

The Final Report of the Evaluation of the Court Support Services Division's Technical Violations Units



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EXECUTIVE SUMMARY

The Judicial Branch's Court Support Services Division (CSSD) began accepting probationers into the Technical Violations Units (TVU) on October 1, 2004 in six probation offices. The purpose of the TVU was that it provided a last chance for probationers who were unable to comply with conditions of probation before being technically violated and possibly sentenced to prison. TVU officers were given reduced caseloads, technical resources, and preference for client services so they could spend more time working with troubled clients and better address their criminogenic needs than probation officers with regular caseloads. Legislative funding to the Judicial Branch to hire more probation officers led to the statewide expansion of the TVU in February of 2007. Faculty from the Department of Criminology and Criminal Justice from Central Connecticut State University were contracted to evaluate the TVU 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 TVU officers regarding their attitudes about TVU, their perception of its success, and barriers that may hinder its ability to be successful. Second, as part of assessing the implementation of the TVU, we examined the intake process in terms of looking at the number of probationers entering each program and the general profiles of TVU clients. Third, data were collected for every TVU client to assess program outcomes in terms of probation violation and reincarceration rates. We looked at the nature of the violations (new arrest vs. technical violation) and attempted to determine which client factors were associated with being violated.

Process Evaluation Findings

The process evaluation produced two primary findings. First, we found that the TVU was not being operated consistently across probation offices. There were substantial differences in the TVU completion rates across offices, the number of days clients were supervised in the TVU, and the number of contacts TVU officers had with clients. Our concern was that there were no defined criteria or policy as to when TVU clients should be discharged. Because of this lack of criteria or policy, it appeared that some offices were keeping clients in TVU longer than needed. Second, we also found that TVU officers were being underutilized and, as a result, were given non-TVU cases or workloads. Several TVU officers mentioned this in their phone interview and we also observed this by looking at the number of TVU participants in each office. Some offices had very low numbers of TVU participants after the expansion occurred. We believe the primary cause was the lack of clear referral and selection criteria for the TVU.

Outcome Evaluation Findings

We created three distinct study groups for the outcome evaluation (TVU clients in the first year of the pilot program, TVU clients in the second year of the pilot program, and TVU clients in the expansion). Despite the previously discussed differences in completion rates, the overall percentage of TVU participants arrested or technically violated was almost identical for the three study groups (55%). While this percentage appears to be high, it is important to point out that 100% of TVU participants would have been technically violated if not for their participation in the TVU. We were encouraged by these results in our evaluation of the TVU

pilot program and still believe that the TVU played a significant role in decreasing CSSD's technical violation rate. In addition, we found that only a small percentage of probationers who were successfully discharged from the TVU were arrested or technically violated after their TVU discharge. This finding leads us to conclude that TVU was successful in achieving its overarching supervision goal of stabilizing participants and returning them to regular caseloads.

Our exploration of factors associated with arrests and technical violations found differences in those probationers who were arrested versus those who were technically violated. TVU participants 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. On the other hand, TVU participants most likely to receive technical violations had prior criminal records, were unemployed, had a poor attitude toward positive change, likely used drugs and/or alcohol, and had weak or poor family supports. One important similarity was that unemployment played a significant role for both arrests and technical violations.

Overall Conclusions and Recommendations

We conclude that the TVU program has been effective in reducing technical violations of probation and subsequent prison sentences by the legislatively mandated 20%. However, we also conclude that the positive results of the TVU could be significantly increased by more consistent implementation of the TVU model and better utilization of TVU officers. To accomplish this, we recommend:

- 1) More TVU specific training for TVU and regular probation officers in the expansion offices that includes a detailed presentation of the TVU model and a summary of research and practice supporting the TVU approach. We also recommend TVU specific training for line supervisors focusing on the referral and discharge processes.
- 2) Changes in CSSD policy regarding technical violations of probation. Non-TVU probation officers and supervisors should be required to note why probationers were technically violated without being referred to the TVU.
- 3) Development of specific criteria and policy for successful discharges and allowances for continuing TVU supervision beyond 120 days. Specifically, policy should define when a case is stabilized and under what conditions can TVU officers request extensions past 120 days.

In addition, almost all of the TVU officers expressed their concern over a lack of treatment beds and services. Due to the statewide budget crisis, we cannot recommend that CSSD provide more funding to service providers. However, we reiterate a recommendation we made in an earlier report that every probation office should create a directory of CSSD contracted and non-CSSD contracted service providers in their GAs. This document would serve as a sourcebook for TVU and regular probation officers.

Our final recommendation is based on the finding that unemployment was a significant factor for both new arrests and technical violations (in fact, this has been a consistent finding throughout our TVU evaluation). Therefore, we recommend that CSSD identify and develop more skills-based and employment services for probationers.

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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 Connecticut Prison and Jail Overcrowding Commission report). As a response to this concern, 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 became effective 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” which also needed to include the cost of implementation.

In accordance with the time frames indicated above, the Judicial Branch’s Court Support Services Division (CSSD) on October 15, 2004 submitted “A Report on Strategies to Reduce Technical Violations of Probation”. 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). The PTP targeted inmates who had terms of probation upon their discharge from the Department of Correction. These inmates included those discharged at the end of sentence from a correctional facility, halfway house, parole, transitional supervision or a furlough. 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 increase the likelihood of a successful probation period for split sentence probationers by reducing the number and intensity of technical violations during the initial period of probation.

By contrast, the TVU targeted probationers about to be violated for technical reasons (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. Prior to violating a client, regular probation officers would refer him/her to the TVU officer who would attempt to stabilize the case by interacting more with the client and helping him/her obtain needed services.

The TVU was initially piloted in six probation offices across Connecticut. Bridgeport, Hartford, New Haven, and Waterbury had two TVU officers in each office while New London and New Britain only had one officer. Caseloads were originally restricted to 25 cases per probation officer and probation 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. Admission to the program was by a referral from the regular probation officer through his/her Chief Probation Officer. The program lasted up to 120 days from the date of referral to the unit.

Faculty from Central Connecticut State University's Department of Criminology and Criminal Justice were contracted to evaluate the pilot TVU program. A report was released in January of 2005 finding that the TVU program 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, the TVU appeared to be operating according to the program model in terms of selecting appropriate probationers and in the type of supervision. The TVU targeted serious offenders who were at a high risk of reoffending, being violated, and being incarcerated. Second, TVU officers believed that the TVU was successful in reducing probation violations for program participants. These beliefs were substantiated by the quantitative analysis. The TVU had a one year violation rate of 59% violation rate. We were encouraged by this finding because 100% of these probationers would have been violated without the TVU program. The analysis of TVU probation violators found that they had two common needs: employment and substance abuse treatment.

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 TVU. The goal was to have TVU 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 TVU pilots 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 TVU began on February 1, 2007.

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

IMPLEMENTATION OF THE TECHNICAL VIOLATIONS UNITS

Program Operation

TVU offices operated under the philosophy that the TVU was the last opportunity for an offender to get “probation right”. In other words, TVU clients had exhausted all their chances to stay out of violation status on regular probation. Instead of being violated and possibly sent to prison, the probationer was placed in the TVU to receive more support and structure while on probation. If the person did not succeed in this unit, it was believed the individual would not succeed on probation at all.

Appendix A contains CSSD’s policy and procedures for the TVU. During the first 30 days in the unit, the TVU officer reviewed the most recent risk and needs assessments (LSI-R and ASUS-R) and/or could have reassessed the probationer. Following this assessment, referrals for services were made to address the offender’s needs. The most common areas of need were employment, substance abuse and mental health treatment, housing and transportation. TVU officers were to meet with clients face-to-face at least once per week, and were required to conduct more home or field contacts as needed.

During the second 30 days, probationers received services from one or more providers. TVU officers were located at the Alternative Incarceration Center (AIC) where the probationers reported regularly to receive services. Face-to-face contacts were to continue as needed and probationers were seen at least weekly by support staff at the AIC and by treatment programs.

The last phase of the program consisted of TVU officers transferring offenders out of the unit. Face-to face and home/field contact were mandated to continue as needed. A discharge summary was supposed to be prepared by the officer and a discharge meeting was to be held with the probationer. If the probationer had stabilized, he or she was transferred back to a regular caseload. If the probationer continued to violate the conditions of his probation and failed to make progress in the program, a warrant was prepared following a case review with the Chief Probation Officer from the TVU.

Offenders Chosen for the TVU

TVU offices used similar criteria and procedures in assigning probationers to the TVU. Criteria for selection was developed and agreed upon by the committee of Chief Probation Officers and Administrators. These criteria included but were not limited to:

- Chief Probation Officer approval of all referrals;
- High risk probationers;
- Demonstrated service/treatment needs;
- Unemployed;
- Deliberate/repeat non-compliance with court ordered conditions;
- Discretion of supervisor of deliberate/repeat non-compliance;
- Non-payment of restitution not grounds for TVU referral;

- Referring probation officer must provide a summary (case note) of probationer's performance to date.

Typically, a probation officer with a general caseload would notify his/her supervisor of an individual that may be appropriate for the TVU. That supervisor, in turn, contacted the TVU supervisor. If there were any deficiencies in the case notes as to why a person may be appropriate for the TVU, the referring probation officer would be asked to elaborate on the referral.

The primary policy-based criterion for the TVU was whether probationers were on the verge of a warrant based on non-compliance and were facing possible jail time if violated. Most reasons for non-compliance were based on failure to comply with treatment and absconding.

