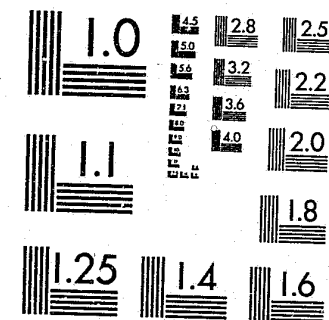


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Fortunately, the Intensive Supervision Program and its various instruments and guidelines was not the work of a single individual or group. A number of Division of Probation staff from accross the State were involved throughout the development of the Program, often taking on time-consuming tasks over and above their regularly assigned duties.

While, of course, the main responsibility fell to those persons directly assigned to the ISP, special thanks is in order for the helpful cooperation and guidance given by the local Departments of Probation throughout the State, and to the various staff of the Division of Probation.

What follows in this document are the general and specific operational guidelines for the Intensive Supervision Program. This will include an explanation of the program and of each specific component, along with the detailed instructions and guidelines for carrying out the program at each stage.

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ISP OVERVIEWI. INTRODUCTION

Recent national¹ and local² evaluations of probation supervision services have suggested that there are problems in the delivery of probation services which can be directly tied to unfavorable outcomes. The problem areas identified include current shortages of personnel which result in high caseloads, inadequate management information systems, and poor allocation of resources.

However, it was also found that outcomes improved and probation supervision was effective where probationer's needs were properly identified and addressed.

The State of New York, recognizing probation as a vital sentencing alternative in the criminal justice system, has begun to deal with part of this problem by allocating an annual appropriation of \$3 million to "rebuild and regenerate local probation services... to implement intensive supervision projects in selected localities."³ This funding will be used to allow local counties to augment their existing staff and allow them to participate in an intensive supervision program, without an increase in local funding.

1. "State and County Probation: Systems in Crisis," Report to the Congress by the Comptroller General of the United States, GGD-76-87, May 27, 1976.

2. N.Y.S. Division of Probation Supervision, Rules Compliance Survey, 1977.

3. State of the State Message, Governor Hugh L. Carey, March 1, 1978.

The Program

The Intensive Supervision Program (ISP), developed by the Division of Probation in cooperation with the participating counties, is an effort to provide supervision for offenders who have been sentenced to probation and identified as "high risk." This special program has as its goals:

- a. the improvement of the quality and delivery of supervision services,
- b. the promotion of crime-free behavior, and
- c. the increase of public protection.

The components of the Intensive Supervision Program are designed to achieve these goals. The major components are:

- a. a standardized procedure to select those probationers for which there is a high probability of unfavorable completion of the probation sentence,
- b. limitations on caseload size for ISP field staff,
- c. a conceptual framework for service delivery, including a standardized needs assessment and evaluation process,
- d. case-flow and management procedures,
- e. controls over the frequency and type of contacts,
- f. processes for the handling of violations of probation, and
- g. systematic collection of data to allow ongoing evaluation of the program, so that necessary program modifications can be made.

As part of the Intensive Supervision Program, specific agreements will be made between the Division of Probation and each of the participating departments to ensure that Intensive Supervision Program units are maintained separately. These agreements will also stipulate that funds provided to a locality for the ISP must be used to augment current funding, and not to supplant it in any manner.

Supervision Strategy

The Intensive Supervision Program has developed a supervision strategy which requires a high level of accountability for the quality of supervision services provided. Procedures, guidelines, case recording and assessment instruments have been designed as the tools to implement the ISP strategy and maintain the desired level of accountability. However, the ongoing evaluation of the program may result in modifications to any of the procedures or processes.

