

---

Criminal Justice Theses

Social Sciences

---

Spring 5-6-2013

## A Study of Smith County Alternative Incarceration Center Participants

Anna Tumlinson

Follow this and additional works at: [https://scholarworks.uttyler.edu/crimjustice\\_grad](https://scholarworks.uttyler.edu/crimjustice_grad)



Part of the Criminology and Criminal Justice Commons

---

### Recommended Citation

Tumlinson, Anna, "A Study of Smith County Alternative Incarceration Center Participants" (2013). *Criminal Justice Theses*. Paper 1.

<http://hdl.handle.net/10950/111>

This Thesis is brought to you for free and open access by the Social Sciences at Scholar Works at UT Tyler. It has been accepted for inclusion in Criminal Justice Theses by an authorized administrator of Scholar Works at UT Tyler. For more information, please contact [tgullings@uttyler.edu](mailto:tgullings@uttyler.edu).



Running head: A STUDY OF SMITH COUNTY AIC PARTICIPANTS

A STUDY OF SMITH COUNTY ALTERNATIVE INCARCERATION CENTER  
PARTICIPANTS

by

ANNA TUMLINSON

A thesis submitted in partial fulfillment of the requirements for the degree of  
Master's of Science  
Department of Social Sciences

Barbara L. Hart, Ph.D., Committee Chair

College of Arts and Sciences

The University of Texas at Tyler  
May 2013

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

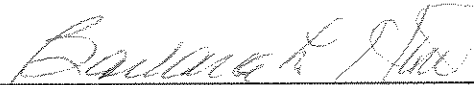
The University of Texas at Tyler  
Tyler, Texas

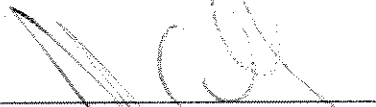
This is to certify that the Master's Thesis of

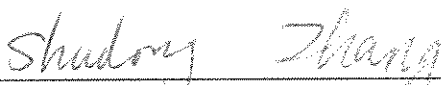
ANNA TUMLINSON


has been approved for the thesis requirement on  
April 18, 2013  
for the Master's of Science degree

Approvals:

  
\_\_\_\_\_  
Thesis Chair: Barbara L. Hart, Ph.D.

  
\_\_\_\_\_  
Member: John Clark, Ph.D.

  
\_\_\_\_\_  
Member: Shudong Zhang, Ph.D.

  
\_\_\_\_\_  
Chair, Department of Social Sciences: Kenneth Wink, Ph.D.

  
\_\_\_\_\_  
Dean, College of Arts and Sciences: Martin Slann, Ph.D.

# A STUDY OF SMITH COUNTY AIC PARTICIPANTS

## Table of Contents

List of Tables .....	iii
Abstract.....	v
Chapter One .....	1
Introduction.....	1
Background .....	5
Chapter 3.....	19
Methods.....	19
Subjects.....	19
Instrumentation.....	22
Data Collection .....	23
Chapter 4.....	27
Results.....	27
Univariate analysis .....	27
Bivariate Analysis .....	36
Chapter 5.....	47
Discussion .....	47
Interviews .....	52
Probation Officers .....	55
Evaluation.....	58
Limitations .....	60
Conclusions.....	61

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendices.....70

# A STUDY OF SMITH COUNTY AIC PARTICIPANTS

## List of Tables

Table 1. Total population under the supervision of adult correctional systems .....	8
Table 2. Estimated number of persons supervised by adult correctional systems,.....	10
Table 3. Recidivism rates for prisoner released in 1994.....	11
Table 4. Rate of parole exits, by type of exit, 2008–2011 .....	12
Table 5. Demographic Data for AIC and Non-AIC Probationers .....	31
Table 6. AIC and non-AIC Probationer Responses to “I don’t need help.” .....	34
Table 7. AIC and non-AIC Probationer Responses to “I worry that I won’t make it through probation.” .....	35
Table 8. AIC and non-AIC Probationer Responses to “It is easy to fool my probation officer.” .....	35
Table 9. AIC Respondents: Worried About Probation Completion * AIC Expected Too Much Cross-tabulation.....	39
Table 10. AIC Respondents: AIC Rules Helped * Respondent Learned from AIC Rules/Procedures Cross-tabulation .....	40
Table 11. AIC Respondents: Still Creates Schedule * Jail Easier than AIC Cross-tabulation.....	43
Table 12. Non-AIC Respondents: Probation Helped be More Organized * Jail Easier than Probation Cross-tabulation .....	45
Table 13. AIC Client and AIC Probationer Responses to “I am satisfied with AIC experience.” .....	60
Table 14. AIC Client and AIC Probationer Responses to “AIC Rules are Important.” ...	61

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

List of Figures

Figure 1. Jail Easier than AIC..... 32

Figure 2. Jail Easier than Probation ..... 33



# A STUDY OF SMITH COUNTY AIC PARTICIPANTS

## **Abstract**

The purpose of this study is to determine if there was an appreciable difference in the success of Alternative Incarceration Center (Smith County, Texas) participants when on regular probation comparative to probationers who did not participate in the AIC program. The study uses quantitative and qualitative data obtained through self-report surveys and personal interviews. The results do not reveal statistically significant differences in the success rates of the AIC and non-AIC probationers; however, quantitative and qualitative data provided valuable insights about the intensive supervision model of the AIC from the probationer's and probation officer's points of view. Further study with larger samples may be better able to validate such findings.

## **Chapter One**

### Introduction

The incarceration rate in the United States is the highest of western countries (Weiss & Mackenzie, 2010). The corresponding cost is staggering: in fiscal year 2008, the states paid \$47.73 billion for corrections (Knott, 2012), and in FY 2010, taxpayers spent \$39 billion on prisons (Henrichson & Delaney, 2012). The American criminal justice system incarcerates more offenders than the available facilities can house, and the revolving door of justice spins as quickly as ever in view of the consistently high recidivism rate: 67.5% after 3 years (Langan & Levin, 2002). Such data not only suggest that the criminal justice system is failing to deter criminals but point out that the criminal justice system must address (1) the high cost of punishment, (2) the underlying high incarceration rate as it is currently practiced in the United States, and (3) it must also endeavor to reduce the number of offenders who recidivate, which undermines the efficacy of the entire penal system.

A connection can be drawn between the high cost-low result performance of the penal system and the mass incarceration craze that has gripped the nation for the last several decades. In the 2011 annual report by the Texas Department of Criminal Justice, roughly 80% of the department's operating budget (nearly \$2.5 billion) was devoted to the incarceration of felons (Texas Department of Criminal Justice, 2011). Less than 15% of the operating budget went to prison diversion programs and parole system operations (Texas Department of Criminal Justice, 2011). Removing offenders from society and punishing them for their crimes in order to prevent further crimes are laudable goals;

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

however, isolating over 2 million individuals in prison away from the general public does not create an atmosphere conducive to rehabilitation or reintegration (Glaze & Parks, 2012a). The current penal system has its historic roots in the utilitarian/retributive model of punishment (Brockway, 1910), but this model does not prepare inmates for the reality of life after incarceration (Robinson, 2005). Individuals who break the law have already shown that they are unwilling or incapable of conforming to societal standards.

Incarcerating those individuals with others who have also failed to conform to societal standards prevents healthy socialization and facilitates antisocial behavior, making successful reintegration unlikely. And not only is the infrastructure of the penal system not equipped to handle millions of recidivists, it does devour scarce resources, thus reducing the potential for additional rehabilitative services for incarcerated offenders such as job training, therapy, and education.

Probation officers say that all of the supplemental services provided are not enough to change one offender into a productive member of society against his or her will (Probation Officer #3, personal communication, July 23, 2012). This viewpoint on the importance of individual choice in the rehabilitation process is widespread and accurate; however, a system that focuses on the past to the exclusion of the future will not accomplish goals of reintegration. Similarly, the emphasis placed on retribution by the United States criminal justice system severely limits the effectiveness of the existing rehabilitative methods. In 2009, drug offenders made up nearly 18% of offenders sentenced in state jurisdictions and over 50% of offenders sentenced at the federal level (Guerino, Harrison, & Sabol, 2011); however, only 28% of prisons had substance abuse programs, and only 7% of those programs offered counseling, treatment, and

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

reintegration planning (“Winning the war on drugs,” 2000). When resources are finite, the allocation of those resources is telling; it speaks to the priorities in the criminal justice system.

In the United States criminal justice system, the utilitarian/retributive model of punishment has also attempted, at times, to include a rehabilitative model. The presence of these two models in the history of the penal system may not be truly cyclical but some alternating emphases may be noted between the two models across time. Retributive justice usually remains present to some degree during the periods of rehabilitative emphasis. However, the excesses of mass incarceration have shown that it is impossible to lock offenders up and throw away the key. Estimates are that nearly 80% of offenders will be released back into society on community supervision (Hughes & Wilson, 2002).

The realization that incarceration is not a permanent solution to criminality, a realization compounded by limited space and funds, is leading to a change at the local levels. Many counties across the United States have independently created and implemented programs that are essentially alternatives to incarceration (Baton Rouge ISP, 2012; New Jersey ISP, 2012; Michigan SAI, 2012; Smith County CSCD AIC). While each of the programs has a different name and was conceived in response to specific, localized issues, each represents the effort to find a punishment method that provides long-term efficacy, both in cost and prison/jail population reduction.

### Purpose

The purpose of the current study is to determine the efficacy of the Smith County Alternative Incarceration Center (AIC) by evaluating the success of AIC participants who completed the program requirements and were transferred to regular probation. The

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

study will use univariate and bivariate analyses of the quantitative data obtained through surveys and personal interviews. Ideally one criterion of success would be the recidivism rates for AIC participants. Reduction of recidivism is certainly an important aspect of the program's success since the AIC has the stated goals of rehabilitation and reintegration; however, the AIC's relatively short time in operation reduces the data available and makes it less likely that valuable insight will be gained from pursuing that avenue of inquiry. Additionally, tracking program participants after they have left the program is beyond the resources of this study. Consequently, this study will seek to ascertain the effect of the AIC program on participant behavior, attitude, and successful reintegration as the AIC participant progresses through the later probation process.

### Hypotheses

Individuals who successfully completed the AIC and progressed to regular probation are more likely to succeed on regular probation than individuals who had never participated in the AIC program.

To better ascertain the relationship between the AIC program and the success of AIC probationers on regular probation, the researcher created 4 secondary hypotheses whose purposes are to contrast AIC probationer expectations of success with non-AIC probationer expectations of success.

Hypothesis 1: AIC probationers who felt that the AIC program expected too much from them are more likely to be worried about completing regular probation.

Hypothesis 2: AIC probationers who learned a lot from AIC rules and procedures are more likely to agree that the AIC rules help them to succeed on regular probation.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Hypothesis 3: AIC probationers who thought jail would be easier than the AIC program are less likely to continue to create daily schedules.

Hypothesis 4: Non-AIC probationers who thought jail would be easier than probation are less likely to agree that probation helped them be more organized.

### Background

In reaction to determinate sentencing and prison over-crowding, many local initiatives have attempted to alleviate the massive financial strain imposed by the criminal justice system (“Developments in the law,” 1998). These local programs are created in response to a specific need in a given jurisdiction and propose to reduce recidivism and relieve the economic hardship associated with high incarceration rates. While each program has unique features that address local concerns, the similarities between these programs allow them to be generally classified as Alternative Incarceration Programs (AIP). As evidenced by the label, AIPs strive to redirect the flow of offenders from institutionalization toward community-based programs. These programs typically emphasize intensive supervision and rehabilitative courses and counseling (Smith County CSCD AIP, 2006; SAI, 2012).

The Smith County Alternative Incarceration Center (AIC) is one such program. The AIC was conceived in 2006 in response to a shortage of space at the local jail. While the construction of a new jail was in the planning stages, there were some in the community who believed that the solution to jail-crowding was not to provide more space that would inevitably be filled, but was instead to redirect high-risk, non-violent offenders, who were not eligible for probation, to a community-based program that was projected to be both cost effective and rehabilitative (Smith County CSCD AIC, 2008).

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

The conception of the Smith County AIC was a collaborative effort by several concerned community figures who were interested in the creation, implementation, and success of the alternative incarceration method. The program, as it was envisioned, required the cooperation of multiple branches of the criminal justice system: the local judiciary, the district attorney, and the Smith County CSCD director. The proposed program had the stated goals of reducing the local jail population, protecting the public, offering employment and rehabilitation services, and furthering reintegration (Smith County CSCD AIP Proposal, 2006). To achieve these goals, the program had strict inclusionary guidelines, compliance regulations, and supervisory methods. Offenders who could participate in the program, with the approval of the evaluating officer and the district attorney's office and the cooperation of the sentencing judge, included those who had committed misdemeanors, state jail felons, nonviolent third degree felons, probationers awaiting a hearing on a "motion to revoke" or "motion to proceed to final adjudication," some Substance Abuse Felony Punishment (SAFP) probationers, and some absconders. Each offender was required to acknowledge his or her guilt and plead guilty to the charges brought against him or her before being considered for the program (Smith County CSCD AIP Proposal, 2006).

Offenders who entered the AIC were sentenced to one of three available programs, depending on the nature of their offense: Misdemeanor Alternative Incarceration Program (MAIP), Felony Alternative Incarceration Program (FAIP), and Child Support Enforcement Alternative Incarceration Program (CSEAIP). Compliance requirements and supervision guidelines for the three programs were as follows:

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

- offenders must make daily visits to their AIP office;
- they must fill out 24-hour itinerary that clearly indicates their whereabouts for the remainder of the day;
- offenders' vehicles must be approved by their AIP office and they must display an AIP sticker;
- they must wear an AIP wristband at all times;
- they may only be in locations that are authorized by their supervising officers and only at authorized times;
- they must obey the rules and regulations of the specific AIP program to which they are assigned;
- they must participate in the rehabilitation and reintegration programs to which they are assigned by their supervising officers;
- offenders must find and retain employment that is approved by their supervising officers;
- they must obey the law;
- they must not be in contact with alcoholic beverages, illegal or controlled substances, or medication not legally prescribed by a medical doctor;
- they may not be on the premises of any location where aforementioned substances are used, possessed, consumed, sold, or exchanged (exceptions being a hospital, clinic, or pharmacy); and
- offenders with mental health problems must comply with the recommended evaluations, counseling, training, and medication regimens that are prescribed (Smith County CSCD AIP Proposal, 2006).

Offenders receive weekly field visits; these visits vary depending on the offense in question and the offenders' risk level as assessed by the supervising officer and/or the ACCLJ. Any violations of these requirements, whether minor infractions or new offenses, could result in arrest and incarceration. Offenders who comply with the standards and requirements of the Smith County AIC are released from the program and transferred to regular probation, where they complete the remainder of their sentence (G. Parham, personal communication, September 11, 2012).



# A STUDY OF SMITH COUNTY AIC PARTICIPANTS

## Chapter 2

### Literature Review

By the close of the last century, the United States criminal justice system experienced enormous increases in the correctional population. Prior to the 1980s, the correctional population had remained fairly stable. The total number of United States prisoners, in state and federal facilities, was just under 100,000 in 1925 (Langan, Vundis, Greenfeld, & Schneider, 1988). In 1935, the total had reached 144,180, an increase of 64% (Langan et al., 1988). The total number of prisoners did not exceed 200,000 until 1958 (205,643). Over the next 2 decades, the total remained slightly more or less than 200,000 (Langan et al., 1988). In the late 1970s the prisoner population began rising (Langan et al., 1988). Statistics provided by the Bureau of Justice show that the correctional population increased by 279% between 1980 and 2011.

