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The Commonwealth of Massachusetts
Office of the Commissioner of Probation

JOSEPH P. FOLEY
Commissioner

Manual for
RISK/NEED CLASSIFICATION
SYSTEM
REPORT #3

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Massachusetts Commissioner
Of Probation

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PREFACE

From the beginning of recorded history, we are aware of the fact that social groups have made constant efforts to overcome the disruptions caused when one member of the group does harm to another. In small and primitive societies, survival of the group often depended on the fullest use of the abilities of every member. When one member was incapacitated and his/her contributions were hampered or eliminated, the survival of the entire group might be threatened. Acts of any group member that impaired the functioning of another thus were considered serious and dealt with accordingly.

The history of Western civilization reveals centuries of harsh and brutal treatment of law violators, especially for acts considered injurious to the person or property of others. Most serious offenses were punished by hanging, stoning and various forms of punishment that generally resulted in death. Less serious acts brought amputations, flogging, branding or placement in stocks. These penalties were sometimes supplemented by exile, banishment to distant penal colonies, or consignment as galley slaves. At a later time, indenture and confinement in dungeons or cells was sometimes used in lieu of corporal punishment.

The harsh and rigidly imposed penalties of European criminal law and English common law were part of the cultural heritage brought to America by the colonists. Thus, while many of the colonists had fled their homelands to escape oppressions, there was little apparent concern for "fundamental fairness" or due process in their methods of dealing with offenders in the new world.

As the colonists started to develop an identity that ultimately led to the American Revolution, they also started a significant and, in many ways, a radical transition in their thinking about the criminal justice process.

Late eighteenth century Americans were passionately devoted to the concept of the equality of man. This concept was thoroughly ingrained in the philosophy of our nation's founders; it permeated every field of human endeavor and was even written into our Declaration of Independence. By analogy, all criminals were equal to each other. This led to an early nineteenth century idea

that equivalent incarceration was considered just and punitive in both philosophy and in fact, because it was thought that punishment would alter subsequent human behavior.

With the advent of many of the reform movements of the mid-nineteenth century and the start of the study of human behavior through the field of psychology, an emergence of the idea of individual differences and uniqueness started to have an effect in legislative halls as well as in criminal courts. It is out of the changes of the nineteenth and twentieth century, understanding of human behavior and the general public's ever evolving attitude toward criminal offenders that we have our present field of probation.

BACKGROUND AND DEVELOPMENT OF RISK/NEED CLASSIFICATION SYSTEM

In January 1973, the National Advisory Commission on Criminal Justice Standards and Goals issued the Report on Corrections which stated that probation was the "brightest hope for corrections" but had failed to develop systems for determining who should be on probation and for giving offenders the support and services they need to live independently in a socially acceptable way. The reasons for probation's failure to realize its hopes are multiple, but some of the following reasons can be identified as being central to the problem.

- Offenders need more services than can readily be provided by existing community service agencies.
- The risk to society has increased.
- State and county budgets are strained as the need for resources builds.
- Offenders' needs have been inadequately identified or addressed because of insufficient diagnosis and action planning.

Despite these multiple problems, the use of probation has increased dramatically during the last decade.

In a 1974 study done by the Law Enforcement Assistance Administration, it was found that between 71 and 83 percent of the convicted offenders appearing before the court were placed under probation supervision. In this study, state corrections officials, judges, and probation officials gave many reasons why the use of probation has increased:

- The cost of keeping offenders in prison as compared to probation is high.
- Probation is the only choice in many cases because State prisons are full.
- Under probation, offenders can earn money to pay fines and restitution to victims.

More recently, however, probation has been put on the defensive and often characterized as an excessively lenient disposition, inappropriate for many offenders. These charges have been made in the context of a wide-ranging discussion and review of the ideal purpose and structure for the correctional enterprise.

Public and private study groups and commissions, leading corrections spokesmen, criminologists and theoreticians alike are debating the merits of various sentencing models - retribution, deterrence, rehabilitation, incapacitation, etc., - and practitioners are left to ponder what direction to take in their day-to-day work.

In examining the many proposals for reform, two realities emerge rather clearly:

- First, all models rest on a soft empirical base. While progress is made daily, the research has not yet reached the stage that would allow us to be anything but tentative about the current state of the art. In other words, we know far less than we need to know to be conclusive about what truly works.

In this connection, James Q. Wilson, Harvard criminologist, has recently made the following comment:

There are very few areas of public dispute wherein one can find the amassed data, the careful analyses, and the evaluated experiments that would entitle us to assign a very large weight to scholarly arguments about the likely effect of doing one thing rather than another.

- Secondly, the various models are not mutually exclusive. Elements of one are often compatible with elements of others. This suggests that policy makers would do well to keep this in mind and look toward a synthesis of the best ideas in several models rather than anticipate the predominance of any single model.

While these issues somewhat handicap the process of arriving at definitive policy, some general principles can be extracted from the writings and discussions which can serve as a guide for future planning. Keeping in mind that the mission of Massachusetts Probation Service is to serve the court, the community, and the offender, these principles can be summarized as follows:

1. The Primacy of Judicial Orders. The judge makes the ultimate decision concerning probation and probationary terms. We must adhere to specific judicial decisions and orders concerning types and conditions of probationary supervision.
2. Concern for the Victim and Community. Increasingly, it has been recognized that the rights and interests of the victim have been overshadowed by those of the offender. Simple justice requires that those who suffer at the hand of criminals should be made whole. Hence, the last several years have seen the proliferation of restitution, community service and victim assistance programs.
3. Reconceptualizing Rehabilitation. Numerous studies bring into question the effectiveness of the medical model of treatment and casework. Studies such as Robert Martinson's (1975), Wisconsin Probation (1975), CRMT in Colorado (1976), Promising Strategies in Probation and Parole (1978), and Improved Probation Strategies (1978) all force us to look at the following issues:

- Probation is in need of improved delivery of services.
- Most offenders are not pathologically ill, therefore, the counselor/therapist role is usually inappropriate.
- Existing probation manpower is not likely to be expanded.
- Services needed by the offender to "make it" in society are available in the community or, if not, they must be created in the community.

The same extensive research previously mentioned also leaves us with a bright ray of hope. There is positive research support in terms of lower recidivism rates in probation when specialized supervision plans based upon concrete offender needs are established and spell out who, what, when, and where services will be delivered. Indeed, research has consistently indicated that correctional systems that implement an empirically validated classification system are more successful than others. Offenders are not so homogeneous that a single, undifferentiated approach is appropriate. Nor are they so diverse as to make a case-by-case approach necessary. In recognizing that the likelihood of

recidivism and the need for helpful assistance can both be systematically determined, case classification provides for an effective intervention.

A closer observation of our present state of affairs indicates that the Massachusetts Probation Service serves approximately 70,000 offenders annually. These offenders differ tremendously in the following:

1. The degree of risk they constitute in the community, i.e. the likelihood they will commit and be convicted of new offenses while under probation supervision.
2. The degree of physical as well as psycho-social needs of the offenders.
3. The level of motivation and ability that offenders possess to improve their immediate lifestyle and situation.

