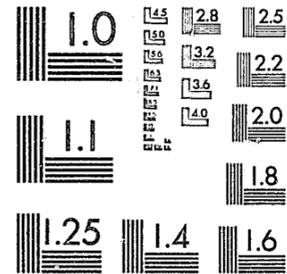


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New York State Division of Probation
Executive Summary
The Intensive Supervision Program:
A Process Evaluation

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New York State Division of Probation

Executive Summary

The Intensive Supervision Program:
A Process Evaluation

February, 1982

NCJRS

MAY 27 1984

ACQUISITIONS

Hugh L. Carey
Governor

Thomas J. Callanan
State Director

Introduction

The Grant:

In July, 1980, the New York State Division of Probation, through the efforts of Intensive Supervision Program personnel, obtained a twelve month grant from the National Institute of Corrections. The primary purpose of the grant was to provide staff to assist the Division in performing the ongoing impact and process evaluations of the Intensive Supervision Program (ISP). Specifically, the grant was to assess the impact of the ISP and the effectiveness of its processes and to strengthen or enhance the risk assessment instrument used to select ISP clients. The former objective was addressed through 25 hypotheses in six key areas (see below) while the latter was achieved through re-examination and statistical manipulation of the existing instrument.

The Division of Probation has shown, and continues to show, a substantial commitment to its Intensive Supervision Program. This grant can be interpreted as a further measure of that commitment, with the agency decision makers using the results to make necessary program changes.

The Intensive Supervision Program:

Before proceeding to a more detailed discussion of the grant hypotheses, a brief description of New York's ISP will be presented.

The Intensive Supervision Program began in October, 1978 as an effort to improve the quality of probation services delivered in New York State. The ISP initially operated in 25 counties with local probation services, making the services of ISP available to every major population center in the state.

Currently, 28 counties in New York State participate in the program.

The ISP strives to use a planned intervention strategy in order to ensure that those most likely to fail on probation successfully complete their sentences.

The major components of the program are:

1. A standardized procedure to select those probationers for which there is a high probability of unfavorable completion of the probation sentence (ISP Risk Assessment and Classification Instrument);

2. Caseload limited to 25 active cases per ISP officer;
3. A conceptual framework for service delivery, including a standardized needs assessment and evaluation process and use of behavioral objectives in supervision planning;
4. Case-flow and management procedures, including periodic reassessment of the supervision plan and community adjustment;
5. Controls over the frequency and type of contacts, including involvement of significant others in the supervision plan;
6. Standardized process for the handling of violations of probation; and
7. Systematic recording and collection of data to allow for program evaluation.*

The Division of Probation's Intensive Supervision Program represents an attempt to limit caseload size so that, using systematic caseload management techniques, probation officers can more realistically perform their duties.

The ISP supervises some 2,400 offenders at risk of failure on probation. These probation clients can be selected for program participation in one of two ways. First, they can score above the county's cutoff score on the risk assessment instrument. Second, an individual may be selected for the ISP on the basis of an over-ride decision by the probation officer and/or the probation supervisor. The ISP holds itself to an unusually rigorous definition of failure, with four possibilities as follow:

1. Revocation
2. Unsatisfactory discharge
3. New conviction
4. Absconding (in excess of 30 days)

* For a description of "regular" probation services in New York, refer to Attachment 1.

Success is defined as completion of the probation supervision period, absent any of the four situations described above.*

The Issues:

As noted above, the evaluation provided for by this grant was concerned with seven key areas. Six areas were covered by the hypotheses** while the seventh involved further examination of the risk assessment instrument.

The ongoing, state funded evaluation concerns itself with the long-term study of the Intensive Supervision Program and with special reports requested by state policy makers. This, combined with staffing problems, led to the conclusion, on the part of ISP staff, that certain issues of interest were being understudied. For this reason, the current grant was obtained. The first area of interest has to do with the use of community resources and their effect on probation outcome. The second issue deals with the clarity of goals and objectives in the supervision process, again as it relates to outcome. Third, there are questions concerning the identification and treatment of client needs. The nature, duration, timing, and number of personal and collateral contacts, all are examined in the fourth key area. A major issue examined in the fifth area is that of convergence of role perceptions and communications between probation officer and probationer. The next area, and that examined first in the following sections, involves failures in terms of seriousness, level of harm and absolute numbers. Finally, the grant was commissioned to examine the ISP Risk Assessment Instrument. This was to be accomplished, primarily, through inclusion and deletion of certain variables.

