

**SECOND ADDENDUM TO THE FINAL REPORT OF THE COURT SUPPORT
SERVICES DIVISION'S PROBATION TRANSITION PROGRAM AND
TECHNICAL VIOLATIONS UNIT**

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EXECUTIVE SUMMARY

In response to Public Act 04- 234, *An Act Concerning Prison Overcrowding*, the Court Support Services Division within the Judicial Branch designed and implemented two pilot probation programs that sought to decrease probation violations and subsequent incarceration. These programs were the Probation Transition Program (PTP) and the Technical Violation Unit (TVU). A final evaluation report of these programs was prepared in January of 2006 and an addendum report was released in August of 2006. The initial report consisted of a process evaluation of the implementation of the PTP and TVU with a short term outcome assessment of probationers' violation rates during their 120 day participation in the PTP and TVU. The addendum report followed the study groups one year from the start of the program. This report provides a two year follow-up for the three study groups.

Summary of Two Year Assessment

The two year assessment consisted of comparing the probation violation rates and incarceration rates across the PTP participation group, the PTP comparison group, and the TVU group. We present three major findings of this report. First, PTP participants had significantly lower probation violation rates than the comparison group (51% to 80%) two years after the start of their participation in PTP. This difference was directly attributed to a lower technical violation rate (17% for the PTP and 38% for the PTP comparison group). Second, the 68% violation rate (and the 35% technical violation rate) for the TVU was encouraging because 100% of these probationers would have been violated without the TVU program. Third, the reincarceration rates for both PTP (28%) and TVU (34%) were significantly lower than the PTP comparison group (60%).

Overall Conclusions

The overarching goal of these programs was to decrease the number of technical violators returning to prison by 20%. Our three evaluation reports show that CSSD was successful in obtaining this goal. It is important to stress that these programs were able to produce both short and long-term effects. The probation violation rates were lower for PTP probationers compared to the comparison group during the 120 day programs and, more importantly, these differences remained at end of two years. The TVU also produced similarly successful long term results.

INTRODUCTION

In response to Public Act 04- 234, *An Act Concerning Prison Overcrowding*, the Court Support Services Division within the Judicial Branch designed and implemented two pilot probation programs to decrease probation technical violations and subsequent incarceration by 20%. These programs were the Probation Transition Program (PTP) and the Technical Violation Unit (TVU). A final evaluation report of these programs was prepared in January of 2006 and an addendum report was released in August of 2006. The initial report consisted of a process evaluation of the implementation of the PTP and TVU with a short term outcome assessment of probationers' violation rates during their 120 day participation in the PTP and TVU. The addendum report followed the study groups one year from the start of the program. This report provides a two year follow-up for the three study groups.

Description of the Probation Transition Program and Technical Violation Unit

The PTP targeted inmates who had terms of probation upon their discharge from the Department of Correction (e.g., those discharged at the end of sentence from a correctional facility, halfway house, parole, transitional supervision or a furlough). The goal of this program was to increase the likelihood of a successful probation period for split sentence probationers by reducing the number and intensity of technical violations during the initial period of probation. The TVU focused on a different group of probationers who were about to be violated for technical reasons (e.g., deliberate or repeated non-compliance with court ordered conditions, reporting requirements, and service treatment requirements). The TVU was different, in that, it included all probationers regardless of whether they had been incarcerated. The goal of the TVU was to reduce the number of probationers sentenced to incarceration as a result of technical violations of probation.

Summary of the First Two reports

The initial report found a 40% difference in the violation rates between the PTP participation and PTP comparison groups during the first four program months. The higher violation rate for the TVU (30%) was not unexpected given that these were probationers who had already demonstrated poor behavior and were on the verge of being violated when referred to the TVU. It is important to restate that the baseline violation rate for TVU was 100%. That is, without TVU, all of the TVU probationers would have been violated.