Table 1. Total population under the supervision of adult correctional systems and annual percent change, 1980–2011 (Glaze & Parks, 2012a)

Year	Population	Annual % change
1980	1,842,100	0.0
1981	2,002,600	8.7
1982	2,191,700	9.2
1983	2,401,400	9.4
1984	2,662,500	7.7
1985	2,891,800	7.6
1986	3,222,000	7.2
1987	3,462,900	6.9
1988	3,715,800	7.1
1989	4,056,200	8.4
1990	4,350,300	7.2
1991	4,540,100	5.6
1992	4,735,600	4.4
1993	4,884,100	2.5

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Year	Population	Annual % change
1994	5,131,000	3.7
1995	5,382,300	4.6
1996	5,531,100	3.5
1997	5,701,200	3.8
1998	5,890,000	3.6
1999	6,331,900	3.3
2000	6,460,000	1.9
2001	6,583,500	2.2
2002	6,731,100	2.4
2003	6,882,100	1.8
2004	6,995,900	1.2
2005	7,051,300	1.3
2006	7,202,100	2.1
2007	7,337,900	2.1
2008	7,312,400	0.7
2009	7,232,800	-0.8
2010	7,076,200	-1.2
2011	6,977,700	-1.4

The steady increase of the correctional population over the last four decades has begun to take a toll on the criminal justice system and the tax payers who support the system. In 2011 there were almost 7 million individuals in the United States correctional system (Glaze & Parks, 2012a). The cost of incarcerating one offender is estimated to average over \$31,000 per year (Abrams, 2013). In Texas in 2005, the average cost per offender per day was \$44; to incarcerate an offender in the federal system, the average cost/person/day was \$67.53 (Alarid, Cromwell, & Del Carmen, 2008). The cost of probation was much less. In Texas, \$2 per day to supervise one offender on probation, and it cost the federal government \$9.46 per person per day (Alarid et al., 2008). Table 2 shows the distribution of the correctional population for most of the first decade of the 21<sup>st</sup> century. The total correctional population increased by almost 1 million over the

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

decade, although 2010-11 saw a decrease in the correctional population, reaching its lowest total since 2005 (Glaze & Parks, 2012a).

Table 2. Estimated number of persons supervised by adult correctional systems, by correctional status, 2000–2001, 2005, 2008–2011 (Glaze & Parks, 2012a)

		Community Supervision			Incarcerated		
Year	Total Correctional Population	Total	Probation	Parole	Total	Jail	Prison
2000	6,460,000	4,565,100	3,839,532	725,527	1,937,500	621,149	1,316,333
2001	6,583,500	4,665,900	3,934,713	731,147	1,961,200	631,240	1,330,007
2005	7,050,900	4,946,800	4,162,495	784,354	2,195,500	747,529	1,447,942
2008	7,311,600	5,095,200	4,270,917	828,169	2,307,500	785,533	1,521,971
2009	7,231,400	5,017,300	4,198,155	824,115	2,292,100	767,434	1,524,650
2010	7,079,500	4,887,900	4,055,514	840,676	2,270,100	748,728	1,521,414
2011	6,977,700	4,814,200	3,971,319	853,852	2,239,800	735,601	1,504,150
Avg Ann % Change, 2000-2010	0.9%	0.7%	0.5%	1.5%	1.6%	1.9%	1.4%
% Change, 2010-2011	-1.4 %	-1.5%	-2%	1.6%	-1.3%	-1.8%	-1.1%

Even though well over half of offenders in the correctional system are placed under community supervision (Glaze & Parks, 2012a), United States tax payers are still called on to fund the supervision and/or detention of more than 7 million offenders.

The sheer size of the current correctional population is alarming, but the recidivism rate is equally alarming, if not more so. Recidivism is not the focus of this discussion, but it does provide an appropriate starting point from which to analyze the impetus to create change in the United States' approach to corrections. The most recent

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

study of rearrest, reconviction, and reincarceration rates (1994) from BJS says that 67.5% of the offenders who comprised the study were rearrested within three years of their release, which is a 5% increase from the previous cohort study (1983) done of released offenders (Langan & Levin, 2002). Of the offenders who were rearrested, 25.8% were returned to prison with a new sentence (Langan & Levin, 2002). Table 3 displays the findings of the study.

Table 3. Recidivism rates for prisoner released in 1994 (Langan & Levin, 2002)

	Rearrested	Reconvicted	Returned to Prison with a New Prison Sentence
6 Months	0.299	0.106	0.051
12 Months	0.441	0.215	0.106
18 Months	0.53	0.299	0.152
24 Months	0.592	0.364	0.192
30 Months	0.64	0.418	0.229
36 Months	0.674	0.462	0.258

Corresponding 2011 rearrest rates for parolees are not available, but in 2011, 32% of parolees were reincarcerated. Of those, 25% had received a new sentence. They had spent an average of 19 months on parole (Glaze & Parks, 2012b).

Table 4. Rate of parole exits, by type of exit, 2008-11 (Glaze & Parks, 2012b)

		Rate per 100 parolees			
Type of exit		2008	2009	2010	2011
	Total exit rate	69	70	67	63
Completion		34	35	35	33
Returned to incarceration		24	24	22	20
	With new sentence	6	6	6	5
	With revocation	17	17	16	13
	Other/unknown	1	1	1	2
Absconder		7	6	6	6
Other unsatisfactory exits		1	1	1	1

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Transferred to another state		1	1	1	1
Death		1	1	1	1
Other		1	2	1	2
	Estimated mean length of stay on parole (in months)	17.4	17.2	17.9	19.1

Although the rearrest rates cannot be compared, a reincarceration rate of 32% is disappointingly high, and the percentage of parolees reincarcerated after 18 months with a new sentence has decreased by less than one percent since 1994 (Glaze & Parks, 2012b).

Probation recidivism rates are not as dismal as the corresponding parole figures, with 60-80% of probationers successfully completing the terms of probation (state probationers 60%, federal probationers 80%) (Robinson, 2009). But the amount of funding allocated to community supervision has remained stationary since the 1980s (Robinson, 2009), even though the number of offenders sentenced to community supervision has increased by nearly 65% in the intervening timespan (Glaze & Bonczar, 2011). Even though community supervision appears to offer better hope of rehabilitating offenders, it is stymied by an insufficient budget and overloaded personnel (Robinson, 2009).

Researchers have spent considerable time and effort attempting to understand factors that contribute to the increase in the correctional population. While this increase might be attributed by some to higher crime rates, increased reporting of crimes, or better data collection, in fact, a relationship can be seen in the creation and implementation of harsher sentences for offenses: truth-in-sentencing and mandatory minimum sentences. Patrick A. Langan, senior statistician for BJS, notes the lack of data that are available to

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

explain the United States' crime rates drop in 1999. He agrees with other authors who suggest that the drop in crime rates was related to increases in arrest rates, conviction rates, imprisonment rates, and revocation rate. Langan, however, asserts that the policies behind these increases are not as apparent as the increases themselves (Langan, 2005). Other scholars do not agree that policies influencing criminal justice trends cannot and have not been ascertained. Doob and Webster, suggested in their article, *Countering Punitiveness: Understanding Stability in Canada's Imprisonment Rate* (2006), that the primary difference between the imprisonment rates in Canada and the United States is the latter's implementation of punitive measures in the late 70s and early 80s. Doob and Webster (2006) note that while Canada did restrict parole and enact harsher sentencing for certain offenses during the mid-90s, it did not resort to punitive methods to the degree and extent that the United States did. While the United States was enacting and enforcing mandatory minimum sentencing, three-strikes sentencing, truth-in-sentencing, and habitual offender laws, Canada removed the mandatory minimum sentence for drug offenders (Doob & Webster, 2006). It is not possible to say that punitive measures are solely responsible for the increase in the correctional population, but Doob and Webster offer compelling arguments for why they should be considered significant contributors.

Through much of the 20<sup>th</sup> century, the debate surrounding appropriate punishment for offenders was largely theoretical and cyclical. In the literature and in the culture, there has been traditionally been tension between advocates of retribution and rehabilitation. In 1910 Z. R. Brockway published an article in the *American Journal of Sociology* in which he discussed the transformation of the United States penal system from one of punishment to one of reformation. He attributes the 19<sup>th</sup> century emphasis

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

on retribution to superstition and flawed morality, and he credits Darwinian Theory with promoting punishment based on rationality rather than morality. Brockway's writing remains relevant as it serves to highlight the retribution-reform cycle that is evident throughout the history of the United States penal system. Brockway (1910) gladly announced the change in attitude toward offenders that was present in the early part of the 20<sup>th</sup> century; he described this change as a shift from vengeance to a serenity that was "firmly and nobly corrective" (p. 255). Deterrence through shame and restraint was no longer the order of the day; rehabilitation was preferred (Brockway, 1910).

Unfortunately, Brockway's optimistic outlook at the beginning of the 20<sup>th</sup> century was not borne out at the end of the century. The punitive measures that are credited with influencing the surge in the correctional population are indicative of a return to retributive justice. Matthew B. Robinson (2009) succinctly summarized the shift in the United States' incarceration trends in *Justice Blind? Ideals and Realities of American Criminal Justice*. While Robinson is specifically interested in the social injustices that are highlighted by current incarceration trends, his analysis of the detriments of the current trends includes the financial costs of incarceration and the opportunity costs—the loss of liberty and the stigmatization, among others—that are the inherent results of incarceration. Robinson's repeated emphasis on the demographic make-up of the correctional population is relevant; he rightly suggests that it is irrational to incarcerate offenders who are uneducated and lack job skills and to expect that those offenders will become productive members of society (Robinson, 2009). Whether or not incarceration serves as a deterrent, it does not provide offenders with alternative means of functioning proactively in society.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

The application of intermediate sanctions is not a new concept. Alternative sentencing options gained support during the 1980s and 1990s at the same time that state sentencing guidelines were becoming commonplace (Tonry, 1998). Intermediate sanctions are intended to be less demanding than incarceration but more so than regular probation. These sanctions vary in degree of restriction, with fines considered relatively light and house arrest and day reporting centers considered intensive (Tonry, 1998). Intermediate sanctions are used to divert offenders from prison/probation, or they can be used as reentry programs (Tonry, 1998). In either instance, intermediate sanctions are community based punishments (Johnson & Dipietro, 2012).

Petersilia and Deschenes, in collaboration with the Minnesota Department of Corrections and the Minnesota Sentencing Guidelines Commission, with funding from the National Institute of Justice, asked Minnesota inmates to rank various sanctions according to severity. The list of sanctions presented to the inmates included fines, probation, intensive supervision, and prison time. The study found that in many instances the intermediate sanctions were considered more severe than prison/probation; also, participants would rather spend 1 year in prison than 5 years under supervision (Petersilia & Deschenes, 1994). In a more recent study, Williams, May, and Wood (2008) used both quantitative and qualitative data to understand why offenders would prefer prison to intermediate sanctions. The results determined that more often offenders preferred punishments that they thought were least restrictive; the strict terms of supervision were considered more restricting than prison (Williams et al., 2008). Supporters of intermediate sanctions argue that sentencing alternatives cut costs and retain punitive punishment methods (Johnson & Dipietro, 2012). But a valid criticism of intermediate



## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

sanctions is the amount of discretion that is involved in the sentencing process. Even in states that include intermediate sanctions in their guidelines, judges have a great deal of latitude and little data has been obtained that documents the decision-making process (Johnson & Dipietro, 2012). While consistency in sentencing is a concern, intermediate sanctions provide a means of ensuring proportionality between crime and punishment (Johnson & Dipietro, 2012).

While incarceration rates were increasing at the end of the 20<sup>th</sup> century, the following intermediate sanctions were initiated: shock incarceration, Treatment Alternative to Incarceration Programs (TAIP), Intensive Supervision Programs (ISP), among others (“Developments in the law,” 1998). These programs have had varied success and transient popularity. For instance, the use of shock incarceration as an alternative punishment was at its height in the late 1980s, predominately in New York. The theory behind this approach held that exposing offenders to the reality of incarceration for a brief period would allow offenders to experience the harsh environment without becoming desensitized. The program implemented by the New York State Department of Correctional Services created boot camps for offenders that emphasized military discipline and obedience, structure, responsibility, learning, and hard work (Clark, Aziz, & Mackenzie, 1994). Unfortunately, evaluations of various shock incarceration returned mixed or negative results (Clark et al., 1994; Marcus-Mendoza, n.d.); some studies raise doubts as to the efficacy and efficiency of the programs, citing the negligible effects on recidivism (“Developments in the law,” 1998).

Treatment Alternative to Incarceration Programs (TAIP) seek to provide rehabilitative services to offenders whose crimes were associated with substance abuse.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Texas Statute 76.017 (September 1, 2005) requires local programs to include screening and evaluation of potential participants; state and local governments must coordinate with treatment services regarding referral to appropriate programs; and payment for treatments will be the responsibility of the participants who are financially able to cover the costs incurred (Texas Statute 76.017, 2005). The Kings County District Attorney's office implemented a Drug Treatment Alternative to Prison (DTAP) Program. The program diverted felony drug offenders from the usual prosecution for their crimes and placed them in a treatment facility. The results of a cohort study, performed using DTAP participants and offenders sentenced to state prison for similar offenses to those committed by the DTAP participants, showed the cost benefit of the program (Zarkin, Dunlap, Belenko, & Dynia, 2005).

While Intensive Supervision Programs (ISP) vary across states, they usually resemble intensive forms of probation. In Louisiana, ISP is considered an intermediate sanction for juveniles, giving them another opportunity to succeed on probation (Baton Rouge Intensive Supervision Program). For other states, this method is not restricted to juveniles, instead these programs divert adult offenders from jail or prison to a rigorous form of probation (New Jersey ISP). Generally, ISP initiatives function in a similar manner: electric monitoring, multiple field visits weekly/monthly, increased drug and alcohol testing. Many local ISP offer treatment services similar to TAIP; however, ISPs include life-skills courses and job skills training (Wyoming DOC ISP, 2008).

These three types of alternative programs have commonalities with the model used for the Smith County AIC, but the Alternative Incarceration Programs (AIP) in Washtenaw County, Michigan, and Tom Green County, Texas, were the models most

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

closely related to the Smith County AIC. The Special Alternative Incarceration Facility (SAI) in Washtenaw County, Michigan, began in 1988 and is divided into three phases: phase 1) exercise, work assignments, education, and treatment, phase 2) intensive community supervision, often places participants in halfway houses, and phase 3) continued community supervision, resembles probation supervision. The program excludes violent offenders and participants are selected by the courts (Special Alternative Incarceration Facility, 2012). The most recent statistical report from the Michigan Department of Corrections shows that 90% of the program participants successfully completed the program in 2010 (Granholm & Caruso, 2012). The Tom Green County Alternative to Incarceration Center (AIC), located in San Angelo, Texas, has been in operation for nearly 15 years (personal communication, August 21, 2012). The program was created to alleviate jail crowding; Gary Ticon, an AIC supervisor and TAIP coordinator said that although he was not willing to attribute all of the credit for the jail population reduction to the AIC program, he did believe the program contributed to that outcome (personal communication, August 21, 2012). Further, Ticon cited the relatively low cost of the program and the diversion of low-risk offenders as two of the definite benefits of the program (personal communication, August 21, 2012). The Tom Green County AIC is of further interest, as it is the program to which Smith County officials turned their attention when seeking an alternative solution to the Smith County jail overcrowding (Probation officer # 13, personal conversation, July 23, 2012). Although the Smith County AIC program later diverged from the Tom Green County model, there are still many similarities in purpose and method between the two programs.

### Chapter 3

#### Methods

#### Subjects

To test the hypothesis that individuals who successfully completed the AIC and progressed to regular probation are more likely to succeed on regular probation than individuals who had never participated in the AIC program, this study obtained the cooperation of the Smith County Adult Community Supervision and Corrections Department (CSCD), in Texas and selected subjects from the current case loads. The subjects who participated in this study were subdivided into two distinct groups. The first group was comprised of all of the former AIC participants who were currently on regular probation. As this was the population directly targeted by the study, the first subject group will be identified as the target group. The comparison group was made of regular probationers who had never been sentenced to the AIC. Additional data to extend and validate results were obtained from the probation officers who had had experience with one or both of the subject groups.

The researcher had access to every former AIC probationer who was still on regular probation. At the beginning of the data collection period, there were 123 subjects in this group; however, during the course of the data collection, this number fluctuated due to various external factors (recidivism and completion of probation). Also, several former AIC probationers no longer lived in the county; they either reported by mail or to a probation department in their county of residence.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

The subjects for the comparison group were matched in terms of offense to subjects from the target group. Since offenders are sentenced to the AIC for misdemeanors, felonies, and civil offenses, it was determined that the comparison group would represent each of these elements. As advised by officials at the Smith County CSCD, the Intensive Supervision Probation (ISP) and civil probation units were selected as most likely to provide subjects suitably equivalent to the target population. As a point of clarification, the ISP unit is typically reserved for offenders who are considered high-risk (Definitions and Acronyms, TDCJ, n.d.). It is not uncommon for criminal AIC participants who complete the AIC program and continue on the regular probation to be placed on ISP initially, before being transferred to misdemeanor or felony units. For this reason it was determined that these two units would provide subjects with offenses similar to those of the target population. The ISP unit contained a relatively small number of offenders (221), so the researcher included the total ISP population in the comparison group and elected to include an equal number of subjects from the civil unit. The total number of subjects in the comparison group was 450.

