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PENNSYLVANIA ADULT CORRECTIONAL TRAINING INSTITUTES (P.A.C.T.)

Developed by the  
Center for Law Enforcement and Corrections  
College of Human Development  
The Pennsylvania State University  
University Park, Pennsylvania

A Training Module for Trainers of Personnel  
in the Administration of Criminal Justice

Designed as Part of the Statewide Training Program for  
Executive and Managerial Correctional Personnel

PROBATION, PAROLE, AND PARDONS: A BASIC COURSE  
Training Module 6913  
June, 1969

The Statewide Training Program  
for Correctional Personnel is supported  
by a grant from the Law Enforcement  
Assistance Act, U.S. Department of Justice No. 357-(222)

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## A FOREWORD TO THE INSTRUCTOR

The training module, "Probation, Parole, and Pardons: A Basic Course," was written by Professor William H. Parsonage of the Center for Law Enforcement and Corrections, Division of Community Development, The Pennsylvania State University. The course provides an in-depth study of probation and parole, its problems, some solutions, and future directions of the field. The module was developed in conjunction with the Pennsylvania Adult Correctional Training (P.A.C.T.) project.

In order that the module be utilized to its fullest potential, the trainer or instructor first should have a sound background, preferably with field experience in the specific area in which he will be instructing. Secondly, he should have in-depth knowledge of the bibliographical material listed at the end of each unit, as well as other literature sources. With this basic preparation, the trainer can be in a position to employ the training module as a "road map" for the direction and substance of the course. Throughout the preparation and presentation of the course, the trainer should keep in mind the general objectives of the course as set forth at the outset of each unit.

As the course is presented, each heading and subheading should be treated by the instructor as a theme for expansion. The headings are meant only to provide the structure to the trainer, who should then build on them, expanding and enlarging as the needs of the class are demonstrated and his time and ability permit. Many examples and illustrations should be provided to the class. An abundance of case material and other examples carefully prepared by the instructor

is essential. It is the illustrative material that concretize concepts and enhance learning. The trainer should draw upon his own professional experience as well as the bibliographical material for much of this expansion. Obviously, the trainer should capitalize on the experiences of his class in order to make the material more viable.

We of the staff of the Center for Law Enforcement and Corrections hope this course can serve an effective role in providing assistance to those who have the responsibility for training operating personnel. If the material has the potential to serve as a catalyst, it is, nevertheless, the instructor who stands before the class who carries the burden of teaching success. It is to him that we say, "Good luck."

Charles L. Newman, Project Director

William H. Parsonage, Associate Project Director

Barbara R. Price, Assistant Project Director

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## UNIT I

### THE PLACE OF PROBATION, PAROLE, AND PARDONS IN THE ADMINISTRATION OF JUSTICE SYSTEM: INTRODUCTION TO THE COURSE

- Unit Objectives:
- (1) To present a perspective of the course;
  - (2) Introduction of an "administration of justice system" and identify correction's place in it; and
  - (3) Define probation, parole, and pardons.

#### I. Objectives of the Courts.

- A. A knowledge of the origins and historical development of probation, parole, and pardons.
- B. An understanding of the functional relationship of probation, parole, and pardons to other elements of the administration of justice system (law enforcement, courts, corrections).
- C. A view of the contemporary use of probation, parole, and pardons in the United States.
- D. An understanding of the methods of selection employed in making decisions about the disposition of offenders on probation and parole.
- E. A knowledge of the supervisory processes which are (or should be) used in working with offenders in the community on probation or parole.
- F. Basic information about the administrative considerations affecting the conduct of probation and parole programs.
- G. Identification of problems connected with the administration of probation and parole services.
- H. New directions in the development and implementation of probation and parole.

#### II. The Place of Probation, Parole, and Pardons in the Administration of Justice System.

- A. The administration of justice system.
  1. The totality of the nation's law enforcement, judicial, and correctional agencies.

2. Responsibility of the system: extends from the detection of violations of the law through reintegration of offenders in the community subsequent to completion of sentence.
  3. Existing administration of justice system is highly fragmented and lacks desired coordination:
    - a. Jurisdictional proliferation (federal, state, local).
    - b. Statutory differences.
    - c. Discrepancies in administrative arrangements and operational policies.
    - d. Variable personnel practices for selection, training, supervision, and promotion of employees.
    - e. Differential accountability and reporting practices.
    - f. Range of agency resources and service capabilities.
    - g. Problems of inter- and intra-agency communication and coordination.
  4. Under existing conditions, person who experiences most about the administration of justice system in its totality is the offender for he has been subjected to all of the elements of the system.
  5. Basic to the operation and development of the "system" is that workers in law enforcement, judiciary, and corrections become sensitive to the responsibility, operations, and practices of all the elements of the system.
  6. Necessary that communications and coordination among all elements of the system be pursued at every administrative level.
- B. Progress of offender through the administration of justice system.
1. Law enforcement process.
    - a. Detection of the offense or delinquent act.
    - b. Investigation of the offense.
    - c. Identification of the suspected offender.
    - d. Apprehension.
    - e. Booking.
  2. Judicial (court) processes.

- a. Preliminary hearing (intake procedure in juvenile court).
  - b. Grand jury.
  - c. Arraignment.
  - d. Trial process.
  - e. Verdict.
  - f. Sentencing (disposition).
3. Correctional processes.
- a. Pre-sentence investigation.
  - b. Probation (if so disposed by court).
    - 1) Legalistic: authority, surveillance, control.
    - 2) Re-education; re-direction activities.
  - c. Institutional process.
    - 1) Reception and classification.
    - 2) Care, custody, training, treatment.
    - 3) Pre-parole preparation.
  - d. Parole.
    - 1) Selection for parole (parolling authority).
    - 2) Parole investigation and placement.
    - 3) Legalistic: authority, surveillance, control.
    - 4) Re-education; re-direction activities.
  - e. Termination.
    - 1) Revokation.
    - 2) Discharge.
- C. Interrelatedness among elements of the system.
1. Goals of the administration of justice system.
    - a. Protection of society.
    - b. Rehabilitation and reintegration of the offender.

2. Goal-directed use of correctional alternatives dependent upon needs of society and needs of the offender.

D. Pardons: purpose and use.

1. Three kinds of pardons (explain purpose of each).
  - a. Full pardon (forgiveness).
  - b. Commutation (from heavier to lesser punishment).
  - c. Reprieve (postponement of execution of sentence).
2. Provides system mechanism to rectify mistakes.
3. Allows flexibility otherwise not available.

III. Working Definitions of Probation and Parole.

- A. Probation: Placement of convicted offender (or adjudicated delinquent) under supervision in the community in lieu of incarceration, under conditions prescribed by the court and under the control of a probation officer.
- B. Parole: Release of a sentenced offender (or adjudicated delinquent) from an institution prior to the expiration of his sentence for supervision in the community under conditions prescribed by the releasing authority and under the control of a parole officer.

IV. Discussion with Class.

- A. Involve class in a discussion of:
  1. The importance of persons working in the administration of justice system having a knowledge of the processes and operations of the various justice agencies.
  2. The goals of corrections and the importance that alternative programs be oriented to the achievement of these goals.
- B. Questions and critique of lecture.

ASSIGNMENT

Required: (Text) Newman, Charles L., Sourcebook on Probation, Parole, and Pardons, Charles C. Thomas Co., Springfield, 3rd ed., 1968, pp. vii-xiii.

Challenge of Crime in a Free Society, U.S. Govt. Printing Office, Chapter 1.

Suggested: Vorenberg, James, "The Crime Commission's Report," Federal Probation, June, 1967.

Moeller, H. G., "Corrections and the Community: New Dimensions," Federal Probation, June, 1968.

## UNIT II

### THE ORIGINS AND HISTORICAL DEVELOPMENT OF PROBATION, PAROLE, AND PARDONS AND ITS EFFECT

- Unit Objectives: (1) To discuss the origins of probation, parole, and pardons and some of the historical development which effected their evolution to present forms;
- (2) To relate origins to developments in penology, criminological theory, and treatment approaches; and
- (3) To discuss legal, philosophical, and procedural developments and their effects on probation and parole.

#### I. Historical Developments.

##### A. Origins of pardon.

##### 1. Benefit of Clergy.

- a. Persons associated with church could claim "benefit of clergy" and receive mitigation of punishment.
- b. One of the earliest forms of pardon.

##### 2. Banishment of Rogues--(transportation system).

- a. Allowed for reprieves and stays of execution for robbers strong enough to work in the colonies.
- b. Forerunner of the pardon used during 16th and 17th centuries.

##### 3. Throughout history chief executives have had power of conditional pardon:

- a. As a method for reducing the degree of punishment or excusing a criminal act.
- b. Most commonly, pardon power was the prerogative of the king.
- c. Now resides with certain restrictions with the governors of the states or with the President.

##### B. Origins of parole.

##### 1. Property in service (established in England, 1717).

- a. Offender purchased from Crown by contractor who sold services of prisoner to highest bidder in the colonies.

- b. Convict no longer referred to as criminal; became indentured servant for period of time stipulated in property in service contract.
  - c. Indenture bore some similarities to current parole procedures in that convict was conditionally released from custody after agreeing to the conditions of his freedom.
2. Ticket of Leave.
- a. Used in England and Australia during 18th century.
  - b. Declaration signed by Governor dispensing prisoner from government work, enabling him to seek employment within certain districts under certain conditions.
  - c. No supervision provided over released offender.
  - d. Until 1811 tickets of leave freely granted to prisoners for good conduct, meritorious service, or the purpose of marriage.
3. Irish Ticket of Leave (19th century)
- a. Prisoners required to serve specific periods of time before eligible for ticket of leave.
  - b. Supervision provided.
4. Mark System (1837)
- a. Beginnings of indeterminate sentence.
  - b. Duration of sentence figured on labor and good conduct within a minimum period of time.
5. Elmira Plan (1876)
- a. Elmira Reformatory--New York.
  - b. Featured indeterminate sentence.
  - c. Privileges accorded prisoners determined on capacity and behavior of inmates.
  - d. Education compulsory.
  - e. Provisions for release (parole) of selected inmates:
    - 1) Required to maintain good record for one year.
    - 2) Had to submit suitable plans for employment.
    - 3) Required to report to guardian upon release and first day of each month for minimum of six months.

- 4) Guardian submitted report to Elmira Superintendent regularly.

C. Origins of Probation.

1. Power to remit sentences (chief executives).
2. Temporary suspension or imposition of sentences at discretion of judge (19th century).
  - a. Recognizance.
  - b. Provisional release on bail.
  - c. Filing of cases.
  - d. Judicial reprieve.
3. Probation formally began in Boston with John Augustus in the 19th century.
  - a. Worked with court in screening children for placement in the community.
  - b. Investigated and developed community placement.
  - c. Provided some supervision.
4. 1869, a state agent attached to Board of Charities in Boston.
  - a. Attended court hearings.
  - b. Made arrangements for Juveniles to be placed on probation to friends of the court.
5. 1880, Statute in Massachusetts permitted appointment of probation officers in any town or city of the state and in 1891 a state-wide probation system was established.
6. 1899 and through the early 20th century, probation services for juveniles began to spread throughout the nation.
7. 1917--Juvenile court movement; 37 states had children's courts and probation for juveniles enacted through juvenile court laws.
8. Federal probation established in 1925.
9. From these beginnings, probation and parole extended to include the provision of services to juveniles and adults throughout the United States.

## II. Implications of Historical Developments for Contemporary Corrections.

- A. Greater appreciation of man's potential for change and behavioral modification.
- B. Continuing shift from sole concern for punishment to social support for rehabilitation and reintegration.
- C. Recognition of differing needs of offenders who represent different degrees of threat to society.
- D. Recognition of the need for the development of a spectrum of correctional programs and procedures.

## III. Current Developments with Implications for Corrections.

- A. Some of the philosophical concerns as to the worth of the offender and the desirability of trying to treat and assist him have been and/or are being translated into enacted or suggested penal codes.
- B. Model Penal Code drafted by the American Law Institute.
  1. Although Code has not yet been adopted anywhere in its entirety, many jurisdictions have incorporated some of its provisions.
  2. Sentencing and treatment provisions of the Code include:
    - a. To prevent the commission of offenses.
    - b. To promote the correction and rehabilitation of offenders.
    - c. To safeguard offenders against excessive, disproportionate, or arbitrary punishments.
    - d. To give fair warning of the nature of the sentences that may be imposed upon conviction of an offense.
    - e. To differentiate among offenders with a view to a just individualization in their treatment.
    - f. To define, coordinate, and harmonize the powers, duties, and functions of the courts and of administrative officers and agencies responsible for dealing with offenders.
    - g. To advance the use of generally accepted scientific methods and knowledge in the sentencing and treatment of offenders.
  3. The Code states: "This act shall be liberally construed to the end that the treatment of persons convicted of crimes shall take into consideration their individual characteristics, needs, and potentials as revealed by a case study, and that such persons shall be dealt with in the community by a uniformly organized

system of constructive rehabilitation, under probation supervision when a period of institutional treatment has been deemed not essential and when it appears desirable in the light of the needs of public safety and the individual's welfare."

4. Two important philosophical bases are seen in this statement:
  - a. A preference for treatment in the community where it is feasible without unduly hurting society's right to protection.
  - b. Emphasis upon the individualization of treatment based on the in-depth knowledge of the individual and community as revealed in a case study.
- C. President's Commission on Law Enforcement and Administration of Justice report, the Challenge of Crime in a Free Society makes several recommendations that would modify correctional practice:
  1. Narrowing authority of the juvenile court.
  2. Provide that juveniles be afforded all the rights and protections of due process available to adults.
  3. State a preference for community-oriented correctional treatment where possible.
  4. Provide opportunities for redress of grievances if the system errs in its treatment of offenders.
  5. Improvement of classification procedures to facilitate individualization of treatment commensurate with the needs of the offender and the community.
  6. Providing a better and more equitable system for the restoration of offenders' civil rights upon completion of sentence.
- D. Developments have impact on the administration of probation and parole services.
  1. Projected increase in the use of community-based correctional alternatives by the court, and releasing authorities.
  2. Increasing dependence by the court and releasing authority on investigations and reports developed by probation and parole officers.
  3. Increased scrutiny by defense counsels of reports and recommendations developed by probation and parole officers.
  4. Increased emphasis on probation and parole as helping processes geared to individualized needs of offenders.

5. Evaluation of field services from within and without the system.
6. Greater emphasis for coordination among institutional and field services.

IV. Discussion with Class.

- A. Involve class in discussion of how current developments imply the offender's right to expect that probation and/or parole will actually be a "helping" service.
- B. Discuss the kinds of things that have changed as a consequence of the offender's right to have counsel scrutinize reports made by probation and parole officers in connection with various judicial or correctional decisions.

ASSIGNMENT

Required: Text, Chapters 1 & 2.

Suggested: American Correctional Association, Manual of Correctional Standards. Prepared by Committee for Revision of 1959 Manual, 3rd ed., 1966, Chapter 1.

Text, pp. 39-73.

## UNIT III

### THE CONTEMPORARY USE OF PROBATION AND PAROLE IN THE UNITED STATES

- Unit Objectives:
- (1) To show the extent to which probation and parole are currently being used;
  - (2) To discuss conditions under which these community correctional programs are being used;
  - (3) To outline suggested standards for probation and parole; and
  - (4) To raise some basic issues connected with the administration of probation and parole.

#### I. Extent to Which Probation and Parole are Being Used.

- A. Probation in the United States today is being used for juvenile delinquents, adult misdemeanants, and adult felons.
1. In 1965, a survey by the National Council on Crime and Delinquency revealed that 258,000 adult felons, 200,000 adult misdemeanants, and 225,000 juveniles were on probation--a grand total of 683,000 persons.
  2. This number represents more than one-half of all persons under the control of the nation's correctional machinery.
  3. Projections are that by 1975 this number will have increased to more than 1,071,000 persons on probation.
  4. Statistics foretell the rapid expansion of probation as an important correctional disposition.
- B. Parole (aftercare in the case of juveniles) is being increasingly utilized as a method to assist offenders released from correctional institutions during the critical period of re-entry into the community.
1. Currently, more than 60% of those adult offenders released from correctional institutions are afforded parole supervision.
  2. There are no good statistics regarding the use of parole (after-care) with juveniles; however, it can be estimated that in excess of 80% of juveniles released from institutions receive such services.
- C. Influences responsible for increased use of probation and parole.
1. Recognition of desirability of utilizing community placement whenever possible to achieve correctional goals.

2. Probation and parole offer opportunity to deal with problems of adjustment in their social context.
  3. Social science theory and limited research support the validity of providing support, guidance, and control during process of social reintegration.
  4. The community has become more accepting of community correctional procedures.
  5. Under proper conditions, resources necessary in the rehabilitation of offenders are more available in the community than in institutions.
  6. Probation and parole supervision costs 1/10th that of keeping offenders in institutions.
- D. Success of probation and parole.
1. In spite of the fact that probation and parole services have generally been poorly staffed and supported, about 75% of those placed on probation have not had their probation revoked.
  2. In the case of adult parolees, out of the 35% to 40% of those who have had their parole revoked, only 1/3rd return for the commission of new offenses.
  3. According to usual estimates, the revocation rate on juvenile aftercare is somewhat higher than for adult parolees.
  4. The above figures should be seen only as indicants of probable success.
  5. Probation and parole have not been given a fair trial for the level of professional personnel and support for optimum programming has never been available.

## II. Conditions Under Which Probation and Parole are Being Used.

- A. There are some conditions under which probation and parole are being administered which restrict their effectiveness in keeping with the philosophy underlying community-based correctional techniques.
- B. Legal restrictions.
  1. In many jurisdictions persons convicted of capital offenses, rape, arson, robbery, kidnapping, treason, etc. are not eligible for probation.
  2. Many correctional authorities advocate court authorization to use probation at its discretion following conviction of any offense (to take care of unique situations).

3. In many jurisdictions, offenders are required to serve their minimum sentence before they are eligible for parole consideration.
4. This can be dysfunctional for it restricts paroling of offenders when they are optimally prepared for release to supervision in the community.

C. Staffing conditions.

1. National Council on Crime and Delinquency survey reveals that 67% of probationers under supervision in caseloads of over 100.
2. Median average caseload in the United States in February 1966 was about 92.
3. To bring caseloads down to 35 would require more than 5,300 new workers and supervisors for juvenile probation and over 8,500 new workers and supervisors for probation supervision of adult felons.
4. Only one-half of the caseworkers in the nation's probation and parole services have a bachelor's degree.
5. Under increasing caseloads and demands for specialized services, staffing problems become more critical.

D. Availability of support resources.

1. Most probation and parole agencies have little by way of supporting clinical services (e.g., psychiatric, psychological, and other diagnostic resources).
2. Most jurisdictions lack adequate administrative arrangements with non-correctional human service agencies for the provision of diagnostic and treatment resources in the community.
3. Supervisory and training resources for the probation and parole officer are inadequate to meet the needs for staff development and the provision of best services.

E. Administrative conditions.

1. There are increasing demands of the probation and parole officer's time in activities other than direct supervision of clients.
2. In many jurisdictions, agency policies regarding the enforcement of technical rules are too restrictive and deny the officer sufficient flexibility in the supervision of cases.
3. In many jurisdictions there are inadequate procedures for reviewing the progress (or lack of it) of probation and parole cases and corresponding modifications for supervision.

