

COMMUNITY SANCTIONS EVALUATION PROJECT



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Prepared by

LYNN PHELAN
Sam Houston State University

LYNN BROWN
South Central Region of the U.S. Parole Commission

CHARLES FRIEL
Sam Houston State University

PARTICIPATING AGENCIES
SOUTH CENTRAL REGION OF THE UNITED STATES PAROLE COMMISSION
SOUTH CENTRAL REGION OF THE BUREAU OF PRISONS
UNITED STATES PROBATION DIVISION IN THE ADMINISTRATION OFFICE OF
THE UNITED STATES COURTS IN THE NORTHERN
DISTRICT OF TEXAS

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Staff resources were lean at the initiation of the project and have become leaner still as the project has progressed. However, the assignment of the U.S. Parole Commission's Lynn Brown as the Project Coordinator, Bureau of Prison's Sandra Opeka as the on site technical assistant and U.S. Probation's Gordon Okada to lend the field perspective, made an idea become a reality.

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SUMMARY

Prison and jail overcrowding has been a major issue to criminal justice professionals for the past decade. While jurisdictions throughout the country have invested substantially in capital expansion of correctional institutions, this expansion has not kept pace with the increasing numbers of offenders being sentenced to institutions. Recognizing the problems facing many institutions, the South Central Region of the U.S. Parole Commission, the South Central Region of the Federal Bureau of Prisons, and the U.S. Probation Division in the Administration Office of the United States Courts in the Northern District of Texas joined with Sam Houston State University and the National Institute of Corrections, developed a program that would measure the cost/benefit of applying community sanctions to a specific group of parolees in danger of having their parole revoked.

The project required that two goals be met: 1) design, test, and document the utility of using spreadsheet technology to evaluate the cost/benefit of alternative community sanctions; and 2) evaluate the cost/benefit of enhanced alternatives proposed by the U.S. Parole Commission in supervising parolees with special drug and alcohol restrictions.

A pool of federal parolees with drug and alcohol special conditions added to their parole was divided into a diversion and control group. Parolees in the diversion group were sentenced to community correction centers if they violated their parole conditions, while parolees in the control group were returned to prison if they violated. A cost comparison was then calculated each month by tracking the parolees in the project as they moved from one phase to another. There were three phases which consisted of counseling and drug/alcohol testing.

There was a significant dollar savings gained by placing parolees into community corrections in lieu of incarceration, as well as a substantial number of prison bed space saved.

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CHAPTER I

INTRODUCTION

The Report to the Nation on Crime and Justice reported that “more than 1/2% of the adult U.S. population was under some form of correctional sanction and that three out of four adults under correctional care or custody were not incarcerated” (BJS, 1989:105). The report further indicates that an increase in admissions in conditional release violators (primarily probation and parole violators) returned to prison has contributed to the prison population growth. According to the Bureau of Justice Statistics (BJS) the incarceration rate for the entire U.S. population was at an all time high (274 per 100,000 U.S. population) (BJS, 1989:102).

One year later the BJS found that the percent of adult population on parole or probation had risen to 1.62%, or “one out of every 46 adults” (1989:104). In the past decade probation and parole populations have increased 126% and 107%, respectively, (“Probation and Parole 1989,” Bureau of Justice Statistics Bulletin).

Over the past ten years, local, state and federal correctional institutions have experienced increasing problems with institutional overcrowding. While jurisdictions throughout the country have invested substantially in capital expansion of correctional institutions, this expansion has not kept pace with the increasing numbers of offenders being sentenced to institutions. Faced with the dilemma of responding to the public’s demand for punishment and limited resources for capital expansion, policy makers have given increasing attention to community correctional alternatives as one means of providing proper

supervision of offenders while attempting to control the escalating costs of institutional expansion. As a result, a number of community alternatives have been created over the past ten years in an attempt to divert offenders from institutional sentences. In addition to the traditional alternatives of probation and parole, sanctions have been implemented such as intensive supervision, electronic monitoring, and restitution centers, to name but a few.

A joint agency conference was held on December 9, 1989, in Dallas Texas, to discuss the rising cost of supervision and the limited bed space in federal institutions. Agencies in attendance were the U.S. Parole Commission, South Central Region (hereafter Parole Commission), the Federal Bureau of Prisons, South Central Region (BOP) and the U.S. Probation Division of the Administrative Office of the United States Courts of the Northern District of Texas (hereafter Probation Division). It was acknowledged by the conference participants that existing policies concerning the issuance of warrants and re-incarceration of parolees who had recorded technical violations for illicit drug use were an expensive utilization of the limited prison bed space. It was agreed that a research project involving community sanctions had merit and should be pursued.

Criteria

The following caveats were established :

1. Research notwithstanding, federal probation/parole officers at any program stage must be able to recommend to the Parole Commission that a warrant be issued immediately if they believe that a releasees actions may endanger public safety.
2. The participants in the project must actually be diverted from occupying a prison bed and not merely placed in an additional community

based program because it has been made available under the project, i.e. no “net widening”.

3. The highest professional level of research obtainable was to be conducted to determine the results of the project.

As alternatives to prison proliferate it becomes increasingly important to evaluate their effectiveness. Ideally, one could randomly sentence a pool of comparable offenders to either institutional or community alternatives and evaluate the comparative effectiveness of these alternatives by contrasting dependent variables such as recidivism rates, time to recidivism, nature of the recidivating offense, cost/benefit, lost opportunity costs, etc. Unfortunately, this ideal condition is difficult to achieve in most operational sentencing environments. Also, it is probably fallacious to compare recidivism rates between a group of incarcerated offenders and those in a community program since it is normally very difficult for incarcerated offenders to recidivate while in prison.

These frustrations aside, however, one useful evaluative criteria is cost/benefit. Assuming that comparable offenders can be identified and placed in community versus institutional alternatives, it is not difficult to calculate the direct and indirect costs, and cost/benefits of institutional versus community alternatives. In fact, the ready availability of user friendly spreadsheet technology designed for personal computers makes such cost comparisons relatively simple.

Evaluators

On February 13, 1990, the Dean and Director of the Criminal Justice Center, Sam Houston State University, Huntsville, Texas, was consulted. The feasibility of conducting the research depended upon procuring the necessary

funding to support the project. The Dean agreed to prepare a proposal to be submitted to the National Institute of Corrections (NIC) for consideration. The NIC approved a budget of \$14,078.88 for a one year evaluation of the Community Sanctions Evaluation Project from September 1, 1990 until September 1, 1991.

Grant Proposal

The proposed project was three-fold. First, identify an operational environment in which a demonstration project could be conducted to determine the relative cost impact of community and institutional alternatives on comparable groups of offenders. Secondly, identify the elements of cost of community and institutional alternatives, and using commercially available spreadsheet technology calculate the month-by-month cost differences and cost savings. Finally, if the demonstration project was successful, document how commercially available spreadsheet technology can be used by policy makers and administrators to quickly and efficiently identify the cost and cost/benefit of various correctional options. Public safety, however, was of paramount importance. Participants clinically assessed as dangerous to the community would have their parole revoked by warrant rather than placed in community sanctions.

The Community Sanctions Evaluation Project was a joint venture between Sam Houston State University, the Parole Commission, the BOP, and the Probation Division. The study group was composed of offenders released on parole with special drug and alcohol restrictions, which if violated under existing policy, would result in their immediate return to prison. Under the terms of the demonstration project, violators were either randomly returned to prison or retained in the community under graduated community sanctions.

Some may question whether results based upon a federal offender sample can be generalized to state or locally administered community correctional alternatives. One must recall, however, that the primary purpose of this project was to test and demonstrate the utility of readily available spreadsheet software in evaluating community sanctions. Although the study involved federal offenders, the model spreadsheet technology developed for the analysis is highly transferable to any state or local unit of government interested in evaluating the cost/benefit of community alternatives. Thus, though the offenders were under federal jurisdiction, the methodology, if successfully demonstrated, would be readily consumable whether analysts are working with local or state programs or programs administered by public or private sector agencies.

GOALS OF THE PROJECT

The goals of this project were twofold:

1. design, test, and document the utility of using spreadsheet technology as a highly transferable technique for evaluating the cost/benefit of alternative community sanctions:
2. evaluate the cost/benefit of enhanced community sanction alternatives proposed for use by the Parole Commission in supervising parolees with special drug and alcohol restrictions.

CHAPTER II

REVIEW OF THE LITERATURE

As prison and jail overcrowding has become a national crisis, the demand for alternatives to incarceration has increased. The void between probation/parole and incarceration needs to be filled. In Alternative Sentencing, (Klein, 1989:iv), Judge Albert Kramer of the Quincy District Court, Trial Court of Massachusetts, commends the authors for providing practitioners with a guide to “ways in which we can fashion substantial sanctions and controls for serious, even violent offenders without incarceration, and, as important, without unduly subjecting the community to increased risk of harm.”

The public’s perception that anything other than incarceration is a “non-sanction” should be changed. Intermediate sanctions should not be an alternative to incarceration but rather the best choice of available alternatives. The verbiage one uses to label a program becomes very important. If a program is labeled an alternative sanction, does that mean that the program is not really appropriate, but will be used regardless? Is the public being cheated by the placement of an offender in an inappropriate program or institution? Indeed, why should the public pay for the high cost of institutionalization when a more appropriate program can be found in the community, for a much lower cost?

Graduated sanctions are needed at both the “back door” and the “front door” to give practitioners the resources needed to deal with each case. “Policy makers and managers across the country are looking for ‘intermediate’ or ‘middle-range’ sentencing options that are tougher than traditional probation

but less stringent and less expensive than imprisonment” (Petersilia 1987:vi). The “revolving door” policy that many correctional systems are forced to practice in order to keep their capacity within guidelines is an ineffective means of dealing with offenders. The decision as to whether or not an offender is incarcerated should not be dependent upon prison or jail capacities.

Two frequently asked questions regarding any new program are: “How much will it cost?” and “Does it work?” “The financial appeal of intermediate and middle-range sentencing programs is seen by many as the primary reason for the surge of interest in such programs” (Petersilia 1987:xi). But, are financial savings the most important cost/benefit of graduated sanctions? Bed space in prison -- federal, state and local -- cannot be purchased at any cost if it is just not available. Prison construction cannot keep pace with demand (Danziger, 1987; Petersilia et al., 1985; Petersilia, 1985; Petersilia, 1987; Morris, 1990; Klein, 1989). “While federal and state governments feverishly appropriate more money to build prisons (44 new institutions in 1987 at the cost of more than \$1 billion), they still cannot keep pace with demand” (Wahl, 1989). Trisler and Barrow, in “America’s Overcrowded Prisons,” estimate that it would cost \$1.8 billion to double the current federal prison capacity and that would only lower the overcrowding rate, not eliminate it. Even if enough prisons could be built to satisfy the demand, there are not enough trained personnel to staff them. In addition, operating costs are higher than construction costs.

“Does it work?” can be approached from a different aspect. Is the question asking if recidivism can be reduced or is it asking if offenders can be housed as safely but less expensively? Perhaps the question should be, “Is the offender being sentenced to the proper sanction?” “There are certainly prisoners who in terms of risk to society or other punitive purpose need not serve the prison terms now imposed” (Morris & Tonry 1990:14).

Traditional sentencing practices have allowed paroling authorities to select inmates for discretionary early release. Intermediate sanctions can be imposed toward the latter portion of the prison term, in lieu of a secure prison, and allow for more gradual reintegration into the community, i.e. a halfway house. Intermediate sanctions can also be used with parolees who have violated their paroles rather than their immediate return to a closed facility. In determinate sentencing, the court has the authority to impose available options.

