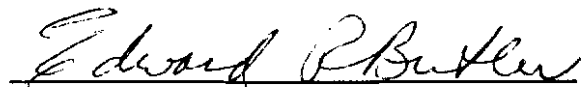


An Abstract of the Thesis of
Angela Swihart
for the Degree of
MASTER OF SCIENCE
in
Counselor Education & Rehabilitation
Rehabilitation Counseling
Presented on November 27, 1995

EFFECTIVENESS OF COUNSELING:
A STUDY IN ONE CORRECTIONAL SETTING

Evidence presented in the study Effectiveness of Counseling: A Study in One Correctional Setting, indicates that revocation of offenders is independent of counseling in this particular setting. Although the results were inconclusive, counseling continues to be assigned with the perceived outcome to be positive. Other variables may affect the outcome of the counseling process which ultimately could affect the revocation rate. This study can be used as a foundation for future studies for counseling and service providers as to what is the most efficient and effective.



Abstract Approved

COUNSELING EFFECTIVENESS:
A STUDY IN ONE
CORRECTIONAL SETTING

A Thesis

Presented to the Division of
Counselor Education & Rehabilitation Programs
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MASTER OF SCIENCE

Angela Swihart

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Chapter I

Introduction

As the twenty-first century approaches, the United States is continuously reminded that one of the biggest problems in society, crime, remains unsolved. Not a day passes where recounts of the latest crime committed is not in the media. Rising crime rates have resulted in the number of individuals incarcerated increasing. As of October 1991, the approximate number of individuals incarcerated in the United States was 730,939. By 1995, the number was expected to increase to 1,049,451. By the year 2000, the number of individuals incarcerated will be approximately 1,133,851 (U.S. Department of Justice, Federal Bureau of Investigation, 1992).

With the increase in the number of individuals incarcerated, it is necessary for each specific individual state to provide adequate correctional facilities to handle the rising need. Due to economic factors, many states are unable to meet this demand (Bryne, 1990). Of the 50 states, only 10 states will be able to meet the demand of the projected offender population increase by the year 2000. In striving to meet this demand, as of 1991, 44 states initiated alternatives to prison. These alternatives include boot camps, supervised work release, community release programs, intensive supervision, and day reporting programs (U.S. Department of Justice, Federal Bureau of Investigation, 1992). Economic factors as well as

correctional overcrowding have caused the criminal justice system to examine community-based corrections as a viable alternative to incarceration.

The assumption of community corrections is that crime and delinquency should be seen as symptoms of failure and disorganization at the community level. Because of these symptoms, community corrections should offer a variety of human support services to the offender (Lauen, 1988).

Because of the relative newness of community corrections programs, general documents published about day reporting programs in the United States contain basic information but no specific information on the effectiveness of enhanced support services (Corbett, 1992; Curtin, 1990; Robinson, 1990). At the Fifth Judicial District Day Reporting Program, Emporia, Kansas, counseling was considered a vital enhanced support service. This study explores how individual counseling for dealing with personal issues, substance abuse and societal issues affects the revocation rate among Fifth Judicial District Day Reporting Program participants. As of December 1994, the Day Reporting Program was dissolved at the Fifth Judicial District due to the lack of funding. Therefore this study may be used as a future indication of where funding should be spent in programs.

Background of the Problem

Since the turn of the century, the practice of

individualizing justice has been increasingly pushed in the direction of substituting programs of therapy, rather than punishment, for at least some individuals who are considered worthy of rehabilitation (Hartjen, Mitchell & Washburne, 1982). Probation and parole officers, clergymen, teachers, and a variety of other persons working in the corrections system have been providing counseling programs since the turn of the century. However, counseling within corrections was not popularized until after World War II when the counseling fever hit the nation (Schrink & Hamm 1989). Like many other programs in the criminal justice field, counseling services were developed without a systematic effort to determine the effectiveness of the services.

The use of counseling services reached a peak in the 1960's, and were viewed with optimism as an alternative for remediating criminal behavior. However, by the late 1960's and early 1970's, the rehabilitation movement or habilitation movement came under attack by researchers such as R. Martinson (1974) whose study on correctional rehabilitation programs stated that "nothing works." Researchers such as Palmer (1978, 1983, 1991) and Gendreau and Ross (1987) charged Martinson's study had research flaws; it became popular to denounce the effectiveness of many correctional programs.

Even though many programs have been denounced as ineffective, some programs are effective and do help the

offender. Bourdouris (1984) stated that the theme of "nothing works" is actually an artifact of the methodology employed in the attempt to measure recidivism. The rehabilitation of an offender is actually a process that is dependent on a variety of "treatments" incorporated during the lifetime of the offender. The measure of success or failure of the offender will be dependent on a number of variables such as period of imprisonment, probation, and type of intervention.

Research in the area of effective programs is not conclusive. Studies in the area of correctional programs have raised questions about faulty research designs, the suitability of statistics utilized, and justification of studies (Glaser, 1975; Robertson & Blackburn, 1984). Not only are there questions about the effectiveness of the studies of correctional programs but, Mathias and Sindberg (1985) have argued that the volume of research involving alternatives to incarceration for adult offenders is limited and offers mixed conclusions.

Statement of the Problem

As crime increases, incarceration costs continue to rise. Koehler and Lindner (1992) reported that in 1981 the cost of maintaining a single inmate per year in a New York City jail was \$18,671. By 1990, the cost had reached \$38,697. The rising costs and institutional overcrowding have made it necessary to find an alternative to

incarceration.

Since 1986, the institution of day reporting has been one intermediate sanction that provides the criminal justice system with an alternative to incarceration. Day Reporting Programs not only provide supervision and sanctions, but also offer enhanced services to the offender. Although alternative programming has been incorporated into the criminal justice system, research efforts have been limited in the area of measuring the effects of the specific services offered by these alternative approaches.

Counseling within the context of a day reporting program, an alternative service, has not been studied regarding its effects on the revocation rate of offenders. Schrink & Hamm (1989) have presented major issues affecting the effort of studying the effectiveness of counseling on corrections outcomes. Misconceptions, misperceptions, and general misinformation have developed concerning the nature and purpose of counseling activities in the correctional field.