A systematic and professional classification and documentation of these critical offender characteristics will facilitate informed decision making regarding practical supervision strategies that will effectuate improved accountability and efficiency in probation case management. The risk/need classification system which is outlined in the following pages, provides the probation officer with an objective scale for the prediction of offender risk and a unified framework for assessing offender motivation and ability in relation to needs/strengths. Additionally, the risk/need classification system provides a wealth of information descriptive of offender and agency performance which serves administrative needs and allows the Massachusetts Probation Service to attain its mission and goals to be of service to the court, offender and community.

History

In 1979, the Office of the Commissioner of Probation embarked upon an experiment in case classification. The first phase of the experiment included the introduction of a needs assessment instrument that required probation officers to methodically assess each offender with respect to eleven major need areas. This instrument incorporated the basic elements of Situational Leadership Theory as developed by Hersey and Blanchard and required that probation officers

determine the level of maturity possessed by the offender in each need area and the corresponding and appropriate style for intervention.

The second phase, following some months later, featured the addition of a risk instrument, including a scoring mechanism for eight actuarially weighted factors shown through research to be related to recidivism. The composite score on the risk instrument became determinative of the level of supervision established with the offender.

The third phase which has led to the establishment of the Risk/Need Standards grew out of the lessons and experiences of the first two phases. Fifteen months of statistical material was collected from the nine pilot probation offices (Hampden, Plymouth and Suffolk Superior Courts, Cambridge, Peabody, Quincy, Taunton, and Worcester District Courts, and Middlesex Juvenile Probation District). In addition all of the other probation offices throughout the state supplied extensive and constructive feedback. Detailed monitoring by Regional Administrators further constituted a solid data base in support of the present standardized system.

The third phase Risk/Need Offender Classification System is a caseload management system which provides for rational allocation of resources to offenders according to each offender's individual risk to the community and identified needs/strengths. This system of caseload management also emphasizes the importance of setting specific goals with each offender and then evaluating the offender's achievement of these goals over the period of probation supervision.

Finally, two additional realities must be kept in mind at all times. First, human behavior is extremely difficult to predict and no system of caseload management can be expected to be perfect or infallible. Certainly, no probation officer or office can expect to achieve absolute success with every offender.

Secondly, an offender whose case has been comprehensively screened and determined to be low-risk may, in fact, commit a subsequent crime in the community. On the other hand, the most aggressive surveillance and active monitoring of a high-risk offender cannot insure against recidivism. With these exceptions admitted, the position can be made that a formal case management system, such as the Massachusetts Risk/Need Classification System, will provide

a comprehensive method of efficiently and effectively employing probation supervision services and resources.

Descriptive Overview

The third phase of the Risk/Need Classification System perhaps can best be described by examining its functional utility, that is, its relevance to the task of the probation officer confronting a new case. It would seem that the probation officer must answer three basic questions in determining the dimensions of his/her supervision of the offender:

- 1) Frequency of contact. How often and in what manner (in person, by phone, mail - etc.) should the probation officer be contacting the offender?
- 2) Content of contact. What issues or problems should the probation officer be addressing in his/her contact with the offender?
- 3) Style of contact. What approach or mode of intervention (directing, coaching, motivating, self-help) ought the probation officer to employ in working with the offender?

The third phase of Risk/Need provides a scheme for answering these three basic questions. Each area will be addressed separately.

1. Frequency - The assessment of offender risk form (OCP R-1/82) will determine the minimum degree of contact the Probation Officer should be having with the offender. Predicated on the belief that a probation officer contacts with the offender should be in proportion to the probability of the offender violating the law while under probation supervision, the instrument itself has proven capable of discerning with considerable reliability those offenders who present the greatest risk.
2. Content - Secondly, the probation officer must determine the appropriate agenda for his/her contacts. What should be done during these contacts? The probation officer's first priority must be the enforcement of all court orders. This includes the monitoring of all standard and special conditions of probation. Included among the latter may be orders of court costs, fines, restitution, community service, curfews, participation in treatment, etc. As an agent of the court, the probation officer must adhere to the judge's orders, which both establish and limit the probation officer's authority. He must enforce all conditions set by the judge.

In addition to enforcing the court's orders, the probation officer should use his/her contacts with the offender to help in remediating the identified problems of the offender. In this context, the term "problem" is meant to refer to a need that is related to possible future law violating behavior.

The need instrument has been modified to increase both ease of use and effectiveness in creating a picture of the offender's problems and strengths. The instrument retains four possible scores for each need/strength area. In general, the essence of the scores are found on OCP N/S Chart 1-82 and can be described as follows:

<u>PROBLEMS</u>		<u>NO PROBLEMS</u>	
-2 Critical problem	-1 Moderate problem	+1 No apparent problem	+2 Positive strength in need area

The probation officer is to determine a score for each of the ten needs/strengths areas. A score of "+2" is reserved for those instances where offenders display positive strengths that could be exploited in a supervision plan. For example, a close and supportive family relationship could be drawn on in attempting to persuade an offender to enter a critically needed counseling relationship. Providing for a determination of strengths allows for a balanced approach in supervision, recognizing that in each offender's life situation there exist forces driving the individual both toward and away from law-abiding behavior and that it is critical to capitalize on those personal assets that will help offenders develop some independence and self-sufficiency.

3. Style - Following the needs/strengths assessment and the development of a related supervision plan, the probation officer must determine what style he/she will employ in his/her interventions with the offender. The probation officer must assess the offender's capacity to follow through on supervision goals aimed at maintaining law-abiding behavior. He/she will do so by examining the offender's motivation and ability with respect to identified problem areas. This assessment will identify the basic style (directing, coaching, motivating, or self-help) most appropriate to the maturity level of the offender. While the probation officer will have to remain sufficiently flexible to employ alternate styles wherever appropriate, in each case one basic style will be considered primary.

I. Purpose of Risk/Need Classification System

The purpose of the risk/need classification system is to implement a planned methodology for the assessment and supervision of the offender to promote law-abiding behavior in the community.

II. Statement of Roles

Role of the Chief Probation Officer

The Chief Probation Officer* is responsible for implementing, monitoring, and maintaining the standards and procedures governing the risk/need classification system established by the Commissioner of Probation.

Role of the Assistant Chief Probation Officer

The Assistant Chief Probation Officer**, under the direction of the Chief Probation Officer, is responsible for reviewing, approving/disapproving, and monitoring classification decisions made by the line probation officers assigned to him/her. These decisions include both the risk and needs/strengths assessments and reassessments, as well as any actions the probation officer deems proper to initiate relative to termination, surrender, arrest, etc., concerning the offender under supervision.

