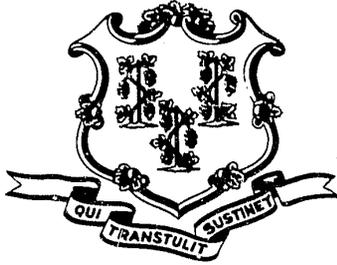


**OFFICE OF ADULT PROBATION**



**STATE OF CONNECTICUT**

58965

**book Intern Program**

58965

CONNECTICUT JUDICIAL DEPARTMENT  
OFFICE OF ADULT PROBATION  
ADMINISTRATIVE OFFICE



643 Maple Avenue, Hartford, Connecticut 06114

Telephone: (203) 566-8310

June 22, 1979

NCJRS

JUN 25 1979

NCJRS Acquisition Department  
Box 6000  
Rockville, Maryland 20850

ACQUISITIONS

Dear Sir:

While reading the May edition of SNI-Selective Notification of Information manual, I noticed under the probation and parole heading a listing of a volunteer probation officer handbooks.

I am submitting for listing in SNI, several volunteer related documents utilized in our Probation Department's Volunteer Program - namely an Intern Handbook and a Volunteer Handbook.

Information on both manuals follows:

Handbook, Volunteer Programs, Office of Adult Probation, State Judicial Department, State of Connecticut. Michael L. Roeder, Editor. Forty-three (43) pages. 1978.

This handbook is used by staff and volunteers prior to and during affiliation with an agency volunteer program. There are over 500 volunteers working in twenty-one agency field offices presently. Each volunteer receives a copy of the handbook during training and refers to it throughout his/her volunteer experience.

The handbook keys in on history/organization of the agency, lists job descriptions and requirements of each of the volunteer programs by section, lists important abbreviations and terminology used in this agency on a day to day basis and provides helpful hints to volunteers in terms of their job requirements. Also included is data on field office locations to include pertinent names and phone numbers of key agency personnel. A section of the handbook covers volunteer benefits.

It is a comprehensive forty-three page document on this agency's volunteer programs.

Handbook - Intern Program, Office of Adult Probation, State Judicial Department, State of Connecticut, Michael L. Roeder, Editor. Fifty-seven (57) pages, 1979.

This handbook is utilized by some 100 interns who work in this agency annually. Interns are unpaid college students who complete field experience in a field office for appropriate college credit. The handbook covers in detail all aspects of the intern's job requirement - i.e., program procedures, forms (personal, administrative and intake), abbreviations and terminology and the presentence investigation report process. A section deals exclusively with operational guidelines for professional staff.

If at all possible, I would appreciate SNI listing these publications in a future issue so that other volunteer managers and administrators in the probation systems across the country may be aware of the existence of these documents.

Respectfully,

  
Michael L. Roeder  
Supervisor  
Volunteer & Intern Programs

MLR:ds  
Attachments

NCJRS

JUN 25 1979

## ACQUISITIONS

### INTRODUCTION

This handbook is designed to familiarize incoming interns with the operation of the Office of Adult Probation, State Judicial Department, as it relates to two primary duties: the supervision of individuals placed on probation and the completion of the pre-sentence investigation and report (PSI). The information contained in this manual will give interns the basics necessary to perform as an intern.

Department philosophies and procedures are outlined in-depth. Forms utilized by line officers in the performance of their duties are included and should be studied in-depth. You will also notice that attention is paid to such areas as proper attire and expected behavior when working in certain situations, i.e., covering court.

This handbook also contains procedural guidelines for professional staff who are the key elements in this program. Probation Officers are encouraged to become familiar with this section of the manual so that interns can be supervised uniformly throughout the agency's twenty-one field offices.

Interns should remember that the manual is only a guide. During the course of the semester, students will be working closely with supervisors and Probation Officers who will provide interns with assistance on a regular basis.



I am very pleased to welcome you to the Office of Adult Probation and the Probation Intern Program. Your experience in the agency will be a challenging one but we have found that students meet that challenge and learn in the process.

The contributions you will make during the semester are highly regarded by professional staff in this department. As you work with staff, with probationers and with public and private agencies, you hopefully will gain the knowledge and expertise to assist you in your profession whether it be in the field of probation or elsewhere.

I trust that you, the Probation Intern, will gain real satisfaction from your contacts with the agency and from your participation in this program.

**TERRY S. CAPSHAW**  
Director, Adult Probation

As Supervisor of Volunteer and Intern Programs for the office of Adult Probation, State Judicial Department, I want to welcome you to our Intern Program.

During the next several months, you will gain valuable experience in this agency in your role as an intern. You will work closely with professional staff on probation cases and investigative reports and, at the same time, work with other Criminal Justice Agencies in this state on a regular basis.

Since 1975, hundreds of students from universities, colleges, and community colleges in Connecticut, Massachusetts and New York have successfully participated in this program. Their contribution to this department has been significant because of a total commitment. I trust you will also make a contribution, have an impact, during the time you spend with us.



**MICHAEL L. ROEDER**  
Supervisor, Volunteer and  
Intern Programs

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## ABOUT THE AGENCY

The Office of Adult Probation, previously known as the Department of Adult Probation, was created by an Act of the Connecticut Legislature in 1955. On February 23, 1956, the department formally began operations, utilizing forty-three officers who had an average of five years work experience in the field of probation. Presently, 150 line officers work in 21 field offices statewide, supervising some 18,000 probationers in 28 state criminal courts.

Organizationally, the state is divided into four districts, each administered by a district supervisor; the larger field offices in each district are managed by a Chief Probation Officer. Smaller offices have Deputy Chief Probation Officers. Overseeing the department's daily operations are a Director and a Deputy Director. They are assisted by an administrative staff consisting of a Personnel Manager, a Supervisor of Training and Staff Development, a Supervisor of Planning and Research, a Supervisor of Volunteer Services, a Caseload Classification Coordinator, a Business Manager, and a complete computer operation section, a recent addition to administrative staff.

The probation process developed as a positive alternative to incarceration of offenders. The criminal justice system, which the Office of Adult Probation is an integral part, has the responsibility to effectively deal with the enforcement of the criminal statutes and to service those individuals who come into contact with the system.

The department's responsibilities are varied and include the supervision, counseling and referral of persons placed on probation through the process of adjudication in the courts. In addition, Probation Officers complete thousands of court ordered investigations — pre-sentence and post-sentence reports — annually.

The Office of Adult Probation utilizes experienced officers in specialized units to deal with Youthful Offenders, drug addicts and the unemployed. Other probation personnel work in drug screening and pre-trial diversion. A Pilot Probation Specialized Services project enables agency personnel to purchase community services — food, housing, treatment — for its clientele in emergency situations. A new system of caseload management, Differential Caseload Management by Objective (DCMBO) has been implemented by the agency to assist officers in case processing.

All the functions mentioned above are primarily geared to service probationers with the ultimate objective of directing them permanently out of the criminal justice system.

The Office of Adult Probation operates a statewide Volunteer Program. Volunteers have come to play an important role in the probation operation in this state. The Volunteer movement began in the agency's New Haven Office in 1970. In September, 1971, the department was awarded a Federal grant to sponsor a Volunteer program consisting of two components: A Volunteer in Court (VIC) and a Volunteer in Probation (VIP) program. The agency presently benefits from the hard work of 500 Volunteers and Interns in 21 field offices. In the recent fiscal year, Volunteers contributed 52,000 hours to the agency, which represents a service value in excess of \$425,000. Volunteers are utilized in four programs categories:

**Volunteers in Probation (VIP):** A program where Volunteers work in a one-to-one relationship with selected probationers.

**Volunteers in Court (VIC):** A program where Volunteers work in the state's 28 courts, replacing and/or assisting the Probation Officer in court.

**Volunteer Assistance Program (VAP):** A program where Volunteers assist department secretarial staff in the performance of their duties.

The concept of probation staff and Volunteers working together has proven to be most successful over the past several years. Volunteer programs have matured to the point where they are considered to be an important part of the agency's daily operations. To assure a smooth day-to-day administration of Volunteer programs in the Office of Adult Probation, a staff of seven coordinators, strategically placed in agency field offices throughout the state, administer Volunteer programs in their area of responsibility, working in close cooperation with chief probation officers and line staff. Additional information on the locations of these area coordinators is contained elsewhere in this handbook.

## ABOUT THE PROBATION INTERN PROGRAM

Prior to January, 1975, staff and several agency field offices worked with interns and derived a degree of mutual benefit from the relationship.

In January, 1975, efforts began to expand the program to a majority of offices. Contacts were established at major universities, colleges and community colleges throughout Connecticut, Massachusetts, and New York, and by September, 1975, the agency was receiving numerous applications for internships.

Two day pre-placement training sessions are programmed at the Connecticut Justice Academy in Haddam, Connecticut for all interns. Attendance at this session is mandatory. Emphasis is placed on case load management, the initial interview, the pre-sentence investigation format and general agency operations and procedures. The sessions are held once in January and again in September of each academic year. Upon completion of training, interns are assigned to appropriate field offices for a semester and work with an officer from 18 to 40 hours weekly and receive appropriate credit for the work commitment.