Rehabilitation versus punishment has been in the forefront of criminological concern since the early 1970s. "Does rehabilitation work?" has been a difficult question to answer. Noted criminologists have attempted to answer the question by analyzing program results and drawing summative conclusions (Martinson, 1976; Palmer, 1978; Ross, 1988; Garrett, 1985; Gendreau, 1979; Andrews, 1990). Some of these reports are rhetorical debates that attempt to defend poorly articulated concepts. Others, however, are comprehensive studies on the effectiveness of offender rehabilitation programs on juvenile and adult offenders. Gendreau and Ross (1987) have studied the rehabilitation effects of programs for two decades. They summarize their research by saying "... it is down right ridiculous to say 'Nothing works.' ... Much is going on to indicate that offender rehabilitation has been, can be, and will be achieved. The principles underlying effective rehabilitation generalize across far too many intervention strategies and offender samples to be dismissed as trivial" (1987:395)

Summary

As the need for prison bed space becomes greater, so does the demand for intermediate sanctions. Probation and parole officers do not want to see the same offenders year after year. Locking them up and throwing away the key is

no longer a viable solution. If the 1980s was the decade of the “War on Drugs” then the 1990s may be the decade of “Intermediate Sanctions.” Criminal justice professionals are searching for alternatives to incarceration, not only because the prisons are full and in some cases over capacity, but because prison alone is not the answer to all offender problems.

The effects of alcohol and drug abuse on crime has been well established. In its FY 1988 Report on Drug Control the Bureau of Justice Assistance states: “the link between drug use and crime has been firmly established, making it difficult to discuss one to the exclusion of the other.” Despite this, treatment programs have been “undervalued as weapons in the so-called ‘drug war,’ . . . despite over-whelming scientific evidence . . . that treatment works and is cost effective” (Rua 1990). The Community Sanctions Evaluation Project emphasizes treatment for parolees who violate parole conditions by using drugs or alcohol. The “existing statistical average of one year of incarceration for a violator returning to abuse of drugs is an extremely expensive utilization of very limited prison space” (Brown 1991).

This project attacks the following cycle that most drug offenders find themselves in:

Drug use -> Prison -> Parole -> Drug use -> Return to Prison

Placing parole violators into a community corrections center, or an inpatient program with drug and alcohol treatment, may break this cycle. The goal is to keep the parolee in the community for a longer period of time, at a reduced cost to the criminal justice system, and without any greater risk to society.

CHAPTER III

METHODOLOGY

The methodology used in the Community Sanctions Evaluation Project includes (1) the community sanction phase, and (2) the spreadsheet phase.

The community sanction phase required the researchers to define the community sanctions to be used and the procedures that would be followed by the agencies involved. In this chapter the operationalization of each phase of the community sanctions will be explained, as well as the procedure used to make random assignments to the control and diversion groups. Communication between the agencies involved will also be described.

The second phase of the methodology required the researchers to develop a spreadsheet to evaluate the community sanctions which will be discussed in a latter section of this chapter.

Community Sanctions Phase

Operationalization: Parolees and mandatory releasees with special drug/alcohol aftercare conditions are routinely assigned to a higher degree of supervision than other parolees and generally have a higher recidivism rate. Thus federal probation/parole officers have at their disposal a wide variety of programs where they may place a releasee. They may use their discretion in determining which program(s) is/are best for the releasee. They decide the supervision level and treatment levels applicable for each individual. This is not a criticism of a federal probation/parole officer's discretion. In point of

fact, discretion must be available. For example, the resources for drug abuse counseling/treatment in a metropolitan area will, in all probability, not be available to the same extent in non-urban areas. Probation/parole officers must have the option to use what is available.

Various agencies were involved, including the BOP, the Parole Commission, the Probation Division, the Volunteers of America Community Correction Centers (CCC), private drug abuse counselors, and drug analysis companies. The lack of centralized information on the cost of treatment and alternative sanctions currently used by probation/parole officers was immediately evident. Although some of the individuals involved with this project had many years experience in supervising parolees, there was a lack of knowledge of the overall resources available. This made it difficult to establish a model treatment plan,

Once the program began, it became clear that there was a multitude of programs utilized by federal probation/parole officers on a routine basis to refer individuals experiencing drug/alcohol difficulties. Since there were no “hard and fast” rules governing the use of these treatment conditions, it made it impossible to operationalize this portion of the parolee’s supervision. A parolee in this phase of the project was referred to as being on “regular parole”.

Control and diversion group members in the Community Sanctions Evaluation Project received the same programming, regular parole, unless the first intervention steps did not rectify the releasee’s behavior or the violation was of such magnitude that warrant issuance was considered. Prior to that juncture, both the diversion and control group participants had been exposed to urine surveillance and counseling. If they were previously alcohol dependent, then they participated in 48 hours of Alcohol Anonymous meetings per year, if previously dependent upon other drugs, Narcotics Anonymous meetings once

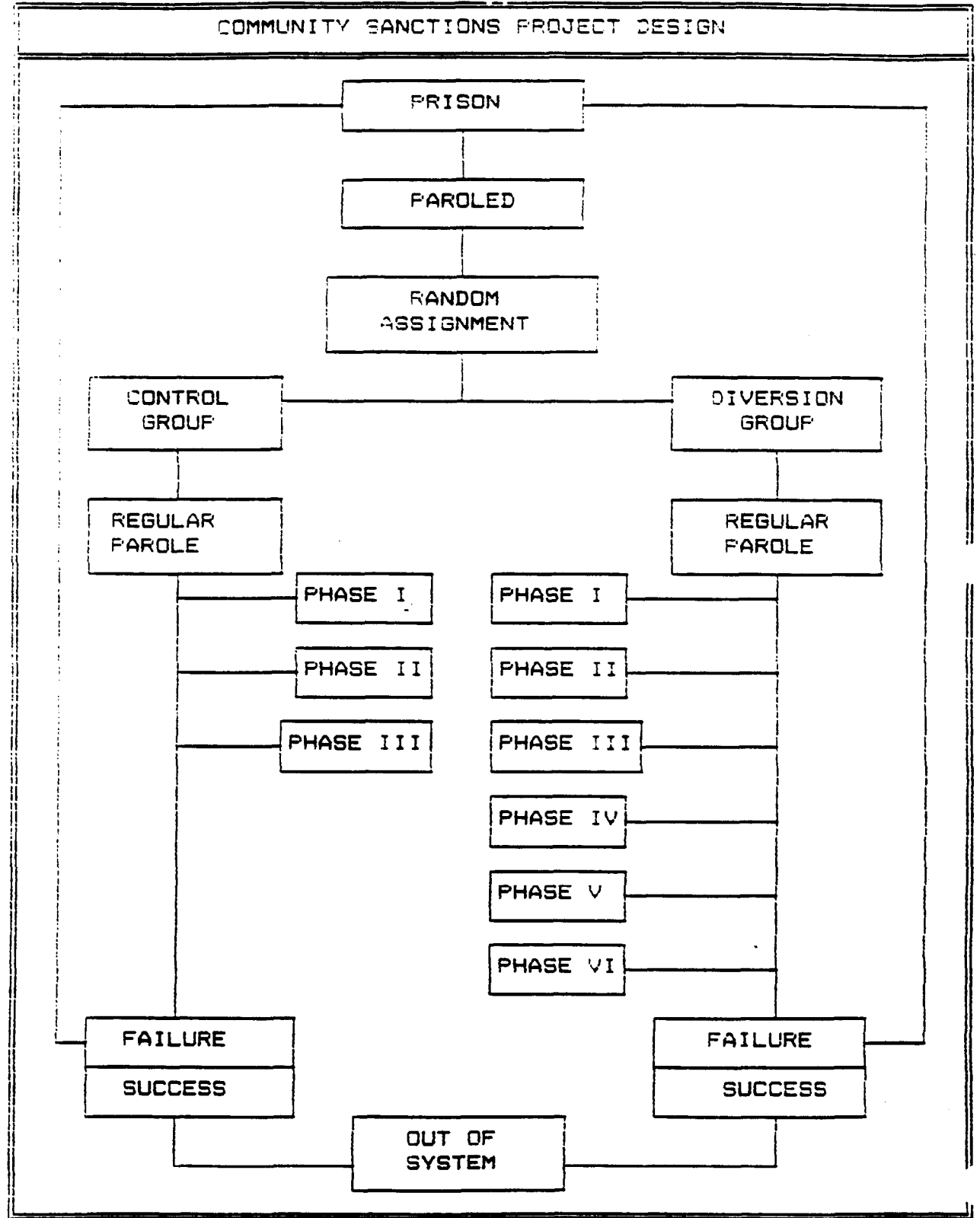
per week. Both groups were required to attend 20 hours of rational behavior training, 16 hours of addiction workshop and a wellness/physical fitness orientation. If the probation/parole officer determined that the parolee had violated the terms of his/her special conditions, the parolee was placed in Phase I. In Phase I the parolee was required to have six urinalyses a month and had to attend four counseling sessions. If the parolee successfully completed Phase I, he/she moved into Phase II. Figure 1 presents a schematic of the project design and Appendix A is a schedule of each phase of the community sanctions component of the project.

Phase II reduced the amount of urine surveillance and counseling sessions. The parolee was required to have four urinalyses a month and had to attend three counseling sessions. If the parolee successfully completed Phase II treatment, he/she was moved into Phase III treatment.

In Phase III the urine surveillance and counseling sessions were further reduced. The parolee was required to have two urinalyses a month and had to attend two counseling sessions monthly. If the parolee successfully completed Phase III, he/she was returned to regular parole with drug/alcohol aftercare.

Up to this point, parolees in the diversion and control group were treated identical. All available programs were utilized to assist the releasee without endangering the public. These included regular parole with drug/alcohol aftercare, Phase I, Phase II, and Phase III. Because both groups were treated equally, the same per capita costs were assigned to each group. The cost assigned was based on a memorandum from the Administrative Office of the United States Courts, August 7, 1991, which established the cost of parole supervision (\$3.80) plus the added cost of drug/alcohol aftercare (\$5.67) for a total cost per day of \$9.47 (see Appendix C).

FIGURE 1 PROJECT DESIGN



When a parolee's violation behavior was significant enough for the probation/parole officer to request a warrant from the Parole Commission, differentiation between the two groups began. It was very important that participants be treated equal until the parolee's violations would normally have been sufficient to have a warrant issued; otherwise, the project would only be "widening the net." Participants were identified as being in either the control or diversion group only after a decision was made to issue a warrant. The identification of control and diversion group participants, therefore, was kept in strict confidence and not distributed to the participating agencies. Only when a request was made for a warrant to be issued was the parolee's group identity disclosed.

Following the decision to issue a warrant on a participant, the differentiation between the two groups began. The participants in the control group were returned to prison via a warrant, and the participants in the diversion group were ordered into the community corrections component. In the community corrections component the participants received additional orientation and counseling on social coping, interaction with family, and co-dependency as well as increased urine surveillance and drug counseling. The community corrections component had three phases, Phase IV, Phase V, and Phase VI.

Phase IV involved placement in a community corrections center which allowed a furlough release for employment. The parolees were required to contribute to the cost of their residency through subsistence payments. They were also required to attend outside contract drug aftercare counseling once a week. Urine testing was done at each counseling session. In addition, the substance abuse program of the community corrections center consisted of drug aftercare counseling, urine surveillance, and alcohol testing. If the parolee

was successful in this phase, he/she was returned to Phase I of regular parole. If they were not successful (submitting a urine specimen that was positive for illicit drug use or by failing to abide by program requirements) they were put into Phase V.

Phase V was full house restriction (FHR) for 30 days inside the CCC facility. In this phase, the CCC functions as a facility for punitive incarceration. No furloughs for employment or other community activities are allowed. Failure within Phase V resulted in the issuance of a warrant.

Success with Phase V allowed the parolee to be moved into Phase VI. In Phase VI the parolee was assisted in locating employment and establishing residence. All treatment programs and urine surveillance applicable to Phase IV applied to Phase VI. Once employment and residence were established, the Probation Division, in conjunction with the CCC, could request that electronic monitoring be initiated for a 60 day period. The parolee paid a fee based upon a percentage of his/her gross monthly income to the probation division on a sliding scale ability-to-pay basis. Success allowed the parolee to revert to Phase II.

