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**Longitudinal Study:
Alternatives to Incarceration
Sentencing Evaluation, Year 3**

Full Report of the Final Year

September, 1996

**Longitudinal Study
Alternatives to Incarceration
Sentencing Evaluation, Year 3**

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The Justice Education Center, Inc. hopes that the information in this report will be a valuable tool for the Judicial Branch and the Department of Correction in promoting and developing a wider range of viable sentencing options.

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Overview

STATE

This study is the first comprehensive, statewide evaluation of Connecticut's alternative to incarceration programs, providing information to the Judicial Branch about the outcomes of pretrial and sentenced clients. While the results from the third year of this multi-year longitudinal study are not fully conclusive, they are highly suggestive and provide an argument for expanded use of carefully supervised sentences to community-based alternative to incarceration programs.

The study has been conducted in two phases:

Phase I: Pretrial Defendants Phase I was completed in August, 1993. It provided an evaluation of pretrial alternative to incarceration programs, comparing defendants in the community on conditional release with a comparison group of defendants without conditions as part of their release status.

Findings determined that defendants released with conditions posed less risk to the community of new arrests and failures to appear in court than defendants who were ordered to post bond without additional conditions.

Phase II: Sentenced Offenders Phase II has provided an evaluation of offenders sentenced to alternative to incarceration programs, compared to similar offenders sentenced to incarceration, and those receiving sentences that combine incarceration with community programming. This three-year longitudinal study will conclude with this third year.

Results indicate that offenders sentenced to community programs in most instances posed less risk to public safety as measured by new arrests over time than a comparison sample of offenders who were released after having been incarcerated. In addition, those categories of offenders who are typically the source of greatest concern to the public and to policy-makers -- those convicted of drug or violent crimes -- have done better after three years than other types of offenders under community supervision.

NATIONAL

While this study was designed to inform Connecticut's criminal justice program and policy planning efforts, it has national significance as well. While this study shares some concerns and issues that have been prominent in other states' evaluations, the focus of this project is different. This is the first known statewide study to look at programs that have been explicitly designed and operated in the context of a statute that provides for alternatives to incarceration. This project is unique in its evaluation of alternative to incarceration clients and comparison groups of defendants and offenders who were actually incarcerated.

II. Background

- A. Introduction
 - 1. History
 - 2. Research Completed
 - B. The Longitudinal Study
 - 1. Purpose of The Longitudinal Study
 - 2. Findings from Phase I
 - 3. Goals of Phase II
 - C. Study Methodology
 - 1. Description of Research Samples
 - 2. Format of Study Results
-

A. Introduction

1. History

In 1990, the Connecticut General Assembly passed Public Act 90-213. The Act established the Office of Alternative Sanctions (OAS) within the State's Judicial Branch to create and expand a statewide continuum of programs to augment the alternatives to incarceration available to the criminal justice system. Since that time, the number of pretrial and sentenced clients served annually by alternative programs has more than doubled, from under 2700 to over 5400; programs have become available in all courts in the state; and the types of program elements and the referral sources have diversified.

2. Research Completed

This development and expansion effort has been aided at each step by research sponsored by The Justice Education Center, Inc. The Center supported two studies that provided the foundation for the current research¹:

A 1991 **Offender Profile Study** that identified pools of pretrial and sentenced men and women who could be considered for community-based alternatives to incarceration; and

A 1992 **Court Disposition Study** that analyzed the primary considerations used by the State's courts to determine who among a sample of convicted offenders would be incarcerated pretrial and after sentencing. This study also helped to identify characteristics of people who could be considered for community supervision programs. Most importantly, multivariate analysis showed that charge severity, type of charge, felony conviction, pretrial incarceration, race/ethnicity and sex were significant predictors which distinguished between a sentence to incarceration and a sentence to probation.

¹ 1. **Offender Profile Study: A Comparison of Criminal Justice Clients in Prison and in the Community. 1991.** Based on a "snapshot" comparison of 1609 sentenced and accused offenders at one moment in 1990, this research enabled OAS to project the numbers of incarcerated offenders who could be considered for intermediate sanctions instead of occupying a prison bed on a given day. The study identified types and categories of defendants, then incarcerated, who might safely have received community-based sanctions, e.g., large pools of non-violent offenders with short arrest histories. Special populations, underserved by current programming, were identified: women, Latinos, 16- and 17-year old youth, and substance abusers.

2. **Court Disposition Study: Criminal Offenders in Connecticut's Courts in 1991.** Data collected on a random sample of 3131 offenders with criminal cases disposed in Connecticut's courts during 1991 substantially extended the findings of the Offender Profile Study, enabling the Office of Alternative Sanctions to: project population flow and sentencing patterns to facilitate OAS's planning and development of community-based sanction programs; identify criteria for targeting appropriate offenders for intermediate sanctions; and develop a data base for longitudinal studies of outcomes and program effectiveness in future years.

B. The Longitudinal Study

1. Purpose of the Longitudinal Study

This study is the first comprehensive, statewide evaluation of Connecticut's alternative to incarceration programs, providing information to the Judicial Branch about the outcomes of pretrial and sentenced clients². The study has been conducted in two phases:

Phase I: Phase I was completed in August, 1993. It provided an evaluation of pretrial alternative to incarceration programs, comparing defendants in the community on conditional release with a comparison group of defendants without conditions as part of their release status.

Phase II: Phase II, concluding with this third year report, has provided an evaluation of offenders sentenced to alternative to incarceration programs, compared to similar offenders sentenced to incarceration, and those receiving sentences that combine incarceration with community programming. Third year results are provided in this report.

2. Findings from Phase I: Evaluation of Pretrial Alternative to Incarceration Programs

The evaluation was based on two sample groups of criminal defendants. The first sample was composed of 785 defendants (9% of the total) who were given conditional release at arraignment between March 1, 1991 and February 29, 1992. The second sample was drawn randomly from defendants who were arraigned during the same time period, but did not have any conditions as part of their release status.

Findings of particular interest from this evaluation included:

Defendants released with conditions posed less risk to the community of new arrests and failures to appear in court than defendants who were ordered to post bond without additional conditions.

Regardless of the form of release, over 80% of the defendants were not charged with any illegal behavior during the pretrial period.

² While this study was designed to inform Connecticut's criminal justice program and policy planning efforts, it has national significance as well. Other states have studied intensive supervision probation by evaluating offenders who were sentenced to intensive supervised probation compared with regular probationers (for example, Byrne and Taxman, 1994; Clear and Hardyman, 1990; Petersilia and Turner, 1990; Turner *et al*, 1992) and have expressed some concerns. However, this is the first known statewide study to look at programs that have been explicitly designed and operated in the context of a statute that provides for alternatives to incarceration. This project is unique in its evaluation of alternative to incarceration clients statewide who are compared with defendants and offenders who were actually incarcerated.

Defendants charged with different types of crime tended to engage in different forms of pretrial misconduct.

- Drug defendants were more likely to have new arrests, but not failure to appear.
- Defendants charged with crimes against persons were more likely to have failures to appear, but not to have new arrests.

Defendants supervised by different pretrial programs had different profiles. Those in the Alternative Incarceration Centers were the youngest and faced the highest rate of drug charges, except the drug-specific programs. Those supervised by Bail Commissioners were older, had longer criminal careers, and a history of more convictions.

AIC programs had particularly high success rates with substance abuse offenders, compared to other programs which supervised large numbers. Bail contract programs also exhibited success with defendants facing serious charges.

Chronic and petty misdemeanor offenders were found to be responsible for many of the failures to appear and arrests for new crimes. The number of prior convictions was a more powerful predictor of failure to appear and new arrests than the number of felony convictions or the seriousness of the immediate charges. In addition, most of the new arrests were for misdemeanors.

Substantial short-term jail bed and cost savings have been accomplished by pretrial Alternative to Incarceration Programs.

These findings helped to guide the design of the present study.

3. Goals of Phase II: Evaluation of Sentencing Alternatives to Incarceration

This evaluation of sentencing alternatives was conducted to achieve the following goals:

To learn which categories of offenders commit new offenses or program violations, and what those offenses or violations are.

To describe the demographic and criminal justice characteristics of offenders who were sentenced to an alternative program, and to compare these characteristics among offenders sentenced to different types of alternatives.

To investigate differences in rates of new arrest, conviction, and program violation or violation of probation among offenders sentenced to different types of alternatives, and similar offenders who received sentences which involved incarceration.

To learn which types of conditions, and for which categories of offenders, are associated with the lowest rates of post-sentencing violations or new arrests or convictions.

To learn more about offenders' reactions to their sentencing experience, and their suggestions for improving sentencing effectiveness.

To provide a basis for estimating the incarceration bed-days saved by the correctional system through the use of sentencing alternatives.

C. Study Methodology

1. Description of Research Samples

To conduct this study of sentencing alternatives, several separate offender-based samples were drawn for comparative purposes. The goal was to cover most of the broad programmatic sanctioning options available in Connecticut for people who have been found guilty of moderately serious criminal offenses. "Moderately serious offenses" are defined here as those that are eligible for a prison or jail sentence under Connecticut's criminal statutes, but do not have mandatory prison sentences associated with the first conviction for the offense.³ The term also includes relatively minor present charges which follow a substantial history of criminal violations.

The primary sampling aim was to allow appropriate comparisons to be made between offenders given "alternative" sentences and those sentenced to incarceration. Information on the offenders in the four "alternative" samples and the three incarceration samples included personal and criminal justice characteristics which were obtained from multiple sources, as described in Appendix I of the Full Report.

"Alternative" Samples

TABLE 1

Type of Sentence	Number
Alternate Incarceration Program	651
Alternative to Incarceration Center	478
Day Incarceration Center	84
Intensive Supervision Drug Unit	166

Sample 1: Offenders sentenced under the Alternate Incarceration Program (AIP) statute (Public Act 89-383).

By law, Connecticut judges have the authority to refer pretrial and convicted offenders to an Alternate Incarceration Program (AIP). AIP sentences occur when the prosecutor indicates that the defendant can expect a sentence to incarceration, and agrees with defense counsel to have an assessment conducted by a Probation Officer. The judge in the case makes a referral to the Office of Adult Probation, which

³ Convictions for some offenses, such as homicide and first degree sexual assault, require a sentence to incarceration under state statutes. Others have mandatory prison sentences associated with the second or third conviction for the offense, such as some drug charges.

investigates the defendant for suitability for an AIP sentence. The investigating officer develops an AIP plan, specifying the conditions which should be part of the sentence, or advises the court that the defendant is inappropriate. After the assessment is provided to the court, the judge determines the sentence. AIP sentences also involve suspended periods of incarceration. AIP sentences generally include specific conditions which must be met; these are formally supervised by a Probation Officer assigned to the case. Among the most common conditions are a period of extra supervision at an Alternative to Incarceration Center (AIC), drug evaluation or treatment, and community service. Supervision at a Day Incarceration Center (DIC), intensive supervision, electronic monitoring, and orders not to contact particular people are among the other conditions.

This sample had 651 offenders: all of those who were sentenced for criminal behavior under the Alternate Incarceration Program (AIP) statute and who began serving their AIP term during calendar year 1992. The sample is based on all such offenders identifiable through the Office of Adult Probation's computerized Information System.

Sample 2: Offenders sentenced to an Alternative to Incarceration Center (AIC) without a formal AIP assessment.

Alternative to Incarceration Center (AIC) sentences occur when a judge sentences a defendant to a period of probation and includes a period at an AIC as a condition. This sentence can occur without a prior assessment by a Probation Officer. AIC programs are operated by private non-profit agencies in 17 sites across the state. Although the primary purpose of the AIC concept is to provide strict monitoring in the community for otherwise jailbound clients as an alternative to incarceration for periods up to 6 months, a variety of social services is also available. Staff assess client needs; monitor conditions set by the court; arrange for drug evaluation and urinalysis; and offer education and treatment services both in-house and by referral.

This sample had 115 offenders: 52 identified by the Office of Adult Probation's computerized Information System, and 63 identified by AIC staff as having started the program during 1992 as sentenced offenders without an AIP referral.⁴ However, 361 of the offenders sentenced under the AIP statute had an AIC as a major condition, as did 2 others, so analysis has focused on the 478 offenders who experienced an AIC as part of their sentence.

⁴ This constitutes 67% of the "Direct sentence AIC" clients reported to the Office of Alternative Sanctions as added during 1992, the sample year.

Sample 3: Offenders sentenced to Hartford's Day Incarceration Center (DIC) without a formal AIP assessment.

Day Incarceration Center (DIC) sentences occur when a judge sentences a defendant to a period of probation and includes a period at a DIC as a condition. This sentence, too, can occur without a prior assessment by a Probation Officer. There are currently two DIC programs operated by private non-profit agencies: one in Hartford and one in Bridgeport. In 1992, the Hartford DIC was the only one. The DICs are designed as community-based alternatives to jail or prison for somewhat more serious offenders than those intended for AICs. The DICs accept clients generally for periods up to four months. These centers are open seven days a week. Clients report to the DIC during the day and most are on electronic monitoring (a few are in transitional housing) at night, so they are under supervision 24 hours per day. DIC staff assess client needs; monitor court conditions; arrange for drug evaluation and urinalysis; and offer other education (including GED and pre-GED), job-related, and treatment services both in-house and by referral.

This sample had 51 offenders, identified by the program. However, 33 additional DIC clients were sentenced after an AIP assessment or AIC experience, so data were obtained for 84 DIC clients in total. Analysis has focused on the 84 offenders who had DIC supervision as part of their sentence.

Sample 4: Offenders in Hartford's Intensive Supervision Drug Unit (ISDU).

Intensive Supervision Drug Unit sentences occur after an assessment determines that an offender is "drug dependent". This means that the client uses drugs regularly, and his/her drug use was related to the present criminal behavior. Hartford's specialized unit was the first in the state, and began as the result of a grant in 1989. The unit operated under the concept of "zero tolerance". Clients are under close surveillance by Probation Officers who are expected to average four face-to-face contacts per month. At least two of these contacts occur as "field visits" to the client's home or neighborhood. Urine testing is expected to occur at every contact, and "dirty" urines have consequences. Many of these clients begin their sentence with up to 28 days of residential treatment. Through regular contacts, Probation Officers in the ISDU try to teach accountability. The Unit has accepted all cases referred under the drug treatment statute, Public Act 89-390. Under this statute, pretrial or sentenced drug users can be ordered into treatment programs after an assessment by staff from the state agency

with jurisdiction over these cases.⁵ Involvement in this program is by statute an alternative to incarceration.

This sample had 130 offenders, identified by the program's computer. However, 36 additional ISDU clients were sentenced after an AIP assessment, so data were obtained for 166 ISDU clients in total. Analysis has focused on the 166 who experienced this program.

Incarceration Samples

TABLE 2

Incarceration Sample	Number
DOC Comparison	582
Transitional Supervision	211
"Split" Sentence	227

Sample 5: Department of Correction (DOC) comparison group.

The first sample, the "comparison" sample, was designed to match the AIP sample as much as possible. Again, the two samples were matched on two characteristics: severity of the most serious criminal charge at conviction and sex. It would have been ideal to have matched the samples on type of crime, history of prior convictions, age, and offender race/ethnicity as well, but this was not possible. The primary ways in which the two groups are different are in age distribution and prior convictions.

This sample contained 582 offenders sentenced to incarceration during 1992, randomly selected by Department of Correction (DOC) researchers within proportional parameters established to match the AIP sample on sex and severity of the most serious charge at conviction.

Sample 6: Department of Correction transitional supervision group.

The "transitional supervision" sample was generated because this is a new policy under which offenders sentenced to incarceration for two years or less may be considered for release

⁵ In 1992, the period included in the study sample, the agency was the Connecticut Alcohol and Drug Abuse Commission (CADAC). Currently this function is part of the Department of Public Health and Addiction Services (DPHAS).

to community supervision sooner than those who are sentenced to over two years⁶.

This sample consisted of 211 offenders sentenced to incarceration and eligible for the new transitional supervision program effective July 1, 1993. The sample was randomly selected by DOC researchers from their Management Information System.

Sample 7: Offenders given "split" sentences.

The "split" sentence sample was also important to consider: past studies have shown that sentences split between incarceration and probation have often been used for more serious offenders. In addition, split sentences often have longer periods of both incarceration and probation. This sample was drawn randomly from offenders who had a year or less to serve before probation began.

This sample consisted of 227 criminal offenders sentenced in 1992 to serve one year or less of incarceration, followed by probation. This sample was randomly selected from a list generated from the Office of Adult Probation's Information System.

2. Format of Study Results

Information on the offenders in the four "alternative" samples and the three incarceration samples included personal and criminal justice characteristics which were obtained from multiple sources, and reported extensively in the report for the first year. In addition, the community and program experiences of the alternative samples were highlighted in the first year. In the second year, data collection focused more extensively on the community supervision and program experiences of offenders in the DOC samples, and were reported in more detail in the second year report. In the third year, recidivism data continued to be collected. In addition, interviews were conducted with alternative program staff and board members, and with representatives from the local agencies where clients perform community service.