Each semester the office of adult probation will place approximately 50 student interns in field offices throughout Connecticut. The program has experienced great success because of the unique relationship which develops between the intern and probation officer assigned to work with the intern. The evaluation of the program several years ago indicates that the concept of using the intern with the probation officer to form a working team is successful and should be continued and expanded when possible.

In the recent fiscal year, interns committed 19,500 manhours to the agency. Since 1975, the agency has benefited from the competent work of 300 students who contributed over 50,000 manhours in the system.

Section I

**Program Procedures**

## **PREFACE**

Interns must become familiar with program procedures to avoid any/all problems regarding philosophy, policy, grading process, etc.

The following pages should be carefully read and understood. Any questions which may arise should be directed to the Chief Probation Officer in your unit of assignment or directly to the Supervisor of Volunteer and Intern Programs.

## **OBJECTIVES**

- To utilize University-College majors in Criminal Justice and related fields in order to assist the department in achieving its professional goals.
- To give the Intern a meaningful experience within the Criminal Justice System.
- To expose the Intern to the Department's general operation including its involvement with the State Court System.
- To enable the Intern to make career decisions based on his participation in the program.
- To develop a resource of personnel for potential employment in this and adjunct departments.

## PHILOSOPHY

As an Intern, you will perform many of the duties of a Probation Officer. You will supervise cases, investigate others, perform research and participate in a number of department-related tasks. You will not have the power of arrest! You will be able to process warrants with the approval and guidance of your assigned probation officer. You will work with Court officials — Prosecutors, Judges and Clerks — and get a feel for the system as you function in your role as an Intern.

Within the department structure, you will process reports, handle confidential files, check criminal records, interview clients and become generally familiar with the statistical responsibilities Probation Officers have in terms of their caseloads.

You will be required to consult with the assigned probation officer before any type of a major activity is carried out on a specific case — arrest for Violation of Probation, mandatory treatment, change of treatment and the like.

Each Intern will be given the proper identification credentials which will verify him as a probation intern in the Office of Adult Probation.

Any violation of department operating procedures by an Intern will be handled by the program supervisor. In the extreme, an intern will be terminated from the program, and his university or college notified.

The following infractions would constitute grounds for termination:

1. Releasing confidential information, files, other data to unauthorized persons or institutions. Any "grey" area concerning confidentiality should be brought to the Intern's advisor.
2. Failure by the Intern to complete assigned task through neglect or dereliction.
3. Failure to report to work for extended periods.
4. Unauthorized use of the department's communication system.

**NOTE:** Long distance phone calls are authorized when such calls relate to duties as an Intern. Personal, long distance calls on state phones are not permitted under any circumstances.

# CONCEPT

## ORIENTATION PHASE

Once accepted into the program, the Intern will participate in a two-day orientation training session at the Criminal Justice Training Academy at Haddam, Connecticut. This session will be an intensive overview of department philosophy and procedures to include in-depth review of all pertinent forms utilized by this department.

Attendance will be mandatory.

After completion of this two-day session, Interns will be assigned to an office hopefully situated in an area with which the Intern is familiar. In most cases, Interns will be placed in or near the community in which he/she lives.

## WORK PHASE

This phase is obviously the most important and durable of the Intern Program.

During this phase, the Intern will become involved in the following:

1. Court coverage to include all aspects of intake ½ day a week.
2. Supervision of cases not involving in-depth supervision, i.e. restitution, first offenders, domestic cases, petty theft, Youthful Offenders.
3. Pre-sentence investigations — a very important aspect of a Probation Officer's professional responsibility.
4. Reporting
5. Field tasks which are related to caseload supervision and investigation.

## EVALUATION PHASE

This phase will be ongoing in nature. Interns will be required to meet occasionally with program supervisors to discuss their work and to make constructive criticism relating to such work.

On the other hand, each Intern will be assigned to a probation officer who will act as a "resource" and who will make appropriate observation on the Intern's progress and general work attitude.

## POLICY

Special attention should be paid to the following policy areas:

### APPEARANCE

Generally, Interns should make a professionally neat appearance. Sports coats and tie or suits for males and dresses or pantsuits for females. When in court, a tie and jacket for male Interns is mandatory.

Haircuts, beards and moustaches must be neat and trimmed. Long hair and the like are not prohibited but, again, appearance is important in terms of your role in the public eye.

### TRANSPORTATION AND INSURANCE POLICY

All Interns must have transportation. Reimbursement for parking costs related to work is authorized. No other reimbursements are authorized. Interns will be required to subscribe to Volunteer Insurance through the Insurance Company of North America. The policy cost is \$3.00 per semester. Interns will not be faced with any other additional expenses once in the program.

### WORK SCHEDULE

Interns are expected to put in a full seven hour day. For State holidays, Interns will be given time off with State employees. It is expected that Interns will work through school holidays and vacation periods, however.

Interns will be excused for important curriculum sessions at their college or university.

Leave will be granted for sickness or personal problems.

Interns will be required to keep Chief or supervising Probation Officers apprised of their daily activities through sign-in and sign-out sheets as do all department employees.

### GRADING EVALUATION

Unless specified, each Intern will receive a letter grade along with a constructive evaluation at the end of his Internship. This grade evaluation will be forwarded to the appropriate faculty member, who assigns the final grade.

## Section II

# **Program Forms**

## PREFACE

The following pages highlight the various personnel, administrative and intake forms utilized in the agency by Probation Interns. All forms will be covered during Orientation at the Connecticut Justice Academy prior to assignment.

Interns should keep this manual available for reference throughout the Internship.

### PERSONNEL FORMS – INTERN MONTHLY REPORT

The Intern monthly report (unnumbered) is forwarded to the Supervisor of Volunteer Services in Hartford by the 15th of each month – 1 copy is sufficient. This form constitutes the only requirement Interns have in terms of tracking their activities during any month. Example: (Statistics compiled for the month of September should reach the supervisor's desk by the 15th of October).

The Intern monthly report is quite easy to complete. However, successful processing of the form will require each Intern to develop some informal method of compiling data for the report.

Month October Year 1978

#### Supervision

1. Total cases under supervision at first of month	21
2. Total cases received for the month	9
3. Total cases	30
4. Total cases discharged during month	10
5. Total cases (net) at end of month	20

#### Investigations

1. Total cases completed during month	2
2. Total cases pending at end of month	1
3. Total PT investigations - YO Eligibility completed	6
4. Post-sentences completed	3

#### Hours/Contacts

1. Total hours expended during month	112								
2. Total Office Contacts during month	<table style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <tr> <td style="padding-right: 5px;">Phone</td> <td style="padding-right: 5px;">Per.</td> <td style="padding-right: 5px;">Let</td> <td></td> </tr> <tr> <td style="border-top: 1px solid black;">26</td> <td style="border-top: 1px solid black;">16</td> <td style="border-top: 1px solid black;">9</td> <td style="border-top: 1px solid black;"></td> </tr> </table>	Phone	Per.	Let		26	16	9	
Phone	Per.	Let							
26	16	9							
3. Total field contacts during month	<table style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <tr> <td style="padding-right: 5px;">Inv.</td> <td style="padding-right: 5px;">Sup.</td> <td></td> </tr> <tr> <td style="border-top: 1px solid black;">12</td> <td style="border-top: 1px solid black;">6</td> <td style="border-top: 1px solid black;"></td> </tr> </table>	Inv.	Sup.		12	6			
Inv.	Sup.								
12	6								
4. Total hours in court	12								
5. Total mileage for month	180 <sup>1*</sup>								
6. Total business related personal expenses	\$26.00								

Office Hartford Signature Robert Smith

1\* Only business mileage should be recorded.

# ADMINISTRATIVE FORMS

Interns are required to become familiar with the administrative forms used in casework and related activities. The sample forms which follow represent those forms most widely used in the agency.

## MONTHLY REPORT OF PROBATIONER

Date 10-16-78 For Month Of October, 1978

Name John Jones Telephone No. 286-1761  
(print)

With Whom Do You Live? Alone What Relation To You? -

Number And Street 26 Webster Place City Hartford State CT

For Whom Do You Work? Alco, Inc. Address 17 Main Street, Hartford

Kind of Work? Machinist

What Shift? First Badge Number? -

How Many Days Work Lost? 2 Why Was Work Time Lost? Sickness

How Much Have You Earned Since Last Report? \$600 Other - Total \$600

How Much Have You Paid On Court Order Since Last Report? N/A

What Are Your Total Savings? \$300

Did You Contract New Debts Since Last Report? None

FOR WHAT?

FOR HOW MUCH?

Have You Been Arrested Since Last Report? Yes If Answer Is Yes, Explain:  
Breach of Peace - September, 1978 - Altercation in bar. Case pending in G.A. 14,  
Hartford.

Approved Robert A. Smith, Intern  
Probation Officer

John Jones  
Sign Your Name Here

Date 10-16 19 78

Form P-102

### NOTES:

1. P-102 is filled out during the probationer's monthly report to the officer or intern.
2. Probationer is required to fill out this form.
3. This form is used for case book notes and is placed in the probationer's office file for future reference.