TVU Officer Selection and Training

TVU officers were initially selected based on years working in probation, attitude, communication skills, case management skills, ability to work with a challenging population, ability to motivate a client towards positive change, familiarity with the community and resources in it, their ability to work intensively with clients and treatment providers, and their motivation to work in the unit.

TVU officers in the initial pilot project were required to participate in training programs centered on cognitive behavioral change. Coursework consisted of Motivational Interviewing and Criminal Thinking. The initial training was completed from January through April 2004 with some of the coursework ongoing. The trainings were conducted by facilitators from the CSSD Center for Best Practices and experts in the field of cognitive behavioral change. New TVU officers received basic probation officer training that included motivational interviewing and criminal thinking but were not given additional training.

EVALUATION METHODOLOGY

The evaluation employed both qualitative and quantitative research methods in assessing the overall effectiveness of the Technical Violations Units (TVUs). These methods centered on two aspects of these programs. 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 programs were implemented, it would be difficult to draw firm conclusions regarding any results they may have produced (both positive and negative). Second, we collected and analyzed data on a sample of program participants to determine the effects of the TVU on recidivism both during and following their involvement in the program. This analysis also included a detailed comparison of probationers who were violated during the program and probationers successfully completing the TVU. The following section summarizes the research design and measures used to address these issues.

Areas of Research

The evaluation focused on three primary areas. First, we met with and interviewed TVU officers regarding their attitudes about the TVU, their perception of its success, and barriers that may hinder its ability to be successful. Second, as part of assessing the implementation of the TVU, we examined the intake process by looking at the number of probationers entering each program and the general profiles of TVU 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.

Third, data were collected for every client in the TVU to assess probation violation rates and reincarceration rates. We looked at the nature of the violations (new arrest vs. technical violation) and attempted to determine client factors associated with being violated (e.g., LSI-R risk level, 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 TVU officers conducted during the Fall of 2008 and the Winter of 2010. All TVU officers were contacted by evaluation staff 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 TVU program. The interview questions were based on observations and evaluation findings from our earlier evaluation of the TVU pilot program. These questions focused on probation officer selection and training, case management, technical resources available to TVU officers, and client referrals to the TVU (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 TVU between October 1, 2004 and August 31, 2008. We limited our sample to clients entering the TVU prior to September 1, 2008 so that we would be able to have a follow-up period of one year for all TVU clients. The CMIS data contained the following information:

- TVU start and end dates
- Type of TVU 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)

These data were collected for 2,647 TVU clients. Three study group cohorts were created for the TVU evaluation to assess differences occurring at different stages of TVU implementation. The first cohort (Pilot Year One) consisted of clients who participated in the TVU from October 1, 2004 to October 1, 2005. The second cohort (Pilot Year Two) was comprised of clients who entered the TVU 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 TVU after the expansion of these programs from the pilot offices to the entire state (February 1, 2007 to August 31, 2008).

Table 1. Total Number of TVU Participants by Office and Study Group Cohort

Probation Office	Pilot Year One	Pilot Year Two	Expansion	Total
Hartford	92	108	205	405
Waterbury	97	100	171	368
New Haven	87	80	144	311
Bridgeport	49	79	144	272
New London	71	72	129	272
New Britain	61	68	114	243
Middletown			113	114
Bristol			111	111
Bantam			105	105
Willimantic			71	71
Milford			69	69
Danbury			68	68
Manchester			60	60
Norwich			48	48
Stamford			44	44
Enfield			33	33
Danielson			31	31
Norwalk			23	23
TOTAL TVU	456	507	1,684	2,647

The TVU pilot program consisted of six offices with a total of 456 TVU participants in the first year of the pilot and 507 in the second year (Table 1). The expansion included adding more TVU officers to the six pilot offices as well as putting TVU officers in probation offices across Connecticut. There were 1,684 TVU participants in the first year of the expansion. Some offices had low numbers of TVU participants (namely Norwalk, Danielson, and Enfield) during the first year of the pilot due to a delayed start up of the program.

Definition and Measurement of Recidivism

The primary outcome measure of program success was a new arrest that resulted in a probation violation or a technical violation. This measure was different from other recidivism studies that simply use any new arrest or technical violation. We made this decision because the primary goal of the TVUs 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 technically violate this probationer. Probation officers rarely technically 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 do not believe, in these instances, the new arrest should count against the success rate of the TVU because there are no technical violations and no new prison sentences.

Lack of a TVU Comparison Group

The design of the TVU did not allow for a nonrandomized comparison group since the only criteria for referral to TVU was that probationers were on the verge of being violated. The one valid TVU comparison group would have had to employ random assignment to the TVU or a comparison group. In other words, once probationers were in the process of being violated, they would be randomly assigned to the TVU or remain on a regular probation caseload. This method of group selection was not allowable with this population of probationers. In theory, the comparison violation rate for the TVU is 100%. That is, without TVU, all probationers who were in the process of being violated would have been.

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 TVU probation officer interviews. This presentation is followed by the analysis of CMIS data.

TVU Probation Officer Interviews

All TVU officers were asked to participate in the minute telephone interviews. They were asked about their role and attitudes regarding the TVUs. Specifically, questions fell into four general categories: Background and Training; Caseload Management; Technical Resources; and, Client Referrals to TVU. A total of 33 TVU officers participated in these interviews.

Background and Training

The questions asked in this category related to when the officer actually was hired, when he or she started in the TVU program, meeting and trainings that 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.

The TVU officers were first asked how long they had been probation officers in general. The responses ranged from 8 months to 20 years. Table 2 presents how much experience an officer had in probation prior to joining the TVU and Table 3 presents how an officer became involved in the program.

Table 2. Probation Officer Experience Prior to TVU

Amount Category	Frequency	Percentage
New Probation Officer	1	3%
Less than One Year	2	7%
One to Four Years	11	36%
More than Four Years	17	55%

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

Technical Violations Unit officers reported high levels of probation experience prior to becoming involved in the TVU (Table 2). The majority (55%) of these individuals revealed having more than four years of general probation experience, while only one person (3%) reported entering the TVU as a new probation officer.

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

Amount Category	Frequency	Percentage
Volunteered	20	61%
Assigned to Position	12	36%
Hired for Position	1	3%

When asked how they were selected for the TVU, 61% of the respondents reported having volunteered for the position while only one individual reported being hired into the TVU (3%)(Table 3).

Next, the officers were asked if they received any training or mentoring once they joined the TVU (Table 4). Other interview items in this section included topics such as the TVU officers' attendance at program-specific meetings outside of their respective offices or regions, as well as the availability of a mentor to these individuals who could field TVU-specific questions and offer insight or advice. Table 4 indicates that 72% of the interviewed officers reported attending TVU-specific meetings outside of their offices/regions and 67% reported having an in-office mentor available to them.

Table 4. Questions Pertaining to Training and Mentoring

Item	"Yes" Responses	Percentage
Did you receive any TVU-specific training?	13	39%
Have you gone to any TVU-specific meetings with other officers outside of your office/region?	23	72%
Did you have a mentor within your office that you could go to in regards to being a TVU officer?	22	67%

For those officers indicating they received specific TVU training, the trainings they were referring to included: motivational interviewing, cognitive training such as reasoning and rehabilitation, courses on graduated sanctions, LSI/risk assessment training, firearm familiarization, and case management techniques. In regard to specific TVU meetings, the purpose of those meetings varied. Many meetings focused on trouble shooting and brainstorming on what works/does not work for the program. Some officers indicated that when TVU first started, these meetings occurred at a greater frequency. Another common topic at these meetings dealt with special needs clients such as those with mental health and substance abuse issues. Much of the discussion with these groups dealt with the availability of beds/programs.

Officers also indicated that regional and statewide meetings were held to go over policy changes to the program. For example, a meeting was held to discuss the expansion of the TVU program and the increase in caseload. Meetings were also held to provide updates on how the program was running in the various regions. In regard to trainings and assistance the officers would like to have, the responses fell into three main categories: general TVU training, statewide meetings and assistance, and more resource support.

In respect to the general TVU training, several officers suggested that all new TVU officers should attend some type of basic TVU training. This training should cover what to expect as a TVU officer, who should be referred to TVU, and when should a TVU client be violated. Officers also indicated that all TVU officers should have refresher courses in motivational interviewing, working with clients with mental health and substance abuse issues, and social service training.

Officers also want to see more of the statewide meetings. These meetings should cover a trouble shooting session on what is working/not working within each region, what services exist for drug treatment, employment, and housing, and what are the current policies or proposed changes for the program. Along these same lines, some officers indicated that they would like to have a person available to advise them on known policies.

The officers who said they had an in-office mentor indicated that this person was either their Chief Probation Officer or a former or current TVU officer. When seeking out this person for advice the most common reasons were to troubleshoot on a difficult case, managing the caseload, and changing one's supervisory style.

Caseload Management

The next series of questions dealt with caseload management. When the TVU was piloted, officers were to have maximum caseloads of 25 that only were to consist of TVU clients. As the program expanded, some officers were given increased caseloads and mixed caseloads. Table 5 shows the total caseloads of TVU officers. The majority (67%) officers carried between 26 and 35 cases and seven individuals reported having caseloads of 25 or fewer cases.

Table 5. What is Your Current Caseload?

Amount Category	Frequency	Percentage
25 or fewer cases	7	21%
26 to 35 cases	22	67%
36 or more cases	4	12%

Interview items regarding client supervision (Table 6) revealed that while 82% of TVU officers had specific days set aside each week for client reporting; only 42% of the interviewed officers service strictly-TVU caseloads. Therefore, it appears that there was a segment of the client population not in this program that was receiving some of the benefits of TVU.