III. Suggested Standards for Probation and Parole (President's Crime Commission).

A. Probation services.

1. Statute should require that a paid, full-time probation service be made uniformly available to all courts needing the service.
2. Statute should authorize court to use probation at its discretion, following conviction, in the best interest of society and the offender.
3. Statute should require that probation investigations be completed on all juvenile and adult offenders and made available to the court as a help in making dispositions.

The court should be required to make use of the pre-sentence investigation.

4. Statute should limit scrutiny of the pre-sentence report to those having an appropriate interest in the case.
5. Statute should allow court to determine conditions of probation and should prohibit incarceration as one of the conditions.
6. Statute should provide that, in the case of juvenile offenders, the sentence be indeterminate and should end at the offender's 21st birthday or before.
7. The statute should require that in the case of an adult probationer the sentence be fixed at not less than one year or more than five years.
8. The statute should allow the court to discharge an offender on probation at any time and to revoke probation for sufficient cause after a hearing.
9. A probation officer's workload should not exceed 50 units a month.
10. The statute should provide that upon discharge, the offender automatically regains all of his civil rights suspended at conviction.
11. The statute should provide for the transfer of probationers for supervision in other states under the Interstate Compact Agreement.
12. A probation organizational structure should conform to one of two models:
  - a. A centralized state-wide system providing to all courts a state-administered, state-controlled, and state-financed service.

- b. A centralized county or city system administered through the court or other nonjudicial body, with state responsibility for supervision, consultation, standard setting, training, and research with financing or subsidy provided through a state board, commission, or department.
  13. Personnel qualifications which place preference on a master's degree in the behavioral sciences and require a bachelor's degree.
    - a. Requirements for supervisors and administrators to have at least the officer's qualifications and, in addition, some appreciable experience.
    - b. One full-time supervisor for every six officers.
    - c. Sufficient support services.
- B. Standards for parole.
1. Court should impose a maximum sentence with maximum sentence set by law.
  2. The law should not establish a mandatory minimum.
  3. The law should empower the parolling authority to consider all prisoners for parole regardless of offense, to establish a time when offender is eligible for parole, and to use discretion in granting.
  4. The law should empower the parolling authority to establish rules of operation, conditions of parole, and revoke it or to discharge from parole when supervision no longer needed.
  5. The law should allow for the establishment of a parole agency which should have charge of supervision of all persons' paroles.
  6. The law should provide that discharge from parole automatically restores all civil rights suspended by conviction.
  7. The law should provide for transfer of parolees for supervision under the Interstate Compact.
  8. When a child is committed to the state, the state agency for providing parole services should work with the child on release.
  9. Legal custody in the case of juveniles should be given for an indefinite period up to three years.
  10. The law should require that juveniles committed to a training school have no minimum sentence.
  11. The authority to release on parole should be vested in a centralized board whose members are appointed by the Governor through a merit system.

12. The parole board should bear responsibility for all decisions.
13. Whenever possible, members of the board should serve full time and paid salaries competitive with judges of courts of general jurisdiction.
14. Personnel qualifications same as for probation officers, supervisors and administrators.

IV. Basic Issues Connected with the Administration of Probation and Parole.

- A. One of the most important issues connected with the administration of probation and parole programs has to do with the lack of sufficient research by which to make decisions as to:
  1. The types of clients who can profit from probation and parole.
  2. The types of strategies which have peculiar applicability to clients with specific needs.
  3. The type of officer most capable and able to work with specific types of offenders. (California doing research on matching officers and clients.)
  4. The optimum time for release based upon increments of individual progress and progress for certain types of offender groups. (Should develop some meaningful "predictors.")
  5. The best application of community resources as a part of the treatment of those on probation and parole.
  6. It is only with the development of sound data about the operation of probation and parole programs that efficient and effective programs can be evolved.
- B. Another important issue is the agency's inability or unwillingness to materially involve the offender in the whole process of diagnosis and case decision making.

V. Discussion with Class.

- A. Discuss with the class the conditions under which probation and parole operate and have the class suggest a priority list for improvements. (This should bring out the interdependence of officers' roles and responsibilities.)
- B. Have the class discuss the interrelation between research and field work, emphasizing the contribution that each can make to the other.

ASSIGNMENT

Required: U.S. President's Commission on Law Enforcement and Administration of Justice. Task Force on Corrections, Task Force Report: Corrections. 1967, pp. 191-212.

Suggested: Lanningham, Dale, Tabor, and Dimants, "How Adult Probation Officers View Their Job Responsibilities," Crime and Delinquency, April, 1966.

Text, pp. 104-112.

## UNIT IV

### GOALS, PURPOSES, & CONDUCT OF THE PRE-SENTENCE INVESTIGATION

- Unit Objectives: (1) To explain the purpose and uses of the pre-sentence report;
- (2) To discuss the essential characteristics of the pre-sentence investigation;
- (3) To suggest the kinds of information the investigator is looking for in the conduct of the pre-sentence.

#### 1. The Pre-sentence Report: Purposes and Goals.

- A. The pre-sentence investigation is conducted subsequent to adjudication, conviction, or a plea of guilty, and prior to sentencing.
- B. Purpose of the pre-sentence investigation:
1. To develop in-depth information about the offender, his offense, the meaning of the offense for the offender and the community, the offender's problem, and the community's ability to provide service to the offender.
  2. To develop an analysis of information gathered -- a diagnosis of the case.
  3. To assess the availability of resources appropriate to the needs of the case (in the community or the institution).
  4. To develop a case evaluation and/or recommendations intended for the consideration of the court and other elements of the administration of justice system.
- C. Intended use of the pre-sentence investigation report:
1. As a base of information to assist the court in determining the most appropriate disposition of the case.
  2. As the basis for case planning by the probation officer if the offender is so disposed by the court.
  3. As a resource of information to be considered by the correctional institution in the classification of offenders.
  4. As a resource for parole planning and supervision.
  5. As a base of information useful in referrals to non-correctional human service agencies.

6. As a source of information for correctional research.
- D. The purposes and extensive use of the pre-sentence investigation suggests that it is a key instrument in the attainment of correctional goals--the protection of society and the rehabilitation of offenders.

## II. Essential Characteristics of the Pre-Sentence Investigation (P.S.I.)

- A. The P.S.I. must be a "living document" describing the total individual and his situation by weaving the significant events of his life into a story which presents their relationships to each other.
  1. A simple presentation of facts with no illumination as to what they mean is not enough.
  2. What does the offense mean for this particular offender?
  3. What does his pattern of behavior mean for predicting his future?
- B. The P.S.I. should represent an exploration of all of the facets of the client's life. (People function as a totality and must be understood in these terms.)
- C. The P.S.I. is intended to be a diagnostic instrument which evaluates the offender's problems, his unique makeup, his relationships with others, and the realities of his future.
  1. In doing the P.S.I. the officer must realize that he is the only person who will have explored the multiple facets of the offenders life and, therefore, must be the one to integrate and effectively interpret the information he has developed.
  2. As a professional, the officer must recognize his responsibility to make professional judgements as to what the information means and the relative effects that alternative correctional strategies will have on the case.
- D. The P.S.I. must be written in a way that really communicates to those who will make use of it.
  1. Must sensitively and clearly reveal unique people and real situations in a way that the reader will have no questions as to what is meant.
  2. Should avoid the use of jargon for which there is no widely accepted and understood definitions.

### III. Conducting the Pre-Sentence Investigation: What Are We Looking For?

- A. In thinking about the conduct of the pre-sentence investigation, it is often natural for the officer to relate plans for the gathering of information to the agency's report format.

\*Discuss relevant agency format(s) and the categories of information required, with the class.

- B. It is important to avoid becoming process-oriented in the sense that completing categories of the report becomes the end in itself rather than the means for developing and reporting significant information about the offender.
- C. In planning for and conducting the P.S.I., it is useful to think about the information the officer is looking for in terms of four categories:
1. The situation: the problems confronting the offender, the community, and corrections that must be addressed.
  2. The individual as an individual: the unique makeup of the offender as a person.
  3. The individual in relation to others: what is it about his relationships with others (family, friends, the community) that affect, or could affect, his behavior?
  4. The future: where can we go with this individual and how?

### IV. The Situation

- A. In assessing the situation confronting the offender, the community, and the justice system, it is necessary to pay attention to the offense and other problems which may or may not have a causal relationship but do, however, influence the situation.
- B. The offense (discuss the kinds of information required in an exploration of the offense and the intended use of such data).
1. Official version (offense to which the offender was found or pleaded guilty, how the offense was committed, when and where arrested, accomplices if any and disposition).
  2. Defendent's version (statements given to arresting officer, prosecutor, probation agent, signed confessions, defendent's attitude toward the offense).
  3. Co-defendent's version (if applicable).
  4. Victim's version (especially in serious offenses against the person).

5. Additional information when applicable (description of other crimes defendant has confessed to, etc.).
- C. Concurrent problems (the following are kinds of concurrent problems that might be discussed).
1. The offender may have his girlfriend pregnant and be under a great deal of personal pressure and strain.
  2. Subject may be unable to secure employment for a number of reasons.
  3. If a juvenile, it might be significant if he has been kicked out of his home and has no place to live.
- D. What are the meanings attached to these problems (the situation)?
1. Is the juvenile offender worried about the offense, have a sincere understanding that what he did was wrong, and want to make amends? Has he done something on his own to make amends?
  2. Is the offender so tied up in his concurrent problems that he doesn't dare what happen to him?
  3. Does the offender see nothing wrong with his behavior other than he got caught?
- V. The Individual As An Individual.
- A. A second focus of the P.S.I. should be that of learning as much as possible about the offender -- need to know him as a unique individual.
- B. What kinds of things are we looking for here (ask class to come up with suggestions and involve in discussion)?
1. What are the offender's strengths and capacities?
  2. What kind of a personality does he have?
  3. What is his developmental history?
  4. What are his physical attributes or liabilities?
  5. Does he see himself as "successful" or "unsuccessful" as a person - how do others see him?
  6. Is he intelligent or a dullard? Motivated or lazy?
- C. In the development of tailor-made plans to work with the offender, we must learn about him as a unique person.

VI. The Individual in Relation to Others.

- A. To develop a picture of an individual and understand "his community" and its effects on his adjustment (or lack of it), a significant amount of information must be developed regarding the offender's relationships with others.
- B. Thus, in the conduct of the pre-sentence investigation, the following are questions that should be addressed:
1. What relationships does the offender have with significant others?
  2. What are the influences which accrue to these relationships?
  3. What are the positive or negative effects which result from these relationships?
  4. What are the things that get in the way of making these relationships more productive?
- C. Working with the offender often involves working with the offender's family. What kinds of things would the investigating officer be looking for in exploring the offender's relationships in the family? Involve class in discussion which might include the following:
1. Is the offender's relationship with the family a healthy one in which there is mutual affection, respect, and concern?
  2. Or, is the relationship one of hostility and contention?
  3. Is the family constellation oriented toward delinquent values and, therefore, destructive in its impact on the offender?
  4. Does the family have problems that get in the way of helping the offender.
- D. How does the offender see himself in relation to others?
- E. Are there things about the individual that get in the way of developing and making constructive use of available resources?

VII. The Future.

- A. Finally, in the conduct of the pre-sentence investigation, significant attention must be paid the development of information related to the future of the offender -- "Where can we go with this individual and how?"

- B. Obviously, the future of the individual depends upon the offender, his family, significant others, community resources and opportunities, institutional resources, and our skill in mobilizing and managing them in a way that will accomplish the goals of corrections.
- C. Attentions must be paid to the following questions:
1. What does the offender see as his future?
    - a. Does he see himself as continuing to act in the same way he has to this point?
    - b. Does he anticipate continuing failure?
    - c. Does he want to change?
    - d. Are his aspirations real or are they out of line?
  2. What does the family see as the offender's future?
    - a. If he is a child, for example, does the family have aspirations that are impossible for him to realize?
    - b. Or, do they have reasonable expectations and feel that they have a stake in helping the offender to make a better adjustment?
  3. Within the framework of the current problems, the capacities of the offender, his family, and the community, what kinds of things can we do that will bring about a positive adjustment?
    - a. How can the family be assisted in a fashion that will enhance its ability to positively influence the offender?
    - b. What kinds of things that can't be changed in the family situation can be neutralized by the provision of helping services available in or through the human-service agencies of the community?

#### VIII. Sources of Information

- A. To prepare a pre-sentence report which meets the characteristics described above, a wealth of information must be obtained and verified.
- B. To secure such information, the officer must know where it exists and how to obtain it efficiently.

C. The following list suggest some of the important sources of information.

1. Legal history .

- a. Arresting officers
- b. Prosecuting attorneys
- c. Complainant
- d. Defendent
- e. Accomplices
- f. Witnesses
- g. Federal Bureau of Investigation
- h. State police agencies
- i. Local police agencies and Sheriff's departments
- j. Correctional agencies and institutions

2. Social history .

- a. Defendent
- b. Relatives (parents, children, wife or husband, siblings)
- c. Neighbors
- d. School records
- e. Family physician (hospital and clinic records, etc.)
- f. Employers
- g. Clergymen
- h. Social agencies public and private
  - State department of public welfare
  - County welfare board
  - Family service agencies
  - Relief agencies
  - Big Brother and Big Sister organizations
  - Neighborhood houses
  - YMCA and YWCA
  - American Red Cross
  - Salvation Army
  - Volunteers of America
  - Urban League
  - Veterans Organizations
  - Alcoholics Anonymous
  - U.S. Employment Service
  - Municipal, county, and local probation departments
  - Federal probation
  - Legal Aid societies

D. The officer who knows his community will have established relationships with the human service agencies of the community and be effective in securing their assistance in the provision of necessary information and service resources in providing assistance to offenders in the community setting.

IX. Discussion with class.

- A. Involve the class in a discussion of the critical importance of the pre-sentence investigation as it reveals the individual offender to the administration of justice system.
- B. Analyze a sample pre-sentence investigation in terms of the characteristics discussed during the lecture.

ASSIGNMENT

Required: Text, pp. 113-119

Keve, Paul W., The Probation Officer Investigates: A Guide to the Pre-Sentence Investigation, University of Minnesota Press, Minneapolis, 1960, pp. 3-14, 21-40, 64-80.

Suggested: Manual of Correctional Standards, pp. 106-109.

Rubin, Sol, The Law of Criminal Correction, West Publishing Company St. Paul, 1963, pp. 73-89.

## UNIT V

### INTERPRETING THE PRE-SENTENCE INVESTIGATION

- Unit Objectives:
- (1) To outline the diagnostic nature of the pre-sentence report.
  - (2) To the case-evaluation and plan as a component of the pre-sentence report.
  - (3) To describe and discuss the use of "eligibility criteria" in assessing appropriate correctional alternatives.
  - (4) To identify the need for the establishment of immediate, intermediate, and long range goals.

#### I. The Pre-Sentence Report: A Diagnostic Document.

- A. In the preceding unit, attention was given to the purpose, uses, and characteristics of the pre-sentence investigation.
  1. The Pre-sentence report is a basic informational resource for the use of all elements of the correctional system dealing with the offender in addition to its use by the court.
  2. The PSI should represent an exploration of all of the facets of the client's life -- people must be viewed and understood as a totality.
  3. The PSI is intended to be a diagnostic instrument which evaluates the offender's problems, his unique makeup, his relationships with others, and the realities of his future.
  4. It must be written in a fashion that really communicates to those who will make use of it.
- B. These factors portray the complexity of the pre-sentence report and suggest the heavy responsibility of the officer in developing a document which portrays a living person and has so much to do with the individual's route through the correctional process.
- C. In evaluating information and writing the report, the officer should see each section (no matter what format is used by the agency) as an opportunity for accurate interpretive communication.
- D. He must be prepared to communicate his professional judgment as to the client's "eligibility" for various correctional services and tentative case plans that could be used commensurate with the court's disposition.

II. Elements of the Case Evaluation and Plan.

- A. There are three kinds of evaluative considerations that are basic parts of the case evaluation and plan.
- B. First, the evaluation and plan should include a realistic analysis of the dynamics of the case in terms of:
  - 1. The Problem and its meaning.
  - 2. The strengths and liabilities of the individual.
  - 3. The positive and negative implications of the offender's relationships with others.
  - 4. The potential for future change in the offender and his situation.
- C. Second, it should include an assessment of the offender's eligibility for services provided by available correctional alternatives.
- D. Third, there should be some identification of tentative case goals to be pursued depending upon the court disposition in the case.

III. Dynamics of the Case.

(Refer to materials in Unit IV).

IV. Eligibility for Available Correctional Alternatives.

- A. The concept of "eligibility for services" is one that has been identified with welfare programs but seldom with corrections.
- B. It is suggested that it is of considerable importance to start developing eligibility criteria for correctional services.
- C. The development and application of such criteria requires:
  - 1. A knowledge of what services actually exist in probation agencies, correctional institutions, etc.
  - 2. The extent to which (and under what conditions) such services can realistically be made available.
- D. The following are suggested as the kinds of "eligibility criteria" to be considered:
  - 1. Does the offender have sufficient internal controls to manifest reasonable conformity to the rules of probation?

- a. In making a judgment as to eligibility for probation or the institution, the question must be asked, "has the client got enough internal or self-control to function in the community?"
  - b. Can the offender function effectively without hour-to-hour monitoring of his activities?
  - c. Is he capable of making choices among alternative courses of action?
2. Does the offender state or demonstrate a willingness to abide by the rules of probation?
- a. The extension of probation is predicated upon the offender's agreement to abide by conditions imposed by the court.
  - b. The probation process requires some acceptance of responsibility on the part of the offender. If he is not willing to accept responsibility, there is good reason to suspect that he might need the kinds of control and assistance that may not be available in the community.
3. Does the offender have potential for school or employment?
- a. Normally, it is expected that the offender be capable and willing to pursue his education or become involved in gainful employment.
  - b. The absence of such potential or an unwillingness on his part to become so involved may be seen as a factor which seriously limits his potential for adjustment in the community.
4. Is the offender sufficiently motivated to adjust on probation?
- a. Does the offender have the motivation -- the desire -- to make a successful adjustment on probation?
  - b. If the individual perceives of himself as a loser one who will always be that way, and doesn't expect to change, the chances are that his expectations will be fulfilled.
  - c. On the other hand, if the offender is motivated for success and demonstrates a desire to make use of opportunities for assistance, his chances for adjustment are considerably enhanced.
5. Will the community tolerate the offender on probation?
- a. The question must be asked, "what is the likelihood that the offender's behavior will present an unacceptable risk or threat to the community and to himself?"