Role of the Probation Officer

The Probation Officer, through his/her interactions with the offender, is the essential nucleus of probation case classification. In the risk/need classification process, he/she is responsible for reviewing information already gathered on an offender, interviewing the offender and other appropriate parties to obtain essential information, determining the offender's risk and need/strength levels, recording the narrative summary of need/strengths, designing a goal oriented supervision plan with appropriate due dates, implementing such plan during the probation officer supervision period, and completing reassessment at the established intervals.

* The responsibilities set forth in these standards as applicable to the Chief Probation Officer shall, in the instance of one-person offices, be applicable to the Probation Officer-in-Charge.

** The First Assistant Chief is responsible for performing those functions, with respect to these standards, as are delegated to him/her by the Chief Probation Officer.

III. Elements of the Risk/Need Classification System

The classification system is comprised of the following elements:

- (1) Compilation of all necessary and pertinent investigative data;
- (2) Completion of risk assessment, including basic identifying data, scoring on eight risk categories, determination of total risk score and corresponding level of supervision;
- (3) Completion of need/strengths assessment, including scoring on ten need/strength categories, brief narrative summary of findings, and a supervision plan along with due dates, all to be reviewed for approval/disapproval by (A)CPO*.
- (4) Periodic reassessments, at established intervals, to include (1) through (3) above.

* Where the term "(A)CPO" appears, it refers to the Assistant Chief Probation Officer, except for those offices which have no Assistant Chief Probation Officer; in such instances, the Chief Probation Officer becomes responsible for the respective task.

IV. Standards for Assessment of Offender Risk

- 1). An Assessment of Offender Risk shall be completed on all offenders assigned to risk/need supervision. Such assessment shall be made on the designated form (OCP R-1/82), attached hereto as Appendix A.
- 2). The probation officer completing the assessment shall collect and review all necessary and pertinent investigative data.
- 3). The following data shall be included on all risk assessments:
 - I. Name
Offender's full name
 - II. D.O.B.
Offender's date of birth - month/day/year
 - III. S.S.
Offender's social security number
 - IV. Sex
Write "M" or "F" only
 - V. Ct. No.
Court Number - in courts with both adult and juvenile jurisdiction, the letters "JUV" shall appear after court number if it is a juvenile case
 - VI. Date Assessed
The date the initial assessment was completed month/day/year
 - VII. Assessed By
The name of the probation officer who completed the assessment
 - VIII. Supervising Probation Officer
The name of the probation officer assigned to supervise the case
 - IX. Offense(s)
A list of the offenses that resulted in the offender being placed under probation officer supervision

X. Probation Supervision from/to

The date the offender was placed under probation officer supervision by the court and the projected termination date

Commentary

When an offender is given two or more projected termination dates, the latest date given should be entered.

4). The probation officer shall score the offender in each of the following eight risk categories set forth on form OCP R-1/82. These are prior record, prior probation officer supervision, first offense age, residence changes, employment/school absence, family structure, alcohol/-drug problems, attitude.

Commentary

For category #1, "Prior Record", the score for this item shall include the total prior incidents of court prosecution, except those which resulted in a finding of not guilty or not delinquent or which included charges that did not carry a potential jail or prison sentence, or commitment to the Department of Youth Services. Where an offender is arrested on more than one charge, such an incident shall count as a single prosecution.

For category #2, "Prior Periods of Probation Supervision", the score for this item shall reflect only those past cases which resulted in supervision more than that which is now defined as administrative supervision.

For category #5, "Employment/School Absence", score only the employment category if the offender is a full-time worker and part-time student. Score only the school attendance category if the offender is a full-time student and part-time worker.

For category #6, "Family Structure", score the highest risk category if the offender can fall into more than one.

5). The probation officer, after scoring each category, shall enter the "Total Risk Score" which is the sum of the point score determined for each category.

Commentary

Risk assessment scores range from two to thirty one. Low scoring individuals are considered high risks offenders and, conversely, high scoring individuals are identified as low risk offenders in the community.

6). The Total Risk Score shall determine the level of probation officer contact in accordance with the following table, unless the court should order otherwise:

<u>Risk Scores</u>	
Risk Assessment	Contact Level
2 - 14	maximum
15 - 23	moderate
24 - 31	minimum

7). The varying levels of probation officer contact shall be comprised of the following:

Maximum Contact Level

There shall be at least one face-to-face contact and verification of special conditions of probation, employment and residence, are required every 14 calendar days. Home visits and collateral contacts shall be made as appropriate. At the request of either the probation officer or his/her supervisor there shall be a meeting held to discuss any individual case.

Moderate Contact Level

There shall be at least one face-to-face contact and verification of special conditions of probation, employment, and residence are required every 30 calendar days. Home visits and collateral contacts shall be made as appropriate.

Minimum Contact Level

There shall be some contact with the offender, which could include written reports, telephone, letters or face-to-face, shall occur at least once every 60 calendar days.

Commentary

Probation Officers need not always verify employment and residence by visits to the place of employment or residence. Telephone contacts, recent pay stubs, copies of dated bills mailed to the offenders residence, and checking with the Post Office are examples of acceptable methods of verification.

8). An offender shall be classified automatically as maximum for the first four month period where the offense for which the person is under supervision involved the use of a weapon, physical force, the threat of force, or arson. In such cases, the maximum contact level of the offender shall commence forthwith. For subsequent assessment periods, the risk score shall determine the level of supervision unless it is determined that it is appropriate to continue maximum supervision. Any decision to extend maximum supervision shall be reviewed and approved by the (A)CPO.

9). The initial risk assessment shall be completed within 30 calendar days of the Court's placing the offender under probation officer supervision. Subsequent assessments shall be completed at the fourth month, tenth month, and termination point.

Commentary

Research to date on the risk/need classification system, as implemented in the pilot courts, indicates that the majority of offenders recidivate during the first four months of probation officer supervision with the greatest incidence of recidivism occurring in the first month following the court placing the offender under probation officer supervision.

If a case is placed under probation officer supervision for four months or less with a definite supervision plan, the probation officer does the initial assessment and then moves to the termination column when the court terminates probation supervision.

V. Standards for Assessment of Offender Needs/Strengths

1). A needs/strengths assessment shall be completed on all offenders assigned to risk/need supervision, using form OCP N/S-1/82 attached hereto as Appendix B.

2). The probation officer completing the assessment shall gather and review all necessary and pertinent investigative data.

3). The following data shall be included on all needs/strengths assessments:

I. Name
Offender's full name

II. D.O.B.
Offender's date of birth - month/day/year

III. S.S.
Offender's social security number

IV. Sex
Write "M" or "F" only

V. Ct. No.
Court number - in courts with both adult and juvenile jurisdiction, the letters "JUV" shall appear after court number if it is a juvenile case.

4). The probation officer, in accordance with OCP N/S Chart-1/82 attached hereto as Appendix C, shall score the offender in each of the following ten needs/strengths categories: educational, employment, marital/family relationships, social, alcohol usage, other drug usage, counseling, health, financial management, motivation/ability.

