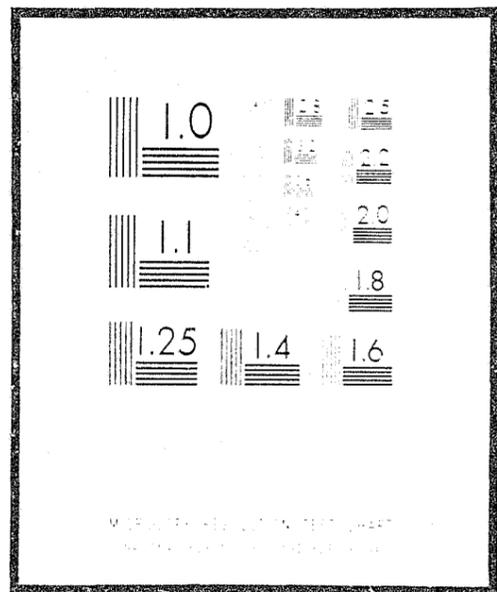


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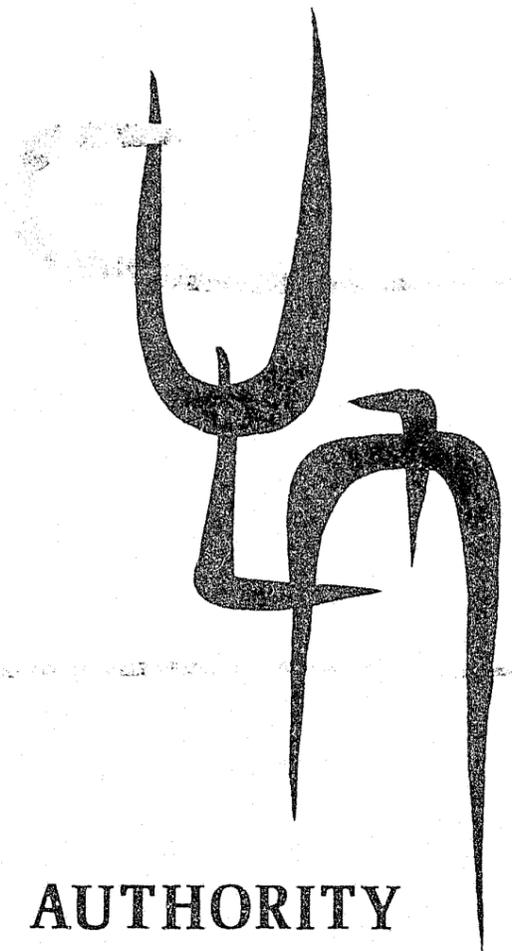
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## THE COOPERATIVE BEHAVIOR DEMONSTRATION PROJECT

Submitted As The Final Report To The  
Office Of Criminal Justice Planning

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19847861

APRIL, 1975



CALIFORNIA  
YOUTH AUTHORITY

**State of California**

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Cooperative Behavior Demonstration Project

Submitted as the Final Report to the  
Office of Criminal Justice Planning  
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## Preface

This report presents the findings of the Cooperative Behavior Demonstration Project [OCJP #0862-E], which began on April 1, 1972, and was completed on March 31, 1975. Although this is a final report to the funding agency, the California Youth Authority, to whom the funds were granted, will attempt to continue providing follow-up data on project cases.

Thanks are due the many probation officers who participated. The support of their supervisors was crucial to the project's success, and we are grateful for their support. The project was made possible by the combined efforts of a large number of people, only a few of whom can be mentioned here. Because of their special contribution, we would like to express our appreciation to Albert Chaquette, Warren Vandiver (Alameda County); Larry Shattuck (Marin County); Ivan McLaughlin, (Sacramento County); Leonard Gibson, Michael Marchetti (San Joaquin County); Vern Renner (Santa Clara County); Anthony Bukwich, Richard Grable, Alice Grayewski, Sheila Kendall, Ken Nicolai (Solano County); and John (Chuck) Cobb (Yolo County). A special thanks goes to the project secretary, Barbara Whiting, for typing the report.

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## Highlights

The primary objectives of the 3-year Cooperative Behavior Demonstration Project were to (a) develop a training program and train supervisors and caseworkers in applied behavioral analysis and the technique of contingency contracting, (b) develop data collection systems for client and field agent performance, and (c) compare the effectiveness of behavioral strategies with that of other strategies.

Following a "triadic" implementation model, project staff first trained supervisory personnel who were in turn responsible for training their own staff. Thirty-three supervisors and 132 field officers from sixteen probation units located in eight adjacent counties participated in the project. They each received at least 40 hours of basic training and, together, approximately 2,000 hours of consultation in contingency contracting from project staff.

### Training

- The formal training was successful. Ninety-one percent of the supervisors and 77% of the field officers achieved 100% of the training objectives.
- Success in training was not, however, predictive of field performance. Although a few supervisors and officers were highly successful in applying their learning, implementation was below that expected. In five units 100% of the field officers wrote contracts with at least one experimental client. In three units they wrote none.
- A major impediment to implementation was the general disinterest in data about officer performance or client outcome.

### Problem Behavior Remission

- Among the 412 project probationers, 1,248 behavior problems were identified and targeted for change, of which 580 (46%) reportedly were in remission by the end of probation.
- Behavioral contracting appears to be a viable technique for working with delinquents. Where behavioral contracting was used, a significantly greater percentage of the problem behaviors was resolved--43% by the

usual program vs. 59% by contingency contracting. An even higher proportion was remitted in cases where the contracts were rated as meeting minimum standards.

- The officers' expressed regard for clients (positive regard) was also related to problem remission. Most effective was the combination of contracting and high positive regard (69% of problems remitted); least effective was low positive regard with no contract, (32% of problems remitted).

#### Recidivism

- In some cases the behaviors contracted appeared to have little relevance to a reduction in the client's continued delinquent activity. The difference in the 6-month recidivism rates of contracted clients (14% violators) and noncontracted clients (20% violators) was not statistically significant.

- The officers' expressed regard for clients was related to recidivism.

- Lowest violation rates from lowest to highest were: (a) high-positive-regard-contracted subgroup (9%), (b) high-positive-regard-uncontracted subgroup (14%), (c) low-positive-regard-uncontracted subgroup (28%), and (d) low-positive-regard-uncontracted subgroup (36%).

#### Special Units

- Compared with regular units, officers in subsidy units and special low-caseload units wrote more contracts, wrote more high quality contracts, and were more successful in remitting a greater percentage of problem behaviors.

- A higher proportion of clients from subsidy units, however, violated probation within six months. Thirty percent of subsidy clients recidivated compared with only 13% on nonsubsidy caseloads. The most likely interpretation is that the more difficult cases are assigned to subsidy units.

#### Recommendations

- Probation departments and the California Youth Authority should adopt long-range programs toward the goal of establishing continuous evaluation systems. To stimulate development of data-based programs,

subsidy payments should in part be based on the extent to which a county institutes an acceptable program-evaluation capability, which would necessarily include specifying performance objectives, and installing data-collection systems and procedures for data analysis.

- The data indicate that probation programs can be improved. Toward this goal it is recommended that all correctional personnel should have a basic knowledge of applied behavioral analysis. Training in case-management by objectives should have priority over training in particular treatment techniques.

- A positive client-staff relationship that is augmented by sound treatment strategies has a measurable impact on outcome. Better interviewing and counseling techniques can increase the officers' ability to generate positive regard. Further research needs to be directed toward understanding the elements that foster good relationships.

- Decision-makers at the top of correctional agencies should rearrange the job priorities of supervisors and caseworkers to ensure that these staff are reinforced by the extent to which their units achieve clearly specified goals. That can be done only when the agencies have an ongoing evaluation capability. Staff performance cannot be properly reinforced if its objectives are neither clearly specified nor systematically measured.

## Chapter I

## Background

The Cooperative Behavior Demonstration Project grew out of a need to assess the effectiveness of community-based correctional programs. Disenchantment with large institutional programs has grown especially strong in recent years. Concomitantly, community-based programs have attracted increasing interest. Although data are lacking, conviction is mounting that to be effective, the correctional process must be linked to the community. An assumption underlying this conviction is that the deeper the penetration of offenders into the criminal justice system, or the longer they remain in an institution, the lower is the probability that they will be amenable to rehabilitation. Thus, attention is focused on systems and procedures that encourage early and minimal intervention. Along with a few other community organizations such as the school and youth service bureaus, probation departments appear to be in an unusually strategic position to influence the lives of juvenile offenders.

In 1966 the California Youth Authority sped the move to community-based programs by adopting the California Subsidy Program. Funds (\$22,680,210 in 1972-73) are disbursed to probation departments according to the extent to which they reduce their commitment rates to state institutions. One of the reasons for the development of this cost-sharing plan was a finding of the 1965 State Board of Corrections Study, which reported that probation services were generally inadequate. As a result of this finding, the subsidy program attempted to improve probation effectiveness through the development of intensive probation supervision units.

Just how successful these efforts have been is a moot question, for hard data on probation effectiveness, including the special subsidy supervision units, continue to be scarce. A recent study of subsidy

units failed to demonstrate their superiority (Johns, White & Berkowitz, 1975). The authors indicated, however, that the findings should be viewed as inconclusive because vigorous evaluation procedures, especially random assignment, were not used. Reference is still made to the dated study by Scarpitti and Stephenson (1970), which showed little in the way of conclusive findings. Although the subjects placed on probation did better (according to recidivism criteria) than delinquent offenders placed in institutions, the reasons for probation's greater effectiveness appeared to lie primarily in its selection of better-risk clients. Scarpitti and Stephenson concluded that because probation was systematically getting rid of high-risk clients by returning them to the court for further disposition, an extension of probation services to all clients would result in higher failure or recidivism rates unless there was "...some monumental change in treatment techniques" (p. 220).

Although some writers in the field seem to imply that an enormous amount of valuable correctional research has been done, hard data on the overall effectiveness of community correctional programs, and on the relative effectiveness of alternative approaches to intervention and rehabilitation, are sorely lacking. The Cooperative Behavior Demonstration Project (CBDP) was designed to evaluate the effectiveness of innovative methods based on the principles of social learning theory (behavior modification), combined with some of the principles and assumptions proven useful in transactional analysis (TA) treatment. TA and behavior modification had been tested experimentally and found to be productive in the Youth Center Research Project (YCRP) (Jesness, 1975). TA did not seem to be as readily extendible as behavior modification to the immediate involvement of parents and teachers in a client's treatment program. However, TA's emphasis on self-management, by reinforcing autonomous decision making for self-enhancing and pro-social behaviors, had paid off well enough in the YCRP to suggest that it would also be an appropriate emphasis in behavior modification.

The selection of social learning theory, and the techniques of contingency management as the basic treatment approach, was also a consequence of the applicability of these methods to community-based programs, and of the rapidly accumulating evidence of their success in the treatment of a variety of behavioral problems. Most exciting to researchers in the corrections field are the reports of considerable success with delinquents (Cohen and Filipczak, 1971; Patterson, 1974; Stumphauer, 1973; Tharp and Wetzel, 1969). One of the major advantages of the use of contingency management techniques is that the actual treatment program, once developed by an expert, can be carried out by paraprofessionals including parents, probation officers, teachers, and the client himself, in any setting. In addition, new learning occurs relatively continuously rather than just occasionally or periodically. Stuart (1970) explained the advantages of these techniques as follows:

Community treatment for large numbers of delinquents will be possible only when techniques have been developed which (a) are effective, (b) require comparatively little time for administration, (c) can extend family influence to control behavior in a number of different situations, and (d) can be administered by paraprofessionals. It is suggested that behavioral contracting...is one technique which meets each of these requirements. (p. 3)

Behavior modification involves the application of scientifically established principles of learning to the modification of maladaptive or socially deviant behavior. Ullmann and Krasner (1969) describe behavior therapy as "...involving many procedures that utilize systematic environmental contingencies to alter directly the subject's response to stimuli" (p. 253). Thus, "contingency management" is the procedure of providing potent reinforcers when a person has behaved appropriately (Homme, 1966; Shah, 1967).

Behavior theory assumes that both destructive and constructive behaviors are learned responses directly modifiable through the application of established learning principles. Persistent anti-social behaviors are said to result from intermittent positive reinforcement of inappropriate or delinquent behaviors, failure to reinforce appropriate behaviors, or the inappropriate or excessive use of punishment. Behaviorists assume that anti-social behavior can be modified by the consistent application of the same learning principles. Although the essential principles are simple--undesirable behavior is weakened by not reinforcing it; and desirable behavior is strengthened by following it with a reinforcer--applying those principles consistently and effectively is not.

Improved techniques have been developed for applying the principles among a variety of subjects with behavior problems, including delinquents on probation. Researchers are obtaining evidence that many families do cooperate effectively with a behavior consultant in carrying out a contingency-management plan with their delinquency-prone children (Patterson, 1965, 1974; Stuart, 1970). The parents first learn the basic principles of behavior modification, observe the child's behavior, then agree to a plan of action based on contingency contracts. Treater, parents, and children negotiate contracts to strengthen both child and parent behaviors when they are appropriate to mutually agreed on goals. Contingencies are applied to the behavior of all involved, including the treater.

Tharp and Wetzel (1969) have shown that a variety of behaviorally disordered children, including delinquents, can be effectively treated in the "natural environment" through the systematic application of the techniques. The authors describe various ways in which a professional in behavior technology can make greater use of his skills by using parents, teachers, wives, and others in a "triadic" model, involving client, treater, and mediator. The data presented by Tharp and Wetzel suggest that not all

children are reached by the same kind of mediation, because an effective mediator must have control over the reinforcers and be able to dispense them according to a plan. In some circumstances a parent is effective, in others he is not. Sometimes a classroom teacher, school counselor, friend, or other person, working alone or with someone, serves as the mediator. The study suggests that by using mediators, a few well-trained specialists might be able to reach a larger number of clients than they would by using more traditional procedures. This advantage was one of the compelling reasons for designing a study to determine how well the behavioral approaches would apply in probation and parole settings.

Although Tharp and Wetzel demonstrated the effectiveness of behavior modification with some children, their study neither included a planned research design, nor presented sufficient detail to enable others to duplicate their procedures. Comparing outcomes with a group of children who were offered the same amount of extra personal attention and/or alternative kinds of services (or even no services) would have been necessary to enable the researchers to generalize about the relative effectiveness of their procedures. The study also did not examine long-term effectiveness. Did many of the chronic delinquents become non-delinquents? Could most field agents work as effectively as did the selected technicians in the study? To draw conclusions about effectiveness, a follow-up on all cases would have been necessary, especially in those cases where there was resistance from the subject or parents. A significant proportion of the most serious delinquent offenders may have been among those the authors were not able to involve in the study, particularly in those cases where the parents were described as personally disorganized or destructive toward the target subject. These questions call for controlled, long-range studies.

The Cooperative Behavior Demonstration Project (CBDP) was designed to provide additional data on the usefulness of contingency management in field agencies, especially county probation departments.

Because most counties had neither the research specialists nor the data collection systems to enable them to develop innovative programs and systematically evaluate their effectiveness, the CDBP was designed to provide the technical assistance to the counties to help them evolve innovative intervention rehabilitation programs, and to aid them in establishing data collection systems for evaluating the effectiveness of these programs.

#### Participating Agencies

The CDBP was an outgrowth of the Youth Center Research Project and the publicity generated by it. During that project's last year, project staff provided consultation to several community agencies interested in the techniques of behavior modification and transactional analysis, as employed in the Youth Center Project. At least two of these agencies expressed a need for continuing consultation. Discussions with other agencies then set the stage for the CDBP. Administrators agreed to a written but informal contract showing what would be expected from their agencies in return for the consultation provided. In most cases administrative and middle-management staff uniformly expressed enthusiasm over the proposed project. Project staff met with and discussed the proposal with upper and middle management as much as a year prior to the project's start. In two counties they also met with line staff.<sup>1</sup>

<sup>1</sup>In the report the terms line staff, field agent, deputy probation officer (DPO), field staff, field officer, and caseworker are used interchangeably to refer to the probation officers and parole agents who work directly with the clients.

Both special supervision (subsidy) and regular units were involved. Listed in Table 1 are the participating agencies and the number of staff participants. Many more staff were trained, but the table shows only those assigned an experimental subject on whom a case summary was prepared. (Hereafter the agencies will not be identified.)

Table 1

Agencies, Field Staff, and Experimental Subjects  
Involved in CDBP

Agency	Agents <sup>a</sup> Involved	Experimental <sup>b</sup> Cases Assigned
Alameda Probation	13	96
Marin Probation	7	24
Sacramento Probation	13	68
Santa Clara Probation	10	25
San Francisco Probation	5	12
San Francisco Parole Center	5	17
San Joaquin Probation	16	103
Solano Probation	15	47
Yolo Probation	6	20
Total	90	412

<sup>a</sup> Includes only those assigned an experimental subject on whom a case summary was prepared.

<sup>b</sup> Includes only those on whom a case summary was prepared.

During the project there were a few changes in the agencies participating: (a) the two probation units from Santa Clara county were added, (b) two agencies reduced their level of participation, (c) a day care center and a juvenile hall were added, and (d) the CBDP staff assumed two new tasks involving a CYA institutional treatment team and a training assignment with the California Office of Criminal Justice Planning, Region K.

There were also some changes in the level of participation of the units. For a variety of reasons, primarily related to turnover of staff both at the deputy probation officer (DPO) and supervisory level, one county early in the project indicated a desire to decrease the extent of their participation. Follow-up data were collected on all subjects involved there, but no new assignments were made. In August, 1973, further involvement of the San Francisco Community Parole Center proved impossible when the original purpose of the parole center was abandoned, and parole agents were dispersed and assigned to specialized tasks such as finding jobs, doing group treatment, locating foster homes, etc. Efforts to involve another parole unit aborted when that unit chose not to undergo training.

#### Project Objectives

The long-range objectives of the Cooperative Behavior Demonstration Project were: (a) to assess the extent to which probation and parole agents would implement learning theory principles and behavioral management techniques in the treatment of their clients, (b) to compare the effectiveness of behavioral interventions with that of other strategies in reducing delinquent behaviors of the clients, and (c) to develop an effective method of assisting probation departments in the implementation of behavioral interventions and data-collection systems in the natural environment. To achieve these long-term objectives it was also necessary to:

Assemble an effective training package in behavior modification, and devise methods for its dissemination.

Train supervisors and caseworkers in social learning theory and behavioral techniques.

Identify important subject and treater characteristics.

Develop alternative contingency contracting strategies for field settings.

Develop methods for specifying and measuring caseworker performance.

Devise measures of client performance.

Describe, in writing, the entire procedure.

## Chapter II

## Procedure

The basic implementation model is "triadic," a model in which the professional does not ordinarily work directly with the client, but instructs others in the use of the techniques, and they, the mediators, implement the reinforcement procedures (Tharp & Wetzel, 1969). CBDP training was based on a similar model. Those trained first were supervisory and training personnel who were in turn responsible for training their own staff of field workers.

Figure 1 shows the overall plan of procedures. After developing and debugging the formal training course, CBDP staff assembled the supervisors from participating agencies for initial training. In keeping with the general principles of the triadic model, the supervisors were expected to return to their departments and, with the help of project staff, train their own field officers. Formal training in contingency management was followed by the field consultation-implementation phase, when project staff were to assist the supervisors in helping their staff implement behavioral strategies with their clients.

Work Schedule

The original time frame (work schedule) was as follows:

- I - April 1, 1972, to June 30, 1972 - Development of training package.
- II - July 1, 1972, to September 30, 1972 - Initial training of supervisory staff.
- III - October 1, 1972, to February 28, 1973 - Field training of all participating probation officers and parole agents.
- IV - March 1, 1973, to September 30, 1974 - Field implementation-consultation phase: Implementation of experimental behavior modification strategies.
- V - October 1, 1974, to March 31, 1975 - Data collection and report writing.

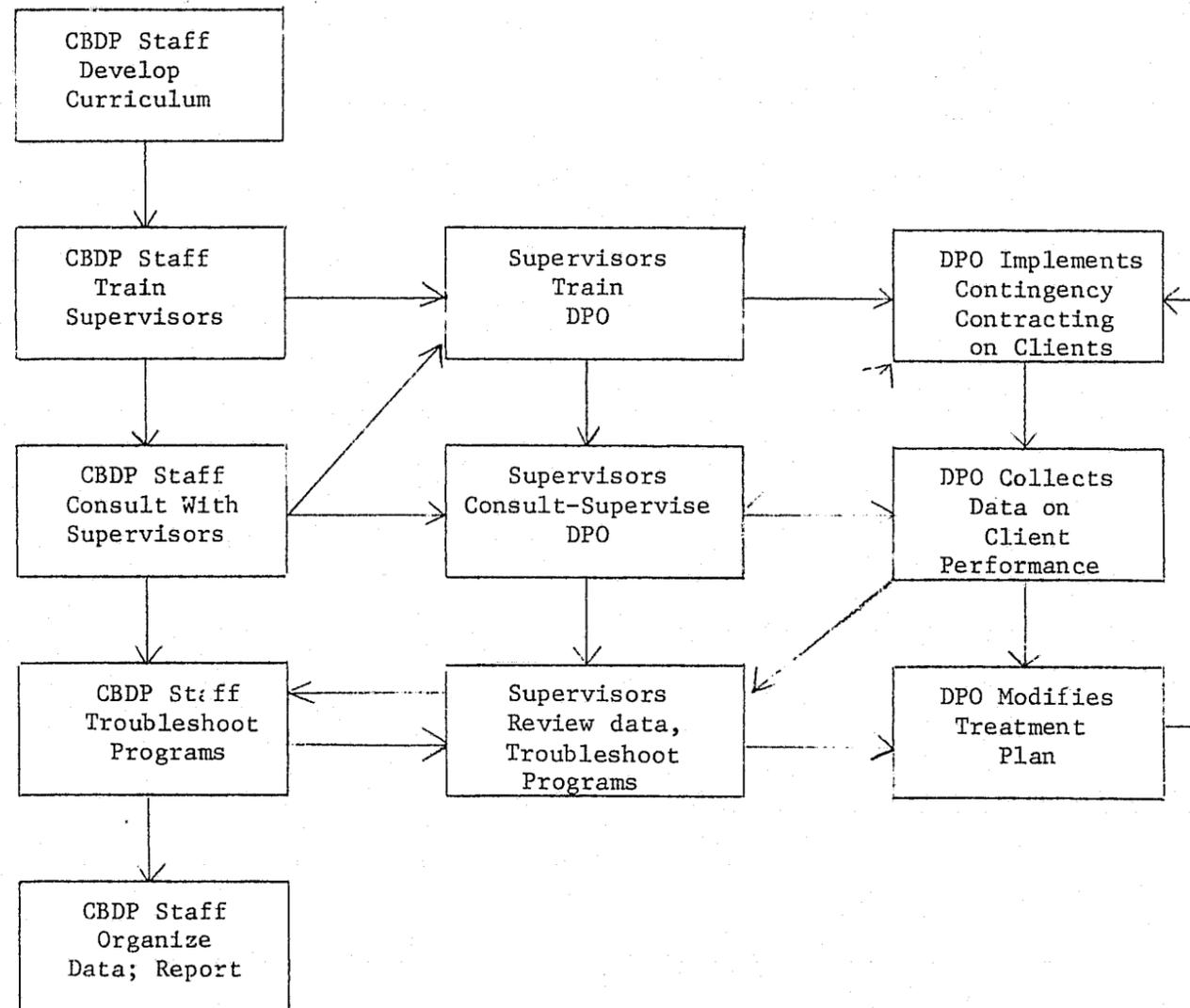


Figure 1. Plan of Procedure

Some overlap in phases occurred, as basic training of new staff was an ongoing necessity in all agencies. Most agencies completed the initial training sooner than expected, and began the field consultation-implementation phase in January, 1973. Implementation was slower than expected, and for reasons described in detail in Chapter V, the field consultation-implementation period consisted of three somewhat discrete phases--Phase A which adhered to the original triadic model, Phase B which maintained that model, but included consultants' reinforcing supervisors' approximations toward achieving project objectives, and Phase C, in which the triadic model was compromised to allow for more direct consultation between field officers and project consultants. Training in interviewing, not originally considered necessary, was also offered to the agencies during Field Phase B.

#### Training

Initial training. The first three months of the project were spent designing the basic course curriculum, developing training materials, setting up the training plan, and conducting a pilot training session. All field offices were visited and training schedules established according to the preferences of the agencies. For this initial training, the supervisors came to a central training location at the Northern California Youth Center in Stockton. From July through September, three training sequences of 72 hours each were scheduled for groups of from 10 to 13 supervisors. Breaks of at least two weeks between the three three-day sessions provided time for the trainees to absorb materials, and to complete field training exercises.

Several innovative features were incorporated into the training program to make it interesting and effective. Reading assignments were limited to materials that were regarded as the absolute minimum necessary to teach the basic concepts of behavior modification and contingency management. A unique contracting simulation game was

created which was intended to be useful in sustaining attention and in providing an effective way of demonstrating problems that would be encountered in reality while attempting to establish contracts with clients. The contracting game was refined and eventually published (see DeRisi and Butz, 1975). Using television equipment, project staff gave the supervisors training in assertiveness to increase their supervisory effectiveness. Several commercial films and two project-made slide shows were an integral part of the package.

Two weeks prior to the initial sessions the training package was debugged. Ten non-project participants, (two from CYA parole, six from CYA institutions, and two from probation) who volunteered for the test run, attended a slightly abbreviated six-day training course. As expected, several problems were detected in this process and corrected before the regular CBDP sessions began in July, 1972. Training objectives for supervisors and for field staff were modified accordingly, and specified in detail (see Appendixes A and B).

The formal training of parole and probation supervisory staff ended, as scheduled, September 13. Training was considered completed only after the participant had successfully met all of the training objectives. A total of 33 persons completed the 72-hour course. Most of those trained expressed approval of the principles of contingency contracting; none were openly negative.

The training package was continuously refined throughout its three presentations. The final version is presented in Section Two. The first version covered the following major content areas:

- (a) Introduction to the project
- (b) Specification of objectives and treatment methods
- (c) Data collection and experimental designs
- (d) Contingency management strategies
- (e) Contingency contracting
- (f) Training in assertiveness

Field training. The training of field staff began almost immediately after the supervisor-trainees had completed their training at the Youth Center in Stockton. Most of the participating departments' CBDP agents met four hours per week, the last group completing its training in January, 1973. All groups scheduled more trainees than were formally involved in data collection for the project. The addition of several juvenile hall staff was welcomed, even though only limited consultation was available to them from project staff. Trained at their respective departments were 96 probation officers and five parole agents. In addition, 32 management personnel, juvenile hall staff, ranch staff, and teachers received varying degrees of exposure to the basic training course. Six superior court and municipal court judges received a brief orientation course. Within some agencies, group home staff and foster home parents also received brief training from the supervisors. Providing initial training to newly assigned officers was a continuing problem, caused by staff turnover and dealt with differently in each agency.

During the initial field training, project staff worked not directly as the trainers but as consultants to the supervisors, critiquing their sessions, advising where necessary, and dealing directly with line staff only when requested. Project staff made 137 consultation visits to various field-training sessions, spending 475 hours assisting supervisors to present basic training to their staffs.

Field exercises, an integral part of training, required the trainees to collect data on the effects of their typical intervention program with a single client. Most of the officers had not been using systematic intervention approaches with clients, and were unable to specify their "typical" intervention strategies. Consequently, many of them used contingency contracting in their field exercise. This

experience supported the original expectation that most field agents could benefit from the technical training and consultation that could be supplied by the project.

During this period, the project consultants also met periodically with field staff for orientation sessions to discuss the field implementation-consultation phase of the project, and to devise procedures for the selection and testing of experimental subjects and for collecting data. Some staff also received training in the use and interpretation of psychometric measures and rating scales to be used, particularly the Jesness Behavior Checklist.

Field implementation-consultation. The field implementation-consultation phase began immediately upon the completion of basic training of field agents. For most agencies the implementation-consultation phase began in December, 1972 or January, 1973 and continued through March, 1974. Beyond this point, periodic consultation with most agencies was continued for several months. During the implementation-consultation period project staff made 968 visits to 23 supervisors, offering a total of 1,653 hours of consultation. The majority of the time (71%) was spent with the 10 most active supervisors for, during a mid-point in the implementation phase, field consultation visits were made contingent upon the completion by the supervisors (or the field officers) of performance objectives mutually agreed upon as reasonable by the supervisors and the project consultant. Progress during the early implementation-consultation phase of the project was somewhat slower than expected. Field staff were especially slow in writing contingency contracts and implementing other modes of behavior therapy with the clients. The reasons (in addition to those of high caseloads and lack of motivation caused by lack of interest of high administrators) appeared to be the following:

- 1) Many field agents lacked interviewing skills they were originally assumed to have had. Because of this relative lack of skills, it was difficult for them to establish good contingency contracts. Many needed training in how to talk to parents and clients.
- 2) The research requirement that consecutive cases be taken on as subjects in the project added to the complexity of the task of writing contracts. Many officers did not believe they could adapt the techniques of contingency contracting to all clients and types of problems. Some clients were seen infrequently by the officers, and the traditional behavioral model of establishing base-line data and getting accurate frequency counts was not readily applicable.
- 3) Project staff strongly recommended that effective behavior therapy (including the special technique of contingency contracting) should be characterized by intensive client involvement. In all cases it was suggested that the clients should say what their own goals were (both long-range and immediate), identify their own strengths, problems and reinforcers, and help write the contracts.

These elements of effective behavioral therapy were somewhat contrary, if not directly contrary, to the established behavioral patterns of many probation and parole workers who have traditionally imposed contracts without negotiation. In the field of corrections, wholly negotiated contracts are not possible because the court always imposes some conditions on the client; but the assumptions made by project staff were that the best long-range objective of a rehabilitation program is toward client self-management, and the best way to get there is to engage him in the decision-making process as soon as possible.

In addition to training in interviewing skills, agents also needed to change some of their assumptions about their clients' capabilities

for self-management. Project staff designed a set of training exercises (described below) to teach some of the skills needed for successful behavior therapy. This additional training was offered to all CBDP participants; but only 30% of them completed it.

Several modifications were made in other procedures of the project to take account of the fact that with some clients, the agents' contacts would be brief and superficial, and that very little intervention or behavior change would occur. The project's goals in those cases were to help the officer understand more clearly what he was communicating to the client, to help him specify precisely and objectively what his treatment objectives were, and to help him learn to identify what effects his interventions were having on the client. For that purpose new procedures for defining goals and collecting data were developed to add greater flexibility to the approaches taken with clients. (The changes in the roles played by the consultants, and the procedures for data collection, are all presented in greater detail in the section describing the field implementation-consultation phase of the project.)

Interview training. A major innovation in training, made because most participants in the CBDP were slow to negotiate formal contingency contracts with their probationers or parolees, occurred in July, 1973. Many of the officers reported that their experimental clients were not good prospects for behavioral treatment because the clients apparently would not identify acceptable goals, admit having behavior problems, or ask for ethically acceptable reinforcers. CBDP's consultants then asked the workers to tape record their interviews so that the workers' questions and interventions could be examined for clues that might point to specific difficulties. The recordings were immediately useful, for it was evident that some officers were too willing to accept the first response of a client, like, "I don't know," or, "I haven't thought about that," as evidence that the client could not,

or at least would not, negotiate. The workers' voice tone, or selection of words, or failure to pursue a point, or tendency to question in a way that made "no" the most probable answer (e.g., "Isn't there anything you want from probation besides getting off it?") indicated the probable usefulness of training in interviewing for contingency contracting.

Consultant staff prepared a role-playing and behavior-rehearsal training course to assist the workers in improving their negotiating skills. The mimeographed outline included an 11-page statement on stimulus control, the advantages of awareness in learning, and a list of assumptions helpful in negotiating contracts intended ultimately to lead to self-management (see Training Manual).

The course consisted of seven group exercises designed as practice sessions in interviewing for contracting: 1) the first interview; 2) goal setting; 3) looking for strengths to build on; 4) identifying problem behaviors of the client; 5) identifying problem behaviors the client sees in others; 6) identifying potent reinforcers; 7) negotiating contracts (see Training Manual, Section Two).

CBDP consultant staff conducted the training in the project participants' offices, usually with the unit supervisor and his whole staff attending as a group. The workers took turns as interviewers, not role playing, but being themselves. Their colleagues role-played an actual client, responding to the interviewer as they thought the client would respond. Some units soon preferred bringing in real clients, volunteers who agreed to be interviewed in front of the group.

The interviews were video taped for immediate playback, and for critiquing by the consultants, the workers themselves, the worker's fellow staff, or the client volunteers. Improvements in interviewing techniques were often immediately evident. Many of the participants discovered that they were more potent interviewers than they had believed they were.

The objective of the course was to teach the workers not to impose treatment contracts on clients, but to negotiate for behavior changes, reinforcers, and goals specified by the client himself, not by the worker. Practicing that strategy enabled the more authoritarian workers to reexamine some of their assumptions about their probationers' capabilities and degrees of good will.

#### Research Design

Selection of experimental and control cases. The original CDBP plan for assigning clients as experimentals or controls was by randomization. When an officer had completed training, the next two clients assigned to his caseload were designated as CDBP clients (see assignment guidelines in Appendix A). On the basis of a coin flip, one client became an experimental client who would receive contingency contracting treatment for any existing behavior problems. The other client became a control, and was to receive the officer's usual treatment of choice. That same procedure was to be repeated at 30-day intervals until the officer had been assigned three experimental and three control cases. When an officer lost a case, for any reason, the next client assigned to his caseload replaced the client lost, either experimental or control. The only restrictions were that they were to be clients who were expected to remain in the area, and in the officer's caseload for at least 90 days after assignment. Ninety days was deemed to be the minimum necessary to ensure that an officer would be able to complete the testing and other initial data-collection objectives for the client, identify relevant treatment objectives and resources, and begin implementation of an intervention strategy. That much delay before fully implementing a treatment plan, as contrasted with designing the plan, is reasonable in field correctional services. Large caseloads, competing responsibilities of caseworkers, and problems related to resistance from clients, parents, teachers, and others can greatly delay the onset of systematic intervention.