- b. To adjust in the community requires opportunity for the offender to function in a productive manner. The sentiment of the community must be assessed in terms of its effect on his "opportunity structure."
  - c. If the community situation is such that chances for adjustment will be seriously restricted, other arrangements should be considered -- perhaps the possibility of placement in another community.
6. Are there sufficient family and community resources available to assist the offender in a positive adjustment?
- a. In the conduct of the pre-sentence investigation, a lot has been done by way of assessing the offender's needs.
  - b. In thinking about probation or institutionalization, the officer must answer the difficult question, "can these needs best be met in the community setting or can they best be met in another setting?"
  - c. What is the probability that community human-service agencies can and will make needed services available?
  - d. What kinds of help can be made available to the offender through the family?
  - e. What kinds of services can the probation officer (and his agency) realistically provide and are they commensurate with the needs of the case?
7. What are the implications of the offender's past and present behavior as they effect his ability to adjust on probation?
- a. What is the pattern of the offender's behavior? Are his offenses becoming more serious or less serious in nature?
  - b. If, for example, his pattern of behavior is becoming more serious, vicious, and dangerous; if on prior occasions the offender made a poor adjustment on probation, this must be considered as an indicant of need for services other than can be provided on probation.
- D. It is suggested that the use of such "eligibility criteria" in considering the feasibility of alternative correctional programs is extremely useful as it forces the officer to develop judgment based on a thorough analysis of the case in terms of the needs of the offender, the family, and the community and the ability of corrections and the community to deliver appropriate services.

V. Tentative Case Goals.

- A. A third consideration in the development of the case evaluation and plan relates to the identification of tentative case goals.
  1. What would the officer do with the case if the court placed him on probation?
  2. Or, what things should the institution be attentive to if the offender were sentenced to a correctional institution?
- B. Any recommendation on the part of the probation officer for probation or commitment to an institution should have spelled out the levels of possible attainment of the goals envisaged.
- C. Discuss with class the kinds of immediate, intermediate, and long term goals that might be developed in a hypothetical case:
  1. Immediate goals (those that should be obtainable within a few weeks) e.g., getting a probationer or parolee into school or into work.
  2. Intermediate goals (those that will take a longer time to attain -- perhaps a year) e.g., succeeding in school, or finding a job which is personally gratifying and financially rewarding.
  3. Long term goals (those that may not be attained until the person is no longer under supervision) e.g., graduation from school or enrollment in college, healthy family relationships, etc.
- D. In outlining the things that need to be accomplished immediately, during the near future, and in the distant future, the officer is forced to think about the reality of planning and the most appropriate setting in which needs of the offender and the community can best be met.

VI. Class Discussion.

- A. Discuss with the class the shortcomings of a report that lists facts with no interpretation of what they mean.
- B. Involve the class in the identification of additional "eligibility criteria" that might be used in assessing the offender's eligibility for probation or the institution.

ASSIGNMENT

Required: Text, pp. 119-126.

The Probation Officer Investigates, pp. 81-158.

Suggested: Carter, Robert M., "It is Respectfully Recommended.", Federal Probation, June, 1966.

Law of Criminal Correction, pp. 90-108.

## UNIT VI

### THE ROLE OF THE COURT IN GRANTING PROBATION

- Unit Objectives:
- (1) To outline the court's responsibilities in granting probation.
  - (2) Prescribing conditions of probation.
  - (3) Procedures under which probation is revoked.

#### I. Introduction to the Unit.

- A. One of the important origins of probation (see Unit II) was court practice of using recognizance, provisional release on bail, filing of cases, and judicial reprieve.
- B. Such methods were used until probation emerged as an accepted legal system during the latter part of the 19th century.
- C. American courts had primary responsibility for evolving probation to the point that today it is the most frequently used disposition.
- D. The focus of this Unit is to explore the court's responsibilities in granting probation, prescribing conditions, and taking action on its revocation.

#### II. Granting Probation (Reference - Sol Rubin, The Law of Criminal Correction).

- A. Consideration of probation.
  1. Most often probation statutes do not mandate probation but authorize its use.
  2. The possibility of probation should be considered in accord with the philosophy and purpose of the statute.
- B. Time for granting probation.
  1. When no sentence has been imposed.
  2. After sentence has been imposed but not executed (execution suspended).
- C. Presumption in favor of probation.
  1. Where nature of disposition is in doubt, the interpretation which favors probation rather than imprisonment will be sustained.

## D. Term of probation.

1. Term of probation usually may not exceed the maximum period of commitment allowed for the particular offense.
2. Discharge from probation automatic at expiration of term.
3. Probation takes effect immediately upon disposition.

III. Conditions of Probation.

## A. Imposing the conditions.

1. Conditions that the probationer must abide by are almost always ordered by the court.
2. Frequently held that court may not delegate its power and responsibility to impose conditions of probation.
3. Conditions must be in writing, defined, clearly stated, and effectively communicated to the probationer in order for him to be bound by them.

## B. Legality of conditions.

1. Some statutes itemize conditions that may be imposed; others simply authorize imposition of conditions without specifying them.
2. Conditions, however, are not unrestricted.
  - a. May not require behavior that would be illegal, immoral, or impossible.
  - b. Constitutionally, a condition may not impose requirements that would be cruel and unusual.
  - c. Freedom of religion is also protected.
  - d. Court may not impose, as a condition of probation, a punishment not otherwise authorized.

## C. Conditions governing behavior.

1. Certain activities are forbidden and other behaviors are required of the probationer by a variety of conditions.

\* Go over a list of conditions with the class.

## 2. Basic conditions.

- a. That the probationer allow the probation officer to visit him.

- b. That the probationer report to the officer either periodically or on notice.
  - c. That the offender live a law-abiding life.
3. Other conditions.
    - a. Court may impose condition relevant to the crime committed and related to a plan of rehabilitation and public protection.
    - b. Conditions that have no relation to public protection or a plan of rehabilitation may be held invalid.
  4. Many courts adopt a minimum set of requirements for all probation cases.
  5. It is in the category of special conditions that courts impose conditions with reference to the specific case.

#### IV. Termination of Probation.

- A. All statutes make it clear that the probationer remains legally subject to the jurisdiction of the court that placed him on probation.
- B. Ordinarily, probation supervision is the responsibility of the court that granted probation.
- C. Two kinds of probation termination:
  1. Discharge.
  2. Revocation.
- D. Discharge from probation.
  1. If supervision is uninterrupted by a revocation proceeding, it terminates when the probation term expires by operation of law.
  2. Although expiration of the term automatically works, a discharge order should be entered.
  3. The court may discharge a person from probation prior to the expiration of the term; to remove any doubt about the court's authority to do so, this power should be specifically stated in the statute.
- E. Revocation of probation.
  1. If it is found that the probationer has violated a condition he may be brought before the court for appropriate action.

2. Probation statutes, however, do not require that every discovered violation be brought to the attention of the court.
3. If the officer feels the violation is serious enough to call to the attention of the court, the probationer may be brought in by notice.
4. Most rulings require that the court conduct a hearing on the alleged violation, that the hearing be preceded by notice of the charge, and the probationer have the right to be represented by counsel.

F. Grounds for the revocation of probation.

1. Every probation statute states explicitly or implies that probation may be revoked upon commission of a new crime; for violation of a condition.
2. Probation may not be revoked without a violation.

G. The sentence upon violation established.

1. If a violation has been established, the trial court has discretion to continue or revoke probation.
2. If the court revokes probation, it may, generally, impose any sentence that it might have imposed originally.
3. However, if the form of sentence used was not suspension of imposition but rather suspension of execution with the defendant placed on probation, a penalty greater than the original sentence cannot be imposed.

V. Class Discussion.

- A. Ask class to relate materials about the use of eligibility criteria as discussed in Unit V to the courts responsibility for disposition.
- B. Use sample violation report to involve the class in a discussion of the supervising officer's role in the matter of revocation.

ASSIGNMENT

Required: Text, pp. 126-132.

The Law of Criminal Correction, pp. 189-211.

Suggested: Boldt, George H., "Recent Trends in Criminal Sentencing," Federal Probation, March, 1963.

## UNIT VII

### RELEASE FROM CORRECTIONAL INSTITUTIONS: SELECTION FOR PAROLE

- Unit Objectives: (1) To introduce procedures for release from correctional institutions.
- (2) To discuss elements in the parole decision-making process.

#### I. Introduction to the Unit.

- A. Better than 90% of those sentenced (or committed) to correctional institutions are at some time released and returned to the community.
- B. In a majority of cases persons are released prior to the expiration of their sentence to supervision in the community.
- C. There is need for coordination of institutional and field services to accomplish the goals of corrections.
- D. It is necessary, therefore, for a course on probation and parole to include information pertaining to release from correctional institutions and selection for parole.

#### II. Procedures for Release from Correctional Institutions.

- A. Four general procedures by which inmates are released from correctional institutions:
  - 1. Conditional Pardon.
  - 2. Mandatory (conditional) Release.
  - 3. Outright Discharge.
  - 4. Parole (aftercare in the case of juveniles).

#### B. Conditional Pardon.

Form of executive clemency granting release on the condition that specified rules of behavior are complied with.

\* Provide class with an example of conditional pardon.

#### C. Mandatory (conditional) Release.

Release date calculated on basis of accumulated "good time" deducted from sentence (formula fixed by statute).

Persons released on mandatory release procedure usually subjected to parole supervision in the community.

D. Outright Discharge.

Outright discharge from correctional institution (at expiration of sentence or prior to expiration of sentence) is permanent and unconditional.

Persons released via discharge are provided no supervision in the community as are persons under parole or mandatory release.

\* Provide class with examples of situations under which outright discharge is utilized.

E. Parole (aftercare in the case of juveniles).

Release from a correctional institution prior to expiration of sentence (or commitment) under conditions specified by the releasing authority for supervision in the community.

F. Discussion of reasons for the expanding use of parole.

1. Importance of the provision of supervisory services (support, assistance, guidance, control) during the critical period of re-entry.
2. Concern for release of individuals at point of optimal preparation for community-based correctional services.
3. Economics factors (parole supervision costs 1/10th that of institutional care).
4. The evolution of standards for parole and aftercare.

\* Review standards for parole and aftercare included in Unit III.

III. The Parole Decision-Making Process.

- A. The parole board (releasing authority) bears a heavy responsibility in making decisions intended to satisfy the dual correctional goals of protection for society and rehabilitation of the offender.
- B. Within the statutes which define inmate's eligibility for parole consideration, the Board should have established procedure for processing and acting on applications for parole.

\* Discuss with class the policies and procedures used by the adult and juvenile releasing authorities in your jurisdiction with regard to schedule and conduct of hearings, etc.

## C. Considerations in Parole Decision-Making.

1. The inmate's personal and family history previous to commitment to the institution.
2. The inmate's past and present attitudes, capabilities, habits, physical and emotional condition.
3. The nature and circumstances of the offense.
4. The inmate's behavior and adjustment during confinement.
5. The inmate's plans for the future.
6. Probability, from all available information, that the inmate will perform the obligations of a law-abiding citizen if released on parole.
7. The effect (positive or negative) of the inmate's release upon the community.

## D. In analyzing the case, the parole board (and those preparing information for its use such as the institutional classification committee) should be developing reasons why the person should be paroled (or conversely, reasons for continuation in the institution) based upon the kinds of eligibility criteria discussed in Unit V.

\* Discuss with class the following "eligibility criteria" in relation to developing information as to the readiness of the inmate for parole.

1. Does the inmate have sufficient internal controls to manifest reasonable conformity to the rules of parole?
2. Does the inmate (or ward) state or demonstrate a willingness to abide by the rules of parole?
3. Does the inmate have potential for school or employment?
4. Is the inmate sufficiently motivated to adjust on parole?
5. Will the community tolerate the offender on parole?
6. Are there sufficient family and community resources available to assist the inmate in a positive adjustment?
7. What are the implications of the inmate's present and past behavior as they affect his ability to adjust on parole?

## E. Ideally, such an analysis will yield a decision for parole or continuance which is a positive one based upon a judgment as to the most appropriate place to provide the inmate and the community with required services.

IV. Class Discussion.

- A. Involve class in a critique of classification report and evaluation prepared by institutional staff for the Board's consideration on an inmate's application for parole.

Evaluate the report in terms of the kinds of information needed to make the parole decision.

- B. Develop with the class a listing of additional information required (if any) and where such information might be secured.

ASSIGNMENT

Required: Text, pp. 332-351, 358-369.

The Law of Criminal Correction, pp. 549-558.

Suggested: Manual of Correctional Standards, pp. 113-126.

Thomas, Paul, "An Analysis of Parole Selection,"  
Crime and Delinquency, April, 1963, pp. 173-179.

## UNIT VIII

### PRE-PAROLE PREPARATION AND INVESTIGATION OF THE PAROLE-PLAN

- Unit Objectives:
- (1) To discuss the importance of preparing the inmate and the community for his release.
  - (2) To discuss the parole-plan investigation.
  - (3) To identify and discuss the parole officer's responsibilities in preparing to work with the parolee.

#### I. Introduction to the Unit.

- A. Modern correctional philosophy places considerable significance on planning and preparation for the reintegration of offenders from the institution to the community.
- B. To be maximally effective, such planning and preparation must involve institutional staff, the inmate, parole staff, the inmate's family, and community resources.
- C. The purpose of this Unit is to explicate this important process.

#### II. Institutional Pre-Parole Preparation.

- A. Preparation for parole should start the day the offender arrives at the institution.
- B. The classification procedure should result in the development of an institutional program for the individual commensurate with his needs and calculated to prepare for productive functioning upon release to the community.
- C. Subsequent to receiving parole, but before release to the community, there should be a pre-parole program which provides the following:
  1. An orientation to the goals, purposes, practices, and conditions of parole.
  2. Special assistance for inmates in employment and training arrangements in the community.
  3. Group discussions centering around the solution of problems that might be confronted by inmates upon release to the community.
  4. Discussion of community resources available to persons in the community and the appropriate ways to make use of them.

- D. Ideally, prior to the time of release on actual parole, there should be opportunities for the inmate (depending upon his situation) to have some controlled exposure to the community.

In various jurisdictions programs such as the following provide useful exposure and controlled community involvement:

1. Work release.
2. Training or education release.
3. Home visits.
4. Furloughs.
5. Placement in pre-release guidance centers.

### III. Parole Plan Investigation.

- A. In most jurisdictions the actual release of an inmate on parole must be preceded by an investigation of the proposed parole plan.
- B. The purpose of this investigation is to determine the existence of suitable arrangements (as proposed) to meet the needs of the offender and the community or to develop residential, employment, and other arrangements required for his release.
- C. To accomplish this investigation, there must be coordination and cooperation between institution and field staff:
1. The institution must provide the field officer with information about:
    - a. The offender's proposed plan for residence and employment.
    - b. The offender's marital and/or family situation.
    - c. The offender's aptitudes, interests, skills, plans for the future, etc.
    - d. The offender's adjustment in the institution and the clinical staffs judgments about the kinds of special problems that will have to be considered in planning the offender's re-integration.

\* Point out that this builds on the P.S.I. information already in the file.

2. There must be opportunity for communication and consultation among institutional staff and the field officer regarding the offender and his release plan.
3. Procedures should exist to allow the field officer to visit the offender in the institution re: the development of plans.

4. Arrangements should also exist for the officer to take the inmate out of the institution for job interviews, contact with other community human service agencies, etc. to finalize arrangements for his release plan.
- D. In the process of conducting the parole plan investigation, the parole officer makes contact with the inmate's family, employer, and others interested in the case. In addition to the relevance of these contacts to verify placement plans, the officer should see these contacts as opportunities for:
    1. Establishing relationships.
    2. Explaining the purpose, goals, and procedures of parole.
    3. Assisting these "significant others" in identifying their roles in the parole process and the ways they may be of assistance to the parolee.
  - E. Subsequent to the parole plan investigation, a report is submitted to the releasing authority (or its agent) specifying final arrangements.
    - \* Involve class in a discussion of the purposes of the parole plan investigation and its relevance for the supervisory process in the community.
    - \* Have the class review a sample parole plan investigation and analyze it in terms of the preceding comments and evaluation.

#### IV. Preparing to Work with the Offender.

- A. Planning is essential to the development of correctional programming at every level; it is of magnified importance in assisting the officer in the transition from institutional living to life in the community.
- B. It is critical, then, that the parole officer plan for his relationship and activities with the released offender before he is released.
- C. Based upon the information developed in the parole plan investigation, and the information available to the officer in the pre-sentence investigation and institutional classification summaries, the parole officer should have formulated some tentative case goals, and thought through alternative plans to operationalize them.
- D. At the time of the offender's release from the institution, the officer should be prepared to talk intelligently with him about his case:

1. The situation.
  2. The parolee as an individual.
  3. The parolee in relation to others.
  4. The parolee's future.
- E. Unless the officer is knowledgeable about the parolee and has done his homework, his ability to constructively involve his client in the case-planning process is seriously restricted.
- F. A professional, helping relationship must be based upon thoughtful planning. Best corrections requires it; the offender has a right to expect it.

V. Class Discussion.

- A. Involve the class in a discussion of the importance for communication and coordination between institutional and field staff in the offender's transition from institutional living to life in the community on Parole.
- B. Ask the class to develop some suggested procedures by which this process might be maximized.

ASSIGNMENT

Required: Text, pp. 278-287, 295-331.

Baker, J. E., "Preparing Prisoners for Their Return to the Community," Federal Probation, June, 1966.

Suggested: Manual of Correctional Standards, pp. 127-134.

## UNIT IX

### SUPERVISION IN PROBATION AND PAROLE

- Unit Objectives: (1) To define agency responsibility for the provision of supervisory services.
- (2) To identify and discuss the officer's role in working with probationers and parolees.

#### I. Introduction to the Unit.

- A. The activities of the probation and parole officer may be classified generally under six headings:
1. Investigative (has already been discussed in terms of the pre-sentence investigation).
  2. Supervisory.
  3. Development and use of community resources.
  4. Liaison.
  5. Public information and education.
  6. Administrative.
- B. Obviously, these categories of activity are not mutually exclusive; they are interdependent and often carried out (at least in part) simultaneously.
- C. Collectively, these activities are intended to address the attainment of correction's dual goals and responsibilities:
1. The protection of the community through regulation of client's behavior.
  2. Rehabilitation and social reintegration of offenders.
- D. In discussing supervision as an agency responsibility and the officer's role, attention must be paid to the following:
1. The nature of agency responsibility for supervision.
  2. The officer as a representative of the agency.
  3. A discussion of the varying conceptions of the officer's role, emphasizing that he is not a psychiatrist, lawyer, minister, etc.
  4. Some of the concepts underlying supervisory practice.

## II. Agency Responsibilities as Bases for Supervision.

- A. The probation and parole officer is an agency representative, not an independent agent.
- B. As a professional employee of the agency, he has the obligation to carry out delegated responsibilities consistent with agency policy.
- C. In terms of the probation and parole agency's responsibility for offenders under its jurisdiction in the community, three basic obligations can be identified:
  1. Surveillance.
  2. Service.
  3. Counseling.
- D. Surveillance.
  1. When a person is placed on probation or parole, he is subject to various conditions to which he has agreed to conform his behavior.

\* Discuss some of the conditions of probation or parole used in your jurisdiction.
  2. Authority to enforce these conditions is vested in the court and/or releasing authority and their agents.
  3. Such authority stems from the statutes which obligate the court or releasing authority to take necessary measures within limits to protect society.
  4. Surveillance involves the skillful use of authority, ascertaining the probationer or parolee's conduct, activities, and whereabouts to control his behavior in such a manner so as not to impede the treatment process.
- E. Service.
  1. Probation and parole have become defined as helping processes.
  2. The agency and the officer have an obligation to determine the extent to which the problems confronting the client and his family may be alleviated by use of available agency and community resources.
  3. These services must be mustered in a fashion that the client will be able to utilize them effectively.