# FIELD SUPERVISION FACE SHEET

State of Connecticut  
DEPARTMENT OF ADULT PROBATION  
FIELD SUPERVISION FACE SHEET

Name John Jones

Date of Birth 9-15-44 Sex M

Hair Blonde Eyes \_\_\_\_\_

Marks None

Addresses 26 Webster Place  
Hartford, CT 06105  
Phone: 286-1761

County, City or Town and Number Hartford C-14-10368

Race Cau. Height 5'9" Weight 175

Complexion Fair Build Heavy

Offense Breach of Peace

Date and Period of Probation 5-16-78  
2 yrs.

Special Terms None

Transfers None

Summaries: Jan. Feb. Mar. Apr. May June July Aug. Sept. Oct. Nov. Dec.

10 Optional

10 \_\_\_\_\_

10 \_\_\_\_\_

10 \_\_\_\_\_

Reported	Date	Date	Date	Date	Payment	Date	Amt.	Bal.	Date	Amt.	Bal.
Jan.					Jan.						
Feb.					Feb.						
March					March						
April					April						
May	16, 78				May						
June	22, 78				June						
July	19, 78				July						
Aug.	21, 78				Aug.						
Sept.	20, 78				Sept.						
Oct.	16, 78				Oct.						
Nov.					Nov.						
Dec.					Dec.						

DATE CLOSED \_\_\_\_\_ REASON \_\_\_\_\_

**NOTES:**

1. The P-107 is part of the officer's case book.
2. The P-107 is used to keep updated on the probationer's personal status and is used to record office visits.
3. The P-107 contains a listing of the offense, dates and period of probation for an individual.
4. Changes in probationer status should be recorded on this form whenever a change in address, etc. takes place.



# PERIODIC PROGRESS REPORT

Form P-101

## STATE OF CONNECTICUT DEPARTMENT OF ADULT PROBATION

State No. 2-C14-10368 Docket No. CR14-93127

### PERIODIC PROGRESS REPORT

Probation Department Superior Court Submitted by Robert A. Smith, Intern 6-1-80  
Probation Officer

Judge Covello County or City of Hartford

Court Name	Real Name	Alias or Nickname
John Jones	Same	None

Offense Breach of Peace Date 5-16-78

John Jones was placed on probation 5-16-78 for 2 years after pleading guilty to Breach of Peace. The offense centered on a fight with a neighbor.

Probationer had no prior record. His probationary period was marred by one arrest in September, 1978, a Breach of Peace which was nolleed a month later. Since then, he has had no further contacts with the law.

Mr. Jones reported monthly without fail, maintained steady employment and was responsive to the requirements of his probation.

His probation ended on 5-16-80.

#### NOTES:

This form is used to summarize briefly a case which is terminated or has expired. Also, this report usually accompanies a case transfer (P-114) request.

The P-101 goes into the probationer's case file for historical reference.

# SCHOOL INFORMATION REPORT

**State of Connecticut**  
**DEPARTMENT OF ADULT PROBATION**

RE: John Jones

Dear Sir:

The above named is being investigated by this Department in connection with a criminal matter which is pending in the Superior Court at Hartford. Subject claims attendance in your school.

In preparing a report of our investigation it will be necessary to include information relative to his scholastic history and we urgently request your cooperation. It would be helpful to the Courts if you would furnish the information requested on the reverse side and return it to this office by return mail.

Subject maintains to have attended during 1958-1962

Mr. Jones was born 9-15-44 at Hartford. Parents were James and Rona Jones

Your anticipated cooperation in his matter is greatly appreciated.

Very truly yours,

Robert A. Smith, Intern  
Probation Officer

## NOTES:

1. The P-121 is honored by most schools.
2. When using the P-121 in conjunction with the development of the pre-sentence investigation report, the form should be sent out immediately to assure that it will be returned in time for inclusion in the PSI report.
3. One copy of the P-121 is sent to each school of interest.

*(Back of form on next page)*

Name under which enrolled:

If on transfer, from what school?

Date entered

Grade admitted to:

Grades repeated

Skipped:

Reason:

Last grade completed at your school:

Date:

Last grade attended at your school:

Date Left:

Scholastic rating (good, average, poor):

Reasons for leaving school:

If transferred, to what school?

Subjects taken, rating talents, special interests.

Attitude, conduct and outstanding characteristics:

Attendance record:

Truancies; frequency and reason for; any other delinquencies:

Did parents or family members show any interest in subject's school activities?

Habits any general standing in the community of other members of family:

Please note whether the date and place of birth on your records differ from that on the reverse side of the sheet.

If a psychometric test was given, or any form of mental examination, kindly furnish results:

We would welcome any additional information.

Signature \_\_\_\_\_

Position \_\_\_\_\_

Name of School \_\_\_\_\_

REPORTING LETTER – PERSONAL

STATE OF CONNECTICUT  
DEPARTMENT OF ADULT PROBATION  
643 Maple Avenue  
Hartford, Connecticut 06114

Dear John:

You are directed to report to this office to discuss your probation on Tuesday, December 8, 1978 between the hours of 4-6 p.m.

If you are unable to keep this appointment, you are to contact this office by phone (566-8360) before the appointment date.

Very truly yours,

Robert A. Smith, Intern  
Probation Officer

**INSTITUTIONAL LETTER**

STATE OF CONNECTICUT  
DEPARTMENT OF ADULT PROBATION  
643 Maple Avenue  
Hartford, Connecticut 06114

Connecticut Correctional Institution  
Box 100  
Somers, Connecticut

Dear Sir:

Please contact my office by telephone (566-8360) immediately upon your release from jail so that we may discuss the Conditions of Your Probation and set up a schedule of reporting dates.

If your release is on the weekend, contact would be made on the next business day, which would be on Monday.

Very truly yours,

Robert A. Smith, Intern  
Probation Officer





# INTAKE FORMS

The intake forms which follow are used during the coverage of Court activities, to include intake on people placed on probation. These forms are used by the agency in all 28 Superior Courts in Connecticut. Forms are explained in terms of processing clients placed on probation, clients referred for pre-sentence investigation, clients referred for Youthful Offender consideration and clients referred under the Accelerated Rehabilitation Act.

## COURT REFERRAL SLIP

X Enter  
Do Not Enter

Date .....9-15-78.....  
Name ....Arthur, E. Jones..... Age ....36.....  
Offense #1 Poss. Narcotics.....Sect.# ..19-48(a).....  
Offense #2 .....Sect.## .....  
Offense #3 .....Sect.# .....  
Offense #4 .....Sect.## .....  
Offense #5 .....Sect.# .....  
Attorney: ..... Guard. Ad. Litem .....  
Ever on Probation .....Yes.....  
Marital Status .....Divorced..... Name: Husb/Wife ..... Sharon .....  
Plea: Guilty/Not Guilty ..... Referring Judge ..... Spillane .....  
Finding Guilty/Not Guilty ..... Prosecutor ..... Brown .....  
Continued Date: ..... Final Disposition .....  
..... 1-3 e.s. Probation 3 years.  
..... Special - Enter Dartec .....  
..... immediately.....  
.....  
..... Sentencing Judge ..... Grass .....  
Probation Officer Smith .....

The process for recording Court dispositions is relatively uncomplicated once the form is understood. It is critical that the form be filled out accurately and in depth because the intake volunteer will be taking vital information off this form during the intake process. Once again, your area coordinator or a member of the probation staff has the responsibility to facilitate your understanding of the Court process.

# PROCESS FOR PROBATION IN-TAKE

1. Introduce yourself and give the client an idea of what to expect.
2. Completely fill out form P-100, face sheet.

SAMPLE

## STATE OF CONNECTICUT DEPARTMENT OF ADULT PROBATION

P-100

State No. 2-1-9999

Docket No. 94349

### FACE SHEET

Probation Department 9th C.A. Court \_\_\_\_\_ Submitted by \_\_\_\_\_ Probation Officer \_\_\_\_\_  
Middlesex County Date Sept. 15, 1978

Court Name of Defendant Last, First, Middle	True Name Last, First, Middle	Alias or Nickname
JONES, Arthur Edward	(Same)	(None)

Date of Birth: 6-6-42 Age: 36 Present Offense: Poss. of Narcotics  
19-481(a)  
 Place of Birth: Meriden, CT Statute and Penalty: 7 yrs./\$3,000  
 Sex: Male Ht.: 5'10" Wt.: 175 Complexion: \_\_\_\_\_ Convicted by Plea X Jury \_\_\_\_\_ Court \_\_\_\_\_  
 Date of Arrest: 4-8-77 Bond: 5,000 Confined: No  
 Race: Cau. Eyes: Blue Hair: Blonde Build: Medium Judge: Arnold Grass  
 State's Attorney: James Brown  
 Identifying Marks: \_\_\_\_\_ Defense Attorney: John Landson  
1" scar on forehead Co-Defendants: None

Time in county: Life State: Life U.S.A. Life \_\_\_\_\_ Criminal Record: Yes - See FBI report  
On probation - 1972

Nationality: English/Irish

Citizenship: U.S.A.

School Attainment: 16 - Corning University (1963)

Occupation: Real Estate Salesman

Military Service: U.S. Army - Honorable

Social Security Number: 013-36-3137

Present Address Defendant: 58 Stone Drive  
Meriden, CT - Phone 238-6231

Address: Closest Relative: Wife: Sharon Jones  
16 Hill Avenue  
Meriden, CT 06117  
Phone: 238-5155

#### DISPOSITION

Date: 9-15-78

Commitment: 1-3 e.s.