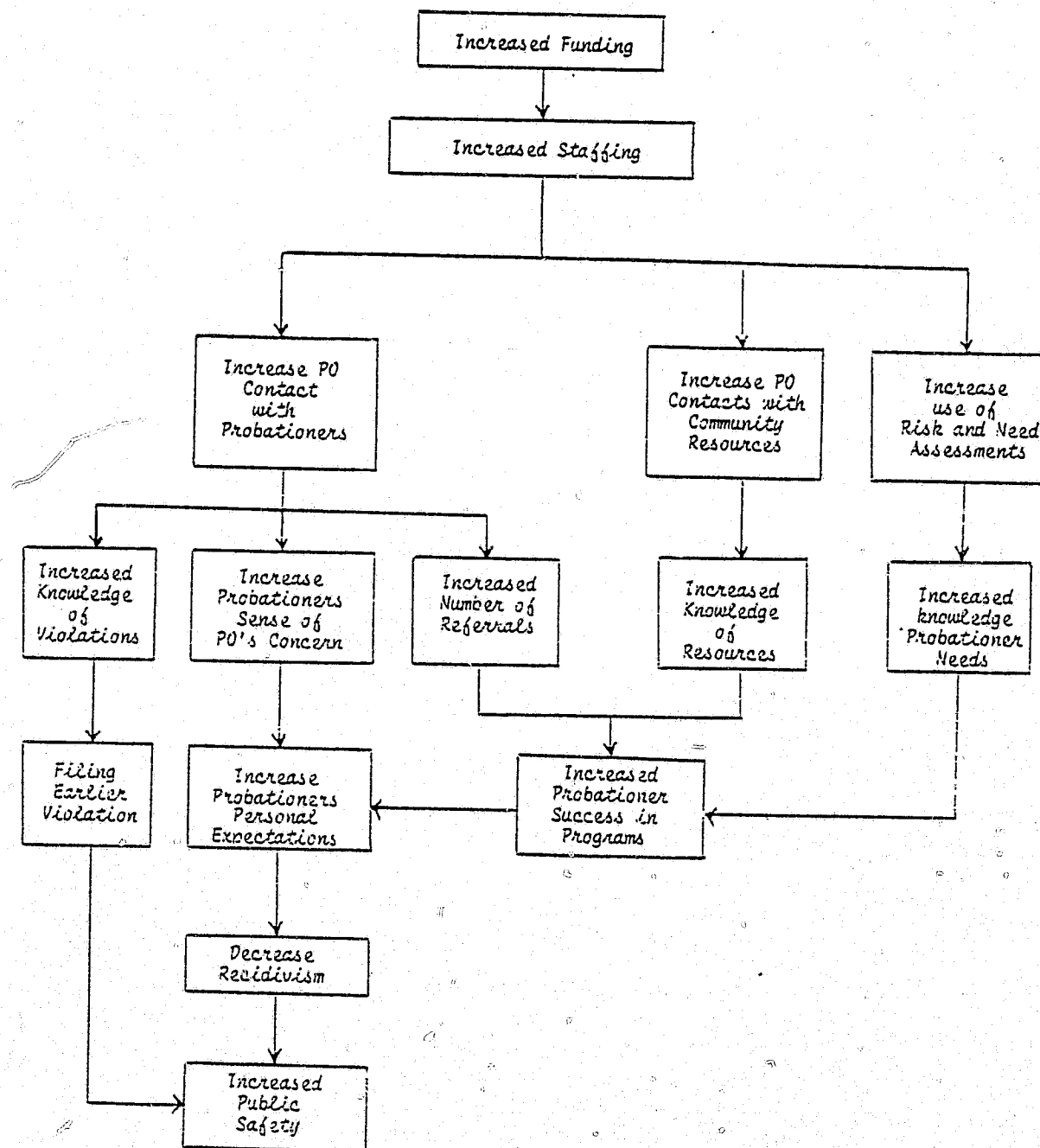
The ISP requires that probation officers supervise no more than 25 active ISP cases. This condition will give probation officers the opportunity to freely utilize their skills and expertise and to refine and augment those skills.

The ISP operational guidelines outline in detail all of the special procedures, guidelines and instruments which will enable ISP staff to carry out the ISP supervision strategy.

The components of the supervision strategy will:

- a. identify those probation cases most likely to unsuccessfully complete their sentence of probation,
- b. maintain a high frequency of contact with those cases,
- c. systematically identify those aspects of probationer behavior or life situation which may result in continued illegal behavior or unfavorable outcomes,
- d. systematically address those identified needs by the direct supportive services of the probation officer, the use of community-based services, including residential programs,
- e. identify and integrate a supportive network for the probationer in his community,
- f. identify and bring to the prompt attention of the sentencing court those cases in which community supervision appears unsuccessful, so that appropriate action is taken, and
- g. systematically attempt to return to the court any ISP probationer who has absconded.