Table 6. Questions Pertaining to TVU Supervision

Item	"Yes" Responses	Percentage
Is your caseload strictly TVU?	14	42%
Do you have specific reporting days each week?	27	82%
Do you have specific days you are in the field?	14	42%

For those officers that had mixed caseloads, the "mixture" varies. The majority reported that they had additional clients who were either "high" and/or "medium" risk. Some officers also reported that they clients on their caseloads with high mental health needs. For those who did not report having mental health, high or medium risk clients, they reported that they were responsible for writing warrants, doing intakes and LSI assessments.

The officers were also asked how they were balancing their mixed caseloads. Several officers indicated that their TVU cases were their first priority. Other officers stated that their TVU clients actually were not getting the appropriate attention due to lack of time. The

remaining officers stated that there was not a concern in balancing the load, that the client with the most “immediate” issue was the priority, and the caseload was balanced based on reporting days.

Officers with mixed caseloads were also asked if there were other probationers who could possibly be on their TVU caseload. Most believed that more people could be placed on their caseload especially from the high and medium lists. Some officers said that those on the high/medium lists that were having warrants issued may have been good fits for the TVU program.

Technical Resources

The next series of questions centered on technical resources provided to the officers in the form of state issued vehicles and cell phones (Table 7). These resources were initially provided for all TVU officers in the six pilot sites.

Table 7. Questions Pertaining to TVU Resources

Item	“Yes” Responses	Percentage
Do you have to sign up for its use ahead of time?	21	64%
Was available car specifically designated for TVU?	7	23%
Have there been times when the vehicle has not been available when you needed it?	27	82%
If vehicle not available, did you use your own vehicle as an alternative?	17	61%
If vehicle not available, did you reschedule your plans?	27	96%
Do you have a state-issued cell phone?	32	97%
Do you provide your cell phone number to your clients?	31	94%

With available technical resources (Table 7), almost all TVU officers had state-issued cellular phones (97%) and most of the interviewed POs provided their cell phone numbers to clients (94%). However, only 23% of the officers interviewed reported having a vehicle in their offices that was specifically designated for TVU officers. In relation to this finding, 82% of the individuals indicated that though there may be a state vehicle (not necessarily designated for the TVU) available in their offices, there have still been times at which they needed it and the vehicle was unavailable.

Table 8 and 9 present the responses regarding sharing 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. As Table 8 demonstrates, the lack of availability of state cars to TVU officers may have had to do with the majority of the interviewed individuals (61%) shared one car with multiple probation officers (TVU and non-TVU).

Table 8. How Many Officers Share a Vehicle?

Amount Category	Frequency	Percentage
This officer has own car	1	3%
One car for multiple officers	20	61%
Multiple cars for multiple officers	12	36%

Further examination of this finding revealed the nature of the number of other probation officers that shared state vehicles with the TVU officers (Table 9). Though many of the interviewed individuals indicated that they shared the in-office state vehicle(s) with five or fewer other officers (38%), 25% reported sharing the vehicle(s) with 11 to 25 other probation officers and 16% divided use of this resource among 25 or more other officers.

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

Amount Category	Frequency	Percentage
5 or fewer POs	12	38%
6 to 10 POs	7	22%
11 to 25 POs	8	25%
25 or more POs	5	16%

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

In regard to those officers who provided their clients with their cell phone number (94% - Table 7), they were asked how often their clients called (Table 10). As demonstrated in Table 7, 97% of the interviewed individuals reported having state-issued cell phones and 94% indicated that they gave those cell phone numbers to their clients. Of the officers that gave out their cell phone numbers, 10 (31%) mentioned that clients called them frequently and 9 TVU officers (28%) revealed that clients called them daily or more often. Only one TVU officer (3%) reported that clients never called the given cell phone number.

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

Amount Category	Frequency	Percentage
Never	1	3%
Rarely	6	19%
Occasionally	6	19%
Frequently	10	31%
Daily or more often	9	28%

When clients called, they called for a variety of reasons. These reasons fell into three main categories. The first category centered on a “change in circumstance”. Some examples of this would be the need to reschedule an appointment, the loss or change in a housing situation, the desire/need to travel out of state, and/ or the successful completion of a program. The second category of calls would be “an emergency” in nature. Examples of this would be emergency situations involving the client or someone close to the client such as a family member or significant other. Another emergency situation would involve the client’s reporting of suicidal thoughts. A third area would involve a new arrest. The last category of phone calls could be labeled as “miscellaneous”. These involved calls by the client reporting that he or she would be

late for a curfew, the client needing to talk because he/she was stressed or lonely, or the client needing information about a specific treatment program.

Officers were also asked what additional resources would be useful. Many officers thought there was a need for more state vehicles. Also, many officers requested Global Positioning Systems (GPS) for their vehicles. They thought these would be helpful when doing field visits and driving to various programs. Other responses centered on program resources such as having more bed space, quicker access to programs, and easier access to medical insurance.

Client Referrals to TVU

The last series of questions asked officers how they dealt with client referrals to the TVU. Table 11 presents the responses to the questions regarding face-to face referrals, concerns about the process, and stumbling blocks in the process.

Table 11. Questions Pertaining to TVU Referrals

Item	"Yes" Responses	Percentage
When a client is referred to you, is there a face-to-face meeting between you and the referring officer?	27	82%
Do you have concerns about the current process?	15	46%
Are there any stumbling blocks/hurdles in the referral process?	18	55%

In regard to the TVU referral process, 82% of the interviewed officers reported that upon client referral there was a face-to-face meeting between themselves and the referring officer, but 46% of officers cited current concerns about the TVU and 55% indicated that there were still problems in the referral process.

If a face-to-face meeting did take place between the referring officer and the TVU officer, several key issues were discussed. These were background information, reasoning for the transfer, previous efforts that have worked with the client, the best way to motivate the client, substance or mental health issues that needed to be addressed, and any scheduled appointments that the client needed to attend. If there was no face-to-face discussion with the referring officer, the TVU officers either reviewed the case summaries or met directly with their Chief.

For those officers who indicated they had concerns about the process, the most common concern was the lack of face-to-face meetings with the referring officers. Another concern that was expressed was the need for training of the POs in who is an appropriate referral. Several TVU officers felt that many clients referred to the program did not meet the criteria for the TVU. In addition, the officers indicated that supervisors' should review all the referrals prior to assigning clients to the TVU. The referrals should not come directly from the POs, as many were not meeting the criteria for the program.

Recommendations for TVU Improvement

Officers also indicated ways to improve the program. As mentioned before, many officers believed there should be a training program on who is an appropriate TVU referral. Another suggestion is that the communication between the referring officer, Chief, and TVU officer should be improved. Many suggested a three way meeting and an additional meeting between the referring officer, the TVU officer, and the client so the client understands what the transition in programs is about. Further suggestions for improvement include making a checklist or having a guideline as to what is needed to make a referral, transferring clients to TVU sooner rather than when every option is exhausted, and having treatment programs available in the probation office to make that referral process easier.

In respect to stumbling blocks and hurdles, many officers indicated that their supervisor should assign their cases as to make sure they are receiving appropriate clients. Other stumbling blocks that were mentioned focus on program issues. There is a need for more inpatient beds. The waiting lists for mental health and substance abuse programs are very long. The delay in getting into programs may be a hindrance to clients' success. Another concern is the lack of employment programs. In regard to all the programs, there was a concern that there were not enough Spanish speaking programs.

Many officers expressed the desire to meet annually with service providers to discuss the program and special needs of the TVU clients. Some officers did not believe the current structure of certain programs was helpful to their clients. By meeting, there would be a better understanding of what TVU clients needed.

The last area of assistance that officers were concerned with revolves around resources. The officers would like to see more bus tickets, program availability, and housing for the clients. For themselves, officers would like to have more access of state vehicles.

Outcome Analysis

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

Study Group Description

Table 12 presents a summary of the three study groups. The majority of TVU clients were males in each of the three study groups (almost 80%). There were differences in the race/ethnicity of clients in the Expansion study group compared to the pilot years. 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 much higher percentage of unemployed clients (69%) than the other two groups (60% for the Expansion and 57% for Pilot Year Two).

Table 13 shows the LSI-R risk levels for the study groups. While the Expansion group had the highest average LSI-R risk score (28.60), it had the lower percentage of clients who were risked as surveillance or high (73% compared to 85% for Pilot Year One and 79% for Pilot Year Two).

The average LSI-R total risk scores by TVU 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 TVU clients did not appear to significantly change from the first year to the second year of the TVU pilot, nor from the second year of the pilot to the expansion. For the expansion sites, Waterbury had the highest average LSI-R risk score (31) followed by Stamford and Manchester (30). Bridgeport, Enfield, and Danbury had the lowest average risk scores (26).