⁶ The "transitional supervision" clients who are sentenced for two years or less can be considered for release after serving half of their sentence, minus credited ("good") time; others must serve half of their sentence without "good time" reductions. Eligible inmates must have an approved sponsor, and a verified, appropriate residential plan. Inmates released to transitional supervision are assigned to a Community Services Officer who monitors compliance with regulations and any special conditions contained in the case management plan. According to Department policy, "unless specified by the Community Services Administrator, all newly transferred inmates report for face-to-face contact with the Community Services Officer once a week. Individualized and group counseling services with special emphasis on substance abuse relapse prevention services are provided. The Community Services Officer monitors the progress of the inmate through these meetings and contacts with family, employers, community agencies, and review of the case management plan. This case management plan includes the utilization of contracted community services agencies for such services as employment, family counseling, and specialized mental health services." This program began in July, 1993. Since this program offers community supervision to offenders still under DOC authority, its clients are another good sample of sentencing options which include community programming.

The results of the third year are reported in four primary sections:

1) Summary of First and Second Year Results

The characteristics and outcomes of the AIP and other alternative samples are summarized and compared with those for offenders in the DOC comparison, transitional supervision, and split sentence samples.

Information on the relationship between incarceration experience and recidivism is summarized.

Information on the relationship between the type of release from incarceration and recidivism is summarized.

2) Incarceration Samples

Data on the types of release for the offenders in the DOC comparison sample are provided, and the reasons for return to incarceration before the sentence was completed are analyzed, as appropriate.

Data on the probation experience for offenders in the DOC comparison sample and the split sentence sample are analyzed.

3) Alternative Sentence Samples

The characteristics of probation clients who had formal violation of probation charges reviewed are described and compared with those for whom no violations were filed. Numbers and characteristics are compared for each of the alternative samples in turn.

The termination status of probation clients whose sentence has ended (either "satisfactorily" or "unsatisfactorily") is described for each sample. Characteristics of those who completed probation satisfactorily are analyzed and compared.

4) Recidivism: New Arrests

The incidence and rates of arrests on new charges are described and compared for the AIP and DOC comparison samples. Characteristics of those who remain "arrest-free" are also described and compared for these samples.

The incidence and rates of arrests on new charges and of convictions on those charges are described for the other "alternative" samples and DOC transitional and split sentence samples.

III. Summary of First and Second Year Results

- A. Demographic Characteristics
 - B. Criminal Justice Characteristics
 - C. New Arrests
-

A. Demographic Characteristics

The Alternative Samples

Demographic characteristics of the AIP sample are presented as part of the table in Appendix 1, along with comparative data for those who were given all other sentences. In general, AIP clients are young, single males, with less than a high school education who are members of racial/ethnic minority groups. Comparison with the three other alternative sentence groups shows that the direct DIC and AIC clients are youngest, and those in the ISDU are significantly older and more likely to be married and have children. The two Hartford-based programs (DIC and ISDU) have higher proportions of racial/ethnic minority clients.

The Incarceration Samples

In general, the offenders in the incarceration samples are young, racial/ ethnic minority males who have not graduated from high school. They are primarily single, have no dependent children, and have a strong likelihood of drug and/or alcohol problems. In most of these ways, they are quite similar to the offenders in the alternative samples, with a few exceptions. Those who are given "split" sentences are more likely to be Caucasian than most of the other groups, and the incarcerated populations are older than the "alternative" offenders, with the exception of the ISDU clients. "Split" sentence offenders are also more likely to have graduated from high school than offenders in any of the other groups.

B. Criminal Justice Characteristics

The Alternative Samples

Most of the AIP clients are convicted of felony drug or violent crimes. Many have prior convictions, including felony convictions, and prior probation sentences, although this is the first arrest of record for many others. The AIP clients are convicted of more serious crimes than those who received the other alternative sentences, but have fewer prior convictions and shorter criminal histories than the direct AIC and ISDU clients. DIC clients are the youngest, are convicted of the most serious crimes, and have the shortest criminal histories, while ISDU clients are the oldest and have the longest criminal histories.

Clients in all alternative programs have drug and alcohol problems at substantial rates; this is most true of ISDU clients and least true of the youngest, the DIC clients. Drug and alcohol problems also distinguish among types of crime and the clients who have committed them. Caucasians are most likely to have alcohol problems and commit violent crimes, while African-Americans and Latinos are more likely to have drug problems and be convicted of drug offenses. Drug and alcohol problems are reflected in probation conditions: drug treatment and monitoring are among the most common, along with employment and education or training.

The Incarceration Samples

Most of the DOC comparison sample are convicted of felony drug or violent crimes. The majority have prior convictions, including felony convictions. Most have been sentenced to probation in the past; and most have official records of criminal activity going back at least two years. Most also were incarcerated during the pretrial period.

Offenders in the comparison sample are convicted of more serious crimes than the other incarceration samples, but are matched nearly exactly on this dimension with the AIP sample. It was hoped that the DOC comparison group would be matched with the AIP sample on characteristics of most serious charge at conviction, gender, number of prior convictions, age and race/ethnicity, but this was not possible. The matched sample in the study was virtually identical with regard to charge severity and gender. It is not, therefore, representative of the incarcerated population as a whole. For example, the incarcerated population as a whole includes offenders who were not eligible for alternative sentences by statute and therefore were not eligible for inclusion in the DOC comparison sample: e.g., those convicted of the most serious violent felonies and those whose record of felony convictions required them to be incarcerated. In addition, the DOC population includes offenders with long criminal records who were convicted of misdemeanors. Misdemeanants were underrepresented in the comparison sample (relative to the total DOC population) due to the match based on offense severity.

The DOC comparison sample is also much more prominently composed of offenders convicted of drug and violent crimes than the other incarceration samples, and is again more similar to the AIP and other alternative samples in this way. The comparison group is more likely than the AIP to be older, have prior convictions, previous involvement with probation, and pretrial incarceration experience.

C. New Arrests

The Alternative Samples After Two Years

Less than half of AIP and AIC clients had new arrests recorded during the two years after their sentence began. In general, the younger the client, the more likely s/he was to have been arrested again within two years. This held true across programs, and remained a strong predictor even when such other factors as the type and severity of charges at conviction and criminal history were controlled. In addition, records show that 31% of AIC clients had no program violations of any kind, including the most minor. Half or less of the clients in any of the programs except the DIC had formal probation violations recorded; 69% of the DIC clients had formal violations recorded by the end of data collection for the second year.

The Incarceration Samples After Two Years⁷

General comparisons, and most comparisons aimed at specific sub-populations, found that the DOC comparison group offenders were less likely to have new arrests recorded within two years of their release from incarceration than those who received split sentences. They were also substantially less likely to have new arrests within one year of their release than either the split sentence or transitional supervision samples.

Among the notable associations with new arrests found for the comparison sample were the strong relationships with disciplinary incidents within the institutions: those who "got in trouble" while incarcerated were significantly more likely to be arrested again on new charges. In addition, it was striking to learn that women who were released from incarceration were more likely than the men to be arrested again within two years.

Analyses that examined several factors at once found that, for the DOC sample, as for the AIP clients, young age and number of prior convictions were the most significant predictors even when the other factors were controlled. However, in every comparison, the AIP clients had significantly lower rates of new arrests recorded within two years⁸ than either incarceration sample.

⁷ Two year recidivism data were reported only for the DOC comparison and the split sentence samples. The transitional supervision group, having been sentenced later, had not been released long enough in sufficient numbers at the point of final data collection to yield meaningful analysis for this time period. Only first year data were reported for them. It is also important to note that, because of the timing of their release, second year recidivism data were available for only 51% of the comparison group for the second year's report of this study.

⁸ For the AIP sample, again, recidivism was measured from the point at which they were sentenced. For each group, the comparison is marked by the point in their sentence at which they had an opportunity to commit and/or be arrested for new crimes.

IV. Third Year Findings: Release to the Community

- A. The Incarceration Samples
 - 1. Release from Incarceration
 - 2. Return to Incarceration Before End of Sentence
 - a. Department of Correction Comparison Sample
 - b. The Split Sentence Sample
 - 3. Probation Experience
 - a. The Department of Correction Comparison Sample
 - b. The Split Sentence Sample

 - B. The Alternative Sentence Samples
 - 1. The Probation Experience
 - a. Violations of Probation
 - b. Status at Probation Termination
 - 2. Close-Up: AICs & DICs in the Community
-

A. The Incarceration Samples

1. Release from Incarceration

Nearly all of the people who are given prison sentences ultimately return to the community. It is possible to be released from a correctional institution in several ways, depending on behavior during incarceration, the amount of the sentence remaining, and the institution's assessment of the individual's needs and risk to the community.

Two of the DOC samples were defined by the type of community supervision the individual offender would receive following release. The split sentence sample would ultimately serve a period of probation. However, individuals could receive supervision under DOC authority before moving on to probation. In fact, data provided in the study's second year report showed that 37% of them were released to Supervised Home Release (SHR) supervision⁹ before they went on to probation, while nearly all the rest were only released when their DOC sentence was completed.

The ways in which the offenders in the DOC comparison sample were released are shown in Table 3.¹⁰

TABLE 3
The DOC Comparison Sample
Type of Release from Incarceration
(in percent)

Type of Release	Percent	Number
Halfway House	8%	42
Transitional Supervision	1	3
Supervised Home Release	63	327
Sentence Served	21	109
Parole	7	38
Court Order	1	4
TOTAL	101%	523

⁹ SHR was begun in 1984, and operated much like traditional parole programs. Supervision was provided by the DOC and participants reported to their community officers, underwent substance abuse or mental health counseling, and were available for home visits. Electronic surveillance was used for selected high risk offenders. SHR releases were eliminated on July 1, 1993, so there are only a small number of these clients remaining on Community Services caseloads.

¹⁰ Selected demographic and criminal justice data which compares offenders who were released to a halfway house, parole, SHR, or with their sentence already served are provided in Appendix 2.

As the table shows, most of the offenders in the DOC comparison sample were released to the community before they had completely served their prison sentence. This is an important consideration for recidivism: most of the offenders in this sample received some additional supervision after they were released. In fact, 78% were released to some form of further supervision in the community. Further analysis indicated that, while women were more likely to be released to halfway house supervision than men were (14% compared to 7%), the minor differences found were not statistically significant. Drug offenders were more likely than others to be released to halfway houses or parole, the most intensive types of supervision.

2. Return to Incarceration Before End of Sentence

While offenders receive community supervision under DOC authority, they are still serving their prison sentence; they are simply serving it outside the prison environment. They can therefore be returned to incarceration for several reasons, at the discretion of the monitoring agency. When they are returned, they continue to serve their original prison sentence. If individuals are arrested for new criminal behavior, they can be returned for "new charges." If they violate conditions of their release, or cause serious trouble for the person providing supervision, they can be returned for "technical violations." The most common technical violations are: evidence of drug or alcohol use determined by urinalysis; failure to report for supervisory appointments; and failure to comply with treatment conditions.¹¹

In addition, offenders can be returned to incarceration (once they are found) because they "escaped" or "absconded". Offenders are usually found rather quickly. They can be returned because they were convicted on separate charges, and are sent back to complete their original sentence and begin serving the new one. They can also be returned because their supervisor sees signs of likely trouble (such as drinking or association with people in trouble) and sends them back as "relapse prevention." Finally, they can be returned with "no prejudice" when it becomes apparent that the individual is simply not quite ready to manage life in the community successfully.

a. DOC Comparison Sample

Of the 410 offenders in the DOC comparison sample who were released with some form of community supervision, 153 (37%) were returned to incarceration before their sentence was completed. The reasons for their return are shown in Table 4.

¹¹ Detailed data on types of violations were provided in the second year's report of this study.

TABLE 4
DOC Comparison Sample
Reason for Return to Prison Following Release¹²
(in percent)

Reason for Return	Percent	Number
New Charges	43%	66
Technical Violation	31	48
Abscond/Escape	16	25
New Sentence	2	3
Relapse Prevention	3	5
No Prejudice	4	6
TOTAL	99%¹³	153

The table shows clearly that "new charges" were the most common reason for these offenders' return to incarceration, but that accounted for less than half of the returns. When new charges are combined with escapes, however, they account for nearly three of every five returns.

Analysis found that the type of community supervision was associated with the likelihood of return, and its reason. 38% of offenders released to a halfway house or to SHR were returned to incarceration before completing their sentence, while just 29% of those released to parole had been returned at the time data were collected.¹⁴ Table 5 shows the reasons that offenders in each of these three types of supervision were returned to incarceration.

¹² For Offenders returned to incarceration while still serving sentence for study incident only.

¹³ Percentages do not total 100 due to rounding.

¹⁴ These data were collected in March, 1996.

TABLE 5
DOC Comparison Sample
Reason for Return to Incarceration by Type of Release
(In percent)

Reason for Return	Type of Release		
	Halfway House	SHR	Parole
New Charges	--	48%	55%
Technical Violation	69%	26	45
Abscond/Escape	19	16	--
New Sentence	--	2	--
Relapse Prevention	--	4	--
No Prejudice	13	3	--
TOTAL %	101	99	100
(N)	(16)	(124)	(11)

The table suggests that halfway house supervision, the most extensive, offers an opportunity to identify problems before they lead to new criminal behavior. The most common violations (as provided in the report of the second year of this study) were non-compliance with house rules, evidence of drugs in urine, and insubordination. Nearly half of these violations first occurred within the first month at the halfway house.

SHR and parole clients were much more likely to be returned to incarceration because of new criminal charges. About half of all returns in these two groups were due to new arrests. All of the rest of the returned parolees, however, were sent back with technical violations. Drugs in urine and failure to report to the parole officer were the two primary technical violations; over half of all such violations occurred within the first month of parole supervision.

Table 6 shows the length of time offenders were in the community before they were returned to incarceration.

TABLE 6
DOC Comparison Sample
Time Out Until Return by Reason for Return
(In percent)

Time in Community Before Return	Reason for Return			Total DOC Sample
	New Charges	Technical Violation	Abscond/Escape	
Up to one month	9%	13%	8%	10%
One - three months	21	29	--	21
Three - six months	27	33	20	27
Six - twelve months	33	25	36	31
Over twelve months	9	--	36	11
TOTAL	99	100	100	100

The table provides additional evidence of the pattern described previously: clients who are returned because of technical violations tend to be identified earlier. In contrast, 42% of those who were returned with new charges and 72% of those who escaped, did so after six months or more in the community.

Additional analyses revealed some significant patterns related to reasons for offenders' return to incarceration before their sentence had been completely served. First, of those who were returned, women were less likely than the men to be returned with new charges (38% were, compared to 44% of the men), and more likely to have escaped (25% vs. 14%). Second, public order offenders were substantially less likely than other types of offenders to be returned because of new charges, as shown in Table 7. Instead, public order offenders were significantly more likely than the others to be returned with technical violations. They were also more likely than the others to be returned for relapse prevention, or without prejudice (included in the "all others" category in the table). This group, then, stands out from the others: they were particularly likely to engage in non-compliance with conditions without breaking criminal law, and/or their behavior was sufficiently troublesome that they were violated before it escalated into crime.

TABLE 7
DOC Comparison Sample
Reason for Return to Incarceration by Type of Original Offense
(in percent)

Reason for Return	Crime Against Persons	Drug Crime	Property Crime	Public Order Crime
New Charges	41%	46%	55%	11%
Technical Violation	36%	29%	18%	56%
Escape/Abscond	18%	16%	9%	11%
All Others	5%	9%	18%	22%

Analysis not shown also indicated no significant differences in patterns of reasons for return to incarceration by race/ethnicity, although of those returned, Caucasians were the most likely to be returned because of new charges (52%, compared to 42% of returned African Americans and 39% of returned Latinos), and least likely to be returned because of escaping (10% vs. 16% of returned African Americans and 19% of returned Latinos).

In keeping with other findings in this study, the youngest offenders were most likely to be returned because of new charges, as shown in Table 8.

TABLE 8
DOC Comparison Sample
Reason for Return to Incarceration by Age of Offender
(in percent)

Reason for Return	Under 18	18 - 20	21 - 25	26 - 30	31 - 40
New Charges	63%	48%	40%	43%	35%
Technical Violation	25%	30%	33%	38%	27%
Escape/Abscond	13%	15%	17%	14%	19%
All Others	---	7%	10%	5%	19%

The table shows that 63% of the offenders under 18 and 48% of those age 18-20 who were returned before completing their original sentence were returned because of new charges, not because of technical violations or because of an identified need for prevention of trouble.

b. The Split Sentence Sample

Just 38% of the split sentence sample was released to SHR before completing the incarceration portion of their sentence.¹⁵ The remainder were released after serving their entire sentence. Ultimately, 72% of those released to SHR completed it successfully. Nearly three-fourths of those who were returned to incarceration had been arrested on new charges.

3. Probation Experience¹⁶

Offenders in both the split sentence and DOC comparison samples had experience with probation. A split sentence includes probation by definition, and nearly 41% of the DOC comparison sample's sentences also included probation. Of the people in this sample who had been released at the time of the last data collection, 37% had started probation.

a. The DOC Comparison Sample

At the time of data collection, 82% of those whose original sentence included probation had actually started serving it. Over all, records¹⁷ showed that 10% had started probation the same day they were released from DOC custody, an additional 9% started within 3 months, and 11% had started between 3 and 6 months. 49% started more than a year after their release. Of course, their status at release from DOC custody strongly affected how quickly they reached probation: 62% of those released with their "sentence served" started probation the same day. 73% of these clients were first released to SHR, just 15% were released with sentence served, and 9% were released to a halfway house. Of those released to SHR, 52% started probation more than a year following their release from custody, as were 94% of those who were first released to a halfway house.