5). The probation officer, after completing the scoring of needs/strengths categories, shall enter a brief narrative summary of the offenders needs and strengths.

Commentary

The summary should highlight briefly and concisely the offender's principal needs and strengths.

- 6). The probation officer, after completing the summary, shall develop and record a supervision plan with accompanying due dates. The supervision plan shall set forth those steps to be taken to address the offender's needs as outlined in the summary. Included also should be the approximate due date for commencement of the expected behavior.

Commentary

An appropriate supervision plan should state as specifically as possible those behaviors expected both of the probation officer and the offender during the subsequent period of supervision. Probation officers should avoid writing plans which emphasize only probation officer activities and concentrate equally on the offender's behavior. For example, where lack of employment is identified as a problem for the offender, an appropriate supervision plan could include the following objective: "Probation Officer will refer offender to job training program within two weeks and offender will attend and complete the program."

- 7). The probation officer shall check the box indicating the level of contact determined by the risk score (subject to standard IV-8).
- 8). The risk and needs/strengths assessments shall then be reviewed for approval/disapproval by the (A)CPO. He/she shall indicate approval by initialling the appropriate box on the needs/strengths assessment (OCP NS-1/82). If the (A)CPO is not in agreement with the classification, he/she shall consult with the probation officer and attempt to resolve any differences. Where there is no resolution regarding differences, the (A)CPO shall make the decision.
- 9). The initial needs/strengths assessment shall be completed within 30 calendar days of the court placing the offender under probation officer supervision. Subsequent needs/strengths assessments shall be completed at the fourth month after being placed under probation supervision, tenth month, and termination point!

- 10). The (A)CPO, at the time of the four month, ten month, and termination assessments, shall indicate whether in his/her opinion the supervision plan was addressed during the preceding period of supervision.

Commentary

The expectation is that supervision plans will be fully implemented or that the supervision chronology will reflect an explanation for lack of implementation. The (A)CPO should take into account any such explanations and check the "yes" box in those instances where the failure to implement the supervision plan is justified in the supervision chronology.

- 11). The termination summary shall be completed at the point when the case is terminated by the court.

FURTHER CLARIFICATION OF NEEDS/STRENGTHS

This section of the manual is intended to serve as a guideline in the further clarification of issues and problems in the assessment of offender needs/strengths.

EDUCATIONAL

Identification of Problem

The absence of a high school diploma may be an indication of inadequate academic or vocational skills. (A high school diploma, however, does not automatically mean competence). While job experience without a diploma may be adequate under some circumstances, most situations call for a high school diploma to satisfy basic needs for employment, job security and/or promotional potential.

More specifically, an offender exhibits a problem in the area of academic/vocational skills if any of the following interfere with daily functioning:

1. General lack of reading or writing skills.
2. Poor motor skills (coordination).
3. Lack of math skills (ability to make change, keep time, read calender, etc.)
4. Lack of specific vocational skills.
5. No regular or equivalency high school diploma.

All the sources normally contacted in doing a Pre-Sentence or Post-Disposjional Investigation can be helpful in determining the offender's current situation and his/her motivation and ability to pursue an academic or vocational education. Factors in the investigation which are particularly important are school records, assessments by school personnel and current ability tests.

It is important to determine the offender's attitude toward education, his/her perception of his/her academic ability and his/her actual ability. It is also important to determine from medical and social records whether the offender has any particular physical or emotional deficiency which would affect his/her participation in an educational setting. For example, the offender might

have a speech, hearing, or visual problem or a particularly strong emotional reaction to testing procedures; there may also be special educational problems such as dyslexia and dysgraphia. If education is to be a planned intervention strategy, the following are considerations; having a private place which can be used for studying; having enough time set aside both for attending school and for doing homework; frequently there must be family support; transportation must be available; and the necessary financial arrangements must be explored and planned.

SUPERVISION

Plan Approach (Educational)

The first phase in forming a supervision plan is to identify the offender's short and long range academic and vocational goals. Although many offenders have not experienced much success in an educational setting, and seldom have concrete educational objectives, goals can be explored and developed based upon long-range vocational ambitions or aspirations. Information concerning pre-requisites and available resources for satisfying the prerequisites for a particular vocational ambition can be provided by the probation officer or a referral source.

The second phase in case planning is to prepare step-by-step, realistic plans with the offender. It is imperative that goals be realistic in relation to the offender's abilities if the offender is to experience any degree of success. It is important that the individual steps of the implementation strategy be readily accomplished so the offender can experience successes along the way. This also provides the probation officer with the opportunity to encourage and congratulate the offender for accomplishing his/her own goals. Plans should be quite explicit. Contracting between offender and probation officer in a written form is sometimes helpful.

It is important to remember that educational intervention strategies must be primarily voluntary on the part of the offender. The contract may make certain demands upon the probation officer as well as the offender. For example, in the first stages of implementation, the probation officer may accompany the motivated client to an academic or vocational referral source.

When the supervision plan is implemented, it is important for the probation officer to monitor the offender's progress through collateral and personal contacts. Since this is primarily a voluntary intervention strategy, the probation officer generally takes a supportive strategy, reinforcing periodic offender success and putting failures into proper perspective. It is essential that the ongoing monitoring and information gathering be used in a reevaluation and reformulation of the original plan, sometimes explicitly renegotiating a new written or verbal contract with the offender.

When to Make a Referral

Referrals should be made in cases when the probation officer, alone or in conference with the supervisor, reviews the case and determines that the probation officer lacks time and/or the specific expertise necessary to provide effective service delivery. However, when a referral is made, the probation officer continues to maintain primary case responsibility in close liaison with collateral contacts to insure an effective relationship with the resource. When resources are used, it is important that roles are clearly defined and proper communication and coordination exist.

EMPLOYMENT

Identification of Problem

Probation officers deal with a unique segment of the labor force. Although some offenders possess the skills necessary to obtain and maintain gainful employment, many suffer from chronic unemployment, sporadic employment or under-employment. Some of the underlying factors of an employment problem are: family disorganization; emotional instability; low motivational levels; low self-esteem; lack of training, education or skills; lack of desire for change; physical or emotional handicaps; race, class and sex discrimination. With men and women under supervision, a number of these handicaps and disabilities may be present in varying degrees.

Identification of employment problem areas can usually be detected if the probation officer asks him/herself some of the following questions regarding the area of employment:

Does the offender possess any marketable vocational skills?
What are the realities of using these skills?
What are the personal assets and liabilities, as well as job market limitations, which might have a bearing on this question?
What are offender's work values and habits? Evaluate the offender's need and interest for further vocational development.
What, if any, are offender's vocational goals?
Are they realistic? Evaluate offender's abilities to benefit from on-the-job training and/or vocational education programs.
Are there any factors which could either interfere with or limit the offender's participation in such programs?
How might these factors be dealt with so as to alleviate or eliminate their interfering or limiting effect?

