

The Final Report of the Evaluation of the Court Support Services Division's Probation Transition Program



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EXECUTIVE SUMMARY

The Judicial Branch's Court Support Services Division (CSSD) began accepting probationers into the Probation Transition Program (PTP) on October 1, 2004 in five probation offices. The PTP targeted inmates who had probation sentences that followed their prison sentence and subsequent release from the Department of Correction (DOC). The overarching goal was to reduce the technical violation rate of split sentence probationers by helping them re-enter their community following prison release. In theory, the lower caseloads would allow PTP officers to spend more time assessing probationers, helping them find appropriate services, and monitoring their behavior. Legislative funding to the Judicial Branch to hire more probation officers led to the statewide expansion of the PTP in February of 2007. Faculty from the Department of Criminology and Criminal Justice from Central Connecticut State University were contracted to evaluate the PTP expansion. The following report summarizes the findings and conclusions of this evaluation.

Areas of Research

The evaluation focused on three primary areas. First, we met with and interviewed PTP officers regarding their attitudes about PTP, their perception of its success, and barriers that hindered its ability to be successful. Second, as part of assessing the implementation of the PTP, we examined the intake process in terms of looking at the number of probationers who entered the program and the general profile of PTP clients. Third, data were collected for every client in the PTP and a comparable group of probation officers on regular caseloads to assess program outcomes in terms of probation violation rates and reincarceration rates. We looked at the nature of the violations (new arrest vs. technical violation) and attempted to determine what client factors were associated with being violated (e.g., LSI-R risk level, criminal history, gender, age, marital status, education, and employment).

Summary of Findings

The process and outcome components of the PTP evaluation produced four distinct conclusions. First, PTP was widely implemented in a manner consistent with the program model. We found few differences in the demographics and risk scores of PTP clients across the three study groups in the pilot offices and across the statewide expansion offices. These findings suggest the selection criteria were being applied consistently across offices. There was also a high amount of consistency in the program completion rate (over 70% of clients were successfully transitioned into a regular caseload) across the expansion offices. The consistent program implementation resulted in similar outcomes across PTP offices. With the exception of a few of offices, the percentages of PTP clients technically violated were similar across the pilot and expansion offices.

Second, the PTP appeared to be targeting the highest risk offenders. CSSD policy dictated that PTP officers give priority to split-sentenced probationers with (1) insufficient familial and/or peer support; (2) lack of housing; (3) extensive criminal history; (4) extensive drug abuse; (5) history of mental health problems; (6) lack of employment; and, (7) a high total risk score on the LSI-R. The majority of PTP participants were single/never married and

unemployed with high LSI-R total risk scores. In fact, PTP participants in the expansion groups had much higher LSI-R total risk and subscale scores than PTP participants in the pilot study.

Third, split-sentenced probationers in the PTP had statistically lower technical violation rates and were statistically less likely to be sentenced to prison for technical violations than similar groups of probationers. Specifically, comparison group probationers were much more likely to be technically violated than PTP clients in the pilot offices (more than twice as likely) and the statewide expansion offices (almost twice as likely). Our first evaluation of the pilot PTP program concluded that PTP reduced the technical violation rates of split-sentenced probationers and also reduced the number of split-sentenced probationers who were resentenced to prison for technical violations. The evaluation of the statewide expansion found that PTP still produced lower technical violation rates in the five pilot offices and also in the statewide expansion probation offices.

The final conclusion of this evaluation concerns the exploration of factors associated with arrests and technical violations. There were differences in those PTP clients arrested versus those who were technically violated. PTP clients who were arrested resembled the demographic most likely to be arrested in general: young males with prior criminal records who were unemployed, used drugs and/or alcohol, and had a peer group who likely encouraged their criminal behavior. In contrast, PTP clients most likely to receive technical violations had several risk factors associated with instability. They were unemployed, had unstable housing, used alcohol or drugs, and had a negative peer group (they were also younger probationers with criminal histories).

Overall Conclusion and Recommendations

Our overall conclusion was the PTP was effective in reducing technical violations and new prison sentences from technical violations. The PTP was implemented consistently in the pilot offices and the statewide expansion offices while targeting high risk probationers. We do, however, offer the following recommendations to improve the delivery of the PTP:

- More PTP specific training for PTP officers that includes a detailed presentation of the PTP purpose and model.
- Develop better and more consistent communication methods with the Department of Correction.
- Identify and develop more skills-based and employment services for PTP clients. Unemployment was a major factor for PTP participants who were arrested and technically violated.

While it was not part of our evaluation, it is important to acknowledge the progress CSSD has made in automating its case management system (CMIS) and also enhancing its internal ability to conduct research. One aspect of CSSD's 2004 report to the General Assembly included the creation of a component involving research and evaluation. CSSD did establish the Center for Research, Program Analysis and Quality Improvement. Since its inception, this unit has greatly furthered CSSD's ability to implement and sustain evidence-based practices by disseminating probationer information and assessments to probation supervisors and program staff, conducting internal research and evaluation of its programs, and supporting external research and evaluation initiatives.

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INTRODUCTION AND BACKGROUND OF THE PROGRAM

Prison and jail overcrowding has been a concern in Connecticut since the early 1990s. The prison population increased 82% (10,573 to 19,216) between 1992 and 2003 with the largest increase taking place with accused offenders awaiting trial or sentencing (145% during this time period) (see the 2003 State of Connecticut Prison and Jail Overcrowding Commission's report). One commonly held belief was that probation violators comprised a high percentage of the prison population (some estimates reported that over 25% of Connecticut inmates were probation violators) with a significant number of probationers being sentenced to prison for technical violations.

As a response to concerns over the prison population, the Connecticut General Assembly passed Public Act 04-234, *An Act Concerning Prison Overcrowding*, on May 19, 2004. Governor Rowland signed this act into law on June 8, 2004 and it went into effect on July 1, 2004. The Act introduced several ways to reduce the number of people being incarcerated. One aspect of this legislation specifically pertained to the Judicial Branch. Sec. 26 (a) required the Judicial Branch to submit a plan, no later than October 15, 2004, to the joint standing committees of the General Assembly, "to reduce by at least twenty percent the number of incarcerations resulting from technical violations of conditions".

In accordance with the time frames indicated above, the Judicial Branch's Court Support Services Division (CSSD) submitted "A Report on Strategies to Reduce Technical Violations of Probation" on October 15, 2004. This report outlined a four-point program to reduce violations of probation. The proposed program consisted of a case management plan, a response to non-compliance policy change, the introduction of two special probation projects, and lastly, a component involving research and evaluation.

The two special probation projects were the Probation Transition Program (PTP) and the Technical Violations Units (TVU). These projects were aimed at reducing the number of technical violations for two different groups of probationers. The PTP targeted inmates who had terms of probation upon their discharge from the Department of Correction (i.e., split sentenced probationers). The targeted PTP pool included all inmates, excluding sex offenders, who served a sentence of 90 days or more, and who would be discharged from DOC custody with a period of probation to follow. The goal of this program was to reduce technical violations for split sentenced probationers by better helping them re-enter their communities following prison release.

The TVU targeted probationers not complying with their court or probation officer-ordered terms of probation and were about to receive a technical violation (e.g., deliberate or repeated non-compliance with court ordered conditions, reporting requirements, and service treatment requirements). The Technical Violations Unit program was designed to reduce the number of probationers sentenced to incarceration as a result of technical violations of probation. TVU officers had lower caseloads so they could attempt to stabilize clients to avoid having to technically violate them.

The PTP was initially piloted in five probation offices across Connecticut. Two probation officers staffed the PTP at each of the five probation office locations: Bridgeport, Hartford, New Haven, New London, and Waterbury. While each probation officer ideally had a maximum caseload no higher than 25 probationers, the actual caseload size varied by location. PTP officers were given access to motor vehicles, cell phones, and laptop computers. Also, services were available to probationers 24 hours a day and seven days a week.

Faculty from Central Connecticut State University's Department of Criminology and Criminal Justice were contracted to evaluate the pilot PTP. A report was released in January of 2005 finding that the PTP met the legislative mandate by reducing the number of probation technical violators being resentenced to prison by 20%. A subsequent report released in August of 2006 had two major findings. First, PTP participants had significantly lower probation violation rates than the PTP comparison group (36% to 52%) one year after their release from prison. This difference was directly attributed to a lower technical violation rate (14% for the PTP and 26% for the PTP comparison group). Second, the Level of Service Inventory-Revised (LSI-R) overall risk level was a significant predictor of PTP success, in that, the higher the risk level the more likely PTP clients would be violated (although the PTP violation rate was lower than the PTP comparison group at every risk level). This finding was supported by the comparison of violators to non-violators. PTP violators had significantly higher risk scores across most of the LSI-R subscales. Third, the reincarceration rate for PTP (17%) was significantly lower than the PTP comparison group (41%). While some of these differences were explained by the lower probation violation rates, judges were also less likely to sentence PTP technical violators to prison than technical violators in the PTP comparison group.

As a result of the success of the pilot program, the General Assembly provided additional funding to the Judicial Branch for the expansion of the PTP. The goal was to have PTP officers in probation offices throughout Connecticut and incorporate those practices leading to the success of the pilots. These were lower specialized caseloads (which allowed probation officers to be more accessible to clients), availability of services, and initial and ongoing training from CSSD staff and outside experts. Another key component of the PTP pilot was the 24 hour a day/seven day a week availability of probation officers by providing them with laptop computers, cellular telephones, and automobiles. Expansion of PTP began on February 1, 2007.

This document presents the overall process and outcome findings of the Probation Transition Program evaluation. It begins with a description of the Probation Transition Program and is followed by a summary of the evaluation methodology. The evaluation findings are presented in the next section that discusses the results of the probation officer interviews and is followed by the analysis of probation and court data. The final section of the report presents the overall conclusions and recommendations for future programming and practice.

IMPLEMENTATION OF THE PROBATION TRANSITION PROGRAM

The Probation Transition Program (PTP) targeted inmates who had probation sentences following their prison sentence and subsequent release from the Department of Correction (DOC). This group included those discharging at the end of sentence from a correctional facility, halfway house, parole, transitional supervision or a re-entry furlough. The overarching goal was to reduce the technical violation rate of split sentence probationers by helping them re-enter their community following prison release. In theory, the lower caseloads would allow PTP officers to spend more time assessing probationers, helping them find appropriate services, and monitoring their behavior.

Screening and Selection Process

PTP officers received periodic reports from the Department of Correction identifying inmates with split sentences who were serving 30 or more days of a prison sentence. PTP officers received these reports and conducted preliminary reviews of inmates' court and probation records. PTP officers were required to meet with all split sentence probationers prior to their prison release (with the exception of sex offenders who were not eligible for the PTP). After this initial determination, PTP officers met with inmates in correctional institutions to review conditions of probation and probationers' obligation to report to their probation offices on a specific dates. PTP officers also conducted in-depth assessments through an LSI-R (Level of Service Inventory-Revised) and ASUS-R (Adult Substance Use Survey-Revised). The LSI-R is a 54 item assessment instrument that identified risks and needs. It was composed of ten subscales that have been found to be predictive of recidivism (criminal history, education/employment, financial, family/marital, accommodation, leisure/recreation, companions, alcohol/drug problems, emotional/personal, and attitude/orientation). The ASUS-R is a 96 item survey that screens and assesses individuals' alcohol and drug use involvement.

PTP officers used this information to create case plans and begin arranging for appropriate services when inmates left prison and started their probation sentence. The more commonly identified areas of need were housing, employment, substance abuse, and mental health treatment. These services were provided in a variety of ways and varied by location since available resources varied by location throughout the state. If there were situations where PTP officers were at caseload capacity, priority was given to inmates with (1) insufficient familial and/or peer support; (2) lack of housing; (3) extensive criminal history; (4) extensive drug abuse; (5) history of mental health problems; (6) lack of employment; and, (7) a high total risk score on the LSI-R.

Within the first 5 business days of release from a DOC facility, PTP officers met with probationers in the office or in the community. Given the extent of the pre-release planning, PTP officers attempted to secure needed services before probationers left prison. In general, four face-to-face and two collateral contacts per month were made during the first four months of supervision with additional contacts made as needs arose. The goal was to stabilize probationers during this time and transition them to regular probation caseloads (see Appendix A for CSSD's PTP policies).

Program Operation

For the piloting of the PTP, each probation office had its own method of operating. For example, some locations used the same PTP officer to do both the intake in the correctional facility and the supervision of the inmate upon release. In those cases, officers had a maximum of 25 probationers. Other locations divided the workload by having only one of the PTP officers do the initial screening and assessment and the other do the supervision. These officers typically had a caseload that was larger than 25 probationers.

