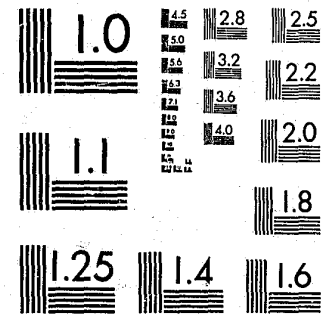National Criminal Justice Reference Service

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Classification Instruments for Criminal Justice Decisions

Volume 2

76059

Probation/ Parole Supervision

PROBATION/PAROLE LEVEL OF SUPERVISION

SOURCEBOOK

prepared by the

AMERICAN JUSTICE INSTITUTE

with the

NATIONAL COUNCIL ON CRIME AND DELINQUENCY

CLASSIFICATION INSTRUMENT DISSEMINATION PROJECT

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PROBATION AND PAROLE SUPERVISION

SOURCEBOOK

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INTRODUCTION

The American Justice Institute, along with the National Council on Crime and Delinquency, has recently completed a national survey of screening and classification in criminal justice. Sponsored by the National Institute of Corrections, the year-long survey assessed the current state-of-the-art in the design and utilization of classification tools for decision-making. The present volume contains a portion of those findings.

In building a data base, National Survey staff made over 350 telephone contacts with classification experts, research organizations, and justice system agencies. These contacts combined with an extensive review of the existing literature reveal a recent trend toward formalizing offender classification, establishing more explicit criteria for screening decisions, and shifting emphasis from subjective judgements to reliance on standardized instruments in the classification and decision-making process. For the purpose of this study, "instruments" are defined as written forms which contain a fixed set of weighted criteria that are combined into an overall offender summary score. Consideration of this score in the classification process assists justice system practitioners in making more consistent and uniform classification decisions. Familiar examples of instruments include:

1. Vera Scale: used to classify the eligibility of pretrial defendants for release on own recognizance;

2. Base Expectancy Tables: used to screen offenders for risk of recidivism;

3. Federal Parole Guidelines: used to reduce disparity in parole-release decisions.

Though these examples emphasize different criteria and were created for different purposes, they all serve to structure the classification process so that resulting decisions become more objective, uniform, and potentially replicable. Among the survey's 350+ primary contacts, project staff identified 105 sites where instruments, as defined, appeared to be used. Excluded from consideration were sites not using instruments, sites using instruments mainly for program placement (since the survey's research charter explicitly excluded diagnostic classification), and

sites using instruments duplicated elsewhere. Thus, the 105 identified sites are those we believed to be using unique classification instruments and related procedures.

National survey staff made considerable efforts to ensure that the study systematically sampled different geographical regions and different levels of jurisdiction. However, the survey does not claim to be statistically representative of the overall population of classification programs in the U.S., nor even of the more restricted population of programs that use instruments. Although staff contacted a broad distribution of agencies using classification tools, limited resources made it impossible to reach all such programs. Moreover, since the total population of classification programs is at present unknown, standard research methods such as random or quota sampling were not used. Nevertheless, the purpose of the survey was to describe the current variety (some would say similarity) of approaches and techniques in the field of criminal justice classification, and this we believe has been achieved.

The national survey also selected agencies that represent different decision points in the criminal justice system. A "decision point" is defined for the purpose of this study as a juncture in the criminal justice system where decisions are made which affect the path of an individual through, or out of, the system. These points include pretrial release and diversion, sentencing, institutional custody level, parole release, and parole/probation supervision level.

The results of our study have been organized with the practitioner specifically in mind. Accordingly, findings are categorized by decision point; material pertaining to each of four decision points has been grouped together in a separate volume or "Sourcebook." Each of these Sourcebooks addresses one of the following types of classification:

1. Pretrial Release
2. Sentencing and Parole Release
3. Institutional Custody
4. Probation/Parole Supervision

This approach should help practitioners to quickly and easily locate information pertinent to their field. A fifth volume is devoted to general information. It contains a review of the classification literature, a bibliography, discussion of research methods, and the data collection forms used in the study.

The state-of-the-art summaries, site visits, and telephone interview summaries have been written by different authors. Consequently, the individual components of the Sourcebooks may differ somewhat stylistically. We chose to emphasize accuracy of content, rather than consistency of style; the various research staff who collected the information and best understood the on-site operations were assigned the task of writing the summaries and reports.

The Sourcebooks are divided into three main sections: (1) State-of-the-Art Summary, (2) Site Reports, and (3) Telephone Interview Summaries. The last two sections include descriptions of instrument usage in specific agencies, and copies of the instrument(s) used by that agency. The State-of-the-Art Summary describes current classification instruments and practices that are employed at the decision point assessed by each Sourcebook. The Summary is essentially a synthesis and evaluation of the findings generated by the site visits, telephone interviews, and literature review. It also includes recommendations about development and implementation of classification instruments at the respective decision points.

Section II of the Sourcebook, the Site Visit Reports, provides the reader with an in-depth look at currently used instruments, and how they operate in specific agencies. On the basis of the 105 telephone interviews, survey staff selected 22 locations that employed 25 distinct instruments for more intensive study through on-site observations and interviews. National survey staff, usually working in pairs, spent from two to four days at each site. During these visits, an effort was made to observe the classification system in operation, to interview as many people as possible who use or who are affected by the process, and to collect research results and statistics on the use of the instrument. A detailed interview protocol developed by staff (see Research Volume) was used while on site in order to ensure complete and consistent data collection. The form was not always rigidly followed, however, in order to allow for spontaneous comments and other advantages gained by a flexible interview approach. Information was obtained under general headings as follows:

- Agency Characteristics
- Decision Points Involved
- System Flow
- Caseload Characteristics
- Research and Development of the Instrument
- Instrument Implementation

- Formal Instrument Characteristics
- Screening Process
- Decision Process
- Review Process
- Results and Impact
- Policy Issues

The third section of the Sourcebook, the Telephone Interview Summaries, contains succinct, one or two page descriptions of agencies and their use of classification tools. In contrast to the in-depth analysis of the site reports, the telephone summaries present brief overviews of classification techniques used by specific agencies. Agencies contacted were identified by staff through published reports discovered during the literature review, and through leads from consultants and practitioners. The agencies thus identified were contacted, interviewed when appropriate (i.e., if they were using operational instruments), and then used as a source of referrals to other jurisdictions. Our assumption was that a relatively inclusive sample of agencies had been obtained when leads uncovered in this manner referred us back to agencies previously contacted.

The agencies interviewed were sent a pre-interview notice describing the survey objective and the kinds of questions that would be asked. Telephone interviews were then held by appointment using the interview questionnaire given in the Research Volume. Each interview lasted from 30 to 90 minutes, depending upon the complexity of the classification system in question. Most interviews were with a single respondent although several calls involved two or more agency representatives. In each case, information was obtained under the following general headings:

- Identification of Respondents
- Use of Screening Instrument
- Automatic Selection Criteria
- Characteristics of Screening Instrument
- Administration of the Instruments
- Results and Effects of the Instrument
- Accessibility for Site Visit and Referrals

The Sourcebook materials were sent for verification to the agency staff who were originally contacted during site visits and telephone interviews. During this verification process we learned that 34 of the telephone interview sites are not using classification instruments according to our definition, so we dropped them from the study sample. Some of these excluded sites are using lists of criteria without any weights or total scores, and others are not using any formalized criteria at all. The agencies remaining in the sample after the verification process provided us with updated information and statistics, cleared up any apparent misunderstandings, or approved the initial drafts as written. We will now turn to the State-of-the-Art Summary describing current issues and practices specific to the use of instruments in probation/parole level of supervision decisions.

PROBATION AND PAROLE SUPERVISION
STATE-OF-THE-ART

Introduction

Unlike decision-making at other points in criminal justice processing, decisions regarding appropriate level of probation/parole supervision typically are made without the aid of formal classification instruments.[1] Where such tools are used, they frequently lack sophistication and research support. There are exceptions however. In some jurisdictions effective classification instruments are now in use, and interest in their development and use elsewhere is growing.

The 23 probation/parole agencies listed in Table 1 are those sites contacted and interviewed by the national survey team. (The list does not include all probation/parole agencies in the country that use instruments.) Agencies using instruments for supervision-level decisions are found at all levels of government, in all areas of the country, and in both urban and rural jurisdictions. Agencies of all kinds and sizes report that they find these instruments to be of value. For example, both the Federal Probation Office in Portland, Oregon, which screens about 20 individuals per month, and the state system in Missouri, which classifies 5,500 clients monthly, report satisfactory experiences with instruments.

The use of classification systems with a local research base, however, does seem to be limited to large departments. Jurisdictions with small caseloads generally do not invest in on-site research, preferring to develop instruments intuitively or to borrow them from other locations. Limited personnel and financial resources undoubtedly contribute to the lack of on-site research in smaller agencies.

Instrument Development and Use

The overriding motive behind the development and use of instruments in

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1. For purposes of this study, "instruments" are defined as written forms containing a fixed set of weighted criteria that are combined into an overall summary score for use in offender classification. More detailed descriptions of instruments and classification procedures are presented in the site visit and telephone interview reports later in this Sourcebook.

Table 1

23 AGENCIES INCLUDED IN SURVEY

Sites Visited by Survey Team	Probation Supervision	Parole Supervision	Federal Level	State Level	Local Level
1. Sacramento, California Federal Probation/Parole Office	X	X	X		
2. Kane County, Illinois Diagnostic Center	X				X
3. Philadelphia County Probation Department	X	X			X
4. Wisconsin State Bureau of Community Corrections	X	X		X	
Sites Surveyed by Telephone					
5. Alameda County, California Probation Department	X				X
6. Marin County, California Probation Department	X				X
7. Monterey County, California Probation Department	X				X
8. Santa Clara County, California Probation Department	X				X
9. Connecticut State Department of Adult Probation	X			X	
10. Washington, D.C. Federal Probation/Parole Office	X	X	X		
11. Washington, D.C. District of Columbia Superior Court	X				X
12. Atlanta, Georgia Federal Probation/Parole Office	X		X		
13. Illinois 16th Circuit Court Probation Section	X				X
14. Iowa State Bureau of Community Correctional Services		X		X	
15. Hennepin County, Minnesota Court Services	X				X
16. St. Louis County, Missouri Community Services	X				X
17. Missouri State Board of Probation and Parole	X	X		X	
18. New York State Division of Probation	X			X	
19. Suffolk County, New York Department of Probation	X				X
20. Multnomah County, Oregon Probation Department	X				X
21. Portland, Oregon Federal Probation/Parole Office	X	X	X		
22. Seattle, Washington Municipal Probation Service	X				X
23. Seattle, Washington Federal Probation/Parole Office	X	X	X		

probation/parole field supervision is the desire to optimize the allocation of resources. The large caseloads typical of most departments preclude intensive supervision of all probationers. Some form of classification invariably occurs in order to separate those who will receive maximum attention from those who will not. In the process, most agencies attempt to identify both those individuals most in need of surveillance/services and those who can get along with less, but identification of the former generally is emphasized. Weights and cut-off scores are adjusted to minimize the possibility that a person classified as a low risk actually will get into further trouble. Political considerations, of course, also influence policy decisions to be conservative, that is to concentrate error on the side of mislabeling low risk individuals as moderate or high risk. Concern for public opinion and community protection means that services may be provided for those who do not need it, but rarely is minimum service offered to those in need of maximum care.

A second, related motive for the use of formal instruments in classification decisions derives from the belief that a structured screening process will permit more accurate, consistent, and equitable decision-making. Through the use of instruments, agencies hope to minimize the bias inherent in the subjective judgments of various decision-makers. In practice, greater objectivity can lead to more accurate decisions, but it almost certainly will increase decision consistency. Also, even though the same decision might have been reached without the aid of a formal instrument, a decision made on the basis of established guidelines applicable to all is likely to be viewed as more just and equitable.

Instruments have served to promote confidence in decisions in other arenas as well. In Wisconsin, for example, the legislature held up funds for new probation officers pending the development of an adequate plan. Information obtained through the use of case screening instruments demonstrated the need for additional officers in a way that was much more impressive than subjective assessments would have been. While not by itself a rationale for instrument development, the contribution of such tools to statistical evaluation may be useful in many contexts.

In developing an instrument for use in level-of-supervision decisions, many agencies have simply adopted instruments used in other jurisdictions, sometimes with slight modifications. Instruments commonly "borrowed" in this manner include the Client Analysis Scale developed for use in Missouri, Wisconsin's Case Management System, the California Base Expectancy instrument, and the Base Expectancy

form created by the Federal Probation/Parole Office in Portland, Oregon. About 44% of the instruments used by agencies in the survey sample were borrowed from other jurisdictions.

About 26% of the agencies surveyed had developed their own instruments through a local research program. In some cases, these instruments are variations of instruments developed elsewhere. For example, the "U.S. DC 75," used by the Federal Probation/Parole Office in Washington, D.C., sprang from a series of validity tests in which non-predictive variables from the California BE 61A were eliminated and other variables were added. (Ongoing validation research is also underway.) Other locally developed instruments that seem to have been particularly well received include those created for use in the states of Missouri and Wisconsin.

About 30% of the agencies surveyed had developed their own instruments, but had not based them on local research. In such cases, instruments used elsewhere are reviewed, and those elements deemed appropriate for local use are selected for inclusion in the instrument. Both the variables and their weights thus are developed subjectively in accordance with local priorities and policy considerations.

Of course, even where instruments are based on research, policy issues may be important in their development. In some cases, variables found to be predictive of risk are excluded from instruments for legal or moral reasons (e.g., race) or because they are difficult to score at point of intake. In other instances, weights are added to variables in order to reflect community values. For example, Wisconsin adds weight beyond that empirically prescribed for individuals convicted of an assaultive offense. The added weight is responsive to community fears of assaultive incidents involving probationers.

Sample instruments were obtained from 21 of the 23 agencies surveyed. Table 2 lists all those variables that appear on at least two instruments and the total number of instruments in which each variable was included. Generally, those variables that appear most commonly (e.g., employment status) also are given greater weight in tabulating an offender's summary score. Those that appear less frequently (e.g., annual income) typically receive less weight.

The guidelines for scoring variables differ from one agency to another. As a case in point, some classification instruments define drug/alcohol involvement quite specifically (any arrest in the last two years for drug or alcohol abuse),

Table 2

VARIABLES USED MOST FREQUENTLY ON 21 SAMPLE INSTRUMENTS

Variable	Number of Instruments Using Variable
Employment/Educational Status	19
Drug/Alcohol Involvement	18
Family/Social Factors	15
Number or Type of Prior Convictions	12
Number of Prior Arrests/Arrest Free Period	10
Education Level Achieved	9
Bad Checks, Forgery, or Burglary History	9
Assaultive Offense History	8
Prior Commitments/Incarcerations	8
Number of Prior Supervision Periods or Revocations	8
Emotional Disturbance/Mental Health Problems	8
Subjective Opinion of Scorer as to Risk/Needs of Client	8
Attitude/Amenability/Responsibility	7
Age of Client	6
Stability of Residence/Address Changes	5
Family Criminal Record	5
Specific Category for Assessment of Client Needs	5
Nature of Current Offense	5
Nature of First Arrest or Conviction	5
Financial Management Problems	4
Juvenile Record	3
Aliases Used by Client	3
Physical Health	3
Annual Income	2

while other agencies allow the officer completing the instrument broad discretion in assessing the extent of drug/alcohol involvement from official reports and interview responses. In some cases, officer opinion is solicited directly or indirectly. Seven instruments include variables labeled "attitude," "amenability," or "responsibility," which are discretionary categories calling for professional (but subjective) judgment. Eight other instruments contain specific variables, such as "subjective opinion" or "subjective impression," that seek officer opinion of the risk posed by the client or the appropriate level of supervision.

With few exceptions, the instruments reviewed are designed to produce only information relevant to risk of recidivism. Exceptions include Iowa, New York, and Wisconsin, where client needs receive equal consideration, and Multnomah County, Oregon, where primary emphasis is on stability in the community.

Instrument Administration

Most of the instruments in the sample are completed by probation officers, typically using information obtained from both official records and an interview. Officers complete an initial form either as part of a presentence investigation or, more commonly, at probation intake. Most agencies subsequently complete forms at regular intervals for the purpose of reclassification. In all cases, officers total the points and consider the resulting summary point score in the level-of-supervision decision.

The extent to which the summary score determines the supervision decision varies with local policy and faith in the instrument. Suffolk County (Long Island, New York), St. Louis County (Missouri), and Monterey County (California) report that instrument results are very rarely overruled. Most other agencies indicate that instrument results are overruled by a probation officer (with approval of a supervisor) in 5 to 10% of the cases. Survey respondents stated that overrulings occur when factors such as emotional disturbance indicate a need for special supervision that is not reflected in the instrument results. In one jurisdiction, the New York State Division of Probation (Albany), instrument results reportedly are overruled at least half of the time, apparently because of staff resistance to the instrument and case classification procedure.

In all jurisdictions offenders are involved in the screening process since their interview responses are used as a part of the decision criteria. The Suffolk County Probation Department and the Iowa Parole Bureau routinely inform offenders that a level-of-supervision decision is being made and identify the variables and weights used in the process. These two agencies also notify offenders of the results of classification. In no other jurisdiction, however, are offenders informed that screening is taking place, nor are they formally advised of the results.

No jurisdiction surveyed allows offenders to appeal the classification decision or to initiate a re-classification hearing. (This is not surprising, since offenders generally are not informed--and so may not be aware--that they are being classified or re-classified.) Re-classification occurs routinely at six-month to one-year intervals, or as determined appropriate by the probation officer and supervisor.

Impact of Instrument Use

Few of the instruments reviewed have been evaluated. Of the 23 agencies surveyed, nine have research underway, but results are now available for only four.[2] In all four cases, validation studies have shown the instruments to be sufficiently valid to satisfy local purposes. Unfortunately, much research assessing the impact of instruments on caseloads is methodologically suspect. Study designs generally have not controlled for confounding variables that might have caused the observed changes. Assessments of predictive accuracy have also been confounded in some cases by the fact that those classified at the same level of risk have received different levels of supervision.

Regardless of research quality, studies generally report a shift toward assigning more individuals to lower levels of supervision since the introduction of instruments. This finding is supported by the subjective impressions of agency staff. Of the 23 agencies in the survey sample, over half report that caseloads have shifted significantly toward lower levels of supervision. Although most agencies had observed few other changes since the introduction of instruments, one suggested that the instrument had created a common vocabulary that aids in case discussions, and three

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2. Federal Probation/Parole, Washington, D.C.; Suffolk County Probation, New York; Wisconsin Department of Corrections; and Philadelphia Probation Department.

indicated that instrument use has helped to expedite the screening process.

With few exceptions, agencies using instruments report that staff are generally satisfied with the procedure. There are some complaints about vagueness of definitions and insensitivity of the instrument to offender needs believed to be significant in case outcomes. Most agencies reported initial staff resistance to implementation of instruments, which gradually dissipated with time.

Special Issues

Jurisdictions in the process of developing or refining their screening procedures can learn from the collective experience of agencies that are already using classification instruments. Several areas in which problems have occurred or may arise in the future are briefly noted below: legal issues; the need for research; staff resistance to instrument use; non-risk factors in decision-making; and the low predictive power of classification instruments.

Legal Issues. Although none of the agencies surveyed reported legal challenges to their classification procedures, there are a number of areas in which legal problems could arise. Most agencies have ignored the possible legal ramifications of classification for assignment to supervision level, apparently because the impact of such assignment is believed to be benign. Yet assignment to intensive supervision may increase the likelihood of probation/parole revocation, and certainly increased supervision could be viewed negatively as surveillance, rather than positively as service. Assuming that services do make a difference to offenders, equal access to service could become a legal issue.

The accuracy of classification instruments also could be challenged. Unless an instrument has been validated--that is, unless it has been shown to measure what it purports to measure--its use could pose legal problems. Using such instruments to determine level of risk is analogous to using employment tests that have not been shown to be job-related. Care must also be taken to rule out selection criteria based on race, sex, age, or other variables that discriminate against individuals for reasons that, although related to recidivism, are beyond the control of the individual and not necessarily related causally to crime.

It could also be argued that offenders have a right to know about the processes that affect them and the criteria by which they are judged. Agencies surveyed appeared to believe that, because level-of-supervision decisions are administrative in nature, they are beyond the protection of due process considerations. However, the failure to inform offenders that their case is being classified or to make them aware of the criteria used in screening could be challenged, especially if it is proved that the outcome of classification has a significant impact on the offender's life.

Need for Research. Few agencies using instruments have undertaken research to validate their use, and much of the research that has been done is methodologically unsound. Estimates of predictive accuracy are particularly difficult. If high-risk cases are assigned to more intensive supervision, and intensive supervision increases the likelihood of probation/parole revocation, then the apparent accuracy of the prediction instrument actually may be a result of differential treatment originally initiated by the instrument. Validation on the basis of actual experience in past cases also has its problems: such research can be confounded by the fact that criteria predictive with one sample may not be predictive for another sample at another point in time.

Evaluations of instrument impact on agency functioning also are needed. Few of the agencies surveyed had baseline data on caseload distributions, and most had not considered all factors other than instrument use that might have affected caseloads. Before introducing a classification instrument, agencies should obtain adequate baseline data on caseload distribution among various supervision levels. Ideally, the instrument should also be introduced in a research design that allows for control of other variables (e.g., policy) that might affect caseload distributions. At the very least, all of the factors introduced with an instrument, but extraneous to it, should be documented and monitored.

Staff Resistance to Instrument Use. Virtually all of the agencies surveyed stated that staff initially resisted the introduction of a "mechanical" screening process, but that attidues toward the instrument improved over time. Most agencies using an instrument for more than a year or two reported no staff complaints. Some agencies, however, have been forced to abandon attempts to implement

instruments because of employee resistance. Serious resistance generally occurs when the instrument is part of a caseload supervision plan designed to alter caseload distributions, and possibly to reduce the number of probation officers.

Agencies should enlist the support of employee groups early in instrument development, since staff are less likely to object to using an instrument that they have helped to develop. Resistance to increased work requirements can often be offset by re-evaluating and modifying paperwork demands. Objections to limits on decision-maker discretion are more difficult to overcome, although a convincing argument can be made that more consistent and equitable decisions result when instruments are used. All forms of resistance are likely to be reduced if administrators and employee representatives are given the opportunity to work out problems together.

Non-Risk Factors in Decision-Making. As at other points in criminal justice and correctional decision-making, factors other than risk generally are considered in level-of-supervision assignments. While some agencies consider risk of recidivism alone, many take into account factors unrelated to risk (e.g., offense seriousness) in order to avoid adverse public reaction to "lenient" treatment of serious offenders. Sometimes non-risk factors are framed as risk predictors; heavily weighting such factors as conviction for a serious offense produces a high-risk classification even though the serious offender is not highly likely to recidivate. An alternative to including non-risk factors in a risk scale is a multidimensional approach to decision-making. When two types of factors (such as risk of recidivism and offense severity) are to be considered, a matrix format can be effective. Such matrices, which permit simultaneous consideration of two or more factors and provide a recommended decision for each possible combination, have been used effectively in parole release and sentencing.[3]

Low Predictive Power. The predictive accuracy of most instruments used in level-of-supervision decisions is not known, but some jurisdictions have concluded that their predictive power is too low to justify their use.[4] In one of the few

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3. See the State-of-the-Art chapter of the Sentencing and Parole Release Sourcebook for an explanation of decision-making matrices.

4. The State of California does not use classification instruments to determine level-of-supervision because of low predictive accuracy; and the Los Angeles County Probation Department has abandoned a fairly complex screening and case supervision system for the same reason.

cases in which predictive accuracy has been rigorously tested (the Federal Probation Parole Office in Washington, D.C.), the instrument is more predictive than the original California scale, but it still accounts for only a small percentage of the variance in revocation and rearrest rates.

Of course, the predictive accuracy of instruments still may exceed that of subjective decisions, and decisions will almost certainly be more consistent if an instrument is used. Agencies using or developing instruments thus should emphasize the consistency factor when considering the device's value. Otherwise, the instrument may be abandoned even though decisions made by it are considerably more equitable than the subjective decisions to which the agency may return.

Summary

The use of classification instruments for level-of-supervision decisions is relatively uncommon, but interest in this area is growing. At least as many agencies are planning to introduce such instruments as are now using them. Agencies now using instruments report generally satisfactory experiences. After some initial resistance, staff usually accept the instrument as a screening tool. Instrument use tends to divert more cases to lower levels of supervision, a trend that obviously could reduce costs. A few agencies also report that instruments help to expedite case screening and provide a common vocabulary that aids in case discussions.

There are, however, a number of potential problems associated with instrument use. Although agencies now using instruments do not appear concerned, there are a number of areas in which legal complications could arise. Few agencies have validated the instruments they are using or evaluated their impact on caseload distributions or departmental operations. Where research has been undertaken, it has often been poorly designed. Other problems may develop from the low predictive accuracy of many instruments or the subjective and haphazard way in which factors unrelated to risk are incorporated into risk predictions.

Most of these problems could be resolved, and the judicious use of instruments does have demonstrable advantages. Decision criteria are brought out into the open where they can be examined and better understood. Consistency in decision-making is increased, with an accompanying increase in equitable treatment. And decision accuracy may be improved, at least when compared with purely subjective decisions.

Decisions will continue to be made on the basis of risk, whether or not instruments are introduced. Even if accuracy is only marginally increased, the other benefits make instrument development and use worthwhile.

SITE VISIT REPORT

DECISION POINT: PROBATION AND PAROLE SUPERVISION

U.S. PROBATION AND PAROLE

EASTERN DISTRICT OF CALIFORNIA

SACRAMENTO, CALIFORNIA

SITE VISIT: March 20 - 24, 1978

INTERVIEWERS: Marvin Bohnstedt
               Michael Jamison

CONTACT PERSON: Glenn Thomas
                 Case Load Classifi-
                 cation Committee
                 Tele: (916) 440-2513

Overview

The U. S. Probation and Parole office for the Eastern District of California is located in Sacramento. Like all offices of the Federal Probation System, it is under the direction of the Administrative Office of the U. S. Courts and follows the same uniform procedural manual that is used in all 91 Federal Probation and Parole Offices.

The primary functions of the agency are investigation and supervision. Pre-sentence investigations are conducted for the U. S. District Court, while work-release investigations are performed for the U. S. Parole Commission and Bureau of Prisons. The agency's primary function, however, is the supervision of federal offenders sentenced to probation or paroled into its jurisdiction.

The emphasis of supervision is counseling, needs assessment, and referral to community services. It is a rehabilitative approach designed to provide community services to the offender in an attempt to deal with his or her problems and needs. The emphasis of parole supervision is the same; it attempts to reintegrate an offender into the community by similarly assessing and counseling his or her problems and needs, and by providing the parolee with community services. Supervision is thus conducted in an attempt to reduce the risk of recidivism through guaranteeing that counseling and referral are available to probationers and parolees.

The probation (and parole) officer typically classifies the probationers and parolees on his caseload according to the level of supervision required. This classification aids the officer in managing his caseload by formalizing the amount of supervision for each client required by the risk level and case needs. A client is usually classified as maximum, medium, or minimum, with each designation determining the amount of U. S. Probation Officer's time devoted to each client.

Various techniques have been used across the country to aid the officer in making these classifications, some of which are subjective, while others are objective. The most commonly used instruments to assess client "risk" are the California Base Expectancy Scale (BES) for probationers, and the Salient Factor Score for parolees. The Eastern California office had used the BES in the past, but in April, 1978 it abandoned the Base Expectancy Score in

favor of a subjective determination based on a set of objectively defined risk indicators. These indicators are used in conjunction with specified definitions of "threat" and case needs to formally classify a client into supervision levels. This system is designed to make the client's specific needs and the risk he presents to the community more explicit.

The classification is conducted after a case has been referred to a particular officer. In the case of probation, most of the information required is actually contained within the earlier investigations and pre-sentence report, but additional information is obtained during the initial interview with the client. The objective indicators pinpoint specific problem areas which may exist, such as financial conditions, living arrangements, and employment.