Statement of Purpose

This study is intended to determine the effectiveness of counseling for reducing the revocation rate within the Fifth Judicial District Day Reporting Program. This researcher will investigate how effective counseling is within a specific correctional setting by examining an existing database on the enrollment of Fifth Judicial

District Day Reporting clients in individual counseling. Each individual involved in the study is placed in Day Reporting as part of a special condition of probation and/or parole. Following formal evaluation of the individual, the Day Reporting Officer enrolls the client in specific services. Individual counseling is not a requirement of the Day Reporting Program, unless ordered by the court and/or requested by the client or supervising officer. For the purposes of this study the counseling being evaluated is defined as one in which a therapeutic relationship is established between a counselor and a client inside the realm of the Day Reporting Program. The counselors involved in the counseling consist of local mental health counselors and graduate rehabilitation counseling interns and psychology counseling interns from Emporia State University. The counseling interns have little or no experience with offenders. The interns receive graduate credit for counseling and are supervised by Emporia State University faculty. This does not include the counseling given by the Day Reporting Officer. Even though this study focused on the benefits/effects of services offered at the Fifth Judicial District Day Reporting Program, information on the effects of counseling here could benefit other programs across the nation that do not offer this service. This study will also provide the Fifth Judicial District information on the effectiveness of counseling offered to

help determine the justification for the possible expansion of programs and services.

Statement of Hypothesis

The subjects of this study, as described above, come from diverse cultures and backgrounds. Clients in the program were at varying stages in the program when counseling was initiated. The null hypothesis H_0 is that counseling does not affect the rate of revocation among clients in the Fifth Judicial District Day Reporting Program. The alternate hypothesis H_1 is that counseling is significant in reducing the revocation rate. Revocation was based on whether the individual's participation in the day reporting program was revoked due to a new offense, or technical violation.

Statement of Significance

Counseling is increasingly recommended or ordered at most correctional and community-based facilities. In 1984, the percentage of individuals enrolled in counseling within correctional and community-based facilities was 27.3%. By 1990, the total percentage enrolled in counseling was 42.2%, representing a 14.9% increase (U.S. Department of Justice, Bureau of Justice Statistics, 1992). As seen by these statistics, the judicial system is increasingly assigning counseling as part of a penal sanction in the belief that counseling will assist to rehabilitate or habilitate an individual back into society (Hartjen, Mitchell, &

Washburne, 1982). Counseling is seen as part of the total services needed to help individuals "better adapt to the life circumstances and personal features which affect the likelihood of recidivism to occur" (Palmer, 1991, p. 332). Criminal justice policies state the goal of counseling as "the elimination of, or at least the reduction of, recidivism" (Bartollas, 1985, p. 30). "Most individuals who come under the jurisdiction of the correctional system could benefit from treatment or a rehabilitation program" (Hartjen, Mitchell & Washburne 1982, p. 28).

Since the late 1960's and early 1970's studies have been conducted to evaluate specific correctional programs. Of the research published on the effectiveness of programs, no information was identified on the effectiveness of individualized counseling that is offered in a community-based correctional program. Because of the relative newness of the Adult Day Reporting Program, there is no information on the effectiveness of counseling within this setting, especially when combined with individualized services. The Day Reporting Program is used as an alternative to incarceration and will likely continue to be used because of overcrowding and economic constraints in the correctional system. This study may provide vital information for the Fifth Judicial District, as well as other correctional programs that do not offer this service, to help decide whether counseling helps reduce recidivism among Day

Reporting Program participants.

Summary

Counseling is a service that is offered in many correctional and community-based facilities as part of an answer to the problem of recidivism which results in high incarceration costs and correctional overcrowding. Although counseling is seen as an essential service, Martinson's (1974) assertion that "some of our treatment programs are working but that our research is so bad it is incapable of telling if the programs are effective" (p.14), sums up the overall view of correctional research. This study is intended to exam the effects of counseling on the recidivism rate in one specific Day Reporting Program.

Chapter II

Review of the Literature

To better understand how counseling became part of Day Reporting within the United States correctional system, it is necessary to understand the development of U.S. corrections. The following review will describe the philosophies behind corrections, the judicial system alternatives prior to incarceration, how the Day Reporting Program was incorporated into the correctional system, and the service of counseling in the Day Reporting Program.

Punishment/Retribution

The historical perspective of punishment/retribution dates back to biblical times. According to Caldas (1990), there were two reasons why offenders were punished. The first reason was individuals "got what they deserve," going back to the Biblical notion of "an eye for an eye." The second reason consisted of the objective that the offender would be made an example for all others of what could be expected if they chose to violate public law. For this second reason, the punishment of offenders became a public spectacle as seen by the record of the use of such events as public hangings, public stocks, or pillories. H. Jones (1981) stated that punishment was to adjust the suffering to the sin because the balance of justice had been disturbed. The only way the balance could be restored was if the offender was made to suffer in comparison to those who have

not committed the crime.

Another term used simultaneously with punishment was retribution. The moral concept of retribution is seeking to do "what is right regardless of whether crime is increased or not. By the use of retribution, society could give a sense of rejection by the free community, deprivation of autonomy, deprivation of material goods, deprivation of heterosexual relationships, and forced association with other criminals" (Caldas, 1990, p. 68).

Deterrence

Another theory behind the criminal justice system was deterrence. The theory of deterrence implies that people are only kept from crime by the fear of punishment. In common language the objective of deterrence is imposing sentences which will frighten people into good behavior. Within the criminal justice system there are two forms of deterrence. The first is individual deterrence in which the offender is punished in order to "teach him a lesson." The second type of deterrence is general deterrence where punishment is intended to be an example to other people (J. Jones, 1981).

Penitentiaries

Toward the end of the eighteenth century, a new justification for the punishment of violators of public law emerged in the United States. The Quakers, centered mainly in and around Pennsylvania, stated that punishment could

function as "reforming the offender" and felt that this could be achieved by incarcerating the offender in solitary confinement where he could contemplate "the error of his ways" ideally resulting in becoming "penitent." Thus "penitentiaries" were formed (Caldas, 1990).