Following the statewide expansion of PTP, CSSD made two specific changes to the daily operation of it. First, caseload sizes were increased to 35 probationers per officer. CSSD determined that this increase from 25 to 35 would not significantly decrease the effectiveness of the PTP. Second, CSSD adapted a regional PTP approach. That is, each region was allowed to develop its own PTP model as long as the PTP policies were followed. The reason for the regional approach was that it was more efficient to have PTP offices share resources than have each office operate on its own. For example, it was inefficient for two PTP officers from two different offices in the same region to go to the same prison each day to interview and assess PTP-eligible inmates. Under the regional model, one PTP officer would go to the prison to interview and assess all PTP-eligible inmates in that region and simply forward the assessments to other PTP officers.

In the piloting of the PTP, all PTP officers were given access to automobiles, cell phones, and laptop computers. However, additional expansion funding was not provided for automobiles or laptop computers. PTP officers had to share motor vehicles with other probation officers in their offices or had to use their personal vehicles. Decreases in the overall operating budget caused CSSD to stop issuing laptop computers altogether for PTP officers.

PTP supervision was designed to last 30 to 120 days from a clients' release from prison but probationers could remain in PTP after this time period with approval from the PTP officers' supervisors. PTP participants were transitioned from PTP to a regular probation caseload after the PTP officer believed that a probationer was successfully re-integrated back into the community. Clients had to remain in PTP for a minimum of 30 days and could be transitioned after they were responding well to being back in the community.

PTP Officer Selection

Probation officers were asked to volunteer to be PTP officers. In offices where multiple probation officers volunteered, probation supervisors decided who would participate. Selection of the officers varied based on location. The more common reasons for selection were the number of years he/she had been working in probation, attitude, communication skills, management skills, ability to work with a challenging population, ability to motivate a client towards positive change, and willingness to be available to clients 24 hours a day seven days a week. In some instances with the statewide expansion, new probation officers were assigned to the PTP.

Training

During the pilot of PTP, all PTP officers, along with the treatment providers assigned to the PTP, were required to participate in intensive training centered on the importance of using the principles of cognitive behavioral change to their daily casework. Coursework consisted of Motivational Interviewing and Criminal Thinking. The initial training was completed from January through April of 2004. Some coursework and refresher programs were ongoing. Trained facilitators from the CSSD Center for Best Practices and experts in the field of cognitive-behavioral change delivered the training.

However, probation officers participating in PTP during the second year of the pilot and the statewide expansion were not offered specialized training. New PTP officers received LSI-R and Motivational Interviewing training during their initial training academy but were not provided training specific to the PTP. If a probation supervisor thought a PTP officer was not effectively working with clients or unable to properly assess them, that PTP officer could be required to attend booster training sessions.

EVALUATION METHODOLOGY

The evaluation employed both qualitative and quantitative research methods in assessing the overall effectiveness of the Probation Transition Program (PTP). These methods centered on two aspects of this program. First, we examined the implementation of the program within and across the individual probation offices in order to better understand the daily activities of probation officers assigned to these units. Without knowing how well the program was implemented, we would have been unable to draw firm conclusions regarding any results they produced (positive or negative). Second, we collected and analyzed data on a sample of program participants and a comparison group of probationers on regular caseloads to determine the effects of the PTP on recidivism both during and following their involvement in the program. This analysis included a detailed comparison of probationers violated during the program and probationers who successfully completed the PTP.

Areas of Research

The evaluation focused on three primary areas. First, we met with and interviewed PTP officers regarding their attitudes about PTP, their perception of its success, and barriers that hindered its ability to be successful. Second, as part of assessing the implementation of the PTP, we examined the intake process in terms of looking at the number of probationers who entered the program and the general profiles of PTP clients. This step was necessary to determine the levels of program utilization and to better understand what types of probationers were being selected to participate in the PTP. Third, data were collected for every client in the PTP and a comparable group of probation officers on regular caseloads to assess program outcomes in terms of probation violation rates and reincarceration rates. We looked at the nature of the violations (new arrest vs. technical violation) and attempted to determine what client factors were associated with being violated (e.g., LSI-R risk levels, criminal history, gender, age, marital status, education, and employment).

Research Design and Data

The evaluation incorporated both qualitative and quantitative methods within the research design. The qualitative methods consisted of face-to-face and telephone interviews with PTP officers conducted during the Fall of 2008 and the Winter of 2010. All PTP officers were contacted by evaluation staff and were invited to participate in the interviews. The interviews lasted approximately 45 minutes to one hour and consisted of a series of open and closed-ended questions pertaining to the various aspects of the PTP. The interview questions were based on observations and evaluation findings from our earlier evaluation of the PTP pilot. These questions focused on probation officer selection and training, case management, technical resources available to PTP officers, and client referrals to the PTP (see Appendix B for the interview instrument).

The quantitative aspect of the evaluation utilized a secondary analysis of existing data. Specifically, data from the Court Support Services Division's case management information system (CMIS) were collected for all clients entering the PTP between October 1, 2004 and

August 31, 2008. We limited our sample to clients entering PTP prior to September 1, 2008 so that we would be able to have a follow-up period of one year for all PTP clients. The CMIS data contained the following information:

- PTP start and end dates
- Type of PTP discharge (successful vs. unsuccessful)
- Demographic information (age, gender, race/ethnicity, marital status, education level obtained, employment)
- Date of probation violation (if one occurred)
- Nature and disposition of probation violation
- Criminal history (bail charges, prior arrests and convictions, age at first arrest)
- Current offense (offense type, number and types of charges, number and types of convictions)
- Level of Service Inventory Revised scores (LSI-R)

In the pilot evaluation and subsequent reports we also included the Adult Substance Abuse Survey (ASUS). However, ASUS scores were collected but were not used in this report because CSSD switched from the ASUS to the ASUS-R midway through the evaluation. We were concerned that the change in instruments midway through the evaluation could have decreased the validity of our results and conclusions.

These data were collected for 2,286 PTP clients. Three study group cohorts were created for the PTP evaluation so that we could assess differences occurring at different stages of PTP implementation. The first cohort (Pilot Year One) consisted of clients who participated in the PTP from October 1, 2004 to October 1, 2005. The second cohort (Pilot Year Two) was comprised of clients who entered the PTP in the second year of the pilot program but before the expansion (October 2, 2005 to January 31, 2007). The third cohort (Expansion) consisted of clients entering the PTP after the expansion of these programs from the pilot offices to the entire state (February 1, 2007 to August 31, 2008).

The pilot program of PTP consisted of five offices with a total of 519 PTP participants in the first year of the pilot and 465 in the second year (Table 1). The expansion included adding more PTP officers to the five pilot offices as well as putting PTP officers in probation offices across Connecticut. There were 1,298 PTP participants in the first year of the expansion. Some offices had low numbers of PTP participants (namely Norwalk, Stamford, and Bristol) during the first year of the pilot due to a delayed start up of the program.

Table 1. Total Number of PTP Participants by Office

Probation Office	Pilot Year One	Pilot Year Two	Expansion	Total
Bridgeport	147	141	236	524
Waterbury	110	86	176	372
New Haven	102	66	159	327
Hartford	52	122	150	324
New London	108	50	87	245
Danbury			70	70
Norwich			68	68
New Britain			55	55
Manchester			46	46
Danielson			45	45
Middletown			44	44
Milford			41	41
Bantam			38	38
Willimantic			24	24
Bristol			21	21
Stamford			21	21
Norwalk			17	17
TOTAL PTP	519	465	1,298	2,286

Definition and Measurement of Recidivism

The primary outcome measure of program success was a lack of a technical violation of probation. This measure is different from other recidivism studies that simply use any new arrest or technical violation. We made this decision because the primary goal of the PTP was to reduce the number of technical violations that resulted in new prison sentences and new arrests do not always result in technical violations of probation. For example, a probationer is arrested for a minor larceny (Larceny 6). The probation officer has discretion whether to violate this probationer. Probation officers rarely violate probationers in these situations because the resulting sentence for the larceny arrest usually consists of an extension or minor modification of the original probation sentence. We did not believe, in these instances, the new arrest should count against the success rate of PTP because there were no technical violations and no new prison sentences.

Creation of the PTP Comparison Groups

Ideally, evaluation research should follow an experimental research design where individuals are randomly selected to participate in a treatment program or are placed in a control group. This research design is preferred because the only difference between the two groups is that one was selected to receive treatment and one was not. However, the legal and ethical nature of criminal justice programming rarely allows for randomly placing offenders into treatment or denying them treatment solely for research purposes. We could not create a randomly assigned control group because all high risk split sentenced inmates were likely to

participate in the PTP. Additionally, in cases where there were more inmates than PTP availability, PTP officers selected the most risky offenders.

We used two methods for creating comparison groups that were as similar to PTP participants as possible. Both methods used what is known as a historical comparison group. The historical comparison groups were comprised of probationers who were on probation prior to the implementation of the PTP and would have been eligible to participate if it had existed. For the five PTP pilot sites in our initial evaluation of PTP, the historical comparison group was created by collecting data on closed split sentenced probation cases from the same five courts where the PTP was piloted. To minimize the historical affects of supervision trends and policy, we selected high risk cases that were closed in the three-month period prior to inception of the PTP. These cases were closed because the probationer either had completed his/her probation sentence or had his/her probation terminated or revoked due to a new arrest or technical violation. The cases were high risk based on their LSI-R total risk score and assigned supervision level. After collecting CMIS data on this group, we conducted a number of statistical tests on the two groups and found that the PTP pilot group was very similar to the pilot historical comparison group.

For the twelve expansion sites, we collected CMIS data for all probationers in the expansion offices who started probation one year prior to the implementation of the PTP expansion. After these data were collected, we selected probationers having high LSI-R total risk scores or were assigned to a supervision level of high or surveillance. We then conducted several statistical tests on the two groups and found little significant differences between the PTP expansion group and the expansion historical comparison group.

EVALUATION FINDINGS

The following section presents the results of the quantitative and qualitative aspects of the evaluation. We begin by summarizing the results of the PTP probation officer interviews. This presentation is followed by the outcome analysis of CMIS data.

PTP Probation Officer Interviews

All PTP officers were asked to participate in 45 minute telephone interviews. They were asked about their role and attitudes regarding the PTP. Specifically, questions fell into four general categories: Background and Training; Caseload Management; Technical Resources; and, Client Referrals to PTP. A total of 23 PTP officers participated in these interviews.

Background and Training

The questions asked in this category related to when the officer actually was hired, when he/she started the PTP, meeting and trainings officers attended or received, whether the officer had a mentor or person he or she could seek out for advice, and if there was any type of assistance or training that was needed for the program.

PTP officers were first asked how long they had been probation officers prior to PTP and the answers ranged from 2 to 14 years (Table 2). Most of the PTP officers (61%) had been probation officers from 1 to 4 years. Two of the interviewed officers started their probation careers as PTP officers.

Table 2. Probation Officer Experience Prior to the PTP

Category	Frequency	Percentage
New Probation Officer	2	9%
Less than One Year	1	4%
One to Four Years	14	61%
More than Four Years	6	26%

Table 3 presents how officers became involved in the PTP. The majority of the interviewed officers (74%) volunteered for the PTP (Table 3). Three (13%) PTP officers were assigned to the unit and three others were hired to be PTP officers.

Table 3. How Did You Become Involved with this Program?

Amount Category	Frequency	Percentage
Volunteered	17	74%
Assigned to Position	3	13%
Hired for Position	3	13%

Next, the officers were asked if they received any training or mentoring once they joined the PTP. In regards to their training and mentoring (Table 4), 65% of the interviewed officers reported attending inter-office/region meetings regarding PTP and 70% reported having mentors

from which they could solicit program-specific information. However, only 26% of the officers reported receiving any type of program training prior to beginning work with the PTP.

Table 4. Questions Pertaining to Training and Mentoring

Item	"Yes" Responses	Percentage
Did you receive any PTP-specific training?	6	26%
Have you gone to any PTP-specific meetings with other officers outside of your office/region?	15	65%
Did you have a mentor within your office that you could go to in regards to being a PTP officer?	16	70%

For those officers who indicated they received specific PTP training, the trainings included: ASUS training, LSI/risk assessment training, motivational interviewing, policies and contact standards training, mental health and substance abuse training, and social service training. One officer stated that he/she did not receive any specific training but did work closely with another PTP officer and was "informally" trained through this relationship.

The majority of PTP officers participated in meetings with other PTP officers. The purpose of those meetings varied. Many meetings focused on discussions involving policy changes, program statistics, trouble shooting on how to improve the program, the intake process, aspects of supervision, best services available for clients, how to work collectively, job performance, and overall expectations of the program.

