders diverted to the project, charges are filed. These cases are referred to as "pre-plea" and have essentially the same legal status as those diverted in other pre-trial diversion projects. Although the final decision regarding di-

version is in the hands of the District Attorney or Judge, the recommendations of the diversion staff are almost always accepted, although the Judge may lengthen the time to be spent in the diversion project beyond that recommended.

The amount of time a defendant will spend in diversion ranges from six months to two years depending upon the nature of the offense involved and other background factors. Individuals with no history of drug arrests who are arrested for possession of marijuana and are working or going to school are generally assigned for six months. On the other hand, a defendant involved in a crime against a person is likely to be assigned to diversion for from one to two years.

Prior to the review by the Judge, the Deputy District Attorney, the client, the client's lawyer, and the diversion Counselor meet to work out the general conditions (i.e. contract) for diversion; then the Counselor works out a plan with the client governed by these conditions.

Upon successful completion of the diversion contract, the client's case is dismissed. Although there is no record of a conviction in the case, the arrest record remains. If the client does not comply with the conditions of the diversion contract, the project has a variety of alternatives for dealing with him. The diversion Counselor can assign the person to some kind of make-up effort, or he may be assigned to a condition of more intensive supervision. If the diversion Counselor has lost track of the client, he will send the case back to the District Attorney for revocation of diversion and the resumption of prosecution. If the client is located after being at-large for awhile, new conditions of diversion and a new contract will be worked out, and diversion will be reinstated. Many of the cases in the Yolo County project whose performance has been adjudged unsatisfactory have involved clients whose location cannot be determined.

## VI SERVICES RENDERED BY THE PROJECT

The Yolo County Diversion Project has established three stages of diversion, and a defendant progresses from one stage to another depending on the amount of supervision the project staff feels he requires. Phase One involves intensive casework directed not only at treatment goals if these have been specified, but also at maintaining the defendant in or integrating him into a stable job, job training, or educational situation. The staff of the program usually is in weekly contact with the client during this phase, or the client is in attendance weekly in an educational or counseling program in some other agency. In Phase Two, the contacts are less frequent, and the client's situation is considered more stable. Phase Three involves the least supervision, and the client therein is generally working, going to school, or participating in a training program and reports to his diversion Counselor once a month by phone or mail.

The project makes extensive use of referrals to outside programs in working with its clients. Among these are publicly operated drug education, alcohol education, and mental health programs and privately operated resources offering free services to people with problems in the areas of drugs, alcohol, or mental health. Both standard public agencies (Employment, Rehabilitation and CETA) and special projects are used as means for providing the clients with employment counseling, vocational training and information, and job referrals. The diversion project also has some funds to pay for special services for its clientele. For example, these funds could be used to buy financial counseling for a client with acute monetary problems that lead to his writing bad checks. One other distinctive feature of this project is that it requires some of its charges to perform volunteer work as part of their diversion plans. This volunteer work is done in such settings as a youth bureau, a police department, and an emergency residential facility for people with drug problems.

## PC 1000 COURT DIVERSION PROJECT

SAN DIEGO

### I PURPOSE AND OBJECTIVES

The purpose of this project is to provide a program of short-term, outpatient counseling and educational services to individuals diverted into it under the provisions of Section 1000 of the Penal Code. This statute allows first offenders of drug laws who have favorable employment or service records, educational backgrounds, and family ties and who demonstrate motivation for treatment to be diverted to community programs for a minimum of six months for education, treatment, and rehabilitation services.

The service objectives of the project are:

1. Diversion from court prosecution of 80 persons charged with minor drug offenses per month.
2. Development of an appropriate, education, treatment and rehabilitation plan for each client.
3. Provision of short-term treatment on a crisis basis to assist in alleviating drug-related problems.

The outcome and cost benefit objectives of the project are:

1. Reduction of the involvement of the clientele in the criminal justice system during and subsequent to program participation.
2. Generating cost savings through reducing the volume of court proceedings.

## II HISTORY OF THE PROJECT

The PC 1000 Court Diversion Project is a specialized activity of the Drug Education for You (DEFY) Program, a county-wide program for preventing drug abuse through education and treatment. DEFY is operated by the Department of Substance Abuse of San Diego County. The PC 1000 project utilizes some of the staff members of DEFY and operates from the DEFY facility. The original proposal for this project was written by Charles Pennell, the coordinator of the DEFY program the submitted to the regional criminal justice planning board in June 1973. Due to a delay in processing the application at state and local levels, the period of the initial OCJP grant was reduced to eight months. This grant was awarded in January 1974 and made retroactive to November 1973. The project became operational well before OCJP funding was available, receiving its first client in July 1973.

## III FINANCING

For the initial grant period from November 1, 1973 to June 30, 1974, the total funding was \$65,775. Of this \$49,331 was the federal contribution, and the other matching component amounted to \$16,444. No state buy-in or local hard match was included in the budget for this initial period. The second year's operating budget was \$66,552. Of this total, the Federal contribution was \$49,914, the state buy-in \$4,160, and the other match \$12,478. Financing by OCJP was terminated after the second year due to incorporation of the project into the regular budget of the San Diego County Substance Abuse Department.

## IV STAFFING AND TRAINING

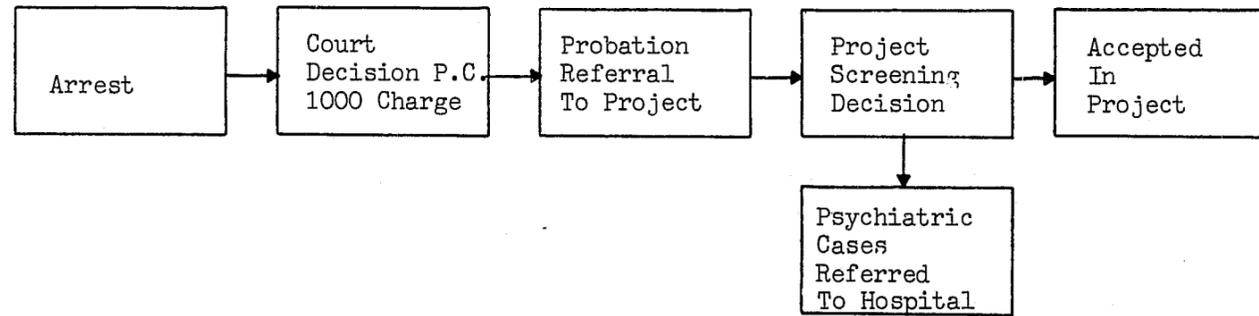
The grant allows for seven full-time positions, including a Senior Social Worker, three Social Workers, a Drug Abuse Counselor, a Health Education Associate, and clerical support. All social workers are required to have the degree of MSW. The staff is hired through the procedures of the civil service system in San Diego County. One of the skills stressed in hiring staff is the ability to speak Spanish. The staff is required to participate in training sessions which deal with pharmacology and drug abuse, crisis intervention, and psychiatric assessment techniques. Each staff member also serves an internship on the 24-hour emergency hotline operated by DEFY.

## V CRITERIA FOR ELIGIBILITY AND INTAKE AND TERMINATION PROCEDURES

The criteria of eligibility for diversion under PC 1000 are stated in that section of the penal code, and diversion is virtually an automatic procedure in San Diego county for those charged with certain types of drug offenses as first offenders. The clientele for this project are initially screened in and referred from the San Diego County Probation Department. All defendants referred to the PC 1000 project receive an intake assessment from a Social Worker on the staff. This assessment is generally completed in two contacts or less. As part of the assessment process, each client takes the Comrey Personality Test. On the basis of the assessment, the client is assigned to either the education or the treatment track in the project. An appropriate treatment or education plan is drawn up with each client. If the client performs satisfactorily in terms of this plan, the charges will be dismissed.

Figure 3

P.C. 1000 COURT DIVERSION PROJECT  
SAN DIEGO



VI SERVICES RENDERED

For those in the treatment track, the PC 1000 project provides on a direct service basis approximately 25-hours of individual counseling and in addition group counseling, family counseling, emergency counseling, and a 24-hour emergency telephone hot-line. By referral a number of additional services including medical, legal, transportation, housing, and methadone maintenance are provided. A substantial number of clients are also referred to a psychiatric clinic which provides day care services as well as family, group, and individual counseling. The education track of the project requires attendance at three meetings of two hours' duration each. The education sessions are concerned with the following areas: the nature and implications of the diversion statute (PC 1000), drug issues and the client's drug knowledge, and resources in the community for assisting the client with his problems.

The caseloads of the project staff average 15 clients, and each staff member is responsible for 5 new assessments each week. The minimum number of contacts required of the client with the project is four appointments totaling no less than six hours.

PROJECT INTERCEPT  
NAPA, SOLANO, AND SONOMA COUNTIES

I PURPOSE AND OBJECTIVES

Project Intercept was proposed as a pre-trial intervention project offering services to first offenders. The project is particularly interesting in that it serves clients in three different counties from three sub-offices. The sub-offices are in Santa Rosa in Sonoma County, Napa in Napa County, and Vallejo in Solano County. Some significant variations in the procedures for selecting and referring clients for the project exist among the three counties. The service objective of the project is to divert an unspecified number of first offenders from normal judicial processing, providing them with supportive services to encourage a non-criminal life style.

The outcome and cost benefit objectives are the following:

1. Reducing the recidivism and criminal behavior of the clients 30 percent in the first and subsequent years.
2. Demonstrating the economic practicability of the pre-trial alternative represented in this project.

II HISTORY OF THE PROJECT

The Sonoma County Probation Department is the proponent of record of the project and represents the Probation Departments of the other two counties. The Sonoma County Probation Department, as the administrator of record of the project, has entered into a third-party contract with the North Bay Human Development

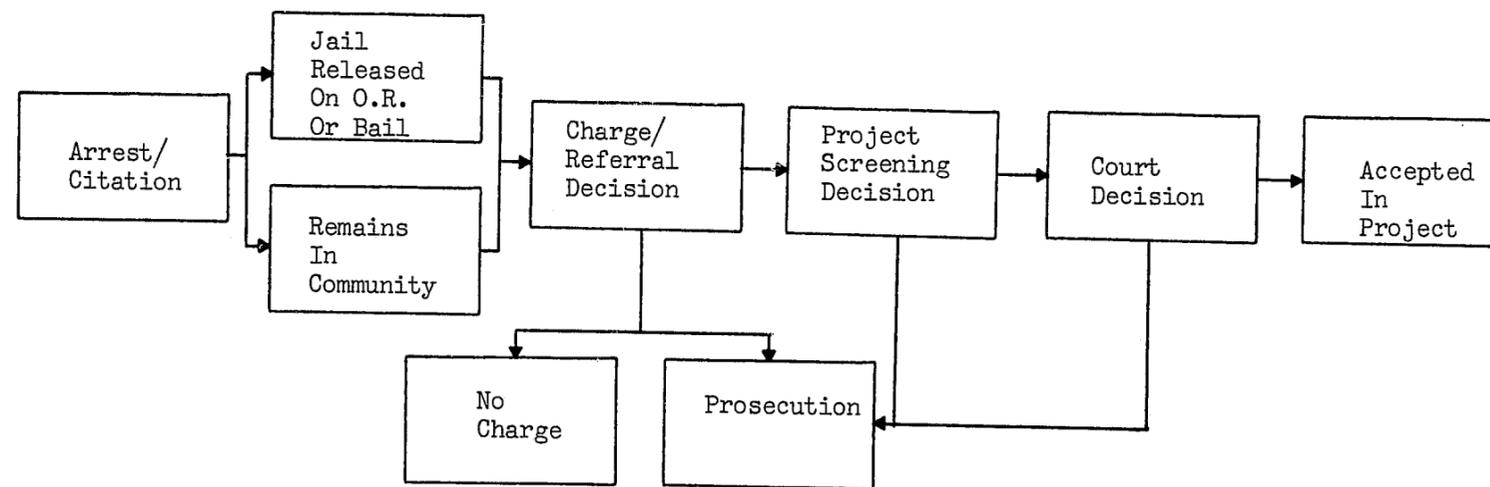
Corporation for the provision of services. The North Bay Human Development Corporation (NBHDC) was founded in 1968 and has developed and administered an extensive array of programs, many of which have been publicly funded, dealing with problems of health, education, welfare, employment, and legal services in the Chicano community and among other disadvantaged groups as well. The development of Project Intercept in this three-county area resulted from the cooperation of a number of individuals, representing federal as well as local bodies. Leon Leiberg of the U. S. Department of Labor was one of the initiators of the project. George Ortiz, the President of NBHDC and the original Director of the project played a fundamental role in the planning. Other participants included representatives of the Probation Departments and District Attorney's offices in the three counties, the Napa County Bar Association, and the staff of the North Bay Regional Criminal Justice Planning Board. Funding for the project was approved by the State Office of Criminal Justice Planning in June 1973. Funds became available to the project in August 1973, and George Ortiz was hired as project director the same month. In January 1975, Mr. Ortiz moved on to other concerns in NBHDC and another director, Adolfo Garcia, was hired. In Sonoma and Solano Counties, the project became operational in August 1973. In Napa County, it got underway in January 1974.

### III FINANCING

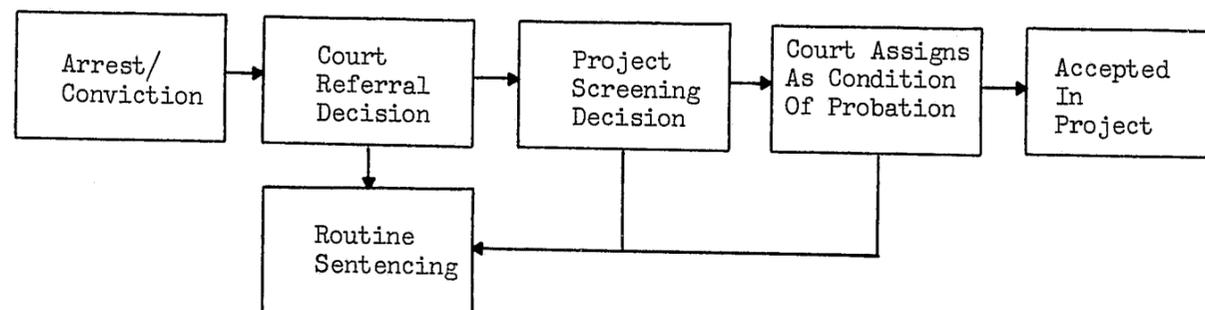
The budget for the first year of the project contained a federal contribution of \$102,228 and other matching funds of \$43,170 for a total of \$145,398.

Figure 4  
PROJECT INTERCEPT

#### NAPA AND SONOMA COUNTIES



#### SOLANO COUNTY



IV STAFFING AND TRAINING

The NBHDC was founded by Chicanos and originally was primarily concerned with the Chicano community. Project Intercept has necessarily had a broader ethnic distribution in its clientele and the staffing has reflected this. As of the end of November 1975, there were 13 staff members on the project. Of these two are black, six Mexican-American, four non-Spanish surnamed white, and one Asian. The Director of the project is Mexican-American. Four staff members were assigned to Solano County, six to Sonoma County, and two to Napa as of that date. The remaining position is that of the Director of the project. Seven of the positions were supported by the OCJP grant, the other six, by funds from the Comprehensive Employment and Training Act (CETA) and Adult Work Experience (AWE) Programs. These programs are intended to place people into on-the-job training situations, and the North Bay Project Intercept has served as one of these. The project has trained people in counseling and clerical work, including tele-typing. The senior counselors serve as trainers.

V CRITERIA FOR ELIGIBILITY AND INTAKE AND TERMINATION PROCEDURES

Project Intercept in the North Bay counties is designed to serve individuals aged 18 to 30, with no previous convictions as adults and no serious juvenile records. They should, further, not be on formal or informal probation and be unemployed, underemployed, or subject to the loss of their present employment because of the arrest. The fact that this project operates in three counties and receives clients who have been processed in a number of superior and municipal court districts has made it impossible to establish a uniform procedure for selecting and admitting clients.

In Solano County, the project does not function as a pre-trial intervention project at all. All of the clients admitted from the Fairfield and Vallejo Municipal Courts and the Solano County Superior Court have been sentenced to probation with participation in Project Intercept as a condition thereof.

However, successful participation in Project Intercept does not lead to a termination of probation automatically. The policies of the Fairfield and Vallejo Municipal Courts are similar. Again there is an assignment to Project Intercept as a condition of probation and no automatic termination of probation even though performance while in the project is satisfactory. All of the participants in Project Intercept in Solano County whose cases are adjudicated in that county's courts are referred directly from the Probation Department.

In Sonoma County, the screening of clients for the project begins in the pre-trial period, and the staff of the project is actively involved in this. A representative of the project meets with a representative, in turn, from each of a number of other agencies in the local criminal justice system, the Probation Department, the District Attorney's Office, the Public Defender's Office, and OR Unit to ascertain which cases in the roster of pending arraignments are eligible or suitable for the project. The Deputy Public Defenders are particularly active in this process.

If, as is usual, the defendant does not already have counsel or cannot afford it at the time of his arraignment, which takes place during his first appearance in court, he will be assigned a Deputy Public Defender. The Deputy Public Defender or other counsel will explain Project Intercept to the defendant if the latter appears to

be eligible for it. If the defendant then wishes to participate in Project Intercept, the counsel will recommend it to the court at the time of the defendant's second hearing. In a few instances, the recommendation comes from the judge, the Project Intercept Counselor, or even the District Attorney. In any event, if the judge considers the defendant a possibility for the project, he postpones the case to allow the project time to work with the defendant. Subsequent to this, the defendant appears for a third hearing. If there has been a meeting of minds between him and the project, the defendant will be granted a continuance of 90-180 days during which he will be participating in Project Intercept. At the end of this period, the defendant will return to court. If his participation in the project and his adjustment in the community have been satisfactory, the charges against him will be dismissed. The procedure in the Superior Court in Napa County for processing participants in Project Intercept is essentially the same.

#### VI SERVICES RENDERED

One of the major emphases of the project is job placement. Many of its clients are placed on jobs in Manpower projects that are already operated by the NBHDC. Project Intercept has drawn upon funds available from the Comprehensive Employment Training Act, Adult Work Experience, and On-the-Job Training programs in placing its clients. The project has referred clients to local educational institutions, such as Napa Community College, for educational programming. The project also makes referrals to the usual array of other services, including health and mental health.

## PROJECT CROSSROADS OAKLAND

#### I PURPOSE AND OBJECTIVES

Project Crossroads is located in the Office of the Public Defender in Alameda County and is intended to be a service to that office. The project deals in the pre-trial stage with defendants who are charged with felonies and serious misdemeanors and are clients of the Public Defender. The purpose of the project is to assist defendants in obtaining non-legal services and to stabilize or improve their position in the community during the pre-trial period. This involves developing a program with and for the client that may include such things as a job, education or training, drug treatment, and mental health services and making the appropriate efforts at placement and referral. The staff of Project Crossroads works with defendants in a mutual effort to establish new contacts and activities in the community for the defendant. The attorneys and the staff inform each other about case activities. When information becomes available about the defendant's potential for remaining in the community it may be communicated to the court.

The Regional Criminal Justice Planning Board for Alameda County has stipulated that Project Crossroads more adequately define objectives as a condition for second year funding. However, the data collected by the Evaluation Project (CBCEP) staff were on a sample of the first year's clients and are germane to the objectives of the first year. Therefore, the objectives stated here are the original ones from the first year's proposal.

The first year service objectives of the project were as follows:

1. Referring 300 defendants to jobs, treatment, or assistance programs in the first year of operation.
2. Providing direct and indirect occupational, educational, social, and emotional services to defendants.
3. Enhancing the ability of defendants to obtain employment and/or be involved in an appropriate educational program.

The outcome and cost benefit objectives for the first year of the project were as follows:

1. Reducing the rate of future criminal activity of defendants served by the project to a level significantly below that of a comparison group.
2. Establishing conditions whereby both the percentage of defendants paying restitution and the total amount of restitution paid will be greater in the service group than in a comparison group.

## II HISTORY OF THE PROJECT

Project Crossroads is an outgrowth of the interest of the Public Defender of Alameda County, James Hooley, and his staff in having a unit within the office which could provide non-legal assistance to defendants during the pre-trial stage. The project was approved by the State Office of Criminal Justice Planning, with the first contract year of the project beginning in July, 1974.

The usual delays were experienced, and the project actually got underway in November, 1974. The position of Program Coordinator was filled in that month with Dan Dixon, who continues in that role, and two of the three Service Worker-Counselors and the Stenographic positions were initially filled in December, 1974 and January, 1975. The first client was received into the program in December, 1974.

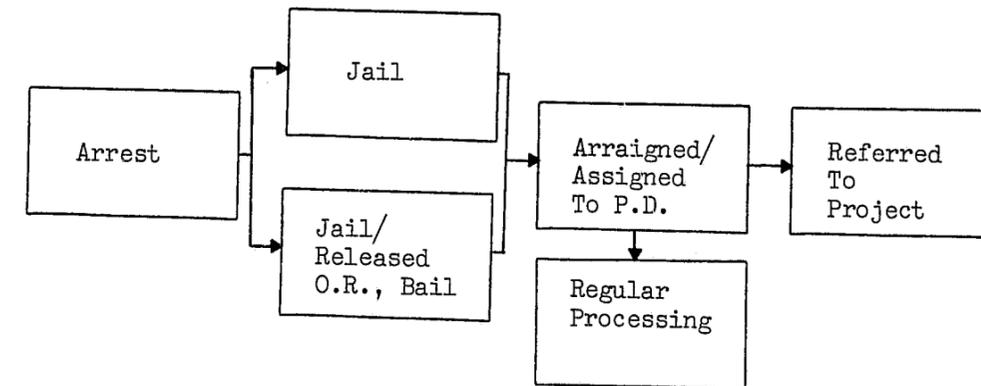
## III FINANCING

The total OCJP budget for the first year of operation of the project was \$58,809. Of this \$50,000 was in federal funds, \$2,778 in state buy-in, \$2,778 in local hard match, and \$3,253 in other matching funds. Because of the delay in starting the project, the first year's grant was extended to December 31, 1975. The second year budget includes a federal contribution of \$50,000, a state buy-in of \$2,778, and local matching funds of \$12,211 for a total of \$64,989.

## IV STAFFING AND TRAINING

The project is staffed with a Program Coordinator and three Service Worker-Counselor positions. The salary schedule for these positions is tied to the pay scales for Social Workers employed by the County of Alameda. The requirements for the jobs include education and experience in

Figure 5  
PROJECT CROSSROADS  
OAKLAND



the fields of employment counseling, social work, drug or narcotic treatment, psychology, parole, and probation. To this point, staff members of both sexes and of minority ethnicity have been hired by the project. One of the staff members is also an ex-offender. Two Assistant Public Defenders have been assigned to maintain liaison between the staff of the project and the attorneys on the staff of the Public Defender. One of the Assistant Public Defenders is concerned with the relationship of the project to Superior Court cases.

V CRITERIA FOR ELIGIBILITY AND INTAKE AND TERMINATION PROCEDURES

Project Crossroads is intended to deal with any defendant represented by the Public Defender's Office. Defendants are not referred to Crossroads if they qualify for those diversion projects in Alameda County which deal with minor offenders. Project Crossroads serves both male and female clients, primarily in the age range 21 to 30. The services of the project are available to all Assistant Public Defenders in Alameda County who are providing the legal defense for clients in need of non-legal assistance. Clients may be accepted by Crossroads on a "special service" or "full service" basis. The special service client is referred for a specific service at the request of an attorney, e.g. getting SSI benefits for a defendant, providing transportation for interviews, arranging for another program to work with defendant. Some specific requests have been made on behalf of persons not in the pretrial period and the project has responded. The full service clients are referred to the project by the Assistant Public Defenders for a full array of assessment, planning, and follow-up services. The staff will keep a case open as long as the defendant is amenable to the self help process. The staff of Project Crossroads is not involved in the legal aspects of cases.