While these areas do not, of course, represent all issues of interest and which should eventually be examined, they still proved to be too extensive for a 12 month evaluation effort. Certain hypotheses had to be deleted due to lack of data and the inability to undertake major data collection efforts and, naturally, the evaluation raised more questions than it answered.

The Methodology:

The methods used in this evaluation effort were relatively straightforward and will be presented here in the same order as the following sections.

Program Impact -- The hypotheses in this section were tested using data collected by the ISP evaluation prior to the grant's beginning. Information was gathered on two samples. The first

* To date, there have been two editions of the ISP operational guidelines and five evaluator's reports on the program. Those desiring more in depth information on the ISP should obtain these volumes.

** The hypotheses are included as Attachment 2. The specific areas under examination will be detailed in the sections following this introduction.

consisted of all ISP probationers entering the program between October, 1978, and June, 1979. The resulting sample of 1,541 was drawn from all ISP sites.

The comparison group consisted of 2,437 cases randomly selected from the same counties during the five months prior to the beginning of ISP.

In order to test the hypotheses in this section, only objectively determined (through use of the Risk Assessment Instrument) high risk cases were selected. This resulted in an ISP group of 1,014 and a pre-ISP (comparison) group of 357 cases.

The information gathered on the groups and the basis on which they were compared included: urbanization, age, sex, race, risk score, current offense, sentence, prior record, and outcome. The data were all secondary source, taken primarily from case records. The samples were found to be basically comparable.

ISP Processes --

a) Hypotheses 1-6 were actually deleted as hypotheses and, instead, the issues raised were treated through an exploratory study. Limiting the study to major metropolitan areas, a sample of 29 ISP probation officers and 75 of their clients was obtained. While not representative, these two groups were sufficient, given the task, to provide some extremely useful, interesting and suggestive information.

b) Hypotheses 7 through 20 were treated in a more conventional manner. The tests concerned only ISP clients and the sample consisted of 25% (n=398) of the total ISP group (n=1,541) discussed above. This section necessitated on site data collection on these cases. The data collection effort involved 20 of 22 ISP counties. The sample was randomly selected and was basically comparable to its universe. This sample dictated extensive data collection and the effort again relied on secondary source data, creating some difficulty concerning accuracy and availability of specific pieces of information.

Risk Assessment -- The risk assessment instrument was examined using the information obtained on the 2,437 pre-ISP cases. This meant no new information could be tested and, again, the data are secondary source.

I. Program Impact Hypotheses

In evaluating the impact of the Intensive Supervision Program, five of the original grant hypotheses were tested (some with modifications due to data limitations), and three were deleted due to the unavailability of appropriate data. Hypotheses which were tested stated that the ISP would lead to fewer probation failures than would the pre-ISP program (for clients of similar risk); that the ISP probation failures would be failures of lesser seriousness and lower level of harm than the pre-ISP probation failures; that the ISP failure offenses would be less serious than the instant conviction offenses; and that, when compared with the pre-ISP programs, the ISP would increase Probation Officer contacts with the probationer, with collateral contacts, with probationer resources, and with community resources. Hypotheses which were deleted stated that the ISP would reduce institutionalization costs through a reduction in both the number and length of incarcerative sentences; that the ISP would increase the use of community services and resources; and that the ISP, when compared to the pre-ISP program, would have an increased rate of referrals to appropriate community resources.

In order to maximize the comparability of the ISP and pre-ISP samples, only cases with risk scores greater than or equal to 48 were selected for testing the hypotheses in this section, resulting in sample sizes of 1014 for the ISP and 357 for the pre-ISP program. Risk score data sources were more extensive for the ISP sample and criminal history data sources were more extensive for the pre-ISP sample; although the findings may have been affected by these disparities in data sources, it is not possible to determine to what extent this may have occurred.

When analyses involving success and failure rates over time were examined, no statistically significant differences in failure rates were found. The two success rates were nearly identical at the six-months comparison point, while the pre-ISP group had a higher success rate at twelve months and the ISP group had a higher success rate at eighteen months. These findings held when appropriate controls (i.e., risk score and degree of urbanization) were introduced.