By assessing a client according to specific factors or problems, the probation officer is better able to develop a case plan to aid the client. Case plans also allow the officer to budget the time between the clients on a caseload, which is often a difficult task. The officers we interviewed had an average caseload of 50 clients. The classification breakdown, however, might be very different between officers. The following two examples of such classifications were obtained from two probation officers at the Sacramento office.

	Officer #1	Officer #2
Maximum	5	12
Medium	25	13
Minimum	24	21
Total Caseload	54	46

Officer #1 was assigned 5 maximum, 25 medium, and 24 minimum supervision clients. The jurisdiction represented included an area of high drug usage. The typical offender is a male with about 11th grade education, poor employment record, limited job skills, and a five to ten year history of drug use. Most convictions are for offenses that would support heroin use, such as writing bad checks or dealing drugs.

The second officer's caseload involved 12 maximum, 13 medium, and 21 minimum supervision clients. Of the 12 maximum, 7 were using heroin and 3 were arrested for armed offenses where bodily harm was inflicted. The typical offender had

Figure 1

EASTERN DISTRICT OF CALIFORNIA
(Listing of counties supervised by each of six branch offices.
Number assigned to each county is for easy location on the map.)

Supervised by Redding

Butte - 9	Shasta - 4
(No. of Oroville)	Siskiyou - 1
Glenn - 8	Tehama - 6
Lassen - 5	Trinity - 3
Modoc - 2	

Supervised by Sacramento

Butte - 9	Sacramento - 19
(So. of Oroville)	Sierra - 13
Colusa - 10	Solano - 18
El Dorado - 17	Sutter - 11
Nevada - 14	Yolo - 15
Placer - 16	Yuba - 12
Plumas - 7	

Supervised by Stockton

Alpine - 21	Calaveras - 23
Amador - 20	San Joaquin - 22

Supervised by Modesto

Stanislaus - 26
Tuolumne - 24

Supervised by Fresno

Fresno - 30	Mariposa - 28
Kings - 32	Merced - 27
Madera - 29	Tulare - 33

Supervised by Bakersfield

Inyo - 31	Mono - 25
Kern - 34	Tulare - 33

less than two arrests in addition to the current charge, and if time had been served it was for only a short term. The typical offender would be male, white, steadily employed, married, and between the ages of 28 and 32.

The probation officer is the only one responsible for determining the classification of a client. When the Base Expectancy Scale was used for this task, a specific point score determined the level of classification regardless of the officer's subjective assessment of the client. Now classification is determined subjectively according to a variety of indicators assessed upon a client's referral.

The U. S. Probation and Parole office receives clients from a variety of sources, including the Federal District Court, the U. S. Magistrate's Court, other U. S. Probation and Parole offices, and the U. S. Attorney's Office (through deferred prosecution). The Office also accepts federal prison parolees, military parolees, and mandatory releases. The largest group of clients, however, consists of probationers referred by the Federal District Court.

Referrals from these sources are seldom refused by the agency. The only exceptions occur in the case of interdistrict transfers or institutional parole releases to the jurisdiction when the client does not have good ties in the area, or lacks a good reason for the request. Requests are not frequently refused if the offender can show a good reason for parole release to the Eastern California jurisdiction.

The U. S. Probation and Parole Office for Eastern California is head-quartered in Sacramento, with six branch offices. This jurisdiction includes 34 counties in California (see map, Figure 1). Most of the geographical areas included are rural, with the largest populations concentrated in the Sacramento, Modesto and Stockton region; other populous areas are Fresno and Bakersfield. The internal structure of the agency is designed with these geographical characteristics in mind. The Headquarters is in Sacramento, with secondary headquarters in Fresno, and branch offices in Visalia, Stockton, Modesto, Bakersfield, and Redding.

Three supervising U. S. Probation Officers oversee the activities of the U. S. Probation Officers in all offices. Two of these supervisors work out of

the Sacramento office. Each of these supervisors oversees seven officers. The third supervisor is headquartered in Fresno and directs the activities of eight officers.

The geographical complexity of this jurisdiction has not apparently affected the general operation of the office. A high degree of interaction appears to be present within the office, and among the probation officers. A full-time training officer on the staff conducts training seminars every six months,either in Sacramento or Fresno. Training sessions are held regularly to aid the officers although most U. S. Probation Officers are highly experienced, possessing a minimum of two years related experience in probation or counseling activities, and a bachelor's degree.

The agency maintains both formal and informal ties with a number of federal, state, and local agencies. It works closely with the U. S. District Court since it accepts referrals sentenced to probation and provides the court with pre-sentence investigation reports. The agency is also closely tied to federal law enforcement agencies, such as the FBI, Secret Service, A.T.&F., D.E.A., and the U.S. Marshal. Because of its parole-supervision role, it also maintains close contact with the Bureau of Prisons, the Federal Parole Commission, and the new federally funded community-residential-treatment facility in Sacramento.

The agency also works closely with county agencies since federal probationers are occasionally on probation at the county level. In such cases, U. S. Probation Officers commonly work together with county Probation Officers on an informal basis, sometimes sharing common cases.

The agency maintains important ties with various community resources as well. These include drug and alcohol treatment and rehabilitation programs, counseling services, vocational rehabilitation programs, and job placement services.

The Instrument and Its Development

The U. S. Probation and Parole office for Eastern California has used two different techniques to classify offenders into levels of supervision. The first instrument used was the California Base Expectancy Scale (BES) de-

veloped in the late 1950's to assess an offender's proclivity towards recidivism. Primarily designed for youthful offenders, the Base Expectancy Scale was first implemented for use in Sacramento, California in 1966 in a controlled experiment with male probationers. It was considered a successful experiment and continued to be used until April of 1978.

The original Base Expectancy Scale (see Appendix A) consisted of 12 objective indicators which considered a variety of factors from criminal history, to family criminal record and living arrangement. The indicators are posed in a positive way, such as "no alcohol involvement." If a verified yes is received, then the offender receives the points given to that specific indicator. These points are totalled and measured against the scale for potential adjustment. The results determine the classification level, with a "C" designating a maximum level of supervision, a "B" a medium, and an "A" a minimum.

In 1978, however, the Base Expectancy Scale was replaced by a second technique known as the Caseload Classification System. This system was designed to aid probation officers in improving their supervision of clients by focusing on case needs and risk to the community. The replacement of BES by the Caseload Classification System exemplifies the agency's shift from strict risk assessment to a combination of the identification of case problem needs and risk assessment.

The Caseload Classification System attempts to zero in on social problems that are most important in insuring good overall case adjustment while the client is under supervision. The new system contains two main areas for analysis: indicators of criminal threat, and social problems or needs. Criminal threat is identified through an analysis of the offense for which the offender was granted probation, together with an assessment of the offender's prior record using 14 indicators. Such factors include the use of weapons while committing offenses, number of offenses involving violence, number of drug or alcohol related offenses, and whether the current and past offenses were against persons. The social problems or needs section of the classification system includes 11 main categories which assess factors such as employment, education, living arrangements, drug or alcohol problems, peer association, and attitude. By analyzing a case according to these social need indicators, an officer is able to tailor a case plan that will deal with the par-

ticular problems or needs of his client. By including case needs in the classification process, on the other hand, an officer is able to consider both the relative threat of the offender to the community, as well as the rehabilitative needs of his client. The following definitions of case classification levels exemplify this dual assessment:

Maximum A case which poses a probable or immediate threat to the offender or to others by virtue of criminal behavior, or that case which presents problems of social adjustment that the officer intends to deal with through close supervision or intervention.

Medium A case which poses no immediate threat, but which presents numerous problems that are to be dealt with partially by the officer, and partially through referral to outside agencies or resources.

Minimum A case which shows signs of stability and presents no indicators of threat or major problems. This client should be able to function adequately without major intervention by the probation officer.

Implementation

The Eastern California office was the first Federal Probation Office to institute the use of the Base Expectancy Scale for classifying probationers for level of supervision. BES was introduced to the agency in 1966 as part of a pilot study to test its effectiveness for classification and supervision of male probationers. This experiment proved successful in helping officers to manage caseloads and was later expanded for use with all probationers. Its use was informal, however, until about 1974, when it was formalized as part of a supervision plan. By focusing upon 12 objective indicators of criminal threat, with a heavy emphasis on prior record, it was felt that the scale could aid in accurately assessing the amount of supervision that the offender required. A minimum, maximum, or medium classification resulted directly from the offender's score on the BES.

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Standards on caseload classification and supervision have also been in effect for parolees since 1971. At that time the U. S. Board of Parole, working in conjunction with the Adminstrative Office of the U. S. Courts, established certain minimum requirements. The Administrative Office later adopted the same criteria for probation cases in September 1974. These standards mandated that specific supervision requirements be fulfilled by officers, and that these requirements be directly related to classification level. As the U. S. Accounting Office explained in a recent report:

> Maximum risk offenders have committed serious crimes of violence, have extensive prior records, and have many unstable social and personal characteristics. These individuals are to receive at least three personal contacts a month, or 36 annually. Minimum risk offenders have committed less serious crimes, have no extensive prior records, and have stable social and personal characteristics. (They should be) contacted at least once a quarter, or four times annually. Cases not meeting the criteria for maximum or minimum risk are classified medium risk, and are to be contacted once a month, or 12 times annually.[1]

The problem, however, was that BES primarily defined risk by past offense history, and not on the basis of current offender needs or risk. Since BES results came to be administratively linked to contact requirements, their use also prevented officers from managing their own caseloads as they saw fit. In addition, BES scores often did not accurately represent the present risk potential of an offender, such as a presently dangerous parolee without a prior record. This type of case created a dilemma for the officer who was still bound to bureaucratically defined contact requirements. A case with a maximum classification, for example, would be classified according to prior criminal activity alone, and yet that individual may have only minimal needs, or pose a minimum threat. On the other hand, many individuals classified by BES as minimum, such as a young first offender, could have severe needs and problems and actually pose a serious risk by comparison.

In 1977 this issue came to the forefront when the General Accounting Office issued its Report to the Congress on the Federal Probation and Parole

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1. "Probation and Parole Activities Need To Be Better Managed." Report to the Congress by the Comptroller General of the United States. Government Accounting Office, Washington, D. C. 1977.

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System. The study found a variety of problems within the system and seriously questioned its performance. Among other things, it found that:

- The Federal Probation System did not provide adequate supervision and rehabilitation treatment of offenders, and

- The offenders were neither being contacted frequently by probation officers, nor receiving needed rehabilitation treatment.

Moreover, it pointed out that:

> . . . about half of all offenders released on probation or parole at the . . . districts reviewed, either (1) had their probation or parole revoked, (2) absconded, (3) were convicted of new crimes, or (4) were awaiting trial.[2]

Using these figures as evidence for needed improvement, the report called for more emphasis to be placed on supervision and rehabilitation. The report made the following proposal:

> We recommend that the Administrative Office, with the Judicial Conference, require district probation offices to improve the rehabilitation programs by: preparing rehabilitation plans which translate identified needs into short or long term treatment goals for each offender, referring offenders to needed services, and following up to see that offenders received needed services.[3]

At the time of this report, Sacramento was still using the BES as the main determinant for supervision level, although officers had also begun to use a subjective needs assessment rating. After the BES specified the classification level, the needs assessment was used to point out the proper type of contacts required. It was felt that such an approach would reduce risk and improve rehabilitation.

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2. Ibid, p. 30.

3. Ibid, p. 7A.

At this point, the agency decided to search for an approach which could replace the Base Expectancy Scale, and a Classification Committee of three probation officers was formed to conduct this search. Officers around the country were contacted and surveyed, but no "objective" risk-needs instrument was found. As one officer on the classification committee stated during our site visit interview:

> We started out to find an instrument that everybody could sit down and add up the right numbers and come out with the same thing. Our conclusion was that after looking at all the existing things available, all the classification systems, we felt that it was terribly inadequate. In every category there were too many exceptions being made in every system. There were too many feelings on the part of the P.O. . . that made them feel that the instrument they were using was inadequate, that it didn't fit with their concept of their cases. They could cite particular cases where the system just ran the face of it, and there was no allowance for exceptions, and those exceptions were pretty numerous. We felt in the end that if we came up with the same kind of numerical approach, then we are defeating the purpose of what we feel an experienced probation officer is capable of doing. We figured that if anybody was an expert in this field, the people who were doing the job were, and I think that's where we took off from.

It was then decided that the committee would attempt to develop their own replacement for BES. Case files were pulled and studied in an attempt to find common indicators which would help in the development of a classification system. A large list of important factors was narrowed down for consideration. The classification committee attempted to objectify as much as possible the mental processes that probation officers go through in determining considerations such as risk and needs.

The result was an instrument consisting of two primary sets of objective indicators: (1) those related to criminal threat, and (2) those related to social problems or needs. Criminal threat indicators allow the officer to look at current offense and prior record (see Appendix B) in assessing risk of recidivism and dangerousness. However, an officer is not limited to assessment of criminal-history factors in classifying an offender, as was the case with BES. An additional set of social need or problem indicators is included in the

new classification system. Probation officers who designed the classification system belive that one cannot separate risk from needs; by focusing upon the needs of a client, officers are also considering (and indirectly influencing) the risk of that client recidivating or failing to comply with the obligations of his parole or probation. By focusing only upon the risk of criminal activity, on the other hand, one is essentially treating the effect rather than the cause. The new system allows the officer to focus on the problems which could lead to future offenses. For example, if an offender is arrested for stealing to support a drug habit, an officer could recommend participation in a drug rehabilitation program so that the need for continued criminal activity would be removed.

In April of 1978, the Eastern California District U. S. Probation and Parole Office officially began using the new Caseload Classification System. This changeover was fully supported by administrators in the office. They allowed the committee to be set up, and provided them with the necessary time to fulfill their new duties. Training sessions were also arranged for both the Sacramento and Fresno offices to better guarantee a smooth transition to the new system.

Screening Process

The screening personnel who use the Caseload Classification System are the probation officers. Most of the information used in making the assessment is contained within the pre-sentence report and earlier investigations available to the probation officer. Approximately 95% of the information required for the assessment is in the pre-sentence report. For the average case, the collection of information requires approximately 12 to 14 hours, which is distributed over a four to five week period. Once this information is available, an assessment by an officer can usually be performed in about 15 minutes.

The officer first assesses the current offense. Offense categories are based upon whether the crime was a violent offense involving weapons, whether it was a property crime or an offense against a person, whether organized crime was involved, and whether the offense involved alcohol or drugs. This current offense assessment provides the officer with a preliminary picture of the offender and what type of threat he might present.

The officer then assesses the client according to criminal history. Categorizing prior convictions and arrests according to the risk involved (again, whether they involved weapons and violence against persons) provides clues to the client's social character. Number, type, and length of incarcerations provide additional data about the extensiveness of the client's prior criminal behavior. The officer then assesses case problems which may exist, including such factors as employment, education, living arrangements, drug or alcohol usage, financial conditions, health, attitude, and peer association. If positive, these factors could greatly add to the rehabilitative and reintegrative chances of the client. However, if negative, they could seriously affect any future success on probation and create conditions for possible recidivism.

Officers consider all items before making their judgment. By first addressing the problem of risk, they conclude whether the client actually poses such a threat. If threat is a possibility, they then keep such in mind while assessing special problems or needs of the client from the social-problem section of the Objective Indicators Chart (see Appendix B). Officers then classify the client into a level of classification as explained in the "Instrument" section of this report.

Officers next devise a specific case plan to deal with these factors. They possess a full range of alternatives for dealing with specific threat and problems, including therapeutic counseling, employment programs, increased supervision, and surveillance.

Clients are initially classified into one of the three levels, and may later be reclassified upward or downward. In this approach, a maximum case could be reclassified downward as "threat" and social problems decrease, while in other cases, a client who has just lost a job or who is having family problems may be reclassified upwards. The classification system thus provides probation officers with an accurate management tool which helps them budget supervision time and effect supervisory changes to accommodate the changing needs of their clients.

Results and Impact

It is too soon to assess the overall impact of the new Caseload Classification System. The Sacramento Probation and Parole Office hopes that the

new instrument will focus supervison where it is needed, and thus reduce re-cidivism. The approach, in other words, will not change the overall amount of supervision conducted within the office, but rather redistribute it to stress supervision of those defendants who present higher risks or increased needs.

The probation officers interviewed felt that by focusing upon case needs, contact rates might increase, but this is yet to be confirmed. The impact of the instrument upon other agencies, however, should be significant as a result of increased emphasis upon rehabilitation. The classification system will depend more and more on community resources, such as drug and alcohol treat-ment programs, vocational training and job placement, and community resident treatment facilities. The impact of the new system on recidivism, however, is harder to predict. Probation officers feel that revocation rates might actually increase because of the closer contact with each high risk/needs case.

Employing the new Caseload Classification System provides a number of benefits over the use of Base Expectancy Scales. Probation officers inter-viewed provided us with a number of comparisons. In describing the Base Expectancy Scale they stated that:

● It does allow for a great degree of subjective interpreta-tion, but

● It is highly discriminatory against students, housewives, and those relying upon seasonal employment,

● It is outdated. First arrest for auto theft, while a good pre-dictor for subsequent criminal activity during the 1950's, might no longer be an appropriate category,

● It appears to be very seriously affected by the problem of inter-rater reliability. How one views the social world and defines the categories within the BES can vary greatly from officer to officer,

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● It primarily focuses upon past criminal history in identifying risk and classifying an offender. It thus might not accurately represent the present risk potential of an offender who is with-out an extensive criminal history. Conversely, it might over-classify an offender who has demonstrated his rehabilitation, but who has an extensive criminal history.

The Caseload Classification System, on the other hand, provides:

● Guidelines for the officer to evaluate both risk and case prob-lems or needs. By using the objective indicator tables, the of-ficer is able to consider the most important factors in both of these areas.

● Subjective evaluation of objective indicators whereby an officer can still classify a case as minimum, medium, or maximum based on the definition of these categories and the priorities in-dicated.

● The power for an officer to decide his case plan according to the priorities presented by the individual case.

● Classification as only a generalized identification of case priorities. The method for dealing with these priorities is left to the officer, based on his own personal strengths, re-sources, and attitudes for matching methods with particular prob-lems.

● An alternative to contact requirements. Contact rates and types of contacts are not established per se by the classifica-tion system, but are set forth by the officer in the case plan to deal with the issue of threat, and social problems or needs.

● The officer with an opportunity to rely on his own creativity, ingenuity, and imagination in devising methods for dealing with case problems.

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Expanding the discretionary powers of probation officers allows them to better classify a case and allocate services and contacts. This in turn enables the Eastern California office to provide probation officers with an opportunity to classify cases according to their view of the specific risk and needs of a case. This approach also makes the individual officer fully accountable for the fulfillment of his duties.

The only foreseeable problem surrounding the new Caseload Classification System is its impact upon other agencies in the jurisdiction. Such a shift in emphasis from supervision alone to rehabilitation and provison of services raises the obvious problem of matching services to offender needs and problems, although this is not a problem in metropolitan areas. If the U. S. Probation and Parole Offices were to move to a similar system, a district survey of available resources and economic restraints upon their use would be necessary. Moreover, if services are unavailable for a specific need within the district, how would an officer provide these services to his or her client? If the client is seen as a low threat of recidivating, even though he/she is in need of specific services, provision of these services might be neglected, or the identification of the needs and problems might not be performed in the depth required by the case. This is a problem which faces any agency utilizing such a needs assessment approach and is only overcome by conscientious training, professionalism, and total knowledge of resources and alternatives.

S C O R I N G   F O R M

Characteristic

A. Arrest-free period of five or more consecutive years. 12 _____

B. No history of opiate usage. 9 _____

C. Few jail commitments. (None, one, or two) 8 _____

D. Not checks, forgery, or burglary. (Most recent Court commitment offense.) 7 _____

E. No family criminal record. 6 _____

F. No alcohol involvement. 6 _____

G. Not first arrested for Auto Theft. 5 _____

H. Twelve months steady employment within one year prior to arraignment for present offense. 6 _____

I. Four to eleven months steady employment prior to arraignment for present offense. (If given 6 points for Item H, add also 4 points for this item.) 4 _____

J. No aliases. 5 _____

K. Favorable living arrangement. 4 _____

L. Few prior arrests (None, one, or two). 4 _____

Sum of Points -76 _____

SCALE FOR POTENTIAL ADJUSTMENT

-C-	-B-	-A-
0-36	37-56	57-76

I. CRIMINAL (THREAT)

    A. Present Offense:

        1. _____   _____
        2. Violence/Weapons
        3. Drugs/Alcohol
        4. Organized Crime
        5. Person/Property   _____

    B. Prior Record:

        1. Number of Arrests
        2. Number of Convictions   _____
        3. Number of crimes against persons
              (including self)
        4. Number of crimes against property   _____
        5. Number of offenses involving weapons
        6. Number of offenses involving violence   _____
        7. Number of drug related offenses
        8. Number of alcohol related offenses
        9. Number of prior jail incarcerations
       10. Number of prior prison incarcerations
       11. Longest period of incarceration
       12. Longest period between offenses
       13. Amount of time since last offense
       14. Number of probation/parole grants

II. SOCIAL (PROBLEMS OR NEEDS)   Satisfactory   Poor

        1. Employment
        2. Education
        3. Living arrangement
        4. Domestic
        5. Financial
        6. Mental/Emotional
        7. Drugs
        8. Alcohol
        9. Peer Association
       10. Health
       11. Attitude
       12. _____
       13. _____
       14. _____
       15. _____

SITE VISIT REPORT

DECISION POINT: PROBATION AND PAROLE SUPERVISION

PROBATION PROGRAM

KANE COUNTY, ILLINOIS DIAGNOSTIC CENTER

SITE VISIT: June 27 - 29, 1978

INTERVIEWER: Garry Kemp

CONTACT PERSON: Robert Mueller
                 Director
                 Kane County Diagnostic Center
                 (312) 232-9006

Introduction

This site visit report focuses on the research efforts of the Kane County Diagnostic Center in Geneva, Illinois. The Kane County Center is aimed at developing a prediction model which will assess the likelihood of a defendant being a good risk, and the level of field supervision that should be imposed (once sentenced to probation). This risk assessment activity, though similar to other research efforts in its use of multiple regression techniques to select prediction and criterion variables, is slightly different since it examines probabilities of both offender success and failure. Most risk assessment instruments used in the probation field to assign levels of supervision employ techniques solely to gauge the probability of future offender recidivism. On the other hand, the model being developed in Kane County, referred to as a probation equation, assumes that prediction of failure can be accurately assessed only if success factors are also taken into account.

Upon learning of the approach being used in Kane County, NRAS staff thought it advisable to talk in more depth with Kane County staff. We scheduled this site visit (June, 1978) to document the research approach being used, despite the fact that the probation equation was not scheduled for implementation until August, 1978. This decision was based on a desire to communicate as many risk assessment/classification techniques as possible to the field and to supplement state-of-the-art knowledge in this area. Since our site visit, however, we have learned that the original probation equation was abandoned, and a new revised equation was implemented in its place in October, 1978. Details on this revised equation are given in the "Implementation" section of this site report.

Overview

As mentioned in the introduction, the Kane County Diagnostic Center is engaged in a research project to test the predictive utility of a "probation equation." The Center is assuming the responsibility for the preparation of pre-sentence investigation reports in their judicial circuit, and the probation equation will aid them in deciding whether or not probation is a viable sentencing option. In addition, if the judge decides to sentence a defendant to probation, the equation will establish the level of field supervision required.

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The development of the initial probation equation was an informal research endeavor on the part of Kane County staff. As such, very little local attention was drawn to its development. This situation, however, changed in August, 1978 when the Law Enforcement Assistance Administration (LEAA) decided to provide a substantial amount of funding for a three year test period.

Organizationally, the Diagnostic Center is part of the 16th Judicial Circuit of Illinois and ultimately accountable to the Chief (presiding) Judge. Figure 1 shows the current organizational structure within which the Center is located. This construct can be contrasted with the revised structure (Figure 2) which will come into existence in response to the LEAA grant to the center.

The Diagnostic Center is headed by Mr. Robert Mueller, the successor to Dr. Robin Ford. Dr. Ford, who previously held the position, was one of the primary authors of the probation equation. Mr. Mueller's staff is composed of a small group of persons with training in psychology, including four psychologists (M.A.), one psychologist (B.A.), a volunteer coordinator, a research psychologist (M.A.), one "tracker" for information verification, an office manager, a data clerk, and two stenographers. This group includes the staff being recruited as part of the probation equation experiment. The educational qualifications of the Diagnostic Center staff are illustrated in Figure 3.

Funding for the Diagnostic Center has traditionally been supplied by the three counties which make up the 16th Judicial Circuit (Kane, DeKalb, and Kendall). This will be altered dramatically for the next three years as LEAA will provide about $200,000 a year for a three year period.

The Diagnostic Center, by virtue of its location within the court structure, interacts mostly with agencies that utilize their diagnostic abilities. Perhaps due to the 16th district's rural location, most of the agencies co-exist with the Center in the Division of Court Services. The two agencies which interact most frequently with the Center are the Community Corrections Office and Adult Field Services (Probation). The introduction of the probation equation project will add some probation officers and shift the PSI function to the Diagnostic Center. This should tighten the relationship between the Center and the Probation Department, and increase contact between the Center and the courts.

As mentioned briefly above, the Diagnostic Center is located in a relatively rural area of Illinois about 40 miles west of Chicago. It is composed of numerous small communities in a river valley, the largest city being Aurora (78,000 pop.).