With the client referred for full services, the staff attempts to plan a program with and for him that will develop his potential and integrate him into the community. When services are available, appropriate referrals will be made. Any defendant referred to

the project has the option of refusing to participate without any penalty. If he does agree to participate, the project will assist him to the extent it can. It will also inform the Public Defender handling his defense of positive steps to be taken by the defendant towards better community standing. The attorney may choose to use this information to aid the court in arriving at an appropriate disposition.

IV SERVICES RENDERED

The project, when fully staffed, has the capacity for processing 15 to 25 newly admitted full service cases per month. The average caseload for a Counselor is approximately 35 clients. The staff of the project provides, on a direct basis, counseling, transportation, and job placement services. The project has established an extensive network of services by referral, including family counseling, mental health, drug and alcohol treatment, legal counseling, social welfare, education, vocational training, and food and housing. The project may obtain written letters of recommendation for a defendant. It may work with probation and work furlough representatives. The project tries to give support to defendants by following up on referrals and insuring that quality services are being provided.

PRE-TRIAL DIVERSION PROJECT

OAKLAND INTERCEPT

I PURPOSE AND OBJECTIVES

The Project Intercept organization in Oakland is a third-party contractor carrying out service and screening functions within a pre-trial intervention program. It seeks to provide services to economically disadvantaged first offenders to help them integrate into the community and reduce the likelihood of their becoming further involved in the criminal justice system.

The service objective of the Oakland branch of the project, which is the concern of this evaluation, is diverting 500 persons from prosecution in the courts per year.

The outcome and cost benefit objectives for the project are:

1. Assuring a significant decrease in future criminal behavior on the part of project participants compared to the level of such activity in a comparison group.
2. Gaining significantly more favorable dispositions from the courts for alleged first offenders as evidenced by the dismissals and fewer fines and incarcerations for the project participants compared to dispositions received by a comparison group.

II HISTORY OF THE PROJECT

In 1970 Project Intercept began operating in Southern Alameda County with an office in Hayward serving the San Leandro-Hayward Municipal Court. In January 1974, a north county office was opened serving the Oakland Municipal Court. Subsequently, in September

1974, a third office was opened, which provides services to the Berkeley Municipal Court.

### III FINANCING

Project Intercept in Alameda County has received funding from the Manpower Administration of the U.S. Department of Labor since March 1971. At that point in time, the project was totally funded from that source. Since then, grants from other sources have been obtained, including revenue sharing funds and the Office of Criminal Justice Planning. Money from the OCJP grant became available in June, 1974 and is used as part of the funding for the operations in the Oakland office of Project Intercept. The first year OCJP grant totaled \$66,667 and consisted of a federal contribution of \$50,000, a state buy-in of \$4,167, a local hard match of \$2,500 and another match of \$10,000. The second year's grant totals \$79,140, of which \$71,226 is the federal component, \$3,957 the state buy-in, and \$3,957 the local hard match. The second year of the project extends through June 30, 1976.

### IV STAFFING AND TRAINING

The three units of the project in Alameda County are under the administration of a single Director. Beneath him is an Assistant Director who has the responsibility of program activities within the project. Each of the offices is supervised by a Senior Counselor, who has the responsibility for caseload management and direction of counseling services. There is a staff of seven Human Service Workers and one Job Developer in the Oakland office of the project reporting to the Senior Counselor. Most of the staff members are bi-lingual (Spanish-English). Each Counselor is assigned to one department of the Oakland Municipal Court, and his caseload comes exclusively from that department.

Each counselor participates in an in-service orientation training period of one month. The training is carried out by the Senior Counselor and the other Counselors. After the initial period of training, the Counselor is assigned to a court and begins to develop a caseload. The entire staff of the project participates in semi-annual "retreats", which feature special training experiences in techniques of assessment, group counseling, and individual counseling.

### V CRITERIA FOR ELIGIBILITY AND INTAKE AND TERMINATION PROCEDURES

Project Intercept in Alameda County is sponsored by the District Attorney. While the District Attorney is not directly involved in administering the project, he is responsible for monitoring the project and establishing the criteria for eligibility. The criteria for eligibility are the following:

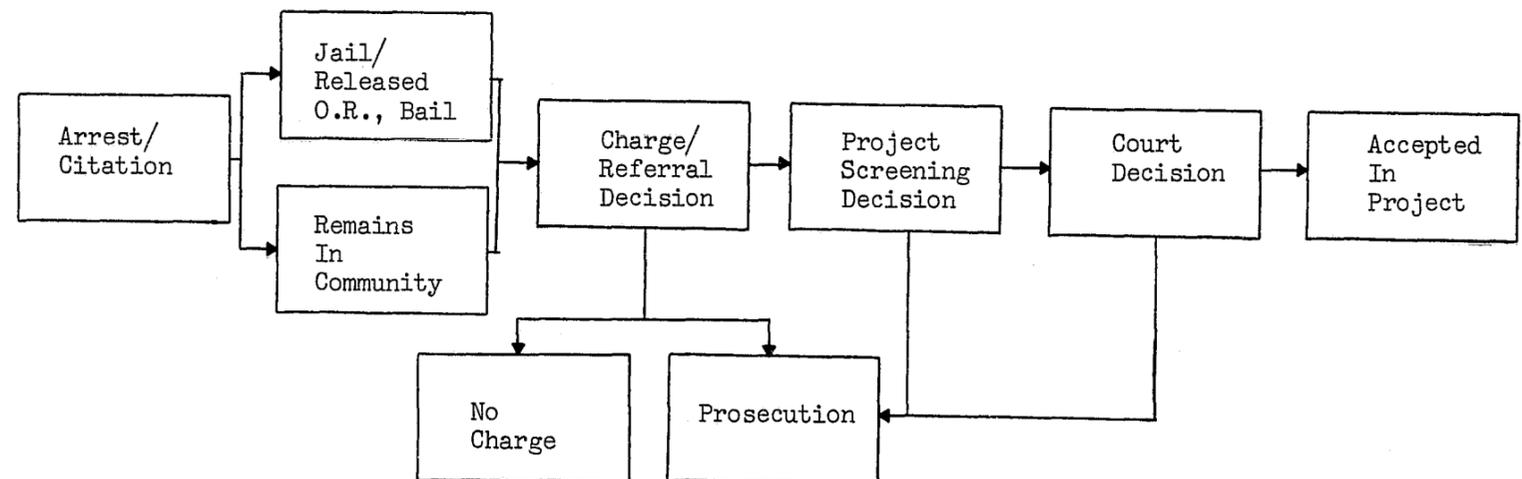
1. Age 18 to 45.
2. Unemployed, underemployed, or job in jeopardy as a result of the arrest.
3. A charge of a misdemeanor offense.
4. One or more of a number of other factors, including high school drop-out or increasing absenteeism, indigence or poverty, receiving public assistance, having a physical handicap which adversely affects employability, minority group membership, lack of marketable skills, and negative family circumstances.

One means of recruiting participants for the project is through the action of the Counselor himself. The Counselor receives arraignment calendars which are obtained by the project in advance of each day's proceedings. When a defendant has a record of little or no

previous criminal involvement, the Counselor will contact the defendant personally or will notify the Public Defender that the person may be eligible for the project. The Counselor is also present during all sessions of the court where clients who are eligible for this project are appearing for arraignment. That assures that all potential participants are received. Either the Public Defender, District Attorney, Judge, or Project Intercept Counselor may request a 10 to 14-day continuance for a case for the purpose of giving him the opportunity of having a screening interview with the Intercept Screening Committee. If the project deems him eligible, the Counselor returns to court after the initial continuance with a letter accepting the client and outlining the services to be delivered. If the defendant, defense attorney, prosecutor and Judge agree to referral, the defendant's case is continued for a minimum of 90 days and he is referred to Project Intercept without the entering of any plea. If the defendant is found ineligible by the project, or if the District Attorney or the Judge do not consent to the referral, the defendant returns to court. A date for entering a plea is also set if that occurs.

After acceptance into the program, the development of a specific treatment plan and the completion by the client of a 30-day probationary period, the Counselor the client is assigned to submits a progress report to the court. The report recommends either termination from, usually in cases of non-cooperation with the treatment plan, or continuation in the program. If the participant performs adequately in terms of the treatment plan and is not rearrested, Project Intercept will return to court requesting that the charges against him be dismissed. By prior agreement with the District Attorney, the criminal charges will then be dismissed.

Figure 6  
PRE-TRIAL DIVERSION  
OAKLAND



L7

## VI SERVICES RENDERED

The principal form of treatment utilized in the project is group counseling, supplemented by individual counseling and specialized job-placement and employability development services (placement in vocational training). Since participants are in the program for a maximum of 180-days, no long-term form of treatment is possible. With this in mind, Counselors are taught to look for certain problem behaviors and to attempt to work with the client in changing them, applying "mild" forms of therapy and emphasizing circumstances at that moment. For more severe behavioral problems, participants are referred to community mental health agencies.

The Oakland variant of Project Intercept is also responsible for the follow-up of its clients for a period of one year after they leave the project. The clients are required to contact the staff for purposes of interviews at intervals of three, six, and twelve months. The follow-up interviews are conducted by the Senior Counselor and are primarily information-gathering in purpose, accumulating data about earnings, employment, and further encounters with the criminal justice system.

## ADULT DIVERSION PROJECT - VENTURA COUNTY

### I PURPOSE AND OBJECTIVES

The Ventura County Adult Diversion Project is an expression of a desire of local criminal justice agencies to develop alternatives to conventional processing for certain types of offenders. The deferred prosecution approach in Ventura County is premised on the notion that there are many cases where the protection of the public does not require a sentence of formal probation (with or without jail as a condition) but where a sentence of summary probation or a fine does not provide the rehabilitative experience needed to prevent recidivism. The Ventura County Adult Diversion Project is designed to provide those rehabilitative experiences for cases where formal probation is not indicated.

The service objectives of the project are:

1. Diversion from prosecution of 250 of the minor misdemeanor offenders referred to the District Attorney for complaint.
2. Supervision of 70 "high risk" O.R. release defendants who in the absence of the project would be denied release, thereby reducing the jail population.

The outcome objective of the project is:

1. 70 percent of those cases completing the program will not recidivate, with recidivism defined as any new arrest within one year of termination.

### II HISTORY OF THE PROJECT

The project was originally proposed by the Ventura Regional Criminal Justice Planning Board and Ventura County Correction Services Agency (Probation Dept.). Douglas Hansen was responsible for planning, organizing and implementing the project for the Ventura County CSA. Funding for the project was approved by the State Office of

Criminal Justice Planning effective October, 1974. Douglas Hansen was appointed project manager in October, 1974, and the first client received in the same month. The office of the project is located in a private building separate from the office of the CSA.

### III FINANCING

The total budget for the first year of operation was \$108,000. Of this \$97,200 was the federal contribution, \$5,400 the state buy-in, and \$5,400 local hard match. The first year of the contract was extended to end December 31, 1975, to accommodate an incremental development of staff. The second year's operating budget totals \$55,555 (for a six month period). Of this amount, the federal contribution is \$50,000, the state buy-in \$2,778, and the local hard match \$2,775. Third year funds of \$175,000 federal money plus state and local match have been approved.

### IV STAFFING AND TRAINING

The project is staffed with one Supervising Deputy Probation Officer (Mr. Hansen), five Deputy Probation Officers, and clerical support. All of the DPO's on the project staff have been recruited from the Ventura County CSA. The project manager is a 36 year old male Caucasian. Two of the Deputy Probation Officers presently on the staff are female. One of the DPO's is a Chicano and the rest Anglo. In addition, one half-time research assistant and one half-time clerk are paid by the project and assigned to the District Attorney's office.

Formal training of the project staff has been accomplished through the utilization of existing training programs in the Probation Department. The staff has participated in a number of workshops offered by the Department including the following: role identification, individual counseling skills, clinical-level techniques of individual casework, co-leadership of group counseling sessions, family crisis intervention, active listening techniques, minority sensitivity, and the utilization of community resources in client treatment. The project director has also attended management training sessions concerning systems analysis, and evaluation techniques.

### V CRITERIA FOR ELIGIBILITY AND INTAKE AND TERMINATION PROCEDURES

The Ventura County Deferred Prosecution Project is designed to serve primarily individuals who are charged with misdemeanor property crimes, victimless sex offenses, the less serious public disturbances, and offenses committed during family disputes. Defendants charged with the following offenses are excluded from the program: felonies except those that can be filed as misdemeanors under Section 17 (b) 4 of the Penal Code, crimes involving serious violence, sex offenses involving children, all traffic offenses, all drug and alcohol offenses, all non-support and welfare fraud cases, and cases involving substantial restitution payments. To be considered for the project, a person need not be a first offender; however, he must be a person who is otherwise a good citizen and whose criminal record discloses no pattern of criminality and no recent serious charges.

The first step in the intake procedure is the referral to the project by the Deputy District Attorney who has the responsibility for screening of cases to locate those which appear to be eligible for deferred prosecution. Assisting him in this screening function is a half-time law clerk, whose salary is paid out of project funds. Upon receipt of the referral, the project contacts the client, informing him that deferred prosecution is available and that he has been referred by the District Attorney. The client is instructed by form letter that he must apply in person on or before a specific date and that failure to respond will be considered a rejection of the program leading to a filing of a complaint. If a client fails to apply, the District Attorney is immediately notified and normal prosecution procedures are resumed. If the client applies, the staff of the project carries out a thorough investigation of his background, social history, prior record, and personal problems. If the client is deemed eligible for the project and desires to participate, an appointment is arranged with defense counsel. The services of the Public Defender are available to those who cannot afford their own counsel. The applicant and his defense counsel are provided with all arrest reports

and the proposed voluntary probation agreement including proposed terms and conditions based on needs assessment between the client and the caseworker. The counsel advises the applicant of his rights and explains the ramifications of participation in the deferred prosecution program. If the applicant decides he wants the deferred prosecution option, he and his attorney sign the Adult Diversion Project Agreement.

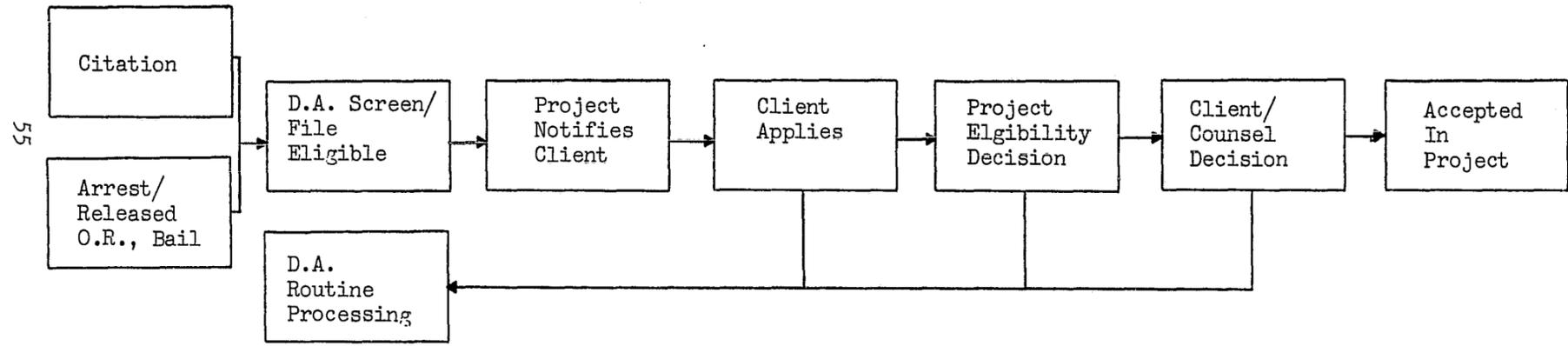
When the client signs the agreement, he enters into the supervision of the project. The goals and objectives for the client are again addressed, and a detailed plan for achieving them is formulated by the project counselor together with the client. Contact during the early days of supervision is frequent and is decreased as the client progresses through the project.

In the event of additional arrests or other violations of the conditions of the agreement or the client's indicating a desire to terminate from the program, the District Attorney is notified and presented with a recommendation as to whether revocation should occur. If revocation is decided upon, supervision is terminated and prosecution resumed. When the client has participated in the program for one year, the deferred prosecution agreement automatically expires, and the District Attorney notifies the appropriate agencies that charges have been dismissed. Termination can occur as early as six months upon the recommendation of the project and the concurrence of the District Attorney.

SERVICES RENDERED

The Ventura County Adult Diversion Project is designed to supply intensive supervision to and coordinate various treatment resources for clients. Among the direct services provided by the project are individual counseling, family counseling, group therapy, job development, and emergency services. The following services are available to the clientele on a referral basis: job training, employment counseling, education services, legal assistance, housing and food, intensive psychological service and therapy and medical services. Many of the services by referral

Figure 7  
VENTURA COUNTY ADULT  
DIVERSION PROJECT



are provided through the Unified Corrections Project, another program in Ventura County. This project supplements the programs of existing agencies, such as the Employment Development Department and the Department of Vocational Rehabilitation, in assisting or further referring those cases requiring job placement services and psychiatric or other medical assistance, where no ability to pay is present.

NARCOTIC EDUCATION LEAGUE RESIDENTIAL FACILITY

OAKLAND

I PURPOSE AND OBJECTIVES

The Narcotics Education League (NEL) was incorporated in January 1971 for the purpose of providing the Chicano Community of Oakland with educational, preventive, and rehabilitative services for drug users and narcotic addicts from that community. One of the services of NEL is a drop-in center for drug users in the East Oakland-Fruitvale area.

Supplementing this is the project discussed in this report. This is a short-term residential project specifically directed at treating Chicano addicts in a milieu reflecting the Chicano culture.

The service objectives of the project are:

1. Providing direct and indirect social, emotional, educational, and economic services to drug-involved residents of sufficient quality to assist them in making the transition to a drug-free life in the community.
2. Developing a data system that will serve to provide a uniform information base for all halfway house projects.

The outcome and cost benefit objectives of the project are:

1. Lowering the rate of future criminal activity on the part of individuals served by the project significantly below that of a comparable group not served by the project.
2. Lowering the rate of parole and probation revocation for individuals served by the project significantly below the level of a comparable group not served by the project.

3. Insuring that 50 percent of the clients admitted to the residential project will successfully meet its requirements for length of residence and employment.

## II HISTORY OF THE PROJECT AND FINANCING

The Narcotic Education League emerged from the efforts of a small group of concerned ex-addicts, representatives from the local office of the State Employment Development Department, and members of the Spanish-Speaking Information Center. Recognizing the growing problem of drug abuse in the Chicano community and the need for a drug counseling center, the group met with representatives from Chicano organizations in the Oakland area to obtain their support.

NEL submitted a proposal for a \$188,309 drug prevention program to the Alameda County Comprehensive Drug Abuse Program in November, 1970. Full funding was not awarded by this program; however, it provided a \$15,000 grant for a drop-in center. This center was opened in 1971 with three paid staff members and a number of volunteers. During this early period, the staff and Board of Directors of NEL reaffirmed their position that existing residential drug programs were not appropriate for the Chicano heroin addict. In August, 1972, they formulated plans for a short-term residential drug program that would offer treatment to Chicano addicts within a Chicano cultural milieu. In October, 1972, NEL submitted a \$75,000 proposal for a residential facility to the Comprehensive Drug Abuse Program. Anticipating the approval of funding, NEL signed a lease in February, 1973, for a large house in the Dimond area of Oakland. Formal approval came in March, 1973, and the first resident moved into the facility in April, 1973. The Project Coordinator, Juan Covarrubias, and the Administrative Assistant, Luis Jaramillo, were hired in March, 1973, and continue in their positions.

## III STAFFING AND TRAINING

The residential project staff consists of six persons, all of whom are bilingual in Spanish and English. The positions on the staff are the previously mentioned Project Coordinator and Administrative Assistant and a Court Liaison Worker, a House Manager, and two Counselors. All are full-time positions, and all have been filled by Chicano ex-addicts. The majority of the people hired for the staff have had less than a high school education. As of June 1975, the two counseling positions had been filled by nine different persons, the high turnover rate being due in part to the extremely low salaries received by the counselors.

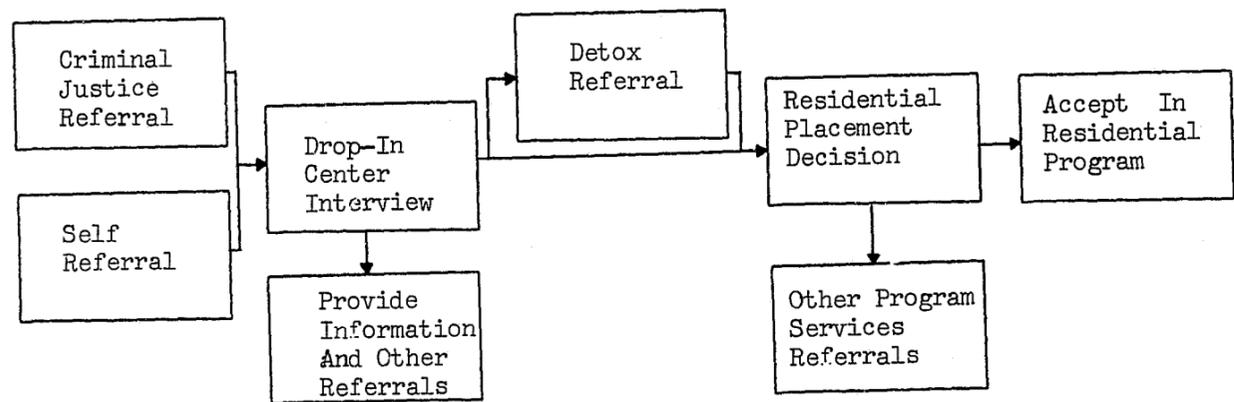
The majority of the members of the staff have participated in drug training seminars presented by the Institute of Social Concerns in Oakland. Training experiences have also included on-site visits to other drug treatment programs in the Bay Area.

## IV CRITERIA FOR ELIGIBILITY AND INTAKE AND TERMINATION PROCEDURES

No referrals are made directly to the residential program. All screening and interviewing for the residential program take place in the drop-in center. The initial interview is regarded as a particularly critical and difficult process, especially since most of the candidates for the residential program are referred by agencies in the criminal justice system. NEL is therefore faced with the difficult task of identifying and screening out addicts who are not particularly motivated to change their drug habits but would rather do time in a comfortable setting.

In the process of determining whether the addict desires treatment rather than "jailing" in a program, NEL staff explore the following areas with the addict: the nature and

Figure 8  
 NARCOTIC EDUCATION LEAGUE FACILITY  
 OAKLAND



extent of his involvement with heroin, his motivation to stay clean, the extent of his identification with Chicano values, his street reputation, and his prior experiences in treatment. The decision as to whether the addict needs a short-term residential treatment program is reached by a consensus on the part of the addict and the staff. If the addict feels that he wants a different drug program, the NEL staff will provide the necessary information and referral.