The addendum report had three primary findings. First, PTP participants had significantly lower probation violation rates than the PTP comparison group (36% to 52%) one year after these split-sentenced probationers were released from prison. This difference was directly attributed to a lower technical violation rate (14% for the PTP and 26% for the PTP comparison group). Second, the 59% violation rate for the TVU was encouraging because 100% of these probationers would have been violated without the TVU program. Third, the reincarceration rates for both PTP (17%) and TVU (24%) were significantly lower than the PTP comparison group (41%).

TWO YEAR EFFECTIVENESS ASSESSMENT

A two year effectiveness analysis was conducted for PTP and TVU participants. This study assessed probation violation rates (technical violations and new arrests) and incarceration rates for a two year period after probationers' started the PTP or TVU.

Description of Study Groups

There were three study groups in the one year assessment. Two of these groups were samples drawn from PTP and TVU clients; the third group was a PTP comparison group. The PTP and TVU samples were comprised of all program participants who started the PTP or TVU from the programs' inception (October 1, 2004) to May 1, 2005. These samples were selected because at least one year had elapsed since they began the PTP or TVU.

The third study group, the PTP comparison group, was created by taking all split-sentenced felony probation cases that were closed during the months of June, July, and August of 2004 for courts that had PTP programs. These cases may have been closed because the client successfully completed his/her probation sentence or had his/her probation terminated or revoked due to a new arrest or technical probation violation. This type of group was utilized because it created a random selection of split sentenced offenders from the five PTP offices, it removed the problem of having a defined follow-up period, and provided complete outcome data for split sentenced probationers prior to the implementation of the PTP (refer to the initial final report for a more complete discussion of the creation of the PTP comparison group).

New Arrests and Technical Violations Across Study Groups

Table 1 presents the probation violation rates (both technical violation and new arrest) for the three study groups by their LSI risk level. The overall probation violation rate was the highest for the PTP comparison group (80%), followed by the TVU group (70%) and the PTP participation group (51%). For all three groups, the violation rate increased by risk level with the exception of the surveillance probationers in the PTP comparison group. This finding was most pronounced in the PTP group. Probationers with low risk levels had a very low violation rate (16%) while 62% of surveillance PTP probationers were violated. In addition, the violation rate was significantly higher for the PTP comparison group than the PTP group at every LSI risk level.

There were also significant differences between the PTP and PTP comparison groups in technical violations (Table 2). The PTP technical violation rate (17%) was significantly lower than the PTP comparison group technical violation rate (38%). The differences in new arrests and new arrests and technical violations between these two groups were not statistically significant.

Table 1. Two Year Probation Violation Rates by LSI Risk Level of Study Groups*

LSI Risk Level	PTP (n=397)	PTP Comparison (n=134)	TVU** (n=323)
Low	16% (7 of 44)	60% (21 of 35)	54% (20 of 37)
Medium	44% (15 of 34)	88% (15 of 17)	69% (30 of 43)
High	56% (138 of 248)	87% (61 of 70)	70% (155 of 220)
Surveillance	62% (44 of 71)	83% (10 of 12)	87% (20 of 23)
Total	51% (204 of 397)	80% (107 of 134)	70% (225 of 323)

*Study group differences were statistically significant at $p < .05$

**There were 349 probationers in the TVU study group, 26 did not have an LSI score.

Table 2. New Arrests and Probation Violations Across Study Groups*

	PTP (n=397)	PTP Comparison (n=134)	TVU (n=349)
VOPs and New Arrests within 2 Years			
New Arrests	76 (19%)	24 (18%)	65 (19%)
Technical Violations	69 (17%)	51 (38%)	122 (35%)
New Arrests and Tech. Violation	59 (15%)	32 (24%)	51 (15%)
Totals	204 (51%)	107 (80%)	238 (68%)

*Study group differences were statistically significant at $p < .05$

For TVU, 68% of the probationers were rearrested or violated two years from starting the program (Table 2). While 35% of TVU group received technical violations, 34% had been arrested.