Table 12. Demographic Summary of the Three Study Groups

	Pilot Year One (n=456)	Pilot Year Two (n=507)	Expansion (n=1,684)
Males	79%	78%	77%
Race/Ethnicity			
African-American	43%	44%	30%
Caucasian	31%	33%	50%
Hispanic	25%	23%	18%
Other	1%	0%	2%
Age			
16-20	23%	22%	19%
21-30	33%	32%	36%
31-40	23%	23%	23%
Over 40	22%	24%	23%
Average Age	30 yrs. old	31 yrs. old	31 yrs. old
Marital Status			
Married	6%	4%	6%
Single	79%	81%	81%
Divorced/Sep/Widowed	15%	15%	13%
Education			
No High School diploma	64%	64%	61%
High School Graduate	25%	25%	26%
More than High School	11%	11%	13%
Employment			
Unemployed	69%	57%	60%
Other Income	14%	20%	16%
Employed	17%	23%	24%

Table 13. LSI Risk Level by Study Group

LSI Risk Level	Pilot Year One (n=442)	Pilot Year 2 (n=504)	Expansion (n=1,675)
Administrative	21 (5%)	12 (2%)	61 (4%)
Medium	44 (10%)	91 (18%)	398 (24%)
High	341 (77%)	379 (75%)	1,151 (69%)
Surveillance	35 (8%)	22 (4%)	61 (4%)
Average LSI Risk Score	28.45	27.62	28.60

Table 14. Average LSI Score by Study Group and Office

Probation Office	Pilot Year One	Pilot Year Two	Expansion
Waterbury	29	30	31
Hartford	28	26	29
New London	30	28	29
New Haven	28	27	28
New Britain	28	28	28
Bridgeport	26	26	26
Stamford			30
Manchester			30
Middletown			29
Bristol			29
Bantam			29
Norwich			29
Danielson			29
Norwalk			28
Willimantic			27
Milford			27
Danbury			26
Enfield			26
TOTAL TVU	28	28	29

TVU Completion Rates

Clients were referred and accepted into the TVU who were on the verge of being technically violated. The purpose of the TVU supervision was to stabilize clients and return them to a general caseload. Table 15 presents the percentage of clients who were successfully discharged from the TVU and returned to regular probation. First, there were different trends in the pilot sites across the three study groups. First, some of the pilot sites had higher completion rates during the first year of the program and then decreases after that (Hartford and New London). Second, Pilot Year Two had the lowest completion rate (Bridgeport and Waterbury). Third, Pilot Year Two had the highest completion rate (New Haven and New Britain). All trends suggest that the program was not being implemented consistently in each office at various times since the TVU's inception.

There was a wide range and little consistency in the completion rates across the expansion sites. Four offices had TVU completion rates over 60% (Bridgeport, New Haven, Danbury, and Enfield) while five offices had completion rates under 50% (Willimantic, Middletown, Stamford, Manchester, and Bristol).

Table 15. TVU Completion Rate by Study Group and Office

Probation Office	Pilot Year One	Pilot Year Two	Expansion
Bridgeport	53%	49%	67%
New Haven	53%	61%	60%
Waterbury	55%	43%	55%
New Britain	49%	56%	47%
New London	59%	53%	42%
Hartford	41%	38%	35%
Danbury			66%
Enfield			61%
Milford			58%
Norwich			56%
Danielson			55%
Norwalk			53%
Bantam			50%
Willimantic			49%
Middletown			41%
Stamford			39%
Manchester			33%
Bristol			32%
TOTAL TVU	53%	49%	48%

Tables 16 and 17 show the average days clients were in the TVU and the average number of clients contacts for TVU offices. Even though the prescribed time in the TVU was 120 days, only three offices averaged 120 days or less (Bristol, Norwich, and Manchester) while several offices had averages over 180 days (Bridgeport, Danbury, Norwalk, and Enfield). The average days in the TVU were well over 120 days for all three study groups (170 days for Pilot Year One, 167 for Pilot Year Two, and 157 for the Expansion). Similar to completion rates, there was a wide variation for days in the TVU for the six pilot sites across the three study groups. For instance, Pilot Year One clients in New Britain were in TVU an average of 106 days while Expansion clients were in the TVU for an average of 155 days. None of six pilot sites were consistent in the average days in the TVU across study groups.

Table 17 presents the average number of client contacts. Client contacts consisted of face-to-face meetings between TVU 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 TVU the more contacts they had. Manchester had the lowest average days in the TVU (71 days) and also had the lowest average number of client contacts (11). For the pilot sites, there were fewer differences in client contacts than there were for days in the TVU.

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

Probation Office	Pilot Year One	Pilot Year Two	Expansion
Bridgeport	227	193	217
New Haven	167	134	155
New Britain	106	134	155
Waterbury	179	179	153
New London	167	140	138
Hartford	178	150	156
Danbury			211
Norwalk			195
Enfield			191
Stamford			178
Milford			167
Bantam			164
Danielson			144
Middletown			143
Willimantic			134
Bristol			115
Norwich			115
Manchester			71
TOTAL TVU	170	167	157

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

Probation Office	Pilot Year One	Pilot Year Two	Expansion
Bridgeport	34	25	29
New London	29	28	28
New Haven	17	25	27
Waterbury	30	27	27
New Britain	11	18	27
Hartford	24	22	23
Bantam			42
Milford			30
Norwalk			29
Danbury			28
Middletown			27
Stamford			26
Norwich			22
Danielson			22
Enfield			18
Willimantic			17
Bristol			17
Manchester			11
TOTAL TVU	24	24	26

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 acceptance into the TVU. Table 18 shows that the percentage of technical violations remains relatively the same across the three study groups (between 24% for the Expansion and 28% for Pilot Year Two). In contrast, the percentage of new arrests decreases across the study groups while the percentage of new arrests and technical violations increases. However, the overall percentage of TVU participants arrested or technically violated was almost identical for the three groups (55% for the Pilot Year One and 54% for Pilot Year Two and the Expansion).

Table 18. New Arrests and Technical Violations Across Study Groups

	Pilot Year One (n=456)	Pilot Year Two (n=507)	Expansion (n=1,684)
New Arrests	64 (14%)	50 (10%)	152 (9%)
Technical Violations	123 (27%)	141 (28%)	395 (24%)
New Arrests and Tech. Violation	63 (14%)	84 (17%)	361 (21%)
Totals	250 (55%)	175 (54%)	908 (54%)

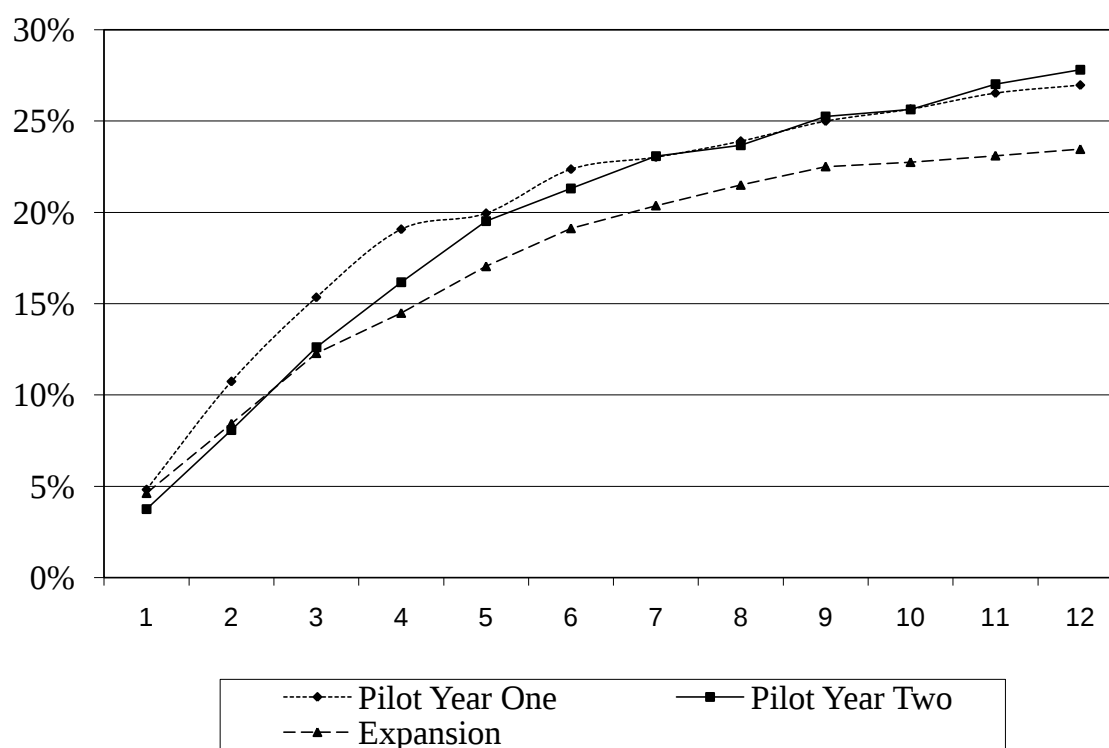
TVU participants were successfully discharged back onto regular probation caseloads if the TVU officers believed they were stabilized. Table 19 presents the one year outcomes of TVU completers. A small percentage of TVU completers were arrested or technically violated after being successfully discharged from the TVU. For instance, only 5% of TVU completers in the Expansion study group were technically violated and 8% were arrested. These outcomes were similar across the three study groups.

Table 19. New Arrests and Technical Violations for TVU Completers

	Pilot Year One (n=239)	Pilot Year Two (n=248)	Expansion (n=823)
New Arrests	30 (13%)	15 (6%)	27 (3%)
Technical Violations	19 (8%)	24 (10%)	42 (5%)
New Arrests and Tech. Violation	13 (5%)	7 (3%)	40 (5%)
Totals	250 (26%)	175 (19%)	908 (13%)

Figure 1 shows the time frame for technical violations by each study group. The trends were similar across the three study groups. For instance, approximately 5% of the TVU participants were violated in the first month of the program and approximately 20% were violated six months after their acceptance into the TVU. The flattening of the trend lines from the sixth month to the twelfth month indicates that a very small percentage of the TVU participants were violated during this time.