Institution:

Years:

Probation: \_\_\_\_\_ Years: 3 years

Fine: None

Restitution: None

Family Support: None

Marital Status: \_\_\_\_\_ Special Condition: Enter Dartec immediately.

Single: \_\_\_\_\_ Married: (2 children)

Divorce: \_\_\_\_\_ Separated: X Widowed: \_\_\_\_\_

- a. Complete each item — write clearly or print, whichever is most legible.
- b. Ask follow-up questions to any confusing answers.
- c. Please do not leave any blank spaces. Use N/A or the word none to indicate that the questions have been asked.

3. Complete form P-110, Conditions of Probation (3 copies).

P-110  
(5/75)

SAMPLE  
STATE OF CONNECTICUT  
DEPARTMENT OF ADULT PROBATION  
CONDITIONS OF PROBATION

STATE #: 2-1-9999

In accordance with the authority conferred by the State of Connecticut and in keeping with the requirements of the Connecticut General Statutes 54-108; 53a-30, you Arthur Edward Jones have on this date 9-15-78 been placed on probation for a period of 3 years by the 9th Geographical Area Court, in Middlesex, Middletown, Connecticut. (Arnold Grass County, City, Town Judge)

You are hereby advised that the court may at any time during the period of probation, modify or enlarge the conditions of your probation, and may extend the period of probation, as authorized by Sections 53a-23 and 53a-51. The court may also revoke your probation in accordance with 53a-32 for a violation of any of the conditions of your probation.

During this period you shall abide by the following conditions:

Do not violate any criminal law of the United States, this state or any other state.

Report as a Probation Officer directs and permit the officer to visit you as circumstances require.

Keep the officer informed of your whereabouts and give immediate notice of any change in address, employment.

Do not leave the State of Connecticut without permission

Agree to waive extradition from any state or territory.

Court Ordered/Special Conditions:

Enter Dartec House immediately.

I have read and the officer has reviewed the conditions of probation with me. I understand them and I shall abide by them.

9-15-78

Arthur E. Jones

Date

Probationer

Witness: Jane Doe, Volunteer

Howard Smith

Probation Officer

- Repeat and explain each condition to the client. (If primary language is Spanish, use the Spanish form with an interpreter if one is available).
- Be sure to include any "special conditions."
- Have client sign the Conditions of Probation.
- Have probation officer sign conditions. If probation officer is not available the volunteer will sign the Conditions as a witness and then date the form. When a probation officer has not signed, do not give one copy of the Conditions of Probation to the client. Otherwise, client does receive one copy of form P-110.

4. Complete form 2000, Application and Registration for Service subsidy form. (See coordinator on this document).

- a. This is an optional form which client may decline to sign.
- b. Client should be informed that the state receives Federal subsidies to assist low income persons when form is completed.
- c. If client agrees to answer questions, complete form.
- d. Have client, or guardian, if the client is under 18, sign the document.

5. Terminate Interview

- a. Answer any questions from client or family.
- b. Inform client of the procedure leading to the initial meeting with his assigned probation officer.

NOTE: In most Courts, certain documents from prosecutor and police files pertinent to the investigation or the probation are taken from the files for agency use. Your area coordinator will clarify how this procedure is accomplished.

PROCESS FOR THE PRE-SENTENCE INVESTIGATION INTERVIEW

1. Introduce yourself and give client an idea of what to expect.
2. Complete form P-100, Face Sheet.
3. Explain the importance of client cooperation in this upcoming investigation and client's responsibility to keep all appointments.
4. Give client appropriate unit chief's business card (See Area Coordinator for exact procedure).
5. Terminate interview.

NOTE: In most Courts, certain documents from prosecutor and police files pertinent to the investigation or the probation are taken from these files for agency use. Your area coordinator will clarify how this procedure is accomplished.

# PROCESS FOR YOUTHFUL OFFENDER APPLICATION

1. Introduce yourself and give client an idea of what to expect.
2. Complete form P-128, Youthful Offender Proceedings.

SAMPLE

P-128

STATE OF CONNECTICUT

DEPARTMENT OF ADULT PROBATION

## YOUTHFUL OFFENDER PROCEEDINGS

State No.	<u>2-1-8765</u>	Docket No.	<u>G.A. 14-36173</u>
NAME:	Thomas Smith 14 Hollow Wood Address: Avon, CT 07316	Court	14 G.A.
		City/County:	Hartford, CT
		Offense:	Breach of Peace
DOB:	6-12-62	Statute:	53-174(a)
VFD By:	Birth Certificate	Date of Offense:	7-8-78
POB:	Hartford, CT	Elig. Inv. Ordered	<u>8-4-78</u> Due <u>8-21-78</u>
Sex <u>M</u> Ht. <u>5'6"</u> Wt. <u>170</u> Complexion <u>Light</u>		P.O.	<u>Carson</u> Completed
Race <u>Ca</u> Eyes <u>Bl.</u> Hair <u>Brn.</u> Build <u>Heavy</u>		Date to court	<u>8-24-78</u>
Id Marks	None	Eligibility:	Denied _____ Granted <u>X</u>
Soc. Sec. #	031-76-9431	Plea:	G <u>X</u> NG _____ TRIAL _____
Record:		Adjudicated:	Youthful Offender
Prev. YO Treatment		Judge:	Samuel Rogers
	None	P.A. - S/A:	Ralph Hart
Adult		Def. Att'y	Attorney Tom Skill
	None	Disposition date:	8-24-78
Drugs		Commitment:	None
	Smokes Marijuana Occasionally	Probation:	60 e.s., Probation 2 years
		Other:	Fined \$50

### NOTE:

- a. Offender's date of birth must be verified!
- b. Criminal record must be verified!
- c. Client must provide agency with documented proof of birth date as soon as possible, if not during the interview.
- d. Only clients between 16 and 18 years of age at time of offense are eligible for YO status.

3. Complete form 2000, Application and Registration for Service Subsidy.
4. Terminate Interview.
  - a. Remind client of his return Court date.
  - b. Answer any questions from client or family.

#### PROCESS FOR ACCELERATED REHABILITATION CASES

1. Introduce yourself and give client an idea of what to expect.
2. Complete form P-100, Face Sheet.
3. Complete form P-110, Conditions of Probation (three copies).
4. Complete form 2000, Application and Registration for Service Subsidy (optional).
5. Terminate interview.
  - a. Inform client that because of the Accelerated Rehabilitation Act, he or she is not on Probation in the technical sense. (Usually, if this type client remains free of further arrest for 90 days, his case is returned to Court and dismissed). Supervision of this type case is not usually in-depth.
  - b. Answer any questions.
  - c. Inform client of procedure to contact his probation officer. (See Area Coordinator for procedure in your Court).

Section III

**Abbreviations  
&  
Terminology**

# ABBREVIATIONS AND TERMINOLOGY

## PREFACE

No matter what program you become involved with, it is wise to become familiar with Court and agency jargon used by professional, Court and secretarial staff as they go about their work.

A general understanding of the abbreviations and terminology which follow will increase your understanding and awareness of the Criminal Justice process as it relates to probation and the Courts.

## COMMON ABBREVIATIONS

- L.B.C. Letter of notification to appear in court from the office of the bail commissioner.
- P.S.I. Pre-sentence Investigation — a report ordered by the Judge on a convicted criminal offender for the purpose of helping the Judge ascertain personal information as an aid in deciding sentencing. The pre-sentence report is completed by the Probation Officer.
- R.C. Record Center — files known to the Probation Department which are no longer active and are housed in a facility in Rocky Hill, Connecticut.
- Y.O. Youthful Offender — a 1971 statute under which minors between sixteen and eighteen years of age may be judged in a closed court. Records in this type of case are confidential.
- B.P. Breach of Peace.
- AKA Also known as an alias.
- G Guilty.
- NG Not Guilty.
- M.V. Motor Vehicle case usually designated on the motor vehicle court docket.
- P.T.A. Promise to appear also known as WPTA — written promise to appear.
- CR Criminal case usually designated on the court criminal docket.
- E.S. Execution suspended.
- B.O. Bound over.
- OR. Own recognizance, a form of release without bail being required.

- DVR** Division of Vocational Rehabilitation.
- PT** Accelerated Rehabilitation act, created by statute to give first offenders a second chance. People adjudicated under this act are supervised by the Probation Department for a period usually not to exceed ninety days. Information related to PT cases is strictly confidential.

## TERMINOLOGY GLOSSARY

- Adjudication** — A judicial decision or sentence.
- Advised** — Defendant is required by law to be told or "advised" by the judge of his legal rights (i.e., right to counsel, right to remain silent, etc.).
- Bail** — The security given for the due appearance of a prisoner in order to obtain his release from confinement.
- Bond** -- An obligation to appear in court made binding by a money forfeiture. Bond is set by the judge.
- Bond Commissioner** — A state appointed person who recommends to the court the amount of bond which should be set on each criminal case.
- Bondsman** — A private businessman who lends money to a prisoner in return for bail and a percentage of the amount of bond.
- Bond Stay** — A time extension which a bondsman is given in order to produce a defendant who has failed to appear in court.
- Clerk of Court** — Officer of the court who is in charge of maintaining the records of the court.
- Conditional Discharge** — A release from sentence or obligation based on the fulfillment of stated conditions. This is not a responsibility of the Probation Department.
- Companion Cases** — A number of cases which are tried together are companion cases. (One defendant with more than one case is put to trial on all cases or several defendants are charged in one case and are tried together).
- Court Reporter** — A stenographer who records verbatim what is said in court.
- Court (Superior)** -- Under the court reorganization effective July 1, 1978, all the criminal courts are now called Superior Courts and will try a wide variety of cases from the juvenile to the adult level.
- Court Trial** — Trial by a judge, as opposed to a trial by jury.