When seriousness of failure offense (i.e., misdemeanor or felony) and level of harm of offense (i.e., person, property, or victimless/other offense) were examined, probation failures in both samples were most likely to fail with a misdemeanor offense on the seriousness dimension, and with a property offense or the level of harm dimension. Not surprisingly, when a six-category dimension (i.e., felony-person, felony-property, felony-victimless/other, misdemeanor-person, misdemeanor-property, misdemeanor-victimless/other), was examined, failures from both samples were most likely to fail with misdemeanor-property and misdemeanor-victimless/other offenses. There were no statistically significant differences between the two groups.

The two samples were also compared to determine if the seriousness of the failure offense (i.e., misdemeanor or felony) was more often less serious than the instant conviction offense for the ISP group than for the pre-ISP group. For both samples, it was found that the failure offense was most likely to be a misdemeanor, regardless of whether the instant conviction was a misdemeanor or a felony. Again, there were no statistically significant differences between the two groups.

In examining the comparison between the ISP and the pre-ISP program for probation officer contacts, a random sample of 398 cases from the ISP sample was selected; to represent the pre-ISP sample, rules compliance surveys for twelve of the twenty-two ISP counties were collected and the statistics for those non-ISP cases classified as "Intensive" were selected for comparison purposes (the "Intensive" category of "regular" probation is most comparable to the ISP in terms of contact requirements). When the contact rates of the two samples were compared, it was found that the ISP initiated more contacts with probationers and collateral resources than the Intensive non-ISP probation supervision. The difference in average monthly personal contacts was one additional contact per month, or 25% of the required contact level for both groups. The ISP's average number of monthly collateral contacts was more than double that of the non-ISP group. These findings held when degree of urbanization was introduced as a control. Due to the unavailability of the number of cases in the non-ISP group, no tests of statistical significance were performed; it does appear, however, that the personal and collateral contact rates were considerably higher for the ISP.

In summary, no statistically significant differences between the ISP and pre-ISP samples were found when failure rate, seriousness and level of harm of failure offense, and seriousness of failure offense as compared to the instant conviction offense were examined. Although it appears that the ISP was responsible for a considerably higher average monthly number of personal contacts and collateral contacts than the pre-ISP program, no tests of statistical significance were performed on the contact data.

II. Process Hypotheses

The examination of the processes of the Intensive Supervision Program was of considerable importance. The primary question was: which, if any, of key ISP procedures have a substantial impact on probation outcome? This question was expanded to comprise the basis for five areas of interest which, in turn, were addressed through 20 separate hypotheses. For the purpose of this document, the findings will be discussed in terms of the five areas. As noted in the introduction, these areas are:

- a) Role perception and communication
- b) Community resources
- c) Goals and objectives
- d) Client needs
- e) Personal and collateral contacts

- a) Role perception and communication:

Overall the most interesting area of this study, the six hypotheses (Process hypotheses 1 - 6, Attachment II), were re-worked and treated as a separate, exploratory study.

The hypotheses reflect the knowledge of the importance of role definition and communications in the supervision process. The idea, simply stated, is that the roles of probation officers and probationers must be clearly defined and understood by both parties, that the perceptions of role influence the communications process and that, together, role perceptions and communications influence the outcome of supervision.

The feeling was that the probation officer must be flexible in his/her own role perception; that the client and officer must agree on the officer's role; that successful communication between officer and client is related to shared role perception; that good communications are necessary for success for the client; and that the content of the case record is related to role perception and communication. It was also assumed, of course, that convergence, between probation officer and probationer, in terms of role perception and communications, would lead to successful completion of the supervision process.

The study was conducted through extensive interviews with 29 probation officers and 75 of their ISP clients. Only metropolitan counties were sampled, due, primarily, to logistical constraints. The interviews attempted to capture the dynamics of the supervision process through examination of the supervision interview itself.

The role of the probation officer was defined through the use of a substantially modified version of the O'Leary Correctional Policy Inventory, in which both officer and client were asked to classify the probation officer. Further, the officer's style of interaction was assessed by both parties. There was only partial convergence in this area. Probation officers viewed themselves as equally rehabilitation and reintegration oriented. The clients agreed that rehabilitation was important, but a substantial number (47%) split evenly between reintegration and restraint as being characteristic of their officers. Only 30% of the matched pairs had individually converging perceptions of the officer's role. In examining style of interaction, convergence was not measured, but probation officers viewed themselves as non-directive, an interesting finding in any correctional endeavor.