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



There was a wide variation in the percentage of the TVU clients who were technically violated across the Expansion group sites (Table 20). Overall, 24% of the TVU clients received a technical violation within one year of starting the TVU. Danielson had the highest technical violation rate (42%) and Danbury had the lowest (9%). These differences can also be observed by looking at the total percentage of the TVU clients who were technically violated or arrested. A high majority of Manchester (77%) and Bristol (66%) TVU participants were arrested or violated while Bridgeport (36%), Enfield (39%), and Danbury (37%) were far below the overall average.

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

Probation Office	Technical Violation	New Arrest	New Arrest and Technical Violation	Total
Danielson	42%	3%	7%	52%
Middletown	35%	4%	28%	67%
Willimantic	34%	6%	11%	51%
Hartford	30%	19%	15%	64%
New Haven	26%	10%	9%	45%
New London	25%	10%	29%	54%
Norwich	25%	13%	15%	53%
Waterbury	25%	2%	23%	50%
Manchester	22%	2%	53%	77%
Stamford	21%	9%	27%	57%
Enfield	21%	6%	12%	39%
New Britain	20%	18%	22%	60%
Bristol	19%	6%	41%	66%
Bridgeport	19%	10%	7%	36%
Norwalk	17%	4%	26%	47%
Milford	16%	9%	16%	41%
Bantam	12%	11%	27%	50%
Danbury	9%	3%	25%	37%
TOTAL TVU	24%	9%	21%	54%

Table 21 presents the number and percentage of the TVU participants who received new prison sentences as a result of being arrested and/or technically violated. The overall percentages of new prison sentences were similar across the three study groups (around 31%). In addition, the percentages of technical violators sentenced to prison were higher for the Pilot Year Two study group (16%) than for Pilot Year One (13%) and the Expansion (12%).

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

	Pilot Year One	Pilot Year Two	Expansion
New Arrest	37 (8%)	20 (4%)	68 (5%)
Technical Violation	58 (13%)	77 (16%)	174 (12%)
New Arrest and Tech. Viol.	42 (10%)	60 (12%)	191 (13%)
Totals	137 (31% of 440)	157 (32% of 490)	733 (30% of 1,471)

*Total does not include violations that are pending court action

The percentages of TVU participants sentenced to prison as a result of new arrests or technical violations are presented in Table 22. There were three trends for the six pilot sites across the three study groups. First, the percentage of new prison sentences decreased from Pilot Year One to Pilot Year Two and decreased during the Expansion for Bridgeport and New Haven. Second, the percentages increased from Year One to Year Two and then decreased from Year Two to the Expansion for New London, Hartford, and Waterbury. Three, the percentages remained relatively the same for New Britain.

Similar to technical violation rates, there were differences across the Expansion sites in percentages of TVU participants being sentenced to prison. Manchester had the highest arrest and technical violation rate and the highest percentage of TVU participants sentenced to prison (54%) while Milford (16%) and Enfield (17%) 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
New London	34%	47%	39%
Hartford	36%	40%	34%
Waterbury	29%	39%	31%
New Britain	32%	28%	31%
New Haven	36%	18%	16%
Bridgeport	27%	21%	16%
Manchester			54%
Middletown			42%
Stamford			41%
Bristol			37%
Danielson			32%
Norwalk			32%
Norwich			28%
Bantam			27%
Danbury			25%
Willimantic			24%
Enfield			17%
Milford			16%
TOTAL TVU	31%	32%	30%

Factors Influencing One Year TVU Outcome

The final part of the outcome analysis was comprised of identifying differences between TVU participants arrested or technically violated one year after starting TVU. Table 23 shows these rates for gender, race/ethnicity, age, marital status, employment, and education. There were statistically significant differences in the arrest and technical violation rates for gender, age, marital status, and employment. There were no statistical differences in arrest and technical violation rates for race/ethnicity. A higher percentage of males (32%) were arrested than females (21%) while the technical violation rate was relatively the same. The older TVU participants were the least likely to be arrested (clients who were under 21 years old were arrested the most at 37% and clients over 40 years old were arrested the least at 21%). There were also statistically significant different in arrests for employment status. Unemployed clients had the highest arrest (33%) and technical violation rates (27%).

Table 23. Demographic Factors with New Arrests and Technical Violations

	New Arrest	Technical Violation
Gender*		
Males (n=2,057)	32%	24%
Females (n=590)	21%	27%
Race/Ethnicity		
Caucasian (n=1,157)	29%	23%
African-American (n=930)	29%	27%
Hispanic (n=539)	31%	27%
Other (n=19)	42%	11%
Age at TVU Start*		
Under 21 Years Old (n=527)	37%	22%
21 thru 30 Years Old (n=915)	32%	23%
31 thru 40 Years Old (n=603)	26%	29%
Over 40 Years Old (n=602)	21%	27%
Marital Status*		
Single, never married (n=2,076)	31%	25%
Divorced/Widowed/Separated (n=388)	23%	27%
Married (n=154)	27%	21%
Employment*		
Full-Time (n=591)	26%	20%
Part-Time (n=260)	20%	23%
Other Income (n=179)	24%	25%
Unemployed (n=1,588)	33%	27%
Education		
No H.S. Diploma (n=1,624)	30%	25%
High School Diploma (n=674)	28%	26%
More than H.S. Diploma (n=320)	30%	22%

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

While Table 23 points out individual differences in arrest and technical violation rates for a variety of demographic factors, it is not possible to determine which areas had the most effect. To compare the effect 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 TVU clients will be arrested or technically violated and the importance of each (Table 24). TVU participants arrested one year after their TVU start were younger, males, unemployed, had prior arrests, had a high LSI-R criminal history score, a high LSI-R accommodations score, a high LSI-R companions score, and a high LSI-R alcohol/drug score. The order of importance was:

- Age (younger)
- Employment (unemployed)
- Gender (males)
- LSI-R Criminal History (prior arrest record)
- LSI-R Alcohol/Drug (alcohol or drug treatment need)
- Prior Arrests (presence of prior arrests)
- LSI-R Companions (a peer group that supports criminal behavior)

TVU participants who were most likely to be arrested within one year of their TVU start were young unemployed males with prior arrest records while those most likely to be technically violated were unemployed clients with prior arrest records and a poor attitude.

Summary of Outcome Analysis

The outcome analysis assessed the effects of the TVU supervision on new arrests and technical violations. For this analysis, we collected and analyzed CMIS data on 2,647 clients who began TVU supervision between October 1, 2004 and August 31, 2008. TVU clients were organized into three study groups to explore changes in program implementation from the onset of the TVU. The first two study groups consisted of the six probation offices participating in the piloting of the TVU. The first study group was comprised on clients entering TVU between October 1, 2004 and October 1, 2005 (Pilot Year One). The second study group entered TVU between October 2, 2005 and January 31, 2007 (Pilot Year Two). The third study group included all of the probation offices who had TVU officers as a result of the statewide expansion of the TVU. This group was labeled as the Expansion group with clients entering TVU between February 1, 2007 and August 31, 2008.

Table 24. Multinomial Regression For New Arrests and Technical Violations

		Beta	Stand. Error	Wald	Sign.	Odds Ratio
New Arrest	Intercept	-.488	.383	1.626	.202	
	Age	-.043	.006	46.283	.000	.958
	Prior Arrests	.021	.008	6.195	.013	1.021
	Gender	.529	.133	15.948	.000	1.698
	Married	.017	.096	.033	.856	1.018
	Employment	-.233	.044	27.950	.000	.792
	LSI Criminal History	.104	.026	15.364	.000	1.109
	LSI Educ/Employ	-.025	.025	1.011	.315	.975
	LSI Financial	-.084	.074	1.288	.256	.919
	LSI Family	.040	.046	.783	.376	1.041
	LSI Accommodations	.124	.055	5.131	.024	1.132
	LSI Leisure	-.032	.086	.136	.712	.969
	LSI Companions	.099	.046	4.728	.030	1.104
	LSI Alcohol/Drug	.068	.023	8.930	.003	1.071
	LSI Emotional	.032	.033	.932	.334	1.033
	LSI Attitude/Orientation	.027	.038	.484	.487	1.027
Technical Violation	Intercept	-1.356	.397	11.640	.001	
	Age	-.003	.006	.335	.562	.997
	Prior Arrests	-.016	.009	2.860	.091	.985
	Gender	.031	.127	.059	.808	1.031
	Married	-.153	.100	2.377	.123	.858
	Employment	-.209	.046	20.234	.000	.812
	LSI Criminal History	.120	.028	18.706	.000	1.128
	LSI Educ/Employ	-.008	.026	.087	.768	.992
	LSI Financial	.008	.078	.010	.921	1.008
	LSI Family	.111	.047	5.505	.019	1.117
	LSI Accommodations	.060	.057	1.119	.290	1.062
	LSI Leisure	.051	.091	.313	.576	1.052
	LSI Companions	.062	.047	1.725	.189	1.064
	LSI Alcohol/Drug	.066	.024	7.679	.006	1.068
	LSI Emotional	-.037	.035	1.111	.292	.964
	LSI Attitude/Orientation	.118	.039	9.072	.003	1.125

Model Chi-Square = 227.65, $p < .05$.

Cox and Snell $R^2 = .084$, Nagelkerke $R^2 = .095$.