**Continuance Date** — Date on which the case will next be heard in court.

**Docket** — A list of cases to be presented on a given day or week.

**Dismissal** — Action taken by a judge or jury after hearing evidence which is considered to be insufficient. In effect, to put the case out of judicial consideration.

**Disposition** — The manner in which a case is settled or "disposed of."

**Drug Dependency Exam** — A medical examination ordered by the court as to the extent of drug involvement. These are referred to the Probation Department and the appointments made and reports received by them. A two week continuance is usually requested.

**Emancipated Minor** — A person under the legal majority age who is married, or legally declared emancipated because of other circumstances.

**Execution Suspended** — A prison sentence which is not imposed as long as certain conditions are met. The sentence may be carried out at any time that the conditions are not met. Suspended sentences are usually given along with periods of probation.

**Family Relations** — The department of the court designed to give family counseling and to arrange wife and child support.

**Face Sheet** — A Probation Department form which indicates basic information about the probationer such as his name, birth date, terms of probation, etc.

**Felony** — A serious crime so declared by statute because the penalty carries over one year of incarceration.

**Guardian Ad Litem** — A guardian appointed by the court for specific proceedings. If a family member is not available, a member of the court can be appointed.

**Honor Court** — A program of out-patient group therapy for alcoholics, often required as part of a sentence. Not usually a concern of the Probation Department.

**Incarceration** — Confined to a state correctional institution or a correctional center.

**Information Sheet** — A form in the prosecutor's file, a copy of which must be submitted to the Probation Department along with the court referral slip when a pre-sentence investigation or youthful investigation is ordered.

**Medical Examinations** — All venereal disease and psychiatric examinations are ordered for the court by the Department of Family Relations unless otherwise specified.

**Minor** — A person under the age of legal majority.

**Misdemeanor** — A crime less serious than a felony which carries the maximum penalty of one year in jail.

**Nolle** — An entry on the legal record that the prosecutor or plaintiff will take no further action at this time. If, in a year, there is no further reason to reopen the case, its existence may be removed from the defendant's criminal record.

**Nolo Contendre** — A plea by the defendant in a criminal prosecution that, without admitting guilt, subjects him to conviction but does not preclude him from denying the charges in collateral or civil action.

**New Arrest** — A docket which is brought up sometime after court opens. It includes the cases of those arrested that morning for first arraignment.

**Order of Probation** — A form that is completed by the clerk of the court which gives the Department of Probation the responsibility of supervision. This form stipulates the specific sentence ordered by the court.

**Police Report to the Prosecutor** — A form in the prosecutor's file which must be submitted to the Probation Department along with the court referral slip on all files referred to the Probation Department.

**Passed Case** — If, when a case is called by a prosecutor, there is reason for a temporary delay, the case is passed for a short time during the court session of that day.

**Plea** — An accused person's answer to a charge.

**Probationer** — A person who is convicted of a criminal act and sentenced for a specific period of time to be supervised by the office of Adult Probation.

**Probation Officer** -- An officer of the court who is responsible for:

1. Supervision of those remanded to his care.
2. The critical examination and the evaluation of an individual who has cases pending in the criminal court.

**Probation** — The act of suspending a sentence to allow the defendant a "second chance" and to place that individual under supervision of a probation officer for a specified period of time, during which all conditions of probation must be met.

**Prosecutor** — An attorney paid by the State who conducts proceedings in the court on behalf of the State.

**Public Defender** — An attorney paid by the State and appointed by the court. He provides legal defense for any defendant who is found by the court to be financially unable to engage private counsel.

**Substitute Charge** — A charge which is put in place of the original charge by the prosecutor because of additional information or circumstances. Commonly the result of plea bargaining.

**Voluntary Plea** — A plea which is given freely and not as a result of coercion or promises.

## Section IV

# **Volunteer Forms**

## PREFACE

During your Internship, Interns will have the opportunity to refer selected probationers to the agency's Volunteer One-to-One Program (VIP) for supervision by carefully selected and trained Volunteers.

Referral to the area Volunteer Coordinator is a simple process and is completed through the form which follows directly below.

Coordinators are located in New London, Middletown, Hartford, Bridgeport, Norwalk, New Haven and Waterbury. (See field office location, Section VI, for phone numbers).

# PROBATIONER REFERRAL FORM

CASE NO.: C-14-10368

PROBATIONER: John Jones

DOB: 9-15-44

ADDRESS: 26 Webster Place

PHONE: 286-1761

OFFICER: Robert Smith, Intern

OFFENSE: Breach of Peace

PROBATION: Date & Period: 5-18-78, Probation 2 years

SPECIFIC PROBLEMS: Needs skill training - prefers carpentry.

Needs tutoring - cannot read.

CASE NO: \_\_\_\_\_

PROBATIONER: \_\_\_\_\_

DOB: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

PHONE: \_\_\_\_\_

OFFICER: \_\_\_\_\_

OFFENSE: \_\_\_\_\_

PROBATION: Date & Period: \_\_\_\_\_

SPECIFIC PROBLEMS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# APPLICATION FOR VOLUNTEER SERVICE

## APPLICATION FOR VOLUNTEER SERVICE

NAME: \_\_\_\_\_ DATE OF APPLICATION \_\_\_\_\_  
ADDRESS: \_\_\_\_\_ PHONE: HOME: \_\_\_\_\_  
\_\_\_\_\_ BUS: \_\_\_\_\_  
ZIP: \_\_\_\_\_ BIRTH DATE: \_\_\_\_\_  
MARITAL STATUS  
S \_\_\_ M \_\_\_ DIV \_\_\_\_\_  
WIDOWED \_\_\_\_\_

CHILDREN AND AGES \_\_\_\_\_  
\_\_\_\_\_

EDUCATION: JR. HIGH \_\_\_ SR. \_\_\_ COLLEGE \_\_\_ VOCATIONAL TRNG. \_\_\_\_\_

EMPLOYMENT:

DATE

FIRM

TYPE WORK

PRESENT EMPLOYER 1. \_\_\_\_\_

PAST EMPLOYER 2. \_\_\_\_\_

MILITARY SERVICE: BRANCH \_\_\_\_\_ RANK \_\_\_\_\_

TYPE OF DISCHARGE \_\_\_\_\_

COMMUNITY ORGANIZATIONS: NAME AND LENGTH OF INVOLVEMENT  
\_\_\_\_\_  
\_\_\_\_\_

RECREATION: LIST HOBBIES, SKILLS, INTERESTS \_\_\_\_\_  
\_\_\_\_\_

LANGUAGE PROFICIENCY \_\_\_\_\_ TRANSPORTATION

YES \_\_\_ NO \_\_\_

*(Form continues on next three pages)*

BASIC PROGRAM CHOICES

- VOLUNTEER COURT AIDE (VIC)  
(ASSIST PROBATION OFFICER IN COURT)
- VOLUNTEER IN PROBATION (VIP)  
(DEVELOPMENT OF A ONE TO ONE RELATIONSHIP WITH A  
PROBATIONER)
- VOLUNTEER ASSISTANCE PROGRAM (VAP)  
(ASSIST SECRETARIAL STAFF IN PERFORMANCE OF THEIR  
DUTIES)

HAVE YOU EVER BEEN OR ARE YOU NOW ON PROBATION  
OR PAROLE? \_\_\_\_\_ IF YES, EXPLAIN \_\_\_\_\_

-----

-----

CHARACTER REFERENCES: 2 NON RELATIVES

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

PHONE \_\_\_\_\_

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

PHONE \_\_\_\_\_

DO YOU DESIRE VOLUNTEER INSURANCE \_\_\_\_\_

(POLICY COST IS \$1.50 ANNUALLY)

COMMITMENT OF VOLUNTEER

I understand that it is a serious commitment to involve myself with a probationer. I further realize that I am committing myself to regular meetings with my probationer, attending training sessions, respecting confidentiality, and that I have a moral responsibility to conduct myself in a manner appropriate for a volunteer in probation.

Signature of Volunteer: \_\_\_\_\_

APPLICATION FOR VOLUNTEER SERVICE

NAME: Robin Stone DATE OF APPLICATION  
9-1-79

ADDRESS: 26 Sutton Avenue PHONE: HOME: 563-7773  
Stamford, Connecticut BUS: 289-1734

ZIP: 06604 BIRTH DATE: 9-12-40

MARITAL STATUS  
S    M X DIV     
WIDOWED   

CHILDREN AND AGES Mary, age 6

EDUCATION: JR. HIGH    SR.    COLLEGE X VOCATIONAL TRNG.   