Since these clients arrived at probation later in the study, data on violations and termination are still somewhat questionable. As of March, 1996, just 30% of this sample had any record of formal violations of protocol (VOPs) recorded. However, of those, 19% were for new felony convictions, 51% were for

¹⁵ The second year report of this study provides these data in detail.

¹⁶ The split sentence and DOC comparison samples are very different groups. The "splits" were drawn randomly from those who were given sentences of a year or less to serve, followed by probation. The comparison sample was matched on sex and severity of high charge at conviction with the AIP sample. Therefore, these two groups' probation experience is discussed separately. 218 of the "splits" reached probation, and 197 of the comparison sample.

¹⁷ It is important to remember here that the "probation start date" anticipated at sentencing may not be changed in the records and may therefore not reflect the "reality" of probation activity, although every effort was made to determine the "real" starting date from Probation Officers' notes in their records.

deliberate non-compliance, and 22% were for absconding--all violations considered to be more serious. In addition, 17% of those with violations committed them within the first 3 months of probation; 27% did so within the first 6 months.

65 (34% of those who had started) of these clients had been terminated from probation: 48% of them "satisfactorily." The following relationships with satisfactory termination from probation (for those terminated) have been found:

Of those terminated, women were less likely to be "satisfactory": 33%, compared to 49% of the men.

The youngest were least likely to be terminated satisfactorily: just 20% of those under 18 and 18% of those 18-20 were, compared to 58% of those 21-25, 61% of those 26-30, and 53% of those in their 30's.

Caucasians were significantly more likely to be terminated satisfactorily: 78% were, compared to 42% of Latinos and 27% of African Americans.

Offenders originally convicted of violent or public order crimes did the best: 67% of each were terminated satisfactorily, compared to 38% of the drug offenders. The one property offender who had been terminated by the time of last data collection was "unsatisfactory."

There was no consistent relationship found with number of prior convictions. 48% of those with no priors and 64% of those with one were terminated satisfactorily, compared to 25% of those with 2-5 priors, half of those with 6-10, and 67% of those with 11-20.

Those who went directly from custody to probation have been most likely to be satisfactorily terminated, at this point: 60% of those who started the same day, 50% who started within a month, but 27% of those who started more than a year after their release.

The type of release was also related to termination status: 60% of those initially released to a halfway house or with their sentence served received satisfactory termination, compared to 41% of those who were first released to SHR.

b. The Split Sentence Sample

Split sentence includes probation by definition. Over half (55%) of this sample was released from DOC custody with their sentence served. Many in the sample, then, actually reached probation immediately. According to probation records, 33% started probation the same day they were released, and another 14% started within a month of release (18% started between 1 and 3 months

following release, and 18% started 3 to 6 months later).¹⁸ Of course, 38% of this sample was released from custody to SHR, for a period of supervision before moving to the jurisdiction of the Office of Adult Probation (OAP).

At the time of last data collection, 45% of the clients in this sample had at least one formal violation recorded.¹⁹ 14% of these violations were for "new felony conviction," 52% were for "deliberate non-compliance," 17% were for absconding, 8% for new misdemeanor conviction, and the remainder were for involuntary non-compliance or non-specified reasons.

When data were last collected, 71% of this sample had been terminated from their probation sentence: 50% satisfactorily, 47% unsatisfactorily, and 3% had been transferred.²⁰ 51% of those who had been terminated had at least one formal violation of probation recorded. Analysis showed the following relationships with satisfactory termination at this point:

Women were less likely to have been terminated satisfactorily: 42% were, compared to 51% of terminated men.

The youngest were least likely to have been terminated satisfactorily: just 30% of those under age 18 were, compared to 39% of those age 18-20, half of those in their twenties, and nearly 60% of those in their thirties.

Severity of high charge at conviction was significant: those convicted of felonies were less likely to be successful (46%, compared to 56% of those convicted of misdemeanors).

The type of charge at conviction showed some relationship: 30% of property offenders and 41% of drug offenders, but 58% of violent offenders and 59% of public order offenders who were finished had been terminated from probation satisfactorily.

Clients who had no prior convictions were more likely to be successful: 61%, compared to 41% of those with one prior.

Those who started probation the same day they were released from DOC custody and those who started within a month of release were somewhat less likely to be successful: less than half were, compared to 54% and 100% of those who started 1-3 and 3-6 months following release, respectively.

¹⁸ It is likely that a higher percentage started probation directly. "Probation start" dates are entered into probation data records when the sentence indicates probation should begin. Because of "good time" considerations, individuals may be released sooner and actually start reporting to a Probation Officer and the "start date" in the record may not be changed to reflect this.

¹⁹ More detailed analysis of violations and their relationships were provided in the second year report for this study.

²⁰ It is important to remember that this still reflects only a portion of the sample, and should be viewed with caution. The earliest to terminate, of course, were those who had the shortest probation sentences and those who violated.

Those who were released from incarceration with their sentences served did somewhat better than those who were released to SHR: 51% vs. 46% satisfactory termination.

B. The Alternative Sentence Samples

1. The Probation Experience²¹

Sentences to probation involve compliance with court-ordered conditions, a cooperative relationship with a Probation Officer, and avoidance of additional illegal behavior. As described in the first year's report, most of the probation clients involved in the "alternative" programs included in this study had several conditions attached to their sentences. The number of conditions ranged up to 22 among AIP clients, for example; 77% of them had six or more.

a. Violations of Probation²²

Up to 4 years after having been sentenced, and three years of collecting data on their probation experience, most of the offenders in the "alternative" samples who were going to have formal violations of probation filed, have done so. The data in Table 9 represent only small increases from the second year report in the numbers in each sample with violations.

²¹ Program and informal violation experiences for offenders in these samples were described in detail in the first year's report, and are not repeated here. This discussion focuses first on formal violations of probation, and second on factors associated with termination status for those who were terminated.

²² There are several types of formal VOP recorded. Those considered most serious are new felony convictions, absconding (disappearance), and "deliberate non-compliance." Deliberate non-compliance involves flagrant lack of cooperation with the Probation Officer (PO). This usually involves a refusal to carry out court-ordered conditions of the sentence. It can also involve repeated refusal to cooperate with the PO. More minor or less frequent lack of cooperation is more commonly labeled in the more minor category "agency/PO", along with new misdemeanor convictions and "involuntary non-compliance."

TABLE 9
Type of First VOP: Alternative Program Clients
(Those with Violations Only)
(In Percent)

Type of Violation	AIP	AIC	DIC	ISDU
New Felony Conviction	12%	11%	25%	11%
Deliberate Non-compliance	79	78	73	74
Absconder	4	5	--	2
New Misdemeanor Conviction	1	2	2	1
Involuntary Non-compliance	*	*	--	1
Agency/P.O.	3	3	--	10
TOTAL %	99	99	100	99
(N)	(306)	(212)	(60)	(88)

TYPE OF VOP

The table shows clearly that deliberate non-compliance remains the primary type of formal violation filed. The table also shows that, of those who violated, DIC clients were most likely to have new convictions on felony charges. However, they did not abscond. These data are probably a reflection of the greater youth of this sample. In data not shown in any table, the DIC clients were also most likely to have formal violations of any kind: 71% did, compared to 47% of the AIP clients, 44% of the AIC sample, and 53% of the ISDU program clients.²³

Associations with "New Felony Convictions" VOPs

Separate analyses were conducted in an effort to identify the factors associated with new felony conviction VOPs, among those who had any VOPs recorded.

AIP

Drug and public order offenders were significantly more likely to have new felony conviction VOPs: 17% and 16%, respectively, compared to 9% of those convicted of a

²³ Differences in the proportion of program clients who received formal violations of probation were statistically significant at $p < .00001$.

violent offense, and 2% of property offenders.

Women violators were significantly less likely to have new felony convictions than their male counterparts (9% vs. 13%), and more likely to be violated for "deliberate non-compliance" (87% compared to 78%).

Violating clients under 21 were most likely to have new felony convictions as the reason for their violation: 17%, compared to less than 10% of their older counterparts.

AIC

Among violators, drug offenders were significantly more likely to be violated because of new felony convictions: 18% were, compared to 8% of public order, 7% of "violent," and 3% of property offenders.

Women violators were significantly less likely to have new felony convictions as the reason: 3%, compared to 13% of the men.

14% of violators under 18, and 17% of those age 18-20 had new felony convictions as the reason, compared to 8% of those in their 20's and 9% of those in their 30's.

DIC

Of the violators, a full 42% of the drug offenders were violated for new felony convictions, compared to 17% of property offenders and 12% of violent offenders.

17% of the female violators and 26% of the males were written up for new felony convictions.

44% of the violators between 18 and 20 had new felony convictions as the reason, compared to under 20% for all the other age categories.

ISDU

Violent (22%) and public order offenders (17%) were most likely to be violated for new felonies, while drug (10%) and property offenders (0%) were less likely.

Among violators, women and men were equally likely to have new felonies as the reason (11%), but women were significantly less likely to be violated for "deliberate non-compliance" (44% compared to 77%).

60% of violators under age 18 were violated for new felonies, compared to 17% of those age 21-25 and less than 10% of every other age category.

Timing of VOPS

Data on timing of VOPs provided in the second year report indicated that first formal probation violations were more likely to occur after six months had elapsed than in the earlier periods, except for DIC clients. They were more likely to violate sooner. However, DIC program experience lasts just four months. If that is taken as the cut-off time, then DIC clients who violated were about as likely to violate during the program as afterward, and a majority of these clients had no VOPs while they were active in the program (i.e. about 37% had VOPs during their DIC participation). For AIC clients, with six months or longer of program involvement, 83% had no VOPs during the period they were most active in the program.

AIP The clients sentenced under the Alternate to Incarceration Program statute then had a violation rate of 47% as of March, 1996. Analysis of VOPs for the AIP sample showed the following patterns:

The youngest were most likely to have violations: 57% of those under 18, 52% of those 18-20, 48% of those in their 20's, and less than 40% of the rest.

Men were only slightly more likely to have VOPs: 48% compared to 43% of women.

People convicted of public order crimes were most likely to have VOPs (52%), while the rest fell between 46% and 48%.

Caucasians were least likely to have any formal VOPs: 38% did, compared to 54% of the African Americans and 52% of the Latinos.

People convicted of felonies were less likely to have VOP's: 46% did, compared to 53% of misdemeanants.

Previous VOPs were related to VOPs in the present probationary period: 46% of those with no VOP history had current violations, compared to 58% of those with one prior VOP and 56% of those with two or more.

AIP clients who had AIC supervision as one of their conditions were somewhat less likely to have VOP's: 46% vs. 49%.

AIC²⁴

As already indicated, just 44% of AIC clients had any formal VOPs filed related to the sentence that brought them into the study. The following relationships with VOP were found:

Men were more likely than women to have a VOP: 46% vs. 35%.

African Americans and Latinos were significantly more likely to have violations: 51% and 48%, respectively, compared to 38% of Caucasians.

Drug offenders were least likely to have VOPs: 42% did, compared to 45% of property, 47% of "violent," and 48% of public order offenders.

People who had a history of VOPs were more likely to have one related to this sentence: 44% of those with no VOP history, 52% with one prior VOP, and 60% of those with two or more.

Clients convicted of felonies were less likely to have VOPs: 44% did, compared to 50% of misdemeanants.

DIC. Over all, 71% of DIC clients had a VOP recorded by the end of data collection. The following relationships were found for VOPs by DIC clients:

Men were significantly more likely than women to have a VOP: 75% did, compared to 50% of women.

African Americans and Latinos were somewhat more likely than Caucasians: 74% and 71%, respectively, compared to 63%.

Drug offenders were most likely to have a VOP: 81% did, compared to 75% of property, 71% of violent, and 42% of public order offenders.

The clients under age 18 had the highest rates of VOP (84%); this contrasted with 64% of those 18-20, 80% of those 21-25, 67% of those 26-30, and 40% of those in their 30's.

Again, a prior history of VOPs had some relationship: 70% of those with no prior VOPs had one this time, compared to 77% of those with one and 100% of those with two or more.

²⁴ Data on AIC program violations and their relationship with VOPs were provided in the second year report.

ISDU In all, 53% of ISDU clients had at least one VOP on record for the study incident by the end of data collection. The following relationships were found, although some of them were not significant statistically because of the small numbers involved.

Women were less likely to have a VOP than were men: 45% compared to 54%.

Caucasians were somewhat less likely to have a VOP than African Americans and Latinos: 48%, compared to 56% for African Americans and 54% for Latinos.

Public order offenders were least likely to have a VOP: 40% did, compared to 50% of drug offenders, 56% of violent offenders, and 78% of property offenders.

Here, too, the clients under age 18 had the highest rates of VOP (71%); this contrasted with 60% of those who were 18-20, just over 50% for those in their 20's, 58% for those in their 30's and 13% for those over 40.

Unlike the other "alternative" programs, convicted felons in the ISDU had higher rates of VOP than did misdemeanants: 56% compared to 46%.

A history of VOPs was associated with VOPs for this sentence: 50% of those with no prior VOPs had one this time, compared to 71% of those with one and 73% of those with two or more.

b. Status at Probation Termination²⁵

A probation client is terminated "satisfactorily" after having completed the end of the probation sentence. Those who are terminated "unsatisfactorily" generally have a formal VOP filed, an arrest, and conviction on the VOP charge. Their sentence may be to end probation; this may be accompanied by a requirement that they serve some of the original sentence to incarceration which had been suspended. It is also possible that a person may be terminated unsatisfactorily after being sentenced to incarceration on a charge in another incident, without a formal VOP charge.

²⁵ It is important to remember throughout this brief overview of program clients who had been terminated from probation that the clients who had been terminated by the end of this year's data collection either had shorter probation sentences to begin with, or were violated and then terminated "unsatisfactorily." This means that with another year of data collection, the percentage of clients who were "satisfactorily" terminated would be expected to increase for most, if not all, programs.

AIP Clients: Termination Experience. As of March, 1996, 78% of the AIP clients had been terminated from probation. Over all, **53% of these AIP clients ended probation satisfactorily.** The following factors were found to be related to satisfactory termination:

Clients who had a court-ordered AIC condition: 56% were satisfactorily terminated, compared to 50% of those without an AIC condition.

Women were more likely than men to be satisfactorily terminated: 60% were, compared to 52% of men.

Caucasians were more likely to be satisfactorily terminated: 62% were, compared to 51% of Latinos and 47% of African Americans.

Clients age 30 and older were most likely to be satisfactorily terminated: 66% or more were, compared to 51% of those under 18, 48% of those 18-20, 50% of 21-25, and 49% of 26-30.

Prior convictions had an inconsistent relationship with satisfactory termination: 57% of those who had no priors, 56% of those with one, 41% of those with 2 or 3, but 59% of those with 4 or 5, and more than 45% of those with 6 or more priors were terminated satisfactorily.

AIC Clients: Termination Experience. By the end of data collection, 78% of the AIC clients had ended probation. Over all, 56% ended probation satisfactorily. The following factors were found to be related to satisfactory termination at this stage of data collection:

Women were significantly more likely than men to end satisfactorily: 69% did, compared to 53% of the men.

Caucasians were significantly more likely to terminate satisfactorily: 63% did, compared to 53% of Latinos and 48% of African Americans.

Property offenders were most likely to be terminated satisfactorily: 59% were, compared to 57% of drug, 55% of personal crime, and 47% of public order offenders.

Clients age 30 and older were most likely to be terminated satisfactorily: 66% were, compared to 52% of those under 18, 52% of those 18-20, 56% of those 21-25, and 48% of those 26-30.

Although the relationship was not perfect, clients with a history of fewer prior convictions were more likely to be terminated satisfactorily: 58% of those with no priors, 54% of those with 1-5, 48% of those with 6-10 priors, and 57% of those with more than 10 prior convictions.

Clients who had no previous history of VOPs were significantly more likely to be terminated satisfactorily: 57% of those with no prior VOPs were, compared to 40% who had one or more.

Clients who were also on intensive supervision probation were somewhat more likely to be terminated satisfactorily: 59% were, compared to 55% of those who were not on intensive.

DIC Clients: Termination Status. 90% of the DIC clients had ended probation by the time of last data collection. Just 21% of them ended satisfactorily. Because of the relatively small number of DIC clients (84), and the small number who had ended satisfactorily, only a few of the relationships with "success" were significant statistically. However, the relationships that were suggestive follow:

40% of the women and 18% of the men were terminated satisfactorily.

Clients age 18-20 did best: 33% were terminated satisfactorily, compared to 9% of those under 18, 20% of those 21-25, and none (out of 10) age 26-30. [p < .009]

40% of Caucasians, 20% of African Americans, and 19% of Latinos were terminated satisfactorily.

Clients convicted of felonies did better than those convicted of misdemeanors (24% vs. 8%, and those convicted of a class D felony did best of all: 41% were terminated satisfactorily.

Clients convicted of violent crimes did best: 27% were terminated satisfactorily, compared to 25% of public order, 18% of drug, and 14% of property offenders.

A history of prior convictions was significantly related: 33% of those with none, 17% of those with one, 11% of those with 2-3 and none (out of 14) of those with more than three prior convictions were terminated satisfactorily.