The project goals notwithstanding, the Probation Division could at any program stage, and with either group, recommend to the Parole Commission that a warrant be immediately issued if it was thought that a parolee's actions may endanger public safety.

Random Assignment: To be selected as a participant in this project the parolees had to meet the following criteria:

1. Be released from prison with a special alcohol aftercare condition, a special drug aftercare condition or both alcohol and drug special conditions.
2. Have at least six months remaining on parole.

3. Have been assigned to the Dallas, Ft. Worth, Arlington or Garland Texas probation offices.

A pool of parolees who met the above criteria was randomly assigned to either a diversion (alternative sanctions) or a control group. Assignment was made using a random table of numbers (Levin and Fox, 1988:440). In making an assignment the following procedure was followed:

1. The list was sorted by the date the parolee was placed on parole.
2. The next random number was then selected. If the number was odd, the parolee was placed in the diversion group. If the number was even, the parolee was placed in the control group.
3. The assignments would then alternate back and forth, diversion to control, until all of the parolees on the list had been assigned.

The pool consisted of parolees who had been on parole from one day to three years. Statistics show that the longer a parolee is on parole, the better are his/her chances of success (Allen et al., 1985:252). The pool was first sorted by the date of release and then random assignments were made. If the pool had not first been sorted on the date, there was a chance that one group would have more newly released parolees than the other.

The random assignment alternated back and forth by chronology of release date to ensure that the groups remained fairly equal in size. For example, if the first random assignment was to the control group, then the second person on the list was assigned to the diversion, the third to the control and so on, until everyone on the list was assigned to a group.

In addition, the pool increased each month as new parolees were released who met the above criteria and were placed into the program. The project began with a sample of 211 parolees and continually replaced parolees who successfully completed their parole or who were sent back to prison for

parole violations. To date, 31 parolees in the project have successfully completed their parole term.

Approximately once a month the probation/parole offices were contacted to obtain a list of new parolees who fit the projects criteria. Assignment of new participants was made following the same procedure as used for the original list. Close contact was kept with the on-site technical assistant in the Parole Commission's office to stay abreast of any parolees who needed assignment before they were processed through the probation/parole offices. This occurred frequently because of the high recidivism rate of new parolees within the first month. Occasionally, a request for a warrant to be issued occurred before the parolee was processed. In such cases, assignment to either group was made by selecting the next number from the random number table.

Communication. Communication is a vital element to any multiagency research project. It became apparent early that communication between the evaluators and the participating agencies was crucial. Site visits were made to each of the four probation offices and to both of the community corrections centers by the program evaluator and the project coordinator from the Parole Commission. The program was explained to each agency in detail and questions were answered. On a routine basis, preliminary findings were shared with each agency participating in the project.

Communication was a key element in the accurate and valid identification of qualified participants in the project. During the first two months of the project numerous list revisions occurred. This was due to the decentralization of the various agencies involved. Each agency was responsible for its own internal data collection. A lack of uniformity in those systems and no central means of verifying and consolidating incoming information created a problem.

For example, the original data base of parolees originated from a computer sort compiled by the Probation Division. It was noted that there were various problems with the data base emanating from a variety of input errors. Some errors originated when the parole certificates were issued. Others occurred when a regular parole term was terminated early to begin a special parole term and the original date not changed in the data base. There were also clerical errors, such as an individual listed in the data base as having an alcohol condition when in fact, a drug condition was ordered. Some releasees identified in the data base as parolees were actually on probation or supervised release, over whom the Parole Commission had no jurisdiction.

To improve communications between the program evaluator and the participating agencies, a system was developed wherein the Parole Commission appointed an on-site technical assistant to verify all information received by the project evaluator. Communications improved significantly once each of the four parole/probation offices and the two CCC's assigned a contact person and a back up person to furnish the information requested by the program evaluator.

The on-site technical assistant in the Parole Commission's office alerted the program evaluator of any status change of the participants. For example, if a warrant was issued, the on-site technical assistant from the Parole Commission's office informed the project evaluator of the participant involved and the exact date the warrant was issued. Other information would include placing a participant on electronic monitoring, into the CCC, or a change in the drug or alcohol conditions.

The demonstration project extended over one year (August 1, 1990 to August 31, 1991) to assure that an ample number of parolees passed through the various phases of the program, allowing sufficient time for meaningful

recidivism patterns to emerge. The data reported for this study include all **13** months.

Spreadsheet Technology

Spreadsheet: Spreadsheet technology has been used in accounting and finance as an invaluable tool in explicitly determining the assets and liabilities of various economic choices. So popular is the technique that it is now readily available in inexpensive software packages. Spreadsheet technology appears to have great applicability to criminal justice policy makers in determining the cost/benefit of placing offenders into correctional options.

Excel, the spreadsheet technology used in this study, is a Microsoft Corporation software package designed to work on both Apple Macintosh and IBM compatible personal computers. Electronic spreadsheets like Excel, have been on the market since 1979. Their popularity stems from their affordability, under \$100 to over \$500, and from the ease with which the numerical data can be manipulated (Kroenke & Dolan, 1990).

The electronic spreadsheet is similar to a paper ledger used by accountants but with a built in calculator. Most electronic spreadsheets have built in features that allow for automatic recalculations, customized formulas, and graphics. Like a paper ledger, the electronic spreadsheet has rows and columns. The columns are lettered and the rows are numbered so that each cell has an "address." In Figure 2, the address for the word "YEAR" is A1 (column A, row 1). Total for parole, "30", is in cell D3. The "addresses" are used to locate values when building customized formulas.

FIGURE 2 Spreadsheet Addresses

(cell)	A	B	C	D	E
1	YEAR	1989	1990	TOTAL	AVG
2	PRISON	10	15	25	12.5
3	PAROLE	5	25	30	15

The automatic recalculation feature in the spreadsheet allows changes to be made without reworking the entire spreadsheet. For example, in Figure 2, if the number on parole in 1989 was changed from 5 to 10, the TOTAL would automatically be updated from 30 to 35 and the AVG would change to 17.5. In cell D2 and D3 there are formulas that define which cells are added together to find the total. For example, in cell D2 the formula would be “=SUM(D2:C2).” While the formulas can be designed to meet the needs of the user, they must follow standard mathematical logic. Every electronic spreadsheet program defines the parameters around which the formula can be built. Most programs, for example, use “=” to indicate the beginning of a formula and “/” to indicate when two numbers are to be divided. The formulas are not visible on the printed spreadsheet but are visible on the computer screen.

The spreadsheet designed for this project uses all of the features described above to display the cost/benefit associated with using community sanctions. Working with the Parole Commission, BOP and the Probation Division, the costs associated with each phase of the graduated sanctions were identified. On a monthly basis, the spreadsheet displays the individual cost of the diversion and the control group, as well as a comparative cost between the two groups (Figure 3). The monthly cost **was** based on the per capita expense

FIGURE 3 SPREADSHEET EXAMPLE

ROW NO	GROUP/SANCTION	AUG (31)		SEP (30)		OCT (31)	
		NO. DAYS	COST	NO. DAYS	COST	NO. DAYS	COST
DIVERSION GROUP		(a)	(b)	(a)	(b)	(a)	(b)
1	PAROLE (9.47)	2996	28372.12	3061	28987.67	3342	31648.74
2	CCC (32.58)	35	1140.30	72	2345.76	80	2606.40
3	EM (6.00 + 7.96=13.96)	0	0.00	0	0.00	0	0.00
4	PRISON (49.07)	7	343.49	48	2355.36	62	3042.34
5	NUMBER OF PARTICIPANTS		104		109		115
6	GROSS TOTAL	3038	29855.91	3181	33688.79	3484	37297.48
7	FEES COLLECTED	0	0.00	607.96	607.96	229.00	229.00
8	INSTITUTIONAL COST SAVINGS	35	-577.15	72	-1795.24	80	-1548.20
9	CUMULATIVE INSTITUTIONAL COST SAVINGS	35	-577.15	107	-2372.39	187	-3920.59
10	NET COST PER DAY		9.64		9.84		10.20
11	NET COST PER MONTH		29278.76		31285.59		35520.28
12	CUMULATIVE NET COST PER MONTH		29278.76		60564.35		96084.63
CONTROL GROUP							
14	PAROLE (9.47)	3227	30559.69	3217	30464.99	3494	33088.18
15	PRISON (49.07)	52	2551.64	90	4416.30	124	6084.68
16	NUMBER OF PARTICIPANTS		107		112		121
17	NET TOTALS	3279	33218.33	3307	34993.29	3618	39293.86
18	CUMULATIVE NET COST PER MONTH		33218.33		68211.62		107505.48
19	NET COST PER DAY		10.13		10.58		10.86
COMPARATIVE COSTS							
21	DIVERSION: GROSS SAVINGS		3362.42		1304.50		1996.38
22	DIVERSION: NET SAVINGS		3939.57		3707.70		3773.58
23	NET SAVINGS %		11.86		10.60		9.60
24	CUMULATIVE NET SAVINGS		3939.57		7647.27		11420.85
25	CUMULATIVE BED SPACE DAYS SAVED		35		107		187
5/14/92 11:37							

for each phase. In August 1990, for example, there were 35 per capita days expended in the diversion group. The cost, therefore, would be 35 x \$32.58, or \$1,140.30 (row 2). Each month a tally was taken to determine how many per capita days were to be charged to each phase. A gross total was then computed (row 6 and row 17).

In the diversion group the gross total (line 6) was then adjusted by the indirect savings. The indirect savings are the fees collected (line 7) and the institutional cost savings (line 9). The amount of fees collected was obtained from the community corrections centers each month, and included the amount of subsistence payments each parolee in the program made to the center and the amount of social security and federal income tax the parolee paid each month.

The institutional cost savings was determined by calculating what it would cost to place the parolees into prison instead of CCC. For example, in August 1990 there were 35 community corrections center days expended at a cost of \$1,140.30. If those 35 days had been spent in prison, the cost would have been \$1,717.45. The difference in the two costs, \$577.15, is the institutional cost savings (row 8).

The diversion group's net cost per month and per day could then be calculated using the institutional cost savings and the gross total. The institutional cost savings (row 9) was subtracted from the gross total (row 6). For August the calculation would be:

$$\$29,855.91 - 577.15 = \$29,278.76.$$

To calculate the daily per capita cost, the net cost per month (row 11) was divided by the gross total per capita days for the diversion group (row 6) The net cost per day would be \$29,278.76 divided by 3038, or \$9.64 (row 10).

The control group costs were calculated in the same manner. The prison cost (row 4 and row 15) for a participant began when a warrant was issued. The assumption was even if the parolee was not currently in custody, the costs would be incurred in the future, so the costs were brought forward on a monthly basis.

The spreadsheet provides a comparative cost analysis between the two groups showing the gross and net savings, cumulative net savings and the cumulative bed space days saved. Gross savings (row 21) were calculated by subtracting the gross cost of the diversion group (row 6) from the gross cost of the control group (row 17). The indirect savings (row 9) of the diversion group were then added to the gross savings to calculate the net savings (row 22). The net savings percent indicates what percent the comparative net savings (row 22) is of the control groups net total (row 17).