The first experimental and control cases for all participating officers were selected in accordance with the original randomization procedures. Variations of the original procedure were devised to handle problems that arose in assignment of subsequent clients. Some agencies and their officers preferred to obtain more than one experimental and control client at a time so that group testing could be arranged more economically. In those cases, the decision to designate the next client or clients assigned to an officer as experimental or control was made before it was known who the next client(s) would be. For example, if an officer wished to acquire his second and third experimental and/or control clients rapidly, the decision could be made that the next two clients added to his caseload would be experimentals and the following would be controls. That procedure ensured that experimental and control clients would be selected randomly, rather than with any bias that might affect outcome.

Another problem was that several officers wanted to use contingency contracting with their control clients. The CDBP staff therefore decided to encourage all participants to contract with the cases that had been assigned as controls. An alternative comparison group was then obtained by taking every 10th case from the files of 36 DPOs from five probation units who were not participants in the CDBP. Those clients were designated as controls, type B.

It was originally intended that major statistical analyses would use the single-subject type of design with systematic treatment reversals. In that procedure, so common in the field of applied behavioral analysis, the effect of an intervention strategy is compared with previous performance (the base line). Where feasible, the cycle is repeated by a return to base-line conditions (that is, a reversal), followed by the reintroduction of the experimental (treatment) condition. That procedure was followed on only a few clients.

Rather than work from the assumption that a single homogeneous experimental group of clients had all been exposed to a behavioral intervention program, the project staff used quality and quantity of behavior contracting to define a continuum of treatment. Experimental subjects were divided, in the analyses, into groups according to the quality and quantity of behavioral contracting they had received.

Ratings on quantity of contracts were by percentages of identified and targeted behavior problems on which contracts were written. Quality ratings were based on the following criteria:

1. Behavior-change objectives operationally defined.
2. Delivery of prespecified consequences contingent upon prespecified, measured amounts of the operationally defined behavior.
3. No delays greater than two weeks between performance and consequence, even if mediated by token reinforcement.
4. Contingency management intervention (or attempts) continued until self-management achieved or client lost.
5. No delays greater than four weeks between program or contract reviews and renegotiations.

To be rated as meeting the minimum requirements of an adequate contingency management program, all five elements had to be satisfied. Project staff ran several reliability checks on the scale and found that agreement between raters was satisfactory, but left room for improvement. It was even more difficult to establish the validity of the scale, which went through several modifications during the project.

Because of the difficulties involved in establishing a reliable and valid scale of contracting quality, and because many verbal contracts were used, project staff used a second method of distinguishing experimental clients from those under base-line conditions (i.e., the usual probation interventions). Field consultants identified those officers who were the most adequate behavioral treaters, and all clients on their caseloads were designated as a distinct experimental cohort.

There are consequently two overlapping groups of clients of behavior modifiers; type O (clients of workers operationally defined as behavior modifiers by their average quality and quantity rating); and type S (subjectively identified by the project consultants as behavior modification workers' clients).

Control B's. Offense data were collected on 307 probationers assigned to caseloads of officers who were not trained by project staff in behavioral methods. The cases were selected from two counties to provide a reasonable comparison group. The proportion of control and experimental subjects in probation-subsidy units was almost exactly the same. (Subsidy units, financed in past by state funds, have lower caseloads and are usually assigned the more difficult, persistent offenders who have a greater likelihood of being sent to the California Youth Authority.) A total of 127 (31%) subsidy cases were included in the experimental sample of 412 subjects, and 97 (32%) subsidy cases were in the control-B group.

Attrition. Attrition of subjects, and number of subjects available for analysis, were as follows:

<u>Number</u>	<u>Definition</u>
584	Subjects originally assigned as experimentals or control As.
152	Subjects dropped as spending less than three months with CDBP officer during project (usually because they were transferred or terminated for administrative reasons). The 152 transfers were not program failures. Only five were dropped for having committed an offense before three months.
20	Subjects or numbers dropped for miscellaneous reasons: <ol style="list-style-type: none"> <li>transferred to a control B agent (2)</li> <li>probation department took no action with case (2)</li> <li>erroneously assigned as a project subject after having been dismissed (5)</li> </ol>
412	Subjects on whom background, test, and behavioral data were available for various analyses were: <ul style="list-style-type: none"> <li>412 - Final Case Summaries</li> <li>343 - Jesness Inventories</li> <li>385 - Data Collection Forms</li> <li>361 - Background Questionnaires</li> <li>318 - Self-appraisal Behavior Checklists</li> <li>281 - Observer Behavior Checklists</li> <li>259 - Pairs of Self- and Observer Behavior Checklist</li> <li>187 - Relationship Questionnaires - Completed by client</li> <li>292 - Relationship Questionnaires - Completed by agent</li> <li>175 - Pairs of Client and Agent Relationship Questionnaires</li> </ul>

### Subject Variables

Four types of data were collected: (a) background, psychological, and behavioral data on the subjects, (b) data on the treater (field officer), (c) data about the process, and (d) evaluation and follow-up information.

Rather extensive data were collected on the study subjects in order (a) to determine if there were important individual differences in subjects that influence subject responses to behavioral intervention strategies, (b) to provide descriptive data about the study population, and (c) to provide information of help to the officers in treatment. Data collected on the subjects included the following:

1. Background Questionnaire
2. Jesness Inventory
3. (a) Jesness Behavior Checklist (observer form)  
(b) Jesness Behavior Checklist (self-appraisal form)
4. Data Collection Forms
5. Relationship Questionnaire (client form)

Background questionnaire. The background questionnaire, completed by the clients after being designated as project cases, consisted of 33 self-report items covering such areas as delinquent involvement, relationship with parents, and attitudes toward school. Eighty-eight percent of the subjects completed the questionnaire. Data from the questionnaire are summarized in Chapter IV, where some comparisons with a California Youth Authority population are also presented.

The Jesness Inventory. The Jesness Inventory is a personality test designed to distinguish delinquents from nondelinquents, to classify children and adolescents into personality types, and to provide scales useful in evaluating changes (Jesness, 1972). The 155 true-false items yield scores on the following 11 scales: Social Maladjustment (SM), Value Orientation (VO), Immaturity (Imm), Autism (Au), Alienation (Al), Manifest Aggression (MA), Withdrawal-Depression (WD), Social Anxiety (SA), Repression (Rep), Denial (Den), and

Asocial Index (AI). Another scale was recently developed specifically to measure the psychological-attitudinal correlates of drug use as measured by Inventory items (Haney, 1971).

It was originally intended that the Jesness Inventory and Behavior Checklist would be administered twice, in order that changes from pretest to posttest could be evaluated. This did not prove feasible. Obtaining posttests turned out to be extremely difficult. Even the initial testing proved to be a considerable problem for consultants and probation staff alike, except for a few agencies who established efficient, practical procedures. Pretest inventories were obtained on 83% of the sample.

Jesness Behavior Checklist. The Behavior Checklist (BCL) was designed to provide a systematic way of recording data about behavior (Jesness, 1971). The instrument contains 80 statements (items) describing behavioral units that encompass a broad spectrum of observable, noncognitive, social acts. The observer rates a person on each item by marking a score of from one to five, depending on the observer's judgment of how frequently the person does what is described in the item. Factor analysis was used to define the following 14 scales: Unobtrusiveness vs. Obtrusiveness, Friendliness vs. Hostility, Responsibility vs. Irresponsibility, Considerateness vs. Inconsiderateness, Independence vs. Dependence, Rapport vs. Alienation, Enthusiasm vs. Depression, Sociability vs. Poor Peer Relations, Conformity vs. Nonconformity, Calmness vs. Anxiousness, Effective Communication vs. Inarticulateness, Insight vs. Unawareness and Indecisiveness, Social Control vs. Attention-Seeking, and Anger Control vs. Hypersensitivity.

There are two forms of the instrument, a self-appraisal form and an observer form, with equivalent items, differently phrased, on each. Soon after the subject's designation as a project subject, he completed the self-appraisal form, written in language appropriate for elementary-level readers. Whenever possible, parents or friends were asked to rate the subject on the observer form. Ratings by parents, friend, or probation staff were obtained on 68% of the clients.

The computer scoring of the Behavior Checklist includes a measure of self-appraisal and observer rating agreement, based on the distance between factor scores, and a measure of profile congruence based on the correlation between self and observer scores. These data are presented in Chapter IV.

Data-Collection Form. Field officers recorded, on a data-collection form, uniform data on the project subjects (see Appendix B).

Relationship Questionnaire (client form). A previous study found a significant relationship between client positive regard for staff and treatment outcomes (Jesness, 1975). The researchers concluded that the specific effects generated by each program were enhanced in those instances where the residents perceived staff as treating them with respect, as more often emphasizing their positive rather than negative behavior, and as treating residents fairly. One problem with that study's data was that positive regard was measured at posttesting, and consequently may have been as much an outcome of behavioral changes as a precursor of them.

In the present study, a deliberate effort was made to avoid this ambiguity by measuring positive regard early in the probationer's program, within the first three months of his being assigned to the officer. Also, both client positive regard and staff positive regard were evaluated.

The items used to measure client positive regard included the same three used in the previous study and two additional items. (Items 1, 2, 3, 4, and 6 on the questionnaire shown in Appendix C.) When handed the questionnaire, the client also received a stamped envelope addressed directly to the CBDP, so that the agent rated would not see it. Since only 44% of the clients mailed in the responses, however, the data may be biased.

#### Data on Field Officers

Participating officers provided data about themselves to enable the project staff to determine if there were any treater characteristics

that tended to facilitate or be predictive of effective treatment. Data collected on the officers included:

1. Probation Officer Background Questionnaire
2. Strong Vocational Interest Blank
3. Staff Preference Survey
4. Staff Positive Regard Questionnaire

Probation Officer Background Questionnaire. This questionnaire, along with the Staff Preference Survey and the Strong Vocational Interest Blank (hereafter called the SVIB), was administered during the period in which the probation staff were receiving their training in behavior management. The Probation Officer Background Questionnaire asked the caseworkers to describe their personal characteristics using multiple-choice questions, and to respond to a series of 10 items measuring their attitudes toward probation and probationers. Items selected were chosen on an a priori basis as having some potential for identifying relevant characteristics of effective caseworkers. (The items are listed in Chapter III.)

Ratings of the caseworkers' socio-economic backgrounds were based on their fathers' (or prime wage earners') occupation. The scale was from an index reported in Occupations and Social Status (Reiss, Duncan, Hatt & North, 1961). Ratings on the 9-point scale are based on a combination of education, income, and an occupation's prestige rating.

The Strong Vocational Interest Blank. The Strong Vocational Interest Blank (SVIB) provides an index of the similarity between a person's interests and those of persons successfully employed in a wide range of occupations. It is not a test of aptitude or intelligence, but a method of comparing a person's interests (likes and dislikes) with those of persons in specified occupations. The occupational interests measured are in business, social service, and professions. The test is not appropriate for use with unskilled or skilled trade occupations. Its primary purpose was intended for use with college students in vocational counseling. However, because interests tend to remain stable after age 25, the SVIB is applicable to adults.

The test provides numerous scores and indices. The Basic Interest Scales identify the dominant themes in a person's interests. The content and meaning of each scale can be easily determined from the scale names, such as: social service, agriculture, art, etc. Scores are reported in standard score form with 50 representing the average score for a large, national, cross-sectional group. If a person has scored high on one of these basic interest scales, he has responded "like" to a large number of items related to that area of interest. The Occupational Scales provide a measurement of interest in more specific types of occupations. The test authors selected items for each scale according to responses given by a representative group of 300 or more people in each of the specified occupations.

Beyond our interest in learning about the SVIB pattern of probation staff, the test was seen as relevant because of its use in other studies of treatment outcomes as a means of identifying two types of treaters, the Betz A and B types. Each of these two types of treaters appears to be more effective with a different type of client--those identified as outpatient neurotics vs. those identified as schizophrenic (Betz, 1962).

The Staff Preference Survey. The Staff Preference Survey was originally developed as part of the Preston Typology Study (Jesness, 1971), and has been modified several times since then. The 60-item measure was designed to identify staff's working styles, and preferences for working with clients of different I-level subtypes. The client behaviors described in the various items represent a cross-section of the typical behaviors associated with the different subtypes. The items are worded in a transparent, straightforward manner, since the survey is not a personality test on the worker, but a means for him to express his preferences. The norm group used as the basis for translating raw scores by T scores (thus enabling a profile to be drawn), was a sample of over 100 probation officers, including those in the present sample.

Relationship Questionnaire (agent form). This questionnaire was designed to elicit staff's subjective feeling toward their clients (shown in Appendix D). The score consists of the sum of the officer's responses to all five items, providing a possible range of scores from 5 to 30.

#### Process Data

The most difficult data to collect were those describing the intervention-treatment process. The most important documents (and procedures) used as aids in summarizing information about each intervention and each behavior problem were (a) the Case Review Outline, (b) the Intervention Strategy Report, and (c) the Case Planning Worksheet. In the paragraphs that follow, each of these forms is described in detail, for the content of the forms reflects to a considerable extent the evolution of the consulting model.

Case Review Outline. The Case Review Outline (CRO) shown in Appendix E was designed to help the officers obtain and organize treatment-relevant information about clients.

The officers were asked to use the CRO as a guide in interviewing the client. They were encouraged to obtain as much objective information as they could in each category. The completed Case Review Outlines were screened by supervisors and consultants. When descriptions of behavior were too general, and needed further objective specification, the officer either completed the more objective specification with information already available to him or obtained more specific behavioral data at a later interview.

When the Case Review Outline was completed, and all the client's skills and positive behaviors, as well as problem behaviors, had been objectively described, the information was used to help the agents design behavioral treatment programs, based on the client's own goals and objectives.

The Case Review Outline and consultant-supervisor screening procedures served two purposes—(a) to train and shape the officers' skills in interviewing, and in objectively specifying client behaviors;

and (b) to provide an overall synopsis of all the information that an officer might use in designing behavioral treatment programs and negotiating contingency contracts with clients.

The Case Review Outline also provided implementation data for research staff. Each CRO was rated by project staff according to established criteria (see Appendix F). Section I of the CRO was not rated because that information could be obtained from clients' files and pertained to clients' vital statistics. Only information from the initial review was rated; information added to a later review was not counted. The rating of the Case Review served as a measure of the agent's skills in obtaining information during the initial interviews with his clients. The project hypothesis was that as the agents became more skilled in interviewing clients, the amount of complete information obtained during these initial interviews would increase.

The officers' ability to adequately specify behaviors was also evaluated by the rating scores. Consultants allowed an officer one opportunity to provide a more operational definition of a behavior that was initially described in an abstract or general way. If further questions or prompts were required to elicit an objective behavioral definition, a note was made on the Case Review Outline indicating that the item was not to be rated. The staff also hypothesized that the behavioral specifications provided by agents in case reviews would be increasingly more operational. The CRO data are presented in Chapter VI.

The Intervention Strategy Report Form. The Intervention Strategy Report Form, shown in Appendix G, was developed to simplify and systematize the collection and reporting of information about the types of treatment or intervention strategies employed by probation officers, and the treatment outcomes of specific interventions.

The first ISR was relatively unstructured. It had spaces to be filled in with the name of the client, agent, and agency, the description of the specific problem behavior to be treated, and the description of the data-collection system and intervention used in the case, if any had been. Agents were given a set of instructions describing the information needed.

The second ISR listed the most common types of intervention, including variations of behavior modification treatment. A numerical coding system indicated which intervention strategies were used with each behavior problem. The final version of the ISR was a further simplification that provided a semistructured format for indicating if contingency contracting was used with a specified behavior problem. It proved almost impossible to obtain valid data on other kinds of intervention strategies used by the officers, for they were described so vaguely and applied so unsystematically as to defy classification. Consequently, all activities of the DPOs, other than contingency contracting, were grouped together and defined as base-line conditions.

The Case Planning Worksheet. The worksheet was the last procedural refinement introduced into the consulting model. The worksheet (shown in Appendix H) was designed to aid the consultant, supervisor, and caseworker in establishing a sequential plan that specified (a) the behavior problem manifested by the client; (b) the behavioral change objectives; (c) any involvement of others in the plan; (d) the client's reinforcers; (e) the data-collection system to be used, including who would collect what type of data and when; (f) a summary of the contingency management program, or proposed contracts for each behavioral change objective; and (g) an indication of the treatment evaluation procedure (reversal, multiple base line, etc.) to be used.

Among its other virtues, the work sheet in case planning clarified the initial status of each case, helped to get treatment underway, and encouraged the worker to formulate a plan that enabled him to initiate a goal-oriented treatment intervention strategy rather than merely respond to crises.

#### Evaluation Procedures

The evaluation of project success in meeting its objectives required collecting data on the performance of supervisors, probation officers, and probationers. Project effects on the three different target groups were analyzed separately.

Supervisors were designated as the primary target group, field officers as the secondary target group, and probationers as the tertiary

target group. The triadic model called for project staff to have most contact with the supervisors, some with the field officers, and none with the probationers.

Evaluation of primary target group. Data on the performance of supervisors are presented in Chapter VI. Three major categories of performance objectives are described--(a) initial training; (b) the supervisors' performance in training their own staff; and (c) the supervisors' performance as consultants to their staff.

Evaluation of secondary target group. Performance data on line staff included (a) response to initial training; and (b) implementation-consultation phase performance. In addition to the traditional methods of evaluating training effectiveness (knowledge of content taught), data were collected to compare the quality and quantity of behavioral techniques used by probation officers at a time early in their training as contrasted with their behavior at a later period after more consultation and field work had been accomplished. The hypothesis was that the rate of desired behaviors would increase in proportion to the extent of the officers' training from consultants and supervisors.

The evaluation of field officers' performance during the field-implementation phase included (a) adequacy and completeness of the case review data; (b) relative frequency of use of contingency management in treatment of project cases; (c) proportion of project clients' contracts that met the minimum standards for contingency contracting established by project staff; and (d) time elapsed from assignment of case to initiation of contracting. These data are presented in Chapter VI.

The second set of data providing indirect information about the performance of field officers is presented in Chapter VIII. These data were based on the performance of their clients, as measured by either a decrease in rates of undesired behaviors, such as keeping late hours, or an increase in rate of desired behaviors, such as attending school.

A third analysis providing indirect data on the performance of field officers compared rates of illegal behaviors by clients of staff trained in contingency contracting, with the rates for control subjects of staff not trained in the project. Some of the many problems associated with this type of outcome evaluation in probation are discussed later in the report (see Chapter VIII).

Evaluation of tertiary target group. As is apparently true of other probation departments, the counties participating in CDDP did not maintain uniform or easily accessible records on the number of youth successfully completing probation, or data on those who "failed" probation by becoming involved in further delinquent activities. Reasons for the lack of data were inadequate record keeping, and the absence of well specified probation performance measures.

Three kinds of cases appear before juvenile courts: those that fit Section 600 of the Welfare and Institutions Code (dependent children); those that fit Section 601 (pre-delinquent); and those that fit Section 602 (delinquent). Both 601s and 602s were included in the CDDP project. For the purposes of analyzing differential responses to intervention, the behavior problems were classified into 10 broad categories and analyzed separately, for it was the impression of many caseworkers that certain kinds of behaviors were more amenable to behavioral techniques than others (i.e., data on the behaviors were more readily obtained, and the behaviors were more readily reinforced).

The severity of offense rating scale (see Appendix I) is a revision of a similar scale first devised by the California Youth Authority in 1958. The placement of each particular offense was done by obtaining the consensus of many persons in the criminal justice field. Minor changes in the scale have been made since (which, among other things, changed marijuana use to a less serious offense). Listed in Appendix I are the offenses arranged in groups from the least severe (curfew, runaway) to the most severe (murder).

Two measures of outcome were whether or not subjects committed known offenses during the postintervention period, and the difference between the severity of known offenses committed during the pre and postintervention periods. Preintervention severity was determined by assigning a level-of-severity code to each offense occurring during the 24-month prior history. The mean-severity level was then calculated for total prior offenses. Severity codes were also assigned to offenses occurring during the follow-up period, and the mean severity was calculated. The mean-severity score for the postperiod was subtracted from the mean-severity score for the preperiod to determine the change in severity. (To simplify interpretation, the signs were reversed so that a negative score indicated a decrease in severity, and a positive score an increase.)

Three periods of assessment of community behavior were defined: 1) a 24-month base-line period preceding assignment to the project as an experimental subject (for controls the corresponding period was 24 months prior to a specified time midway in the implementation phase, at which time the data were recorded); 2) the active intervention or project period, consisting of that time during which the subject was assigned to a trained project agent and an active treatment program was operational; and 3) the 6-month postproject follow-up period following termination from the project.<sup>2</sup>

Problem behaviors. For purposes of evaluation, problem behaviors not constituting crimes were distinguished from illegal 602 (community) behaviors. The distinction, important for many reasons, was made by project staff to clarify the measures of effectiveness of intervention strategies. Illegal behaviors were reported in the court reports-- problem behaviors not always were. Project staff attempted to increase

<sup>2</sup> Project cases were considered as terminated when they (a) committed an additional offense and were sent to CYA or a county ranch or camp; (b) successfully completed their probationary period; (c) were not involved in an active intervention program; or (d) were transferred to an agent who did not offer behavioral treatment.

uniformity in the reporting of these behaviors by carefully going over each case history. At termination of the client from active intervention, each officer indicated the extent to which the behavior remained a problem, although hard data to support the officers' opinions were not always available. Usually, the most convincing data were supplied by the contingency contractors.

A total of 1,248 problem behaviors and illegal behaviors were specified. From the fact that 361 illegal behaviors were recorded for 412 subjects, it is evident that few of the clients had been placed on probation solely for 601 offenses (which include running away, incorrigibility, truancy, etc.).

Illegal behaviors. To evaluate the effectiveness of behavioral intervention strategies in decreasing the rate of reported illegal behaviors, it was possible to go directly to case records. A record of each client's known offenses was extracted from the probation officer's report to the court at the time of his removal from probation. The court report usually includes a list of known offenses committed by the subject beginning with the first time he was brought to the attention of a legal agency, whether it was the local police department, probation department, or juvenile court. Project staff documented the type of offenses committed, and the rate or frequency of offenses, and rated the relative severity of the offenses.

Community behavior for the control-B sample was assessed by using a similar method. In August, 1973, a point midway in the project, data were recorded on the offenses committed by control subjects in the preceding period of 24 months. The succeeding six months, extending through February, 1974, represented for the controls a period somewhat similar to the active intervention period for project subjects. Six months later, in October, 1974, project staff returned to the case files and recorded all further offenses reported as committed by control subjects to that time. The period from March to October, 1974 comprised the 6-month follow-up period for controls. In this way the community behavior of control subjects was assessed over the same three periods

as project subjects; that is, 1) a 24-month base-line period, 2) a period corresponding to the project subjects' active intervention period (for controls the period was six months), and 3) a 6-month follow-up period.

## Chapter III

## Characteristics of the Caseworkers

In order to collect information on the characteristics of the participating caseworkers, research staff administered three instruments to them: the Probation Officers Questionnaire (POQ), the Staff Preference Survey (SPS), the Strong Vocational Interest Blank (SVIB), and the Relationship Questionnaire (RQ). The responses to the instruments are described in the following sections.

Probation Officers Questionnaire

Table 2 lists the characteristics of probation and parole officers whose caseloads included project subjects.

The average age of the sample of officers was 33.5 years; the range from 23 to 55. The sample was 78% male, and few were from minority groups, with 87% white, 7% Mexican-American, 4% black, and 2% Oriental or "other." Academic achievement at the master-degree level was reported by 16% of the sample. An additional 38% had continued earning credits beyond the bachelor level; 44% had four-year degrees; only two persons had two-year degrees. The majority of the sample (55%) had majored in college courses that appear directly relevant to probation work, such as psychology and correctional counseling. Another 28% had majored in related courses such as sociology, and 17% in unrelated fields (e.g., business administration and physical education). The sample contained caseworkers newly assigned to the job, and veterans of as many as 16 years in the probation field. The average length of experience was 5.5 years.

The socio-economic scores show that 26% of the caseworkers had come from lower or lower-middle-class backgrounds, 54% from the middle class, and 20% from upper-middle or upper class. Regarding their juvenile involvement in trouble, 46% responded that they had "never been in any trouble;" 19% said they had committed

Table 2  
 Characteristics of Probation Caseworkers <sup>a</sup>

Characteristic	Description of Responses		
Age	Mean = 33.5	S.D. = 7.4	Range = 23 to 55
Sex	Male - 78%	( $\bar{n}$ = 65)	
	Female - 22%	( $\bar{n}$ = 18)	
Race	White 87%	( $\bar{n}$ = 73)	
	Black 4%	( $\bar{n}$ = 3)	
	Mex/Amer. 7%	( $\bar{n}$ = 6)	
	Oriental 1%	( $\bar{n}$ = 1)	
	Other 1%	( $\bar{n}$ = 1)	
Education	Two years college 2%	( $\bar{n}$ = 2)	
	Bachelors Degree 44%	( $\bar{n}$ = 37)	
	Bachelors plus credits 38%	( $\bar{n}$ = 32)	
	Masters Degree 16%	( $\bar{n}$ = 13)	
Field of College Study	Psychology-Criminology 55%	( $\bar{n}$ = 46)	
	Sociology 28%	( $\bar{n}$ = 28)	
	Other fields 17%	( $\bar{n}$ = 17)	
Years of Experience in Probation Work	Mean = 5.5	S.D. = 3.4	Range = 1 to 16
Socioeconomic Level	Mean = 5.3	S.D. = 2.0	Range = 1 to 9
	"Lower-Lower Middle" 26%	( $\bar{n}$ = 23)	
	"Middle Class" 54%	( $\bar{n}$ = 49)	
	"Upper Middle-Upper" 20%	( $\bar{n}$ = 18)	
Delinquency Background as a Youth	Never got in any trouble 46%	( $\bar{n}$ = 38)	
	Petty offenses, no contact with law 19%	( $\bar{n}$ = 16)	
	One or more less serious contacts with law 28%	( $\bar{n}$ = 23)	
	One of more serious contacts with law 7%	( $\bar{n}$ = 6)	

Note. Sample includes one parole agent.

<sup>a</sup>  $\bar{N}$  = 84.

petty offenses such as "hooky" or curfew violations, but had had no contact with a law enforcement agency; 7% said they had had one or more contacts with the law for serious offenses, and 28% for less serious offenses.

Table 3 shows the responses of staff to the 10 attitudinal items on the POQ. The four response categories were: strongly agree, somewhat agree, somewhat disagree, and strongly disagree.

More than two-thirds of the staff were in agreement on six items. They essentially agreed that they:

1. Felt uncomfortable working with some types of youngsters.
2. Did not try to spread their time evenly across all clients on their caseload.
3. Thought that other factors were more influential in probation outcome than the caseworker-client relationship.
4. Did not feel uncomfortable knowing they had influence and power over their clients.
5. Thought that the use of punishment should not be increased.
6. Thought that present forms of treatment were effective.

They disagreed (that is, some believed and some did not) that:

1. Developing positive feelings toward their clients contributed to successful outcomes.
2. Probation was a successful diversion process.
3. Mutual positive regard between caseworker and client was necessary for successful outcomes.
4. Clients who succeeded on probation did so without much help from the caseworker.

The 10 items were placed in a principle-components factor analysis, and two factors were derived describing two distinct types of response patterns among probation officers. Table 4 lists the items that were grouped on the two factors. Also shown are the direction of scoring for the item and the item loadings on the factor. Factor A describes a worker who

Table 3

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Staff Responses to the Ten POQ Items  
in Percentage<sup>a</sup>

POQ Item	SA <sup>b</sup>	sa	sd	SD
There are some types of youngsters whom I feel quite uncomfortable working with.	24	51	17	8
I think that my developing positive feelings about individuals on my caseload is crucial to their successful completion of probation.	24	38	26	10
The probation system is a successful method of diverting youths from criminal careers.	6	54	30	10
I try to spread my time and effort equally across all the people on my caseload.	6	24	39	30
Factors outside the youngster-officer relationship are usually more influential in the outcome of probation.	47	44	9	0
I feel uncomfortable in the role of one who has the power to influence and control the behavior and values of other human beings.	3	15	46	36
More juveniles on probation should receive incarceration or some form of punishment for what they have done.	5	20	38	38
Most juvenile offenders will probably not benefit from any form of treatment we can presently provide.	4	22	38	36
If the probationer and the officer don't like and respect each other, the outcome of probation is very likely to be unsuccessful.	10	39	38	12
Most persons on my caseload who successfully pass through probation will probably do so without much assistance from me.	8	45	36	11

<sup>a</sup> N = 107.

<sup>b</sup> SA = Strongly agree.  
sa = Somewhat agree.  
sd = Somewhat disagree.  
SD = Strongly disagree.

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Table 4

Items on Two Factors Derived from the Ten Attitude Items  
of the Probation Officers' Questionnaire<sup>a</sup>

Loading	Direction	Item
Factor A		
.78	Disagree	Most persons on my caseload who successfully pass through probation will probably do so without much assistance from me.
.69	Disagree	Most juvenile offenders will probably not benefit from any form of treatment we can presently provide.
.63	Disagree	I feel uncomfortable in the role of one who has the power to influence and control the behavior and values of other human beings.
-.52	Agree	The probation system is a successful method of diverting youths from criminal careers.
.25	Disagree	I try to spread my time and effort equally across all the people on my caseload.
Factor B		
.84	Disagree	I think that my developing positive feelings about individuals on my caseload is crucial to their successful completion of probation.
-.50	Agree	There are some types of youngsters whom I feel quite uncomfortable working with.
-.32	Agree	More juveniles on probation should receive incarceration or some form of punishment for what they have done.

<sup>a</sup> N = 107.

believes that (a) he is an effective member of an effective correctional process; (b) he is confident that he has the capability of aiding youth on probation; (c) he is aware of and comfortable with his role of one who has the power to control the behavior of his clients; and (d) he does not "spread himself too thin" by attempting to devote equal time to each member of his caseload.

Factor B describes a worker who responded differently. He said he (a) does not consider it necessary to establish positive feelings toward his clients; (b) admits there are some youngsters he is uncomfortable working with; and (c) believes that punishment should be used to a greater extent with juvenile offenders.

#### Staff Preference Survey

Table 5 shows the number and percentage of probation staff who scored highest in each subtype category.

Table 5  
Number and Percentage of Probation Staff Scoring Highest  
in Each I-Level-Subtype-Preference Category<sup>a</sup>

	Subtype Preference					
	I2	Cfm	Cfc	Mp	Na	Nx
<u>n</u>	7	14	19	12	20	13
%	8.2	16.5	22.4	14.1	23.5	15.3

<sup>a</sup> N = 85.

There were 23.5% of the staff sample with highest preference scores on the Na worker scale; only 8.2% were highest on the I<sub>2</sub> scale. The distribution of subtypes among the probationers and of the staff-preference scores indicate that if desired, most clients could be matched with an officer showing a preference for working with that type of client.

#### Strong Vocational Interest Blank

Table 6 lists those Basic-Interest Scales on which the probation sample most commonly scored the highest. The table also shows the distribution of scores on Social Service, a scale on which it would be assumed probation staff would score high.

Table 6  
Number and Percentage of Probation Staff Scoring Highest  
on Basic Interest Scales, and the Distribution of Scores  
on the Social Service Scale

Basic Interest Scales	<u>n</u>	%
Law-Politics	13	16
Adventure	13	16
Social Service	12	15
Art	9	11
Public Speaking	6	8
Writing	4	5
Fifteen Other Scales	23	29

Social Service Scale	<u>n</u>	%
Level of Score		
Low (25-43)	4	5
Average (44-57)	27	34
High (58-63)	36	45
Very High (64-75)	13	16

The three Basic Interest Scales upon which the greatest number of staff scored highest were Law-Politics, Adventure, and Social Service. The first and third are self-explanatory. According to the SVIB manual, people scoring high on the Adventure scale include astronauts, military officers, policemen, and salesmen. On the test, they respond favorably to (a) being a secret service man, (b) being men who live dangerously, and (c) taking a chance as opposed to playing it safe.

The majority of the sample (61%) scored high (at or above a standard score of 58) on the Social Service scale, and only four staff scored low. Not so clear are the implications of peak scores on Law-Politics and Adventure, rather than on Social Service.

Table 7 shows the numbers and percentages of staff scoring "very high" on the occupational scales. There are 54 occupational scales on the SVIB. The table includes only those occupations where at least 10% of the staff scored very high. Many staff scored very high in more than one occupation, and therefore are included in more than one category in the table.

Probation officers usually scored high in occupations similar to their own; for example, social worker and rehabilitation counselor. The most commonly selected occupation was teacher, also a "helping profession." Other occupations in which probation officers scored high are less related to their own fields; for example, artist, musical performer, military officer, and scientist.

The SVIB's Occupational Introversion-Extroversion Scale was developed by contrasting SVIB responses made by extrovert and introvert types as classified by the MMPI extroversion-introversion scale. On the SVIB scale, scores of 60 or more indicate a tendency toward introversion, scores of 40 and below indicate extrovertive tendencies.