It is important to point out that many officers suggested that all new PTP officers attend some type of basic PTP training in addition to their probation officer academy training. This training should cover both the intake process (specifically how to work with the Department of Correction) and the supervision process. Also, it was suggested that officers have some specific training in areas such as mental health, social services and motivational interviewing. One officer suggested that PTP training be informal and conducted by veteran PTP officers.

Caseload Management

The next series of questions dealt with caseload management. When the PTP was piloted, officers were to have a maximum caseload of 25 and their caseloads were to consist only of PTP clients. As the program expanded, PTP officers had their caseloads increased to 35 clients and some PTP officers were assigned clients who were not in the PTP. Table 5 presents officers' current caseload and Table 6 presents whether those caseloads are mixed. In addition, Table 6 presents reporting days and days in the field.

Table 5. What is Your Current Caseload?

Amount Category	Frequency	Percentage
25 or fewer cases	9	39%
26 to 35 cases	9	39%
36 or more cases	5	22%

The majority of interviewed PTP officers had caseloads under 35 (78%). Nine of the officers reported having caseloads between 26 and 35 clients and nine had caseloads under 25 cases (Table 5). Five PTP officers (22%) had caseloads over 35 cases.

Table 6. Questions Pertaining to PTP Supervision

Item	“Yes” Responses	Percentage
Is your caseload strictly PTP?	19	83%
Do you have specific reporting days each week?	12	52%
Do you have specific days you are in the field?	9	39%

Also in regards to their caseloads, 19 of the 23 interviewed officers (83%) reported serving only PTP clients (Table 6). Of these interviewed individuals, 52% stated that they offered specific reporting days for those clients and 39% indicated that they set aside certain days for fieldwork.

Of those officers reporting a mixed caseload, the mixture of clients was varied. Two officers had PTP clients along with high risk clients. One of these officers indicated that the addition of high risk clients was rare. Another officer indicated that his/her caseload was mixed with minimum clients. The remaining officer indicated that 70% of his/her caseload contained active PTP clients while the remaining 30% consisted of former PTP clients that had been retained by the officer instead of being sent to a regular caseload. Most of the officers did not think other clients could be assigned to them due to having full caseloads. One officer did indicate that he/she could be assigned more of the split sentence offenders. None of the officers reported having difficulty balancing the mixed caseload and most of them believed that they treated all of their clients the same. Those clients with “immediate needs” were given priority, regardless of their caseload type.

Technical Resources

The next series of questions centered on technical resources provided to PTP officers such as state-issued vehicles and cell phones. When the program was originally piloted, these resources were provided but were decreased due to budgetary issues. Table 7 presents the responses to the questions pertaining to these resources. Although 96% of the interviewed officers reported having state-issued cell phones and every officer had access to a state car, only five individuals (25%) reported that the vehicles they had access to were specifically designated for the PTP. Furthermore, 15 of the officers (65%) reported instances in which they required motor vehicle access, but no cars were available.

Tables 8 and 9 present the responses regarding motor vehicles. Table 8 refers to the number of vehicles available to an officer and Table 9 refers to the number of officers actually vying for use of a vehicle. The lack of access mentioned in Table 7 may have been due to the fact that 14 of interviewed individuals (61%) reported sharing one car with multiple probation officers, while only two PTP officers (9%) reported having their own state vehicles (Table 8).

Table 7. Questions Pertaining to TVU Resources

Item	“Yes” Responses	Percentage
Do you have to sign up for its use ahead of time?	18	78%
Was available car specifically designated for PTP?	5	25%
Have there been times when the vehicle has not been available when you needed it?	15	65%
If vehicle not available, did you use your own vehicle as an alternative?	9	53%
If vehicle not available, did you reschedule your plans?	10	59%
Do you have a state-issued cell phone?	22	96%
Do you provide your cell phone number to your clients?	19	91%

Table 8. How Many Officers Share a Vehicle?

Amount Category	Frequency	Percentage
This officer has own car	2	9%
One car for multiple officers	14	61%
Multiple cars for multiple officers	7	30%

When having to share a vehicle, 8 of the interviewed PTP officers (35%) shared a car with five or fewer probation officers (Table 9). However, 11 (48%) had to share vehicles with over 10 other probation officers.

Table 9. Number of Officers Vehicle(s) Shared With

Amount Category	Frequency	Percentage
5 or fewer POs	8	35%
6 to 10 POs	4	17%
11 to 25 POs	6	26%
25 or more POs	5	22%

*Table percentages do not sum to 100% due to rounding.

Table 10 follows up with information provided in Table 7 regarding PTP cell phone usage. Almost all of the PTP officers gave out their cell phone numbers (96%) with the majority of officers (59%) saying they received phone calls from clients either frequently or on a daily basis. Only 5 PTP officers (23% of those interviewed) said that they never or rarely were called by clients.

Table 10. If You do Provide Clients with the Cell Phone Number, How Often Do They Call?

Amount Category	Frequency	Percentage
Never	2	9%
Rarely	3	14%
Occasionally	4	18%
Frequently	5	23%
Daily or more often	8	36%

Another follow-up question asked PTP officers the reasons for clients calling them. The more common responses were to notify the officer of not being able to make appointments, to reschedule appointments, requests for a curfew extension, changing of residence, issues with treatment, expressing needs for services, contacts with the police, clients having difficult/stressful times, and clients having crisis situations.

The last question asked of PTP officers in this series was if they had unlimited resources, what technical support did they believe would help with their jobs. The responses to this question varied and fell into three general categories: technical support, client specific support, and DOC/Parole communication. In terms of technical support, several officers suggested they be provided with a GPS (Global Positioning System). Along this same line, others suggested having wireless laptops to conduct video conferences. Several officers requested more ready access to vehicles. The request for client specific support revolved around residential beds, housing, tokens, bus passes, and essential programs for drug abuse. In regard to DOC/Parole communication, the specific resource that was mentioned was voicemail accessibility for DOC/parole staff. Some officers were concerned that they were to leave messages for DOC or parole staff.

Client Referrals to the PTP

The last series of questions dealt with client referrals to the PTP. Most officers stated that clients' files were simply transferred to them from DOC. Once this happened, PTP officers reviewed casenotes to determine if clients were appropriate for the PTP. In addition, officers tended to note clients' areas of concern, potential triggers, and specific issues that needed to be addressed upon release from DOC.

Once clients were deemed appropriate for the PTP, meetings were scheduled to visit clients at correctional facilities. During these initial meetings, risk assessments were completed and PTP officers discussed clients' immediate needs. Many officers also met with clients approximately three days prior to their prison release to review clients' plans and activities upon their prison release. In some cases, clients were supervised by someone other than the intake PTP officer. The supervising officers' contact information was provided to the client.

Table 11 presents the responses to the questions regarding concerns about the process and potential stumbling blocks. In regards to the PTP referral process, 39% of the interviewed officers cited concerns about the current process and 57% reported that stumbling blocks existed within it.

Table 11. Questions Pertaining to PTP Referrals

Item	"Yes" Responses	Percentage
Do you have concerns about the current process?	9	39%
Are there any stumbling blocks/hurdles in the referral process?	13	57%

PTP officers mentioned several concerns with the referral process. Some of these were time management issues, DOC communication, locating clients upon discharge, and the need for

better screening to assure clients were appropriate for the PTP. With time management, some officers indicated it was hard to balance the need to do intakes at the correctional facilities and be able to properly supervise existing PTP clients. One officer thought that splitting the intake and supervision of clients was a bad idea and a concern for the program.

As has been discussed earlier, communication with the DOC was a concern. Several officers thought this needed to be improved. In doing so, it would be easier to work with the DOC and gain access to clients.

Locating clients upon discharge was also a concern that was expressed because some clients gave false addresses. Once they were released and did not show up to meet their supervising officer, they were difficult to find.

Lastly, there was a concern regarding about the appropriateness of some clients in the program. The DOC often recommended all split sentence offenders with no consideration of their needs. PTP officers believed that many inmates recommended to the PTP should actually be on regular probation caseloads. Many officers were concerned with the lack of communication with DOC. These officers believed that better lines of communication needed to be established with each of the correctional facilities. In addition, it was suggested that regular meetings should occur with DOC to keep these channels open. Some officers also expressed a desire to have a more “professional” location to meet with clients at the correctional facility. One further suggestion involved the possibility of having video conferences with clients at the correctional facilities when face-to-face meetings were not possible.

Outcome Analysis

The outcome analysis primarily used CMIS data collected for all PTP clients entering the program between October 1, 2004 and August 31, 2008. These data were used to describe the clients participating in the PTP, determine the outcomes of these clients, and explore those factors related to program success. PTP clients were organized into three study groups, depending on when they entered the program. The first study group was comprised of clients entering PTP between October 1, 2004 and October 1, 2005 (Pilot Year One). The second study group entered PTP between October 2, 2005 and January 31, 2007 (Pilot Year Two). Finally, the third study group began PTP between February 1, 2007 and August 31, 2008 (Expansion). The purpose of the three study groups was to assess the different phases of the implementation of the PTP. If CSSD was successful in expanding the PTP model statewide, there would be few differences in outcomes across the three study groups.

Furthermore, two PTP comparison groups were created to determine the overall effects of the PTP compared to a similar group of probationers who were on probation prior to the implementation of the PTP. The first comparison group was comprised of high risk probationers from the five pilot PTP offices (Bridgeport, Hartford, New Haven, New London, and Waterbury) while the second comparison group was made up of probationers from the expansion probation offices. The final part of the outcome analysis provides an assessment of probation outcomes for the PTP participants and the historical comparison groups.

Study Group Description

Table 12 presents a summary of the three study groups. The vast majority of PTP clients were males in each of the three study groups (over 90%). There were differences in the race/ethnicity of clients in the Expansion study group compared to the two pilot groups. For instance, there were fewer African-Americans, fewer Hispanics, and more Caucasian clients in the Expansion study group. These differences were expected given that the pilot sites were located in urban areas with a higher population of minorities than the expansion sites. There were few differences across the study groups for age, marital status, and education. The only other difference between the groups was for employment. The Pilot Year One group had a lower percentage of unemployed clients (63%) than the other two groups (77% for Pilot Year Two and the Expansion).

Table 13 shows the LSI-R risk levels for the study groups. The LSI-R risk levels were relatively the same across the three groups. The average LSI-R overall risk score was 29.31 for the first pilot group, 30.42 for the second year pilot group, and 30.34 for the Expansion group. The Pilot Year Two study group had the highest percentage of clients at high or surveillance (93%), followed by the Expansion group (90%) and the Pilot Year One group (87%).

The average LSI-R total risk scores by PTP office are presented in Table 14. There were few differences across the three study groups for the initial pilot sites. That is, the risk levels of PTP clients did not appear to significantly change from the first year to the second year of the pilot, nor from the second year of the pilot to the expansion. For the expansion sites, Bantam had the highest average LSI-R risk score (33) and Norwalk and Danielson had the lowest average risk scores (28).

Table 12. Demographic Summary of the Three Study Groups

	Pilot Year One (n=519)	Pilot Year Two (n=465)	Expansion (n=1,298)
Males	89%	93%	91%
Race/Ethnicity			
African-American	44%	47%	37%
Caucasian	29%	21%	36%
Hispanic	27%	31%	26%
Other	.2%	1%	1%
Age			
16-20	12%	11%	13%
21-30	41%	40%	39%
31-40	27%	31%	24%
Over 40	20%	18%	24%
Average Age	32 yrs. old	31 yrs. old	32 yrs. old
Marital Status			
Married	5%	6%	7%
Single	81%	79%	77%
Divorced/Sep/Widowed	14%	15%	16%
Education			
No High School diploma	65%	71%	65%
High School Graduate	24%	20%	24%
More than High School	11%	9%	11%
Employment			
Unemployed	63%	77%	77%
Other Income	6%	5%	4%
Employed	31%	18%	19%

Table 13. LSI Risk Level by Study Group

LSI Risk Level	Pilot Year One (n=514)	Pilot Year 2 (n=464)	Expansion (n=1,297)
Administrative	12 (3%)	11 (3%)	16 (1%)
Medium	50 (10%)	20 (4%)	108 (8%)
High	374 (72%)	373 (80%)	1,133 (87%)
Surveillance	78 (15%)	60 (13%)	40 (3%)
Average LSI Risk Score	29.31	30.42	30.34

Table 14. Average LSI Score by Study Group and Office

Probation Office	Pilot Year One	Pilot Year Two	Expansion
Hartford	31	32	32
Waterbury	29	30	31
New Haven	30	31	30
Bridgeport	28	28	30
New London	29	30	29
Bantam			33
Bristol			31
Manchester			31
Middletown			31
Milford			31
New Britain			30
Norwich			30
Stamford			30
Danbury			29
Willimantic			29
Danielson			28
Norwalk			28
TOTAL PTP	29	30	30

PTP Completion Rates

Clients were referred and accepted into the PTP prior to their release from prison. The purpose of the PTP was to provide a smooth transition from prison release to probation supervision with PTP clients spending up to 120 days on a PTP caseload before being transferred to a general probation caseload. Table 15 presents the percentage of clients successfully discharged from the PTP and transitioned to regular probation. There were different trends in the pilot sites across the three study groups. First, three offices (New London, Waterbury, and Bridgeport) had higher completion rates during the first year of the program, followed by a decrease during the second year, and then an increase during the expansion. Second, one office (New Haven) had a higher completion rate from the first to the second year, followed by a decrease during the expansion. Third, the Hartford PTP had the same completion rate for the two pilot years and a decrease during the expansion.