Initially 11 probation officers from the civil and ISP units were asked to participate in the study, as key informants. The researcher believed it could be reasonably assumed that most of these officers had had some contact with both the former AIC probationers and the regular probationers and would be able to provide information regarding their interaction with the two groups and any perceived differences between the two groups. As the data collection progressed, officers from other units who had former AIC probationers on their caseloads were included. The other units represented in the informant group were misdemeanor, felony, DWI, sub abuse, and

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

SAFPF. The total number of probation officers who were asked to recruit subjects and participate in the study themselves was 28.

Since the subjects involved in this study were under supervision, in varying degrees, by the criminal justice system, it was anticipated that they may resist participating in a study that required them to sign a statement of informed consent. For this reason, subjects were informed orally of the nature of the study and the assured of the confidential and voluntary nature of the study. The researcher provided scripts for the probation officers to use for recruiting participants. Script copies are included in Appendix A. This study received approval by a Full Board Review of the University of Texas Institutional Review Board (IRB #Sp2010-76).

### Sampling

The researcher had access to the entire target population, and the remainder of the subjects was selected to resemble the target population. Every probationer in the ISP unit was selected to participate in the study. The civil unit caseload was too large to include every probationer, so a convenience sampling method was used. To randomize the selection of civil probationers for inclusion in the comparison group, probation officers were asked to recruit the probationers that they met with on Mondays, Wednesdays, and Fridays. Probation officers who were assigned to specific units and/or had former AIC probationers on their caseloads were asked to participate in the study.

Probation officers who were part of the ISP and civil probation units were approached at a department meeting. They were requested to recruit subjects from their caseloads based on the criteria described by the researcher. Probation officers from misdemeanor, felony, DWI, substance abuse, and SAFP units were approached

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

individually and requested to recruit specific subjects from their caseloads.

### Instrumentation

In order to obtain specific quantitative data relating to former AIC participants' success on regular probation, the researcher collaborated with Dr. Barbara Hart, Associate Professor of Criminal Justice at the University of Texas at Tyler, and created 3 surveys. The survey created for the target group asked subjects about their experiences on AIC and regular probation and about their ideas of success in relation to those two programs. The survey created for the comparison group was necessarily shorter; it asked the subjects about their experiences on regular probation and about their ideas of success in relation to regular probation. The final survey was created for the probation officers and asked them to compare behavior of the target and comparison groups based on personal observation and/or experience with the subjects of those groups. See Appendix A.

Interviews were conducted in order to obtain qualitative data regarding the comparative success of the target and comparison groups. Subjects in the comparison group were not interviewed as they could provide no information relative to the benefits and/or detriments of the AIC program. Target group subjects were interviewed in order to better understand their responses to survey questions, to ascertain their ideas of success, and to determine their retrospective responses to their AIC experiences.

The final tool used in this study for measuring the success of former AIC participants is a comparison to the findings from the unpublished report of the AIC program evaluation that was performed in the summer of 2011. This evaluation was performed by Dr. Hart and a team of graduate research assistants at the request of the

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Smith County Probation Director and the AIC supervisor. The purpose of the evaluation was to determine if the program was efficiently and effectively meeting its stated goals. The researchers performing the evaluation collected data through self-report surveys and interviews; they presented the results of the evaluation and recommendations for improvements to Smith County CSCD officials. Dr. Hart made the evaluation results and recommendations available for use in this study, with the permission of Smith County Probation Director Gerald Hayden. To obtain a copy of the AIC Evaluation, contact Dr. Barbara Hart.

### Data Collection

The data collection occurred in two distinct periods, the first lasting five weeks (May 16-June 21, 2012) and the second lasting six weeks (July 23-August 28, 2012). There was a five week interval between the two periods. The researcher initiated the data collection, with cooperation from the Smith County CSCD officials, by approaching the probation officers in the civil and ISP units. The probation unit directors had suggested approaching the probation officers during the monthly staff meeting, explaining the purpose of the study, and asking for their cooperation and involvement. As the probation officers were intended to be both subjects and recruiters, it was important for them to understand precisely what was being asked of them. The researcher approached the 11 probation officers who were selected to participate in the study. These officers were selected because they were officers for the civil and ISP units. The researcher provided each officer with a packet containing the surveys. Each packet had one survey for the probation officer to complete, a script to be used to describe the study to target and comparison group subjects, and surveys for the officers to deliver to the target and



## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

comparison group subjects. The probation officers were asked to complete their surveys and drop them in a box that had been placed in the lobby of the 11<sup>th</sup> floor of the probation office building, where the civil and ISP units were located. Placing the box in the lobby allowed for some measure of privacy, but also allowed the officers to monitor the security of the box.

After describing the steps for probation officer participation in the study, the researcher described the steps for recruiting subjects from the probation population. First, officers were asked to deliver surveys to every member of the target population (former AIC probationers) who was on their caseloads. ISP officers were asked to deliver surveys to their entire caseloads, both target and comparison populations (former AIC probationers and regular probationers, respectively). Civil officers were asked to survey only a small percentage of their caseloads; they were asked to deliver surveys to members of the comparison population who met with the officers for their regularly scheduled meeting on Mondays, Wednesdays, and/or Fridays. By restricting the number of civil regular probationers who were surveyed, the number of subjects in the comparison group would be balanced between probationers civil and ISP. Selecting arbitrary days of the week on which to administer the surveys would guarantee the randomization of the civil regular probationers included in the study. (The target group and the ISP probationers did not need to be randomized, as every member of the population was included in the study.)

Probationers who had been selected for participation in the study were given the survey at the close of the meeting with their probation officers. The officers used the script provided by the researcher to describe the purpose of the study, and, per the

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

directions of the researcher, included information regarding the confidential and voluntary nature of the study and the importance of participation. The probationers were given a clipboard and asked to fill out the survey in the lobby of the 11<sup>th</sup> floor. When they finished, they were asked to place the survey in an envelope and drop the envelope into the box that was previously described. Probationers were asked to fill out the survey in the lobby to decrease any sense of coercion and to emphasize the voluntary nature of the study. Envelopes were provided for the probationers to place the surveys in before submission to increase the professional appearance of the study and to underscore the confidentiality of all the information provided.

After the initial meeting with the probation officers, the researcher retrieved survey submissions from the probation office daily for the next five weeks. (During a five-day period when the researcher was unable to retrieve the surveys, a probation officer agreed to lock the box in his office every evening and to replace it in the lobby every morning.) ISP probationers met with their probation officers weekly, and civil probationers met with their officers monthly. Five weeks provided the probation officers sufficient time to recruit participants from their caseloads; however, at the end of the five-week data collection period, the response rate was so low that the researcher determined it would be necessary to approach additional probation officers and enlist their aid in recruiting the former AIC probationers who had not been contacted previously. The researcher was provided an updated list of all the former AIC probationers currently sentenced to regular probation and their probation officers. Using this list, the researcher contacted each of the probation officers who had not been part of the first data collection period. Instead of speaking to the additional officers in a unit

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

meeting, as had been the case with the first subjects from the comparison group, each officer was approached individually; the purpose of the study was explained, and each officer was asked to participate and to recruit target subjects from his or her caseload. There were two reasons for the change in methodology: first, the probation officers were spread out on different floors and in different units, so there would not be a meeting that would include each probation officer that was selected to participate in the second period of data collection; and second, the remaining former AIC probationers who had not been contacted in the first data collection period were spread thinly across several different probation units. By approaching each officer individually, the researcher was able to indicate to the officer which probationer(s) were to be recruited, if possible. The researcher also felt that by speaking with each officer individually, she would be able to emphasize the importance of participation in the study. Probation officers on four floors of the probation department were contacted and asked to participate in the second data collection period, which last six weeks. Submission boxes were placed on each floor, and the researcher collected submission 2-3 times per week. Since the former AIC probationers who were recruited in the second period of the data collection were each scheduled for monthly meetings with their probation officers (instead of weekly, like the ISP probationers), the researcher determined that collecting surveys daily would not be necessary.

## Chapter 4

### Results

#### Univariate analysis

Surveying the Smith County probationers yielded results that led to the creation of two distinct data sets. While the measurement instruments (surveys) were non-equivalent, there are multiple points of comparison between the data sets. Participants in the target group (AIC probationers) who completed the survey numbered 13; comparison group participants (non-AIC probationers) who completed the survey totaled 54.

#### Demographics

The demographic data provided by AIC probationers shows that 6/13 of the respondents were male and 2/13 were female. (Only 8 of the 13 AIC probationer participants provided information regarding their gender). The age distribution of AIC respondents revealed that 2/13 (22%) were between the ages of 28-32; 3/13 (33.3%) respondents were between 33-40 years old; and another 3 (33.3%) were between 41-50 years old. The remaining respondent (11.1%) was older than 50 years old. AIC probationers who completed the demographic information were either white Americans (5/13) or African Americans (4/13) (55.6% and 44.4% respectively). Finally, 5/13 (55.6%) of the AIC probationers completed the 11<sup>th</sup>-12<sup>th</sup> grades, 3 (33.3 %) completed 1-2 years of college, and 1 (11.1%) wrote in an answer that did not correspond to the options provided in the survey (one respondent wrote in that he/she had completed a GED).

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

The demographic data provided by non-AIC probationers shows that 28/54 (77.8%) of respondents were male and 8/54 (22.2%) were female. The age range of non-AIC probationer respondents had a broader range; 27/54 (69.2%) of respondents were 28 and older, the range in which all of the AIC probationer respondents fell. The remaining 12 (33%) of the non-AIC respondents is divided as follows: 5 (12.8%) were in the 17-22 category, and 7 (17.9%) were in the 23-27 category. As with the AIC probationers, the majority of non-AIC probationer respondents were either white Americans (21/54) or African Americans (14/54) (53.8% and 35.9% respectively); however, 4 of the respondents belonged to other racial/ethnic groups (10.3%).

Again, the non-AIC probationer responses regarding their level of schooling cover a wider spectrum than the AIC probationer responses. The majority (69.3%) of non-AIC probationers either completed the 11<sup>th</sup>-12<sup>th</sup> grades or 1-2 years of college (27/54). The remaining 30.7% were divided as follows: 7<sup>th</sup>-8<sup>th</sup> grades, 1/54 (2.6%); 9<sup>th</sup>-10<sup>th</sup> grades, 6/54 (11.1%); 3+ years of college, 4/54 (10.3%); and write-in, 1/54 (2.6%). Altogether, the target and comparison groups are comparable demographically. Had the response rate for the target group been larger that group might have reflected the variations that were found in the comparison group.

The remaining demographic information that was asked to both the target and comparison groups concerned the respondent's employment. AIC probationer responses showed that 11/13 (84.6%) of participants are currently employed, and 11/12 (91.7%) have had a job for more than 3 months in a row within the last year. Similarly, 47/54 (88.7%) of non-AIC probationers are currently employed, and 37/54 (82.2%) have had a

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

job for more than 3 months in a row within the last year. Table 5 displays the demographic data for the target and comparison groups.

Table 5. Demographic Data for AIC and Non-AIC Probationers

<b>Demographics</b>	<b>AIC</b>	<b>NON-AIC</b>
<b>Gender</b>	Male: 75% Female: 25%	Male: 78% Female: 22%
<b>Age</b>	28-32: 22% 33-40: 33% 41-50: 33% Older than 50: 11%	17-22: 13% 23-27: 18% 28-32: 18% 33-40: 31% 41-50: 18% Older than 50: 3%
<b>Racial/Ethnic group</b>	White: 56% African American: 44%	White: 54% African American: 36% Other: 10%
<b>Level of Education</b>	11 <sup>th</sup> -12 <sup>th</sup> : 57% 1-2 years of college: 33% Other: 11%	11 <sup>th</sup> -12 <sup>th</sup> : 39% 1-2 years of college: 31% Other: 31%
<b>Employment</b>	Yes: 85% No: 15%	Yes: 89% No: 8% Other: 4%
<b>Employment for 3 months in a row</b>	Yes: 92% No: 8%	Yes: 82% No: 18%

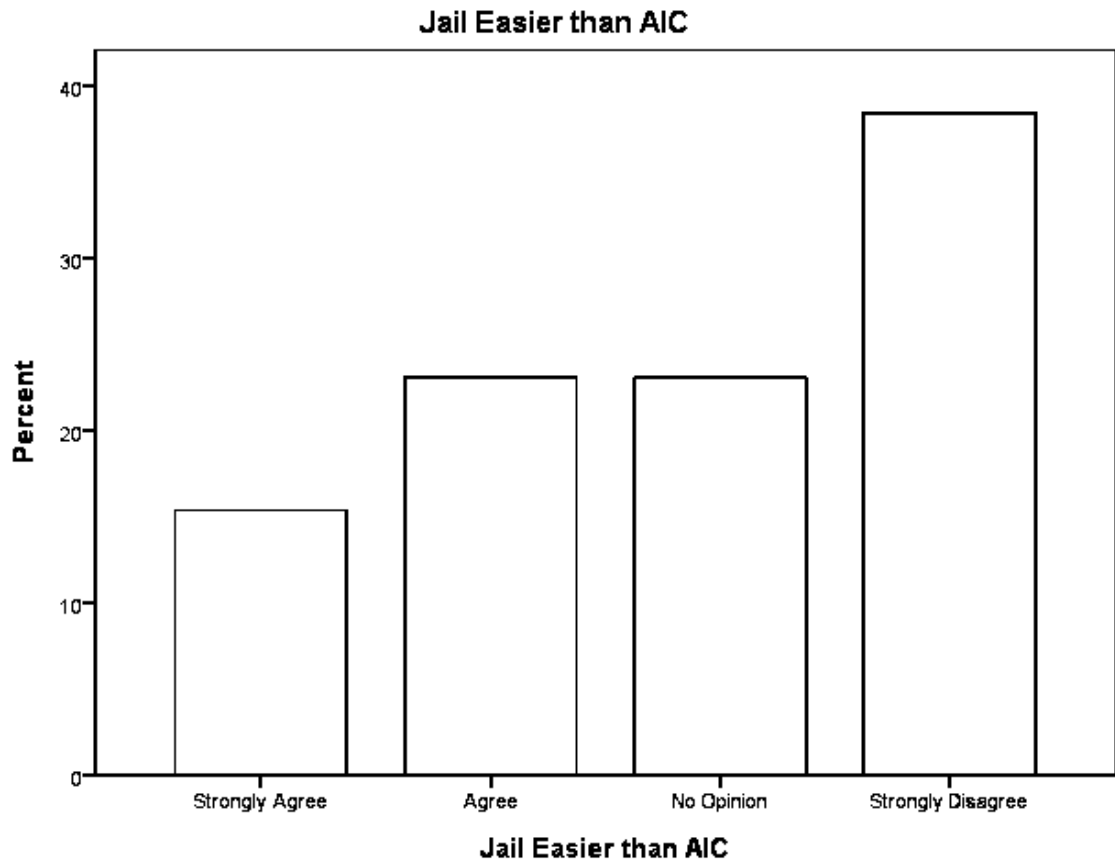
Data are rounded to the nearest whole number.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

### Client Reports on the Ease of AIC/Probation versus Jail

When asked whether jail would have been easier than the AIC program, 5/13 (38.5%) of AIC probationers strongly agreed or agreed that jail would have been easier than the AIC program. The same number (5) of AIC respondents strongly disagreed that jail would have been easier. The 3 remaining respondents (23%) offered no opinion. None of the AIC probationer participants disagreed that jail would have been easier than the AIC program.