The multinomial regression results for technical violations were different than for arrests. Those factors statistically significant for technical violations were (1) unemployment, (2) LSI-R criminal history score, (3) LSI-R attitude/orientation score, (4) LSI-R alcohol/drug score, and (5) LSI-R family. The order of importance was:

- Employment (unemployed)
- LSI-R Criminal History (prior arrest record)
- LSI-R Attitude/Orientation (poor attitude)
- LSI-R Alcohol/Drug (alcohol or drug treatment need)
- LSI-R Family (poor family relationships)

The collection of CMIS data allowed us to observe the demographics of TVU clients (e.g., age, gender, race/ethnicity, employment, and education), determine outcomes of TVU participants (e.g., successful discharges from the TVU, rates of new arrests and technical violations one year after beginning TVU supervision, and rates of new prison sentences from new arrests and technical violations), and identify factors that may have effected new arrests and technical violations (e.g., demographics, criminal history, and LSI-R risk scores).

Demographics. There were few differences in demographic information across the three study groups. The majority of TVU participants were males (nearly 80%), were single and never married (approximately 80%), mostly under 30 years old (close to 55%), were largely unemployed (around 60%), and did not have a high school diploma (approximately 62%). The one demographic difference across the three study groups was for race/ethnicity. A higher percentage of the first and second year pilot groups were either African-American (44%) or Hispanic (24%) than in the expansion study group (30% were African-American and 18% were Hispanic). These differences were expected since the six probation offices in the TVU 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 of the study groups and across all of the probation offices. While the Expansion study group had the highest average LSI-R risk score (28.60), it also had the lowest percentage of clients who were risked as surveillance or high (73% compared to 85% for Pilot Year One and 79% for Pilot Year Two). In addition, the risk levels of TVU clients did not appear to significantly change from the first year to the second year of the TVU pilot, nor from the second year of the pilot to the expansion.

Outcomes. We found a wide variation in TVU completion rates across the three study groups as well as across the Expansion study group offices. For the pilot sites, two of these offices had higher completion rates during the first year of the program followed by decreases after that (Hartford and New London); two offices had their completion rate drop between the first and second study period and increase from the second and third study period (Bridgeport and Waterbury); and, two offices had their completion rate increase from the first to the second study period and drop from the second to the third (New Haven and New Britain). All trends suggest that the program was not being implemented consistently in each office at various times since TVU's inception. There was also little consistency in the completion rates across the expansion sites. Four offices had TVU completion rates over 60% (Bridgeport, New Haven, Danbury, Enfield) while five offices had completion rates under 50% (Willimantic, Middletown, Stamford, Manchester, and Bristol).

In addition to inconsistencies in completion rates, there was variation in the average number of days clients were in the TVU. The average days in TVU were higher than 120 days for all three study groups (170 days for Pilot Year One, 167 for Pilot Year Two, and 157 for the Expansion). Although the prescribed days in the TVU was 120, only three offices averaged the prescribed 120 days or less (Bristol, Norwich, and Manchester) while several offices had averages over 180 days (Bridgeport, Danbury, Norwalk, and Enfield). Similar to completion rates, there was a wide variation for days in TVU for the six pilot sites across the three study groups. For instance, Pilot Year One clients in New Britain were in the TVU an average of 106

days while Expansion clients were in TVU for an average of 155 days. None of six pilot sites were consistent in the average days in TVU across study groups.

Despite the differences in completion rates, the overall percentage of TVU participants arrested or technically violated was almost identical for the three groups (55% for the Pilot Year One and 54% for Pilot Year Two and the Expansion). We also looked at what happens to probationers after being successfully discharged from the TVU. We found that a small percentage of TVU completers were arrested or technically violated after being successfully discharged from TVU. For instance, only 5% of TVU completers in the Expansion study group were technically violated and 8% were arrested. These outcomes were similar across the three study groups.

There was a wide variation in the percentage of the TVU clients who were technically violated across the Expansion group sites. Overall, 24% of the TVU clients received a technical violation within one year of starting the TVU but the range was 42% (Danielson) to 9% (Danbury). These differences were also seen in the total percentage of the TVU clients who were technically violated or arrested. The high was 77% (Manchester) and the low was 37% (Danbury).

For new prison sentences resulting from new arrests or technical violations, the overall percentages were similar across the three study groups (around 31%). The percentages of technical violators who were sentenced to prison were higher for the Pilot Year Two study group (16%) than for Pilot Year One (13%) and the Expansion (12%). Similar to technical violation rates, there were differences across the Expansion sites in percentages of TVU participants being sentenced to prison. Manchester had the highest arrest and technical violation rate and the highest percentage of TVU participants sentenced to prison (54%) while Milford (16%) and Enfield (17%) had the lowest percentages.

Factors affecting new arrests and technical violations. An analysis of which probationers were most likely to be arrested or technically violated one year after starting the TVU found differences between those who were arrested and those who were technically violated. TVU participants more likely to be arrested were younger males who were unemployed and had a prior arrest record, and had high LSI-R risk scores for criminal history, alcohol/drugs, and companions. In contrast, clients more likely to receive a technical violation were unemployed and had high LSI-R risk scores for criminal history, attitude/orientation, alcohol/drugs, and family.

EVALUATION CONCLUSIONS AND RECOMMENDATIONS

CSSD began accepting probationers into the Technical Violations Units on October 1, 2004 in six probation offices (Bridgeport, Hartford, New Britain, New Haven, New London, and Waterbury). The purpose of the TVU was that it provided a last chance for probationers who were unable to comply with conditions of probation before being technically violated and possibly sentenced to prison. TVU officers were initially given reduced 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 TVU program. The overall conclusion of our one year effectiveness assessment of the pilot TVU program was that TVU 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 TVU. We did, however, encourage CSSD to expand this program with the same careful and in-depth planning that occurred with the pilot TVU program.

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

Process Findings

Mid-evaluation process findings/recommendations. The process component of the TVU evaluation consisted of interviews with TVU officers one year after the statewide expansion and at the end of the evaluation period (two years after TVU expansion), an analysis of CMIS data regarding program intakes and discharges, and reviewing CSSD documents. In our one year process report to CSSD, we found that while the expansion of TVU was successful in terms of increasing the number of clients in these programs, we found differences in program implementation across the expansion offices. We expressed our concerns that implementation of the expanded TVU did not incorporate the key components of the pilot program (namely enhanced training, immediate access to client services, and clients' easy access to probation officers). We also were concerned that these implementation issues may have had significant affects on program outcomes. The implementation issues were centered on insufficient orientation/training for probation officers in TVU, limited access to resources (e.g., client service programs and equipment), and communication difficulties in the expansion offices. We understood there were financial limitations on available resources for these programs and made the following recommendations: (1) statewide training should be provided to TVU officers covering all aspects of the programs; (2) bring together TVU officers for these trainings and provide them opportunities to discuss their experiences and ask program-related questions of their colleagues; (3) create a directory of CSSD contracted and non-CSSD contracted service

providers in their GAs that could serve as a sourcebook for new TVU officers; (4) all probation officers and supervisors receive a basic orientation on the TVU program model so that they have a better understanding of these specialized programs.

CSSD addressed our concerns and followed the first two recommendations by meeting with TVU officers, area managers, and supervisors. The meetings allowed TVU officers the opportunity to discuss their concerns with CSSD administrators and supervisors as well as share their experiences with each other.

Final report process evaluation findings. We utilized the same process evaluation methods for this report as in the mid-evaluation report, that is, we interviewed TVU officers, analyzed CMIS data on program intakes and client contacts, and reviewed CSSD documents and internal reports. We found that CSSD had addressed some of the implementation concerns we expressed in our earlier report and that TVU officers were mostly following the program model.

We are concerned, however, about the overall implementation of the TVU. First, we believe that the TVU was being not being operated consistently across the probation offices. There were substantial differences in the TVU completion rates across offices (the range was 67% to 32%), the number of days clients were supervised in the TVU (217 days to 71 days), and the number of contacts TVU officers had with clients (42 contacts to 11 contacts). Our concern was that there were no defined criteria or policy as to when TVU clients should be discharged. Because of this lack of criteria or policy, it appeared that some offices were keeping clients in TVU longer than needed (only three offices kept clients less than the prescribed 120 days).

Second, we believe the TVU officers were being underutilized and, as a result, were given non-TVU cases or workloads. Several TVU officers mentioned this in their phone interview and we also observed this by looking at the number of TVU participants in each office. Some offices had very low numbers of TVU participants after the expansion occurred. We believe that some regular probation officers simply were not referring probationers to the TVU. Reasons for this that were reported to us were: (1) regular probation officers wanted to maintain contact with specific probationers because they had been working with them for a long period of time, (2) regular probation officers were unclear about the referral criteria and did not refer appropriate probationers, and (3) regular probation officers did not believe participation in the TVU would help certain clients. Regardless of the specific reason, we believe the primary cause was the lack of clear referral and selection criteria for the TVU.

Current policy only states eligibility criteria and does not state when or which clients will be considered for the TVU. So, a regular probation officer is under no obligation to refer or consider referring anyone to the TVU and does not violate policy by technically violating a probationer rather than referring that individual to TVU. Policy also states those TVU supervisors' decisions to place clients in TVU and their rationale for doing such will be entered in casenotes. Regular probation officers nor supervisors are required to provide their rationale for technically violating clients without considering TVU placement.