A history of previous VOPs was also significant statistically: 26% of those with none and none (out of 15) of those with any history were terminated satisfactorily.

Clients who also had AIC conditions were more likely to be terminated satisfactorily: 35% were, compared to 16% of those with no AIC condition. This relationship was nearly significant statistically ($p < .08$).

ISDU Clients: Termination Status. 73% of the ISDU clients had ended probation by the time data were last collected. 34% of them ended satisfactorily. The following factors were found to be related to satisfactory termination at this stage of data collection:

Women were more likely than men to end probation satisfactorily: 56% vs. 31%.

Caucasians were more likely to end satisfactorily: 50% did, compared to 28% of Latinos and 29% of African Americans.

Public order offenders were significantly more likely to end probation satisfactorily: 47% did, compared to 40% of violent offenders, 33% of drug offenders, and 10% of those convicted of property crimes.²⁶

Clients age 41-60 were most likely to be terminated satisfactorily. 71% were, compared to 20% of those under 18, 11% of those age 18-20, 38% of those 21-25, 31% of those 26-30, and 36% of those age 31-40.

Clients convicted of misdemeanors were more likely to be terminated satisfactorily: 45% were, compared to 32% of felons.

Summary of Probation Termination. Although it is still too early to analyze fully the factors associated with a "satisfactory" probation experience, some patterns are apparent in these early data. Across programs, women, older probationers, those with less than two prior convictions, and Caucasians have tended to do better than their counterparts. Other important factors have varied more from one program to the next.

²⁶ It is important to remember that those who have terminated are those who started with shorter probation terms or who committed violations earlier in their sentence. Drug offenders are the largest single group in this sample, and they tended to have longer sentences. In other programs, the drug offenders who violated tended to do so earlier than others.

2. Close-Up: AICs & DICs in the Community

To learn more about the ways AIC and DIC programs and their clients relate to the communities where they are located, interviews were conducted by telephone with:

Community Organizations

72 representatives of organizations where program clients perform community service

Boards of Directors

12 members of boards of directors of these organizations

Staff

17 program directors or community service supervisors

Responses to each set of interviews are briefly summarized in turn.²⁷ All three sources emphasized that the extent and quality of supervision is key to the success of these programs.

Community Organizations

Open-ended responses to questions were coded, and frequencies were obtained. Some community organization representatives who took part in the interviews had been involved with their local AIC/DIC for up to ten years; however, 60% said they had been involved for two years or less. 90% reported that their experience with the alternative program had been positive; most of these commented that community service had been particularly helpful to their own program. 81% reported that they had had no problems with AIC/DIC clients. 93% stated that they had always been satisfied with the job performed by the program clients (although 5% said they were only "sometimes" satisfied). 38% indicated that the AIC/DIC had a positive cost or fiscal impact on their program. When they were asked to give examples, 25% said the clients' work saved the program money directly; 17% spoke of free labor; 36% said the work increased time available to staff for other endeavors; and 22% talked about savings in both time and money.

Work Performed

Most of the program representatives said that AIC/DIC clients helped with some form of manual labor: cleaning, moving furniture or other heavy objects, loading, or maintenance. Two of the most common working environments were parks and agencies which provide food and other necessities to the poor. Special events around holiday periods were cited as a time when clients were of particular use. Just four respondents described the clients as performing primarily office work. The following excerpts describe the work performed:

²⁷ Copies of the questions used to guide each of these interviews are found in Appendix C.

"They cleaned up after a flood which devastated _____. They helped mop and repaint the walls. They also work at our camp during the summer, and help rake and prepare it so it can open on time."

"They helped process donation clothes. They sorted and graded clothes on whether they could be sold or not; they changed the departments of the store and ticketed clothes so they could be put on the selling floor. They did some maintenance and vacuuming."

"They help prepare the bimonthly newsletter that is sent out to residents. The clients pick up, sort, and label the mailings."

"AIC clients do everything, such as sweeping, painting, and shoveling the snow during the winter months. They also help with garbage removal. Whenever we need help with anything, we call the AIC and they will send people over."

"They helped with the drug prevention program. They used the company van to gather books, they fixed our typewriter, and they helped organize our basement. The AIC clients are involved in a variety of tasks."

"They delivered Christmas gifts to the Senior Center and to their families. They are very helpful; the program would not exist without them."

"Repairs on our building could not have been done without the AIC. Electrical work was done by the clients. They also put in a fire alarm and a security system."

Community Benefits

Respondents were asked to provide examples of AIC/DIC contributions to local agencies as well as benefits for the community as a whole. The following excerpts are representative:

"The AIC clients come out regularly. They are honest and have really helped the program. They have been role models to [our] clients."

"They allow us to extend the services we offer to the community, and they are reliable and friendly. Our parishioners are older and can't do the work that the AICs can do."

"It gives teens the impression that they must face the consequences of breaking the law."

"The community service aspect is good. The first-time offenders don't do the community any good being locked up. The AIC counseling helps the clients with resources and networking options."

"It helps keep the AIC clients in check. It keeps them directed. AICs are crucial to the Hispanic community. Clients learn to face the community that they offended and it makes them think twice about doing it again."

"It's putting the taxpayer's money to good use. It is paying the community back for what the client has done wrong. It helps out with so many community services...It helps to get things done that people in compromised situations can't get done. For example, the elderly, mentally ill, etc..."

"It opens people's eyes to the type of program that the AIC is. The potential for the community to see that these people aren't monsters. And it helps agencies that are financially tight. They do work that couldn't otherwise get done."

"It is helping some criminals get back into an honest way of making a living. In return there is less crime in the community."

"We are able to serve the indigent in the community and supply them with daily necessities that they cannot afford."

When asked about problems, the representatives noted that most of the things they could think of stemmed from public concern about the use of offenders, not the AIC/DIC clients' behavior, *e.g.*:

"Yes, there are problems, but not with the actual clients themselves. Using offenders does have a negative impact on the program because we lose some donations. The wealthy who donate the furniture do not want the criminals picking up the furniture so they do not participate in the program. "

Boards of Directors

The twelve board members' responses were not as easily categorized. Many were eloquent in their descriptions of AIC/DIC community contributions. The following excerpt speaks for many:

"AICs are helping out the community because a lot of the agencies/ organizations they are working for are doing things for the public that would not be possible because most of these organizations do not have the funding. AICs help these organizations survive."

The individual benefits of the AIC model were described as follows:

"Statistically, this program is helping the future. Kids are the future. We can't keep incarcerating our youth. AIC clients get to see other areas of work than the "work" they have done that got them incarcerated. They see there are

other ways to make a living than through drugs, breaking and entering, and car theft. The clients have the opportunity to enhance their skills. [Our program] has taught computer skills to the clients. This is great for the kids. The AIC clients are exposed to other lifestyles. The experience can teach people to bond in friendships. Rival gang members have to intermingle in AIC and they learn to relate to one another in other ways than the ethics of the street."

The board members focused on stigma and social acceptance of the program in the community as the primary problems. Several noted that, after initial concern, their community has become accepting.

Program Directors & Staff

Staff members were asked different questions than the others, in an effort to obtain additional perspectives on the programs and their relationships with the local community. When asked about the number of sentenced clients they have in their programs at any given time, their responses ranged from 2 to 62, with a median of 20. 57% of respondents said their sentenced clients average 300-500 hours of community service each month; 21% said the service averaged between 600 and 800 hours monthly, and the rest said the average was over 800 hours a month.

The expansion of AIC/DIC programs have provided a source of employment to local residents in many communities. Although 12% of the programs said they did not currently have any local residents on staff, some had as many as 11. 70% had three or more community members on staff at the time of the interview. Community relationships are also fostered through the use of volunteers -- 94% of the responding programs actively use volunteers.

V. Third Year Findings: Recidivism: New Arrests

- A. Recidivism by Program Profile
 - 1. Alternate Incarceration Program Clients
 - 2. Department of Correction Comparison Sample
 - 3. Alternative Incarceration Center Clients
 - 4. Day Incarceration Center Clients
 - 5. Intensive Supervision Drug Unit Clients
 - 6. Transitional Supervision Clients
 - 7. Split Sentence Clients
 - B. Comparisons of Recidivism: Alternate Incarceration Program and Department of Correction Samples
 - 1. Percentage of Offenders with New Arrests
 - 2. Arrests Per Days on the Streets:
The Ratio of AIP and DOC Arrest Rates
-

A. Recidivism by Program Profile

Criminal justice outcomes and recidivism can be conceived in various ways. Each has strengths and weaknesses. Perhaps the most common measure used for research purposes is the comparative frequency of arrests for new crimes. In addition to the measures already reported (disciplinary incidents, informal violations,²⁸ VOPs, and termination status), this study has documented arrests at six-month intervals, as well as the charges involved. It has also documented the outcomes of those arrests. The data reported here for recidivism generally include the relative frequency of new arrests during the 12-month period following disposition or release; new arrests during the 24 months following disposition/release; and new arrests during the 36 months following disposition or release.²⁹

1. Recidivism for AIP Clients

Over all, 33% of AIP clients had been arrested after one year. After two years, 50% had been arrested at least once. After three years, 57% had been arrested one or more times. It is notable that the rate of increase diminished markedly over time. Analysis also found that just under 30% had been arrested for a new violent crime, 40% for a felony, and 28% on new drug charges.

TABLE 10
AIP Client Recidivism

Type of Recidivism	Percent With Arrest
In 12 Months	33%
In 24 Months	50%
In 36 Months	57%
Drug Charge	28%
Violent Charge	30%
Felony Charge	40%

²⁸ Again, these have been reported in detail in the reports for the first and second years of this study.

²⁹ Data after 12, 24, and 36 months are reported for simplicity. Clearly, these are cumulative figures. That is, any individual who was arrested during the first 12 months is also counted as having been arrested during the first 24 months, and so on. The 12 and 24-month time periods begin on the date of disposition for the alternative samples, and the date of release for the incarcerated samples. They are thus based on the time when opportunity began. The data are presented dichotomously: either the data indicate that a person was not arrested at all during the period, or the person was arrested at least once.

New Arrests. The following factors were found to be related to clients who were arrested at least once within the 36 months after they were sentenced for the study incident:

Sex: 46% of women and 59% of the men.

Race/ethnicity: 49% of Caucasians were arrested, compared to 61% of African Americans and 64% of Latinos.

Age: 78% of the clients under 18, and 67% of those age 18-20 were arrested, compared to 63% of those 21-25, 51% of those 26-30, 39% of those age 31-40, and just 31% of the clients age 41-60.

Charge severity: 56% of felons and 65% of misdemeanants were arrested again on new charges within three years.

Charge type: 50% of violent and 59% of drug offenders were arrested again in 36 months, compared to 68% of property and 74% of public order offenders.

Prior convictions: The relationship with priors was inconsistent. Those with no priors were least likely to be arrested again within 3 years (54% were), and over 60% of those with 1-3 prior convictions were. However, just 55% of those with 4-5 priors were.

Type of new arrest. As might be expected, drug offenders were more likely than others to be arrested again on drug charges: 33% were, compared to 29% of public order offenders and 22% of the others. The same consistency did not apply to violent crimes, however. Public order offenders were significantly more likely to be arrested again for a "crime against persons": 49% were, while personal crime and drug offenders, with 27%, had the lowest rate of new arrests for a violent crime. Public order offenders were also significantly more likely (63% did) to have a new arrest on felony charges (compared to 40% of drug, 37% property offenders, and 34% of those originally convicted of a violent crime). It is worth noting that within each type of crime, women offenders had significantly lower rates of new arrests and conviction than men. Notably, **53% of the AIP clients had not been admitted to a correctional facility for any reason** (either pretrial or for a sentence) between the time of their sentence for the study incident and last data collection in March, 1996.

Other considerations in AIP client recidivism. More detailed analysis showed again that women with no prior convictions did substantially better than the men, while those who had longer records tended to do worse than the men. This underscores the **importance of early intervention, particularly for women.**

It is also notable that **the combination of AIC and intensive supervision as AIP conditions were associated with better outcomes** than were found for other AIP clients, especially early in the sentence. As described in the second year report, 80% of the intensive clients who reported to an AIC remained arrest-free for six months, compared to 72% of those with a formal "intensive supervision" condition alone.

Predictors of new arrest. When several factors were considered statistically all at once, it was possible to predict with 71% accuracy whether or not an AIP client would be arrested again within 36 months of their sentence. The prediction model was substantially more accurate for predicting who would be arrested, and was also substantially better than chance in predicting those who would not be arrested. When several factors were controlled, young age, number of prior convictions, number of informal violations noted in probation files, conviction for a non-violent crime, and minority race/ethnicity were all significantly related to new arrests within 36 months.³⁰

2. Recidivism for the DOC Comparison Sample

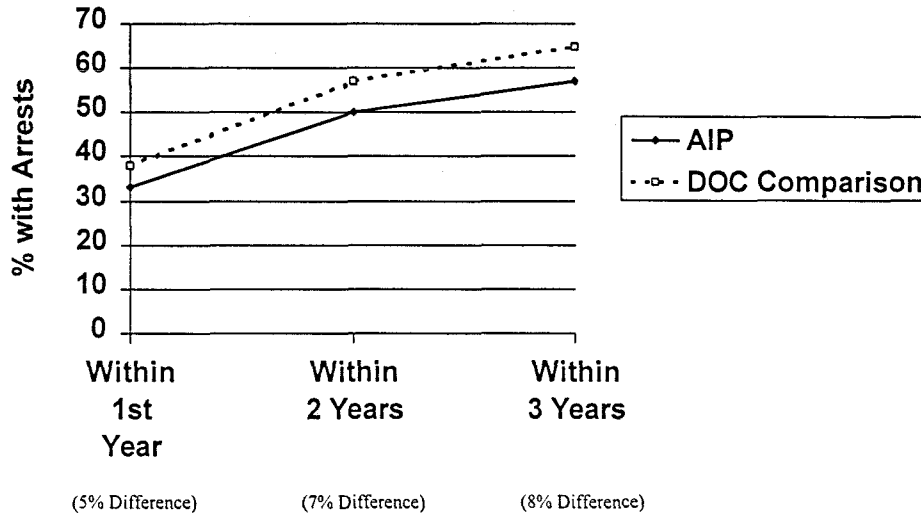
Over all, 38% of the DOC comparison sample had been arrested after one year. After two years, 57% had been arrested at least once. After three years, 65% had been arrested one or more times. It is notable that the rate of increase for this group, too, diminished markedly over time, although the gap between this sample and those sentenced under the AIP statute grew slightly with each year, as shown in Figure 1. Analysis also found that 32% had been arrested for a new violent crime, 44% for a felony, and 27% on new drug charges.

TABLE 11
DOC Comparison Sample Recidivism

Type of Recidivism	Percent With Arrest
In 12 Months	38%
In 24 Months	57%
In 36 Months	65%
Drug Charge	27%
Violent Charge	32%
Felony Charge	44%

³⁰ The other variables included in the model were number of probation conditions, number of days of pretrial incarceration, and length of the probation sentence.

Cumulative Arrests of Offenders Over Time: AIP and DOC Comparison Samples



New Arrests. The following factors were found to be related to arrests on new charges in the 36 months following release from the correctional institution:

Age: 87% of those under age 18 were arrested, compared to 79% of those age 18-20, 61% of those in their 20's, 64% of those in their 30's, and 56% of those over 40.

Sex: 72% of the women were arrested within 36 months, compared to 63% of the men.

Race/ethnicity: 54% of Caucasians had new arrests, compared to 72% of African Americans and 68% of Latinos.

Charge type: 71% of property offenders, 66% of drug offenders, 64% of violent offenders, and 59% of public order offenders were arrested on new charges within three years.

Number of prior convictions: 53% of those with no prior convictions had new arrests, compared to 60% of those who had one prior, and over 70% of those who had two or more.

DOC discipline: Offenders who had participated in behavior which led to discipline while they were incarcerated were more likely than the others to be arrested. Further, there were differences by type of incident:

- Fighting: All of those who were disciplined for fighting had new arrests, compared to 64% of the others.
- Disobedience: 93% of those who were disciplined for disobedience were arrested again within 36 months, compared to 63% of the others.
- Disruption: All of those who were disciplined for disruption were arrested again on new charges, compared to 64% of the others.
- Assault: 93% of those who were disciplined for assault were arrested again within three years, compared to 64% of the others.
- Program violations: 94% of the offenders who were disciplined for program violations were arrested again, compared to 62% of the others.

Notably, the severity of the crime at conviction was not related to new arrests.

Data on recidivism measured by arrest shows that, after 24 months, those who were released to parole (33%) or a halfway house (49%) had lower incidence of new arrests than those released with their sentence served (55%) or to SHR (59%). After 36 months, those released with their sentences served had the

lowest incidence of new arrests (61%), while those released to a halfway house and to SHR were more likely to have been arrested again (62% and 67%, respectively).³¹

Types of new arrest. The people convicted of a violent crime were least likely to have a new felony arrest; 36% did, compared to 48% of drug offenders. Property and public order offenders were in between. As might be expected, those who were originally convicted of a "crime against persons" were most likely to be arrested again for that type of crime: 37% were, compared to 30% of property offenders. Drug and public order offenders were in between. Finally, drug offenders were most likely to be arrested for drug crime again: 34% were, compared to 15% of those who were originally convicted of a violent crime. 20% of property offenders and 30% of public order offenders had new arrests on drug charges.