## F. Counseling.

1. Counseling services provided by the probation and parole agency (through its agents) make it possible to perform the surveillance and service functions effectively.
2. Clients must be helped to understand and face up to the existence of personal and/or environmental problems, their part in creating or contributing to them, and taking part in determining and implementing action to solve them.
3. Through its administration of counseling services the client must be given to understand society's expectation that he conform to minimal demands and that the agency is committed to helping him do so.

## G. Discussion of Section.

- \* Summarize for the class the basic agency responsibilities to the community and its clients under supervision to provide surveillance, services, and counseling.
- \* Involve the class in a discussion of how these responsibilities interrelate.

III. What the Probation and Parole Officer Is and Is Not.

- A. The probation and parole officer, as a representative of the agency for which he works, works with a diverse group of people experiencing a range of problems in a number of situations.
- B. Because of the diversity of his activity, it is important that the officer have a clear understanding of his role.
- C. Role confusion.
  1. It has been observed by Dale Hardman and others that there is often confusion in the role of the probation and parole officer by himself and others.
  2. Some of the reasons for this confusion are:
    - a. Lack of agency definition of the officer's responsibilities.
    - b. Depending upon community services available, the worker may try to fill in the gaps.
    - c. The particular worker may have talents in doing certain kinds of things and concentrate on these activities, to the exclusion of other important tasks.
    - d. The worker might have some pet ideas about the kind of "help" that is most effective, etc.

3. Some examples of the operating styles that sometimes emerge are suggested by Dale Hardman.
  - a. The officer who seems to turn into a one-man "vocational counselor and employment agent".
  - b. The "marital counselor" type who knows "in his heart" that the best thing he can do is to concentrate his efforts on counseling client's rocky marriages.
  - c. The "psychoanalyst" type who concentrates on uncovering subconscious and unconscious hangups.
  - d. The "father-confessor" type concerned that complete ventilation and a sermonette is the basis for change.
  - e. The "sheriff" type who sees his role as primarily one of surveillance to "catch" a person in violations.
4. These examples are extreme but they point out the kinds of traps that a worker might fall into and, perhaps in the process, attempt to provide services for which they are not competent, and deny other responsibilities.

\* Discuss just what the probation and parole officer is and is not, in terms of the previous description.

D. What the Probation and Parole Officer Is.

1. One definition of the probation and parole officer's role suggests that his sole function is to help the offender comply with the orders of the court or the releasing authority.
2. Another, less restrictive, suggests that the officer's role is that of planning and carrying out necessary actions on his total caseload to determine and redetermine eligibility for continuing community or institutional status for the client and by which he provides or arranges for services to the client in a prompt, orderly, and accurate manner.
3. Both definitions point up the worker's obligation to insure continuing eligibility for probation and parole or institutional services in terms of compliance with the conditions of his status.
4. Within the parameters of the latter definition, the following kinds of activities for the probation and parole officer are suggested:
  - a. The relationship between the worker and the client is an enforced relationship based on authority.

But, depending on how he uses his authority, this relationship can be either destructive or constructive and helpful.

- b. Because of his knowledge of the case, the worker provides a tangible service by interpreting the things that must be done to comply with the conditions of his status and suggest alternative ways to meet these obligations.
  - c. The worker can provide quite a lot to the client through his counseling by extending directions, guidance, and support in identifying problem areas which confront him and in doing something about them.
  - d. As an integrator of community services, the worker can assist clients and their families in securing helpful services.
  - e. He can be of immense help by assisting clients and their families in mobilizing their own personal resources to deal with their problems.
  - f. The worker provides a real service as he assists his clients in taking increasing responsibility for life-decisions and in solving problems in socially acceptable ways.
5. The probation and parole officer can, within the parameters of his responsibilities and authority relationship with the offender, provide quite a lot of service and assistance.

#### IV. The Constructive Use of Authority.

- A. Because the relationship between the officer and the client is one of authority, it is useful to discuss elements of the constructive use of authority in connection with an exploration of the officer's role.
- B. Hardman has suggested attention be paid to the following factors in the relationship with the client (discuss each with class):
  1. Whenever authority is used, it should be used openly and honestly.
  2. Whenever the officer does anything to, for, or about a client, the client should be informed about it.
  3. The officer should avoid the overuse or underuse of authority delegated to him by the agency.
  4. The officer should make it clear to the client where his authority starts and stops.

5. The officer should clarify to the client which decisions are the officer's to make and which are the clients to make.
  6. The officer must defend the clients right to make decisions that are his and insist that he accept responsibility for them, just as the officer must accept the responsibility for the decisions that are his to make.
  7. In the exercise of his authority, the officer must manage it with empathy and understanding for the client and his total needs as an individual -- a person worthy of the officer's interest and respect.
- C. Authority exercised in this fashion is the basis of the helping relationship because it is honest, constructive, and facilitative of the client's growth and development.

V. Class Discussion.

- A. Involve the class in a discussion of the kinds of personal attributes required of the probation and parole officer to function in his role as described.
- B. Ask the class for suggestions as to the ways that probation and parole agencies can help clarify the probation and parole officer's role and help him operationalize it.

ASSIGNMENT

Required: Text, pp. 205-223.

Hardman, Dale G., "The Function of the Probation Officer," Federal Probation, September, 1960.

Suggested: Zeitoun, Louis, "Parole Supervision and Self-Determination," Federal Probation, September, 1962.

Thomas, Edwin, "Role Problems of Offenders and Correctional Workers," Crime and Delinquency, October, 1966.

## UNIT X

### CONCEPTS OF TREATMENT: THE DEVELOPMENT OF CASE PLANS

- Unit Objectives
- (1) To discuss the concept of "treatment" with reference to probation and parole.
  - (2) To discuss the implementation of these concepts in relation to the development of case plans.

#### 1. Concepts of Treatment in Probation and Parole.

- A. "Treatment" is an often used word meaning many things to many people, however, most commonly:
1. People think of "treatment" in terms of a malady, the causes of which are generally known, and for which there are clear prescriptions for cure available;
  2. They envisage a "patient" coming on his own free will, asking for help;
  3. The "treator" is thought to offer services on a "take it or leave it" basis.
- B. However, "treatment" as it is thought of in the context of probation and parole supervision does not fit with these kinds of perceptions or arrangements.
1. There are no specifics-no recommended true, tried, and proven medications.
  2. The "malady" takes on as many forms as there are clients.
  3. The "patient" is often unwilling and is sure that he can't be helped because he needs no help.
- C. Human behavior does not yet lend itself, within the boundaries of present knowledge, to the sharpness and sureness of a mathematical equation.
- D. There are, however, some paths that can be charted leading people to a relatively more comfortable and productive life that the probation and parole officer uses to assist his clients based upon:
1. A real, practical and intimate knowledge of the social milieu of which his clients are a part:
  2. A knowledge of the offender as a basis for assessing the impact of the environment upon his behavior;

3. A knowledge of the community and its resources; and
4. Skill in helping the client recognize the need to govern his behavior commensurate with the conditions imposed.

E. Realistic objectives toward which officers can work are:

1. Giving the offender a positive relationship and practical support in dealing with problems;
2. Manipulating the environment (within reason) in the client's behalf;
3. Successful referrals to community agencies for helpful services;
4. Mobilize adaptive powers and capacities of clients and their families;
5. Assist in the strengthening and sustaining of family life, to work towards its improvement where possible; and
6. To help clients find more acceptable and rewarding social connections in the community.

- F. The probation and parole officer organizes and orders his efforts in the process of developing case plans based upon communications with the offender and analysis of information about the case.

II. Developing Case Plans and Identifying Strategies for Intervention.

- A. In the development of case plans and identifying strategies for intervention, six basic things must be accomplished:

1. Developing a mutual understanding of the relationship among the officer, the client, and his family;
2. Clarifying the roles of each in relation to the probation or parole process;
3. Delineating immediate goals or objectives in the case;
4. Generating acceptance of these goals;
5. Devising plans by which to achieve these goals; and
6. Establishing time limits for the realization of goals consistent with the client's ability to achieve them.

B. Mutual understanding of the relationship.

1. At the time of disposition, it can be expected that the client will have some confusion and apprehension about his relationship with the supervising officer.

2. A first step in developing operational plans and getting the client involved in the process is to explore with him the supervisory relationship.
- \* Make reference to Unit IX materials on the relationship and the constructive use of authority.
- C. Clarifying roles in relation to the probation or parole process
1. The officer and client must work towards an understanding of what probation and parole imply.
  2. The client and his family must understand that the officer is not a glorified baby-sitter.
  3. Must be understanding of the officer's responsibility to carry out the order of the court or releasing authority and to assist the offender through his counseling and service functions.
  4. Likewise, there must be developed on the part of the client an understanding of his obligations and his responsibility to attain them for continuance in the community.
- D. Delineating immediate goals or objectives in the case.
1. There is a need to specify with considerable clarity the immediate goals commensurate with the unique needs of the case that must be attained.
  2. The client needs to know (and be involved in defining) the things that need to be accomplished immediately for continuing eligibility on probation and parole.
- E. Generating acceptance of goals.
1. Obviously, if goals are to be realized, the offender must be involved in defining their significance and come to accept responsibility for achieving them.
  2. For example, an immediate goal may be getting a juvenile probationer back in school. It is important to do more than tell him he must report to school; if school re-entry is to take, the client must understand the significance of his enrollment and accept that he has responsibility for making it work.
- F. Devising plans to achieve goals.
1. It is important that the client be involved in determining the most appropriate ways to go about achieving goals.
  2. When the client is really involved with the officer in working out plans, opportunities for the development of a therapeutic relationship and mutual commitment to the restorative process are significantly enhanced.

3. Additionally, it is possible that clients may come up with approaches or plans of action in realizing goals that the officer has failed to identify.

The probation and parole process must make use of every opportunity for constructive input by the client.

G. Establishing time limits for the realization of immediate goals.

1. Once goals have been identified and plans for their attainment developed, there need to be some time limits set within which it is reasonable to expect they will be accomplished.
2. The offender should obviously be involved in establishing these limits.
3. If, at the end of a specified time, immediate goals have not been achieved, then there is need for re-evaluation concerning progress in the case and the steps that need to be taken for continuing eligibility.

H. The development and operationalization of case plans is a process which must involve the client.

III.

Class Discussion.

- A. Involve the class in a discussion of the importance of planning for the supervision of clients in probation and parole.
- B. Ask the class to identify the kinds of misconceptions that offenders and their families might have about probation and parole. Use these as points of discussion re: the relationship.
- C. Involve class in identifying the kinds of things that might be done to sensitize probation and parole officers to the concerns of clients and how they might be implemented.

ASSIGNMENTS

Required: Text, pp. 223-267.

Keve, Paul W., Imaginative Programming in Probation and Parole, University of Minnesota Press, Minneapolis, Chapter I.

Suggested: Rheiner, Alexander, "The Period of Probation," Federal Probation, September, 1962.

Shireman, Charles H., "Casework in Probation and Parole: Some Considerations in Diagnosis and Treatment," Federal Probation, June, 1963.

Kelling, George, "Caught in a Crossfire of Concepts-Corrections and the Dilemmas of Social Work," Crime and Delinquency, January, 1968.

## UNIT XI

### THE WORKER'S ROLE IN DEVELOPING SERVICES

- Unit Objectives:
- (1) To identify and discuss the worker's obligations to make use of community services commensurate with the needs of his clients.
  - (2) To identify the kinds of services which exist in the community.
  - (3) To suggest the officer's role in the development of new and needed services.

#### I. Introduction to the Unit.

- A. The development and effective utilization of community services is a basic function and responsibility of the probation and parole officer.
- B. As a prerequisite to the performance of this function, he must:
  1. Understand the obligations he has as an "integrator of community services;"
  2. Have a knowledge of the kinds of service resources which exist in the community;
  3. Know when and how services may be mobilized to meet the needs of the clients he supervises.
- C. Additionally, the officer has the responsibility of identifying the need for new services and influencing their creation.

#### II. Some Basic Obligations.

- A. One of the underlying rationales for the utilization of probation and parole as correctional alternatives is the opportunity they provide for solving problems in the context of real life, drawing on the range of human services existing only in the community.
- B. The probation and parole officer has the responsibility for analyzing the needs of his clients and mobilizing the kinds of assistance required to aid in adjustment to community living and functioning.
- C. Remembering the discussion of "What the officer is" in Unit IX, there is an important "rule of thumb" to remember regarding the officer's role in the provision of direct services to his clients.

The worker should not attempt to provide direct-services to clients for which he is professionally incompetent, or that others are better able to provide.

- D. A common response to this rule of thumb might be, "That's great to say, but our clients have needs for which services aren't available and so we have to try to fulfill them as best we can even though we are not professionally competent to do so."
- E. In response to that kind of comment, the consequences must be understood:
  - 1. An attempt to provide services critical to the client's adjustment for which the officer is professionally incompetent may work a serious disservice to him, the agency, and the community.
  - 2. Such an approach denies the officer's responsibility to discover existing but unknown (to him) services in the community, or getting involved in developing needed but non-existent services.

\* Provide the class with an example of an officer trying to provide services to an offender for which he was professionally incompetent and the problems it created.

### III. Service Commonly Required and Where They Exist.

- A. Working with clients and their families, the officer is commonly faced with problem areas and needs for services that might be grouped as follows:
  - 1. Educational-Vocational services.
  - 2. Leisure time resources.
  - 3. Individual and family diagnostic and counseling resources.
  - 4. Financial and legal assistance.
  - 5. Physical and mental health services.
  - 6. Residential care resources.
- B. Educational-Vocational Services.
  - 1. Problems.
    - a. Client underemployed or unemployed.
    - b. Inadequate vocational adjustment.

- 1) Lack of skills; educational attainment.
- 2) Problems of motivation.
- 3) Problems in interpersonal relationships.

2. Resources.

\* Discuss kinds and patterns of special services under each.

- a. Bureau of Vocational Rehabilitation.
- b. School system (including adult educational services).
- c. State Department of Employment Security.
- d. Economic Opportunity Programs.

C. Leisure time resources.

1. Problems.

- a. Problems of inappropriate use of leisure time.
- b. Fear or inability to get involved with leisure time programs.
- c. Lack of skill and experience.

2. Resources.

\* Discuss each in terms of special services offered.

- a. YMCA and YWCA outreach programs.
- b. Big Brother and Big Sister programs.
- c. Community Center Programs.
- d. Volunteer groups, etc.

D. Individual and family diagnostic and counseling programs.

1. Problems.

- a. Emotional problems.
- b. Marital problems.
- c. Problems in family relationships.
- d. Problems in the area of religion.

2. Resources.

\* Discuss each in terms of special services offered.

- a. Public welfare and family service agencies.

- b. Private family service agencies.
- c. Child guidance centers.
- d. Community mental health centers.
- e. Area Council of Churches.
- f. Commercial professional services.
  - 1) Marriage counselors.
  - 2) Psychiatrists, etc.

E. Financial and legal assistance.

1. Problems.

- a. Inadequate finances.
- b. Problems of financial management.
- c. Legal problems.
  - 1) Inability to afford legal services.
  - 2) Lack of information about availability and access of legal services.

2. Resources.

\* Discuss each in terms of special services offered

- a. Public and private welfare agencies.
- b. Sectarian social service agencies.
- c. Family service agencies and others with debt-adjustment services.
- d. Commercial fee debt adjustment agencies.
- e. Legal aid.
- f. Local Bar Association.
- g. Private lawyers.

F. Physical and mental health services.

1. Problems.

- a. Suspected health problems (e.g., client with hearing or sight problems).

- b. Continuing physical complaints, dental problems, etc.
- c. Untreated injuries discovered.
- d. Emotional problems reported to or detected by officer.

2. Resources.

\* Discuss special services afforded by each.

- a. Lion's club (eyesight program).
- b. Welfare and social service agency programs with authority to contract for medical and mental health services.
- c. University Medical Schools and Hospitals.
- d. Local medical association.
- e. Mental health programs.
- f. Physicians, clinics, hospitals, etc.
- g. Public Health Nurse.

G. Residential care resources.

1. Problems.

- a. Needs for placement outside the home.
- b. Needs for homemaker assistance in the home.
- c. Problems of financing adequate housing.

2. Resources.

\* Discuss special services provided by each.

- a. Welfare and social service agency facilities.
  - 1) Foster care homes (single placement).
  - 2) Group home programs.
  - 3) AFDC assistance.
- b. Visiting homemaker service.
- c. Local housing authority low-rent housing programs.
- d. Halfway house programs.
- e. Day care programs.

## H. Other Problems.

## 1. Problems.

- a. Alcoholism or problem drinking.
- b. Drug abuse problems.

## 2. Resources.

\*Discuss Special Service's afforded by each.

- a. Alcoholics Anonymous.
- b. Synanon and other narcotic self help groups.
- c. State and local alcohol councils and referral units.
- d. Hospital programs designed for alcohol and drug problems.

1. These listings of problems and potential resources for assistance in the community are less than complete but do suggest the kinds and location of services the officer should be looking for and aware of.

IV. The Worker's Responsibility for Discovering Resources and Mobilizing Them.

- A. A knowledge of community services is one of the most important tools the probation and parole officer has in his "kit."
- B. To do his job well, the worker must know what exists and how to gain access to them on behalf of his clients.
- C. It is a basic responsibility of the officer to communicate with the representatives of other human service agencies, search out professional directories, and otherwise uncover the information he needs.
- D. It is unfortunate but true that many probation and parole officers have "traded in ancient knowledge" about "who does what" and haven't taken the initiative to find out what has happened in the creation of new services delivery systems in the community.
- E. The probation and parole officer can help correct this by:
  1. Securing the assistance of personnel within his agency in developing a list of the resources that each has found and used in behalf of clients.
  2. Make arrangements to meet with representatives of other human service agencies for the purpose of identifying available services in the community and perhaps establishing a directory.

V. The Worker's Role in Developing New and Needed Services.

- A. The probation and parole officer is an agent of client and community development and change, thus, he is in the business of assisting in the evolution of new and needed human services.
- B. Within the scope of his responsibility, he can accomplish the following things:
  - 1. Identify (on the basis of his caseload activities) the need for services which do not exist or are not available to his clients.
  - 2. Share such information with his agency along with his ideas of what might be done to resolve the problem.
  - 3. In his association with the representatives of other human service agencies he might encourage or interest them in the extension of new services having a logical connection with their existing program and authority.
  - 4. He can, in connection with his public information and education activities, inform community groups of needs for new services.
  - 5. As a member of a professional association, he might bring to their attention and interest them in activities to provide new and needed services in the community.
  - 6. And as an informed and concerned citizen, he can exercise his right to vote and has access to his representatives in the cause of new and needed human services.

VI. Class Discussion.

- A. Involve the class in a discussion of the kinds of things the probation and parole officer might do to improve communications and cooperation among the human service agencies of the community.
- B. Ask the class to list community resources and services to meet problems of offenders which were not covered in the lecture.

## ASSIGNMENTS

Required: Text, pp. 287-295

Manual of Correctional Standards, Chapter 16, 17, & 18.

Suggested: Moeller, H. G., "Corrections and the Community: New Dimensions," Federal Probation, June, 1968.