SUPERVISION

Plan Approach (Employment)

1. In cases where offenders have manifest deficiencies in terms of lack of saleable skills, low motivation or poor attitude, probation officers have traditionally operated as motivators, coaches and disciplinarians working to manage and overcome the offender's limitations. Traditionally, probation officers have used practical approaches such as accompanying the offender on employment visits, encouraging early rising and structuring employment search. Advocacy or community resource developer roles played by probation officers can be utilized to deal with prejudicial attitudes and practices by certain employers. Role-playing can assist an offender in learning how to make a positive impression during job interviews.

2. Training and Vocational Placement: In cases where offenders require basic types of training to acquire more sophisticated or complex skills, the probation officer functions to inform the offender of opportunities, sometimes to motivate the offender, and to help locate funding to cover the offender's financial needs. This strategy is, of course, a long-range strategy and sets economic self-sufficiency as a longer-range goal.

When to Make a Referral

When the offender does not possess the necessary skills or training to qualify for work in the existing job market, the probation officer should seek an appropriate educational training resource. However, in cases where offenders

have suitable skills, attitudes and behavior to seek, secure and maintain appropriate employment, a job referral should be made. Here, the probation officer extends the least amount of personal involvement, merely making the offender aware of existing opportunities and referring him/her to responsible persons in public and private employment agencies. In these cases the offender must have demonstrated an ability to "follow through" with assignments.

MARITAL/FAMILY RELATIONSHIPS

Identification of Problem

Stresses within a marriage or family can negatively affect the personal and social adjustment of the offender. Disorganization or stress is likely to create conditions resulting in a high probability of offenders failure under supervision and requires early detection and treatment. It is important to note that a positive relationship within a marriage and/or family can provide support and strong motivation for the offender to successfully adjust to probation supervision.

To determine if a problem exists, the probation officer should:

1. Explore the offender's social history using the Pre-Sentence or Post-Disposition Investigation material and/or files from previous periods of supervision.
2. Interview the offender and family members to determine their perception of problems.
3. Contact collateral sources having knowledge of the offender and family (schools; public and private social service agencies; medical resources).
4. Possibly request a psychological or psychiatric evaluation.
5. Assess the offender's needs based on strengths, weaknesses and overall functioning of the family unit.
6. Determine the way(s) in which the offender's family (distinguish parental from marital) is lending support to offender.
7. Evaluate the family's potential for providing the offender with continuing support (distinguish financial and emotional).

8. What specific, concrete types of family pressures are affecting the offender?
9. Is the offender dealing with the pressures or problems?
10. Do the pressures and/or offender's ability to deal with them indicate that future difficulties should be anticipated?

SUPERVISION

Plan Approach (Marital/Family Relationships)

1. Individual, marital and family counseling, divorce counseling (degree and treatment modalities depend on needs and probation officer's expertise). Counseling areas could include personal adjustment, employment, budgeting, intra-family relationships, sexual dysfunction and relationships outside the family.
2. Group counseling (parent groups; couple groups).
3. When appropriate, special effort should be made to cooperate with community social services staff to coordinate and insure that services to the offender and his/her family are provided during a period of probation supervision.

When to Make a Referral

1. Referrals should be made when the probation officer, alone or in conference with the supervisor, reviews the case and determines that he/she lacks the time and/or expertise to provide treatment.
2. Referrals should be made if there may be a need for "diagnostic" evaluation. Evaluation can take place at any stage in the probation supervision process.
3. When a referral has been made, the probation officer maintains primary case responsibility and contact with the resource to insure that proper communications and coordination exist.

SOCIAL

Identification of Problem

A problem exists when an offender has a lack of positive associates or

when his/her companions or associations are a group that is detrimental to the offender's ability to successfully complete the period of probation supervision. Associations can be assessed and evaluated via the routine investigatory process.

These are questions which should help to further clarify the issues:

1. Try to determine offender's interaction (frequency, quality) with peer groups.
2. Is the man or woman a leader, a follower — cooperative, argumentative?
3. Does he or she spend most time alone or with groups?
4. Is this a change from the past?
5. Try and determine readiness for improvement.
6. What are offender's needs and abilities at social and recreational activities?
7. How important and/or necessary are such activities to the offender?
8. If possible, relate the offender's current emotional make-up and his/her past activity level to his/her present social needs.

SUPERVISION

Plan Approach (Social)

1. Individual or group counseling by the probation officer.
2. Encouragement or arrangement of positive personal relationships.
3. Restrict specific relationships as condition of probation.
4. Arrange specialized treatment program with probation officer; follow-up to insure that treatment is progressing.
5. Environment manipulation such as group or foster homes, half-way houses, placement with friends or relatives, etc.
6. Positive approach to leisure time management -- spare time activities.

When to Make Referrals

When negative companions are due to problems with alcohol, other drugs, mental ability, etc., refer to an appropriate treatment program.

ALCOHOL USAGE

Identification of Problem

Alcohol abuse is the deliberate use of alcohol in a way that interferes with the offender's physical and/or mental health, his relationships with other people or his/her ability to hold a job. It is both a cause and a symptom of individual disorganization.

The Pre-Sentence or Post-Disposition Investigation phase of receiving a new offender is an ideal medium for gaining insight into the offender's attitude and behavior. Parts of the Pre-Sentence or Post-Disposition Investigation which are particularly relevant to an assessment of alcohol usage are:

1. Police reports indicating alcohol abuse problems.
2. Employment reports indicating alcohol abuse problems.
3. Offender's medical problems, especially liver, kidney and "nerve" problems.
4. The pattern of behavior of an alcoholic offender when drinking (quantity, frequency and length of time of alcohol abuse).
5. Family attitudes toward alcohol abuse and toward the abusing offender.

Some additional questions that may be used in analyzing or clarifying some of the above points:

1. What is the offender's level of awareness as to his/her underlying reasons for abusing alcohol?
2. What is the probation officer's impressions of possible underlying reasons for offenders abusing alcohol?
3. To what degree is the offender able and/or willing to deal with his/her abuse of alcohol?
4. Does the offender desire assistance or treatment regarding alcohol abuse?

5. How dysfunctional is offender's lifestyle? (i.e., marital/family, financial, medical, employment problems).
6. What type of assistance or treatment is most appropriate?

SUPERVISION

Plan Approach (Alcohol Usage)

Treatment should involve the offender's immediate family unit. The treatment goal is socially acceptable behavior that allows functioning on a daily basis and minimizes or eliminates self-destructive behavior and/or behavior detrimental to persons or property.

Confrontation

- a. The offender should be confronted with the results of the study and diagnosis of his alcohol abuse. Confrontation is accomplished in a constructive manner with the final goal of this phase being an offender's acceptance of the fact that he/she abuses alcohol.