V SERVICES RENDERED

Each addict admitted to the residential project is assigned to a counselor. The counselor and the resident discuss the addict's goals, aspirations, and motivation for entering the program. Together they develop an individualized plan and refer to the plan as the client progresses through his residency, utilizing appropriate resources in the community where medical, legal, or other needs of the client have been identified. For legal services, NEL retains an attorney on the staff and also has access to legal services programs in the community. During the later stages of the residential treatment project, emphasis is placed upon educational advancement and preparation for employment subsequent to release. The State Department of Rehabilitation has assigned a counselor to NEL for 16 hours a week to assist clients in working out vocational rehabilitation plans and enrolling in the desired programs.

There are four stages in the project which total to yield an average length of residence of 180 days. The first stage is called the "Candidate" stage and lasts a minimum of 30 days. In this stage, the client is oriented, and much of the basic planning is done with the counselor. From there, the client proceeds to the "Familia" stage, where much of the treatment takes place. The third stage is the "Veterano" stage, in which the client assumes the role of a counselor to residents who are in the earlier stages of the project. Upon completion of the Veterano stage, which lasts a minimum of 90 days, the client "graduates" from the program. (Some successful clients prefer to leave the project omitting the Veterano stage.)

After the successful client leaves the project, with or without completing the Veterano stage, he enters the Aftercare stage, in which he is integrated into a series of follow-up activities, which last at least one year.

During the early period subsequent to release, the client is expected to participate in weekly individual or group rap sessions at NEL. The frequency of contact tapers off until meetings are scheduled once every 60 days. If the client is on probation or parole, the NEL staff communicates regularly with his probation officer or parole agent. The client is also expected to notify the project of any change of address while he is still in the Aftercare stage.

HUMBOLDT ALCOHOL OFFENDER DIVERSION PROJECT  
EUREKA

I PURPOSE AND OBJECTIVES

The Humboldt Alcohol Offender Diversion Project offers a recovery house program for alcoholics. A recovery house provides its clientele with a longer period of treatment than an alcohol detoxification center (a mean of approximately 60 days in the Humboldt project as opposed to the 72-hour standard generally maintained, more or less, by detoxification facilities). Some of the clients admitted to the recovery house have gone through a short-term detoxification immediately prior to admission, and some have been admitted without this. Some of the clients treated in the project have been admitted directly from jail, and some have not. It should be noted that this project was placed by the OCJP staff in Category IV-1, Disposition of Suspects, Diversion. It should be noted further that this category may be a poor place for the project, since the category seems to be intended primarily for pre-trial diversion projects, and pre-arrest alcohol detoxification projects. The project is apparently one that was considered desirable for funding, and there was a little "stretching" done to find the most likely category in which funds were available for allocation to support it.

However, the point is made by the project and regional planning staffs that the project is concerned with diversion from the criminal justice system in that during the period of the client's residence in the recovery house the client is not likely to be arrested for public drunkenness and, indeed, risks such an arrest only if he violates the fundamental rule of the project, which is no drinking. A violation of this rule leads to an expulsion from the recovery house, at least temporarily, and exposes the person expelled to re-arrest for public intoxication. Therefore, according to this argument, the recovery house automatically functions as a diversion

mechanism, which serves to lower the number of arrests for drunkenness. To the extent, of course, that the project has an impact on the client beyond the point that he is actually resident in its facilities, there should also be a reduction in arrests. The latter possibility gives the project an even greater potential for being diversionary.

The service objectives of the project are as follows:

1. Providing a program for treating 40 percent of persons identified as public inebriates or alcoholics who contact criminal justice and mental health agencies during the year.
2. Providing counseling services to 90 percent of the public inebriates referred to the program.
3. Providing residential treatment to 20 recovering alcoholics per month.

The outcome objectives of the project are as follows:

1. Insuring that 50 percent of the participants with at least two weeks of residential treatment, will have made improvements in their overall life situations.
2. Bringing the recovering alcoholics to the point where they will have periods of extended sobriety not indicated by their pre-project experience.

## II HISTORY OF THE PROJECT

The project is operated by a third party contractor, the Eureka Twelfth Step House, Inc., a non-profit corporation concerned with providing services to alcoholics. The Executive Director and founder of the Eureka Twelfth Step House, William Dimmick, is the program director and prime mover of the Humboldt Alcohol Offender Diversion Project. The official Director of the project is D. M. Bramwell, M.D., the Director of Humboldt County Mental Health Services, the agency contracting with the non-profit corporation for the delivery of the recovery house services. Prior to obtaining OCJP funding for the project, Mr. Dimmick had operated his recovery house with minimal salaries for himself and his wife, who is his principal assistant, initially paid out of the budget of the Humboldt County Sheriff's Office and subsequently out of

the budget of the Humboldt County Mental Health Services. At one time or another, representatives of the Sheriff's, District Attorney's, and Public Defender's offices have joined Mr. Dimmick and Dr. Bramwell in planning the project. Michael Burns, the former Executive Officer of the North Coast Planning Board, which is the regional criminal justice planning agency, was also involved in the planning and actually wrote the proposal. OCJP funding for the project was approved in June, 1974, and became available the same month. At the beginning of the relationship between the Humboldt Project and the Community Based Corrections Evaluation Project, the former was housed in two large houses in Eureka separated by a distance of approximately one mile. Since then, one of the houses has been vacated. To take the place of this, a house located across the street from the original project house has been leased. The two houses combined have a bed capacity of 17.

## III FINANCING

The total budget for the first year (which ended June 30, 1975) of the OCJP-supported component of the services of the Eureka Twelfth Step House was \$66,374, of which \$48,000 was the federal contribution, \$2,667 the state buy-in, \$2,666, the local hard match, and \$13,041 the other match. The funding for the second year (ending June 30, 1976) includes a federal component of \$42,358, a state buy-in of \$2,353, and local hard-match of \$2,353 for a total of \$47,064. In the proposed third year budget which will cover through June 30, 1977, the federal contribution is reduced to \$25,477, the state buy-in to \$1,415, and the local hard match to \$1,416. The rest of the budget of the recovery house project and its supportive services (\$26,000) will be underwritten by funds available through the Short-Doyle program.

## IV STAFFING AND TRAINING

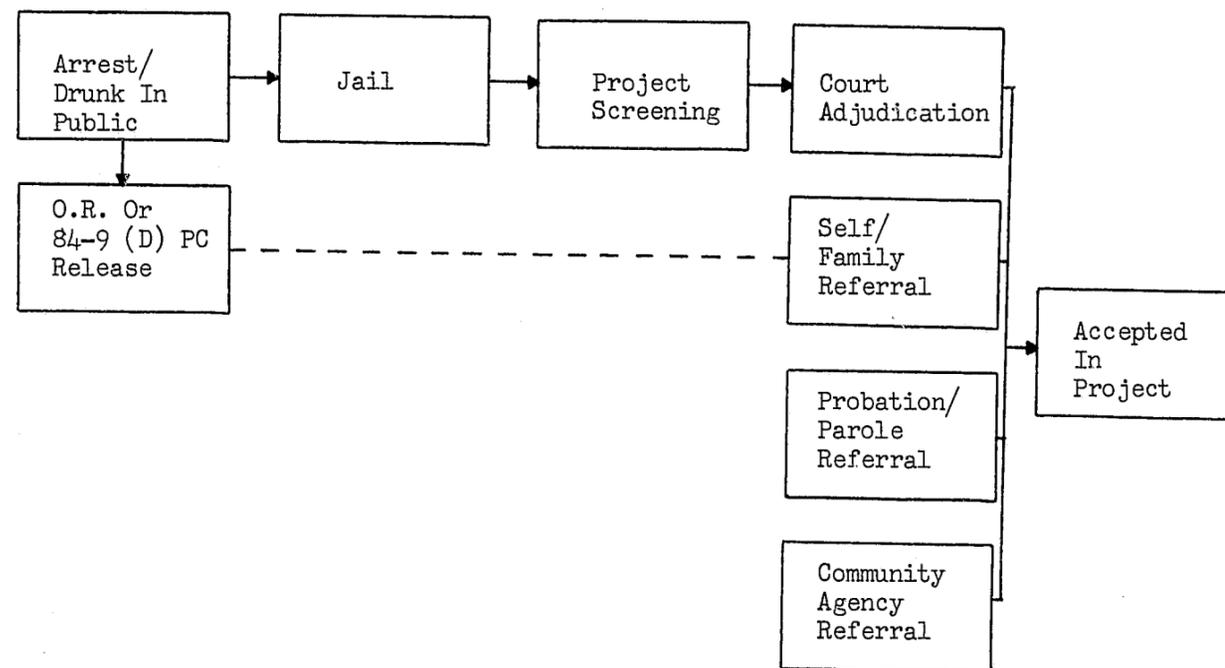
The project has a staff of four. The Executive Director, William Dimmick, is a 50 year old Caucasian, who describes himself as a "recovering alcoholic." This, he says, means that for an alcoholic the

issue of sobriety is never entirely settled, so a sober alcoholic is recovering rather than recovered. Mr. Dimmick is a former justice court judge and businessman, with considerable experience in working in alcohol treatment programs. Two of the other staff members are recovering alcoholics as well. One of the staff members has a Master's Degree in Psychology. All staff members are Caucasian, and one of them is a woman and the wife of Mr. Dimmick. Mr. Dimmick serves as the trainer in the program, drawing upon his experience in the field of alcoholism and his attendance at consortiums and seminars.

V CRITERIA FOR ELIGIBILITY AND INTAKE/TERMINATION PROCEDURES

All of the clients received by the project are voluntarily admitted. In the early stages of the project, a very large percentage of its intake was initially contacted in the local jail by Mr. Dimmick. He interviewed during this early period approximately 85 percent of the cases jailed on a charge of public drunkenness for the purpose of describing his project to them and determining whether they would be interested in participating in it subsequent to their appearances in court. Since then, more and more of the public inebriates arrested in Eureka have been released on own recognizance or in accordance with Section 849 (b) 2 of the Penal Code. The result is that by the time Mr. Dimmick gets to the jail (and he gets there early in the morning) most of the potential candidates for his program have been released. At this point, he is able to interview only about one-fourth of those arrested for public inebriation. He has served for some time as a counselor to the Eureka Municipal Court on alcoholism and alcoholics, preparing work-ups which outline possible programs for dealing with individual cases. Presently, clients are referred to or received by the project from a number of sources other than the jail or courts. Among these are the Department of Rehabilitation, County Mental Health Services, parole and probation, Salvation Army, and the local hospitals. A significant number of clients are also self-referred or referred by their families. During their stay in the recovery houses, the clients are free to come and

Figure 9  
HUMBOLDT ALCOHOL OFFENDER  
DIVERSION PROJECT  
EUREKA



67

COMMUNITY REHABILITATION HOUSE PROJECT  
SAN MATEO

go as they wish. If they return showing evidence of intoxication or drinking, they will be asked to leave until they become sober at which time they may return. Furthermore, any evidence of drinking on the premises of the house itself will lead to the temporary exclusion of the drinker. Both of these types of drinking behaviors are in violation of House Rule No. 1, which Mr. Dimmick regards as one of the essentials of the project. A client may also be discharged involuntarily if he appears to have found a home in the recovery house. Other than in these two types of instances, the clients leave voluntarily.

VI SERVICES RENDERED

The range of services offered to its clients by the Humboldt Alcohol Diversion Project continues to expand. At this point, each client entering the recovery house receives a complete medical examination, including most appropriately for this group a chest X-ray. One of the focuses of the medical examination is upon indications of nutritional deficiencies, and these are dealt with through means of a controlled diet or vitamin therapy. Dental services are also available. The medical and dental services are provided by referral and are financed by Medi-Cal. Each client receives individual counseling from the staff of the project. The clients themselves hold their own group counseling sessions, beyond which there is a lot of informal interchange among the residents on matters pertaining to alcoholism. Job development and employment counseling services are offered by the staff. Vocational training is available to clients through the United Redwoods Workshop, which will have 25 slots available for referrals from the project as of the beginning of the year (1976). This figure will accommodate virtually all of the residents in the house. Each person employed in the workshop is eligible for compensation at the minimum wage level. The money will be used by the recipients in part to pay board and room charges at the recovery house. Liaison is maintained with the local Alcoholics Anonymous organization, and the residents are encouraged to participate in its activities.

I PURPOSE AND OBJECTIVES

The Community Rehabilitation House Project in San Mateo is designed to provide an alternative to incarceration for the adult female offender. This alternative is placing her in a small non-institutional setting, either directly from jail, where she has been sentenced as a condition of probation, or from the community where experiences of intense emotional stress or situational crises are making it difficult for her to adjust while on probation. The non-institutional facility operated by the project is called Mustard Seed.

The service objectives of the project are:

1. Providing an alternative to incarceration which will keep 190 female offenders out of jail per year.
2. Providing a short-term crisis alternative to temporary or long term incarceration.

The outcome and cost benefit objectives of the project are:

1. Reducing the cost of jail by establishing as an alternative a short period in a residentially-based therapeutic community.
2. Reducing recidivism, family disorganization, and the interruption of employment.

II HISTORY OF THE PROJECT

The Community Rehabilitation House Project arose from a general dissatisfaction going back a number of years over inadequate facilities, the available programming, and the kind of programming possible for women offenders in the San Mateo County Jail. Women had been housed in a 20-bed unit in the main jail, which often was overcrowded and offered little or nothing in the way of work furlough opportunities, volunteer programs of any scope, or tutoring and other educational activities. The San Mateo County Probation Department is the principal

planner and developer of the Community Rehabilitation House Project and has operated it from the beginning. The Probation Department had been dissatisfied with the jail programs in the county for both men and women for a long period of time. It first planned and put into operation a residential alternative to jail for men, which proved to be effective both in terms of the objectives of managing recidivism and reducing costs.

On the basis of this experience, the department decided to plan a counterpart program for the adult female offender, and out of this planning effort emerged Mustard Seed. The residential projects for both female and male offenders are administratively located in one of the divisions of the Probation Department. Reporting to the chief of that division is Jerry Harper, a Supervising Probation Officer II, who is the administrator of both houses with the working title of Director of Community Rehabilitation Houses.

The project was funded by the Office of Criminal Justice Planning in October, 1973, and funds became available during the same month. The Project Director, Ruth Younger, a Supervising Probation Officer I, was assigned to the project in October, 1973, and has remained with it since then. The residential facility was obtained in April, 1974 and consists of an older home located in the city of San Mateo in the central part of the county and in an area which is convenient to stores and transportation. The first client was accepted by the project in May, 1974, and the project quickly became operational in terms of client capacity.

### III FINANCING

The total funding for the first year of the project was \$194,992, including a federal contribution of \$130,198, a state buy-in of \$10,850, a local hard match of \$45,650, and another match of \$8,244. The second year budget includes federal funds in the amount of \$115,120, a state buy-in of \$6,395, and a local hard match of \$32,546, to add up to a total project cost of \$154,061.

### IV STAFFING AND TRAINING

The Project Director is a 41 year old Caucasian female. She is assisted by a Probation Officer II, who is responsible for the supervision of all clients in the project and those who have completed the program. There are two full time House Counselors II, and three part-time House Counselors I; four of the counselors are Caucasian and one is Black. The Community Worker III is a 26 year old male Mexican-American. The project also has a part-time Research Psychologist who is responsible for evaluating the project and assisting in screening clients, and a part-time Psychiatric Consultant.

The treatment model for the project is group-oriented using behavior modification and reality therapy. Much of the training has been provided by the Psychiatric Consultant who has had a continuing relationship with the project.

### V CRITERIA FOR ELIGIBILITY AND INTAKE/TERMINATION PROCEDURES

The plan of the project for "half-way out" cases calls for the admission of a woman offender after she has served some time in jail, primarily jail assigned as a condition of probation. To be eligible, the offender must not have had a history of chronic drug use or sales, or a history of assaultive behavior or escape.

A few clients serving straight jail sentences may be admitted into the project, but they must be granted "parole" for that purpose by the county "parole board," consisting of representatives from the Probation Department, the Sheriff's Office, and the community.

Participation in the project is voluntary on the part of the client, and women convicted of both felonies and misdemeanors are eligible.

The principal source of referrals for the half-way out client is Sergeant Marilyn Howard, the supervisor of the women's unit of the county jail in Redwood City. Once the client is referred to the project, her case is reviewed by a screening committee that consists of a Counselor, the Research Psychologist, and a Probation Officer assigned to the house. If the screening committee decides to accept the case, it

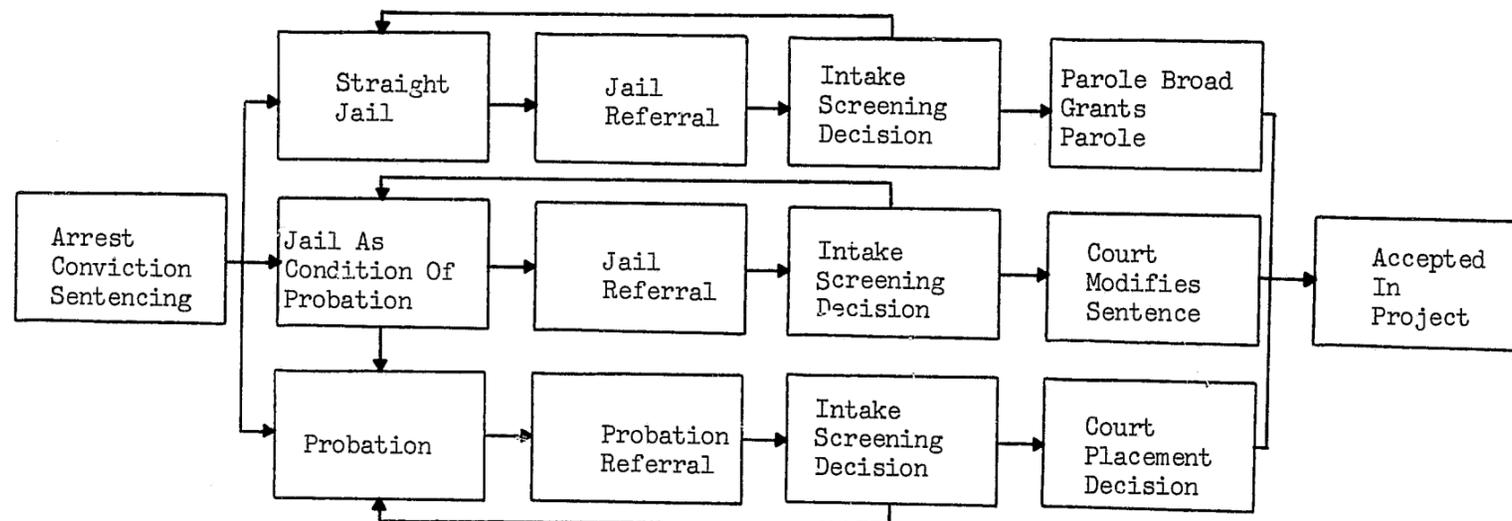
is returned to court for a modification of sentence, and the offender will then be committed to Mustard Seed. Crisis cases are required to meet the eligibility criteria previously listed and be deemed by the screening committee to be otherwise suitable and in need of a more structured program than is available through ordinary probation. The crisis cases are retained in the house an average of two weeks, and their placement there requires an action of the court. Upon release from the project both the half-way out clients who were assigned to the house as a condition of probation and the crisis clients continue on regular probation caseloads.

VI SERVICES RENDERED

The program for the clients (other than the short-term crisis cases) is designed to be 90 days in length. It is based on the concept of a therapeutic community involving the approaches previously mentioned, behavior modification and reality therapy. These components are the basic thrust of the project; however, the staff tries to adapt techniques to clients' needs. The project refers its clientele to various outside agencies for supportive services, including San Mateo County Mental Health Services, the Drew Hospital (for dental work), and the San Mateo County Service League (for family and job counseling). The latter is a privately administered organization receiving funding from both private and public sources, i.e., the United Bay Area Crusade.

Figure 10

COMMUNITY REHABILITATION HOUSE PROJECT  
SAN MATEO



## BAY AREA QUEST PROJECT

### I PURPOSE AND OBJECTIVES

Quest, a residential project for women located in San Francisco, is intended to offer a constructive alternative to incarceration by providing an array of socio-therapeutic and supportive services both on site and through referral to outside agencies. Quest accepts women directly from the courts who are sentenced to the project as a condition of probation. The residential phase of the project lasts six months, and the client may receive counseling on an out-patient basis for another year beyond release.

The service objective of the project is to provide direct and indirect social, emotional, educational, and economic services of sufficient quality and quantity to residents to assist them in making the transition to community life.

The outcome and cost benefit objectives of the project are the following:

1. Reducing criminal activity for the participants in the project significantly below a baseline provided by a comparison group.
2. Reducing the level of probation revocations for the project participants below that of a comparison group.
3. Producing cost savings through the elimination or reduction of expenditures for child welfare benefits and generating cost benefits through maintaining the offender in a tax-paying capacity.

### II HISTORY OF THE PROJECT

The Bay Area Quest Project is operated by a non-profit corporation established in December 1973 by two nuns of the Roman Catholic Church, Sister Catherine Donnelly, SNJM, and Sister Rebecca Rodriguez, CSJ. The conception of and the planning for

the project were outgrowths of the Sisters' experiences in working in transitional programs for offenders over a number of years. Quest is sponsored by the Mayor's Criminal Justice Planning Council (the regional criminal justice planning council for the City and County of San Francisco). However, since the project has a multi-regional service area, it is included in and financed as part of the state action plan by the Office of Criminal Justice Planning.

### III FINANCING

The funding of the project was approved by OCJP in July 1974. The Executive Director of the project, Sister Catherine Donnelly, was officially hired during the same month; and funding became available to Quest in November 1974. A temporary residential facility was obtained in November and the first client was accepted in December 1974. This first facility was in the Ashbury Heights district of San Francisco. The project had a great deal of difficulty in securing a permanent location of adequate size. However, they now have a permanent facility, a large house located in the northern part of the city, which has a bed capacity for 20 clients.

At this point, a number of criminal justice jurisdictions have contracted on a fee-for-service basis with Quest for services for specific clients. Among these are the probation departments of San Francisco, Contra Costa, Solano and Sonoma Counties. The United States Bureau of Prisons was the first agency to contract with Quest; this contract was signed in January 1975. Other counties have indicated an interest in contracting with the project, including Alameda, Marin, Napa, and Santa Clara. Finally, inquiries have come from three counties (Contra Costa, Santa Clara, and Marin) about the possibility of Quest's establishing facilities in those counties.