Notably, within this sample, women were more likely than men to be arrested again within 36 months, and equally or more likely to be arrested for the more serious types of offense just described. This marks a dramatic contrast with the experience of women in the AIP (or AIC or DIC), and prompted a closer comparison. The comparison did not produce a ready explanation, because on most measures, the women would be predicted to be at lower risk of recidivism than the men. The women were older, were less likely to have prior convictions, were more likely to be Caucasian, and were equivalently likely to be convicted of felonies. They were also released from incarceration to equivalent supervisory conditions in the community. The primary difference is that women were more likely to have been convicted of property or public order offenses.

Predictors of new arrest. When several factors were considered statistically all at once, **it was possible to predict with 73% accuracy whether or not an offender in the DOC comparison sample would be arrested again within 36 months of their release.** Predictions of arrest were most accurate, but predictions of no arrest were also accurate at a rate substantially better than chance. All other factors³² equal, young age was the strongest predictor of new arrest, followed in order by the number of prior convictions, being male, minority status, and the number of disciplinary incidents during incarceration.³³

³¹ Because the offenders released to parole were more likely to have served more incarceration time before returning to the community, data on new arrests after 36 months are available for too few people to be meaningful to report here.

³² The factors were length of original prison sentence, number of days incarcerated pretrial, type of offense, number of disciplinary incidents while incarcerated, age, DOC risk score at release, sex, race/ethnicity, and number of prior convictions.

³³ It is important to remember that over a third of this sample was not included in this analysis, either because they had not yet been released at all, or had not been released for over 36 months. When predictors of new arrests within 24 months were examined for a larger portion of the sample, the predictors of arrest remained most accurate (82%), and the model was accurate over all for 66.2%.

With this more complete portion of the sample included, young age was the strongest single significant factor, followed in order by number of prior convictions, minority status, and number of previous probation sentences. Also included in this model were sex, severity and type of crime, number of disciplinary incidents, and length of the prison sentence.

3. Recidivism for AIC Clients

Over all, 35% of AIC clients had been arrested after one year. After two years, 50% had been arrested at least once. After three years, 57% had been arrested one or more times. As with the other samples, it is notable that the rate of increase diminished markedly over time. Analysis also found that 29% had been arrested for a new violent crime, 39% for a felony, and 27% on new drug charges.

TABLE 12
AIC Client Recidivism

Type of Recidivism	Percent With Arrest
In 12 Months	35%
In 24 Months	50%
In 36 Months	57%
Drug Charge	27%
Violent Charge	29%
Felony Charge	39%

New Arrests. The following factors were found to be significantly related to new arrests of clients within 36 months after they were sentenced for the study incident:

Sex: 43% of the women were arrested again, compared to 60% of the men.

Age: The youngest clients were most likely to be arrested again: 81% of those under 18 were, as were 65% of those 18-20, 62% of those 21-25, 47% of those 26-30, and less than 40% of those over 30.

Race/ethnicity: 48% of Caucasians were arrested again within for 36 months, compared to 62% of the African American and 67% of the Latino/a clients.

Charge severity: 56% of felons were arrested again, as were 69% of misdemeanants.

Charge type: Drug offenders were the least likely to be arrested again within 3 years. 52% were, compared to 58% of violent offenders, 62% of property offenders, and 74% of public order offenders.

Prior convictions: This was not a statistically significant relationship, but 56% of those with no priors were arrested again, compared to 62% of those with one prior, 55% of those with 2 or 3, and 60% of those with 4 or 5 priors.

Program violations: As was true for the DOC comparison sample, the AIC clients who were documented with violations while they were in the program were significantly more likely to have new arrests. In particular:

- Positive urinalysis: 62% of those with positive urinalysis as a first violation, and 83% with this as a second violation had new arrests.
- Failure to follow regulations: 73% of those who had this as a first violation had new arrests.

Type of new arrest. As might be expected, drug offenders were more likely than the others to have new arrests for drug charges: 31% did, compared to 28% of public order, 21% of property, and 22% of personal crime offenders. Despite these arrests, **drug, property, and violent offenders were less likely to have new arrests for felonies** (39%, 38% and 37%, respectively, compared to 44% of public order offenders). Public order offenders were also most likely to have new arrests for violent crimes (41% did), while drug offenders were least likely (25%; 29% of violent offenders were arrested again for the same type of charge). Women clients were significantly less likely than the men to have new arrests of all types, but this was particularly true for violent crimes and felonies.

Other considerations in AIC client recidivism. As noted in the second year report, the AIC clients did relatively well while they were under program supervision. Just 10% were arrested during the time they reported to the AIC. Men, Latinos, and the younger clients were the most likely to be arrested quickly (within the first 6 months of their sentence).

Predictors of new arrest. When several factors were considered statistically all at once, **it was possible to predict with over 69% accuracy whether or not an AIC client would be arrested again within 36 months after they were sentenced.** Predictions of new arrests were most accurate (83%), but predictions of no arrest were also accurate at rates substantially better than chance. With all other factors³⁴ equal, young age was the strongest single predictor of new arrests. This was followed in order by number of prior convictions, Caucasians, who were less likely to be arrested again within 36 months, more informal violations recorded in probation files, and non-drug offense.

³⁴ The factors were the number of days incarcerated pretrial, type of offense, age, number of informal violations of probation, the number of probation conditions, the length of the probation sentence, sex, race/ethnicity, and number of prior convictions.

4. Recidivism for DIC Clients

Over all, 37% of DIC clients had been arrested after one year. After two years, 64% had been arrested at least once. After three years, 72% had been arrested one or more times. Unlike previous samples, the rate of increase only began to diminish substantially between the second and third years. Analysis also found that 29% had been arrested for a new violent crime, 39% for a felony, and 27% on new drug charges. As noted in the past, these are particularly high-risk clients, 60% of whom were under 21 and from inner city Hartford.

TABLE 13
DIC Client Recidivism

Type of Recidivism	Percent With Arrest
In 12 Months	37%
In 24 Months	64%
In 36 Months	72%
Drug Charge	27%
Violent Charge	29%
Felony Charge	39%

New Arrests. The following factors were found to be related to DIC clients who were arrested again within 36 months after they were sentenced for the study incident:³⁵

Sex: Female clients were less likely to be arrested again within three years. 42% were arrested on new charges, compared to 77% of the males.

Age: The youngest clients were most likely to be arrested again. 88% of those under 18 were arrested again within three years, compared to 71% of those age 18-20, 67% of those 21-25, 64% of those age 26-30, and just 20% of those in their 30's.

Race/ethnicity: 37% of the Caucasians were arrested again, compared to 64% of the African Americans and 82% of the Latinos.

³⁵ None of the factors indicated had a relationship with recidivism that was statistically significant using the chi square test. However, the "sample" represents the entire population of DIC clients, so the patterns presented are meaningful, and worth reporting here. Most of these differences would be significant statistically if the client population were larger than 84.

Charge severity: Clients originally convicted of a felony were less likely to have new arrests: 70% were arrested again, compared to 83% of those originally convicted of a misdemeanor.

Charge type: Property and public order offenders were significantly more likely to be arrested again. 94% and 92% were, respectively, compared to 71% of those originally convicted of a drug crime, and 48% of those convicted of a "crime against persons."

Type of new arrest. The clients originally convicted of a violent crime were least likely to be charged with a new felony: just 38% were, compared to 75% of the property offenders, 66% of the drug offenders, and 83% of the public order offenders. Similarly, the violent offenders were least likely to have new drug charges (25% did). Again, the public order offenders were most likely to have new charges of this type (58% did), and the drug and property offenders were in between. Drug offenders were least likely to have new violent charges (31%), but personal and property offenders were not far behind, with 38%. Again, public order offenders were substantially more likely to be arrested for violent crimes within 3 years (67%).

Other considerations in DIC client recidivism. As noted in the second year report, over all, just 6% of the DIC clients were arrested on new charges while they were involved in the program. Perhaps more notable, drug offenders under 21, who are often a source of public safety concern, remained entirely arrest-free while they were in the program. Most notable of all, the DIC clients who also had "intensive supervision" as a formal condition of their sentence did significantly better than those who did not. 55% of those who participated in the DIC combined with intensive supervision remained arrest-free after three years, compared to 24% of those who had the DIC without intensive. Intensive supervision probation made a difference for young drug offenders as well, 33% of whom remained arrest-free after 3 years, compared to 20% of those who did not have intensive and 14% of the young drug offenders in the DOC comparison sample.

Predictors of new arrest. Due to the small number of DIC clients, meaningful predictions based on multivariate analysis could not be generated.

5. Recidivism for ISDU Clients

The recidivism figures based on arrests for Hartford's Intensive Supervision Drug Unit clients indicate that 36% of these high-risk clients, who had established histories of chronic drug problems in the one of the state's urban centers, were arrested again within one year of being sentenced to the program, 57% were arrested within two years, and 64% were arrested within three years. It is perhaps notable that just 28% were arrested on a drug charge during that time, while 31% had new violent charges and 45% had new felony charges.

TABLE 14
ISDU Client Recidivism

Type of Recidivism	Percent With Arrest
In 12 Months	36%
In 24 Months	57%
In 36 Months	64%
Drug Charge	28%
Violent Charge	31%
Felony Charge	45%

New Arrests. The following factors were found to be related to ISDU clients who were arrested again within 36 months after they were sentenced for the study incident:³⁶

Type of crime: Drug offenders were the **least likely to have new arrests within 36 months:** 59% were arrested again, compared to 65% of violent offenders, 64% of property offenders, and 88% of public order offenders.

Age: Again, the youngest clients were most likely to have new arrests: 86% of those under 18, 80% of those 18-20, 65% of those in their 20's, 55% of those in their 30's, and 37% of those over 40 were arrested again within 3 years.

Race/ethnicity: 57% of Caucasians had new arrests, compared to 73% of African Americans and 59% of Latinos.

Sex: 68% of the women had new arrests, compared to 63% of the men.

Charge severity: 64% of those convicted of a felony, and 58% originally convicted of misdemeanor charges were arrested again.

Prior convictions: 58% of those with no priors, 52% of those with one, and over 70% of those with two or more prior convictions were arrested again.

Type of new arrests. As already indicated, drug offenders were least likely to have new arrests. They did relatively well in specific arrest categories, as well. They were less likely than all but the public order offenders to have new felony arrests (42% compared to 33%, but 56% of property and 53% of violent offenders) and new arrests for violent crimes (27% for both, and 28% of property but 50% of violent offenders). In addition, they were less likely (with 29%) than property offenders (with 39%) to have

³⁶ Again, small sample size and the relative homogeneity of this group contributed to lack of statistical significance for the patterns reported here. With that caution in mind, the most potentially useful patterns are provided.

new arrests on drug charges (28% of violent and 20% of public order offenders had new arrests on drug charges).

Predictors of new arrest. When several factors were considered at once, **whether or not ISDU clients would be arrested again within 36 months could be predicted with 70% accuracy.** Predictions were most accurate for those who would be arrested (87%). However, due to sample size limitations, young age was the only statistically significant predictor when the other characteristics were held constant.³⁷ However, property offense and African American race/ethnicity approached significance at $p < .10$.

6. Recidivism for Transitional Supervision Clients

The recidivism figures based on arrests for the Department of Correction's Transitional Supervision clients indicate that nearly half (49%) of these clients were arrested again on new charges within the first year of their release from a correctional facility, and 66% were arrested again within two years.³⁸ This is a higher percentage of clients with new arrests than was found for any of the other samples after 12 and 24 months. Additionally, 28% were arrested on drug charges, 34% for new violent offenses, and 44% on felony charges.

TABLE 15
Transitional Supervision Client Recidivism

Type of Recidivism	Percent With Arrest
In 12 Months	49%
In 24 Months	66%
Drug Charge	28%
Violent Charge	34%
Felony Charge	44%

³⁷ The other variables were type of the charges, race/ethnicity, number of prior convictions, length of the probation sentence, and previous formal violations of probation.

³⁸ Figures for the first 12 and 24 months only are reported here because none of these clients had been released for 36 months at the time data were collected. The transitional supervision program only began in July, 1993.

New Arrests. The following factors were found to be related to TS clients who were arrested again within 24 months after they were released:³⁹

Age: The oldest TS clients were least likely to be arrested again: half or more of those over 40 had new arrests within 24 months, compared to 67% or more of those under age 26, 51% of those age 26-30, and 69% of those age 31-40.

Type of offense: Drug offenders did the worst. 74% were arrested again, compared to 67% of violent offenders, 64% of property offenders, and 61% of public order offenders.

Race/ethnicity: 59% of Caucasians had new arrests, compared to 72% of African Americans and 67% of Latinos.

Sex: 66% of the men had new arrests, compared to 63% of the women.

Type of new arrest. Drug offenders were most likely to be arrested for new felony charges (49%, compared to 45% of violent, 46% of property, and 40% of public order offenders). Not surprisingly, they were also most likely to be arrested for new drug charges: 38%, compared to 30% of public order, 22% of "violent," and 20% of property offenders. Violent and property offenders, however, were most likely to be charged with new violent crimes: 43% were, compared to 32% of drug offenders and 23% of public order offenders.

Predictors of new arrest. When several factors were considered at once, **whether or not TS clients would be arrested within 24 months could be predicted with over 71% accuracy.** Predictions were more accurate for those who would be arrested (94%), but were better than chance for those who would not be arrested, as well. The strongest single predictor was the number of prior convictions, holding other factors constant.⁴⁰ Additional significant predictors, in order, were young age, young age at first arrest, and (nearly significant at $p < .07$) conviction for a drug offense.

7. Recidivism for Split Sentence Clients

The recidivism figures based on arrests for the split sentence clients indicate that 45% of the split sentence sample was arrested again within 12 months, 58% were arrested within two years, and 70% were arrested again on new charges within 36 months of their release from a correctional facility. Further, 22% were arrested for drug charges, 39% for violent offenses, and 44% were arrested for new felony charges in that time.

³⁹ At this stage of analysis, recidivism results remain less conclusive than for other groups, and most of the patterns reported here are not statistically significant.

⁴⁰ The other factors considered were age, sex, race/ethnicity, the length of the prison sentence, the age at first arrest, and the type of the most serious charge in the study incident.

TABLE 16
Split Sentence Client Recidivism

Type of Recidivism	Percent With Arrest
In 12 Months	45%
In 24 Months	58%
In 36 Months	70%
Drug Charge	22%
Violent Charge	39%
Felony Charge	44%

New Arrests. The following factors were found to be related to split sentence clients who were arrested again within 36 months after they were released from incarceration for the study incident:

Sex: Women were slightly more likely than men to be arrested again within 36 months: 72% vs. 70%.

Type of offense: Those who were originally convicted of a violent crime were least likely to have new arrests. 66% were arrested again, compared to 67% of drug offenders, 81% of property and 76% of public order offenders.

Age: All of those under 18 were arrested again, compared to 78% of those 18-20, 65% those in their 20's, 76% of those 31-40, 42% of those 41-60, and 50% of those over 60.

Race/ethnicity: Caucasians were somewhat less likely to have new arrests (64%), compared to African Americans (76%) and Latinos (80%).

Prior convictions: Those with no prior convictions were significantly less likely to have new arrests: just 57% were arrested within 36 months, compared to 70% or more of those with one or more priors.

Type of new arrest. Women were significantly less likely than men to have new arrests on **felony charges** (36% vs. 46%), as were public order (40%) and violent offenders (42%, compared to 46% of property and 56% of drug offenders). Women were also significantly less likely to be arrested for new **violent offenses** (13% compared to 43%). Over half of public order offenders were arrested for violent offenses, as well, ahead of drug offenders (44%), and violent and property offenders (35%). As might be expected, drug offenders were substantially more likely to be arrested on new **drug charges**: 50% were, compared to 21% or less of the others.

Predictors of new arrest. When several factors were considered at once, **whether or not split sentence clients would be arrested within 36 months could be predicted with over 75% accuracy.** Predictions were most accurate for those who would be arrested (94%), but were substantially better than chance for those who would not be arrested, as well. With other factors controlled,⁴¹ the strongest predictor of new arrests in 36 months was the number of prior convictions. This was followed in order by young age, and short prison sentence.

B. Comparisons of Recidivism: Alternate Incarceration Program and Department of Correction Samples

Comparisons of recidivism for the two primary samples (the AIP sample and the DOC comparison sample⁴²) are presented in two ways. The first comparison is based on the percentage of offenders in each sample who were arrested on new charges during the three years following their sentence (for the AIP sample) or their release from incarceration (for the DOC comparison sample). In this way, each group is compared, starting from the first opportunity to commit a new offense.

The second comparison is more precise than the first. It is based on the number of arrests related to the number of days offenders spent in the community, or "arrests per days on the street". The comparisons are presented graphically as "ratios", to display the relative rates of the two samples. Because this comparison is standardized to days on the street, it provides a better reflection of relative risk to the community of the two samples.

1. Percentage of Offenders with New Arrests

Table 10 compares the percentages of offenders in the AIP and DOC comparison samples who remained free of arrests during 36 months following their sentence or release. For each of the specific controlled comparisons, a smaller percentage of AIP clients had new arrests than were found for the offenders in the DOC comparison sample.