There was some variation in completion rates across the expansion offices. Most of the offices had a completion rate over 70% (13 of the 17 offices). The other four offices had completion rates over 50%.

Table 15. PTP Completion Rate by Study Group and Office

Probation Office	Pilot Year One	Pilot Year Two	Expansion
New London	75%	72%	79%
Waterbury	79%	57%	75%
Bridgeport	82%	71%	72%
New Haven	75%	77%	71%
Hartford	75%	75%	59%
Norwalk			88%
Stamford			86%
Milford			85%
Danielson			84%
Danbury			83%
Norwich			77%
Bantam			76%
Middletown			75%
Bristol			71%
Manchester			63%
Willimantic			63%
New Britain			56%
TOTAL PTP	78%	71%	72%

Tables 16 and 17 show the average days clients were in the PTP and the average number of client contacts for PTP offices. Even though the prescribed time in the PTP was 120 days, only two offices averaged 120 days or less (Danbury and Manchester) while several offices had averages over 180 days (Hartford, New London, Bridgeport, Bantam, Danielson, Willimantic, and Norwich). The average number of days in the PTP was well over 120 days for all three study groups (156 days for Pilot Year One, 172 for Pilot Year Two, and 160 for the Expansion). There were some differences for the three study groups. The average days in the PTP was similar for Pilot Year One (156 days) and the Expansion (160 days) but was higher for Pilot Year Two (172 days).

Table 17 presents the average number of client contacts. Client contacts consisted of face-to-face meetings between PTP officers and clients, telephone contacts, and contacts with peripherals (e.g., service providers, family members, employment supervisors, etc.). The findings of Table 17 were consistent with Table 16, in that, the longer clients were in the PTP the more contacts they had. Danbury had the lowest average days in the PTP (100 days) and also had the lowest average number of client contacts (11) while Bantam had the most days in PTP (269) and the most contacts (46).

Table 16. Average Days in Program by Study Group and Office

Probation Office	Pilot Year One	Pilot Year Two	Expansion
Hartford	170	160	187
New London	185	178	184
Bridgeport	160	197	169
New Haven	130	147	140
Waterbury	139	164	129
Bantam			269
Danielson			238
Willimantic			213
Norwich			180
New Britain			174
Bristol			158
Stamford			153
Milford			138
Norwalk			135
Middletown			128
Manchester			104
Danbury			100
TOTAL PTP	156	172	160

Table 17. Average Number of Client Contacts by Study Group and Office

Probation Office	Pilot Year One	Pilot Year Two	Expansion
New London	25	26	32
Bridgeport	17	25	23
New Haven	13	18	20
Waterbury	30	23	20
New Britain	16	18	20
Hartford	5	12	15
Bantam			46
Stamford			32
Norwich			26
Milford			25
Manchester			23
Danielson			20
Willimantic			19
Norwalk			18
Bristol			18
Middletown			17
Danbury			11
TOTAL PTP	16	20	22

Program Outcomes: New Arrests and Technical Violations

The primary outcome of the study was violations of probation that resulted in technical violations up to one year following PTP clients' prison release. Table 18 shows that the percentage of technical violations was almost the same for the Pilot Year One (13%) and the Expansion (12%) study groups but was higher for Pilot Year Two (19%). In contrast, the percentage of new arrests and percentage of new arrests and technical violations were relatively the same for all three study groups.

Table 18. New Arrests and Probation Violations Across Study Groups

	Pilot Year One (n=519)	Pilot Year Two (n=465)	Expansion (n=1,298)
VOPs and New Arrests within One Year			
New Arrests	76 (15%)	76 (16%)	207 (16%)
Technical Violations	68 (13%)	86 (19%)	150 (12%)
New Arrests and Tech. Violation	46 (9%)	40 (9%)	131 (10%)
Totals	190 (37%)	202 (44%)	488 (38%)

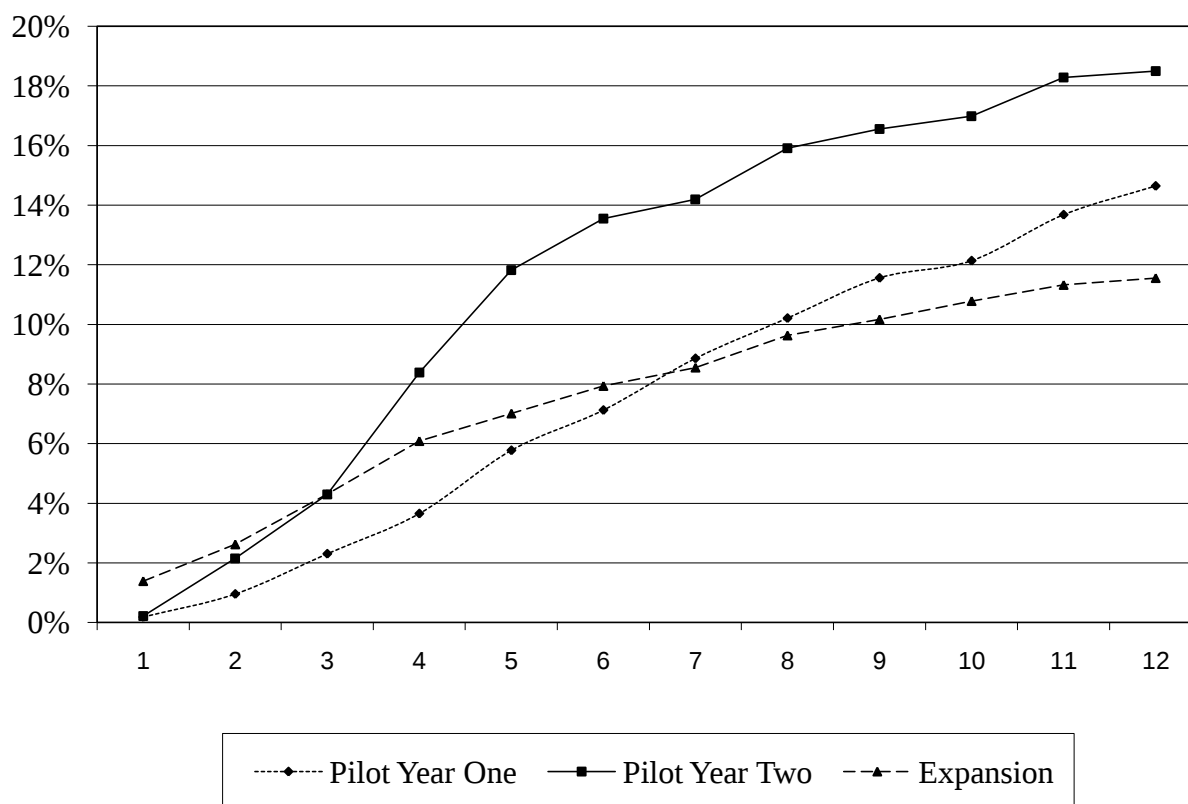
PTP clients were transitioned onto regular probation caseloads if PTP officers believed they had been successfully re-integrated into their communities. Table 19 presents the one year outcomes of PTP completers. A small percentage of PTP completers were arrested or technically violated after being successfully transitioned from PTP. For instance, only 8% of PTP completers in the Expansion study group were technically violated and 11% were arrested. These outcomes were similar across the three study groups.

Table 19. New Arrests and Technical Violations for PTP Completers

	Pilot Year One (n=412)	Pilot Year Two (n=329)	Expansion (n=930)
New Arrests	44 (11%)	39 (12%)	98 (11%)
Technical Violations	18 (4%)	24 (7%)	33 (4%)
New Arrests and Tech. Violation	21 (5%)	11 (3%)	40 (4%)
Totals	83 (20%)	74 (22%)	171 (19%)

Figure 1 shows the time frame for technical violations for each study group. The trends were similar for the Pilot Year One and the Expansion study groups. For instance, very few (less than 2%) of these two groups were technically violated in the first month following prison release and close to 8% were violated after six months. The Pilot Year Two study group had a much different pattern. A higher percentage of PTP clients were violated after six months (nearly 14%). After six months, the percentage of technical violations for the Pilot Year Two study group followed a similar pattern as the other two study groups (about a 5% increase).

Figure 1. Cumulative Monthly Percentage of Technical Violations by Study Group



There was a wide variation in the percentage of the PTP clients who were technically violated across the Expansion group sites (Table 20). Overall, 12% of PTP clients received technical violations within one year of prison release. New Britain had the highest technical violation rate (20%) and three offices had zero technical violations (Bristol, Bantam, and Stamford). These differences can also be observed by looking at the total percentage of the PTP clients technically violated or arrested. Approximately 50% of New Britain (51%) and Hartford (50%) PTP clients were arrested or violated while Danielson (20%) and Milford (27%) had the lowest.

Table 20. One Year Probation Violation Types by Office (Expansion Study Group Only)

Probation Office	New Arrest	Technical Violation	New Arrest and Technical Violation	Total
New Britain	15%	20%	16%	51%
Hartford	23%	19%	8%	50%
Norwalk	4%	17%	26%	47%
Manchester	13%	15%	15%	43%
Bristol	24%	0%	19%	43%
Norwich	16%	13%	13%	42%
New Haven	21%	13%	6%	40%
Waterbury	10%	11%	18%	39%
Bridgeport	19%	11%	4%	34%
Middletown	16%	11%	7%	34%
Danbury	16%	9%	7%	32%
New London	10%	9%	13%	32%
Willimantic	17%	13%	0%	30%
Bantam	8%	0%	21%	29%
Stamford	10%	0%	19%	29%
Milford	15%	5%	7%	27%
Danielson	7%	4%	9%	20%
TOTAL PTP	16%	12%	10%	38%

Table 21 presents the number and percentage of the PTP clients receiving new prison sentences as a result of being arrested and/or technically violated. The overall percentages of new prison sentences were relatively the same for the Pilot Year One and the Expansion study groups (around 22%) while the Pilot Year Two study group was much higher (32%). The difference for the Pilot Year Two study group was attributed to a higher percentage of new arrests and technical violations that resulted in prison sentences.

Table 21. New Prison Sentences of Study Groups by Type of Probation Violation*

	Pilot Year One	Pilot Year Two	Expansion
New Arrest	47 (9%)	54 (12%)	103 (9%)
Technical Violation	44 (9%)	58 (13%)	64 (6%)
New Arrest and Tech. Viol.	33 (6%)	31 (7%)	73 (6%)
Totals	124 (24% of 508)	156 (32% of 447)	240 (21% of 1,142)

*Total does not include violations that are pending court action

The percentages of PTP clients sentenced to prison as a result of new arrest or technical violation are presented in Table 22. For all five pilot offices, the percentages of clients receiving new prison sentences increased from Pilot Year One to Pilot Year Two and then decreased for the Expansion. Similar to technical violation rates, there were differences across the Expansion sites in percentages of PTP clients sentenced to prison. Manchester had the highest arrest and technical violation rate and the highest percentage of PTP clients sentenced to prison (33%) while Milford (6%) and Danielson (10%) had the lowest percentages.

Table 22. New Prison Sentences Due to One Year Probation Violations by Office

Probation Office	Pilot Year One	Pilot Year Two	Expansion
Waterbury	21%	41%	29%
Hartford	31%	35%	27%
New Haven	26%	27%	21%
Bridgeport	24%	27%	19%
New London	25%	31%	19%
Manchester			33%
New Britain			29%
Norwalk			24%
Norwich			22%
Middletown			21%
Willimantic			18%
Stamford			17%
Danbury			16%
Bristol			11%
Bantam			11%
Danielson			10%
Milford			6%
TOTAL PTP	25%	32%	22%

Factors Influencing One Year PTP Outcomes

The next part of the outcome analysis was comprised of identifying differences between PTP participants who were arrested or technically violated one year after starting the PTP. Table 23 shows these rates for gender, race/ethnicity, age, marital status, employment, and education. There were statistically significant differences in the arrest rates for all of the demographic factors. Males were much more likely to be arrested than females (26% to 15%) and African-Americans were the most likely racial/ethnic group to be arrested (33%). The younger the PTP client, the higher likelihood of an arrest (44% of probationers under 21 were arrested compared to 14% of those over 40 years old). Single probationers also had a higher arrest rate than those who were married or had been married. Also, PTP clients who were unemployed and did not have a high school diploma also had a higher likelihood of being arrested one year following their PTP entry.