As penitentiaries continued to expand into the twentieth century, moral philosophers pointed to the fact that in responding to crime by imposing punishment, society was not achieving any moral objective (J. Jones, 1981). Philosophers stated that a more justifiable morality might be to see the aim of punishment as that of providing the offender with help, so that he or she may be free to choose whether to conform with the laws of society or not. This idea led to the notion of rehabilitation within the correctional system.

Rehabilitation

By the 1950's and 1960's, the rehabilitation era was in full effect in the correctional system. The era was characterized by an unbridled faith in social work type interventions that specifically treated the individual (Allen, 1992; Lauen, 1988). Although there were rehabilitation programs that worked during the 60's and 70's, such as the About Face in New Orleans (Caldas, 1990), authors such as Lipton, Martinson and Wilks (1975) reported: "With few and isolated exceptions, the rehabilitative effects that have been reported so far have had no

appreciable effect on recidivism" (p. 25). Because of such reporting involving the legitimacy of interventions, authors such as Lipton, Martinson and Wilks (1975) declared the rehabilitation era as illegitimate of importance in the use of corrections.

However, by the 1980's, intervention and rehabilitation resurfaced as an effective approach in corrections. Palmer (1991) and Pelisser (1988) reported that analyses and literature reviews on rehabilitation demonstrated frequent effectiveness in personal as well as practical assistance in all life areas. By 1989-1990 a picture emerged in the correctional field that "something" works although no generic method or approach seems to be better than another (Palmer, 1991). As of this date, there has been no outstanding evidence produced that shows rehabilitation is not effective in the criminal justice system. However, it seems clear that the current method of punishment/control is not working either as seen by the increase in the number of offenders and by the increase in recidivism rates. Statistics show that between 1980 to 1990, the number of sentenced inmates per 100,000 residents rose from 139 to 293, which represents an 111% increase during this time period (Koehler & Lindner, 1992). Prisons and community corrections systems did not expand during the 1980's, which resulted in a serious correctional overcrowding problem. Program developers of the American correctional system

responded by expanding current programs and implementing a range of community based alternatives (Bryne, 1990). One such alternative program that was to be expanded was probation which remains a popular strategy for control of the rapid growth of the correctional population (Petersilia, 1987).

Probation

Probation was first conceived and continues in the public perception as a service for nonviolent, minor, first-time offenders. It was intended to provide protection for the public from further criminality and at the same time provide counseling and social service for the offender. Probation in effect says: Behave yourself or else... the probation officer will report back to the court if the conditions of probation are breached (J. Jones, 1981).

Since its inception, probation programs have seen an increase in the number of felons placed under supervision. This is due to the impact of institutional crowding which has had a "hydraulic effect" on the correctional system. When pressure is alleviated in one point of the system, it is increased at another point. The increase in the "high-risk" probationer population has caused many correctional agencies to develop a number of control-oriented programs to supervise and provide service for the special needs of the "high-risk" offender. These programs are characterized by smaller caseloads and labor intensive field activities

(Koehler & Lindner, 1992). One program that was developed for the "high-risk" offender was Day Reporting.

Britain Day Reporting Centres

The program of Day Reporting in the United States was modeled after an already existing program within Britain. As of 1986, when the first program was put into place in the United States, Britain had been using the concept of Day Reporting Centres for approximately 11 years.

The idea of day training centres was based on the principle that some categories of offenders need more supportive and structured non-custodial environments in which they can be helped to adjust to society. According to Stanley and Baginsky (1984), the day centre idea was conceived of as meeting "the need of the inadequate recidivist, whose behavior and offenses often reflect a lack of social development and tend to lead to a short succession of custodial sentences, apparently offering little benefit either to the offender or to the community" (p. 115).

Following the 1973 Criminal Justice Act, four experimental centres were opened that were intended to provide basic training in "living skills" for the socially inadequate offenders at risk of custodial sentences. The four centres - London, Sheffield, Liverpool and Pontypridd all developed individually distinct ways of providing services, linked by a central day centre probational order requirement (Wright, 1986). All of the centres worked with

the more serious offender who was at risk for a longer custodial sentence than had been originally envisaged. Because of the type of offender the centres worked with, the Crown Court promoted the program as an Alternative to Custody Program (Burney, 1980; Stanley & Baginsky, 1984; Mair, 1988; Vanstone, 1986).

By the early 1980's, over 80 day centres existed in England and Wales. These programs were developed with little central planning and no central standards which resulted in each program offering different services. For example, the Southampton Day Centre, which opened in September 1980, offered "social resources" (coffee bar, books, magazines, newspapers, playing cards, pool table, tennis table, darts) and "clean-up" resources such as washing machines, soap, and razors (Hil, 1986). Other centres focused on personal problem-solving which included counseling, direct teaching, videotaping, role-playing, and pencil and paper exercises (Vanstone, 1986). These programs in England continue today as part of their criminal justice system.

United States Day Reporting Centers

The increased criminal population stimulated officials in the United States to find cheaper substitutions for incarceration which would alleviate the jail population overload. The basis of the Day Reporting Program began when the executive director of the Boston-based Crime and Justice

Foundation, John Larvivee and his associates, went to London to study the Day Attendance Centers that had been in place within their criminal justice system since the 1970's (Williams, 1990). After Larivee and his associates visited London, the Crime and Justice Foundation identified day reporting as a promising option to help relieve prison and jail crowding in Massachusetts. A steering committee was formed to investigate the feasibility for implementing day reporting programs in Massachusetts. The steering committee concluded that day centers offered an unique opportunity to provide enhanced supervision and services, provide flexible degrees of control and structure that could be varied to fit a wide range of convicted offenders and provide a blend of surveillance, service, and treatment that was consistent with the development of alternative sentencing policies in the United States. For the program to be effective, the steering committee stated that the day reporting program must contain three elements:

1. Offenders must report on a regular and frequent basis as a condition of release or supervision in order to account for their presence or movements, or to participate in programs, services, or activities offered at the center.
2. The number of contacts per week had to be higher than the level of supervision that participating offenders would otherwise get.