Voluntary Treatment

- a. Treatment options and community resources are discussed in detail with the offender.
- b. The offender is guided and his decision-making process is monitored, but the offender makes his/her own decisions about treatment plan involvement.
- c. The offender is required to give specific details of his/her treatment plans and, in the probation officer's presence, make a commitment to begin treatment.
- d. The probation officer's responsibility is appropriate face-to-face contact with the offender, monitoring treatment progress and modifying goals of the action plan based on offender progress.

Directive Treatment

- a. Forced treatment is indicated when alcohol abuse is deemed a critical factor in the individual's disorganization and the offenders unwillingness to involve him/herself in voluntary treatment, or is personally unable to successfully engage in voluntary treatment. Forced treatment should be made a special condition of probation, in writing, and a signed Consent to Release of Information form should be secured. The condition must be an enforceable one.

- b. A treatment program of the type where progress can be measured should be used.
- c. Treatment options include, but are not limited to: out-patient treatment; in-patient treatment; half-way house placement (both as treatment resources and aftercare facilities); chemical support; psychiatric and psychological counseling. These may be used in any combination, but can be augmented by casework support by the probation officer.

Crisis Intervention

- a. Voluntary or forced detoxification may be necessary.
- b. Offenders who display assaultive or aggressive behavior as the result of drinking should be supervised more carefully as they may require immediate action by the probation officer at any time.

Modification of Case Planning

Modification of plans and goals at any point in the probation supervision process should be the logical consequence of set-backs, resistance or failure. This can include a logical progression from voluntary treatment to directive, or between treatment options enumerated under the Directive phase. In the face of frequent, chronic or severe set-backs, bringing the case back before the court may be considered.

When to Make a Referral

While the probation officer should usually take immediate action to insure early treatment involvement of alcohol abusive offenders, referrals are appropriate at any phase of the probation supervision process. Familiarity with community resources and knowledge of the offender's needs may narrow available treatment options that are appropriate.

OTHER DRUG USAGE

Identification of the Problem

Drug abuse is the use of illicit chemicals, other than alcohol, which interferes with: health (psychological or physiological); family relationships; or vocational, educational or legal aspects of one's behavior.

An operational treatment approach assumes study of the offender's background and a diagnosis of his/her drug abuse problem. The following sources may indicate the existence of drug abuse:

1. Offender family and/or peer group interviews.
2. Pre-Sentence and/or Post-Disposition Investigation.
3. Testing and evaluations.
4. Information obtained from federal, state and local law enforcement agencies.
5. School and other social service agencies (assuming the probation officer has access to these sources).

SUPERVISION

Plan Approach (Other Drug Usage)

1. The offender should be educated as to the consequences of continued illicit drug activity.
2. Probation Officer and offender should discuss the results of problem identification and diagnosis.
3. After the severity of the problem is established, appropriate treatment modalities should be discussed. Included would be a continuum of level of structures, i.e., from low level (probation officer and/or out-patient counseling and urine surveillance) to high level (secured, in-patient treatment).
4. A resource listing of drug treatment agencies utilized by probation offices will facilitate the referral and agency selection process.
5. After a treatment plan is devised, the probation officer's responsibility should include initiation and monitoring of the referral, if appropriate. Consent to Release of Information forms should be signed.
6. Treatment agencies' responsibilities, in addition to treating the offender, should include submission of treatment plans, progress reports, staffing, mutually agreed upon dates of discharges, and other pertinent agreed upon responsibilities.
7. In cases of involuntary treatment, i.e., when the offender does not agree with the treatment plan but the severity of the problem requires therapeutic intervention, the treatment should be written

into the agreement as a special condition of probation. This procedure is also recommended, but is left to the discretion of the probation officer, in cases of voluntary treatment.

8. In the case of a drug abuse offender, one should anticipate treatment failures which may necessitate modification of the current treatment plan. If modification of the current treatment plan is warranted, then reassessment and development of a new treatment plan may be necessary. An amended agreement is strongly recommended.

When to Make a Referral

If the offender does not respond to the individual counseling, a referral to a specialist or to another resource may be necessary. The probation officer in conference with the supervisor, should review the situation to determine if the probation officer has time and/or expertise necessary to provide effective treatment.

COUNSELING

Identification of Problem

The need for some form of counseling is indicated when an offender lacks ability and/or willingness to deal with the normal emotional stresses of everyday life. Offenders who demonstrate emotional dysfunction can usually be dichotomized into two types of behavioral groups. First, those offenders who handle their emotions by internalizing them (turned inward) and show various degrees of depression and/or anxiety. Secondly, there is a group of offenders who externalize (act out) their emotions. The external demonstration of the dysfunctional use of emotions leads to acting out behavior and creation of potential volatile situations.

Some of the following questions and issues should be considered in determining which offenders are suitable for counseling.

1. What is the offender's ability to express him/herself verbally and non-verbally.
2. What is the offender's ability to think in the abstract, his/her level of anxiety, awareness of his/her feelings, self concept, sense of reality, ability to control his/her own behavior?

3. Is the offender able to identify any emotional problems he/she might have?
4. Is the offender interested or willing to work on his/her emotional problem(s)?
5. If it is appropriate to refer the offender for counseling, should it be individual, group, family or marriage, etc.?
6. Has the offender any past history in dealing with school or agency counseling?

SUPERVISION

Plan Approach (Counseling)

1. Mild Depression: Attempt to mobilize individual's energy toward more positive, productive and self-fulfilling or satisfying behaviors.
 - a. Identify offender's existing interests and attempt to create or structure opportunities for success through contracting concrete goals.
 - b. Attempt to stimulate new, easily obtainable interests.
 - c. Help the individual to learn new ways of perceiving him/herself, responding and relating to others; e.g., assertiveness training.
2. Severe Depression:
 - a. Seek and encourage psychiatric treatment.
 - b. Secure psychiatric evaluation.
3. Anxiety:
 - a. Provide appropriate reassurance.
 - b. Establish contracts and develop concrete goals (decision-making, adjustment of the offender or his/her family to the consequences of decisions).
 - c. Engage in reality testing to honestly evaluate fears.
 - d. Be aware of the probation officer's own anxiety (keep one's cool).

4. Acting-Out Behaviors: These individuals tend to be the most difficult to deal with because they do not recognize that they have a problem and if they do, they may not want to do anything about it.
 - a. Avoid traditional insightful approaches (exploring behavior's origins).
 - b. Develop concretely structured programs with realistic expectations, i.e., contracts (effects of behavior). It is important that the probation officer follow through with all terms of the agreement.
 - c. Provide close surveillance.
 - d. Assertiveness training is frequently helpful in teaching offenders to meet needs without alienating others.
5. Potential Volatile Situations:
 - a. The primary consideration of all potentially volatile situations is the safety of all parties concerned. If gentle persuasion appears to be ineffective, attempt to remove yourself and others from the scene.
 - b. Do not escalate the hostility.
 - c. Give the individual an out and terminate the interview when it appears appropriate.
 - d. Attempt to secure reinforcements such as another probation officer or someone else in the office or notify the court officer.
 - e. Effective ways of dealing with hostility either in anticipation of or following the precipitating event:
 1. Allow individual to ventilate.
 2. Retain calm voice throughout interview.
 3. Avoid personal confrontation ("It's the job, not me.")
 4. Acknowledge probation officer's mistakes.
 5. Teach individual displacement techniques and alternative physical ways of relieving anger (running, hitting a punching bag).