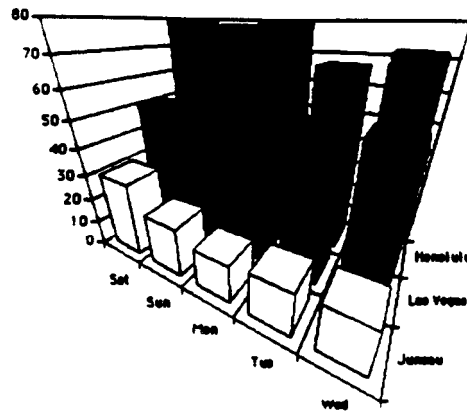
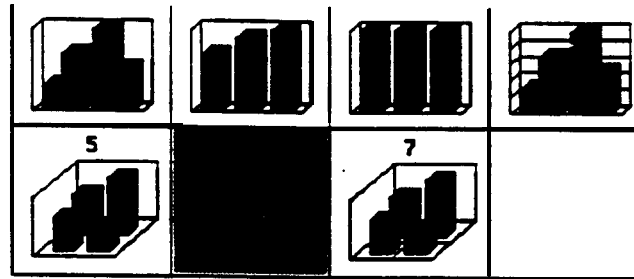
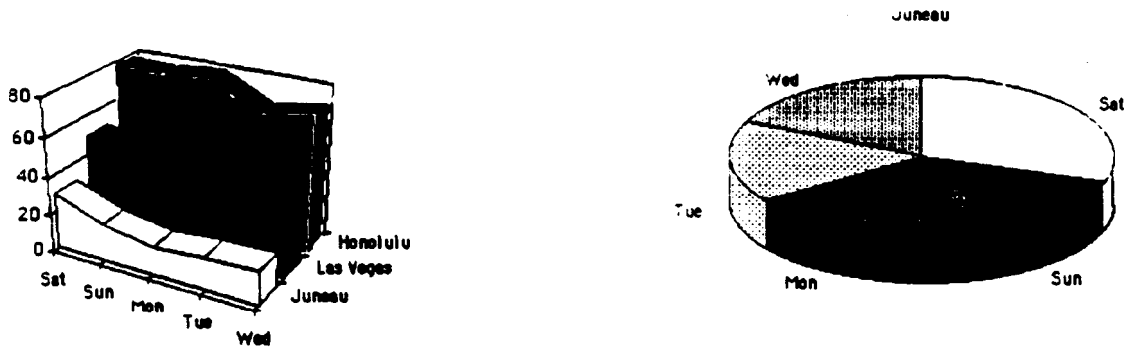
The cumulative bed space days saved (row 25) was one of the most important calculations displayed on the spreadsheet. This number represents the number of prison bed space days saved by diverting parolees into the community corrections centers. For every 365 days accumulated, the project saved the cost of construction and operation of one prison bed for an entire year.

By individualizing each factor affecting the cost of a program, the spreadsheet was able to calculate on a daily, weekly, monthly or yearly schedule the cost/benefit of the program. Changes in program cost could be easily updated. For example, in the operationalization phase of this project, the cost of parole, prison bed space, and halfway house supervision was established from the information provided by the Administrative Office of the United States Courts in a memorandum to all Chief Probation Officers (see Appendix C). In January, five months after the project began, an updated cost

for prison bed space and halfway house supervision was ascertained. Because of the flexibility and automatic recalculation feature of the spreadsheet the new figures were incorporated into the analysis without difficulty or delay.

Graphics: Also available in most spreadsheet programs are graphic display capabilities. Graphics give a spreadsheet presentation the visual impact that is lost using numbers alone. The larger and more complicated a spreadsheet is, the more important graphics become. Graphs can be generated by the electronic spreadsheet without duplicating any calculations. To generate a graph the operator first must select the cells he/she would like to represent graphically. The values in each cell are then electronically transported into the graphics package. Once the values are in the graphic package, the operator can choose from many different types of display options. Figure 4 represents the types of graphs that are available in the Excel program. This project used three graphs to emphasize the comparative net savings, diversion group savings, and bed space days saved.

FIGURE 4 EXAMPLE OF GRAPHICS



CHAPTER IV

ANALYSIS

The purpose of this project was to develop a community sanctions program for parole violators and to measure the cost/benefit of that program through the use of spreadsheet technology. In this chapter the community sanctions used will be analyzed followed by the results of the project. The spreadsheet and graphics designed will be used to display the results.

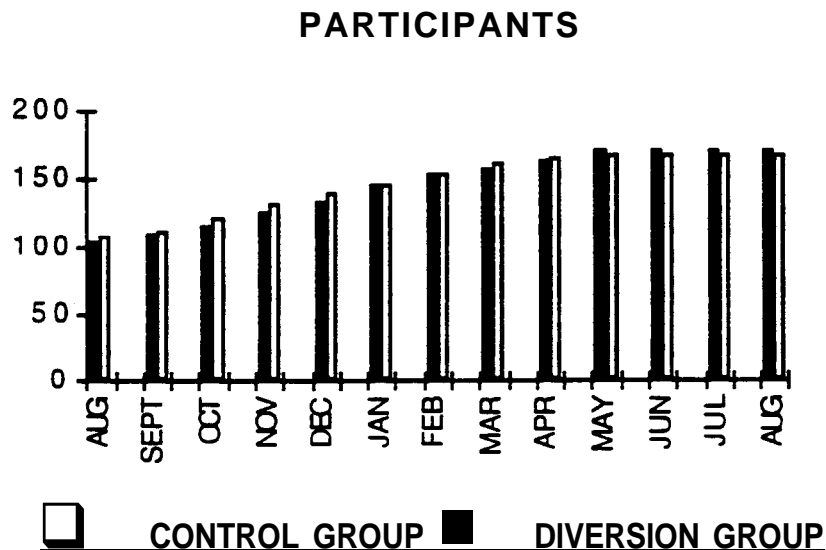
Community Sanctions Program

The criteria for the original pool of participants included a stipulation that any federal prisoner paroled after 1988 had at least six months remaining on his/her parole, and was otherwise eligible, was included in the program. The data collection began in August of 1990 with a total of 211 parolees. In August of 1991 there were 340 parolees in the program. The total number of participants grew by 129 participants during the thirteen months of data collection. As shown in Figure 5, the number of participants in each group grew at approximately the same rate. Due to random assignment, there are some small fluctuations, but only minor differences from month to month.

Some parolees absconded from the CCC during Phases IV and V. This was a happenstance predicted by U.S. probation/parole officers assisting in the projects development. However, there has been a comparable number of absconders from the control group as well. This is an issue that does not seem

to be related to the project but rather a pattern related to parolees who violate their drug and alcohol special conditions.

Figure 5 Number of Participants



Unfortunately, the community sanctions project has not prevented the parole violators in this program from returning to prison, but it has delayed the inevitable. There were 35 parolees in the diversion group who had their cases reviewed by the Parole Commissioner for possible revocation. It should be noted that when a case is sent to the Parole Commissioner, the parole officer has already used every means available to work with the parolee. Once a case is sent to the Parole Commissioner the chances of having a parole revoked is very high. Of the 35 cases that the Parole Commissioner reviewed, 16 had warrants issued without being placed into the community corrections center. In these cases the Parole Commissioner felt that the override (a warrant was issued instead of CCC placement) was necessary to ensure the safety of the public. There were eighteen placements into the CCC. Fourteen had warrants

issued either while still in the CCC or after release from the CCC. There were 37 warrants issued in the control group. Appendix D gives a breakdown of all warrants issued, the reason for the revocation, and the length of the sentence given by the Parole Commission.

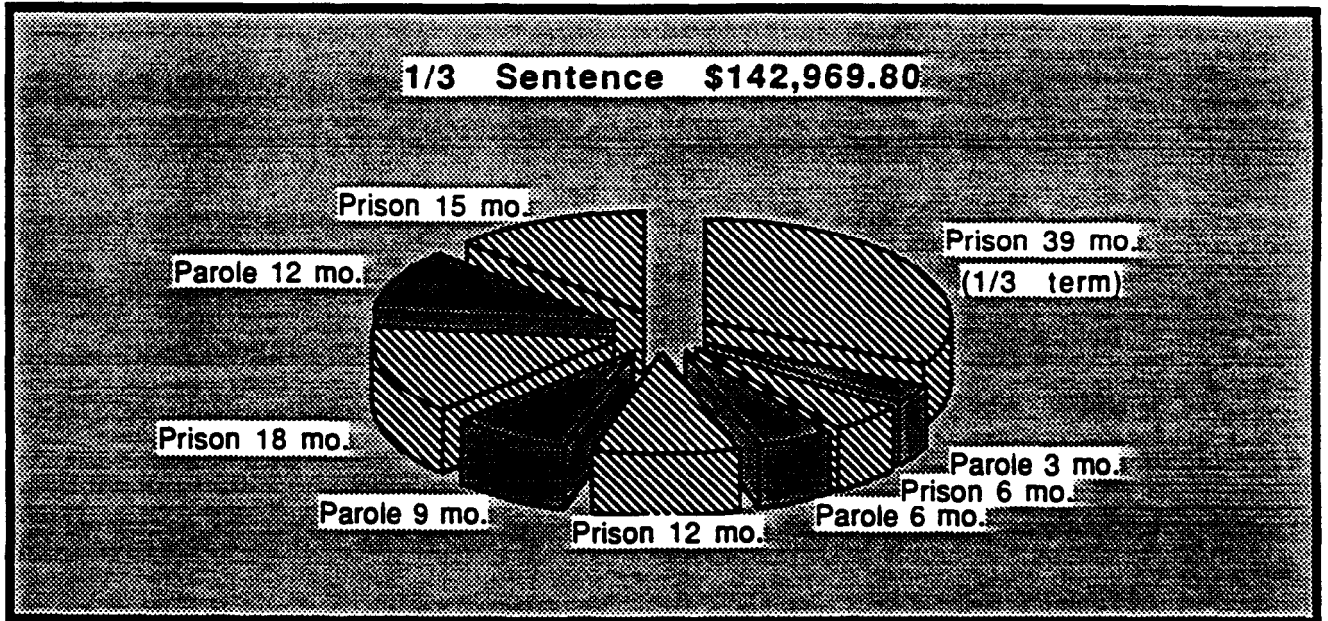
This is not to say that the parolees are not benefiting from the project. Studies show that very rarely do drug/alcohol offenders stay off drugs/alcohol after participating in one, two or even three substance abuse programs. It is usually after they have gone through a number of programs that they turn their lives around (Rua 1990). One theory is that they retain various aspects of what they have learned from each program, and when they finally decide to change their lives they use the skills they have been taught in the different programs over the years (Brown, 1991a).

There is also the long term benefit gained by postponing the parolee's return to prison. This can best be explained by examining a ten year sentence. Using 1990 cost figures, a ten year sentence, if served in an institution until its expiration, would cost \$179,090.00, (10 years @ \$49.07 per day). Serving 1/3 of the ten years is more realistic, so this example will assume that 39 months are served before being paroled. The same scenario is used in both examples, except, CCC is used in one and not the other. As can be seen in Figure 6, by using community corrections for three months, and then returning the parolee to parole, the amount of time spent in the community during the ten year sentence is extended. This creates a savings of \$11,741.20 over a ten year period for just one offender.