Table 7

Number and Percentage of Staff Scoring "Very High" on  
Selected Occupational Scales from the SVIB

Occupational Scale	<u>n</u>	%
Teacher (various subjects)	41	51
Social Worker	28	35
Artist or Musician Performer	25	31
Rehabilitation Counselor	24	30
Physical Therapist	23	29
YMCA Staff Worker	21	26
Public Administrator	17	21
Community Recreation Administrator	15	19
Military Officer	15	19
Scientific (chemist, biologist)	12	15
Psychologist	9	11
Salesman	8	10
Author-Journalist	8	10

Probation Staff Scores on the Occupational  
Introversion-Extroversion Scale  
from the SVIB

OIE Score	<u>n</u>	%	
Over 64	2	4	Introverts
55-64	8	15	
45-54	11	21	
36-44	21	40	Extroverts
Under 35	11	21	

Table 8 shows the distribution of staff scores on the SVIB Introversion-Extroversion scale. Because of a change in the project's scoring services' method in scoring the SVIBs, the scores were available on only 53 of the probation staff. Sixty-one percent of them scored as extroverts on this scale, 19% as introverts, and 21% in the gray-middle range.

The SVIB provided one further score that project staff thought might be worth investigating in regard to its effect on probation services. Betz (1962) developed a scale using a number of SVIB items that identified two types of caseworkers, the A-type and B-type. Fancher (1972) described the A-type as "intuitive, empathic, and having easy access to emotional processes," and B-types as "more rational and intellectualized in their approach to interpersonal situations" (p. 22). Betz, Fancher, and others found that A-type workers were more successful in working with hospitalized schizophrenics. B-type workers seemed to do better with neurotic or non-psychotic outpatients.

Table 9 shows the distribution of the probation officers' scores on the Betz scale. The scale measures the presence of A-type qualities;

consequently, a high score indicates an A-type worker, a low score B-type. The original scoring method contained negative numbers, so it was converted to a positive scale of 1 to 21.

Table 9

Distribution of Betz A- and B-Types  
among Probation Staff

Type	Score Range	<u>n</u>	%
A	14-19	38	47
A/B	11-13	25	31
B	5-10	18	22

Of 81 staff tested, 47% scored as A-type workers, 22% as B-type workers, and 31% in the middle range, where Betz said the score cannot be reliably used to detect either A- or B-type qualities. Those workers are here labeled as A/B types.

#### Positive Regard

Table 10 lists the response of staff to the caseworker form of the Relationship Questionnaire. Officers completed and returned forms on 70% of the subjects in the sample. The items had a range of one to six, with six representing the most positive response. Shown in the table are the percentages of subjects on whom caseworkers made a positive response, the item mean and standard deviation, and the caseworker positive regard score.

Table 10

## Caseworker Responses to Relationship Questionnaire

## Items and Mean Caseworker Positive

Regard Score<sup>a</sup>

	% Agree	Mean	S.D.
I would say that my subjective feelings toward this client so far are that I like him (as well or better than others).	87.2	4.16	.85
So far, this client appears to respond to me in a way that seems (positive).	75.4	4.11	1.06
I feel subjectively that with this client I have established an unusually close mutually positive relationship.	51.2	3.39	1.03
It is my impression that I understand this client, how he feels, how he thinks, and how he will probably respond to certain situations.	72.1	3.88	.90
So far in dealing with this client I have found it easy to converse and interact with him in an interview, as well as informally.	72.3	4.08	1.12
Total Score - Caseworker Positive Regard		19.63	3.85

<sup>a</sup> N = 288.

The officers reported that they had positive feelings toward most project subjects on their caseloads (87.2%), and that 75.4% of their clients responded to them in a positive manner. The officers said that in about 72% of the cases they both understood the client and found him easy to talk to. (Only 55.6% of the subjects responded on the client form that they found it easy to talk with their probation officers.) Caseworkers thought they had established unusually close mutually positive relationships with 51.2% of the subjects. The sum of a caseworker's five responses on each subject provides a measure of the positive regard he felt toward the client. The range of this variable is five to 30; the caseworkers' mean score on positive regard was 19.63.

## Chapter IV

## Characteristics of the Subjects

Data on the subjects were gathered through the use of several instruments. Some questionnaires were completed by the subjects shortly after they were designated as project subjects; others were completed by the probation officers. Listed in Table 11 are the several measures and the number of completed forms collected for the project sample of 412 subjects.<sup>3</sup>

Table 11

List of Instruments Used; Number  
and Percentage Collected

Form	Completed By	Number Collected	%
Data Collection Form	Staff	385 <sup>a</sup>	93.4
Background Questionnaire	Subject	361	87.6
Jesness Inventory	Subject	343	83.2
Behavior Checklist - Self-Appraisal Form	Subject	318	77.1
Behavior Checklist - Observer Form	Staff, Parents, Others	280 <sup>b</sup>	67.9

<sup>a</sup>This basic form was not received for 27 subjects; however, age, race, and sex were collected on virtually all 412 subjects.

<sup>b</sup>Observer ratings on the behavior checklist (by from one to three raters) were collected for 280 subjects.

<sup>3</sup>Because the 12 parolees in the project comprised such a negligible part of the sample (3%), we have simplified the presentation by referring to the subjects as probationers.

The number of forms collected differed because of the varying success in the method of collection. For instance, the data collection form was supposed to be filled out by the probation officer immediately following the designation of a subject as a project participant. Arrangements for having the inventory and checklist completed by the subjects were left to the probation department's discretion, and a somewhat lower percentage of those forms was completed.

Personality Types: I-Level Classification

In order to determine whether behavioral contracting resulted in differential outcomes with different personality types among probationers, the subjects were classified according to I-level and subtype.

The Sequential I-Level Classification System (Jesness, 1975) was used in the classification of the subjects. The system uses computer-derived probability scores from two instruments: the Jesness Inventory and the self-appraisal form of the behavior checklist (both described in Chapter II). In arriving at a classification, the probability values are considered sequentially according to a set of rules. First, I-level is determined, then subtype within that level. The inventory probabilities are used as the first step. If the inventory probabilities are not sufficiently high, the probabilities from the behavior checklist are used as supplementary data. The inventory and self-appraisal behavior checklist produce a single subtype classification for about 75% of the subjects, with a dual classification indicated for the remainder. For the purposes of this study only the first, or most highly probable, subtype was used in classifying the subjects. A complete description of the system, including its development and reliability, may be found in the Sequential I-Level Classification Manual (Jesness, 1975).

There were 345 subjects for whom it was possible to classify according to I-level and subtype. The remainder could not be classified because either the inventory, the checklist, or both were missing. Table 12 shows the distribution of subjects

according to I-level and subtype. Compared with a CYA sample, the probationers were overrepresented in the Cfc and Na subtypes and underrepresented in the Nx subtype.

Table 12

Distribution of I-Level and Subtype among  
Probation Sample (N = 345)

I-Level	Subtype	n	Percent
I <sub>2</sub>	Total	43	12.5
	I <sub>2</sub> U*	7	2.0
	Aa	9	2.6
	Ap	27	7.8
I <sub>3</sub>	Total	179	51.9
	Cfm	50	14.5
	Cfc	73	21.2
	Mp	56	16.2
I <sub>4</sub>	Total	123	35.6
	Na	90	26.1
	Nx	25	7.2
	Se	7	2.0
	Ci	1	.3

\*I<sub>2</sub> U = I<sub>2</sub> level, undifferentiated subtype

The following section presents a description of the characteristics of the project's probation population. Previous studies with adolescent offenders (Jesness, 1967, 1975) have shown that subjects of the different subtypes display different characteristics and attitudes. Each data

table will, therefore, include the results for each subtype. The text will generally deal with the description of the results for the total population, but where interesting differences occur the differential characteristics of the subtypes will be discussed.

#### Data-Collection Form

Table 13 shows the basic background characteristics of the subjects as reported on the data collection form. The subjects ranged in age from 8 to 22 (most of those subjects 19 and older were CYA parolees with the San Francisco Community Parole Center). The mean age was 15.1, the modal age 16. Fifty-two percent were white, 30% black, 13% Mexican-American, and 5% other ethnic groups. White subjects were overrepresented among the I<sub>4</sub> Na and Nx subtypes and slightly underrepresented among I<sub>2</sub> and I<sub>3</sub> subtypes, especially among the I<sub>3</sub> Cfm where only 22% were white. The sample consisted of 81% males and 19% females. One half of the I<sub>4</sub> Nx subjects, however, were female.

Ratings of the subjects' socio-economic background were made by using the same method as used with the caseworkers. The probation subjects came from all socio-economic levels. The mean rating of 4.1 falls at a level commonly considered "lower middle class" in America. Family income for 13% of the sample was reported as "welfare." The proportion of subjects from families on welfare is probably higher; an additional 15% of the wage-earners' occupations were reported as housewife, unemployed, or disabled, and many of these families were probably on some form of welfare.

Ninety percent of the subjects were living with their own families, 54% with both parents, 36% with one parent. The remainder were living with relations, in foster homes, or in group homes of some kind. The I<sub>3</sub> Mp and I<sub>4</sub> Na subjects were more often living in a home with both parents.

Table 13

Characteristics of Probationers by Total Group<sup>a</sup> and I-Level Subtype<sup>b</sup>

Variable	Total	I <sub>2</sub>	Cfm	Cfc	Mp	Na	Nx
Age at assignment	Mean 15.1	15.1	15.4	15.2	14.9	14.8	15.0
Age at 1st delinq. contact	Mean 13.4	12.8	13.5	13.3	13.0	13.3	13.7
Ethnic Group:							
White	% 52	47	22	45	39	73	88
Black	% 30	29	46	38	43	15	4
Mex/Am	% 13	21	20	13	14	7	8
Other	% 5	3	12	4	4	5	0
Sex:							
Male	% 81	83	82	94	89	81	50
Weapons used on most recent offense	% 12	15	13	12	9	10	4
Socio-economic rating: <sup>c</sup>							
1	% 30	28	40	32	27	18	28
2 - 3	% 23	31	26	28	32	19	12
4 - 5	% 20	19	16	19	25	18	28
6 - 7	% 22	22	18	14	11	38	24
8 - 9	% 5	3	0	7	5	7	8
Mean S/E rating	% 4.1	3.1	2.8	3.3	3.2	4.4	4.0
Subjects' placement:							
Own home - both parents	% 54	41	49	46	65	66	46
Own home - one parent	% 36	47	40	43	31	24	42
Other home	% 10	12	11	12	4	10	12
Narcotics use history:							
Unknown	% 48	61	54	58	52	38	44
Not a user	% 10	11	14	6	9	12	12
Occasional user	% 30	17	26	28	34	30	32
Moderate to heavy	% 12	11	4	8	5	19	12

<sup>a</sup> N for total group is 385, with small variations due to missing data

<sup>b</sup> N for subtypes is same as in Table 12

<sup>c</sup> Higher numbers refer to higher socio-economic rating. Socio-economic rating 1 includes reported occupations of housewife, unemployed, disabled, welfare recipient, and unknown.

Each subject's history of narcotics use was determined by probation staff from case histories. Almost half were recorded as "unknown," 30% were known to be occasional marijuana and drug users, and 12% were reported as moderate to heavy users. On the background questionnaire, (discussed below) about half the subjects admitted using marijuana a "few times" or more, and almost 30% admitted using narcotic drugs a "few times" or more.

#### The Background Questionnaire

The background questionnaire, comprised of 33 items, was administered to the subjects by the probation staff. The items call for a self-report of behavior and attitudes by the subjects. Many of the items were taken from a questionnaire, the Youth Opinion Poll, used with delinquents in the Youth Center Research Project (Jesness, DeRisi, McCormick, and Wedge, 1972). Table 14 lists some of the items from the questionnaire. (While the items had up to five possible responses, many have been dichotomized at a logical point for ease in presentation.)

Table 14 shows that youths on probation report many behavior problems, both in school and in the community. Truancy is common (69%); most have been sent to the principal's office for misbehavior (84%); and suspension from school has often been necessary (73%), for some more often than five times (15%).

Behavior problems in the community were fairly frequent, according to the subjects' own reports: 50% had run away from home (68% of Nxs); 39% had vandalized buildings (52% of Nas); 45% had been involved in gang fights (most often by I<sub>2</sub>s--53% and Cfcs--52%, least often by Nxs--20%); 60% admitted involvement with drugs and marijuana (most often the Nxs--64% and Nas 61%. Virtually none (2%) of the subjects considered themselves addicted to drugs, however, and 39% thought that drugs and narcotics were dangerous and should not be used (only 18% of Cfms thought that). Only 11% of all subjects thought they might use drugs or narcotics in the future.

Table 14

Subject Responses to Selected Items from the Background Questionnaire, in Percent<sup>a</sup>

Item	Response	Total						
		n	I <sub>2</sub>	Cfm	Cfc	Mp	Na	Nx
How do you feel about school?	Hate, don't like it	21	22	12	25	16	21	12***
	It's OK	48	36	34	44	41	51	52
	Like it	31	31	44	20	36	26	28
Of all the teachers you have known, how many have you liked?	Several, most, all	60	56	66	47	53	56	76***
How much do you care what teachers think of you?	Matters little	42	50	28	51	49	37	8***
	Matters some	37	11	34	32	29	47	48
	Matters much	22	28	28	14	16	14	36
How well did you do in the last year you attended school?	Failed most subjects	16	17	18	10	14	15	28
	Passed some, failed some	29	25	14	29	36	26	28
	Passed, but got some Ds	18	19	14	19	9	25	16
	Passed, with mostly Cs	23	17	24	25	23	21	8
	Passed, with mostly As & Bs	14	11	20	14	11	11	12
How many times have you skipped from school?	None or once	30	39	34	38	23	26	16
	Two to 10	32	17	28	32	46	30	40
	More than 10	37	33	28	28	23	42	36
How many times have you been sent to principal's office?	Never	16	17	20	11	18	14	20
	One to four	45	22	44	46	48	40	44
	Five or more	39	50	26	40	25	43	28
How many times have you been suspended from school?	Never	27	17	28	31	14	33	24
	Once	20	22	22	11	21	21	12
	More than once	53	50	40	56	57	44	56

Item	Response	Total	I <sub>2</sub>	Cfm	Cfc	Mp	Na	Nx
Self-reported Behavior								
How often have you: Run away from home	Once or more	50	56	34	44	39	50	68*
Run away from camp or institution	Once or more	13	17	18	11	5	6	8
Damaged a school or building	Once or more	39	36	22	35	30	52	40**
Taken part in a group fight	Once or more	45	53	32	52	34	47	20*
Helped jump somebody & beat him up	Once or more	31	42	18	32	30	34	12*
Used marijuana or pills	Once or more	60	47	42	53	48	61	64**
Used drugs other than marijuana	Once or more	37	31	22	26	30	42	44
Do you consider yourself addicted to drugs?	Yes	2	3	2	3	2	1	0
	Not sure	3	6	2	3	4	1	0
	No	95	78	84	90	88	92	92
Drugs and narcotics are dangerous and shouldn't be used.	Agree	39	31	18	46	45	33	24**
I might get involved with narcotics or drugs in future.	Agree	11	14	2	11	9	12	0
I feel in control of my own life. If I get in trouble it's because I decide to. If I don't get in trouble it's because I decide not to.	Agree	74	61	52	64	66	76	84
Do you expect to get in any further trouble before com- pleting probation?	Sure I won't	76	56	78	73	68	75	84**
Are you satisfied with yourself, or do you feel you need to change?	No change needed	49	31	64	55	43	45	28***

Item	Response	Total	I <sub>2</sub>	Cfm	Cfc	Mp	Na	Nx
People in my family act like they want me to change.	None, very little	26	17	36	25	32	22	16*
	A little	26	11	22	31	11	30	24
	A lot	48	61	32	40	50	54	52
I feel that I can count on my parents to help me.	Usually, always	63	47	72	58	66	54	44**
How satisfied are you with the way you treat your family?	Dissatisfied	24	31	18	28	11	28	16*
At home I am free to go wherever I want with whomever I want	Hardly ever	32	22	24	17	25	24	40
Do you ever think of yourself as a worth- less individual?	Often, sometimes	27	44	20	24	16	21	40***
How do you think you will get along with your PO?	Fairly good or better	72	58	70	68	68	65	80

<sup>a</sup>Percentages do not always equal 100% for subtypes, because of missing responses.

\*  $p < .05$   
 \*\*  $p < .01$   
 \*\*\*  $p < .001$

Three-fourths of the sample said that they felt they were in control of their own lives (52% of the Cfms and 84% of the Nxs). One out of four subjects said he would get into further trouble, even before completing probation. Forty-nine percent said they did not need to make any changes in themselves (only 28% of Nxs thought that), although 74% of the sample agreed that their families would like to see them change at least a little. On other questions pertaining to family relationships, 63% said they could "count on" their parents, 24% felt dissatisfied with the way they treated their families (fewest among Mps - 11%), and 32% reported they could "hardly ever" go around with anyone they wanted to. Twenty-seven percent said that they at least sometimes thought of themselves as worthless individuals (I<sub>2</sub>s - 44% and Nxs - 40%). (The complete questionnaire appears in Appendix J.)

Table 15 describes the types of offenses for which the subjects were placed on probation. The most frequent were burglary (71 subjects), runaway (47 subjects), truancy (30 subjects), auto theft (30 subjects), and incorrigibility (24 subjects). There were few discernible offense patterns among the subtype groups. The crime of robbery was committed by Cfcs and Mps in 14 of 23 cases, arrests for possession of marijuana were made on Cfcs and Nas in nine of 14 instances, and half the truancies (15 of 30) were by Cfms and Nas. Subjects of these two subtypes appear to truant for very different reasons since their responses to items regarding school are quite dissimilar.

#### Jenness Inventory

The Jenness Inventory was administered by probation staff to the youth shortly after their designation as project subjects. Project staff provided probation staff with brief training in the administration of the inventory and behavior checklist.

Table 15

Offenses for which Subjects were  
Placed on Probation

Type of Offense	n	%
Crimes Against Persons	64	16.5
Armed Robbery	10	
Unarmed Robbery	13	
Battery	19	
Sex Offenses	8	
Other	14	
Crimes Against Property	159	41.1
Burglary	71	
Auto Theft	30	
Petty Theft	22	
Other	36	
Drug Related Crimes	26	6.7
Possession of Marijuana	14	
Possession of Drugs	6	
Other	6	
Miscellaneous Offenses	28	7.2
Juvenile Offenses	110	28.4
Runaway	47	
Truancy	30	
Incorrigible	24	
Other	9	

Table 16 shows the means and standard deviations for 343 probationers on the 10 psychological-attitudinal scales and the Asocial Index. Also included in Table 16 are mean scores for a sample of 450 Youth Authority subjects tested during the Youth Center Research Project (Jesness, et al. 1972). The CYA sample was all male, ages 15-17, with an average age of 16, somewhat approximating our probation sample.

The probationers scored more than a standard deviation (10 T-score points) higher than the mean of 50 for nondelinquents on Social Maladjustment and the Asocial Index, primary indicators of probable delinquent behavior. The probationers scored nearly a standard deviation higher than the nondelinquent norm group on Autism and Alienation. The major differences between their scores and the scores attained by the CYA sample were on Alienation (where the probationers scored higher), on Social Anxiety (where the probationers scored lower), and on the Asocial Index where they also scored lower.

#### Jesness Inventory: Subtype Data

Mean scores for each subtype group on the scales of the Jesness Inventory are shown in Table 17. That the subtype scores differ significantly on each scale is not surprising since the scale scores (along with 12 other special scales) are the primary data used in the Sequential I-Level system to derive subtype classification. The scores are presented here as descriptive information regarding the characteristics of the subtypes.

The I<sub>2</sub> subjects had the highest scores (generally least desirable) on all scales but Repression and Denial. They had the lowest score on Denial. A low score in Denial correlates with self-deprecating verbal behavior and a tendency to admit to problems that are not considered serious by subjects of other personality types. Subjects

Table 16

Means and Standard Deviations on the Jesness Inventory  
for Probation Sample and Youth Authority Sample

Scale	Probation (N = 343)		Youth Authority (N = 450)	
	Mean	S.D.	Mean	S.D.
Social Maladjustment	62.2	10.3	64.3**	10.9
Value Orientation	55.7	10.3	53.8*	10.7
Immaturity	56.1	11.7	53.3***	10.5
Autism	58.0	9.2	55.9***	9.4
Alienation	59.4	9.9	53.8***	11.3
Manifest Aggression	52.1	10.6	50.8	11.2
Withdrawal	51.7	9.9	55.6***	9.8
Social Anxiety	44.9	11.0	49.4***	12.4
Repression	53.5	10.6	53.3	11.2
Denial	46.1	10.5	49.2***	10.7
Asocial Index	62.8	9.6	69.3***	9.7

\*  $p < .05$   
 \*\*  $p < .01$   
 \*\*\*  $p < .001$

Table 17

Jesness Inventory Means and Standard  
Deviations, by Subtype Group

Scale	<u>n</u>	I <sub>2</sub> 36	Cfm 50	Cfc 72	Mp 56	Na 88	Nx 25
Social Maladjustment	Mean	73.1	55.0	63.4	62.5	61.3	59.9*
	S.D.	9.1	7.7	7.8	10.0	9.3	8.8
Value Orientation	Mean	66.4	48.3	58.8	56.2	54.8	51.3*
	S.D.	7.7	7.5	7.3	9.8	8.2	7.9
Immaturity	Mean	71.8	59.3	57.3	53.1	49.0	52.6*
	S.D.	11.0	8.7	9.0	10.0	10.0	8.8
Autism	Mean	67.5	50.8	59.1	58.3	57.3	56.1*
	S.D.	8.2	8.8	7.3	7.8	7.7	8.7
Alienation	Mean	67.8	55.7	63.5	62.6	56.2	49.4*
	S.D.	7.9	7.3	8.2	8.9	7.9	8.1
Manifest Aggression	Mean	61.6	45.0	53.0	50.4	53.3	49.4*
	S.D.	8.2	8.4	9.0	10.5	9.0	8.9
Withdrawal	Mean	59.7	51.5	48.5	48.9	50.8	58.9*
	S.D.	8.2	8.7	8.9	8.7	8.8	9.5
Social Anxiety	Mean	51.4	43.0	41.4	38.4	46.3	57.6*
	S.D.	7.3	10.1	10.5	9.5	10.4	9.3
Repression	Mean	58.1	61.7	53.3	55.9	45.5	51.4*
	S.D.	9.4	8.6	9.7	8.8	9.2	8.3
Denial	Mean	39.6	52.5	46.4	49.0	44.0	43.1*
	S.D.	8.0	11.0	8.4	10.7	8.7	11.0
Asocial Index	Mean	64.1	60.2	62.4	62.9	63.8	63.0
	S.D.	9.2	9.1	8.6	9.0	10.8	9.0

\*  $p < .001$ , across types as determined by ANOVA

of all subtypes scored significantly higher than nondelinquents on Social Maladjustment, which is correlated with their problems in comporting themselves in a socially acceptable manner.

The profile of the I<sub>3</sub> Cfm subjects is characterized by fairly average scores (for delinquents) on all scales, with the exception of higher than average scores on Immaturity and Repression. The most characteristic score for I<sub>3</sub> Cfc subjects is their elevated score on Alienation, which correlates with other indicators of hostile feelings toward authority. The Cfc's also scored nearly a standard deviation above the nondelinquent mean of 50 on Autism. The I<sub>3</sub> Mp subjects' profile of scores is similar to that of the Cfc's. The Mps scored extremely low on Social Anxiety, which correlates with other indices of low social sensitivity and lack of consideration for others.

The two I<sub>4</sub> subtypes show some basic differences from each other. The Na subjects scored higher on Alienation, while the Nx subjects scored higher on Withdrawal and Social Anxiety. The Nas scored lowest of the subtypes on Repression, which coincides with their descriptive name: "acting-out neurotic;" they react in an aggressive or socially unacceptable manner.

#### Behavior Checklist

Two forms of the behavior checklist were used. Each subject was to have completed a self-appraisal form after being designated a project subject, when he also was to complete the inventory. The observer form was completed whenever possible by one or both parents. The parents were usually asked to accompany their child to the probation center and completed the form while the youth completed the self-appraisal in another room. A special observer form was occasionally used with parents who had reading or language problems. This form contained the same items, but reworded in

simpler language. Probation officers filled out observer forms whenever they thought they knew the subject well enough to make accurate behavior ratings. In other cases, a sister or other relative might have been asked to complete the form. In all cases, the ratings of the observers were averaged in the computer scoring program, and the resulting factor scores are based on the composite item ratings.

Table 18 shows the self-appraisal and observer mean factor T-scores for the sample of probationers and for a sample of CYA subjects from the Youth Center Research Project.

Table 18

Self-Appraisal and Observer Mean Factor T Scores on the  
Behavior Checklist for Probation and CYA Samples

BCL Factor	Self-Appraisal		Observer	
	Prob.	CYA	Prob.	CYA
	<u>n</u>			
Unobtrusiveness	318	967	280	967
	51.8	54.2**	48.3	47.6
Friendliness	48.8	52.2**	46.4	46.9
Responsibility	58.3	62.5**	49.7	50.7
Considerateness	61.6	62.1	57.1	51.4**
Independence	56.0	54.0*	53.7	47.2**
Rapport	51.4	55.9**	49.2	46.7**
Enthusiasm	50.8	50.5	53.0	46.8**
Sociability	58.9	60.1	59.7	50.3**
Conformity	49.2	51.1*	48.7	47.8
Calmness	54.7	52.7*	50.2	47.3**
Communication	54.8	58.0**	54.7	49.6**
Insight	65.8	68.5**	55.8	49.2**
Social Control	52.9	55.6**	49.6	48.5
Anger Control	48.2	54.5**	44.8	48.0**

\*  $p < .05$   
\*\*  $p < .001$

Note. The tests of significance ( $t$  tests) were performed on the differences between factor means for the probation and CYA samples on the self-appraisal and observer forms.

The probation subjects' mean self-appraisal scores were exceptionally high on Considerateness and Insight (61.6 and 65.8, respectively). (A high self-appraisal score on Insight may be typical for persons under correctional supervision, since most of them probably are told repeatedly to work on solving their problems.) The probationers also rated themselves positively on Responsibility (58.3) and Sociability (58.9). The observer scores for probationers were within two or three T-score points of the self-ratings on all factors except Responsibility, where observers scored the probationers lower by 8.6 points, and on Insight, where the mean observer score was 10 point lower. The observer scores indicate that the probationers were seen as considerate to others and sociable with their peers, but less friendly toward authority figures, and less skilled at expressing angry feelings in socially acceptable ways.

Comparing the scores of the probation sample with the CYA sample leads to the conclusion that there are differences in the self-reported behavior of the two types of subjects. The probationers rated themselves significantly lower than CYA subjects on nine of 14 factors. In particular, the probationers scored themselves lower on Rapport and Anger Control. The observer ratings of the probationers, however, were generally more positive than the observer ratings of the CYA subjects, especially on the Considerateness, Independence, Enthusiasm, Sociability, Communication, and Insight factors. Only on Anger Control was the probationers' mean observer score significantly lower than the CYA youth ( $p < .01$ ):

The average difference between observer and self ratings across all 14 factors was 3.5 for probationers and 7.6 for CYA subjects. For reasons not evident from the data, youth on probation agree more closely with observers' appraisals of their behavior than do the CYA youths.

Observer ratings made by the subjects' parents were compared with those made by the probation officers. There were 36 subjects

on whom both the probation officer and a parent completed the observer form of the Behavior Checklist. Table 19 contains the average factor scores for parents and probation officers.

Table 19

Mean Behavior Checklist Factor Scores on a Sample of 36 Subjects, with Parent and Probation Officer Ratings Shown Separately

Factor	Rater	
	Parent	Probation Officer
Unobtrusiveness	50.8	47.4
Friendliness	48.9	46.1
Responsibility	51.6	45.5
Considerateness	60.1	54.0*
Independence	53.5	48.8
Rapport	50.0	46.1
Enthusiasm	56.6	50.5
Sociability	65.3	56.9**
Conformity	51.1	44.1*
Calmness	54.2	51.8
Communication	53.9	49.5
Insight	57.2	53.6
Social Control	51.4	47.5
Anger Control	45.8	46.5

\*  $p < .05$

\*\*  $p < .01$

As shown in Table 19 parents were more positive in their ratings than probation officers on 13 of 14 factors. The differences were significant on Considerateness, Sociability, and Conformity. The parents' rating on Anger Control was just slightly lower than that made by the probation officers, and both were below the norm, 45.8 and 46.5, respectively. According to parents, their children's behavior was generally positive, their strongest points being considerateness for others and sociability with peers. The only parent ratings to fall below a T-score of 50 were on Friendliness (toward adults) and Anger Control. Poor anger control has shown up consistently in the observer and self-ratings of the probationers. The probation officer ratings ranged from 45 to 55 on 12 of the factors, in close proximity to the norm. The most positive rating made by probation officers, as well as parents, was on Sociability.

Mean self-appraisal scores on the Behavior Checklist for I-level subtype groups are shown in Table 20. As shown, there were significant differences in the average self-appraisal scores of subjects of the several I-level subtypes;  $I_2$ s, for example, reported themselves as responsible but not very independent. They reported that they had difficulty controlling their anger and behavior in social situations, yet described themselves as sociable and considerate of others. Their self-rated factors, however, were the lowest (most negative) on 11 of 14 factors.

The  $I_3$  Cfms tend to score themselves high on all factors, especially Responsibility, Considerateness, Sociability, and Insight. The Cfcs rated themselves low on Friendliness, Rapport and Conformity--all interpreted as anti-authority and anti-social measures. The Mps once again scored similarly to the Cfcs, but did not report as many feelings and behaviors interpreted as anti-authority. The Mps tended to rate their behavior very positively, attaining the highest factor scores on Responsibility, Independence, Enthusiasm, Calmness, and Communication.

Table 20

Behavior Checklist Self-Appraisal  
Factor Means, by Subtype Group

BCL Factor	I <sub>2</sub>	Cfm	Cfc	Mp	Na	Nx
	<u>n</u>					
Unobtrusiveness	45.2	57.8	50.3	52.4	50.6	56.1**
Friendliness	44.9	55.8	46.2	50.2	45.5	55.2**
Responsibility	57.2	60.6	58.0	61.9	55.9	61.0
Considerateness	62.0	64.0	57.8	63.3	60.0	69.0*
Independence	46.4	53.8	56.3	59.7	57.9	56.5**
Rapport	47.5	58.0	48.4	54.1	47.9	57.1**
Enthusiasm	43.2	55.5	50.6	57.7	48.7	46.5**
Sociability	55.4	62.7	58.7	61.5	57.8	55.8
Conformity	42.3	55.6	46.4	52.0	47.4	55.5**
Calmness	44.3	59.6	56.3	60.4	54.7	46.2**
Communication	52.8	56.8	51.4	57.8	55.0	56.0
Insight	64.2	66.4	65.5	67.7	65.5	69.2
Social Control	44.5	57.4	52.4	53.7	53.1	57.0**
Anger Control	40.0	55.1	47.1	49.2	47.5	52.4**

\*  $p < .01$   
\*\*  $p < .001$

The Nas scored lower on Friendliness, Rapport, Conformity, Anger Control, and higher on Calmness. The Nxs' self-ratings were generally more positive except for Enthusiasm and Calmness, where they scored the lowest, (except for the I<sub>2</sub>s).

Table 21 displays the observer factor scores. Again, significant differences among subtypes are apparent on most scales. Comparing the self-appraisal scores in Table 20 with the observer ratings in Table 21 reveals other data about subjects of the different subtypes.

The observer scores for I<sub>2</sub>s are lower on Responsibility, Considerateness, and Insight than the self-appraisal scores are, and higher on Enthusiasm and Conformity.

Table 21

Behavior Checklist Observer Factor  
Means, by Subtype Group

BCL Factor	I <sub>2</sub>	Cfm	Cfc	Mp	Na	Nx
	<u>n</u>					
Unobtrusiveness	45.6	53.6	48.7	47.7	47.1	52.5*
Friendliness	46.1	52.0	45.6	45.4	45.5	49.9*
Responsibility	48.1	55.1	48.7	48.4	49.7	52.1
Considerateness	55.4	62.6	55.5	59.0	53.9	61.2**
Independence	44.5	56.3	53.9	54.2	55.7	51.7**
Rapport	49.4	53.6	46.6	48.8	47.3	55.4*
Enthusiasm	49.8	57.5	52.5	54.7	53.1	48.7
Sociability	55.9	64.6	58.0	61.6	59.7	56.6*
Conformity	47.7	55.1	47.6	46.2	47.9	54.2**
Calmness	43.2	53.4	51.2	53.2	50.4	47.3*
Communication	53.0	58.0	53.1	54.3	55.1	54.8
Insight	52.6	60.2	54.4	57.9	54.2	58.1*
Social Control	45.0	54.4	46.7	49.4	50.2	55.7**
Anger Control	43.9	48.7	44.5	43.2	43.7	48.2

\*  $p < .05$   
\*\*  $p < .01$

**CONTINUED**

**1 OF 3**

There is little difference between observers' and self-rated scores for Cfms. Observers and subjects rate the subject's general behavior positively. The lowest observer score for Cfms is on Anger Control, more than six T-score points lower than the self-rated score. The observer and self-rated scores are also very similar for Cfcs. Major differences are lower observer scores on Responsibility, Insight, and Social Control. The lowest observer scores for Cfcs are on Friendliness and Anger Control. The observers' scores for Mps are, in the average, five points lower than the self-scores. One scale on which the observer score is as high as the self-rated for Mps is the Sociability scale. That characteristic, along with Considerateness, was rated the Mps' most positive. They received the lowest observer scores of all subtypes on Anger Control.