Figures 1 and 2 present line graphs of when the technical violations (Figure 1) or new arrests (Figure 2) occurred (new arrests and new arrests with technical violations were combined into Figure 2). For technical violations, the PTP group had less technical violations every month throughout the two years than the PTP comparison group. The pattern of when the technical violation occurred is also different between these two groups. The technical violation rate for the PTP group slowed after the seventh month while the PTP comparison group steadily increased throughout the two years. This finding suggests that PTP's early intervention produced long term positive effects on PTP participants.

For TVU participants, the two year trend was similar to the PTP participation group. That is, the majority of technical violations occurred during their participation in TVU and leveled off in month eight. After this, there was slight increase in technical violations. For those TVU participants who completed the 120 day TVU program and the four months after their return to a general probation caseload, their chances of receiving a technical violation sharply decreased.

Figure 1. Cumulative Technical Violation Rates by Month in the Program

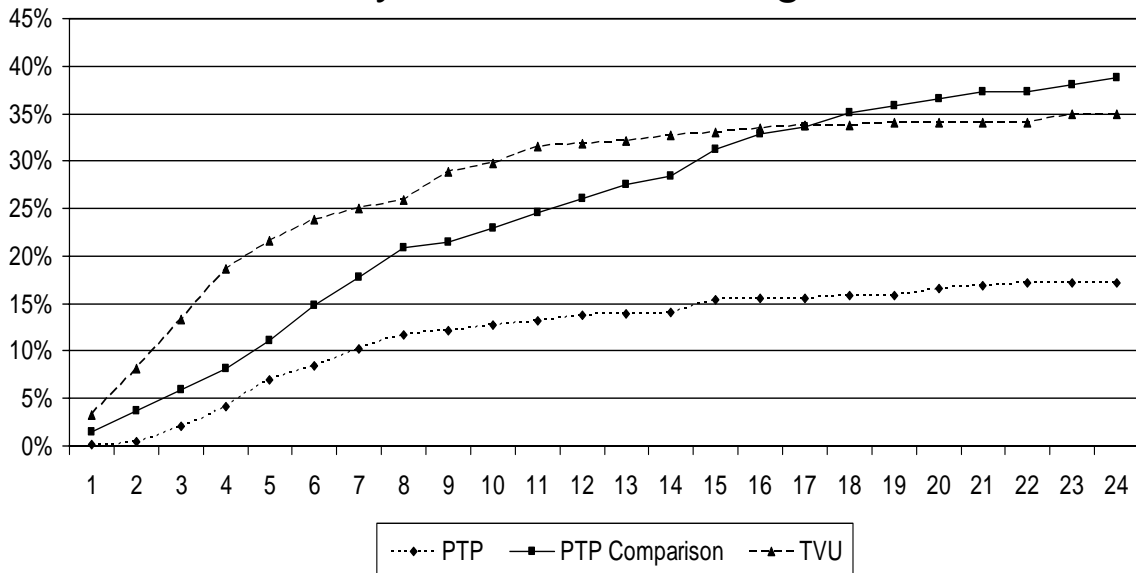
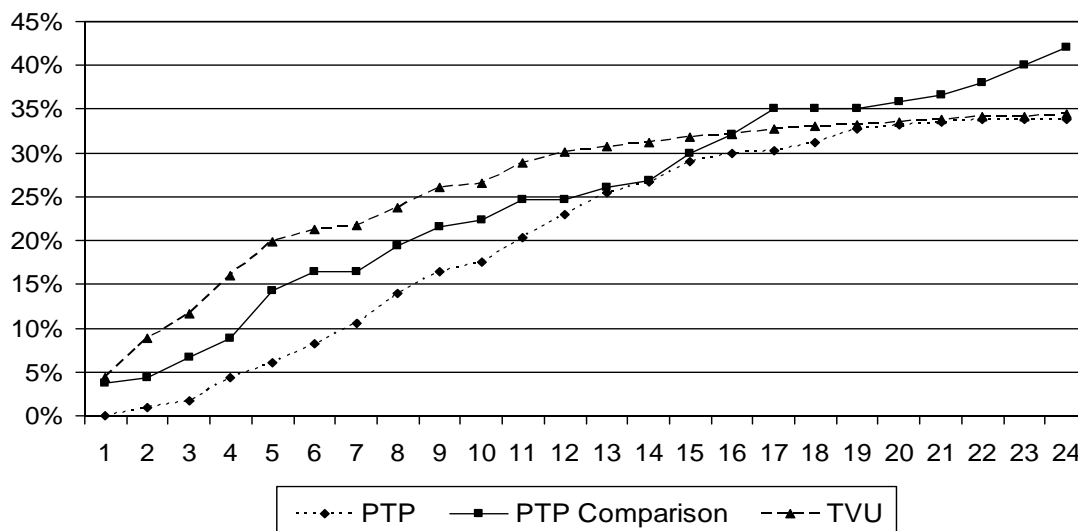