3. The programs must provide broker services, activities, or treatments which either were not available to non-Day Reporting Center clients, or which were available in a more focused and intensive manner than for non-Day Reporting Center clients. (Parent, 1990, p. 7)

Soon after the steering committee had published their study, the first day reporting center opened in October of 1986 in Hampden County, Massachusetts. The first center was used as an early release option for sentenced inmates. Later the center was expanded to monitor the pre-trial detainee in the community. After the first Day Reporting Center opened in 1986 in Massachusetts, other centers opened across the United States targeting different high-risk offender populations (McDevitt, 1990; Parent, 1990).

Day Reporting Cost Effectiveness

Day Reporting Centers not only meet the needs of different offender populations, but are also less expensive than other alternatives. Typically, on a per client per day basis, Day Reporting Programs provide a stop-gap for the shortage of halfway-house beds, and cost about one-third to one fourth less per year than halfway houses. Day Reporting Programs reduce correctional costs by lowering the jail population. Day Reporting Programs provide intensive levels of contact that can be viewed as a control almost equivalent to total confinement (Koehler & Lindner, 1992; Parent, 1990;

Williams, 1990).

Approaches in Corrections

Day Reporting Programs incorporate all three basic approaches of punishment, deterrence, and rehabilitation into one program. Individual deterrence is achieved through intensive controls on the offender's activities. Punishment is the purpose of community service work requirements, curfew and other limits on personal liberty. Rehabilitation and community re-integration are the objective of the services in each offender's program plan (Peters, 1990).

Components of the Day Reporting Program

The Day Reporting Program is a hybrid of intensive probation supervision, house arrest, and early release. Day Reporting Programs are heavy on detail work and can work with or without electronic monitoring, but always use up-close and personal contact between supervisors and offenders (Williams, 1990). The physical design of many day centers (a large multi-room facility with lots of classroom space) lends itself to the provision of a spectrum of interventions in a group setting. Offenders, who are both drug addicted and jobless, can obtain help with both problems at the same site through a single center which is appropriate for probationers who are often personally disorganized, need monitoring, and drug tested (Allen, 1992). The program is adjusted to the offender and the offender's needs.

Therefore, the Day Reporting Programs are open from 7:30 am

to 9:00 pm to provide optimal opportunity for reporting.

The Day Reporting Programs are designed to help individuals achieve goal setting and planning for a lawful, effective and need fulfilled lifestyle. The case manager/day reporting officer assesses the clients' needs, strengths, and weaknesses. In this way supervision and services are coordinated for the offenders and provide support for structure and stability in clients (Allen, 1992).

After the client has been assessed, the client and the day reporting officer develop a client contract which outlines goals and objectives for the client as well as listing the rules of the program. The contract gives an outline of the type of services that a client may need as well as rules of supervision for the client. The contract may include substance abuse counseling, attendance at community-based programs (such as AA or NA), recreational programs, specialized therapy, job classes, and educational classes. The contract also contains the requirement for community service (Parent, 1990).

The Fifth Judicial Day Reporting Center in Lyon County, Kansas implemented a Day Reporting Center in January of 1989. The program began as a service based program for the high-risk offender who was in need of structure and special services that probation was unable to provide.

Type of Population

Although the program can be used for almost anyone within the offender category, certain offender populations benefit more from Day Reporting Programs than others. Kevin Warick, the first director of the Hampden County, Massachusetts, Day Reporting Program states the specific population of offenders who are good candidates for Day Reporting Programs are:

"...those convicted of drug offense, larceny, driving while intoxicated, breaking and entering of commercial buildings, and similar charges. Offenders without an identified victim, those who have a permanent residence, and those who have been released within six months are also good candidates." (McDevitt, 1990, p. 14)

Peggy Bryan (Personal Communication, April 11, 1994), deputy director of Lyon County Community Corrections, Emporia, Kansas, states that the best candidates for Day Reporting are those offenders who have the highest risk of recidivism and the highest need of supervision and services at the community supervision level. Therefore, each individual program is designed to fit the specified need within each community.

Supervision

The supervision program for clients is designed to meet the individual needs and to protect the community and its

needs. Supervision is used within the program for both the individual and the community. One way supervision is obtained is through the use of daily itineraries.

A daily itinerary is a written schedule of activities the offender must follow during the course of a day. The itinerary must include all program requirements for the day as well as all other activities. Daily itineraries are used as a structuring tool for the offender as well as a monitoring system for the officer.

Most programs require individuals to complete daily itineraries. The daily itineraries are intended to help offenders structure and organize their lives by engaging in short-term planning. According to Williams (1990), "It gives people structure in their life. It helps them plan their day... they learn to think for themselves" (p. 5). Day Reporting Program staff periodically check on clients by both phone and field visits. For the Fifth Judicial District Day Reporting Program, the staff checks individuals periodically during the day either by phone, personal contact or home visits.

Services

A second major component of the Day Reporting Program is services designed to meet the specified needs of each client served. Some of these services include community service, educational programming, employment skills, life skills, and counseling.

Community Service

Community Service is intended to give back to the offender's community, as well as provide an opportunity for the offender to work off court costs and fines (Parent, 1990). For the Fifth Judicial District Day Reporting Program, community service is required by the court. Some of the typical tasks include cleaning highways and public parks, maintenance work in hospitals or nursing homes or clerical tasks in public agencies (Messer, 1991).

Academic Education

Many individuals who are in day reporting program have little education, a situation similar to national data. It is estimated that as of June 29, 1990, of the total number of individuals incarcerated in state and federal correctional facilities in the United States, 104,782 persons were enrolled in Adult Basic Education programs or Secondary Education programs which included General Education Diploma programs. This statistic does not include probationers or juvenile offenders but only those individuals incarcerated (U.S. Department of Justice, Bureau of Justice Statistics, 1992). Many Day Reporting Programs work with local educational agencies in providing the opportunity for individuals to obtain their diploma or G.E.D. Day Reporting Centers also use local, state and federal agencies as resources to provide vocational training for their clients. Some of these resources include

vocational technical schools, Job Training Partnership Act (JTPA) funds, and Job Corps programs.

Life and Social Skills Education

Day Reporting Programs work with local community resources in providing a combination of Life and Social Skills Education. Life Skills Education content varies within each Day Reporting Program from efforts to alter values so offenders make non-criminal choices when faced with options, to imparting basic survival skills such as how to find housing, where to get health care, and how to apply for welfare benefits.