For I<sub>4</sub> Na subjects, observer and self-scores are in general agreement, except observer scores are lower on Responsibility and Considerateness. The two lowest observer scores for Nas, Friendliness and Anger Control, are among the lowest self-ratings of the Na subjects themselves. Observer and self-scores for I<sub>4</sub> Nxs are in close agreement on most factors, the major difference being lower observer scores on Friendliness and Responsibility.

#### Positive Regard

Table 22 shows the response of subjects to five items on the client form of the Relationship Questionnaire. Shown are the percentages of subjects who agreed with the item, the item mean and standard deviation, and the positive-regard score. The items had a range of one to six, with six indicating the strongest agreement. The subjects generally said they liked their probation officers (92.8%), said they were treated fairly (90.6%), and with respect (88.3%). About two-thirds (64.4%) said their problems and feelings were understood. Only slightly more than half the subjects (55.6%), however, said they found it easy to talk about their problems with their probation officers.

Each subject's responses were added across the five items and the resulting sum is defined as a measure of the positive regard of the client for his caseworker. The range for this variable was five to 30; the clients' mean positive regard score was 24.22.

Table 22

Client Responses to Relationship Questionnaire  
Items and Mean Client Positive Regard Score<sup>a</sup>

Item	Percent Agree	Mean	S.D.
I find it easy to talk over my problems fully with my probation officer.	55.6	4.47	1.47
My probation officer seems to understand my problems and my feelings.	64.4	4.66	1.30
My probation officer seems to be a really nice person. I like him a lot.	92.8	5.04	1.16
I am treated fairly by my probation officer.	90.6	5.11	1.20
My probation officer shows me a lot of respect; he does not put me down or treat me like I am a nobody.	88.3	5.09	1.41
Total Score--Client Positive Regard		24.22	5.56

<sup>a</sup>  $\bar{N} = 180$

There were difficulties in obtaining the relationship questionnaires. In some cases the forms were never given to the clients; when clients received their forms but failed to return them there was often no follow-up made; and some subjects moved away or were placed in institutions before having a chance to complete the form. It is not known if the 180 subjects

who turned in forms comprise a random sample. An obvious assumption would seem to be that those subjects who turned in forms were among the more cooperative.

#### Targeted Problem Behaviors

Once a probationer became a project subject, the probation officer filled out a case review outline, which was to be used in the behavioral management of the case (see Chapter II). Part of the data included a list of the behavior problems exhibited by the youth at home, in school, and in the community. Over the course of the project 30 types of behavior problems were defined. For convenience, they were subgrouped into 10 behavior categories. Table 23 lists the 10 categories and the number and percentage of subjects who began the project with these behavior problems. The total number exceeds the sample size of 412 because each subject may have presented more than one behavior problem.

Table 23

#### Number and Percentage of Targeted Problem Behaviors in 10 Major Categories<sup>a</sup>

Type of Behavior	Number Identified	Percent of Subjects with Behavior Problems
Illegal Behavior	361	87.6
Oppositional	222	53.9
Curfew Violations	78	18.9
Truancy	214	51.9
School Misconduct	56	13.6
Aggressiveness	71	17.2
Drinking	32	7.8
Delinquent Associates	54	13.1
Educational Deficits	88	21.4
Runaway	72	17.5
Total	1,248	

<sup>a</sup> For a total of 412 subjects.

Not unexpectedly, a majority of subjects were listed for "illegal behavior," since that was usually the cause for their being placed on probation. Oppositional behavior (54%) and truancy (52%) were also frequent, usually additional problems with these youth.

## Chapter V

## Field Implementation-Consultation

The general procedures of the CBDP field implementation-consultation phase can be best described by listing the products of the field agents' tasks:

1. Completed Jesness Inventory for each case (pre and post treatment).
2. Completed behavior checklists from each client and from two other persons familiar with the client (at intake and at specified intervals during treatment).
3. Background of client (face sheet, intake information).
4. Copies of all written contingency contracts negotiated with experimental clients.
5. Raw or summarized behavioral data (frequency counts of client behaviors before and during treatment, during reversals, etc.) from cases selected for contracting. (Also, if possible, from cases treated by other strategies).
6. Summaries of offense data for all cases assigned.
7. Case closing summaries reporting status of all client problems at termination of the case.

The performance of staff was to be measured indirectly, by examining their products.

In keeping with the triadic treatment model, the major objective for participating line supervisors was to assist their field staff in accomplishing the specified objectives. Similarly, the professional consulting staff of the CBDP were to assist line supervisors in accomplishing their project performance objectives.

It was expected that line staff would, for the most part, administer the required tests and questionnaires to clients, or arrange for their project clients to attend group testing sessions. The agents were also

expected to obtain the basic demographic data on clients, identify critical problem behaviors, arrange data collection systems to monitor client behaviors, and negotiate and maintain contingency management programs.

The questions raised by field agents regarding problems in achieving these objectives were to be directed to the supervisors trained by the CBDP, as the need arose. When a supervisor was unable to suggest a satisfactory solution, he was expected to put the question to the CBDP consultant, by phone, or at regularly scheduled weekly consulting visits.

Supervisors and CBDP consultants worked together to assign new or replacement subjects to field agents as necessary. Each consultant and supervisor maintained checksheets showing project objectives achieved for each experimental and control case. Target dates were negotiated between supervisors and consultants for completion of each objective. Supervisors were expected to remind their agents of objectives due (and past due), and consultants were to provide similar reminders to supervisors. This consulting/supervisory procedure is best described simply as "management by objectives."

CBDP consultants were also expected to keep each supervisor informed of all new developments in the project, and to provide supervisors with copies or summaries of research reports regarding new developments in behavior modification with delinquents and pre-delinquents. Consultants and supervisors discussed ideas and procedures related to the effective delivery of contingency management treatment in the field. Several innovative procedures were introduced to aid the field staff in contracting with clients (see Appendix K).

The remainder of this chapter will present more details about the implementation of the general CBDP model, and the procedural modifications required because of non-completion of project tasks by supervisors, field agents, and administrators.

#### Field Phase A

Rationale. The CBDP staff established a triadic model of consultation/training in Field Phase A. They assumed that the participating supervisors would themselves become proficient consultants in this

phase of the project. It was expected that the supervisors would assume major responsibility for meeting project objectives, and assisting deputies in implementing contingency contracting techniques. The CBDP plan for consultation anticipated weekly meetings of a CBDP staff consultant and supervisor for the first year of the field consulting phase, and, subsequently, a reduced rate of meetings as the supervisors became practiced in carrying out the procedural objectives. (See Appendix L "General Objectives for Supervisors.")

The goal was to establish by the end of two years a group of consultant/trainers who would be skilled in "case-management by objectives" and "staff supervision by objectives." Project staff designed the consulting model with its decreasing frequency of scheduled CBDP consultation visits with supervisors, in order to increase the likelihood that supervisors would continue to perform as consultants and trainers on all cases without the need for support and monitoring after the project was completed.

Procedure. Early in Phase A, prior to assignment of clients to the project, the project consulting staff was reduced from four to three. Each consultant worked with five to six supervisors. Weekly meetings lasted from one to four hours, depending on the objectives to be achieved.

CBDP staff performance objectives included the following general tasks to be done in cooperation with the supervisor:

1. Assign cases to agents according to a set of pre-specified guidelines (see Chapter II).
2. Assist supervisors in scheduling reasonable target dates for completing agent-performance objectives.
3. Record the achievement of agent-client objectives using the CBDP objectives checksheet (see Appendix M).
4. Provide supervisors with the results of the Behavior Checklist and Jesness Inventory and, when necessary interpret the results.
5. Assist supervisors in reviewing and evaluating case-planning information submitted by agents.

6. Review data collection systems and data summaries submitted by agents.
7. Rate contingency contracts using the project's minimum criteria for acceptable contingency management programs.
8. Review the contingency management progress reports provided by agents.
9. Obtain copies of all data collection forms, contracts, and graphed data on targeted client behaviors at the termination of a case.
10. Reinforce the supervisor's achievement of the objectives outlined for him during the week prior to the conference, and discuss the ways in which he was reinforcing his agent's work.

Assignment of clients to the project began in January, 1973 with new assignments scheduled each month. Only one "experimental" and one "control" client at a time were assigned to an agent to ensure that in the early stage of the field phase, he would have time to plan, negotiate, and implement a contingency contract with one client before beginning a new case. The expectation was that agents would establish contingency contracts with the maximum of three experimentals assigned to them, and might choose to establish contracts with control A clients as well.

The CBDP staff and supervisors established target dates for completion of unit and agent objectives by using the following guidelines or "zones of reason" (Mager, 1972) as modest and flexible expectations:

1. All tests and questionnaires for a client to be completed within one month of assignment of that client.
2. Forms to be submitted within three weeks of assignment.
3. Base-line data on targeted problem behavior(s) to be submitted within five weeks of assignment.
4. Initial contract on targeted behavior(s) to be submitted within eight weeks of assignment.
5. Contingency management progress reports to be submitted on the average of once every two weeks as assigned by supervisors.

Results. In February, 1973, project staff prepared a summary of progress for each unit, reporting the percentage achievement of those performance objectives. The range in percentages of achievement among the 18 units was from 0% to 140%, with an average of 68%. Several of the units had not achieved any objectives.

The data summaries were designed to provide objective feedback to all participants, from field staff to administrators, about their performance achievements. The reports were received negatively, however, even by units who were exceeding expectations. In some instances, the responses were angry. Accurate measures of accountability hurt.

Project staff were greatly concerned about this reaction, but were equally concerned with the low percentages of achievement of contractings. By February 28, 1973, most officers had had only one case with whom they were expected to have contracted. Many agents had not established contracts with these initial cases. On the basis of this information, and in response to the suggestions of the field staff, it was decided that the remaining two experimental clients would immediately be assigned so that officers might: (a) arrange for more efficient use of testing time; and (b) choose one from the three with whom it would be most convenient to begin contracting.

Project staff continued to monitor the percentages of objectives achieved by the established target dates, but the line supervisors set the target dates for the collection and submission of initial base-line data and the writing of contracts. They decided the amount of time the agent reasonably needed to achieve these two objectives for each of his clients, and the one-month goal, initially set as a reasonable time for all cases, was discarded.

The project consultants spent increasing amounts of consulting time in suggesting possible approaches to contracting with these new clients. Problems encountered in contracting efforts with specific cases were discussed and solutions suggested. Alternative

contingency management programs, monitors, mediators, and data collection systems were offered.

At this point in the project, supervisors were encouraged to schedule field-agent attendance at consulting meetings. Initially, agent attendance at consulting conferences was not encouraged, and depended solely on the supervisor's decision regarding the appropriateness of direct consultant-agent contact.

Contingency contracting percentages remained low. By June, 1973, many agents had been assigned three experimental clients for more than three months, but had not attempted contract negotiations or contingency management programs. Efforts to obtain initial base-line data on identified problem behaviors of clients also met with little success. In July, in response to this lack of activity, project staff shifted to a consulting model based on shaping positive performance in agents, and "modeling" appropriate supervisor performance procedures discussed below.

#### Field Phase B

Rationale. In the first six months of the project's field consulting phase, CDBP staff confronted three major, interrelated problems. First, field agent performance objectives were not being achieved within the time limits agreed upon by supervisors. Secondly, the rapport that had developed between the field supervisors and the CDBP consulting staff during the initial training phase was deteriorating because of the continuing requests by consultants for data supporting the achievement of specified objectives within agreed upon time limits. Even cooperative supervisors reported unpleasant feelings when anticipating a consultant visit, knowing they would be reminded of overdue objectives. And thirdly, a few administrators and supervisors voiced dissatisfaction with the CDBP for presenting implementation data reports showing below-expected accomplishment of project objectives by their staff. These administrators acknowledged the low level of accomplishment, but reacted negatively to having the problem

presented to them in the form of empirical data summaries, even though the feedback data was not shown outside their agency. Project staff had not been very successful in convincing them of the value of hard data.

The procedures followed in Phase B of the field consulting period were adopted in an effort to counteract the three problems. The procedures were intended to reduce the emphasis on unachieved project objectives and increase the emphasis on achieved objectives, however minimal that level of achievement might be. It was hypothesized that positive attention to participant's achievements might result in an increased rate of achievement, and a decrease in the likelihood of defection from the project by potentially productive agents, units, and agencies.

Procedure. The triadic training/consulting model was maintained in Phase B, but the CDBP consultants no longer requested evidence of achievement of project objectives on specified due dates. Failures were ignored. Supervisors were neither questioned as to why an objective was not achieved, nor pressured to expedite achievement. Objectives that were achieved, however, were made the central topic of discussion during consulting visits.

With this successive-approximations model, project staff still provided progress reports to agency administrators, but in narrative form rather than as empirical data. Furthermore, these narrative reports were drafted to avoid an excessive concentration on low rates of achievement within participating agencies. An effort was made to specify the problems of implementation confronted by participants in the CDBP, and to acknowledge objectives accomplished in the face of such problems. (This approach by the consultants was in part related to the reluctance of administrators and supervisors to require the achievement of specific performance objectives by their subordinates. Resistance to getting tough was understandable. Most of the bosses had never in their own careers been held to performance standards as treaters of clients.)

In Phase B, as in Phase A, CDBP consulting staff continued to collect data pertaining to rate of completion of testing, behavioral data collection, and contingency contracting with clients by field agents.

At the beginning of Phase B the CDBP staff introduced a field training program in basic interview skills (see Training Manual) and a Case Review Outline (see Appendix E). These two additional services were provided as a result of the discovery during Phase A that most probation caseworkers were hampered in their efforts to treat clients by a lack of effective interview skills. Some administrators seemed offended by the suggestion that their agents needed training in how to talk to clients, and did not support their staff's attending the sessions. Had those supervisors listened to tape recordings of their workers interviewing clients, they probably would have quickly recognized the inappropriateness of some of the workers' techniques.

The interview training program was designed to teach caseworkers basic verbal skills that might enhance the probability of their eliciting information from clients that would be useful in treatment program planning. The Case Review Outline augmented the training by providing an interview format that would guide an interviewer in establishing rapport by discussing the clients' life goals, behavioral strengths, skills, and preferences before discussion of their behavior problems and failures. Use of the Case Review Outline would also increase the likelihood that the caseworker would obtain all of the information necessary to design an effective intervention strategy. The completed Case Review Outlines also provided data for evaluating the effectiveness of the training program in increasing the interview skills of caseworkers.

The submission of a Case Review Outline for each new CDBP experimental and control A client, was added to the list of objectives for caseworkers at the beginning of Phase B. The

CDBP consultants began referring to the information from the Case Review Outlines when discussing case plans with supervisors.

The Interview Training Program was not carried out simultaneously in all participating agencies, because of scheduling conflicts. All of the participating caseworkers who chose to participate, however, had received the training by December, 1973, the close of Phase B, either in formal training sessions, or in the context of case planning sessions with their supervisors and the CDBP consultant.

#### Field Phase C

Rationale. Interview training and the Case Review Outlines increased field agent skills in obtaining information about clients that would be used to design an effective intervention program. By December, 1973, many agents were filling out Case Review Outlines without the assistance of the CDBP consultant or their supervisors, but many were still not incorporating the information into a case plan.

Some supervisors were not able, or perhaps lacked the confidence, to assist their agents in designing programs even when CDBP consultants suggested specific alternative intervention approaches. Many supervisors requested that our staff meet directly with their field agents to do the case planning. Although this change compromised the "triadic model" to an extent, it was decided that direct consultation might increase the number of treatment plans implemented. It was also expected that the supervisors would resume the role of primary consultant once they had observed project staff's performance in the development of learning-based approaches to client problems.

Procedure. In January, 1974, project staff began to meet directly with field officers either individually or in groups to develop case plans for assigned clients. The consultants asked the agent to complete the Case Review Outline with the client prior to this case planning session. These steps in case planning were

standardized and incorporated into the Case Planning Worksheet in February, 1974. (Appendix H). Case Planning Worksheets were designed to sequence explicitly the procedural objectives to which a behavioral treater would attend when establishing a systematic treatment program for a client. Case Planning Worksheets included statements of client problems, behavior change objectives, reinforcers, data collection systems, contingency management programs, and evaluation procedures. In cases where objective base-line data were not available, tentative learning-based treatment contracts were suggested. In case planning conferences, attention was focused on the design of data collection systems and reliability check procedures.

Project staff set their expectations low--they planned to complete at least one model plan with each agent during the nine months of Field Phase C. Other case planning sessions with agents were scheduled at their request.

Case planning continued through September 1, 1974, when project staff discontinued field consulting and began to obtain case closing summaries on all active project cases. By that time, a few supervisors had adopted the case planning format for reviewing cases with their agents and had made written case plans an agent performance requirement.

Throughout Phase C of the project, project staff continued to collect data pertaining to rate of completion of testing, behavioral data collection, and contingency contracting by field agents. The consultants continued to ignore failures to achieve project objectives, and consulting discussions emphasized case planning options and the positive achievements of the field agents.

## Chapter VI

### Examples of Client Treatment Programs

The preceding chapter described the CBDP training-consulting procedures. The CBDP training manual describes the principles and techniques of contingency management. The present chapter describes some of the individualized contingency contracting programs developed by field officers who received the CBDP training and consultation for experimental-group clients. Follow-up data is also presented when available.

#### Case Study No. 1

Treater: Diana Fazio, Deputy Probation Officer (DPO), San Joaquin County

Title: Reduction of a Girl's Truancy and Shoplifting

#### Client and Setting

Alice was a 14-year-old on probation for truancy and shoplifting, which, for her, usually coincided. She stole only items she could use, such as lipsticks.

#### Behavior-Change Objectives

The DPO and Alice agreed that the treatment objectives would be an increase in class attendance, and the purchase rather than the stealing of needed items. Success was measured by school attendance reports and reports of detected shoplifting incidents.

#### Procedures

The DPO got Alice's teachers and school counselor to agree to give her more attention when she was at school, and when she was performing her school tasks. Alice's father agreed to stop corporally punishing Alice for misbehavior, but to continue his demands for acceptable performance. The DPO then negotiated a contingency contract that specified a 10-cent reward for each full school day Alice attended. She could use her earnings to buy items she needed.

Results and Discussion

Alice's school attendance improved markedly. She sometimes went for weeks with no class cuts at all. She had only one shoplifting referral in three months, whereas her arrests before the contract had been frequent. School personnel were amazed by the changes in her behavior. She was subsequently dismissed from probation, having met her court-ordered probationary goals.

School suspensions, corporal punishment at home, court orders, and previous interventions by the DPO had been ineffective in influencing Alice to improve her behaviors. Social and financial reinforcers given systematically for mutually desirable behaviors resulted in her achieving her probation goals.

## Case Study No. 2

Treater: Paula Kamena, DPO, Marin County

Title: Reduction of a Girl's Curfew Violations

Client and Setting

Jenny was returning home two to five hours later than her parents' specific directions. She had violated curfew for 12 consecutive nights prior to this intervention.

Behavior-Change Objectives

The DPO wanted to influence Jenny to return home by 10:00 p.m. on three week nights, 11:00 p.m. on two week nights of her choice, and 1:00 a.m. on Friday and Saturday nights. The parents approved, and agreed to keep a record of Jenny's curfew observance and nonobservance.

Procedure

The DPO negotiated between Jenny and her parents a contingency contract specifying that Jenny would receive \$1.00 (toward the purchase of a pair of shoes of her own choice) for each night that she returned home prior to or within one hour of the agreed upon curfew for that night. Jenny agreed that she would pay \$1.00 for each night that she returned more than one hour after curfew.

Results and Discussion

Jenny immediately began to return home at the agreed upon curfew times. She violated curfew only once in the 17-day period following this intervention, as compared with 12 violations in the 12 preceding days.

The money that Jenny earned by improving her behavior would have been used to purchase shoes anyway; but they would have been mother's choice of shoes. The DPO knew that even simple reinforcers can influence behavior. In this case the reward of choosing her own shoes successfully competed with the rewards, probably from peers, that had been reinforcing Jenny's curfew violations.

Follow-up

Jenny subsequently earned her dismissal from probation. She incurred no further referrals for delinquent behavior after dismissal. Her juvenile record was sealed after her 18th birthday.

## Case Study No. 3

Treater: Lee DeAmicis, Counselor, Solano County Juvenile Hall

Title: Reducing a Boy's Shouting, Swearing, and Threats

Client and Setting

Ollie was being detained in the juvenile hall pending a court hearing. His outbursts of swearing, shouting, and verbal threats toward staff were occurring five to eight times per hour, according to data collected by members of the hall staff. The outbursts were disturbing and disruptive for staff and other wards.

Behavior-Change Objectives

The counselor offered Ollie incentives for controlling his swearing, shouting, and threatening. For each 30-minute period that passed without an outburst, Ollie received a poker chip. He repaid one chip for each outburst that did occur. He could exchange the chips he earned for late-night activities (5 chips per 15 minutes), soda pop, candy bars, or comic books (10 chips each) and milkshakes (15 chips). Data on outbursts were collected by staff members.

Result

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increased gradually. At first he tested to see if the counselor could reduce the requirements for the program. The counselor held to his original agreement. Ollie's behavior improved gradually after he made his first purchases with

Four days later, when Ollie was again offered the incentive program to assist him in controlling his behavior, he readily accepted, and immediately decreased his outbursts.

The counselor's systematic contingency management program was markedly effective in counteracting the accidental contingencies that were maintaining Ollie's unacceptable behaviors. At one point in treatment, the program was counteracted when another counselor gave Ollie soda pop and attention to "calm him down" when outbursts occurred. The second counselor's intentions were good, but his intervention resulted in an increase rather than a decrease in Ollie's problem behavior, an effect clearly attributable to the unintended reinforcement of outbursts.

#### Case Study No. 4

Treater: Henry Riojas, DPO, San Joaquin County

Title: Reduction of a 15-Year-Old Boy's Truancy

#### Client and Setting

Leo was not attending school. His need for attendance was indicated by his first-grade reading level and his not knowing much English, a lack that made him dependent on Spanish in an English-speaking community.

#### Behavior-Change Objectives

The DPO wanted to influence Leo to attend school and to engage in school work to correct his reading and language deficiencies, which

Leo said he wanted to correct. Progress in achieving the objectives was monitored by Leo's teachers. The data was collected and reported to the DPO by a probation volunteer worker.

#### Procedure

Leo wanted to get off probation. The DPO, with court approval, offered to reduce Leo's probation period by two days for every four-class school day attended. In addition, Leo's father offered him two movies and two sessions at a pool hall for every full week of school attendance.

#### Results and Discussion

In the 51-day period following the start of this intervention Leo attended 40 1/2 school days. That earned him an 80-1/2-day reduction in his probation period. The relationship improved between Leo and his father. Leo's command of English progressed. School personnel were delighted with Leo's behavior change, and reversed an earlier recommendation for his suspension.

#### Case Study No. 5

Treater: Thomas R. Markle, DPO, Solano County

Title: Increasing a 16-Year-Old Boy's School Attendance

#### Client and Setting

Al had been on probation for 5 1/2 years. He had spent 28 months in confinement, including a period in a mental hospital. His most frequent offenses were truancy and till tapping. His mother felt unable to influence his behavior.

#### Behavior-Change Objectives

The DPO decided to use contingency contracting to increase Al's school attendance. Attendance data were obtained from the school secretary by Al's mother.

Results and Discussion

Ollie's outbursts decreased gradually. At first he tested to see if he could manipulate his counselor into reducing the requirements for earning tokens. The counselor held to his original agreement. Ollie's behavior improved more rapidly after he made his first purchases with the chips.

After 21 days the counselor stopped the program to see if Ollie would control his own behavior. Without the incentive system Ollie's rate of outbursts quickly returned to the pre-intervention level. Four days later, when Ollie was again offered the incentive program to assist him in controlling his behavior, he readily accepted, and immediately decreased his outbursts.

The counselor's systematic contingency management program was markedly effective in counteracting the accidental contingencies that were maintaining Ollie's unacceptable behaviors. At one point in treatment, the program was counteracted when another counselor gave Ollie soda pop and attention to "calm him down" when outbursts occurred. The second counselor's intentions were good, but his intervention resulted in an increase rather than a decrease in Ollie's problem behavior, an effect clearly attributable to the unintended reinforcement of outbursts.

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Behavior-Change Objectives

The DPO wanted to influence Leo to attend school and to engage in school work to correct his reading and language deficiencies, which

Leo said he wanted to correct. Progress in achieving the objectives was monitored by Leo's teachers. The data was collected and reported to the DPO by a probation volunteer worker.

Procedure

Leo wanted to get off probation. The DPO, with court approval, offered to reduce Leo's probation period by two days for every four-class school day attended. In addition, Leo's father offered him two movies and two sessions at a pool hall for every full week of school attendance.

Results and Discussion

In the 51-day period following the start of this intervention Leo attended 40 1/2 school days. That earned him an 80-1/2-day reduction in his probation period. The relationship improved between Leo and his father. Leo's command of English progressed. School personnel were delighted with Leo's behavior change, and reversed an earlier recommendation for his suspension.

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Behavior-Change Objectives

The DPO decided to use contingency contracting to increase Al's school attendance. Attendance data were obtained from the school secretary by Al's mother.

Procedure

The DPO negotiated an agreement between Al and his mother. Al's mother was to award him five points for each day that he attended school or work. The DPO agreed to recommend Al for dismissal from probation when he had earned 930 points.

Results and Discussion

In 19 weeks Al had earned 920 points, only 10 points short of his goal. That achievement had required almost perfect attendance during the intervention period. In addition, Al had earned three As, four Bs, and one B-, which put him at grade level. For that additional accomplishment the DPO granted Al a 10-point bonus, and recommended him for immediate dismissal from probation. Al had not been cited for any illegal behaviors during the period of intervention.

Al's mother was amazed at her influence when she actively monitored and responded to his behaviors as contracted. The DPO observed that the mother's appropriately active parental behaviors became generally more pronounced during intervention.

## Case Study No. 6

Treater: Joyce Turner, DPO, Yolo County

Title: Reducing a 13-Year-Old Boy's Class Cutting and Class Disruption

Client and Setting

Stanley frequently failed to attend physical education and English classes. When he did attend, he disrupted the P.E. class by hitting, kicking, and spitting on others, and he disrupted English class by talking out, especially during the first 15 minutes of class.

The school staff had been unsuccessful at reducing Stanley's disruptive behaviors by suspending him. Stanley's mother was unwilling to attempt to change his behavior by contracting. His stepfather was alcoholic, and abusive toward the boy. Stanley's hitting, kicking, and spitting on others in P.E., and talking out during the first 15 minutes of English class were counted and recorded by his teachers.

Procedure

The DPO negotiated an agreement between Stanley and the school personnel. Stanley got a token for each P.E. period in which he did not kick, hit, or spit on someone. He got another token each time he avoided talking out of turn during the first 15 minutes of English class. Two tokens would be exchanged for a free lunch in the school cafeteria, which allowed him to spend his 40-cents lunch money for other treats.

Results and Discussion

Stanley avoided misbehavior in P.E. during nine out of 10 class meetings following this intervention. Talk-outs in English dropped from an average 15 to an average of five. He did not earn many tokens for his performance in English, but was pleased to have the teacher "off his back," he said, because of the relative improvement in his behavior.

The token-reward system was suspended after 10 school days to see if Stanley would manage his own behavior. Data collected during that period showed that Stanley was managing. One month later, Stanley was still behaving well without the tokens. He was getting along better with teachers, peers, his mother, and with his DPO.

## Case Study No. 7

Treater: Gene Rose, DPO, Sacramento County

Title: Reducing a 14-Year-Old Boy's Malicious Mischief

Client and Setting

Arvid was a destructive nuisance around the trailer court in which he lived with his mother. His mother received frequent reports from neighbors and the manager that Arvid was throwing rocks and sticks at persons and at trailer homes and buildings at the trailer court. Arvid also failed to observe curfew limits set by his mother.

Behavior-Change Objectives

The DPO decided first to attempt to get Arvid to stop throwing sticks and rocks at people, and at things that could be damaged. Curfew violations were to be dealt with later, as were other less troublesome behaviors. Arvid's mother agreed to keep a record of instances of rock and stick throwing, curfew violations, and other problem behaviors as necessary.

Procedure

Arvid was to receive a number of points for each day in which he avoided rock and stick throwing. Points were recorded in a "bankbook" by the mother. Arvid asked to be able to exchange his points for movies and bowling.

After 30 days of treatment for rock and stick throwing, Arvid was to begin receiving points for observing curfew. Other reinforcers were also to be added for purchase with points. Other behavior-change objectives were to be treated in the same manner.

Results and Discussion

Arvid's rock and stick throwing behaviors disappeared as soon as his mother began to collect base-line data, prior to the beginning of the point-award system. Thirty days later curfew violations also disappeared with the beginning of data collection, and prior to the start of points for curfew observance. The same effect was observed each time a new behavior was added to the list of behavior changes being measured.

Prior to the contingency-management intervention, Arvid had been treated in a mental-health placement, at a cost of \$400 per month. His behavior problems had persisted. The cost of the behavior modification reinforcers was \$6.08 per month.

Follow-Up

Arvid is living with his father, and has had no reported delinquent behaviors in the last 24 months.

## Case Study No. 8

Treater: Ron Grams, DPO, Solano County

Title: Increasing a Youth's School Attendance

Client and Setting

Lonnie's school attendance was infrequent. During the seven school days preceding a contingency-management intervention, Lonnie attended only six out of 42 scheduled class sessions (14% attendance). His probation agreement demanded school attendance.

Behavior-Change Objectives

The DPO wanted to influence Lonnie to attend school often enough to avoid school and court action for truancy, and to facilitate the boy's possibilities of obtaining an education. Progress in achieving the objective was measured by school attendance records obtained by the DPO.

Procedure

The DPO arranged for Lonnie's mother to allow Lonnie to leave his home in the evening or on weekends only if he had met a minimum criterion of daily and weekly class attendance. In addition, Lonnie was to serve a weekend in juvenile hall if he missed two consecutive school days during any week. He was to serve a full semester in juvenile hall, attending school there, if he missed three consecutive days.

Results and Discussion

The contingency-management program was a combination of threatened punishments and guaranteed rewards. Its effect on Lonnie's school attendance was dramatic. In the first two weeks after the intervention began, Lonnie attended 58 of 60 class sessions (97%), quite an increase over the 14% attendance prior to intervention.

The DPO suspended the contingency-management program at the end of the first two weeks to see if Lonnie would manage his own behavior. Lonnie's attendance sagged only slightly, to 71 classes out of 78 (91%).

That level of school attendance was regarded as acceptable, and the boy maintained it to the end of the spring school term, under the DPO's promise to return to the largely punitive contingency-management program in the event of a return to truancy.

#### Follow-Up

Lonnie was transferred to a different DPO before the next school year. His new DPO did not use contingency contracting to deal with Lonnie's truancy problem. The youth's school attendance declined. He was subsequently committed to an out-of-county ranch program for a combination of referrals including chronic truancy.

#### Case Study No. 9

Treater: Leroy Yoder, DPO, Sacramento County

Title: Increasing a Boy's School Attendance

#### Client and Setting

Alonzo had attended all school classes for only four of 25 consecutive school weeks. He had also been involved in burglary, grand theft, and receiving stolen property.

#### Behavior-Change Objectives

The DPO decided to use contingency contracting to increase Alonzo's school attendance. Data were provided by school personnel.

#### Procedure

A negative-reinforcement contract was negotiated, in cooperation with the court, calling for canceling work-project time ordered by the judge, contingent on the client's maintaining perfect attendance at all classes weekly. Perfect weekly attendance canceled Alonzo's work-project obligation for Saturday and Sunday. Response cost consisted of working one weekend day for one period missed during the week, or working both weekend days if two or more periods were missed during the week. Illegal behaviors were not contracted.

#### Results and Discussion

During the 13 contract weeks, Alonzo attended all of his classes for 10 of the 13 weeks, and had to go to work project on three weekends (following non-perfect attendance). He was cited once during the contracting period, for possession of stolen property, but the charge was dropped for lack of evidence.

The contracting program was effective in helping Alonzo to reduce his truancy. The reduction in reported illegal behaviors may have been related to the contracting program, but that possibility could not be determined from the available data.

#### Follow-Up

Alonzo was dismissed from probation in July, 1974. No truancy petitions have been filed on Alonzo in the eight months since his dismissal. He has, however, been rearrested for traffic violations, and consequently he has been reassigned to probation supervision.

#### Case Study No. 10

Treater: Leroy Yoder, DPO, Sacramento County

Title: Increasing a Girl's School Attendance

#### Client and Setting

Fay's school attendance was low, and she had a long history of runaways and of staying out beyond curfew or overnight. She was far behind in arithmetic, English, and reading.

#### Behavior-Change Objectives

The DPO decided to attempt to increase Fay's school attendance. Data were provided by school personnel.

#### Procedure

Fay received tutoring in math on Mondays and Wednesdays, and stopped running away and staying out beyond curfew when placed with her mother in July, 1973. School attendance data collected during November and December indicated that Fay was attending only sporadically.

A series of positive-reinforcement contracts were implemented beginning in January. Fay was to receive money for hamburgers for perfect weekly attendance. She failed with two of those contracts.

New positive-reinforcement contracts were then negotiated. They specified that the probation officer would accompany Fay to the restaurant each week and purchase her hamburgers if her school attendance was perfect. Contracting was continued on that basis, and she attended school at the 100% level for five weeks. Failure to attend in the sixth week resulted in an immediate suspension for "too many absences" based upon her overall number of days missed since enrollment. School personnel had failed to take into account the recent improvement in Fay's behavior. She was enrolled in continuation high school within 10 days, and contracting was resumed.