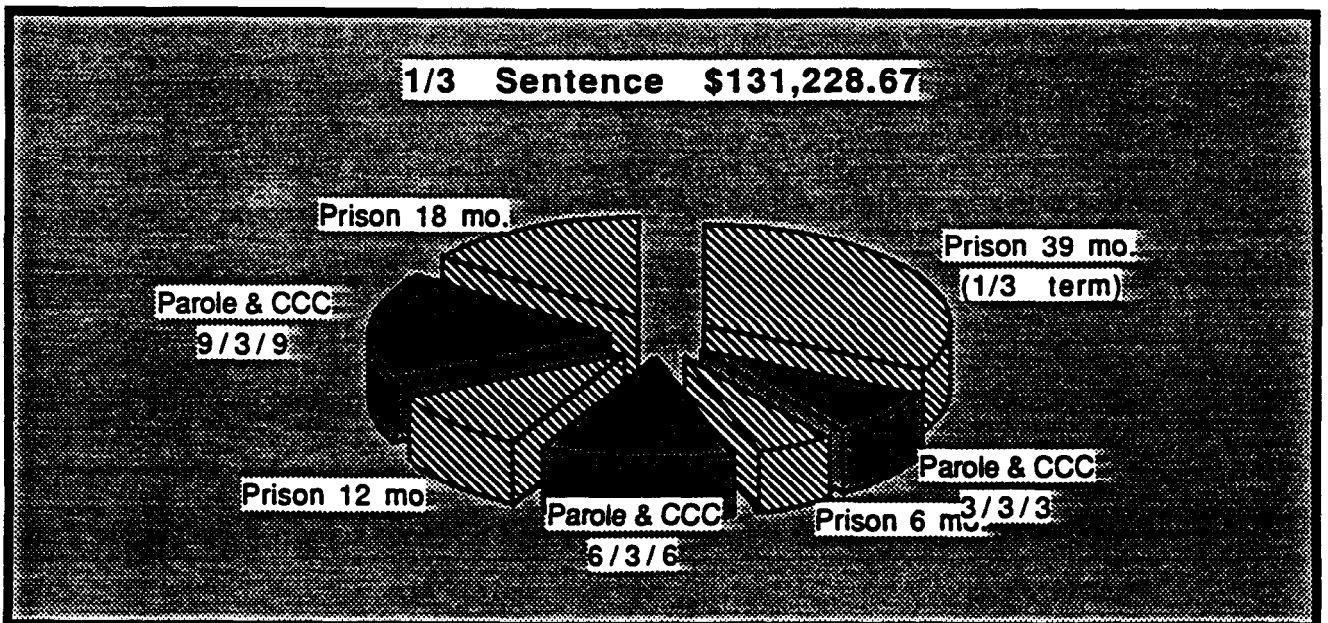
FIGURE 6

TEN YEAR PRISON SENTENCE

PRISON AND REGULAR PAROLE



PRISON, PAROLE, AND CCC



SAVINGS IN ONE YEAR

\$11,741.20

During the term of this project the South Central Office of the Federal Bureau of Prisons was under contract with the Volunteers of America Corporation to provide beds in their community corrections centers. The preexisting contract formed the boundaries of control over the centers. Unfortunately there was a significant number of turnovers in personnel during the project. This did not give the residents a stable environment to live in. The community corrections centers were the primary community sanction available to this project, but, they were also the component over which the project had the least control.

Evaluation Technology

The spreadsheet and graphs demonstrate that spreadsheet technology can be used to evaluate community sanctions. Figure 7 provides a balance sheet that can be used to assess the cost/benefit of the program. The graphs (Figures 8, 9 and 10) provide valuable visual tools to demonstrate the savings found in the spreadsheet.

Spreadsheet The spreadsheet can be analyzed in two ways, diversion group savings and comparative savings. The cumulative savings obtained by the diversion group totaled \$26,680.59 (Figure 7, row 9). The diversion group savings only reflect the savings from a CCC placement: therefore, the \$26,680.59 savings was earned by 18 participants in thirteen months. The comparative savings reflect the additional savings gained by the CCC placements. After release from the CCC, they return to regular parole. In the control group, those who are re-incarcerated receive an average of at least one year, thus costing a substantial amount more than the CCC placements.

FIGURE 7

ROW NO	GROUP/SANCTION	AUG (31)		SEP (30)		OCT (31)	
		NO. DAYS	COST	NO. DAYS	COST	NO. DAYS	COST
DIVERSION GROUP		(a)	(b)	(a)	(b)	(a)	(b)
1	PAROLE (9.47)	2996	28372.12	3061	28987.67	3342	31648.74
2	CCC (32.58)	35	1140.30	72	2345.76	80	2606.40
3	EM (6.00 + 7.96=13.96)	0	0.00	0	0.00	0	0.00
4	PRISON (49.07)	7	343.49	48	2355.36	62	3042.34
5	NUMBER OF PARTICIPANTS		104		109		115
6	GROSS TOTAL	3038	29855.91	3181	33688.79	3484	37297.48
7	FEES COLLECTED	0	0.00	607.96	607.96	229.00	229.00
8	INSTITUTIONAL COST SAVINGS	35	-577.15	72	-1795.24	80	-1548.20
9	CUMULATIVE INSTITUTIONAL COST SAVINGS	35	-577.15	107	-2372.39	187	-3920.59
10	NET COST PER DAY		9.64		9.84		10.20
11	NET COST PER MONTH		29278.76		31285.59		35520.28
12	CUMULATIVE NET COST PER MONTH		29278.76		60564.35		96084.63
CONTROL GROUP							
14	PAROLE (9.47)	3227	30559.69	3217	30464.99	3494	33088.18
15	PRISON (49.07)	52	2551.64	90	4416.30	124	6084.68
16	NUMBER OF PARTICIPANTS		107		112		121
17	NET TOTALS	3279	33218.33	3307	34993.29	3618	39293.86
18	CUMULATIVE NET COST PER MONTH		33218.33		68211.62		107505.48
19	NET COST PER DAY		10.13		10.58		10.86
COMPARATIVE COSTS							
21	DIVERSION: GROSS SAVINGS		3362.42		1304.50		1996.38
22	DIVERSION: NET SAVINGS		3939.57		3707.70		3773.58
23	NET SAVINGS %		11.86		10.60		9.60
24	CUMULATIVE NET SAVINGS		3939.57		7647.27		11420.85
25	CUMULATIVE BED SPACE DAYS SAVED		35		107		187
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FIGURE 7, CONTINUED.

ROW NO.	GROUP/SANCTION	NOV (30)		DEC (31)		JAN (31)	
		NO. DAYS	COST	NO. DAYS	COST	NO. DAYS	COST
DIVERSION GROUP		(a)	(b)	(a)	(b)	(a)	(b)
1	PAROLE (9.47)	3381	32018.07	3730	35323.10	3954	37444.38
2	CCC (32.58)	131	4267.98	126	4105.08	152	4952.16
3	EM (6.00 + 7.96=13.96)	0	0.00	0	0.00	0	0.00
4	PRISON (49.07)	94	4612.58	160	7851.20	202	9912.14
5	NUMBER OF PARTICIPANTS		126		134		146
6	GROSS TOTAL	3606	40898.63	4016	47279.38	4308	52308.68
7	FEES COLLECTED	184.09	184.09	573.98	573.98	253.79	253.79
8	INSTITUTIONAL COST SAVINGS	131	-2344.28	126	-2651.72	152	-2760.27
9	CUMULATIVE INSTITUTIONAL COST SAVINGS	318	-6264.87	444	-8916.59	596	-11676.86
10	NET COST PER DAY		10.64		10.97		11.44
11	NET COST PER MONTH		38370.26		44053.68		49294.62
12	CUMULATIVE NET COST PER MONTH		134454.89		178508.57		227803.19
CONTROL GROUP							
14	PAROLE (9.47)	3554	33656.38	3819	36165.93	3914	37065.58
15	PRISON (49.07)	229	11237.03	346	16978.22	409	20069.63
16	NUMBER OF PARTICIPANTS		132		139		146
17	NET TOTALS	3783	45025.41	4165	53283.15	4323	57281.21
18	CUMULATIVE NET COST PER MONTH		152530.89		205814.04		263095.25
19	NET COST PER DAY		11.90		12.79		13.25
COMPARATIVE COSTS							
21	DIVERSION: GROSS SAVINGS		4126.78		6003.77		4972.53
22	DIVERSION: NET SAVINGS		6655.15		9229.47		7986.59
23	NET SAVINGS %		14.78		17.32		13.94
24	CUMULATIVE NET SAVINGS		18076.00		27305.47		35292.06
25	CUMULATIVE BED SPACE DAYS SAVED		318		444		596
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FIGURE 7, CONTINUED

ROW NO	GROUP/SANCTION	FEB (28)		MAR (31)		APR (30)	
		NO. DAYS	COST	NO. DAYS	COST	NO. DAYS	COST
DIVERSION GROUP		(a)	(b)	(a)	(b)	(a)	(b)
1	PAROLE (9.47)	3704	35076.88	4141	39215.27	3975	37643.25
2	CCC (32.58)	138	4496.04	131	4267.98	105	3420.90
3	EM (6.00 + 7.96=13.96)	0	0.00	0	0.00	0	0.00
4	PRISON (49.07)	244	11973.08	367	18008.69	438	21492.66
5	NUMBER OF PARTICIPANTS		153		158		164
6	GROSS TOTAL	4086	51546.00	4639	61491.94	4518	62556.81
7	FEES COLLECTED	1061.70	1061.70	89.87	89.87	443.05	443.05
8	INSTITUTIONAL COST SAVINGS	138	-3337.32	131	-2250.06	105	-2174.50
9	CUMULATIVE INSTITUTIONAL COST SAVINGS	734	-15014.18	865	-17264.24	970	-19438.74
10	NET COST PER DAY		11.54		12.75		13.27
11	NET COST PER MONTH		47146.98		59152.01		59939.26
12	CUMULATIVE NET COST PER MONTH		274950.17		334102.18		394041.44
CONTROL GROUP							
14	PAROLE (9.47)	3692	34963.24	4254	40285.38	4052	38372.44
15	PRISON (49.07)	420	20609.40	495	24289.65	550	26988.50
16	NUMBER OF PARTICIPANTS		154		161		165
17	NET TOTALS	4112	55726.64	4749	64736.03	4602	65525.94
18	CUMULATIVE NET COST PER MONTH		318821.89		383557.92		449083.86
19	NET COST PER DAY		13.55		13.63		14.24
COMPARATIVE COSTS							
21	DIVERSION: GROSS SAVINGS		4180.84		3244.09		2969.13
22	DIVERSION: NET SAVINGS		8579.66		5584.02		5586.68
23	NET SAVINGS %		15.40		8.63		8.53
24	CUMULATIVE NET SAVINGS		43871.72		49455.74		55042.42
25	CUMULATIVE BED SPACE DAYS SAVED		734		865		970
5/14/92 11:37							

FIGURE 7, CONTINUED

ROW NO	GROUP/SANCTION	MAY (31)		JUNE (30)		JULY (31)	
		NO. DAYS	COST	NO. DAYS	COST	NO. DAYS	COST
DIVERSION GROUP		(a)	(b)	(a)	(b)	(a)	(b)
1	PAROLE (9.47)	4145	39253.15	3797	35957.59	3543	33552.21
2	CCC (32.58)	107	3486.06	126	4105.08	101	3290.58
3	EM (6.00 + 7.96=13.96)	0	0.00	0	0.00	0	0.00
4	PRISON (49.07)	525	25761.75	764	37489.48	1136	55743.52
5	NUMBER OF PARTICIPANTS		171		172		172
6	GROSS TOTAL	4777	68500.96	4687	77552.15	4780	92586.31
7	FEES COLLECTED	298.00	298.00	195.00	195.00	280.00	280.00
8	INSTITUTIONAL COST SAVINGS	107	-2082.43	126	-2272.74	101	-1945.49
9	CUMULATIVE INSTITUTIONAL COST SAVINGS	1077	-21501.17	1203	-23773.91	1304	-25719.40
10	NET COST PER DAY		13.85		16.02		18.90
11	NET COST PER MONTH		66140.53		75084.41		90360.82
12	CUMULATIVE NET COST PER MONTH		460181.97		535266.38		625627.20
CONTROL GROUP							
14	PAROLE (9.47)	3984	37728.48	3595	34044.65	3303	31279.41
15	PRISON (49.07)	718	35232.26	955	46861.85	1452	71249.64
16	NUMBER OF PARTICIPANTS		167		168		168
17	NET TOTALS	4702	73127.74	4550	81074.50	4755	102697.05
18	CUMULATIVE NET COST PER MONTH		52221.60		603286.10		705983.15
19	NET COST PER DAY		15.55		17.82		21.60
COMPARATIVE COSTS							
21	DIVERSION: GROSS SAVINGS		4626.78		3522.35		10110.74
22	DIVERSION: NET SAVINGS		6987.21		5990.09		12336.23
23	NET SAVINGS %		9.55		7.39		12.01
24	CUMULATIVE NET SAVINGS		62029.63		68019.72		80355.95
25	CUMULATIVE BED SPACE DAYS SAVED		1077		1203		1304
5/14/92 11:37							