Social Skills Education is an attempt to (a) identify interpersonal dysfunctioning in the client's relationships, (b) identify specific social skills deficits, (c) examine the circumstances in which the dysfunctions occur, and (d) identify the specific nature of the skill deficits (Dion & Anthony, 1987). According to Morrison and Bellack (1984), social skills education combined with life skills education may be most useful in a multi-component skill-oriented training program.

Employment Skills

Employment skills classes are intended for individuals who are unemployed at admission to the program and are meant to build job seeking and retention skills (Minor & Hartmann, 1992). Having a job not only keeps the individual from future offending but can help the individual's self-esteem

by fulfilling the American work ethic that is prevalent in the individual's society.

At the Fifth Judicial District Day Reporting Program, employment classes are offered to those who do not have a job or who want to find a better job. The class covers the entire process of obtaining and maintaining a job from resume writing and interviewing to performing successfully on the job.

Other Services Provided

Each program offers specific services to fit the needs of their clients to help them reintegrate into society. For example, the Genesis II program in Minneapolis, Minnesota offers licensed day care and parenting skill classes for its female Day Reporting Program participants (Parent, 1990).

Counseling

Counseling is a major component of Day Reporting Programs. Counseling can be separated into two categories. The first category consists of counseling furnished by the Day Reporting Officer which focuses on interventions to help the client reintegrate into society. Typically, this counseling focuses on such issues as housing, financial management, and fulfillment of probation requirements.

The second category of counseling involves a qualified counselor for the client. This service is not offered in most Day Reporting Programs across the United States. However, the Fifth Judicial District Day Reporting Program

offers this service free to individuals who need counseling services from another source aside from the Day Reporting Officer.

Counseling is seen as an essential component of the Day Reporting Program. However, very little evidence has been published on counseling and its effectiveness within this setting.

History of Counseling

In the early history of psychotherapy, the goals of treatment tended to be relief for specific symptoms of neuroses. Treatment tended to include the repair of hysterical conversion reactions of dissociative states, the relief of disabling obsessional thought patterns and compulsive rituals, and the general good feeling of restoration in people incapacitated by depression (London & Klerman, 1982).

After World War II, the federal government and private foundations seeing the need for scientific research in behavioral and social sciences, increased funding in the area of counseling. In addition, United States universities changed their mission statements to become research institutions for the purpose of studying human behavior and human need (Schwebel, 1984).

Meanwhile, the Veterans Administration's (VA's) efforts to reintegrate veterans back into civilian life created a huge demand for psychological services (Pepinsky, Hill-

Frederick & Epperson, 1978). This huge demand for psychological services caused the Veterans Administration to contract with colleges and universities to provide vocational-educational advisement services. In 1946, the Division of Personnel Psychologists was formed in the American Psychological Association. Thus, both the scientific method and the practice of counseling and therapy gained prominence in the United States (Hill & Corbett, 1993).

General Counseling Effectiveness

Counseling was used in the late 1940's as a method to help people reintegrate back into society. Studies were needed to assess the effectiveness of counseling. One of the first to challenge the efficacy of counseling was Eysenck (1952) who claimed that about two-thirds of all neurotics who enter traditional psychotherapy improve substantially within two years and that an equal proportion of neurotics who never enter therapy improve within an equivalent period. Bergin and Lambert (1978) noted that Eysenck computed the lowest possible improvement rates for therapy while being as generous as possible in his estimates of the effects of spontaneous remission.

In recent years, more powerful analytic techniques have enabled researchers to conclude that psychotherapy is effective. On the basis of 475 controlled outcome studies, Smith, Glass and Miller (1980) concluded that, at the end of

treatment, the average psychotherapy client is better off than 80% of the untreated sample. Lambert, Shapiro, and Bergin (1986) and Howard, Kopta, Krause, and Orlinsky (1986) suggested an improvement rate of at least 70% for treated clients as compared with a 40% improvement rate for untreated clients. Lambert and Bergin (1992) concluded that many clients who undergo therapy achieve healthy adjustments for long periods of time even when they have a history of recurrent problems.

Effectiveness of Counseling in Correctional Settings

Correctional counseling in the United States was not inspired by a series of compelling research findings nor as a result of careful, exhaustive needs assessment. Instead correctional counseling was an attempt by humanitarians struggling to find ways to combat the devastating "pains of imprisonment" and to salvage the lives of those wayward citizens who were rejected by society and cast into jails and prisons (Schrink & Hamm, 1989). Corrections did not have a monopoly on the development of treatment innovations such as counseling. Many of the advancements in the treatment of offenders were initiated by concerned citizens outside the correctional system.

Counseling programs have been recognized as an integral element of successful programs such as therapeutic communities in prisons, community release programs, probation and parole programs, and correctional residential

programs. Floyd (1979) stated that a counseling program can give people who reside in a corrections environment the opportunity to examine their own behavior and its consequences, and develop the skills necessary for reintegration into the environment.

Although counseling has been used within the correctional setting since the 1960's, there has been almost no outcome research conducted (Wexler, Lipton, and Johnson 1988). Of the outcome research that has been conducted, group therapy seems to be the predominant type of counseling studied. Yochelson and Samenow (1977), Kottler (1983), Nicholas (1984), Yalom (1985), Jesse (1987), Gendreau and Ross (1987), Walsh (1988), Martin (1989), Read (1989), Wagoner and Piazza (1993) have shown that group therapy when offered as part of treatment in the criminal justice setting is effective. A ten year follow-up study conducted by Homant (1986) on a group therapy program at a Wisconsin State Prison failed to find any benefits from general group counseling or therapy. However, the overall treatment oriented system was effective in producing positive behaviors, supporting the position that combined services in treatment programs are effective in reducing the recidivism rate. Harvey, Schramski, Feldman, Brooks & Barbara (1987) conducted a study on the group counseling component of a community release corrections program. The counseling model emphasized socialization and interpersonal skill development

as an integral part of successful community release performance. The variable factor to the study was that individuals involved in counseling signed a counseling contract. The results of their study indicated that the Contract Counseling Program was effective in identifying positive goals for resident participants in a community release program.