#### Results and Discussion

Fay continued to attend regularly until school ended in June. She was no longer running away, although she had become pregnant.

In this case the DPO did not conclude from the failure of the initial contracting effort that "behavior modification doesn't work," but that the client was unwilling to work for the reinforcement provided. She needed a more potent reinforcer to maintain the required attendance at school. The school-attendance outcome in this case might have been considerably less successful if the DPO had given up the contracting program in the face of the initial failures. Furthermore, the deputy would probably have spent as much (or more) of his time dealing with the client's "truancy" as he had dealing with her "attendance," in taking her to a drive-in for hamburgers. Her becoming pregnant (no facetiousness is here intended) could possibly be construed as a failure in identifying and providing the social reinforcers sought during her runaways.

#### Follow-Up

Fay was dismissed from probation, and has had no further contacts with the law in the six months since her dismissal.

#### Case Study No. 11

Treater: Art Inouye, DPO, Sacramento County

Title: Improving a Boy's School Performance and Conduct

#### Client and Setting

Charles had been made a court ward, and placed in a foster group-home as a result of several runaways and reports of truancy. Acting out in school, and temper tantrums in the group home were also problems.

#### Behavior-Change Objectives

The DPO wanted Charles to improve his school grades and reduce classroom disruptions. Data were provided by Charles's teachers.

#### Procedure

Truancy was not a problem in the group-home setting. Charles's temper outbursts and conduct at school, however, were of concern to his teachers. In May, two contracts were negotiated with Charles, one of which specified that he could earn a new pair of shoes for improving his conduct at school, and for bringing home daily report forms signed by all teachers, verifying his improvement.

The second contract was based on Charles's own desire to improve his school grades. He wished to raise all incompletes to at least "D" grades (English and math), and his "D" grades to "Cs." In return for working toward this goal, he wished to receive an evening out for dinner and a movie with the supervising probation officer. The contract also specified that lesser improvements, short of the specified grade changes, would result in a smaller reinforcer of his choice.

#### Results and Discussion

The first contract resulted in an immediate decrease in acting out in class. This improvement was maintained to the end of the school year.

The second contract began two weeks before school vacation began. Charles improved his grades only in English and social studies. For that improvement, he chose a butane lighter.

After those contracts were complete, the group home's foster parents began a token reinforcement system for all boys, rewarding their school behavior, attendance, and home behaviors. Charles gradually increased his rate of compliance at home (decreased tantrums) and continued his improvement at school within this system.

#### Follow-Up

Charles still lives in the group home. He is still on probation because of a subsequent truancy petition.

#### Case Study No. 12

Treater: Gene Natali, DPO, Sacramento County

Title: Reducing a Boy's Truancy

#### Client and Setting

George had been placed on probation for burglary and malicious mischief. He had had contacts with law enforcement for possession of marijuana and drug paraphernalia; he was a chronic truant, and was oppositional at home.

#### Behavior-Change Objectives

The DPO decided to attempt to increase George's school attendance with contingency contracting. Attendance data were obtained from the school.

#### Procedure

The probation officer attempted to negotiate contracts with George by specifying home privileges and freedoms that he might earn for more regular school attendance. The boy failed on those contracts because his mother was inconsistent in delivering reinforcement contingently. George was attending only 70% of his classes each week when a contingency contract was written specifying that George could earn time off a weekend work project by attending all school classes five days a week.

#### Results and Discussion

The contract was in force for 10 weeks and George's attendance reached the 100% criterion on eight of those weeks. Attendance never dropped below 85%. He completed that contract by earning himself a reprieve from the court-specified work-project.

After 10 weeks of contracting, George requested that he be allowed to self-manage his attendance for awhile. Attendance decreased rapidly and he requested that another work-project contract be negotiated. He specified that social praise and money were insufficient reinforcements for him. The court, however, would not issue work-project orders on request. Work-project time or suspended sentences were contingent on law violations only, the judge said. George's attendance then deteriorated to a stable 50% level over the next few weeks. He was finally suspended from that school and subsequently placed in a continuation (problem-behavior) classroom where the teacher, with the probation officer's help, started a token economy system for rewarding attendance and performance. George's attendance then reached 100%, which he maintained until the end of the school year.

#### Follow-Up

George has not been in further trouble for truancy during the 6-month follow-up period. He was, however, arrested for possession of narcotics, and remains under probation supervision.

#### Case Study No. 13

Treater: Art Inouye, DPO, Sacramento County

Title: Decreasing a Boy's Oppositional Behavior

#### Client and Setting

Earnest had an arrest record that included illegal soliciting, auto theft, malicious mischief, and child molesting. In addition, his mother complained that he "lacked responsibility" around home, and that this caused arguments between them. Earnest indicated that completing his school work assignments at home was sometimes a problem.

### Behavior-Change Objectives

The DPO elected to use contingency contracting to increase Earnest's cooperation at home. Earnest's parents agreed to keep a record of his performance.

### Procedure

The DPO helped the mother to specify tasks that she judged constituted responsibility for Earnest. The list included cleaning his own room, taking the garbage out every day, picking up his own clothes, and doing yard chores on request. The contract specified graduated earnings for greater amounts of chores done. The earnings ranged from \$1.00 to \$3.00, for completing one to three tasks on schedule for the week, and included a \$10.00 bonus for four weeks of completing all assigned tasks. Earnest was saving the money for a 10-speed bike when the program began. Later, he requested that the money continue to accumulate in savings, and that he be allowed to purchase a car.

The mother revised the bonus clause in the contract during the second month. Earnest received a weekly \$10.00 bonus for completing all chores following the change.

### Results and Discussion

The contracting program ran continuously, as long as the probation officer supervised the ward. Two unplanned, one-week reversal periods occurred, during which Earnest's completion of chores decreased. Both he and his mother agreed that specifying clear performance expectations for both parties was crucial in improving their overall relationship. The contract and data-monitoring system had led to side benefits. Earnest stopped loitering in the park as he began to assume responsibility at home. He reported that his mother no longer nagged. He began to attend upholstery classes with his mother, and she willingly provided him with transportation to his summer job. They reported that they no longer argued. She also said that she had begun negotiating similar contracts with his younger siblings.

No further law violations were reported for Earnest. Since most of his prior problems and illegal behaviors were related to the loitering mentioned above, it seems likely that the formal and informal provision of alternative, acceptable behaviors and rewards interfered with, and replaced the problems.

### Follow-Up

Earnest has not had any further reported problems with the law during the 6-month follow-up period.

### Case Study No. 14

Treater: Frank Tapia, DPO, Alameda County

Title: Mediator Failure in a Contingency-Management Program

### Client and Setting

Rick had a background of illegal behaviors including malicious mischief, petty theft, battery, and burglary. In addition, he had been cited for truancy and runaway, and his mother reported that he disobeyed her requests and commands.

### Behavior-Change Objectives and Procedure

The deputy negotiated, between the mother and her youngster, contingency contracts stipulating rewards for the client for school attendance, completion of home chores, curfew observance, school performance, and cessation of arguing and name calling. The rewards included money, free time out of the home, and special considerations from mother, such as preparation of supper for the youngster, a chore she considered an amenity not automatically deserved.

### Results and Discussion

Mother failed to implement the contracts, and the client continued his delinquent behaviors.

The contracts were technically sound, but the contracting program could not succeed because mother would not serve as mediator and monitor. It is possible that this case would have had a different outcome if a different mediator had been used to reinforce the client's behaviors.

## Case Study No. 15

Treater: Frank Tapia, DPO, Alameda County

Title: Improving a Boy's School Attendance, School Performance, Grooming, and Cooperation at Home.

Client and Setting

Ron had a background of illegal behaviors including three charges of forgery. He frequently skipped school, failed to complete school work and home chores, ran away from home, failed to attend to his grooming, and violated home curfews.

Behavior-Change Objectives and Procedure

Ron was sentenced to serve weekends in the Weekend Training Academy, which required manual labor on Saturdays and Sundays. The DPO got the court's permission to contract with Ron to dismiss him from one or both weekend days in WTA, contingent on acceptable school attendance and performance, home chore performance, and grooming. School performance and attendance data were obtained from school personnel. Ron's mother agreed to keep records of his performance of home chores, and his grooming.

He earned points for accomplishment of specified terms of the weekly contract program. The points purchased his freedom from the Weekend Training Academy. The contracts did not require perfect performance, only "acceptable" performance each week.

Results and Discussion

The contracting program was effective in assisting Ron to manage the behaviors specified in the contract, which did not include provisions for control of illegal behaviors; the youth was cited or arrested five times during the contracting period, for possession of marijuana, petty theft, three counts of burglary, auto boosting, incorrigibility, being under the influence of drugs, and armed robbery. The latter charge resulted in the youth's commitment to a county camp. The case

may have ended as it did because of a failure to have the boy specify what he considered his major problems, or of the deputy's assuming that he could not get enough of a handle on the illegal-behavior problems to contract directly on them.

## Case Study No. 16

Treater: Gene Natali, DPO, Sacramento County

Title: Mediator Problems in a Contingency Contracting Program

Client and Setting

Michael had originally been placed on six-months probation for unlawful discharge of firearms. He completed that probation term, but was made a ward of the court one year later after a beyond-parental-control complaint for runaway was registered along with a truancy report. Michael failed to tell his parents his whereabouts when leaving home and consistently remained away from home beyond the specified curfew time.

Behavior-Change Objectives

The DPO decided to use contingency contracting to reduce Michael's curfew violations and his failures in reporting his whereabouts to his parents.

Procedure

The probation officer negotiated a contract between Michael and his parents that targeted the problems of reporting whereabouts and complying with curfew. Michael received \$1.00 for each day of reporting his whereabouts and 25 cents each day for curfew compliance. The reinforcers were not delivered, however, until the week following his performance, and were then delivered on a daily basis.

Results and Discussion

The contract lasted only eight days and was dropped by the parents. Michael was sent to Oklahoma a month later to live with an older brother, while the parents went to visit their home abroad. Michael

returned from his brother's home (under threat of incarceration in Oklahoma), in July. He promptly ran away from home, was apprehended, and charged with two counts of battery. The court delayed disposition on these charges since Michael was found to have a rare blood disease. He was returned home for convalescence. His school truancy continued, and he was arrested two weeks after his return for petty theft. He was committed to the County Boys Ranch.

The probation officer negotiated the only contract to which the parents would agree. The parents refused to provide immediate reinforcement for Michael's appropriate behaviors, insisting on a one-week delay between performance and pay. The parents objected to providing accurate data concerning Michael's curfew compliance. The parents also failed to reinforce the appropriate behaviors specified in the contract if they detected other problem behaviors, for example school truancy. Their solution to all problems was to get rid of Michael, first by sending him to Oklahoma, and ultimately by failing to monitor his behavior during convalescence.

Lack of cooperation by parents is a frequent cause of failure in the treatment of delinquency, regardless of the type of treatment strategy employed. Uncooperative parents often demand the greatest amount of cooperation from their offspring.

#### Follow-Up

Michael was released from the County Ranch, but was returned to the jurisdiction of the ranch following a conviction for vehicular manslaughter.

One of the objectives of the CDBP was to train supervisors to use contingency management to increase their supervisory effectiveness. The following case studies illustrate the effective use of contingency contracting with subordinates by two participating supervisors.

#### Case Study No. 17

Supervisor: Al Chaquette, Supervising DPO, Alameda County

Title: Increasing a DPO's Rate of Completion of Case Summaries and Court Reports

#### Client and Setting

The supervisor had been working with a deputy who had been late in submitting case summaries and investigation reports for more than three years. He had counseled the man numerous times, expecting him to solve the procrastination problem, and the man was full of assurances that he was going to do his best. His efforts would show improvement for a brief period, then he would fall behind again. He would frequently verbalize his frustration at never being able to catch up.

#### Procedure

In May, he said he was interested in attending a three-day correctional conference in San Francisco at the end of the month. He had been gradually making progress on getting his paper work completed and here the supervisor saw an opportunity to get him over the top. He asked him if he was interested in contracting for his attendance at the conference, and he answered affirmatively. The boss told him he expected him to complete eight case summaries he had due or overdue, to calendar four cases for court dismissal in June, and to finish one overdue investigation he had pending. If he completed these assignments, his attendance at all three days of the conference would be approved. If he failed to complete all the behaviors, he would come to the office the day(s) of the conference until the tasks were finished. Once they were submitted, he could attend the remainder of the conference. He agreed to the terms of the contract.

#### Results and Discussion

On May 29th, the deputy reported that he had completed all the tasks called for in the contract. His claim was verified by the monthly

listing prepared by the clerical staff, which showed all overdue work completed. The deputy verbalized that he was really satisfied with what he had done. He thought it was a fair contract. He said he felt great that he had finally caught up. He was praised for the work he had done, and told to enjoy himself at the conference.

#### Case Study No. 18

Supervisor: Chuck Cobb, Supervising DPO, Yolo County

Title: Increasing a DPO's Completion of Court Reports

#### Client and Setting

Base-line data for submission of court reports showed that the DPO had submitted court reports on time on only four of 13 target dates during the first quarter of 1973.

#### Procedure

The supervising PO negotiated a contract with the DPO that made extra time-off ("comp" time) contingent on reports submitted on time. A "response cost" punishment contingency was added to the program after one week. This contingency specified the loss of comp time (in addition to not earning new comp time) for late reports.

#### Results and Discussion

The DPO increased his submission of on-time court reports under the influence of the contract to a level that was acceptable to the supervisor. The increase was maintained until the supervisor was transferred to a new unit.

The usual contingencies for late court reports are aversive; for example, reprimands, unfavorable employee performance reports, and, ultimately, dismissal. The problem may persist for some time, or vary from high to low severity, if the usual contingencies are applied only sporadically, or inconsistently.

The contingency contract used in this case was less aversive than the usual approaches to this problem, and more systematic. It would seem to be a convenient and positive method to motivate report writing and other performances in staff members who have problems of this sort.

Chapter VII  
Impact Evaluation

Primary Target Group: Supervisors

Initial training. The goal set for initial training of participating supervisors was for each supervisor to fulfill 100% of the specified instructional objectives within an allotted time. (See Appendix N ). The achievement of each instructional objective by each supervisor was directly monitored by the CBDP staff during training sessions.

Thirty-three of thirty-eight supervisors (87%), from nine agencies, achieved the training goal. Two of the five trainees who did not complete training were removed by their home agencies early in the training period for administrative reasons having nothing to do with the project. Three others completed all of the academic objectives, but did not complete the field project requirement (see Appendix N ). Thus, 91% of the supervisors who remained in training achieved all of the objectives during the allotted training period.

Although most of the participating supervisors were familiar with some of the basic concepts and procedures of behavior modification, none had had prior formal training in the use of contingency contracting. Several trainees had serious philosophical reservations regarding the use of behavior modification in treatment, and most originally had trouble operationally defining behavior problems, identifying relevant, available reinforcers for juvenile delinquents, and designing adequate data collection and summary systems for use in monitoring treatment impact. Thus, the high percentage of trainees achieving the training goals, which required these tasks to be accomplished, is evidence of the substantial impact of the basic training procedure, and is consistent with the assertion that behavior modification can be readily taught to paraprofessionals. This was not a strictly academic course, but required direct application of the theories and procedures taught.

Supervisors' training of own field staff. The goal for this project phase was for each participating supervisor to instruct his or her own field staff within the scheduled training period, and to maintain a record of achievement of instructional objectives by each staff member. The extent of achievement of these two objectives was directly monitored by CBDP staff during weekly consulting visits to the participating agencies.

Of the 36 supervisors who completed initial training, 19 were directly responsible for field-staff supervision. Of this group, 10 of the 19 served as primary trainers for their own field staff. Of the remaining nine, six served as assistants to the unit trainers, two continued to carry out training of their former staff even after being transferred to new supervisor responsibilities, and one failed to carry out training.

Although the expected goal was not totally achieved, 18 (94%) of the line supervisors were involved in training in some capacity. Training performance records were obtained, however, for all field staff participants; that is, on this objective achievement was 100%.

The reason more supervisors did not personally present the field training was probably the lack of emphasis on that objective by the CBDP staff. Project staff assumed, probably erroneously, that the participating agencies were better able to decide what training arrangements, including choice of trainer, would be most effective and practical. The comparative impact on field-staff performance of direct as compared with indirect or non-involvement in training by an immediate supervisor will be discussed in a later section.

Supervisors' performances as consultants to their staff. Weekly, each CBDP consultant observed the participating supervisors as they consulted with their field agents. On some visits a second CBDP consultant accompanied the assigned consultant and provided an independent evaluation of a supervisor's performance. This evaluation by consultants consisted of an appraisal of the supervisor's skills in assisting field officers to (a) define the clients' problems as

observable behaviors, (b) specify behavior change goals, (c) design behavior measurement systems, (d) identify the clients' choices of ethically acceptable reinforcers, and (e) design a potentially workable contingency contract to be negotiated with the client.

Although the criteria of acceptability in each of the performance areas listed above differed slightly among the three consultants, there was agreement that only one of the 19 supervisors actually achieved all of the desired performance objectives. Four additional supervisors were able to demonstrate the basic skills with occasional prompting by the CBDP consultants, but expressed a need for, and received, continued consulting assistance throughout the field-consulting phase of the project.

There were clearly many obstacles that interfered with the achievement of this project objective. One was probably a lack either of personal or of home-agency incentives for supervisors becoming expert as behavior modification consultants. In most cases, supervisors' incentives were contingent on the achievement of objectives having nothing to do with those of the CBDP. Field staff transfers, supervisory transfers, involvement in training and experimentation with other treatment methods, and commitments to other research and development programs were only a few of the personal and agency priorities competing with CBDP objectives, which originally had been endorsed by all participating administrators as worthy of close attention.

The general lack of incentives for supervisors to cooperate in the CBDP makes it impossible to assess the impact of the CBDP consulting/training package itself. Under the conditions that prevailed in the agencies, the training opportunities, including those made possible by the case planning materials developed during the field consulting phase, did not inspire the supervisors to become expert behavior modification consultants.

Secondary Target Group--Field Agents

Initial training. The impact goal for initial training of field staff was for each trainee to complete 100% of the instructional objectives within an allotted time. During the period of initial training for field staff, the CBDP consultants visited their assigned agencies weekly to observe training sessions, to obtain training reports from trainers, and to examine some of the work of trainees. The training reports from trainers showed the number of assigned training objectives achieved by each trainee. Examinations of the trainees' work provided a cross check on the quality of training provided.

Table 24 shows the number of field agents who began training in each county, and the number and percentage who completed training. Six of the field agents did not complete training because they were transferred to units or jobs not involved in the CBDP. Of the 93 agents available for the entire training phase, 77% completed all of the training objectives. Eleven trainees in one county completed all objectives except those required in the field project.

The quality of the products of training was usually acceptable. In some cases, however, when trainees were allowed to complete training tests outside of class, several reported having collaborated with one another just to get the answers, not to master the material. A few trainees reported that they and others had copied from answer sheets in the training package. Most trainers avoided this problem by withholding the answer sheets.

For these reasons it is not possible to say to what extent the data on trainees credited with completing the training goals represent genuine increases in the trainees' knowledge and skills in behavior modification technology. Discussions between consultants and trainees, however, revealed that many, probably most, of the field officers had learned the materials in the training package.

Table 24

Number of Agents Entering Training and Number and Percentage Completing Training in Each Agency

Agency	Number Entering Training	Number Completing	%
A	5	5	100%
B	14	13	96%
C	11	0	0%
D	12	10	83%
E	13	10	77%
F	7	6	86%
G	14	12	86%
H	5	3	60%
I	20	16	80%
Total	101	75	74%

Field phase performance. The goal for field-staff performance in the field implementation-consultation phase was to complete the objectives for each client randomly assigned to him as an experimental client (see Appendix O for the list of objectives). Agents were assigned three experimental clients and three control-A clients. They were requested to maintain this minimum number of experimentals and control As over the course of the operations phase. Data handling and treatment were the same for control As as they were for experimental clients, since the distinction between experimentals and control As was eventually dropped (see Chapter II).

Supervisors and CBDP consultants recorded the date of achievement of the data-input objectives for each client. In addition, consultants got copies of all client behavioral data collected, and copies of any contingency contracts that had been written. A case-closing summary (Appendix P) was obtained during the final review of the case.

The adequacy of the agents' contingency-management programs or contracts for each specified client behavior-change objective was rated by using the criteria described in Chapter II.

Agents' interviewing skills were assessed indirectly, by using the criteria listed in Appendix M in determining the amount and quality of information about a client that the agent recorded on the Case Review Outline (CRO). A final CRO score for each agent-client pair was then derived by counting the number of adequately specified ratings of the 20 required items. The maximum possible score then was, of course, 20.

Quantitative and qualitative data on agent performance was summarized on the Final Case Summary (see Appendix Q) and subsequently punched into data cards for computer analysis.

#### Field Phase Performance Data

Submission of field agent test and questionnaire data. The first objective requested of field agents at completion of training was to complete and submit a probation-officer-background questionnaire,

a Strong Vocational Interest Blank, and a staff-preference questionnaire designed to determine relative preference for serving as treaters for clients of different I-level classification. At later intervals, agents were asked to complete and submit an agent/client-relationship questionnaire (Appendix D) for each experimental client, the Method Evaluation Questionnaire, a questionnaire asking about agent attitudes toward their involvement in the CBDP. Table 25 shows the number and percentage of each type of field-agent test and questionnaire returned to the project.

Demographic, test and questionnaire data on clients. Field agents were requested to submit for each experimental client a data-collection form (Appendix B) summarizing demographic data, a background questionnaire (Appendix J), a Jesness Inventory, a Jesness Behavior Checklist Self-Rating form, a Jesness Behavior Checklist Observer form, an agent-relationship form (the measure of staff positive regard, Appendix D), a final written summary of alleged offenses prior to and during the project period, and a case-closing summary.

The Jesness Inventory and Behavior Checklist Self and Observer forms were to be readministered to clients six months after their assignment to the project, and again at their time of termination from the project for any cause. A standardized contract-termination interview with the client and second party to each contract was to be submitted at the termination of contracts. As was mentioned in Chapter II, however, after their initial experiences in administering the tests and questionnaires, supervisors and agents said that the six-month and post-treatment testings were impractical. Consequently, the readministration of the Jesness Inventory and Behavior Checklist, and the use of the contract-termination interviews were abandoned as project objectives.

Table 26 shows the number and percentage of each type of test, questionnaire, and data report completed and returned. This is a substantial data input. Difficulties in collecting such data in the community, or in bringing clients and families together for group testings were considerable.

Table 25

Number and Percentage of Each Type of Field Agent  
Test and Questionnaire Data Returned

Test and Questionnaire	Number Distributed	Number Returned	%
S.V.I.B.	90	84	93%
Probation Officer Background Questionnaire	90	84	93%
Staff Preference Survey	90	84	93%
Method Evaluation Questionnaire	90	56	64%
Agent-Client Relationship	412	288	70%

Table 26

Number and Percentage of Each Type of Test,  
Questionnaire, Data Report,  
and Summary Returned

Item	Number	%
Jesness Inventory	343	83.2
BCL - Self	318	67.9
BCL - Observer	280	67.9
Data Collection Form	385	93.4
Background Questionnaire	361	87.6
Client-Agent Relationship	180	43.6
Offense Data Summary	347	84.2
Case Closing Summary	410	99.5

Case review outline performance. The case review outline (CRO) was introduced at the same time as the training program in interview skills. Officers were expected to use the CRO to facilitate collection of information for use in designing intervention programs. Comparison of the amount of information recorded on the CROs by officers at the start of the training program in interviewing with the amount after training, provided an evaluation of the impact of the training program.

Each CRO submitted by an officer was scored by counting the number of information categories filled in on the form. A maximum score of 20 was possible on each CRO. The mean CRO score for each officer was calculated for all CROs submitted between July, 1973 and July, 1974. The July, 1973 through September, 1973 scores represented CRO performance early in the period of interview training. The April, 1974 through July, 1974 scores represented CRO performance late in training.

A test revealed a significant difference between the early and late average CRO performances of 12.1 and 16.4 respectively ( $t = 3.01$ ,  $df = 51$ ,  $p < .01$ ). The finding indicates that the interview training program (classroom and consulting approaches combined) had a measurably positive impact on the information-gathering skills of the field officers.

Contingency contracting performance. Field agents were expected to use formal contingency contracting in the treatment of any or all problem behaviors identified in an experimental case.<sup>4</sup> Table 27 shows (a) the number of clients identified as displaying each common problem

<sup>4</sup> The use of contingency contracting with control A cases was optional during the first six months of the field phase, but became an expectation after that. Thus, control-A clients were treated as experimentals. A comparison sample of clients (control Bs) receiving the usual probation services from non-project agents, replaced the control As in the research design.

behavior, (b) the number and percentage who received contingency contracting treatment for that behavior, and (c) the number and percentage of the contracting intervention programs that met the project's minimum criteria for an acceptable contingency management program.

As shown, 1,248 problem behaviors were targeted and 269 of the problem behaviors were contracted. Of the 90 participating officers, 56 (62%) wrote contingency contracts. Only 30 of these 56 (54%) wrote contracts that met the minimal criteria of acceptability described in Chapter II. Overall then, only 33% of the officers wrote one or more contracts meeting the minimal level of acceptability.

Figure 2 shows the distribution of contracts and criterion-level contracts written by the officers. It is readily apparent that a selectively small group of officers did the bulk of the contracting. Fourteen (16%) of the officers wrote 167 (62%) of the contracts. Ten of the 90 officers (11%) wrote 64 (62%) of the 104 criterion contracts.

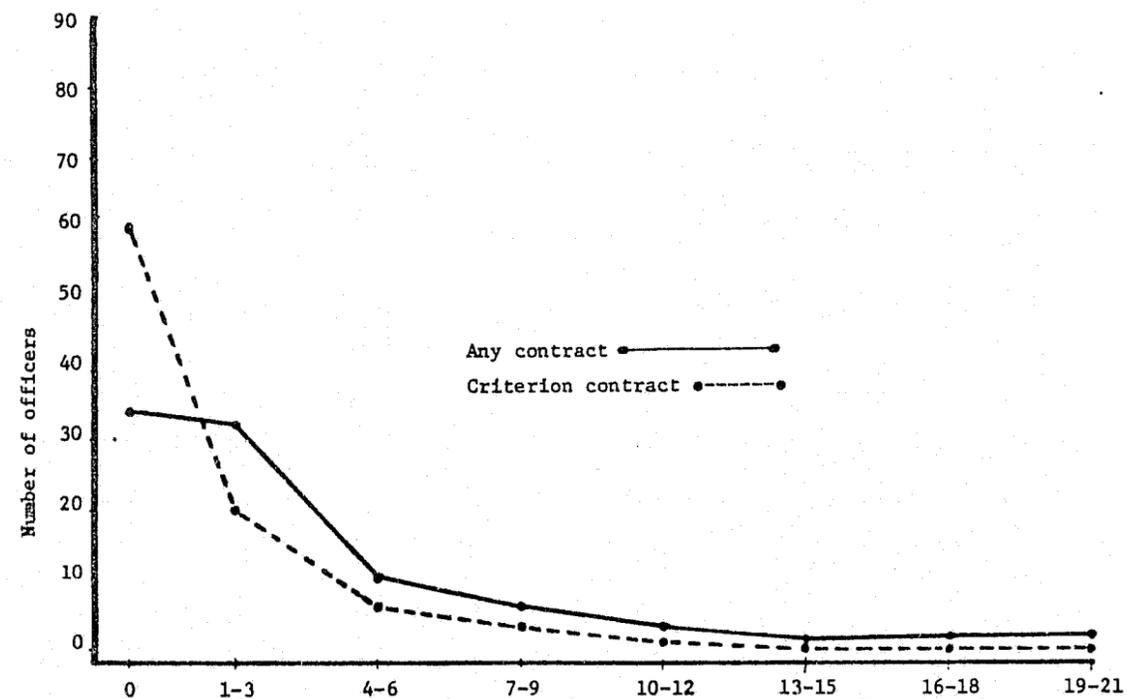


Figure 2. Number of behavior problems contracted.

Table 27

Number of Problem Behaviors, Number and Percentage Contracted, and Number and Percentage of Contract Programs Evaluated as Acceptable

Problem Behavior	Number of Problem Behaviors	Number Contracted	% Contracted	Number Acceptable	% Acceptable
Illegal Behavior	361	40	11	14	34
Oppositional	222	63	28	19	30
Curfew Violations	78	26	33	10	38
Truancy	214	75	35	30	40
School Misconduct	56	17	30	9	53
Aggressiveness	71	11	15	6	55
Drinking	32	6	19	0	0
Delinquent Associates	54	4	7	1	25
Educational Deficits	88	22	25	14	64
Runaway	72	4	6	1	25
<b>Total</b>	<b>1,248</b>	<b>269</b>	<b>22</b>	<b>104</b>	<b>39</b>

Contracting performance by the several participating agencies is shown in Table 28 . As shown, the agencies' performances ranged from 0% (that is, no contracts were written) to 56%. The fact that staff from two agencies were able to write contracts on more than half the identified behavior problems suggests that the type of problems encountered in probation may not be a serious limiting factor in the use of contingency contracting in community settings. Further evidence on this point can be adduced from the fact that in five units all staff wrote at least one contract. The range in performance was enormous. For example, within one agency staff in one unit wrote 36 contracts, whereas the staff in another wrote only one.

Table 28

Percentage of Subjects Contracted,  
by Agency

Agency	N	No Contracted	%
A	24	13	54%
B	17	0	0%
C	47	21	45%
D	25	1	4%
E	96	54	56%
F	68	20	29%
G	12	1	8%
H	103	36	35%
I	20	3	15%
Total	412	149	36%

Note. Agencies have been listed randomly.

Field agent performance can also be evaluated by measuring the delay between identification of a client's problem behavior and the initiation of a contingency contracting program. Table 29 shows the mean, standard deviation (S.D.), and range of durations, in weeks, between problem identification and contract program initiation. The initiation of contingency contracting programs was by no means an immediate response to most detected problem behaviors.

Table 29

Mean and Standard Deviation of Delay Between Identification  
of Problem Behaviors and Initiation of Contingency  
Contracting Programs

Behavior	Mean Delay (Weeks)	S.D.
Illegal Behavior	17.00	24.27
Oppositional	8.00	12.53
Curfew Violations	9.00	13.67
Truancy	9.00	15.81
School Misconduct	5.00	9.80
Aggressiveness	5.00	8.72
Drinking	22.00	30.46
Delinquent Associates	15.00	22.05
Educational Deficits	11.00	17.75
Runaway	12.00	19.31

Field agents were expected to maintain established contingency contracting programs until client self-management of the behavior problem was evident. The duration of contingency contracting programs can serve as an index of agents' efforts to accomplish that objective, because the transition from management-by-others to self-management of delinquent behaviors is apt to be a lengthy process in any treatment program. Table 30 shows the mean, standard deviation (S.D.), and range of durations of contingency contracting programs for each behavior-problem classification.

Table 30

Mean and Standard Deviation of Duration of Contingency Contracting Programs for each Behavior-Problem Classification

Behavior	Mean (Weeks)	S.D.
Illegal Behavior	20.00	15.17
Oppositional	11.00	13.49
Curfew Violations	8.00	7.75
Truancy	15.00	13.75
School Misconduct	18.00	15.13
Aggressiveness	14.00	13.53
Drinking	12.00	7.28
Delinquent Associates	20.00	8.19
Educational Deficits	11.00	9.00
Runaway	18.00	13.71

These data suggest that DPOs did attempt to maintain contingency contracting programs once established. However, it can be seen from the standard deviations that there was considerable variation in program durations.

#### Method Evaluation Questionnaire

The Method Evaluation Questionnaire (MEQ) was designed to assess the caseworkers' reaction to the use of contingency contracting with the subjects on their caseloads. The questionnaire was distributed to all participating staff in May, 1974, near the end of the active project period (assignment of project cases ended June, 1974). Fifty-six caseworkers completed and returned their responses to the questionnaire. Three of the forms were returned anonymously and several were returned incomplete.

About two out of every three caseworkers (65%) reported that the project had been helpful in teaching them skills useful in providing better treatment to their clients, although only 21% thought the principles of behavior modification had more potential than other treatment methods; 27% said it had the same potential, and 52% said it had less. Over 70% said that their enthusiasm for participating in the CBDP was enhanced by their departmental administration's interest in the project; but only 29% said they had their administration's full support in applying the principles of behavior modification.

Thirty percent of the caseworkers said they were enthusiastic about the application of behavior modification with their clients, 20% were undecided, and 50% reported negative feelings. The majority of caseworkers (77%) said that the project represented a hindrance of some degree in getting their regular work done. That reaction may have been in part the result of the caseworkers being asked, in addition to fulfilling their contracting objectives, to assist in obtaining the various tests from the subjects (Background Questionnaire, Behavior Checklist, etc.). Of the 56 respondents, 14 had written no contracts on project subjects during the project, and seven had written only one. Some of the negative responses were from staff who had not tested the method.

In some agencies contracting was optional. When the caseworkers were asked on the questionnaire if they believed their participation in the project was offered as a choice rather than as imposed, 86% said it was their choice. Several questions asked to what degree staff had

applied contingency contracting and data-collection systems with various classifications of clients. The percentage saying they tried the method with at least some of their caseload was high for each group: 50% to 70% of the officers said they had tried it with project experimental cases; 75% to 86% with project control cases; and 92.3% with non-project cases (the remainder of their caseload), but the reliability of those figures as indicators of actual, data-based contracts was not checked. The caseworkers had been assigned, on the average, six experimentals and six controls during the project, and the above-reported percentages seemed high. They may also have been an indication of a kind of perversity in that they at least hinted of an inclination to reverse the priorities requested by the researchers.