I.S.P. INTERVENTION PROCESS



9/25/73

RISK ASSESSMENT AND CLASSIFICATIONI. PURPOSE

One of the most important objectives of the Intensive Supervision Program is the identification of "high risk" probationers by the use of a standardized procedure. The ISP Risk Assessment Instrument has been designed to make this identification, which will be the most important factor in deciding which probationers will be placed into this program.

Specifically, this instrument attempts to identify those probationers most likely to unsuccessfully complete the term of probation, "unsuccessfully" having been defined, as revocation, unsatisfactory discharge, reconviction or absconding. Most of the probationers assigned to the ISP will have a high score, as the higher the score, the greater the risk of unsuccessful completion of probation. A State-wide minimum score for automatic referral to the ISP will be established. There is additional procedure to place a probationer in the ISP even if the risk assessment score is too low for automatic referral. The procedure is to be used when other considerations lead to the assessment that the probationer is "high risk" despite a low score.

The ISP Assessment Instrument was designed by staff of the Division of Probation after intensive analysis of similar

instruments used across the country. First, a pre-test questionnaire was devised and applied to several hundred cases across the state and a computer-based mathematical analysis was used to determine which questions on this first test best predicted those probationers who would be failures on probation. A second instrument, using those questions which predicted failure best, was then administered to another 500 cases drawn from across the state. This second instrument was found, in most cases, to accurately predict which offenders would be high risk probationers, and thus became the final risk assessment instrument.

In some cases factors commonly thought to be important, such as the probationer's attitude, were in fact accurate predictors. However, other factors usually associated with outcome, such as alcohol or drug abuse, were not found to be of use in predicting future success or failure on probation. The final instrument may not meet everyone's expectations of which factors are important, but it does have the advantage of providing a fairly accurate prediction of which probationers are proper referrals to the ISP.

II. GENERAL PROCEDURES

The ISP Risk Assessment Instrument will be administered to all adult probationers received by a local department.

(Existing probation caseloads may be surveyed and probationers

under supervision for sixty days or less may be considered for the program at its inception). The assessment should be completed within three working days after the sentence of probation, and before the probationer is registered in the Probation Registrant System. The exact process for the administration of the instrument will be determined by local needs and procedures.

The minimum "cutoff" risk assessment score for determining assignment to ISP caseloads will be 48 in all ISP sites. In some instances a higher "cutoff" score may be established if the total workload exceeds the program staffing pattern. The "cutoff" score will be identified by the Division based on analysis of evaluation and workload data.

In addition to the score on the Risk Assessment Instrument, other considerations in determining eligibility for the ISP placement include:

- A. Excess ISP Population: ISP probation officers will carry a maximum of 25 active intensive supervision cases. When the number of ISP eligible cases exceeds that limit:
 1. Offenders with a history of violent behavior will be given selection priority.
 2. Some geographic boundaries may be established for

each caseload, so that priority may be given to probationers from a specific neighborhood or town.

3. Finally, the sentencing court may be a factor, with priority given to County (Supreme) Court sentenced probationers.

B. Probationer's Continuing Availability for Supervision:

ISP requires both a high level of community-based service delivery and frequency of contact. Therefore:

1. Probationers who are in residential facilities at the time they are placed on probation will not be considered.
2. Probationers for whom warrants are outstanding when sentenced to probation, and who therefore may not remain in the community, will not be considered unless those warrants are vacated within 30 days after the sentence to probation.

C. Existence of Specialized Caseloads: Where special caseloads exist, such as for drug or alcohol abusers, normal departmental procedures for the selection of proper assignment should be followed, even if this means exclusion of a high-risk-score probationer from ISP.

Additionally, the number of special case probationers

(such as alcohol or drug abusers) in the ISP caseload generally should not exceed the percentage of such cases in the total probation caseload in the department.