Table 23. Demographic Factors with New Arrests and Technical Violations

	New Arrest	Technical Violation
Gender*		
Males (n=2,077)	26%	14%
Females (n=205)	15%	12%
Race/Ethnicity*		
Caucasian (n=714)	17%	12%
African-American (n=928)	33%	13%
Hispanic (n=619)	24%	16%
Other (n=15)	20%	0%
Age at PTP Start*		
Under 21 Years Old (n=277)	44%	11%
21 thru 30 Years Old (n=909)	29%	13%
31 thru 40 Years Old (n=599)	21%	16%
Over 40 Years Old (n=497)	14%	12%
Marital Status**		
Single, never married (n=1,778)	29%	14%
Divorced/Widowed/Separated (n=350)	11%	9%
Married (n=147)	18%	18%
Employment**		
Full-Time (n=363)	13%	6%
Part-Time (n=126)	23%	6%
Other Income (n=106)	19%	10%
Unemployed (n=1,680)	29%	16%
Education**		
No H.S. Diploma (n=1,501)	28%	15%
High School Diploma (n=533)	23%	11%
More than H.S. Diploma (n=241)	16%	8%

*Differences in arrest categories were statistically significant at $p < .05$

**Differences in arrest and technical violation categories were statistically significant at $p < .05$

Only marital status, employment, and education produced differences in technical violation rates (Table 23). Clients with the lowest likelihood of being violated were divorced/widowed/separated (9%) compared to single (14%) or married (18%) clients. Similar to arrests, unemployed clients and clients without high school diplomas were the most likely to be technically violated.

While Table 23 points out individual differences in arrest and technical violation rates across for a variety of demographic factors, it is not possible to determine which factors had the most effect. To compare the effects across all of the variables, we used multinomial logistic regression analysis. This statistical technique looks at the relative contribution of many variables

in explaining arrests and technical violations. For this analysis, we used age, prior arrests, gender, marital status, employment, and the LSI-R subscales (criminal history, education/employment, financial, family, accommodations, leisure, companions, alcohol/drug, emotional, and attitude/orientation).

The multinomial regression tells us which factors significantly affect whether PTP clients were arrested or technically violated and the importance of each (Table 24). PTP participants arrested one year after their PTP start were younger, unemployed had prior arrests, a high LSI-R companions score, males, and had high LSI-R risk scores for criminal history, orientation (attitude), leisure, and alcohol/drugs. Taken together, these results show that PTP clients more likely to be arrested were young males with a deviant peer group who had already been arrested multiple times. These clients also were unemployed, had poor attitudes along with alcohol and/or drug use, and had a significant amount of unoccupied leisure time.

PTP clients most likely to be technically violated one year after entering the PTP were slightly different (Table 24). These clients were unemployed, had prior arrests, high LSI-R drug/alcohol risk scores, were younger, and had higher LSI-R accommodations and companions risk scores. While unemployment and prior arrests were the most influential factors for technical violations, these clients appeared different than those that were arrested because their drug/alcohol problems were more prevalent along with unstable housing and a deviant peer group.

Table 24. Multinomial Regression For New Arrests and Technical Violations

		Beta	Stand. Error	Wald	Sign.	Odds Ratio
New Arrest	Intercept	-1.192	.683	3.047	.081	
	Age	-.064	.008	71.382	.000	.938
	Employment	-.325	.057	32.275	.000	.723
	Prior Arrests	.040	.009	20.750	.000	1.040
	LSI Companions	.196	.059	11.225	.001	1.217
	Males	.557	.225	6.162	.013	1.746
	LSI Criminal History	.081	.035	5.321	.021	1.084
	LSI Orientation	.095	.046	4.312	.038	1.100
	LSI Leisure	.175	.086	4.167	.041	1.192
	LSI Alcohol/Drug	.048	.024	4.028	.045	1.049
	Married	-.194	.112	3.018	.082	.823
	LSI Accommodations	.076	.059	1.687	.194	1.079
	Education	-.094	.094	1.000	.317	.910
	LSI Emotional	-.030	.039	.575	.448	.971
	LSI Financial	-.048	.083	.334	.563	.953
	LSI Employment/Education	-.019	.035	.300	.584	.981
	LSI Family	-.022	.051	.186	.666	.978
Technical Violation	Intercept	-3.078	.839	13.459	.000	
	Employment	-.365	.079	21.346	.000	.694
	Prior Arrests	.044	.010	20.637	.000	1.046
	LSI Alcohol/Drug	.137	.030	20.384	.000	1.147
	Age	-.029	.009	11.692	.001	.971
	LSI Accommodations	.152	.073	4.349	.037	1.164
	LSI Companions	.155	.074	4.338	.037	1.167
	Education	-.238	.123	3.770	.052	.788
	LSI Leisure	.168	.110	2.362	.124	1.183
	LSI Employment/Education	.062	.047	1.743	.187	1.064
	LSI Criminal History	.058	.045	1.643	.200	1.060
	Males	.291	.250	1.358	.244	1.338
	LSI Family	-.036	.063	.323	.570	.965
	LSI Emotional	.022	.047	.222	.637	1.022
	LSI Financial	-.014	.107	.016	.898	.986
	LSI Orientation	-.004	.058	.005	.944	.996
	Married	-.008	.123	.005	.945	.992

Model Chi-Square = 361.10, $p < .05$.

Cox and Snell $R^2 = .15$, Nagelkerke $R^2 = .18$

Comparison Group Analysis

The final set of analyses compared the one year probation outcomes of PTP clients to similar groups of probationers who did not participate in the PTP. This analysis used two separate comparison groups of probationers; one for the pilot PTP offices (Bridgeport, Hartford, New Haven, New London, and Waterbury) and one for the statewide expansion offices. These groups were referred to as historical comparison groups because both groups consisted of individuals on probation prior to the implementation of the PTP.

Creation of historical comparison groups. The Pilot Comparison Group was created by taking all probation cases that were closed during the months of June, July, and August of 2004 for courts that had the PTP. These cases had been closed because clients successfully completed their probation sentence or had their probation terminated or revoked due to new arrests or technical violations. This type of group was utilized because it created a random selection of split sentenced offenders from the five PTP offices and provided complete outcome data for split sentenced probationers prior to the implementation of the PTP. To create this group, a list of probation cases that were closed during June, July, and August of 2004 was obtained from the CSSD's CMIS database. Next, client demographic data, risk scores (LSI-R and ASUS), charge data (charges and severity), and criminal history data were collected from CMIS. Rearrest data were also collected on this group from the Judicial Branches' CRMVS database. Finally, we reviewed hard copy files for those probationers who were violated in order to obtain the specific reason for the probation violation. This group consisted of 134 high risk probationers across the five PTP pilot offices and closely resembled PTP clients from the Pilot Year One study group. The biggest difference between these two groups was unemployment, with the PTP Pilot Year One group having a higher percentage of probationers unemployed (see our August 2006 report titled "Addendum to the Final Report of the Court Support Services Division's Probation Transition Program and Technical Violations Unit" for a complete description of the Pilot Comparison Group). While the average total LSI risk scores indicated that both groups were high risk, the Pilot Year One study group had a higher risk score (29.25) than the Pilot Comparison Group (25.53).

Although the Pilot Comparison Group closely resembled the Pilot Year One study group it was significantly different than the Pilot Year Two and pilot offices' expansion study groups (See Appendix C summary tables). The Pilot Comparison Group had a higher percentage of married clients than the PTP Pilot Sample (11% to 6%) and a lower percentage of unemployed clients (67% to 77%). The primary differences between these groups were in LSI-R risk scores. The Pilot Comparison Group was had lower risk scores for all of the LSI-R risk scores except Alcohol/Drug Leisure. The average total LSI-R score was much higher for the PTP Pilot Sample (30.14) than the Pilot Comparison Group (25.54).

While the Pilot Comparison Group provided a source to compare to the PTP pilot offices, we also needed a group to compare with the statewide expansion offices. Substantial developments in CMIS since 2004 allowed us to select a similar group of probationers who began their probation sentence prior to the statewide implementation of the PTP. In addition, CSSD's Center for Research, Program Analysis and Quality Improvement had been conducting an in-house recidivism study of all probationers and created a data file consisting of all offenders who began their probation sentences between 2004 and 2005. This dataset contained almost all of the information we had collected for the PTP pilot study groups and the Pilot Comparison Group. We were given data for all probationers starting probation in the 2005 calendar year. From this group, we selected split sentenced probationers from the expansion offices (probationers from the five pilot offices were not included). We intended to use propensity score matching to create a one-to-one comparison group match for each PTP participant, however, CSSD made a major change in how LSI-R total risk scores that defined probation officer supervision levels in the middle of the evaluation. This change did not allow us to use propensity score matching techniques. As an alternative, we had to select a sample of PTP

expansion clients and probationers in these offices prior to the PTP that had been supervised at the same risk level. The one similarity was that probationers with a LSI-R total risk score over 28 were classified as high risk and supervised with the same contact standards prior to and after the PTP expansion. Therefore, we selected only those PTP and nonPTP probationers who scored over 28 and were supervised as high risk clients. We also stratified these groups by office, race/ethnicity, gender, and age to obtain the closest matched groups as possible.

This process resulted in a PTP Expansion Sample with 305 PTP participants and an Expansion Comparison group with 377 nonPTP probationers. These groups were then compared across demographic information (e.g., gender, race/ethnicity, age, marital status, education, and employment) and LSI-R risk scores (See Appendix C for the tables containing these comparisons). Across all of these data, there were three differences between the two groups. The Expansion Comparison Group had a higher percentage of married clients (13%) than the PTP Expansion Sample (8%) and also a lower percentage of clients without high school diplomas (51% to 62%). Additionally, the PTP Expansion Sample had a higher LSI-R criminal history risk score (6.82 to 6.41).

We would have preferred the Pilot Comparison Group to have more closely resembled the Pilot Year Two and the Expansion Pilot office clients in order to make more direct comparisons of program effectiveness. However, the differences between the study groups in the pilot offices led us to believe that PTP officers in the second program year and the expansion were selecting more serious offenders than in the initial pilot. Also, because the Pilot Comparison was lower risk, we would expect the percentage of new arrests and technical violations to be lower for this group than the PTP program groups.

One year probation outcomes. The primary purpose of creating comparison groups was to use them to determine the effects of the PTP on new arrests and technical violations. Since the PTP was implemented to decrease technical violations along with reducing the number of technical violators being sentenced to prison, we expected the biggest differences between the PTP and comparison groups to be for technical violations. For a period of one year after probationers' start of the PTP or regular probation supervision (for the comparison groups), the percentage of PTP clients who received technical violations was statistically significantly lower than the comparison group for both the pilot and expansion offices (Table 25). That is, 26% of the Pilot Comparison Group compared to 14% of the PTP Pilot Office Sample were technically violated one year after their start of probation. The difference was smaller between the PTP Expansion Sample (11%) and the Expansion Comparison Group (16%) but was still statistically significant. There were no differences for new arrests for the pilot offices or the statewide expansion offices.

Table 25. New Arrests and Technical Violations Across Study Groups

	Number	New Arrests	Technical Violations*	Total
PTP Pilot Office Sample	1,792	451 (25%)	258 (14%)	709 (39%)
Pilot Comparison Group	134	35 (26%)	35 (26%)	70 (52%)
PTP Expansion Sample	305	84 (28%)	33 (11%)	117 (39%)
Expansion Comparison Group	377	113 (30%)	62 (16%)	165 (46%)

Note: Chi Square tests for the pilot and expansion were statistically significant at $p < .05$

These differences were also present for new prison sentences (Table 26). A statistically higher percentage of probationers in the Pilot Comparison Group (23%) were sentenced to prison for technical violations than the PTP Pilot Office Sample (8%). Similarly, a higher percentage of the Expansion Comparison Group (11%) was sentenced to prison as a result of technical violations than the PTP Expansion Sample (5%). There were no differences in new prison sentences resulting from arrests for the PTP Pilot Office Sample and the Pilot Comparison Group. However, the Expansion Comparison Group also had a higher percentage of probationers sentenced to prison for new arrests (20%) than the PTP Expansion Sample (13%).