Individual Counseling in Correctional Settings

In most correctional programs little individual counseling occurs. Problems of counselor/client ratio and assigned responsibilities that depart from counseling activities result in as little as 5-10 % of a correctional counselor's time being available to work one-to-one with an individual (Schrink & Hamm, 1989). Only two studies were found which focused on the effectiveness of individual counseling within the correctional setting. Moore (1987) conducted a study on citizen volunteers functioning as counselors for high risk young male offenders. Research findings indicated that the individuals who were counseled by the volunteers were employed regularly, made greater educational progress, and appeared to be more responsible, less impulsive, and less rebellious than the group on regular probation. Basta and Davidson II (1988) conducted a study on the effectiveness of counseling and therapy in juvenile offender programs since 1980. Research findings demonstrated that counseling and therapy showed positive

results.

Although contrary to popular belief, little if any individual counseling occurs in most correctional settings. Group counseling is used as a means to provide counseling for everyone in correctional programs. Individual counseling has been viewed as effective but is rarely used due to large correctional counselor/client ratios within the correctional system. By determining effectiveness of counseling in correctional programs, studies will permit researchers to examine which methods work best for which type of offenders and under what type of settings (Pelisser, 1988).

Summary

Corrections is often operating in a crisis mode, desperate for solutions, and any plausible idea is promoted as the answer for immediately solving the problems associated within the system. Many approaches such as punishment/control, deterrence, and rehabilitation are flawed because they do not recognize the fact that offenders are complex human beings, influenced by both positive and negative factors. Some factors are ingrained and take years to change; others need only short term attention, such as vocational training (Lauen, 1988).

Day Reporting is an attempt at providing supervision, sanctions, and services at community-based facilities. The philosophy of the program combines punishment/control,

deterrence, and rehabilitation, therefore incorporating the major approaches of corrections.

For the program to be successful, "society must help correct the offender as well as the social environment in which the offender lives" (Lauen, 1988, p. 18). Counseling is one service that is used as a means to help the offender reintegrate back into the environment. The basic assumption underlying counseling is that most human problems have their sources within the individual, the family group, or the immediate situation. It is hoped that by incorporating counseling into special correctional programs, offenders will be able to cope better with personal, interpersonal, and situational levels of their life which will positively influence their behavior.

Chapter III

Method

In the Day Reporting Program at the Fifth Judicial District, Lyon County, Kansas, counseling was one of five services offered to offenders within the program. Although counseling was seen as enhanced service for the offender population, little research had been conducted examining the effectiveness of counseling within the correctional setting, and specifically with special correctional programs. The following chapter describes a method used to determine the relationship between counseling and recidivism in the Day Reporting Program of the Fifth Judicial District.

Research Question

The research question of this study was "Does counseling affect the revocation rate of individuals enrolled in the Day Reporting Program of the Fifth Judicial District?" The research hypothesis is as follows: H_0 : For the individuals of offenders, revocation is independent of counseling.

Population

The Day Reporting Program at the Fifth Judicial District consisted of individuals who had been placed in the program by a direct order from the District Court or by direct referral from a probation or parole officer. The individual's assignment was based on criminal history, personal history, social service evaluations, mental health

evaluations and subjective interpretation of the Court or officer.

Individuals were placed in the program in one of three categories. The first category consisted of individuals who were ordered into the Day Reporting Program after they had been sentenced for their offense(s). Participation in the Day Reporting Program was considered part of their sentence. After these individuals had successfully completed the program, the case was then transferred to the probation officer.

The second category consisted of officer's referral. Probation and parole officers had the option to refer offenders into the Day Reporting Program if the offender was in need of special services or at a high-risk for revocation. Once the offender had been referred, the Day Reporting Officer managed the case until the offender successfully completed the program or was revoked.

The third category of offenders enrolled in the Day Reporting Program were those individuals who had pled guilty to the offense(s) and had been released on bond. If the District Court considered the individual placed on bond to be a high-risk or in need of services, he or she was placed on bond supervision for monitoring of activities for the duration of the bond. The pre-trial officer used the Day Reporting Program for implementation of supervision and services.

One hundred and fourteen subjects had been enrolled in the program, but because of one incomplete case file, 113 valid case subjects were used. All subjects had prior criminal records with prior probation/incarceration/parole histories. Subjects ranged in age from 19-46, with a mean age of 28.82 years. The mode was 23 years.

Human Subjects Review

Contact via telephone was made to Emporia State University Graduate Office on April 10th, 1994, in regards to whether permission was needed by the Human Subjects Committee on the use of the Fifth Judicial District Day Reporting data. Human Subjects Committee indicated that no permission was needed due to the study using data from extant files.

Data

The data for this study consisted of: gender, race, age, first probation upon enrollment, second or more probation upon enrollment, and enrollment in counseling. Whether an individual was enrolled in enhanced services such as education classes, employment skills class, community service work, daily itineraries, and whether the release from the program was successful or was revoked was obtained.

The counseling examined in this study was related to substance abuse, personal, interpersonal, and societal issues. Counseling such as housing, finances and court obligations were the responsibility of the Day Reporting

Officer and were not covered by the day reporting program counselors.

Design

This study attempted to discover if counseling was related to an individual's successful completion of the Day Reporting Program. The design used was a post test only control group design. Chi square was used to test whether or not there was a relationship between individuals who were enrolled in counseling and were successful and those who were revoked (Hinkle, Wiersma, & Jurs, 1988; Wert, Neid, & Ahmann, 1954). The one independent variable was counseling. The dependent variable contained two levels ie: success or revocation.

Procedure

Information for the study was taken from the Fifth Judicial District Court Day Reporting Program files. As stated earlier, the Day Reporting Program began in January of 1989 and was dissolved in December of 1994. All subjects enrolled in the Day Reporting Program since it began were the focus of this study. All descriptive data used in the study came from extant files of those offenders who participated in the program. All files except one incomplete file were used in the study. Permission was given by Gary Marsh, Director of Court Services in the Fifth Judicial District (See Appendix), to use the nominal data contained in the case files. To insure that the information

obtained from the files remained confidential, case numbers were given to each extant file. The information was locked in a file cabinet during non-use.