The specific comparative factors were selected to reflect the highest risk categories, or particular categories of interest, such as separate comparisons of men and women. The comparisons focus especially on the youngest offenders, and those who have criminal histories and/or clear drug involvement. It is notable, however, that those who were convicted of crimes against persons (violent crimes) were among the least likely to have new arrests. Those sentenced under the AIP statute also showed one of the widest gaps with their counterparts in the DOC comparison sample (except for the youngest).

⁴¹ The factors included age, number of prior convictions, length of the prison sentence, the type of crime, sex, and the number of days incarcerated pretrial.

⁴² The specific controlled comparisons in this table and in the figures of ratios in the following section are important, especially those which control for age and criminal history. These are the two most significant risk factors for recidivism (young age and more prior convictions) and two significant ways the two samples differed (more high-risk youth in the AIP sample and more high-risk offenders with priors in the DOC comparison sample). The comparisons which control for these factors, then, are the most fair. They come closest to comparing "apples with apples."

TABLE 17
Percent Without Arrests after 36 Months by Offender Characteristics
 (in percent)

Description of Comparison Between the Two Samples	Alternative Sentence (N=641)	Incarcerated Comparison (N=350)
Overall Comparison	43%	35%
Offenders Under 21	28%	19%
Drug Offenders Under 21	27%	14%
Offenders Under 21, With Priors	21%	12%
Drug Offenders	44%	34%
Drug Offenders , With Priors	43%	28%
Offenders With Prior Convictions	39%	29%
Male Offenders With Priors	39%	31%
Female Offenders With Priors	35%	19%
Violent Offenders	50%	36%
Violent Offenders Under 21	38%	35%
Violent Offenders, With Priors	40%	29%
Male Offenders	41%	37%
Female Offenders	54%	28%

2. Arrests Per Day on the Streets: The Ratio of AIP and DOC Arrest Rates

Arrest rates are the best and most appropriate comparisons as they are crucial in determining risks to public safety. The following figures focus on the ratio of arrest rates for the AIP and DOC samples. These rates specifically measure how often offenders from each sample get arrested every day they are on the street. In this way, the number of days offenders have the opportunity to be arrested for new crimes is kept the same, so the relative risk to public safety can be compared.

For example, it makes a difference if one person stays trouble-free for nearly three years and then gets arrested, while another person is arrested immediately on the first day s/he is released back to the community and then spends the rest of the time incarcerated. The second person is a greater risk to the public, but both of these people would be counted as "arrested within three years".

These rates are then compared to one another to produce a ratio. On the pages that follow, a series of graphs depict the ratios of the AIP to DOC comparison sample arrest rates after 2 years and after 3 years. In each case, the ratio has the DOC rate as the base, so it is depicted only once in each graph for simplicity. As each graph is reviewed, it is important to remember that what is shown are the ratios, not the underlying rates. For example, a rate of 50 AIP arrests for 100 DOC arrests would look the same as a rate of 1 AIP arrest to 2 DOC arrests. In each case, the DOC arrest rate would be twice that of the AIP sample, but the underlying rate would be much higher in the first case.

In summary, when rates were compared holding offender characteristics constant, similar to the comparisons in Table 17, the differences in rates were generally consistent and significant statistically: on most comparisons the rates for AIP clients were substantially lower. The differences in rates were particularly apparent for drug offenders over all, for offenders under 21, drug offenders with prior convictions, drug offenders under 21, over all clients with prior convictions, women, and violent offenders.

In many cases, the rate comparisons for specific types of crime show even more dramatic differences between AIP clients and their DOC sample counterparts. The comparison throughout is particularly notable for drug offenders and for new arrests on drug charges. This area is clearly a relative strength for the "alternative programs."

VI. Implications of Third-Year Findings

- A. Policy Implications
 - B. Programming Implications
-

Connecticut is the first state to invest in a state-wide evaluation of its alternative sentencing programs of this scope and duration. These third-year findings have provided interesting information about: rates and ratios of recidivism by offender and by program profile; factors related to and contributing to new arrests; and variables that predict arrests with high accuracy. Results have been increasingly useful in helping the Judicial Branch and the Department of Correction provide direction for program planning and modification.

A. Policy Implications

Third-year findings in this report reinforce the need to implement the primary recommendations outlined in the Year 2 report that focused on the need for the Judicial Branch to develop a more formal, multi-tiered screening and sanctioning structure:

- 1. A multi-tiered system of program involvement and declining program supervision should be developed.**

As was suggested in the second year report, a multi-tiered system of program involvement is recommended as a way to enhance program effectiveness and reduce arrest rates. This could involve both a structure that allows stages of declining supervision and program involvement, *e.g.* proceeding from DIC to AIC, or AIC to intensive supervision probation. It could also involve program involvement coupled with intensive supervision probation. Research results suggest that some form of "after care" programming could be helpful, especially for the youngest clients.

Example: DIC clients who also had intensive supervision as a formal condition of their sentence did significantly better than those who did not. 55% of those who participated in the DIC combined with intensive supervision remained arrest-free after two years, compared to 32% of those who had the DIC without intensive.

Example: With the passage of time, the combination of AIC and intensive supervision as AIP conditions were associated with better outcomes than were found for other AIP clients, especially early in the sentence. As described in the second year report, 80% of the intensive clients who reported to an AIC remained arrest-free for six months, compared to 72% of those with a formal intensive supervision condition alone.

2. Longer periods of community-based program involvement should be encouraged.

As was suggested in the second year report, results suggest that longer periods of program involvement might enhance program effectiveness and reduce arrest rates.

Example: DIC clients, an especially high-risk group, had very low rates of new arrests while they were under program supervision.

Example: AIC clients did relatively well while they were under program supervision. Just 10% were arrested during the time they reported to the AIC.

Example: Activities such as literacy and employment-related training could be accomplished with lengthier supervision. For example, clients with diplomas have done significantly better than those without. Over half of AIC clients with diplomas were arrest-free after three years, compared to 33% of those with less than a high school education.

3. A more targeted, refined risk/needs assessment screening tool should be developed.

AIP clients have varying types and numbers of conditions attached to their sentences. In general, however, neither specific types of conditions nor the total over all number of conditions has been found to be related to different rates of new arrest. A program needs assessment prior to sentencing could help to tailor programming to the individual and contribute to improved results and effective program utilization. This, combined with existing assessment tools, would provide the court with additional valuable information for sentencing.

Research literature has provided support for this kind of specific, individually-designed intervention in other jurisdictions. A project could investigate the best means to conduct these assessments, so the existing court process would not be disturbed.

B. Programming Implications

1. By Program Type

a. Alternative Programs

AIP: Outcomes for the Alternative Sentence clients as a whole (AIP: those sentenced under 89-383) and those whose sentence included time under Alternative Incarceration Center (AIC) supervision were significantly better than outcomes for the Department of Correction's comparison sample in most areas of public policy concern, including recidivism by drug offenders, and by the youngest, high-risk clients. For example:

- AIP and AIC clients averaged two-thirds the rate of arrest for offenses of all types found for the DOC comparison sample, and the rates of arrest for drug offenses by clients under 21 had dropped to one quarter of those for the comparison sample after three years.
- Similarly, rates of new drug arrests for drug offenders (of any age) in the AIP and AIC were less than one-third of the rate for drug offenders in the DOC comparison sample, and less than half of the rate for arrests of any type.

Alternative program clients had very low rates of arrest on new charges while they were under program supervision: 10% of AIC clients and just over 6% of DIC clients. Notably, none of the DIC clients under age 21 was arrested during the program. These results suggest that program supervision is reasonably effective.

AIC: The AICs have the largest group of clients and have the lowest rates of new arrest, especially for young drug offenders and those convicted of "crimes against persons." They are also relatively inexpensive. For example:

- Rates of new drug arrests for drug offenders under 21 were less than a quarter of those found among the DOC comparison sample.
- Rates of new arrests for "crimes against persons" were two-thirds of those found among the DOC comparison sample.

DIC: The DIC sample was composed of the highest risk clients. The youngest, most high risk group did better than the DOC sample in the first year, and as well in the second year. The DIC clients under 21 who went on to "intensive supervision probation" also did better after three years: 40% remained arrest-free, compared to 19% of the young DOC sample.

For DIC clients as a whole, 55% of those with intensive had no arrests for 36 months, compared to 24% of those without intensive. Intensive supervision probation made a difference for young drug offenders as well, 33% of whom remained arrest-free after 3 years, compared to 20% of those who did not have intensive and 14% of the young drug offenders in the DOC comparison sample.

b. Department of Correction Programs

DOC Institutional: Since drug offenders in the DOC comparison sample had significantly higher recidivism rates than those sentenced to the AIP, enhanced substance abuse treatment programs administered by the DOC's Addiction Services Unit is worth serious consideration. Approximately 81% of the inmate population needs drug and alcohol treatment, yet the existing tier program cannot meet this demand without a waiting list. Additional staff would permit the needed increases in programming.

DOC Community Services: Specific programming implications for DOC community services remains less clear. Offenders released to halfway houses and to parole have done relatively well, drug offenders in particular. This argues for potential expansion of DOC community supervision programs, as well, particularly for the older, more mature offenders, and for the young ones who have no record of violent activity.

2. By Demographics

Youth: The programs continue to have particular relative success with young drug offenders. This group could be targeted further for carefully supervised alternative programs. The promising results found in previous years have only been enhanced in this past year.

Latinos: The ongoing lower rates of success for Latinos in the AIP programs suggest that increased efforts at culturally sensitive programming are still warranted. A DIC program is opening in New Haven in the fall of 1996, and DIC components for Latinos are being opened in Stamford and Enfield. Evaluation of these programs will inform future program development planning for this population.

Women: The ongoing success of women in these programs, coupled with their relative lack of success coming out of jail/prison, suggests that they are particularly important targets for alternative programming. This could have significant impact on future policy, since women are the fastest-growing criminal population, and their experience has substantial impact on their children. Effective programming for female offenders could have results for both them and potential juvenile offenders.

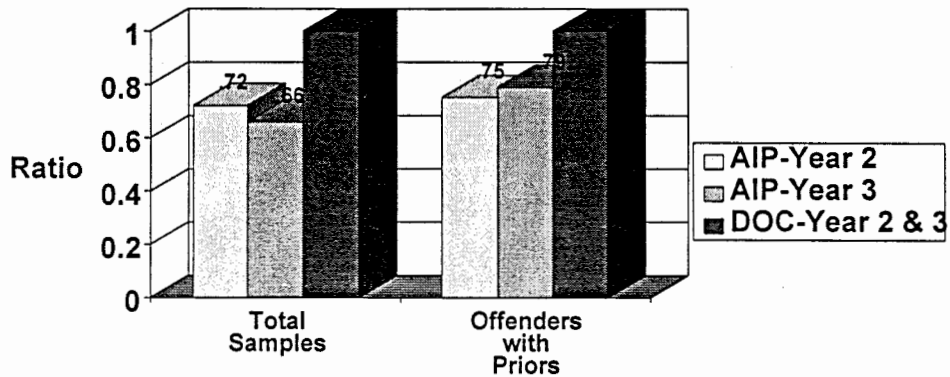
3. By Criminal Characteristic

Drug and violent offenders: An expansion of programs for AIP and AIC clients who were convicted of violent or drug offenses is encouraged, since these groups continue to do best, as measured by new arrests. Programs continue to have particular relative success with young drug offenders. Drug offenders under 21 in the DIC sample, who are often a source of public safety concern, again remained entirely arrest-free while they were in the program. This group could be targeted further for carefully supervised alternative programs. The promising results found in previous years have only been enhanced in this past year.

Property and public order offenders: Property and public order offenders remain a relative source of concern in the alternative programs. Young property offenders, in particular, have had higher rates of recidivism than other types. More intensive supervision and programming could be warranted for this group within alternative programs, especially for clients under 18.

For nearly all samples, convictions of public order crimes, and histories of such offenses, have been associated with enhanced risk of recidivism. In both the AIC and DIC populations, public order offenders were substantially more likely to be arrested for violent crimes within 3 years, especially those originally convicted of illegal weapons possession. These clients may warrant either enhanced supervision and monitoring (such as through electronic devices), expanded programming, or reduced consideration for alternatives.

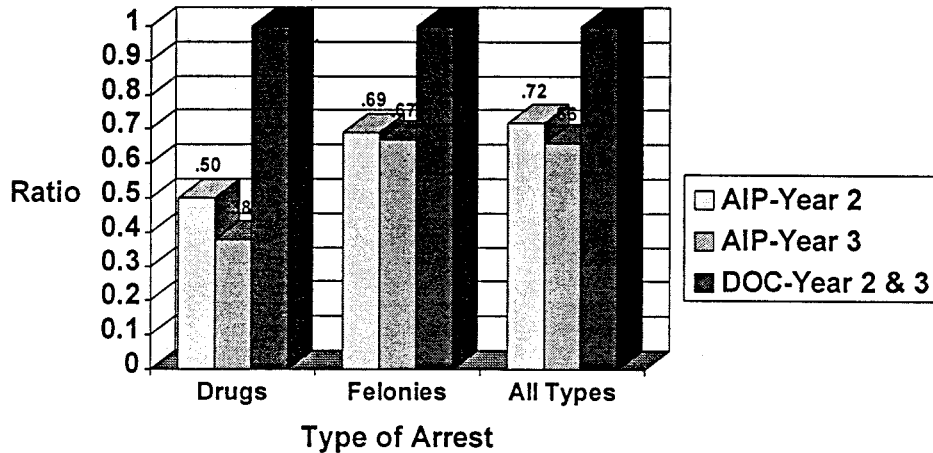
Ratio of Arrests Per Days on the Street: Total AIP & DOC Samples and Offenders with Prior Convictions (All Types of Arrest Included)



- Overall, there were less than 3 arrests of any type of AIP clients for every 4 arrests of an offender in the DOC comparison sample after 2 years.
- After 3 years, the difference had grown: there were about 2 arrests of an AIP client for every 3 in the DOC comparison sample.
- Among offenders with prior convictions, there were 3 arrests of AIP clients for every 4 of an offender in the DOC comparison sample after 2 years.
- The difference was somewhat smaller after 3 years, with a ratio of just under 4 to 5.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

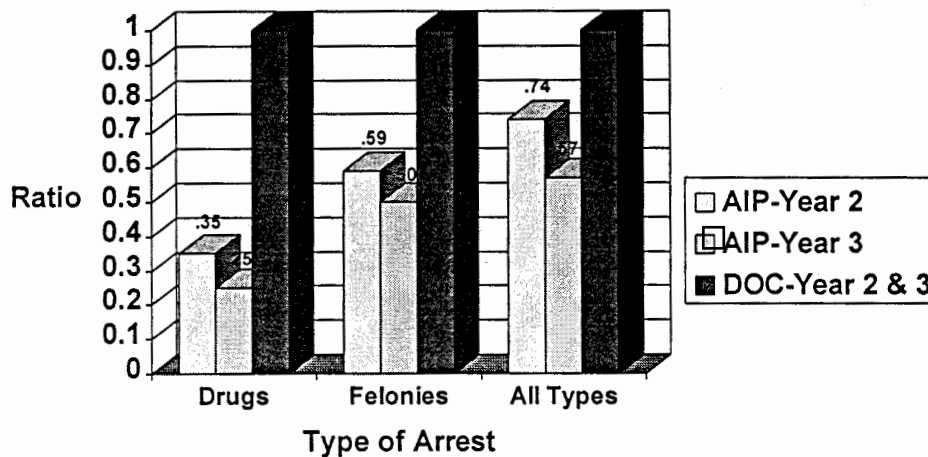
Ratio of Arrests Per Days on the Street: AIP and DOC Comparison Samples



- After 3 years, the AIP clients were arrested for drug offenses at just over one third the rate of those in the DOC comparison sample.
- The difference in rates of arrests for drug offenses grew from the second to third years.
- For every 2 felony arrests of AIP clients, there were three of offenders in the DOC comparison sample.
- The difference in rates of felony arrests grew slightly between year 2 and year 3.
- For every 3 new arrests of offenders in the DOC comparison sample for any type of crime, there were less than 2 arrests of AIP clients after 3 years.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

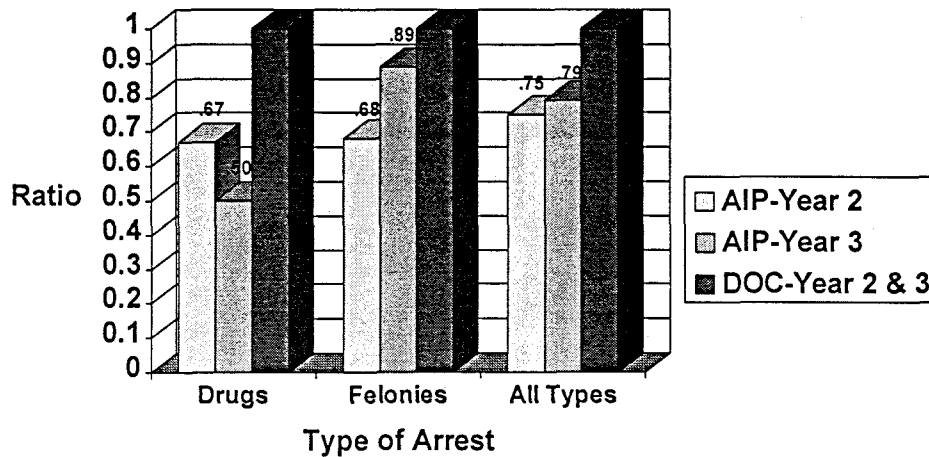
Ratio of Arrests Per Days on the Street: Offenders Under Age 21