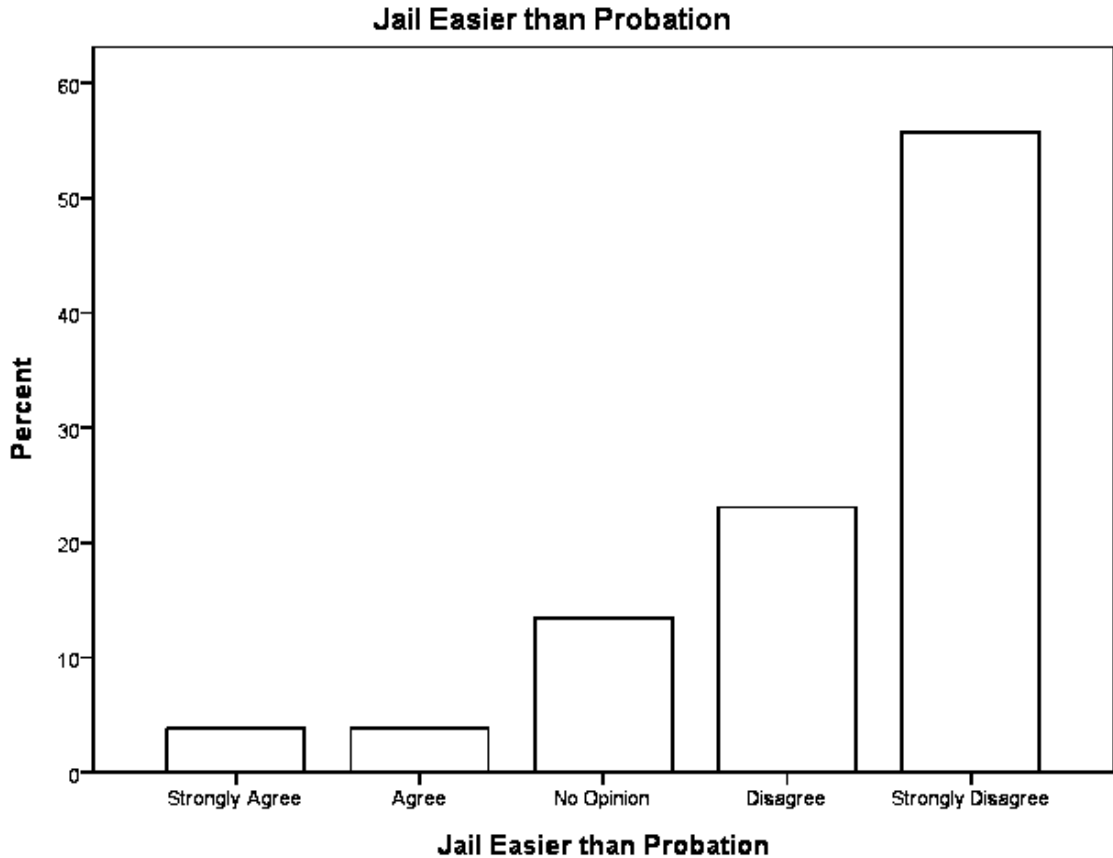
Figure 1. AIC Response: Jail Easier than AIC



When non-AIC probationers were asked a similar question, “I think jail/prison would have been easier than probation,” the majority was in strong disagreement: 41/54 disagreed (79%).

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Figure 2. Non-AIC Response: Jail Easier than Probation



### Client Reports on Needing Help

When asked to respond to the statement, “I don’t need help,” 4/12 (33%) of AIC probationers strongly agreed/agreed that they did not need help, 3/12 (25%) strongly disagreed. Nearly half (42%) of the AIC probationers (5/12) offered no opinion.

Non-AIC probationers were less ambivalent than the AIC probationers. Of the non-AIC probationers who responded to the statement, “I don’t need help,” only 12/54 (25%) offered no opinion. But the remaining 37/54 (75%) of non AIC respondents were more evenly split between agreement and disagreement: 17/54 (34%) of non-AIC respondents strongly agreed/agreed that they did not need help, and 20/54 (41%) strongly



A STUDY OF SMITH COUNTY AIC PARTICIPANTS

disagreed/disagreed. Table 6 shows AIC and non-AIC probationer responses to the statement “I don’t need help.”

Table 6. AIC and non-AIC Probationer Responses to  
“I don’t need help.”

<b>I don’t need help.</b>	<b>AIC</b>	<b>NON-AIC</b>
<b>Strongly Agree</b>	25%	18%
<b>Agree</b>	8%	16%
<b>No Opinion</b>	42%	25%
<b>Disagree</b>	8%	27%
<b>Strongly Disagree</b>	17%	14%

Valid percentage is shown.

Data are rounded to nearest whole number.

Clients Report on Preference for AIC versus Probation

AIC probationers did not prefer the AIC program to probation (4/12 disagreed and 5/12 strongly disagreed).

Client Reports on Worrying about Probation Completion

When asked, 8/12 (66.7%) AIC probationers stated that they were not worried about completing regular probation. A similar number of non-AIC probationers were not concerned about completing their probation requirements. When asked if they were worried, 35/51 (68.6%) non-AIC probationers strongly disagreed/disagreed.

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Table 7. AIC and non-AIC Probationer Responses to  
 “I worry that I won’t make it through probation.”

<b>I worry that I won’t make it through probation.</b>	<b>AIC</b>	<b>NON-AIC</b>
<b>Agree</b>	0%	16%
<b>No Opinion</b>	27%	16%
<b>Disagree</b>	73%	70%

Percentages have been rounded

Client Reports on AIC Experience

Even though the majority of AIC probationers expressed preference for regular probation and said they were not worried about meeting the regular probation requirements, an equal number of AIC probationers responded that they were satisfied with their AIC experience: 8/12 (67%) either strongly agreed or agreed. And 7/12 (58.3%) felt that their AIC experience would help them make it through probation.

Client Reports on Ease of Fooling Probation Officers

When asked if it was easy to fool their probation officers, none of the AIC probationers agreed and less than 5% of the non-AIC probationers agreed (4.2%).

Table 8. AIC and non-AIC Probationer Responses to  
 “It is easy to fool my probation officer.”

<b>It is easy to fool my probation officer.</b>	<b>AIC</b>	<b>NON-AIC</b>
<b>Agree</b>	0%	4%
<b>No Opinion</b>	15%	19%
<b>Disagree</b>	85%	77%

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

### Client Reports on Help Finding Job

The majority (9/12) of AIC probationer felt that the AIC program had not helped them to find a job (75%). Non-AIC probationers were more ambivalent about the help their probation officers offered them in finding a job; 16/53 (roughly 30%) agreed that their probation officer helped them find a job, 16/53 (30%) had no opinion, and 21/53 (40%) disagreed. Finding and/or retaining a job is a requirement of the AIC program and the type of employment is subject to the approval of the AIC supervising officer (Smith County CSCD AIP Proposal, 2006). So AIC probationer responses reflect their perception of the level of support they felt that they received from their supervising officers at the AIC. For the non-AIC probationer responses, since terms of probation can vary probation officers may not be expected to ensure the employment of the probationers on their caseloads. The non-AIC probationer responses that indicate a lack of support from their case officers may merely reflect the different roles performed by AIC supervising officers and probation officers.

### Client Reports on AIC Program Benefits

When asked if AIC home visits helped, 8/11 (72.6%) respondents strongly disagreed/disagreed that home visits from AIC field officers were helpful. AIC probationers were more supportive of the additional learning that the AIC program provided; 50% of respondents strongly agreed/agreed that the additional learning helped. According to the AIC program's policies and procedures, AIC participants have access to (with the approval of an AIC supervisor) alcohol and drug rehabilitation services, mental health rehabilitation services, GED/literacy training services, and job skill/employment rehabilitation services (Hart, 2011). Unfortunately, while the quantitative data suggests

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

that AIC probationers found these services helpful, the opinions expressed in the AIC probationer interviews did not specifically refer to the additional learning that the AIC program provided. One interviewee referred to the job skills training, but he/she said that the training did not help him find a job. It is worthwhile to note that the team of researchers involved in the AIC program evaluation recommended that the use of these services be expanded within the program (Hart, 2011).

### Client Reports on the AIC Expected too Much

AIC probationers were asked if the AIC program had expected too much from them. The response was mixed. Of the respondents, 2/11 (18.2%) strongly agreed that the program had expected too much of them, and only 1/11 (9.1%) strongly disagreed. But when the total percentage of those in agreement or disagreement is considered, the slight difference disappears: 4/11 (36.4%) agreed and disagreed. It would be interesting to know how many civil and how many criminal probationers agreed/disagreed that the AIC expected too much from them. All of the interviewees were civil offenders, and the majority of them stated that they thought the program expected too much from civil offenders, but they thought the level of supervision might be appropriate for criminal offenders

### Client Reports on AIC Increasing Responsibility

As creating and maintaining a daily schedule is a large part of the AIC program, AIC probationers were asked if creating a schedule helped them to be responsible and whether they still created a schedule. Respondents were equally divided as to whether creating a schedule helped them to be responsible, with 6/13 (46.2%) both agreeing and disagreeing. But 6 also agreed that they still created a schedule. It would be interesting

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

to know how many of the AIC probationers who continue to keep a schedule also kept one before entering the AIC. And which of those were civil offenders and which were criminal. One interviewee, who was a civil offender, said that he/she kept a detailed schedule before entering the AIC and continues to do so. The interviewee said that keeping a detailed schedule was a part of his business and was not in any way due to his AIC experience.

The non-AIC probationers were not asked about creating schedules, as that is not a part of the probation process; instead, they were asked whether probation had helped them to become more organized. More than 50% of non-AIC probationers responded that probation had made them more organized (28/54).

### Bivariate Analysis

A comparison of the frequency distributions of the two data sets has, in many cases, not revealed appreciable variations between the target and comparison groups (AIC and non-AIC probationers). In order to determine whether there are significant statistical differences, the data will undergo a bivariate analysis to determine association. Gamma will be used to determine the strength and direction of association between variables, and chi square will be used to determine whether the association is statistically significant.

In order to test the hypothesis around which this study was formed, namely that individuals who successfully completed the AIC and progressed to regular probation are more likely to succeed on regular probation than individuals who had never participated in the AIC program, several supporting hypotheses were created. The researcher selected comparable variables that suggest the respondents' attitude toward AIC/probation.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Hypothesis 1: AIC probationers who felt that the AIC program expected too much from them are more likely to be worried about completing regular probation.

Null: There is no relationship between feeling that the AIC program expected too much and worry about completing regular probation.

When asked if the AIC program asked too much of them, 4 (36.4%) of the AIC probationers strongly agreed/agreed. However, none of the AIC probationers were worried about completing probation. Interestingly, the same number of AIC probationers (4) did not believe that the AIC program had asked too much of them (36.4%). The gamma value of .389 indicates a moderately weak association between the two variables; however, the low response rate from the target population makes it difficult to determine whether the data collected is representative of all AIC probationers. A chi-square of 12.681 yields a p-value of .123. This is not a statistically significant p-value, which means that a relationship between thinking that the AIC program expected too much and worry about completing regular probation cannot be supported by the data. The researcher is unable to reject the null of Hypothesis 1.

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Table 9. AIC Respondents: AIC Respondents Worried About Probation Completion \*  
AIC Expected Too Much Cross-tabulation

			AIC Expected Too Much					
			Strongly Agree	Agree	No Opinion	Disagree	Strongly Disagree	Total
AIC Respondent Worried About Probation Completion	No Opinion	Count	1	0	1	0	1	3
		% within AIC Respondent Worried About Probation Completion	33.3%	.0%	33.3%	.0%	33.3%	100.0%
		% within AIC Expected Too Much	50.0%	.0%	33.3%	.0%	100.0%	27.3%
		% of Total	9.1%	.0%	9.1%	.0%	9.1%	27.3%
	Disagree	Count	1	2	1	0	0	4
		% within AIC Respondent Worried About Probation Completion	25.0%	50.0%	25.0%	.0%	.0%	100.0%
		% within AIC Expected Too Much	50.0%	100.0%	33.3%	.0%	.0%	36.4%
		% of Total	9.1%	18.2%	9.1%	.0%	.0%	36.4%
	Strongly Disagree	Count	0	0	1	3	0	4
		% within AIC Respondent Worried About Probation Completion	.0%	.0%	25.0%	75.0%	.0%	100.0%
		% within AIC Expected Too Much	.0%	.0%	33.3%	100.0%	.0%	36.4%
		% of Total	.0%	.0%	9.1%	27.3%	.0%	36.4%
Total	Count	2	2	3	3	1	11	
	% within AIC Respondent Worried About Probation Completion	18.2%	18.2%	27.3%	27.3%	9.1%	100.0%	
	% within AIC Expected Too Much	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	
	% of Total	18.2%	18.2%	27.3%	27.3%	9.1%	100.0%	

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Hypothesis 2: AIC probationers who learned a lot from AIC rules and procedures are more likely to agree that the AIC rules help them to succeed on regular probation.

Null: There is no relationship between learning a lot from AIC rules and procedures and agree that the AIC rules help to succeed on regular probation.

According to the cross-tabulation on the following page, 9/13 (69.2%) of the AIC probationers either strongly agreed or agreed that they had learned a lot from that the AIC rules and procedures and that those rules had helped them to succeed on regular probation. However, 2 of the 9 (22.2%) respondents agreed that they had learned a lot from the rules and procedures, but disagreed that those rules would help them complete probation. The gamma value is .860. It indicates a strong, positive association between the two variables. The chi-square value is 14.021, which means the p-value is .597. These results are not significant. The researcher is unable to reject the null hypothesis.



A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Table 10. AIC Respondents: AIC Rules Helped \* Respondent Learned from AIC Rules/Procedures Cross-tabulation

			Respondent Learned from AIC Rules/Procedures					Total
			Strongly Agree	Agree	No Opinion	Disagree	Strongly Disagree	
AIC Rules Helped	Strongly Agree	Count	1	1	0	0	0	2
		% within AIC Rules Helped	50.0%	50.0%	.0%	.0%	.0%	100.0%
		% within Respondent Learned from AIC Rules/Procedures	50.0%	14.3%	.0%	.0%	.0%	15.4%
		% of Total	7.7%	7.7%	.0%	.0%	.0%	15.4%
	Agree	Count	1	2	0	0	0	3
		% within AIC Rules Helped	33.3%	66.7%	.0%	.0%	.0%	100.0%
		% within Respondent Learned from AIC Rules/Procedures	50.0%	28.6%	.0%	.0%	.0%	23.1%
		% of Total	7.7%	15.4%	.0%	.0%	.0%	23.1%
	No Opinion	Count	0	2	0	0	0	2
		% within AIC Rules Helped	.0%	100.0%	.0%	.0%	.0%	100.0%
		% within Respondent Learned from AIC Rules/Procedures	.0%	28.6%	.0%	.0%	.0%	15.4%
		% of Total	.0%	15.4%	.0%	.0%	.0%	15.4%
	Disagree	Count	0	0	1	0	0	1
		% within AIC Rules Helped	.0%	.0%	100.0%	.0%	.0%	100.0%
		% within Respondent Learned from AIC Rules/Procedures	.0%	.0%	50.0%	.0%	.0%	7.7%
		% of Total	.0%	.0%	7.7%	.0%	.0%	7.7%
	Strongly Disagree	Count	0	2	1	1	1	5
		% within AIC Rules Helped	.0%	40.0%	20.0%	20.0%	20.0%	100.0%
		% within Respondent Learned from AIC Rules/Procedures	.0%	28.6%	50.0%	100.0%	100.0%	38.5%
		% of Total	.0%	15.4%	7.7%	7.7%	7.7%	38.5%
Total	Count	2	7	2	1	1	13	
	% within AIC Rules Helped	15.4%	53.8%	15.4%	7.7%	7.7%	100.0%	
	% within Respondent Learned from AIC Rules/Procedures	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	
	% of Total	15.4%	53.8%	15.4%	7.7%	7.7%	100.0%	

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Hypothesis 3: AIC probationers who thought jail would be easier than the AIC program are less likely to continue to create daily schedules.

Null: There is no relationship between thinking that jail would be easier than AIC and the likelihood of creating a daily schedule.

Of the AIC probationer respondents, 5 (38.5%) strongly agreed or agreed that jail would have been easier than the AIC program. And 4 (30.8%) strongly disagreed or disagreed when asked if they still kept a daily schedule. However, 5 (38.5%) strongly disagreed that jail would have been easier, and 6 (46.2%) strongly agreed or agreed that they still maintained a daily schedule. Further, the gamma value is  $-.333$ , which supports the negative direction of the hypothesis, but indicates a moderately weak association between the variables. The chi-square value is 10.942, and the p-value is .534. The results of this cross-tabulation are statistically insignificant. The researcher is unable to reject the null hypothesis, and the results are not significant.