### IV STAFFING AND TRAINING

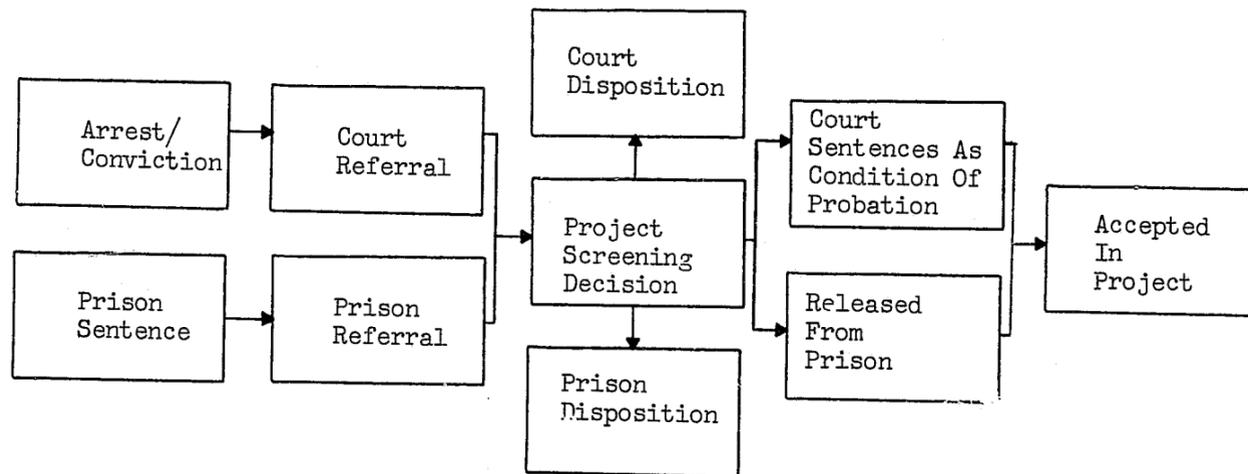
The Executive Director of the project is a 53 year old female caucasian, who formerly taught in a college operated by the Roman Catholic Church. The Program Director is a 35 year old female Mexican-American, who is a former teacher and principal in Catholic elementary schools. The Clinical Director is a 33 year old female caucasian, and the Vocational Director is a 39 year old female caucasian. The Vocational Director has the responsibility for vocational counseling and arranging for vocational training and job placement. The remainder of the staff consists of four part-time house counselors, two night supervisors (one full time and one part-time). These individuals represent divergent sex, ethnic and age groups.

Responsibility for the training of staff is in the hands of the Clinical Director, who has a background in clinical counseling. Since much of the counseling in the project is carried out in groups, much of the training of the staff is concerned with the group counseling or therapy process as it relates to such matters as the family, marriage, drug abuse, sexual identity, alcoholism, and obesity.

### V CRITERIA FOR ELIGIBILITY AND INTAKE AND TERMINATION PROCEDURES

Women are referred to the Bay Area Quest Project from municipal, superior, and federal courts on the basis of mutual agreements among the project staff and the judges, the prosecuting attorneys, and the probation departments in whose jurisdictions the cases are being processed. The Program Director of the project conducts an interview with the potential client in jail or in the offices of a probation department after receiving an application on her behalf for admission to the project. Subsequent to this initial screening interview the woman comes to the residential facility to meet with an assessment committee composed of the

Figure 11  
BAY AREA QUEST PROJECT



Program and Clinical Directors and two residents; the residents serve on a rotating basis. This committee interviews the woman and makes a final determination as to her acceptability to the project. No woman will be taken into the project who has not signed a statement to the effect that she freely chooses to enter the project and that she agrees to work out a mutually acceptable contract with her counselor. At any point in this process of review, Quest retains the right to refuse the referral. The usual grounds for not accepting a referral are an uncooperative attitude or a lack of motivation on the woman's part.

The project will not accept referrals of women offenders who need intensive psychiatric care, because it does not have the staff or the facilities for providing it. If a woman is accepted into the project and shows that she is too emotionally disturbed to cope with employment or other aspects of the program, she will be referred back to the agency whose jurisdiction she is under for another disposition. The project will also not accept a client who is heavily involved in drugs. Since the project allows its clients a great deal of freedom to go outside the facility, the staff feels that the drug-involved client represents a risk both to herself and to the rest of the participants because of the likelihood of her bringing in drugs and inducing others to use them.

#### VI SERVICES RENDERED

A counselor is assigned to each client upon her entry into Quest. This counselor will usually stay with the client while she is in the residential facility and continue working with her during the follow-up period of one year after she leaves the residence. Various kinds of group counseling are offered by the staff; however, it is mandatory for every client to be involved in the following groups: the house meeting (staff and residents), the consciousness raising group, and the psychiatric

workshop. In designing, continuing, and modifying the treatment contract for each client, Quest utilizes certain community agencies for referrals and consultation. These agencies are both public and private and offer services relating to the areas of drug abuse, alcohol abuse, child abuse, family counseling, sexual counseling, ethnic counseling, and general medical services. The project also refers clients to agencies offering vocational training and other educational services. One of the significant features of Quest's program is the freedom of movement the clients have outside the residence during the day for purposes of securing services, receiving training, or pursuing employment. The client works out a schedule with the counselor assigned to her; she is then responsible for maintaining that schedule. Each resident is expected to sign in and out when she leaves and returns to the residence.

## WOMEN'S DETOXIFICATION SERVICES PROJECT

### SAN DIEGO

#### I PURPOSE AND OBJECTIVES

The Women's Detoxification Services Project in San Diego provides a short-term detoxification program to female heroin addicts. This detoxification project is administered by Narcotics Prevention and Education Systems, Inc. (NPESI). NPESI is a private, non-profit organization which is itself funded by the Model Cities Program of San Diego.

The service objectives of the project are:

1. Providing detoxification and supportive follow-up assistance for one to six months to 185 female heroin addicts per year.
2. Admitting approximately equal proportions of new clients referred from law enforcement agencies and former clients.
3. Providing outpatient counseling and medical services to clients not receiving detoxification.

The outcome objective of the project is to assure that 15 per cent of those female addicts detoxified will have a minimum period of abstinence from heroin use of six months.

#### II HISTORY OF THE PROJECT

The Women's Detoxification Services Project was originally planned by Henry Collin in 1971 during his tenure as Director of NPESI. The staff of the criminal justice planning region (San Diego Regional Criminal Justice Planning Advisory Committee) assisted NPESI with the preparation of a grant application. Funding for the project was approved by the State

**CONTINUED**

**1 OF 3**

TABLE  
XVI  
INTAKE DATA

Humboldt Alcohol Offender Diversion  
June 1, 1974 through August 7, 1975

Total First Admissions <u>40</u>		Sample Size <u>40</u>	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	0	0	Most Serious Charge at time of Diversion
21-25	1	3	
26-30	2	5	
31-35	6	15	
36-40	5	13	
41-45	6	15	
46-50	9	23	No Offense No Information
51-55	6	15	
56 and over	5	13	1 - 99 Petty Theft Assault or battery Paraph., being in place Poss. Marijuana All others
No Information	0	0	
Total	40	100	
			100 - 199
SEX	FREQUENCY	PERCENT	
Male	38	95	Poss. D.D. All others
Female	2	5	
No Information	0	0	Subtotal
Total	40	100	
			200 - 299
ETHNIC STATUS	FREQUENCY	PERCENT	
Black	0	0	Poss. Narcotics All others
Anglo	32	80	
Chicano	1	3	Subtotal
Native American	7	18	
Other	0	0	Subtotal
No Information	0	0	
Total	40	100	
			300 - 399
TYPE OF OFFENSE	FREQUENCY	PERCENT	
Most Serious Charge at time of Diversion			400 - 499 Burglary All others
Against persons	0	0	
Against property	0	0	Subtotal
Dang. drugs & narc. Marijuana	0	0	
Sex	0	0	Subtotal
Alcohol	0	0	
Against public order	0	0	Subtotal
Mixed or misc.	0	0	
No Information	0	0	Subtotal
No Offense	40	100	
Total	40	100	
			500 - 599
			600 - 699
			700 - 799
			800 - 899
			900 - 999
			Total

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

PLACE OF RESIDENCE

Information on place of residence was available for 36 of the 40 cases in the sample. Thirty of the cases (83 percent) indicated a residence inside Humboldt County. Trinity, Mendocino and Sonoma Counties were claimed as the place of residence by one client each; and Oregon was designated by three clients as their place of residence. The very large percentage residing in Humboldt County seems to conflict with the conception of the alcoholic population as being substantially transient. There are two possibilities for accounting for this apparent conflict. One possibility is that the population of individuals in Humboldt County at any one time that has a problem with alcohol suitable for a recovery house type of program is considerable. Possibly those who are relatively residentially stable are channeled toward the project either by their own inclinations or the actions of others. Another possibility is that the residence indicated in the project's records is simply the clients residence in the community just prior to entry into the project, and in some cases it could have been a very temporary one.

HISTORY OF INVOLVEMENT WITH ALCOHOL

One matter of interest that the staff of this project sought to obtain information about was the length of time each client of the project felt that he had had a serious drinking problem. Twenty-two of them (55 percent) reported a serious drinking problem 16 or more years in duration, and one person reported having a serious drinking problem for more than 40 years. The clients were asked what their longest period of voluntary abstinence from alcohol was during the period they regarded themselves as problem drinkers. All but one of the 40 clients gave information on this point. No subject claimed a

voluntary period of abstinence of longer than two years, and 21 of them asserted that their periods of voluntary abstinence were six months or less. Obviously, all of these data about the history of the involvement of the clients of this project with alcohol are likely to be somewhat inaccurate because of the unreliability of the memory of the respondents. On the other hand, it doesn't seem possible to regard the clients of this project as anything other than a hard-core group of alcoholics.

#### PRIOR TREATMENT FOR ALCOHOLISM

For 34 of the 40 cases in the Humboldt project sample, information was available about prior participation in treatment programs for alcoholics. No less than 32 of the 34 clients had some kind of experience with Alcoholics Anonymous. For 14 of the 32 it was the only type of treatment they had received, for the others, it was one of two or more forms of treatment. The second most frequent type of treatment for alcoholism experienced among the members of this sample was treatment by a private physician. Ten of the clients reported this; nine of these ten had also participated in A.A., however. The next most frequent form of treatment was involvement in a publically subsidized residential program. This was reported by five clients, four of whom had also been involved in A.A.

## COMMUNITY REHABILITATION HOUSE SAN MATEO

(Mustard Seed)

#### THE SAMPLE

Our sample consists of the fifteen women first admitted to Mustard Seed between July 1, 1974 and December 31, 1974. This is about half the number the project is designed to serve, but since the first client had been accepted only in May, 1974, they had not reached their full capacity by the end of the year.

#### OFFENSE SEVERITY AND CRIMINAL HISTORY

The women in this project have all been convicted of a crime prior to entry into the residence which serves as an alternative to incarceration. The severity of the offenses, therefore, reflects reduced charges which is not the case in any of the other projects in this study except Quest. Charges against the women in Mustard Seed range from a low severity of 13 (public drunkenness) and 31 (petty theft) to 719 (felony possession of amphetamines for sale) and two cases of manslaughter (829). Six of the women had no record of previous adult arrest or conviction, while the remaining nine had records of from one to eight previous adult convictions. This indicates a group of clients with longer histories of criminal activity and some clients with more serious offenses than those served by the pre-trial diversion projects.

#### AGE, SEX AND ETHNICITY

All of the clients of Mustard Seed are women. Nine of them are between 21 and 30 years of age, five are between 31 and 45 years of age and one is fifty-two. Ten of the clients are Anglo, four are Black and one is Eurasian.

#### MARITAL STATUS AND LIVING ARRANGEMENTS

At the time of arrest five of these women had been living with either a legal husband or a common-law husband, three of

TABLE  
XVII  
INTAKE DATA

Community Rehabilitation House - San Mateo (Mustard Seed)  
July 1, 1974 through December 31, 1974

Total First Admissions 15		Sample Size 15	
YRS OF AGE	FREQUENCY	PERCENT <sup>2</sup>	SEVERITY OF OFFENSE <sup>1</sup>
18-20	0		Most Serious Charge at time of Diversion
21-25	5		
26-30	4		
31-35	1		
36-40	2		
41-45	2		
46-50	0		
51-55	1		
56 and over	0		
No Information	0		
Total	15		
SEX	FREQUENCY	PERCENT	
Male	0		No Offense No Information
Female	15		
No Information	0		
Total	15		
ETHNIC STATUS	FREQUENCY	PERCENT	
Black	4		1 - 99 Petty Theft Assault or battery Paraph., being in place Poss. Marijuana All others
Anglo	10		
Chicano	0		
Native American	0		
Other	1		
No Information	0		
Total	15		
TYPE OF OFFENSE	FREQUENCY	PERCENT	
Most Serious Charge at time of Diversion			100 - 199 Poss. D.D. All others
Against persons	4		
Against property	6		
Dang. drugs & narc.	3		
Marijuana	1		
Sex	0		
Alcohol	0		
Against public order	0		
Mixed or misc.	1		
No Information	0		
No Offense	0		
Total	15		

<sup>2</sup> No percentages are computed because of small sample.

	FREQUENCY	PERCENT
Subtotal	6	
200 - 299		
Poss. Narcotics	1	
All others	1	
Subtotal	2	
300 - 399	1	
400 - 499		
Burglary	0	
All others	0	
Subtotal	0	
500 - 599	0	
600 - 699	0	
700 - 799	1	
800 - 899	2	
900 - 999	0	
Total	15	

<sup>1</sup> The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

these households included children. Five of the women had been living alone or with a woman friend, two women had been living with their children, two had been living with their parents and one had been resident in a Halfway House. Five of the women were legally married at the time of arrest, five were divorced and five were legally single. Twelve of the fifteen women had living children.

EMPLOYMENT, SOURCE OF INCOME, AND EDUCATION

At the time of their arrest, thirteen of these women were unemployed, one was working full-time and one was working part-time. Seven of the women's records indicate that they had never been employed, five had held their last job less than five months and the other three had held their last job six to ten months. Seven of these women had been receiving public assistance or disability compensation at the time of arrest, one was supported by a halfway house, two were self-supporting and two depended on a current or former husband for their primary support. Three women reported criminal activity as their only major source of income prior to arrest. Seven women had completed high school and one had completed one year of schooling beyond high school. There was no information on one woman, but the rest (six) had completed some high school.

DRUG AND ALCOHOL INVOLVEMENT

Ten of these women reported no use of opiates, four women reported legal problems associated with use and one client's current case involved heroin. Twelve women reported no use of any other drugs, while three women reported use and legal problems with the use of other drugs. Twelve women reported either no use of alcohol or no problems connected with use of alcohol, while two women reported legal difficulties with use and one woman's current case involved alcohol. This information on involvement with drugs may partially reflect the fact that the project staff do not feel this is a suitable placement for women addicted to heroin.

BAY AREA QUEST PROJECT

THE SAMPLE

The study group consists of the nine women first admitted to Quest from December 1974 through June 1975. These are the first clients admitted to this residential program. The program moved twice during this time to obtain a permanent site suitable for their clientele and the desired level of client intake had not been achieved by the end of this study period. The data on these subjects, then, reflects only some of the possibilities of this program if it were fully operational.

OFFENSE SEVERITY AND CRIMINAL HISTORY

The women in this program have all been convicted of a criminal offense and are placed in the house as a condition of probation as an alternative to incarceration. Therefore, unlike the pre-trial diversion projects, the charges at the time of admission to the program represent some reduction from the original charges for most cases. The women in this project have been convicted of crimes, varying in severity from 31 (petty theft) and 41 (driving under the influence of alcohol), through 829 (bank robbery). Four cases of the nine were for grand theft. Five of the women had no record of previous adult convictions, while the other four had from one to seven previous adult convictions. Only two women reported no previous arrest and one woman reported eight previous adult arrests. None of the women had been in prison before the current case, but four of them had completed at least one previous adult probation sentence and four others had served jail sentences.

MARITAL STATUS AND LIVING ARRANGEMENT

Four of the women in this program were legally married at the time of arrest, one was divorced and four were legally single. Five

TABLE  
XVIII  
INTAKE DATA

Bay Area Quest Project - San Francisco  
December 1974 through June 30, 1975

Total First Admissions <u>9</u>		Sample Size <u>9</u>	
<u>YRS OF AGE</u>	<u>FREQUENCY</u>	<u>PERCENT</u> <sup>2</sup>	<u>SEVERITY OF OFFENSE</u> <sup>1</sup>
18-20	2		Most Serious Charge at time of Diversion
21-25	4		
26-30	2		
31-35	0		
36-40	0		
41-45	1		No Offense
46-50	0		
51-55	0		No Information
56 and over	0		
No Information	0		
Total	9		
<hr/>			
<u>SEX</u>	<u>FREQUENCY</u>	<u>PERCENT</u>	
Male	0		100 - 199 Poss. D.D. All others
Female	9		
No Information	0		
Total	9		
<hr/>			
<u>ETHNIC STATUS</u>	<u>FREQUENCY</u>	<u>PERCENT</u>	
Black	3		200 - 299 Poss. Narcotics All others
Anglo	4		
Chicano	1		
Native American	0		
Other	1		
No Information	0		
Total	9		
<hr/>			
<u>TYPE OF OFFENSE</u>	<u>FREQUENCY</u>	<u>PERCENT</u>	
Most Serious Charge at time of Diversion	2		300 - 399
Against persons	6		
Against property	0		400 - 499 Burglary All others
Dang. drugs & narc.	0		
Marijuana	0		
Sex	0		
Alcohol	1		500 - 599
Against public order	0		
Mixed or misc.	0		600 - 699
No Information	0		
No Offense	0		700 - 799
Total	9		

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

<sup>2</sup>No percentages are computed because of small sample.

of the women had living children. Five women indicated they were living with their parents at the time of arrest, (one of these was a live-in domestic, who spent weekends at home), one was living with her children, one was living alone, and there was no information on two women.

EMPLOYMENT, SOURCE OF INCOME AND EDUCATION

Six of the women in this project were unemployed at the time of arrest, one was employed part-time and for two women this information was missing. Three of the women indicated their "usual occupation" as "none," one as unskilled, one as domestic, two as sales clerks and two as secretaries. Prior to arrest three of the women had depended on their own employment as their primary source of income, five had received public assistance of some kind and one listed her major source of income as criminal activity. Five of the women had some high school education but had not graduated and four of the women are high school graduates. This coincides with the objectives of this program to select women in need of job training and support their efforts to improve their skills.

DRUG AND ALCOHOL INVOLVEMENT

Six of the women reported no use of opiates, two reported use without legal difficulties and one woman had had legal problems with use of opiates. There was no information about use of other drugs by one woman, four women reported no use of other illegal drugs, two reported use of other illegal drugs without legal problems, one woman reported previous legal problems with use of other drugs and one woman's current case involved possession of methamphetamine. With regard to use of alcohol, information was missing for one woman, five women reported no use or no problems with use, one woman had encountered legal difficulties with use of alcohol, one woman indicated physical and psychological dependence on alcohol and one woman's current case was driving under the influence of alcohol. The project staff have not felt that heroin addicts are suitable clients in this kind of open door residence program and the drug use history reflect this position.

WOMEN'S DETOXIFICATION SERVICES PROJECT

SAN DIEGO

SAMPLE

The sample of clients from this project consists of every client, 60 in all, admitted between January 1 and June 30, 1975.

OFFENSE CHARGED

The participation of 58 of the sample of 60 clients in this project was not associated with the filing of new criminal charges against them. Only two of the clients had charges pending against them. One of these clients was charged with prostitution and the other with petty theft. At the time of admission to the project, nine of the clients (15 percent) were on parole either as felons or as civilly committed narcotic addicts, and eleven (18 percent) were on probation. Presumably, the referral of these clients to the project was made by their parole agents or probation officers; also, presumably, the referral was viewed by both the client and the parole or probation functionary as an alternative to revocation in response to drug use.

AGE

The clients admitted to this project are relatively young when compared to all the projects' samples. Almost two-thirds of them, 38 (63 percent) were 25 years of age or younger. Five of them were under 21. Only three clients were over 35 with none over 45.

SEX, ETHNICITY, AND MARITAL STATUS

Although the project serves both men and women, it initially served only men. The OCJP funding served to expand its services to the female clientele, and therefore all the clients in this sample were women. The project's facility is located in a predominantly Chicano area in the city of San Diego. However, only 12 percent of the clients in the sample were Chicanos, with 63 percent Anglos

and 18 percent Blacks. Of the 55 cases who reported marital status, 25 (45 percent) were single-never married, 15 (27 percent) married, and 14 (25 percent) separated or divorced.

EMPLOYMENT

The vast majority (51 or 88 percent) of the clients for whom employment information was available were unemployed at the time of admission to the program. Two clients were employed full-time and another five were employed part-time. For two cases no information on employment was available.

EDUCATIONAL LEVEL

Clients who had completed 11 years of education or less comprised 33 percent of the sample. Twelve years of education was completed by 29 cases (48 percent). Ten cases (17 percent) completed some education beyond the twelfth grade.

DRUG INVOLVEMENT

Since the San Diego project is primarily a heroin detoxification service, there was an indication in the records of all but one of the 60 clients in the sample of opiate use. Information on length of drug use was available for 56 of the clients. The use of drugs for four years or more was reported by 23 of them (41 percent). Nine of the clients (16 percent) had drug use histories of one year or less. The remaining 24 clients (43 percent) had used drugs for from one to four years.

PREVIOUS ADMISSIONS TO PROJECT

The information accumulated in the records of this project concerning the experiences of its clientele in drug treatment projects other than itself was very incomplete. However, the project had been operating long enough for some of the clients

TABLE  
XIX  
INTAKE DATA

Women's Detoxification Services - San Diego  
January 1, 1975 through June 30, 1975

Total First Admissions		Sample Size	
60		60	
<u>YRS OF AGE</u>	<u>FREQUENCY</u>	<u>PERCENT</u>	<u>SEVERITY OF OFFENSE<sup>1</sup></u>
18-20	5	8	Most Serious Charge at time of Diversion
21-25	33	55	
26-30	16	27	
31-35	3	5	
36-40	2	3	
41-45	1	2	
46-50	0	0	
51-55	0	0	
56 and over	0	0	
No Information	0	0	
Total	60	100	
<u>SEX</u>	<u>FREQUENCY</u>	<u>PERCENT</u>	
Male	0	0	100 - 199 Poss. D.D. All others
Female	60	100	
No Information			
Total	60	100	
<u>ETHNIC STATUS</u>	<u>FREQUENCY</u>	<u>PERCENT</u>	
Black	11	18	200 - 299 Poss. Narcotics All others
Anglo	38	63	
Chicano	7	12	
Native American	0	0	
Other	2	3	
No Information	2	3	
Total	60	100	
<u>TYPE OF OFFENSE</u>	<u>FREQUENCY</u>	<u>PERCENT</u>	
Most Serious Charge at time of Diversion			300 - 399 400 - 499 Burglary All others
Against persons	0	0	
Against property	1	2	
Dang. drugs & narc.	0	0	
Marijuana	0	0	
Sex	1	2	
Alcohol	0	0	
Against public order	0	0	
Mixed or misc.	0	0	
No Information	0	0	
No Offense	58	97	
Total	60	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

in the sample to have had previous admissions to it. Nineteen of the 60 clients (32 percent) had a prior admission. Fourteen (23 percent) of the clients had one previous admission, three (five percent) had two previous admissions, and two (three percent) had three previous admissions.

ALCOHOL RECEPTION, DETOXIFICATION,  
AND REFERRAL CENTER

MARYSVILLE

SAMPLE

The sample of cases from this project consists of the first one hundred cases admitted to it. The period of time that those cases were admitted was from November 1, 1974, through January 31, 1975.

AGE

Only eight of the 100 cases (eight percent) in the Marysville Project sample were 30 years of age or under. The same percentage was in this age group in the sample of admissions to the Long Beach Detoxification Project. The median age of the Marysville clients was 52.1 years compared to the median of 47.9 of the Long Beach Project.

SEX AND ETHNICITY

In the Marysville Project sample, 89 percent of the cases were males and 11 percent females. The same percentage of males was in the admissions to the Long Beach Detoxification Project. Seventy-six percent of the Marysville sample were caucasians, ten percent Chicanos, nine percent Blacks, and two percent Native Americans.

MARITAL STATUS AND LIVING ARRANGEMENTS

More of the clients in the Marysville project sample were divorced (41 percent) than were in any other category of marital status. Twenty-one percent were single-never married, and 12 percent were in each of the categories separated and married. Thirteen percent of the clients were widowed. In the Long Beach sample, the percentage of clients divorced (27 percent) was substantially lower and the percentage single-never married (32 percent) substantially higher.