Table 26. New Prison Sentences Across Study Groups

	Number	New Arrests	Technical Violations*	Total
PTP Pilot Office Sample	1,792	278 (16%)	147 (8%)	425 (24%)
Pilot Comparison Group	134	19 (14%)	30 (23%)	49 (37%)
PTP Expansion Sample	305	36 (13%)	16 (5%)	57 (19%)
Expansion Comparison Group	377	76 (20%)	43 (11%)	119 (32%)

* Chi Square tests for the pilot and expansion were statistically significant at $p < .05$

Effects of the PTP on new arrests and technical violations. Multinomial logistic regression was used to determine the actual effects of PTP participation (Tables 27 and 28). The overall results mirror Table 25, in that, PTP had no effects on new arrests but did have an effect on technical violations for the pilot offices and the statewide expansion offices. The odds ratio was used in this analysis for determining the actual effects of the PTP. For the pilot offices, the odds ratio of 0.436 indicates that PTP clients were 2.29 times less likely to be technically violated than the comparison group. In the statewide expansion offices, the odds ratio of 0.572 shows that PTP clients in these offices were 1.7 times less likely to be technically violated.

Table 27. PTP Effects on New Arrests and Technical Violations for Pilot Offices

		B	Std. Error	Sig.	Odds Ratio
New Arrests	Intercept	-.604	.210	.004	
	PTP Clients	-.272	.218	.210	.761
Technical Violations	Intercept	-.604	.210	.004	
	PTP Clients	-.831	.221	.000	.436

Chi-Square=13.04, df=2, $p < .05$

Table 28. PTP Effects on New Arrests and Technical Violations for Expansion Offices

		B	Std. Error	Sig.	Odds Ratio
New Arrests	Intercept	-.581	.117	.000	
	PTP Clients	-.225	.176	.202	.799
Technical Violations	Intercept	-1.181	.145	.000	
	PTP Clients	-.559	.238	.019	.572

Chi-Square=6.17, df=2, p.<.05

Summary of the Outcome Analysis

The collection of CMIS data allowed us to observe the demographics of PTP clients (e.g., age, gender, race/ethnicity, employment, and education), determine outcomes of PTP participants (e.g., successful discharges from the PTP, rates of new arrests and technical violations one year after beginning PTP supervision, and rates of new prison sentences from new arrests and technical violations), identify factors that may have effected new arrests and technical violations (e.g., demographics, criminal history, and LSI-R risk scores), and compare the outcomes of PTP clients to similar groups of probationers who did not participate in the PTP.

Demographics. There were few differences in demographic information across the three study groups. The majority of PTP clients were males (nearly 80%), were single and never married (approximately 80%), were mostly under 30 years old (close to 52%), were largely unemployed (around 75%), and did not have a high school diploma (approximately 65%). The one demographic difference across the three study groups was for race/ethnicity. A higher percentage of the first and second pilot groups were either African-American (45%) or Hispanic (28%) than in the expansion study group (37% were African-American and 26% were Hispanic). These differences were expected since the five probation offices in the PTP pilot were located in urban areas with a higher percentage of African-American and Hispanic residents.

We also looked at LSI-R risk scores for each study group and across all of the statewide expansion probation offices. There were very little differences across the three study groups in LSI-R total risk score. The average LSI-R total risk score was close to 30.00 for all three groups, indicating that these groups were high risk. In addition, the LSI-R total risk scores were fairly similar across the statewide expansion offices (the range was 28 to 32).

PTP completion. The outcome analysis looked at PTP completion rates, new arrests and technical violations one year after clients' start of PTP, and compared these outcomes to two groups of similar probationers who did not participate in the PTP. We found that the PTP completion rates were very high and fairly consistent across the three study groups and across the expansion offices. For instance, the completion rates increased in the four of the five pilot offices from the first year to the expansion year (Hartford was the only office with a significant decrease). We also found that most PTP expansion offices had high completion rates (between 71% and 88%) with the exceptions being New Britain (56%), Willimantic (63%), and Manchester (63%). These results suggest that PTP implementation was mostly consistent across study groups and expansion offices. One concern was with the days in PTP. Three offices had

well over the prescribed 120 days (Bantam averaged 269 days, Danielson averaged 238 days, and Willimantic averaged 213 days).

Technical violations and new arrests. Similar to program completion, we looked at the percentage of PTP cases ending in technical violations and new arrests across the three study groups for the five PTP pilot offices and also across all of the statewide expansion offices. For the pilot offices, the percentage of clients with new arrests was almost the same for the three study groups (24% for Pilot Year One, 25% for Pilot Year Two, and 26% for the Expansion pilot offices) while there were variations in the percentages of technical violations. The percentage of clients technically violated increased from the Pilot Year One group to the Pilot Year Two group (13% to 19%) but decreased from Pilot Year Two to the Expansion (19% to 12%). We were unable to determine exactly why Pilot Year Two was so different but we believe it had to do with staff turnover in the pilot offices between the first two years of the PTP. CSSD also placed a significant emphasis on PTP during the Expansion and we believe this resulted in better implementation of the program model. Overall, four of the five pilot offices had decreases in the percentage of PTP technical violations from the Year One Study group to the Expansion (with the exception of Waterbury). The statewide expansion offices had wide variations in technical violation rates (it ranged from 6% in Milford to 33% in Manchester)(The Manchester PTP office also had one of the lowest PTP completion rates).

An analysis of those client factors related to new arrests and technical violations found the following factors related to new arrests (in order of importance): age (the younger the probationer the more likely of an arrest), unemployment, negative peer groups, males, criminal history, poor attitudes about the criminal justice system, poor leisure activities, and alcohol/drug use. In contrast, those PTP clients more likely to receive technical violations: were unemployed, had prior arrests, alcohol/drug use, were younger, had unstable housing, and a negative peer group. While unemployment and prior arrests were the most influential factors for technical violations, these clients appeared different than those that were arrested because their drug/alcohol problems were more prevalent along with unstable housing and a deviant peer group.

Comparison group analysis. The final aspect of the outcome analysis compared the results of the PTP to two historical comparison groups made up of similar probationers to PTP clients. Probationers in the historical comparison groups were on probation prior to the implementation of the PTP and would likely have been selected to participate. One historical comparison group was created for the five pilot offices and the second was created with probationers from the statewide expansion offices. The statewide expansion comparison group was very similar to the expansion office PTP clients across demographic information and LSI-R risk scores. However, the pilot comparison group was created to match the Year One Study group and was a lower risk group than the Year Two and Pilot Expansion study groups.

The analysis of new arrests and technical violations found that both historical comparison groups had statistically higher technical violation rates than PTP clients. This technical violation rate was much higher for the Pilot Comparison group (26%) than the pilot PTP offices (14%) even though this group had much lower risk scores. The differences between PTP clients in the statewide expansion offices and the Expansion Comparison group were smaller (11% to 16%)

but were still statistically significant. There were no differences in the percentage of clients who were arrested across the four study groups.

We had similar findings when looking at new prison sentences. Both historical comparison groups had higher percentages of probationers sentenced to prison for technical violations than PTP participants. While the pilot comparison group had the highest percentage (23% to 8% for the PTP Pilot Sample), the Expansion Comparison group was also statistically higher than the Expansion Sample (11% to 5%). The Expansion Comparison group also had a higher percentage of probationers sentenced to prison for new arrests (20%) than the PTP Expansion Sample (13%).

The use of odds ratios allowed us to calculate the likelihood of PTP and comparison clients to get arrested or technically violated. This analysis found no differences in the likelihood of being arrested between PTP and comparison group clients. However, for technical violations, comparison group clients in the PTP pilot offices were more than twice as likely to be technically violated than PTP clients. In the statewide expansion offices, comparison group clients were almost twice as likely to be violated as PTP clients.

EVALUATION CONCLUSIONS AND RECOMMENDATIONS

CSSD began accepting probationers into the Probation Transition Program on October 1, 2004 in five probation offices (Bridgeport, Hartford, New Haven, New London, and Waterbury). PTP was meant to help split sentenced probationers as they were leaving prison and beginning their probation sentence. PTP officers met with probationers while they were still in prison and conducted assessments, developed case plans, and started setting up needs-based services. PTP officers were assigned lower caseloads (25 clients), technical resources (cell phones, laptop computers, and motor vehicles), and preference for client services (e.g., residential substance abuse, mental health treatment, etc.) to be able to spend more time working with troubled clients and better address their criminogenic needs than probation officers with regular caseloads.

CCSU was contracted to evaluate the pilot PTP program. The overall conclusion of our one year effectiveness assessment of the pilot PTP program was that PTP was successful in contributing to the overall CSSD goal of the number of probationers who are resentenced to prison as a result of technical violations by 20% and we recommended statewide expansion of the PTP.

Legislative funding to the Judicial Branch to hire more probation officers led to the statewide expansion of the PTP in February of 2007. However, funding shortages forced CSSD to increase caseload sizes to 35 PTP clients per officer, access to technical resources was limited (PTP officers no longer had laptop computers and did not have designated motor vehicles), and PTP clients did not have immediate access to treatment or other services.

Conclusions

The process and outcome components of the PTP evaluation produced four distinct conclusions. First, PTP was widely implemented in a manner consistent with the program model. We found few differences in the demographics and risk scores of PTP clients across the three study groups in the pilot offices and across the statewide expansion offices. These findings suggest the selection criteria were being applied consistently across offices. There was also a high amount of consistency in the program completion rate (over 70% of clients were successfully transitioned into a regular caseload) across the expansion offices. The consistent program implementation resulted in similar outcomes across PTP offices. With the exception of a few of offices, the percentages of PTP clients technically violated were similar across the pilot and expansion offices.

We do note two areas of concern for PTP implementation. One, several PTP officers mentioned that they had difficulties trying to meet with PTP clients in Department of Correction facilities and attributed this to lack of communication with DOC staff. This lack of communication most often occurred between correctional counselors and PTP officers. It was suggested that correctional counselors always contact PTP officers both prior to release and upon release. Another concern expressed by PTP officers was that some DOC facilities were very accommodating while others were not. Unnecessary hurdles existed at some DOC facilities that made it extremely difficult for PTP officers to meet with the clients. Some PTP officers felt that

the process of going into the institutions was very unorganized and caused significant delays. Most of these comments were attributed to the lack of communication with DOC staff.

Two, PTP officers mentioned a lack of PTP-specific training. Newer PTP officers felt they were somewhat unprepared when first starting the PTP due to a lack of formal training. We mentioned this concern in an earlier progress report and know that each region has been trying to address this need on an individual basis. However, it remained a problem that was mentioned repeatedly in our interviews of PTP officers.

Our second overall conclusion was that the PTP appeared to be targeting the highest risk offenders. CSSD policy dictated that PTP officers give priority to split-sentenced probationers with (1) insufficient familial and/or peer support; (2) lack of housing; (3) extensive criminal history; (4) extensive drug abuse; (5) history of mental health problems; (6) lack of employment; and, (7) total risk score on the LSI-R. The majority of PTP participants were single/never married and unemployed with high LSI-R total risk scores. In fact, PTP participants in the expansion groups had much higher LSI-R total risk and subscale scores than PTP participants in the pilot study.

Third, split-sentenced probationers in the PTP had statistically lower technical violation rates and were statistically less likely to be sentenced to prison for technical violations than similar groups of probationers. Specifically, comparison group probationers were much more likely to be technically violated than PTP clients in the pilot offices (more than twice as likely) and the statewide expansion offices (almost twice as likely). Our first evaluation of the pilot PTP program concluded that PTP reduced the technical violation rates of split-sentenced probationers and also reduced the number of split-sentenced probationers who were resentenced to prison for technical violations. The evaluation of the statewide expansion found that PTP still produced lower technical violation rates in the five pilot offices and also in the statewide expansion probation offices.

The lower technical violation rates explained why fewer PTP clients were sentenced to prison for technical violation rates. However, we also found that nonPTP clients were more likely to be sentenced to prison for new arrests (although the new arrest rate was similar for PTP clients). We offer two possible explanations for these differences. One, several probation officers mentioned they had acted as advocates for their clients during their court appearances. That is, the probation officers believed their clients had been making significant progress before being arrested and asked the court to take this into consideration. If this did occur, it may explain why judges were more likely to sentence PTP clients to prison for new arrests at a lower rate as the comparison group. Second, it is important to point out that differences in court actions for new arrests may simply reflect changes in the sentencing philosophy of sentencing judges. The PTP comparison group reflected court decisions regarding probation violators prior to the implementation of the PTP. Since the implementation of the PTP, there were changes in judges in each of the PTP courts and there was more statewide attention to decreasing the prison population. It was highly likely these two issues had an effect on decreasing the number of probationers being sentenced to prison for new arrests.

The final conclusion of this evaluation concerns the exploration of factors associated with arrests and technical violations. There were differences in those PTP clients arrested versus those who were technically violated. PTP clients who were arrested resembled the demographic most likely to be arrested in general: young males with prior criminal records who were unemployed, used drugs and/or alcohol, and had a peer group who likely encouraged their criminal behavior. In contrast, PTP clients most likely to receive technical violations had several risk factors associated with instability. They were unemployed, had unstable housing, used alcohol or drugs, and had a negative peer group (they were also younger probationers with criminal histories).