Figure 2 presents the same information for new arrest rates. The rearrest rate for the PTP group steadily increased until the fifteenth month with only a few probationers being rearrested through the next nine months. The rearrest trend for PTP comparison group was different, in that, probationers were rearrested at a fairly pace throughout the twenty-four month period. The pattern for the TVU group was different than both PTP study groups. They were rearrested at a much higher rate through the first twelve months. However, the TVU rearrested rate only slightly increased during the second twelve month period.

Figure 2. Cumulative New Arrest Rates by Month in the Program



New Arrests and Technical Violations Across Probation Offices

The probation violation rates by office shows that all five of the PTP offices had violation rates lower than the PTP comparison group (Figure 3). The largest differences were in Bridgeport and New London, where the PTP group violation rate was 44% lower than the PTP comparison group. For TVU, the probation violation rates were comparable across office with the exception of Waterbury (Figure 3). New Britain had the highest violation rate (76%) and Waterbury had the lowest (56%).

Table 4 presents the type of probation violations by office. In the PTP, the New Haven office had the highest overall probation violation rate (60%) and Bridgeport had the lowest (44%). New Haven had the highest percentage of probationers who were rearrested (40%), Waterbury had the highest percentage of technical violations (27%). In the TVU program, the New Britain office had the highest overall probation violation rate (76%) and Waterbury had the lowest (56%). The New Britain office had the highest percentage of probationers rearrested (44%) and the New Haven office had the highest percentage of technical violations (45%).