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Figure 1

Current 16th Circuit Adult Court Services Table of Organization

```
                        ┌─────────────────┐
                        │    DIRECTOR     │
                        │ COURT SERVICES  │
                        └─────────────────┘
              ┌───────────────────┼───────────────────────┐
    ┌──────────────────┐ ┌──────────────────────┐ ┌──────────────────┐
    │     Director     │ │      Director        │ │    Director      │
    │   Kane County    │ │ Community Correctional│ │     Adult        │
    │ Diagnostic Center│ │      Services        │ │   Probation      │
    └──────────────────┘ └──────────────────────┘ └──────────────────┘
```

Psychologist	Screening	Job Counseling	Intake	Probation
Psychologist	Supervisor	Supervisor	Supervisor	Supervisor
Volunteer Coord.				
Clinical Intern	Screener - A	Job Counselor - A	Intake Off.	Field Officer - A
Public Policy Intern	Screener - E	Job Counselor - E	Intake Off.	Field Officer - A
	Screener - B	Job Counselor - B	Intake Off.	Field Officer - E
				Field Officer - E
				Field Officer - B

A = Aurora Court Services Office

E = Elgin Court Services Office

B - Balance of County, including jail

Figure 2
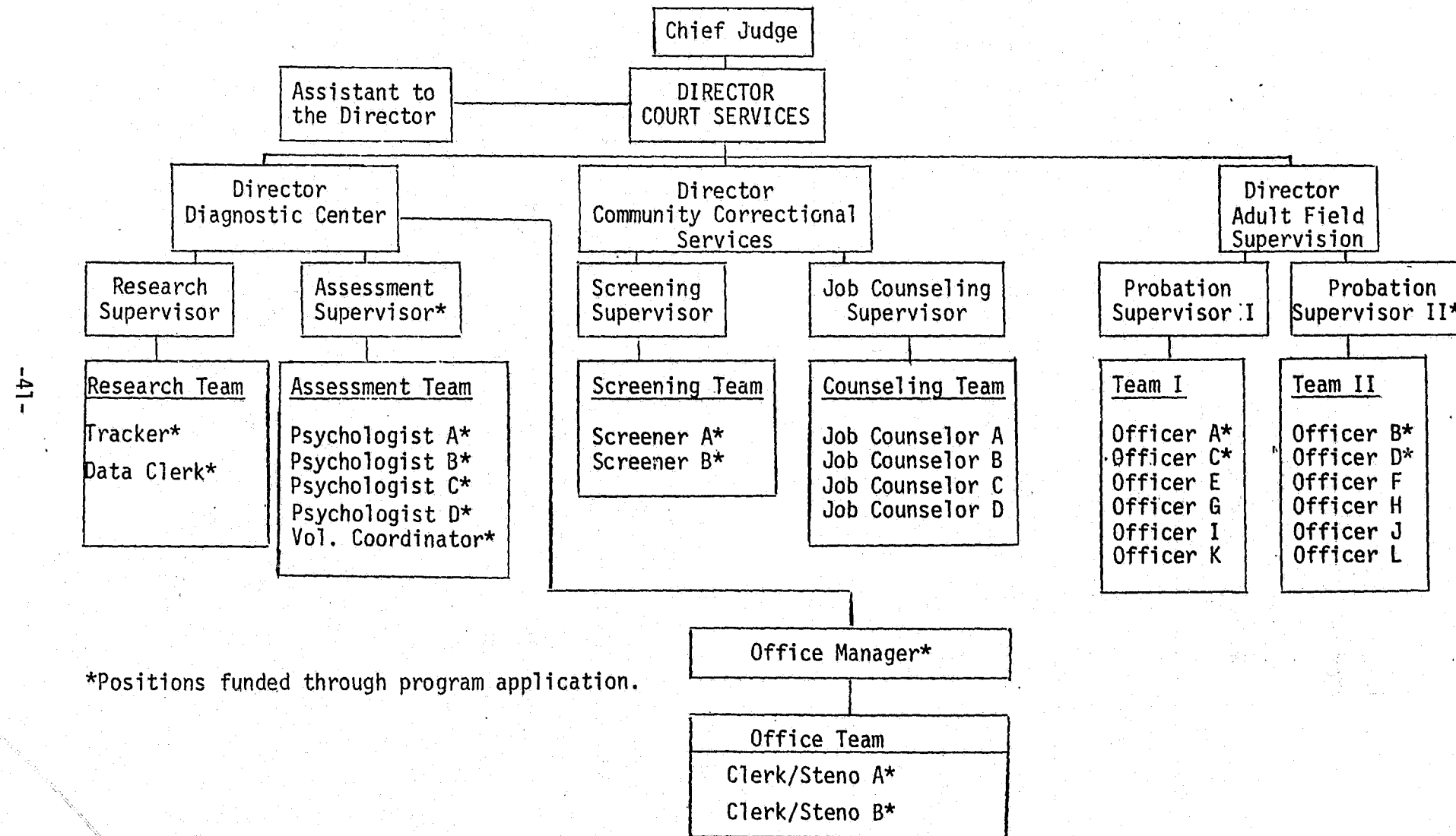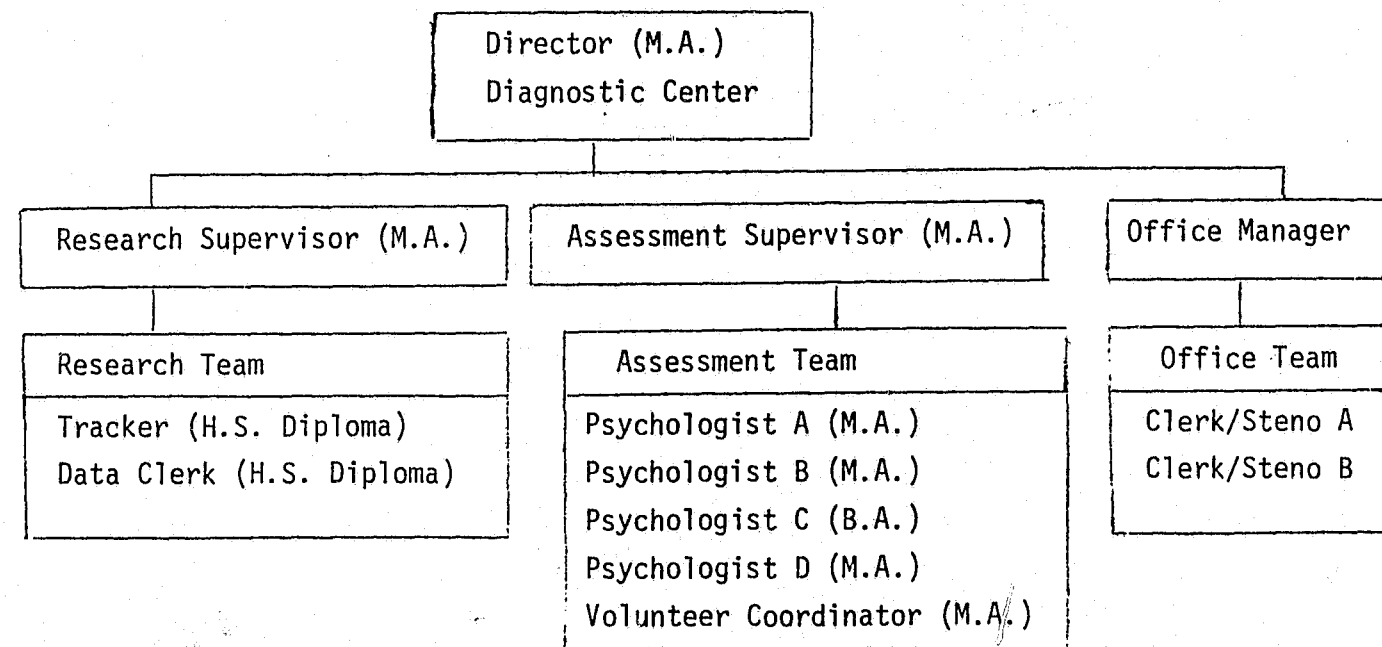## Revised 16th Circuit Court Services Table of Organization

```
                              ┌──────────────┐
                              │ Chief Judge  │
                              └──────┬───────┘
        ┌──────────────┐      ┌──────┴───────┐
        │ Assistant to │──────│  DIRECTOR    │
        │ the Director │      │COURT SERVICES│
        └──────────────┘      └──────┬───────┘
```

Director Diagnostic Center		Director Community Correctional Services		Director Adult Field Supervision	
Research Supervisor	Assessment Supervisor*	Screening Supervisor	Job Counseling Supervisor	Probation Supervisor I	Probation Supervisor II*
<u>Research Team</u>	<u>Assessment Team</u>	<u>Screening Team</u>	<u>Counseling Team</u>	<u>Team I</u>	<u>Team II</u>
Tracker*	Psychologist A*	Screener A*	Job Counselor A	Officer A*	Officer B*
Data Clerk*	Psychologist B*	Screener B*	Job Counselor B	Officer C*	Officer D*
	Psychologist C*		Job Counselor C	Officer E	Officer F
	Psychologist D*		Job Counselor D	Officer G	Officer H
	Vol. Coordinator*			Officer I	Officer J
				Officer K	Officer L

Office Manager*
Office Team
Clerk/Steno A*
Clerk/Steno B*

*Positions funded through program application.

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Figure 3
Kane County Diagnostic Center
Staff Educational Levels

```
                    ┌─────────────────────┐
                    │ Director (M.A.)     │
                    │ Diagnostic Center   │
                    └─────────────────────┘
       ┌──────────────────────┼──────────────────────┐
┌──────────────────────┐ ┌──────────────────────────┐ ┌─────────────────┐
│ Research Supervisor  │ │ Assessment Supervisor     │ │ Office Manager  │
│ (M.A.)               │ │ (M.A.)                    │ │                 │
└──────────────────────┘ └──────────────────────────┘ └─────────────────┘
┌──────────────────────┐ ┌──────────────────────────┐ ┌─────────────────┐
│ Research Team        │ │ Assessment Team          │ │ Office Team     │
│                      │ │                          │ │                 │
│ Tracker (H.S.Diploma)│ │ Psychologist A (M.A.)    │ │ Clerk/Steno A   │
│ Data Clerk (H.S.     │ │ Psychologist B (M.A.)    │ │ Clerk/Steno B   │
│ Diploma)             │ │ Psychologist C (B.A.)    │ │                 │
│                      │ │ Psychologist D (M.A.)    │ │                 │
│                      │ │ Volunteer Coordinator    │ │                 │
│                      │ │ (M.A.)                   │ │                 │
└──────────────────────┘ └──────────────────────────┘ └─────────────────┘
```
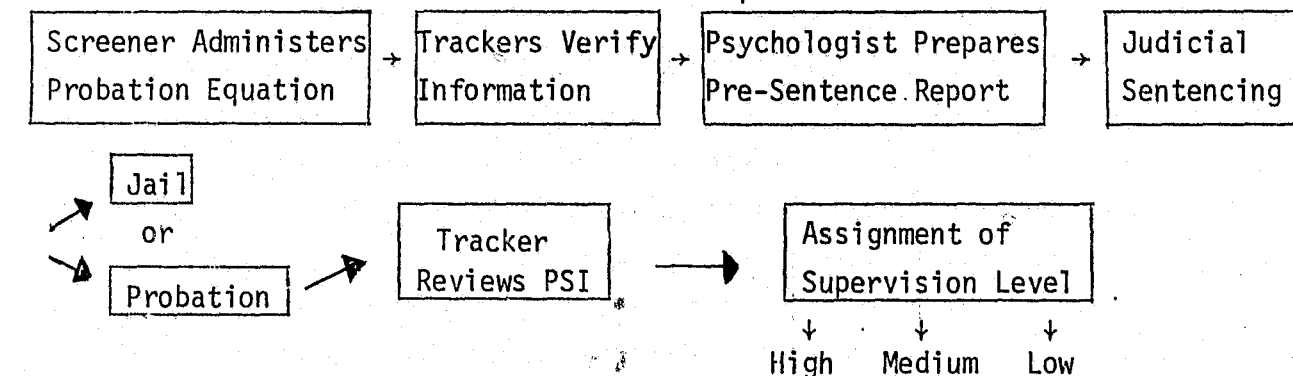
During the course of the probation equation project, all risk screenings will be completed in conjunction with the preparation of the pre-sentence report. The projected 1978-79 caseload is based on 1976 data where 600 PSI's were completed during the fiscal year. The PSI volume should increase to about 1,000 annually once the probation equation is implemented because the Illinois legislature has passed a bill which requires judges to state reasons for their sentencing decisions. Naturally, the more documentation a judge has for a particular decision, the easier it will be to state concrete reasons.

There are two possible risk assessment decisions that could be made with the probation equation. One would be an "in - out" decision to either incarcerate or to place an offender on probation. The second decision would be to establish a level of field supervision for the client if sentenced to probation. However, because the Chief Judge is resistant to making the probation equation results a part of the PSI, the equation will only be used to decide the level of supervision for each person sentenced to probation.

The supervision categories to be used are the traditional high, medium,

and low designations. It is expected that about 10-15% of the persons screened will receive high supervision, 25-37.5% will receive medium, and 50-62.5% will receive a minimum classification. The flow chart in Figure 4 will clarify the screening procedure and the agency personnel to be involved.

Figure 4
Screening Procedure

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┌─────────────────┐   ┌──────────────┐   ┌──────────────────┐   ┌───────────┐
│Screener         │ → │Trackers      │ → │Psychologist      │ → │Judicial   │
│Administers      │   │Verify        │   │Prepares          │   │Sentencing │
│Probation        │   │Information   │   │Pre-Sentence      │   │           │
│Equation         │   │              │   │Report            │   │           │
└─────────────────┘   └──────────────┘   └──────────────────┘   └───────────┘