The sum of the responses to the questionnaire served as a total score. A high score represented a positive response to participating in the project and to the use of contingency contracting. That score was correlated with other staff variables. The MEQ score correlated with (a) the subjective measure of staff quality (.41), (b) the semi-objective measure based on the quantity and quality of their written contracts (.56), and (c) the number of contracts written by the caseworker (.61). The score also correlated with probation-officer-questionnaire Factor A ( $r = .30$ ), especially with Item 4 ( $r = .45$ ) of that questionnaire. The correlation indicated that officers who said, on Item 4, that they tried to spread their time equally among their caseload were less positive in their evaluation of contingency contracting.

Although the CDBP project was aimed at implementing contingency management programs in probation and parole, the project had significant influence on several other programs.

Appendix R describes briefly the "New Directions" juvenile hall program, the Catholic Social Services Early Intervention Project, Marin County's program, and El Dorado program at the CYA's O. H. Close School. Additional "spin-off" included training done by officers in the Sacramento County Probation Subsidy Unit, and the development of an improved

evaluation capability by the CCCJ Region staff. Project staff also conferred with officers in other juvenile programs, and assisted the CYA's Prevention and Community Corrections Branch in increasing the program evaluation capability of a new community treatment center.

## Chapter VIII

## Client Outcome Evaluation

This chapter examines the project's impact on the tertiary target group--the probationers. Project staff hypothesized that outcomes, as measured by remission of problem behaviors<sup>5</sup> and a decrease in the frequency and severity of delinquent behavior during a 6-month follow-up period, would be related to the quantity and quality of behavioral contracting. The chapter first compares outcomes for clients who engaged in contingency contracting with outcomes of those who did not. Next, the effectiveness of the contracts that met the criteria of adequacy (described in Chapter II) is compared with the effectiveness of the less adequate contracts. Following that, outcomes of the uncontracted clients are compared with outcomes of clients who received behaviorally-based treatment as defined by the overall performance of the agent; that is, by the extent to which the agent was considered a behavior modifier. Finally examined are the effects on outcomes of other variables related to success on parole and probation: (a) appropriately matching client with staff, (b) positive regard, and (c) caseload size.

Contracts vs. No Contracts

Problem behaviors. Tables 31 and 32 show the number of behaviors targeted for change in each subcategory of problems, and in each of the 10 major categories. Also shown are the number of behaviors on which contracts were written, the number of contracts that met the minimum standards of acceptability, the number of behavior problems that went into remission, and the number of problem behaviors remitted by way of contracting.

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<sup>5</sup> A problem was considered as being in remission if the problem was resolved or the frequency of the behavior was so reduced that it was no longer considered a problem by the probation officer, who based his opinion on data from the police, the parents, teachers, and the client.

Number of Target Behaviors Contracted, Meeting  
Criteria, and Remitted

<u>Behavior Description</u>	<u>No. of Problems</u>	<u>Number Contracted</u>	<u>Contracts Meeting Criteria</u>	<u>Total Behaviors Remitted</u>	<u>Remissions Via Contract</u>
Illegal Behaviors					
Illegal Behaviors (602)	345	39	13	180	24
Traffic Violations	16	2	1	7	2
Oppositional					
Oppositional Behavior	126	21	5	53	14
Not Doing Home Chores	28	19	6	17	13
Not Showing for					
Appointments	27	14	3	11	7
Lying	3	0	0	2	0
Cursing	13	3	3	8	3
Arguing	10	3	1	5	1
Personal Uncleanliness	8	1	1	0	0
Smoking	2	1	0	0	0
Withdrawal	2	1	0	0	0
Depression	3	0	0	2	0
Curfew Violations	78	26	10	29	13
Truancy	214	75	30	96	41
School Misconduct					
Horseplay	1	0	0	0	0
School Misbehavior	47	13	6	21	9
Hyperactivity	1	0	0	1	0
Tardiness	7	4	3	5	3
Aggressiveness					
Fighting	22	5	3	15	4
Temper Tantrums	16	4	3	10	4
Written Threats	1	0	0	0	0
Verbal Threats	4	0	0	1	0
Aggressive, Assaultive	7	0	0	3	0
Malicious Mischief	15	0	0	9	0
Sibling Rivalry	6	2	0	2	0
Drinking	32	6	0	10	3
Delinquent Associates	54	4	1	19	3
Educational Deficits					
Incomplete Schoolwork	76	20	12	24	11
Lack of Job-Seeking Skills	12	2	2	7	2
Runaway	72	4	1	43	3
<b>Total</b>	<b>1,248</b>	<b>269</b>	<b>104</b>	<b>580</b>	<b>160</b>

Table 32

Number of Targeted Behaviors Contracted in Remission  
in Ten Major Categories

<u>Behavior Group</u>	<u>No. of Problems</u>	<u>Number Contracted</u>	<u>Contracts Meeting Criteria</u>	<u>Total Behaviors Remitted</u>	<u>Remissions Via Contract</u>
Illegal Behaviors	361	41	14	187	26
Oppositional	222	63	19	98	38
Curfew Violations	78	26	10	29	13
Truancy	214	75	30	96	41
School Misconduct	56	17	9	27	12
Aggressiveness	71	11	6	40	8
Drinking	32	6	0	10	3
Delinquent Associates	54	4	1	19	3
Educational Deficits	88	22	14	31	13
Runaway	72	4	1	43	3
<b>Totals</b>	<b>1,248</b>	<b>269</b>	<b>104</b>	<b>580</b>	<b>160</b>

Note. The major categories are defined by the problem behaviors listed under each in Table 31.

Behaviors targeted as significant problems for the 412 project subjects number 1,248. An average of three behaviors were targeted for each project case. (The range extended from one to nine.) A total of 580 problem behaviors (46%) went into remission, 160 (28%) by way of contracting and 420 (72%) by way of other procedures (i.e., base-line conditions). The most common problems for contracting were truancy (35% were contracted) and oppositional behavior (28% were contracted).

Table 33 compares the percentage of problem behaviors remitted with contracting and with other methods.

As shown, the percentage of problem behaviors remitted or fully resolved by contracting exceeded the percentage successfully treated by other approaches, in all 10 major categories. The proportion of successful outcomes was significantly higher for contracted behaviors in four major categories--oppositional behaviors, truancy, school misconduct, and educational deficits. Overall, 59% of the targeted behaviors treated by contingency contracting were remitted. Only 43% of those not contracted on were remitted during probation. Because the probability is remote that such a large difference could have occurred by chance ( $p < .001$ ), contingency contracting can reasonably be regarded as having been superior to regular probation procedures (base-line conditions) in reducing the incidence of problem behaviors in the project's subjects.

Six-month follow-up. The criterion of failure was the filing of a petition alleging a new offense within six months of termination as an active project case, and the finding by a judge or referee that the allegation was true. Where the petition was dismissed for lack of evidence, or where no action was taken by the agency, project staff did not show the subject as having committed a delinquent act. The assumption was made that in those instances the subject was not, in fact, guilty. When the subject was counseled, referred to another unit (diversion, drug, placement, etc.,) fined, or continued on probation, he was presumed to have

Table 33

Problem Behaviors Remitted in Ten Behavior  
Categories for 412 Subjects

Problem Behavior Group	n	n Remitted	% Remitted	$\bar{X}$
Illegal Behaviors	C <sup>a</sup> 41	26	63	2.53
	U <sup>b</sup> 320	161	50	
Oppositional	C 63	38	60	9.19**
	U 159	60	38	
Curfew Violations	C 26	13	50	2.68
	U 52	16	31	
Truancy	C 75	41	55	5.04*
	U 139	55	40	
School Misconduct	C 17	12	71	4.88*
	U 39	15	38	
Aggressiveness	C 11	8	73	1.40
	U 60	32	53	
Drinking	C 6	3	50	1.14
	U 26	7	27	
Delinquent Associates	C 4	3	75	3.09
	U 50	16	32	
Educational Deficits	C 22	13	50	7.15**
	U 66	18	27	
Runaway	C 4	3	75	.44
	U 68	40	59	
Total	C 269	160	59	23.21***
	U 979	420	43	

<sup>a</sup>Contracted cases

<sup>b</sup>Uncontracted cases

\* $p < .05$

\*\* $p < .01$

\*\*\* $p < .001$

committed a delinquent act. At the time this report was written, only 6-month follow-up data were available, and that on only 194 of the 412 project cases. Another problem with the data will also require continuing research before results can be considered conclusive. At the end of the active project period, 34 of the 194 subjects included in the probation-outcome analysis had passed their 18th birthday, an event that complicated the gathering of accurate offense data. The sources of information on new offenses were the court reports in case records and/or cardex master files maintained by the probation departments. Usually if a subject dismissed from probation following his 18th birthday is arrested for further illegal activity, he is referred to an adult criminal court, and records of the offenses are not always included in juvenile probation files. All but two of the 34 18-year-olds appeared as successes in the available outcome data. It is not known for sure whether the remainder had been involved in further delinquencies. But, as far as project staff were able to ascertain, those few subjects were randomly distributed among the contracted and the noncontracted, and across all other variables except age, so it was not considered necessary to omit them from analysis. The later follow-up report will contain outcome data on a larger proportion of the project subjects, and at that time, adult offense records on all 18-year-olds will be obtained from the Bureau of Criminal Statistics in order to record all known offenses in the community. A record of arrests, convictions, and dispositions is maintained routinely by the bureau on all persons reported as committing offenses in the state. A major problem with those "rap" sheets is the inconsistency among counties in the completeness and accuracy of their reports. Nevertheless, a rough estimate of the effectiveness of existing probation programs is possible by comparing adult "rap" data of experimental and control subjects, as well as by comparing experimental subjects' performance before, during, and after active intervention.

Table 34 presents the 6-month follow-up information. Although the contracted clients (all those on whom at least one contract in any problem category was written) did somewhat better than those on whom no contracts were written, the difference in failure rate of contracted and uncontracted cases (13.8% for contracted vs. 19.9% for uncontracted) was not statistically significant. The change in severity of offense from the pre-experimental period (prior to intervention) to the end of follow-up was also nonsignificant (-4.0 contracted vs. -3.5 uncontracted, respectively).

Table 34

Six-Month Follow-up Violation Rates for  
Contracted and Uncontracted  
Probationers (n = 194)

Group	<u>n</u>	% Violators
Contracted	58	13.8
Uncontracted	136	19.9

Note. The number of clients receiving contracts differ from that shown in Table 31 because follow-up data were available for only part of the sample.

### Contracts Meeting Criteria

The quality of contracts ranged from inadequate (even noxious, as in the case of unwittingly reinforcing a boy for forging notes ostensibly from teachers) to excellent. If the quality of contracts was related to behavior change, the data would provide additional evidence suggesting that the important independent variable (the "cause") in bringing about change was the intervention technique itself, not a whole host of other possible treatment variables.

Table 35 compares the effectiveness of contracts meeting the specified criteria of adequacy (described in Chapter II) with the effectiveness of those not meeting them.

Table 35

Percentage of Behaviors Remitted with  
Contracts Meeting Criterion

<u>Contract</u>	<u>n</u> <u>Targeted</u> <u>Behaviors</u>	<u>%</u> <u>Behaviors</u> <u>Remitted</u>
Criterion Contracts	104	78
Non-Criterion Contracts	169	48

$$\chi^2 = 23.72, 1 \text{ df}, p < .001$$

As shown, the quality of the contingency contracts was significantly related to their effectiveness. Of the 104 problem behaviors treated by an adequate contract, 81 (78%) went into remission. Only 79 of 165 behaviors (48%) were remitted in cases where the contract did not meet the minimum standards of adequacy. The difference was highly significant ( $p < .001$ ).

### Behavior Modifiers vs. Other Agents

Previous mention has been made of the difficulty experienced by interested agents in withholding contingency contracting from clients originally meant to be controls (the control-A group). Many of the agents most convinced of the usefulness of behavior methods were using orally negotiated, as well as written contracts with their clients, thus invalidating to some extent the comparisons of contracted with noncontracted cases. The question posed was whether agents defined as behavior modifiers did better in reducing the number of problem behaviors with their project-assigned cases than did agents not so identified. Three definitions were used: the first based on whether a client received one or more written contracts; the second based on the subjective impression of the project consultants that the agent was a "behavior modifier"; and the third based on the number and quality of contracts written by an agent that placed him in the top quartile as a behavior contractor. There was considerable overlap among the groups defined as behavior modifiers.

Problem behaviors. Table 36 shows the percentage of problem behaviors remitted among the 149 clients who received at least one written contingency contract. The table compares their problem remission rate with that of the 263 subjects whose agents did not attempt any written behavioral contracts with them.

Table 36

Percentage of Problem Behaviors Remitted Among Clients  
Who Received Contract(s) vs. Those Who Received None

	Problem Behavior (Clients Contracted, <u>N=149</u> )		Problem Behavior (Clients Not Contracted, <u>N=263</u> )	
	<u>n</u>	<u>%</u>	<u>n</u>	<u>%</u>
Problem Remitted	279	53	301	42
Problem Not Remitted	250	47	412	58

$$\chi^2 = 13.55, 1 \text{ df}, p < .001$$

As shown in Table 36, 53% of the problem behaviors of those clients who received at least one contract were remitted, as compared with 42% of those who received none. The difference in proportion of problems in remission is highly significant ( $p < .001$ ).

The second criterion for identifying clients who received behavior modification treatment was based on the appraisal of the consultants who had worked closely with the field officers. The consultants identified 23 of the 90 participating officers as making a serious attempt to use contingency contracting with their project caseload. An analysis was made of the percentage of problem behaviors in remission for all of the project clients, both contracted and uncontracted, assigned to these agents. The results shown in Table 37 indicate that there was a significant difference in the percentage of problems in remission when compared with clients assigned to agents not regarded as contingency managers.

Table 37  
Percentage of Problem Behaviors Remitted for Clients Assigned to Caseloads of Behavior Modifiers (Subjective Criterion)

	Problem Behaviors (Clients of Behavior Modifiers, $N=88$ )		Problem Behaviors (Clients of Non-Behavior Modifiers, $N=323$ )	
	$n$	%	$n$	%
Problem Remitted	155	55	422	44
Problem Not Remitted	128	45	534	66

$$\chi^2 = 9.0, 1 \text{ df}, p < .01$$

Fifty-five percent of the problem behaviors of clients assigned to officers identified as contingency contractors were remitted, compared with 44% for those whose officers were not so identified, a difference in proportion of problems in remission that is significant beyond the .01 level.

Much the same results were obtained from the analysis of outcomes with clients identified by the third criterion, that is by the fact of their having been on the caseloads of agents who met the more objective definition of a contingency manager. The top quartile of agents in terms of quantity and quality of contracts had 128 project clients assigned to them. Eighty-six of the 128 clients (67%) in their caseloads received at least one contract. Only 63 of 177 clients (36%) assigned to caseloads of agents below the top quartile in quality and quantity were under contracts. Of 482 problems identified among those clients on caseloads of objectively defined behavior modifiers, 53% were remitted; 42% of the problems on caseloads of nonbehaviorists were remitted ( $p < .05$ ).

#### Contracting vs. Type of Officer

Going one step further, one can ask if the fact that the officers cooperated with the requests of their supervisors (and project staff) to do behavioral contracting defined a group of staff whose personalities, motivation, and interpersonal behaviors made them generally more effective. In other words, it can be hypothesized that the superior outcomes shown by those identified as behavior modifiers were related to factors other than contracting.

Problem behaviors. The data do not support such a hypothesis. Where the officers defined as behavior modifiers used contracts, a greater percentage of problems were remitted. Staff identified as behaviorists by the subjective criterion used contracts with 121 of 283 problem behaviors. Of these 68% were remitted; only 42% of those not contracted for were remitted ( $p < .001$ ).

Almost identical results were achieved where the more objective criteria were used to identify good contingency contractors. Among clients of contingency managers, 68% of the contracted problems (120 of 177) were remitted; where they did not use contracts only 45% were remitted (136 of 305).

Among clients of the noncontingency managers, 35% (32 of 92) of the contracted problems were remitted. Where no contracts were used, 43% (282 of 654) of the problems were remitted. Although the difference between 43% and 35% is not significant, it does suggest that no contract at all may be preferable to a bad one.

These data suggest that it was not the caseworker's attitude toward behavioral methods per se, but the fact that he did or did not do adequate contingency contracting with a particular client that made the difference. It is good contracting, not being a good contractor (who does not contract), that is most effective in resolving problem behaviors.

Six-month follow-up. The 6-month follow-up data also failed to confirm the hypothesis that project clients of these selected agents, whether given written contracts or not, would do better than clients assigned to noncontracting officers. Subjects who received at least one contract (14% violators) did no better than subjects who received no contracts (20% violators). The violation rate for clients of the subjectively designated contingency managers actually did slightly (but not significantly) worse (29% violators) than project clients of the other agents (16% violators).<sup>6</sup>

#### Positive Regard

Positive regard was defined in Chapter II. Based on previous evidence, project staff's expectation was that probation effectiveness would correlate positively with staff (caseworker) and client (probationer) positive regard. To enable the researcher to speak with more confidence about a cause-and-effect relationship, scores on positive regard were obtained shortly after the agent was assigned the subject too soon for major client behavior changes to affect scores on the measure, but not so soon that the agent and client would not have had time to get to know one another.

Caseworker positive regard. The percentage of problem behaviors remitted for the 152 subjects toward whom the officers expressed greater than average positive regard (Hi PR group) was 56.2%. Among those toward whom they expressed lower than average positive regard (Lo PR group), only 36.5% were remitted. The difference was significant ( $\chi^2 = 35.11, 1 \text{ df}, p < .001$ ).

<sup>6</sup> When data become available on the entire sample, an analysis will be made of the violation rates of those on the caseloads of good contingency managers who actually were under contracts. These data could, of course, present a very different picture.

Analysis of the 6-month follow-up data showed that there was a significant difference between the 6-month success rate of clients held in higher regard than of those held in lower regard by the caseworker. Only 11% of the 71 subjects for whom officers expressed more than average regard failed on or before six months, whereas 33% of the 60 subjects for whom the officer expressed less positive regard had failed ( $\chi^2 = 9.42, 1 \text{ df}, p < .01$ ).

Client positive regard. Client positive regard for staff was not as significantly related to outcome.<sup>7</sup> Fifty-one percent of the problem behaviors of those expressing above average positive regard were remitted; 49% of the problem behaviors of those expressing below average positive regard were remitted. The percentage of violations for the higher ( $n = 52$ ) and lower ( $n = 31$ ) client-positive-regard groups were 19%, and 32% respectively, a percentage difference not statistically significant. (If the figures hold up when data are available on the total sample, however, the difference will be statistically significant.)

Mutual positive regard. Carrying the analysis further, the researcher can ask what happened in those happy instances where there was mutual positive regard, and, conversely, in those unhappy instances where there was mutual dislike. An analysis of the success rates for those groups showed that, as expected, the lowest failure rate occurred where there was mutual positive regard, (19%) and the highest failure rate where there was mutual dislike (40%).

Based on the severity of offense criterion, however, there was no significant difference in outcome; although the trend was as expected. Reduction in severity for the mutual high, mixed, and mutual low-positive-regard groups were -3.8, -3.3, and -2.6 respectively. Surprisingly, there proved to be no relation between mutual regard and problem remission.

<sup>7</sup> Inadequacies in the scale used to measure client positive regard may have been in part responsible for the lack of a correlation between client positive regard and problem behavior remission or recidivism. The responses were heavily skewed toward the positive direction--meaning that the items may not have meaningfully discriminated high and low client positive regard groups.

### Contracting and Positive Regard

Both contracting and positive regard have been shown to be related to problem remission and recidivism. If these variables are independent, the combination of the two should result in the greatest extremes in outcome performance data.

As a first step in the analysis, an analysis of variance (ANOVA) was run primarily to determine if there was a significant interacting effect between the two variables.<sup>8</sup>

Data from an analysis of variance including both caseworker positive regard and the factor of contracting vs. noncontracting is shown in Table 38. In this analysis, only the main effect for positive regard was significant. The fact that the interaction was not significant suggests that the effects of positive regard and contracting on recidivism are additive. (A similar ANOVA analysis using problem behaviors as the dependent variable is not meaningful.) The percentage of violators for the four groups (CONT/HPR, UnCON/HiPR, CONT/LoPR, UnCONT/LoPR) was 9%, 14%, 28%, and 36% respectively.

Table 38

Analysis of Variance Summary of Recidivism Rates  
for Contracted (CONT) vs. Uncontracted (UnCON)  
Cases and High (HiPR) and Low Positive Regard (LoPR)

<u>Source</u>	<u>SS</u>	<u>MS</u>	<u>df</u>	<u>F</u>
Contracting (A)	.112	.112	1	.69
Positive Regard (B)	1.273	1.223	1	7.59*
A & B Interaction	.009	.009	1	.06
Error	20.306	.161	126	

\*  $p < .01$

<sup>8</sup> "An interaction effect is an effect attributable to the combination of variables above and beyond that which can be predicted from the variables considered singly" (Winer, p. 309).

The results of chi square analysis of problem behaviors remitted show much the same progression. The best outcomes were obtained where contracting was used and the caseworker expressed positive regard for the client. In the high-positive-regard group of 152 subjects, 69% (89 of 129) of the problems were remitted where contracts were used; where contracts were not used, 52% (183 of 353) were remitted ( $\chi^2 = 11.30$ , 1 df,  $p < .001$ ). Within the low-positive-regard group of 138 subjects, 47% (49 of 105) of the problems were remitted when contracting was used; only 37% (97 of 300) of the problems were remitted where contracting was not used ( $\chi^2 = 6.87$ , 1 df,  $p < .01$ ). In summary, the percentage of problems removed were:

1. High caseworker-positive-regard, contracted ( $N = 129$ ), 69% remitted.
2. High caseworker-positive-regard, not contracted ( $N = 183$ ), 52% remitted.
3. Low caseworker-positive-regard, contracted ( $N = 49$ ), 47% remitted.
4. Low caseworker-positive-regard, not contracted ( $N = 97$ ), 32% remitted.

The differences between remission rates for high- and low-caseworker-positive-regard groups were significant regardless of whether or not contracts were used, but as expected, the high-positive-regard contracted group did the best. Where the contracts met the criterion of adequacy, however, caseworker positive regard was not a factor. With the limited sample who met the criterion and on whom positive regard scores were available, the difference between the high-positive-regard group (83% problems remitted) and low (80% problems remitted) was not significant.

### Characteristics of Client Groups

Why did those clients who were seen by their officers as more likeable resolve more problems and recidivate at a lower rate? There are at least two possible explanations: (a) officer effectiveness as a change agent was increased by the better perceived relationship

because the officer was motivated to do more effective casework with these clients (spending more time, being more free with positive reinforcement; being more sensitive to the client's feelings; involving the school and family, etc.); or (b) the better-liked clients tended also to be the better-risk clients. Project staff hypothesized that both elements were involved. To get some data on the point, an analysis was made of the average scores received by subjects in the high- and low-caseworker-positive-regard groups on 83 background, attitudinal (self-report), and behavioral variables. Results showed that the high caseworker-positive-regard group:

1. Reported that they skipped school less often ( $p < .05$ ).
2. Anticipated getting along better with their DPO ( $p < .05$ ).
3. Were less often with others when involved in delinquent acts ( $p < .05$ ).
4. Obtained higher (better) scores on BCL, self-appraisal form factor Rapport ( $p < .05$ ).
5. Obtained higher (better) scores on BCL, observer form factors Considerateness ( $p < .05$ ), Rapport ( $p < .001$ ), Sociability ( $p < .05$ ), and Good Communications ( $p < .05$ ).
6. Were more often assigned to an agent who showed I-level compatibility in working with that type on the Staff Preference Survey ( $p < .05$ ).
7. A lower percentage (42%) were non-white; 54% of the low-positive-regard group were non-white.

The evidence suggests the high-caseworker-positive-regard group was a somewhat better behaved group, but the data are not very emphatic. The greatest differences between high- and low-positive-regard groups were on somewhat redundant variables such as self-rated rapport, observer ratings of rapport and considerateness, etc., which would be expected to correlate with the agents' ratings on the quite similar items comprising the positive regard questionnaire. The group did not differ significantly from the other positive-regard groups on any of the other 76 variables.

Further evidence on the question comes from an analysis of the characteristics (on the same 83 variables) of contracted vs. non-contracted clients. If the variables that differentiated high- and low-positive-regard groups were not the same as those that differentiated contracted from noncontracted groups, then the agents' selectivity for contracting was not on a likeability-relationship dimension. If contracted clients were as a group found to be higher risk clients, including many who were less liked by the agents, then superior outcomes with the contracted group could not be explained as a function of the officers' greater effectiveness with clients they liked more than others.

The latter conclusion was supported by the data. Analyses were run to look for any possible difference between contracted and non-contracted cases on 83 variables. As shown in Table 39, the groups

Table 39

Means and  $F$ -Ratios on Individual-Difference Variables  
of Contracted and Noncontracted Subjects

	<u>Contracted</u>	<u>Noncontracted</u>	<u>F-Ratio</u>
Age	14.7	15.3	8.63 **
Sex	12% Female	25% Female	8.06 **
Age at 1st Delinquency	12.9	13.6	7.99 **
BQ 16 <sup>a</sup> (Age 1st on Probation)	13.4	14.5	5.60 *
BQ 25 (Frequency of Involvement in Vandalism)	1.85	1.58	4.96 *
BQ 27 (Frequency Jumped and Beat Somebody)	1.66	1.45	3.82 *
BCL Observer Form Responsibility	47.0	51.5	6.33 *

<sup>a</sup> Background Questionnaire Item 16

\*  $p < .05$   
\*\*  $p < .01$

differed significantly on seven variables, none of which were the same as those that distinguished the high- and low-positive-regard groups. The data suggest that the contracted group was the more difficult. Those contracted on were placed on probation at an earlier age, had been involved with probation for a longer time, had more frequently engaged in vandalism and assaultive behavior, and were rated by family members and probation officers as less responsible. The fact that the items in Table 39 that differentiated contracted from noncontracted clients are different from those that differentiated the high- and low-positive-regard groups suggests that the greater success of contracting in remitting problem behaviors was not a consequence of selecting easier clients for contracting.

In addition, an analysis of the relationship between caseworker positive regard and the individual items on the positive regard scale showed no correlation with the number of contracts negotiated.

When the number of contracts written for each client was correlated with his responses to the six items of the client form of the relationship questionnaire, two items were found to be significant. Subjects who received a greater number of contracts tended to report that they did not like their probation officer ( $r = .23$ ,  $p < .05$ ) and that they were being treated unfairly by him ( $r = .28$ ,  $p < .01$ ).

#### Other Findings

Problem remission and revocation. There was no relationship shown between problem remission and revocation ( $r = -.07$ ). Also, there was no correlation between positive regard and agent's rank as a behavior modifier as defined by any of the three criteria. The highest correlation was, in fact, a negative, but not significant, relationship between positive regard and the subjective criterion ( $-.10$ ). It would appear that problem remission had no relationship with probation outcome. It would however, be premature to jump to any conclusions about that finding until follow-up data on a more complete sample become

available. That analysis will need to distinguish between problem remission with contracts and those remitted without contracts, and will need to examine remission of specific problem categories and their relation to recidivism.

Betz A-B Scale. Project staff employed the Betz A-B scale to determine if scores were predictive of differential outcomes. Project staff ran several analyses in which the Betz score was correlated with outcome with subjects classified by (a) I-level ( $I_4$  "neurotic" subjects vs. all others), and (b) high and low scores on the Autism scale of the Jesness Inventory. No significant relationships were found. There also proved to be no correlation between Betz scores and other officer characteristics.

Prediction of recidivism. An analysis was made to determine if there were any differences in the background, behavioral, or attitudinal characteristics of violators and nonviolators. An analysis of data on a sample of 179 subjects showed that those who were successful had had, at the beginning of their probation period (a) fewer suspensions from school ( $p < .01$ ), (b) less frequent involvement in school vandalism ( $p < .05$ ), (c) fewer group fights ( $p < .05$ ), (d) higher scores on BCL, self-appraisal scales Sociability, Conformity, and Good Communications, ( $p < .05$ ); (e) higher scores on caseworker positive regard ( $p < .001$ ), and (f) higher positive regard for their caseworker ( $p < .05$ ). These data, based as they are on a partial sample, and a very short follow-up period, do not warrant generalization.

I-level matching of client and agent. The Staff Preference Survey was described in Chapter II. In a previous study, it was shown that staff expressed greater positive regard for those subjects on their caseload whose I-level subtype classification happened to coincide with staff's highest score on the questionnaire (Jesness, 1975). The same did not hold for the clients, with those unmatched expressing as much positive regard for their caseworker as did those who were.

In the present study, data were available on 159 subject-staff pairs. Thirty-four of them were matched. Analysis of the client and staff relationship questionnaire data showed that the responses of matched clients on the five items of the questionnaire were not significantly different from those of unmatched clients.

Staff showed slightly more positive regard for matched clients. The difference was significant, however, on only one of the five items (Item 2). In the probation setting, the matching of staff and client did not greatly facilitate the development of a more positive staff-client relationship.

Recidivism rates were 24% for the matched I-level pairs and 18% for the unmatched pairs. Clearly, there was no relation between I-level staff-client matching and 6-month recidivism rates.

I-level and contracting. It can be asked if there was a differential response to contracting by subjects of different I-levels. The percentages of problem behaviors remitted for lower-maturity subjects ( $I_2$  and  $I_3$ ) who were contracted vs. those not contracted were 56% and 42%, respectively, ( $\chi^2 = 13.03$ , 1 df,  $p < .001$ ). The remission rates for the problem behaviors of contracted and noncontracted  $I_4$  subjects of 50% and 45%, respectively, were not significantly different. These data suggest that there may be ways of identifying clients who respond differentially to contracting, or to other types of intervention. The data indicate that  $I_3$  subjects respond better to contracting than do more mature,  $I_4$  subjects. (Because of the small number of clients in the categories when grouped by I-level, an analysis of recidivism data must await more complete figures.)

Control B's. The 6-month violation rate for all experimental subjects, both contracted and noncontracted, was 18%; for the control-B subjects (those not involved in the study) it was an almost identical 17.9%.<sup>9</sup>

<sup>9</sup>Those figures were remarkably similar to the 6-month violation rate of 19.8% for Youth Authority parolees from the Youth Center Research Project (Jesness, et al. 1972). Further analysis of these data will be postponed until more revocation data are available on a greater number of experimental subjects.

### Subsidy Units

The subsidy report (Johns, et al. 1975) alluded to earlier suggested that subsidy units delivered more and better quality treatment because those units more often used a classification system and more often had a treatment plan prepared for the clients. There was, however, no significant difference in recidivism rates of subsidy and nonsubsidy caseloads. Random assignment was not used, and the authors were forced to look at equal-risk groups as defined by a base-expectancy formula to find roughly comparable groups. The authors, however, pointed out that there is no statistical way perfectly to equate groups with a base-expectancy formula if the groups are not randomly assigned initially. This is in part a regression phenomenon, but it is also because the base-expectancy formula does not measure such factors as ability to work, motivation, emotional maturity, and other important variables. The authors concluded that "the data fail to support the assumption that enriched supervision (of clients) results in reduced recidivism among probationers" and "...calls into question any assumption that providing probation departments with staff monies will automatically result in the development of more effective probation programs" (p. 25). This same result has been demonstrated in previous studies (especially Johnson, 1962).

CBDP data indicate that where staff are trained, consultation is provided, and some requirements are imposed on staff to meet specified performance objectives, subsidy or special small-caseload units can and will do better than regular units.

Table 40 presents performance data for the subsidy units, special (small caseload) units, and regular units in the project. It is clear that the subsidy/special unit caseworkers (a) did significantly more contracting; (b) remitted significantly more problems; (c) remitted significantly more problems by contracts; and (d) wrote more contracts that met the quality criteria. The data suggest that merely reducing

caseload size will not produce better results, but that smaller caseloads may be a necessary condition to achieve improved, effective casework. Training, consultation, data collection, good supervision and performance monitoring (i.e., all the ingredients of casework management by objectives) may be the second crucial ingredient (i.e., the sufficient condition).

Table 40

Performance Data for Caseworkers in Subsidy,  
"Special," and Regular Probation Units

	Subsidy/Special	Regular
No. of Caseworkers	35	55
No. of Clients	184	228
No. of Problem Behaviors	619	629
No. of Contracted Problems	185	84 $\chi^2 = 50.48^*$
%	29.9%	13.4%
No. of Problems Remitted	320	260 $\chi^2 = 13.46^*$
%	51.7%	41.3%
No. of Remissions by Contract	125	35 $\chi^2 = 16.17^*$
%	67.6%	41.7%
No. of Remissions, Uncontracted	195	225 n.s.
%	44.9%	41.3%
Med. Objective Quality Rank <sup>11</sup>	24.5	64.3 % = 5.18**

<sup>11</sup>The lower the number, the higher the rank.

\*p < .001

\*\*p < .0001

## Chapter IX

## Implications and Conclusions

This chapter discusses three broad topics: (a) the project staff's impressions regarding the difficulties in implementation; (b) the evaluation of contingency contracting effectiveness; and (c) the authors' recommendations for improving the efficiency and effectiveness of probation and other correctional services.

Implementation

Almost 100% of the trainees (the supervisors and their agents) completed all of the training-phase objectives on schedule, but that accomplishment was no predictor of subsequent performance in the field. Several months elapsed before even a few treatment contracts were written, and almost none met the minimal standards of acceptability as defined by project staff. Failure to transfer academic and classroom behavior to "the real world" was obvious, even though the training was designed for immediate and practical application in the field. The formal classroom training was inefficient because it was not tied directly to what the workers were in fact doing on their jobs. Determining what they actually were being required to do, and reshaping, step by step, what they were already doing would probably have been a better training strategy.