## UNIT XII

### REFERRALS & MANAGING THE IMPACT OF SERVICES ON CLIENTS & THEIR FAMILIES

- Unit Objectives:
- (1) To define and identify the elements of a referral.
  - (2) To explore when and under what conditions referrals are made.
  - (3) Discuss the importance of managing the impact of referral services on clients.

#### I. Introduction to the Unit.

- A. Unit XI focused on the worker's role in developing services; it was suggested that the probation and parole officer has an obligation to:
1. Know what community services exist.
  2. Understand how they may be secured.
  3. Become actively involved in the development of new and needed services.
- B. Obviously, the development of services is not an end in itself; the purpose is to evolve and use these services to meet the needs of clients the system serves.
- C. The referral is the process by which this aim is accomplished.

#### II. What are Referrals?

- A. Referrals are much more than ordering a probationer or parolee to "go see the employment counselor," or "check out a job at the so-and-so company."
- B. A definition of referral:

A referral is the planned arrangement among the correctional worker, the client, and the representative of a community service agency for the provision of a useful service which is commensurated with case goals, and can be acceptably administered within eligibility requirements for the client's continuing correctional status.

- C. It is important to explore the elements of this definition.

- D. First, the referral is a planned arrangement.
1. Any referral made on behalf of a client or his family must be well thought through and planned.
  2. The planning must involve all parties to the arrangement -- the worker, the client, and the representative of the other agency.
  3. The only legitimate referral is a purposive one which is based upon this mutual involvement.
  4. In order to get the necessary quality of involvement, there must be understanding and cooperation of all parties to the referral from the outset.
- E. Second, a referral must result in the provision of a useful service commensurate with case goals.
1. There must be an identifiable purpose in making the referral.
  2. A referral is not made solely on the hope that the receiving agency can help, or to unload the case on someone else.
  3. The referral must hold promise for providing a real service benefit to the client and/or his family and it must fit into our total plans to bring about compliance with the orders of the court or the releasing authority and the positive adjustment of the client.
- F. Third, the referral must be something that can be acceptably administered within the eligibility requirements for the client's continuing correctional status. (Refer to Unit V)
1. The provision of the service must be something that does not jeopardize the welfare of the client.
  2. The officer must be sure that the provision of services to the client will not have the effect of causing him to regress in other areas.
  3. Nor should a referral arrangement make it impossible for the client to avail himself of services which he requires to remain on probation or parole.
- \* Discuss from your own experience problems associated with referral when these elements are not adequately considered.

### III. When Are Referrals Made and Under What Conditions?

- A. In determining whether to explore a referral, there are a number of factors to be considered:
1. Is there a service required that someone else is better able to provide?
  2. Does this referral fit into the priority of case goals?
  3. Is the agency prepared to deliver on the services?
  4. Are the client and his family prepared to make use of the service?
- B. First, is there a service required that someone else is better able to provide?
1. The officer should not attempt to provide direct services to clients for which he is professionally incompetent, or that others are better able to provide.
  2. The officer has an obligation to identify and mobilize that resource in the community that can provide best services.
- C. Second, does the referral fit into the priority of case goals?
1. Because the officer works with a complex of needs, he has to do a considerable amount of evaluating and planning with regard to the nature and timing of referrals.
  2. For example, in thinking of the priority of case goals, the officer would want to make a referral directed at the solution of an immediate goal, prior to considering referrals aimed at the realization of a long term goal.
- D. Third, is the agency prepared to deliver on the service required?
1. Too often the probation and parole officer does not determine whether the agency can deliver the services required or help prepare it for the referral.
  2. Preparation of the receiving agency is an important component of a successful referral and there are four kinds of things that the officer can do in this regard:
    - a. Contact with the representative of the receiving agency to determine availability of service needed.
    - b. A follow-up (preferably a written referral request) indicating the kind of service requested and why.

- c. Provision of information describing the client, his problem, and a summary of case activities to the point of referral, with additional information about the client that would help the worker relate to him and his situation.
  - d. Provision of whatever assistance the probation and parole officer might offer in setting up the most ideal conditions for first contact by that agency with the client.
- E. Fourth, is the client prepared to make use of the service?
1. A referral should not take place until and unless the client is prepared for it.
  2. If a referral is going to be purposive and meaningful, the client must be privy to the action and he must understand the reason for the referral and apprised of his role in the process.
  3. It is important to recognize that clients on probation and parole have fears about referral to community agencies based either on lack of knowledge about what is going to take place or on unsatisfactory experiences in the past.
  4. The officer must provide the client with support and guidance that may be required to approach the referral with a constructive outlook.
  5. In some circumstances, this may require that the officer not only talk over with them just what is going to happen, but go so far as to take them to the agency and introduce the client to the worker who will be helping him.

#### IV. Managing the Impact of Services on Clients.

- A. Once the referral is made (contrary to behavior often observed), the officer's job is not over.
- B. The referral only starts the process; the officer has an obligation to evaluate and manage the impact of services on his clients.
- C. If the client needs only the services that can be provided him through referral, then he perhaps shouldn't be on probation or parole.
- D. If, on the other hand, he needs services that the officer can provide, in addition to those things the officer can help him get through referral, then he has an obligation to retain interest in the case and needs to continually evaluate the client's eligibility to remain under supervision.

- E. Thus, in the process of making referrals to other agencies, the officer has to develop some understandings of the ways they will work together and keep each other apprised of progress in the case.
- \* Give class examples of mechanisms for coordination such as case conferences, periodic reports, etc.
- F. It is not uncommon to get more than one agency involved with the client and/or his family for the provision of needed services.
1. The officer has a continuing responsibility to see that multiple referrals do not cause overlap of services, confusion for the client and his family, or conflict and destructive competition among the service agencies involved.
  2. The officer must reflect on his referral activities and make sure that in his gusto for getting things done, he has not created some potentially destructive situations for his client, his agency, and the other human services of the community.
- G. It is easy in the process of referral -- especially when the officer gets involved in providing a variety of services for the client's total family constellation -- to get so interested in the process that he forgets about his client, who after all is his primary responsibility.
1. The officer must remember that he is trying to move his client to the point where he can start taking on expanding personal responsibility for his affairs.
  2. The officer must measure his activities and manage his referrals to that end.

V. Class Discussion.

- A. Involve the class in a discussion of the kinds of problems that can accrue to multiple referrals simultaneously if adequate planning and coordination is not exerted.
- B. Discuss with the class the ways in which relationships and potential for services can be destroyed through the improper use or misuse of referral.

ASSIGNMENT

Required: Treger, Harvey, "Reluctance of the Social Agency To Work With the Offender," Federal Probation, March, 1965.

## UNIT XIII

### CASE STUDY CRITIQUE: "THE PETER SMITH CASE"

- Unit Objectives: (1) To involve the class in a critique of the officer's activities in the Peter Smith case.
- (2) To involve the class in the development of an effective case plan.
- (3) To use this exercise as a vehicle to integrate materials presented in earlier Units.

#### I. Introduction to Task Assignments.

- A. The class will be divided into work groups of 6-8 persons.
- B. Each class member will be provided with the case record of Peter Smith (a juvenile probation case).
- C. Each work group will have the responsibility for completing a two-fold task.
1. Critique the officer's activities in the Peter Smith case with reference to the following questions:
    - a. What problems did the probation officer attempt to do something about?
    - b. Were there any problems which he did not attempt to approach?
    - c. Were there any problems that he attempted to handle that he should not have touched?
    - d. How well did he manage his relationship with the client and the client's family?
    - e. Evaluate the officer's use of authority in the case. Did he underuse, overuse, or misuse his authority? When?
    - f. Would you have handled this case in the same way? Why?
  2. Assuming that Peter Smith were placed under your supervision (knowing what you know now), develop as a group:
    - a. Case plans that should be pursued in working with Peter, his family, and the community.
    - b. Strategies that you would use to involve Peter, his family, and representatives of community resources in the planning and restorative process.

- D. Subsequent to the completion of their task assignments, representatives of the groups will be asked to report to the entire class on their findings.
- E. After receiving group reports, the instructor should lead a general discussion of significant points brought out in the exercise, making reference to basic materials covered in:

- Unit IX - Supervision in Probation and Parole.
- Unit X - Concepts of Treatment & Development of Case Plans.
- Unit XI - The Worker's Role in Developing Services.
- Unit XII - Referrals & Managing the Impact of Services on Clients and their Families.

## II. Instructor Notes.

### A. Peter's situation at time of adjudication.

1. Placed on probation for theft of \$7 from a store.
2. 14 years old.
3. Had always gotten along well in school.
4. Recently began to be truant--said he truanted because he had no money for school, school paper, and was ashamed of clothes.
5. His parents had been quarreling and all he heard was money, money.
6. Stole money from grocery where he had in the past run errands.
7. Says he had heard kids say how easy it was for "big shots" to get money.
8. Had spent \$2 of the \$7 on kids for ice cream and candy before he was caught.
9. Probation officer got the idea Peter was timid and shy and wanted to be accepted and liked by other kids.
10. Had a receptive, repentive attitude.
11. Has respect for his school teacher and wanted to go back to same school although he was ashamed.
12. Didn't want kids in neighborhood to see him come home with P.O.
13. Had some interest in athletics.

### B. The family situation at time of Peter's adjudication.

1. Peter, second of six children.

2. Father a plumber who had always been a steady worker, but has been essentially unemployed for two years and has only had odd jobs. Is drinking heavily.
  3. Mother in poor physical condition and needs immediate medical attention.
  4. Mother has been left with the responsibility of raising the children.
  5. She has vacillated from overindulgence to impatience and nagging.
  6. Both parents are Roman Catholic--mother and kids attend, father does not.
  7. Oldest brother, John, 18, unemployed, hanging around pool halls.
  8. Mary, age 13, beginning to stay out late at night which is a concern to her mother.
  9. Herbert, fourth child, needs a tonsillectomy.
  10. Paternal grandparents and father's younger unmarried brother are the only family living nearby.
  11. Family lives in a poor area of town.
  12. No playgrounds, etc. nearby.
  13. Peter associating with a smart aleck gang.
- C. General potential in case for treatment.
1. In terms of risk to the community, it was appropriate to place Peter on probation.
  2. Peter was, for all apparent purposes, a good risk that held potential for rehabilitation.
  3. There was a pretty good indication that Peter's problems were all tied in with his family's problems.
  4. It was also quite clear that the officer should be attentive to the use of community resources that would be helpful to Peter and his family.
  5. It was quite obvious that to work with Peter required that the officer work with the family and his environment.
  6. The apparent receptivity of Peter to work with the officer and to take on some personal responsibilities was there.
  7. In general, it could be said that the Peter Smith case was one worth working with and that the situation showed potential for development.

8. There is an indication, then, that we had some idea of where Peter was, what his family situation was, and enough information to start planning. There was also enough there to believe that the case would or could be amenable to supervision and help.
- D. Critique of the officer's use of authority.
1. It should be recognized that the officer does have authority in the case commensurate with the orders of the court. Additionally, he does have the responsibility to make judgments, within limits, of the things that should be done in the case to bring about a positive adjustment with Peter.
  2. The parents and other members of the family are not, however, on probation, so he doesn't have the same kinds of authority over them.
  3. He does have a legitimate reason for intervention assuming their responsibility as parents for the welfare of Peter and the need for their cooperation and involvement in reconciling the situation.
  4. At the initial interview with Peter, the officer legitimately talked about Peter's problems, tried to get him involved in some of the decision-making process about reinstatement in school, and discussed his contact with the family.
  5. It might have been useful, at this meeting, however, to have had Peter's parents in attendance to talk over with them the rules of probation and generally get a reading on their involvement in the reinstatement of Peter in school.
  6. At this time he might have then pointed out the interest of the court and his interest in the case and then made arrangements to visit with the family in their home to talk about what needed to be done to help Peter.
  7. He had the authority to cause Peter to go to school, but perhaps it might have been useful to involve the parents in the decision as to what school he should go to and the type of support that they might give Peter to assist him in his venture.
  8. On his first visit to the home, the mother and the sister were the only ones there.
  9. His explanation of his role as a "friend" to the family seemed to be a kind of denial of his authority--he was working with Peter under court order.
  10. Asked the Mother about bringing in Bureau of Catholic Charities. This was a point of intervention where the father should have been involved in the discussion.

11. Same interview--father came in. Kind of coerced him to go to the unemployment officer and accept employment out of his specialty.
12. Didn't discuss religious question with him--although already has gotten them involved.
13. Same day, kind of coerced father to go with the officer to welfare to apply for relief.
14. Same interview--asked brother John to be sent to the probation office so that some plan might be worked out with him.
15. Took father to the welfare office.
  - a. Very next day, officer contacts the Catholic Charities asking them to assume certain responsibilities in the case--no contact with parents.
  - b. Writes letter to visiting nurse and arranges for tonsillectomy for Herbert without talking to the family.
  - c. Same day, writes to Catholic Big Brothers to arrange for a big brother for Peter--no contact with him or family.
  - d. Same day, writes Uncle and asks him to come to office to get involved with family--no contact with family.
  - e. Same day, writes to Catholic Big Sisters to get one for Mary--no contact with family.
  - f. Same day, visits with Catholic Priest, discusses all of the problems of the family (without permission), sics him on father to try to get him to church--no contact with family.
  - g. Talks with John in office.
  - h. Talks with big brother and makes plans for his involvement--still with no contact with family about it or no discussion with Peter.
  - i. Suggests appeal go out from visiting nurse for milk for family--no discussion with parents.
  - j. Gets Uncle John in office and coerces him into giving \$5.
  - k. Additionally, gives the uncle a kind of order to get a job for brother John and report back in a week--no discussion or approval from family.
  - l. Foists Mr. Riley, the Big Brother, on Peter.
  - m. Tries to get brother Herbert in a Boy Scout troop.

- n. A few days later, gets job for Mr. Smith without first talking with him about it.
- o. Orders Mr. Smith to stop drinking completely.
- p. Sends him off to job interview with instructions to report back.
- q. Contact with Father Mahoney to see about progress with boy--apparently has not talked to family about this.
- r. Blow-up in school--Peter smoking.
- s. Sics doctor on boy to tell facts of life--no contact with father or mother.

E. General critique on use of authority.

- 1. In many ways the officer denied or failed to pay attention to an adequate and accurate definition of his real authority.
- 2. He used a great deal of authority that he didn't have in ordering family members around.
- 3. Failed to use the authority he had in the most constructive way; didn't involve family or Peter in decisions the way he should have.
- 4. Used coercions in a way that was not most productive.
- 5. Cut into the father's role and image--essentially relegated him to an impotent status in the family (religion, bread winner, education of boy as to birds and bees, substituted another male in his place, etc.).

F. Critique on use of community resources.

- 1. Gave the impression that he didn't really have a good knowledge of the role and use of resources.  
  
e.g., Bureau of Catholic Charities is in part a coordinating agency which could have done something about the multiple needs of the family.
- 2. Piled all of the agencies on the family without their permission and at one time. Confused family--perhaps confused agencies.
- 3. Seemed to forget the focus of his responsibility and authority--  
PETER!
- 4. Officer should use resources to build a family; not negate it.

G. Relationship with Peter and Peter's family.

- 1. Tried to become all things to all people.

2. How good was it? Peter was forgotten. Little said or observed about Peter's adjustment.
3. What about this "friend of the family" business?
4. Could have explained the kinds of things that need to happen to develop a home able to meet needs.
5. Was his relationship with the family really as good as it looked on paper?
6. Had he, perhaps unknowingly, hurt the father-family relationships, etc.?

ASSIGNMENT

Required: The probation record of Peter Smith (Handout)

PROBATION RECORD  
OF  
PETER SMITH

Summary of Court Record and Social Study.

This fourteen year old boy appeared in juvenile court on a delinquency charge (unlawful entry into a grocery store).

The court study disclosed that he was the second of six children. His parents were both native born. The father, a plumber, had always been a steady hard worker until two years ago when general unemployment set in. He had been able to get only odd jobs of late and recently began drinking to excess. The mother, now in poor physical condition and in need of medical care, had always been left all the responsibility for raising the children. She had vacillated between overindulgence and impatience coupled with nagging. Both parents were Roman Catholic, but only the mother and the children attended church; and this was a source of contention between the parents. The oldest sibling, John, age 18, was also unemployed and had taken to hanging around pool halls. The third child, Mary, age 13, was beginning to stay out late at night which was a concern to her mother. The fourth child, Herbert, needed a tonsillectomy. The paternal grandparents and the father's younger unmarried brother, a salesman, were the only relatives living nearby.

The family lived in a poor area of town in a five-room apartment on the fourth floor. There were no playgrounds nearby. Peter's associates of late had been a "smart aleck gang."

Peter had always gotten along well in school, had never been a conduct problem, but recently had begun to truant. He said he truanted because he did not have money for the school paper and had been ashamed to go to school in the clothes he had. His parents had been quarreling constantly the last six months and he had heard only "money - money" until it got on his nerves.

On that Sunday afternoon he had tried unsuccessfully to get work caddying. He knew there was money in the register of the grocery store as he had run errands for the owner. Thinking of what he could do with that money and remembering how others in his crowd spoke of how easy it was for "big shots" to get away with money, he broke into the back of the store and took \$7. He had spent \$2 on the "fellows" for candy and ice cream before the police took him in custody.

The probation officer's impression was that Peter was a shy rather timid boy, yet with a desire to be accepted and to be well liked.

He was placed on probation on May 4.

Supervision Record.

5/4 Talked with Peter immediately after the judge had placed him on probation in order that he might understand the conditions of his probation. Peter was in a very receptive, earnest mood, a little fearful but feeling that the judge and probation officer were friendly towards him. Talked with Peter about his interest in athletics in order to help him to forget the immediate problem and establish a feeling of friendly cooperation. In a short time Peter was showing spontaneous interest in the possibility of playing on his school baseball team if some equipment could be obtained through his work.

Problem of school was discussed with Peter. He was ashamed to return to his classroom after the present Court episode. The problem was presented to Peter of his possible transfer to another school and the making of new friends. It was explained to him that, of course, this was running away from the situation, and he was asked to decide whether he would rather go back and face his friends. Determined to make a name for himself again, and with a great deal of pride, he agreed to do this, particularly because he had a feeling of respect for his school teacher who had been very kind to him in the past.

P. O. went with Peter to the school where he was received by the principal. The principal and P. O. discussed with Peter the possibilities of making good grades during the rest of the spring term pending his admission to the Trade School in the fall. Asked Peter whether he wished to have P. O. go to his home in order to explain certain things to his family. Peter felt that he would rather not have "the kids in the neighborhood" see him coming home the first time with someone else, so Peter was allowed to remain at school and return home at the end of the session. P. O. then told Peter that he would go alone to the home and try to explain the situation to the mother and father.

5/6 Called at 15 Green Street. Found the mother and Betty, sister age 2, home alone. Both mother and father had been present during the Court hearing and knew that Peter had been placed on probation. Explained to the mother that the Probation Officer was to act as a friend to the family; and, although she felt so keenly disgraced by Peter's acts, Peter had excellent material in him, and P. O. needed the help and cooperation of the family. Asked the mother if she would be willing to have a representative of the Catholic Charities come in and help her with her family problems, explaining that she would be able to arrange for treatments for the mother without expense to her. She half-heartedly agreed to allow the visitor to come.