FIGURE 7, CONTINUED

ROW NO	GROUP/SANCTION	AUGUST (31)	
		NO. DAYS	COST
DIVERSION GROUP		(a)	(b)
1	PAROLE (9.47)	3269	30957.43
2	CCC (32.58)	31	1009.98
3	EM (8.00 + 7.96=13.96)	0	0.00
4	PRISON (49.07)	1353	66391.71
5	NUMBER OF PARTICIPANTS		172
6	GROSS TOTAL	4653	98359.12
7	FEES COLLECTED	450.00	450.00
8	INSTITUTIONAL COST SAVINGS	31	-961.19
9	CUMULATIVE INSTITUTIONAL COST SAVINGS	1335	-26680.59
10	NET COST PER DAY		20.84
11	NET COST PER MONTH		96947.93
12	CUMULATIVE NET COST PER MONTH		722575.13
CONTROL GROUP			
14	PAROLE (9.47)	3125	29593.75
15	PRISON (49.07)	1566	76843.62
16	NUMBER OF PARTICIPANTS		168
17	NET TOTALS	4691	106605.37
18	CUMULATIVE NET COST PER MONTH		812588.52
19	NET COST PER DAY		22.73
COMPARATIVE COSTS			
21	DIVERSION: GROSS SAVINGS		8246.25
22	DIVERSION: NET SAVINGS		9657.44
23	NET SAVINGS %		9.06
24	CUMULATIVE NET SAVINGS		90013.39
25	CUMULATIVE BED SPACE DAYS SAVED		1335
5/14/92 11:37			

The Comparative cumulative net Savings are \$88,105.39, Figure 7, row 24. The savings indicate that the diversion strategy was significantly more cost efficient than the control strategy. These savings demonstrate that by diverting parole violators away from institutions, and placing them into an existing CCC, substantial savings can be earned.

Graphics: Graphics allow the user to visually demonstrate information obtained from the spreadsheet. Three graphs are used in this project to stress the most important findings, diversion net savings, comparative savings, and bed space days saved.

The first graph, Figure 8, is the amount of savings the diversion group accumulated, on a monthly basis, during the project. The diversion group accumulated \$26,680.59 in savings by diverting parolees into community sanctions. The total reflects an adjustment for indirect savings, such as fees paid by the parolee. The monthly savings are contrasted against the cumulative savings. The monthly amount of diversion group savings is drawn from row 8 of the spreadsheet (Figure 7) and the cumulative amount of diversion group savings is drawn from row 9 of the spreadsheet.

In Figure 9, the net cost of the diversion group is compared to the net cost of the control group. The cumulative difference in the cost of the two groups, calculated in row 24 of the spreadsheet, is graphed each month. As indicated, the savings are \$88,105.39. This represents the difference in the net cost of the diversion group versus the net cost of the control group.

FIGURE 8 DIVERSION GROUP SAVINGS

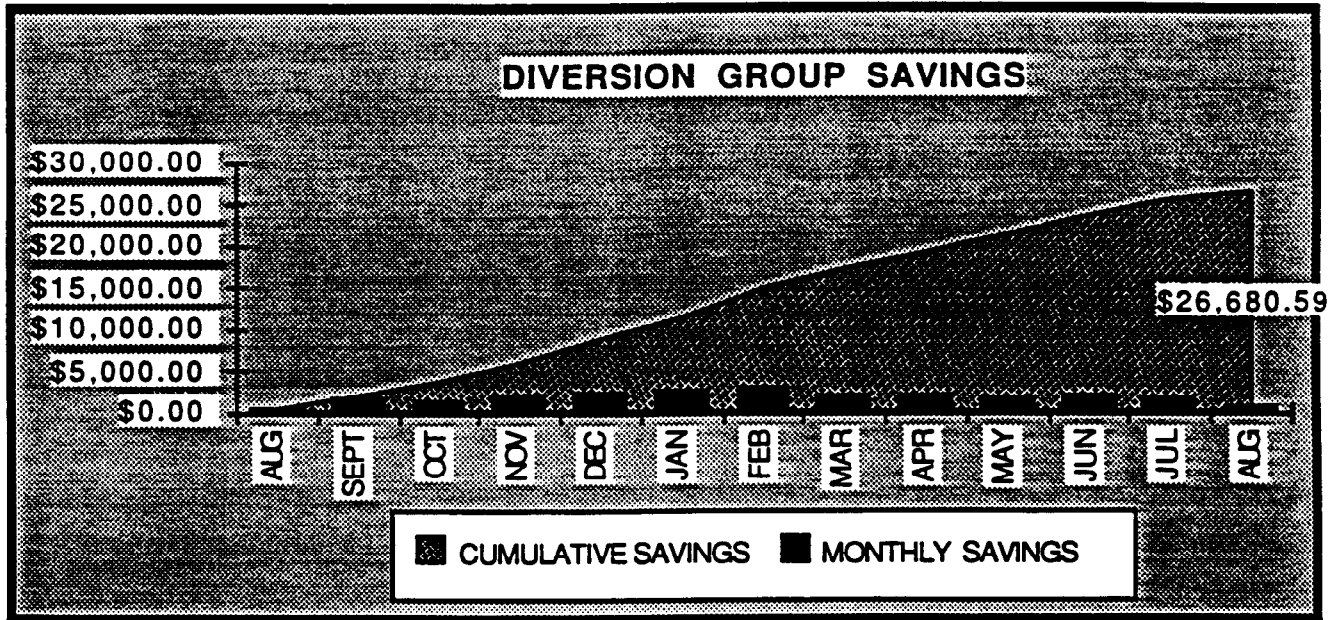
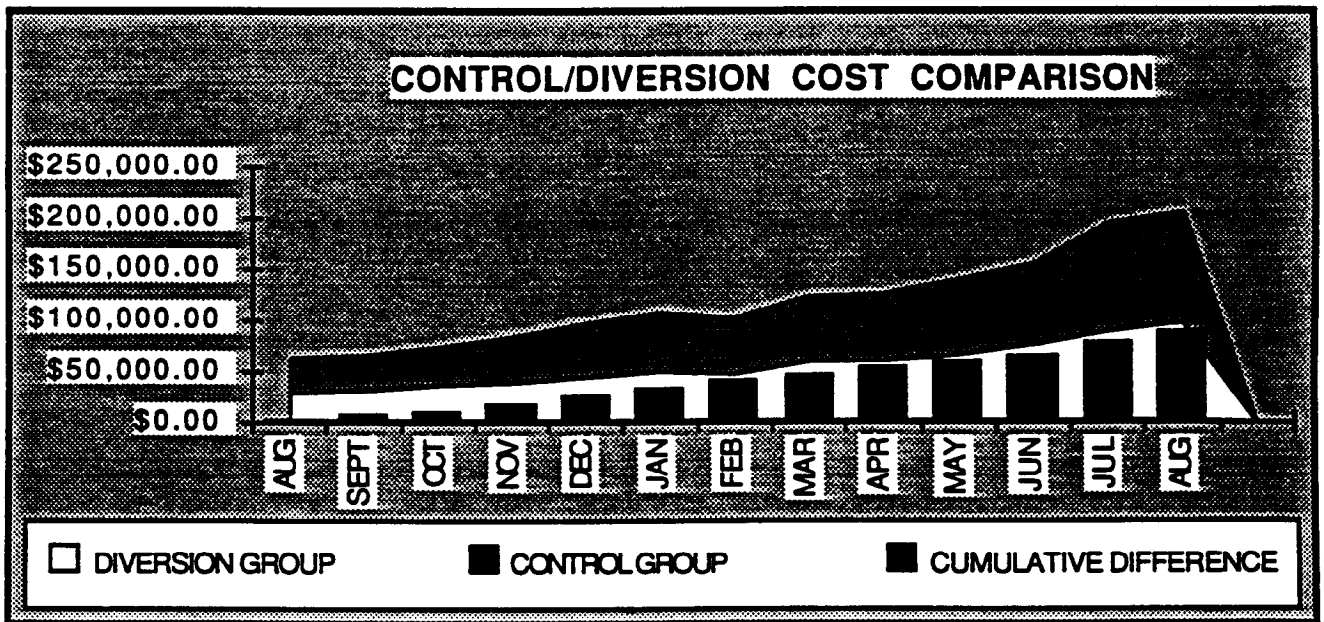
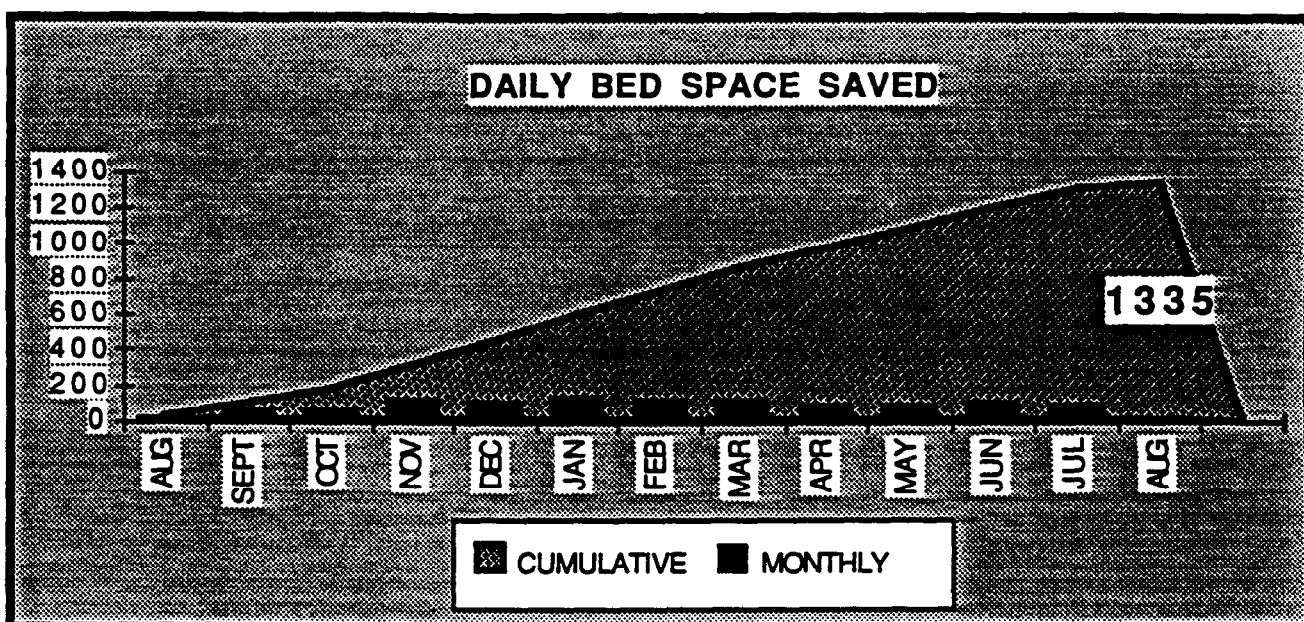


FIGURE 9 NET COST COMPARISON BETWEEN THE DIVERSION AND CONTROL GROUP



The total amount of bed space saved by the project is displayed in Figure 10. The total number of bed space days saved (1335) is compared to the monthly number of bed space days saved. The community sanctions project saved the equivalent of 3 1/2 beds in a federal institution for one year (1335/365).

FIGURE 10 **DAILY BED SPACE SAVED**



Combining spreadsheet technology with graphics allows program evaluators to display important findings that may otherwise be lost in a large spreadsheet. The spreadsheet brings all of the information together, and the graphics allow visual representation of important findings.