When to Make a Referral

1. Consultation with psychiatric services, such as court clinic, local mental health facilities, other community agencies, fellow probation officers, as well as supervisory conferences, should be considered if the need for a referral is questioned.

2. A referral should always be made whenever the probation officer feels he/she is unable to effectively deal with the problem. A referral should be made in anticipation of actual crisis situations, when severe problems present themselves.

HEALTH

Identification of Problem

Because physical health is closely associated with behavior and self concept, it is important to explore this need area at the time of a Pre-Sentence or Post-Disposition Investigation. The following questions can be used during an interview to determine health needs.

1. Do you have any health problems which worry you?
2. Have you ever missed work/school or been unable to care for yourself of your family for several days at a time because of serious illness or accident?
3. Have you ever been hospitalized for a physical problem?
4. When was the last time you saw a doctor or dentist?
5. Do you have any medical problems that inhibit you from engaging in certain vocational training programs, work placements, or physical activities?
6. Are you presently taking any medication or receiving treatment for any health problems?
7. Do you have health insurance or are you now receiving medical assistance?

Service Plan Approach (Health)

Since the probation officer does not do any actual treatment of physical problems, the probation officer should counsel the offender by educating and informing the offender of the existing problem, considering the offenders' perspective, prior attempts to deal with the situation and alternative solutions available. Then the appropriate referral should be made.

When to Make a Referral

1. At the request of the offender.
2. When the probation officer perceives a situation as serious or demanding immediate attention such as contagious or fatal diseases, conditions which result in inability to keep a job or produce extreme social ostracism, or a degenerative condition.
3. When non-urgent health concerns which improve well-being and lifestyle are expressed by the offender, the probation officer should give information to the offender about resources or make appointments with the agreement of the offender. (Examples of these concerns would be immunization, relaxation and exercise, weight control and general health education programs).

FINANCIAL MANAGEMENT

Identification of the Problem

Financial management problems are viewed as being an integral part of other behavioral problems. In our society, a person's worth is generally measured in economic terms thus supporting the view that many offenses stem from economic motivation.

The offense may be a cue to a financial management problem (worthless checks, welfare fraud, forgery, embezzlement, shoplifting theft). An interview is necessary to establish whether the motivation for the crime was primarily economic rather than the result of some other behavioral manifestations. In addition to the offender's view of his/her financial management status, the following sources may indicate the existence of a problem.

1. A listing of the offender's assets and liabilities.
2. Present residence and number of recent moves.
3. Prior bankruptcy.
4. Offender utilization of a checking account.
5. Information from spouse or other family members and friends.
6. Type and length of employment, and present net income.

7. A discrepancy between stated income and standard of living (determined as the result of a home visit).
8. Personal habits such as gambling, drinking or use of drugs may indicate abnormal expenditures.

SUPERVISION

Plan Approach (Financial Management)

Probation officers may help establish service plans in the following ways:

1. The probation officer should evaluate the probability of the offender having financial difficulty while under probation supervision.
2. The probation officer should help offender to realistically look at the implications of his/her behavior as a result of financial management problems.
3. The probation officer should explore and recommend action which might reduce or eliminate financial problems while under probation supervision.
4. The probation officer should help the offender establish a budget.
5. The probation officer should help the offender contact resources designed to handle credit and financial management problems.

When to Make a Referral

Referral is appropriately made in the following instances:

1. At the request of the offender.
2. When the probation officer does not have time or expertise to deal with the problem.
3. When there is an apparent need for some type of financial assistance, such as medical assistance, food stamps or SSI.

MOTIVATION/ABILITY

This need area can be distinguished from the others discussed thus far in that the probation officer will here be required to make a judgement concerning the offender's task relevant maturity in a way that will effect his/her approach in addressing the other need areas. The scoring breakdown for this area is premised on the belief that each offender will approach life problems in a characteristic fashion that will place him/her at a distinct maturity level. An

offender's success in addressing any problem area will be a function of the level of motivation and ability that he/she brings to the task. By assessing those two factors, the probation officer will be able to determine his/her principal mode of intervention.

In determining the offender's ability, the following questions should prove helpful:

ABILITY:

1. What is the offender's past performance in meeting this need?
2. Did the offender ever have any ability in this need area?
3. Has the offender let his/her skill/ability slip too far so that he/she no longer has needed skills?
4. Does the offender have the necessary knowledge?
5. What is the offender's ability to take responsibility for his/her behavior regarding need areas?
6. What is the offender's problem-solving ability in regard to need areas?
7. What is the offender's decision making ability in regard to need areas?

In determining the offender's motivation (willingness), the following questions should prove helpful:

MOTIVATION:

1. Does the offender think the problem is important?
2. Is the offender committed to performing the necessary task?
3. Does the offender have the self confidence in his/her ability to perform the necessary task?
4. What is the offender's level of persistence in meeting his/her needs?
5. Does the offender have a sense of initiative that would allow him/her to address his/her needs?
6. Does the offender have a sense of independence that would allow him/her to address his/her needs?

7. Is the offender willing to take responsibility in dealing with his/her needs?

Once the probation officer has arrived at a score in this area, he will then be able to establish the appropriate style of supervision. Although there is some overlap, the following four styles correspond to the particular score obtained in this area:

"-2" = DIRECTING - This style of supervision is appropriate for those offenders who lack both the ability and motivation to deal with a problem area. The offender in this situation often responds by denying the existence of the problem or by resisting help due to the fear and anxiety aroused by the thought of acknowledging its existence.

An emphasis on the directing function is required in this instance.

In employing this style of supervision the probation officer is not responsible for meeting the offender's needs for him/her. Rather, the probation officer should be providing specific concrete instructions to the offender as to how to meet his/her needs and should then closely monitor the offender's subsequent behavior. "Directing" can be used as a form of continuous support and structure for an offender who is not able to deal with issues which in the past have resulted in dysfunctional and generally destructive behavior. When directing is properly used, the offender is continually sensitized to the possible results of a course of action that has made him/her vulnerable in the past.

"-1" = COACHING - This style of supervision is most appropriate for that offender who shows a high level of enthusiasm and motivation toward dealing with problem areas in his/her life but has shown no capacity to actually do so in the past. Despite our good intentions, we sometimes can forget to analyze realistically the offender's current situation and his/her ability to meet specific needs. The probation officer's role then becomes one of concrete needs counseling where he/she imparts specific skills and/or knowledge relevant to meeting a need and then directly encourages and supports the offender's efforts to address his/her problems.