Generally, it was found that convergent communications were not taking place. The probationer saw himself as having no major problem areas or as needing a job, while the probation officer cited a substantial number (21% or 16 cases) with psychological problems. An interesting finding indicates that clients are, to some extent, aware of this communication failure. The feeling of the evaluators was that the problem rested with the abstract thinking of the probation officer, as opposed to the concrete mind set of the client. Further, when asked directly if the problem identified by the officer existed, 71% of the clients answered yes. It was found that the identified problems were discussed in the supervision interviews, leaving a clear and simple lack of convergence as tested. Nearly 50% of the cases exhibited a total lack of message (i.e. content) convergence, although the officers believed it was considerably higher.

There appeared to be no relationship between role perception and message convergence and case record content, such records being relatively sparse in terms of content relating specifically to identified problems.

Due to the nature of this section and the small sample, outcome could not be examined as stated in the hypotheses.

b) Community resources:

Process hypotheses 7 and 8 related to the use of community resources. It was hypothesized that clients using community resources would be more likely to succeed and that, consequently, departments emphasizing the use of such resources would have higher rates of success than those which did not emphasize or use the available community resources.

Unfortunately, neither of these assumptions was supported. Using case records to determine community resource use, it was discovered that this alternative was not used, or at least not listed, to any great extent, and when it was used success rates were not affected. Furthermore, the county department using the community the least, and that using resources the most, had nearly identical success rates.

c) Goals and objectives:

Process hypothesis 9 dealt with goals and objectives in the supervision process. It was assumed that success on probation would be related to the degree to which goals and objectives for the client were clearly specified. A "documentation scale" was devised and 102 cases were examined to determine whether the goals and objectives were client oriented, need related, and specific as to "what, where and when."

In testing the hypothesis, it was discovered that the inverse held, that clarity of goals and objectives was significantly related not to success, but to failure. There is at least a possibility that likely failures are being correctly identified and, their needs being more apparent (but less readily met), having clearer and more specific behavioral objectives written.

d) Client needs:

This area was covered by Process Hypotheses 11 and 12. It was felt that if the client and the probation officer agreed on the client's needs, and if supervision plans were based on these need areas, the likelihood of success would be increased.

The convergence of, or extent of agreement concerning, need areas appears to have little effect on outcome. The fact that the needs were identified at the outset of the supervision process but may have changed over the supervision period without being recorded, may have had some bearing on this finding. Similarly, the extent to which supervision plans were based on initial need areas appeared to lack any substantial relation to success or failure on probation for ISP clients.

e) Personal and collateral contacts:

The remainder of the tested Process Hypotheses (13, 14, 16, 17, 19 and 20) all had to do with the timing, nature and type of contacts, personal and collateral, the probation officer makes concerning the individual case.

While ISP does make more contacts hypotheses specifying relationships concerning contacts with the probationer consistently yielded non-significant results. There is no evidence in this study to support a positive relationship between contacting the probationer within 72 hours of sentencing and successful probation outcome. Increased levels of contacts during the initial 30 day planning phase did not significantly improve success rates, nor did the level of personal contacts over time affect outcome. No relationship between the location of personal contacts and outcome was found. Probationers with higher levels of contacts either inside or outside of the probation environment are neither more nor less likely to be successful on probation.

Hypotheses relating collateral contacts with outcome were also generally found to lack support. Increasing the number of collateral contacts does not impact positively on success rates. Likewise, higher average numbers and greater proportions of face-to-face contacts do not increase the likelihood of successful outcomes.

III. Risk Assessment

In examining the Risk Assessment Instrument in Chapter Five, the results of two major modifications to the instrument were explored. First, the effect of excluding the two subjective variables from the ten-item instrument was examined. Second, the feasibility of increasing the predictive accuracy of the instrument through the inclusion of additional variables was addressed. Additionally, three problems concerning the original construction of the Risk Assessment Instrument were discovered in the course of these analyses and are discussed in Chapter Five; these problems are also addressed in the Addendum to Chapter Five.