PRIOR ARRESTS FOR DRUNKENNESS

The Marysville project collected information by means of self reports on the number of times each client had been arrested for public drunkenness or drunken driving in the year prior to admission. Half of the clients (50) reported no arrest in the previous year. Of the other half, 17 of the cases reported one arrest and 19 either two or three arrests. Eleven clients reported anywhere from four to ten arrests, and three reported 16 or more. The client with the most arrests in the previous year reported a total of 50 arrests.

LONG BEACH ALCOHOLISM DIVERSION PROJECT

SAMPLE

The sample of cases for this project on which data were collected consists of 178 new admissions to the project from January 1 through March 31, 1975.

OFFENSE CHARGED

Police referrals accounted for 61 percent of the admissions in the sample; 36 percent were walk-ins. since the project is pre-arrest in nature, none of the clients admitted were charged with a criminal offense.

AGE

As would be expected, the clientele of the Long Beach Project tends to be substantially older than that of the pre-trial diversion projects. The median age of the 172 clients in the sample for whom information was available was 47.9. The median age of the sample of clients admitted to the detoxification center in Yuba County was 52.1. In contrast to these median ages are those, for example, of the samples from the Ventura Adult Diversion and the San Diego Adult Diversion Projects which were 26.6 and 26.5 years, respectively. Only four percent of the clients of the Long Beach Project and only three percent of these of the Yuba Project were 25 years or less in age.

TABLE  
XXI  
INTAKE DATA

Long Beach Alcoholism Diversion Project  
January 1, 1975 through March 31, 1975

Total First Admissions 178		Sample Size 178	
YRS OF AGE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
18-20	1	1	Most Serious Charge at time of Diversion
21-25	5	3	
26-30	8	5	
31-35	17	10	
36-40	15	8	
41-45	23	13	
46-50	36	20	
51-55	29	16	
56 and over	38	21	
No Information	6	3	
Total	178	100	
SEX	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Male	158	89	No Offense No Information
Female	18	10	
No Information	2	1	
Total	178	100	
ETHNIC STATUS	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Black	1	1	1 - 99 Petty Theft Assault or battery Paraph., being in place Poss. Marijuana All others
Anglo	158	89	
Chicano	17	10	
Native American	0	0	
Other	0	0	
No Information	2	1	
Total	178	100	
TYPE OF OFFENSE	FREQUENCY	PERCENT	SEVERITY OF OFFENSE <sup>1</sup>
Most Serious Charge at time of Diversion			100 - 199 Poss. D.D. All others
Against persons	0	0	
Against property	0	0	
Dang. drugs & narc.	0	0	
Marijuana	0	0	
Sex	0	0	
Alcohol	0	0	
Against public order	0	0	
Mixed or misc.	0	0	
No Information	0	0	
No Offense	178	100	
Total	178	100	

<sup>1</sup>The California Offense Severity Index is based on bail schedules. Standard schedules from the counties of Alameda, San Diego, and Sacramento were used, since most of the programs and their clients are located in these counties. The average weighted bail in dollars was calculated for each offense, using weights which equalized the relative contribution of the three schedules. The last digit in each average was then omitted, and a few scores over 1000 (\$10,000) set at 999 (\$9,990) to create the overall index.

SEX AND ETHNICITY

Of the sample 89 percent were males and ten percent females. These are essentially the same percentages of males and females as in the sample selected from admissions to the Alcohol Reception, Detoxification, and Referral Center Project in Marysville. The latter is the other alcohol detoxification project included in the panel of projects being evaluated by CECEP. Eighty-nine percent of the sample of admissions to the Long Beach Project were Anglo, ten percent were Chicano, and only one percent (one case out of the 176 on which information was available) were Black. The low percentage of Blacks is somewhat interesting. In the 1970 census, approximately five percent of the population of the city of Long Beach were found to be Black. The expectation of the authors of this report is that Blacks would be overrepresented among the public inebriate population and therefore "at risk" for admission to this population. If that expectation is justified, then the question is why were Blacks missing from the sample of the clientele of this project to such a degree?

Any number of possible explanations suggest themselves. The police may tend not to pick up Black inebriates, or if they do, they may tend to arrest them and take them to the police station. Or the areas in which the Black inebriate is likely to congregate may be outside of the project's catchment area; it may be much more convenient for the police to make some other disposition because of the distance involved in traveling to the project. Or, one other interpretation, the Black client may be resistant to becoming a "walk-in" client of the detoxification project.

MARITAL STATUS AND LIVING ARRANGEMENTS

Of the cases in the Long Beach sample for whom information was available 35 percent were single and never married, 16 percent

married, 41 percent separated or divorced, and eight percent widowed. Paralleling the large proportion of the sample reported as single, separated or divorced and widowed was the fact that 66 percent of the 178 cases were living alone at the time of admission.

#### EMPLOYMENT AND OCCUPATIONAL STATUS

Of the 150 clients in the Long Beach sample on whom data were available, 121 or 81 percent were unemployed. Only eight percent of the cases were employed full-time. Another five percent were unemployed due to disability. The sample taken from the clientele of the detoxification project in Yuba County included 78 percent unemployed and another three percent unemployed as a result of a disability. Twelve percent of the latter project's clients were employed full-time and three percent part-time.

Information on type of occupation at time of admission was available on 117 of the Long Beach sample. Of these clients 32 percent were laborers, and 32 percent were tradesmen or skilled factory workers. Another 16 percent reported sales and managerial activities as their occupation. In contrast, more than half (51 percent) of the sample of 88 clients of the Yuba Project, upon which information was available reported laborer as their occupation, and another 28 percent were unskilled workers. The difference in the occupational distribution reflects the urban setting of the Long Beach Project as opposed to the rural one of the Yuba Project. The existence of agriculture as a major employer in the Marysville-Yuba City area means that there are a large number of agricultural laborers potentially available for detoxification services.

#### EDUCATIONAL LEVEL

Information was available on the educational level of 129 of the 178 clients in the Long Beach sample. Of these, more than two-thirds (68 percent) reported completing 12 years or less of formal education and the remaining 32 percent more than 12 years. In the sample from the Yuba Project only 13 percent indicated more than 12 years of schooling.

AN OVERVIEW OF PRE-TRIAL DIVERSION PROJECTS

I PURPOSE OF THE OVERVIEW

This overview is envisioned as the first step in a program level evaluation of adult diversion projects. As such, its perspective is limited in two respects. First of all, it is limited only to pre-trial diversion projects, one of three categories of projects that we have included in what we have conceptualized as the "adult diversion program" in California. The second limitation is one of content even with respect to the pre-trial diversion projects. We are concerned in this section of the report only with some of the questions that might be raised about pre-trial diversion projects in an evaluation. Other topics pertaining to these projects, including such major ones as cost effectiveness, will be left for the next report. Also left for that report will be any attempt at an integrated evaluation of the three categories of adult diversion projects. The matters relating to pre-trial diversion projects that will be discussed in this section are the following:

- A. The extent of penetration into the criminal justice system associated with the procedures employed in the projects.
- B. The kinds of records that are established on an individual's participation in the projects.
- C. The implications of the distribution of offenses with which the clients of pre-trial diversion projects are charged.

II EXTENT OF PENETRATION INTO THE CRIMINAL JUSTICE SYSTEM

For the purpose of this evaluation project, a diversion project was defined as one that minimized the penetration of its participants into the criminal justice system. The basic premise of the pre-trial diversion project is that the individual charged with a criminal offense will be removed or diverted from regular criminal justice processing prior to its completion. This "early" removal is usually

justified on the basis of two factors. One is that savings are realized in the costs of adjudicating cases, and the other is that the defendant himself by being diverted avoids the stigma that would result from his being convicted and sentenced. Presumably these justifications and the benefits that they promise would lead to some uniformity of procedures followed among pre-trial diversion projects. However, the information gathered by the staff of CBCEP suggests that this is not the case. There are, in fact, striking differences in the extent of penetration into the criminal justice system that occur in the pre-trial diversion projects included in its survey, and these differences are of consequence in determining whether it is possible for a project to attain either of the objectives implicit in the two basic justifications. To illustrate the differences in the extent of penetration into the criminal justice system, two pre-trial diversion projects will be discussed.

The procedure utilized in the first of these, the Ventura Adult Diversion Project, represents the outcome of a conscious effort to remove its clientele from as many of the usual points of contact with the criminal justice system as possible. The other project, Project Intercept in Sonoma County (Santa Rosa), represents the opposite, as its clients are moved through more points in the regular criminal justice procedure than is the case with any other pre-trial diversion project surveyed in this evaluation. Most of the clients coming into the Ventura Adult Diversion Project have been cited for the offense which leads to their involvement with the project. The citations, of course, indicate a date by which the person cited must appear at the local police station to be booked. However, immediately after being issued, the citations are sent to the complaint review section of the District Attorney's office. At this point a determination is made about whether a complaint should be issued and whether a defendant appears to be eligible to participate in the diversion project. If he appears to be chargeable and to be eligible, he will be referred to

the project. Its staff will interview the defendant to determine if he is appropriate and if he wants to be diverted to the project. During this process, he will also have the advice of counsel. If the defendant and the project staff agree that the project is appropriate for him, he will be admitted and no booking will occur. The client becomes involved in the project without an appearance in court. There are still a few cases of people who eventually are diverted into the project who are not issued a citation when arrested. These people are brought to the police station and booked subsequent to their arrest by the police officer. With the exception of the booking procedure, however, these cases are handled exactly as the others.

The procedure employed in Ventura is greatly different from that involved in assigning cases to Project Intercept in Sonoma (Santa Rosa). The procedure in Sonoma County takes the clients through the usual booking procedure and no less than three appearances in court before he is diverted to Project Intercept. The first appearance is for arraignment and appointment of counsel if the person does not already have and cannot afford to hire his own. If the client appears to be eligible for and is desirous of participating in Project Intercept, his counsel will recommend it at the second hearing before the court; or the initiative may come from the Judge, Project Intercept Counselor, or Deputy District Attorney. In any event, if placement in the project appears appropriate to the Judge, the defendant's case will be postponed for purposes of allowing the project to screen him. If all goes well between the defendant and the project, he makes a third appearance before the court. At that time he will be granted a continuance of 90 - 180 days with the understanding that he will be participating in Project Intercept during that time.

To summarize, the difference in procedures in the two projects is arrest and booking by the police department in Sonoma County and three court appearances prior to the assignment to the diversion project as opposed to a short-circuiting of the booking process in

Ventura County with most of its cases and the absence of any court appearances at all prior to the assignment to the project. Among other things, the involved procedure in Sonoma County makes the showing of any savings in court costs impossible. Indeed, more court appearances would be involved, on the average, than if the cases which are to be diverted were prosecuted normally. Since pre-trial diversion projects have been justified, in part, on the basis of their potential for reducing court costs, this places that project in an awkward position.

On the other hand, the Ventura project is in a very good position, from the standpoint of costs, since it can point to savings arising from a procedure which involves a minimum of penetration into the criminal justice system. This procedure does not entail a loss to the client of any of his rights even though he does not appear in court prior to intake. Indeed, as will be discussed below, the Ventura project shows an unusual sensitivity to those rights. However, very importantly, the Ventura project, by virtue of the limited degree of penetration of its clients into the system, develops savings in probation, court prosecution and defense costs which offset, at least in part, the costs of the direct services it provides to its clientele.

### III APPROACHES TO THE KEEPING OF RECORDS IN PRE-TRIAL DIVERSION PROJECTS

One of the frequently cited benefits of diversion to the person who is charged with a crime is that as a result of his participation in the voluntary probation alternative he does not end up with a record of a conviction. This is of considerable advantage to the divertee for a number of reasons. Just one of them is the fact that in the State of California an employer may no longer legally ask an applicant for a job whether or not he has ever been arrested. He may only ask if the individual has been convicted of an offense (with exceptions depending upon whether the record has been expunged or sealed). The successful client of a pre-trial diversion project is in the happy position of having no conviction for the offense that led to his getting into the project and no need, therefore, to respond positively to that question with a reference to that offense.

A number of critics of pre-trial diversion projects, however, have asserted that the diverted case accumulates far more in the way of records than the proponents of pre-trial diversion would lead one to believe. Mintz and Fagan (1975), for example, assert that some PC 1000 projects do not arrange for the expungement of the arrest record of the successful participant. Under the PC 1000 alternative, the record (in such places as the rap sheet) indicates "Dismissed, PC 1000" or "Dismissed, Diversion." The existence of this kind of notation in the record means that the full potential for destigmatization that should be possible through diversion is not realized. To the individual reading a record of dismissal achieved through participation in a diversion project the notion of an implicit guilt of the offense charged is conveyed. Otherwise, the question could be asked, why should the client have been involved in the project? Indeed, the likelihood of guilt is suggested to the reader of the record by his knowledge of the circumlocutions surrounding the issue of guilt, e.g. the acknowledgement of the client of "moral responsibility" for the offense charged as a condition for being diverted. There are two alternatives for dealing more adequately with the problem of records in the context of diversion. The first is to utilize the statutory mechanisms for expungement and sealing embodied in Sections 1203.4 and 1203.45 of the Penal Code.

The second alternative which is probably superior, is to establish as few records as possible outside the project itself. This approach is well represented in the procedures of the Ventura Adult Diversion Project. As previously indicated, the project maintains control over all records of its intake. As a result, no record of a particular arrest is established in the police departments, nor is the arrest communicated from the police department to the Bureau of Identification (CII). The project itself communicates with the Bureau to find out if there is a record of previous arrest, however, no new rap sheet is established if there is no such record. Ordinarily a rap sheet would be established for the case for whom there is no previous record with the notation of the arrest for the charge

leading to the diversionary process. If the client successfully completed the diversion program, the record of the arrest would still remain with "Dismissal, Diversion" (or something similar) indicated as the disposition. The basic principle underlying the Ventura project's record keeping policy is that diversion from the criminal justice system should mean that an absolute minimum number of indications of a defendant's involvement in the system should be left around to be available in the future for the inspection of other agencies, criminal justice or otherwise, involved with the client. The fewer the places in which records are maintained, of course, the less likely the information about the diversion will slip outside of the system through irregular channels. In practice, this principle has led the Ventura project to policies such as not transferring the records of a project case to the general files of the Probation Department, CSA, even though the project is within the administrative control of that organization. Therefore, if the case should come to the attention of probation at a later period, the record of his participation in the project, favorable or otherwise, would not be available to the investigating probation officer. In fact, the latter would know, given the safeguards employed, of the participation in diversion only if the client should volunteer the information.

The same determination to avoid the creation and communication of records is evidenced by the Ventura project at other points in the process as well. This determination is an expression of the notion that if you justify diversion as a mechanism for reducing the stigmatizing effects of contact with the criminal justice system, then you really shouldn't leave evidence of the contact scattered here and there that is readily available to other agencies in the field. The notation "Dismissal, Diversion" may not mean something a great deal different from a conviction to a probation officer investigating a case in connection with a subsequent conviction and he may so note it in his report. The same thing may be true of the judge who reviews the probation offi-

cer's report in the process of arriving at a decision about a sentence. Logically, if the avoidance of stigmatizing the diverted client is desirable, then easily accessible records of the fact of diversion should not exist. The question really is what is meant by diversion. If the record of a diversion is available to be held against the defendant in a later prosecution, can it really be said that he was diverted in the first instance? If the meaning of the term diversion is taken literally, a previous successful diversion should not be treated as a previous conviction and be available to probation officers and others to be regarded as a negative indication about the person. The fact is that the diverted case has not been fully adjudicated and no conviction exists. At the present time, one of the most feasible means of restricting access to records of diversion is to limit the number of places in which records pertaining to diverted cases are entered. The approach to the maintaining of records utilized by the Ventura Adult Diversion Project is one that will insure that the diverted client has in fact been diverted in the literal sense of the term. Therefore, the Ventura approach should be considered as a model for other pre-trial diversion projects to follow.

#### IV THE CLIENTELE OF PRE-TRIAL DIVERSION PROJECTS

A frequent criticism of pre-trial diversion projects across the country is that they deal almost solely with individuals who are charged with minor offenses, and in dealing with them, they extend services of a kind and cost that would ordinarily be provided to a clientele who had been not only charged but also convicted of much more serious charges. The distribution of offenses with which the defendants participating in the pre-trial diversion projects surveyed by the CBCEP are indicative of the same circumstances. The clients of these projects are charged primarily with minor offenses but not convicted of them, and they are receiving services which would ordinarily be extended to offenders convicted of more serious offenses who receive a disposition of probation.

In some pre-trial projects, in fact, the staff-client ratio is richer than that in the probation department in the same county. This would probably be justified by the administrators of the projects on

the basis of the fact that the period of assignment to their supervision is short, and therefore the clients are all receiving "entry level" services. These services are necessarily more intensive than those received by many or most of the cases on probation, since the sentence to probation is generally for a greater length of time. Consequently, the total probation caseload which is composed of both entering and relatively long term cases could be managed with a lower staff to client ratio than the diversion caseload, which does not have the "cushion" of longer term clients to the same degree. Nevertheless, the staff-client ratio in the diversion projects is more than a little interesting because of the nature of the offenses of their clientele.

The fact that the pre-trial diversion projects deal primarily with lightweight cases places them in a difficult position from the standpoint of demonstrating cost effectiveness. If no court appearance is involved in the process of the client's admission, as is the case with most pre-trial diversion projects, then this represents a saving in costs compared to those that would be incurred if the client were prosecuted. However, the savings resulting from not prosecuting the case must be balanced against the costs of maintaining him in the caseload of the diversion project. Inevitably, the cost of the supervision would be greater than the savings from the avoidance of prosecution, simply because the cost of prosecuting the minor offender is generally relatively small. The cost of supervision must also be related to the cost of the post-sentence services received by similar clients who have been prosecuted and convicted. Ordinarily the prosecuted counterparts of a very sizable proportion of the diverted clientele would be fined or placed on a short period of summary probation, the latter of which is an alternative of little cost and the former one of financial advantage.

An additional observation made widely about pre-trial diversion projects is that their clientele includes not only cases who would be prosecuted in the absence of the diversion alternative but clients who would not be prosecuted without that alternative. That is, the existence of the supposedly less stigmatizing penalty embodied in the diversion process promotes the use of that process for very

minor offenders who in the past would have had the charges either not filed against them or dismissed "in the interest of justice" or because of insufficient evidence.<sup>1</sup> At this point in the development of the CBCEP, the authors are in no position to say conclusively whether or not this is occurring in relation to any of the pre-trial diversion projects in this survey. However, it is probable that it is happening in some instances. This circumstance has implications for the criminal justice system that extend beyond the response to the defendant of the official agencies in that system. For example, does the existence of an alternative which is supposed to be less damaging to its clientele induce a business firm to report apparently non-criminally oriented people that its staff has apprehended in petty thievery on the assumption that they will be diverted rather than prosecuted. If this kind of thing is happening, then the issue of the cost effectiveness of pre-trial diversion projects becomes even more complex.

In later reports, the CBCEP staff will attempt to develop more specific information on the cost effectiveness of pre-trial diversion projects. It is difficult to escape the conclusion even at this early point in the evaluation, however, that pre-trial diversion projects represent a very expensive alternative as long as they are restricted to dealing with the clientele they are presently handling, with its over-representation of youthful first offenders charged with minor offenses. Two solutions to this problem suggest themselves. One is

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<sup>1</sup>In this kind of context, it would be impossible to say how frequently insufficient evidence actually exists and how frequently it is used as a rationalization for avoiding prosecution in the face of adequate evidence. If the evidence would have any substantial probability of being ruled as insufficient in the absence of the diversion alternative, there exists a significant question pertaining to civil rights in relation to diversion projects.

to retain the principle of diversion, continue to deal with the same kinds of minor offenders, but discard the element of quasi-probationary case supervision. The other is to expand the clientele to include a larger proportion of more serious offenders of the kind who would ordinarily receive a disposition of probation if they were prosecuted, convicted, and sentenced.

The adoption of the first policy would involve the creation of a diversionary equivalent of summary probation; that is, the defendants diverted would not be required to report to a case supervisor operating as a staff member of a diversion project. They would simply be carried on the books for a defined period of time and terminated upon the expiration of this period if they were arrest-free and had met other standards. The cost of the diversion process would be reduced by eliminating the case supervision, and the demonstration of cost effectiveness would, therefore, be made much easier even with a clientele primarily consisting of minor offenders. This suggestion will engender much resistance; and since it is not new, it undoubtedly already has. The use of a diversion alternative free of supervision for minor offenders would undoubtedly cause some people to feel that a group of miscreants would be getting off scotfree. There seems to be built into the concept of diversion, for the minor offender, the notion of an exchange of case supervision for prosecution and conviction. It appears that these offenders must in the minds of many people jump through some hoops; and if they don't get convicted, the feeling is that they should at least have to report to a case supervisor. It would seem worthwhile to attempt to change this way of thinking.

The adoption of the second policy, the assignment to diversion programs of a greater number of "heavier" offenders is obviously dependent upon some kind of an evolutionary process. If one were to suggest that the voluntary probation alternative involved in diversion be utilized primarily for offenders, who if prosecuted and convicted, would be sentenced to formal probation, one would provoke some heated discussion.

Yet, ultimately, this would seem to be the way to make more satisfactory use of voluntary probation at least in the sense of cost effectiveness. More than a few of the administrators of pre-trial diversion projects indicate an uneasiness about the kinds of cases that predominate in their programs and a desire to handle greater numbers of cases charged with more severe offenses. However, they express the position that diversion projects are still in their exploratory and developmental stages, and under those conditions it should be expected that the clientele would be charged with less severe infractions.<sup>1</sup> With the passage of time, they expect that they will be dealing with a larger number of cases, charged with offenses of greater severity. Whether or not this trend emerges remains to be seen. There is, however, a precedent that can be cited in the case of formal probation itself. Over a period of years, there has been a general trend toward sentencing a greater proportion of those convicted of severe offenses to probation as well as those who have records of prior involvement in crime. Perhaps this will eventually happen with pre-trial diversion projects as well. However, this will take some time, and in the meantime, some effort should be made toward eliminating the requirement of case supervision for many of the kinds of clients who are presently processed in diversion projects.

#### CONCLUDING OBSERVATIONS

It appears to the authors of this report that there are a number of serious problems in the pre-trial diversion program in California. These problems are of such magnitude as to suggest that the projects constituting the program cannot expect to reach their basic objectives -

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<sup>1</sup>It should be noted that the Ventura Adult Diversion Project has targeted a "heavier" caseload from the beginning. They have not limited admissions to first offenders; they have screened clients for the seriousness of presenting problems as well as severity of offense and accepted only those in need of treatment; and they have accepted battery and sex offenses of a type rarely encountered in pre-trial diversion projects.

those concerned with cost effectiveness and those concerned with benefiting the client by removing the stigma of criminal justice processing from him.

With respect to cost effectiveness, the conclusion must be that the projects appear to add new costs to criminal justice processing rather than to reduce old or pre-existing costs. They do this by extending high cost services to a clientele basically composed of very minor offenders who would have previously received little or nothing in the way of services. The cost of this extension of services does not appear to be offset by savings resulting from the reduction in court costs achieved through diverting clients.