Once a case number was assigned to the file, information was collected from the intake informational sheet and chronological case notes contained in the file. The information from each category was totaled and frequencies were established for the independent and dependent variables for those enrollees who received counseling and those who did not receive counseling who successfully completed the day reporting program and who were revoked.

Summary

The Fifth Judicial District maintained the philosophy that counseling was an important part of the Day Reporting Program. The counseling involved in this study focused on substance abuse, personal, interpersonal, and societal issues that affect the subjects outcome or success. Using the existing data, this researcher collected and tested whether or not there was a relationship between counseling and revocation.

Chapter IV

Results

An analysis of the data gathered to test the hypothesis proposed in Chapter I is presented in this chapter. The chi square test was used to determine whether there was a relationship between two variables ie: counseling and revocation.

Ethnic, demographic, and type of services data are shown in Table 1. This information is provided to describe the population in this study and for the use of further research studies.

Analysis of Data

One hundred fourteen subjects were enrolled in the day reporting program but due to one incomplete case file, only 113 of the case subjects were included in the study. All subjects had prior criminal records with a probation, incarceration or parole history. Subjects were placed in the day reporting program to receive enhanced services by a court order, a written referral by a probation/parole officer, or bond requirements.

Subjects who were referred ranged in ages from 19-46 years, with a mean age of 28.82 years and a mode of 23 years. Of the 113 subjects, 95 (84%) were male and 18 (16%) were female.

Subjects' ethnicity included 83 (74%) Caucasian, 20 (17%) African-American, 5 (4%) Latino, and 5 (4%) Asian-

Table 1

Numbers and Percentages of Day Reporting Participants in
Enhanced Services by Ethnicity and Gender

Subject	<u>Enhanced Service</u>					
	<u>N</u>	<u>n (%)</u>	<u>Life Skills n (%)</u>	<u>Community Service n (%)</u>	<u>Counseling n (%)</u>	<u>Daily Itinerary n (%)</u>
Caucasian						
M	68	20(29)	38(56)	36(53)	42(62)	67 (99)
F	15	5(33)	2(13)	7(47)	9(60)	13 (87)
Sub Total	<u>83</u>	<u>25(30)</u>	<u>40(48)</u>	<u>43(52)</u>	<u>51(61)</u>	<u>80 (96)</u>
African- American						
M	18	3(17)	8(44)	9(50)	12(67)	17 (94)
F	2	0	1(50)	1(50)	1(50)	1 (50)
Sub Total	<u>20</u>	<u>3(15)</u>	<u>9(45)</u>	<u>10(50)</u>	<u>13(65)</u>	<u>18 (90)</u>
Latino						
M	5	1(20)	3(60)	3(60)	3(60)	5(100)
F	0	0	0	0	0	0
Sub Total	<u>5</u>	<u>1(20)</u>	<u>3(60)</u>	<u>3(60)</u>	<u>3(60)</u>	<u>5(100)</u>
Asian or Native American						
M	3	1(33)	0	0	1 (33)	3 (60)
F	2	0	1(50)	0	2(100)	2(100)
Sub Total	<u>5</u>	<u>1(20)</u>	<u>1(20)</u>	<u>0</u>	<u>3(60)</u>	<u>5(100)</u>
Total	<u>113</u>	<u>30(27)</u>	<u>53(47)</u>	<u>62(55)</u>	<u>70(62)</u>	<u>108(96)</u>

Note: The values represent rounded percentages of individuals enrolled in the enhanced services and may total more than 100% because most persons utilized more than one type of service.

American or Native American (Table 1). The number and percentage of the total subjects enrolled in enhanced services were as follows: education 30 (27%), life skills class 53 (47%), community service work 62 (55%), counseling 64 (57%), and daily itineraries 108 (96%).

For both men and women the services most frequently used were daily itineraries, counseling, community service work and life skills. Nearly all individuals were monitored and supervised through the use of itineraries. Over half of the individuals were assigned to either counseling, community service work or life skills and more than one-fourth were expected to attend Adult Basic Education classes.

The chi square test (Table 2) was used to determine if significant differences existed between offenders who had received counseling and those who had not. Success was defined as that instance where individuals completed the program without receiving new charges or were revoked due to violations of day reporting standards and conditions. A computed chi square value equal to or greater than 3.84 ($p = .05$) with one degree of freedom was required to reject the null hypothesis H_0 : For the population of offenders, revocation is independent of counseling. The computed value of 1.589 for X^2 is less than the X^2 value of 3.84 needed to reject the hypothesis. There was insufficient evidence to indicate counseling was effective in reducing the revocation

Table 2

Frequencies of Individuals Participating in Counseling Who
Were Successful and Unsuccessful in Completing the Day
Reporting Program

<u>Counseling</u>	<u>Program Outcome</u>				<u>Total</u>
	<u>Successful</u>		<u>Unsuccessful</u>		
	<u>Observed</u>	<u>Expected</u>	<u>Observed</u>	<u>Expected</u>	
With	51	(48)	19	(22)	70
Without	<u>27</u>	<u>(30)</u>	<u>16</u>	<u>(13)</u>	<u>43</u>
Total	78	(78)	35	(35)	113

Chi square for 113 people with one degree of freedom => 3.84
(p=.05) (Hinkle, Wiersma, Jurs, 1988).

Computed chi square $X_2 = 1.589$

rate. The results of the analysis support the null hypothesis that revocation of an offender is independent of counseling.

Summary

At the Fifth Judicial Day Reporting Center information analyzed indicated counseling was inconclusive in defining a role for counseling. Demographic variables were also presented to show who was using the services and what services were used.

Chapter V

Discussion, Limitations, Challenges and Recommendations

This research was to determine the effectiveness of counseling with Day Reporting clients. Results were inconclusive that counseling was effective in reducing the revocation rate of individuals enrolled in the Fifth Judicial District Day Reporting Program. This chapter presents the discussion, implications of the results, limitations of the study and the recommendations of future research.