The Risk Assessment Instrument is a ten-item form used in making classification decisions concerning cases which may be placed in the ISP. The instrument was developed through the use of a discriminant analysis which determined the variables which were most helpful in discriminating between probation "successes" and "failures." This same procedure produced the relative weights which were assigned to the ten items, in order that a total risk score could be assigned to each potential ISP case. A minimum risk cutoff score was established for each ISP county (currently, the statewide risk cutoff score is 48). The ten items consist of eight objective items (i.e., items which involve no interpretation on the part of the rater, such as whether or not the probationer was "incarcerated while on a prior probation or parole sentence"), and two subjective items which involve some degree of judgment on the part of the rater: whether the probationer is "currently living in a situation judged to be unfavorable," and whether the probationer "has an attitude that is either one in which he rationalizes his behavior; or he is negative and not motivated to change; or he is dependent or unwilling to accept responsibility." Since variables involving interpretation and judgment are less likely to be uniformly applied than those which call for objective responses and, consequently, likely to be less useful in discriminating probation "successes" from "failures," it was reasoned that eliminating the subjective items would strengthen the predictive ability of the instrument. In order to apply this reasoning, the two subjective items were eliminated and the eight-item instrument was tested with the pre-ISP sample. It was found that eliminating the subjective variables actually decreases the predictive accuracy of the ISP Risk Assessment Instrument.

The second objective of the chapter - a determination of whether the inclusion of additional variables would increase the predictive accuracy of the instrument - was accomplished through a discriminant analysis utilizing the pre-ISP sample. In addition to the ten items on the current Risk Assessment Instrument, variables concerning the probationer's number of prior convictions, the type of sentence the probationer received for a prior offense, whether the probationer's most serious prior offense was a felony,

and whether there was a violation of probation or parole for a prior offense was included in the analysis. It was found that none of the new variables possessed the minimum discriminatory power necessary to be included in a "new" Risk Assessment Instrument. Thus, neither the exclusion of currently-included subjective variables nor the inclusion of new variables strengthens the ability of the Risk Assessment Instrument to discriminate between probation "successes" and "failures."

In conducting the analyses for this chapter, three problems concerning the original construction of the Risk Assessment Instrument were discovered; these problems are presented in Chapter Five. Basically, the problems concern the improper inclusion and deletion of some variables in the final instrument, the improper weighting of the items on the instrument, and the apparently lower than expected predictive ability of the instrument (in that 50% of those who score 62 and above do not fail, and only 5% of the sample scores 62 or above). These issues are addressed in the Addendum to Chapter Five, in which it is stated that the problems concerning the inclusion/deletion of variables and the improper weighting of items are acknowledged and currently being examined by the Division's Research and Evaluation Unit. The procedures for conducting the examination are discussed in the addendum, and a report concerning the findings of that examination will be produced when those procedures are completed. The third problem is addressed entirely in the addendum, where it is explained that the predictive ability of the Risk Assessment Instrument is to be measured by its reduction in errors in making classification decisions as the instrument is currently used; at the current risk cutoff score of 48, there are 21% fewer prediction errors made as compared to errors made when no instrument is used in making classification decisions, and 15% of the sample scores 48 or above.

In summary, the attempts to strengthen the Risk Assessment Instrument by excluding subjective variables and adding previously unincluded variables resulted in instruments with less predictive ability than the original instrument. Problems with the original construction of the Risk Assessment Instrument which were identified in the course of the analyses for this section are currently being examined by the Research and Evaluation Unit, and a report will be issued at a later date.

IV. Conclusions

This grant-funded evaluation project examined the Intensive Supervision Program of the New York State Division of Probation under three major headings: program impact, program processes, and the strengthening of the program's Risk Assessment Instrument. The evaluation was accomplished, for the most part, through a comparison of all probationers assigned to the ISP between October, 1978 (the inception of the program) and June, 1979, with a sample of individuals assigned to probation during the five months prior to the beginning of the ISP. Generally, there were few statistically significant findings and several results were inconclusive.

Under the first heading, program impact, no statistically significant differences between the ISP and pre-ISP samples were found when failure rate, seriousness and level of harm of failure offense, and seriousness of failure offense as compared to the instant conviction offense were examined. Although it appears that the ISP was responsible for a considerably higher average monthly number of personal contacts and collateral contacts than the pre-ISP program, no tests of statistical significance were performed on the contact data.

Under the second heading, program process, five areas were examined. In the first of these areas, role perception and communication, it was found that only 30% of the matched pairs of probationers and probation officers had converging perceptions of the officer's role (as defined through the use of The O'Leary Correctional Policy Inventory). Additionally, convergent communications between the two were not taking place for either the assessment of major problem areas or messages conveyed by the probation officer.