- D. Misclassification (Over-ride): Although the Risk Assessment Instrument will properly identify as high risk most individuals who should qualify for ISP, there is the possibility that some individuals who are indeed high risk will obtain a low score.

For example, a person who has a lengthy background of illegal behavior but who has few or no arrests or convictions, or a probationer with a legal history of many arrests for serious crimes but who has had all of the arrests cleared by dismissals, withdrawal of charges or other non-convictions, might be looked at carefully for possible ISP referral despite a low score on the Risk Assessment Instrument. Other probationers with a history of violent behavior but no resultant convictions might be good candidates for referral to ISP despite a low risk assessment score.

If, in the best mutual judgment of the probation officer and the ISP supervisor, the probationer should, in fact, be referred to the ISP unit, that referral will be accepted subject to available caseload slots.

The reason for a decision to refer despite a low score must be indicated in the appropriate place on the

Classification and Assignment form (Reason for Referral if Low Score).

III. SPECIFIC PROCEDURES: RISK ASSESSMENT, CLASSIFICATION AND ASSIGNMENT (DP-70, p. 4.11)

- A. Identifying Data: Complete this section on all forms by including name, case number, NYSID number and date of birth.
- B. Risk Assessment: In Section I after reviewing the presentence report and, if necessary, other sources of information (school, family, probationer and agencies), the probation officer should select the response for each item on the risk assessment which most accurately describes the probationer.

Most of the questions are objective and factual and the information needed can probably be obtained from the presentence investigation report; e.g., whether the probationer has previous convictions or adjudications for robbery. It must be emphasized that where the item requires a factual determination, the scoring system must be strictly adhered to. The misclassification procedure is designed to reclassify any potentially high risk probationer who is not identified by the instrument.

Questions may arise on some of the items because of

possibly varying interpretations or because the item requires a subjective evaluation by the probation officer. The following should assist the probation officer in classifying these potential problem areas:

- Q. 5 - "The probationer was committed to detention on a prior probation/parole sentence." This refers to any detention in jail, prison, lockup or juvenile facility for any reason while on a previous probation or parole sentence, whether overnight or of longer duration.
- Q. 7 - "Members of the probationer's family have a criminal record." This should be checked yes not only for actual criminal records, but also for situations where, for example, the PSI mentions that the police department has had numerous dealings with members of the family. The "family" might in some cases include such relatives as an aunt, if the probationer is living with her or possibly the probationer's legal guardian if the probationer resides with the guardian.
- Q. 9 - "The probationer's current living situation is judged to be unfavorable." Admittedly, this question requires a value judgment on the part of a probation officer. In most instances the living situation should be assumed to be favorable, unless

the PSI or some other information source enables the probation officer to locate some very negative information, e.g., the probationer is currently undomiciled; the probationer is severely beaten often by his father; the probationer is living in a cheap hotel known to be frequented by drug addicts; a young probationer's parents have no control over the probationer, and express a strong desire to have him out of the house.

- Q. 10 - "The probationer's attitude." Again, this requires a value judgment on the part of the probation officer. Several quite different attitudes are covered in this one question, and it is not important to differentiate exactly which one best describes the probationer. The main information sought by this question is whether the probationer has a strong negative attitude, or demonstrates rationalization of his behavior that would severely impact his ability to follow probation rules.

Scoring - After checking each item "yes" or "no" on the instrument, place in the scoring column to the right the number of points indicated in parentheses next to the selected response for each item. After all of the items on the instrument are scored the total score should be

computed and recorded as a total at the bottom of the score column. This total score must also be recorded on the DP-60 form. (See instructions for completing the DP-60).

ISP Referral Score - This is the minimum score for every local department for automatic referral to ISP. The minimum objective referral score has been established as 48 or above.

Name and Date - The name of the person administering the instrument and the date on which the risk assessment was completed must be recorded.

- C. Classification: On Section 2 of the instrument record whether, as a result of the risk assessment score or as a result of an over-ride of a score which falls below the ISP cutoff, the probationer was actually classified as ISP or non-ISP. Decisions on classifications are to be indicated by appropriate checkmarks. A concise statement of the reason for a referral despite a low score must be recorded here.