          ┌──────┐
       ↗  │ Jail │
          │  or  │            ┌──────────┐       ┌──────────────┐
       ↘  │Proba-│  ─────→    │ Tracker  │ ───→  │Assignment of │
          │tion  │            │ Reviews  │       │Supervision   │
          └──────┘            │ PSI      │       │Level         │
                              └──────────┘       └──────────────┘
                                                   ↓     ↓     ↓
                                                 High Medium Low
```

As charted in Figure 4, the risk screening process begins with a very short face-to-face intake interview between the offender and a screener from the community correctional services division. This interview consists of filling out the probation equation form based on information offered by the offender. Once this information is compiled, the tracker from the research team in the Diagnostic Center will verify through official documents, employers, etc., all of the criteria used in the probation equation. After the verification of information, the tracker will then make changes in the information for the equation where needed, and submit the results to a psychologist for the preparation of the pre-sentence report. The psychologist who conducts a series of different types of psychological tests (MMPI, Rorschach, etc.) will assemble these results and submit the PSI report to the court.

Based on the PSI and his/her own judgment, the judge will then sentence the offender. If an offender is sentenced to probation, the tracker will review the PSI and assign a level of field supervision based strictly on the probation equation score generated at the time of screening.

Research and Development of the Instrument

The creation of the first "probation equation" developed by the Kane County Diagnostic Center was based on the research efforts of Dr. Robin Ford, former director of the Diagnostic Center, and Shelley Johnson, a supervisor in the Community Correctional Services Division. This research was initiated in December of 1976 as part of the normal staff duties of Dr. Ford and Ms. Johnson.

In developing this probation equation, the Kane County staff first experimented with two scales--the California Base Expectancy Scale (BES) (61-B and 65-E) type, and the Environmental Deprivation Scale (EDS) which was originally developed for use in Alabama. These two instruments were originally tested in the GAO Probation Study conducted a few years ago. The first step in the research process was to draw a random sample of 100 cases from the case files of the 16th Judicial District and test the GAO recommended instruments. The results were very disappointing because these instruments did not predict very accurately. At this point, the research staff decided to reject the criteria used by the BES and EDS and develop new variables.

As a result, they examined approximately 180 different background variables on a second random sample of 100 offenders. After spending a considerable amount of time and effort correlating demographic variables, research staff constructed a model based on the six variables that were clearly related to probation success and failure. A canned SPSS program employing a multiple regression method of analysis was used to compute correlations and to identify the variables most closely related to outcome. Once the correlations were completed, continuous variables were split into rough thirds and simple linear equivalents were assigned as scores. The variables and weights of the initial probation equation were assigned as follows:

Table 1
Initial Variables and Weights

Variable	Weight
Highest School Grade	Grades 3-9 = 1; 10-11 = 2; 12+ = 3
Annual Income	0 - $800 = 1; $801 - $4500 = 2; $4501 + = 3
Number of Dependents	None = 1; 1 - 7 = 2
Prior Incarceration	Yes = 1; No = 2
Marital Status	Never Married = 1; Ever Married = 2
Economically Disadvantaged*	Yes = 1; No = 2

* = Probationers whose family income fell below the federal poverty guidelines for the prior year.

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Based on the above weighting procedure, cut-off scores were developed in conjunction with the proposed level of field supervision. These scores were grouped as follows:

Table 2
Cut-off Scores

Supervision level	Range of scores
High	6-8
Medium	9-11
Low	12-14

Following the completion of the construction sample, still another random sample of 100 cases was selected to validate the six criteria. The same analytical technique (multiple regression) was used, and the findings were fundamentally the same as in the first sample. As a result, no changes were made in the variables to be employed, the weighting procedures, or the "cut-off" scores of the initial equation.

It should be noted here again that the Ford/Johnson probation equation looks at probability of both success and failure. The equation predicted seven out of eight failures in the samples above (87%) with one false negative. Similarly, the equation predicted 17 out of 19 (89%) successes with two false positives. The predictive accuracy of the instrument seems very high according to the figures listed above, but the researchers were only able to account for 25% of the variance. This leaves 75% of the variance unexplained, a factor which may have undermined the predictive validity of this instrument as the sample size increased.

Implementation

In any event, the LEAA grant was awarded in August, and a new sample was drawn in September to again test the predictive accuracy of the equation. This new evaluative sample demonstrated, however, that the Ford/Johnson equation "did not continue to predict level of risk adequately,"[1] and it was abandoned. Researchers, headed by Alan R. Ahasic, immediately set to work to develop a new probation equation. A test sample of 128 adult probationers (64 failure/rearrests and 64 successful/non-arrests) was drawn for a test period running from January, 1976 to April, 1978. Depending on the date of

1. Robert Mueller, Director of Kane County Diagnostic Center, personal communication (January 11, 1979).

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each probationer's release, the period of probation varied from 6 to 33 months. After coding selected demographic variables, researchers ran a stepwise multiple regression analysis. Those variables that demonstrated relationships with success or failure on probation were then selected for use in the equation. The resulting risk equation yields an overall score when the weights applied to each of the variables in the equation are totalled. The researchers then established cut-off scores for the three traditional levels of probation.

Although the inclusion of a copy of the new probation equation at this point would help to elucidate the new instrument and its variables, Mr. Mueller (Director of the Center) requested that we not publish the equation for the following reason:

> The Kane County Diagnostic Center decided not to publish the specific variables in the risk equation and their coding scheme at this time, since general knowledge of this information may invalidate the control group used in this research. Fifty percent of the subjects are assigned to a control group in which some of the subjects are assigned a level of supervision that is either higher or lower than their actual level of risk. If the probation officers, through knowledge of the risk variables, could determine which subjects were assigned a level of supervision different than their level of risk, they may respond to these clients in terms of their level of risk rather than the assigned level of supervision.[2]

By the end of September, the development of the new instrument was complete, and its predictive accuracy had been tested and confirmed. Consequently, this new probation equation was implemented for use as of October 1, 1978. Since the new instrument has only been in use for a short time, no preliminary results or impact are available as yet. But validation studies on the instrument will be conducted at intervals of six months during the entire term of the LEAA grant. The developers of the instrument believe that "through a series of adjustments to the instrument at each validation, an equation with high validity and reliability should emerge."[3]

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2. Robert Mueller, personal communication (January 12, 1978).

3. Quoted from research report "A Risk Assessment Instrument for 16th Judicial Circuit Court Services, Kane County, Illinois"; Alan R. Ahasic, Research and Development Supervisor; page 4.

The Diagnostic Center defines risk as the threat of re-arrest or conviction (except for traffic offenses). The thrust of this risk definition is concerned mostly with general recidivism. The Center does not feel that they can accurately predict violence. This risk definition was arrived at primarily through the evaluation of the probation field supervision and job placement program used by the 16th Circuit. This definition assumes that the employed ex-offender is less likely to recidivate, a concept researchers feel is particularly valid in their area of Illinois. This emphasis on success is an attempt to improve the risk prediction process by taking into account factors that are positively correlated with stable employment, and could be considered in conjunction with the traditional concerns of probation failure while on field supervision. In accordance with these concerns selection of criterion or predictor variables, weighting procedures, and "cut-offs" were based on the correlations and the distribution of the continuous variables.

Subsequent to the construction of the probation equation, a legal review was completed by the Chief Judge of the 16th Judicial Circuit. At the time of that review, the judge did not find any problem with the use of the equation by probation offices. The judge did, however, object to the use of the equation for the purpose of arriving at a sentencing recommendation because he felt that overt use of the equation by the bench would be interpreted as an infringement on judicial discretion.

The funding for the development and implementation of the new probation equation will be provided by LEAA over the next three years. Funds will be based on two 18 month grants, providing about $300,000 for each period. The county, as is usually the case, will have to match 10%. Prior to the receipt of the LEAA grant, the county underwent a 2 year start-up cycle, using only regular funding for the research. These costs were based primarily on personnel costs and did not amount to more than the time of Dr. Ford, Ms. Johnson, and several clerks for interspersed periods.

When Dr. Ford and Ms. Johnson constructed the first probation equation, they introduced it to probation officers to get their reactions. At first the officers were resistant, believing that its adoption would mean a reduction in staff. Officers also disliked the substitution of a mechanical process for their experienced judgment. However, after the equation was explained and they realized that it would result in increased staff, all resistance seems to have dissipated.

Screening and Decision Processes

Three groups of individuals at the Diagnostic Center are involved in the screening process. The first staff grouping is composed of two "screens" who conduct face-to-face interviews with each convicted defendant prior to the preparation of the pre-sentence investigation report. All information recorded at this stage is either self-reported from the defendant or is taken directly from official records. The second group consists of a "tracker" who takes the information compiled by the "screeners" and tries to verify all facts with official documents or trustworthy persons in the community. Once the information has been gathered and verified, one of the psychologists (the last staff group) writes the pre-sentence investigation report. This report is based primarily on the results of psychological testing, interviewing, and background checks. If the defendant is sentenced to probation, then the probation equation score is used as the basis for assigning a level of supervision.

The information which is required to fill out the probation equation consists of mostly demographic variables, such as education level, family income, number of dependents, etc. This information is verified, as mentioned above, by official documents whenever possible. For example, high school transcripts would be requested to determine the highest grade completed, and a tax return may be requested to determine income level. Mr. Mueller believes that the equation demands good quality data, and that strict guidelines for verification are the best way to ensure this.

In some jurisdictions, agency staff have involved the defendant extensively in the risk assessment process by asking formal permission to conduct the screening. This, however, is not the plan in Kane County. The only involvement that is planned at this time, other than the self-reporting of information, is a review and appeal process that will take place once a level of supervision has been assigned. The review will be made primarily by the defendant's attorney and may result in an appeal by the defense if the decision is believed to be based on inaccurate information.

The results of the probation equation as a means of establishing the level of field supervision are meant to be used at face value. Whereas some

jurisdictions permit a good deal of subjective decision making to override instrument scores, Kane County officials do not intend to let this occur very often. They feel that numerous overrides would be an indication that the predictive value of the instrument is questionable.

Commentary

The Kane County Probation equation is different from other instruments used to establish the level of supervision in its emphasis on factors associated with success. For example, the program has been coupled with an employment program in the county in an effort to decrease the number of persons who "fail" simply because they are unemployed (thus leading to future criminal acts). If the Kane County program is as good as its developers expect, it may lead to more research in risk instrument development.

SITE VISIT REPORT

DECISION POINT: PROBATION AND PAROLE SUPERVISION

PROBATION AND PAROLE
SUPERVISION LEVELS

PHILADELPHIA COUNTY PROBATION DEPARTMENT

SITE VISIT: May 30 and June 1, 1978

INTERVIEWERS: Peggy Smith, Ph.D.
               Garry Kemp

CONTACT PERSON: Nancy Berk
                 Research Supervisor
                 Research, Planning, and Training Unit
                 Tele: (215) 686-7472

Overview

The Philadelphia Probation Department utilizes a modified version of the California Base Expectancy Scale (BES) primarily to screen probationers for assignment to various levels of supervision. The screening process is explained later in this report, while the following describes the setting in which the CBE is used.

Under the Probation and Parole Act of 1909 (as amended), judges have legislative authority to grant probation. The Philadelphia Probation Department is directly accountable to the presiding judge of the Philadelphia Court of Common Pleas and supervises adult probationers. Figure 1 delineates the judicial organization and lines of authority. It also shows that the State Supreme Court is the ultimate judicial ruling body in Pennsylvania. Under the Common Pleas Court (the highest trial division), there is a Municipal Court Division which handles lesser civil actions, misdemeanor trials, and pretrial hearings for felonies. The Common Pleas Court handles the more serious civil claims, felony trials, and de novo hearings from Municipal Court. The Court of Common Pleas Division contains three judicial divisions (orphans' court, general trial division, and family court) and an Office of Court Administration, within which the Probation Department is located.

Figure 2 illustrates the organizational structure of the Probation Department. With the assistance of the Deputy Chief Probation Officer, the Chief Probation Officer (CPO) heads the unit. Under the CPO there are seven subdivisions: (1) Research, Planning, and Training Division, (2) Diversion Services, (3) Administrative Services, (4) Special Services, (5) Field Services, (6) Presentence Investigating Services, and (7) Probation Police Prison Liaison Division. The Research, Planning, and Training Unit was the primary contact for the site visit. However, Field Services and Special Services were the units that primarily used classification instruments. Both units play a role in establishing supervision levels for probationers.

The Philadelphia Probation Department employs a total of 267 employees who are classified into nine professional employment categories, including probation officers, officer trainees, and technicians. In addition, there

Figure 1
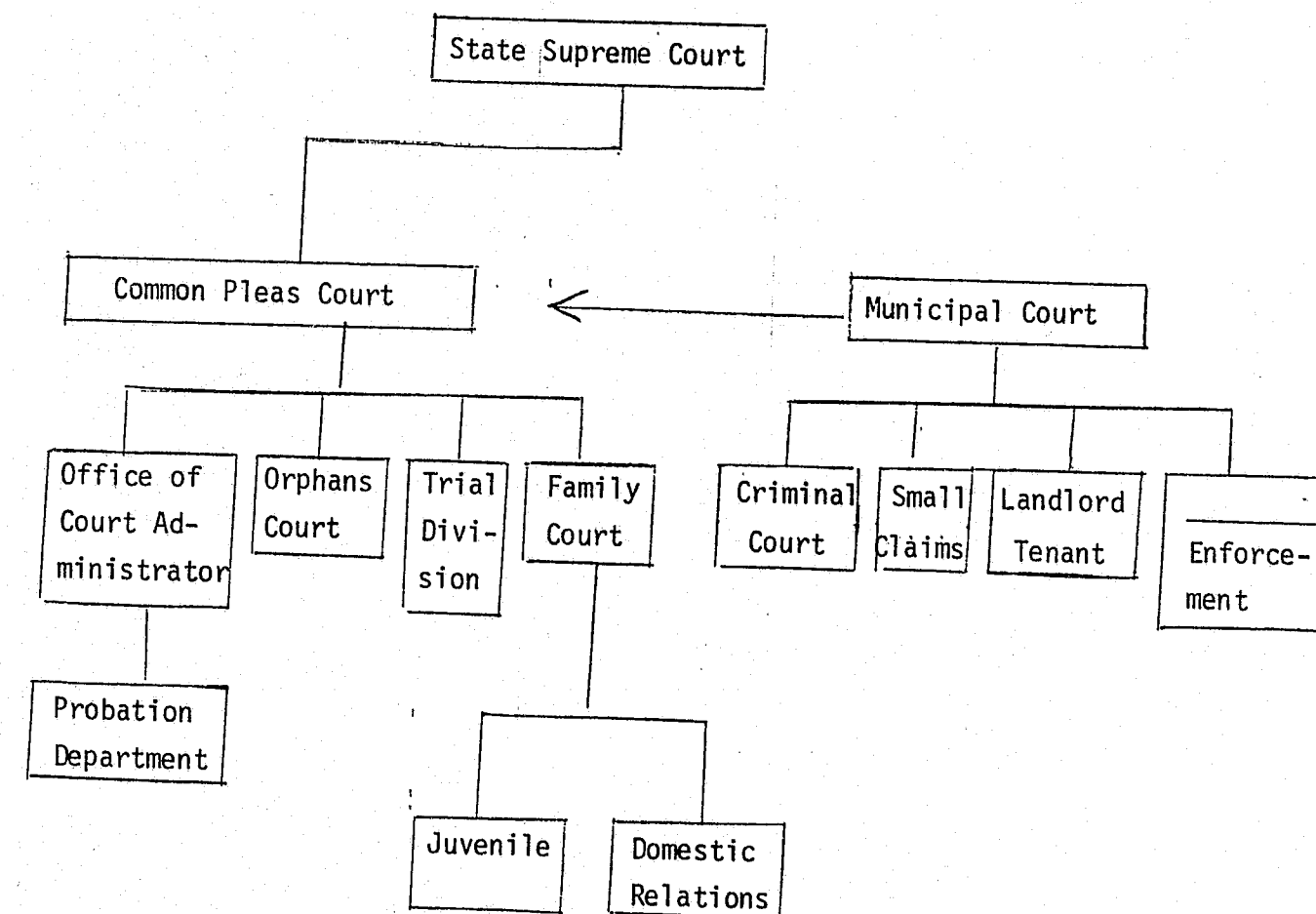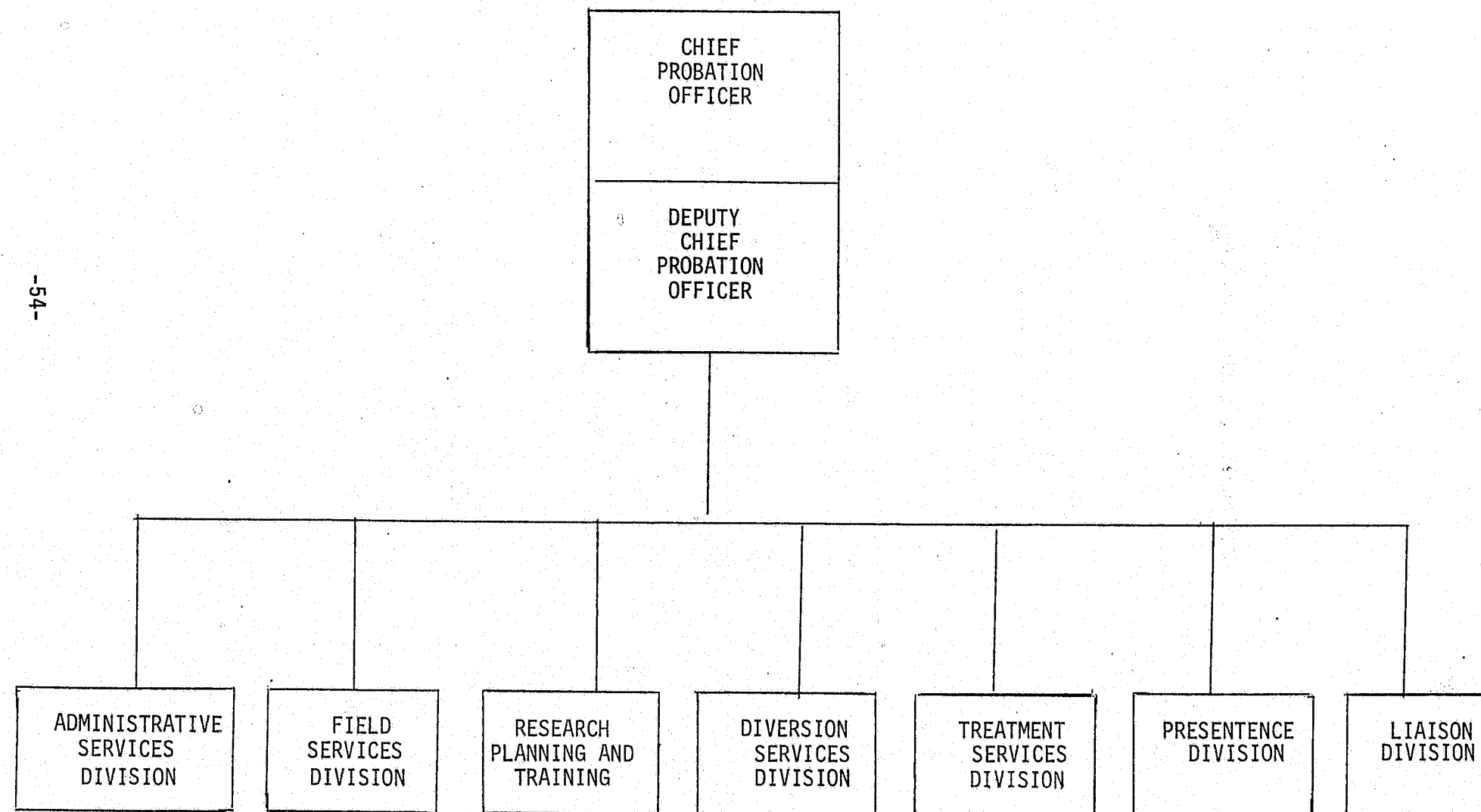Philadelphia County Judicial Organization

Figure 2

ADULT PROBATION DEPARTMENT

-54-

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                    ┌─────────────────┐
                    │     CHIEF       │
                    │   PROBATION     │
                    │    OFFICER      │
                    ├─────────────────┤
                    │     DEPUTY      │
                    │     CHIEF       │
                    │   PROBATION     │
                    │    OFFICER      │
                    └─────────────────┘
                             │
    ┌──────────┬─────────┬───────┴──┬──────────┬──────────┬──────────┐
┌───────────┐┌────────┐┌──────────┐┌─────────┐┌─────────┐┌──────────┐┌─────────┐
│ADMINISTRA-││ FIELD  ││ RESEARCH ││DIVERSION││TREATMENT││PRESENTENCE││ LIAISON │
│   TIVE    ││SERVICES││PLANNING  ││SERVICES ││SERVICES ││ DIVISION  ││DIVISION │
│ SERVICES  ││DIVISION││AND       ││DIVISION ││DIVISION ││           ││         │
│ DIVISION  ││        ││TRAINING  ││         ││         ││           ││         │
└───────────┘└────────┘└──────────┘└─────────┘└─────────┘└──────────┘└─────────┘
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| ADMINISTRATIVE SERVICES DIVISION | FIELD SERVICES DIVISION | RESEARCH PLANNING AND TRAINING | DIVERSION SERVICES DIVISION | TREATMENT SERVICES DIVISION | PRESENTENCE DIVISION | LIAISON DIVISION |

are 146 other employees of various non-professional employment classi-
fications.

The geographic area under the jurisdiction of the Philadelphia Pro-
bation Department includes both the city and county of Philadelphia, Penn-
sylvania, which have the same boundaries. The 1970 census reported the
population of this area to be about 1.95 million people, concentrated in an
all urban area on the border of New Jersey. The ethnic distribution is
caucasians 66%, blacks 34%. The following table shows the crime rates for
Philadelphia in 1975:

TABLE 1

PHILADELPHIA CRIME INDEX

(SMSA estimated population of 4.93 million people)

			Rate Per 100,000 Population
Total crime index	=	211,633	4,289.8
Violent crime	=	25,097	508.7
Property crime	=	186,536	3,781.1

These figures compare to the nationwide average as follows:

TABLE 2

NATIONAL CRIME INDEX

	Rate per 100,000 population	
	Philadelphia	U. S. as a Whole
Total crime index	4,289.8	5,281.7
Violent crime	508.7	481.5
Property crime	3,781.1	4,800.2

Table 2 shows that Philadelphia has an overall lower crime rate than the
U. S. as a whole (-18.8%) even though violent crime is slightly higher
(+5.4%). The property crime rate, however, is substantially lower (-21.3%).

The Philadelphia Probation Department is responsible for the super-
vision of probationers sentenced by Philadelphia Municipal and Common Pleas
Courts. In addition to probationers, the Department supervises parolees
released from Philadelphia County Prisons. Table 3 below provides a com-
parison of department intakes for 1976 and 1977:

Table 3

Probation Department Intakes for 1976 and 1977

	1976	1977	Amount of Decline	% of Decline
Probationary Intakes	5,973	4,928	1,045	17%
Parolee Intakes	1,615	1,437	178	11%
Total Intakes	7,588	6,365	1,223	16% (total decline)

Within the Field Services Division, a subdivision of Probation (see
Figure 3), 12,000 cases were under supervision as of April 30, 1978. Of new
intakes processed for field services, about 64% are placed on regular field
supervision, about 33% are placed in specialized "administrative" caseloads,
and about 3% in an "experimental" type of caseload. In regular field super-
vision caseloads, probation officers carry fully stratified caseloads (high,
moderate, and minimum risk clients). They may also maintain some minimum risk
clients in an administrative status (low supervision).

The California Base Expectancy Scale (BES) is used to screen offenders
for assignment to various supervision levels. In addition to screening for
level of supervision in the regular field services division, the BES is also
used to screen new intakes for "administrative" caseloads (minimum supervision).
After several years of research and experience validating the BES, it was deter-
mined that a specific group of low risk offenders (based on BES scores) did well
with minimal supervision. (monthly phone reporting or quarterly face-to-face

Figure 3

Field Services Division -- New Intake Processing
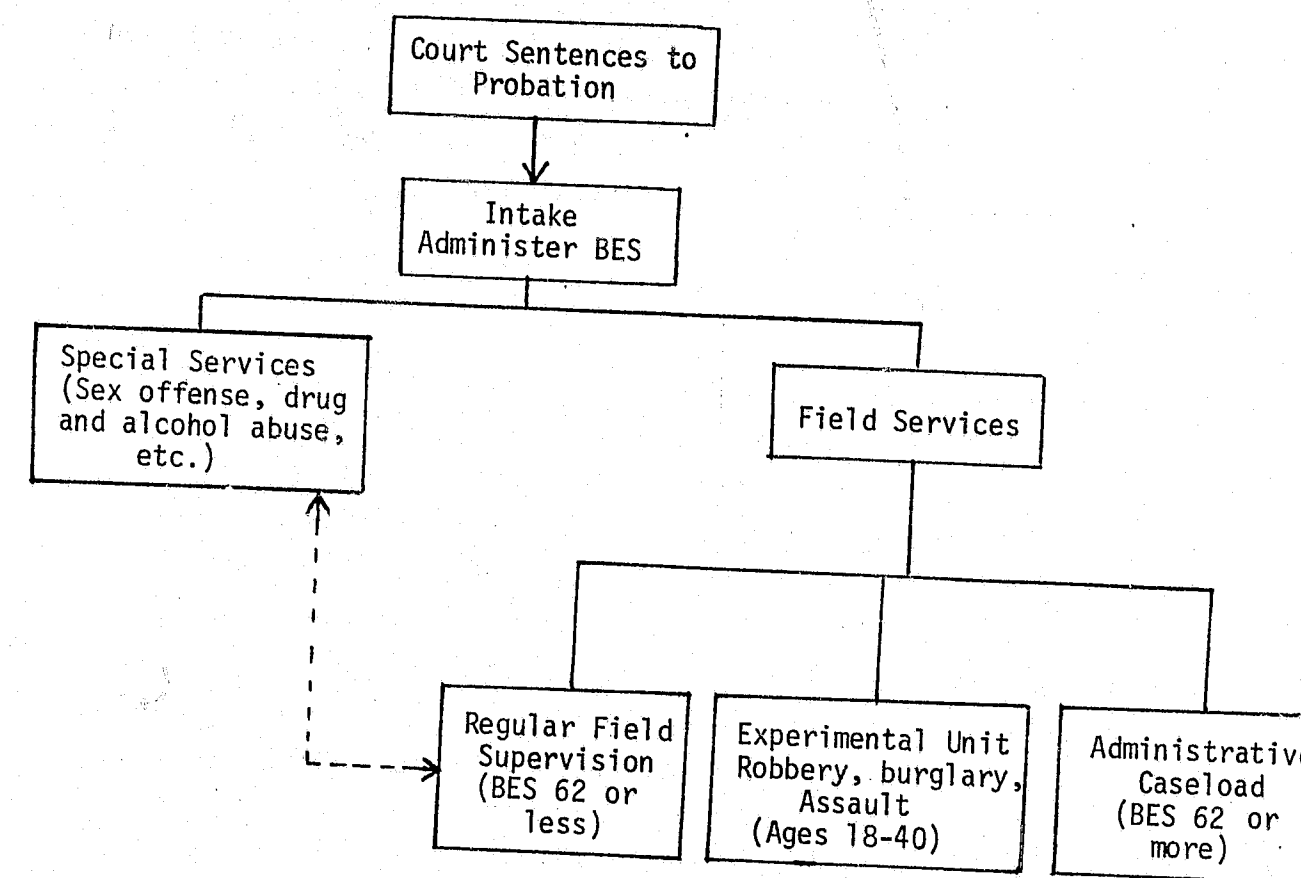
Note: The dotted lines indicate that defendants assigned to Special Services
may be reassigned to Regular Field Supervision. The opposite is also
true: clients assigned to Regular Supervision may be reassigned to
Special Services.

contacts). These low risk clients were assigned to administrative caseloads to determine if they would perform as well under minimum supervision.

The Experimental Unit provides supervision and services to high and moderate risk offenders. A high percentage of this Unit's caseload consists of offenders who have committed robbery, burglary, or assault, but some clients in this unit have committed other crimes. Although most of the Experimental Unit exists within the field services division, Cell C (the component utilizing volunteers and a probation officer/volunteer coordinator) is part of the Special Services Division. This Division provides treatment and/or evaluation for sex offenders and persons with drug, alcohol, or mental health problems.

Instrument and Its Development

In 1972, crowded probation offices, burgeoning caseloads, and a shortage of manpower created considerable pressure for change in the Probation Department. As a result, the Department obtained federal funds and began to experiment with a number of different programs to alleviate the problems. These special programs attempted intensive supervision in addition to alternative treatment strategies in handling certain target groups of offenders. These special programs endeavored to identify the most appropriate kinds of service delivery and supervision for various categories of offenders on the Department's caseload. Many of these programs developed and implemented a risk prediction device to screen clients for appropriate levels of supervision.

The risk assessment instrument currently used is a modified version of the California Base Expectancy Scale 61 B (see Appendices A and B). Historically, another modified version of the original instrument was implemented in 1973, but it was discontinued after a short time because of a general concern in the Department over the appropriateness of two of the variables--race, and arrest of other family members. In addition, line probation officers have historically favored their own clinically based assessments of level of risk over the recommendations of an objective predictive device.

Because of this line opposition, a committee of probation officers began to develop and utilize an alternative to the BES. They met weekly with research staff over a period of nine months, identifying items the probation officers

thought were related to outcomes. Late in 1975, however, local research results showed that the various scales based on probation officer judgment had low predictive validity. Interest in these scales waned as a result.

At about the same time, the findings of the Federal Government Accounting Agency's Office (GAO) for Philadelphia reported a higher validity for the CBE scale. This study reported validation research for a 1975 sample of closed probation cases in Philadelphia. The findings showed that several base expectancy scales, specifically California Forms 61 B and 65 A, were valid for closed probation cases in Philadelphia. The GAO study further recommended the adoption of predictive devices as management tools.

One of the scales which had been validated by GAO for Philadelphia was then adopted with slight modifications. This version, Form 61 B, includes period of time arrest-free, present offense, opiate use, age, aliases, and adult incarcerations. This BES was implemented on a limited basis as part of federally funded special programs in September 1976, and by July 1977, was in use for all new intake cases. Subsequent research has validated the predictive accuracy of this instrument for active cases as well.

Screening and Decision Process

Following sentencing, an intake clerk completes the form based on information contained in the case file, and a brief face-to-face interview. Completion of the form usually takes only two to ten minutes. Six clerk/interviewers and a supervisor are assigned full time to the Intake Unit. They process 500 new cases per month, of which approximately 85% - 90% are completed on the day of sentencing.

After the basic information is collected by the intake clerk, he assigns the client to the appropriate unit and/or probation officer. The clerk takes into account any court imposed supervision stipulations, as well as concurrent supervisions and the BES score. If all the past criminal history information is not available,thereby delaying completion of the BES, the client is assigned to a unit, but not a specific officer. If the person is a sex offender, or drug or alcohol abuser, he or she may be referred to Special Services, regardless of score. If the offender is 18 to 40 years old, has committed robbery, burglary or assault (or some other target crime),

and has no concurrent supervision with the Department, he or she is placed in the Experimental Unit of the Field Services Divison. These two special categories of offenders (those assigned to Special Services or the Experimental Unit) comprise approximately 15% of all new probationers. If the BES score is 62 points or higher, then the offender is tentatively assigned to minimum supervision on an administrative caseload (approximately 35% of the new intakes).

All new clients report to a probation officer, usually within one week of the intake procedure. The officer interviews the offender to obtain more detailed information for clinical assessment, and then verifies the information obtained through telephone calls to collateral contacts.

The client is placed on the administrative caseload with monthly phone reporting if he or she was tentatively screened for administrative caseload (minimum supervision), does not exhibit major problems or major needs for services, and the sentencing judge does not disapprove. The remaining clients-- those not assigned to administrative caseloads, the Experimental Unit, or Special Services--are assigned to regular field services caseloads. For regular caseloads, levels of supervision are determined by the BES score and clinical assessments based upon in-depth initial interviews performed by probation officers.

In about 10% of the cases, the probation officer's subjective assessment conflicts with the BES score. For example, a probation officer may recommend to his supervisor more intensive supervision than the BES score suggests. In most cases, the officer's recommendation is upheld. Feedback is available to probation officers in the form of rearrest data on individual clients.

In Field Services, rescreening is accomplished after the first 90 days by the supervising probation officer who uses information from the criminal extract, personal client interviews, and if available, the presentence investigation report. The latter is usually not available at intial contact, and is only available on 30% of new convictions. This rescreening is done at neighborhood probation offices by 116 different supervising line officers in Philadelphia who perform an average of three new intakes per month.

In the Experimental Unit, intensively supervised cases must make at least four face-to-face contacts per month for at least 90 days. Reassessment is based upon the client's performance during this supervision period, needs assess-

ment, and clinical judgment of the probation officer and the supervisor. The rationale for a 90 day reassessment is grounded on the fact that most repeat offenders will recidivate within this time frame. Conversely, if they remain arrest-free for 90 days, they are less likely to recidivate.

To summarize briefly, 15% of all new intakes are sent either to the Special Services Division or to the Experimental Unit of the Field Services Division. Approximately 35% are assigned to minimum supervision or administrative caseload, and the remaining 50% are assigned to regular caseloads. These latter two operations occur within the Field Services Division.

Results and Impact

Recent monitoring of the administrative caseload has shown that only about 10% of these cases were rearrested within six months. Of these rearrests, only 3.1% were reconvicted with 3.4% presently pending disposition. These figures compare favorably with data presented at an informal seminar indicating that less than 5% of persons placed under minimum supervision in the past were rearrested within four months. Other informal studies have shown 10% rearrested within six months and 5% convicted.

Using the BES as a risk screening device has also effected considerable cost savings. Approximately 35% of new field services intakes now go on minimum supervision immediately, whereas they previously stayed on moderate supervision at least one year. Moreover, by moving low risk offenders to minimum supervision on administrative caseloads, the Department has freed ten positions at a cost savings of $120,000 per year, plus fringe benefits.

Probation Department administrators also perceive the program as psychologically beneficial to line probation officers because it reduces the burdensome aspects of their job. The administrators interviewed believe that risk screening permits more effective casework by introducing varying levels of supervision; in other words, since screening diverts large numbers of minimum supervision clients to administrative caseloads, agents have more opportunity to recognize client needs for services and to concentrate on preventive casework.

However, line officers interviewed expressed considerable concern over using the BES for screening and shifting more clients to minimum supervision, referring to it as a "numbers" game. As stated earlier, probation officers

have traditionally resisted using objective devices instead of their own
clinically oriented judgments which permit professional discretion. The
caseloads of most probation officers have remained high, about 80 clients
per officer. In addition, officers possibly supervise a higher ratio of
high and moderate clients now since low risk clients are frequently assigned
to administrative caseloads. Nevertheless, it is important to recognize
that administrative caseloads were implemented at a time when the number of
probation officers decreased due to financial constraints. Despite the oppo-
sition of line officers to risk screening, without the introduction of admini-
strative caseloads, regular caseloads would be even larger under the same
budget constraints.

During the site visit, probation staff, judges, and the public defender
were asked to identify potential legal ramifications of using such an instru-
ment. None of the persons interviewed could perceive any difficulties, except
that in certain situations the risk assessment score could potentially conflict
with the application of a judge's special condition, such as probation with
maximum supervision. In actual practice, however, whenever any special judi-
cial considerations are stipulated, these conditions are always followed.

Yet in another context, use of risk screening in probation may involve
potential constitutional infringements of the equal protection and due process
guarantees of the Fourth and Fifth Amendments to the United States Constitution.
These infringements could arise if persons screened for supervision were not
assured the legitimate opportunity to benefit from the freedoms and services