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Table 11. AIC Respondents: Still Creates Schedule \* Jail Easier than AIC  
Cross-tabulation

			Jail Easier than AIC				Total
			Strongly Agree	Agree	No Opinion	Strongly Disagree	
AIC Respondent Still Creates Schedule	Strongly Agree	Count	0	0	0	2	2
		% within AIC Respondent Still Creates Schedule	.0%	.0%	.0%	100.0%	100.0%
		% within Jail Easier than AIC	.0%	.0%	.0%	40.0%	15.4%
		% of Total	.0%	.0%	.0%	15.4%	15.4%
	Agree	Count	1	1	1	1	4
		% within AIC Respondent Still Creates Schedule	25.0%	25.0%	25.0%	25.0%	100.0%
		% within Jail Easier than AIC	50.0%	33.3%	33.3%	20.0%	30.8%
		% of Total	7.7%	7.7%	7.7%	7.7%	30.8%
	No Opinion	Count	1	0	0	2	3
		% within AIC Respondent Still Creates Schedule	33.3%	.0%	.0%	66.7%	100.0%
		% within Jail Easier than AIC	50.0%	.0%	.0%	40.0%	23.1%
		% of Total	7.7%	.0%	.0%	15.4%	23.1%
	Disagree	Count	0	1	1	0	2
		% within AIC Respondent Still Creates Schedule	.0%	50.0%	50.0%	.0%	100.0%
		% within Jail Easier than AIC	.0%	33.3%	33.3%	.0%	15.4%
		% of Total	.0%	7.7%	7.7%	.0%	15.4%
	Strongly Disagree	Count	0	1	1	0	2
		% within AIC Respondent Still Creates Schedule	.0%	50.0%	50.0%	.0%	100.0%
		% within Jail Easier than AIC	.0%	33.3%	33.3%	.0%	15.4%
		% of Total	.0%	7.7%	7.7%	.0%	15.4%
Total	Count	2	3	3	5	13	
	% within AIC Respondent Still Creates Schedule	15.4%	23.1%	23.1%	38.5%	100.0%	
	% within Jail Easier than AIC	100.0%	100.0%	100.0%	100.0%	100.0%	
	% of Total	15.4%	23.1%	23.1%	38.5%	100.0%	

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Hypothesis 4: Non-AIC probationers who thought jail would be easier than probation are less likely to agree that probation helped them to be more organized.

Null: There is no relationship between thinking jail would be easier and agreeing that probation helped increase organization.

Of the non-AIC probationers, only 4/52 (7.6%) thought that jail would be easier than probation, and 13/52 (25%) non-AIC probationers strongly disagreed/disagreed that probation had made them more organized. Conversely, 41/52 (78.9%) non-AIC probationers strongly disagreed/disagreed that jail would be easier than probation, and 27/52 (51.9%) strongly agreed/agreed that probation had made them more organized.

The gamma value is  $-.102$ . This value supports the negative direction of the hypothesis, but the association is extremely weak. The chi-square value is 21.597. The p-value is .157. The result cannot be generalized to the comparison population. Consequently, the researcher fails to reject the null hypothesis, and the results are not statistically significant.

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Table 12. Non – AIC Respondents: Probation Helped be More Organized \* Jail Easier than Probation Cross-tabulation

Probation Helped be More Organized \* Jail Easier than Probation Crosstabulation

			Jail Easier than Probation					Total
			Strongly Agree	Agree	No Opinion	Disagree	Strongly Disagree	
Probation Helped be More Organized	Strongly Agree	Count	0	1	1	2	6	10
		% within Probation Helped be More Organized	.0%	10.0%	10.0%	20.0%	60.0%	100.0%
		% within Jail Easier than Probation	.0%	50.0%	14.3%	16.7%	20.7%	19.2%
		% of Total	.0%	1.9%	1.9%	3.8%	11.5%	19.2%
	Agree	Count	0	0	3	5	9	17
		% within Probation Helped be More Organized	.0%	.0%	17.6%	29.4%	52.9%	100.0%
		% within Jail Easier than Probation	.0%	.0%	42.9%	41.7%	31.0%	32.7%
		% of Total	.0%	.0%	5.8%	9.6%	17.3%	32.7%
	No Opinion	Count	0	0	1	2	9	12
		% within Probation Helped be More Organized	.0%	.0%	8.3%	16.7%	75.0%	100.0%
		% within Jail Easier than Probation	.0%	.0%	14.3%	16.7%	31.0%	23.1%
		% of Total	.0%	.0%	1.9%	3.8%	17.3%	23.1%
	Disagree	Count	1	1	2	3	0	7
		% within Probation Helped be More Organized	14.3%	14.3%	28.6%	42.9%	.0%	100.0%
		% within Jail Easier than Probation	50.0%	50.0%	28.6%	25.0%	.0%	13.5%
		% of Total	1.9%	1.9%	3.8%	5.8%	.0%	13.5%
Strongly Disagree	Count	1	0	0	0	5	6	
	% within Probation Helped be More Organized	16.7%	.0%	.0%	.0%	83.3%	100.0%	
	% within Jail Easier than Probation	50.0%	.0%	.0%	.0%	17.2%	11.5%	
	% of Total	1.9%	.0%	.0%	.0%	9.6%	11.5%	
Total	Count	2	2	7	12	29	52	
	% within Probation Helped be More Organized	3.8%	3.8%	13.5%	23.1%	55.8%	100.0%	
	% within Jail Easier than Probation	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	
	% of Total	3.8%	3.8%	13.5%	23.1%	55.8%	100.0%	

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

### Interview Results

Simultaneously with the survey distribution and collection, the researcher interviewed AIC probationers and civil and criminal probation officers. Of the 13 AIC respondents, 4 participated in an interview, and 4/14 probation officer respondents participated in an interview. The 4 probationer interviewees were civil offenders. Their responses to the researcher's questions indicated a certain amount of frustration with their AIC experience: the program asked too much of them, the job training services were not helpful, and some of the supervisors were not helpful. The 4 probation officers who participated in interviews either expressed a good understanding of the AIC program or had definite opinions regarding the differences, or lack thereof, between AIC and non-AIC probationers.

The AIC probationers told the researcher during the interviews that the AIC program asked too much of participants. They did qualify this statement by adding that maybe the strict rules and guidelines were necessary and appropriate for criminal offenders, but they felt that the program was too demanding for civil offenders. As each of the interviewees had been sentenced to the AIC for failure to pay child support, it would be logical to assume that the structure and monitoring provided by the AIC program would help increase their level of organization and responsibility. The interviewees did not agree with this assumption; in fact, 2/4 interviewees said that the AIC program had had a harmful effect on their ability to earn money to pay their child support. One of the interviewees listed several negative effects that the AIC program had had on his/her life, but he/she did say that the program probably saved his life.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Although only 4 probation officers agreed to an interview, they did represent several of the Smith County CSCD supervision units: 2/4 were ISP probation officers, 1 was a felony officer, and the last was a DWI probation officer. Unfortunately none of the civil probation officers felt that they had had enough interaction with AIC probationers to agree to an interview. The civil probation officers do have larger caseloads than some of the other units, but they also have a larger ratio of AIC probationers/non-AIC probationers. Several of the probation officers were able to provide the researcher with useful information regarding the creation and operation of the AIC program.

## Chapter 5

### Discussion

In this study, the purpose was to determine if participants in the AIC program were more likely to succeed on regular probation than probationers who did not participate in the program; the researcher divided the probation population into two groups. The first group was labeled the target group and was comprised of former AIC participants who were currently on regular probation. The second group, the comparison group, was comprised of probationers who had never participated in the AIC program. The researcher surveyed both groups, asking each group to respond to statements that were designed to elicit information regarding their experiences with and their perceptions of the AIC program and/or the regular probation program. In this chapter, the researcher discusses the results that were obtained from the surveys, from personal interviews with the target group and regular probation officers, and compares and contrasts the results of the current study with those obtained in the AIC program evaluation in 2011.

In the previous chapter, target and comparison groups' survey responses were analyzed in two ways: one variable at a time (univariate) and two variables simultaneously (bivariate). These analyses led the researcher to conclude that there was not a statistically significant difference between the target and comparison groups. Yet the results provided interesting insights into offender attitudes and expectations. The univariate analysis revealed similar responses from both groups concerning their expected success on regular probation and the perceived benefits of regular probation. The bivariate analysis of several hypotheses offered mixed results.



## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

The purpose of the current study was to determine whether the AIC program had equipped its participants to better be able to succeed on regular probation than probationers who had not previously been in the AIC program. While the quantitative results obtained in this study were not statistically significant, the response to several variables may encourage future research. One example would be the non-AIC probationers' response to the statement, "I think jail would have been easier than probation." According Petersila et al.'s research (1994) with inmates in Minnesota, offenders prefer incarceration to community supervision; the reason is that community supervision was too demanding. The researcher noted with interest that the majority of non-AIC probationers (79%) did not feel that jail would be easier than probation. It would be useful to know how many of the non-AIC probationers who preferred probation to jail were on Intensive Supervision Probation (ISP). By definition, ISP should be the most demanding unit in regular probation. Further study may show that attitude toward probation differs between criminal and civil probationers.

Several variables regarding AIC probationers' attitude toward the AIC program prompt further research. Interestingly, 9/12 AIC probationers did not prefer the AIC program over regular probation, and 5/13 thought that jail would have been easier than the AIC program. But 8/12 AIC probationers said they were satisfied with their AIC experience, and 7/12 said that their AIC experience would help them complete regular probation. As the response rate for this study was low, these numbers cannot be said to reflect the opinions of the entire target population. Further study would be necessary to determine if the majority of AIC probationers credit the AIC program with their success on regular probation.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Identifying the problem is the first step to a solution. For many individuals, this means admitting there is a problem. When asked, 4/12 AIC probationers said that they did not need help, and 5/12 gave no opinion. These same offenders were sent to the AIC because they were ineligible for regular probation, either because of the nature or number of offenses. If after completing the program, they still have a stubborn attitude, will they be able to reintegrate into society successfully? Before being sentenced to the AIC, offenders must acknowledge guilt (Smith County CSCD AIP proposal, 2006), but perhaps further assurances of willing cooperation from the offender would increase AIC participants' likelihood of success in the program and in regular probation.

Four secondary hypotheses were proposed in order to ascertain the relationships between specific variables. The analysis of Hypothesis 1 (AIC probationers who felt that the AIC program expected too much from them are more likely to be worried about completing regular probation) demonstrated that there was an association between the feeling that the AIC program had expected too much of its participants and the level of worry regarding the completion of regular probation. However, this association was moderately weak and could not be generalized to the population due to the low response rate. The researcher noted that 4/13 AIC respondents did not think that the AIC program expected too much from them. It would be interesting to know if these four were criminal or civil offenders. Future studies could inquire whether there was a relationship between type of offense and the feeling that the AIC program expected too much of participants.

Also, an analysis of Hypothesis 2 (AIC probationers who learned a lot from AIC rules and procedures are more likely to agree that the AIC rules help them to succeed on

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

regular probation.) revealed an association between learning a lot from the AIC rules and procedures and thinking that those rules would help the participant successfully complete regular probation. AIC probationers' positive response to the AIC rules and procedures is an encouraging result. Since offenders are sentenced to the AIC program because they are ineligible for regular probation (either because of the type of offense, or because they previously failed to complete regular probation), the fact that 5/13 AIC probationers believe that the AIC program's rules/procedures will have a positive effect on their ability to complete regular probation speaks well of the program methods. However, the low response rate makes it impossible to generalize the results to the rest of the target population. These results provide direction for further study.

The researcher selected the variables used in Hypothesis 3 (AIC probationers who thought jail would be easier than the AIC program are less likely to continue to create daily schedules.) to ascertain whether or not AIC probationers with a negative response to the AIC program were more likely to be disorganized. The researcher was interested to know if AIC participants continued to use the structure that was a mandatory part of the AIC program, and if the continued presence of that structure could be related to participant attitudes toward their AIC experience. Unfortunately the data did not reveal a significant relationship between these variables. The researcher did note that 6/13 (46%) respondents agreed that they still keep a daily schedule. What is not known is whether the AIC probationers kept a daily schedule before entering the AIC program.

Hypothesis 4 assumed that non-AIC probationers who were more organized would not think that jail was easier than probation. When creating the surveys, the researcher asked AIC probationers whether they continued to make daily schedules. The

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

purpose of this question was to determine whether the structure of the AIC program continued to influence the participants once they were on regular probation. Since keeping a daily schedule is not a requirement of regular probation, the researcher asked non-AIC probationers whether or not probation had made them more organized. The majority of non-AIC probationers (27/52) agreed that probation helped them to be more organized. Unfortunately the association between the two variables was weak and statistically insignificant. The researcher is unable to say that there is a relationship between organization and believing jail to be easier than probation.

While hypotheses 1-4 did not produce statistically significant results, direction for future study was obtained. Hypotheses 1-2 concerned AIC probationers' success on or completion of regular probation. The variables in each hypothesis assumed a relationship between the AIC probationers' attitude toward the structure/demands of the AIC program and their perception of their ability to successfully complete regular probation.

Hypothesis 1 (relationship between thinking the AIC program expected too much and worry about the ability to complete regular probation) showed a moderately weak association between the two variables. Hypothesis 2 (relationship between thinking the AIC rules/procedures were helpful and thinking that the AIC rules help to succeed on regular probation) showed a strong association between the variables. The low response rate prevents these findings from being representative of the target population, but future study should inquire further as to the relationship between the positive perception of the AIC structure and methods and success beyond the AIC program.

Hypotheses 3-4 considered both AIC and non-AIC probationer responses to variables that measured their organizational skills and their preference for jail versus

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

AIC/probation. The researcher assumed that the number of AIC/non-AIC probationers who thought jail would be an easier alternative would decrease as the number with improved organizational skills increased. Unfortunately, neither hypothesis revealed a strong association between thinking jail was easier and increased organization. There was not a significant difference between AIC and non-AIC probationers' perceptions. However, 28/54 non-AIC probationers responded that probation had made them more organized. The researcher believes that further research would be beneficial in order to determine whether AIC probationers give the AIC program's extensive emphasis on structure and organization similar credit.

### Interviews

Although the quantitative data collected in this study did not reveal a significant association between participation in the AIC program and increased success on regular probation comparative to non-participation in the AIC program, the qualitative data gathered from the AIC probationers increased understanding of AIC program participant perspective, by obtaining more in-depth information regarding their survey responses. Only 7 of the 13 AIC probationer respondents agreed to a personal interview. The lack of response was disappointing but not unexpected. Jail/probation populations typically resist providing information out of fear of repercussions. Unfortunately, only 4 of those who agreed to an interview actually participated in a personal interview with the researcher. Those who agreed to an interview but did not participate in one were inaccessible by the phone numbers that they provided. Of those who were interviewed, each had been sentenced to the AIC for absconding (failure to pay child support). Therefore these interview results cannot be applied to the offenders who were criminal

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

offenders. The majority of the interviewees (3) felt that the AIC program was too severe a sanction for failure to pay child support. The same interviewees said that the program could conceivably be beneficial for someone else. Only 1 of the interviewees expressed predominately positive reactions to the AIC program. Another 1 of interviewees said that he/she would prefer jail to the AIC program.