The name and title of the person making the referral to ISP and the date of that referral should be recorded.

- D. Assignment: In Section 3 of the instrument, indicate either the ISP caseload assignment, or the fact of a referral to regular departmental supervision.

4.10

If the probationer is assigned to the ISP, indicate the ISP probation officer assigned to supervise the case and the date on which the assignment was made. The name and title of the assigning officer must be recorded (this is usually the ISP supervisor).

If the probationer cannot be accepted into the ISP caseload because all caseloads are full, or because the probationer's risk assessment score is below the ISP cutoff, place the date on which the probationer is referred to regular departmental supervision, as well as the name and title of the referring officer.

This document will become a permanent part of the supervision case record.

DP-70 (10/78)

New York State Division of Probation
RISK ASSESSMENT, CLASSIFICATION AND ASSIGNMENT

4.11

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: _____

RISK REASSESSMENT AND RECLASSIFICATION

I. PURPOSE

In order to determine whether or not a probationer should remain under ISP supervision, a reassessment of risk and evaluation of progress will be periodically made. The Risk Reassessment, Classification and Assignment Instrument is the standardized mechanism for identifying those cases in which a transfer to regular departmental supervision is indicated.

Specifically, this instrument attempts to determine whether there has been a reduction in risk, i.e., the likelihood of failure on probation, by the application of those variables contained in the original Risk Assessment instrument, modified to take into account changes that have occurred during the ISP supervision. Additionally, the instrument attempts to measure individual progress and adjustment in relation to the significant components of the ISP supervision strategy. The combination of these two measures will be the bases for determining if a transfer is indicated.

There is an additional procedure to keep a probationer in the ISP even if the Risk Reassessment and Progress Index scores indicate a transfer. The procedure is to be used when other considerations lead to the assessment by the probation officer and his supervisor that the probationer continues to present a "high risk" of failure.

The Risk Reassessment process requires that a probationer must be retained in the Program if:

- A. The level of risk remains high; or
- B. There is a pattern of non-compliance with the conditions of probation; or
- C. There is continued illegal behavior.

II. GENERAL PROCEDURES

The Risk Reassessment, Classification and Assignment instrument is to be routinely administered to all ISP cases which have been in the program a minimum of six months. The Reassessment should be completed within three working days following this date.

- A. Transfer Process: The probation officer supervising the case will be responsible for completing the Reassessment. The ISP supervisor is responsible for monitoring the timely application and completion of the instrument, the prompt review of the completed instrument, and the final decision whether a case is to be transferred. The decision to retain or transfer a case is to be made within three working days after the receipt of the completed instrument.

- 1. In some cases scores indicating transfer will be obtained by probationers who should remain in the program. For example, those cases, in which the original primary need is considered to have a di-

rect impact on the successful completion of the probation term, should be retained in the Program if there is insufficient progress in that need area. A person whose adequate adjustment to probation has shown recent deterioration should probably be retained in the ISP also. The best mutual judgment of the probation officer and finally, the ISP supervisor, will determine whether the probationer should remain in the ISP. The reason for the decision to retain such a case must be indicated in the appropriate place on the Risk Reassessment, Classification and Assignment instrument (Reason for Retaining Case if Transfer Indicated, Section IV).

2. There are conditions under which a probationer must be retained in the ISP:
 - a. If an individual scores 60 points or above on the Reassessment portion of the instrument (Section I), he must be retained unless the affirmative responses to items 1 through 5 result from behavior more than five years old; or
 - b. If a Violation of Probation has been filed on an ISP probationer, but not disposed of by the court, he must be retained; or
 - c. If a probationer has been arrested and that charge has not been disposed of, he must be retained; or
 - d. If a probationer has been convicted of a new

new crime and remains in the community on probation or will be returned to the community after being incarcerated 90 days or less with a continuation of the probation sentence, he must be retained; or