offered by the Probation Department. This possibility, however, is mitigated
in Philadelphia because a clerk administers the risk instrument from objective
criminal history records. The objectivity of this process should leave little
room for subjective interpretation based on experience. In addition, it is
difficult to conceive of a probationer or parolee objecting to reduced levels
of supervision. In all cases, new intakes are informed that additional services
are available, if desired.

Commentary

The Philadelphia Probation Department has effectively used risk screening
to implement varying levels of supervision. Thirty-five percent of new field
service intakes have been moved to minimum supervision, thereby effecting

considerable cost savings while achieving low recidivism rates for minimum
supervision clients.

In response to line opposition to the BES, the Department is seeking
alternative instruments to test against it. The Department has recent-
ly implemented the Environmental Deprivation Scale (EDS) on a pilot basis in
the Experimental Unit. The EDS, which is currently in use in Alabama, is
used for needs assessment as well as risk prediction. It is also highly
sensitive to interviewer interpretation and subjective clinical judgments.
It covers 16 variables: employment, income, debts, job participation, job
status, hobbies and avocations, education, residence, church, organizational
ties, friends, relatives, parents, wife or equivalent, children, and fear.
The EDS is used in conjunction with the BES, and later analysis will test
the predictive validity of the two scales in risk assessment.

The Philadelphia Probation Department has successfully achieved its
goal--providing satisfactory levels of supervision in the face of dwindling
resources and decreased staff. Without the use of screening procedures and
varying supervision levels, the caseload size would undoubtedly have increased
significantly in the past several years. Research is continuing to determine
whether or not the provision of increased supervision and services to high
and moderate risk offenders results in a decrease in recidivism.

Name: _____   Date_____

SCORING SHEET - BASE EXPECTANCY

A. POSITIVE FACTORS

All persons get 21 points: Add 21   21____

If arrest free five or more years: Add 16   _____

If present offense not forgery, checks or
  burglary: Add 13   _____

If no history of opiate use: Add 13   _____

Multiply present age times .6   _____

    ADD ALL POSITIVE FACTORS, TOTAL #A =   _____

B. NEGATIVE FACTORS

Multiply 3 times number of aliases   _____

Multiply 5 times number of adult incarcerations   _____

    ADD ALL NEGATIVE FACTORS, TOTAL #B =   _____

    SUBTRACT TOTAL "B" FROM TOTAL "A"

        FINAL SCORE =   * _____

* Type final score on Face Sheet in Census Tract box in the last
space of the Unit column.

DEFINITIONS - BASE EXPECTANCY

ARREST FREE FIVE (5) OR MORE CONSECUTIVE YEARS

If the current arrest is the only arrest, probationer
receives credit for this item. If not the only arrest,
then determine if there is any five year arrest free period
between the first arrest and the current arrest. (Do not
count time confined to a correctional or mental institution.)

PRESENT OFFENSE NOT FORGERY, CHECKS OR BURGLARY

Only the following kinds of offenses should be considered
as forgery, checks, or burglary offenses: forgery of checks,
credit cards, or prescriptions, burglary, or conspiracy to
commit burglary.

NO HISTORY OF OPIATE USE

Check criminal record and, if necessary, then ask
probationer if he has ever used any opiates without prescrip-
tion, even on a casual basis.

The most common opiates are: cocaine, codeine,
demerol, heroine, methadone, morphine and opium.

The following are not opiates: benzedrine, LSD,
marijuana, speed, phenobarb, "Bennies," "Blue Angels,"
"Goof Balls," Red Devils," and "Yellow Jackets."

NUMBER OF ALIASES

Consider only the criminal record. Do not count obvious
nicknames.

NUMBER OF PRIOR KNOWN ADULT INCARCERATIONS

The criminal record may not include a record of all
incarcerations. If a computerized criminal history is attached,
check that as well. Otherwise ask the probationer. The
incarceration must have occurred after the 18th birthday. The
incarceration must have included sentenced time, not merely
a detention in jail for investigation, awaiting trial,
protective custody, or enroute to another destination. Do not
count any jail sentence all of which was suspended.

If two or more sentences were served consecutively, count
only as one incarceration.

SITE VISIT REPORT

DECISION POINT: PROBATION AND PAROLE SUPERVISION

WISCONSIN STATE BUREAU
OF
COMMUNITY CORRECTIONS

CASE CLASSIFICATION/STAFF DEPLOYMENT PROJECT

SITE VISIT: May 15 - 17, 1978

INTERVIEWERS: Peggy Smith, Ph.D.

Garry Kemp

CONTACT PERSON: Chris Baird
Research Director
Case Classification/Staff
Deployment Project
Tele: (608) 266-1409

Overview

Classification procedures were introduced in the Wisconsin Bureau of
Community Corrections in conjunction with a reallocation of staff resources.
In 1973 the Wisconsin Bureau of Probation and Parole (as it was then called)
requested 37 new positions in order to reduce client-agent ratios to 44-1.
The 1973 budget bill passed by the legislature provided the additional posi-
tions, but also mandated that the Bureau "implement" a workload inventory
system and specialized caseloads for probation and parole agents. Therefore,
in order to justify the requested ratio and to improve effectiveness of
service delivery by systematically relating client needs to agent functional
time requirements, the "Case Classification/Staff Deployment Project" was
implemented in early 1974. This project was designed to develop classifica-
tion instruments as well as client needs assessment. The procedures are
used to determine the appropriate level of client supervision, and to indicate
appropriate intervention strategies based on client needs.

The Case Classification/Staff Deployment (CC/SD) project was initially a
federally funded experimental unit within the Wisconsin Division of Corrections,
Bureau of Community Corrections. Its primary responsibility is to improve the
effectiveness of service delivery to state probationers and parolees through a
workload inventory and specialized classifications of clients. The unit has
designed and implemented classification procedures now used on a statewide
basis to assign clients to minimum, medium, and maximum supervision. In
addition, the project has cooperated with clinical services staff within
the department in implementing client needs assessments aimed at improved inter-
vention strategies.

Figure 1 shows the organization of the Department of Health and Social
Services. Under this umbrella department are the Division of Corrections,
the Bureau of Community Corrections (headed by Director Edward Buehler), and
finally, the CC/SD Project. The Project Director of CC/SD, Robert Capener,
supervises a research section headed by Chris Baird and a field section headed
by Sally McBeath. The CC/SD project employs a total of 18 persons. Besides
the CC/SD Project Director (Bob Capener), there are five research staff, eight
probation and parole agents, two half-time paraprofessionals, and four secretary-
typists.

FIGURE 1

ORGANIZATION CHART
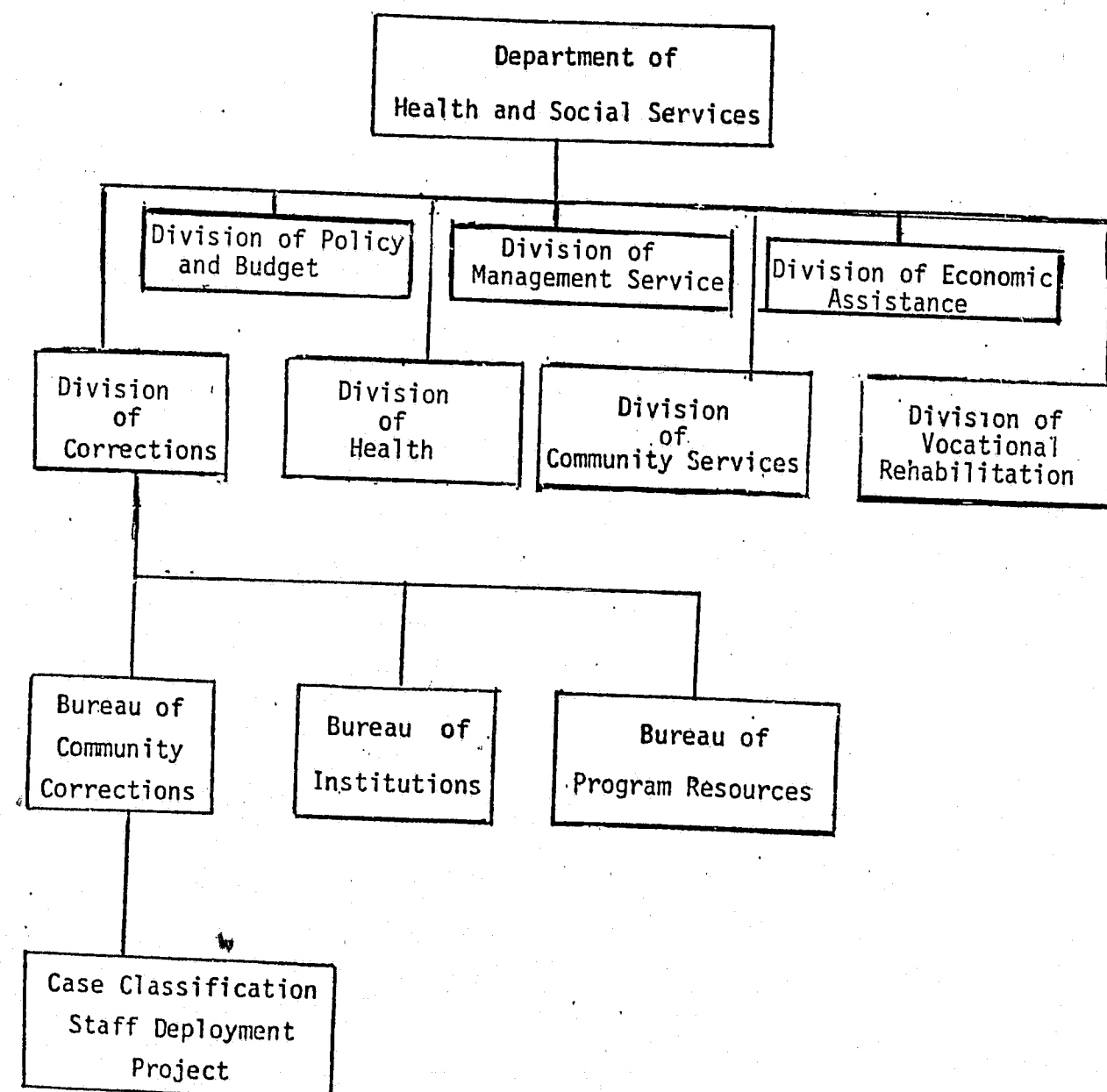
The Bureau of Community Corrections serves the entire State of Wisconsin but the CC/SD project is located and staffed in Madison. According to the 1977 census, the population of the state is slightly over 4.4 million, and is concentrated primarily in urban areas where 65% (2.9 million) of the inhabitants live. Although Wisconsin is primarily a rural state, there are 81.1 persons per square mile on a statewide average. Racially, Wisconsin can be divided into three groups: whites account for 95% of the population; blacks about 3%; and other races, 2%.

The crime rate for the State of Wisconsin in 1975 was as follows:

(Population estimated at 4.6 million)

		Rate Per 100,000 population
Total Crime Index	= 183,157	3,975.6
Violent Crime	= 6,992	151.8
Property Crime	= 176,165	3,823.9

These figures compare to the nationwide average as follows:

	Rate Per 100,000 Population		
	Wisconsin	U.S. as a Whole	% D
Total Crime Index	3,975.6	5,281.7	24.8
Violent Crime	151.8	481.5	69.5
Property Crime	3,823.9	4,800.2	20.4

The above table shows that the Wisconsin crime rate is considerably lower than the national average.

Referrals to the Bureau of Probation and Parole come from two sources: (1) the trial courts, and (2) the parole board when persons are granted parole from a state institution. During 1976, 8,124 new clients were admitted to adult probation status; during the same period, 1,074 persons were paroled (this represents a combination of 968 first releases and 106 re-releases). Probationers make up 86% of the caseload and parolees 14%. Only 16.5% of the correctional population is held in institutions; 83.5% are under field supervision.

Treatment, depending on classification, includes maximum, medium, or minimum supervision. Usually clients are assigned to the highest level of supervision indicated either by their score on a needs scale or their risk score on a classification scale (see Appendices A and B). If circumstances warrant, however, it is possible for an agent to subjectively override the client's score on either scale and recommend to the supervisor that a different supervision level be established (either higher or lower). The supervisor then must decide whether or not to approve the agent's request. Such departures occur in 12% of the cases.

Maximum supervision clients are believed to have a high potential for continued unlawful behavior and/or demonstrate a substantial need for agency services (generally these supervision clients score high on both risk and needs assessments). Maximum supervision clients are seen at least two times a month while medium supervision clients are seen once a month.[1] Minimum supervision clients must be seen once every 90 days. These latter cases can be handled by a mail-in report every 30 days, with home visits as appropriate, and at least one verification of residence and employment before discharge. Approximately 45% of the new cases start in maximum supervision, and all cases are reassessed every six months.

The Instrument and Its Development

The classification scale is found in Appendix A. As indicated above, classification occurs in conjunction with needs assessment (see Appendix B). The classification scale itself has two main dimensions: prior criminal record (including both juvenile and adult offenses), and social factors. Six variables are scored under prior criminal record: age at first conviction, prior probation/parole supervision, revocations, felony convictions, and number and type of prior offenses. Social variables include: address changes, employment, alcohol and drug problems, and attitude. Although there is no formal discretion category, the latter three variables are obviously influenced by subjective assessments. However, agents report that scoring of these variables is made only after several interviews, and that background

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1. A more intensive visiting schedule of four times a month is being experimented with by 20 agents in three regions. Policy regarding minimum visits for those under intensive supervision may change depending on the results of this study.

information is often compiled from pre-sentence reports, probation social evaluation reports, and from collateral contacts who have verified the agent's data. The needs assessment scale used in conjunction with the classification instrument includes eleven variables rated (largely on subjective assessments) by the agent. In addition, a clinical needs form is also completed if the agent believes a clinical referral is advisable.

Chris Baird, CC/SD project research director, developed the classification instrument and associated procedures. He had previously conducted similar research for the state of Illinois and was familiar with classification instruments. The instrument was constructed using variables shown to be statistically associated with risk in a construction sample. The construction sample consisted of 250 randomly selected probation or parole cases during a six to nine month pretest period. These terminated cases were either discharged, closed, or cases in which parole or probation was revoked.[2] Preliminary analysis narrowed the list of potential predictor variables to 22, which were then further refined to the list of ten factors isolated and weighted as shown on the current instrument.

Two items from the original list which proved to be good predictors (response to court or bureau-imposed conditions and use of community resources) were not entered because they are difficult criteria to assess at intake, and classification must be completed within 30 days of reception. Policy considerations also affected the ultimate selection of predictor variables. For example, assaultive offenses were weighted an additional 15 points, thus assuring that any assaultive offender would receive maximum supervision for the first six months. This was done because of the concern that new assaultive offenses represent a higher cost to society than other outcome variables.

Although the factors analyzed explain in total only 58% of the variance in criminal behavior, the research staff concluded that this was sufficient to classify clients into appropriate levels of supervision. Establishing cut-off scores for high, medium, and low levels of supervision "correctly

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2. Details of this research can be found in Project Report #2, "Development of the Wisconsin Risk Assessment Scale," Wisconsin Division of Corrections, Madison, Wisconsin (1976).

placed" 72% of the cases in the appropriate supervision category. In an attempt to improve predictive accuracy, three additional variables were added to the scale: specific offenses, employment status, and drug usage problems. All ten variables comprising the final scale were assigned weights based upon their correlation with outcomes. For example, alcohol usage problems showed a correlation of .421 with outcome (further criminal behavior during period of supervision). These problems were then assigned a weight of +4 for serious problems, 0 for no problems, and the intermediate score of +2 for moderate problems. Actual scores for a client on the total scale range from 0 to 61. Cut-off scores are as follows:

> 7 and below - Minimum
> 8 - 14 - Medium
> 15 and above - Maximum

Since the first six months are critical for successful completion of probation or parole, cut-off scores were established which place 45% of new clients in maximum supervision. Many clients move to lower levels at the first re-evaluation, resulting in the following breakdown for the entire probation and parole population:

> Maximum supervision - 33%
> Medium supervision - 42%
> Minimum supervision - 25%

Cut-off scores were initially established to minimize under-supervision. It was assumed that under-supervision involves considerable risk from the standpoint of both public protection and "system risk" (public resentment). After establishing cut-off scores in the manner described above, it was found that only 5% of the construction sample fell into supervision categories lower than their actual probation/parole outcomes warranted.

Implementation

Funding for CC/SD has been provided through the Wisconsin State Office

of Criminal Justice Planning (LEAA). LEAA funds started in fiscal year 1975-1976 in the amount of $110,400 on a 90-10% match basis. During fiscal year 1976-1977, funding was then increased to $135,361 through the same agency. Finally, for fiscal year 1977-1978, the final year of the grant funding was raised to $141,160. Grant funds were expended almost exclusively for personnel. For fiscal year 1978-1979, the Governor has signed approval for interim funding. Although the exact dollar amount has not yet been approved, the budget request is for $150,000. If permanent funding is not approved after one year, CC/SD will terminate operation, although the system it has developed will continue to be utilized.

As suggested earlier, the instrument was developed in response to a need to provide the state legislature with data which would allow budgeting and staff deployment on a workload, rather than a caseload, basis. The state legislature in early 1973 passed a new budget authorizing an increase in probation/parole staff positions, but refusing to fund these additional positions until a workload inventory and client classification system were implemented which more effectively differentiated client need for supervision and allocated staff resources accordingly. Risk assessment, needs assessment, and other client screening interviews were implemented as a result of this 1973 legislative mandate. The agency's purpose in implementing risk assessment, as well as client needs assessment, was to more effectively deploy staff resources in the supervision of clients and to develop more effective case management strategies. The project staff feel these goals have been realized.

Among the obstacles the CC/SD staff encountered during implementation were the following:

1. Time pressures to quickly construct and implement a scale posed problems. Considerable time elapsed between the passage of the legislative mandate and the hiring of a staff, yet immediate action was expected.

2. Establishing inter-rater reliability was a problem since field agents were not always available to participate in reliability

ratings at the scheduled time. However, such tests have since been completed with excellent results.[3]

3. Weighting and defining predictor variables involved a tedious process of simplifying procedures. Complicated forms would have yielded unreliable information if agents were unable or unwilling to take the scoring process seriously.

4. Some staff resistance was encountered to the new procedures early in the life of the project. Strong top management support and participation by line staff in the implementation process helped eliminate this resistance. Staff now fully support the classification system.

5. Agent variability in scoring was a concern; therefore, precise definitions were incorporated in the forms in order to assist agents in scoring problem cases.

6. Adoption of new forms posed several problems. The research director recognized that any collection of new data must be time-efficient. He therefore devised a set of forms that reduced time spent on paperwork. However, the new forms also required collecting additional information for Offender Based State Corrections Information System (OBSCIS), an information-sharing system. Once the forms were designed, it took nearly a year to secure department approval of them.

7. Some agent resistance to change was encountered, but was reduced by several strategies including the new time-effective paperwork, and tying the client classification system to workload inventories that recommend additional probation staff. Agent fears were reduced by a scoring system that minimizes risk of under-supervision,

3. See Project Report #12, Analysis of the Client Needs Assessment Scale," Wisconsin Division of Corrections, Madison, Wisconsin (1978).

preserves agent discretion, and initially places most new clients in high supervision, thereby reducing supervision only as the client demonstrates successful adjustment to probation or parole.

There have been no legal challenges to the classification (risk assessment) screening. This may be due in part to the fact that Wisconsin made an early effort to conform to the standards of Morrissey vs Brewer. A staff of impartial hearing examiners and a statewide public defender system has also been established to represent all probationers and parolees at revocation proceedings.

Screening and Decision Process

The 385 probation/parole agents in the State screen newly assigned cases for both risk and needs assessment. Agents receive assignments (cases, investigations, etc.) on a workload basis; caseloads therefore vary a great deal. The agent will receive an average of three new clients per month and must complete screening within 30 days. On an agency basis, approximately 1,000 new screenings are performed per month.

Either a pre-sentence investigation, a social history, or an admission investigation is completed for every client admitted to the Wisconsin Division of Corrections. These investigations require about eight to nine hours to complete. While the information gathered does provide a basis for classification, it must be collected regardless of whether or not classification is a part of the system. Completion of the risk and needs assessment scales (classification) requires approximately 10 - 30 minutes. There is no testing component to classification although psychological testing and/or evaluation may be done if the agent feels it is needed for his report to the courts or for case planning purposes.

In order to complete the classification instrument, information is needed on prior criminal record, employment and address changes in the last 12 months, drug and alcohol usage problems, and client attitude. Sources of information include:

1. Self-reports at client interviews. Three to four client interviews may be conducted during screening.

2. Follow-up verification of social background. Collateral contacts may be made with employers, landlords, family, and/or school. Paraprofessional case study aides may also assist in collateral contacts.

3. Criminal background verification through a central crime index, local police department files, and previous probation reports.

4. Auxiliary agency contacts may be utilized to assess emotional stability or psychiatric problems.

Occasionally, information on juvenile records is not available, and the agent must rely on client-supplied information. In Milwaukee, juvenile records are often not accessible; in other regions the agent can usually obtain juvenile records informally. Sometimes an agent might interview a victim or the arresting officer if circumstances of the offense are ambiguous. Agents differed in their method of assessing attitude. Some indicated they assessed cooperativeness at interviews; others indicated they regarded prior record as an indication of attitude.

Agents report that time pressures and caseload volume continually create pressures and reduce the quality of all services. Usually an agent makes his best judgment on the basis of information available when screening assessment is due. The role of the client differs with the working style of the agent. Some agents will fully inform the client of the risk assessment and review the instrument with him; others may simply interview clients without explaining the screening process. At six months, a reassessment of both client needs and risk determines whether a reclassification is warranted. The six months reassessment instrument (Appendix C) weights social adjustment and attitude toward supervision more heavily, while lowering the weighting of prior record. Thus, most clients who are adjusting well to probation or parole are reassigned to a lower level of supervision at six months.

Results and Impact

CC/SD research staff have recently completed research assessing the impact of client classification on client outcomes. A two year follow-up study (see Appendix D) shows that offenses among maximum supervision caseloads were reduced from 40.7% in the control group (diagnosed as high needs and/or high risk) to 20.4% in the experimental group. There was an insignificant decrease in new felony rates from 17.7% to 15.0%.

In the medium supervision category, there were no significant differences in new offenses between the experimental group (19.7%) and the control group (21.1%). No differences were expected in this category since the level of supervision remained constant for these cases. In the minimum supervision category, incidence of new offenses among the experimental group (5.2%) was lower than that of the control group (12.1%). The follow-up data suggest that case classification which concentrates supervision resources on high-risk/high-needs clients, has reduced incidence of "new offenses" among these maximum supervision clients. The differences noted in the minimum supervision category involve too few cases (10) to draw any conclusions at this time.

Additionally, some preliminary evidence is available which indicates that the classification instrument may be an improvement over agents' subjective impressions. In 1976 and 1977 a study was done assessing agents' ability to predict client risk of revocation. That study found little agreement between original agent impression and actual client behavior. In contrast, construction sample results indicate that the classification instruments represent a significant improvement over agents' subjective impressions. Preliminary inter-rater studies indicate that needs scale items (the most subjective of the two scales) average .80.

Risk assessment and needs assessment instruments are being used jointly in workload reclassifications which will ultimately affect caseload size. At the time of review, however, only a small increase was expected as a result of the classification system in the total number of probation/parole positions in the State. By current estimates, Wisconsin will need 430 probation and parole agents in fiscal 1980 to cover the projected workload. Under the caseload formula previously used for budgeting, the Bureau would be allowed to employ 412 agents. Hence, implementation of differential supervision levels and standards would add 18 positions or an increase of 4.4%. No new positions will

be added in the second year of the biennium as a result of the classification system. Actually, the bulk of the expected staff increase is due to anticipated increases in the number of persons on supervision, yet two of Wisconsin's six regions are actually staffed at lower levels than they would have been under the caseload budgeting formula.

Commentary

It appears that risk assessment (in conjunction with needs assessment) has been successfully implemented in Wisconsin as an administrative tool for client classification and workload redistribution. As utilized in Wisconsin, risk assessment (along with other administrative changes) will probably lead to increased staff and increased supervision of clients. At least, risk assessment is consistent with the new director's goal of more intensive casework and reduced caseloads.

During discussions about the predictive accuracy of classification instruments and the possible dangers in using imperfect instruments, staff and administrators viewed the danger of over-supervision as relatively benign but the danger of under-supervision as costly, in terms of both client rehabilitation and threat to society. These concerns resulted in adjusting cut-off scores in the direction of greater rather than less supervision. Of course, other agencies using Wisconsin's procedures would probably establish different cut-off scores if local priorities were different.

There is evidence that the classification process as implemented has reduced the risk of additional misdemeanor arrests among maximum supervision offenders, without increasing the risk of recidivism among low-risk/low-needs clients who receive less supervision. The system is also well received by staff, and it clearly has the support of top management as a useful tool in making decisions about staff deployment and department needs.

The Wisconsin instrument has also been frequently investigated by other agencies interested in formalizing their case classification procedures. In response to these requests, and in order to meet local needs, several research reports have been proposed which describe the system in more detail than is possible here. The interested reader is referred to Mr. Robert Capener (Wisconsin Division of Corrections; Madison, Wisconsin) for copies of the available report.

In general, the Wisconsin system is one of the better researched instruments in the country. The instrument was carefully constructed, and it has been subject to an unusually vigorous refinement process since its implementation.

Client Name _____ Client Number _____
      Last   First   MI

Probation Control Date or
Institution Release Date _____|_____ Agent Last Name _____ Number _____
                Month, Day, Year

Date of Evaluation _____|_____

Select the appropriate answer and enter the associated weight in the score column. Total all scores to arrive at the risk assessment score.

		SCORE
Number of Address Changes in Last 12 Months: . . . . . (Prior to incarceration for parolees)	**0** None **2** One **3** Two or more	___
Percentage of Time Employed in Last 12 Months: . . . . . (Prior to incarceration for parolees)	**0** 60% or more **1** 40% - 59% **2** Under 40% **0** Not applicable	___
Alcohol Usage/Problems: . . . . (Prior to incarceration for parolees)	**0** No apparent problems **2** Moderate problems **4** Serious problems	___
Other Drug Usage/Problems: . . . . (Prior to incarceration for parolees)	**0** No apparent problems **1** Moderate problems **2** Serious problems	___
Attitude:	**0** Motivated to change; receptive to assistance **3** Dependent or unwilling to accept responsibility **5** Rationalizes behavior; negative, not motivated to change	___
Age at First Conviction: . . . . (or Juvenile Adjudication)	**0** 24 or older **2** 20 - 23 **4** 19 or younger	___
Number of Prior Periods of Probation/Parole Supervision: . . . . (Adult or Juvenile)	**0** None **4** One or more	___
Number of Prior Probation/Parole Revocations: . . . . . (Adult or Juvenile)	**0** None **4** One or more	___
Number of Prior Felony Convictions: . . . . (or Juvenile Adjudications)	**0** None **2** One **4** Two or more	___
Convictions or Juvenile Adjudications for: . . . . (Select all applicable and add for score) (Include current offense)	**2** Burglary **2** Theft **2** Auto theft **2** Robbery **3** Worthless checks **3** Forgery	___
Conviction or Juvenile Adjudication for Assaultive Offense: . . . . (An offense which involves the use of a weapon, physical force or the threat of force)	**15** Yes **0** No	___

TOTAL SCORE ___

ASSESSMENT OF CLIENT NEEDS   APPENDIX B

Client Name _____ Client Number _____
                Last   First   MI
Probation Control Date or
Institution Release Date _____ Agent Last Name _____ Number _____
                          Month, Day, Year

Date of Evaluation _____

Select the appropriate answer and enter the associated weight in the score column.
Higher numbers indicate more severe problems. Total all scores.

SCORE

ACADEMIC/VOCATIONAL SKILLS

| High school or -1 above skill level | Adequate skills; 0 able to handle every-day requirements | Low skill level 2 causing minor adjustment problems | Minimal skill level 4 causing serious adjustment problems | ____ |

EMPLOYMENT

| Satisfactory employ--1 ment for one year or longer | Secure employment; no 0 difficulties reported; or homemaker, student or retired | Unsatisfactory 3 employment; or unemployed but has adequate job skills | Unemployed and 6 virtually unemployable; needs training | ____ |

FINANCIAL MANAGEMENT

| Long-standing pattern -1 of self-sufficiency; e.g., good credit rating | No current 0 difficulties | Situational or 3 minor difficulties | Severe difficulties; 5 may include garnishment, bad checks or bankruptcy | ____ |

MARITAL/FAMILY RELATIONSHIPS

| Relationships and -1 support exceptionally strong | Relatively stable 0 relationships | Some disorganization 3 or stress but potential for improvement | Major disorganization 5 or stress | ____ |

COMPANIONS

| Good support and -1 influence | No adverse 0 relationships | Associations with 2 occasional negative results | Associations almost 4 completely negative | ____ |

EMOTIONAL STABILITY

| Exceptionally well -2 adjusted; accepts responsibility for actions | No symptoms of emo-0 tional instability; appropriate emotional responses | Symptoms limit but 4 do not prohibit adequate functioning; e.g., excessive anxiety | Symptoms prohibit 7 adequate functioning; e.g., lashes out or retreats into self | ____ |

ALCOHOL USAGE

| | No interference 0 with functioning | Occasional abuse; 3 some disruption of functioning | Frequent abuse; 6 serious disruption; needs treatment | ____ |

OTHER DRUG USAGE

| | No interference 0 with functioning | Occasional substance 3 abuse; some disruption of functioning | Frequent substance 5 abuse; serious disruption; needs treatment | ____ |

MENTAL ABILITY