Obvious weaknesses in the triadic model, in which the experts train the supervisors who are then supposed to train the field workers, contributed to the problems, especially in the smaller departments where turnover of a few staff quickly depleted a unit of all of its trained personnel. Another weakness was the difficulty in generating among supervisors the same self-confidence in ability to train as the project consultants had. The research project staff's failure to find much evidence of treatment goals clearly defined by the agencies

themselves suggested that the various departments' upper-echelon staff did not include expert casework supervisors. CBDP staff had the strong impression that few upper-echelon probation and parole personnel spent time assessing or improving first-line supervisors' skills in training field agents as treaters. They probably lacked the confidence, not having had many demands as treaters placed on them as they rose through the ranks. Their chiefs apparently did not expect them to train their subordinates as casework supervisors. Once promoted above the first-line supervisor level, the administrators could concern themselves with other work. CBDP staff were confident, however, that correctional agencies, when they decide to, will be able to develop in-house expertise in the use of effective intervention strategies.

In most agencies, lack of strong administrative support of the CBDP was obvious. Seventy-one percent of the respondents to the Method Evaluation Questionnaire indicated that the officers did not feel they had the full support of their supervisors and administrators in project participation. Some of the administrators seemed to expect the CBDP staff somehow to arouse lower-echelon staffs' enthusiasm without themselves being much involved.

Other priorities competed with the objectives set for field officers' performance. Large caseloads, paper work, and commitments to non-treatment-related tasks, such as training in self-defense, use of firearms, etc., militated against adequate development of treatment programs, and the necessary monitoring of clients' treatment programs. Eighty percent of the respondents to an item in the Method Evaluation Questionnaire said that CBDP tasks interfered to some extent with the performance of their regularly assigned work.

Nevertheless, application of behavior modification strategies could have been more satisfactory, even in the face of competing demands, if supervisors and administrators had been more supportive of the project. In fact, good performance in contingency contracting was reinforced in only a few of the units. Most of the supervisors

found it difficult to establish and require a minimal level of performance from their subordinates. They did not push their staff for hard data with which to support claims of treatment effectiveness. Because treatment was not a high priority, correctional field officers were not often reinforced for entertaining ambitions as rehabilitators. Administrators should not be surprised to see their best treaters leave for jobs where they will be rewarded for their efforts.

Project staff found many field officers, and their supervisors, unskilled in interviewing, in observing behavior, and in specifying treatment goals. The officers' concentration on undesirable behaviors often led them to ignore clients' desirable behaviors that might have been reinforced so as to replace the undesirable ones. The assumption apparently made by many officers that clients had no approvable or reasonable goals for themselves precluded opportunities for the officers to enlist clients as allies in a treatment program aimed at the achievement of the clients' own goals. Some workers had also come to view their clientele as relatively "inadequate" persons, of whom one must not expect much. The prejudice probably interfered with those workers' receptivity to training in interviewing. "Who needs practice in talking to inadequates?" they may have asked themselves.

Other problems seriously interfered with project implementation. Caseloads of more than 50 clients could consume all of the field agent's working time in tasks other than treatment. The officers were on call from school principals, police, judges, lawyers, parents, and probationers. The large caseloads of some agents guaranteed that no effective treatment could be performed if the agent was to accomplish the basic administrative and investigative services expected of him. Project data suggest that smaller caseloads may be a necessary, although not sufficient, ingredient of effective probation.

Finally, the behavioral model itself led to problems. Fifty-one percent of the officers indicated a lack of conviction regarding the value of behavior modification principles in field work with delinquents.

A longer period of training might have helped, but the principles of behavior modification are apparently accepted only very slowly by some persons, perhaps because of the method's laboratory origins, and its reputation in some circles as a somewhat demeaning, candy-dispensing, overly mechanistic approach. Its emphasis on accountability and documentation of treatment may also have intimidated workers who had never been taught or encouraged to maintain such records. The major reason for their reservations about behavior modification, perhaps, was that the model conflicted with years of learning by workers who had been exposed to more traditional, or to psychodynamic models and conceptualizations of human behavior that seemed irreconcilable with behavioral theory and the use of behavioral methods.

#### Effectiveness of Contingency Contracting

Evaluation of the effectiveness of contingency contracting with the probationers was based on two criteria--remission of targeted problem behaviors of CBDP subjects, and reduction in violation rates following termination as project subjects (not necessarily termination as probation subjects). Data were available on all experimental subjects on remission of targeted problem behaviors, but, at the time of this writing, follow-up data on reported violations were available on less than half the subjects. Firm conclusions about recidivism rates were not yet possible.

Problem Remission. What did those data show? Did contingency contracting appear to be a valuable treatment method for probationers, one that was superior to previous treatment approaches? On the first criterion, that of problem remission, the data firmly supported the greater effectiveness of contingency contracting in remitting or temporarily reducing the frequency of problem behaviors. Significant differences favored contingency contracting in the categories of oppositional behaviors, truancy, school misconduct, and educational deficits. No significant difference was shown in the category of

known illegal behaviors, although the trend supported contracting--63% of the illegal behaviors were remitted by use of contracts, and 50% were remitted by regular probation treatment strategies. Only 41 of 361 reported illegal behaviors were treated by contracts, however, a proportion far below that for oppositional behaviors or truancy.

Reasons for the relative lack of contracting on illegal behaviors were varied. The officers and supervisors had greater difficulty in writing creative contracts for those problems. In many instances, more consistent, predictable cooperation of the court would have been helpful. Illegal behaviors appeared to be difficult to target in contracts that were supposed to be nonpunitive and positively reinforcing. They were also relatively infrequent events, in some cases not obviously accompanied by other problems unless the treater knew how to diagnose them. For example, only a sophisticated worker skilled in interviewing might clarify for a drug user that much of his social behavior, or lack of it, was leading to the user's feeling depressed, and then to rationalizing his taking drugs.

Analyses of outcomes indicated that agents who did contingency contracting with their clients reduced the frequency of problem behaviors significantly more than clients of workers who did not contract. Similarly, clients of agents whose contracts met the standards of quality as defined by the CBDP staff did markedly better in lowering their problem-behavior rates than did clients of workers whose contracts did not meet the criteria. Of behaviors targeted in contracts that met the criteria, 78% went into remission, as compared with 48% under contracts not meeting the minimum level of acceptability; and only 43% were remitted by regular probation procedures.

The client outcome data described above must be interpreted with caution because of the method used in selecting the comparison groups. It could be argued, for example, that the same variables that made contracting more likely, such as a client's having more cooperative parents, teachers, etc., would also make problem remission more likely,

regardless of the type of treatment provided. If that was true, the differences between the two groups could not be confidently attributed to the contingency contracting effort. Several lines of evidence, however, made it more reasonable to attribute the observed differences to the treatment method rather than to the possibility that the probation officers contracted with "better" clients.

The consultants observed that many uncontracted clients were not exposed to contingency contracting because the officers responsible had judged that the behavior problems were not severe enough to warrant contracting. In other words, many of the clients were uncontracted because they were expected to improve their behavior anyway. A greater proportion of the contracted group, on the other hand, appeared to be composed of clients whose officers did not expect them to change without direct, active intervention. Thus, the composition of the two groups should be expected to favor the successful outcomes for the uncontracted clients. Quite the contrary occurred. The uncontracted group also included all probationers assigned to officers who did no contracting whatsoever, regardless of the problems shown by his clients. There were 106 clients of that category, or 40% of the total sample of uncontracted cases. In addition, many field officers gave up contracting after an initial token effort, and contributed numerous unselected cases to the uncontracted sample. Those cases could be expected to include many identical to those in the contracted group.

How valid were the data on problem remission? These data came from the officers and could have been biased. It was the impression of the research staff that the officers who cooperated with the CDBP by contracting with their clients were more likely to base their assessments of remission on hard data (such as report cards and school attendance reports) than were the less cooperative officers. The latter were more likely to base their assessments on decreases in the frequency of complaints from parents, teachers or others. The latter type of evidence is apt to overestimate remission rates because of the tendency of parents

and teachers either to protect the child from legal agency interventions, or to protect themselves from the bother of dealing with the demands of such interventions. Thus, it is probable that the data for the uncontracted group were more likely to have been artificially biased toward remission of problem behavior.

Perhaps the most important point emphasized by these data is that the cooperative field officers did not contract with the "easier" cases; that is, with cases in which problem-behavior remission was likely, regardless of the type of treatment offered. The officers seldom contracted with clients whom they believed would improve their behavior without active intervention. In fact, most contracting efforts were begun only after the officer learned that a client's performance was not improving with the usual probation services, a treatment practice that would tend to place more difficult cases in the contracted group. The data presented in the previous section support these observations.

Recidivism. Recidivism data, available on about half the clients at this writing, showed that contracted clients did somewhat better, but not significantly so than noncontracted clients, at the 6-month follow-up period. Fourteen percent of the contracted clients violated their probation, whereas 20% of those not under contracts violated their probation.

The difference in change in severity of offenses committed from the pre-experimental period to follow-up was also in the direction favoring the contracted cases, but not significantly so. Clients of agents identified subjectively as behavior modifiers by CDBP staff (before they looked at the objective quantity and quality data on contracts) also failed to show significant differences in the remission percentages.

One of the interesting findings of the study was that the case-workers' expressed regard for their clients was significantly related both to remission of problem behaviors and recidivism. The 6-month

violation rate for clients more highly regarded by their workers was 10%; for the low-positive-regard group the rate was 33%. There was also a small difference in problem-remission rates favoring those clients who felt high-positive-regard for their officers. In those few instances where there was high mutual regard, or high mutual dislike between client and caseworker, the differences in recidivism were great. Only 10% of those showing high mutual regard failed; 40% of those showing high mutual dislike failed.

An analysis of client background and behavioral data indicated that the association between positive regard and recidivism was more likely a consequence of differences in the caseworker's behavior toward the client than of common client characteristics.

#### Recommendations

The recommendations listed at the beginning of this report are based on the assumption that the public expects the California Youth Authority and the probation departments throughout the state to provide offenders with more than care, custody, and surveillance. The Welfare and Institutions Code also calls for rehabilitation. Corrections agencies did not originally hire professional rehabilitators, and the CBDP's findings disclose that the departments participating in this project are still not staffed with many skilled caseworkers, or effective casework supervisors. Advancing oneself as a professional therapist in any treatment methodology is not being directly rewarded by most administrators in those agencies.

CBDP staff's first recommendation is that decision makers at the top, including those superior to probation and parole chiefs and department directors, look at the possibility that they are not taking the rehabilitation mandate seriously. Perhaps they do not believe that effective treatment (other than care, custody, and surveillance) is possible; or they may be convinced that it is such a remote possibility that it is not worth considering. They have plenty of evidence pointing to meager results of rehabilitative efforts, but they have little evidence of what an agency can do if it stops restricting its profession-evaluation studies to occasional projects. Top executives'

pessimism, if they do harbor any, may be justified; but the CBDP staff do not believe that it is. This project's staff do not believe that the agencies studied are offering programs sufficiently evaluatable to justify either optimism or pessimism. Built-in, data-based, treatment-evaluation capabilities do not exist in those agencies, so no judgment is possible. Developing those capabilities is possible.

This project's researchers are ready to hypothesize that present staffs, as budgeted, can build the necessary evaluative machinery to test the feasibility of offering effective rehabilitative services, provided that the staffs get professional help.

A technology now exists for moving corrections a step further in the direction of becoming a science. The technique of applied behavioral analysis described in the training manual is neither transitory nor philosophically counter to the use of any particular treatment modality. It is important that persons in corrections understand the difference between the methodological techniques here being recommended and the philosophical position of behavioral theorists such as B. F. Skinner. What is espoused here is that corrections move toward more systematic, reliable, and valid procedures for determining what are and what are not procedures in achieving specified, measurable objectives. Evaluators and researchers, such as applied behavior analysts, have the technology to teach corrections agencies to set up the ongoing, data-based systems necessary for objective evaluation and program improvement. The CBDP staff suggests that the decision makers in charge of disbursements may have to instruct correctional administrators to recruit such experts. Funds for existing training and consultation services could perhaps be redirected for the effort, and the agencies' budgets not have to be increased.

In the absence of data-based evaluation, no one can say exactly what the taxpayers are buying as "correctional rehabilitation." Even if the public wants only care, custody, and surveillance of offenders, a more adequate definition of the objectives of these operations and a data base for assessing their adequacy will be required.

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## APPENDIX A

GUIDELINES FOR ASSIGNMENT OF EXPERIMENTAL  
CLIENTS, AND SELF-MANAGEMENT PROBES

1. Assignment of the first exp. client to an agent should occur within two weeks of the date that the agent completes 100% of the CEDP training objectives.
2. The first client should be the last one assigned to the agent's caseload. (Informal or adjudicated).
3. Subsequent clients should be added at 30-day intervals (up to three clients). Select the last case if added within last 30 days. Select next case if no case was added in last 30 days.
4. Terminated experimental clients should be replaced within two weeks of the termination date.
5. The criteria for initiating self management probes should be:
  - (a) First probe: initiate as soon as treated behavior meets agent's criterion of improvement. (5-10 day probe period).
  - (b) Subsequent probes: whenever agent believes that client might be able to manage own behavior without help of contract (or whenever parents request trial without contract).
6. Data collection must continue during probe periods.
7. Contracting may be terminated when behavior maintain acceptably during probe periods (assign new client).
- \*8. Field agents should be notified that the so-called "Reversal Design" will be used for experimental clients' programs, but that "Self Management Probes" will constitute reversals i.e., written contracting will be omitted temporarily at intervals to determine whether the client is ready to manage his or her own behavior, by means other than written contracts, or if written contracts are necessary to maintain behavioral improvements. Agents may choose to use treatment approaches other than written contracts during Self Management Probe periods (i.e., it is not necessary to suspend all treatment; only written contracting need be temporarily suspended.)

**CONTINUED**

**2 OF 3**

APPENDIX B

DATA COLLECTION FORM

Experimental and Control Subjects

Return to: C.B.D.P.  
3001 Ramona Ave.  
Sacramento, Ca. 95826

Subject's County Probation No.

(Cols. 60 - 75)

1. Name of Subject (print) 

Last	First
------	-------

2. Project ID No. (Coded by Project). 

1	2	3	4	5
---	---	---	---	---

3. Probation/Parole Unit:   
 1. SF Parole   
 2. Alameda Probation   
 3. Marin Probation   
 4. Sacramento Probation   
 5. SF Probation   
 6. San Joaquin Probation    
 7. Solano Probation   
 8. Yolo Probation   
 9. \_\_\_\_\_ (other)

4. Name of Officer/Agent \_\_\_\_\_ (print) 

7	8	9
---	---	---

5. Date placed on Current Period of Probation, formal or informal 

Mo	day	yr			
10	11	12	13	14	15

6. Reason for above Referral (see attached list). If for multiple offenses, list most serious. 

16	17
----	----

7. Birthdate (example: for April, 1958 code 0458) 

Mo	Yr		
18	19	20	21

8. Current Age 

22	23
----	----

9. Race:   
 1. White Caucasian   
 2. Negro   
 3. Mexican American   
 4. American Indian   
 5. Other    
 24

10. Sex:   
 1. Male   
 2. Female    
 25

11. Age at First Delinquent Contact (First referral for other than Dependency or Neglect) 

26	27
----	----

-2-

12.

28

13. Initial date of residence in your county   /  /    
(No. of months to be coded by project) mo. | yr.

29 30

14. Narcotics Use History (to be filled out by P.O.)

1. no information
2. definitely not a user
3. experimented with or occasionally uses marijuana or drugs
4. moderate to heavy use of marijuana
5. moderate to heavy use of drugs
6. moderate to heavy use of both marijuana and drugs
7. occasional use of opiates (heroin, etc.)
8. heavy use of opiates

31

15. History of Most Recent Offense (listed in No. 6)

a. No. of Co-offenders  
0, 1, 2, 3, 4 or more

32

b. Were weapons involved?  
1 - yes, 2 - no

33

Coded by Project

16. Occupation of Head of Household where subject lived the longest  
Please be specific as to job title, position, or level of occupation (e.g., a job as a carpenter foreman should be distinguished from being a carpenter).

34

17. Placement of Subject

In Own Home

1. With natural parents
2. With parent and step-parent
3. With mother only
4. With Father only

In Other Home

5. Relatives
6. Foster Home
7. Part-way house, group home
8. Independent (with spouse)
9. Independent (alone, w/peers)

35

18. Project Codes. Date assigned as project subject.

No	Yr
<input type="checkbox"/>	<input type="checkbox"/>
36 37	38 39

19. Experimental (1), Control A (2), Control B (3)

40

CODES TO BE USED FOR ITEM 6:

Probation = Reason Referred  
CYA = Commitment or Revocation Offense

OFFENSES AGAINST PERSONS

- 10 Murder
- 11 Attempted Murder
- 12 Manslaughter (except vehicular)
- 13 Assault with a deadly weapon
- 14 Assault, aggravated or serious
- 15 Robbery, armed
- 16 Robbery, unarmed (purse snatch, strongarm)
- 17 Resisting arrest, battery on peace officer
- 18 Simple battery
- 19 Other offenses against persons

OFFENSES AGAINST PROPERTY

- 20 Burglary, first degree
- 21 Burglary, second; breaking & entering
- 22 Arson
- 23 Grand theft, larceny
- 24 Auto theft
- 25 "Joyriding"
- 26 Petit theft
- 27 Destruction of property
- 29 Other offenses against property

CRIMES OF SEX

- 30 Forcible sex acts
- 31 Sex perversion
- 32 Procuring
- 33 Prostitution
- 34 Lewd acts on child
- 35 Promiscuity
- 36 Statutory rape
- 39 Other sex offenses

CRIMES OF NARCOTICS & DRUGS

- 40 Use of narcotics
- 41 Use of drugs
- 42 Selling or furnishing either
- 43 Possession of either
- 44 Selling or furnishing marijuana
- 45 Use of marijuana
- 46 Possession of marijuana
- 49 Other narcotics or drugs violations

CRIMES OF FORGERY, EXTORTION

- 50 Forgery
- 51 Receiving stolen property
- 52 Extortion
- 53 Checks offenses
- 54 Conspiracy
- 59 Other

MISCELLANEOUS OFFENSES

- 60 Manslaughter, vehicular
- 61 Display, possession of Weapon
- 62 Contributing to delinquency of minor
- 63 Escape from Custody
- 64 Drunk Driving
- 65 Hit and run
- 66 Drunk, disorderly conduct
- 67 Glue sniffing
- 68 Malicious mischief
- 69 Tampering with auto
- 70 Other traffic violations
- 71 Disturbing the peace
- 72 Return from probation
- 79 Other miscellaneous

JUVENILE-NONCRIMINAL

- 80 Incurable
- 81 Runaway
- 82 Truancy
- 83 Foster home failure
- 84 Curfew
- 85 Wayward child
- 89 Other

DEPENDENCY-NEGLECT

- 90 Lack of adequate care
- 91 Abandonment
- 92 Living under conditions injurious to morals
- 93 Abuse, neglect
- 99 Other

## APPENDIX C

COOPERATIVE BEHAVIOR DEMONSTRATION PROJECT  
RELATIONSHIP QUESTIONNAIRE (CLIENT FORM)

On the next page are several statements about your probation officer. Please circle the number of the answer which most closely describes your feelings about him. Your answers will not be seen by him, but only by research persons doing a study of probation. After answering the questions, fold the questionnaire, put it in the attached envelope, and place it in the mail.

Please express your honest opinions. Thank you.

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

Probation Officer's Name: \_\_\_\_\_

Date \_\_\_\_\_ County \_\_\_\_\_

CIRCLE YOUR ANSWER

NAME \_\_\_\_\_

1. I find it easy to talk over my problems fully with my probation officer.
  1. Very strongly disagree
  2. Strongly disagree
  3. Disagree a little
  4. Agree a little
  5. Strongly agree
  6. Very strongly agree
2. My probation officer seems to understand my problems and my feelings.
  1. Very strongly disagree
  2. Strongly disagree
  3. Disagree a little
  4. Agree a little
  5. Strongly agree
  6. Very strongly agree
3. My probation officer seems to be a really nice person. I like him a lot.
  1. Very strongly disagree
  2. Strongly disagree
  3. Disagree a little
  4. Agree a little
  5. Strongly agree
  6. Very strongly agree
4. I am treated fairly by my probation officer.
  1. Very strongly disagree
  2. Strongly disagree
  3. Disagree a little
  4. Agree a little
  5. Strongly agree
  6. Very strongly agree
5. My probation officer is pressuring me too much to complete contracts and do things that I don't want to do.
  1. Very strongly disagree
  2. Strongly disagree
  3. Disagree a little
  4. Agree a little
  5. Strongly agree
  6. Very strongly agree
6. My probation officer shows me a lot of respect, he does not put me down or treat me like I'm a nobody.
  1. Very strongly disagree
  2. Strongly disagree
  3. Disagree a little
  4. Agree a little
  5. Strongly agree
  6. Very strongly agree

COOPERATIVE BEHAVIOR DEMONSTRATION PROJECT  
RELATIONSHIP QUESTIONNAIRE (AGENT FORM)

AGENT'S NAME \_\_\_\_\_

DATE \_\_\_\_\_

CLIENT'S NAME \_\_\_\_\_

COUNTY \_\_\_\_\_

This brief questionnaire attempts to measure the extent to which you feel friendliness (warm, positive regard) toward each of your clients early in your work with them. Please indicate your response by circling the number of the statement which most closely reflects your feelings.

1. I would say that my subjective feelings toward this client so far are that I like him.
  6. much better than others on my caseload
  5. better than most others
  4. as well as others
  3. somewhat less well than others on my caseload
  2. less well than others
  1. distinctly less well than others
2. So far, this client appears to respond to me in a way that seems
  6. Very positive, warm, friendly, etc .
  5. Quite positive
  4. As positive as most others on my caseload
  3. Somewhat less positive or friendly than most
  2. Much less positive than others
  1. Completely negative
3. I feel subjectively that with this client I have established an unusually close mutually positive relationship.
  1. Very strongly disagree
  2. Strongly disagree
  3. Disagree a little
  4. Agree a little
  5. Strongly agree
  6. Very strongly agree
4. It is my impression that I understand this client, how he feels, how he thinks, and how he will probably respond to certain situations.
  1. Very strongly disagree
  2. Strongly disagree
  3. Disagree a little
  4. Agree a little
  5. Strongly agree
  6. Very strongly agree
5. So far in dealing with this client, I have found it easy to converse and interact with him in an interview situation as well as informally.
  1. Very strongly disagree
  2. Strongly disagree
  3. Disagree a little
  4. Agree a little
  5. Strongly agree
  6. Very strongly agree

CASE REVIEW OUTLINE

CLIENT \_\_\_\_\_ DATE \_\_\_\_\_  
AGENT \_\_\_\_\_  
AGENCY \_\_\_\_\_

I. CLIENT INFORMATION:

- (a) Age: \_\_\_\_\_ (b) Sex: \_\_\_\_\_ (c) Type: \_\_\_\_\_
- (d) Living Arrangement: \_\_\_\_\_
- (e) Education: \_\_\_\_\_
- (f) Health and Physical Condition: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- (f) Other Pertinent Facts: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

II. CLIENT GOALS/OBJECTIVES:

- (a) Client's own future goals: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- (b) Client's own immediate goals or objectives related to achieving his or her future goals. (Education or skills to acquire; Problem behaviors to change, etc.): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

III. CURRENT POSITIVE BEHAVIORS AND SKILLS:

- (a) Academic: \_\_\_\_\_  
\_\_\_\_\_
- (b) Vocational: \_\_\_\_\_  
\_\_\_\_\_

## CURRENT POSITIVE BEHAVIORS AND SKILLS - CONTINUED

(c) Social: \_\_\_\_\_  
\_\_\_\_\_(d) Home: \_\_\_\_\_  
\_\_\_\_\_(e) Avocational (e.g., Hobbies, Sports): \_\_\_\_\_  
\_\_\_\_\_(f) Other: \_\_\_\_\_  
\_\_\_\_\_

## IV. CLIENT'S REINFORCERS:

(a) What does the client do for fun? \_\_\_\_\_  
\_\_\_\_\_(b) What does the client say he would like to do for fun more often than he  
now does? \_\_\_\_\_  
\_\_\_\_\_(c) What does the client say he would like to do for fun that he has never  
done before? \_\_\_\_\_  
\_\_\_\_\_(d) What material things does the client say he would like to have? \_\_\_\_\_  
\_\_\_\_\_(e) What changes would the client like to see in the behaviors of his parents,  
guardians, authorities, peers, etc.? \_\_\_\_\_  
\_\_\_\_\_(f) What possible additional reinforcers are suggested by others (including  
the treatment agent) for this client? \_\_\_\_\_  
\_\_\_\_\_

## V. PRESENTING PROBLEMS:

(a) Prior citations or referrals: \_\_\_\_\_  
\_\_\_\_\_(b) Most recent citation or referral: \_\_\_\_\_  
\_\_\_\_\_(c) School behavior problems: \_\_\_\_\_  
\_\_\_\_\_(d) Home behavior problems: \_\_\_\_\_  
\_\_\_\_\_(e) Community behavior problems (other than those listed under citations or  
referrals above): \_\_\_\_\_  
\_\_\_\_\_(f) Personal behavior problems (e.g., grooming, hygiene, obesity, etc.):  
\_\_\_\_\_(g) Emotional behavior problems (e.g., fears, phobias, depressions, etc.):  
\_\_\_\_\_(h) Client's statement of own behavior problems: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## Criteria for Rating Items on Case Review

Criteria for evaluating CRO's (rate either 1 or 2):

- |      |     | Score |  |
|------|-----|-------|--|
| II.  | (a) | (2)   | If two or more legally and socially appropriate long-term objectives are listed. (These may include staying out of jail, getting off probation, etc., but should not be limited to these.)               |
|      |     | (1)   | If blank or unknown.   |
|      | (b) | (2)   | Agent has listed immediate goals or objectives that relate to at least one of objectives listed in (a) provided that it is possible (appears possible) and ethical in the near future.                   |
|      |     | (1)   | If blank, "unknown," unethical, or obviously unattainable.   |
| III. | (a) | (2)   | If one or more classes are listed with documentation of skill or good performance in that class, (e.g., grade, statement of teacher or client that work is satisfactory, or that client enjoys the work. |
|      |     | (1)   | If blank or unknown.   |
|      | (b) | (2)   | If at least one skill that would be saleable on a job market is listed, even if the client is not currently employed for pay.  |
|      |     | (1)   | If blank or unknown.   |
|      | (c) | (2)   | If at least one social skill listed, e.g., leadership ability, politeness, has good manners, ability to cooperate with others, friendly, many friends, etc.  |
|      |     | (1)   | If blank or unknown.   |
|      | (d) | (2)   | If at least one objectively specified behavior at home is reported.  |
|      |     | (1)   | If blank or unknown.   |
|      | (e) | (2)   | If at least one hobby or sport or activity (e.g., scouting, hiking, fishing, etc.) is listed.  |
|      |     | (1)   | If blank or unknown.   |

Score

- (f) Rate 2 if any other positive behavior is listed.
- IV. (a) (2) If one or more operationally defined behaviors that the client states he does now, are listed, and it is not illegal.
  - (1) If blank or unknown.
- (b) (2) If at least one operationally defined behavior is specified.
  - (1) If blank or unknown.
- (c) (2) If at least one activity is listed.
  - (1) If blank or unknown.
- (d) (2) If at least one item is listed (may correspond with things listed in II or III above).
  - (1) If blank or unknown.
- (e) (2) At least one statement about current satisfaction or change is included. (The behavior change must be described operationally).
  - (1) If blank or unknown.
- (f) (2) At least one activity, material item or change in others' behavior should be noted even if it duplicates one of the above.
  - (1) If blank or unknown.
- V. Do not rate a or b.
  - (c) (2) If agent operationally defines behavior problem noted, or a statement of "none" or "none known" where no problems can be documented.
  - (d) (2) If agent operationally defines behavior problem (i.e., under what conditions does the behavior occur) or includes a statement of "none" if none have been reported.
  - (e) Same
  - (f) Same
  - (g) Same
  - (h) Same

INTERVENTION STRATEGY REPORT

1	2	3	4	5

CLIENT \_\_\_\_\_

CODING GUIDE  
RATING

- 1. Yes
- 2. No
- 3. Uncertain

6	7	8

AGENCY

9	10	11

AGENT

12	13

C.R.O. SCORE (CODE 99 IF ALREADY CODED ON ANOTHER ISR FOR THIS CASE, OR NONE AVAILABLE).

14

PROJECT PHASE DURING WHICH CRO WAS OBTAINED. (CODE 9 IF ALREADY CODED ON ANOTHER ISR FOR THIS CASE, OR NONE AVAILABLE).

15	16

TARGET BEHAVIOR \_\_\_\_\_

17	18

DURATION FROM DETECTION TO START OF CONTINGENCY MANAGEMENT INTERVENTION STRATEGY: OR TO CASE DISMISSAL OR TERMINATION (WEEKS).

19	20

TOTAL DURATION OF CONTINGENCY MANAGEMENT INTERVENTIONS (WEEKS).

21

WAS THIS BEHAVIOR STILL A PROBLEM WHEN CLIENT WAS REMOVED FROM THIS AGENT'S CASELOAD?

22

DID THE AGENT'S TREATMENT PROGRAM MEET THE CONSULTANT'S CRITERIA FOR AN ACCEPTABLE CONT. MANAGEMENT INTERVENTION?

APPENDIX H

CASE PLANNING WORKSHEET

CASEWORKER \_\_\_\_\_ DATE \_\_\_\_\_

CLIENT'S NAME \_\_\_\_\_ AGE \_\_\_\_\_

SCHOOL, GRADE, AND PROGRAM \_\_\_\_\_

LIVING ARRANGEMENT \_\_\_\_\_

Will there be cooperation from significant others in the client's treatment?  
(e.g., will parents cooperate, teachers, etc.):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Behavior problems (list and specify objective behaviors that evidence the problem):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Behavior change objectives for this client. List each objective and specify whether the frequency or rate of occurrence of each performance is to be increased or decreased (e.g., increase the amount of school classes attended, decrease the amount of curfew violations, etc.):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Client's reinforcers:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



APPENDIX I (Continued)  
Offense Severity Scale

Severity	Offenses
7	forcible rape (without injury to victim) possession or display of dangerous weapons pursesnatching strongarm robbery
8	armed robbery assault with a deadly weapon assault with intent to maim, rob, or murder sexual assault
9	murder manslaughter

COOPERATIVE BEHAVIOR DEMONSTRATION PROJECT  
BACKGROUND QUESTIONNAIRE

NAME \_\_\_\_\_ DATE \_\_\_\_\_  
Month Day Year  
LOCATION OF TESTING \_\_\_\_\_  
Town or City and County

CODED IDENTIFICATION INFORMATION:

Do Not Write in This Box:

Keypunchers - Begin in Column One.

INSTRUCTIONS FOR COMPLETION OF THIS QUESTIONNAIRE. Following are some questions about your background and about your opinions. Read each question and select the best answer for you. Write the number of the answer in the box to the left of the question. Try to answer every question.

1. How do you feel about school?  
1 - I hate school  
2 - I don't like school  
3 - School is OK  
4 - I like school most of the time  
5 - I like school very much.
2. What was your last school grade completed? Write the number of the grade in the box. (For instance, for graduation from high school, write 12.)
3. How well did you do in the last year you attended school?  
1 - Failed most subjects  
2 - Passed some subjects, failed some  
3 - Passed all subjects, but got some D's  
4 - Passed all subjects with mostly C's  
5 - Passed all subjects with mostly A's and B's.
4. Of all the teachers you have known, how many have you liked?  
5 - All of them  
4 - Most of them  
3 - Several  
2 - A few  
1 - Hardly any
5. How much do you care what your teachers think of you?  
1 - It doesn't matter at all what they think of me  
2 - It matters very little  
3 - I care somewhat about what they think  
4 - I care very much

## APPENDIX J (Continued)

Page 2

Last Name \_\_\_\_\_

6. How many times have you been sent to the principal's office for acting up in school?
- 1 - Never
  - 2 - 1 or 2 times
  - 3 - 3 or 4 times
  - 4 - Between 5 and 10 times
  - 5 - Over 10 times.
7. How many times have you been suspended from school?
- 5 - Over 5 times
  - 4 - 4 or 5 times
  - 3 - 2 or 3 times
  - 2 - Once
  - 1 - Never
8. How many times in your last school year did you skip without a real excuse?
- 1 - None or once
  - 2 - 2 to 5 times
  - 3 - 6 to 10 times
  - 4 - Over 10 times
9. How many people now live in your home, including yourself? Write the number in the box.
10. How many times have you moved in the last five years?
- 1 - Haven't moved in five years
  - 2 - Once
  - 3 - Twice
  - 4 - Three or four times
  - 5 - Five or more times.
11. Do you feel satisfied with yourself, or do you feel that your attitude or behavior need to be changed?
- 1 - No changes needed
  - 2 - Don't think so
  - 3 - Maybe I need to change
  - 4 - I am fairly sure I need to change
  - 5 - I am very sure I need to change.
12. People in my family act like they want me to change
- 1 - None at all
  - 2 - Very little
  - 3 - A little
  - 4 - Quite a bit
  - 5 - A great deal

## APPENDIX J (Continued)

Page 3

Last Name \_\_\_\_\_

13. At home I am free to go wherever I want with whomever I want
- 5 - Always
  - 4 - Usually
  - 3 - Sometimes
  - 2 - Hardly ever
  - 1 - Never
14. I feel that I can count on my parents to help me
- 1 - Never
  - 2 - Hardly ever
  - 3 - Sometimes
  - 4 - Usually
  - 5 - Always
15. How satisfied are you with the way you treat your family?
- 1 - Very dissatisfied
  - 2 - Not very satisfied
  - 3 - Fairly satisfied
  - 4 - Perfectly satisfied
16. How old were you when you were first placed on probation?
17. Have you been on probation in another county of California or another state?
- 1 - Yes
  - 2 - No
18. I am kind of a loner, and when I've gotten into trouble I've always been alone.
- 5 - Always
  - 4 - Usually
  - 3 - Sometimes
  - 2 - Hardly ever
  - 1 - Never
19. Do you think that sometimes you actually wanted to get into trouble?
- 1 - Very sure this is true
  - 2 - Quite sure
  - 3 - Don't know
  - 4 - Pretty sure this is NOT true
  - 5 - Very sure this is NOT true
20. Do you expect to get in any further trouble before completing probation?
- 5 - Very sure I won't
  - 4 - Pretty sure I won't
  - 3 - I have no idea
  - 2 - There is some chance I'll get in trouble
  - 1 - Pretty sure I'll get in more trouble.