During the interview the father came in feeling very antagonistic towards the whole social system and inclined to blame his wife for Peter's delinquencies. Considerable time was spent with the father before he was willing to concede that there might be a chance to ease some of the family's distress. He finally agreed to go to the Unemployment Office and accept other work than that of his plumber's trade, spending the other days a week looking for work in his own line. The religious question was not discussed with him at this time because of his cynical attitude toward the situation.

Suggested that Mr. Smith accompany P. O. to the Public Welfare Office and explain his present situation and ask for temporary relief until he could be placed at work. He finally agreed to go with worker.

Asked that John come to the office at the Juvenile Court on the following evening so that some plan might be worked out with him. Finally left a note for John explaining to him that his help was needed in making a plan for Peter as well as himself.

Accompanied Mr. Smith to the Public Welfare Office where arrangements were made to supply the family with grocery orders until other plans could be worked out.

ABC:D

5/7 Conference with the Catholic Charities, presenting the case and asking them to assume certain elements of the family situation. They agreed to do this.

Letter to the Visiting Nurse explaining the Court's interest in the case and offering our cooperation with regard to Herbert, who is in need of tonsillectomy. (Copy on file.)

Letter to Catholic Big Brothers Association requesting a conference with the secretary regarding the type of Big Brother to be assigned at a little later date for Peter. (Copy on file.)

Letter to Mr. Fred Smith, paternal uncle, asking him to come to the office the following Thursday evening, explaining to him that his interest was needed in the family and particularly in John's (oldest sibling) problem. (Copy on file.)

Letter to the Catholic Big Sisters to ask for their interest in Mary, a younger sister, particularly explaining her need for new clothing and a recreational program. (Copy on file.)

Visited Catholic Church and discussed with the young priest the problems of the family and asked his interest particularly in Peter, but also his cooperation in trying to persuade the father to return to church. He agreed to take a special interest in Peter and to see him personally from time to time.

ABC:D

John came to the office. An effort was made to make John feel some responsibility for Peter and to get him to occasionally take Peter with him in some form of wholesome recreation. John stated that his uncle could get him work at least part time as errand boy, but that the uncle had stated that he was "sick of the whole family" and would do nothing further for them because of the father's drinking. The conferences resulted only in a feeling of cooperative interest on the part of John.

ABC:D

Called at 15 Green Street late in the afternoon and found all of the family at home with the exception of Mr. Smith. Peter reported that he was much happier at school; that the teacher had been "just swell" to him; but that the fellows had teased him about his experience. He is planning to caddy over the weekend so that he may earn the fifty

cents required each week toward the \$2 restitution.

Mrs. Smith stated that her husband was working three days a week for the city to pay for the rent and food, but she expects that he will get the money somewhere and go on a bat over the weekend.

Miss Clark, a representative of the Catholic Charities, had been to see Mrs. Smith earlier in the day and Mrs. Smith had agreed to attend the clinic with her. She had also given the family some clothing, which had helped to pick up the family morale. ABC:D

5/12 Letter received from Catholic Big Brothers suggesting Mr. Tom Reilly, a young college man who had played on the football team in college and was now an automobile salesman, as a Big Brother for Peter.

Telephone message from Visiting Nurse thanking Court for their offer of cooperation and stating that plans were going ahead for physical care of the children. Mention was made that some of the children were undernourished and that there is need for more milk in the home.

Letter to the Visiting Nurse suggesting that an appeal be made to one of the service clubs for milk to be sent to the Smith family. (Copy on file.) ABC:D

5/14 Mr. Fred Smith, paternal uncle, came to the office. His attitude was one of annoyance of being dragged into the Henry Smith family troubles. An appeal was made to him on the grounds that it would be greatly to his credit if Peter and John could be helped to be useful citizens instead of becoming involved in further delinquencies. He responded to this appeal but felt rather hopeless about the situation. When he was approached on the subject of a job for John, he stated that John wasn't much good and he did not want to be responsible for him. John's expressions of admiration and respect for the uncle were repeated to him, and he finally agreed that he would do what he could to "help the kid"; but he wanted worker to understand that he could not be constantly annoyed. He was to let worker know within a week's time the possibilities of a job for John. An athletic outfit for Peter was then approached. He finally gave worker \$5 to "give the kid a start" but made it very plain that nothing further was to be expected of him.

Later in the evening called at the Catholic Boys' Club and met Mr. Reilly. He was very enthusiastic about becoming a Big Brother to Peter. Explained to Mr. Reilly that the family difficulties would take long and patient care, and that he must be prepared if he undertook the work, to carry his enthusiasm over a period of time; that nothing was more dangerous to a boy than to have a young man interested in him and have his faith built up and then to have it dropped. After some consideration, Mr. Reilly agreed to accept the problem. In discussing the family with him, worker suggested the possibility of a Boy Scout troop for Herbert and he agreed to also undertake this contact.

Later Peter arrived and was introduced to Mr. Reilly. He was extremely ill at ease and after a very short conference it was suggested that Peter and Mr. Reilly go to the movies. Mr. Reilly had agreed to

this plan previously.

ABC:D

5/19 While visiting an apartment house on the Salerno case, learned from the janitor's wife that her husband had been taken to the hospital that day seriously ill, and would have give up his job. Asked her for the address of his employer. Immediately went to the realty corporation and talked with Mr. Blake. Explained to him the excellent work record that Mr. Smith had had previous to his unemployment, also the good qualities of the wife, and asked that Mr. Smith be given an interview for the janitor's place. Explained to him how valuable it would be to him to have a plumber and also that Mr. Smith was a good handyman. Mr. Blake agreed to interview Mr. Smith if he could be brought to his office immediately.

Called at 15 Green Street. Learned from Mrs. Smith that her husband had been doing better lately but had had one drinking spell. Mrs. Smith also reported that Peter had worked the previous weekend on the golf links and had done very well. Gave worker \$1 of his money toward the restitution ordered by the Court.

Enlisted Mrs. Smith's cooperation in the possibility of the janitor's job. The job pays \$60 a month and room rent in a very livable five-room apartment. Located Mr. Smith in a nearby poolroom. He agreed to go to apply for the job immediately but was not enthusiastic over the result; said he did not believe he could get it. Told him that he must absolutely stop drinking. He felt that he could do this as he had not been drunk at any time but had been drinking "to keep his spirits up." Sent him to Mr. Blake's office with instructions to report back later in the day if he secured work.

ABC:D

5/20 Mr. Smith called at the office with the good report that Mr. Blake was going to give him a trial and full of promises to make good.

ABC:D

5/26 Conference with Father Mahoney, who felt very much encouraged about his contacts with Peter. Said the boy had asked him very intelligent and very searching questions about religion.

ABC:D

5/27 Telephone call from the principal of the school stating that Peter had been found smoking in the basement, and that the principal was keeping Peter in his office. Worker called at the school and had a talk with the principal and Peter.

Peter explained his smoking by the fact that the boys had seen him talking to the priest the previous Sunday and had called him a sissy, so he had smoked just to prove to them that he was not. Explained to Peter how much harm this experience had done him in contrast to the possible fear of the boys' calling him names and tried to get him to show them on the baseball field or through athletics that he is not a sissy. Peter agreed not to repeat his smoking. He asked not to be transferred to a new school, and the principal agreed to this. The principal stated that Peter's work had been fair and that he was disappointed to have to call in the probation officer because of the smoking episode.

Peter told worker that the family was moving at the end of the week to the apartment house where his father had a new job. He especially asked that Mr. Reilly not be told of his smoking, as Mr. Reilly was going to take him to the League game the following Saturday. Promised Peter not to tell Mr. Reilly but suggested that Peter talk it over with him himself and get the view point of an athlete on what smoking would do to a fourteen year old boy. Told Peter that worker would come to his new home on the following Tuesday afternoon and asked him to go directly home from school.

While at the school talked with the school nurse and called to her attention the doctor's report that Peter needed his teeth cared for. She promised to make an appointment with the clinic. ABC:D

6/2 Called at 20 Spruce Street, where Mr. Smith is janitor of the apartment, and talked with MRS. Smith previous to Peter's coming home from school. She stated that they were very happy about their new home but she was constantly in fear that her husband would drink and spoil it all. Worker tried to build up some feeling of security and told her that she must not refer to this, and constantly believe that Mr. Smith would not lose his job. She stated that John had been able to secure a part-time job through his uncle, which was bringing in a little money. The uncle had been over to see them twice lately and had given her a little money.

Later the children came in from school, first Mary with the two younger children. Mary was very enthusiastic about a lawn party that she had been to the previous week, given by the Big Sisters, and Mrs. Smith showed with some pride sewing which Mary had done at one of the sewing classes. Herbert has joined the Boy Scouts. Mrs. Smith is still worried about John's going to the poolroom at night and is afraid he will get into serious difficulty.

Peter came in at this point. More and more as visits are made to the home, the Smith family are accepting worker not as a representative of the Court, but as a friend. Peter is enthusiastic about Mr. Reilly, who has sustained his interest and has been able to secure some new clothes for Peter. ABC:D

6/12 Called at 20 Spruce Stree. Most of the family was present. Peter reported that he had been attending the school dental clinic almost daily and that his teeth were practically all taken care of. He has been having good luck at the links lately. He says that he thinks he will graduate from school at the end of June. Peter asked if he might discuss with worker privately some things that were troubling him. Worker made an appointment with him at the Catholic Boys' Club, where Peter is now a member, to talk to him alone. ABC:D

6/16 Met Peter in the afternoon at the Catholic Boys' Club. He was reticent about talking about his problem but after some time he told worker that he had never been able to talk to anyone about physical facts in life, and that he was concerned about himself; that he had heard from the boys in the street and that he was frightened and alarmed. Told Peter that there was nothing to be alarmed about but that worker felt that a doctor should answer his questions. Peter explained that

he had been going with one of the older boys who had been telling him all sorts of tales. Told Peter than an appointment would be made with a doctor so that he might discuss quite freely with him whatever was troubling him.

6/19 Sent Peter a note telling him that Dr. Williams would see him on Monday afternoon at three o'clock and that worker would take him to his office.

ABC'D

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ABC'D

## UNIT XIV

### TERMINATION OF PROBATION AND PAROLE AND INTERSTATE ARRANGEMENTS FOR SUPERVISION

- Unit Objectives: (1) To present the general categories of termination and the reasons for termination; and  
(2) To review the Interstate Compact.

#### 1. Terminations of Probation and Parole.

##### A. Terminations of probation and parole results with:

1. Discharge upon completion of term of sentence.
2. Discharge prior to expiration of term or sentence for reason of good adjustment.
3. Revocation of probation or parole status for violation of the rules of probation or parole or the commission of a new offense.

##### B. Discharge upon completion of term or sentence.

1. The bases upon which persons are placed on probation and/or parole.
  - a. A decision of the court or releasing authority that the individual can adjust on probation or parole under supervision, does not require institutionalization, and poses no unacceptable threat to the community.
  - b. Availability of services by which to provide the necessary control, guidance, and support for the offender in the community.
2. When a person is placed on probation or parole, it is under conditions prescribed and for the entirety of the person's term or sentence.
3. If a person stays on probation or parole until the end of his term or sentence, he is automatically discharged.
4. The officer has an obligation to prepare a discharge report for the court or the releasing authority prior to the expiration of the offender's term so that they take the appropriate action and follow through on discharge procedures. (e. g., certificate, restoration of civil rights, etc.)

##### C. Discharge prior to expiration of sentence or term.

1. In most jurisdictions there are provision for discharging offenders from probation or parole prior to the expiration of their sentence or term.

2. This action is taken on the basis of the person's demonstrated adjustment in the community to the extent that the court releasing authority and the community will have reasonable assurance that the person will be a law-abiding citizen.
3. The officer has a major responsibility in making recommendations for early discharge.
  - a. He must develop materials as to the offender's adjustment that will enlighten the court or releasing authority that such action is indicated and is in the best interest of the offender and the community.
  - b. Because of the gravity of such action, the officer must know the case, have had meaningful contact with the offender and those with whom he interacts, a pleasant demeanor on the client's part is not adequate reason for early discharge.

D. Revocation of probation or parole.

1. As has been repeatedly stressed, the dual goals of corrections are:
  - a. The protection of society; and
  - b. The rehabilitation of offenders.
2. Probationers or parolees are placed under supervision in the community because:
  - a. It is felt the offender is eligible for supervision and assistance in the community.
  - b. He does not pose an unreasonable threat to the well-being of the community.
  - c. There are appropriate casework services in the community to exert the proper control, guidance, support, and evaluation that the offender needs.
  - d. It is thought that they can abide by the conditions imposed by the court or releasing authority.
3. There is the added assumption in connection with placing people under supervision in the community that there is adequate contact and evaluation of adjustment (or lack of it) to remove the offender from the community when and if he demonstrates an inability or unwillingness to fulfill the conditions of his status.
4. Revocation is the process by which this is accomplished.
5. Outline of the revocation procedure:
  - a. Awareness on the part of the officer (or the court or releasing authority) that the offender is making an unsatisfactory adjustment by reason of violation of conditions or commission of a new offense.

- b. Developing information which substantiates the violation.
- c. Notification of the court or releasing authority of the violation and what it means for the individual and the community.
- d. Placing the offender in custody, when appropriate.
- e. Hearing by the court or releasing authority as to revocation or reinstatement on probation or parole.
- f. Disposition on violation reports.

\* Discuss local practice for violation reports.

6. Awareness of unsatisfactory adjustment (violations)

- a. There are many sources on origins of information of possible violations.
- b. In his contact with the case, the officer may discover that a person has committed a violation (e.g., finds that a person has absconded, etc.)
- c. The officer may read listing of arrest reports and find that one of his clients has been picked up for an alleged offense.
- d. He may learn from collateral contacts that the offender is alleged to be violating conditions (e.g., wife).

7. Developing information which substantiates the violation or explicates it.

- a. It is the officer's responsibility to investigate and determine the substance of an alleged violation.
- b. The officer has the additional responsibility of assessing the seriousness of the violation and in the absence of definitive information (e.g., where a person has been charged but there has been no development of evidence) making a judgment of what steps must be taken before a complete investigation can be done.

8. Notification of the court or releasing authority.

- a. Subsequent to learning of a violation, the officer has the obligation of notifying the court or releasing authority.
- b. This is usually done by preparing a violation report.
- c. The report includes information about:
  - 1) Legal and objective information.
  - 2) Prior convictions.
  - 3) Present offense (what he is on paper for).

- 4) Violation (explanation of violation).
  - 5) Original and subsequent placement plan and special conditions.
  - 6) Description of adjustment.
  - 7) Contacts with offender and collateral contacts during supervision.
  - 8) Custody--where is this person now?
  - 9) Recommendation.
9. Placement of the offender in custody.
- a. Depending on the alleged violation and the offender, the officer may have to place the offender in custody pending disposition of the court as releasing authority on the violation report.
  - b. Usually, on a new offense, police have the offender in custody.
10. Hearing by the court on violation and/or releasing authority.
- a. In most jurisdictions probationers have access to violation hearings at which they might refute alleged infractions of the conditions of probation.
  - b. These are usually informal (held in the judge's chambers) and the probationer can usually have counsel representing him.
  - c. The purpose of the hearing, apart from exploring the actual violation, is to gain some information as to the general attitude and condition of the offender.
  - d. Parole revocation reports go to the releasing authority who most commonly consider the report without having the offender present.
  - e. Subsequent to taking action, the board usually has an interview with the violator when he is returned to the institution.
  - f. There are exceptions to this when the officer asks the offender be brought in for a pre-disposition interview or if the court or releasing authority thinks it is necessary.
  - g. Procedures vary in states as to whether counsel is present on behalf of the person charged with violation of probation or parole.
11. Disposition on violation reports are dependent on many things:
- a. The severity or nature of the violation.
  - b. Whether or not the violation was deliberate.

- c. The general attitude and motivation of the offender.
  - d. His general adjustment.
- II. Some General Comments About Terminations of Probation and Parole.
- A. There must be reasons for termination:
    1. A person should be discharged prior to expiration when there is good reason.
    2. Persons should be kept on probation or parole to expiration when progress evaluations give reasons that their interest and society's interest will be best served.
    3. Revocation of parole and probation should be taken when there is good reason.
  - B. The processes and procedures for making these important decisions are most productively aimed at developing the best type of information to assist in these decisions.
  - C. In probation, there has been a notable movement toward the provision of hearing regarding violation reports to provide the offender with the opportunity to refute them.
  - D. In the case of parole, boards have generally instituted procedures that allow for examination of the facts of the report (interviews with offender, interviews with attorney, etc)
    1. Constitutional considerations do not throw out current procedures and require a trial in parole and probation cases.
    2. Procedures insure (or should insure) against arbitrary methods.
  - E. Increasing concern with the system's responsibility to provide services once the system has defined the offender as eligible for probation or parole can be expected as in the near future.
- III. The Interstate Probation and Parole Compact.
- A. In 1934 Congress authorized agreements among the states "for cooperative effort and mutual assistance in the prevention of crime."
    1. Since that time, all of the fifty states have become partners in crime control through the adoption of the Interstate Compact.
  - B. The function of the compact is twofold:
    1. It serves as protection to the community through providing effective supervision and by insuring a means of retaking offenders who have violated the terms of their conditional freedom.

2. It encourages the rehabilitation of parolees and probationers by permitting their transfer to a receptive environment where their chances for success may be greatest.
- C. Statistics gathered by the Council of State Governments indicates that in the course of a year about 12,000 cases are handled under the Compact.
- D. Implementation of Compact. Under the Interstate Compact:
1. Any state may permit a parolee or probationer to go to any other state (the receiving state) if such person is in fact a resident or has his family residing within the receiving state and can obtain employment there or if the receiving state consents to such person being sent there even though the residence qualification cannot be met.
  2. The state to which an interstate parolee or probationer is transferred agrees under the compact to exercise the same care and treatment of such a person as its own state standard require for supervising its own probationers and parolees.
  3. If a state desires to retake a probationer or parolee who has left its jurisdiction under the terms of the compact, officers of that state may apprehend the person in another state without any formalities other than establishing the authority and proving the identity of the person to be arrested.
  4. Rules, regulations, and forms designed to standardize procedures and foster efficient administration have been developed and are in use by the compacting states as they process out-of-state probation and parole under the compact.
- E. Problems under the compact.
1. Quality and operation of probation and parole systems vary from state to state.
  2. Lack of facilities and personnel in some states.
  3. Decisions related to termination of probation and parole and the problems which accompany them with out-of-state clients.
- F. Constitutionality of the compact.
1. Has been upheld whenever put under court scrutiny: probably because of procedures of signing waiver, etc.
  2. Never been taken before the U.S. Supreme Court.
- G. Compact administrators association.
1. Established in 1946.

2. Has a standing committee on policies, rules, and regulations.
  3. Has established a manual.
- J. Out-of-state incarceration amendment.
1. Amendment developed which would allow compact supervision of offenders within prison walls.
  2. Purpose: to allow for incarceration of violators in receiving state which would negate big cost of returning violators.
  3. To present, only operative in three states who ratified it.
- K. Some conclusions about the compact.
1. Has problems but has been extremely useful.
  2. Use will increase as policies establishing its use are evolved by probation agencies.

IV. Class Discussion.

- A. Involve class in a discussion of the use of eligibility criteria discussed in Unit V as it relates to violation investigations, and recommendations.
- B. Involve the class in discussion of the problems and successes experienced in your jurisdiction re: the use of the interstate compact and action that might be taken to use it more effectively.