| | Able to function 0 independently | Some need for assis-3 tance; potential for adequate adjustment | Deficiencies severely 6 limit independent functioning | ____ |

HEALTH

| | Sound physical 0 health; seldom ill | Handicap or illness 1 interferes with functioning on a recurring basis | Serious handicap 2 or chronic illness; needs frequent medical care | ____ |

SEXUAL BEHAVIOR

| | No apparent 0 dysfunction | Real or perceived 3 situational or minor problems | Real or perceived 5 chronic or severe problems | ____ |

AGENT'S IMPRESSION OF CLIENT'S NEEDS

| -1 Minimum | 0 Low | 3 Medium | 5 Maximum | ____ |

Use the reverse side to list any special circumstances which should influence the level of supervision.   TOTAL ____

(SIX MONTHS REASSESSMENT FORM)   APPENDIX C

Client Name _____ Client Number _____
                Last   First   MI
Date of Reevaluation _____ Agent Last Name _____ Number _____
                     Month, Day, Year

Select the appropriate answer and enter the associated weight in the score column. Total all scores to arrive at the risk reassessment score.

SCORE

| Number of Address Changes in Last 12 Months: . . | 0 None 2 One 3 Two or more | ____ |

| Age at First Conviction: (or Juvenile Adjudication) . . . . | 0 24 or older 1 20 - 23 2 19 or younger | ____ |

| Number of Probation/Parole Revocations: . . . (Adult or Juvenile) | 0 None 2 One or more | ____ |

| Number of Prior Felony Convictions: (or Juvenile Adjudications) | 0 None 1 One 3 Two or more | ____ |

| Convictions or Juvenile Adjudications for: . . . (Select all applicable and add for score) | 1 Burglary 1 Theft 1 Auto theft 1 Robbery 2 Worthless checks 2 Forgery | ____ |

RATE THE FOLLOWING BASED ON PERIOD OF SUPERVISION ONLY:

| Percentage of Time Employed While Under Supervision: | 0 60% or more 1 40% - 59% 2 Under 40% 0 Not applicable | ____ |

| Alcohol Usage/Problems: . . . . | 0 No apparent problems 2 Moderate problems 5 Serious problems | ____ |

| Other Drug Usage/Problems: . . . . . | 0 No apparent problems 1 Moderate problems 3 Serious problems | ____ |

| Problems in Inter-Personal Relationships: . . . (Current Living Situation) | 0 None 1 Few 3 Moderate 5 Severe | ____ |

| Social Identification: . . . . | 0 Mainly with positive individuals 3 Mainly with delinquent individuals | ____ |

| Response to Court or Bureau-Imposed Conditions: | 0 No problems of consequence 3 Moderate compliance problems 5 Has been unwilling to comply | ____ |

| Use of Community Resources: . . . . . | 0 Not needed 0 Productively utilized 2 Needed but not available 3 Utilized but not beneficial 4 Available but rejected | ____ |

TOTAL SCORE ____

CONTINUED

1 OF 2

EXPERIMENTAL/COMPARISON GROUP
TWO YEAR FOLLOW-UP STUDY

Assessed Criminal Behavior:	MAXIMUM N=113		MEDIUM N=71		MINIMUM N=58	
	COMPARISON	EXPERIMENTAL	COMPARISON	EXPERIMENTAL	COMPARISON	EXPERIMENTAL
Any New Offense	46 (40.7%)	23 (20.4%)	15 (21.1%)	14 (19.7%)	7 (12.1%)	3 (5.2%)
Most Serious Reported:						
Felony (Total)	20 (17.7%)	17 (15.0%)	1 (1.4%)	1 (1.4%)	0 (0.0%)	0 (0.0%)
Assaultive Felony	10 (8.8%)	6 (5.3%)	0 (0.0%)	1 (1.4%)	0 (0.0%)	0 (0.0%)
Non-Assaultive Felony	10 (8.8%)	11 (9.7%)	1 (1.4%)	0 (0.0%)	0 (0.0%)	0 (0.0%)
Misdemeanor	26 (23.0%)	6 (5.3%)	14 (19.7%)	13 (18.3%)	7 (12.1%)	3 (5.2%)
Any Absconsions Reported During Supervision	14 (12.4%)	9 (7.9%)	1 (1.4%)	4 (5.6%)	4 (6.9%)	3 (5.2%)
Any Arrests Reported	51 (45.1%)	25 (22.1%)	15 (21.1%)	15 (21.1%)	8 (13.8%)	3 (5.2%)
Any Rules Violations Reported	43 (38.0%)	34 (30.0%)	13 (18.3%)	14 (19.7%)	3 (5.2%)	4 (6.9%)
Revoked	23 (20.4%)	12 (10.6%)	3 (4.2%)	4 (5.6%)	3 (5.2%)	4 (6.9%)

TELEPHONE INTERVIEW SUMMARY

AGENCY: Alameda County Probation Dept.   TYPE INSTRUMENT: Supervision Level
                                                           Classification Form
LOCATION: Oakland, California   CONTACT: Larry Walker
                                                   Director Adult Division
DECISION POINT: Probation and Parole   (415) 874-7585
                Supervision

The Alameda County Probation Department uses a "Supervision Level Classi-
fication Form" to help classify about 800 felons and misdemeanants per month
for level of supervision while on probation or parole. The form consists of
a fixed set of weighted criteria that generate a single, overall socre. The
classification form is designed to measure risk of recidivism and harm to
others, as well as a subjective factor labeled "amenability."

At one time, the Department used the Jessness Inventory as an aid in de-
ciding level of supervision. Its use was discontinued, however, due to the
relatively high cost of its administration and interpretation. The present
Supervision Form was developed after a review of similar devices in other
agencies. Its factors and weights were determined subjectively by a committee
created for that purpose and have remained unchanged since implementation.

A probation officer completes the instrument according to a written set
of guidelines. After applying weights to the factors (criteria) on the form,
an overall risk score is obtained which forms the basis for the supervision
level decision. A degree of discretion is allowed officers in scoring. The
recommendation of the classification tool is overruled in about 10% of the
cases, usually due to special circumstances such as an offender with special
needs. No special expertise is considered necessary to administer or inter-
pret the form, which requires about ten minutes to fill out; cost is approxi-
mately $8.00 per screening. Offenders are not made aware of the classifica-
tion procedure or its results.

The effectiveness of the device is being studied by compiling data on
revocations and rearrests of those classified as low risks. This type of re-
search, however, is confounded by the fact that those assumed to be low risks
are not supervised as closely. In spite of this, preliminary results show
that those classified as low risks have fewer revocations and rearrests even
though they receive minimum supervision. The agency also reports that use of
the instrument has resulted in more clients being assigned to minimum supervision

caseloads. Although some of those who use the instrument complain that it is insensitive to important factors, most of those who are involved with the instrument are positive about the procedure. The instrument was not submitted for legal review prior to its implementation.

At the time of publication, a copy of this classification instrument was not available.

AGENCY: Marin County Probation Dept.   TYPE INSTRUMENT: Case Classifica-
                                                         tion Form
LOCATION: San Rafael, California   CONTACT: Donald Olson
                                                 Director of Adult Services
DECISION POINT: Probation/Parole   (415) 479-1100
                Supervision

The Marin County Probation Department employs a base-expectancy type scale, the Case Classification Form, in determining the appropriate level of probation supervision for approximately 100 adult felons and misdemeanants each month. The Classification Form consists of a risk prediction scale (BE61A), a weighted system for classifying the seriousness of past criminal behavior, and an amenability score determined on the basis of the client's stated attitude. An overall score is derived by combining the rating for all three elements, and level of supervision is then determined according to the total points achieved.

The Classification Form, the first of its kind to be used by the Department, was developed to better allocate Department resources, that is, to give the most supervision attention to those clients most likely to recidivate. One aspect of the instrument, the BE61A scale, was borrowed directly from the State of California; the other two elements were created intuitively by the local Department. Since its implementation, the only modification made in the device was a change in the points for type of past criminal behavior.

The three components of the classification device are completed by a probation officer according to written guidelines using information obtained through official records and a personal interview. Discretion is allowed in scoring individual items. Officers using the instrument receive brief, formal training in its use, but extensive training or technical expertise is not required. The total score is overruled in about 5% of the cases, usually due to extenuating circumstances not covered by the device such as short-lived crises which require temporary maximum supervision. Filling out and scoring the instrument takes about two minutes and costs approximately $8.00 per screening. Clients are not aware that their case is being classified, nor are they formally told of the supervision decision.

The instrument has not been formally evaluated to assess its impact on caseloads or Department operation. Yet experience with the instrument has left the impression with agency personnel that the Department's case distri-

bution is now more realistic. They believe fewer individuals are receiving maximum supervision, and many more are receiving supervision more appropriate to their needs. Staff also feel that the instrument has provided a common vocabulary which has helped to increase decision consistency. All of those who use the instrument are positive about the procedure; no complaints have been registered regarding the instrument or the classification process. The instrument was not submitted for legal review prior to its implementation.

ADULT SERVICES DIVISION
Case Classification

	HIGH	MEDIUM	LOW
CRIMINAL BEHAVIOR Most serious type which there is <u>some</u> likelihood defendant will commit (consider overall criminal behavior, not just present offense)	-Serious physical harm or threat (particularly w/weapons) -Drunk driving w/physical harm or threat or accident -High property loss (generally over $2,000) -High cumulative property loss -Lewd behavior w/children -Large scale drug dealing -Opiate addiction 6	-Moderate physical harm or threat -Moderate property loss (generally felonies under $2,000 or repetitive misdemeanors) -Possession of weapons -Occasional use of opiates or physical/psychological addiction to other drugs -Drunk driving w/no accidents or violence 4	-No physical harm or threat -Minor property loss (generally misdemeanors under $200) -Nuisance offenses -Routine traffic offenses -Non-support -Victimless offenses (include non-addictive drugs without other illegal activity) 2
RISK To obtain score, add: 11 - for all persons ____ 19 - if no more than 2 prior arrests (based on adult info if juvenile record unknown) ____ 15 - if not arrested for 5 yrs previously ____ 14 - if no known prior jail sentence ____ 8 - if offense was not check fraud or burglary ____ 0.6- times age of offender ____ BASE EXPECTANCE SCORE ____	BES 41.2 and below 6	BES 41.3 - 80.6 4	BES 80.7 and above 2
AMENABILITY Based on demonstrated attitude <u>NOT</u> a guess as to how sincere.	Cooperative 3	Questionable 2	Uncooperative 1

MARIN COUNTY CALIFORNIA PROBATION DEPT.

(Probation/Parole Supervision Instrument)

TOTAL SCORE: 12-15 = MAXIMUM SUPERVISION (A)
8-11 = MEDIUM SUPERVISION (B)
5-7 = MINIMUM SUPERVISION (C)

AGENCY: Monterey County Probation Dept.   TYPE INSTRUMENT: GNPR Base Expect-
ancy Scale
LOCATION: Monterey, California   CONTACT: Marvin Bohnstedt, Ph.D.
American Justice Institute
DECISION POINT: Probation and Parole   (916) 444-3096
Supervision

The Monterey County Probation Department uses a classification instrument
entitled the "GNPR Base Expectancy Scale" to determine level of probation super-
vision. The GNPR generates a single, overall score upon which the supervision
decision is based. The classification tool is used to screen approximately
160 adult felons and misdemeanants each month mainly for risk of recidivism
while on probation.

A base expectancy measure developed by the California Youth Authority
(CYA) was used previously in the department, but it was discontinued because
of a general feeling among probation officers that it was cumbersome, confusing,
and open to a great deal of subjectivity. Although a few of the variables on
the GNPR scale were adapted from the CYA instrument, the currently used instru-
ment was principally developed on-site through the intuitive selection of pos-
sible prediction variables. These variables were then tested on closed cases
by a multiple regression analysis. Since implementation of the GNPR scale,
the major change has been in the delivery of field services. Staff now util-
ize the "Community Resources Management Team" concept which focuses on linking
the offender with community resources, rather than the traditional one-to-one
caseload approach.

The classification device is filled out by a probation officer according
to a written set of guidelines at the time the court report is completed.
Nine items on the scale are scored for each client and then totalled to pro-
vide an overall score. Officers who complete the form are given two brief,
formal training sessions, but no special expertise is required to score or
use the instrument. A degree of discretion is allowed in scoring some varia-
bles. The only exclusions to screening are drug diversion cases. Each screen-
ing costs about $8.00 and requires about ten minutes. Offenders are not aware
that a classification is being made and are not officially informed of the
results in their case. The point score can be overruled for cause, but this
rarely happens (less than 1% of the cases).

The courts are aware of the classification system and that the GNPR level
(or score) is available to any sentencing judge upon request. Classification
scores are not themselves included in pre-sentence reports, but they are con-
sidered while preparing an evaluation.

An evaluative report prepared in June of 1978 stated that although con-
clusions were tentative, the GNPR scale appeared to be a good indicator of a
probationer's future success or failure while under supervision. There have
been changes in the caseload since implementation of the instrument with more
individuals receiving minimum supervision. However, factors other than the
classification system could account for these changes (e.g., changes in admin-
istration policy). Those who use the scale have no complaints with either the
instrument or the classification procedure. Agency administrators and those
in other criminal justice agencies who are familiar with the instrument are
also positive about the procedure. The instrument was not submitted for legal
review prior to its implementation, nor were legal concerns directly considered
in its development.

TALLY SHEET
GNPR BASE EXPECTANCY SCALE

		No Prior Record 1	Misdemeanor 2	Felony 3
1. Prior Record	I	1.17	2.34	3.51
	II	-.53	-1.06	-1.59

		Yes 1	No 2	
2. Family Criminality	I	-.81	-1.62	
	II	-.44	-.88	

		Yes 1	No 2	
3. Previous Parole or Probation	I	-.62	-1.24	
	II	-.86	-1.72	

		Yes 1	No 2	
4. Six Months or More on One Job	I	.11	.22	
	II	1.29	2.58	

		Yes 1	No 2	
5. Assaultive Behavior	I	-.36	-.72	
	II	-1.01	-2.02	

		1-5 Yrs. 1	7-8 Yrs. 2	9-12 Yrs. 3	College 4
6. Education Level	I	.30	.60	.90	1.20
	II	-.12	-.24	-.36	-.48

		0 0	1	2	3	4	5+
7. Arrest Free Period (In Years)	I	0	.02	.04	.06	.08	.10
	II	0	.30	.60	.90	1.20	1.50

		Yes 1	No 2	
8. History of Marijuana	I	-.38	-.76	
	II	.03	.06	

		Yes 1	No 2	
9. Alcohol Involved in Present Offense	I	.11	.22	
	II	.76	1.52	

(4-26-74)

GNPR BASE EXPECTANCY SCALE
SCORE SHEET

	I	II
1 Prior Record		
2 Family Criminality		
3 Previous Parole or Probation		
4 Six Months or More on Job		
5 Assaultive Behavior		
6 Education Level		
7 Arrest Free Period		
8 History of Marijuana		
9 Alcohol Involved In Offense		
Constant	-.15	1.64
Totals		

INITIAL CLASSIFICATION   DATE:_____   SERVICE LEVEL:

    Level I   ( )   Level I   ( )

    Level II   ( )   Level II   ( )

    Level III   ( )   Level III   ( )

RECLASSIFICATION: DATE:_____   SERVICE LEVEL:

    Level I   ( )   Level I   ( )

    Level II   ( )   Level II   ( )

    Level III   ( )   Level III   ( )

(4-26-74)

AGENCY: Santa Clara County Adult
         Probation Department
LOCATION: San Jose, California

DECISION POINT: Probation and Parole
                 Supervision

TYPE INSTRUMENT: Case Classifica-
                  tion Form
CONTACT: Gerry Gruwell
          Supervising Probation
          Officer II
          (408) 299-3694

The Santa Clara County Adult Probation Department employs a point system entitled the "Case Classification Form" (CCF) in making the level of probation supervision decision. The classification instrument generates a single, overall score that mainly assesses risk of recidivism while on probation. The CCF consists of four weighted variables, plus a "subjective" category which allows the probation officer completing the form to add or subtract one point from the total score at his discretion; this change of plus or minus one point is sufficient in most cases to raise or lower the classification of the defendant. The form is used to screen (classify) approximately 450 adult felons and misdemeanants monthly.

In 1975, Santa Clara County received a large federal grant with five major objectives; the development of a probation classification system was one of these. The resulting instrument and case management system encountered objections from unions who disagreed with the distribution of cases, and mild resistance from probation officers who questioned the system's classification of cases. As a result of this resistance, a new classification system was developed. The variables used in the new classification instrument (the CCF) are based upon the classification of offenses developed for Senate Bill 42, which denoted classes of offenses based on severity and threat to the community. The selection of variables was performed by a committee formed for that purpose. The instrument has not as yet been tested or evaluated through validation research.

The Case Classification Form is completed by a probation officer in conjunction with pre-sentence investigations. After the officer scores the four objective variables and the subjective category, he totals the points to obtain the overall score which indicates the appropriate level of supervision. When special circumstances are present, the instrument's recommendation may be overruled (about 5% of the cases). No written instructions are provided with the instrument, and officers receive only modest, informal training in

its use. Yet no complaints have been registered by officers who use the device. Non-support cases are the only ones not screened by the instrument, which costs approximately $8.00 per screening, and requires about five minutes to fill out. Clients are not aware that they are being classified, and they are not officially informed of the results.

It is too early to know what impact the instrument will have on local probation services; as stated earlier, no research is underway to validate or assess the impact of the CCF. Those who use the instrument mentioned a few areas of concern, including:

1. The instrument's insensitivity to important factors (although the "subjective category" allows for some sensitivity and flexibility),

2. The vagueness of some of the definitions given by the instrument, and

3. The questionable predictive accuracy of the instrument (although strictly speaking the CCF was not designed to predict).

No feedback was available as to how the public and other criminal justice agencies viewed the classification procedure. The legal ramifications of using the instrument were considered during its development, but the device was not submitted for legal review prior to its implementation.

SANTA CLARA COUNTY CALIFORNIA
ADULT PROBATION DEPT.
(Probation/Parole
Supervision Instrument)

RATER'S NAME _____ DATE _____

DEFENDANT'S NAME _____ OFFENSE _____

CASE CLASSIFICATION

A. Offense (most serious conviction)

1. Misdemeanors   0 points
2. Class I Felony   2
3. Class II Felony   3
4. Class III and IV Felonies 5

Sub Total _____

B. Circumstances of Offense(s)

1. Infliction of Bodily Harm   2
2. Possession of Deadly Weapon   1
3. Sex offense involving a minor 1

Sub Total _____

C. Prior Record

1. One or more convictions 12   1
   months preceding offense or
   currently on probation at the
   time of offense
2. Prior revocation of probation   1
   or state commitment within
   seven years

Sub Total _____

D. Personal

1. Unemployed at time of offense   ½
   (exclude housewife, student, dis-
   abled or retired)
2. Need for educational and/or   ½
   vocational services
3. Need for treatment (psychiatric, 1
   drug, alcohol, family counseling)

Sub Total _____

E. Subjective - may add or subtract one
   point subjectively, briefly explain
   reason.   _____

TOTAL _____

Circle Level of Supervision   Specialized Caseload
   A - 6 points or more
   B - 3 to 5½ points   _____
   C - 2½ or less

TELEPHONE INTERVIEW SUMMARY

AGENCY: Connecticut Department of   TYPE INSTRUMENT: DCMBO Case Screen-
        Adult Probation   ing/Management Instrument
LOCATION: Haddam, Connecticut   CONTACT: James Sullivan
                                               Caseload Classification Mgr.
DECISION POINT: Probation/Parole   (203) 549-3100
                Supervision

The Connecticut Department of Adult Probation employs a case screening/ management instrument entitled the "Differential Caseload Management by Objective" (DCMBO) in determining objectives and strategies of probation supervision. The screening tool contains six weighted criteria which are scored and then summed to arrive at a risk-prediction score. The DCMBO is used to screen approximately 1,200 adult felons and misdemeanants each month primarily for risk of recidivism. Clients are also rescreened at point of case discharge.

The DCMBO screening form was developed in response to: (1) the Government Accounting Office report stressing the value of predictive devices, and (2) the administration's need to better supervise clients and evaluate the work of probation officers. After performing local research and extensively reviewing instruments used elsewhere, criteria and weights were selected on the basis of research findings and subjective opinion. The DCMBO instrument has not been altered since its implementation, nor was any classification device used prior to it.

A probation officer completes the form which assesses risk and client needs, as well as collecting administrative data and monitoring client performance. Officers receive about 20 hours of training in how to use the instrument, and a training manual is available. Discretion is allowed in scoring one category, and instrument results are overruled in about 10% of the cases due to court orders or extenuating circumstances. In most cases, however, level of supervision is assigned on the basis of the point total and a diagnosis of the client's motivation to improve or maintain specific behaviors. Client motivation is determined by the officer on the basis of a subjective interview. Each screening costs about $24.00 and requires about 8 minutes. Offenders are aware that a case screening is being conducted, but they are not aware of the criteria involved; offenders may or may not be officially informed regarding their final case classification.

The DCMBO classification program was implemented in 1977, and a preliminary data tabulation (The Connecticut Caseload at Intake: A Profile of Adult Probationer Characteristics and Needs) was completed in 1978. A second, large-scale, one year evaluation is now in progress, but results are several months away. Mr. Sullivan believes, however, that introduction of the classification procedure has resulted in a trend towards handling cases at differential levels of supervision determined by client risk, needs, and motivation. Most of the initial negative reaction common to the introduction of new programs has dissipated. Those using the instrument complain somewhat that it is insensitive to important factors, but they generally agree that is is a useful tool. The instrument was not submitted to legal review prior to implementation, but one variable, "homemaker," was added to the occupation category to avoid possible charges of sex discrimination.

CONNECTICUT STATE DEPT. OF ADULT PROBATION   (Probation/Parole Supervision)

D. C. M. B. O. CASE SCREENING / MANAGEMENT INSTRUMENT   7/78

Client's Name *(First and Last)*   State Number *(full)*

Officers Name *(Last, First initial)*   Date of Probation *(Include projected termination date)*

FROM: TO:

Offense(s) *(List all offenses for which probation was imposed)*

Client Ethnicity *(Indicate by number)*
1 = White   3 = Hispanic   5 = Amer. Ind.
2 = Black   4 = Asian   6 = Other

1. SEVERITY OF INSTANT OFFENSE(S): *(Scoring range is 0 to 6 points. Rate most serious offense then subtract 1 point for each additional count and/or offense. Enter score in box at left.)*

"B-Fel." = 1   "C-Fel." = 2   "D-Fel." = 3   "A-Misd." = 4   "B-Misd." = 5   "C-Misd." = 6

2. PRIOR RECORD: *(Check box indicating age. Convert felonies to misdemeanors; 1 Fel. = 3 Misd. °For clients age 16-19, prior juvenile commit. = 6 misd., juvenile probation = 3 misd.   Enter score in box at left.)*

AGE	+ 7 MISD.	7 MISD.	6 MISD.	5 MISD.	4 MISD.	3 MISD.	2 MISD.	1 MISD.	NONE
16 - 19*	0	0	0	.2	4	6	8	10	12
20 - 23	0	0	1	2	5	7	9	11	12
24 - 27	0	0	2	3	6	8	9	11	12
28 - 35	0	0	2	4	6	8	10	12	12
36 - 45	0	0	3	5	6	9	10	12	12
46 - 60	0	0	3	5	7	9	11	12	12
+ 60	0	0	3	6	8	10	11	12	12

3. EXTENT OF EDUCATION: *(Indicate highest grade completed by entering score in intake box at left)*

| LT 8th = 0 | 8th = 1 | 9th = 2 | 10th = 3 | 11th = 4 | H.S. GRAD./ G.E.D. 5 | POST H.S. EDUC. OR TRAINING 7 | COMP. POST H.S. EDUC./TRAINING 9 |

4. EMPLOYMENT RELATED ACTIVITIES DURING PAST 12 MONTHS: *(CHECK APPROPIATE BOXES AND ENTER SCORE AT LEFT)*

FULL TIME ☐   PART TIME ☐   MONTHS OF ACTIVITY   FULL TIME POINTS: PART TIME POINTS:

FULL TIME	PART TIME	MONTHS OF ACTIVITY	FULL TIME POINTS	PART TIME POINTS
EMPLOYMENT	EMPLOYMENT	1 - 2 MONTHS ... 1		½
SCHOOL	SCHOOL	3 - 4 MONTHS ... 2		1
TRAINING	TRAINING	5 - 6 MONTHS ... 3		1½
HOMEMAKING	HOMEMAKING	7 - 8 MONTHS ... 4		2
RESID. PROGRAM	UNEMP. COMP.	9 - 10 MONTHS ... 5		2½
	SOC.SEC./PENSION	11 - 12 MONTHS ... 6		3

5. ALCOHOL, DRUG &/or MENTAL HEALTH PROBLEMS: *(Check appropriate boxes and enter score at left)*

	0	3	5	7
ALCOHOL				
DRUGS				
MENTAL HEALTH				

0 = Serious current problem
3 = Moderate current problem
5 = Prior or minor problem
7 = No problem

For cases involving more than one problem, enter 0 at left. Exception: Minor abuse of both drugs and alcohol, enter 3 at left.

6. EXISTING FAMILY STRUCTURE: *(Enter most appropriate score to box at left)*

RESIDES AWAY FROM FAMILY WITH FEW OR NO FAMILY TIES 1
RESIDES AWAY FROM FAMILY WITH SOME TIES TO EXISTENT FAMILY 2
SEPERATED/DIVORCED FROM SPOUSE BUT CARING FOR OR SUPPORTING CHILD 3
SINGLE EMANCIPATED FROM PARENTAL HOME WITH STRONG TIES EXISTENT FAMILY 3½
RESIDES IN ONE PARENT HOME OR MARRIED WITHOUT CHILDREN, SUPPORTS SPOUSE 4
RESIDES IN TWO PARENT HOME OR MARRIED WITH CHILDREN, SUPPORTS FAMILY 6

ADJUSTMENT INDEX

INTAKE / DISCHARGE

TOTAL RISK PREDICTIVE SCORE: *(Add 1. thru 6.)*

INTAKE: / DISCHARGE:

TOTAL B.E.A.I. SCORE *(Add 3. thru 6.)*

MODEL OF RECORD *(Check one box)*

I ☐
II ☐
III ☐

PRIMARY GOAL *(To be completed upon discharge of M-III cases only)*

GOAL: TO

Percent Achieved: ___ %

FINAL OUTCOME INDEX: *(Check one box upon discharge)*

1. Actual Violation of Probation Determined by the Court
☐ 1a. Probation Revoked
☐ 1b. Probation Continued
☐ 2. Presentment in Court as Violator OR Application made for Arrest Warrant
☐ 3. Convicted for subsequent offense while on probation resulting in incarceration of probationer
☐ 4. Conviction for subsequent offense while on probation NOT resulting in incarceration of probation
☐ 5. No conviction while on Probation

-99-

AGENCY: Federal Probation/Parole Office TYPE OF INSTRUMENT: Base Expectancy Scale
    U.S. District Court
LOCATION: Washington, D.C.

           CONTACT: William Hemple
DECISION POINT: Probation/Parole Supervision   U.S. Probation Office
               (202) 633-0477

  The Probation and Parole Office of the U.S. District Court in Washington,
D.C. employs a base expectancy type classification instrument (USDC-75) in
making level of probation/parole supervision decisions. The instrument consists
of a fixed set of weighted variables which are totalled into a single, overall
score which recommends an appropriate level of supervision. The office uses
the USDC-75 to screen approximately 45 adult felons and misdemeanants per month
for recidivistic tendencies.

  The office previously used the California BE61A for classification purposes.
After subjecting the BE61A to a series of validity tests, however, administrators
decided to modify the scale by dropping some variables and adding others that
were appropriate predictors for the Washington, D.C. area; the result of these
modifications was the USDC-75.

  Probation officers complete the classification tool according to a written
set of guidelines. Each screening requires about 10 minutes and costs about
$8.00. The form contains only five variables which makes it quick and easy to
administer. No specialized training or expertise is required. Recent studies
by the agency show that the instrument's recommendations are overruled by a
classification committee in about 30% of the cases; yet the scale is a guide,
not an absolute criterion for determining supervision level. Occasionally
circumstances such as the need for drug treatment require the committee to
assign an alternative level of supervision according to their judgment. Offenders
are not aware that a classification is being made, nor are they officially in-
formed of the results.

  The USDC-75 is one of the few instruments used for supervision level decisions
that has been tested for validity in the setting where it is used. A recent study
involving 413 probation cases demonstrated a significant correlation of .38 be-
tween the point scale scores and probation parole success. Exact data are not
available regarding the device's impact on caseloads, but the agency believes
more cases are being treated at lower levels of supervision since implementation

of the instrument. There have been few substantive complaints about the
instrument and its administration, and those who use it feel that it provides
a valid and useful evaluation tool. The instrument was not submitted to legal
review prior to its implementation, and legal concerns were not expressly con-
sidered in its development.

FEDERAL PROBATION/PAROLE OFFICE
U.S. DISTRICT COURT
WASHINGTON, D. C.

(Probation/Parole
Supervision Instrument)

SCORING FORM – CHARACTERISTIC – USDC-75 SCALE

Instructions: If the client has a high school degree (exclude GED) and no history of opiate abuse, check the box to the right, ignore items A through E, and place the client in the Excellent Risk Category.

Otherwise use items A through E to determine the rating.

A.   28 years of age or older at time of instant conviction . . . 7 . .

B.   Arrest-free period of five (5) or more consecutive years . . . 4 . .

C.   Few prior arrests. (None, one, or two) . . . . 10 . .

D.   No history of opiate usage . . . . 9 . .

E.   At least four (4) months steady employment prior to arraignment of present offense . . . . 3 . .

SUM OF POINTS 33

RISK

(0-9)   High

(10-19) Medium

(20-33) Low

AGENCY: District of Columbia
          Superior Court

LOCATION: Washington, D.C.

DECISION POINT: Probation/Parole Supervision

TYPE OF INSTRUMENT: Base Expectancy
                     Scale (BE65A)

CONTACT: Nancy Cohen
          Chief of Research
          (202) 727-1866

   The Social Services Division of the District of Columbia Superior Court employs a base expectancy scale (Calif. BE65A) in determining level of probation supervision for all adjudicated adults. The BE65A consists of weighted criteria that generate an overall score which mainly assesses risk of recidivism. The agency screens approximately 400 individuals monthly.

   The BE65A was borrowed intact from California. The instrument was modeled after the California BE61A, although the BE65A includes juvenile record when considering the number of priors. The BE65A has undergone no changes since implementation and is the first classification instrument used by this agency.