CHAPTER V

SUMMARY AND CONCLUSION

It had been noted by the Parole Commission that in excess of 90% of parole violation warrants are for drug-related violations. Following revocation for the recorded illicit use of drugs the re-incarceration period is for one year. This is an extremely expensive utilization of the very limited prison bed space available. As the need for prison bed space increases, so does the need for intermediate sanctions. Criminal justice professionals across the nation are searching for alternatives to incarceration, not because the prisons are full, but because prison alone is not the answer to all offender problems. The following will summarize the Community Sanctions Evaluation Project and discuss the results, focusing on communication, drug/alcohol treatment, and the use of spreadsheet technology to measure the cost/benefit of community sanctions.

Summary

Spreadsheet technology was used to quantify the various aspects of the project and determine the economic benefit/liability of handling offenders using various correctional options. This technology is readily available in inexpensive software packages. The availability makes it readily accessible for criminal justice use, whether in federal, state or locally administered community correctional alternatives. The basic premise is, that even though there are multiple variables in a project which cannot be controlled, costs can be identified.

The expressed goals of this study were two-fold:

(1) Design, test and document the utility of using spreadsheet technology as a transferable technique for evaluating the cost/benefit of alternative Community Sanctions:

(2) Evaluate the cost/benefit of enhanced community sanction alternatives proposed for use by the Parole Commission in supervising parolees with special drug and alcohol restrictions.

The design of the project included a pool of parolees who had drug and/or alcohol special conditions and were under the supervision of the U.S. Probation Department, Northern District of Texas in the Dallas, Ft. Worth, Garland, and Arlington, Texas areas. They were randomly and equally assigned to either a control or diversion group. At the end of August, 1991, there were 172 participants in the diversion group and 168 participants in the control group. The number of participants fluctuated from month to month as new parolees were added and those who successfully completed their parole were dropped from the program.

Various treatment and sanction phases were established, and costs associated with the various phases were identified and assigned. Diversion and control group members participated in Phases I through III; however, the diversion group participated in the additional diversion Phases: IV, V, and VI. Phases IV consisted of placement in a CCC for 60 days. This phase allowed the parolees to have furloughs for employment purposes and required them to contribute to the cost of their residency. The fee was based upon a percentage of his/her gross monthly income on a sliding scale ability to pay basis. If difficulties were incurred in this Phase, they were moved to Phase V, which is full-house restriction, utilizing the CCC as a punitive and restrictive facility. No furloughs for employment or other community activities were allowed in Phase

V. Phase VI followed the successful completion of full-house restriction, wherein the participant was allowed back into the community corrections component of the CCC. The CCC then assisted the parolee in locating employment and establishing a residence. Treatment programs and urine surveillance continued to be applied in all stages. The probation/parole officers could, during any phase, recommend to the Parole Commission that a warrant be issued if he/she felt a parolee's actions could endanger public safety.

Discussion

Communication: The interagency cooperation between the federal, state, and local agencies is to be commended. This project required the agencies participating to work together and communicate on a daily basis. Although there were some difficulties in the beginning, the agencies developed a working relationship that has opened up new channels of communication.

Drug/alcohol Treatment: One of the most important components of this project was the CCCs, unfortunately they were also the component over which the project had the least control. One of the original goals was to use CCCs already under contract to house federal parolees. Therefore, the project had to work within the limits of these contracts. In order for a parolee with drug/alcohol problems to receive proper counseling and supervision he/she must have a stable environment of professional staff and counselors. The environment within the CCCs during this project was unstable due to many personnel changes. Since the CCCs are under contract, the results of the Community Sanctions Evaluation Project can be used constructively to improve the contract agreement.

The number of failures in the program can not be linked exclusively with the CCCs. Many of the parolees simply need additional counseling and

assistance, and some are not ready to become drug/alcohol free regardless of what program they are placed in. Treatment does work, however the proper combination of client, program, and time must be applied. When the right client is put into the right program and he/she is ready, the program has a greater possibility of success.

A number of probation/parole officers expressed interest in using inpatient drug counseling. This form of treatment program requires the patient to reside in a hospital atmosphere for approximately four months and receive extensive counseling. The cost is approximately \$50.00 a day. Although this is more expensive per day than prison, it is only for four months versus the alternative of an average of one year of re-incarceration at \$47.20 per day.

Among the parolees revoked, (19.7%) nearly all (90%) were for a violation of their drug/alcohol special conditions. This indicates that the current treatment methods need improvement. The public's demand for tougher drug laws and the response of the courts have left the probation/parole officers with a clientele of predominantly drug/alcohol dependent offenders. The probation/parole officers need graduated sanctions that they can use to help those offenders for whom prison is not the answer.

Spreadsheet Application: The spreadsheet is fast becoming a useful tool in private and public institutions. It is readily available and versatile. Economic conditions require that program managers produce cost/benefit analysis on a regular basis. The criminal justice system is increasingly being driven by a concern for limited resources. This application has demonstrated the utility of cost/benefit analysis in community corrections.

The spreadsheet can be used for managing, monitoring, planning, evaluation, and projection purposes. Its application enables managers to routinize information that is usually unavailable. The spreadsheet allows the

cost/benefit of programs to be followed from day to day, month to month, or year to year on a routine basis. It allows managers to compile and graph information and present it in a manner that is easily understood.

There are also hidden benefits of using spreadsheet technology in program evaluation. The operationalization of all of the variables involved and the determination of the cost associated with each variable proved to be very informative to both the evaluators and the agencies involved. Many of the variables and their costs were not previously recognized. The process of constructing the spreadsheet opened many lines of communication that had not previously existed. The maintenance of the spreadsheet requires that continuous refinement be made to the cost/benefit measures utilized. The users are made constantly aware of practical concerns related to criminal justice policy.

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APPENDIX A**SCHEDULE OF GRADUATED SANCTIONS**

Listed below are the community sanctions that have been used by the Community Sanctions Evaluation Project followed by a description of each sanction.

Regular Parole
 Phase I Treatment
 Phase II Treatment
 Phase III Treatment
 Inpatient Drug Treatment
 Phase IV
 Phase V
 Phase VI

Regular Parole: There are no contracts or outside expenditures involved with this phase. Federal probation/parole officers conduct the urine surveillance and counseling with the exception of Alcoholics Anonymous (AA), Narcotics Anonymous (NA), and religious counseling, which is provided at no charge by each of these organizations. Minimum participation is for a period of six months.

Cost per day- \$9.47.

Phase I Treatment: The parolee has failed the Regular Parole Phase when he/she records a positive for illicit drug use, uses alcohol excessively or fails to abide with the required counseling and/or urine submission for testing, such as: two unexcused failures to report for specimen collection within a two-month period or failing to provide a valid specimen, ie., contaminated, diluted, or substituted. Minimum participation in Phase One Treatment is six months. The parolee is required to have six urinalyses a month and must attend four counseling sessions. If the parolee successfully completes Phase I Treatment, he/she goes to Phase II Treatment. If the parolee is unsuccessful he/she moves into Phase IV Treatment.

Cost per day: \$9.47.

Phase II Treatment: The parolee is required to have four urinalyses a month and must attend three counseling sessions. The minimum period of participation in this Phase is three months. If the parolee successfully

completes Phase II Treatment, he/she is moved to Phase III Treatment. If he/she is unsuccessful the parolee is moved to Treatment Phase IV.

Cost per day: \$9.47.

Phase III Treatment: The parolee is required to have two urinalyses a month and must attend two counseling sessions monthly. The minimum period of participation in this Phase is three months.

Cost per day: \$9.47.

Inpatient Drug Treatment: In an exceptional case the U.S. Probation Officer may request a special condition for Inpatient Drug Treatment as an alternative to warrant issuance. The average cost for this alternative is \$50.00 per day or approximately \$1,500.00 per month (the average stay is 4 months). Due to the significant expense and demands upon the rather limited budget, this is a rarely used alternative.

Differentiation: Differentiation does not occur unless the first intervention steps do not rectify the parolee's behavior or the violation is of such magnitude that incarceration is considered. In order to maintain project integrity, the Parole Officers will not know before this point to which group the parolee is assigned. The control group parolees who register violations will be dealt with pursuant to existing policy and practice (a warrant will be issued). The sanctions imposed upon the diversion group for violations are described below:

Phase IV: Community Corrections Center

Phase V: Full House Restriction

Phase Vi: Electronic Monitoring

Phase IV: Community Correction Centers. Placement in CCC requires 60 days of residence at the Volunteers of America Community Corrections Center in Hutchins or Ft. Worth TX., which allows for furlough release for employment. The residents are required to contribute to the cost of the CCC residence through subsistence payments to the contractor. Volunteers of America then reduces the monthly billing to the U. S. Bureau of Prison by the amount collected.

The CCC resident is required to attend outside contract drug aftercare counseling once per week. The outside counselor conducts urine testing at each session. Currently the outside counseling is contracted to the Criminal Justice Treatment Consultant Associates (CJTCA). In addition, the substance abuse program of the CCC consists of:

1. Drug Aftercare Counseling/Urine Surveillance:

- a. The CCC conducts a program planning conference.
- b. At least thirty minutes of counseling per week for inmates with drug aftercare counseling are required as a condition of their release. The counselor must meet the U.S. Bureau of Prison's qualification standards.
- c. Urine testing is done by the laboratory under contract with the U. S. Bureau of Prisons or an authorized and approved laboratory.

(1) Testing is done on a "surprise", unscheduled basis, under direct supervision.

(2) Residents with a condition of drug aftercare, a known history of drug abuse, or who are suspected of illegal drug use provide urine samples at a minimum of four times per month.

(3) To ensure the integrity and security of the process, the contractor has established a procedure for a chain of custody from the point of receiving the empty bottle supplies from the laboratory until the samples are mailed to the lab for analyses.

(4) A stall is the failure of any resident to produce a urine sample for testing within two hours of a request: a stall is a basis for a disciplinary report.

(5) Positive test results without justification are basis for a formal report to the federal probation/parole office.

2. Alcohol testing: The contractor maintains a surveillance and counseling program in order to deter and detect introduction or use of alcohol in the facility. Costs for alcohol testing are the responsibility of the contractor.

- a. The contractor has established monitoring and testing to ensure adequate control of alcohol abuse.
- b. The contractor maintains a log indicating residents subjected to the tests, the staff performing the test, the test results, and a column to indicate if the resident refused to cooperate.
- c. A reliable testing instrument such as the Alto-Sensor Model II or III is used. Staff are properly trained on the operating instructions.
- d. A positive result results in an incident report.
- e. Counseling is provided to residents on an as needed basis with the counseling tailored to the individual's needs.

cost per day: \$32.58 (CCC) minus restitution Collected from residents.

Phase V: Full House Restriction (FHR). If a parolee fails in Treatment Phase IV by submitting a urine specimen that is positive for illicit drug use or by failing to abide by program requirements he/she is ordered into "Full House Restriction" within the CCC for 30 days. In this phase, the CCC functions as a facility for punitive incarceration. No furloughs for employment or other community activities are allowed. Failure within Treatment Phase V initiates immediate warrant issuance.

Cost per day: \$32.58.

Phase VI Electronic Monitoring (EM). Success with Treatment Phase V allows the parolee to be moved back into the Community Corrections component of the CCC which assists the Parolee in locating employment and establishing residence. All treatment programs and urine surveillance applicable to Treatment Phase IV apply to Treatment Phase VI including Phase I at CJTCA and four urinalyses a month. Once employment and residence are established, the U. S. Probation Office, in conjunction with the CCC, can request that home confinement be initiated for a 60-day period. The parolee pays a fee based upon a percentage of his/her gross monthly income to the U.S. Probation Office on a sliding scale ability to pay basis. Success allows the parolee to revert to Treatment Phase II at CJTCA.

Cost per day: \$6.00(EM) + \$9.47(Parole Supervision) = \$15.47.