Discussion

All individuals were involved in at least one enhanced service with the three services most frequently employed being daily itineraries, counseling and community service work. One can ascertain from the analysis that individuals enrolled in the Day Reporting Program were relatively young adults who had exhausted a previous correctional resource (probation, parole, community corrections). It can be assumed that these individuals were in need of some type of enhanced service that was absent as a part of their previous correctional resource.

The question asked in this study was whether counseling was significant in reducing the revocation rate among offenders at the Fifth Judicial District Day Reporting Program. The findings were insufficient to reject the null hypothesis H_0 : For the population of offenders, revocation

is independent of counseling. Therefore, evidence was inconclusive that counseling was effective in reducing the revocation of offenders in the day reporting program. However, the limitations of this study may have affected the outcome of the analysis.

Limitations of the Study

Chi-Square was used in this study to determine if counseling was effective in reducing the revocation rate of the individuals within the Fifth Judicial Day Reporting Program. Due to the non systematic nature of the developed chronologies, the data did not lend itself to any other type of statistical tool. Therefore, only nominal data could be collected.

A second limitation to this study was the issue of counseling. Counseling was subjectively assigned to individuals by court order, by an officer or by bond requirements. Individuals who were assigned to counseling were either forced into counseling as part of compliance of their day reporting assignment or entered counseling on a voluntary basis. Because of the inadequacies of the recorded data for the individuals, it was hard to determine how many persons were assigned to counseling on a voluntary basis or were forced into counseling. One must remember that individuals may not have been assigned only to the enhanced service of counseling but may have been assigned to other services as well.

The effectiveness of the counseling may have been influenced by some of the enhanced services used in the day reporting program. The combination of services as well as the quality of service may have determined whether an individual was successful or was revoked. Revocation may have occurred not by the lack of counseling but by the non-completion of another service.

Individuals who were assigned to counseling were involved in counseling for a variety of reasons. Some individuals were in counseling for alcohol and substance abuse issues, interpersonal issues, and for societal issues which the court or officer thought needed to be addressed. Therefore, the primary issues addressed in counseling were subject to the interpretation of counseling needs by the court and officer.

A third limitation refers to the counselors who were involved in the counseling process. This process included graduate rehabilitation counseling interns, graduate psychology interns and mental health counselors. Because the counselors were from a variety of sources, and their internships varied in length, the same counselor may not have been involved with the individual throughout the entire counseling process. No control was given on the amount of time spent in each counseling session, the frequency of counseling, the type of credentials each counselor had, including counseling experience with offenders, and the

specific methodology used by each counselor (such as rational-emotive or behavioral).

A fourth limitation to this study was the type of offender who was assigned to the day reporting program. This assignment was based on criminal history, personal history, social service evaluations, and mental health evaluations. Due to the documented information available for each individual, he or she was assigned to the day reporting program subject to the court or officer's interpretation of the information. Hence, individuals assigned to day reporting program were considered to be at greater need of services than those who were not assigned to day reporting.

A final limitation to consider was the political environment of the criminal justice system. The nature of the political system of the time defines and mandates laws regarding offenders. Consequently, this may influence the revocation of offenders.

Due to the limitations, challenges can be seen for future research in this area. Challenges include offender, systematic, and political variables.

Challenges for Future Research

Evidence from this analysis demonstrates counseling is unable to show a significant effect in reducing revocation rate. However, there continues to be a perceived notion that counseling has a positive effect on an individual.

This is illustrated by the number of individuals enrolled in counseling throughout the history of the day reporting program. One needs to take into account the offender, systemic, and political variables which may affect the outcome of the individual in the program.

Offender Variables

Individuals who were placed in the program were not first time offenders. Many of the individuals enrolled in the program had extensive criminal histories dating back to juvenile crimes. Many individuals were considered high-risk, high need (individuals who had exhausted other resources) with prison as the only other alternative. Therefore, future studies may need to focus on the type of crime(s) committed, the type of service(s) needed for the offender, what services have already been used, criminal history, and attitude of the offender in the program.

Systemic Variables

Due to the nature of the chronological information available, nominal data could only be collected. Chronological data was the only tool available to determine if the individual was involved in counseling or not. Future studies may need to focus on designing an instrument that defines counseling, where and when the counseling takes place and its duration. This instrument would also enable the researcher to examine the accountability of counseling.

Political Variables

As noted earlier, the political environment affects not only the system but the offender as well. Future study may need to focus on how current political views influence the definition of what is an offender, the definition of counseling, who dictates the services offered to an offender, and what type of resources are available for the program.

Recommendations

This study was intended to find out if revocation was dependent on counseling at the Day Reporting Program at the Fifth Judicial District, Lyon County, Kansas. Results of the study were inconclusive with revocation shown as being independent of counseling. Although insignificance was found, counseling continues to be assigned to individuals within the district. Thus, there seems to be a perceived notion that counseling is positive and effective with individuals. Clearly, further research should be incorporated into the judicial system to finding out what services work and are most efficient in the rehabilitation of the offenders.

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APPENDIX

**COURT SERVICES
and
COMMUNITY CORRECTIONS
FIFTH JUDICIAL DISTRICT COURT
Lyon and Chase Counties**

Gary L. Marsh, Director
Peggy Bryan, Deputy
618 Commercial #B
Emporia, Kansas 66801
(316) 342-4950, Ext.294
Fax No. (316)342-2743

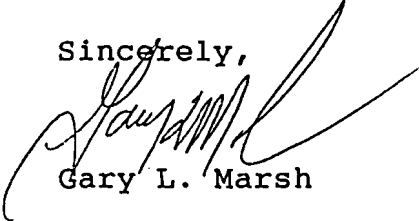
Wm. J. Dick, Administrative District Judge
John O. Sanderson, District Judge
Merlin G. Wheeler, District Judge
Francis Towle, Magistrate Judge

April 7, 1994

TO WHOM IT MAY CONCERN:

I hereby give Angela Swihart permission to use the Fifth Judicial Day Reporting Files for her thesis. I understand that Angela will maintain the files according to professional confidentiality standards.

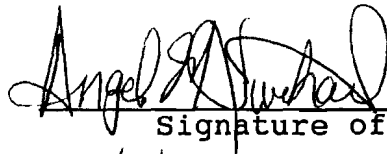
Sincerely,



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