For purposes of the study, the researcher defined success as the ability to successfully complete regular probation. Each interviewee loosely defined success as working hard to achieve goals. The interviewees definition was both broader and more vague than the one used by the researcher. When asked, 2 of the 4 interviewees adamantly denied that the AIC program helped them to succeed; 1 of the interviewees credited the AIC program with some influence on their success; and the remaining interviewee positively affirmed that the AIC program had helped him to succeed. In the context of the interviewees understanding of success, 2/4 did not think the AIC program had helped them work hard to achieve their goals; 1 interviewee said the AIC program had helped to some degree; and the final interviewee said the program had helped him/her work hard to achieve his/her goals. It is interesting to note that 3 of the interviewees stated that the AIC program benefited them in some way, but the same individuals also stated that the program did not help them succeed. These are conflicting statements. The resolution of the conflict lies in the definition of success provided by the interviewees. Broadly defining success as working hard to achieve goals allows an individual to say that the AIC program may have benefited him/her in some way and also say that the program did not help him/her to achieve those vague goals.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

While some of these findings are supported by the quantitative data collected with the surveys, there is an inconsistency between the quantitative and qualitative reports of the respondents' general satisfaction with the AIC program. When asked, the majority of interviewees (3) did not think that the AIC program had helped them to succeed, and they thought that the program had asked too much from them. But the majority of AIC respondents who returned a survey agreed with the statement, "I was satisfied with my experience in the AIC." The same is true with the statement from the survey—the majority (7/12) strongly agreed/agreed with the statement, "Thanks to what I learned in the AIC, I will make it through regular probation." The response to this survey statement probably reflects best the strong opinions of the interviewees. Here 7/12 (58%) agreed or strongly agreed that the AIC experience helped them get through probation. Yet they were critical of the program and denied its assistance in other survey responses. One possible explanation for the disagreement between the data obtained through surveys and that obtained through interviewees may be due to the fact that all the interviewees were civil offenders. There is no way to know if AIC probationers who participated in the AIC program for reasons other than failure to pay child support would have made communications of a similarly negative nature. Also, the AIC probationers who agreed to an interview may have been eager to vocalize their frustration with the program. AIC probationers who said that they were satisfied with their experience may not have had incentive to agree to an interview. Since researcher received low responses rates for both the qualitative and quantitative data, neither source can be said to accurately reflect the opinions of the entire population.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

### Probation Officers

Probation officers had a dual role in this study. Primarily they served as recruiters for probationer participants. Secondly, they were asked to participate in the study themselves. It was theorized that since several officers would have AIC and non-AIC probationers on their caseloads, they would be ideally situated to describe differences in the two populations. Unfortunately, only 14 of the probation officers completed and returned the survey; and while 6 agreed to a personal interview, only 4 did participate in an interview. Several of the probation officers indicated that they did not consider themselves familiar enough with the AIC program or AIC probationers to be able to assist the researcher by completing a survey or participating in an interview.

Part of the purpose of the AIC program is to prepare the participants for continued success after they have completed the program. Success would include finding and retaining a job and completing regular probation. But when asked, the regular probation officers did not think that more AIC probationers have jobs (8 strongly disagreed/disagreed and 6 had no opinion). And of the probation officers, 4 felt that AIC probationers who were on ISP were more successful than their counterparts, but 5 either disagreed or strongly disagreed and 3 offered no opinion. Four of the probation officers had no opinion about the success of AIC probationers on civil probation, and 8 disagreed/strongly disagreed that AIC probationers were more successful than non-AIC civil probationers. When the researcher spoke with probation officers, either during the initial meeting to discuss the study or during a later interview, the majority of officers felt that they had not had enough interaction with AIC probationers to truly discern a difference between AIC and non-AIC probationers. However, while the officers verbally



## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

stated that they did not have enough knowledge to express an opinion, 2/3 of the survey responses from the probation officers indicated that the officers did not believe that the AIC probationers were more successful. The researcher had expected based on the probation officers' oral communication that the survey responses would be ambivalent regarding AIC and non-AIC probationers' success. One possible explanation for the negative response from probation officers could be a lack of knowledge concerning the AIC program. If the probation officers were better acquainted with the AIC program, they might have higher expectations of those participants who successfully completed the program. Another explanation could be the researcher's failure to properly define success when communicating with the probation officers. The researcher asked probationer interviewees to define success but did not ask the probation officers to articulate a definition. It is possible that there was enough of a difference between the researcher's and the probation officers' understanding of success to create an error in the data.

The quantitative data obtained from the probation officers suggests that: 1) there is no appreciable difference between the two populations, or 2) the probation officers have negative perceptions of the AIC. The recommendations made following the earlier evaluation of the AIC support the second conclusion. That report recommended that efforts should be made to increase stakeholders' knowledge of the AIC (Hart, 2011). While the evaluation did not specifically reference probation officers, the evaluation did discover that many individuals in the local criminal justice community were unfamiliar with the details of the program (Hart, 2011). This could be the case with the Smith County probation officers.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Information gathered from the open-ended question on the survey and the personal interviews offered more variety. Qualitative data indicate that a few officers from the Probation Department are well acquainted with the AIC program, and are cautiously optimistic about its benefits. Several officers felt that they had not had sufficient contact with AIC probationers to comment on differences between the populations. One officer felt that the AIC had not realized its original purpose of relieving jail pressure (Probation Officer #13, personal communication, July 23, 2012). Another officer felt that the AIC program was helpful to probation officers, and that it provided structure to participants (Probation Officer #20, personal communication, July 24, 2012). In response to an open-ended question, one officer said that AIC probationers would usually “backslide and violate their conditions of probation once released from the program. Similar to how a child who is too sheltered often rebels once released into the real world” (Probation Officer Survey #10, 2011). The researcher was unable to communicate further with the officer that provided the written response above; therefore, the researcher was unable to determine whether the officer’s response was based on personal observation or if he/she had access to data that was not available to the researcher. According to the AIC program evaluation report, 81% of AIC participants who successfully complete the program are successful on regular probation for up to 18 months (Hart, 2011). Data is not currently available for AIC probationer success rates beyond 18 months.

While several supportive comments were made, most of the data obtained from the probation officers suggests that there was not a noticeable difference between the two populations. One possible explanation for this lack of differentiation could be amount of

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

contact that probation officers have with the individuals in their caseloads. The AIC program begins with daily supervision, and it continues for several months. ISP officers meet with their probationers weekly, but fewer AIC probationers are on ISP. Most AIC probationers are on civil probation, and civil probation officers meet with their caseloads on a monthly basis. However, the explanation could simply be that there is no discernible difference between the target and comparison populations.

### Evaluation

The 2011 Evaluation of the AIC program was designed to measure the effectiveness of the program. The evaluation report concluded that the program was successfully reducing the Smith County jail population, saving taxpayers' money, and benefiting offenders. The evaluation report stated that nearly 40% of AIC "clients" complete the program and continue to regular probation. Of those, 81% have not recidivated after 18 months (Hart, 2011). The researchers reviewed statistical information for fiscal years 2007-2010 and surveyed and interviewed AIC clients who were currently participating in the program. The researchers found that as the AIC population increased, the percentage of AIC clients who were employed or who received substance abuse treatment did not increase at the same rate (Hart, 2011).

The AIC program recognizes that gainful employment is an important factor in successful socialization and reintegration of offenders, which is why participants finding and retaining employment is included in the program's compliance requirements and supervision regulations. However, when asked, 75% of AIC probationers did not believe that the AIC program had helped them find employment. AIC probationers did believe that the additional learning provided by the program had helped them (50%), but there

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

was no space on the survey for respondents to specify which supplemental learning programs were helpful. The interviewees did not contribute any insight into the efficacy of the additional learning programs, beyond one comment that the job skills training classes were not helpful.

The evaluation report suggested in its recommendations, addressing the discrepancy between program enrollment and the utilization of employment and counseling services will better support the reintegration of clients (Hart, 2011). The evaluation report did show that during the life of the AIC program, contact between AIC supervisors and AIC clients increased in the office and in the field (Hart, 2011). However, during the current study, survey responses showed that 73% of AIC probationers did not feel that field visits had helped them. During interviews with AIC probationers, the interviewees described regular probation as more personal. Whether the perception that field contact was not helpful is accurate or if it results from frustration is impossible to determine.

From the earlier evaluation study, the majority (55%) of AIC clients reported being satisfied with their progress in the AIC program. In the current study, 67% of AIC probationers reported being satisfied with their AIC experience.

Table 13. AIC Client and AIC Probationer Responses to  
“I am satisfied with AIC experience.”

<b>I am satisfied with my AIC experience.</b>	<b>AIC Clients</b>	<b>AIC Probationers</b>
<b>Agree</b>	55%	67%
<b>No Opinion</b>	16%	17%
<b>Disagree</b>	28%	17%

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

When asked about the rules, 49% of AIC clients said that they were important for success, but 46% of AIC probationers did not think that the rules had helped them complete the program.

Table 14. AIC Client and AIC Probationer Responses to  
“AIC Rules are Important.”

<b>AIC Rules Important.</b>	<b>AIC Clients</b>	<b>AIC Probationers</b>
<b>Agree</b>	49%	39%
<b>No Opinion</b>	17%	15%
<b>Disagree</b>	34%	46%

### Limitations

Some of the differences between the evaluation results and the results obtained from AIC probationers can be attributed to the low response rates. With such low numbers it is impossible to achieve significant results or to define notable trends in the data. Unfortunately, a low response rate is one of the hazards of dealing with the jail/probation population. Members of the jail/probation population are often reluctant to communicate regarding their experiences and opinions, fearing that honesty may create further trouble with the criminal justice system. Had the researcher been able to contact the target and comparison populations personally, the value of participation in the study would have been emphasized. As that was not a logistical possibility, another means of increasing the response rate would have been to approach each probation officer individually, give them specific information regarding the target and comparison populations (lists of the probationers the survey and detailed instructions for recruitment), and emphasize the importance of encouragement versus coercion. This was the method

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

used during the second period of data research, and the results were encouraging but did not increase the response rate dramatically.

Another limitation of this study was the comparability of the survey instruments. The surveys could not be identical as the target and comparison populations were not identical. But alterations could have been made to increase the validity of the measurement tools. With a low response rate, it would have been preferable to obtain as much relevant data as possible.

### Conclusions

The results obtained from the AIC probationers were not conclusive enough to support the hypothesis that individuals who successfully completed the AIC and progressed to regular probation are more likely to succeed on regular probation than individuals who had never participated in the AIC program. This study's contribution to the field of knowledge is limited to direction for future study. At a later date, further research into the AIC program's long-term rehabilitative effect on participants could utilize the methods and results contained in this study. If it were necessary, the AIC program could use the results in this study to corroborate the findings of the 2011 program evaluation and make program adjustments accordingly.

The majority of the quantitative data did not display significant differences between the two populations. However, several of the variables included in the survey did have interesting results. When asked, 41/52 (79%) of non-AIC probationers said that they did not think jail would be easier than regular probation. Contrast these results with the 5/13 (38.5%) AIC probationers who said that they did not think jail would be easier than the AIC program and the 9/12 (75%) AIC probationers who said they did not prefer

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

the AIC program to regular probation. Clearly probation is considered by both AIC and non-AIC to be the preferred sanction. These results support the findings of the study involving Minnesota inmates (Petersilia & Deschenes, 1994), which concluded that offenders often thought intermediate sanctions were more demanding than incarceration. Another interesting result from the quantitative data was AIC probationers' response to the AIC program's rules and procedures. The majority (5/11) of AIC probationers agreed that the rules and procedures helped them. This is an interesting response when compared to the 4/11 AIC probationers who said that the AIC program expected too much from them. Further study could explain how AIC probationers felt that the rules/procedures were helpful while also thinking that the program expected too much from them.

Also of interest, 8/11 AIC probationers did not think home visits were helpful. It is not surprising that AIC participants would resent an intrusion in their personal lives, but that does not mean that home visits are not an important part of community supervision. Home visits are a way of monitoring probationers' behavior in their everyday environment and reinforcing the need to follow the terms of probation. However, in some instances, home visits have been reserved for high-risk probationers (Lindner, 1992). By limiting home visits to probationers who meet preset criteria (instead of making them mandatory for all probationers), agencies aim to lighten probation officer workloads and reduce the risk of physical harm for probation officers (Lindner, 1992). Further research could determine whether the perceived benefits of limiting home visits (lighter workloads and protection from harm for probation officers) would be worth sacrificing supervision in probationers' home environments.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Although the bivariate analyses did not produce significant results, further study could determine whether the association between learning from the AIC rules/procedures and the belief that those rules/procedures would help AIC probationers to successfully complete regular probation. Also, further research could elucidate the relationship between increased organizational skills and success on regular probation. AIC probationers (6/13) said that creating a daily schedule helped them to be more responsible, and 6/13 also said that they continue to keep a daily schedule. Non-AIC probationers reported that probation had made them more responsible. It would be interesting to see if further research supported the association between structure/organization and successful completion of regular probation.

The qualitative data raised interesting questions: is the AIC program more effective for criminal offenders rather than civil offenders, can the additional learning services be improved, and do probation officers have an adequate knowledge of the program? Several of these questions were addressed in the AIC evaluation report. The recommendations included with the AIC evaluation report indicate that the additional learning services provided by the AIC program can be improved/expanded (Hart, 2011). The report also says that increased awareness among criminal justice stakeholders (e.g., probation officers) about the AIC program's purpose and methods would benefit the program (Hart, 2011). Future studies should analyze the success rates of criminal versus civil AIC participants (during the AIC program and during regular probation). When more data is available to contrast the success rates of criminal vs. civil AIC participants, interested parties will be able to determine whether or not the comments from interviewees were the result of frustration with the demands of the AIC program, or if



## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

interviewees were accurate in their assertion that the program was more suited to criminal offenders rather than civil offenders.

The AIC program evaluation performed in the summer of 2011 concluded that the AIC program was operating effectively. This study did not find empirical data to support the theory that the AIC program has a lasting rehabilitative effect. However, the failure to confirm the hypothesis does not necessarily invalidate it. The current study gathered information regarding offenders' perception of intermediate sanctions and provided direction for future inquiry. If future research efforts can maximize the participation of the target population, conclusive results may be achieved.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

### References

- Abrams, D. S. (2013). The prisoner's dilemma: A cost-benefit approach to incarceration. *Iowa Law Review*, 98, 946.
- Alarid, L. F., Cromwell, P. & Del Carmen, R. V. (2008). Community-based corrections. CA, Belmont: Wadsworth.
- Baton Rouge Intensive Supervision Program. (2012). Retrieved from <http://brgov.com/dept/juvenile/isp.htm>.
- Brockway, Z. R. (1910). The American reformatory prison system. *American Journal of Sociology*, 15(4), 454-55.
- Clark, C. L., Aziz, D. W., & MacKenzie, D. L. (1994). Shock incarceration in New York: Focus on treatment. *National Institute of Justice*. Retrieved from <https://www.ncjrs.gov/pdffiles/shockny.pdf>.
- Definitions and Acronyms, TDCJ. (n.d.) Retrieved from <http://www.tdcj.state.tx.us/definitions/index.html>.
- Developments in the law: Alternatives to incarceration. (1998). *Harvard Law Review*, 111(7), 1863-1990.
- Doob, A. N., & Webster, C. M. (2006). Countering punitiveness: Understanding stability in Canada's imprisonment rate. *Law & Society Review*, 40 (2), 325-367.
- Glaze, L. E., & Parks, E. (2012a). Correctional populations in the United States, 2011. *Bureau of Justice Statistics*. Retrieved from <http://www.bjs.gov/content/pub/pdf/cpus10.pdf>.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Glaze, L. E., & Parks, E. (2012b). Probation and parole in the United States, 2011.

*Bureau of Justice Statistics*. Retrieved from

<http://www.bjs.gov/content/pub/pdf/ppus11.pdf>.

Glaze, L. E., & Bonczar, T. P. (2011). Probation and parole in the United States, 2010.

*Bureau of Justice Statistics*. Retrieved from

<http://www.bjs.gov/content/pub/pdf/ppus10.pdf>.

Granholt, J. M., & Caruso, P. L. (2012). Michigan department of corrections 2010 statistical report. Retrieved from

[http://www.michigan.gov/documents/corrections/2011-08-31\\_-\\_MDOC\\_Annual\\_Stat\\_Report\\_-\\_Vers\\_1\\_0\\_362197\\_7.pdf](http://www.michigan.gov/documents/corrections/2011-08-31_-_MDOC_Annual_Stat_Report_-_Vers_1_0_362197_7.pdf).

Guerino, P., Harrison, P. M., & Sabol, W. J. (2011) Prisoners in 2010. *Bureau of Justice*

*Statistics*. Retrieved from <http://www.bjs.gov/content/pub/pdf/p10.pdf>.

Hart, B. L. (2011). Evaluation of the Smith County alternative incarceration center.

(unpublished report).

Henrichson, C., & Delaney, R. (2012). Additional sentencing perspective: The price of

prisons: What incarceration costs taxpayers. *Vera Institute of Justice*, 25, 68.

Hughes, T. & Wilson, D. J. (2002). Reentry trends in the United States. *Bureau of Justice*

*Statistics*. Retrieved from <http://www.bjs.gov/index.cfm?ty=pbdetail&iid=1138>.

Johnson, B. D., & Dipietro, S. M. (2012). The power of diversion: Intermediate sanctions

and sentencing disparity under presumptive guidelines. *Criminology*, (50), 812-

14.