EMPLOYMENT:

	DATE	FIRM	TYPE WORK
PRESENT EMPLOYER 1.		Housewife	
PAST EMPLOYER 2.	1968-1970	Stamford Hospital,	Reg. Nurse

MILITARY SERVICE: BRANCH None RANK   

TYPE OF DISCHARGE   

COMMUNITY ORGANIZATIONS: NAME AND LENGTH OF INVOLVEMENT

Stamford Red Cross, Volunteer, 1970-73

RECREATION: LIST HOBBIES, SKILLS, INTERESTS Tennis, swimming  
reading

LANGUAGE PROFICIENCY None TRANSPORTATION  
YES X NO   

Note:  
Volunteer fills out form and is personally interviewed by the Coordinator,  
references checked before acceptance.

BASIC PROGRAM CHOICES

- X  
----- VOLUNTEER COURT AIDE (VIC)  
(ASSIST PROBATION OFFICER IN COURT)
- VOLUNTEER IN PROBATION (VIP)  
(DEVELOPMENT OF A ONE TO ONE RELATIONSHIP WITH A  
PROBATIONER)
- VOLUNTEER ASSISTANCE PROGRAM (VAP)  
(ASSIST SECRETARIAL STAFF IN PERFORMANCE OF THEIR  
DUTIES)

HAVE YOU EVER BEEN OR ARE YOU NOW ON PROBATION  
OR PAROLE? No IF YES, EXPLAIN \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

CHARACTER REFERENCES: 2 NON RELATIVES

NAME Carl Place

ADDRESS 34 Sutton Avenue, Stamford

PHONE 563-2126

NAME Mary Friend

ADDRESS 12 Olcott Drive, Norwalk

PHONE 667-1729

DO YOU DESIRE VOLUNTEER INSURANCE \_\_\_\_\_

(POLICY COST IS \$1.50 ANNUALLY)

COMMITMENT OF VOLUNTEER

I understand that it is a serious commitment to involve myself with a probationer. I further realize that I am committing myself to regular meetings with my probationer, attending training sessions, respecting confidentiality, and that I have a moral responsibility to conduct myself in a manner appropriate for a volunteer in probation.

Signature of Volunteer: \_\_\_\_\_  
Robin Stone

Section V

**The Pre-Sentence  
Investigation  
&  
Report**

## PREFACE

The Pre-Sentence Investigation and Report represents a major professional responsibility of Probation Officers in this agency. Some 6,000 reports are completed annually.

Requests for completion of PSI's come from the state's 29 criminal courts in Connecticut. The reports are done on individuals awaiting disposition of a criminal case(s) where a guilty plea has been entered.

Judges often desire to know as much as possible about a defendant before sentencing. Hence, the PSI is an in-depth study of a defendant, the crime and the victim, when applicable.

The second day of Orientation Training keys on the PSI exclusively, and the information which follows refers to a typical investigation process, emphasizing the PSI format and the essential elements of information needed under each PSI section.

## COURT INFORMATION

STATE OF CONNECTICUT

vs.

ARTHUR MCKAY

DN94349

Hartford County

Superior Court

Arthur McKay is 31 years old and resides in Enfield, Connecticut.

On April 8, 1975, at about 3:30 p.m., Officer Raymond Tine of the Enfield Police Department responded to 84 High Street in Enfield, the scene of an accident involving a motor vehicle driven by Mr. McKay.

The vehicle in question, a 1974 Mercury Montego had crashed into a tree and was heavily damaged. Road conditions were excellent. weather was sunny.

Mr. McKay was found inside the vehicle behind the driver's seat. He appeared at first to look dazed but after inspection, it was apparent he was intoxicated. He suffered no injuries except for minor cuts.

Mr. McKay was arrested on one count of Reckless Driving and one count of Driving under influence of Alcohol or Drugs. He was taken to the 13th Court of Common Pleas for processing.

Bond of \$500 posted, 4-8-75.

His vehicle was then towed to the Polar Ford Dealership on Summer Avenue in Enfield.

At 5:15, Mr. Cutter, general manager of the dealership, called the Enfield Police Station to complain that one of his employees had found a

suitcase in the trunk of Mr. McKay's car and that the case was opened and several bags containing a white substance were inside.

Enfield Police responded to the scene and took possession of the items in question. A voltex field test was conducted on the substance. A positive reaction to opium derivatives was obtained. Said substance, approximately 2 oz. of suspected pure heroin, was sent to the State Toxicological Laboratory in Hartford for testing and verification.

Warrants were then requested charging Mr. McKay additionally with Possession of Narcotics and Possession of Narcotics/w/Intent to Sell.

Poss. of Narcotics P.S. 481, Section A.

Poss. of Narcotics w/Intent to Sell PA481, Section 13.

Hartford County Superior Court

Judge Harold Mulvey

Prosecutor George Stoughton

Defense Attorney, John Landson

Bond \$5,000 — posted day of arrest 4-9-75 — Defendant out on Cash bond.

Defendant plead guilty to a Substitute Information charging Possession of Narcotics on 8-16-75. PSI ordered. Due in court 9-17-75.

## OFFICE OF THE STATE'S ATTORNEY

### Criminal Record

Name: Arthur McKay

4-25-63	Hartford, CT	Issuing a Bad Check	Nolle
12-12-66	Hartford, CT	Poss. of Narcotics	1 yr. e.s. Prob. 2 yrs.
1-6-70	Enfield, CT	Gambling	\$5.00
1-6-71	Enfield, CT	Intoxication	Nolle
3-8-71	Enfield, CT	Gambling	Nolle
		Poss. of Narcotics w/Intent to sell	Nolle
4-10-75		Reckless Driving	\$50
		Driving under Inf.	\$100
		Poss. of Narcotics w/Intent to sell	

# PSI — FORMAT

Form 7-100

## STATE OF CONNECTICUT DEPARTMENT OF ADULT PROBATION

State No. 2-1-99999

Docket No. 94349

### FACE SHEET

Probation Department Superior Court Submitted by John Thomas Ryan, Sr.  
Hartford County Date September 15, 1975

Court Name of Defendant Last, First, Middle	True Name Last, First, Middle	Alias or Nickname
McKAY, Arthur Edward	Same	None

Date of Birth: <u>9-15-44</u>	Age: <u>31</u>	Present Offense: <u>(Sub. Info.) Possession of Narcotics</u>
Place of Birth: <u>Enfield, Connecticut</u>	Statute and Penalty: <u>19-481(a)</u>	<u>7 yrs. a/o \$3,000</u>
Sex: <u>Male</u> Ht.: <u>5'9"</u> Wt.: <u>175</u> Complexion: <u>Light</u>	Convicted by Plea: <u>X</u> Jury	Court: _____
Race: <u>Cau.</u> Eyes: <u>Blue</u> Hair: <u>Brown</u> Build: <u>Medium</u>	Date of Arrest: _____ Bond: _____	Confined: _____
Identifying Marks: <u>None</u>	Judge: <u>4-8-75</u>	State's Attorney: <u>Harold Mulvey</u>
	Defense Attorney: <u>John Landson</u>	Co-Defendants: <u>None</u>

Time in county: Life State: Life U.S.A. Life: \_\_\_\_\_ Criminal Record: Yes - see report

Nationality: American

Citizenship: Yes

School Attainment: 12th grade

Occupation: Real Estate/J & D Realty/John Delmonico  
38 High Street, Enfield, Connecticut

Military Service: None

Social Security Number: 026-34-3023

Present Address Defendant: 58 Stonehill Road  
Enfield, CT (741-2832)

Address: Closest Relative:  
 Wife: Sharon McKay  
58 Stonehill Road  
Enfield, Conn.

#### DISPOSITION

Date: \_\_\_\_\_

Commitment: \_\_\_\_\_  
 Institution: \_\_\_\_\_  
 Years: \_\_\_\_\_

Probation: \_\_\_\_\_ Years: \_\_\_\_\_

Fine: \_\_\_\_\_  
 Restitution: \_\_\_\_\_ Family Support: \_\_\_\_\_

Special Condition: \_\_\_\_\_

Marital Status: \_\_\_\_\_

Single: \_\_\_\_\_ Married: X  
1 child, James, age 4

Divorce: \_\_\_\_\_ Separated: \_\_\_\_\_ Widowed: \_\_\_\_\_

On August 16, 1975, the Honorable Harold Mulvey, Judge of the Superior Court, Hartford, Connecticut, referred the case of Arthur E. McKay to the Department of Adult Probation for a Pre-sentence Investigation and Report. This report is due September 15, 1975 for sentencing on 9-17-75.

Defendant was charged originally with Possession of Narcotics With Intent to Sell and Possession of Narcotics.

On April 8, 1975, at 3:30 p.m., Enfield Police responded to an accident at 84 High Street in Enfield. The defendant, driving a 1974 Mercury Montego, had crashed into a tree. His vehicle was heavily damaged and the investigating officer determined that Mr. McKay was not injured but was intoxicated. McKay was arrested on charges of Reckless Driving and Driving Under the Influence. That same day, he was arraigned in the 13th Court of Common Pleas in Windsor, Connecticut and posted a \$500 bond.