- e. Finally, if a probationer is in total non-compliance with the Probation conditions, i.e., he receives a score of 4 on item 2 of the ISP Progress Index (Section II), he must be retained.
3. Certain cases may be placed in a transitional status, for a period not to exceed 60 days, following the initial 30 days after completion of a reassessment. Cases in which transfer is not clearly indicated, as a result of inconsistent achievement of objectives or relatively recent achievement of significant objectives may be placed in this status. These cases would be considered as one-half an active ISP case requiring a minimum of two personal and two collateral contacts, including one residence visit, per month. At the conclusion of 60 days in such status the case must either be transferred or restored to full ISP status.
- B. Cases Retained: In all cases in which a probationer remains in the ISP beyond six months, periodic reassessments for purposes of reclassification are to be completed. In all such cases, the Reassessment instru-

ment must be completed at quarterly intervals.

III. SPECIFIC PROCEDURES: RISK REASSESSMENT, CLASSIFICATION AND ASSIGNMENT (DP-70A, p. 4.23)

- A. Identifying Data: Complete this section on all forms by including name, case number, NYSID number and date of birth.
- B. Risk Reassessment: Section I of the Reassessment instrument is similar to Section I of the Risk Assessment. However, there are some significant differences. The first six items on the Reassessment

are the same and will have the same scores as items 1, 2, 3, 4, 5 and 7 on the Risk Assessment. The responses to these items are based on the time of the current offense, i.e., the offense for which the individual was sentenced to probation and subsequently referred to the ISP.

For guidelines to be used in completing the first six items of the Reassessment, refer to pages 4.6 through 4.8.

Items 7, 8, 9 and 10 on the Reassessment correspond to items 6, 8, 9 and 10 on the Risk Assessment, but responses are to be based on the current period of ISP supervision (i.e., not less than six months in the program). The following should assist the probation officer in scoring items 7, 8, 9 and 10:

- Q. 7 - "Neither employed nor in school full time." This item should be scored in a way that best describes the probationer's pattern during the current period of supervision. For example, individuals who have been fully employed during most of the supervision period and are currently unemployed as a result of seasonal employment or layoff, should receive no points, i.e., a "No" response. If work and school equals

full time, give a "NO" response. If the probationer is head of a household or is physically unable to work, give a "NO" response.

- Q. 8 - "One or more negative address changes during the period of supervision." If the individual has moved or changed residences while in the ISP, determine whether this move was a positive or negative step for the probationer and respond accordingly.
- Q. 9 - "Living in a situation judged to be unfavorable." Refer to pages 4.7 and 4.8 for definition of this item, but use the period while in the ISP as the basis for your response.
- Q. 10 - "Probationer currently has an attitude..." Refer to page 4.8 for definition of this item, but the basis for your response is the current ISP supervision period.

Scoring - After checking each item "YES" or "NO", place in the Score column to the right the number of points indicated in parentheses next to the selected response for each item. Total the scores and enter in the space provided.

C. ISP Progress Index: Responses to Section II of the Reassessment Instrument should be based on information contained in the case folder, i.e., the Quarterly Supervision Reports and the evaluative judgement of the probation officer. The following should assist the probation officer in scoring Section II:

- Q. 1 - "Employed/School." Based on supervision period, determine the degree of involvement in either school or work which best describes the probationer's pattern. For further definition refer to page 4.16.
- Q. 2 - "Compliance with Probation Conditions." Determine the characteristic level of compliance with the conditions of probation and respond accordingly.
- Q. 3 - "Achievement of Supervision Plan Objectives." Based on information in the case folder, determine the degree of achievement of the quarterly objectives and respond accordingly.
- Q. 4 - "Resolution of Primary Need Areas." Based on the original Needs Assessment and the Quarterly Supervision Reports determine the degree of resolution in the

Primary Need Area and respond accordingly.

Q. 5 - "Utilization of Community Resources."

In cases in which a program or service is needed and is available, determine the level of utilization of the resource by the probationer and respond accordingly.

Scoring - After checking the appropriate response for each item, place in the Score column the number of points indicated in parentheses next to the selected response. Total the score and enter it in the space provided.