Overall Conclusion and Recommendations

Our overall conclusion was the PTP was effective in reducing technical violations and new prison sentences from technical violations. The PTP was implemented consistently in the pilot offices and the statewide expansion offices while targeting high risk probationers. We do, however, offer the following recommendations to improve the delivery of the PTP:

- More PTP specific training for PTP officers that includes a detailed presentation of the PTP purpose and model. This training should occur prior to probation officers' entry into the PTP and follow-up training should be conducted with all PTP officers. PTP training and discussions should include all line supervisors.
- Develop better and more consistent communication methods with the Department of Correction. Throughout the pilot and expansion evaluations we found that PTP officers were having problems meeting clients in the prisons. We know that CSSD has met with DOC to work through many of these issues but it appeared that not all of the problems had been resolved. We suggest CSSD administrative staff meet with PTP officers to discuss existing problems and concerns and then meet with DOC staff to better address them.
- Identify and develop more skills-based and employment services for PTP clients. Unemployment was a major factor for PTP participants who were arrested and technically violated. The first step in this process would be to identify nonprofit agencies that offer employment services and contract or partner with them to provide gainful employment opportunities.

While it was not part of our evaluation, it is important to acknowledge the progress CSSD has made in automating its case management system (CMIS) and also enhancing its internal ability to conduct research. One aspect of CSSD's 2004 report to the General Assembly included the creation of a component involving research and evaluation. CSSD did establish the Center for Research, Program Analysis and Quality Improvement. Since its inception, this unit has greatly furthered CSSD's ability to conduct evidence-based practices by disseminating probationer information and assessments to probation supervisors and program staff, conducting internal research and evaluation of its programs, and supporting external research and evaluation initiatives.

APPENDIX A – CSSD’S PTP POLICY

 State of Connecticut JUDICIAL BRANCH COURT SUPPORT SERVICES DIVISION POLICY AND PROCEDURES	POLICY NO. 4.41	EFFECTIVE DATE: May 15, 2009	PAGE 1 of 11
	SUPERSEDES: April 1, 2009		
APPROVED BY: William H. Carbone, Executive Director		TITLE: ADULT SERVICES PROBATION TRANSITION PROGRAM	

1. **Policy** The Court Support Services Division (CSSD) will establish a Probation Transition Program to assist clients who are serving a split sentence in transitioning back to the community upon release from the Department of Correction (DOC).
2. **Definitions**
 - A. **Adult Substance Use Survey - Revised (ASUS-R)** A self-administered questionnaire completed by clients during the risk/needs assessment process that describes their substance use habits.
 - B. **Case Plan** The process of collaborating with the probationer to develop strategies and actions to address their needs and facilitate law-abiding behavior and compliance with court conditions.
 - C. **Collateral Contact** A contact between a probation officer and any person or agency that provides information about a CSSD client, their activities and/or adherence to conditions of probation.
 - D. **Contracted Program/Services** For the purpose of this policy, any program or service that is directly funded by the Court Support Services Division.
 - E. **Exigent Circumstances** Compelling information that a delay in action poses a danger to any individual.
 - F. **Face-to-Face Contact** A personal meeting between a probation officer and a probationer.
 - G. **High Classification** A probation supervision classification consisting of clients who are at high-risk to reoffend based on results of the LSI-R.
 - H. **Home Visit** A contact conducted at the client's residence that when possible, involves meeting with the client. This may also include contact with family members/significant other.
 - I. **Level of Service Inventory – Revised (LSI-R)** The risk and need assessment instrument used by the CSSD to assess and classify supervision cases.

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- J. Medium Classification A probation supervision classification consisting of offenders who have a moderate risk of re-offending based on the results of the LSI-R.
 - K. Probation Transition Program (PTP) A program that assists clients who are serving a split sentence in transitioning back to the community upon release from the Department of Correction (DOC).
 - L. PTP Officer Probation Officer assigned to supervise PTP program clients.
 - M. Sex Offender For purposes of this policy, a probationer who has been classified as a Sex Offender in accordance with CSSD Policy and Procedure 4.18, Sex Offender Supervision.
 - N. Split Sentence A disposition that has a period of probation following a term of incarceration.
 - O. Staff Secured Residential Treatment A treatment program that provides 24-hour residential treatment and rehabilitation for probationers.
3. Procedures
- A. Eligibility and Assessment This program will serve all clients serving a split sentence, other than Sex Offenders as defined by CSSD Policy and Procedure 4.18, Sex Offender Supervision, that are being released from a Department of Correction (DOC) facility immediately prior to the commencement of their term of probation supervision.
 - (1) PTP Intake The PTP Officer will review the DOC Split Sentence Report or other reports or data bases that are maintained to achieve the same goal of identifying probation cases coming from the DOC on a regular basis.
 - B. PTP eligible inmates serving 30 to 120 days in DOC immediately prior to the start of their probation
 - (1) After reviewing the DOC Split Sentence report or other appropriate reports,

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the PTP Officer or a designee will, prior to the client's release from the DOC, conduct a face-to-face interview with all clients serving 30 to 120 days of incarceration prior to the commencement of their term of probation. At this face-to-face interview, the PTP Officer or a designee will:

- a. Review the conditions of probation with the client and have the client sign the conditions acknowledging that the conditions have been reviewed and are understood. When possible, provide the client with a signed copy of the conditions of probation.
- b. Verify the client's address.
- c. Prior to release, investigate housing needs available to the client upon their release and when necessary contact agencies and shelters that provide such service in an effort to secure housing/shelter.
- d. Complete the PTP Checklist form (**CSSD Attachment A**). When the client is identified as needing assistance ("Client Needs" on the form) in any of the items under "Basic Needs" or "Supplemental Income/Entitlements", the PTP Officer or the designee will make the necessary referral to address the need.
- e. Obtain collateral contact information.
- f. Provide the client with the name and number of the IAR Unit responsible for completing the LSI-R and the ASUS-R along with instructions to call the IAR Unit within two (2) business days of his or her release.
- g. Contact the local DSS office or a DSS worker who works in the DOC in an effort to expedite entitlements to clients who are not registered to receive their eligible entitlements upon release. This information will be captured on the PTP Checklist (**CSSD Attachment A**).
- h. Provide the client with your business card or equivalent contact information.

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- i. When necessary or as requested by the client, provide the client with contact information for resources in the community.
 - j. Provide the client with a copy of the Probation Handbook.
 - k. Make referrals when exigent circumstances exist
 - l. Obtain a release of information from the client using DOC's Authorization to Obtain and/or Disclose Protected Health Information form <http://www.ct.gov/doc/LIB/doc/PDF/AD/cn4401.pdf> to review the client's entire DOC history (e.g. treatment, programs, medical, mental health). If the client is being prescribed medications or receiving clinical services a referral for a mental health evaluation should be made to ensure that like treatment/services are provided in the community.
 - m. Submit the completed probationer Case File, (which includes but is not limited to the elements noted in CSSD Policy and Procedure 4.4, Case File) to your supervisor or designee to review, prior to forwarding the Case File to the appropriate Supervision Unit or to the JAMS Unit. The supervisor or designee will review the file including verification that the correct probation start and end dates are noted in CMIS. When necessary, the supervisor or designee will complete the Administrative Monitoring Supervision Approval Form (**CSSD Attachment B**) and attach it to the inner jacket of the file prior to forwarding to the JAMS Unit.
 - n. The Case File will be transferred to the appropriate Supervision Unit two weeks prior to the anticipated release date.
- C. PTP eligible inmates serving more than 120 days in DOC immediately prior to the start of their probation
- (1) After reviewing the DOC Split Sentence report or other appropriate reports, the PTP Officer will, prior to the client's release from the DOC, conduct a face-to-face interview with all clients serving more than 120 days of

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incarceration prior to the commencement of their term of probation. At this face-to-face interview, the PTP Officer will:

- a. Explain that the goal of PTP is to assist clients in transitioning back to the community.
- b. Complete a new LSI-R prior to release from DOC custody and when possible, the ASUS-R with the client.
- c. Collaborate with DOC staff and/or the UConn Discharge planners to discuss discharge planning that has occurred in the DOC facility and to share intelligence regarding the client's risk and needs.
- d. Obtain a release of information from the client using DOC's authorization to Obtain and/or Disclose Protected Health Information form <http://www.ct.gov/doc/LIB/doc/PDF/AD/cn4401.pdf> to review the client's DOC file. If the client is being prescribed medications or receiving clinical services a referral should be made to ensure that like treatment/services are provided in the community.
- e. If the client has been denied parole, contact the Board of Parole to determine their concerns regarding parole eligibility.
- f. Complete the PTP Checklist form (**CSSD Attachment A**). When the client is identified as "CLIENT NEEDS" in any of the items under "Basic Needs" or "Supplemental Income/Entitlements", the PTP Officer or the designee will make the necessary referral to address the need.
- g. Prior to release, investigate housing needs available to the client upon their release and when necessary contact agencies and shelters that provide such service in an effort to secure housing/shelter.
- h. Make referrals when exigent circumstances exist.
- i. Make referrals for timely evaluations that will help keep prescription medications available to the client in the community.

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- j. Contact the local DSS office or the DSS worker who works in DOC in an effort to expedite entitlements to clients who are not registered to receive their eligible entitlements upon release. This information will be captured on the PTP Checklist (**CSSD Attachment A**).
- k. Review the conditions of probation with the client and have the client sign the conditions acknowledging that the conditions have been reviewed and are understood. When possible, provide the client with a signed copy of the conditions of probation.
- l. Obtain all pertinent releases of information (including one for DOC).
- m. Provide the client with a copy of the Probation Handbook.
- n. When the officer has concerns about the client's living arrangements, the PTP Officer will visit the client's intended residence and assess its appropriateness prior to commencement of the probation term of probation. The PTP Officer may request the assistance of other officers in the community including the PTP Officer who conducts community supervision in the area where the client intends to reside.
- o. Submit the completed probationer Case File, (which includes but is not limited to the elements noted in CSSD Policy and Procedure 4.4, Case File) to your supervisor or designee to review, prior to forwarding the Case File to the appropriate Supervision Unit or to the JAMS Unit. The supervisor or designee will review the file including verification that the correct probation start and end dates are noted in CMIS. When necessary, the supervisor or designee will complete the Administrative Monitoring Supervision Approval Form (**CSSD Attachment B**) and attach it to the inner jacket of the file prior to forwarding to the JAMS Unit.
- p. The Case File will be transferred to the appropriate Supervision Unit two weeks prior to the anticipated release date.

D. Intrastate PTP Transfers

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- (1) The PTP intake will be conducted, in accordance with Section 3.C. of this policy, by the originating office when an offender plans to reside in an area covered by another probation office. The completed file will be transferred to the appropriate Supervision Unit two weeks prior to the anticipated release date.
 - (2) When a client has multiple files in different offices, the controlling file will be determined by the latest discharge date from DOC. All files should be transferred to the office with the controlling file 120 days prior to the DOC release.
- E. Transitioning to PTP Supervision Prior to discharge from DOC, the supervisor for the PTP Officer who provides community supervision will review the clients' file to determine if the client will be placed on the caseload of the PTP Officer who provides community supervision or another officer.
- (1) Prior to release from incarceration, the PTP Officer assigned the case will provide the PTP client with reporting instructions for the first supervision contact. This information can be provided to the client via mail, personal/phone contact or can be done with the assistance of other CSSD staff, CSSD contracted employees or employees of the DOC.
 - (2) When possible, the PTP Officer who will be supervising the client in the community will discuss the results of the LSI-R and ASUS-R as well as issues regarding: basic needs, victim information and information gathered from DOC, UConn Discharge Planners or the Board of Parole with the PTP Officer or designee who met with the inmate in the DOC facility.
- F. Placement Prioritization In cases where a priority decision needs to be made concerning community placement with a PTP Officer, the PTP Officer's caseload cap as well as the following client circumstances will be considered as a guide when making the decision.
- (1) Insufficient familial and/or peer support.
 - (2) Lack of housing.

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- (3) Extensive criminal history.
- (4) Extensive drug abuse.
- (5) History of mental health problems.
- (6) Lack of employment.
- (7) Total risk score on the LSI-R.