At 5:15 p.m., 4-8-75, the manager of the Polar Ford Co., to which the defendant's vehicle had been towed, informed Enfield police that one of his employees had discovered a suitcase in the trunk of Mr. McKay's car. The suitcase was opened and contained three bags of white powder. Enfield police took possession of the items and conducted a Voltex field test on the powder. The reaction was positive to opium derivatives. Approximately two ounces of the suspected pure heroin was forwarded to the State Toxicological Laboratory for further testing.

On 4-9-75, defendant was arrested for Possession of Narcotics and Possession of Narcotics with Intent to Sell.

On 4-10-75, Mr. McKay pleaded guilty to one count of Reckless Driving (\$50 Fine) and to one count of Driving Under the Influence (\$100). The narcotics cases were Bound Over to Hartford County Superior Court.

The offender indicates that on 4-8-75, he had spent most of the day drinking at a local Enfield bar. The heavy drinking came about as the result of financial and domestic problems which have troubled him lately. He was on his way home when the accident occurred. Defendant admits knowingly pleading guilty to Possession of Narcotics but refused to discuss the situation. He also denied any recent drug usage.

Accused has the following criminal history:

12-12-66	Hartford	Poss./Narcotics	1 yr. e.s. Prob. 2 yrs.
4-10-75	Enfield	Reckless Driving Driving Under Inf.	\$50.00 \$100.00
1-6-70	Enfield	Gambling	\$5.00

Arthur E. McKay was born on September 15, 1944 to Raymond A. McKay and Mary (Burns) McKay.

Defendant's father was born February 13, 1914 in New York. After completing two years at Columbia University, he joined the United States Navy in 1936. He is presently a salesman for United Plumbing in West Springfield, Mass., and earns an adequate salary.

Defendant's mother, Mary, was born July 29, 1916, in Hartford. She is a life-long resident of Hartford and graduated from Hartford Public High School in 1934.

The couple was married in 1940 and moved to Enfield in 1944. Mrs. McKay is a retired secretary, having worked at Aetna Life & Casualty for some thirty two years.

The McKays had three children, Irene Farnsworth, 35, presently residing at 107 Heath Street, Pittsfield, Mass., with her husband, an engineer; Cynthia Roberts, 33, residing in New York and with her husband, a teacher at New York University, and the offender.

The accused describes his early childhood with tones of sadness and bitterness. Although he was provided with basic necessities by his parents, he related that he learned to take care of himself at an early age. The McKays were a working family with the father traveling frequently on business. Defendant's sisters served as poor parent substitutes and were both heavily involved in school and social matters. Defendant stated that he always felt his parent's marriage was one of tolerance rather than love. There was little interaction with minimal affection given to the defendant by the parents.

McKay's sisters, he recalls, were older, more experienced and could manipulate his mother more than he could. His sisters and his mother were "close" for want of a better description.

Mrs. McKay describes defendant's early childhood with exasperation and frustration. He was constantly acting out for attention and seemed frequently at odds with everyone.

Defendant's education began at Barnard Brown School in Enfield in 1950 and culminated with graduation from Enfield High School in 1962. School records reflect that he was an average student with unrealized potential for accomplishment. An Otis I.Q. Test administered in 1958 yielded a score of 121, above average. His marks throughout high school, however, were consistently in the "C" range. Records also reflect periods of absence from school for other than health reasons.

Joseph Wallerman, counselor at Enfield High School, confirmed that the defendant was hostile towards teachers, and was disruptive but not to the degree where he was ever expelled from school. Wallerman was unable to get McKay's parents involved with their son and McKay himself felt that his parents weren't interested enough in him to get involved.

While in high school, defendant began smoking marijuana regularly. He states that "his friends did it so he did it."

After graduation in 1962, defendant made little effort to find employment although he did pump gas at a local station for several months early in 1963. Between 1963 and 1966, defendant began to use drugs including heroin. His employment record during this period was spotty. In 1966, he was placed on probation for Possession of Narcotics.

Probation records reveal that his attitude was poor. He exhibited passive aggression and reported irregularly. An attempt to involve him with counseling through the Division of Vocational Rehabilitation proved unsuccessful because of his hostility and absenteeism. McKay served his probation without new arrests. There were indications that defendant began to gamble heavily and was using drugs but not frequently.

Just prior to the end of his probation in 1968, he took a position with the Robinson Food Company as a salesman. Some two years later, he was dismissed. Nevertheless, he held this position for some time and did reasonably well. In 1970, he went to work for the J & D Realty Company in Enfield as a Real Estate Agent. He presently retains this position.

Accused employer, John Delmonico was uncooperative in assisting this officer in obtaining information. This writer was able to learn that Mr. Delmonico was arrested in 1957 for Possession of Heroin and that he has paid fines for gambling convictions. Also, his firm — J & D Realty — is suspected of harboring a drug and gambling operation which covers the Greater Springfield area.

In 1971, Arthur McKay married Sharon Roberts, 28, a life resident of Enfield. They have a son, James, 4. She relates that the marriage has been in serious trouble since the birth of their son. She feels that her husband

dates other women and does not provide for the family adequately. They are heavily in debt, largely because of his gambling. She stated that he often had large sums of money but was unable to hold onto it for long. Sharon McKay believes a divorce is the only alternative left open to her at this point. She is shocked by her husband's recent arrest, especially the fact that narcotics are involved. She denied knowing of his use of drugs although the defendant stated she, in fact, did know.

Arthur McKay feels he will be imprisoned for this offense. When questioned about receiving drug treatment, defendant took the position that he might need help if it meant a break on his sentence. His motivations are certainly suspect.

## EVALUATION AND PLAN

John Thomas Ryan, Sr.  
Sr. Probation Officer

## Section VI

# **Field Office Locations**

## FIELD OFFICE LOCATIONS

### District I

District Office: Robert L. Breen, District Supervisor  
P.O. Box 348  
Willimantic, CT 06226  
Phone: 423-6318

Field Offices:

Danielson Area: 134 Main St.  
Danielson, CT 06239  
Phone: 774-5735

Norwich Area: County Court Building  
Norwich, CT 06360  
Phone: 889-8351

New London Area: 302 State Street  
Room 315  
New London, CT 06320  
Phone: 442-9426

Manchester-East Hartford Areas: 341 Broad Street  
Manchester, CT 06040  
Phone: 649-1650

Middletown Area: 90 Court Street  
Middletown, CT 06457  
Phone: 347-8577

### District II

District Office: James Coughlin, District Supervisor  
643 Maple Avenue  
Hartford, CT 06114  
Phone: 566-8308

Field Offices:

Enfield-Windsor Areas: 11 North Main St.  
P.O. Box 124  
Enfield, CT 06082  
Phone: 745-1608, 566-5224

New Britain Area: Police & Common Pleas Building  
177 Columbus Boulevard  
New Britain, CT 06050  
Phone: 827-7754

## **District II (continued)**

Torrington-Winsted Areas: 104 Church St.  
Torrington, CT 06790  
Phone: 482-7697, 482-9568

Bristol Area: 83 Laurel St.  
Bristol, CT 06010  
Phone: 584-0073

## **District III**

District Office: Thomas S. Kavanaugh, District Supervisor  
1188 Main Street  
Bridgeport, CT 06604  
Phone: 579-6241

Field Offices:

Danbury Area: 74 West Street  
Danbury, CT 06810  
Phone: 797-4414

Norwalk Area: 606 West Avenue  
Norwalk, CT 06851  
Phone: 866-5025

Stamford Area: 20 Somer Street  
Stamford, CT 06901  
Phone: 324-9518

## **District IV**

District Office: William F. Hayes, Jr., District Supervisor  
188 Bassett Street  
New Haven, CT 06511  
Phone: 789-7876

Field Offices:

Ansonia Area: 1 Kingston Street  
Ansonia, CT 06401  
Phone: 734-2579

Milford Area: Court of Common Pleas Building  
Milford, CT 06460  
Phone: 878-7979

Meriden Area: 251 West Main Street  
Meriden, CT 06450  
Phone: 238-6230

Waterbury Area: 61 Field Street  
Waterbury, CT 06702  
Phone: 756-4643

## COORDINATOR LOCATIONS

The coordinating staff, consisting of a chief coordinator and six area coordinators of volunteers, is responsible for the daily operations of volunteer programs in the four districts. The following names, addresses and phone numbers are listed for your information:

Michael L. Roeder  
Supervisor  
643 Maple Avenue  
Hartford, Connecticut 06114  
Phone 566-8360

Claire Collins, Chief Coordinator  
643 Maple Avenue  
Hartford, Connecticut 06114  
Phone. 566-8360

Claire covers field offices in the Greater Hartford Area to include Enfield, New Britain, Bristol, and the Manchester Office in District 1.

### District I

Nadine Lipman, Coordinator  
302 State Street, Room 315  
New London, Connecticut 06370  
Phone 442-9426

Nadine covers the Danielson, Williamantic, Norwich and New London Offices.

Sara Doonan, Coordinator  
90 Court Street  
Middletown, Connecticut 06457  
Phone 347-8577

Sara covers the Meriden and Middletown Offices.

### District III

Margaret Mandulak, Coordinator  
1127 Main Street  
Bridgeport, Connecticut 06604  
Phone 579-6241

Margaret covers Bridgeport and Danbury Offices.