The efforts of the projects at destigmatizing the clients are limited by the lack of restrictions on the number of places that records are maintained. One of the basic objectives of pre-trial diversion is relieving the client from the labeling resulting from conviction. A system of record-keeping and communication that maintains and transmits a record of an arrest and a disposition of "dismissal, diversion" in a document as accessible as a rap sheet doesn't meet the objective of avoiding the labeling of the client. The individual who has such a notation on his rap sheet will be seen by many people subsequently reviewing the rap sheet as guilty of an offense. This is inevitable, since the guilt of the client is implicit in the fact of his diversion, even though he has not been convicted of an offense. Therefore, it is important to utilize a procedure for accumulating and transmitting records of diverted clients which at the least prevents the notation of the diverted case on a document of the accessibility of a rap sheet.

It is apparent, therefore, that some thinking needs to be done about what the purpose of a diversion project should be. Hopefully, this would lead to the expansion of the clientele to include more serious offenders, the development of alternative models of diversion for different kinds of clients, and the establishment of record systems which would minimize the number of places where the fact of participation in a diversion project would be noted.

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APPENDICES

APPENDIX A

A REVIEW OF THE  
"EVALUATION REPORT OF THE NARCOTICS  
EDUCATION LEAGUE'S RESIDENTIAL TREATMENT  
PROGRAM FOR CHICANO HEROIN ADDICTS"

George Sing

This review will focus upon the project impact discussed in the first section of the report entitled "Summary of Major Findings and Recommendations." (Langer, 1975, pp 4-5)

The extent to which one can conclude that the findings are a function of the treatment program's efforts will then be discussed from the perspective of research-evaluation requirements. The report states that "During the first year the project met all its practical, contractual objectives. These objectives are as follows:

1. "Maintain 40% of all clients referred by the courts and law enforcement agencies for at least 45-days.
2. "Twenty percent of those clients completing the 90-day program will be free from further criminal justice involvement for at least six months.
3. "Place at least 20% of the clients served into training or some form of employment."

The findings related to these objectives are then stated:

1. "The projects overall retention rate is 43.1 percent beyond 45-days. . . . Using the 45-day period. . . we find that NEL's client retention rate is nearly twice that of other local drug treatment programs.

2. ". . . addicts who graduated from the program had no further criminal justice involvement within six months after graduation.
3. ". . . NEL is highly cost effective . . . for every dollar invested in NEL the return to the community is a minimum of \$5.40.
4. "NEL's treatment cost per client day is \$18.36, one of the lower rates among drug treatment efforts.
5. ". . . NEL is also management efficient. For every administrative dollar NEL provides \$3.30 worth of direct client service; this compares with \$.06 worth of service for every TASC administrative dollar.
6. "A survey of Criminal Justice and Community Agency personnel revealed that over two-thirds of the respondents felt that NEL was doing a good or excellent job in treating Chicano Heroin Addicts.
7. ". . . the project placed nearly one out of every three clients into an employment, vocational rehabilitation or educational program."

The first three items above involve the issue of program effectiveness. Findings 4 and 5 are related to efficiency. In examining these findings and statements of the project's impact several issues have impressed this reviewer as of particular importance in relationship to program evaluation efforts in general as well as the NEL attempt in particular.

They are:

1. The general evaluation issue - what causes, determines or is related to what? This involves the relationship between research design and the conclusion or inferences which one can make.
2. Drug treatment evaluation criteria in relationship to drug use and abstention.

3. Cost benefit analysis and methodological evaluative concerns.
4. Management efficiency. Actually, this was the starting point for this critique. Subsequently the decision was made to expand the review which generated the other issues discussed here.
5. Comparison of programs.

These issues all overlap and are intertwined to some extent. The first item, the general evaluative issue of what-caused-what is a key theme in dealing with each of the other issues.

#### THE GENERAL EVALUATION ISSUE

In the methodology section of the report (Langer, op. cit.; p. 126) the statement is made that: "First and foremost, the study provides individuals concerned with policy and funding decisions an understanding of how effectively and efficiently the project is performing."

It is the contention of this reviewer that the evaluation methodology employed in the study simply does not allow any kind of unambiguous assessment of the project's effectiveness. Furthermore, this reviewer finds the efficiency issue of questionable significance and/or meaning given that the effectiveness issue has not been resolved.

The above assertion concerning the ambiguity of the findings regarding program effectiveness is related to the traditional research hue and cry; short of a rigorously implemented experimental design one is not able to make any conclusive statements about the effectiveness of treatment.

The individuals referred to by Langer, who are concerned with policy and funding decisions, do not seem to like to hear this research/methodological admonition. One of the reasons for the dislike appears to be a perspective which, defines the rigorous requirements of research as some sort of esoteric

in-group creation. Actually, there is nothing esoteric about the logic of experimental design; the logic is very common sense oriented. It simply tries to make sure that when we do something and observe that something else occurs that what occurred was in fact a result of what we did.

The continual accumulation of evidence demonstrating the ineffectiveness of a wide variety of social program/treatment efforts has resulted from the implementation of more and more rigorous research designs. Bennett (1973) discusses the "disappearance" of purported correctional treatment effects when the random assignment of subjects to experimental and control groups was utilized. A study listed in the bibliography of the NEL report but not referred to in the body of the report demonstrated the ineffectiveness of a halfway house for narcotic addicts when the random assignment of subjects was used. (Bercochea and Sing, 1971) The general theme here is that when one takes closer and closer looks one finds less and less.

DRUG TREATMENT EVALUATIVE CRITERIA IN  
RELATIONSHIP TO DRUG USE AND ABSTINENCE

The general methodological concerns expressed earlier focused upon the question of determining whether observed client outcome data could in fact be attributed to a particular treatment intervention effort. In the NEL findings, the retention, and recidivism rates are presented as indicators of how effective the project's treatment attempts were. The implicit assumption regarding the retention rates and the explicitly stated assumption with regard to the recidivism data is that if the drug addict is not in a treatment program he or she continuously uses heroin on a

day to day basis. (See "Project Impact" section, Langer, *op. cit.*; pp 83 - 124). No consideration is given to the possibility that the addict abstains for periods of time comparable to those attributed to program participation, e.g. "over 43 percent of the clients are still in treatment 45 days after they were admitted" and that "addicts who graduated from the program had no further criminal justice involvement within six months after graduation."

This reviewer found the assumption of continuous day-to-day heroin use highly questionable. In examining abstinence data in Bernacki (p. 112, 1973) rather lengthy periods of voluntary abstention are reported. In response to a question concerning the longest period of voluntary abstention the following results were obtained.

	Longest Period of Voluntary Abstention							
	Less than 1 month	1-3 mos.	4-6 mos.	7-12 mos.	13 mos. 2 yrs.	2 yrs. plus	No Answ.	Not Appl.
Number	89	186	89	109	71	52	279	373
Percent	7.1%	14.9%	7.1%	8.7%	5.7%	4.2%	22.4%	29.9%

The data indicate that 40.6 percent of the subjects reported periods of abstinence of one month or longer, 25.7 percent four months or longer, 18.6 percent seven months or longer, and nearly 10 percent reported a longest period of more than one year. It should be emphasized that these responses represent the longest period of voluntary abstention; that is, one could have abstained for some unknown number of shorter periods.

Data reflecting the number of voluntary abstentions are also presented.

	Number of Abstentions					
	None	One	Two	Three	Four Plus	NA*
Number	236	299	230	132	191	160
Percent	18.9%	24.0%	18.4%	10.6%	15.3%	12.8%

\*It is unclear from the report as to whether these represent No Answers or Not Applicables.

Coupling these two sets of data together indicates that all addicts do not continuously use heroin on a day-to-day basis. Some number of addicts on one or more occasions and for varying periods of time voluntarily abstain from heroin use.

The relevance of this for treatment evaluation efforts involves the general methodological inference-drawing problems discussed earlier in this section. Unless a rigorous experimental control group design has been used we are unable to conclude whether retention or recidivism rates are a function of a particular treatment effort.

COST BENEFIT ANALYSES AND  
METHODOLOGICAL/EVALUATIVE  
CONCERNS

In the earlier discussion of methodological/evaluative requirements the position was taken that rigorous experimental research is necessary in order to determine if what occurs is in fact a result of what we have done. More formally this deals with the attempt to assess the relationship between treatment and variations in some outcome or criterion variable.

The position which this reviewer finds himself taking is that the use of cost data in no way obviates the rigorous research methodology required to unambiguously assess the effects of treatment effort. If an evaluation does not employ a rigorous experimental design the relationship between treatment and outcome is just as questionable whether the criterion variable is expressed simply as a recidivism rate or as some kind of dollar cost figure.

The findings stated that ". . . NEL is highly cost effective . . . for every dollar invested in NEL the return to the community is a minimum of \$5.40." This figure is arrived at by the use of several formulas involving estimates of the costs of heroin addiction, the costs of processing the addict through the criminal justice system, program costs and recidivism data. The key ingredient in this cost estimate is the "old friend or foe" of drug program evaluators -- recidivism rates or more appropriately the other side of the coin, lengths of time that the addict is drug/crime free.

I emphasize this as the key ingredient because the central evaluation issue is the same whether or not more "sophisticated" cost data is used. The central evaluation issue is the one discussed earlier and is related to the methodological problems of determining whether the results observed may in fact be attributed to the treatment program. The actual observed results are recidivism data. Because of the lack of a rigorous experimental design one is not able to state whether the outcome data is a function of the treatment program (s). As noted above drug use and abstinence data indicates varying periods of voluntary abstinence in the careers of heroin addicts. However the major point to be made here is that the use of sophisticated cost formulae and indices does nothing to clarify the basic questionable relationship between the treatment effort and the basic outcome data.

In fact it this reviewer's growing impression that the use of cost data is somehow seen as making rigorous methodological and evaluation requirements of little or no concern.

#### MANAGEMENT EFFICIENCY

The "Evaluation Report of the Narcotics Education League's Residential Treatment, Program for Chicano Heroin Addicts" (NEL) was brought to this reviewer's attention because of content relevant to cost benefit analysis. Staff of CBCEP questioned the validity of the management efficiency comparison made in the report. Although I didn't understand the precise nature of the problems thought to be involved in the questionable comparison, it appeared to have something to do with the allocation of administrative/service costs in two programs which were being compared in terms of efficiency. The validity of the comparison is also related to the kinds of programs being compared: NEL which is essentially a residential treatment facility and Treatment Alternatives to Street Crime (TASC) which is essentially a referral service to residential treatment facilities.

The management efficiency comparison (Langer, op. cit., pp 109 - 112) begins by establishing a "Raw Administrative Cost Ratio" for NEL which is the ratio of "Administrative Services" to the "Total Project Cost." This ratio is taken as an index of the efficiency with which project management delivers services to clients. Because some NEL administrative staff also manage a drop-in center as well as the residential treatment program, an adjustment is made to the above cost ratio. This adjusted figure indicating a greater relative efficiency is then compared with the administrative

to service cost ratios of several other programs. The report states that in "comparing NEL with TASC we find that the former provides the same level of client service for half the money." (Langer, 1975; p. 111)

#### COMMENTS:

1. This reviewer finds the above comparison inappropriate in that the services delivered by the two programs are not comparable. The services of NEL are those of a residential treatment facility operating in the fashion of a therapeutic community. The services of TASC "include the interviewing of clients in the jails, conducting diversion and diagnostic assessments, placing eligible addicts in drug treatment programs, paying for their treatment, and providing follow-up during the treatment process." Essentially TASC is a way of getting clients into and paying for drug treatment programs. (Langer, op. cit. p. 90) (See Waldorf, et al., 1974 for an evaluation of TASC).
2. The raw and adjusted ratios computed for NEL became a warning signal for this reviewer. Why were adjusted rates not computed for the other projects utilized in the comparison? It just seems reasonable that the complexities of budgets, staffing, and project components, related to administration and services in these other projects would have warranted some kind of similar adjustment. It is this reviewer's impression that a consideration of such project budget complexities particularly with reference to TASC would highlight point number one above - the program services of TASC and NEL are simply not comparable.

3. This reviewer also finds the TASC cost data used in the NEL report objectionable. The data are taken from an appendix of the TASC evaluation. I take the authors' placement of this analysis in the appendix as significant. (Waldorf, et al., op. cit., pp 133 - 136) The TASC evaluators precede the cost estimates with many warnings to the reader: "it was impossible to compute any viable analysis of the costs and benefits of TASC." (Waldorf, et al., op. cit., p. 134) Further qualifications are dispersed throughout the cost computations and data interpretations: "the evaluation project decided that the best way of arriving at rough (emphasis added) costs was to use actual money disbursement . . . ." (Waldorf, et al., op. cit., p. 135)

The NEL report presents the TASC data as solid facts without any reference to the TASC evaluators' warnings and qualifications. The TASC report also states that "there are no cost ratios available for programs comparable (emphasis added) to TASC, so there is no means of determining how cost effective TASC is" (Waldorf, et al., op. cit., p 136). The emphasis is added to further reinforce the point made by this writer above: NEL and TASC should not be compared.

Note- this reviewer has not looked at all of the other programs used in the NEL comparison, but a reasonable belief would seem to be, that similar lacks of comparability would be found.

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Note- this reviewer has not looked at all of the other programs used in the NEL comparison, but a reasonable belief would seem to be, that similar lacks of comparability would be found.

4. In the management efficiency discussion above, the index computed in the NEL report was used as indication of how efficiently management delivered services to clients. The figures used were budget items. The essential question to this reviewer is to what extent budget figures represent what was actually done, either by administrators or service/program staff. Of related importance is the problematical relationship between what management does and the delivery of services. On the one hand there appear to be programs that "run themselves" with negligible if any administrative control, and on the other hand there are programs which show little evidence of functioning even though there may be a great deal of administrative time and effort involved. The general point is simply that budgets tell us little if anything about what is actually done.

#### COMPARISONS OF PROJECTS

A wide variety of people appear to be interested in the relative efficiency of treatment projects. It is this reviewer's impression that many people believe that projects can somehow be compared even though some number of them have not been subjected to a rigorous evaluative effort—believe that even though a program has not been rigorously evaluated its results can still be compared with other programs.

The voices of project administrators and treatment people seem to echo in this researcher's ears — "Even though we can't rigorously evaluate the project give us at least a rough idea of how well the project is doing compared to other projects." Yes a rough idea can be given, but this reviewer has strong reservations as whether any real meaning can be extracted from such comparisons.

Even in the situation where the projects compared have been rigorously evaluated, unless all subjects were from the same population, subject characteristics could still be the key ingredient in whatever project differences were observed. Relevant to the issue of controlling for subject characteristics it is interesting to note some data presented in the NEL report. In examining TASC - NEL retention rates for Chicano addicts, data for various subject characteristics are presented. The desirability of using subject characteristics as control variables is mentioned (p. 90). The percentage of clients found in NEL and TASC is presented for different "Age Groups", "Years Using Heroin", and "Prior Treatment" (Langer, *op. cit.*, p 91). However, retention rates are not presented for the comparative categories of these variables. The interesting point to note is that the NEL clients may well be considered to be better treatment candidates and thus have higher retention rates. The NEL subjects were younger - 65.5% were 25 or younger compared to 42.9% for TASC; and fewer had prior treatment exposure - 36.2% compared to 45.7% for TASC. The data which is presented for "Years Using Heroin" is incomplete i.e. it is presented for only 79.3% of NEL's clients and 94.3% of TASC's clients.

These data suggest the possibility that differences between retention rates for the two projects may to some extent be a function of client characteristics. However, the key point is that we simply don't know what the rates for these projects would be unless a rigorously employed research design is used.

The problems in comparing outcome data for various drug projects was noted in one of the earliest, comprehensive critiques of follow-up studies (O'Donnell, 1965). The non-comparability of definitions of recidivism, lengths of follow-up periods, subject characteristics, and program operations were identified as factors which made drug treatment project comparisons of dubious validity. In relation to problems of defining recidivism, this reviewer has had particular experience with the outcome data presented for one of the comparison programs reviewed in the NEL report. A 74 percent 6-12 month recidivism rate is indicated for the California Rehabilitation Center (p. 118). The source for this data is a report which is not cited in the bibliography. However, a report (Beckett and Sing, 1973) presents one year follow up data for each year's releases from 1966 through 1970. This report indicates recidivism figures of 68%, 78%, 74%, 69%, and 59% for male addicts released in 1966 through 1970. The changing rates were not attributed to any change in program effectiveness but were described as reflecting rather substantial changes in policies regarding decisions to return out-patients to the institutional phase of the program. The major point to be made here is that recidivism data reflect a large number of factors other than treatment effectiveness. Consequently the comparison of different program outcome rates is a highly questionable procedure.

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APPENDIX B-1

ADULT DIVERSION PROJECTS  
FIRST CONTACT INTERVIEW SHEET

NAME OF PROJECT \_\_\_\_\_ OCJP NO. \_\_\_\_\_

ADDRESS \_\_\_\_\_ PHONE \_\_\_\_\_

INTERVIEWER \_\_\_\_\_ DATE \_\_\_\_\_ REGION \_\_\_\_\_

PERSONS INTERVIEWED \_\_\_\_\_

SOURCES AND APPROXIMATE AMOUNTS OF FUNDING (Other Federal, State County, City, private agencies, etc.)

CLIENT REFERRAL SOURCES List all sources and get approximate percentage from each. (Police, D.A., Probation, Courts, Parole, private agencies, etc.)

NUMBER OF CLIENTS SERVED IN YEAR? \_\_\_\_\_

TYPES AND SOURCES OF DATA COLLECTED Get copies of documents and review some completed records.

SOURCES OF INFORMATION:

TYPES OF INFORMATION:

Police reports  
Probation reports  
Intake interview  
Referral documents  
Other sources

Education  
Family  
Arrest record  
Convictions  
Drug use  
Employment  
Prior treatment  
Other

QUALITY OF COMPLETED RECORDS: Good \_\_\_\_\_ Poor \_\_\_\_\_

PROGRAM PARTICIPATION Do they record assignment, attendance, outcome?

Counseling  
Educational, vocational programs  
Arrests

Referrals  
Employment record  
Drug use

FOLLOW-UP AFTER LEAVING PROGRAM Describe what is done and whether every client is followed up or only some.

Arrests Alcohol involvement Drug use

EVALUATION What is being done now and by whom? Has an evaluation been completed and by whom? Was it of use to you? Has a comparison or control group been used for evaluation? Who gathers evaluation data? What do you want from an evaluation? Obtain copies of evaluative reports if available.

APPENDIX B-2  
ADULT DIVERSION PROJECTS  
INTERVIEW OF PROJECTS SELECTED FOR EVALUATION  
ON-SITE MANAGER

Name of Project \_\_\_\_\_ OCJP No. \_\_\_\_\_

Address \_\_\_\_\_ Phone \_\_\_\_\_

Interviewer \_\_\_\_\_ Date \_\_\_\_\_ Region \_\_\_\_\_

Name and Title of On-Site Manager: \_\_\_\_\_

Other persons present during interview \_\_\_\_\_

Project History:

1972 / / / / / / / / / / / / / / / /  
Jan Feb Mar Apr May June July Aug Sept Oct Nov Dec

1973 / / / / / / / / / / / / / / / /  
Jan Feb Mar Apr May June July Aug Sept Oct Nov Dec

1974 / / / / / / / / / / / / / / / /  
Jan Feb Mar Apr May June July Aug Sept Oct Nov Dec

1975 / / / / / / / / / / / / / / / /  
Jan Feb Mar Apr May June July Aug Sept Oct Nov Dec

Indicate on the scale above:

1. Date OCJP funding approved.
2. Date funds were available to project.
3. Date first director was hired.
4. Date person being interviewed was hired for present position.
5. Date first client was accepted.
6. Date project was fully operational in terms of client caseload.
7. Dates of any substantive changes in funding, explain or operational policy, (indicate nature of these changes).
8. Date facility obtained. (residential only)
9. Date facility was fully operational. (residential only)
10. Date this funding year ends, including extensions of time if any.

Who was responsible for planning this project?

Interview of On-Site Manager (continued)

Who wrote the proposal? Their position and organization at the time?

What agencies or groups in the community participated in the development of this project? Was there resistance from any agencies or organized groups?

What has been the role of the regional planning staff in the development and implementation of the project?

List project objectives as listed in "Report to the Steering Committee" and make notes of objectives listed in the proposal. Ask the respondent to review these objectives and record any modifications mentioned.

Which of the following services are offered by your project?

	<u>Direct</u>	<u>By Referral</u>
DMV	_____	_____
Individual counselling	_____	_____
Family counselling	_____	_____
Group therapy	_____	_____
Job Training	_____	_____
Job Development	_____	_____
Employment counselling	_____	_____
Education services	_____	_____
Legal services	_____	_____
Emergency services	_____	_____
Food	_____	_____
Housing	_____	_____
Transportation	_____	_____
Methadone Maintenance	_____	_____
Medical services	_____	_____

What services would you like to provide that you are currently unable to provide? Why are you unable to provide these services?

What part do medical professionals play in providing services, general oversight and/or planning?

Interview of On-Site Manager (continued)

Do you conduct urinalysis tests? For what drugs? How often? Surprise testing?  
Are staff included in the testing program?

What agencies do you use most for referrals? Obtain name of contact person in each agency mentioned.

The Target Population:

Do any of the following affect eligibility for admission to your program?

	NO	YES	HOW?
1. Specific referring agency? (court, etc.)	_____	_____	_____
2. Residence	_____	_____	_____
3. Age	_____	_____	_____
4. Sex	_____	_____	_____
5. Income	_____	_____	_____
6. Legal status (type of offense? stage processing?)	_____	_____	_____

How do your clients hear about the program? Do you think all eligible clients know of the program? Do (or someone else)

Approximately what percentage of clients are referred to the project by:

- \_\_\_\_\_ % Self
- \_\_\_\_\_ % D.A.
- \_\_\_\_\_ % Police
- \_\_\_\_\_ % Probation
- \_\_\_\_\_ % Courts
- \_\_\_\_\_ % Parole
- \_\_\_\_\_ % Public Defender
- \_\_\_\_\_ % Other projects (specify) \_\_\_\_\_

For the agency with the highest number of referrals ask for name and address of person within that agency who coordinates or facilitates referrals to this project.

Interview of On-Site Manager (continued)

Are there any groups that you are not serving who you think would be suitable for this program? Specify?

Service Population:

What percentage of project clients are voluntary?

The approximate racial ethnic breakdown of the present clients is:

- \_\_\_\_\_ American Indians
- \_\_\_\_\_ Anglo
- \_\_\_\_\_ Black
- \_\_\_\_\_ Mexican American
- \_\_\_\_\_ Other Spanish Surname
- \_\_\_\_\_ Asian
- \_\_\_\_\_ Other (specify) \_\_\_\_\_

Age distribution of clients currently in treatment:

- \_\_\_\_\_ % Under 18
- \_\_\_\_\_ % 18 - 20
- \_\_\_\_\_ % 21 - 23
- \_\_\_\_\_ % 24 - 26
- \_\_\_\_\_ % 27 - 29
- \_\_\_\_\_ % 30 - 32
- \_\_\_\_\_ % 33 - 35
- \_\_\_\_\_ % 36 - 38
- \_\_\_\_\_ % 39 - 41
- \_\_\_\_\_ % 42 - 44
- \_\_\_\_\_ % 45 - over

The average age of clients is \_\_\_\_\_

What is your treatment capacity? \_\_\_\_\_

How many clients were served during December, 1974? \_\_\_\_\_ Was this usual? \_\_\_\_\_

Have any clients been rejected because of lack of space in the program? \_\_\_\_\_  
How many? \_\_\_\_\_

What percentage of your clients have a history of alcohol abuse? \_\_\_\_\_

What percentage of your clients have a history of drug abuse? \_\_\_\_\_

What percentage of your clients are on:

- \_\_\_\_\_ % Probation # \_\_\_\_\_
- \_\_\_\_\_ % Parole # \_\_\_\_\_

Interview of On-Site Manager (continued)

Outline the various steps from arrest or initial contact to acceptance of a client into the program. If several different routes are commonly used, outline each. Include estimates of time between stages.