- Overall, young offenders pose the greatest risk of recidivism. Even with this population -- those under 21 -- the AIP clients did significantly better than their counterparts in the DOC comparison sample. The difference between the two groups increased significantly between year 2 and year 3.
- Comparative rates of re-arrest for drug crimes were most dramatic, and the difference increased substantially. After three years, there was one arrest for an AIP client for every four by offenders in the DOC comparison sample.
- Arrests on felony charges are also a public safety concern, and these youngest alternative clients had significantly lower rates. After three years, there was one felony arrest of an AIP client for every two such arrests of young offenders in the DOC comparison sample.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

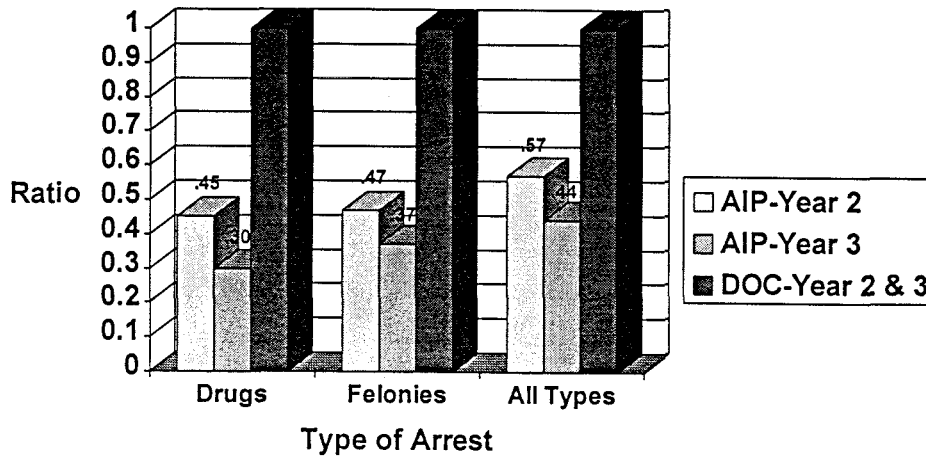
Ratio of Arrests Per Days on the Street: Offenders with Prior Convictions



- Offenders with conviction histories are a high-risk group; many of them have several prior convictions, and established patterns of criminal behavior. AIP clients had lower rates of new arrests of all types, and the gap increased for new drug arrests.
- The ratio between the AIP and DOC comparison samples narrowed between the second and third year--for new felony arrests, in particular.
- For arrests of all types the ratio narrowed only slightly, and remained at fewer than 4 arrests by AIP clients for every 5 by offenders in the DOC comparison sample.
- Among offenders with priors, the AIP has twice the percentage of property offenders found in the DOC sample. In the AIP, property offenders have had higher recidivism than the other offender types.
- The AIP offenders with priors are younger than those in the DOC sample--the group with the highest AIP recidivism.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

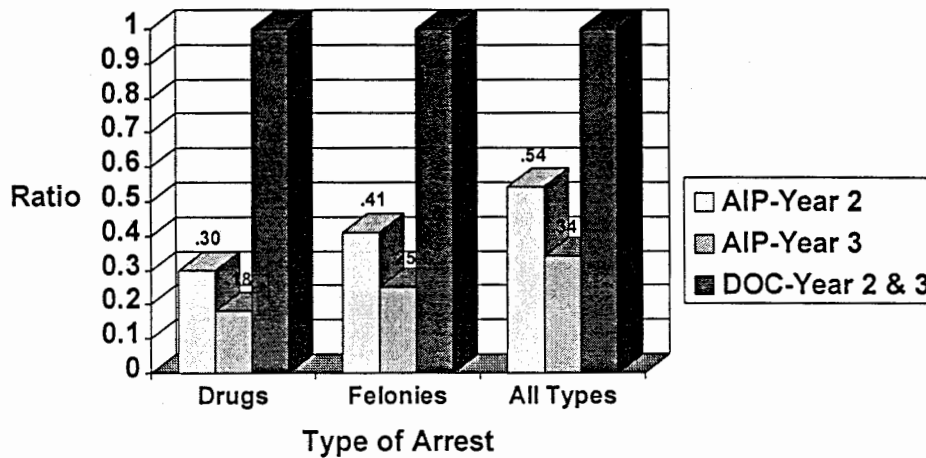
Ratio of Arrests Per Days on the Street: Drug Offenders



- Drug offenders are often seen as a major public risk. AIP clients were arrested for drug crimes and for felonies at less than half the rate for those in the DOC comparison sample after 2 years.
- The relative rates for drug arrests were less than 1 by AIP clients for every 3 by offenders in the DOC comparison sample after 3 years, and just over 1 for 3 for felony arrests.
- The ratio increased between the second and third years for all three types of new arrest.
- The ratio had dropped to well under 1 arrest of any type of an AIP client for every 2 of a DOC sample offender by the third year.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

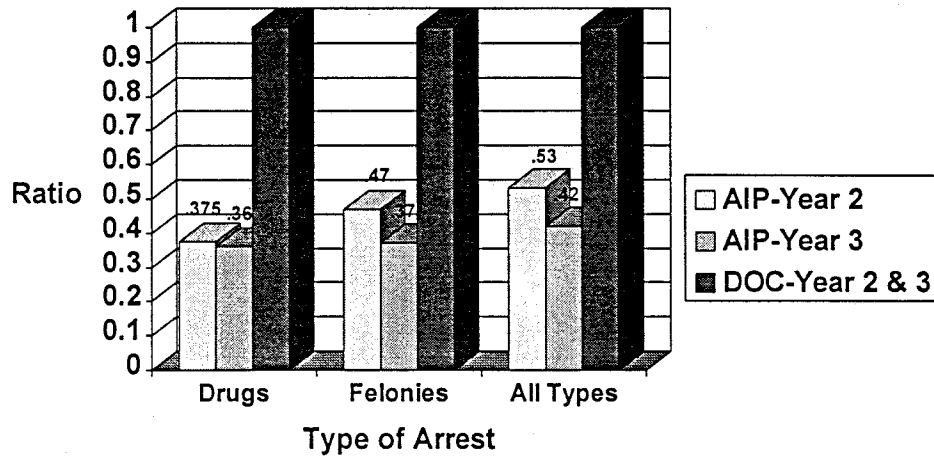
Ratio of Arrests Per Days on the Street: Drug Offenders Under Age 21



- Drug offenders under 21 represent one of the two potentially highest-risk groups, due to both age and type of offenses. Relative to those in the DOC comparison sample, the AIP clients had very low rates of new arrest for drug crimes after 2 years; just 3 for every ten. This dropped to less than 2 for every ten after 3 years.
- The young drug offenders in the AIP sample also had just over two felony arrests for every five of the analogous offenders in the DOC comparison sample after 2 years. Here, too, the difference grew after 3 years, to just over one for every three.
- After 3 years, relative rates of new arrests of any type for young drug offenders sentenced to AIP had dropped to just over one for every three of comparable offenders in the DOC comparison sample.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

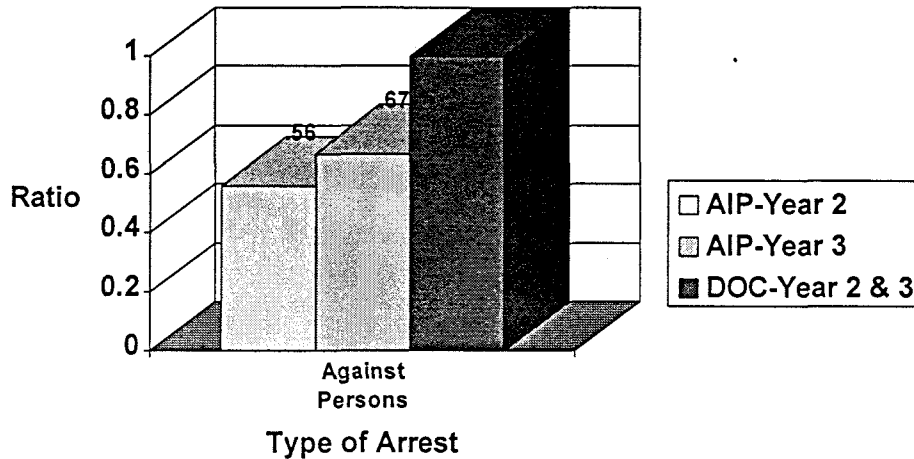
Ratio of Arrests Per Days on the Street: Drug Offenders with Prior Convictions



- Drug offenders with convictions histories represent the other potentially highest risk group, due to the type of offense and the fact that they have already re-offended at least once. Those sentenced through the AIP did well relative to those in the DOC comparison sample, and the difference increased between the second and third years across types of new arrest.
- By the third year, the experienced drug offenders in the AIP were arrested for new drug charges at a ratio of just over one for every three arrests of a person in the DOC comparison sample.
- Similarly, after 3 years, these AIP clients had less than three arrests on felony charges for every eight by a DOC comparison sample offender.
- Although the ratio was smaller for arrests of all types, by the third year there were fewer than four AIP arrests for every nine of a DOC comparison sample offender.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

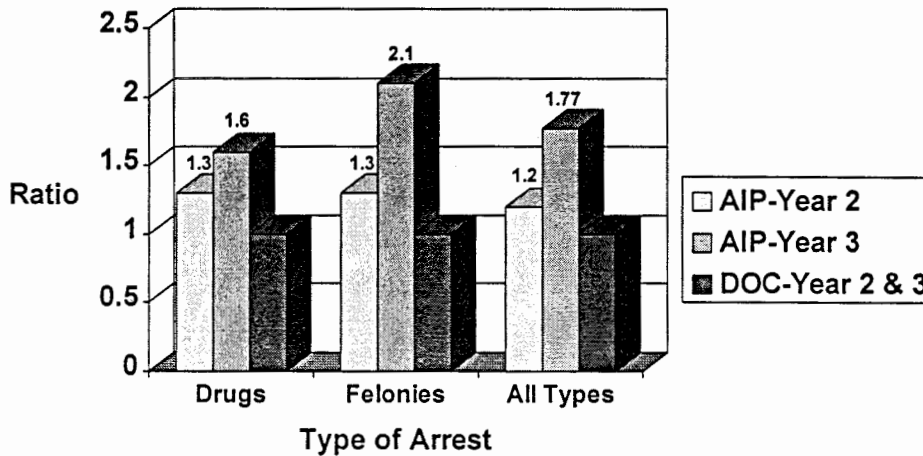
Ratio of Arrests Per Days on the Street: Violent Offenders



- Violent crime may be the single greatest source of public safety concern. AIP clients had substantially lower rates of repeat violence than those in the DOC comparison sample, although these rates were not high for either group.
- The difference between the two groups narrowed between the second and third years, but there were still two arrests of AIP clients for crimes against persons for every three arrests of offenders in the DOC comparison sample.
- The primary offenses involved in this category are third degree assault (a misdemeanor) and third degree burglary (the lowest grade of felony).

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

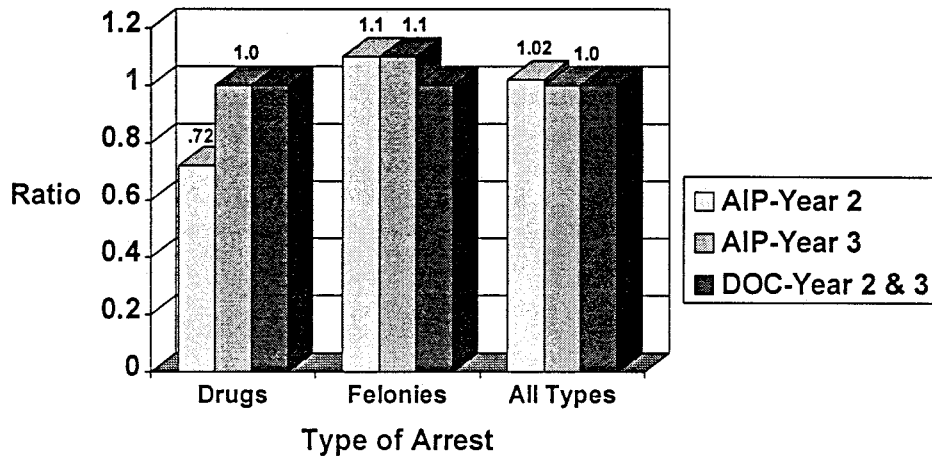
Ratio of Arrests Per Days on the Street: Property Offenders



- Property offenders are often less a source of public safety concern than other types because they are not violent. However, they account for substantial amounts of criminal activity. Across types of new arrests, AIP property offenders did poorly relative to those in the DOC comparison sample, and the difference grew between the second and third years.
- After 3 years there were more than two felony arrests of AIP property offenders for every one of their counterparts in the DOC comparison sample. There were more than 7 for every 4 arrests of all types.
- AIP property offenders were younger than those in the DOC sample: 25% were under 18, compared to 7% of those incarcerated. These young offenders were arrested at high rates: 86% of AIP clients under 18 were arrested, and 100% of the youth in the DOC sample.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

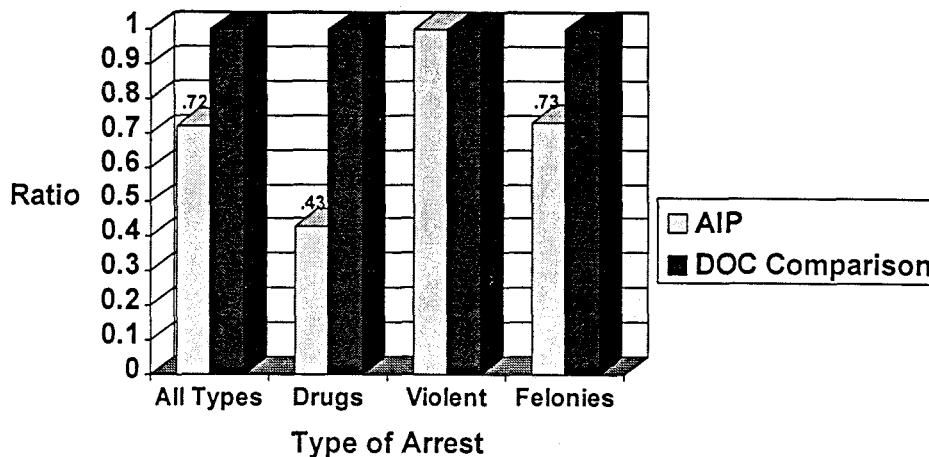
Ratio of Arrests Per Days on the Street: Public Order Offenders



- Public order offenders are often ignored by policy makers because their offenses do not directly affect individuals. Their offenses include public misbehavior, violation of court orders, and illegal weapons possession (not use). Although AIP public order offenders were arrested for drug crimes at lower rates than their DOC counterparts after 2 years, the rates had become equal after 3 years.
- Relative rates of arrests for felonies and for crimes of all types were the same or slightly higher for AIP and DOC comparison sample public order offenders.
- Public order offenders were most likely of all AIP offenders to have new arrests after 3 years. The high rates were driven by those convicted of failure to appear in court (80% of whom had new arrests) and illegal weapons possession (76% of whom had new arrests).

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

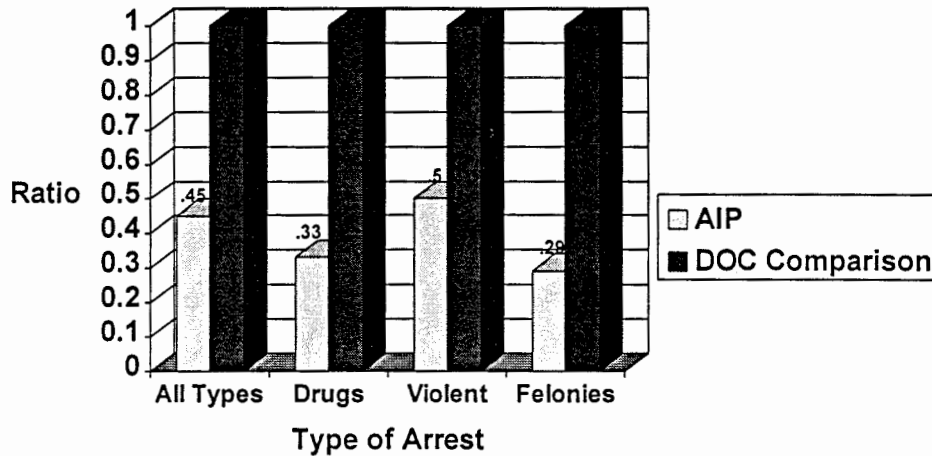
Ratio of Arrests Per Days on the Street: Men



- After 3 years, men sentenced under the AIP statute had lower rates of arrests of all types except violent offenses, where they were equal.
- Overall, there were fewer than three arrests of any kind of a male AIP client for every four of men in the DOC comparison sample.
- The relative rates were best for AIP clients in new drug arrests: fewer than four for every nine.
- The higher relative rates in new violent offenses are driven partly by the greater youth of the AIP sample: nearly half (48%) of its men are under 21, compared to 34% of the men in the DOC comparison sample.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

Ratio of Arrests Per Days on the Street: Women



- Relative to women in the DOC comparison sample, female AIP clients have substantially lower rates of arrest of all types.
- The differences in rates are particularly notable for drug crimes (one for every three), and felonies (less than three for every ten).
- Overall, 54% of female AIP clients had no arrests after 3 years, compared to 28% of those in the DOC sample.
- Women with no priors did the best for both groups, and there were more of them in the AIP sample, although this explains only part of the difference.