   Probation officers complete the instrument according to a written set of instructions, and then a supervisor reviews the rating and level of supervision decision. Staff receive eight hours of training in the procedure including a description of the total research project, although the screening process is straightforward and requires no technical expertise. Risk of recidivism is the primary factor used in deciding the level of supervision. However, the instrument's recommendation can be overruled if the officer and supervisor feel that the probationer requires a more intensive level of supervision due to unique case problems, or the sentencing judge orders a specific supervision level. No formal procedure exists for informing offenders that they are being screened, but the officer may do so if he or she so desires.

   Although data should be available by January 1980, impact of the screening procedure on caseloads, costs, etc. is presently unknown. An N.I.C. evaluation study now in progress will measure the predictive accuracy of the instrument. Agency administrators are satisfied with the screening process; it has enabled the Division to equalize caseloads within the Adult Branch and to impose minimum levels of supervision. Those who use the instrument (officers) are less enthusiastic; some complain that the instrument minimizes their professional judgment (a common complaint in these situations). Others believe the instrument is sensitive to unique factors and case problems. The instrument was not submitted for legal review prior to its implementation, and legal factors are not expressly considered in its adminstration.

   A copy of the BE65A was not available at the time of publication.

TELEPHONE INTERVIEW SUMMARY

AGENCY: Probation and Parole Office   TYPE OF INSTRUMENT: Case Management Form
           U.S. District Court

LOCATION: Atlanta, Georgia   CONTACT: Patrick Murphy
                                                          Chief Probation Officer
DECISION POINT: Probation/Parole Supervision   (404) 221-6441

   The Probation and Parole Office of the U.S. District Court in Atlanta,
Georgia employs a screening instrument entitled the "Case Management Form" in
determining probation level of supervision. This base expectancy type form is
used to screen approximately 45 adult felons and misdemeanants monthly for risk
of recidivism.

   With the exception of Salient Factors Score, this is the first objective
instrument used by the Atlanta Office for supervision level decisions. The form
was developed by modifying the California BE61A scale, and then using the modi-
fied form to classify 100 active and 100 closed cases to determine instrument
validity. The currently used classification tool has not been altered since
implementation.

   Probation officers complete the form according to written guidelines using
official records and interview data to identify specific offender characteristics.
These factors are then weighted and summed to arrive at an overall score designed
to predict recidivism. This score is used to determine the level of supervision
unless, in the professional opinion of the officer and supervisior, extenuating
circumstances exist in the case which the instrument has not considered. In these
cases, instrument results are overruled (about 10% of the cases). The only auto-
matic exclusions from screening are organized crime cases and those sentenced
to less than three months supervision. Offenders are not aware that they are
being classified, nor are they formally informed of the results of classification.
No special expertise is necessary to complete the instrument, although new officers
receive brief training as part of orientation. The form requires about 10 minutes
to fill out.

   Those who use the form are satisfied that it is an efficient and useful
means of reaching a supervision level decision. Agency administrators report that
the instrument has allowed them to equalize officer workloads and to more effi-
ciently use personnel resources. The caseload of probation officers is now
determined by the amount of supervision each client will require, rather than by

assigning equal numbers of clients to each officer. The device was not
reviewed by legal counsel prior to implementation, nor were legal concerns
directly considered in its development or administration.

CASE MANAGEMENT FORM

Points   (Select only one score for each category or zero if applicable)

_____ A. PRIOR CONVICTIONS
(7) Instant offense or prior convictions do not involve checks,
forgery, burglary, or crimes of violence against the person.

_____ B. FIRST ARREST
(5) Not for drugs or auto theft

_____ C. NO ALIASES
(5)

_____ D. ARREST FREE PERIOD PRIOR TO COMMITTING INSTANT OFFENSE
(12) 5 consecutive years;
(8) 3 consecutive years

_____ E. PREVIOUS JAIL COMMITMENTS
(8) None
(7) 1
(6) 2

_____ F. PRIOR ARRESTS
(4) None
(3) 1
(2) 2

_____ G. NO FAMILY CRIMINAL RECORD
(6)

_____ H. FAMILY
(4) Married (include Common-law Wife/duration of 1 year);
living with immediate family; or if single, living with
parents or in a favorable situation.

_____ I. DRUGS
(9) No history of drug or marijuana usage;
(3) History of marijuana usage only;
(1) History of soft drug usage

_____ J. ALCOHOL
(6) Not drinking at time of instant offense or no history
of excessive use of alcohol.

_____ K. EMPLOYMENT - SCHOOL
(10) 12 consecutive months prior to arrest for present offense;
(4) 4 to 11 consecutive months prior to arrest for present
offense.

_____ TOTAL POINTS

SUPERVISION

MAX.	MED.	MIN.
0 - 39	40 - 63	64 - 76

NEEDS:

1.

2.

3.

4.

5.

NAME:

TYPE:

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(Revised 4/12/77)

TELEPHONE INTERVIEW SUMMARY

AGENCY: Illinois 16th Circuit Court
Probation Section

TYPE OF INSTRUMENT: Behavioral
Assessment Devices (EDS and MBR)

LOCATION: Springfield, Illinois

DECISION POINT: Probation/Parole Supervision

CONTACT: James Marzec
Instructor, Center for Legal
Studies, Sangamon State Univ.
(217) 782-3356

The Probation Section of the Illinois 16th Circuit Court currently employs the Environmental Deprivation Scale (EDS) and the Maladaptive Behavioral Record (MBR) as a guide in making level of probation supervision decisions. The EDS and MBR are two separate forms that screen for recidivistic tendencies through an analysis of client behavior. The combined EDS/MBR classification system posits a single, overall score which recommends an appropriate level of supervision. The EDS/MBR is used to screen approximately 60 adult felons and misdemeanants monthly.

The combined EDS/MBR is the first instrument used by the Circuit Court in supervision level decisions. It was borrowed intact from the University of Alabama Research Center and has not been altered since implementation. The now defunct Illinois Probation Services Council originally introduced the instrument to Illinois probation departments in 1974; ten departments are still using it.

The two forms are completed by probation officers as part of an overall screening and case planning process. Officers do receive training in use of the form which calls for a certain amount of skill in techniques of interviewing and interpretation of responses. The results of the instrument are overruled in about 25% of the cases, mainly because the EDS/MBR is used only as a guide which fits into a primarily clinical decision process. Offenders are aware of the screening process, but they are not formally informed of the results of the classification.

The University of Alabama Research Center has demonstrated that the EDS and MBR are reliable and predictive of recidivism. However, these instruments have not been modified to fit the characteristics of the local setting, nor have they been researched to determine if they are valid and useful in the Springfield jurisdiction. Due to this lack of research, specific impact of the instruments on the agency is also unknown. Those who use the instruments have registered some complaints about the EDS/MBR, including the time required to administer the procedure (about 90 minutes), the questionable predictive accuracy of the forms,

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and the limited utility of the tools in supervision planning. The agency reports that these two instruments will probably be replaced by one developed by the Kane County (Illinois) Diagnostic Center which does employ variables that are reflective of local socio-economic conditions. The EDS and MBR were not submitted for legal review prior to implementation.

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ENVIRONMENTAL DEPRIVATION SCALE (EDS)

Experimental Manpower Laboratory for Corrections, Rehabilitation Research Foundation
P.O. Box AG   University, Alabama 35486

Name _____ Date _____ ID _____

ITEM	SCORE	BASIS FOR SCORE
Employment		
Income		
Debts		
Job Participation		
Job Status		
Hobbies & Avocations		
Education		
Residence		
Church		
Other Organizations		
Friends		
Relatives		
Parents		
Spouse		
Children		
Fear		

Total Score _____   Interviewer _____

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Probation/Parole Supervision
Instrument

MALADAPTIVE BEHAVIOR RECORD (MBR)
(abbreviated form)

EXPERIMENTAL MANPOWER LABORATORY FOR CORRECTIONS
Rehabilitation Research Foundation
P. O. Box 1107
Elmore, Alabama

M. C. Barton, A. D. Witherspoon and W. O. Jenkins

The MBR manual should be studied carefully *before* using this form of the scale and the interviewer should have sufficient experience in the use of the *unabbreviated* form of the MBR *before* using this abbreviated version.

Client's name: _____   ID: _____   Date: _____
(Last)   (First)   (Middle Initial)   (Month) (Day)   (Year)

Item	Score	Specification of Basis for Score
1. BEHAVIORAL RESPONSE TO INCOME		
2. BEHAVIORAL RESPONSE TO WORKING CONDITIONS		
3. INTERACTION WITH CO-WORKERS		
4. INTERACTION WITH EMPLOYER		
5. WORK ATTENDANCE		
6. USE OF ALCOHOL		
7. USE OF DRUGS		
8. GAMBLING		
9. FIGHTING		
10. VERBAL ABUSIVENESS		
11. MALADAPTIVE ASSOCIATIONS		
12. MANAGEMENT OF MONEY		
13. RESPONSES TO PHYSICAL CONDITION		
14. PSYCHOLOGICAL ADJUSTMENT		
15. BEHAVIORAL RESPONSES TO LEGAL PROCESSES		
16. OTHER BEHAVIORAL PROBLEMS		

TOTAL SCORE _____   INTERVIEWER _____

TELEPHONE INTERVIEW SUMMARY

AGENCY: Iowa Bureau of Community   TYPE OF INSTRUMENT: Case Management
          Correctional Services   Planning System

LOCATION: Des Moines, Iowa   CONTACT: Marvin Bohnstedt
                                               American Justice Institute
DECISION POINT: Probation/Parole Supervision   (916) 444-3096

The Iowa Bureau of Community Correctional Services employs a "Case Management Planning System" (CMPS) in determining level of parole supervision. This classification system consists of a Risk Assessment Form and Needs Assessment Form, in addition to a Clinical Needs Form and a Subjective Evaluation Statement. The latter two forms, which are completed during a 30 day assessment period, represent a more subjective appraisal and don't affect the initial parole level decision. The Risk and Needs Assessment Forms are the primary objective criteria used to screen about 83 adult felons each month for recidivistic tendencies and client needs. The two forms both contain weighted criteria that when calculated and totalled generate an overall score which recommends a level of supervision.

The CMP System is the first attempt by the State of Iowa to use objective classification tools. The forms and procedures used in the system were developed subjectively on the basis of instruments used in other locations.

A probation officer completes the forms according to written guidelines using information obtained from official records, a social history, and a personal interview. Officers attend special training classes in the use of the system and its specific forms. Discretion is allowed in scoring the forms, a task that generally requires about 1-1/2 hours and costs about $8.00 per screening. Offenders actively participate in the screening process by providing some of the necessary information; they are made aware of the decision criteria and are formally informed of the decision in their case. The point system is overruled in about 10% of the cases when the probation officer and a supervisor believe there is reasonable cause.

Research on the impact and usefulness of the classification system has not yet been initiated. The system is fairly complex and involves some additional paperwork, but the agency reports that the process has been generally well accepted and has received few complaints from line staff. The instrument was not submitted for legal review prior to implementation, nor were legal issues expressly considered in its development.

IOWA BUREAU OF COMMUNITY CORRECTIONAL SERVICES

ASSESSMENT OF CLIENT RISK

Probation/Parole
Supervision Instrument

Iowa Dept. of Social Services
Division of Corrections

Client Name_____ Client No._____
      Last   First   MI

Probation Control Date or
Institution Release Date _____Agent Last Name_____
            Mo/Day/Year   Number_____

Date of Evaluation_____
Select the appropriate answer and enter
the associated weight in the score column.
Total all scores to arrive at the risk
assessment score.

                            SCORE

Number of Address Changes
in Last 12 Months....................0 None
(For Parole, use 12 months   2 One
prior to conviction)   3 Two or more   _____

Percentage of Time Employed in
Last 12 Months......................0 - 60% or more
(For Parole, use 12 months   1 - 40% - 59%
prior to conviction)   2 - Under 40%
                        0 - Not applicable   _____

Alcohol Usage/Problems.............0 No apparent problems
                        2 Moderate problems
                        4 Serious problems   _____

Other Drug Usage/Problems..........0 No apparent problems
                        1 Moderate problems
                        2 Serious problems   _____

Attitude...........................0 Motivated to change;
                         receptive to assistance
                        3 Dependent or unwilling
                         to accept responsibility
                        5 Rationalizes behavior;
                         negative, not motivated
                         to change   _____

Age at First Conviction...........0 - 24 yrs. or older
(or Juvenile Adjudication)   2 - 20 - 23 yrs.
                        4 - 19 yrs. or younger _____

Number of Prior Periods of
Probation/Parole Supervision......0 None
(Adult or Juvenile)   4 One or More   _____

Number of Prior Probation/
Parole Revocations (Adult or   0 None
Juvenile)..........................4 One or More   _____

Number of Prior Felony Convic-   0 None
tions (or Juvenile Adjudications)...2 One
                        4 Two or More   _____

ASSESSMENT OF CLIENT RISK
PAGE 2

                                    SCORE

Convictions or Juvenile Adjudi-   2 Burglary
cations for: (Select all appli-   2 Theft
cable and add for score)...........2 Auto theft
                             2 Robbery   _____
                             3 Worthless checks
                           3 Forgery

Conviction or Juvenile Adjudi-
cation for Assaultive Offense......15 Yes
(An offense which involves the   0 No
use of a weapon, physical force
or the threat of force)   _____

                              TOTAL SCORE =======

ASSESSMENT OF CLIENT NEEDS

Iowa Department of Social Services
Division of Adult Corrections

Client Name _____ Client No. _____

Probation Control Date
or Inst. Release Date _____ Agent Last Name _____ No. _____

         Month/Day/Year   Select the appropriate answer and enter the
                          associated weight in the score column. Higher

Date of Evaluation _____ numbers indicate more severe problems. Total
                                       all scores

ACADEMIC/VOCATIONAL SKILLS   SCORE.

-1 High school or above skill level	0 Adequate skills; able to handle everyday require-ments	2 Low skill level causing minor adjustment prob-lems	4 Minimal skill level causing serious adjust-ment problems

EMPLOYMENT

-1 Satisfactory employment for one year or longer	0 Secure employment; no difficulties reported; or home-maker, student or retired	3 Unsatisfactory employment; or unemployed but has adequate job skills	6 Unemployed and virtually un-employable; needs training

FINANCIAL MANAGEMENT

-1 Long-standing pattern of self-sufficiency; e.g good credit rat-ing	0 No current diffi-culties	3 Situational or minor diffi-culties	5 Severe diffi-culties; may include garnish-ment, bad checks or bankruptcy.

MARITAL/FAMILY RELATIONSHIPS

-1 Relationships and support exceptionally strong	0 Relatively stable relationships	3 Some disorgani-zation or stress but potential for improvement	5 Major disorgani-zation or stress

COMPANIONS

-1 Good support and influence	0 No adverse relationships	2 Associations with occasional negative results	4 Associations almost com-pletely negative

EMOTIONAL STABILITY

-2 Exceptionally well adjusted; accepts responsi-bility for actions	0 No symptoms of emotional in-stability; appro-priate emotional responses	4 Symptoms limit but do not pro-hibit adequate functioning;e.g. excessive anxiety	7 Symptoms pro-hibit adequate functioning;e.g. lashes out or retreats into self

ALCOHOL USAGE

	0 No interference with functioning	3 Occasional abuse; some disruption of functioning	6 Frequent abuse; serious disrup-tion; needs treatment

OTHER DRUG USAGE

	0 No interference with functioning	3 Occasional sub-tance abuse; some disruption of functioning	5 Frequent sub-stance abuse; serious disruption needs treatment

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ASSESSMENT OF CLIENT NEEDS
PAGE 2

MENTAL ABILITY   SCORE

0 Able to function independently	3 Some need for assistance; potential for adequate adjust-ment	6 Deficiencies severely limit independent functioning	

HEALTH

0 Sound physical health; seldom ill	1 Handicap or ill-ness interferes with functioning on a recurring basis	2 Serious handi-cap or chronic illness; needs frequent medi-cal care	

SEXUAL BEHAVIOR

0 No apparent dys-function	3 Real or perceived situational or minor problems	5 Real or perceived chronic or sev-ere problems	

AGENT'S IMPRESSION OF CLIENTS NEEDS

-1 Minimum   0 Low   3 Medium   5 Maximum _____

                                                TOTAL _____

Use the reverse side to list any special circumstances which should influence
the level of supervision.

AGENCY: Hennepin County Court Services

LOCATION: Minneapolis, Minnesota

DECISION POINT: Probation/Parole Supervision

TYPE OF INSTRUMENT: Case Classification
Supervision Form
CONTACT: Jeffery Benson
Principal Probation Officer
(612) 348-2603

    The Hennepin County Court Services employs a "Case Classification Supervision Form" in determining level of probation supervision. The form is a modified base expectancy type instrument used to classify about 150 adult felons and misdemeanants monthly for risk of recidivism. The form consists of 11 weighted variables that consider a probationer's background and living situation. When the points given for each variable are totalled, a single, overall score is generated that recommends an appropriate supervision level.

    The Supervision Form is the first classification tool used by Hennepin County. It was developed by a committee which selected criteria and weights subjectively after reviewing instruments used by other agencies. It has not been altered since implementation.

    A probation officer completes the form according to written guidelines. Officers do not receive special training in instrument usage, nor is any special expertise required to score the device. The recommendations of the instrument are overruled in about 15% of the cases, usually due to unusual circumstances in the case not considered by the instrument. Discretion is also allowed in the scoring of certain variables. Each screening costs about $8.00 and takes about five minutes. Offenders are not aware that their case is being classified, nor are they officially informed of results of the classification.

    The classification system has been evaluated locally, but results of the research were not yet available at time of publication. Nevertheless, preliminary feedback suggests that more probationers have been assigned to minimum supervision since the implementation of formal classification. Although administrators are generally pleased with the instrument, probation officers have complained that instrument recommendations are overruled too frequently due to its insensitivity to important factors. These complaints will be taken into consideration during future analyses and revisions of the instrument. One novel and interesting aspect of Hennepin County's program is the use of volunteers to supervise minimum risk probationers, a feature that effects substantial cost savings. The instrument was not submitted for legal review prior to implementation, nor were legal concerns expressly considered in its development.

HC 3384 (Rev 10/31/75)

PROBATION/PAROLE
SUPERVISION INSTRUMENT

HENNEPIN COUNTY COURT SERVICES
MINNEAPOLIS, MINNESOTA

CASE SUPERVISION CLASSIFICATION

P.O.# _____

NAME _____

D.C.# _____

DATE _____

CIRCLE POINTS IF APPLICABLE
(to be completed prior to sentencing)

A. Arrest free for past five or more years 12

B. No drug dependency 9

C. Not arrested for crimes against person (present offense) 9

D. Not checks, forgery, burglary (most recent court appearances) . . . 7

E. No alcohol dependency 6

F. Few (0,1,2) jail or institutional commitments 6

G. Six or more months on same employment or school 5

H. Favorable environment 5

I. First felony charge 4

J. Few prior arrests (0,1,2) 4

K. No family record 3

TOTAL SCORE [   ]

HIGH RISK	MEDIUM RISK	LOW RISK
0 - 26	27 - 44	45 - 70

CLASSIFICATION _____

St. Louis County
Community Services

TYPE OF INSTRUMENT: Client Analysis
Scale

LOCATION: St. Louis, Missouri

CONTACT: Peter Manion
Director of Community Service
(314) 889-2531

DECISION POINT: Probation/Parole Supervision

St. Louis County Community Services employs the "Client Analysis Scale"
(CAS) in determining level of probation supervision for adult misdemeanants re-
leased in the county. The CAS, which consists of five weighted factors, generates
an overall score which recommends one of three levels of supervision. The instru-
ment also provides the scorer with the opportunity to add or subtract two points
at his discretion in borderline cases. The scale is used to screen approximately
400 clients each month for their potential to recidivate.

This is the first classification instrument to be used by Community Services
for supervision level decisions. The device was borrowed intact from the State
of Missouri which developed and has used the device extensively for a similar
purpose. The only change that the county agency made in the CAS was to drop the
"legal" category which assesses prior arrests and convictions, and to modify some
weights and cut-off scores.

Probation officers complete the form according to written guidelines with
information obtained from official records and a personal interview. Officers
receive four to six hours of specialized training in instrument usage. The CAS
is used as a guide only in the decision process; in about 30% of the cases the
instrument's recommendation is overruled by the subjective opinion of the officer
and a supervisor. Clients are not aware that they are being classified, nor are
they officially informed of the classification decision.

Research to evaluate the impact of the device has not been conducted. However,
the agency reports that there is a general feeling among staff that better case
decisions are being made as a result of the screening process, and that more pro-
bationers are now receiving lower levels of supervision. Those using the instru-
ment have complained, however, that the scale occasionally does not adequately
consider important factors in a case. In addition, the agency reports that inter-
pretations sometimes vary in using the form which results in inconsistent scoring.
The instrument was not submitted for legal review prior to implementation, and
legal concerns were not expressly considered in its development.

ST. LOUIS COUNTY COMMUNITY SERVICES
ST. LOUIS, MISSOURI

Probation/Parole
Supervision Instrument

CLIENT'S NAME _____

Address _____
Phone _____
Employer _____

Date:

EDUCATIONAL/VOCATIONAL:

1	2	4	6
Not working or not in school w/no effort to do either	Not working or not in school w/efforts to do one or the other	School training or part-time	Full-time work, retired or housewife

SPECIAL PROBLEMS:

0	2	4	8
Indication of drug or alcohol abuse, mental deficiency or other special problem.	Presence of problem which has potential of becoming serious and or presently in treatment program	Advanced progress in treatment or Counseling programs	No indication of any special problem

FAMILY/SOCIAL:

1	3	6
Major disorganization	Some disorganization, but potential of growth	Relatively stable rela- tionships

AGGRESSIVE/ASSAULTIVE:

1	3	4
Pattern of two or more incidents in past year	Prior incident in past year	No demonstrated aggressive behavior in past year

CLIENT RESPONSIBILITY:

1	4	6
Little or no under- standing of himself or societies expectations (irresponsible)	Partial understanding with behavior based on that understanding (moderately responsible)	Good self under- standing with cor- responding behavior (responsible)

Drugs -----
Alcohol ------
Other ------

Subtotal
Subjective-or +2 points
      or 0 points
Total _____

Legend Points:
Intensive _____ 4-13
Regular _____ 14-23
Minimum _____ 24-30

_____
Probation/Parole Officer

TELEPHONE INTERVIEW SUMMARY

AGENCY: Missouri Board of Probation
and Parole

TYPE OF INSTRUMENT: Client Analysis
Scale

LOCATION: Jefferson City, Missouri

CONTACT: Gail Hughes
Chief State Supervisor
(314) 751-2441

DECISION POINT: Probation/Parole Supervision

The Missouri Board of Probation and Parole utilizes the "Client Analysis Scale" (CAS) in determining level of supervision for all individuals on probation and parole in the State of Missouri. The scale is used for initial and subsequent classification of approximately 5,500 clients per month; results of these classifications are entered into a computer file to provide administrative statistics. The instrument is comprised of six weighted categories that, when calculated and totalled, generate an overall score which recommends one of three levels of supervision. The CAS also provides for a subjective plus or minus point to be applied by the scorer in cases which fall on the borderline between two supervision levels. The device primarily screens for recidivistic tendencies.

In 1970, the Board began using a modified California Base Expectancy Scale for client classification. After three years, this instrument was discontinued because it was not easily adaptable to a system where offenders are classified regularly. The Client Analysis Scale was therefore created through a combination of research and subjective opinion to be more flexible and comprehensive than the California Base Expectancy Scale by including factors such as client responsibility and family/social problems.

A probation officer completes the form according to written guidelines using official records and interview data obtained from clients. Officers receive instruction in how to use the instrument as part of the training program given to new officers. Cases are classified solely on the basis of risk, as defined by the instrument, except in about 10% of the cases in which the point system is overruled by the judgment of an officer and supervisor due to unusual circumstances in the case. Screenings generally take about ten minutes and cost approximately $8.00. Clients are informed of the screening results and supervision decision, although they typically are not involved directly in the classification process. In some instances, however, clients fill out the CAS themselves, and their responses are then compared with the officer's rating.

Although research data on the validity of the instrument was not available at time of publication, a study conducted by the University of Missouri shows that use of the instrument has resulted in a 50% increase in the number of clients receiving minimum supervision. The CAS seems to have generated mixed reactions from officers in the state system; some are highly enthusiastic about its use, while others reject it completely. Agency administrators, on the other hand, report extreme confidence in the classification device. Complaints that have arisen center on the vagueness of some instrument definitions, questionable predictive accuracy of the device, and its insensitivity to some important factors in determining level of risk. The instrument was not submitted for legal review prior to implementation, and legal factors were not expressly considered in its development.

The classification system used by the State of Missouri is significant for a number of reasons. First of all, the Client Analysis Scale has been adopted intact and with slight modification by a number of other probation/parole agencies. Secondly, the large number of clients that the Board screens each month (5,500) makes this the largest case screening program among the 23 probation/parole agencies in our study sample. In addition, the use of a computer to record the classification data is uncommon in probation/parole agencies.

MISSOURI STATE BOARD OF PROBATION AND PAROLE

CLIENT ANALYSIS SCALE

Probation/Parole
Supervision Instrument

Name _____ No. _____ Date _____

District _____

Educational/Vocational:

1 ☐   4 ☐   6 ☐

Not working or not in school   School, training or part-time work.   Full-time work, retired, or housewife

Legal:

1 ☐   3 ☐   4 ☐

One or more convictions and/or 2 or more arrests in past year or pending charge   No convictions, but one arrest in past year   No arrest or conviction in past year

* Special Problems:

0 ☐   2 ☐   4 ☐

Indication of drug use, alcoholism, mental deficiency, or other special problems   Presence of problems which have potential of becoming serious and/or presently in treatment program   No indication of any special problems

Family/Social:

1 ☐   3 ☐   6 ☐

Major disorganization   Some disorganization but potential of growth   Relatively stable relationships

Aggressive / Assaultive:

1 ☐   3 ☐   4 ☐

Pattern of two or more incidents in past year   Prior incident in past year   No demonstrated aggressive behavior in past year

Client Responsibility:

1 ☐   4 ☐   6 ☐

Little or no understanding of himself or society's expectations   Partial understanding with behavior based on that understanding   Good self understanding with corresponding behavior

Drugs ☐
Alcohol ☐
Other
Special Code ☐

Subtotal _____
Subjective - or - 1 point or 0
Total _____

Legend - Points:

_____ Intensive 4-16 ☐
_____ Regular 16-25 ☐
_____ Minimum 25-31 ☐

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MBPP-167 (8-76)   Copyright Missouri Board of Probation & Parole 1973

TELEPHONE INTERVIEW SUMMARY

AGENCY: New York State Division of Probation

LOCATION: Albany, New York

DECISION POINT: Probation/Parole Supervision

TYPE OF INSTRUMENT: Risk Assessment Form

CONTACT: Mark Diefendorf
Sr. Probation Program Analyst
(518) 474-4173

The New York State Division of Probation currently employs a "Risk Assessment Form" (RAF) in determining level of probation supervision, in addition to a client needs form entitled "Assessment of Probationer Needs/Strengths." The instruments are used to screen approximately 50 adult felons and misdemeanants per month in a pilot program being conducted in one county probation department.

This is the first classification tool used by the State of New York to assist in probation classification decision making. The RAF was borrowed from the State of Wisconsin without modification along with Wisconsin's "Assessment of Probation Needs/Strengths" form.

Probation officers complete the risk form at the time they complete the presentence investigation, but the risk assessment is not used in preparing the presentence report. The needs assessment form is filled out by the officer assigned to supervise the case. No special expertise is required to complete the forms which were initiated after an orientation meeting only. Information for the forms is obtained from official records and a personal interview. The actual level of supervision is determined by the scores on the two instruments and the officer's subjective judgment. Recommendations of the classification procedure were overruled in about 50% of the cases in the pilot program. Offenders are not aware that they are being classified, and they are not officially informed of screening results.

Research has not been conducted to determine the impact of the instruments, but department administrators believe it is very unlikely that using the forms has had a significant impact on caseloads or costs in the pilot program because the instruments are so often overruled. There have also been a number of complaints that definitions on the forms are vague, that they are insensitive to important factors, that they are not predictive, and that the needs form takes too long to complete. In all fairness to the instruments, however, their apparent lack of impact in the setting described may be due to the manner in which they were introduced. They apparently were pushed onto staff rather than being offered as