In the second area of program processes, community resources, it was found that clients using community resources were not necessarily more likely to succeed than those who didn't use community resources. Similarly, counties emphasizing the use of community resources did not have higher success rates than those which did not emphasize their use.

When goals and objectives were examined, it was found that the clarity of goals and objectives was significantly related to failure - the more clearly the goals and behavioral objectives were written, the more likely the probationer would fail. (This finding could be due, in part, to more difficult cases having clear, but difficult to meet, goals and objectives.)

In the fourth area, client needs, the extent of agreement

concerning need areas between the probationer and his/her probation officer had little effect on outcome. Similarly, the extent to which supervision plans were based on initial need areas appeared to lack any substantial relation to success or failure on probation for ISP clients.

In the final area of program process, personal and collateral contacts, it was found that, although the ISP does make more contacts than the pre-ISP program, there were no statistically significant relationships between successful probation outcome and contacting the probationer within 72 hours of sentencing, increased levels of contact during the initial 30-day planning phase, the level of personal contacts over time, or the location of personal contacts over time. Similarly, neither increasing the number of collateral contacts nor the number and proportion of face-to-face contacts increased the likelihood of successful probation outcome.

Under the third major heading, strengthening the program's Risk Assessment Instrument, it was found that neither excluding currently included subjective variables nor including new variables strengthened the ability of the Risk Assessment Instrument to discriminate between probation "successes" and "failures". In the course of conducting the analyses for this section, problems with the original construction of the Risk Assessment Instrument concerning the inclusion and deletion of variables, the weighting of the items, and the predictive ability of the instrument were discovered and are addressed in Chapter Five.

The inconclusiveness of the findings in the areas of program impact and program process may be attributable to some combination of three sources:

1. Data collection problems. Data sources were more extensive for the pre-ISP sample under some circumstances (eg. prior criminal history), and more extensive for the ISP sample under other circumstances (eg. determining risk scores). The impact of the resultant incompatibility of the data on the findings is unknown.
2. Program maturity. The 18-month outcome period used to measure success and failure coincided with the first 18 months of operation of the ISP. It is possible that, had the program "matured" somewhat (i.e., had the outcome period been based later in the development of the program), more significant and conclusive findings would have resulted.
3. Actual differences between the two programs. It may be the case that, even were there no data collection problems, and had a substantial period of time since the inception of the

ISP elapsed, there would be no significant differences between the two samples.

In order to more conclusively determine the impact of the ISP program, the evaluation staff offers the following suggestions:.

1. Future comparisons between the ISP sample and a control group should be made only after better data collection procedures have been implemented. This entails the inclusion of data needed to evaluate ISP processes on standardized ISP forms, and that instructions for completing those forms be unambiguously detailed in the ISP Operational Guidelines.

2. There should be continued training of ISP staff. If ISP probation officers, supervisors and consultants are trained in the types of information necessary (as well as the purpose of that information) to conduct appropriate evaluations, the likelihood of collecting useful data will be increased.

3. There should be further study conducted in all three major areas addressed in this report. The problems concerning the Risk Assessment Instrument which were discussed in Chapter Five should be resolved, and the areas of program impact and program processes should be further addressed after careful consideration of the findings and limitations of this report.



Attachment I

In order to comprehend the full significance of the ISP program components, a brief overview of the practices prevailing in "regular" probation is warranted. Section 351.4 of the Rules and Regulations governing probation in New York State, sets forth three categories of probation supervision - intensive, active and special. The Rules mandate that local probation departments assign cases to a supervision level based upon "community protection and probationer need." This decision, however, typically revolves around the probation officer's subjective opinions concerning the client and time factors, rather than relying upon standardized risk or needs assessment instruments.

The intensive supervision category requires that the probationer be seen personally at least four times a month* and that the probation officer make four collateral contacts monthly. The Rules state that all probationers, unless otherwise indicated, be supervised intensively for the first three months of their sentence, with a six month period for those with a recent history of drug addiction, alcoholism, violence, or mental illness. Cases under active supervision receive at least two personal and two collateral contacts per month. Special supervision cases must be seen at least once a month in person, along with at least one collateral contact. Movement between supervision categories depends upon the probationer's compliance with probation conditions as assessed informally in quarterly supervision summaries in the case file.