ASSIGNMENTS

Required: Text, pp. 73-80, 132-145, 351-357.

Suggested: The Law of Criminal Correction, pp. 206-211, 559-568.

Hendrick, Edward, "Basic Concepts of Conditions and Violations," NPPA Journal, January, 1965.

## UNIT XV

### CASELOAD MANAGEMENT

- Unit Objectives: (1) To explore in depth the concept of caseload management.
- (2) To detail the responsibilities of the agent and his supervisor.

#### I. Caseload Management, Definitions and General Concepts.

- A. C.L.M. is the process by which the corrections agent, as an agency representative, plans and carries out necessary actions on his total caseload to determine and redetermine eligibility for continuing community or institutional status for the client, and by which the agent provides or arranges conditions for service to the client, in a prompt, accurate, and orderly manner.
1. Agency representative. The objective of the agency and of the agency's representative have to be identical.
  2. Plans--purposeful rather than precipitous behavior. Necessary actions--as defined by agency policy (e.g., preparing certain reports for pre-sentence, violation, etc.)
  3. Eligibility. Criteria for continuing status must be set--who and when is a person eligible for probation.
  4. Client--for whom we are in business.
- B. Establishment of case goals.
1. Every recommendation for probation should have a projected plan, spelled out in terms of:
    - a. Immediate goals. Those dimensions which impinge upon the individual's perception of self and his pattern of delinquency, which can be remedied early in his probation experience (e.g., go to school regularly, find employment, find satisfactory living arrangements, limit alcohol intake, etc.). (Generally attainable within 3 - 5 weeks)
    - b. Intermediate goals. Those dimensions which emerge from attainment of immediate goals. For example, more adequate school performance, consonant with individual's ability could be expected as a result of regular school attendance. Growing responsibility in relation to self and family could be expected after a period of probation counseling. Enhanced social functioning, etc.

- c. Long-term goals. Ordinarily, we do not expect the client to have arrived at this point before discharge from probation. For instance, an individual child on probation may aspire to completion of a school program, the end of which is several years off. He should not be kept on probation throughout. Rather, upon completion of intermediate goals, planning for discharge should emerge.

C. Levels of supervision.

1. Three levels of probation supervision can be specified.

a. Intensive.

- 1) To assist in immediate planning for client's treatment program in community.
- 2) To deal with crisis situations which may arise beyond the initial point.
- 3) To deal with possible movement in directions of revocation.
- 4) Contacts minimum of once a week.
- 5) Possible high authority usage.

b. Medium.

- 1) Where client is progressing toward intermediate goals.
- 2) A period of stabilization.
- 3) A period of support and encouragement, with declining use of authority.
- 4) Period not in excess of six months.

c. Minimum.

- 1) Most middle range goals have been attained. Problems related to illegal or deviant behavior seem to have stabilized.
- 2) Client's functioning quite stabilized.
- 3) Preparation for "emancipation" discharge planning.
- 4) Maximum estimate 2 - 3 months.

Level of Supervision

Maximum	Medium	Minimum	Goal Level
			Immediate
			Intermediate
			Long Term
			Discharge

## D. Systematic case analysis.

1. Analyze case needs.
2. Classify case.
3. Establish goals.
4. Time limits.
5. What actual classification?

## E. Principles of caseload management.

1. Every agent must have a basic work plan flexible enough to allow for adjustment to additional or unexpected work; but emphasis is on basic plan.
2. Every agent should use judgment and selectivity in establishing priorities of activities in his basic work plan.
  - a. Necessary field and office interviews, indicated by needs of case.
  - b. Office work.
3. "Blocks of cases" principles.
4. Agent should be able to:
  - a. Measure the progress of each case under his supervision.
  - b. Set and adhere to time limits.
  - c. Be fully aware of the specific requirements of each case.

5. Prompt, accurate, and complete recording of the contacts and actions taken.
6. Focus on productive use of time and continuity of activities.
7. Uniformity in practice.
  - a. Staff turnover.
  - b. Fluctuation in size of loads.
  - c. Geographic considerations.
8. Eligibility must be maintained.
  - a. Responsibility for community service.
  - b. Responsibility for community protection.
9. Some problems.
  - a. Agent tends to see his work in terms of activities on his own caseload assignment.
  - b. Spiderweb supervision.

## II. Management from Standpoint of Agent.

### A. Agent's view.

1. What actions he needs to plan for and carry out.
2. When he needs to take them.
3. How well he performs these actions is of utmost importance to the agency but it is separate and apart from caseload management.
  - a. Difference between planning time for a visit and the skill that goes into the interview itself in eliciting the interpreting facts.
  - b. Difference between planning uninterrupted time for reading a record, and reading it with skill and understanding so that actions planned and taken are purposeful.
  - c. Caseload management is not an end in itself.

### B. Planning time for agent.

1. Time blocked for:
  - a. Area meeting.
  - b. Conference with supervisor.

- c. Dictation periods.
- 2. How much time for field?
  - a. Allocation of uninterrupted days or half days in the field.
  - b. Field work is not left over time from office work.
  - c. Size of load (classification scheme later.)
  - d. Location of load, and travel time involved between office and field and points between field.  
  
Query--should two agents cover some territory?
  - e. Policy decision on frequency of field contact.
  - f. Special characteristics of load.
- C. Management questions for agent.
  - 1. Tests of judgment.
    - a. Is this really necessary?
    - b. Am I choosing the best type of activity for the occasion, taking into consideration the agency, the client, and use of my own time?
    - c. Am I holding the client to the responsibility he is expected to assume and is capable of assuming when I carry out this activity?
    - d. Am I thinking and working in terms of reasonable time limits. What sorts of controls am I imposing on myself?  
  
E.g., Two to three visits when one will do.  
Visit instead of phone call.  
Verifications when information already in folder.  
Neglect some cases in favor of others.
  - 2. Use of office time.
    - a. Interviews with clients and others.
    - b. Office or "desk" work.
    - c. Fixed time for office interviews? "Office hours."
      - 1) Form letter advising clients reduces unplanned-for client contacts.
      - 2) Schedules appointments. Indefinite appointments results in no-shows.

- d. If field time is regularly scheduled and adhered to, then less difficulty in making specific appointments in office.
- e. Emergency contacts in office.
  - 1) Immediate and urgent need.
  - 2) Readiness for contact.
  - 3) Responsibility to total load.
- f. Setting priorities.
  - 1) Guard against overemphasis on difficult case.
  - 2) Think in terms of completing units of work.
- g. Buffer by receptionist--unavailable except for emergencies.
  - 1) Cannot work on all cases at once.
  - 2) Chooses blocks of cases to work on.
  - 3) Should show balance of difficult to complex.
- h. True emergency cases take precedence.

In groups decide what constitutes a true emergency.
- i. Daily functions.
  - 1) Daily statistical sheet.
    - a) Activity.
    - b) Dictation control.
  - 2) Field notebook.
- j. Importance of reading records before visits.
  - 1) Plan for each visit.
    - a) Stated objectives.
    - b) Evaluation of accomplishments.
  - 2) Stated another way:
    - a) What needs to be done.
    - b) How he plans to accomplish it.

- 3) If agent fails to think through basis of contact, he may lose focus of case, confuse client, and lose time on activities which could be directed more profitably in other cases. Definitive questions on continuing eligibility of case. If no progress:
  - a) Should there be revocation?
  - b) Should case be closed?
  - c) What about approach?
- k. Recording cases.
  - 1) Use of statistical sheet and field book.
  - 2) Use alphabetical folder for correspondence, etc.
- l. Priority.
  - 1) Cases to be transferred.
  - 2) Cases with oldest undictated material.
  - 3) Cases needed for discussion with supervisor or administrative revue.
  - 4) Cases for closing.
  - 5) Cases where small but important bits need to be dictated to bring records up to date.
3. Writing the report.
  - a. Style--simplicity, good grammar.
  - b. Formality--"professionalize".
  - c. Verbosity should be avoided.
  - d. Obscurantism.

Example: "Marvin's ambiguous feelings toward his parents will be the essential focus for helping him, and altogether we question the granting of probation for M."
  - e. Importance of describing a person.
  - f. Guard against emotionally charged words.

III. Casework Principles With Which the Supervisor Must Continually Work in Assisting Probation Officers to do Effective Correctional Counseling.

A. Identification and evaluation.

1. Identify the nature of client's problem, and obtain relevant facts, recognizing the interacting social and psychological factors.
2. Relate client's needs to eligibility requirements of the agency with appropriate reference to individualization.
3. Evaluate and interpret content of the interview.
4. Evaluate and use the resources of the individual, family, agency, and community which may alleviate or solve problem.
5. Establish realistic plans and goals with the client in terms of his capacity and the limitations of programs and community resources.
6. Willingness to understand rather than to judge.

B. Caseload management questions.

1. Is this contact really necessary?
2. Is this the best method to get the information? (letter or phone call)
3. Is the client being used to his greatest capacity in this contact?

C. Use of field time.

1. Plans visits by blocks.
  - a. Geographic propinquity.
  - b. Regard for conservation of time.
2. Considerations in determining:
  - a. Age.
  - b. Physical and/or mental limitations.
  - c. Home responsibilities.
  - d. Transportation.
  - e. Trustworthiness of client. (classification later)

3. Consistently reviews his decision as to location of next interview.
  4. Difficulties of prearranged home visits.
    - a. Agent may be delayed--hence frustration.
    - b. Client "prepared".
    - c. But reduces number of no-shows.
- D. Questions related to agent and information necessary for administrative decision making.
1. How many cases require:
    - a. Maximum supervision.
    - b. Medium supervision.
    - c. Minimum supervision.
  2. In a balanced caseload, how many of each type.
  3. Projection of additional staff.
  4. Does policy impede effective operations?
- E. Dealing effectively with people--the essence of good job supervision.
1. Must understand the psychology of his staff.
    - a. What motivates them.
    - b. What gives them satisfaction.
    - c. What causes resentment and resistance.
    - d. What leads to frustration and a sense of failure.
  2. Understanding is only a first step.
    - a. Sensitivity to the needs of his staff.
    - b. Recognizes the human problems of his workers.
    - c. Has skill to deal with them constructively.
    - d. Likes people and enjoys working with them.
    - e. Tight control and direction vs. sharing in decisions.

- F. How to supervise.
  - 1. Assist in achieving goals.
  - 2. Listen.
  - 3. Ask questions.
  - 4. Don't jump to conclusions.

IV. Summary.

- A. Caseload management involves two specific areas.
  - 1. Agent plans and performs actions within the framework of his total caseload in order to evaluate client's eligibility for continuing community or institutional status.
  - 2. Agent provides or arranges conditions for appropriate services for his client.
- B. Successful caseload management depends upon:
  - 1. Efficient agent performance in correctional counseling.
    - a. Planning time.
    - b. Accurate judgments about client.
    - c. Efficient use of office time.
    - d. Setting priorities.
    - e. Concise, objective report writing.
  - 2. Effective supervision of the field agent.
    - a. Determination of type of case supervision required.
    - b. Effective handling of staff.
      - 1) Balancing agent's caseload.
      - 2) Projection of additional staff.
      - 3) Evaluation of policy as it contributes to performance of agency goals.
    - c. Sensitivity to staff.
    - d. Assisting staff in achieving goals.

ASSIGNMENT

Required: Gronewold, David H., "Supervision Practices in the Federal Probation System," Federal Probation, September, 1964.

Loughery, Donald L., "Innovations in Probation Management," Crime and Delinquency, April, 1969.

Suggested: Nicholson, Richard C., "Use of Prediction in Caseload Management," Federal Probation, December, 1968.

Glaser, Daniel, "The New Correctional Era," Crime and Delinquency, July, 1966.

## UNIT XVI

### NEW DIRECTIONS IN PROBATION AND PAROLE

- Unit Objectives:
- (1) To acquaint class with innovative approaches being used and tested in probation and parole;
  - (2) To indicate future directions in probation and parole suggested by such programs;
  - (3) To involve class in a discussion of their views of the future directions in probation and parole.

#### I. Introduction to the Unit.

- A. In discussing new directions in correctional programming, it must be recognized that innovation is often met by personal and institutional resistance to change.
- B. Newman in his materials on Interviewing has suggested some of the reasons used "for staying the way we are" that are often used to avoid trying new or different approaches in working with offenders.

\*Discuss each of the following "reasons" and encourage class discussion.

1. It is not in the budget.
  2. It will not work in our department.
  3. We have tried that one before and it didn't work.
  4. We have never done that kind of thing before.
  5. The change is too radical.
  6. We don't have the time to do that kind of thing.
  7. Our department is too small for that kind of thing.
  8. It will make our system obsolete.
  9. It is way ahead of our time.
  10. We are not ready for that.
  11. We have been doing alright without it.
  12. The board, the commission, the court will not buy it.
- C. In particular circumstances, many of these "reasons for staying the way we are" have validity, however, very often they are used as excuses to avoid reasonable change.

- D. Administrators, officers working in the field, and those who intend to become professionally involved in corrections, must view corrections as a dynamic field; they must be willing to evaluate the effectiveness of "what they are doing" and take part in evolving programs and techniques which hold promise in attaining the goals of corrections. And they must be willing to learn from others who have tried new ways of accomplishing old objectives.
- E. During the past few years, a number of new approaches in working with probationers and parolees have been developed in the United States which have implications for the new directions of corrections.
- F. Many of these programs can be identified under the following categories:
1. Special casework approaches.
  2. Special groupwork programs.
  3. Special purpose projects.
  4. Projects involving helped clients as staff.
  5. Programs involving citizen participation.
  6. Programs involving inter-agency cooperation and participation.
- G. During this Unit, examples of these will be identified for the purpose of getting the class involved in a discussion of their views of "new directions in probation and parole" and the kinds of things that should be considered in improved programming.

## II. Special Casework Approaches.

- A. Over the years considerable attention has been given to success in supervision relative to size of caseload, differentiation of caseload for intensity of supervision, and assignment to caseload based upon the personality and operating style of the officer and the needs of the offender.
- B. The following projects relate to these concerns:

Saginaw Project (Reference: Paul Keve, Imaginative Programming in Probation and Parole, University of Minnesota Press, Minneapolis, 1967, p. 54)

Effort to show what could be accomplished with caseloads of adult probationers when kept to a size of no more than 50 units a month and with increased professional staff qualifications.

Officers worked with total family environment of offenders and paid increased attention to probationer employment and

work adjustment, training needs, etc.

Evaluation of project indicates that despite increased use of probation by the courts (increased 7% over the control period), failure rate was reduced.

California Base Expectancy Scoring Method (Reference: Keve, p. 40)

Method of assigning adult parolees to different levels of supervision based upon scoring in twelve risk factors thought to have predictive value for adjustment on parole.

Research accompanying program shows that low risk cases handled under minimal supervision are as successful as similar cases handled under usual arrangements.

California Community Treatment Project (Reference: Keve, p. 43.)

Project located in Stockton and Sacramento, California; take cases from California Youth Authority.

Juveniles classified into three main groups: high maturity; middle maturity; and low maturity.

Resulting groups are divided into a total of nine classifications.

Once classified, they are worked with in caseloads of twelve or less with officers selected for interest and adeptness in handling the particular type of children assigned to him.

Project intended to determine how many more cases can be safely handled in the community under matching arrangements as opposed to the more costly alternative of expanded institutions.

III. Special Groupwork Programs.

- A. Increasing attention has been paid to a re-examination of the one-to-one approach in working with probationers and parolees as the "treatment of choice."
- B. One of the most significant alternatives being used and tested is the group method of supervision which appears to have improved effectiveness for the social reintegration of many offenders.
- C. The following are two projects which relate to evaluation of the effectiveness of group methods:

Minnesota Adult Group Parole Supervision Project (Reference: Mandel and Parsonage, "An Experiment In Adult Group Parole Supervision," Crime and Delinquency, Vol. 11, No. 4, October, 1965)

An 18-month controlled experiment with male adult parolees comparing adjustment of those supervised exclusively in biweekly group meetings with the adjustment of those supervised individually.

Parolees assigned at release from prison to the experimental group and two control groups on a "group frequency matching" basis for nine factors.

Comparisons between groups made on the basis of social adjustment ratings and months-on-parole without revocation.

On overall parole adjustment, experimental group (parolees supervised via the group method) was significantly more successful than either control group.

Group Counseling with Juveniles by Staff Without Professional Training in Groupwork (Reference: Faust, Crime and Delinquency, Vol. 11, No. 4, October, 1965.)

Project in the Franklin County Juvenile Court, Columbus, Ohio, to evaluate the effectiveness of group work with juvenile probationers by staff without professional training in group work.

Project conclusions:

Probation officers without professional group work training can function effectively in a limited group counseling program.

A substantial number of juvenile probationers can benefit significantly from group counseling.

The effectiveness of probation officers can be much improved by use of group counseling as a supervisory technique.

#### IV. Special Purpose Projects.

- A. One of the problems often confronted in working with clients on probation and parole is that of motivation; it is difficult to get the client interested in activities or services having positive implications for his adjustment.
- B. One of the factors associated with this problem is the lack of imagination with which services are often packaged.
- C. In the past few years, several projects have been developed which provide services to probationers and parolees in imaginative ways.
- D. The following examples involve juvenile probationers, however, they suggest important factors to be considered in the development of special purpose programs for adults, too.

Hennepin County Probation Department Flying Project (Reference: Keve, p. 128)

Juveniles assigned to a probation group and the officer who supervises them meet weekly with a volunteer pilot in a meeting room set aside for their use at a local airport.

At these Saturday morning sessions, the youngsters are given instruction about principles of aviation, navigation, planning fuel load, filing of flight plans, the use of the radio, etc.

They also get the chance to be around pilots and aircraft and pick up some of the excitement and culture of flying.

The group's final experience involves a cross-country flight based upon their planning (the licensed pilot flies the plane).

The probationers become so interested in the program that they are characteristically motivated to get more out of school studies because they see the relationship to performance in their project.

The apparent success rate with youngsters in this project has been impressive and some of its graduates have enrolled in college curricula related to the aircraft industry.

Minneapolis Weekend Program (Reference: Keve, p. 116)

This program operates all year but features a summer raft trip down the Mississippi River for juvenile probationers involved in the project.

With the assistance of their probation worker, the boys build a large raft, plan for and secure needed supplies, work out navigational plans and travel arrangements, and contact officials of towns along the river for permission to dock en route.

In the process of planning and during the actual trip, the boys learn how to work with others to achieve goals, solve problems, and use legitimate methods for securing the cooperation from others.

The intense association with peers, the leader, and those the boys meet along the way, appears to have positive value for their perceptions of themselves, others, and personal adjustment in the community.

V. Programs Involving Helped Clients as Staff.

- A. Many have observed that the helped client has some special skills to offer that can be used to advantage in helping others; he has

been through the correctional process, can talk the client's language, and is less often conned than the professional.

- B. The next few years will undoubtedly see the development of a number of experimental programs involving former clients as correctional staff.

The SCORE Program - Cambridge, New York City, Syracuse (Reference: Keve, p. 206.)

In the SCORE program three kinds of individuals are involved: the delinquents who are the objects of the program; a former delinquent or ex-con who has matured and stabilized to the extent that he is now serving as a model of behavior change; and a young businessman who is well adjusted as the more conventional behavior model.