Mandated Retention - If the case meets any of the mandated retention criteria, identified at the bottom of Section I, or a score of 4 is entered in item 2 of Section II, "Compliance with Probation Conditions," the case is to be retained in the ISP. The probation officer should complete Section III, ISP Risk/Progress Analysis, omitting any further analyses of the scoring and submit the case to the ISP Supervisor.

D. ISP Risk/Progress Analysis: In all cases where retention is not mandated, utilize the ISP Risk/Progress Analysis Table to determine whether a transfer is indicated.

To determine whether a transfer is indicated or not, three pieces of information are needed:

1. The original Risk Score;

2. The Reassessment Score from Section I; and
3. The Progress Index Score from Section II.

Analysis - Using the original Risk Score, determine the appropriate Risk Score category for this case on the ISP Risk/Progress Analysis Table, i.e., 60 to 98, County Cutoff through 58, or Below County Cutoff. Go immediately across to the Reassessment Score column. Using the Reassessment Score from Section I, determine the appropriate Reassessment Score category for this case. Go across on the same line to the Progress Index column and identify if a transfer is indicated or not by using the Progress Index score from Section II.

EXAMPLE: County Cutoff - 48 Risk Score 52 Reassessment Score 42 Progress Index 6

1. A Risk Score of 52, which was above the County Cutoff score (48), would place this case in the "County Cutoff Thru 58" category.
2. A Reassessment Score of 42 would place the case in the "58 and Below" category in the Reassessment Score column.
3. A Progress Index of 6 would indicate transfer as reflected in the Progress Index column.

In order to complete Section III, record the appropriate scores in the spaces provided. Based on the Risk/Progress Analysis, appropriately record whether or not a

transfer was indicated. Indicate whether or not a transfer is being recommended by the probation officer based on the mandated retention criteria, the Progress Index Score, or the other stated criteria for retaining cases. If applicable, indicate whether transition status is recommended. A concise statement of the reason must be recorded.

The name of the probation officer completing the instrument and the date should be recorded.

- E. Supervisor's Review for Reclassification and Assignment/Transfer: Section IV is to be completed by the ISP Supervisor in conjunction with the probation officer. The Supervisor will indicate either the date of the decision to retain the case in the ISP, the date of the decision to transfer the case to the regular departmental supervision caseload, or to place the case in transition status.

In all cases in which a transfer is indicated but the case is retained in ISP, the reason for the retention of the case must be recorded.

The Supervisor must sign his/her name and record the date.

IV. TRANSFER TO REGULAR DEPARTMENTAL SUPERVISION

Following a decision that a case is to be transferred from the ISP, the ISP probation officer will have from 30 to 90 days to plan and effect this transfer. It should be dis-

cussed with the probationer, any community-based service with which the probationer is involved, and the probation officer who will be receiving the case. A transfer summary detailing the probationer's adjustment while under ISP supervision must be completed prior to the actual transfer. See page 4.24 for suggested format.

At the end of 90 days, the transfer must be completed or the case reinstated in the ISP from transition status.

A DP-61 must be submitted to report a transfer and the receiving probation officer's Identification Number, and the new supervision category. (See Modify Section, DP-61, p. 11.14).

New York State Division of Probation
RISK REASSESSMENT, CLASSIFICATION AND ASSIGNMENT

Name _____ Case No. _____
ID No. _____ Date of Birth _____

I. Risk Reassessment: 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. Members of his family (i.e., spouse, children, parents, siblings) have a criminal record (J.D. or Adult).	Yes (10) _____	No (0) _____		
Score the following as they best describe the probationer during the current period of ISP supervision (not less than six months).				
7. Neither employed nor in school full-time.	Yes (4) _____	No (0) _____		
8. One or more negative address changes during the period of supervision.	Yes (6) _____	No (0) _____		
9. Living in a situation judged to be unfavorable.	Yes (6) _____	No (0) _____		
10. Probationer currently has an attitude that is characterized by rationalization; or negativism and lack of motivation; or dependency or unwillingness to accept responsibility.	Yes (14) _____	No (0) _____		
Reassessment Score TOTAL			_____	

Retain in ISP if:

- 1. Reassessment score is 60 or higher; or
- 2. A violation of probation or new arrest is pending; or
- 3. There has been a new conviction with a sentence to probation or a jail term of less than 90 days with a continuation of the prior probation sentence.