G. PTP Community Supervision

- (1) Supervision Activities / Standards During community supervision, the PTP Officer will adhere to the following supervision standards:
 - a. Meet with the probationer within five (5) business days from the commencement of their term of probation.
 - b. During the initial visit, explain that the role of the PTP Officer is to assist the client in transitioning back to the community.
 - c. Have a minimum of three (3) face-to-face contacts with the probationer per month. At least one (1) of these contacts will occur in the home during the first two (2) months the probationer is placed on community supervision. When possible and appropriate, the home visit will be conducted at a time when family members or significant others can be present. During this contact, the PTP Officer will leave contact numbers with all appropriate persons.
 - d. Have a minimum of one (1) collateral contact per month with persons or agencies providing treatment to the probationer or when the probationer is not engaged in treatment, have a minimum of one (1) collateral contact with a significant person(s) who can provide information about the probationer's activities (e.g., employer, relative, sponsor, etc.).

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- e. After the first thirty (30) days, if the officer determines that progress has been made, the minimum number of face-to-face contacts may be reduced to two (2) per month.
- f. If not done previously, complete the ASUS-R with the client at the first supervision meeting in the community.

H. Case Plan

- (1) The officer will, collaborate with the client in developing a Case Plan in accordance with CSSD Policy and Procedure 4.33, Adult Supervision-Probationer Case Plan and Program Referrals Section 3A.
- (2) When meeting with the client to complete the Case Plan, the PTP Officer will do the following:
 - a. Thoroughly review with the client, the results of the assessments, to include criminogenic and non-criminogenic needs. Review any conditions of probation.
 - b. If not previously completed, have the client complete the "What I Want to Work On" form and provide feedback to the client using motivational enhancement techniques.
 - c. Discuss with the client the issues that need to be addressed to ensure a smooth transition back to the community and successful completion of their term of probation.
 - d. Collaborate with the client in the development of the Case Plan and summarize the Plan in Case Notes.
- (3) The PTP Officer will when possible, make any appropriate program referrals in accordance with CSSD Policy and Procedure 4.33, Adult Supervision-Probationer Case Plan and Program Referrals Section 3B.
- (4) When possible and appropriate, the PTP Officer should carry out the following activities during each face-to-face contact:
 - a. Review the probationer's progress in meeting the goals and activities of

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their Case Plan and if necessary, help the probationer make adjustments.

- b. Discuss the probationer's progress and involvement in any required programs, services, or supervision conditions.
 - c. Discuss any problems or concerns that the probationer has.
 - d. When necessary, set appropriate limits and provide clear direction to the probationer.
 - e. Conclude by summarizing and reinforcing any positive progress and behavior, and summarize any probationer responsibilities that need to be completed before the next contact.
- I. Supervision Standards for Probationers in a Staff Secure Residential Treatment Program When the client is in a residential program, the PTP Officer will have monthly contact with the client and with a representative (who will provide written documentation) from the program who can verify the client's attendance at the program and report on the client's progress.
 - J. Violation Process PTP Officers will respond to all incidents of non-compliance with court conditions in accordance with CSSD Policy and Procedure 4.22, Response to Non-Compliance, and 4.23, Warrant and Arrest Process.
 - K. Transition to Regular Probation Caseload
 - (1) The targeted supervision period in PTP will not normally exceed 120 days from the client's DOC release date. If a PTP Officer determines that a probationer no longer needs to be in the PTP Program, the client may be transitioned to a regular caseload after a minimum of thirty (30) days in the program, with supervisory approval.
 - (2) The following guidelines may be indicators that the probationer can be transitioned to a regular caseload:
 - a. The probationer has successfully completed or is actively participating in a treatment program to address a criminogenic need.

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- b. The probationer has stable housing and is employed/attending school or actively seeking employment.
 - c. When necessary, the client has secured entitlements needed to address their needs and the needs of their dependants.
 - d. The probationer is attending their probation supervision meetings to the PTP Officer's satisfaction.
 - e. The PTP Officer is obtaining positive information from treatment providers and other collateral contacts that indicate progress.
 - (3) Prior to the transfer of the probationer out of the PTP, the PTP Officer will enter a summary of the case in the Case Notes. When possible, the Probation Officer receiving the case will, within ten (10) business days after being assigned the case, schedule a meeting with the probationer and their PTP Officer to discuss the probationer's progress in the PTP. At a minimum, the Probation Officer receiving the case should discuss the probationer's progress with the PTP Officer within fifteen (15) business days from being assigned the case.
 - (4) The supervisor for the PTP Officer must review and approve all cases for reassignment.
4. **References** American Correctional Association (ACA) 4th Edition Performance-Based Standards for Adult Probation and Parole Field Services, 4-APP2A-01, 2A-02, 2A-03, 2A-07, 2D-01, 2D-09, 2D-10, 2E-01, 3A-26. September 2002. ACA, Lanham, Maryland.
 5. **Exceptions** Any exception to this policy will require prior written approval from the Division's Executive Director.

STATE OF CT - JUDICIAL BRANCH
COURT SUPPORT SERVICE DIVISIONAttachment A
4.41 – Probation Transition Program**PTP Checklist**

DATE	
CLIENT NAME	
PROBATION START DATE	
OFFICER	

Clients often need the following benefits, entitlements, and supports upon release. For each need checked, please indicate whether the officer connected the client to the service prior to release, or if the officer has made arrangements for the client to seek the services upon release.

SERVICE TYPE	CLIENT NEEDS	APPLIED FOR PRE-RELEASE	ARRANGEMENTS TO ADDRESS UPON RELEASE
BASIC NEEDS			
1. Housing	☐	☐	☐
2. Rental Subsidies (ATR, etc.)	☐	☐	☐
3. Clothing:	☐	☐	☐
SUPPLEMENTAL INCOME / ENTITLEMENTS			
4. Food Stamps (EBT Card, Income):	☐	☐	☐
5. Supplemental Security Income (SSI)	☐	☐	☐
6. Social Security Disability Income	☐	☐	☐
7. SAGA Income (GPA):	☐	☐	☐
8. Veterans Benefits Income	☐	☐	☐
9. Temporary Aid to Needy Families (TANF)	☐	☐	☐
HEALTH CARE AND INSURANCE			
10. Medical care (clinic, testing, referrals)	☐	☐	☐
11. Mental health treatment / Evaluation	☐	☐	☐
12. Substance abuse treatment (SATU, etc.):	☐	☐	☐
13. Medicaid (Title 19, SAGA Medical):	☐	☐	☐
14. Medicare	☐	☐	☐
15. Veterans Benefits Insurance	☐	☐	☐
CHILD SUPPORT			
16. CHILD SUPPORT OBLIGATION MODIFICATION	☐	☐	☐
17. CHILD SUPPORT INCOME	☐	☐	☐
18. CHILD CUSTODY (LEGAL AID, LEGAL CONSULTATION)	☐	☐	☐
19. STATE CHILDREN'S HEALTH INSURANCE PROGRAM (SCHIP)	☐	☐	☐
DOCUMENTATION			
20. BIRTH CERTIFICATE	☐	☐	☐
21. SOCIAL SECURITY CARD	☐	☐	☐
22. DRIVER'S LICENSE:	☐	☐	☐
23. VISA	☐	☐	☐

Comments

APPENDIX B – PROBATION OFFICER INTERVIEW INSTRUMENT

PTP/TVU Probation Officer Telephone Interview Consent Statement

Directions: Read to each probation officer at the beginning of the telephone call.

My name is _____ and I'm calling on behalf of the Department of Criminology and Criminal Justice at Central Connecticut State University. As you may know, we have been contracted by CSSD to evaluate the Probation Transition Program and Technical Violations Units. As part of this evaluation, we would like to ask you questions about your role in these programs. The questions will fall into five (5) categories. These categories are: Background and Training; Caseload Management; Technical Resources; Client Referrals to PTP or TVU; and Program Referrals from PTP/TVU. CSSD is very interested in the implementation of these programs, therefore, your responses may directly benefit you and other probation officers by leading to changes in how PTP or TVU are operated.

This interview should take between 45 minutes and 1 hour. Your participation in this study is entirely voluntary. Such refusal will not have any negative consequences for you. If you begin to participate in the research, you may at any time, for any reason, discontinue your participation without any negative consequences.

Any and all information you provide will be confidential. You will not be identified individually in any way as a result in your participation in this research. Your responses will be summarized along with responses from other probation officers participating in our study and you will not be directly quoted.

Please feel free to ask any questions about anything that seems unclear to you. If you have questions after the interview, please feel free to call me at ----- or Dr. Stephen Cox at 860-832-3138.

Do you wish to participate in this interview?

Directions: if yes, go ahead with the telephone interview, if no, thank the for person for their time.

**Probation Transition Program and Technical Violations Unit
Telephone Interview Questions**

Background Questions and Training

- 1) How long have you been a PO?
- 2) How long have you been a PTP/TVU Officer
- 3) Did you volunteer for PTP/ TVU, were you assigned the position, or were you hired specifically for the position?
- 4) Did you receive any PTP or TVU specific training? If so, what?
- 5) Have you gone to any PTP/TVU specific meetings with other officers outside of your office/region? If so, when and for what purpose.
- 6) Did you have a mentor within your office that you could go to in regard to being a PTP/TVU officer? If so, who was that person and what advice were you seeking?
- 7) What type of training/assistance would you like to see implemented for PTP/TVU?

Caseload Management Questions

- 8) What is your current caseload?
- 9) Is your case load strictly PTP or TVU?
- 10) If you have a mixed caseload, how is it mixed?
- 11) If you have a mixed load, how are you balancing the two?
- 12) If you have a mixed load, are there other probationers who could possibly be on your PTP/TVU caseload?
- 13) Do you have specific reporting days each week? What are they?
- 14) Do you have specific days you are in the field/or go to the DOC's? What are they?

Technical Resources

- 15) When doing field work, do you have access to a state car?
- 16) Do you have to sign up for its use ahead of time?

- 17) How many other officers are you sharing it with?
- 18) Have there been times when the vehicle has not been available when you needed it?
- 19) If your response to question 18 is in the affirmative, did you use your own vehicle as an alternative or did you reschedule your plans?
- 20) Do you have a state issued cell phone?
- 21) When into your tenure as a PTP/TVU officer did you receive a cell phone?
- 22) Do you provide your cell phone number to your clients? Why/why not?
- 23) If you do provide your clients with the cell phone number, how often do they call you on it?
- 24) What reasons are clients calling you on your cell phone?
- 25) In a perfect world with unlimited resources, what technical support do you believe would help you with your job?

Client Referrals to PTP/TVU

- 26) When a client is referred to you, is there a face to face meeting between you and the referring officer or is the person just transferred to you? If so, what is discussed?
- 27) If there is no discussion between you and the referring officer, please describe the process of how a client is assigned to you.
- 28) Do you have any concerns regarding the current process?
- 29) How would you improve this process?
- 30) Are there any stumbling blocks/hurdles in the referral process? If so, what are they?

APPENDIX C – PTP AND COMPARISON GROUP DEMOGRAPHICS AND LSI-R SCORES

Demographic Summary of the PTP and Comparison Groups

	PTP Pilot Office Sample (n=1,792)	Pilot Comparison Group (n=134)	PTP Expansion Sample (n=305)	Expansion Comparison Group (n=377)
Males	91%	89%	91%	88%
Race/Ethnicity				
African-American	46%	45%	21%	24%
Caucasian	24%	25%	59%	58%
Hispanic	29%	30%	19%	18%
Other	0.4%	1%	1%	0.3%
Age				
16-20	12%	15%	12%	9%
21-30	40%	36%	38%	37%
31-40	27%	25%	25%	28%
Over 40	21%	24%	25%	26%
Average Age	32 yrs. old	31 yrs. old	33 yrs. old	33 yrs. old
Marital Status*				
Married	6%	11%	8%	13%
Single	80%	78%	72%	75%
Divorced/Sep/Widowed	14%	11%	21%	12%
Education*				
No High School diploma	68%	70%	62%	51%
High School Graduate	22%	20%	27%	41%
More than High School	10%	10%	11%	8%
Employment*				
Unemployed	77%	67%	70%	75%
Other Income	4%	8%	7%	5%
Part-Time	14%	23%	8%	6%
Full-Time	31%	18%	16%	14%

*The differences were statistically significant at $p < .05$

LSI-R Risk Scores for PTP and Comparison Groups

	PTP Pilot Office Sample (n=1,792)	Pilot Comparison Group (n=134)	PTP Expansion Sample (n=305)	Expansion Comparison Group (n=377)
Criminal History	6.57*	6.13	6.82*	6.41
Employment/Education	6.80*	5.90	6.99	7.03
Financial	1.40*	0.97	1.54	1.47
Family	1.95*	1.49	2.47	2.51
Accommodations	1.42*	0.93	1.24	1.25
Leisure	1.56	1.60	1.79	1.78
Companions	3.43*	2.84	3.46	3.40
Alcohol/Drug	3.83	3.48	5.38	5.55
Emotional	1.43*	0.99	2.21	2.29
Orientation	1.70*	1.22	1.83	1.88
Total Score	30.14*	25.54	33.73	33.57

*Averages were statistically different at $p < .05$