Knott, G. A. (2012). Cost and punishment: Reassessing incarceration costs and the value

of college-in-prison programs. *Northern Illinois University Law Review*, 32, 267.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

- Langan, P. A., Vundis, J. V., Greenfeld, L. A., & Schneider, V. W. (1988). Historical statistics on prisoners in state and federal institutions, yearend 1925-1986. *Bureau of Justice Statistics*. Retrieved from <http://www.bjs.gov/content/pub/pdf/hspsfy25-86.pdf>.
- Langan, P. A., & Levin, D. J. (2002). Recidivism of prisoners released in 1994. *Bureau of Justice Statistics*. <http://www.bjs.gov/index.cfm?ty=dcdetail&iid=270>.
- Langan, P. A. (2005). Crime and Punishment in the United States, 1981-1999. *Crime and Justice*, (33), 123-59.
- Lindner, C. (1992). The refocused probation home visit: A subtle but revolutionary change. *Federal Probation*, 56 (1), 16.
- Marcus-Mendoza, S. T. (n.d.). A preliminary investigation of Oklahoma's shock incarceration program. Retrieved from <http://www.doc.state.ok.us/offenders/ocjrc/95/950725D.HTM>.
- New Jersey ISP. (2012). Retrieved from [http://www.judiciary.state.nj.us/probsup/isp\\_intro.htm](http://www.judiciary.state.nj.us/probsup/isp_intro.htm).
- Petersilia, J., & Deschenes, E. P. (1994). What punishes? Inmates rank the severity of prison vs. intermediate sanctions. *Federal Probation*, 58(1), 3-9.
- Robinson, M. B. (2009). *Justice blind?: Ideals and realities of American criminal justice*. Upper Saddle River, NJ: Pearson Prentice Hall.
- Smith County CSCD AIP Proposal. (2006). Retrieved from <http://www.aclutx.org/files/061005%20Tyler%20incarceration%20alternative%20plan.pdf>.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Smith County CSCD Alternative Incarceration Center (AIC). (2008). Retrieved from [www.bexar.org/commct/.../ALTERNATIVEPROGRAMS-FEB-2008.ppt](http://www.bexar.org/commct/.../ALTERNATIVEPROGRAMS-FEB-2008.ppt).

Special Alternative Incarceration Facility (SAI). (2012). Michigan Department of Corrections. Retrieved from <http://www.michigan.gov/corrections/0,4551,7-119--5043--,00.html>.

Texas Department of Criminal Justice, 2011. Annual review. Retrieved from [http://www.tdcj.state.tx.us/documents/Annual\\_Review\\_2011.pdf](http://www.tdcj.state.tx.us/documents/Annual_Review_2011.pdf).

Texas Statute 76.017. (2005). Retrieved from <http://codes.lp.findlaw.com/txstatutes/GV/2/F/76/76.017>.

Tonry, M. (1998). Intermediate sanctions in sentencing guidelines. *Crime and Justice*, (23), 199, 201-2.

Weiss, D. B., & Mackenzie, D. L. (2010). A global perspective on incarceration: How an international focus can help the United States reconsider its incarceration rates. *Victims and Offenders*, 5, 268-270.

Williams, A., May, D. C., & Wood, P. B. (2008). The lesser of two evils? A qualitative study of offenders' preferences for prison compared to alternatives. *Probation and Parole: Current Issues*, 73, 86.

Winning the war on drugs: a "second chance" for nonviolent drug offenders. (2000). *Harvard Law Review*. Retrieved from <http://ezproxy.uttyler.edu:2110/stable/pdfplus/1342356.pdf?acceptTC=true>.

Wyoming DOC ISP. (2008). Retrieved from <http://doc.state.wy.us/services/isp.html>.

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Zarkin, G. A., Dunlap, L. J., Belenko, S., & Dynia, P. A. (2005). A benefit-cost analysis of the Kings County district attorney's office drug treatment alternative to prison (dtap) program. *Justice Research and Policy*, 7(1), 2-4, 20-22.

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

**Appendix A: Surveys**

**Alternative Incarceration Center Study  
Former AIC Probationers  
The University of Texas Institutional Review Board #Sp2012-76  
Approved May 8, 2012**

The University of Texas at Tyler is studying the Probation process in order to improve it. The surveys that you fill out will give us valuable information. Your answers will be confidential. Only a UT Tyler graduate researcher and the faculty committee will see your answers. You do not have to answer these questions but your help is very important. If you have questions or concerns, call the University at 903 566-7371.

Please tell us about yourself by circling the answer that best describes you.

What is your gender?	Male			Female		
How old are you?	17-22	23-27	28-32	33-40	41-50	Older than 50
What is your race/ethnicity?	White	African American	Asian American	Latino/Hispanic	Middle Eastern	Other:
How much school have you completed?	6 <sup>th</sup> grade or less	7 <sup>th</sup> -8 <sup>th</sup>	9 <sup>th</sup> - 10 <sup>th</sup>	11 <sup>th</sup> - 12 <sup>th</sup>	1-2 years of college	3 or more years of college

Please fill in the blanks.

What is the length of your probation sentence? \_\_\_\_\_

How much time do you have left on probation? \_\_\_\_\_

Have you been on probation before? \_\_\_\_\_ If yes, how many times?

Do you have a job now? \_\_\_\_\_

Within the last year, have you had one job for 3 months or more in a row? \_\_\_\_\_

How many jobs have you had in the past year? \_\_\_\_\_

Thank you for letting us get to know you. We have more questions for you on the back of this page. Please take your time answering the questions.

We would like to meet you in person. If you are willing to participate in an interview, please write down your name and the best way to contact you. We appreciate your help. Everything you write on this survey will be kept private and confidential.

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix A (cont'd)

Name: \_\_\_\_\_

How can we contact you? \_\_\_\_\_

What is the best time to contact you? \_\_\_\_\_

**For the numbered statements below please circle the answer that best fits your opinion about the statement.**

	<b>Strongly Agree</b>	<b>Agree</b>	<b>No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
1. Going to jail might have been easier than the AIC program.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
2. At the AIC, filling out my schedule for the day helped me be responsible.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
3. I still create a daily schedule.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
4. I have a job only because the AIC helped me find one.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
5. The AIC rules have helped me succeed on regular probation.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
6. I didn't need help to succeed.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
7. I liked the AIC experience better than I like regular probation.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
8. Home visits from the AIC officers helped me complete the AIC program.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
9. The AIC expected too much of me.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>



A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix A (cont'd)

	<b>Strongly Agree</b>	<b>Agree</b>	<b>No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
10. I wanted the AIC program to last longer.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
11. The additional learning I received at the AIC has really helped me get through regular probation.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
12. I am a success story for the AIC.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
13. I was satisfied with my experience in the AIC.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
14. Regular probation is really easy compared to the AIC.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
15. I worry that I won't make it through regular probation.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
16. Thanks to what I learned in the AIC, I will make it through regular probation.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
17. I learned a lot from the rules and procedures at the AIC.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
18. It is easy to fool the officers at regular probation.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix A (cont'd)

**Alternative Incarceration Center Study  
Non-AIC Probationers  
The University of Texas Institutional Review Board #Sp2012-76  
Approved May 8, 2012**

The University of Texas at Tyler is studying the Probation process in order to improve it. The surveys that you fill out will give us valuable information. Your answers will be confidential. Only a UT Tyler graduate researcher and the faculty committee will see your answers. You do not have to answer these questions but your help is very important. If you have questions or concerns, call the University at 903 566-7371.

Please tell us about yourself by circling the answer that best describes you.

What is your gender?	Male			Female		
How old are you?	17-22	23-27	28-32	33-40	41-50	Older than 50
What is your race/ethnicity?	White	African American	Asian American	Latino/Hispanic	Middle Eastern	Other:
How much school have you completed?	6 <sup>th</sup> grade or less	7 <sup>th</sup> -8 <sup>th</sup>	9 <sup>th</sup> - 10 <sup>th</sup>	11 <sup>th</sup> - 12 <sup>th</sup>	1-2 years of college	3 or more years of college

Please fill in the blanks.

What is the length of your probation sentence? \_\_\_\_\_

How much time do you have left on probation? \_\_\_\_\_

Have you been on probation before? \_\_\_\_\_

If yes, how many times? \_\_\_\_\_

Do you have a job now? \_\_\_\_\_

Within the last year, have you had one job for 3 months or more in a row?

\_\_\_\_\_

How many jobs have you had in the past year? \_\_\_\_\_

Thank you for letting us get to know you. We have more questions for you on the back of this page. Please take your time answering the questions.

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix A (cont'd)

**For the numbered statements below please circle the answer that best fits your opinion about the statement.**

	<b>Strongly Agree</b>	<b>Agree</b>	<b>No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
1. I think jail/prison would have been easier than probation.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
2. Being on probation has helped me be more organized.  For example: "I have a daily schedule."	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
3. My probation officer cares if I succeed.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
4. My probation officer helps me meet my probation requirements.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
5. I don't need help.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
6. I feel respected by my probation officer.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
7. My family is a source of encouragement.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
8. I feel connected to the community.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
9. I deserve help.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
10. It is important to me to successfully complete my probation.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
11. My probation officer helped me find a job.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix A (cont'd)

	<b>Strongly Agree</b>	<b>Agree</b>	<b>No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
12. I am very organized.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
13. It is easy to fool my probation officer.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
14. I worry that I won't make it through probation successfully.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix A (cont'd)

**Probation Officers**  
**The University of Texas Institutional Review Board #Sp2012-76**  
**Approved May 8, 2012**

Anna Tumlinson, a graduate student at the University of Texas at Tyler, under the guidance of selected faculty advisors, is reviewing the Smith County Alternative Incarceration Center (AIC). This survey seeks to compare the probation successes and failures of those probationers who previously came through the AIC with those who did not. If you have questions or concerns, call the University at 903 566-7371.

Based on your experience with former AIC participants and with ISP probationers, please answer the following statements.

	<b>Strongly Agree</b>	<b>Agree</b>	<b>No Opinion</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
1. Former AIC participants are more organized.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
2. Former AIC participants are more responsive to supervision.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
3. More former AIC probationers than ISP probationers have jobs.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
4. Former AIC participants are more successful on regular probation than ISP probationers.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>
5. Former AIC participants are more successful on probation than Civil probationers.	<b>SA</b>	<b>A</b>	<b>N</b>	<b>D</b>	<b>SD</b>

What else have you observed, if anything, that may be a descriptive comparison between these two populations?

If you are willing to participate in an interview, please write down your name and the best way to contact you. We appreciate your help. Everything you write on this survey will be kept private and confidential.

Name: \_\_\_\_\_

Contact info: \_\_\_\_\_

When is the best time to contact you? \_\_\_\_\_

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

### Appendix A (cont'd)

#### Probation Officer Script for AIC Participants

The University of Texas at Tyler is studying the Probation process in order to improve it. The surveys that you fill out will give them valuable information. Your answers will be confidential. Only a UT Tyler graduate researcher and the UT Tyler faculty committee will see your answers. You do not have to answer these questions but your help is very important.

A UT Tyler graduate researcher would like to ask you a few questions. If you are willing to meet with her personally, please write your name on the survey and the best way to contact you.

#### Probation Officer Script for Non-AIC Participants

The University of Texas at Tyler is studying the Probation process in order to improve it. The surveys that you fill out will give them valuable information. Your answers will be confidential. Only a UT Tyler graduate researcher and the UT Tyler faculty committee will see your answers. You do not have to answer these questions but your help is very important.

**Appendix B: IRB Forms and Approval**

**THE UNIVERSITY OF TEXAS AT TYLER  
INSTITUTIONAL REVIEW BOARD**

**FULL BOARD REVIEW APPLICATION**

IRB: *Sp2012-76*  
Approved by: *G Duke*  
Date: *05-08012*

The University of Texas at Tyler faculty, staff, students, or employees who propose to engage in any research, demonstration, development, or other activity involving the use of human subjects must have review and approval of that activity by the IRB, prior to initiation of the project. The Committee is responsible for safeguarding the rights and welfare of subjects who participate in the proposed research activity.

The purpose of this form is to review proposals which may not be eligible for exempt or expedited review.

**Attach (electronically) with this application:**

- Written consent form unless a waiver of written informed consent is requested
- Signature page of Thesis or Dissertation Committee members showing proposal approval
- Brief research proposal that outlines background and significance, research design, research questions/hypotheses, data collection instruments and related information, data collection procedures, data analysis procedures.  
**Most of this can be copied and pasted to relevant parts of the application but please keep B & S brief for the application.**
- Human Subject Education Certification for PI, co-investigators, and research assistants participating in recruitment, data collection, data analysis, or, if they have any exposure to identifiable data (if training has not been completed at UT Tyler within a 3 year period of time)
- Tool/instrument/survey; if copyright or other issues prohibit electronic form, submit one hard copy

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

**PLEASE ANSWER ALL QUESTIONS IN ORDER TO AVOID IRB APPROVAL.  
IF A QUESTION DOES NOT APPLY, ANSWER "N/A."**

**(For This And All Other Boxes, Highlight Box And Type "X" or Content)**

1. Project Title: *Smith County Alternative Incarceration Center Research Proposal*

2. Principal Investigator: *Anna Tumlinson*

2a. Title: *Graduate Student*

2b. Department: *Social Sciences*

2c. Telephone: *713-376-0107*

3. In the absence of the Principal Investigator, identify contact person: *Dr. Barbara L. Hart*

Telephone: *903-566-7426*

4. For non-faculty submitting a protocol, please identify the faculty member responsible for conduct of the research.

Name: *Dr. Barbara L. Hart*  
Telephone: *903-566-7426*

Title: *Associate Professor*  
Department: *Social Sciences*

5. Expected Starting Date: *4-1-2012*

6. Expected Completion Date: *7-31-2012*

7. Support from Extramural Sponsor? Yes  No



A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

If "Yes," name of Sponsor:

**Summary of the Research Protocol**

8. List research questions or hypotheses: *Are former AIC participants more successful than regular probationers?*

9. List potential benefits that may accrue to the study subjects as a result of their participation (other than incentives).

*Participants will have an opportunity to express their opinions regarding the efficacy of the AIC and the probation department.*

10. List potential benefits that may accrue to society as a result of this study.

*The AIC and probation department will have access to additional data that will increase their ability to reduce jail overcrowding and recidivism.*

11. Will the study require the use of human organs, tissue, or body fluids other than urine or blood? Yes  No

If "Yes," check the appropriate box:

11a. The specimens will be collected specifically for this project. Yes  No

11b. The specimens will be obtained from discarded material collected for clinical purposes. Yes  No

11c. Describe the nature of the specimens and indicate from whom or where they will be obtained.

11d. Will the donors be identified? Yes  No

**Study Population**

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

12. Please indicate which, if any, of the following are involved:

- |                   |                          |                        |                          |
|-------------------|--------------------------|------------------------|--------------------------|
| Institutionalized | <input type="checkbox"/> | Fetuses                | <input type="checkbox"/> |
| Students          | <input type="checkbox"/> | Children               | <input type="checkbox"/> |
| Faculty/Staff     | <input type="checkbox"/> | Prisoners              | <input type="checkbox"/> |
| Other Patients    | <input type="checkbox"/> | Mentally Disabled      | <input type="checkbox"/> |
| Pregnant Women    | <input type="checkbox"/> | Nonconsenting Subjects | <input type="checkbox"/> |

13. Needed number of subjects: *Accessible population*

14. Age range of subjects: *18 and above*

15. What is your justification for this number of subjects (e.g., power analysis, data saturation)?

*The PI will have access to the entire target population.*

16. Setting from which subjects will be recruited: *Smith County Probation Department*

16a. Has written permission been obtained from appropriate individuals from this setting?