Gerald Ruscoe, Jr. Coordinator  
606 West Avenue  
Norwalk, Connecticut 06851  
Phone 866-5025

Gerald covers the Norwalk and Stamford Field Offices.

### District IV

Shirley Maus, Coordinator  
188 Bassett Street  
New Haven, Connecticut 06511  
Phone 789-7876

Shirley covers the New Haven, Ansonia and Milford Offices.

Jane Perrelli, Coordinator  
61 Field Street  
Waterbury, Connecticut 06702  
Phone 756-4643

Jane covers the Waterbury and Torrington Offices.

Applications for Volunteer Service are available from the offices listed above.

Section VII

**Operational Guidelines  
for  
Professional Staff**

## PREFACE

Policy which follows is kept basic to allow flexibility in field office operations. However, in the past three years of program operation, it is clear that certain policy statements can be made which are universally applicable to the intern concept.

## ORIENTATION

Interns are instructed that their two primary duties will center on casework management and the development of the pre-sentence investigation and report.

With this in mind, interns, once assigned to a field office, should receive a minimal orientation — 8 to 16 hours, before receiving actual work units. Interns need not be oriented on violation of probation and warrant procedures, case transfer policies and the like since they will not spend the majority of their time in these areas. In addition, interns should not be required to accompany the Probation Officer on field trips, home visits, victim interviews, etc. after the first two to three weeks of placement.

Interns should receive information on local court locations, local office policy on reporting times, court coverage, resources in the area, relationship with local enforcement authorities, and operating situations which may be unique to a field office.

The emphasis then is placed on maximizing the intern's time commitment in the field office. This is best done by getting the intern quickly acclimated and involved in the day to day office operations.

## ADMINISTRATION

Administration of this program is, for the most part, decentralized with a high percentage of the decisions effecting interns based on the needs of the field office.

The following procedures, however, should be followed to assure the maximum results from the intern's time commitment to this agency:

1. Each intern should receive a caseload — 15 cases minimum, 30 cases maximum — depending on the type cases assigned. Interns are well suited to handle Youthful Offender cases, domestic cases,

restitution cases and low risk cases generally (Model 1). On the other hand, interns should be assigned difficult cases if they prove exceptionally motivated-capable.

Interns may be assigned to individual officers or as part of a unit, depending on office policy and operation. Cases should be referred to the interns soon after their arrival at a field office, usually after the local orientation is completed.

Upon receipt of a caseload, the intern will be expected to manage his caseload effectively through home visits, office reporting, phone contacts, resource referrals. These activities should be carried out and recorded in the intern's casebook. The unit or the assigned Probation Officer will monitor this work periodically.

2. Each intern should be required to complete pre-sentence investigations as part of the internship. This approach is authorized. All interns receive eight hours of training on the pre-sentence investigation at the Justice Academy. While in training, interns are evaluated as to the level of organization and writing skill. If an intern is found to be deficient in writing skills, the field office involved will be notified. In this situation, interns should still "assist" in the PSI development — i.e., interviewing the victim, checking police files, etc. Interns giving 20 hours a week have easily handled two to three PSI's monthly but the assigned Probation Officer or Unit Chief will make the determination on how many pre-sentence investigations should be assigned based on observation of the intern's ability to function.

Minimal time should be spent on orienting the intern to the development of the pre-sentence investigation. However, local priorities concerning how a PSI is completed should be clearly stated to the intern upon his or her arrival to a field office. Program experience has shown that interns receiving the Haddam orientation and local orientation are well suited to work on and complete entire pre-sentence reports.

Interns actually writing the PSI are authorized to co-sign the PSI.

Example:

Respectfully submitted,

Mary Smith  
Probation Intern

John Doe  
Senior Probation Officer

The Probation Officer retains responsibility for the information in the pre-sentence report.

3. Additional intern duties:

A. Court coverage:

Interns may be assigned a specific block of hours to work in a court covered by a field office. Usually, interns will cover a morning session from 10 a.m.-1:00 p.m. or 2:00 p.m. on a weekly basis. Where court volunteers are used, interns should not preempt the volunteer's position in the court and the Coordinator of Volunteers, if there is one, has the responsibility for scheduling interns. In some cases, interns will substitute for the Probation Officer thus freeing up valuable staff time. It is important to note that there should be a high degree of flexibility, recognizing local priorities when planning interns to become involved in the court process. Situation may arise where local office needs will preclude the intern from working at all at court and the Unit Chief will make the ultimate decision as to the extent of the intern's court experience.

B. The intern is well suited to cover for an officer who may be on sick leave or vacation leave or on an extended leave of absence. Interns can be required to handle the officer's casebook and finish up any pre-sentence investigations which are due. This would be in addition to any specific duties already assigned to the intern.

C. Title XX-Interns may be used to assist an officer or a unit in the completion of Title XX information in the processing of monthly reports. The intern should never be required to assume this duty for an officer or for a unit entirely, however.

4. Statistics

Interns are required to forward a monthly report to the Supervisor of Volunteer and Intern Programs. The form, unnumbered, is printed on the next page. Interns will no longer complete the P-105 or the P-103 as had been the case in past years.

# INTERN MONTHLY REPORT

Month October Year 1978

## Supervision

1. Total cases under supervision at first of month	<u>21</u>
2. Total cases received for the month	<u>9</u>
3. Total cases	<u>30</u>
4. Total cases discharged during month	<u>10</u>
5. Total cases (net) at end of month	<u>20</u>

## Investigations

1. Total cases completed during month	<u>2</u>
2. Total cases pending at end of month	<u>1</u>
3. Total PT investigations - YO Eligibility completed	<u>6</u>
4. Post-sentences completed	<u>3</u>

## Hours/Contacts

1. Total hours expended during month	<u>112</u>
2. Total Office Contacts during month	Phone Per. Let <u>26 16 9</u>
3. Total field contacts during month	Inv. Sup. <u>12 6</u>
4. Total hours in court	<u>12</u>
5. Total mileage for month	<u>180</u>
6. Total business related personal expenses	<u>\$26.00</u>

Office Hartford Signature Robert Smith

1\* Only business mileage should be recorded.

## 5. Materials and Supplies

- A. Materials necessary to perform basic tasks (paper, casebooks, forms, etc.) are the responsibility of the local office.
- B. Personal cards identifying the intern and the office of assignment are supplied to the intern through the field office. The Supervisor of Volunteer and Intern Programs is responsible for ordering additional cards. Offices needing cards should contact the Supervisor of Volunteer Services for resupply. Personal cards then are maintained at the local office.

- C. Each intern receives an identification card signifying that he or she is duly authorized to work as an intern in the agency. This card is signed by Mr. Capshaw, Agency Director. The card is used during the course of the intern's duties and interns are advised of the limitations of this card during the training session at the Academy.
6. Other Requirements
- A. Each intern must take out volunteer insurance which protects him or her against injury or liability claim while performing as an intern. The specifics of the policy are listed herein:
1. Protects the volunteer for his own injury and for a liability claim against him while serving as a volunteer.
  2. Within sixty days of an accident, medical treatment, hospitalization or care by a registered nurse is covered to \$2,500, incurred within one year from the date of accident.
  3. Dental care up to \$500 resulting from injury or accident while acting as a volunteer. X-rays are not included.
  4. Accidental death or dismemberment coverage:
    - Life: \$5,000
    - Loss of both hands, feet, eyes or any combination thereof: \$5,000
    - Either hand, foot or eye: \$5,000
  5. Liability: Protects the volunteer for a personal injury and property damage liability claim while serving as a volunteer. The amount of protection is one million dollars for each occurrence and is in excess of any other collectable insurance.
  6. Principal exclusions:
    - Sickness or bacterial infection, war, eye glasses or prescriptions, air travel, commutation, travel to and from the volunteer's assigned job. Use of automobile unless authorized by the Dept.
- B. Each intern must have transportation; the agency does not reimburse for expenses incurred by the intern.
- C. Interns are not allowed the use of State vehicles under any circumstances presently.

## LINES OF COMMUNICATION

Probation Officers working with interns retain responsibility for making certain decisions concerning intern activities. The Probation Office will react to request for time off, sick leave, work assignment deadlines, etc. In other words, it is expected that most decisions effecting interns in a field office will be made locally.

Interns have a direct line to the Supervisor of Volunteer and Intern Programs when it is required or when major issues are involved such as an intern wanting to leave the program for health or personal reasons. Also, Probation Officers have a direct line to the Supervisor of Volunteer Services on matters affecting interns. Any general, normal, in-house problems go through the regular chain of command.

In terms of getting new information on the intern program to staff, the Supervisor of Volunteer and Intern Programs will normally use the regular chain of command, i.e. from District Supervisor to Chief of involved office. However, when time limits necessitate, the Supervisor of Volunteer Services will call an office on individual affairs, keeping supervisors informed if it is a noteworthy situation. Interns will receive memorandums directly from the Supervisor of Volunteer Services on information related to intern policy. The intern is instructed to keep his supervising officer informed of any memorandums or directives from the Supervisor of Volunteer Services.

When possible, interns should be included in unit meetings to be kept abreast of operations in the local office. Of course, when the intern schedule does not coincide with the unit meeting, it is the responsibility of the assigned Probation Officer to keep the intern updated on local events.

## NOTES

## NOTES

## NOTES

**END**