Figure 3. Probation Violation Rates by Probation Office

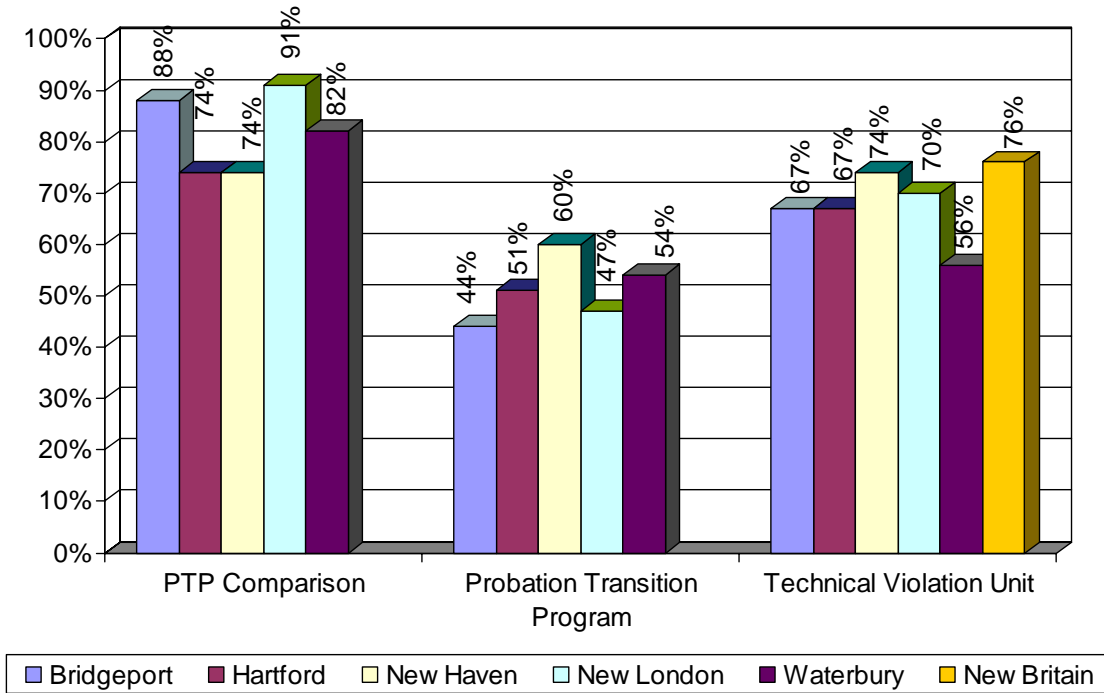


Table 4. Type of Probation Violations By Office

	New Arrest	Technical Violation	New Arrest and Technical Violation	Total
PTP				
Bridgeport (n=106)	28 (26%)	10 (9%)	9 (8%)	47 (44%)
Hartford (n=45)	7 (16%)	9 (20%)	7 (16%)	23 (51%)
New Haven (n=105)	27 (26%)	21 (20%)	15 (14%)	63 (60%)
New London (n=70)	6 (9%)	10 (14%)	17 (24%)	33 (47%)
Waterbury (n=71)	8 (11%)	19 (27%)	11 (15%)	38 (54%)
Totals (n=397)	76 (19%)	69 (17%)	59 (15%)	204 (51%)
TVU				
Bridgeport (n=46)	8 (17%)	20 (43%)	3 (7%)	31 (67%)
Hartford (n=67)	6 (9%)	23 (34%)	16 (24%)	45 (67%)
New Britain (n=50)	19 (38%)	16 (32%)	3 (6%)	38 (76%)
New Haven (n=76)	15 (20%)	34 (45%)	7 (9%)	56 (74%)
New London (n=44)	5 (11%)	12 (27%)	14 (32%)	31 (70%)
Waterbury (n=66)	12 (18%)	17 (26%)	8 (12%)	37 (56%)
Totals (n=349)	65 (19%)	122 (35%)	51 (15%)	238 (68%)

Note: Percentages are based on total number of probationers in each office

Reincarceration Rates by Type of Probation Violation

The PTP and the TVU groups had significantly lower reincarceration rates than the PTP comparison group (Table 5). That is, of all probationers who participated in PTP, 28% were reincarcerated compared to 60% for the PTP comparison group (the TVU reincarceration rate was 34%). For the PTP group, 10% of probationers who were sent to prison committed a new offense, 10% received a technical violation, and 8% were rearrested and received a technical violation compared to 6% of the PTP comparison group who were reincarcerated for a new offense, 33% for a technical violation, and 22% for both a new arrest and a technical violation.

Table 5. Reincarceration Rates of Study Groups by Type of Probation Violation

	PTP*	PTP Comparison	TVU*
New arrest	33 (10%)	8 (6%)	31 (10%)
Technical violation	32 (10%)	44 (33%)	54 (17%)
New arrest and tech. viol.	26 (8%)	29 (22%)	22 (7%)
Totals	91 (28% of 322)	81 (60% of 134)	107 (34% of 322)

*Total does not include violations that are pending court action

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Overall Conclusions

The overarching goal of these programs was to decrease the number of technical violators returning to prison by 20%. Our three evaluation reports show that CSSD was successful in obtaining this goal. It is important to stress that these programs were able to produce both short and long-term effects. The probation violation rates were lower for PTP probationers compared to the comparison group during the 120 day programs and, more importantly, these differences remained at end of two years. The TVU also produced similarly successful long term results.