Yes  No

17. Inclusion criteria for subjects: *Participants must be former AIC clients who are currently under the Probation Department's supervision, Intensive Supervision Probationers, Civil Probationers, or probation officers who interact with one or both of the population segments listed above.*

*It is understood by the PI that those who complete and return the survey will be those who are capable of reading and understanding the survey without assistance. Therefore, those who are not educated or mentally capable of completing the survey without assistance will not participate. If participants should request help completing the survey, then help will be provided.*

*Participants must be able to hear, read and understand instructions and information about their participation in the study.*

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

18. Exclusion criteria for subjects: *Individuals who do not fall into any of the categories listed above will be excluded.*
19. What rewards, remuneration, or other incentives will be used to recruit subjects? *None*
20. Describe in detail how you will recruit subjects.\* *Contacts at the AIC and Probation Departments have provided lists of the target population. Participants will be recruited by probation officers, who will use a script provided by the PI to inform the population what is being asked of them. This information session will occur during a regularly scheduled meeting between the probation officer and his or her probationer. The script to be used is included with this application. POs will objectively read the script to probationers and will not use any type of persuasive verbal or non verbal language, and will ensure potential participant's understanding that participation is completely voluntary with no obligations to participate. Probation officers will be recruited by PI, who will describe the study during a weekly staff meeting.*

- A. Direct person-to-person solicitation
- B. Telephone
- C. Letter
- D. Notices
- E. Other (explain)

***\*If the subjects are to be recruited under A & B, please include an outline of the oral presentation.***

***For items C, D, and E please submit verbatim copies, e.g., letter, notices, advertisements.***

**Interventions/Measurements/Data Collection Procedures**

QUALTRICS IS NOW BEING USED FOR ONLINE SURVEYS. THIS CAN BE BE ACCESSED THROUGH:

[uttyler.qualtrics.com](http://uttyler.qualtrics.com)

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

21. Will blood samples be required? (If so, answer a through f)

Yes  No

21a. Venipuncture  Venous catheter   
Arterial puncture  Arterial catheter   
Cutaneous  
(e.g., finger, heel)

21b. Will the collection procedure consist only of drawing an extra volume of blood at the time blood is drawn for clinical purposes?

Yes  No

21c. Specify the important features of the blood collection, including the volume of research blood obtained in each collection, along with the frequency and duration of the collection (e.g., 10 ml at noon and 8 p.m., one day every two weeks for a six-month period).

21d. Will >50 ml of blood be drawn from the same subject more than once?

Yes  No

21e. If "Yes," what procedures will be in place to assure that the frequency and amounts will not exceed the specifications?

21f. Is it known or anticipated that any subjects will also be having blood drawn for other purposes during the study period?

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

Yes  No

22. Please indicate any of the following you propose to use and provide copies (if copies are not available electronically, send hard copies via mail to IRB Chair):

- |    |                                     |                                     |    |                            |
|----|-------------------------------------|-------------------------------------|----|----------------------------|
| a. | Educational Tests                   | <input type="checkbox"/>            | e. | Interview                  |
|    | <input checked="" type="checkbox"/> |                                     |    |                            |
| b. | Questionnaires                      | <input checked="" type="checkbox"/> | f. | Previously recorded data   |
| c. | Psychological Tests                 | <input type="checkbox"/>            |    | including clinical records |
|    | <input type="checkbox"/>            |                                     |    |                            |
| d. | Educational Materials               |                                     |    |                            |
|    | (curricula, books, etc.)            | <input type="checkbox"/>            |    |                            |

23. Will the study involve the use of drugs?

Yes  No

- |    |   |  |                                      |
|----|---|--|--------------------------------------|
| a. | A placebo   | yes <input type="checkbox"/> no <input type="checkbox"/> | Name: _____                          |
| b. | A standard FDA-approved agent                       |  | <input type="checkbox"/> Name: _____ |
| c. | A non-therapeutic approved agent                    |  |                                      |
|    | (e.g., to modify a physiologic response)            |  | <input type="checkbox"/> Name: _____ |
| d. | A new investigational therapeutic agent             |  | <input type="checkbox"/> Name: _____ |
| e. | A new use for an agent approved for another purpose |  | <input type="checkbox"/> Name: _____ |

For (d) or (e) give IND # \_\_\_\_\_

24. Will the study involve the use of a new device?

Yes  No

If so,

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

- a. The device has an IDE number  Number: \_\_\_\_\_
- b. It is for therapeutic use
- c. It is for diagnostic use

25. Describe in detail any proposed intervention for this study:

26. Describe, in detail, **data collection procedures**: specify who, what, when, where, how, etc.

*The PI will meet with probation officers during the weekly staff meeting; the PI will explain the purpose of the study. POs will be assured that participation is voluntary. POs will be given a survey to complete. A locked box will be placed in the room where the staff meetings are held. POs will place completed survey in envelope and place the envelope in the locked box. POs will be informed that their responses are anonymous and that only the PI and Dr. Hart will have access to the surveys. During the weekly staff meeting, the PI will ask the POs to participate in personal interviews.*

*The PI will give probationer surveys to probation officers during the weekly staff meeting. The PI will give the probation officers a script that explains the purpose of the study. The PI will emphasize the importance of not disclosing information that will identify the PI to probationers; the surveys will not contain any information that could identify the PI. Probation officers will give the surveys to the probationers. Participants will be informed of the purpose of the study by their probation officers. Probation officers will use the script provided by the PI to orally describe the study. Should they choose to participate in the study, probationers will be asked to complete the survey before they leave. Participants will be shown a private location where they can complete the surveys. The completed surveys will be placed in sealed envelopes which will then be placed in a locked box. The locked box will be located at a central location in the main probation office that is accessible by probationers and that can be monitored by probation officers. Only the PI will be able to open the box. All participants will be informed that only the PI and Dr. Hart will have access to the results.*

*The contents of the locked box will be collected daily by the PI or, if necessary, Dr. Hart.*

*Participants (AIC probationers and POs) who are willing to participate in an interview will provide their contact information on the survey. An ID number will be placed on the survey; interview transcripts will be coded with the ID number. The survey will assure the participants that any information they provide will be kept confidential. If participants do not provide their contact information, then the results will be anonymous. All interview transcripts will be handwritten. The PI will later transfer the transcripts to her personal computer. The original transcripts will be kept in a locked file cabinet in Dr. Harts office. The transcripts will be kept separate from the survey results.*

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

### Appendix B (cont'd)

27. List potential risks (physiological/psychological risks, injury) to subjects that may be incurred during the study

*Loss of confidentiality is a potential risk.*

- 27a. If risks or injury are associated with this project, what is the likelihood of their occurrence?

*Minimal*

28. Describe actions to minimize risks to subjects and actions to minimize possible effects of the risks to subjects:

*This will be a confidential study. Identifying information will be requested in order to relate demographic information to survey responses and interview results. An ID number will be used to relate survey responses to interview transcripts. The survey responses and interview transcripts will be kept in separate, locked cabinets in Dr. Hart's office. The survey responses will be collected daily from the locked boxes located at the main probation office.*

### **Confidentiality-Privacy-Coercion**

29. Since all data collected on individual subjects in a research study is generally considered confidential, how will you maintain confidentiality and anonymity of your data? (e.g., by coding, especially if shared with another researcher) *The questionnaires will be delivered to the probation participants by their POs; they will return the questionnaires to a locked box via slot on top. The PI will be the only individual with access to the box. The questionnaires will have ID numbers to facilitate data cleaning. Further identifying information will only be available to the PI. The identities of the probationers who participate in the interviews will be kept confidential. Only the PI will have access to the original transcripts of the interview. Copies will be made that exclude the individual's identity and used when collaborating with faculty.*

- 29.a. Where will data be stored (e.g., in a locked file cabinet, pass-word protected computer)? *The questionnaires will be kept in a locked file cabinet in Dr. Hart's office. The interview transcripts will be kept in another locked cabinet and on the PI's password protected PC.*

- 29.b. If data is on a laptop, acknowledge that the laptop will never be in an insecure location where theft is possible (e.g., in a locked car)

I acknowledge the security of the laptop at all times

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

30. Does this research involve medical chart reviews of personal health information? Yes  No

If “yes”, please answer Items 31a-31d

30.a. Please explain what type of information will be obtained:

30.b. Will the records be reviewed without the patient’s permission?

Yes  No

30.c. If “Yes,” please explain why a verbal or written informed consent will not be requested:

30.d. Have HIPAA forms been completed and submitted to the IRB?

Yes  No

31. Could any part of this activity result in the potential identification of child abuse, communicable diseases, or criminal activities?

Yes

No

32a. If “Yes,” estimate the likelihood of disclosure:

32. Aside from possible loss of confidentiality, could any part of this activity be seen as invading the privacy of the participants of this study?

Yes

No

32.a. If “Yes,” explain and describe proposed safeguards (how are data and sample subjects, code numbers, etc. stored?):



A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont')

33. Does any part of this activity have the potential for coercion of the subject?

Yes

No

33.a. If "Yes," explain and describe proposed safeguards: *POs will explain the study reading a script and not use any persuasive body or verbal language, and stress to the probationers that their participation is completely voluntary and there is no obligation to participate. Probationers will understand that their participation has nothing to do with their relationship with their POs.*

34. Is there a potential **Conflict of Interest** pertaining to this protocol as defined in the UT Tyler *Conflict of Interest* policy on the part of any individual at UT Tyler who is associated with this protocol?

Yes

No

34.a. If "Yes," please explain.

34.b. **If you answered "yes" to the above question, or, if this research is either federally funded, or federal funding has been applied for, a UT Tyler Conflict of Interest form must be completed by accessing the Office of Sponsored Research (OSR) website before final approval.**

34.d. Has a **COI** form been completed and submitted to the OSR?

Yes  No  N/A

35. Could the desired information be obtained from animals or other laboratory models? Explain: *This research project deals specifically with a designated segment of the probation population.*

Yes

Appendix B (cont'd)

No

**Cost of Research**

36. Will the subjects incur any additional expenses for experimental (or otherwise unnecessary diagnostic) tests or procedures?

Yes

No

If "Yes," explain:

**Informed Consent**

37. **Written informed consent** from the subject or from a legally responsible representative of the subject **is normally required** from human research participants. The proposed consent form should follow the guidelines of the UT Tyler Informed Consent Template and should be included with the materials submitted to the IRB.

For sample participants under the age of 18 years, the PI is responsible for abiding by the UT Tyler Policy on Informed Consent for Children and obtaining assent from the children (ages 13-17 years) in addition to parental consent.

37.a. Will you be obtaining consent other than written consent?

Yes  No

37.b. If you do not propose to obtain consent please provide your rationale for obtaining **oral** consent or assent (assent applies to subjects under 18 years old. See UT Tyler's Policy on Protection of Children Involved in Research)

*The PI will obtain verbal consent from the research participants who are probationers. Since the population of interest has interacted with the criminal justice system, they may well be wary of signing an official looking form, especially without the guidance of a lawyer. To circumvent any potential discomfort, the PI or probation officers will verbally inform them of the voluntary and confidential nature of the research project.*

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

- 37.c. If written consent is being obtained and confidentiality is assured in the informed consent form, where do you plan to keep the signed informed consent forms?

**Cooperative Agreements with Other Institutions**

38. If any part of this study will be conducted in an institution or location administratively separate from UT Tyler, please indicate at which institution (attach IRB approval letter from the other institution).  
N/A

39. Does this activity utilize recorded data to be sent to cooperating institutions not under your control?

Yes

No

- 39.a. If so, could the data contain personal or sensitive information?

Yes

No

- 39.b. If "Yes," how do you propose to maintain confidentiality of the data?

**Consultation and Collaboration**

40. Subject Recruitment and Management: If approval is required from other professionals for the recruitment or management of the subjects, please identify and provide contact information from the individual(s) responsible for the subjects. Electronic letter of approval must be submitted by the PI.

**Name of Professional:** *Gerald Hayden*

**Institution/Agency:** *Smith County CSCD*

**Contact Information:** *100 E. Elm, 9th Floor*

*Tyler, Texas 75702*

*903-590-2701*

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

**Name of Professional:** *Greg Parham*

**Institution/Agency:** *Smith County Adult Probation*

**Contact Information:** *903-590-2742 (office)*  
*903-590-2783 (fax)*

**Name of Professional:**

**Institution/Agency:**

**Contact Information:**

41. Research Collaboration:

Research collaborators are other non-UT Tyler-affiliated researchers whose participation enhances the scientific merit of a research project. List collaborators below and have each verify that they have read the research protocol and agree to participate by emailing the PI, and PI is to forward these emails of agreement to IRB Chair with this application.

**Collaborator Name:**

**Collaborator Institution:**

**Collaborator Contact Information:**

Please be aware that IRB is responsible for ensuring compliance to protocols and to federal regulations. All full board reviews are automatically reviewed annually by an IRB member. Consents and data may be requested for review.

**SIGNATURE OF PRINCIPAL INVESTIGATOR:** Signature indicates agreement by the PI to abide by UT Tyler IRB policies and procedures and the Federal Wide Assurance, and to the obligations as stated in the "Responsibilities of the Principal Investigator" and any other related policies and procedures described in the UT Tyler IRB Handbook (listed on the OSR website), and to use universal precautions with potential exposure to specimens.

*Anna Tumlinson*  
\_\_\_\_\_  
Principal Investigator Signature

*3/14/2012*  
\_\_\_\_\_  
Date

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

### Appendix B (cont'd)

(Electronic submission of this form by PI indicates signature)

The University of Texas at Tyler  
Institutional Review Board

May 8, 2012

Dear Ms. Tumlinson:

Your request to conduct the study entitled: *Smith County Alternative Incarceration Center Research Proposal* is approved as an expedited study, IRB #Sp2012-76 by The University of Texas at Tyler Institutional Review Board. This approval includes the waiver of written informed consent but includes informed verbal consent for interviews and implied consent for survey completions.

**Ensure that each participant is able to repeat the purpose of the study, the voluntary nature of it, any risks involved, and who to contact other than you as the PI.** In addition, ensure that any research assistants or co-investigators have completed human protection training, and have forwarded their certificates to the IRB office (G. Duke).

**Please review the UT Tyler IRB Principal Investigator Responsibilities, and acknowledge your understanding of these responsibilities and the following through return of this email to the IRB Chair within one week after receipt of this approval letter:**


- This approval is for one year, as of the date of the approval letter
- Request for Continuing Review must be completed for projects extending past one year
- Prompt reporting to the UT Tyler IRB of any proposed changes to this research activity
- Prompt reporting to the UT Tyler IRB and academic department administration will be done of any unanticipated problems involving risks to subjects or others
- Suspension or termination of approval may be done if there is evidence of any serious or continuing noncompliance with Federal Regulations or any aberrations in original proposal.
- Any change in proposal procedures must be promptly reported to the IRB prior to implementing any changes except when necessary to eliminate apparent immediate hazards to the subject.

A STUDY OF SMITH COUNTY AIC PARTICIPANTS

Appendix B (cont'd)

Best of luck in your research, and do not hesitate to contact me if you need any further assistance.

Sincerely,

A handwritten signature in black ink that reads "Gloria Duke, PhD, RN". The signature is written in a cursive style.

Gloria Duke, PhD, RN  
Chair, UT Tyler IRB

# A STUDY OF SMITH COUNTY AIC PARTICIPANTS

## Appendix B (cont'd)

### THE UNIVERSITY OF TEXAS AT TYLER INSTITUTIONAL REVIEW BOARD

#### Compliance and Monitoring Form

1. Date: 08-22-2012
2. PI: Anna Tumlinson
3. Protocol # and title: Sp2012-76 Smith County Alternative Incarceration Center Research Proposal
4. Number of subjects/informants enrolled: Roughly 80 participants
5. Status of study progress: In data collection and analysis
6. Adverse or unanticipated events: A 2<sup>nd</sup> data collection period
7. Location of data: Dr. Hart's office and PI's personal computer
8. Location of informed consent forms: Waived
9. Consent forms signed, dated and witnessed? Waived
10. How many are enrolled? Roughly 80 participants
11. Is the study completed? No
12. Any problems with the study? Low response rate
13. Were/are study procedures implemented any differently than the proposal indicates?  
Due to a low response rate, I initiated a 2<sup>nd</sup> data collection period. During this period I implemented the approved procedures as uniformly as possible, but I was not able to monitor the survey collection boxes daily. Instead I collected surveys 2-3 times per week (instead of 5).

At the time of the visit by the IRB reviewer, this is what you can expect:

## A STUDY OF SMITH COUNTY AIC PARTICIPANTS

### Appendix B (cont'd)

- If your protocol required written consent forms, the reviewer will ask to see where they are being kept, and will ask to look at them.
- If you had a waiver of written consent forms, we may discuss, if appropriate, how rights of subjects were ensured.
- If you and your co-investigators do not have a current (within 3 years) human subject education certification, you will be asked to complete one within 30 days.

Reviewer(s):