## APPENDIX J (Continued)

Page 4

Last Name \_\_\_\_\_

21. Do you ever think of yourself as a worthless individual?  
 1 - Yes, often  
 2 - Yes, sometimes  
 3 - Yes, but rarely  
 4 - No, hardly ever  
 5 - No, never
22. How do you think you will get along with your probation officer?  
 1 - Not too good  
 2 - Just OK  
 3 - Fairly good  
 4 - Good  
 5 - Very good.
23. I ran away from home  
 1 - Never  
 2 - One time  
 3 - A few times  
 4 - Several times  
 5 - Many times
24. I ran away (or attempted to run away) from an institution, camp, ranch, hall, etc.  
 1 - Never  
 2 - One time  
 3 - A few times  
 4 - Several times  
 5 - Many times
25. I damaged or messed up something in a school or some other building  
 1 - Never  
 2 - One time  
 3 - A few times  
 4 - Several times  
 5 - Many times.
26. I took part in a fight where our group of kids fought a different group  
 1 - Never  
 2 - One time  
 3 - A few times  
 4 - Several times  
 5 - Many times.
27. I helped to jump somebody and beat them up  
 1 - Never  
 2 - One time  
 3 - A few times  
 4 - Several times  
 5 - Many times.

## APPENDIX J (Continued)

Page 5

Last Name \_\_\_\_\_

28. I have used marijuana or uppers (pills).  
 1 - Never  
 2 - One time  
 3 - A few times  
 4 - Several times  
 5 - Many times.
29. I have used narcotic drugs other than marijuana  
 1 - Never  
 2 - One time  
 3 - A few times  
 4 - Several times  
 5 - Many times
30. Do you consider yourself to be hung up on or addicted to drugs?  
 1 - Yes, very much so  
 2 - Yes, somewhat  
 3 - I'm not sure  
 4 - No, I don't think so  
 5 - No, very sure I'm not
31. Because drugs and narcotics are dangerous, I think no one should use them.  
 6 - Very strongly agree  
 5 - Strongly agree  
 4 - Agree a little  
 3 - Disagree a little  
 2 - Strongly Disagree  
 1 - Very strongly disagree.
32. I might get involved with heroin, LSD, speed, or some other narcotic or drug.  
 1 - Very strongly agree  
 2 - Strongly agree  
 3 - Agree a little  
 4 - Disagree a little  
 5 - Strongly disagree  
 6 - Very strongly disagree
33. I feel in control of my own life. If I get in trouble, it's because I decide to. If I don't get in trouble, it's because I decide not to.  
 6 - Very strongly agree  
 5 - Strongly agree  
 4 - Agree a little  
 3 - Disagree a little  
 2 - Strongly disagree  
 1 - Very strongly disagree.

## APPENDIX K

## WHAT GOOD IS PROBATION?

This paper explains the good you can get from being on probation. Your P.O. will be asking you what you want to accomplish for yourself. You and he will be able to contract with one another to work toward your goals. He has been trained to find out what you want for you, so you can be the person you want to be.

You and he will first look at your strong points. What do you like about yourself? What do you like to do? What do you do well? What would you like to do better? You and he will also look at some of the ways in which you may have hurt yourself, or hurt your chances for reaching the goals you want to reach. One of these goals might be to stop doing things that get you into trouble.

Say, for example, that one of your problems is that you don't get along well at home, so you stay out too late, or away from home too much. Maybe both you and your parents agree that you should come in at a certain hour. (You might feel like staying out later but you decide, let's say, that your parents' reasons for having you home are really not just for their own good, but for yours, too.)

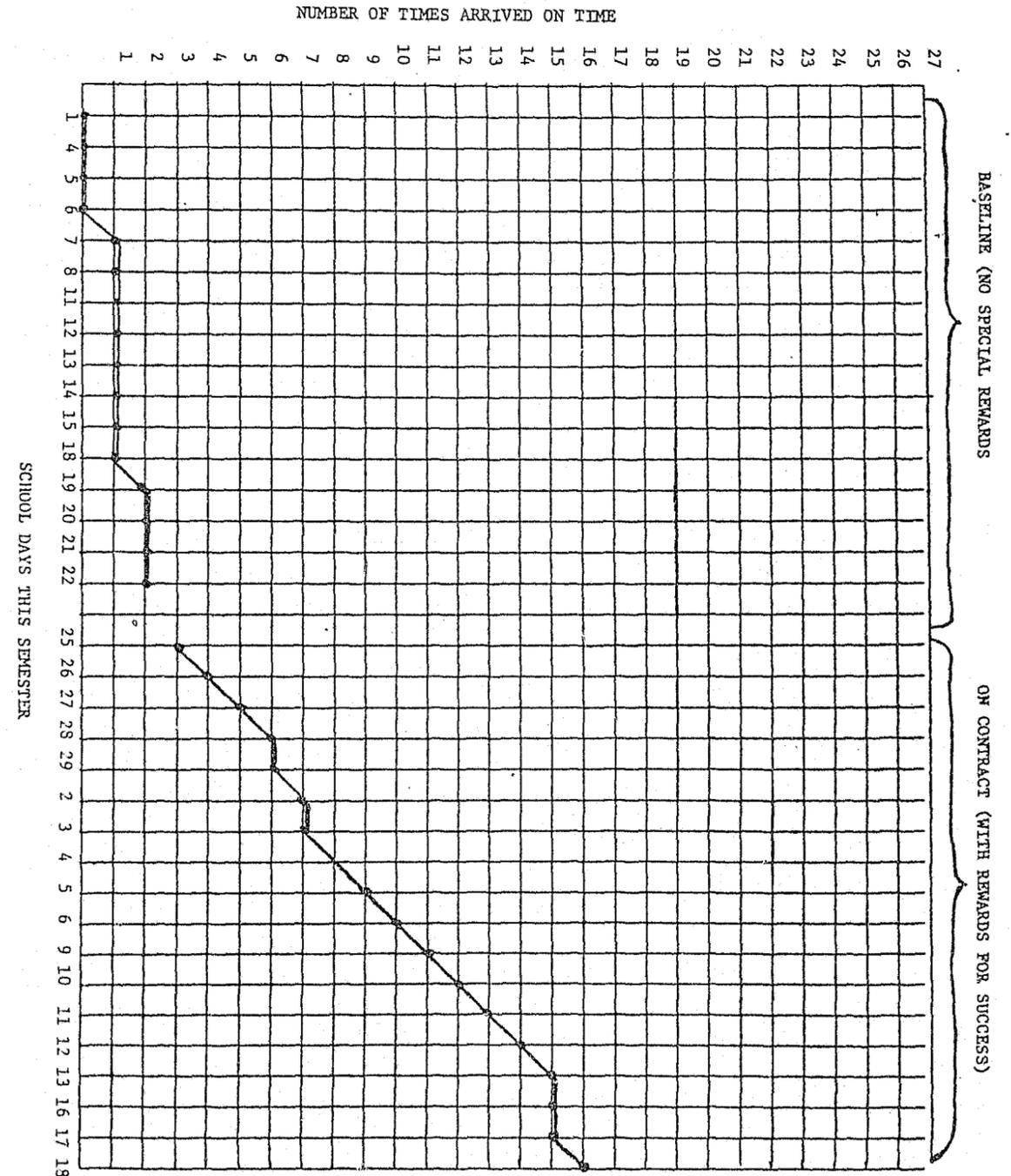
The first goal you might work toward on probation, then, would be to be at home at an agreed time. You might want some help in doing that. Your P.O. has learned that punishing people for what they do wrong is not as good a way to treat people as rewarding them for what they do right. You and he and your parents can work out a simple contract in which you earn whatever reasonable reward you want by living up to certain rules or conditions, which you have a part in making. Maybe you want some privileges, like an allowance, or permission to use the car, or to sleep in on weekends. Maybe your parents don't ordinarily allow you to do these things. You, your parents, and your P.O. can work out a

APPENDIX K (Continued)

contract in which you earn extra privileges for yourself by keeping certain rules. Your parents will have to agree that the rewards you want are reasonable. If they do not, you will have to come up with some other suggestions that are OK with your folks. Staying out too late is only one example of problem behavior. Maybe that isn't your problem. Maybe yours is cutting school, or stealing, or using drugs, or not following the rules at school. No matter which one you want to work on first, you can figure out how to replace it with a form of behavior that is better for you. Sometimes it's easier to get rid of harmful behavior by putting something better in it's place than by just deciding to quit it. For example, a young man might stop stealing cars more easily if he got himself a job driving a pick-up truck that the boss let him use to drive to and from work.

The idea on probation is for you, your P.O., your parents, and maybe your teachers, to put your heads together and come up with the kinds of behavior you agree are good for you, and then set up a program in which you get frequent rewards for all your improvements. Your P.O. and his supervisor, and eventually the judge, will want to know how well you are doing on your contracts. They'll want to see the evidence on paper. Once you pick a problem behavior (say you start with being late for school), your P.O. will do what is called a baseline count of it. He will have the teacher, and maybe you, too, keep close track of how often you're late. Maybe you are in the habit of coming late five times a week. That would be your baseline. Any number fewer than that would be an improvement. Your P.O. will draw a graph with a line that shows the rate of your behavior. Since he wants to emphasize the positive rather than the negative, the line on the graph could show the days on which you arrive on time. The graph might look like the following:

APPENDIX K (Continued)



## APPENDIX K (Continued)

According to the above graph, from September 1 through September 22, before you were put on a contract, the only days you arrived on time were September 7 and September 19. The line went up only two counts. Then say that you agreed to a contract that paid you two points for every day you got to school at 8:55 a.m. Each point you earned entitled you to one hour out on Friday and Saturday nights. If you earned all ten points in a week, you could be out from seven to midnight (five hours) on both Friday and Saturday. If you earned less, you got fewer hours out. (Of course, you and your parents would have had to agree that this was a fair contract.)

The graph shows that when you went on contract to earn nights out, your number of on-time arrivals at school shot up from two to sixteen. The only days you were late were September 29, October 3, October 16, and October 17. You earned 28 points (14 days on time  $\times$  2 = 28), which entitled you to 28 hours out on the weekends.

That is the way you and your P.O. (and your parents and teachers) can use "behavior contracting". It is based on the principle that people are more likely to do things they find hard to do (like getting up, or doing homework, staying sober, etc.) if those things are sometimes rewarded with opportunities to do what they would rather do (sleep in, play, go to movies, etc.).

If a person could sleep in every day, play all he wanted to, and go to any show he felt like going to, those rewards would not be useful in his behavior contracting. One party to the contract (for example, a parent) has to be in control of the rewards. He or she must be in a position to withhold the reward if the other party does not live up to the agreement. That is why it's important that you have a part in deciding the terms of the contract. The more you want to

## APPENDIX K (Continued)

get rid of a problem behavior, the better your contract will be. There's no magical cure in behavior contracting. Your success with it depends on the willingness of all contracting parties to live up to the conditions set. Behavior contracting is only a way that can help you accomplish what you want to accomplish. It, of itself, does not work. You, and the other contracting parties, do.

Everybody enjoys doing some things more than other things. If there are some things in your life you know you really want to do (like finish school, stay healthy, get a good job, feel good about yourself, etc.) but find them hard to do, you are a good candidate for behavior contracting. You can work out a program with your P.O., and other interested people, to cooperate with you in reaching the goals you set for yourself. He will be talking to you soon about your program. You may have some questions about behavior contracting you want to ask him.

## GENERAL OBJECTIVES FOR ALL SUPERVISORS

Supervisors will become experts in training agents in the principles of behavior modification and in consulting with those agents attempting to use the principles in their work.

## I. TRAINER ROLE OBJECTIVES

Supervisors training agents will:

1. Provide new trainees with programmed materials including at a minimum:
  - a. Managing Behavior Volume I and II
  - b. Units I - IV in Behavior Technology
  - c. A copy of "Directions for the Field Exercise in Specification, Measurement and Evaluation" (of Personal Intervention Strategies)
2. Schedule completion dates and progress checks for units of material covered by the trainee. Schedule completion dates for field projects.
3. Correct progress checks and exams and provide performance feedback to the agents, as soon after completion as possible.
4. Assist agents in specifying target behaviors and treatment strategies for their field projects.
5. Assist agents in graphing of data from field projects.
6. Obtain written and graphed summaries of completed field projects from agents to submit to the CBDP consultant.
7. Schedule regular group review training sessions for agents.
8. Specify appropriate objectives for review training session, either independently or in conjunction with the CBDP consultant.

## II. CONSULTANT ROLE OBJECTIVES

Supervisors consulting with trained agents will:

1. Select and assign experimental and control clients.
2. Provide CBDP consultant with the names and designated type of client, date of assignment, and names of agents receiving assignment.
3. Provide the agent with:
  - a. IPED forms
  - b. Rap sheets
  - c. Data collection forms
  - d. Background Questionnaire
  - e. Any testing materials that he will be responsible for administering.

## APPENDIX L (Continued)

4. Schedule completion dates for all initial forms to be filled out by the agent and returned to the project consultant.
5. Schedule group testing or arrange individual testing dates in conjunction with agents.
6. Provide CDBP consultant with:
  - a. Dates of completion of all testing
  - b. Background Questionnaires
  - c. Completed data collection forms
7. Schedule completion dates for Initial Problems and Environment Forms and notify agent of due date.
8. Review with the agent the Initial Problems and Environment Form:
  - a. Provide positive feedback to the agent for problem behaviors specified clearly and objectively.
  - b. Assist the agent in the specification of less well defined behaviors.
  - c. Assist the agent in specifying the client's positive behaviors that might also be included in a contract.
9. Discuss the IPED Forms with CDBP consultant and provide him with a copy of this form.
10. Schedule, with the agent, completion dates for obtaining baseline data on behaviors to be targeted for treatment with contingency contracts:
  - a. Specify 5 to 10 days of baseline as criterion for agents.
  - b. Suggest use of back data where available.
  - c. Encourage reliability checks on data collected whenever possible.
11. Arrange with the agent to tape initial contract negotiations.
12. Review negotiation tapes with the CDBP consultant.
13. Schedule with the agent completion dates for written contracts.
14. Review negotiation tapes with agent.
15. Review contracts with agents:
  - a. Rate the contract using the contract Quality Rating Scale.
  - b. Provide the agent with the rationale for your specific point by point ratings.
  - c. Compare the rating with the CDBP consultant's independent rating.
  - d. Provide further feedback to agent on contract, e.g., positive comments, recommendations and suggestions.

## APPENDIX L (Continued)

16. Schedule due dates for bi-weekly progress checks with agents.
17. Review progress checks with agents:
  - a. Evaluate summarized data.
  - b. Assist agent in specifying new target behaviors that could be put under contract if data indicates improvement under contract terms.
  - c. Discuss alternative reinforcers and treatment strategies if data indicates no improvement or "psycho-noxious" effects under the contract terms.
  - d. Assist agent in arranging for self-management probes, if data indicates stabilized improvement under contract terms.
  - e. Provide CDBP consultant with progress checks.
18. Schedule (in conjunction with CDBP consultant) dates for contingency contracted case Reviews, and notify agent of review date.
19. Obtain file from agent for review, and decide whether the agent should be present at review conference with consultant:
  - a. Schedule agent attendance at CDBP consultant's conference if agent and supervisor agree that direct feedback, concerning a case would substantially facilitate further treatment objectives.
  - b. Rate contract using Contract Quality Rating Scale.
  - c. Compare rating with CDBP consultant's rating.
  - d. Provide additional feedback to agent.
20. Obtain accurate bi-monthly or monthly reports of match-time from agents.
21. Provide CDBP consultant with supervisor-signed match-time forms.
22. Assist agents in designing and carrying out work related self-management, peer and superior contracts.

## APPENDIX M

## CASE REVIEW OUTLINE RATING

		<u>RATING</u>	
<input type="checkbox"/>	Client	1. Any blank or "unknown". 2. At least one specification or "none" with explanation.	
<input type="checkbox"/>	Agency, Agent		
<input type="checkbox"/>	Initial CRO date		
15 <input type="checkbox"/>	Long term goal(s)	29 <input type="checkbox"/>	School behavior problems
16 <input type="checkbox"/>	Short term goal(s)	30 <input type="checkbox"/>	Home behavior problems
17 <input type="checkbox"/>	Positive school behavior(s)	31 <input type="checkbox"/>	Community behavior problems
18 <input type="checkbox"/>	Positive vocational skill(s)	32 <input type="checkbox"/>	Personal behavior problems
19 <input type="checkbox"/>	Social skill(s)	33 <input type="checkbox"/>	Emotional problems
20 <input type="checkbox"/>	Positive home behavior(s)	34 <input type="checkbox"/>	Client's statement of own problem behaviors
21 <input type="checkbox"/>	Hobby or sport	<input type="checkbox"/>	Number of items rated 2
22 <input type="checkbox"/>	Other		
23 <input type="checkbox"/>	Current high probability behaviors (HPB's)		
24 <input type="checkbox"/>	Behaviors desired more often		
25 <input type="checkbox"/>	New behaviors (HPB's)		
26 <input type="checkbox"/>	Material things (Reinforcers)		
27 <input type="checkbox"/>	Behavior changes in others		
28 <input type="checkbox"/>	Others		





## APPENDIX O (Continued)

7. Same as for the preceding objective (The Contracting Game: Live Case), but for a contract with a peer, subordinate, or superior.
8. Rated another trainee's contingency contracts (client, peer, subordinate, or superior contracts) and had own contracts rated by another trainee, using the "Contract Quality Rating Scale", (at least once during training).
9. Written out the objectives and terms of a "Self Management" contract on at least one of his or her own behaviors.

II. FIELD AGENTS ONLY

1. Specified (defined) his or her own intervention strategy in writing (objectives and chosen treatment strategy) for one or more cases (before training in contingency contracting), and evaluated the effectiveness of the strategy, using basic data collection and experimental methods. (Data to be provided for C.B.D.P. staff). (See instructions for Field Evaluation Exercise).
2. Provided the following data to his or her supervisor (during the research phase of the C.B.D. Project) on cases selected at random by the C.B.D.P. staff from new additions to caseloads. (Field agents will be asked to provide data on up to three cases at any one time).
  - (a) Completed Jesness Inventory for each case (Pre and Post treatment).
  - (b) Completed Behavior Checklists from each client and from two other persons who are familiar with the client (at intake and at specified intervals during treatment).
  - (c) Background of client (face sheet, intake information). (See C.B.D.P. form for this purpose).
  - (d) Copies of all actual contingency contracts negotiated with clients selected as contracting cases by the C.B.D.P. staff.
  - (e) Contract termination interviews with clients and second parties in each contract case. (Interviews to occur when a contract is terminated or renegotiated for any reason).
  - (f) Raw or summarized behavioral data (frequency counts of client behaviors before and during treatment, during reversals, etc.) from cases selected for contracting. (Also, if possible, from cases treated by other strategies).

## APPENDIX O (Continued)

- (g) Attitude questionnaire from contracted and non-contracted cases, regarding feelings of the client about his agent. (Interview form to be provided by C.B.D. Project).

III. SUPERVISORS ONLY

1. Provided the following training data for C.B.D.P. staff (to be collected as completed):
  - (a) Number of trainees in attendance for training.
  - (b) Trainee test scores (Unit Tests 1 - 4 accompanying Behavior Technology materials, Data Collection Progress Check, Final Exam).
  - (c) Trainees' written answers to training package study guide questions.
  - (d) Trainees' written responses to the Contracting Game guide (e.g., behavior to be treated, reinforcers, etc.).
  - (e) Contracts written by trainees in the Contracting Games (client, self, peer, subordinate, superior).
  - (f) Trainees' completed Contract Quality Rating Forms for contracts written in Contracting Games in training.
  - (g) Data sheets, graphs, and reliability scores from the Counting Game exercise.
  - (h) Completed Assertion Training Worksheets showing definitions, data, and reliability scores for each role playing situation.
  - (i) Written objective specification of each trainee's personal intervention strategy (treatment objectives, and treatment methods) to be evaluated in the field evaluation exercise.
  - (j) Raw or summary data collected by each trainee during the field evaluation exercise. (Ultimately, all data necessary for evaluation of treatment).

2. Provided the following data for the C.B.D.P. staff during evaluation of the Contingency Management Intervention Strategy (as completed).
- (a) All of the data that field agents are required to provide to the supervisor (See: II. Field Agents Only, Number 2).
  - (b) Contracts negotiated with subordinates or superiors in respect to C.B.D. Project objectives.
  - (c) Recidivism data from experimental (contracted) and control (non-contracted) cases.
  - (d) Number of field agents actually contracting with clients, and number of clients being contracted by each agent.
  - (e) Objectively specified unit objectives.
3. Provided training in Behavior Modification for new field agents (or for replacement supervisors) and refresher training for all agents participating in the C.B.D. Project. (Training data to be provided to C.B.D.P. staff).

APPENDIX P

CBDP CLIENT TREATMENT SUMMARY

1	2	3	4	5

CLIENT \_\_\_\_\_

6	7	8

PRIMARY AGENT (Agent having client longest or providing most C.M. Treatment).

9	10	11

AGENCY

12

1. How many specific behavior change objectives were identified for this client by Primary Agent?

13

2. How many were treated at all with data based Contingency Management by Primary Agent?

14

3. How many received treatment that met the consultant's minimum criteria for C.M. treatment? (Code 9 if uncertain).

15

4. How many behaviors were problems when client was lost (dismissed, revoked, transferred) from the Primary Agent? (Code 9 if uncertain).

Indicate below other treatment modes used in this case while client was CBDP client

CODE: 1 = Yes 2 = No 3 = Uncertain

16

(a) Professional Mental Health Service

17

(b) Foster Home

18

(c) Residential Treatment Program

19

(d) Special or Remedial Education

20

(e) Counseling by P.O.



APPENDIX Q (Continued)

TOTAL DURATION (WEEKS) OF CONTINGENCY CONTRACTING INTERVENTIONS

CODE: Number of weeks or blank under behaviors not a problem

Col. 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49

01	02	03	04	05	06	07	08	09	10										

Col. 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69

11	12	13	14	15	16	17	18	19	20										

Col. 70 71 72 73 74 75 76 77 78 79 E N D

21	22	23	24	25						

(Begin Card Three: Repeat Columns 1 = 8; Column 9 = 3

Col. 10 11 12 13 14 15 16 17 18 19

26	27	28	29	30					

DID THE PRIMARY AGENT'S TREATMENT PROGRAM MEET THE CBDP CRITERIA FOR AN ACCEPTABLE C.M. PROGRAM?

CODE: Yes = 1 No = 2 N/A = Blank

Col. 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34

01	02	03	04	05	06	07	08	09	10	11	12	13	14	15

Col. 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49

16	17	18	19	20	21	22	23	24	25	26	27	28	29	30

APPENDIX Q (Continued)

WAS THE BEHAVIOR STILL A PROBLEM WHEN THE CLIENT LEFT THE PRIMARY AGENTS CASELOAD?

Col. 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64

01	02	03	04	05	06	07	08	09	10	11	12	13	14	15

Col. 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 E N D

16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	

HOW MANY OF THIS CLIENT'S PROBLEM BEHAVIORS DID THE PRIMARY AGENT HAVE UNDER CONTINGENCY CONTRACT IN EACH MONTH THAT THE CLIENT WAS A CBDP SUBJECT?

(Put the number of problems in the appropriate boxes. Code 9 for months in which client was not a CBDP subject).

(Begin Card Four: Repeat Columns 1 - 8; Column 9 = 4

Col. 10 11 12 13 14 15 16 17 18 19 20 21

1/73	2/73	3/73	4/73	5/73	6/73	7/73	8/73	9/73	10/73	11/73	12/73

Col. 22 23 24 25 26 27 28 29 30

1/74	2/74	3/74	4/74	5/74	6/74	7/74	8/74	9/74

Col. 31 32

--	--

PRIMARY AGENT'S CRO SCORE

Col. 33

--

90-DAY PROJECT PERIOD DURING WHICH CRO WAS OBTAINED

APPENDIX Q (Continued)

IF THIS CLIENT WAS TREATED BY OTHER AGENTS WHILE  
A CDBP SUBJECT, DID THEY ATTEMPT ANY  
CONTINGENCY CONTRACTING?

CODE: 999 = Non-CBDP Agent			1 = Yes	Blank = No
Col. 34	35	36	Col. 37	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	ADDITIONAL AGENT 1
Col. 38	39	40	Col. 41	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	ADDITIONAL AGENT 2
Col. 42	43	44	Col. 45	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	ADDITIONAL AGENT 3

NUMBER OF MONTHS THIS CLIENT WAS IN THE AGENT'S  
CASELOAD

Col. 46	47	Col. 48	49	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AGENT #1
Col. 50	51	Col. 52	53	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	AGENT #3

PRIMARY AGENT

AGENT #2

APPENDIX R

Additional CDBP Impacts

Although the CDBP training/consulting model was designed to establish contingency-management programs in open-community settings, it also helped institutions with some innovative developments, briefly described below.

"New Directions": Solano County's Juvenile Hall Treatment Program

In Solano County, members of the juvenile hall staff participated in the behavior-modification training program provided for field agents. Following training, and with the support and encouragement of the agency and hall administrations, staff members designed and implemented a behavior modification treatment unit in the hall.

Clients of both sexes were assigned to the program by the court, for a period of up to 120 days. A token economy served as the basic behavioral-management system. Progress through the program was managed with a response-contingent, step-level system in which clients earned their way into successively higher levels, each affording greater amounts of out-of-hall privileges, culminating in return to the community.

Contingency contracting was the treatment of choice for individual client-behavior problems during the in-house phase of the program, for furlough periods, and for six months of aftercare supervised by deputy probation officers trained in behavior modification.

At this writing, the in-house program had been operational for more than a year, and the behavior-management objectives had been successfully reached by most of the clients. The impact of the program on clients' community behaviors was to be evaluated after a reasonably long period of aftercare.

The program was successful in providing residential care for clients at an average cost of only \$1,873.90, compared with \$3,834.00 for other placements. The location of the program also reduced the

expenses parents would otherwise have paid to maintain contact with a child in a more distant placement, such as a ranch or the CYA.

Catholic Social Services of Stockton: Early Intervention Project

Social workers at C.S.S. of Stockton participated in an abbreviated version of the CDBP training course, followed by ongoing consultation according to the CDBP consulting format.

Behavior modification became the primary treatment approach in the program. The social workers negotiated contingency contracts with their young clients (kindergarten through second grade) and between clients, teachers, and parents. They also assisted teachers in developing group and individualized behavior-management systems in their classrooms.

The success of many of the clients during interventions by the C.S.S. staff encouraged school administrators, counselors, and individual teachers to seek additional training and consultation in behavior modification.

Marin County Childrens' Treatment Center Day Care Program

The day care program of the Marin County Childrens' Treatment Center was designed for children who lived in their own homes, but attended the special day care school. Initially, the program's purpose was to assist children and families during the child's transition from the residential program back into the community. As the program developed, however, many youngsters were admitted directly from the community.

The daily population consisted of 20 to 25 students from 12 to 18 years of age. Most of them had been referred to probation for truancy, school-problem behaviors, incorrigibility, and runaway. A few had been arrested for offenses like burglary, auto theft, assault, and the use of illegal drugs.

The objectives of the day care program were to assist parents in developing more effective ways to deal with their children's behavior problems, but especially to improve school attendance and performance. Efforts were also directed at reducing family conflicts and delinquent behavior in the community.

Procedure. The entire program operated around a token economy designed by staff members who had received behavior-modification training as participants in the Cooperative Behavior Demonstration Project. Clients earned points for school attendance, punctuality, classroom performance and deportment, completion of chores in the treatment unit, service as elected officers in student government, and other special performances. The points could be spent for a variety of privileges, at the student's discretion (for example, afternoons off, picnics, walks off-grounds alone, etc.).

Contingency contracting dealt with special problem behaviors at the center, and in the home and community. Parents received training and assistance in the method from day care staff. Assertive-behavior training and other parenting techniques were also provided for parents and clients by the day care staff.

In designing their training program for parents, day care staff made use of contingency-management principles learned in the CDBP. Parent training sessions were sequenced so that completion of the more academic requirements (the less preferred tasks) was a prerequisite for discussion sessions on the "problem behaviors" of their youngsters (a more preferred task).

Results. Day care clients attended on 93% of the school days during January, 1973, (a representative comparison period) as compared with 77% for a control group of clients receiving regular probation supervision. A Mann-Whitney U Test (for  $N_2 > 20$ ) showed that this difference was significant ( $u = 3.78$ ;  $p < .00011$ ).

An evaluation of program impact on community behavior problems did not reveal significant differences between the day care and control clients. The lack of a difference, however, may have been the result of the low rate of known community behavior problems of both groups.

Other behavior-change objectives were achieved in the program, but a full-scale evaluation had not yet been undertaken.

#### El Dorado Hall

El Dorado Hall staff at O. H. Close School joined the Cooperative Behavior Demonstration Project in January, 1974. They and some students participated in 12 hours of training in goal analysis in the operation of their participative management program. Training included objective specification of expected student and staff performances in the program.

The CBDP staff assisted the El Dorado staff in implementing a case-conference goal-setting and progress-checking format, designed to assist students and staff in establishing and documenting individual student's long-range and immediate goals and performance objectives.

A procedure for objectively assessing and reporting achievement of the goals specified in case conferences was instituted on a trial-experimental basis in January, 1975 by one counselor at El Dorado Hall. An evaluation of the El Dorado student-evaluation procedure (designed to monitor student progress toward achievement of specified program objectives) was initiated at the same time.

The ultimate evaluation of the impact of CBDP consultation and training on El Dorado staff was to include:

1. An analysis of the impact of the case-conference format on continuing staff performances at case conferences.
2. A comparative analysis of case conference objective-setting scores before and after the implementation of the monitoring procedures for assessment of student progress in attaining the objectives.

3. Evaluation of the reliability of the student/staff rating procedures for determining student progress was to be determined by comparing weekly "student evaluation" ratings by both staff and students, with daily ratings by both, in program areas where the data were available. The El Dorado program was also continuing to develop a management-by-objectives approach to casework and transactional analysis treatment, with the assistance of the CBDP staff.

#### Sacramento County Subsidy Unit

Agents from the Sacramento County, state-subsidized probation unit who participated in the initial CBDP training were responsible for extension of contingency-management principles to associated paraprofessionals. These extensions included:

1. Operating a two-month, contingency-managed, remedial-reading program for their probationers.
2. Assisting group-home parents to develop a contingency-management point system for the management of home, school, and community behaviors of six to eight probationers.
3. Assisting a teacher in the development of a contingency-management program for improving attendance, conduct, and academic achievement for a class primarily of probationers.
4. Development of a simplified and systematic data-collection procedure for graphing school attendance data for all supervised probationers. (This system was described in detail in a symposium entitled: "Applied Behavior Analysis in Juvenile Probation," presented at the Western Psychological Association Meeting, 1974).

#### Increasing Region K's Evaluation Capability

In late January, 1974 at the request of the Youth Authority Director, the staff of the CBDP contracted to provide the following services to the Region K, Office of Criminal Justice Planning (OCJP) Diversion Program Evaluation Project.

1. Basic training in evaluation design (i.e., goal analysis, performance measurement and reliability-check systems, and experimental design). (Two three-day seminars: 144 man-hours).

2. In the context of the above training, provide a specification of the performances required of Region K, OCJP, evaluation project staff to accomplish evaluation of a diversion program, and assist evaluation project staff in development of a project proposal format, that will prepare future grant applicants to provide information that will facilitate evaluation.
3. Accompany evaluation project staff on on-site visits to projects being evaluated, to assist and further train evaluation project staff in designing and implementing evaluation strategies in various settings. (150 man-hours).
4. Consultation of the CBDP offices at NCYC, regarding progress of the evaluation in the three specified diversion programs, processing and interpretation of acquired data, and the critiquing of the final report (148 man-hours).

The CBDP staff was selected to assist Region K because the CBDP model of supervisory and case management by objectives was ideally suited for the task of evaluating implementation and impact of programs such as juvenile diversion.

The implementation of the service contract began March 5, 1974. The fourth and final objective was completed in late May, 1974. A total of 442 man-hours of CBDP staff time was required for attainment of the objectives.

As a result of the involvement with the Region K project, the CBDP staff received numerous requests for advice and assistance in program planning and evaluation and case management by objectives from adult and juvenile treatment programs.

*7 ables/...*

**END**