Since Section 351.4 of the Rules and Regulations puts forth only general guidelines, local probation departments retain their discretion over the means chosen to implement these minimum standards. Thus, probation practices vary to some extent among the county jurisdictions. Furthermore, there are no explicit limitations of caseload size contained in the State Rules and Regulations. Caseloads fluctuate according to the volume of offenders processed, local probation department funding, the level of state reimbursement - all of which tend to ensure large caseloads, especially in urban areas. The range of adult caseloads varies from a low of 16 cases in Hamilton County to a high of 152 in Kings County.

*Personal contacts in regular supervision can include having the client make contact with the agency rather than with the probation officer.

SECRET

Attachment II

PROGRAM IMPACT HYPOTHESES

Hypothesis 1: "The utilization of the Intensive Supervision Program's strategy and procedure for "high risk" probationers will lead to fewer probation failures when compared to pre-ISP probation clients of similar risk."

Hypothesis 2: "The seriousness of a failure by an ISP probationers will be less than that attributed to a non-ISP probation failure of similar risk."

Hypothesis 3: "The level of harm of a failure by an ISP probationer will be less than that attributed to a non-ISP probation failure of similar risk."

Hypothesis 4: "Failures of ISP will show a reduction in the seriousness and level of harm when compared to the instant conviction."

Hypothesis 5: "The ISP will reduce the institutionalization costs to the State and local counties by an absolute reduction in incarcerative sentences and/or a reduction of incarcerative sentence lengths when compared to non-ISP probation system cases." (DELETED)

Hypothesis 6: "The ISP will increase probation officer contact with probationers, with relevant collateral associates/resources of the probationers, and with community resources when compared to 'regular' probation officers."

Hypothesis 7: "The ISP will increase the utilization of relevant community services/resources when compared to 'regular' probation." (DELETED)

Hypothesis 8: "The ISP will demonstrate an increased rate of referrals to appropriate community resources when compared to 'regular' probation." (DELETED)

PROCESS HYPOTHESES

Hypothesis 1: "Flexibility in role perception by a probation officer will result in more frequent favorable probation outcomes."

Hypothesis 2: "The greater the convergence of the probation officer's role as perceived by the probation officer and the probationer, the more likely a successful outcome on probation."

Hypothesis 3: "The greater the convergence of communication in the supervision interview, the more likely a successful outcome on probation will result."

Hypothesis 4: "The convergence of the content of an interview between an officer and a probationer is a function of the similarity in perception of the officer's role as defined by both."

Hypothesis 5: "As role perceptions diverge, communication content perception also diverges."

Hypothesis 6: "Case record content is a function of the convergence of role perception and communication content convergence of an interview."

Hypothesis 7: "Those ISP probationers which utilize community services in their first and second priority need areas as part of their supervision plan will be more successful in the ISP than those which do not utilize these services."

Hypothesis 8: "Those ISP counties which demonstrate a high level of client use of community resources will have a higher rate of success than those counties with little or not utilization of services."

Hypothesis 9: "ISP probationers for whom program goals and behavioral objectives are clearly stated will be more successful than those for whom goals and objectives are not clearly specified."

Hypothesis 10: "Successful community adjustment while in the ISP is a function of the level of the probationer's involvement in the initial planning process and the developing and identification of supervision goals and objectives." (DELETED)

Hypothesis 11: "Successful community adjustment while in the ISP is a function of the convergence of the need areas identified by the officer and those identified by the client."

Hypothesis 12: "ISP probationers who have supervision plans based on need areas will show a higher rate of success than ISP probationers whose plans are based solely on the orders and conditions of probation."

Hypothesis 13: "The frequency of contact by the officer during the planning phase positively relate to success in the ISP."

Hypothesis 14: "ISP probationers initially seen within 72 hours of the sentence to probation will be more successful on probation than those not seen within 72 hours."

Hypothesis 15: "ISP probationers who demonstrate significant progress toward supervision objectives will be more successful on probation than those who show relatively little or no progress." (DELETED)

Hypothesis 16: "The number of personal contacts over time will relate positively with outcome."

Hypothesis 17: "The more personal contacts that are made out of the 'probation environment', the more likely the probationer will be a success."

Hypothesis 18: "That the nature of collateral contacts impacts on outcome." (DELETED)

Hypothesis 19: "The type of collateral contact (i.e., face-to-face, phone, letter) will impact on outcome."

Hypothesis 20: "The number of collateral contacts impacts positively on outcome."

END