Describe how this process worked prior to the implementation. What generally happened to this type of client?

Can you describe the progress of a representative client through the program? (intake, residence while in project, associations, mandatory participation? optional participation? direct services? referrals? how long does client stay? how does client support self? periodic progress review to courts? performance contacts?)

Under what conditions would a client leave your program? (Include program completions as well as dismissals for cause).

If a client leaves the program (either in good standing or not) is he permitted to return to the project? Under what conditions?

How long and where do you keep records of persons who are no longer in the project?

Interview of On-Site Manager (continued)

Administration of Project:

Age, sex and ethnic status of respondent.

What is your backbround?

Education, degrees, etc? Major field of study?

Other formal or informal training programs you have completed?

Related work history? (Criminal Justice, Medical, Social Work, etc.)

Do you have a history of drug or alcohol abuse or incarceration? Descirbe briefly.

Age, sex and ethnic distribution of current staff.

<u>Age</u>	<u>Ethnic</u>	<u>Sex</u>
------------	---------------	------------

How many of your staff are:

_____ %	Professional	# _____
_____ %	Paraprofessional	# _____
_____ %	Supportive	# _____

What special qualifications do you look for in the professional staff?

What special qualifications do you look for in the paraprofessional staff?

What kind of orientation and/or training do you provide subsequent to hiring a new person?

What is the salary range for professionals?

What is the salary range for paraprofessionals?

Interview of On-Site Manager (continued)

Are these satisfactory to you?

What is the ratio of client-contact staff to clients?

What are the minimum requirements for staff-client contacts?

Do you use volunteers? What do they do? How many hours (total) per week are contributed? (Advisory Board Members? Board of Directors? Publicity? Research or Evaluation?)

Who is responsible for public relations for the project? What kinds of outreach activities do you engage in with the general public? Have you had any media coverage?

Who is responsible for contacting "USERS" or potential "USERS"? What kinds of activities have you engaged with these people?

Has the project met with any public resistance or criticism? Did this get into the media?

Have you had any "incidents" which influenced the progress of the program? Please explain? (changed attitude of judges, public, etc.)

Do you do, or plan to do, any follow-up of clients after they leave the project? Please explain.

APPENDIX B-3  
INTAKE DATA ELEMENTS

STUDY GROUP  
SOURCE OF REFERRAL

HISTORY & INTAKE STATUS: All Programs

Name \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_  
Phone \_\_\_\_\_  
Sex \_\_\_\_\_  
Race \_\_\_\_\_  
DOB \_\_\_\_\_  
I.D. Number \_\_\_\_\_  
Project Number \_\_\_\_\_  
Social Security Number \_\_\_\_\_  
Drivers License Number \_\_\_\_\_  
Court Docket Number \_\_\_\_\_  
Probation Number \_\_\_\_\_  
Military Service Number \_\_\_\_\_  
CII Number \_\_\_\_\_

LEGAL STATUS AT TIME OF INTAKE: All Programs

Aliases: \_\_\_\_\_  
Date arrest \_\_\_\_\_  
(if not arrested give date of contact resulting in referral to program)  
Probation or Parole status at time they committed this offense \_\_\_\_\_  
Number of prior arrests \_\_\_\_\_

PERSONAL & SOCIAL HISTORY: All Programs

Residence: Number of months at last previous address \_\_\_\_\_  
Number of residence changes in last 12 month period \_\_\_\_\_  
(length of residence in state (Co.) area.)  
Alternate contact, name, address & relationship \_\_\_\_\_

Family: Marital status \_\_\_\_\_  
Spouses name \_\_\_\_\_  
Number of children \_\_\_\_\_  
Number of persons legally dependent upon \_\_\_\_\_  
client for financial support.  
Who supports dependent? \_\_\_\_\_  
Living arrangements \_\_\_\_\_

PERSONAL & SOCIAL HISTORY: All Programs

Employment & income:

Employment status \_\_\_\_\_  
Number of jobs during last 12-months \_\_\_\_\_  
Number of months on current job \_\_\_\_\_  
Number of months on previous job \_\_\_\_\_  
Number of months employed = last 12 months \_\_\_\_\_  
Usual occupation \_\_\_\_\_  
Total income last 12 months \_\_\_\_\_  
Primary income source \_\_\_\_\_  
Public Assistance (A-1) \_\_\_\_\_  
Longest job held during last 12-months \_\_\_\_\_

Education: Years of formal schooling \_\_\_\_\_  
Diplomas and degrees \_\_\_\_\_  
Vocational training completed \_\_\_\_\_  
willingness to further education \_\_\_\_\_

Drugs: Use of marijuana - difficulty \_\_\_\_\_  
Use of opiates \_\_\_\_\_  
Use of other dangerous drugs \_\_\_\_\_  
Use of alcohol - difficulty \_\_\_\_\_

Prior Record:  
Number of juvenile arrests? \_\_\_\_\_  
Any juvenile commitments? \_\_\_\_\_  
Age at first arrest \_\_\_\_\_  
Number of arrests for public drunkenness,  
or drunken driving \_\_\_\_\_  
Number of arrests for drug offenses \_\_\_\_\_  
Number of prior adult convictions \_\_\_\_\_  
Number of prior adult prison sentences \_\_\_\_\_  
Number of prior adult probation terms \_\_\_\_\_  
Most serious disposition \_\_\_\_\_  
Are drugs or alcohol connected with this case?  
(#15 - A-1) \_\_\_\_\_  
Any previous participation in a diversion  
program? \_\_\_\_\_

SPECIAL HISTORY: Only for use where indicated.

Legal Status:

For cases where charges are filed. \_\_\_\_\_  
Date of arrest \_\_\_\_\_  
Custody, or, Bail (pre-trial) \_\_\_\_\_  
Charge at disposition (conviction or  
diversion) \_\_\_\_\_  
Court and Judge \_\_\_\_\_  
Guilty by plea \_\_\_\_\_

Legal Status (continued):

Verdict \_\_\_\_\_  
Date of verdict \_\_\_\_\_  
Co-defendants \_\_\_\_\_  
Defendants attorney \_\_\_\_\_  
Action pending adjudication (2 #20) \_\_\_\_\_  
Amount of bail (2 #21) \_\_\_\_\_  
Date of pre-adjudication release (2 #22) \_\_\_\_\_  
Disposition (to diversion or not) \_\_\_\_\_

Legal Status at Entry into program? \_\_\_\_\_

If entry prior to court disposition (assignment to a Diversion Project is a  
disposition). \_\_\_\_\_

What was the disposition? \_\_\_\_\_

APPENDIX B-4  
ADULT DIVERSION PROJECTS  
INTERVIEW WITH AGENT REFERRING CLIENTS TO PROJECT

Name of Project \_\_\_\_\_ OCJP NO. \_\_\_\_\_

Person to be Interviewed \_\_\_\_\_ Phone NO. \_\_\_\_\_

Agency and Address \_\_\_\_\_  
\_\_\_\_\_

Interviewer: \_\_\_\_\_ Date \_\_\_\_\_

Describe the project as you see it?

When did you send your first client to this project?

Approximately how many clients have you sent to this project?

In the absence of this project what other alternatives would be available?

What does the jail have for this type of client?  
(drunk, addict, women, classification, youth, violence potential, or  
program, pre-sentence unit?)

What are the advantages of this project?

What are the disadvantages of this project? How could it be improved?

What clients are appropriate? Inappropriate?

What are the attitudes of other Judges toward this project?

What are the attitudes of the Police toward this program?

What are the attitudes of the District Attorney's office toward this program?

What is your relationship to the operating program, nature and frequency of  
contact? Did you play a part in the development of this project?

How long have you held your present position?

Did you have experience with criminal cases prior to that?

APPENDIX B-5  
ADULT DIVERSION PROJECTS  
INTERVIEW WITH AGENCY RECEIVING REFERRALS FROM PROJECT

Name of Project \_\_\_\_\_ OCJP NO. \_\_\_\_\_

Person to be Interviewed \_\_\_\_\_ Phone No. \_\_\_\_\_

Agency and Address \_\_\_\_\_  
\_\_\_\_\_

Interviewer: \_\_\_\_\_ Date \_\_\_\_\_

Describe the clientele referring program as they see it.

Services they render - Impression of those services, adequacy.

When did you receive your first client from this project?

How many clients did you receive from this project?

Appropriateness of clientele.

What can you do for them? Variety of program own track records (placement,  
other indices of success).

What is your source of funding?

How much does it cost per client?

What is your opinion of this project?

OCJP # \_\_\_\_\_ PROJECT # \_\_\_\_\_

Name of Project \_\_\_\_\_

Type of Project \_\_\_\_\_ Pre-trial Diversion  
\_\_\_\_\_ Residential Alternative  
\_\_\_\_\_ Alcohol or Heroin Detoxification

Stage of development. \_\_\_\_\_ Stage I \_\_\_\_\_ Stage II \_\_\_\_\_ Stage III

Period of time selected for first study. From \_\_\_\_\_ to \_\_\_\_\_

Approximate intake during this period \_\_\_\_\_

Number of completions during the period \_\_\_\_\_

Objectives to be included in first study.

EVALUATION OF CONDUCTIVITY  
BASED CORRECTIONS PROGRAMS

OUR I.D. NUMBER

\_\_\_\_\_  
\_\_\_\_\_

PROJECT'S ASSIGNED CASE NUMBER

DIVERSION CLIENT INTAKE DATA

1. CASPI NUMBER \_\_\_\_\_

2. DRIVER'S LICENSE NUMBER \_\_\_\_\_

3. PROBATION NUMBER \_\_\_\_\_

4. CII NUMBER \_\_\_\_\_

5. DATE OF BIRTH \_\_\_\_\_ MO \_\_\_\_\_ DA \_\_\_\_\_ YR \_\_\_\_\_ YR \_\_\_\_\_ MO \_\_\_\_\_ DA \_\_\_\_\_

6. SEX  
1 Male  
2 Female

7. RACE  
0 No information  
1 Black  
2 Caucasian  
3 Chicano-Mex. Amer. Spanish Surname  
4 Native American  
5 Other

8. DATE OF ARREST OR INITIAL CONTACT \_\_\_\_\_ MO \_\_\_\_\_ DA \_\_\_\_\_ YR \_\_\_\_\_ MO \_\_\_\_\_ DA \_\_\_\_\_

9. WAS CLIENT ARRESTED?  
0 No information  
1 No  
2 Yes

10. STATUS PRIOR TO ARREST OR CONTACT  
1 Probation  
2 Parole  
3 No legal hold

11. COUNSEL  
0 No information  
1 Private  
2 Public Defender  
3 No Counsel Involved  
4 Not legal case

12. WAS SPOUSE ARRESTED IN CASE  
1 Yes  
2 No  
3 No spouse

13. DISPOSITION OF SPOUSE'S CASE  
0 No information  
1 Charges Dropped (by D.A.)  
2 Case Dismissed (by Judge)  
3 Misdemeanor w/o Jail  
4 Misdemeanor with Jail  
5 Felony w/o Jail  
6 Felony with Jail  
7 Prison  
8 Diversion  
9 No spouse involved

14. DATE OF ADMISSION TO PROJECT (date received) \_\_\_\_\_ MO \_\_\_\_\_ DA \_\_\_\_\_ YR \_\_\_\_\_

15. NUMBER OF DAYS IN JAIL PRIOR TO ADMISSION - 999 NOT APPLICABLE \_\_\_\_\_

16. NUMBER OF DAYS IN JAIL UNDER SENTENCE  
99 No information \_\_\_\_\_

17. NUMBER OF MONTHS RESIDENCE AT ADDRESS OF TODAY \_\_\_\_\_

18. NUMBER OF MONTHS RESIDENCE IN COUNTY  
00 Not County Resident \_\_\_\_\_

19. MARITAL STATUS  
0 No information  
1 Single (never married)  
2 Married  
3 Separated  
4 Divorced  
5 Widow (er)  
6 Common-Law Marriage  
Other (specify) \_\_\_\_\_

20. NUMBER OF CHILDREN LIVING \_\_\_\_\_

21. NUMBER OF PERSONS DEPENDENT UPON CLIENT FOR SUPPORT  
0 None  
1 Self Only  
2 Self and one dependent, etc. \_\_\_\_\_

22. WHO SUPPORTS DEPENDENTS  
\_\_\_\_\_  
\_\_\_\_\_

23. LIVING ARRANGEMENTS PRIOR TO ARREST OR INITIAL CONTACT WITH PROJECT  
0 No information  
1 Alone  
2 Friend of same sex  
3 Friend of opposite sex  
4 Legal spouse  
5 Common-law spouse  
6 Legal spouse and children  
7 Common-law spouse and children  
8 Children only  
9 Parent (s)  
Other relative (specify) \_\_\_\_\_  
Other, (specify) \_\_\_\_\_

24. EMPLOYMENT AT TIME OF ARREST OR CONTACT  
0 No information  
1 Unemployed  
2 Employed full-time  
3 Employed part-time hours per week \_\_\_\_\_  
4 Unemployable due to permanent disability  
5 Unemployable due to temporary disability  
6 Marginally employable due to partial handicap  
Other (specify) \_\_\_\_\_

25. NUMBER OF MONTHS ON CURRENT (OR MOST RECENT) JOB  
98 More than 97 months  
99 No Information \_\_\_\_\_

26. NUMBER OF MONTHS EMPLOYED DURING LAST 12 MONTHS \_\_\_\_\_

27. USUAL OCCUPATION:  
\_\_\_\_\_  
description of duties  
\_\_\_\_\_  
\_\_\_\_\_

GDC RESEARCH EVALUATION PROJECT

CDC I.D. NUMBER

PROJECT'S ASSIGNED CASE NUMBER

Grid for CDC I.D. NUMBER

Grid for PROJECT'S ASSIGNED CASE NUMBER

28. TOTAL LEGITIMATE INCOME DURING LAST MONTH

Grid for 28. TOTAL LEGITIMATE INCOME DURING LAST MONTH

29. TOTAL LEGITIMATE INCOME DURING LAST 12 MONTHS

Grid for 29. TOTAL LEGITIMATE INCOME DURING LAST 12 MONTHS

Use "9"s - No information

30. MAJOR INCOME SOURCES PRIOR TO ARREST OR CONTACT (circle all that apply)

- 00 Unknown
01 Own employment
02 Spouse's employment
04 Family
08 Compensation, benefits or retirement
16 Child support from ex-spouse
32 Public assistance
64 Criminal activity
128 Other individual (specify)
256 Other (specify)

Grid for 30. MAJOR INCOME SOURCES

31. ON PUBLIC ASSISTANCE AT TIME OF ARREST (FIRST CONTACT)

- 0 No information
1 No
2 Self on Aid to Totally Disabled
3 Self on General Welfare
4 Dependents on Aid to Families with Dependent Children
5 Self and Dependents on Aid to Families with Dependent Children
6 Non-dependent members of household supported by some type of public assistance
Other, (specify)

Grid for 31. ON PUBLIC ASSISTANCE

32. YEARS OF SCHOOLING COMPLETED

Grid for 32. YEARS OF SCHOOLING COMPLETED

33. DIPLOMAS OR DEGREES HELD (RECORD HIGHEST LEVEL COMPLETED)

- 0 No information
1 High School Diploma
2 GED Certificate
3 Vocational training certificate
4 Some college completed
Other (specify)

Grid for 33. DIPLOMAS OR DEGREES HELD

34. USE OF MARIJUANA

- 0 No information
1 None known
2 Admits use, no problem
3 Legal difficulties with use
4 Other difficulties with use
5 Connected with current case
9 Not asked

Grid for 34. USE OF MARIJUANA

35. USE OF OPIATES (HEROIN, MORPHINE, OPIUM)

- 0 No information
1 None known
2 Admits use, no problems
3 Legal difficulties with use
4 Other difficulties with use
5 Connected with current case
9 Not asked

Grid for 35. USE OF OPIATES

36. USE OF OTHER DANGEROUS DRUGS OR SUBSTANCES (Cocaine, barbiturates, amphetamines, glue, LSD, etc.)

- 0 No information
1 None known
2 Admits use, no problems
3 Legal difficulties with use
4 Physical or psychological dependence
5 Connected with current case
9 Not asked

Grid for 36. USE OF OTHER DANGEROUS DRUGS

37. USE OF ILLEGAL SUBSTANCES, UNSPECIFIED TYPE

- 0 No information
1 None known
2 Admits use, no problems
3 Legal difficulties with use
4 Physical or psychological dependence
5 Connected with current case
9 Not asked

Grid for 37. USE OF ILLEGAL SUBSTANCES

38. USE OF ALCOHOL

- 0 No information
1 None known
2 Admits use, no problems
3 Legal difficulties with use
4 Physical or psychological dependence
5 Connected with current case
9 Not asked

Grid for 38. USE OF ALCOHOL

39. NUMBER OF PRIOR ADMISSIONS TO THIS PROGRAM

Grid for 39. NUMBER OF PRIOR ADMISSIONS

40. PAST TREATMENT FOR ALCOHOL PROBLEMS

- 0000 No information
0001 California State Hospital
0002 County General Hospital
0004 Other County Alcohol Detox Programs
0008 County Jail (Santa Rita, Saugus)
0016 Veterans Administration
0032 Private Residential Treatment Program
0064 Private Physician
0128 Residential Treatment-Publicly Subsidized
0256 AA Type Program, Salvation Army
0512 Other, (specify)
9999 None

Grid for 40. PAST TREATMENT FOR ALCOHOL PROBLEMS

41. PROBLEM WITH ALCOHOL USAGE HAS EXISTED FOR:

- 0 No information
1 No problem with alcohol
2 Less than 6 months
3 6 months to 1 year
4 More than 1 year to 4 years
5 Over 4 years

Grid for 41. PROBLEM WITH ALCOHOL USAGE

CDC I.D. NUMBER

PROJECT'S ASSIGNED CASE NUMBER

Grid for CDC I.D. NUMBER

Grid for PROJECT'S ASSIGNED CASE NUMBER

42. PAST TREATMENT FOR DRUG ABUSE

- 0001 California State Hospital
0002 County General Hospital
0004 Other County Drug Treatment Programs
0008 County Jail Detox Treatment
0016 Veterans Administration
0032 Private Residential Treatment Programs
0064 Private Physician
0128 Residential Treatment-Publicly Subsidized
0256 Swinson Type Program
0512 State Prison
0007 California Rehabilitation Center
Other (specify)

Grid for 42. PAST TREATMENT FOR DRUG ABUSE

43. PROBLEM WITH DRUG ABUSE HAS EXISTED FOR:

- 0 No information
1 Less than 6 months
2 6 months to 1 year
3 More than 1 year to 4 years
4 Over 4 years

Grid for 43. PROBLEM WITH DRUG ABUSE

44. LONGEST PERIOD OF VOLUNTARY ABSTINENCE

- 00 No information
02 07 or more months
95 Abstinence known but length of time unspecified
99 Not applicable

Grid for 44. LONGEST PERIOD OF VOLUNTARY ABSTINENCE

45. RECORD OF JUVENILE COMMITMENTS (CYA, ER)

- 0 No information
1 Yes
2 Yes
3 Not asked

Grid for 45. RECORD OF JUVENILE COMMITMENTS

46. RECORD OF JUVENILE ARRESTS

- 0 No information
1 No
2 Yes
3 Not asked

Grid for 46. RECORD OF JUVENILE ARRESTS

47. ARREST FOR DWI/DUI OFFENSES

- 0 No information
1 Juvenile and adult records
2 Adult records only
3 One year prior to admission only

Grid for 47. ARREST FOR DWI/DUI OFFENSES

48. AGE AT FIRST ARREST

Grid for 48. AGE AT FIRST ARREST

49. NUMBER OF PRIOR ARRESTS FOR PUBLIC DRIVENESS OR DRUNKEN DRIVING

- 98 98 or more
99 Not available

Grid for 49. NUMBER OF PRIOR ARRESTS

50. NUMBER OF PRIOR ARRESTS FOR DRUG OFFENSES

- 8 8 or more
9 Not available

Grid for 50. NUMBER OF PRIOR ARRESTS FOR DRUG OFFENSES

51. NUMBER OF PRIOR ADULT CONVICTIONS (Not traffic or drunk offenses)

- 8 8 or more
9 Not available

Grid for 51. NUMBER OF PRIOR ADULT CONVICTIONS

52. NUMBER OF PRIOR ADULT ARRESTS (Not traffic or drunk offenses)

- 8 8 or more
9 Not available

Grid for 52. NUMBER OF PRIOR ADULT ARRESTS

53. NUMBER OF PRIOR ADULT PRISON SENTENCES

- 8 8 or more
9 Not available

Grid for 53. NUMBER OF PRIOR ADULT PRISON SENTENCES

54. NUMBER OF PRIOR ADULT PROBATION TERMS

- 8 8 or more
9 Not available

Grid for 54. NUMBER OF PRIOR ADULT PROBATION TERMS

55. MOST SERIOUS PRIOR DISPOSITION

- 0 No information
1 No prior dispositions
2 Juvenile, without commitment
3 Juvenile, with commitment
4 Misdemeanor, without jail
5 Misdemeanor, with jail
6 Felony with no jail
7 Felony with jail
8 Prison
9 Not asked

Grid for 55. MOST SERIOUS PRIOR DISPOSITION

56. ANY PREVIOUS PARTICIPATION IN AN ADULT DIVERSION PROGRAM

- 0 No information
1 No
2 Yes
3 Not asked

Grid for 56. ANY PREVIOUS PARTICIPATION

57. MOST SERIOUS CHARGE AT PRELIMINARY HEARING (our code of seriousness of offense)

Grid for 57. MOST SERIOUS CHARGE AT PRELIMINARY HEARING

58. MOST SERIOUS CHARGE AT TIME OF DIVERSION (our code of seriousness of offense)

Grid for 58. MOST SERIOUS CHARGE AT TIME OF DIVERSION

59. LEGAL STATUS AT ENTRY INTO PROGRAM (circle all that apply)

- 01 No information
02 No legal involvement
04 Release on bail
08 Release on O.R.
16 Voluntary probation
32 Assigned by Judge
66 Charges pending

Grid for 59. LEGAL STATUS AT ENTRY INTO PROGRAM

Recorded by

Date

Coded by

Date

Checked by

Date



Appendix C  
CALIFORNIA OFFENSE SEVERITY INDEX

CALIF. NUMBER	CALIF TYPE	DESCRIPTION	SEVERITY	CATEG
22450	A	V	RUN STOP SIGN (M)	001 7
24252	A	V	MAINTENANCE OF LIGHTS	001 7
647	F	P	UNDER INF. OF NARC., ALCOHOL (M)	013 8
415		P	DISTURBING THE PEACE (M)	014 7
23110	A	V	THROW AT VEHICLE (M)	015 2
25658	B	B	PURCHASE OF LIQUOR BY MINOR (M)	016 6
14610		V	UNLAWFUL USE OF LICENSE (M)	017 7
23103		V	RECKLESS DRIVING (M)	017 7
23109	A	V	SPEED CONTEST (M)	017 7
647	E	P	LOITERING (M)	021 7
602.5		P	UNAUTHORIZED ENTRY (M)	022 2
330		P	GAMING (M)	023 2
537		P	NON-PAYMENT HOTEL, ETC. (M)	023 2
602		P	TRESPASS (M)	023 2
2800		V	OBEDIENCE TO OFFICERS (M)	023 7
2801		V	OBEDIENCE TO FIREMAN (M)	023 7
12500		V	DRIVE W/O LICENSE, EXPIRED L YR. (M)	023 7
10852		V	TAMPERING W/AUTO	027 2
25661		B	FALSE I.D., MINOR BUY ALCOHOL (M)	027 6
25662		R	POSSESSION OF ALCOHOL BY MINOR (M)	027 6
416		P	REFUSAL OF COMMAND TO DISPERSE (M)	029 7
594		P	MALICIOUS MISCHIEF (M)	029 2
597	B	P	KILL, MAIM ANIMALS, COCK FIGHT (M)	029 8
484		P	PETTY THEFT (M)	031 2