Outcome Evaluation Findings

The effects of the TVU supervision on new arrests and technical violations comprised the outcome analysis for a sample of 2,647 clients who began TVU supervision between October 1, 2004 and August 31, 2008. The collection of CMIS data allowed us to observe the demographics of TVU clients (e.g., age, gender, race/ethnicity, employment, and education), determine outcomes of TVU participants (e.g., successful discharges from the TVU, rates of new arrests and technical violations one year after beginning TVU supervision, and rates of new prison sentences from new arrests and technical violations), and identify factors that may have effected new arrests and technical violations (e.g., demographics, criminal history, and LSI-R risk scores).

Despite the previously discussed differences in completion rates, the overall percentage of TVU participants arrested or technically violated was almost identical for the three groups (55%). While this percentage appears to be high, it is important to point out that 100% of TVU participants would have been technically violated if not for their participation in the TVU. We were encouraged by these results in our evaluation of the TVU pilot program and still believe that TVU played a significant role in decreasing CSSD's technical violation rate. In addition, we found that only a small percentage of probationers who were successfully discharged from the TVU were arrested or technically violated after their TVU discharge. This finding leads us to conclude that TVU was successful in achieving its overarching supervision goal of stabilizing participants and returning them to regular caseloads.

The outcome evaluation did find wide variations in the percentage of the TVU clients who were technically violated across the Expansion group sites. Overall, 24% of the TVU clients received a technical violation within one year of starting the TVU but the range was from 42% to 9%. These differences were also seen in the total percentage of the TVU clients who were technically violated or arrested. The high was 77% and the low was 37%. This finding supports our earlier concern that TVUs were implemented inconsistency across the state.

Finally, our exploration of factors associated with arrests and technical violations found differences in those probationers who were arrested versus those who were technically violated. TVU participants 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. On the other hand, TVU participants most likely to receive technical violations had prior criminal records, were unemployed, had a poor attitude toward positive change, likely used drugs and/or alcohol, and had weak or poor family supports. One important similarity was that unemployment played a significant role for both arrests and technical violations.

Overall Conclusions and Recommendations

Based on our observations from the process evaluation and data analysis results for the outcome evaluation, we conclude that the TVU program has been effective in reducing technical violations of probation and subsequent prison sentences by the legislatively mandated 20%. However, we also conclude that the positive results of the TVU could be significantly increased

by more consistent implementation of the TVU model and better utilization of TVU officers. To accomplish this, we recommend:

- More TVU specific training for TVU and regular probation officers in the expansion offices that includes a detailed presentation of the TVU model and a summary of research and practice supporting the TVU approach. We also recommend TVU specific training for line supervisors focusing on the referral and discharge processes.
- Changes in CSSD policy regarding technical violations of probation. Regular probation officers and supervisors should be required to note why probationers were technically violated without being referred to the TVU.
- Development of specific criteria and policy for successful discharges and allowances for continuing TVU supervision beyond 120 days. Specifically, policy should define when a case is stabilized and under what conditions can TVU officers request extensions past 120 days.

In addition, almost all of the TVU officers expressed their concern over a lack of treatment beds and services. Because we understand the poor economic climate currently plaguing the State of Connecticut and realize that additional funding for services is highly unlikely; we cannot recommend that CSSD provide more funding to service providers. However, we reiterate a recommendation we made in an earlier report that every probation office should create a directory of CSSD contracted and non-CSSD contracted service providers in their GAs. This document would serve as a sourcebook for TVU and regular probation officers.

Our final recommendation is based on the finding that unemployment was a significant factor for both new arrests and technical violations (in fact, this has been a consistent finding throughout our TVU evaluation). We recommend that CSSD identify and develop more skills-based and employment services for probationers. 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.

APPENDIX A – CSSD’S TVU POLICY

 State of Connecticut JUDICIAL BRANCH COURT SUPPORT SERVICES DIVISION POLICY AND PROCEDURES	POLICY NO. 4.42	EFFECTIVE DATE: December 15, 2005	PAGE 1 of 7
	SUPERSEDES: NEW POLICY		
APPROVED BY: William H. Carbone, Executive Director	TITLE: ADULT SERVICES TECHNICAL VIOLATION UNIT		

1. **Policy** A Technical Violations Unit (TVU) will be established to reduce the number of probation technical violations by assisting offenders who are having difficulty in complying with court conditions.

2. **Definitions**
 - A. **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.
 - B. **Classification Override** A decision made by a Supervisor to assign a probationer to a classification other than that determined by either the LSI-R score or the sex offender definition.
 - 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. **Face-to-Face Contact** A personal meeting between a probation officer and a probationer.
 - F. **High** A probation supervision classification consisting of offenders who are at high-risk to reoffend based on results of the LSI-R.
 - G. **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.
 - H. **Technical Violation Unit (TVU)** A program that provides intensive services and supervision to probationers who are having repeated difficulty in complying with their conditions of probation.
 - J. **TVU Officer** Probation Officer assigned to supervise TVU program probationers.

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K. 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.

L. Surveillance A probation supervision classification consisting of probationers who have the highest risk of re-offending based on the results of the LSI-R.

3. Procedures

A. Eligibility and Assessment

(1) Probationers who have had multiple incidents of non-compliance for which graduated sanctions, in accordance with CSSD Policy and Procedure 4.22, Response to Non-Compliance have been unsuccessfully applied, and the supervising officer, in consultation with their supervisor believe that an arrest warrant affidavit for Violation of Probation would be the next response. Probationers who meet one or more of the following guidelines will be given priority placement in TVU:

- a. The probationer has been classified as a high-risk offender in accordance with CSSD Policy and Procedure 4.11, Supervision Services.
- b. The probationer is currently abusing drugs and has an extensive history of drug abuse.
- c. The probationer has poor family relationships and support systems.
- d. The probationer has failed to or is presently not attending any required treatment.
- e. The probationer has an extensive history of mental health problems.

(2) Probationers who meet one or more of the following criteria will not normally be placed in the TVU.

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- a. Classified as Sex Offender, Surveillance or Administrative.
- b. The probationer has absconded and cannot be contacted.
- c. The only reason that a VOP is being considered is for one or more of the following:
 - i. Failure to pay restitution
 - ii. Unemployment
 - iii. No housing
 - iv. Non-reporting for supervision contacts
- (3) When possible prior to placing a probationer in the TVU, the supervising Probation Officer and/or the Probation Officer's Supervisor and the TVU Supervisor should discuss the case. The discussion should include a thorough review of the Case Notes, any assessment results, program participation, the criminal and probation history, conditions violated, the application of graduated sanctions, along with the appropriateness of placement in the TVU.
- (4) The TVU Supervisor will make the final decision on whether to place the probationer in the TVU. The decision and rationale will be entered into the Case Notes.

B. Intake and Case Plan

- (1) Probationers placed in the TVU will be seen by a TVU Probation Officer within five (5) business days from the decision to place them in the TVU.
- (2) Within thirty (30) days from placement in the TVU, the TVU Officer will do the following:
 - a. Explain to the probationer that the purpose of the TVU is to help them to re-engage toward fulfilling both assessed and court imposed conditions, enabling them to successfully complete their term of probation and in not becoming involved in future illegal behavior.
 - b. Thoroughly review with the probationer the results of the assessments, to include criminogenic and non-criminogenic needs. Review any

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conditions of probation and have the probationer sign them.

- c. Discuss with the probationer issues and concerns that are contributing to their persistent non-compliance with their probation conditions.
- d. Collaborate with the probationer in the development of the Case Plan that identifies the steps that need to be taken to assist the probationer in addressing their needs and complying with their conditions of probation. (See Attachments A, B, C and D). A summary of the Plan will be entered in Case Notes.

C. Supervision Activities / Standards

- (1) During the TVU period of supervision, the TVU Officer will adhere to the following supervision standards:
 - a. Have a minimum of two (2) 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.).
 - b. Have a minimum of four (4) face-to-face contacts with the probationer per month. At least one (1) of these contacts will occur in the home during the first month the probationer is placed in the TVU. When possible and appropriate, the home visit will be conducted at a time when family members or significant others can be present. During their contact, the TVU Officer will leave contact numbers with all appropriate persons.
 - c. After the first thirty (30) days, if the officer determines that sufficient progress has been made and the offender is stabilized, the minimum number of face-to-face contacts may be reduced to three (3) per month.
- (2) When possible and appropriate, the TVU Officer should carry out the following activities during each probationer face-to-face contact.

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- a. Review the probationer's progress in meeting the goals and activities of 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.
- (3) Supervision Standards for Probationers in Residential Treatment Programs:
- a. The minimum standards of the Medium (Front Loading) level of risk will apply to all probationers in any residential treatment program who are under probation supervision, regardless of the score on the risk assessment.
 - b. If the probationer is discharged from the residential treatment program and is still on probation supervision, then the supervision standards of the level of risk determined by the risk assessment will apply.
- D. Violation Process TVU 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.
- E. Transition to Regular Probation Caseload
- (1) The probationer's supervision by a TVU Officer will not normally exceed 120 days from their placement in the TVU. If a TVU Officer determines that a probationer has been stabilized and no longer needs to be in the TVU Program, they may be transitioned to a regular caseload after a minimum of

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sixty (60) days in the program.