"+1" = MOTIVATING - This style of supervision is appropriate for offenders who have a history of meeting needs in the past, or who appear to possess the necessary ability, but who are clearly not addressing current problems. The initial role of the probation officer in this case is to determine the source of the present reluctance to address the problem and to then attempt to motivate the offender toward using his/her own ability in the problem area.

It is quite obvious that in both the Coaching and Motivating areas that one probation office would have a difficult time attempting to provide all the services needed by the offenders. In fact, it would be unrealistic and inefficient for a probation office to provide services for all the needs of the offenders, especially since there are, in many instances, community resources available to the probation department. Local communities usually have many programs that can be utilized by the probation department. These include: alcohol programs, psychiatric treatment, employment agencies, community volunteers, counseling (family, group, marital, etc.), health care clinics and many more such services.

"+2" = SELF-HELP - If there is no problem in any specific need area in an offender's life, do not create one. If an offender has the motivation and ability to function in a law-abiding manner, he/she is entitled to opportunities to use his/her skills and knowledge. A good "rule of thumb" for probation officers is "don't ever do anything for people that they can do for themselves".

In summary, in order to be as effective as possible in the role of a probation case manager, the probation officer must learn the fine line in supervising offenders between not enough help and too much help.

MASSACHUSETTS PROBATION SERVICE
ASSESSMENT OF OFFENDER RISK

APPENDIX A

Name _____ (First) _____ (Middle) _____ (Last)
D.O.B. _____ S.S. _____ Sex _____ CT # _____
Date Assessed _____ Assessed by _____ (First) _____ (Middle) _____ (Last)
Supervising Probation Officer _____
Offense(s) #1 _____ #2 _____
#3 _____ Probation From _____ to _____

SCORE AT:				
	INITIAL	FOUR MOS.	TEN MOS.	TERM
1. PRIOR RECORD (ADULT OR JUVENILE) DURING PAST 5 YEARS 0=3 or more 1=two 2=one 4=none				
2. NUMBER OF PRIOR PERIODS OF PROBATION SUPERVISION DURING PAST 5 YEARS 0=2 or more 1=one 4=none				
3. AGE AT FIRST OFFENSE 0=16 or younger 1=17-19 2=20-23 3=24 or older				
4. NUMBER OF RESIDENCE CHANGES DURING PAST 12 MONTHS 1=2 or more 2=one 3=none				
5. EMPLOYED/SCHOOL ABSENCE DURING PAST 12 MONTHS <div>EMPLOYED 0=2 months or less 1=3-4 months 2=5-6 months 3=7-8 months 4=9 months</div> <div>SCHOOL ABSENCE 0=26 or more days 1=21-25 days 2=16-20 days 3=11-15 days 4=10 days or less</div>				
6. FAMILY STRUCTURE 0=currently resides away from family, few or no family ties 1=resides in one-parent home 2=parent not supporting children 3=single, emancipated from parental home, strong family ties, or married no children 4=resides in two-parent home 5=parent supporting children				
7. ALCOHOL OR DRUG USAGE PROBLEMS 0=frequent abuse, needs treatment 1=presently in treatment 2=occasional abuse, some disruption of functioning 3=prior problem 4=no apparent problem				
8. ATTITUDE 1=rationalizes negative behavior; not motivated to change 2=dependent or unwilling to accept responsibility 3=motivated to change; receptive to assistance 4=motivated; well-adjusted; accepts responsibility for actions				
TOTAL RISK SCORE				

MASSACHUSETTS PROBATION SERVICE
ASSESSMENT OF OFFENDER NEEDS/STRENGTHS

APPENDIX B

Name _____ D.O.B. _____ S.S. _____ SEX _____ CT. # _____
(First) (Middle) (Last)

NEEDS/STRENGTHS	INITIAL ASSESSMENT				FOUR MONTH ASSESSMENT				TEN MONTH ASSESSMENT				TERMINATION ASSESSMENT			
EDUCATIONAL	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
EMPLOYMENT	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
MARITAL/FAMILY	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
SOCIAL	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
ALCOHOL USAGE	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
OTHER DRUG USAGE	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
COUNSELING	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
HEALTH	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
FINANCIAL MANAGEMENT	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
MOTIVATION/ABILITY	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2

NEEDS/STRENGTHS BRIEF NARRATIVE SUMMARY		SUPERVISION PLAN AND DUE DATE	
INITIAL			
FOUR MONTHS			
TEN MONTHS			

TERMINATION SUMMARY:

PROBATION SUPERVISION	DATE			DATE			DATE			DATE		
	INITIAL ASSESSMENT			FOUR MONTHS			TEN MONTHS			TERMINATION		
	MAX	MOD	MIN	MAX	MOD	MIN	MAX	MOD	MIN	MAX	MOD	MIN
REVIEWED AND APPROVED BY AND DATE				SUPV. PLAN ADDRESSED			SUPV. PLAN ADDRESSED			SUPV. PLAN ADDRESSED		
				YES NO			YES NO			YES NO		

**MASSACHUSETTS PROBATION SERVICE
SCORING PROCEDURES FOR ASSESSMENT
OF OFFENDER NEEDS/STRENGTHS**

APPENDIX C

	-2	-1	+1	+2
EDUCATIONAL:	Minimal skill/ability level causing severe adjustment problems	Low skill/ability level causing minor adjustment problems	Adequate skills/ability no apparent problems	High school or above skill/ability level
EMPLOYMENT:	Unemployed and virtually unemployable; needs training	Unsatisfactory employment; or unemployed but has adequate job skills/abilities	Secure employment; no difficulties reported; or homemaker, student or retired	Satisfactory employment for one year or longer
MARITAL/FAMILY RELATIONSHIPS:	Major disorganization or stress	Some disorganization or stress but potential for improvement	Relatively stable relationships	Relationships and support exceptionally strong
SOCIAL:	Peer group relationships negative or non-existent	Peer group relationships occasionally negative	No negative relationships	Good peer support and influence
ALCOHOL USAGE:	Frequent abuse; serious dysfunctional behavior; needs treatment	Occasional abuse, some disruption of functioning	No difficulties reported or observed	No known use
OTHER DRUG USAGE:	Frequent abuse; serious dysfunctional behavior; needs treatment	Occasional abuse, some disruption of functioning	No difficulties reported or observed	No known use
COUNSELING:	Behavior problems that severely limit independent functioning	Behavior problems that indicate some need for assistance	Able to function independently	Well adjusted; accepts responsibility for actions
HEALTH:	Serious handicap or chronic illness; needs frequent medical care	Handicap or illness interferes with functioning on a recurring basis	No current health problems	Sound physical health, seldom ill
FINANCIAL MANAGEMENT:	Severe difficulties in handling finances	Situational or minor difficulties	No current difficulties	Long standing pattern of self sufficiency; e.g. good credit rating
MOTIVATION/ABILITY:	Offender both unable and unwilling to address problems	Offender willing but unable to address problems	Offender able but unwilling to address problems	No problem; offender is able and willing to address daily living situations

(OCP N/S CHART - 1/82)

END