Warrant: The project goals notwithstanding, the U.S. Probation Officer may at any stage and with either group recommend to the Parole Commission that a Warrant be issued if he/she, in his/her clinical judgement, feels a parolee's actions may endanger public safety.

Appendix B:
Operational Definitions of Variables in
the Project Spread Sheet

The following is a narrative description of each variable listed in the Community Sanctions Evaluation Project: 1990/1991 Cost/Benefit Analysis report. The number before each definition will correspond to the "row number" in the attached spreadsheet (Figure 2). The computational formulas used to arrive at the totals in columns "a" and "b" of the report will be listed following each corresponding variable.

DIVERSION GROUP

Diversion Group: A group of randomly selected parolees that upon violation of their parole terms will be placed into one of the diversion programs instead of immediate incarceration.

1. Parole; any person in the Diversion Group who has not violated the conditions of his/her parole. This includes Phases I, II, and III.
 - 1a. total number of days the diversion group has remained on parole, without a violation which would place them into a community alternative, for a month.
 - 1 b. (1a) times the cost of parole supervision (\$9.47)
2. CCC: Community Corrections Center- defined as a community based correctional facility. This is Phase IV and V.
 - 2a. the total number of days any parolee in the diversion group spent in CCC for a given month.
 - 2b. (2a) times the cost of CCC (\$32.58)
3. EM: Electronic Monitoring - the use of electronic surveillance on parolees. This is Phase Vi.
 - 3a. the total number of days any parolee in the diversion group spent on electronic monitoring for a given month.
 - 3b. (3a) times the sum of the cost of EM and Parole (\$6.00 + \$9.47)
4. Prison: a penal institution.
 - 4a. the total number of days any parolee in the diversion group spent in prison for a given month.
 - 4b. (4a) times the cost of prison per day (\$49.07).

5. Number of participants - the total number Of participants in the program. This includes those who have successfully completed their parole term, have had their special conditions removed, or have returned to prison.

6. Gross Total: the total direct cost for the diversion group.

6a. The total number of supervision days the diversion group has cost the project for a given month.

6b. The total gross cost of the above days.(1a + 2a + 3a + 4a + 5a).

7. Fees; Some community sanctions stipulate that the parolee must contribute part of his/her income to the cost of his programming.

8. Institutional Cost Savings: this is the savings the diversion group accumulates, in a given month, by placing parole violators into the diversion program.

8a. the total number of days spent in diversion programs for a given month.

(2a + 3a).

8b. The amount of savings acquired by placing the participant into a diversion program plus the amount of fees that have been collected. (8a)(\$49.07)+(2b + 3b)

9. Cumulative institutional Cost Savings: a cumulative figure of each month for the amount of days spent in diversion programs and of the savings the diversion group accumulates by placing parole violators into a diversion program.

9a. (2a + 3a) + (9a from the previous month).

9b. (2b + 3b) + (9b from the previous month).

10. Net Cost Per Day: The average cost per participant per day in the diversion group.

10b. The net cost per month divided by the total days spent in the diversion

program (11b/6a).

11. Net Cost Per Month: The Gross cost of the program minus the fees collected and the institutional cost savings for a given month.

11b.(6b-7b-8b).

12. Cumulative Net Cost Per Month:a cumulative figure of each month, of the total cost of the program with the assets gained from community service subtracted out.

12b. (11 b + 12a from the previous month)

CONTROL GROUP

Control Group; the control group consists of randomly selected parolees who will be returned to prison if they violate the conditions of their parole.

14. Parole; any participant in the control group who has not violated the conditions of their parole.

14a. the total number of days the participants in the control group has remained on parole.

14b. (14a) times the cost of parole (\$9.47).

15. Prison; a participant in the control group who violates a condition of their parole will be returned to prison.

15a. the total number of days the control group has spent in prison in a given month.

15b. (15a) times the cost of prison (\$49.07).

16. Number of Participants: The total number of participant that have been placed into the control group. This includes those who have been released from parole, have had their special conditions removed and have been returned to prison.

17. Net Totals: the total cost of the control group for a given month.

17a. the total number of days of supervision spent in the control group.

17b. The cost of the control group (14b +15b)

18. Cumulative Cost Per Month: the cumulative cost of the control group for each month.

18b. (17b/17a)

19. Net Cost Per Day: The net cost of each day of supervision in the control group.

19a. (18b/17a)

COMPARATIVE COSTS

Comparative Costs; a comparison of the costs and savings of the diversion group versus the control group.

21. Diversion: Gross Savings: The gross cost of the diversion group compared subtracted from the gross cost of the control group for a given month.

21b. (17b - 6b)

22. Diversion: The net cost of the diversion group compared to the net cost of the control group. 22b. (17b - 11b)

23. Net Savings% : the percentage of savings for the diversion group and the cost of the control group for a given month.

$$23b. (22b/17b)(100)$$

24. Cumulative Net Savings: A cumulative total of the net cost of the diversion group compared to the net cost of the control group.

$$24b. (22b + 24b \text{ from the previous month})$$

25. Cumulative Bed Space Days Saved: A cumulative total of the number days of prison bed space saved by the diversion group.

APPENDIX C
Memorandum from the Administrative Office of the
United States Courts

L. RALPH MECHAM
DIRECTOR

JAMES E. MACKLIN, JR.
DEPUTY DIRECTOR



DONALD L. CHAMLEE
CHIEF OF THE PROBATION AND
PRETRIAL SERVICES DIVISION

August 7, 1991

MEMORANDUM TO ALL CHIEF PROBATION OFFICERS

SUBJECT: Costs of Incarceration and Supervision

Section 5E1.2(i) of the Sentencing Guidelines provides that in addition to the general fine imposed under Section 5E1.2(c), the court shall impose an additional fine that is at least sufficient to pay the costs to the government of any imprisonment, probation, or supervised release ordered. This memorandum updates the figures based upon the cost data for fiscal year 1990.

Incarceration

The Bureau of Prisons reports that the average per capita costs in Bureau operated facilities during FY 1990 were:

<u>Federal Prison Facility</u>		<u>Contract Halfway House</u>	
Daily:	\$49.07	Daily:	\$32.58
Monthly:	\$1,492.00	Monthly:	\$991.00
Annually:	\$17,909.00	Annually:	\$11,890.00

Supervision (Pertaining to Probation and Supervised Release)

The Budget Division of the Administrative Office of the United States Courts reports that per capita supervision costs including separate average cost figures for drug/alcohol aftercare during FY 1990 were:

<u>Supervision</u>		<u>Drug/Alcohol Aftercare Costs</u>	
Daily:	\$3.80	Daily:	\$5.67
Monthly:	\$115.30	Monthly:	\$172.33
Annually:	\$1,318.00	Annually:	\$2,068.00

Costs for drug/alcohol aftercare are calculated independently from supervision costs. The average daily cost for an offender under supervision with aftercare treatment would thereby be \$9.47 (\$3.80 + \$5.67).

Appendix C continued

Costs of Incarceration and Supervision

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Supervision costs are calculated based on the average salary for a probation officer and the average salary for a probation clerk paid during FY 1990. In addition, the cost figures also include annual costs associated with benefits, travel, telephones, supplies, equipment, furniture and facilities.

The figures for drug and alcohol aftercare costs are based upon annual expenditures for contract aftercare services divided by the number of clients receiving services so that the cost is an average.

Any questions regarding these figures should be directed to Magdaline Jensen, Probation Administrator, at FTS 786-3554 or (202) 786-3554.



Donald L. Chamlee

DIVERSION GROUP

ID#	GRP/ACTION	SENTENCE	REASON
* 1	A-WI	11 years	New offence - indecency with a child
* 2	A-WI	9 months	drug related- prior history of violence- revoked before
* 3	A-WI	27 months	felony / single weapon
* 4	A-WI	32 months	marijuana over 50 pounds
* 5	A-WI	pending	DWI and delivery of Marijuana (10<50 lbs)
* 6	A-WI	pending	Conspiracy to manufacture a controlled substance
* 7	A-WI	42 months	Cocaine 5<99 grams
* 8	A-WI	pending	failure to report change in emp., residence and to submit supervision reports, 3rd DWI
* 9	A-WI	pending	credit card abuse, robbery, agg. assault on a pol/off., assoc. with person having a crim. record
* 10	A-WI	pending	aggravated robbery with bodily injury, theft of stolen property
* 11	A-WI	31 months	drug related, uncooperative with parole officer
* 12	A-WI	22 months	drug related
* 13	A-WI	8 months	failed to report to Parole officer
* 14	A-WI	pending	use of drugs, failure to cooperate with parole officer
* 15	A-WI	23 months	drug related, long history of violence and drugs
* 16	A-WI	7 months	drug related, long history, failure to cooperate with the parole officer
17	A-CCC-WI	5 months	assault, excessive use of alcoholic beverage, failure to report change in employment
18	A-CCC-WI	pending	use of drugs, violation of special conditions
19	A CCC WI	fugitive	use of drugs, failure to report change in residence, and failure to report to parole officer
20	A-CCC-WI	pending	use of drugs, DWI, failure to report to parole officer
21	A-CCC-WI	12 months	drug related, prior history of absconding
22	A-CCC-WI	8 months	drug related, prior history of absconding
23	A-CCC-WI	8 months	drug related, prior history of absconding
24	A-CCC-WI	22 months	drug related, prior history of absconding
25	A-CCC-WI	12 months	drug related
26	A-CCC-WI	25 months	drug related, history of absconding
27	A-CCC-WI	16 months	drug related, history of absconding
28	A-CCC-WI	6 months	drug related, history of absconding
29	A-CCC-WI	12 months	drug related, association with know criminals
30	A-CCC-WI	12 months	drug related
31	WI-REINSTATE	reinstated	cocaine < 1 gram

* CLINICAL OVERRIDE OF PROGRAM. NO COMMUNITY SANCTIONS ATTEMPTED. WARRANT ISSUED

CONTROL GROUP

ID#	GRP/ACTION	SENTENCE	REASON
1	B-WI	pending	use of drugs, disorderly conduct, failure to appear & report arrest, viol. of spec. cond.
2	B-WI	12 months	drug related, history of absconding
3	B-WI	9 months	drug related
4	B-WI	12 months	administrative
5	B-WI	warrant withdrawn	DWI, use of cocaine
6	B-WI	7 months	drug related
7	B-WI	8 months	DWI, drug use, failure to report arrest
8	B-WI	2 months	violation of special conditions, use of drugs, failure to report change in employment
9	B-WI	11 months	drug related
10	B-WI	12 months	drug related, history of absconding
11	B-WI	8 months	drug related
12	B-WI	14 months	drug related, history of absconding
13	B-WI	5 months	drug related
14	B-WI	4 months	drug related
15	B-WI	8 months	drug related
16	B-WI	11 months	drug related, history of absconding
17	B-WI	4 months	drug related
18	B-WI	8 months	administrative, history of absconding
19	B-WI	20 months	large scale drug
20	B-WI	55 months	large scale drug
21	B-WI	fugitive	failure to report to parole officer, passing a forged check , violation of special cond.
22	B-WI	11 months	drug related
23	B-WI	reinstated	use of drugs,
24	B-WI	12 months	assault/injury with a weapon
25	B-WI	6 months	drug related
26	B-WI	pending	use of drugs, violation of special conditions
27	B-WI	12 months	drug related, history of absconding
28	B-WI	12 months	drug related
29	B-WI	6 months	drug related, history of absconding
30	B-WI	16 months	theft of > 2,000
31	B-WI	4 months	drug related, delivery of cocaine,
32	B-WI	12 months	DWI, excessive use of alcohol, failure to report change in residence & to report to PO
33	B-WI	4 months	possession of Marijuana
34	B-WI	12 months	administrative, history of absconding
35	B-WI	8 months	assault/ other/prot prsn
36	B-WI	11 months	drug related, history of absconding
37	B-WI	pending	use of drugs, failure to report change in residence, failure to report to parole officer