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591	P	DESTRUCTION TEL AND TEL LINE	234	2
10851	V	GRAND THEFT AUTO	234	2
11350	H	POSSESSION OF CONTROLLED SUBSTANCE	234	3
12020	P	MANF., SALE, POSS., OF ILL. WEAPON	259	1
286	P	CRIME AGAINST NATURE	260	5
487.2	P	GRAND THEFT (FROM A PERSON)	278	2
11359	H	POSSESS MARIJUANA FOR SALE	278	4
11355	H	AGREE TO SELL NARCOTICS	292	3
241	P	ASSAULT AGAINST POLICE	303	1
243	P	ASSAULT, BATTERY AGAINST POLICE	303	1
266 H	P	PIMPING	333	5
266 I	P	PANDERING	333	5
11378	H	POSSESSION FOR SALE, DANG. DRUGS.	333	3
182.1	P	CONSPIRACY	373	7
459	P	BURGLARY 2ND (HOUSE)	401	2
273 D	P	CORP. INJURY WIFE	410	1
273 D	P	CORP. INJURY CHILD	410	1
118 to 129	P	PERJURY	414	7
11360	H	TRANS. FOR SALE OF MARIJUANA	420	4
11361	H	SELL MARIJUANA TO MINOR, BY ADULT	420	4
288	P	CHILD MOLESTING	467	5
220	P	ASSAULT TO RAPE	500	1
211	P	ROBBERY 2ND	522	1
245 A	P	ASSAULT, DEADLY WEAPON	549	1
11379	H	SALE OF DANGEROUS DRUGS	598	3
518	P	EXTORTION	602	2
261	P	SEX (UNLAWFUL, UNDERAGE)	615	5
23110 B	V	TRHOW AT VEHICLE, INTENT GR. INJURY	653	1
11351	H	POSS. FOR SALE OF CONT. SUBS.	719	3
261 (3)	P	RAPE W/THREAT	746	5

## Appendix C

11365	H	PRESENCE IN RM. W NARC. OR MARIJUANA	077	4
337 A	P	BOOKMAKING	079	2
314.1	P	INDECENT EXPOSURE W/PRIOR	089	5
11357	H	POSSESS MARIJUANA	089	4
11550	H	UNDER INFL. CONTROLLED SUBSTANCE (M)	094	3
405	P	RIOT (M)	115	7
11377	H	POSSESS DANGEROUS DRUGS	132	3
11358	H	CULTIVATE MARIJUANA	144	4
219.1 and 219.2	P	THROW AT COMMON CARRIER, VEHICLE	158	2
476 A	P	NON-SUFFICIENT FUNDS CHECK	173	2
270	F	CHILD NEGLECT	178	1
496	P	STOLEN PROPERTY (M)	178	2
11483	W	FRAUD IN OBTAINING AID	178	2
484	P	PETTY THEFT W/PRIOR	196	2
496	P	RECEIVE STOLEN PROPERTY	197	2
4390	B	FORGERY PRESCRIPTION	197	2
470	P	FORGERY	212	2
20001	V	HIT AND RUN	212	1
23101	V	DRUNK DRIVING	212	6
273 A	P	ENDANGER HELATH OF CHILD	213	1
484 E	P	CREDIT CARD (THEFT)	213	2
484 F	P	CREDIT CARD (FORGERY)	213	2
484 G	P	CREDIT CARD (USE OF)	213	2
23106	V	DRIVE UNDER INF. DRUGS, W/INJURY	213	1
667	P	PETTY THEFT W/PRIOR FELONY	215	2
192.3	P	MANSLAUGHTER W/VEHICLE	223	1
487.1	P	GRAND THEFT (OVER \$200)	234	2
487.3	P	GRAND THEFT (AUTO, ETC.)	234	2
503	P	EMBEZZLEMENT	234	2

Appendix C

488	P	PETTY THEFT (M)	031	2
14601.1	V	DRIVE W/O LICENSE, OTHER REASON (M)	031	7
240	P	ASSAULT (M)	036	1
242	P	BATTERY (M)	036	1
20002	V	HIT AND RUN (M)	036	2
653 K	P	SWITCH BLADE	037	1
14601	V	DRIVE W/O LICENSE, SUSP./REVOKED (M)	038	7
381	P	SMIFFING GLUE (M)	039	3
647	P	SOLICITING (M)	039	5
647 G	P	LOITER, PROWL (M)	041	2
650 1/2	P	INJURIES TO PERSONS/PROPERTY (M)	041	8
12031	P	LOADED FIREARM (M)	041	1
23101	V	DRUNK DRIVING (M)	041	6
23104	V	RECKLESS DRIVING, PERS. INJURY (M)	041	1
290	P	SEX OFFENDERS MUST REGISTER (M)	044	5
311	P	INDECENT PICTURES (M)	044	5
314	P	INDECENT EXPOSURE (M)	044	5
647 B	P	PROSTITUTION (M)	044	5
12025	P	CONCEALED WEAPON (M)	044	1
148	P	RESISTING ARREST (M)	046	1
573 E	P	SERIAL NO. CHANGED (M)	050	2
499 B	P	TAKE AUTO TEMPORARILY (M)	056	2
409	P	REFUSE TO DISPERSE FROM RIOT (M)	060	7
476 A, B	P	NON-SUFFICIENT FUNDS CHECK (M)	061	2
315	P	KEEP OR LIVE IN BAUDY HOUSE (M)	071	5
192.3 B	P	MANSLAUGHTER (M)	072	1
272	P	CONTRIBUTING (M)	072	1
417	P	EXHIBIT FIREARM (M)	072	1
11364	H	OPIUM PIPES, PARAPHENALIA (M)	077	3

Appendix C

245 B	P	ASSAULT AGAINST POLICE, FIREMAN	774	1
452	P	ARSON (POSS. OF FLAMMABLE SUB.)	782	2
459	P	BURGLARY 1ST (1ST SPECIFIED)	803	2
192.3	P	MANSLAUGHTER W/O VEHICLE	829	1
211	P	ROBBERY 1ST	829	1
207	P	KIDNAP	836	1
11352	H	TRANS., SALE OF CONT. SUBS.	938	3
11353	H	INDUCE MINOR, BY PERSON 18 OR OVER	938	3
11354	H	INDUCE MINOR, BY PERSON UNDER 18	938	3
217	P	ASSAULT TO MURDER	998	1
447 A	P	ARSON	998	2
187	P	MURDER 1ST	999	1

APPENDIX D

SAN BERNARDINO OCCUPATIONAL SCALE<sup>1</sup>

Scale Value	
0	Positions of eminence in government, military or church. Recognized leader in a higher profession (medicine, law, academics). Directors of large industrial complexes.
1	Professional occupations (medicine, law, professors, clergymen, psychologists). Managers of large businesses and factories. Top officials in local government and heads of civil institutions. Bankers, stockbrokers, and field rank commissioned officers in the military (Major, Colonel, Commander, etc.). College teachers.
2	Other professional occupations (Architects, Veterinarians, Dentists, Accountants, Probation Officers). Primary and secondary school teachers. Proprietors of businesses. Commissioned military below field rank (Captain, Lieutenant, Ensign, Warrant Officer, Merchant Marine Officer).
3	Sales managers and supervisors. Small businessmen and wholesalers. Middle level corporation management. Airline pilots. Graduate students. Journalists.
4	Line foremen, sales agents, lower level corporate managers and supervisors. Tellers and cashiers. Registered nurses. Beauticians. Entertainers.
5	Farm proprietors. Clerks, secretaries, stenographers. Technicians (electronic, medical). Under graduate students. Stewardesses, PBX operators, Teacher's aids.
6	Skilled factory workers, skilled trade workers (carpenters, plumbers, masons). Policemen, firemen, Vocational and practical nurses. Enlisted military personnel. Mechanics, Machinists.
7	Sales clerks and unskilled store or office workers. Tenant farmers bus, train and truck drivers. Unskilled workers (laundry, warehousemen, gas stationmen). High school students and housewives if not otherwise classifiable. Cab drivers, Bartenders, Security guards, Nurses aids.
8	Farm workers, day laborers, miners. Janitors, waiters, porters, domestic help. Waitresses.
9	No usual occupation. Illegal, criminal activity.

1. This scale is a slightly modified version of one used by the San Bernardino Adult Deferred Prosecution Project.

Appendix C

245 B	P	ASSAULT AGAINST POLICE, FIREMAN	774	1
452	P	ARSON (POSS. OF FLAMMABLE SUB.)	782	2
459	P	BURGLARY 1ST (1ST SPECIFIED)	803	2
192.3	P	MANSLAUGHTER W/O VEHICLE	829	1
211	P	ROBBERY 1ST	829	1
207	P	KIDNAP	836	1
11352	H	TRANS., SALE OF CONT. SUBS.	938	3
11353	H	INDUCE MINOR, BY PERSON 18 OR OVER	938	3
11354	H	INDUCE MINOR, BY PERSON UNDER 18	938	3
217	P	ASSAULT TO MURDER	998	1
447 A	P	ARSON	998	2
187	P	MURDER 1ST	999	1

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- 1 Professional occupations (medicine, law, professors, clergymen, psychologists). Managers of large businesses and factories. Top officials in local government and heads of civil institutions. Bankers, stockbrokers, and field rank commissioned officers in the military (Major, Colonel, Commander, etc.). College teachers.
- 2 Other professional occupations (Architects, Veterinarians, Dentists, Accountants, Probation Officers). Primary and secondary school teachers. Proprietors of businesses. Commissioned military below field rank (Captain, Lieutenant, Ensign, Warrant Officer, Merchant Marine Officer).
- 3 Sales managers and supervisors. Small businessmen and wholesalers. Middle level corporation management. Airline pilots. Graduate students. Journalists.
- 4 Line foremen, sales agents, lower level corporate managers and supervisors. Tellers and cashiers. Registered nurses. Beauticians. Entertainers.
- 5 Farm proprietors. Clerks, secretaries, stenographers. Technicians (electronic, medical). Under graduate students. Stewardesses, PBX operators, Teacher's aids.
- 6 Skilled factory workers, skilled trade workers (carpenters, plumbers, masons). Policemen, firemen, Vocational and practical nurses. Enlisted military personnel. Mechanics, Machinists.
- 7 Sales clerks and unskilled store or office workers. Tenant farmers bus, train and truck drivers. Unskilled workers (laundry, warehousemen, gas stationmen). High school students and housewives if not otherwise classifiable. Cab drivers, Bartenders, Security guards, Nurses aids.
- 8 Farm workers, day laborers, miners. Janitors, waiters, porters, domestic help. Waitresses.
- 9 No usual occupation. Illegal, criminal activity.

1. This scale is a slightly modified version of one used by the San Bernardino Adult Deferred Prosecution Project.

Appendix E  
Membership List of the  
Steering Committee  
for the

Two State Agency Evaluation Projects:  
Evaluation of Juvenile Diversion Programs

and

Evaluation of Community-Based Corrections Programs

December, 1974

Robert E. Bales - OCJP  
William Bartholomew - Chief of Police, Davis  
Keith Concannon - Regional Director, Region T  
Willie Ellison - Project Safer California  
Richard B. Groskin - OCJP  
Bruce Kerns - Director of Research, Region I  
Mal King - Regional Director, Region D  
Solomon Kobrin - University of Southern California  
Lance Lewis - Regional Director, Region U  
Kathy Lowe - Juvenile Delinquency Planner, OCJP  
William McConnell - OCJP  
Ken Mayall - Evaluation Specialist, Region M  
Bill Mayer - Assistant Director, Region R  
Grant Mickins - Deputy Director, Region F  
Ann Taylor - Regional Director, Region H  
Peter S. Venezia - Co-Director, Research Center, NCCD  
William E. Wright - OCJP

APPENDIX F

SUMMARY TABLE OF PROJECTS EVALUATED

NAME OF PROJECT	OCJP NUMBER	PRESENT CATEGORY	AMT. OF FUNDING	STAGE OF DEVELOPMENT	DESCRIPTION OF PROJECT	SERVICE OBJECTIVES	OUTCOME AND COST BENEFIT OBJECTIVES
1. San Diego Adult Deferred Prosecution Project Region U	1477	IV-4	\$134,836  \$123,678	First year contract ended 11-30-74 Second yr. ended 11-30-75	Divert approximately 300 property offenders per year into supervision directly, rather than through regular court procedures; successful completion of program will result in dismissal of charges.	<ol style="list-style-type: none"> <li>1. Divert 10% of the first time adult property crime offenders from formal court prosecution.</li> <li>2. Provide a more intensive level of supervision for its clients than they would receive in standard probation.</li> </ol>	<ol style="list-style-type: none"> <li>1. Achieve the standard of an arrest free record for 95% of its clients while they are on deferred prosecution supervision.</li> <li>2. Achieve the standard of an arrest-free record for 90% of its clients during the 60 days following termination from the program.</li> <li>3. Generate savings in costs resulting from a reduction in court proceedings and custodial services.</li> </ol>
2. Yolo County Diversion Program Region D	1509	IV-1	\$75,361  \$68,500	First year ended 3-31-75 Second yr. ends 3-31-76	Divert up to 150 first offenders (youth and young adult) per year into supervision directly, rather than through regular court procedures; successful completion of program will result in dismissal of charges and appropriate modifications of records.	<ol style="list-style-type: none"> <li>1. Provide for the diversion of 150 clients during its first year of operation.</li> <li>2. Integrate 100% of its clientele into full-time work, school or training situations within 6 wks. after entry into the project.</li> <li>3. Involve 100% of its clientele in individual or group therapy.</li> </ol>	<ol style="list-style-type: none"> <li>1. Cost savings resulting from reduction in court proceedings.</li> <li>2. Successful completion of the project by 85% of the cases entering into it.</li> </ol>

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NAME OF PROJECT	OCJP NUMBER	PRESENT CATEGORY	AMT. OF FUNDING	STAGE OF DEVELOPMENT	DESCRIPTION OF PROJECT	SERVICE OBJECTIVES	OUTCOME AND COST BENEFIT OBJECTIVES
3. PC 1000 Court Diversion Project (San Diego County) Region U	1670	F-1	\$65,775 \$66,552  (San Diego County has funded the project on a continuing basis).	First year contract ended 6-30-74 Second yr. ended 6-30-74.  San Diego County has funded the project on a continuing basis).	Divert approximately 50 persons per month qualifying under P.C. 1000; successful completion will result in dismissal of charges.	<ol style="list-style-type: none"> <li>1. Diversion from court prosecution of 80 persons charged with minor drug offenses per month.</li> <li>2. Develop an appropriate education treatment and rehabilitation plan for each client.</li> <li>3. Provision of short-term treatment on a crisis basis to assist in alleviating drug-related problems.</li> </ol>	<ol style="list-style-type: none"> <li>1. Reduction of the involvement of the clientele in the criminal justice system during and subsequent to program participation.</li> <li>2. Generate cost savings through reducing the volume of court proceedings.</li> </ol>
4. Project Intercept (Napa, Solano & Sonoma Counties) Region E	1690	IV-1	\$145,398	First year contract ended 6-30-74	Divert undefined number of first offenders involved in victimless crimes from regular court processing; clients must meet certain criteria of economic and social disadvantage and will receive service through a private agency.	<ol style="list-style-type: none"> <li>1. Diversion of an unspecified number of first offenders from normal judicial processing, providing them with supportive services to encourage a non-criminal life style.</li> </ol>	<ol style="list-style-type: none"> <li>1. Reduce the recidivism and criminal behavior of the clients 30% in the first and subsequent years.</li> <li>2. Demonstrate the economic practicability of the pre-trial alternative represented in this project.</li> </ol>

NAME OF PROJECT	OCJP NUMBER	PRESENT CATEGORY	AMT. OF FUNDING	STAGE OF DEVELOPMENT	DESCRIPTION OF PROJECT	SERVICE OBJECTIVES	OUTCOME AND COST BENEFIT OBJECTIVES
5. Project Crossroads (Alameda County) Region I	1895	VI-3	\$58,809 \$64,989	First yr. contract ended 12-31-75 Second yr. ends 12-31-76	Minimize the disruptive influence of stagnant incarceration pending trial by providing intensive service and referral. The emphasis is on job placement and related training. Must be clients of Public Defender.	1. Refer 300 defendants to jobs, treatment, or assistance programs in the first yr. operation. 2. Provide direct and indirect occupational, educational, social and emotional services to defendants. 3. Enhance the ability of defendants to obtain employment and/or be involved in an appropriate educational program.	1. Reduce the rate of future criminal activity of defendants served by the project to a level significantly below that of a comparison group. 2. Establish conditions whereby both the percentage of defendants paying restitution and the total amount of restitution paid will be greater in the service group than in a comparison group.
6. Pre-Trial Diversion Program (Operated by Project Intercept, Inc.) (Alameda County) Region I	1901	E-4	\$66,667 \$79,140	First yr. contract ended 6-30-75 Second yr. ends 6-30-76	Divert selected misdemeanor first offenders from court processing. Clients must meet certain criteria of economic and social disadvantage. The project will emphasize job placement and provide or refer to other services.	1. Divert 500 persons from prosecution in the courts per year.	1. Assure a significant decrease in future criminal behavior on the part of the project participants compared to the level of such activity in a comparison group. 2. Gain significantly more favorable dispositions from the courts for alleged first offenders as evidenced by the dismissals and fewer fines and incarcerations for the project participants compared to these dispositions received by a comparison group.

NAME OF PROJECT	CCJP NUMBER	PRESENT CATEGORY	AMT. OF FUNDING	STAGE OF DEVELOPMENT	DESCRIPTION OF PROJECT	SERVICE OBJECTIVES	OUTCOME AND COST BENEFIT OBJECTIVES
7. Ventura Adult Diversion Region Q	2064	IV-1	\$108,000 \$ 55,555	First year ended 12-31-75 Second yr. (6 months) ends 6-31-76	The project will provide intensive probation services to 225 offenders diverted from the court system in lieu of prosecution. Eligible offenders are those with misdemeanor property offenses, victimless sex offenses and less serious public disturbance and family disputes. Length of service 6-12 months per client.	1. Diversion from prosecution of 250 of the minor misdemeanor offenders referred to the District Attorney for complaint. 2. Supervision of 70 "high risk" O.R. release defendants who in the absence of the project would be denied release, thereby reducing the jail population.	1. 70% of those cases completing the program will not recidivate, with recidivism defined as any new arrest within one year of termination.
8. Narcotic Education League (Oakland) Region I	1907		\$75,000 \$75,135 \$89,016	First yr. ended 2-28-74 Second yr. ended 2-28-75 Third yr. ended 2-29-76 (County support through June, 1976.)	To provide a residential rehabilitation program for drug addicts. They provide behavior therapy, job and educational counseling and other services in therapeutic community setting.	1. Provide direct and indirect social, emotional, educational, and economic services to drug-involved residents of sufficient quality to assist them in making the transition to a drug-free life in the community.	1. Lower the rate of future criminal activity on the part of individuals served by the project significantly below that of a comparable group not served by the project. 2. Lower the rate of parole and probation revocation for individuals served by the project significantly below the level of a comparable group not served by the project.

NAME OF PROJECT	OCJP NUMBER	PRESENT CATEGORY	AMT. OF FUNDING	STAGE OF DEVELOPMENT	DESCRIPTION OF PROJECT	SERVICE OBJECTIVES	OUTCOME AND COST BENEFIT OBJECTIVES
8. Narcotic Education League (Oakland) Region I (continued)						2. Develop a data system that will serve to provide a uniform information base for all halfway house projects.	
9. Humboldt Alcohol Offender Diversion Region A	1945	IV-1	\$66,374  \$47,064	First year ended 6-30-75  Second yr. ends 6-30-76	To provide a residential recovery house and ancillary service program for public inebriates and persons with alcohol related offenses.	1. Provide a program for treating 40% of persons identified as public inebriates or alcoholics who contact criminal justice and mental health agencies during the year. 2. Providing counseling services to 90% of the public inebriates referred to the program. 3. Providing residential treatment to 20 recovering alcoholics per month.	1. Insure that 50% of the participants with at least 2 weeks of residential treatment will have made improvements in their overall life situation. 2. Bring the recovering alcoholics to the point where they will have periods of extended sobriety not indicated by their pre-project experience.

NAME OF PROJECT	OCJP NUMBER	PRESENT CATEGORY	AMT. OF FUNDING	STAGE OF DEVELOPMENT	DESCRIPTION OF PROJECT	SERVICE OBJECTIVES	OUTCOME AND COST BENEFIT OBJECTIVES
10. Community Rehabilitation House-San Mateo (Adult Women) Region H	1535	VI-2	\$194,992 \$154,061	First year ended 9-30-74 Second yr.	Provide therapeutic housing as an alternative to incarceration for 60 adult women per year in a ninety day program and emergency short-term housing for 130 women per year.	1. Provide an alternative to incarceration which will keep 190 female offenders out of jail per year. 2. Providing a short-term crisis alternative to temporary or long term incarceration.	1. Reduce the cost of jail by establishing as an alternative a short period in a residentially-based therapeutic community. 2. Reducing recidivism, family disorganization, and the interruption of employment.
11. Quest Region F	2052	F-2	\$161,312 \$111,122	First year ended 6-30-75 Second yr. ends 8-30-76	A residential socio-therapeutic residence for 20 adult female offenders in lieu of incarceration. Clients will be selected women sentenced directly from the courts for 3-6 months.	1. Provide direct and indirect social, emotional, educational, and economic services of sufficient quality and quantity to assist them in making the transition to community life.	1. Reduce criminal activity for the participants in the project significantly below a baseline provided by a comparison group. 2. Reduce the level of probation revocations for the project participants below that of a comparison group. 3. Produce cost savings through the elimination or reduction of expenditures for child welfare benefits and generate cost benefits through maintaining the offender in a tax-paying capacity.

END

NAME OF PROJECT	OCJP NUMBER	PRESENT CATEGORY	AMT. OF FUNDING	STAGE OF DEVELOPMENT	DESCRIPTION OF PROJECT	SERVICE OBJECTIVES	OUTCOME AND COST BENEFIT OBJECTIVES
12. Women's Detoxification Services San Diego Region U	1472	IV-1	\$72,768	First year ended 4-30-75	Provide medical detox., supportive follow-up and referral to 185 female heroin addicts.	<ol style="list-style-type: none"><li>1. Provide detoxification and supportive follow-up assistance for 1 to 6 months to 185 female heroin addicts per year.</li><li>2. Admit approximately equal proportions of new clients referred from law enforcement agencies and former clients.</li><li>3. Provide outpatient counseling and medical services to clients not receiving detoxification.</li></ol>	<ol style="list-style-type: none"><li>1. Assure that 15% of those female addicts detoxified will have a minimum period of abstinence from heroin use of 6 months.</li></ol>
			No OCJP funds	Second year			