Note: This graph shows the comparison of arrest rates for the two groups, not the rates themselves.

APPENDIX A

Characteristics of Sentenced Offenders

Characteristics of Sentenced Offenders

(In Percent)

	<u>AIP</u>	<u>AIC¹</u>	<u>ISDU¹</u>	<u>DIC¹</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI- TIONAL</u>	<u>"SPLIT"</u>
<u>Sex</u>							
Male	83	83	88	86	84	86	86
Female	17	17	12	14	17	14	14
TOTAL % (N)	100 (651)	100 (478)	100 (166)	100 (84)	101 ¹ (582)	100 (211)	100 (227)
<u>Race/Ethnicity</u>							
Caucasian	38	42	26	10	29	37	55
African-American	36	35	37	50	46	39	31
Latino	25	22	36	40	25	23	14
Other	*	*	1	-	1	1	1
TOTAL % (N)	99 ² (651)	99 ² (475)	100 (166)	100 (84)	101 ² (582)	100 (211)	101 ² (227)
<u>Age</u>							
17 & under	15	15	4	30	4	4	5
18 - 20	21	23	9	30	14	13	15
21 - 25	22	20	26	18	26	21	19
26 - 30	18	16	28	14	25	18	23
31 - 40	18	19	27	6	24	37	30
41 - 60	6	6	5	2	7	7	8
61 & over	1	1	-	-	-	-	1
TOTAL % (N)	101 ² (651)	100 (478)	99 ² (166)	100 (84)	100 (582)	100 (211)	101 ² (227)

* Less than 0.5%.

¹ Throughout these tables, AIC, DIC and ISDU frequencies are for everyone who had that condition. Many, but not all, program clients were sentenced under the AIP statute and are also included in the AIP frequencies. 115 of the AIC, 130 of the ISDU, and 51 of the DIC clients were sentenced directly, and not under the AIP statute.

² Percentages do not total 100 due to rounding.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI- TIONAL</u>	<u>"SPLIT"</u>
<u>Education</u>							
Up to 8th Grade	12	10	9	17	10	10	8
9th - 11th	47	47	52	57	49	46	41
High school grad	35	35	27	26	33	37	42
Some college	5	6	10	-	7	7	8
College grad	1	1	1	-	1	1	1
Post-college	*	*	-	-	*	-	*
TOTAL %	100	99 ¹	99 ¹	100	100	101 ¹	100
(N)	(625)	(446)	(128)	(83)	(577)	(206)	(227)
<u>Marital Status</u>							
Single	77	78	66	88	86	86	85
Married	9	8	16	5	14	14	15
Separated	4	4	6	2	-	-	-
Widowed	1	-	-	-	-	-	-
Divorced	9	10	12	5	-	-	1
TOTAL %	100	100	100	100	100	100	101 ¹
(N)	(610)	(403)	(122)	(56)	(562)	(207)	(226)

* Less than 0.5%.

¹ Percentages do not total 100 due to rounding.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI-TIONAL</u>	<u>"SPLIT"</u>
<u>Number of Dependents</u>							
None	53	54	39	54	59	56	57
One	22	22	17	23	18	19	18
Two - three	15	14	19	10	14	14	15
Four - five	9	8	23	14	8	10	9
Six or more	1	2	2	-	1	1	1
TOTAL %	100	100	100	101 ¹	100	100	100
(N)	(593)	(388)	(119)	(52)	(579)	(208)	(227)
<u>Known Drug Problems</u>							
Yes	78	77	98	73	82	76	83
No	22	23	2	27	19	24	17
TOTAL %	100	100	100	100	101 ¹	100	100
(N)	(650)	(473)	(158)	(84)	(520)	(207)	(220)
<u>Known Alcohol Problems</u>							
Yes	61	63	79	43	81	76	82
No	19	37	21	57	19	24	18
TOTAL %	100	100	100	100	100	100	100
(N)	(650)	(471)	(158)	(84)	(520)	(207)	(220)

¹ Percentages do not total 100 due to rounding.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI- TIONAL</u>	<u>"SPLIT"</u>
Seriousness of Most Serious Charge at Conviction							
A Felony	-	*	-	4	-	1	-
B Felony	4	4	1	5	6	1	3
C Felony	8	8	4	12	7	7	7
D Felony	20	18	18	21	19	15	31
Uncl. Felony	58	55	63	43	58	23	22
Uncl. Misdemeanor	1	2	2	10	2	14	2
A Misdemeanor	7	9	8	6	7	28	28
B Misdemeanor	1	1	1	-	-	4	3
C Misdemeanor	1	2	4	-	1	5	5
D Misdemeanor	-	-	-	-	-	-	-
Infraction	-	-	-	-	1	2	-
Other	-	*	-	-	-	-	-
TOTAL %	100	99¹	101¹	101¹	101¹	100	101¹
(N)	(651)	(477)	(166)	(84)	(582)	(211)	(227)

* Less than 0.5%.

¹ Percentages do not total 100 due to rounding.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI- TIONAL</u>	<u>"SPLIT"</u>
<u>Type of Most Serious Charge at Conviction</u>							
Personal	29	24	19	29	30	24	49
Substance	49	48	61	38	54	22	15
Property	14	16	11	19	7	17	21
Order	8	11	9	14	8	35	16
Other	-	-	-	-	-	1	-
TOTAL %	100	99 ¹	100	100	99 ¹	99 ¹	100
(N)	(651)	(477)	(166)	(84)	(582)	(211)	(227)
<u>Number of Prior Convictions</u>							
None	55	49	30	44	29	18	34
One	11	14	21	23	15	8	11
Two - three	14	16	13	12	17	18	16
Four - five	8	8	7	11	13	15	8
Six - ten	9	8	18	8	14	22	13
Eleven - twenty	3	3	8	2	10	16	14
Twenty-one or more	1	1	2	-	3	3	5
TOTAL %	101 ¹	99 ¹	99 ¹	100	101 ¹	100	100
(N)	(651)	(477)	(166)	(84)	(580)	(211)	(226)

¹ Percentages do not total 100 due to rounding.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI-TIONAL</u>	<u>"SPLIT"</u>
Number of Prior Felony Convictions							
None	72	68	44	63	44	37	61
One	12	17	18	20	24	24	17
Two - three	10	10	20	13	20	24	12
Four -five	3	3	10	4	6	9	6
Six - ten	2	2	7	-	5	6	4
Eleven - twenty	1	*	1	-	1	1	-
twenty-one or more	-	-	-	-	-	-	-
TOTAL %	100	100	100	100	100	101 ¹	100
(N)	(651)	(477)	(164)	(84)	(580)	(211)	(226)
Number of Prior Probation Sentences							
None	64	60	44	51	40	27	42
One	13	16	18	23	22	17	21
Two - three	15	18	26	21	26	32	20
Four - five	5	4	7	4	8	16	11
Six - ten	3	2	5	1	4	8	5
Eleven - twenty	-	*	-	-	-	-	1
Twenty-one or more	-	-	-	-	-	-	-
TOTAL %	100	100	100	100	100	100	100
(N)	(651)	(477)	(164)	(84)	(580)	(211)	(226)

* Less than 0.5%.

¹ Percentages do not total 100 due to rounding.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI- TIONAL</u>	<u>"SPLIT"</u>
Number of Prior Violations of Probation							
None	94	91	83	82	81	75	80
One	4	6	10	16	13	18	13
Two - three	2	3	6	2	6	8	6
Four -five	-	*	1	-	-	-	-
Six - ten	-	-	1	-	-	-	-
Eleven - twenty	-	-	-	-	-	-	-
twenty-one or more	-	-	-	-	-	-	-
TOTAL %	100	100	101 ¹	100	100	101 ¹	99 ¹
(N)	(651)	(477)	(164)	(84)	(580)	(211)	(226)
Time Since First Recorded Arrest							
This is first	51	50	38	38	27	15	29
Less than 1 year	11	11	14	24	11	11	13
One - two years	5	5	5	5	9	6	8
Two - five years	12	12	15	18	18	16	10
Five - ten years	8	8	14	8	15	21	18
Ten or more years	13	13	14	7	19	30	23
TOTAL %	100	99 ¹	100	100	99 ¹	99 ¹	101 ¹
(N)	(651)	(478)	(166)	(84)	(582)	(211)	(227)

* Less than 0.5%.

¹ Percentages do not total 100 due to rounding.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI- TIONAL</u>	<u>"SPLIT"</u>
Length of time between Arrest and Disposition							
Same day	1	*	1	1	4	21	
Up to 1 month	1	1	2	5	9	15	19
1 month - 3 months	13	19	18	23	17	23	24
3 months - 6 months	41	40	48	27	26	24	26
6 months - 1 year	35	30	23	34	25	20	17
1 - 2 years	9	8	8	8	15	11	9
Over 2 years	1	1	1	1	5	4	4
 TOTAL %	 101 ¹	 99 ¹	 101 ¹	 99 ¹	 101 ¹	 99 ¹	 101 ¹
(N)	(651)	(478)	(166)	(84)	(582)	(211)	(226)

* Less than 0.5%.

¹ Percentages do not total 100 due to rounding.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI- TIONAL</u>	<u>"SPLIT"</u>
Incarcerated during Pretrial Period							
Yes	46	43	55	55	76	66	69
No	54	57	45	45	24	34	31
TOTAL % (N)	100 (651)	100 (478)	100 (166)	100 (84)	100 (580)	100 (209)	100 (227)
Length of Pretrial Incarceration							
None	54	57	45	45	24	34	31
1 day - 1 week	19	20	11	14	10	8	14
1 - 2 weeks	6	6	4	8	7	8	10
2 weeks - 1 month	5	5	2	13	12	16	14
1 month - 3 months	10	8	13	11	22	26	21
3 months - 6 months	5	3	23	6	17	8	9
6 months - 1 year	2	1	3	2	6	1	2
Greater than 1 year	*	*	-	-	3	-	-
TOTAL % (N)	101 ¹ (651)	100 (478)	101 ¹ (166)	99 ¹ (84)	101 ¹ (580)	101 ¹ (209)	101 ¹ (227)

* Less than 0.5%.

¹ Percentages do not total 100 due to rounding.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI- TIONAL</u>	<u>"SPLIT"</u>
<u>Arrested in First Year</u>							
Yes	33	35	36	37	39	49	45
No	67	65	64	63	61	51	55
TOTAL %	100	100	100	100	100	100	100
(N)	(650)	(473)	(166)	(84)	(509)	(211)	(218)
<u>Convicted of First Year Arrest</u>							
Yes	26	27	26	26	28	38	39
No	74	73	74	74	72	62	61
TOTAL %	100	100	100	100	100	100	100
(N)	(650)	(473)	(166)	(84)	(506) ¹	(210)	(216)
<u>Arrested Within First Two Years</u>							
Yes	50	50	57	64	57	66	58
No	50	50	43	36	43	34	42
TOTAL %	100	100	100	100	100	100	100
(N)	(650)	(473)	(165)	(84)	(455)	(209)	(219)
<u>Convicted of Arrest Within First Two Years</u>							
Yes	39	40	41	45	43	56	50
No	61	60	59	55	57	44	50
TOTAL %	100	100	100	100	100	100	100
(N)	(650)	(473)	(165)	(84)	(455)	(208)	(212)

¹ The total is less than the number of arrests because three cases were still pending.

Characteristics of Sentenced Offenders

(Continued; In Percent)

	<u>AIP</u>	<u>AIC</u>	<u>ISDU</u>	<u>DIC</u>	<u>DOC COMPARE</u>	<u>DOC TRANSI- TIONAL</u>	<u>"SPLIT"</u>
<u>Arrested Within First Three Years¹</u>							
Yes	57	57	64	72	65	NA	70
No	43	43	36	28	35		30
 TOTAL %	100	100	100	100	100 ¹		100
(N)	(641) ²	(470) ²	(159) ²	(82) ²	(350) ²		(182) ²

¹ No data are provided for convictions on arrests within three years because many cases were still pending.

² The total number included in data on arrests within three years is lower than prior years because some offenders did not have "opportunity" to be arrested and so are not included.

APPENDIX B

Characteristics of Four Types of Release: DOC Comparison Sample

Characteristics of Four Types of Release: DOC Comparison Sample
(In Percent)

	<u>Halfway House</u>	<u>SHR</u>	<u>Parole</u>	<u>Time Served</u>
<u>Sex</u>				
Male	69	83	92	84
Female	31	17	8	16
TOTAL %	100	100	100	100
(N)	(42)	(327)	(38)	(109)
<u>Race/Ethnicity</u>				
African American	57	45	53	39
Caucasian	24	30	24	34
Latino/a	19	25	21	25
Asian	-	-	3	2
TOTAL %	100	100	101 ¹	100
(N)	(42)	(327)	(38)	(109)
<u>Age</u>				
17 & under	-	3	5	9
18 - 20	7	16	32	7
21 - 25	31	26	16	28
26 - 30	43	25	16	25
31 - 40	14	27	21	18
41 - 60	5	4	8	12
61 & over	-	-	3	-
TOTAL %	100	101 ¹	101 ¹	99 ¹
(N)	(42)	(327)	(38)	(109)

¹ Percentages do not total 100 due to rounding.

Characteristics of Four Types of Release: DOC Comparison Sample
(In Percent)

	<u>Halfway House</u>	<u>SHR</u>	<u>Parole</u>	<u>Time Served</u>
<u>Seriousness of Most Serious Charge at Conviction</u>				
B Felony	10	2	8	5
C Felony	10	6	11	8
D Felony	14	20	16	18
Uncl. Felony	64	65	61	36
Uncl. Misdemeanor	-	1	-	5
A Misdemeanor	-	4	3	23
B Misdemeanor or less	2	2	3	6
TOTAL %	100	100	102 ¹	101 ¹
(N)	(42)	(327)	(38)	(109)
<u>Type of Most Serious Charge at Conviction</u>				
Personal	24	24	29	46
Substance	62	62	58	30
Property	7	8	8	6
Order	7	6	5	17
TOTAL %	100	100	100	99 ¹
(N)	(42)	(327)	(38)	(109)
<u>Number of Prior Convictions</u>				
None	29	29	26	31
One	7	15	21	16
Two - three	29	17	16	13
Four - five	21	12	11	11
Six or more	14	27	26	29
TOTAL %	100	100	100	100
(N)	(42)	(327)	(38)	(108)

¹ Percentages do not total 100 due to rounding.

Characteristics of Four Types of Release: DOC Comparison Sample
(In Percent)

	<u>Halfway House</u>	<u>SHR</u>	<u>Parole</u>	<u>Time Served</u>
<u>Number of Prior Violations of Probation</u>				
None	74	81	87	82
One	21	13	8	10
Two or more	5	6	5	7
TOTAL %	100	100	100	99 ¹
(N)	(42)	(326)	(38)	(108)

¹ Percentages do not total 100 due to rounding.

APPENDIX C

Interview Questions

Contact name _____

Agency _____

Interview Questions For Community Organizations

Hi my name is _____ from the Village for Families and Children in Hartford. I am working on a longitudinal study of sentencing alternatives funded by the Judicial Branch for the Office of Alternative Sanctions. Your name was referred by _____, Director of the _____ AIC or DIC as someone who has a sense of the impact that alternative programs such as AIC's or DIC's have on the community. I was wondering if this would be a good time to ask you a few brief questions as part of an effort to gather this important information. *If not, when would be a good time to get back to you?*

- 1) Can you describe the type of contact you have with the AIC (DIC) and the length of time you have been involved with it?

- 2) *If you are speaking to someone who heads a program:*
How has that experience been for you?

Has your participation with AIC (DIC) been helpful to your program?

Can you give some examples of the AIC (DIC) contributions to your program?

Have any problems occurred in your experiences? *If yes, what were they?*

If you experienced problems, how did the AIC staff (DIC staff) respond?

Were they supportive?

Did they address the problems effectively?

What are the major ways the AIC (*DIC*) benefits this community?

Are you aware of any problems in the community?

Does the AIC (*DIC*) have any cost impact (positive or negative)?

2a) *If you are talking to the contact or agency involved with a work crew:*
Were you satisfied with the job performed by AIC clients?

Did you have any problems?

If yes, What were they?

How did this program benefit you?

How did this program benefit the larger community?

2b) *If you are talking to a member of the board of directors:*
How do you view the AIC's (*DIC's*) impact on the community?

What do you think are the benefits of Alternative Incarceration Programs?

Are you aware of any problems the AIC (*DIC*) has had in _____(*name of the community*)?

If yes, What type of problems?

Does the AIC (*DIC*) have any cost impact (positive or negative)?

- 3) Is there anything else you would like us to know about the AIC's (*DIC's*) impact on the community?

Thank you very much for your time. You have been a tremendous help to us. If you have any questions you may contact: Dr. Eleanor Lyon at 860-297-0523 at the Village for Families & Children in Hartford.