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useful tools. The hiring of a new director at time of implementation and general organizational confusion also probably contributed to the limited acceptance of the devices. The instruments were reviewed by legal counsel prior to implementation, but legal concerns were not expressly considered in their development.

The New York State Division of Probation has recently added a new screening procedure and classification instrument. The Division's Intensive Supervision Program (ISP) has begun using a Risk Assessment, Classification and Assignment Form for referring and entering "high risk" probationers into the ISP. The referral is based on the likelihood of the probationer unsuccessfully completing the probation sentence. During the coming year, about 15,000 clients will be screened by the form, with 2,500 to 3,000 being referred to the ISP for supervision. This is the first instrument introduced by the NYS Division of Probation to be used by almost all of the local counties in the State; most counties began screening in December 1978, with the remaining counties operationalizing the program during January 1979. The form, which consists of ten weighted criteria, was constructed and validated on a sample of 1,243 NYS probationers. The instrument was reviewed by legal counsel prior to implementation. A copy of the Risk Assessment, Classification and Assignment Form, as well as the two instruments used in the pilot program, follow this report.

(Form used by the Intensive Supervision Program)   Probation/Parole
Supervision Instrument

DP-70 (10/78)   New York State Division of Probation
RISK ASSESSMENT, CLASSIFICATION AND ASSIGNMENT

Name _____   Case No. _____

NYSID No. _____   Date of Birth _____

I. Risk Assessment: Select the appropriate responses as they apply to the probationer at the time of the current offense. Enter point value in score column.   SCORE

1. Arrested within five (5) years prior to the current offense.   Yes (4) ___ No (0) ___   ___

2. Nineteen or under at time of first conviction/adjudication.   Yes (8) ___ No (0) ___   ___

3. Prior convictions/adjudications for robbery.   Yes (16) ___ No (0) ___   ___

4. Three or more prior misdemeanor or one or more prior felony convictions/adjudications.   Yes (10) ___ No (0) ___   ___

5. Incarcerated while on a prior probation or parole sentence.   Yes (20) ___ No (0) ___   ___

6. Neither employed nor in school full-time.   Yes (4) ___ No (0) ___   ___

7. Members of his family (i.e., spouse, children, parents, siblings) have a criminal record (J.D. or Adult).   Yes (10) ___ No (0) ___   ___

8. One or more address changes in the year prior to current offense.   Yes (6) ___ No (0) ___   ___

9. Currently living in a situation judged to be unfavorable.   Yes (6) ___ No (0) ___   ___

10. Has an attitude that is either one in which he rationalizes his behavior; or he is negative and not motivated to change; or he is dependent or unwilling to accept responsibility.   Yes (14) ___ No (0) ___   ___

TOTAL ___

ISP Referral Score ___

Completed by: _____ Date _____

II. Classification:

ISP Score: Yes ___ No ___   Referred to ISP Unit: Yes ___ No ___

Reason for referral if low score: _____
_____
_____
_____

Referred by: _____ Date _____

III. Assignment:

ISP Probation Officer Assigned: _____ Date: _____

Assigning Officer: _____ Title: _____

Referred to regular supervision caseload. Date: _____

Referring Officer: _____ Title _____

ASSESSMENT OF PROBATIONER NEEDS/STRENGTHS

SCORE

ACADEMIC/VOCATIONAL SKILLS

| High school or above -1 skill level | Adequate skills able 0 to handle everyday requirements | Low skill level causing 2 minor adjustment problems | Minimal skill level causing 4 serious adjustment problems | _____ |

EMPLOYMENT

| Satisfactory employ- -1 ment for one year or longer | Secure employment; 0 no difficulties reported; or homemaker, student | Unsatisfactory employment; 3 or unemployed but has adequate job skills | Unemployed and virtually 6 unemployable; needs training | _____ |

FINANCIAL MANAGEMENT

| Long-standing pattern of -1 self-sufficiency; e.g. good credit rating | 0 No current difficulties | Situational or minor 3 difficulties | Severe difficulties may in- 5 clude garnishment, bad checks or bankruptcy | _____ |

MARITAL/FAMILY RELATIONSHIPS

| Relationships and support -1 exceptionally strong | Relatively stable 0 relationships | Some disorganization or 3 stress but potential for improvement | Major disorganization or 5 stress | _____ |

COMPANIONS

| Good support and -1 influence | No adverse relation- 0 ships | Associations with occasional 2 negative results | Associations almost com- 4 pletely negative | _____ |

EMOTIONAL STABILITY

| Exceptionally well ad- -2 justed; accepts respon- sibility for actions | No symtoms of emotional 0 instability; appropriate emotional responses | Symptoms limit but do not 4 prohibit adequate function- ing; e.g., excessive anxiety | Symptoms prohibit adequate 7 functioning; e.g., lashes out or retreats into self | _____ |

ALCOHOL USAGE

| | No interference with 0 functioning | Occasional abuse; some 3 disruption of functioning | Frequent abuse; serious dis- 6 ruption; needs treatment | _____ |

OTHER DRUG USAGE

| | No interference with 0 functioning | Occasional substance 3 abuse; some disruption of functioning | Frequent substance abuse; 5 serious disruption; needs treatment | _____ |

MENTAL ABILITY

| | Able to function 0 independently | Some need for assistance; 3 potential for adequate adjustment | Deficiencies severely limit 6 independent functioning | _____ |

HEALTH

| | Sound physical health; 0 seldom ill | Handicap or illness inter- 1 feres with functioning on a recurring basis | Serious handicap or chronic 2 illness; needs frequent medical care | _____ |

PROBATION OFFICER

| -1 Minimum | 0 Low | 3 Medium | 5 Maximum | _____ |

TOTAL _____

PROBATIONER _____
Last   First   MI

Probation Identification number _____

Probation Officer _____ Date Scored _____

RISK ASSESSMENT

PROBATIONER _____
Last   First   MI   Number

PROBATION OFFICER _____ DATE OF EVALUATION _____

Select the appropriate answer and enter the associated weight in the score column. Total all scored to arrive at the risk assessment score.

SCORE

Number of Address Changes in the Last 12 Months	0 None	_____
	2 One	
	3 Two or more	

Percentage of Time Employed in Last 12 Months	0 60% or more	_____
	1 40% - 59%	
	2 Under 40%	
	0 Not applicable	

Attitude	0 Motivated to change, receptive to assistance	_____
	3 Dependent or unwilling to accept responsibility	
	5 Rationalizes behavior, negative, not motivated to change	

Alcohol Usage/Problems	0 No apparent problems	_____
	2 Moderate problems	
	4 Serious problems	

Other Drug Usage/Problems	0 No apparent problems	_____
	1 Moderate problems	
	2 Serious problems	

Age at First Conviction (or Juvenile Delinquency Adjudication)	0 24 or older	_____
	2 20 - 23	
	4 19 or younger	

| Number of Prior Periods of Probation Supervision | 0 None | _____ |
| | 4 One or more | |

| Number of Prior Probation Revocations (Adult or Juvenile) | 0 None | _____ |
| | 4 One or more | |

Number of Prior Felony Convictions (or Juvenile Delinquency Adjudication)	0 None	_____
	2 One	
	4 Two or more	

Convictions or Juvenile Delinquency Adjudication for _____ (select all applicable and add for score; including present offense)	2 Burglary	_____
	2 Larceny	
	2 Auto Theft	
	2 Robbery	
	3 Worthless Checks	
	3 Forgery	

| Conviction or Juvenile Delinquency Adjudication for Assaultive Offense (an offense which involves the use of a weapon, physical force or threat of force) | 15 Yes | _____ |
| | 0 No | |

TOTAL _____

AGENCY: Suffolk County   TYPE OF INSTRUMENT: Base Expectancy
          Dept. of Probation   Form
LOCATION: Yaphank, Long Island, New York   CONTACT: Marvin Bohnstedt
                                                      American Justice Institute
DECISION POINT: Probation/Parole Supervision   (916) 444-3096

The Suffolk County Department of Probation employs a base expectancy type
instrument entitled the "Suffolk Probation Differential Classification Form"
(SPDCF) in making level of supervision decisions. The instrument is a base
expectancy type scale containing five categories of information, with from one
to four variables per category. These variables are weighted and summed to arrive
at an overall score which recommends an appropriate supervision level based on a
client's potential to recidivate. Approximately 350 adult felons and misdemeanants
are screened using the form each month.

The instrument was developed through original research performed by the
Department. After selecting and testing a cluster of variables on a stratified,
random sample, the resulting draft instrument was then tested, redesigned, and
revalidated. Additional validation work and modification of the device has occurred
over time.

Probation officers complete the form according to a set of specific written
guidelines. Technical expertise is not required to use the instrument, although
its continued validation requires personnel experienced in statistical methods.
Specific definitions are also given for the more subjective elements on the forms.
Instrument results are the sole basis for the decision, except in rare cases (less
than 1%) where the instrument is overruled due to specific factors not considered
by the device. Offenders do not actively participate in the screening process;
however, they are aware that they are being classified and are informed of screen-
ing standards and results.

Ongoing validation research on the instrument has been conducted, and results
are available by contacting the agency (James Golbin, Principal Research Analyst).
The SPDC Form has proven to be valid in the setting for which it was designed, and
has resulted in an increased movement toward placing cases under minimum supervision.
Statistics indicate that recidivism has increased little (if any) despite the trend
toward minimum supervision. Staff were initially resistant to using the instrument

although they are more supportive at present. Fears of having decision
authority circumscribed and enduring additional paperwork demands have dissi-
pated with the introduction of an override feature in decision making, and
the reduction of required paperwork in other areas. Although decision makers
are concerned with the limited resources available for the screening process,
they are confident that the instrument is accurate and reliable. The instru-
ment was not submitted to legal review prior to implementation, but legal
concerns were considered in its development and administration.

SUFFOLK COUNTY NEW YORK
DEPARTMENT OF PROBATION

DIFFERENTIAL CLASSIFICATION FORM FOR THE SUPERVISION OF PROBATIONERS

NAME: _____   CASE NO: _____   DATE: _____

PROBATION OFFICER: _____   S.P.O: _____   OFFICE: _____

A. Current Offense - Status: Yes ☐   No ☐   SCORE
   1. Felony conviction(s) (2 pts)   ☐
   2. Assaultive conviction(s) (2 pts)   ☐
   3. Driving While Intoxicated (1 pt)   ☐

B. Psychological Instability: Yes ☐   No ☐
   1. Hospitalization or committment to a rehabilitative program (2 pts)   ☐
   2. Diagnosed psychotic, severely emotionally disturbed, severely retarded (2 pts)   ☐
   3. Alcohol or drug dependent (2 pts)   ☐

C. Prior Record (last 7 years) :   Yes ☐   No ☐
   1. Felony conviction(s) (2 pts)   ☐
   2. Misdemeanant conviction(s) (2 pts)   ☐
   3. Youthful Offender (YO) convictions (2 pts)   ☐
   4. Juvenile Delinquency (JD) Adjudication (1 pt)   ☐

D. Social Instability: Yes ☐   No ☐
   1. Educational vocational, employment deficits (1 pt)   ☐
   2. Weak, non-existent positive family or community attachments (1 pt)   ☐
   3. Recidivism or Recidivistic tendencies (2 pts)   ☐

E. Age: This variable is only used for marginal cases. Between 16 - 24 years old (1 pt)   ☐

Variables	Status	Level of Severity
A. Current Offense		
B. Psychological Instability		
C. Prior Record		
D. Social Instability		
Subtotal		
E. Age	XXXXX	
Total		
LENGTH OF SENTENCE:	TIME SERVED:	LENGTH OF A.S:

CLASSIFICATION: Intensive ☐   Active ☐   Special ☐

Prob. 30-120

23-617

AGENCY: Multnomah County Probation Dept.

TYPE OF INSTRUMENT: Weighted Personal History Form

LOCATION: Portland, Oregon

CONTACT: William Wood Supervisor, Corrections Counseling

DECISION POINT: Probation/Parole Supervision

(503) 248-5167

The Multnomah County Probation Department utilizes a "Personal History Form" in making level of probation supervision decisions. The form is a standard biographical information questionnaire in which weights (points) have been assigned to eleven individual items. After calculating the points for each variable, the scorer sums the points to arrive at an overall score which recommends a supervision level based on the recidivistic potential of the client. The form is used to screen approximately 100 adult felons and misdemeanants monthly. The main criterion measured by the form is community stability.

The Personal History Form has gone through several re-evaluation stages, with each modification made on the basis of the subjective opinion of a committee responsible for the screening process. The several refinements the form has undergone have served to tailor the device to the specific characteristics of the local community, but the lack of research in its development and implementation renders the usefulness of this instrument in other jurisdictions uncertain.

Probation officers complete the form according to specific guidelines. The form is straightforward and its administration does not require technical expertise. Nevertheless, special training in its use is provided to all officers, and random audits are conducted to ensure scoring consistency. The form also calls for the subjective opinion of the scorer as to the degree of supervision required by the case. In approximately 5% of the cases screened, the recommendation of the instrument is overruled due to special circumstances in the case. The classification process is open for discussion with the client, and clients are informed of the outcome of the screening. However, clients are not told of the specific screening criteria or the classification score in their case.

The instrument has not been carefully researched or evaluated, but administrative statistics do indicate that a larger proportion of cases (about 5%) are in minimum supervision since classification has been initiated. No other data on the instrument are presently available. After an initial period of

confusion and criticism, those who use the device are supportive of it. Agency administrators are also positive about the instrument. The form was not submitted for legal review prior to implementation and legal concerns were not expressly considered in its development or implementation.

The Personal History Form is one of the few known attempts to weight items on a standard biographical form with the intent of predicting risk. The weights were derived intuitively, however, and the instrument has not been validated. Research to gauge the usefulness and validity of the instrument could therefore prove very insightful in determining if this type of classification tool is practical to develop and implement.

**MULTNOMAH COUNTY OREGON
PROBATION DEPARTMENT**

MULTNOMAH COUNTY PROBATION SERVICES

PERSONAL HISTORY FORM

PLEASE FILL OUT THIS FORM CAREFULLY AND COMPLETELY. AN
INTERVIEWER WILL DISCUSS IT WITH YOU AFTER YOU HAVE COMPLETED
IT AND YOU MAY ASK QUESTIONS YOU HAVE AT THAT TIME.   DATE: _____

GENERAL INFORMATION

NAME: _____

OTHER NAME USED: _____

PRESENT ADDRESS: _____

HOW LONG HAVE YOU LIVED THERE? _____ ①

TELEPHONE NO.: _____

SOCIAL SECURITY NO.: _____

DRIVER'S LICENSE: STATE: _____ NUMBER: _____

DATE OF BIRTH: _____ ②

HOW LONG HAVE YOU LIVED IN THE METROPOLITAN AREA? _____ IN OREGON? _____

OTHER STATES YOU HAVE LIVED IN: _____

RESPONSIBLE PERSON (SOMEONE WE CAN CONTACT WHO WILL FORWARD A MESSAGE TO YOU, OTHER THAN LIVING PARTNER) NAME, ADDRESS AND PHONE:_____

FOR OFFICE USE ONLY

① 5+ 7 / 1-5 5 / <1 3 / <6 mo 0

② 40+ 5 / 26-40 3 / 21-26 1 / <21 0

EDUCATION

NAME AND LOCATION OF LAST SCHOOL ATTENDED:_____

DID YOU GRADUATE? YES ___ NO ___

HIGHEST GRADE COMPLETED: _____ ③

③ Post HS 5 / HS/GED 3 / <HS 0

EMPLOYMENT/INCOME

WHAT IS YOUR USUAL OCCUPATION? _____

WHERE ARE YOU EMPLOYED? _____

HOW LONG HAVE YOU WORKED THERE? _____ ④

PRESENT SALARY/WAGE:_____

④ +3 7 / 1-3 5 / <1 3 / <6 mo 0

PREVIOUS EMPLOYMENT:
START DATE   END DATE   EMPLOYER   JOB   REASON FOR LEAVING

_____

_____

SPOUSE/LIVING PARTNER'S JOB AND SALARY/WAGE: _____

OTHER SOURCES OF INCOME AND AMOUNT: _____

MILITARY

BRANCH OF MILITARY SERVICE: _____ TYPE OF DISCHARGE: _____

LENGTH OF MILITARY SERVICE: _____ DATES: _____

PARENTS/CHILDHOOD

FATHER'S NAME AND ADDRESS: _____

MOTHER'S NAME AND ADDRESS: _____

FIRST NAMES AND AGES OF BROTHERS/SISTERS: _____

_____

NAME AND ADDRESS OF NEAREST BROTHER/SISTER/RELATIVE: _____

_____

DID YOUR PARENTS SEPARATE/DIVORCE? _____ WHEN? _____

WERE YOU HAPPY GROWING UP? YES _____ NO _____ EXPLAIN: _____

_____

WHEN YOU WERE GROWING UP, WHICH FAMILY MEMBER DID YOU GET ALONG WITH BEST? WHY?

_____

_____

MARITAL

HOW MANY TIMES HAVE YOU BEEN MARRIED? _____ CURRENT STATUS: _____

⑤

+3	1-3	<1	None
7	5	3	0

CURRENT SPOUSE/LIVING PARTNER'S NAME: _____

CURRENT SPOUSE/LIVING PARTNER'S ADDRESS: _____

DATE OF MARRIAGE/BEGAN LIVING TOGETHER: _____

DATE SEPARATED: _____

CHILDREN BORN TO SPOUSE/PARTNER, NAMES AND AGES: _____

_____

PRIOR MARRIAGES: FIRST   SECOND   THIRD

NAME: _____

DATE OF MARRIAGE: _____

CHILDREN (NAMES AND AGES): _____

    "   "   "   " _____

    "   "   "   " _____

(CIRCLE NAMES OF CHILDREN WHO ARE LIVING WITH YOU)

FINANCIAL

MONTHLY EXPENSES:

RENT: _____ HOUSE PAYMENT: _____

CHILD SUPPORT: _____ UP TO DATE? _____

ALIMONY: _____ UP TO DATE? _____

DEBTS: NAME   AMOUNT   MONTHLY PAYMENT   UP TO DATE?

_____

_____

_____

        TOTAL: _____

SAVINGS: _____

VEHICLE

YEAR, MAKE AND MODEL OF VEHICLE(S): _____

_____

LICENSE NO(S): _____ TITLE HOLDER(S) _____

DO YOU CURRENTLY HAVE INSURANCE ON YOUR VEHICLE(S)? _____

VEHICLE INSURANCE COMPANY/AGENT: _____

HAS YOUR DRIVER'S LICENSE EVER BEEN SUSPENDED OR REVOKED? WHEN AND WHY? _____

_____

_____

HEALTH

MY PRESENT HEALTH IS: _____

LIST ALL MEDICATIONS YOU ARE TAKING AND WHY: _____

_____

WHO PRESCRIBED THEM? _____

DO YOU HAVE MEDICAL INSURANCE? IF SO, WHAT COMPANY? _____

HAVE YOU EVER CONTACTED A PSYCHOLOGIST, PSYCHIATRIST OR COUNSELOR? YES _____ NO ____

WHO, WHERE AND WHEN? _____

_____

HAVE YOU EVER BEEN HOSPITALIZED FOR EMOTIONAL OR PSYCHOLOGICAL REASONS? YES _____ NO ___

HAVE YOU EVER HAD BAD EXPERIENCES WITH DRUGS OR ALCOHOL? (BLACKOUTS, OVERDOSES, ETC.)
WHAT HAPPENED? _____

_____

⑥

No	Occ	1	+1
5	3	2	0

ARREST RECORD

LIST THE CHARGE, DATE SENTENCED AND SENTENCE OF ALL TRAFFIC CHARGES THAT RESULTED IN
A FINE OF MORE THAN $50., PROBATION, OR JAIL:

        CHARGE   DATE   STATE   SENTENCE

⑦

0	1	2	3+
7	5	3	0

_____

_____

_____

LIST THE CHARGE, DATE SENTENCED AND SENTENCE OF ALL CRIMINAL CHARGES:

        CHARGE   DATE   STATE   SENTENCE

_____

_____

_____

⑧

0	1	2+
3	1	0

ARE YOU NOW, OR HAVE YOU EVER BEEN ON PROBATION OR PAROLE: _____

WHY, WHEN, AND WHERE? _____

_____

DO YOU BELIEVE YOU WERE JUSTLY ARRESTED, TRIED AND CONVICTED? (CURRENT OFFENSE) WHY?

_____

WAS THERE A VICTIM--SOMEONE HURT PHYSICALLY OR FINANCIALLY DURING THE EVENTS
SURROUNDING YOUR ARREST? WHO? HOW DO YOU FEEL ABOUT THAT? _____

⑨ None / 5 / NIV / 3 / DC / 0 /

_____

⑩ None / 5 / V / 3 / P / 0 /

_____

ARE YOU SEEING ANY AGENCY ON A REGULAR BASIS, I.E., WELFARE, DEPARTMENT OF
VOCATIONAL REHABILITATION, ALCOHOL CLINIC, ETC.? _____

⑪ Un / 5 / Mon / 3 / Sup / 0 /

_____

CURRENT OFFENSE

GENERAL

TOTAL _____

Points

A - / / 0 - 25

B - / / 26 - 36

C/D- / / 37+

TELEPHONE INTERVIEW SUMMARY

AGENCY: Probation Office of
U.S. District Court

LOCATION: Portland, Oregon

DECISION POINT: Probation/Parole Supervision

TYPE OF INSTRUMENT: Base Expectancy
Scale

CONTACT: Marvin Bohnstedt
American Justice Institute
(916) 444-3096

The Probation Office of the U.S. District Court in Portland, Oregon employs
a base expectancy type screening instrument in making probation and parole level
of supervision decisions. The instrument consists of 17 weighted variables that
when calculated generate an overall score recommending one of three supervision
levels. The device screens clients for risk of recidivism and harm to others, and
their ability to comply with probation and parole stipulations. About 20 felony
and misdemeanor offenders are screened by the instrument each month.

This is the first classification tool used by the Portland Probation Office.
The scoring procedure and variables included on the instrument were adapted from
the California Base Expectancy Scale after substantial modification. The
device has not been changed since implementation.

A probation officer possessing a B.A. degree and two years of probation
experience completes the form according to written instructions. The instrument
is used as a guide for officers in the classification process--it is not a mandate.
Officers also consider such factors as the rehabilitative needs of the client in
making the supervision decision. In about 25% of the cases, the instrument's
recommendation is overruled. Offenders are unaware that they are being classi-
fied and are not informed of screening standards or results. Each screening
takes about ten minutes and costs approximately $1.00.

No evaluative research has been conducted to validate this instrument. The
office also reports that the device has not significantly affected the size of
the supervision caseload. Decision makers express confidence in the accuracy
and reliability of the scale, and those who use it have experienced no major
operational problems. Although other probation offices have borrowed this in-
strument for classification purposes, the lack of an evaluation study and the
limited impact of the screening procedure on the Portland Probation Office create
uncertainty as to the validity and usefulness of this base expectancy scale.

The instrument was not reviewed by legal counsel prior to implementation,
and legal concerns were not expressly considered in its development.

FEDERAL PROBATION/PAROLE OFFICE
PORTLAND, OREGON

Probation/Parole Supervision
Instrument

SCORING FORM

NAME: _____

TYPE: _____

Characteristics:		Points:
A. Arrest free period of five or more consecutive years.	12	_____
B. No history of opiate usage.	9	_____
C. Few periods of incarceration. (None, 1, or 2)	8	_____
D. Most recent conviction does not involve checks, forgery or burglary.	7	_____
E. No previous probation or parole failures.	7	_____
F. No family criminal record.	6	_____
G. No alcohol involvement.	6	_____
H. Presently employed or otherwise productively occupied.	6	_____
I. No history of drug abuse or extensive use of marijuana.	5	_____
J. First arrest occurred after the age of 14.	5	_____
K. Twelve months steady employment within one year prior to arraignment for present offense.	6	_____
L. Four to eleven months steady employment prior to arraignment for present offense. (If given 6 points on Item K, also add 4 points for this item).	4	_____
M. Meaningful family ties.	5	_____
N. Favorable living arrangement.	5	_____
O. High school graduate or equivalency.	4	_____
P. Few prior arrests. (None, 1, or 2)	4	_____
	Sub Total	_____

Q. If the offender's present crime involves one of the following, deduct 25 points from the sub-total:
1. Any crime of violence.
2. Sale of "hard" narcotics for profit.
3. Extortion

_____

Total Points _____

SCALE TO DETERMINE DEGREE OF SUPERVISION REQUIRED

C	B	A
00 -- 49	50 -- 75	76 -- 99

TELEPHONE INTERVIEW SUMMARY

AGENCY: Seattle Municipal Probation Service

LOCATION: Seattle, Washington

DECISION POINT: Probation/Parole Supervision

TYPE OF INSTRUMENT: High-Low Supervision Form

CONTACT: Gary Schaub
Supervisor of Probation Service
(206) 625-4618

The Seattle Municipal Probation Service utilizes a "High-Low Supervision Scoring Form" in making level of probation supervision decisions. The form consists of ten weighted variables, in addition to space for the opinion of the scorer. After computing the points for each variable, the scorer totals the points to arrive at an overall score which recommends either high or low supervision. Approximately 150 adult misdemeanants are classified using the instrument each month for risk of recidivism.

This is the first instrument used by the agency for classification purposes. It was developed intuitively and from segments of the Federal Base Expectancy Scale. After completion, the form was validated through a research study using a sample of cases with known outcomes. As a result of the research, some weights were changed before the instrument was implemented.

Probation officers complete the form according to a set of written guidelines. Officers receive informal training in instrument usage, but no special expertise is required to use the device. Officer discretion is called for on the form under the heading "Counselor Discretion." In about 10% of the cases, the instrument's recommendation is overruled due to unusual circumstances in the case. The only exclusions from the screening process are those cases involving restitution or community service sentences. Offenders are not aware of the screening procedure nor are they officially informed of the results. Each screening costs about $3.00 and requires approximately ten minutes.

Results of a controlled study of high-low supervision cases are forthcoming, but no data are available as yet. The agency reports, however, that no obvious change has occurred in the distribution of cases since the inception of screening. Those who use the form are satisfied with its predictive accuracy and see it as a useful screening tool. There have been no complaints regarding the instrument or the screening procedure. The device was not submitted for legal review prior to implementation, and legal concerns were not expressly considered in its development.

HIGH/LOW SUPERVISION SCORING FORM

POINTS		CHARACTERISTICS
18	I.	No prior arrests (if under 23 years). Arrest free period of five consecutive years prior to current arrest(if 23 years of age or over).
9	II.	Twelve months steady income/employment within one month prior to arraignment for present offense.
or	or	
5	III.	Four-eleven months steady income/employment within one month prior to arraignment for present offense.
	IV.	No history of opiates, amphetamines, barbiturates, hallucinogens. History includes any drug related conviction in past year. Choose ONE:
5		A. No history.
3		B. Has used.
0		C. Regular use.
	V.	Alcohol involvement. Choose ONE:
5.		A. No alcohol abuse.
3		B. Alcohol related offense in past year..
0		C. Current offense alcohol related.
0		D. Professionally evaluated or admitted alcoholic.
	VI.	Mental Health Status. Choose ONE:
5		A. Defendant has never undergone psychiatric care nor been in contact with mental health services.
2		B. Defendant has undergone psychiatric care or been in in contact with mental health services in the PAST.
2		C. Defendant is presently undergoing psychiatric or mental health services.
0		D. Defendant has been hospitalized for mental health care, or both B and C above.

YES	NO	VII.	Living Situation.
1	0		A. Are you satisfied with your home/family living situation?
1	0		B. Are you satisfied with your physical living situation?
1	0		C. Do you provide two or more basic living expenses for someone else?
1	0		D. Have you lived at the present address for six months?
0	1		E. Do you have any social relationships that are causing problems in your life?
1	0		F. Has your reputation been adversely affected in the community as a result of your arrest?

POINTS		CHARACTERISTICS
4	VIII.	No misdemeanant commitments.
2	IX.	No felony convictions.
1	X.	No false information.
-11	XI.	Two or more arrests(including current) in past six months.

COUNSELOR DISCRETION:

HIGH: 1-35 pts.   LOW: 36-55 pts.

AGENCY: Western Washington District
         Federal Probation and Parole

TYPE OF INSTRUMENT: Salient Factor
                    Score

LOCATION: Seattle, Washington

DECISION POINT: Probation/Parole Supervision

CONTACT: Marvin Bohnstedt
         American Justice Institute
         (916) 444-3096

The Federal Probation and Parole Office in Western Washington employs a classification form entitled the "WD/WA-7 Case Classification-Salient Factor Score" in making probation and parole level of supervision decisions. The instrument includes seven weighted criteria that when computed and summed generate a single, overall score; this score is then translated into one of three supervision levels. The form is used to screen approximately 50 adult felons and misdemeanants monthly for risk of recidivism.

The Salient Factor Score (SFS) was borrowed intact from the Federal Parole Commission. A modified base expectancy form was used previously by the agency, but it was abandoned because of a subjective opinion that it was not adequately predictive. The Salient Factor Score was then adopted because agency administrators felt that it had a stronger research base. Nevertheless, validation research has not been conducted locally on either form. The only change made in the original Parole Commission SFS was the addition of the "Prognosis" section at the bottom of the present form.

Probation officers complete the form according to specific guidelines using information from official records and a personal interview. Officers do not receive formal training in instrument usage, and no special expertise is required. Most supervision level decisions are based on instrument recommendations, but probation officers may assign clients to a different level at their own discretion. In these cases, officers are required to provide written rationale for overruling the instrument (this occurs in about 5% of the cases). The initial classification is reviewed after six months, at which time the client may be reassigned. Offenders are not aware that they are being screened, nor are they officially informed of the screening results. Classifications generally require about five minutes and cost about $5.00.

Research has not been conducted locally to judge the instrument's validity or impact on case processing and distribution. However, the agency feels that the instrument is needed to improve decision consistency and accuracy, but that

assumption has not been tested. Those who use the device report no problems with it or the screening procedure. Agency administrators and representatives of other criminal justice agencies are also positive about the procedure. The instrument was not subjected to legal review prior to implementation, and legal concerns were not directly considered in its development.

WD/WA-7

CASE CLASSIFICATION - SALIENT FACTOR SCORE

CASE NAME:_____

Item A..( )

    No prior convictions (adult or juvenile) = 3
    One prior conviction = 2
    Two or three prior convictions = 1
    Four or more prior convictions = 0

Item B..( )

    No prior incarcerations (adult or juvenile) = 2
    One or two prior incarcerations = 1
    Three or more prior incarcerations = 0

Item C..( )

    Age at first commitment (adult or juvenile):
      26 or older = 2   18 - 25 = 1   17 or younger - 0

Item D..( )

    Commitment offense did not involve auto theft or check(s)
      forgery/larceny) = 1
    Commitment offense involved auto theft (X), or check(s) (Y),
      or both (Z) = 0

Item E..( )

    Never had parole revoked or been committed for a new offense
      while on parole, and not a probation violator this time = 1

    Has had parole revoked or been committed for a new offense
      while on parole, (X), or is a probation violator this time(Y),
      or both (Z) = 0

Item F..( )

    No history of heroin or opiate dependence = 1
    Otherwise = 0

Item G..( )

    Verified employment (or full-time school attendance) for a
      total of at least 6 months during the last 2 years in the
      community = 1   otherwise = 0

TOTAL SCORE: ....( )

PROGNOSIS

Very good
(11-9)_____   Good
    (8-6)_____   Fair
    (5-4)_____   Poor
    (3-0)_____

PROBATION OFFICER'S SUPERVISION CLASSIFICATION

Minimum_____(green)   Medium_____(yellow   Maximum_____(red)

Probation Officer's Rationale:

U. S. Probation Officer _____   Date _____

END