- (2) Transition to a regular probation caseload prior to 120 days will be based upon progress toward completing the Case Plan and compliance with any court ordered conditions. 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 their primary and/or secondary criminogenic need.
 - b. The probationer has stable housing and is employed or actively seeking employment.
 - c. To the TVU Officer's knowledge, the probationer is not currently abusing drugs.
 - d. The probationer is attending their probation supervision meetings to the TVU Officer's satisfaction.
 - e. The TVU Officer is obtaining positive information from treatment providers and other collateral contacts that indicate progress.
- (3) If the TVU Officer determines that the probationer has been unable to follow the Case Plan and supervision beyond 120 days is necessary, approval by a supervisor and notification to the Regional Manager will be required and repeated every thirty (30) days. Reasons for continuing the probationer in the program must be reported in the Case Notes.
- (4) Prior to the transfer of the probationer out of the TVU, the TVU 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 TVU Officer to discuss the probationer's progress in the TVU. At a minimum, the Probation Officer receiving the case should discuss the probationer's progress with the TVU Officer within fifteen (15) business days from being assigned the case.

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4. **References** American Correctional Association (ACA) 4th Edition Performance-Based Standards for Adult Probation and Parole Field Services, 4-4APP2A-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.

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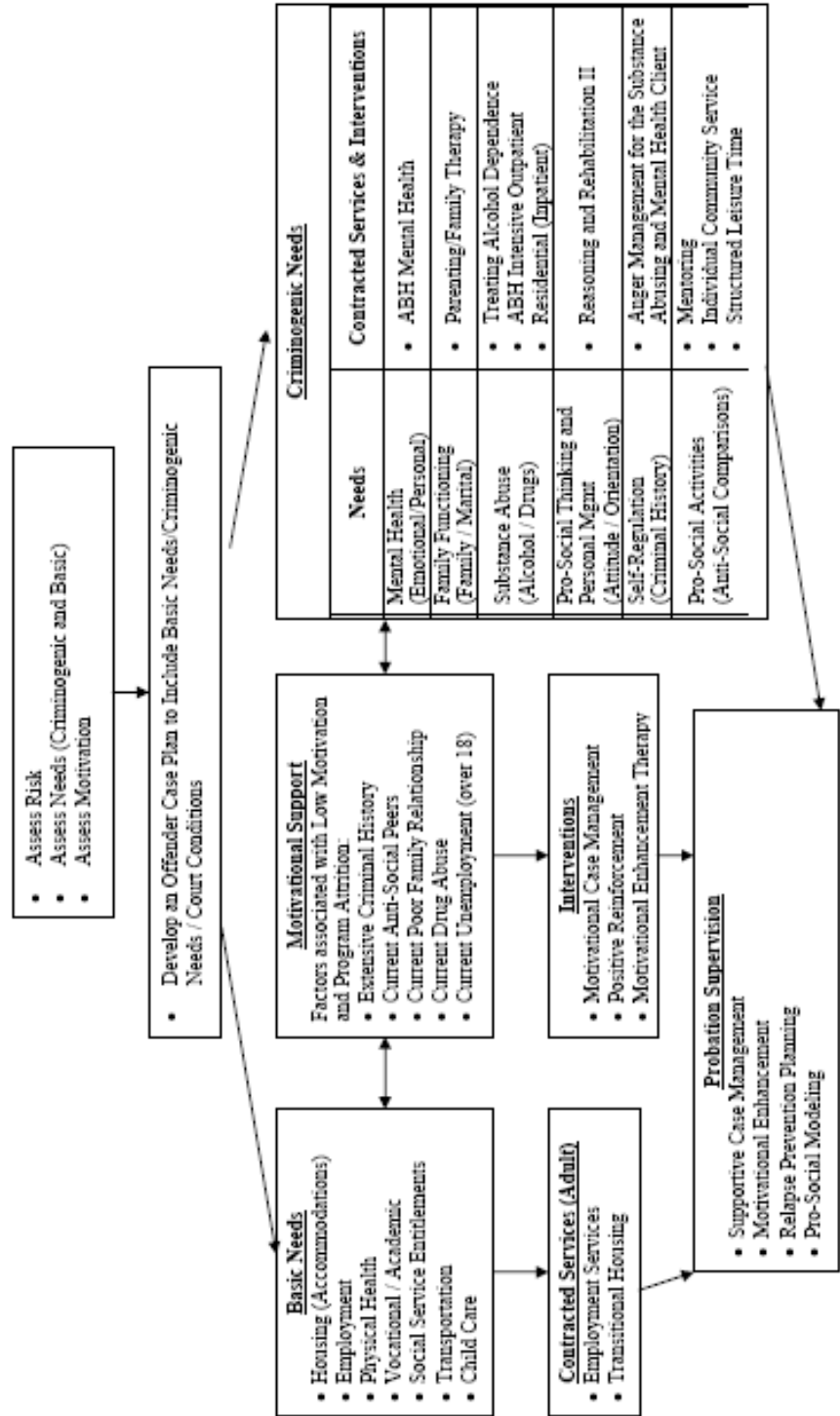
Attachment A
4.42 – Adult Services – Technical Violations Unit

COMPONENTS OF CASE PLANNING

1. Assess Risk
2. Assess Needs (Criminogenic / Basic) (LSI-R and ASUS)
3. Identify Protective Factors (Strengths)
4. Assess Motivation to Change (General / Specific)
5. Review Court Ordered Conditions
6. Develop a Plan Collaboratively with the Probationer

-
- ☐ **RISK**: Determines intensity of supervision and frequency and length of treatment.
 - ☐ **NEEDS**: Determines the treatment and services that should be targeted.
 - ☐ **MOTIVATION**: Determines the sequencing of treatment and services when there are multiple needs, as well as the extent to which MET is required.
 - ☐ **PROTECTIVE FACTORS**: Identifies areas of strengths that need to be supported, reinforced, and when possible increased.
 - ☐ **CASE PLAN**: An ongoing process that provides the probationer with specific goals and activities that are important for the probationer.

CSSD PROBATION PROGRAM MODEL AND CASE PLAN GUIDE



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Attachment C
4.42 – Adult Services – Technical Violation Unit

AIC SERVICES – PROBATION GUIDELINE FOR REFERRAL

Service	Risk Level *	Need from LSI-R **
Substance Abuse Groups	Medium (<i>unless in PTP or TVU</i>)	Alcohol and/or Drug
Treating Alcohol Dependence – Meets twice a week, 90 minute session for 6 weeks		

Service	Risk Level *	Need from LSI-R **
Cognitive Skills Groups	Medium or High	Anti-Social Values & Attitude or Criminal History
Reasoning and Rehabilitation II – Meets twice a week, 2 hour sessions for 8 weeks. This group addresses many of the skill deficits that generally are found in clients involved in criminal justice system. Such as: problem solving, impulsivity, low self-control, managing emotions and social skills.		

Service	Risk Level *	Need from LSI-R **
Employment Services	Medium or High	Employment
Employment Services – Meets daily until job is secured. Initially 3 hours a day on-site followed by community job search and daily reporting. Referrals should target probationers currently unemployed with a history of being frequently unemployed.		

AIC SERVICES

- * GENERALLY probation referrals should be Medium-Risk. (PTP or TVU referrals can be High-Risk). AIC's will strive to offer multiple group services separating clients and services by risk. Reasons and considerations for referring High or Surveillance probationers to the AIC may include:
- Service is not offered anywhere else
 - Probationer needs multiple services that are all offered at the AIC (it may be confusing for a client to go to an AIC for cognitive skills followed by a referral to an ABH contractor for substance abuse).
 - Transportation
 - Financial
 - Professional Discretion

** Based on client assessment, refer to above services to address the identified criminogenic needs and/or to comply with court ordered condition(s).

Sequencing of Services – Generally clients should not be referred to more than one of the above services at a time. If anti-social attitudes are the primary or secondary need, it should normally be the first one addressed.

Staff / Client Check-in's – Intervention Specialist (group facilitators) will meet with each probationer minimally two times prior to the completion of each intervention. Check-in's are to ensure understanding of group content and skills being taught and to clarify any discrepancies.

NOTE: This information serves as a guideline only and does not take the place of individual issues and differences that each probationer presents.

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Attachment D
4.42 – Adult Services – Technical Violation Unit

ADULT BEHAVIORAL HEALTH (ABH) SERVICES

PROBATION GUIDELINE FOR REFERRAL

Service *	Risk Level **	Need from LSI-R ***
Substance Abuse Groups or Intensive Outpatient Treatment	High or Surveillance	Alcohol and/or Drug
Group treatment generally meets weekly, 90 minute sessions for 12 weeks. IOP is a minimum of 9 hours of treatment per week for 4 to 12 weeks, based on client need.		

Service *	Risk Level **	Need from LSI-R ***
Mental Health Evaluation and Treatment	Medium, High, or Surveillance	Emotional / Personal
Services may be individual or group based on diagnosis		

Service *	Risk Level **	Need from LSI-R ***
Anger Management	Medium, High or Surveillance	Criminal History (Look at criminal history for trends in arrests, i.e., domestic violence, larceny; this may change referral)
Anger Management for the Substance Abusing and Mental Health Clients – Meets once a week, 90 minute sessions for 12 weeks.		

* Any probationer who is ordered by the court to undergo a substance abuse or mental health assessment or evaluation, may be referred to an appropriate Adult Behavioral Health (ABH) or other appropriate service provider..

** Based on probationer assessment, refer to above services to address the identified criminogenic needs and/or to comply with court ordered condition(s).

*** When possible, probationers not assessed as High or Surveillance should be referred to other community resources for the above services before an ABH contracted provider.

Sequencing of Services – Generally probationers should not be referred to more than one of the above services at a time. If anti-social attitudes are the primary or secondary need, it should normally be the first one addressed.

NOTE: This information serves as a guideline only and does not take the place of individual issues and differences that each probationer presents.

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?