"Boys are paid for the work they do, i.e., coming to meetings to discuss the problem of delinquency; boys are rewarded unexpectedly for extra performance; boys are exposed to the behavior model (Jaycee) and the behavior change model (ex-convict); boys are treated as much as possible as equals by all persons involved in the program; boys are paid promptly in cash each time when the work is done; the functioning of the project centers on some type of delinquency research that is like to be frequently revised to avoid loss of interest by the boys; and when a goal is established for the group, it is limited, achievable, and realistic."

The involvement of the helped client demonstrates the actuality that progress is possible from a disadvantaged condition to a better one!

#### VI. Programs Involving Citizen Participation.

- A. As corrections has become community-oriented, it has also become community-dependent in many ways.
- B. It has been the experience of several programs that with proper planning, selection of volunteers, professional coordination, and supervision, citizen participation in correctional programs can be of tremendous value.

Royal Oaks, Michigan Municipal Court Volunteer Program (Reference: Keve, p. 260)

On being elected to the municipal bench, the judge found that he had no probation services and proceeded to enlist help who were willing to supervise probationers.

After a sizeable group of volunteers was established, the court acquired nine counselors, each of whom works for the court about five hours a week.

Most of the defendants are assigned to the caseloads of these counselors and also assigned to volunteers who carry one case at a time and do not act as a probation officer, but rather as a friend of the probationer.

As the program has developed, some retired businessmen have been recruited (for nominal salary) to administer the project and carry caseloads of those not assigned to volunteers.

There are some limitations seen by Keve in his examination of the program that must be worked out, as he says, "It is a program that deserves permanency....."

#### VII. Programs Involving Inter-agency Cooperation.

- A. One of the basic concepts in probation and parole is the importance of the effective mobilization and use of community services that meet the needs of clients.
- B. Community services have most often been secured for clients through referral on an individual basis.
- C. Currently, a number of projects operate to more routinely provide correctional clients with services provided by non-correctional agencies.

Minnesota Employment and Job Development Project. (Reference: The Minnesota Departments of Corrections and Employment Security, St. Paul, Minnesota)

This project provides for employment testing, counseling, and job development services in the State Prison for Men prior to and after release on parole.

An employment counseling team is based in the prison and works with the institutional staff as well as with field staff of both agencies.

The employment counseling team members sit with classification committee and are completely conversant with the correctional operation.

The program is funded on an annual basis and there is an inter-department project committee which meets regularly to review activities and develop strategies for improved services.

#### VIII. Class Discussion.

- A. Involve class in a discussion of the implications of the programs discussed for new directions in corrections.
- B. Get the class to verbalize their views as to the kinds of things

that should be tried (and should not be tried) in the development of probation and parole services.

ASSIGNMENT

Required: Text: pp. 267-277, 168-178.

Suggested: Imaginative Programming in Probation and Parole,  
Chapters 2, 4, and 7.

Mandel, Nathan G. and Parsonage, William H., "A Controlled Experiment in Adult Group Parole Supervision," Crime and Delinquency, October, 1965.

Text, pp. 384-390, 412-434.

Terwilliger, Carl, "The Nonprofessional in Correction," Crime and Delinquency, July, 1966.

## UNIT XVII

### STRUCTURE, POLICIES, AND ADMINISTRATION OF PROBATION AND PAROLE AGENCIES

- Unit Objectives: (1) To explore the elements of agency operations;  
(2) To be able to identify the quality of agency operations as exhibited by administration procedures.

#### I. Introduction.

- A. It is essential to understand the elements of agency administration because it is through this organization that services are operationalized-- delivered to clients and the community.
- B. The factors which give indication of the quality of agency operations with which officer has contact should be recognizable.

#### II. Contemporary Challenges to the Administration of Probation and Parole Agencies.

- A. Corrections (and especially probation and parole agencies) has been badly fragmented administratively; fragmented in terms of:
  - 1. Federal, state and local jurisdiction.
  - 2. Classes or types of offenders with whom the various agencies deal.
  - 3. The relationships and coordination among the various agencies.
- B. This fragmentation may not have been so critical a matter years ago, but today it represents a serious problem.
  - 1. The president's Crime Commission has suggested that fragmentation in the past served the purpose of stimulating innovation and experimentation.
  - 2. The Commission goes on to say that today, however, because of the way in which corrections has proliferated and because of the need for an evening of services, the time has come for standardization and coordination through which it will be possible to operationalize new techniques.
- C. People working in the field have been the most vocal about the need for standardization and coordination in the field of corrections. In a study done by the National Council on Crime and Delinquency the following was cited:
  - 1. The need for an across-the-board strengthening of probation and parole services. Many of the things that are currently being done in the name of probation and parole are inadequate.

2. A need for greater, broader funding of correctional services. Lack of resources has restricted the ability of personnel to do the things that need to be done.
  3. A need for a clearer correctional philosophy. (The practitioners see the need for agencies to develop a philosophy and policies which clarify just what they are about--they want administration to set some goals and work toward them).
  4. The practitioners see a need for better public understanding of the correctional task. The public has generally been ill-informed about the role of probation and parole agencies and their successes as well as their problems--the practitioners see this as something that administration has to deal with.)
  5. A need for more manpower with which to handle the problem of crime and delinquency. (Not just caseworkers, but other support personnel and people in the area of prevention, etc.--agencies have in many places thought of their roles only in terms of supervision-- this isn't enough.)
  6. Practitioners see a need for increased state-level coordination of correctional services. (The people on the front lines see the problems of overlap, duplication, competition, etc.)
  7. A need for the general improvement of the administration of justice as a system with coordination and cooperation.
  3. The need for the development of administrative machinery to do more than tolerate new knowledge and techniques--they want one which will foster and facilitate the improvement of services!
- D. People in the field are reacting to some of the new goals of social justice which are emerging and further challenging the resourcefulness of correctional administration.
1. The need to do a better job of screening out and diverting persons with special kinds of behavioral problems to non-correctional agencies. (e.g., the runaway, incorrigible, brain-damaged child, etc.)
  2. The need to increase the alternatives for correctional handling to facilitate more appropriate court dispositions. (e.g., day care centers, special field treatment programs, special interest programs, etc.)
  3. The provision of counseling and other helping services to persons prior to adjudication. (Relate this to the special problems of the misdemeanant or the person who is awaiting trial.)
  4. The need to provide for community involvement in the correctional process through citizens advisory groups, volunteer programs, etc.

5. The need to provide for a more flexible system which provides for using institutions and field services in a way which is more responsive to the needs and potentials of the client (e.g., institution-community continuum programs).
- E. Probation and parole agencies throughout the country, for the most part, have not been administratively geared up to accomplish these kinds of things; there is great reason and great pressure to make them capable now!

\*Discuss local situation as perceived by class.

### III. The Factors of Agency Administration.

- A. Agencies should be thinking about, revising, and, in many places, developing a capacity to do what needs to be done.
- B. Some factors that are relevant and worth considering are:
  1. Philosophy and policy formulation
  2. Evaluation and planning
  3. Organization
  4. Staffing
  5. Directing and managing
  6. Coordinating
  7. Reporting
  8. Budgeting

### IV. The Establishment of Philosophy and Delineation of Policy.

- A. There is a great need for probation and parole agencies to have an established philosophy and written policies as to its operation.
- B. Agencies must operate under the authority and responsibility given it by statute. But statutes do not provide for an agency most of what becomes its philosophy.
- C. What are the agency's reasons for operating (apart from the statutes)? What are the agency's goals? What are the agency's policies with regard to how it does its work to accomplish these goals?
- D. Every employee of the agency must have a clear understanding of the agency's mission and his part in accomplishing it. If there are no statement of philosophy or policy, there may well be no real viable organization with which the worker might identify.

### V. Evaluation and Planning.

- A. One of the basic administrative factors to be considered in an agency is the business of evaluating its current operations on a continuing

basis, and planning for the future, within the limits of statutory authority, goals, and philosophy.

- B. Administrative planning requires the development of a great deal of information about several things: (ask class what they are)
  - 1. Information about current operations and their effectiveness.
  - 2. Information about the projected demands that may be made on the agency in the future.
  - 3. Information as to the types of resources which will be necessary to meet current and future demands.
  - 4. Information as to the possible availability of resources.
- C. One of the greatest lacks in a great number of probation and parole agencies can be found in the area of evaluation and planning.
- D. An agency that systematically evaluates its performance and uses this information in planning for the future holds promise of being an effective agency.
- E. In some of our better agencies--some of the largest ones--less than 1% of its total operating budget is involved in evaluation and planning. Hopefully this will increase.
- F. Progress isn't made by chance, only by design.

VI. Organizational Considerations.

- A. There is great need to gear the agency organizationally to attain the goals of the agency.
- B. One of the problems of many correctional agencies is that they operate under organizational structures that may have been adequate 50 to 100 years ago but don't do the job now.
  - 1. For example, some agencies still operate under systems in which a committee of judges make administrative decisions. (e.g. in one county the agency was run by a committee of 36 judges. It was very hard to get decisions on which they all agreed, and when decisions did come down they were six months late.)
  - 2. Another common organizational problem involves the system in which only the top man has organizational responsibility for making all decisions. Its hard to get to him, and his subordinates in supervisory positions with responsibilities but no authority can't take action when action is required.
  - 3. Another example is the parole board procedure and organization that in some cases restricts the use of community continuum type programs.

- C. The organization of the agency must be set up to facilitate its goals and programs. Bad organization restricts progress.
- D. In some cases, several agencies in one jurisdiction should be consolidated into one organization which can provide better services through a pooling of resources.

For example, one agency to handle all probation services at the misdemeanor, juvenile, and felony level rather than several agencies and several file rooms, etc. would be an economical consolidation.

- E. There is need for reorganization in many areas, especially where new goals and concepts have recently emerged.
  - 1. The involvement of volunteers in correctional programs.
  - 2. Family counseling approaches which require different types of supervision and reporting.
  - 3. Need for new structures to handle money from granting agencies to try new approaches.
  - 4. The development of administrative strategies to allow for research inputs, etc.

#### VII. Staffing Considerations.

- A. The development and maintenance of sound and effective programming requires good staff-- this is the most important resource in a human-service agency.

Policies don't get work done--people do!

- B. There needs to be a great deal done in recruiting personnel and upgrading existing personnel to make them more effective.
- C. Key points to look for in a probation and parole agency with regard to the administrative arrangements for recruiting and training:
  - 1. Does the agency actively recruit competent personnel, or does it just kind of wait for them to come around?
  - 2. Is the administrator of the agency actively working to improve compensation and employee benefits?
  - 3. Does the agency have arrangements for regular in-service training which is of admirable quality?
  - 4. Are there arrangements for leaves of absence for training and education outside the agency?
  - 5. Is there a stipend arrangement where the agency makes an investment in the improvement of its personnel?
  - 6. Are there procedures for promotion in the agency on merit?

- D. In the process of administrative planning and development the good administrator is attentive to preparing personnel to perform competently in their current roles and, in addition, is continually preparing them for emerging roles.

### VIII. Direction and Coordination.

- A. The development and maintenance of effective programming in probation and parole agencies requires good and sensitive direction and coordination of resources (human and otherwise) by the agency administration.
- B. To insure that the goals of the agency are being met, management of resources and monitoring their effectiveness in terms of pay-off is a must.
- C. To facilitate this, there must be a constant feedback between all levels of agency personnel. Communications is the key to effective management and effective direction of activities toward agency priorities.
- D. One of the basic signs of a properly administered probation and parole agency is good communications.
- E. Strategies have to be developed that bring people into the decision-making processes of an agency if the staff is to develop a commitment to the agency and its goals.

### IX. Reporting.

- A. Reporting is clearly one of the responsibilities of the administrator of an agency.
- B. The administrator's responsibilities include reporting to the legislature or the board of commissioners, etc.
- C. An ever-increasing role of the agency administrator is to report to the public on its activities and effectiveness.
- D. Modern correctional programs are obviously becoming more and more community dependent-dependent for financial support and dependent for community cooperation and participation.
- E. One thing to look for in an agency is the strategies it has developed for communicating with the public in reporting on its successes and problems.
  - 1. Public support and participation doesn't happen without good use of the mass media and other techniques to report what is happening and how the public can help.
  - 2. To report to the public requires that the agency take a good look at itself!

X. Budgeting.

- A. An important administrative task is that of budgeting resources to accomplish the goals of the agency.
- B. One of the new innovations in probation and parole agencies has been the development of program budgeting which avoids some of the old hangups.
  1. Program budgeting allows for the full operation of priority programs of the agency and maintaining their integrity rather than reducing or cutting out categories of services that make all aspects of the agency's program inoperative.

XI. Class Discussion.

- A. Get class involved in the development of a check-list that they think would be useful in evaluating a Probation or Parole Agency in terms of its structure, policy, and administration.

## ASSIGNMENTS

Required: Text, pp. 371-384,

Challenge of Crime in a Free Society, Chapter 6.

Suggested: Garabedian, Peter G., "Challenges for Contemporary Corrections," Federal Probation, March, 1969.

Heyns, Garrett, "The Road Ahead in Corrections," Federal Probation, March, 1969.

Text, pp. 82-104.

Terwilliger, Carl, "Probation Department Management by Objectives," Crime and Delinquency, April 1969.

## UNIT XVIII

### VISUAL AIDS

\* The following is a selected list of films which can serve as training aids when used in conjunction with the appropriate unit. After the instructor has chosen a film for class viewing, he should be careful to allow time after the viewing for class comment, analysis, and questions.

I. The Price of a Life. (36 minutes) #31261, 1967.

A. Summary.

1. Presents a case history of a probationer.
2. Reviews investigation of the convicted and process whereby offender is placed on probation.
3. The probationer is followed through the period of supervision required by the court.
4. All probation techniques and individual crises during the development of the probationer are presented in dramatic fashion.

B. Comments.

1. The officer's tasks and responsibilities in working with offenders are clearly demonstrated.
2. Some of the common problems which confront the officer are dealt with (e.g., marital, employment, hostility).
3. The film points up the need for planning in order to anticipate crisis situations likely to confront the offender.

II. The Revolving Door. (30 minutes) #31337, 1968.

- A. Deals with the plight of the misdemeanant and the inadequacies of the present jail system.
- B. It follows the misemeanant through the trial system of the lower courts and into the local lock-up.

- C. The misdemeanant is presented as one who maintains a cyclic pattern, alternating jail sentences with brief periods of freedom.
- D. This film also reviews some more progressive programs recently established in various jail systems.

III. The Odds Against. (32 minutes) #30975.

- A. Explores the correctional system in the U. S. today while focusing on one offender.
- B. The following aspects of the correctional system are presented:
  - 1. Detention.
  - 2. Probation.
  - 3. Imprisonment.
  - 4. Up-to-date facilities and programs throughout the country.

IV. The Jungle. (22 minutes) #20919, 1967.

- A. Pictures life of black ghetto youths.
- B. Philadelphia gang members tell their own story as they make this film.
- C. Deals with their violence, rivalries, and loyalties.
- D. Depicts the gang's reaction to success and acceptance of their production when they become the 12th and Oxford Street Film Makers Corporation.

V. Justice and the Poor. (60 minutes) #60104, 1968.

- A. Report on the inequities in the present justice system and on some of the reforms which are being made.
- B. Asserts that the poor receive callous treatment from the police.
  - 1. Are penalized by the bail system.
  - 2. Seldom able to obtain the services of a qualified lawyer.
- C. Various attempts to remedy these situations are documented.

1. Bail reforms in New York.
2. Police-youth dialogues in Palo Alto.
3. Use of UNIVAC machine to provide good lawyers for indigents in Houston.

VI. Or Die. (drug rehabilitation) (18 minutes) #20891.

- A. Representative activities of Synanon, a social movement run by former drug addicts.
  1. Includes sequence on the Game, a form of group therapy.
  2. The members of the Game group strip away any lies and excuses used by any participant to rationalize his behavior.
- B. Sense of community life and social action are shown to redirect self-destructive energies toward positive goals.

VII. Boy in Court. (11 minutes) #364.3, 1940.

- A. Workings of the Juvenile Court.
- B. Begins with "snatching" of car by young delinquents and follows them to release of one after year's probation.

VIII. Crime in the Streets. (60 minutes) #60069.

- A. Police protection and the rehabilitation of juvenile offenders, two important aspects of the crime problem in the United States.
- B. Police protection hampered by a shortage of men, poor training, inefficient clerical and communication methods, and the problems of community relations.
- C. Aspects of these examined by police experts, criminologists, and others.
- D. Methods of operation of the Police Department in Chicago evaluated.

IX. Criminal Justice in the U. S. (30 minutes) #30950, 1966.

- A. Gap between ideals and reality of criminal justice.
- B. Review of twelve cases where convicted men were later proved innocent.

1. Provides an insight into the basis for occasional miscarriages of justice.
  2. Leading authorities in the field of criminal justice supplement the narration by Chet Huntley.
- X. The Criminal Man #1: The Criminal. (30 minutes) #31349, (NET), 1965.
- A. Defines crime and the criminal.
  - B. Explains how time, place, culture influence what constitutes a crime.
  - C. Review the history of criminal law.
- XI. The Criminal Man #19: The Criminal and Punishment. (30 minutes) #31367.
- A. Explains the concept of punishment of criminal behavior.
  - B. Explains the evolution of rehabilitation with emphasis upon the criminal rather than the crime.
  - C. Includes a visit to a cellblock in San Quentin Prison.
    1. Five inmates are interviewed.
- XII. Hard Brought Up. (40 minutes) #40063N, 1955.
- A. Cases of two ten year old boys brought before Juvenile Court judge.
  - B. Caseworker is able to help parents and community to see the real problems and bring about their solution.
  - C. All characters portrayed by citizens of Jackson, Mississippi.
- XIII. Interrogation and Counsel. (22 minutes) #20802, 1968.
- A. Citizens express concern about increasing the efficiency of the police and the administration of justice.
  - B. Others feel the individual needs greater protection against the machinery of the law.
  - C. Portions of the 5th and 6th Amendments introduced followed by enacted sequences:

1. A young man, though seemingly guilty of a crime will probably go free.
2. Another young man becomes entangled in lies during long interrogation and is advised by a court appointed lawyer to plead guilty to murder he in fact did not commit.

XIV. Men in Cages. (52 minutes) #50166.

- A. Overcrowding of jail systems; confinement of young first-offenders with hardened repeaters; difficulties in finding work encountered by men who have been imprisoned for several years.
- B. Considers the questions:
  1. What sort of person goes to prison?
  2. What happens to them there?
  3. What can be done to keep them from returning?

XV. Raw Materials. (27 minutes) #365-2, 1958.

- A. Work of John Howard Society of Canada toward rehabilitation of prisoners.

XVI. Understanding the Law -- Equal Justice for All. (12 minutes), #321-3.

- A. Right of individuals to be protected from and by the law.
- B. Step-by-step functions in due process of law.
- C. Dramatic sequences in actual courtroom.
  1. Criminal trial by jury.
  2. Roles of various state and federal courts in American judicial system.

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\*Films are available from Audio-Visual Services, The Pennsylvania State University, 6 Willard Building, University Park, Pennsylvania 16802. (Phone 814-865-6315)