ISP Progress Index: Score the following as they best describe the probationer during the current period of ISP supervision.

	SCORE			
1. Employed/School	None (3) _____	Part-time (1) _____	Full-time N/A (0) _____	
2. Compliance with probation conditions	None (4) _____	Partial (2) _____	Total (0) _____	
3. Achievement of supervision plan objectives	None (3) _____	Partial (1) _____	Total N/A (0) _____	
4. Resolution of primary need areas	None (2) _____	Partial (1) _____	Total N/A (0) _____	
5. Utilization of community resources	None (2) _____	Partial (1) _____	Total N/A (0) _____	
Progress Index TOTAL			_____	

Retain in ISP and go to Section III if a score of four is entered in item 2. In all other cases, go to Section III to determine if transfer is indicated.

New York State Division of Probation
RISK REASSESSMENT, CLASSIFICATION AND ASSIGNMENT

III. ISP Risk/Progress Analysis: Use following table to determine if the case is retained in or transferred from ISP.

ORIGINAL RISK SCORE	REASSESSMENT SCORE	PROGRESS INDEX
60 to 98	60 to 98	Retain in ISP
	58 and below	6 and above — retain 5 and below — transfer
County Cutoff thru 58	60 to 98	Retain in ISP
	58 and below	7 and above — retain 6 and below — transfer
Below Cutoff (over-ride)	Above cutoff	7 and above — retain 6 and below — transfer
	Below cutoff	7 and above — retain 6 and below — transfer

ORIGINAL RISK SCORE _____ REASSESSMENT SCORE _____ PROGRESS INDEX _____

TRANSFER INDICATED: YES _____ NO _____ TRANSFER RECOMMENDED: YES _____ NO _____

REASON FOR RECOMMENDATION: _____

Completed by _____ Date _____

IV. Supervisor's Review for Reclassification and Assignment/Transfer.

Case retained in ISP — Date _____

Reason for retaining case if transfer indicated _____

Case referred to Regular Supervision Caseload — Date _____

Supervisor _____ Date _____

TRANSFER SUMMARY

NAME: _____ ADDRESS: _____ CASE #: _____

SENTENCED: ____ / ____ / ____ SENTENCE: _____ CONV. CHG.: _____

SPECIAL CONDITIONS: _____

DATE ASSIGNED ISP: _____ P.O.: _____

SUPERVISION SUMMARY

I Summary of Plan of Supervision and Long Range Goals:

II. Probationer's Accomplishments/Special Problems:

III. Disciplinary Actions/Changes in Supervision Status:

IV. Reason for Transfer (analysis of risk reassessment/progress index score):

V. Ongoing Supervision Plan Recommendations:

P.O.: _____ DATE: _____

SUPV.: _____ DATE REVIEWED: _____ DATE TRANS.: _____

Section 5

5.1

DEVELOPMENT OF A PLAN OF SUPERVISIONI. PURPOSE

The development of a supervision plan for each ISP probationer will, (a) assure conformity with the rules, regulations and objectives of the Division of Probation, (b) structure the probation experience, and (c) enhance as far as possible a probationer's responsibility and accountability for his own behavior.

The components of the process of developing an ISP supervision plan are designed to achieve the general purposes of Division of Probation Rules and Regulations Section 351.4, which requires that (a) "All persons placed on or sentenced to probation shall be seen by the probation administrator, or by his designee, within 72 hours of this disposition. Necessary preliminary information and instructions shall be imparted to the probationer and an authorized staff member shall be assigned the responsibility for the case," and (b) that "the probation officer shall review the conditions of probation with the probationer as part of his initial interview and engage the probationer in planning his supervision program."

II. GENERAL PROCEDURES

During the first 30 days of probation the probation officer

will schedule a minimum of four appointments with the probationer which will include a home visit and will:

- a) review the conditions of probation,
- b) identify a probationer's service needs,
- c) identify a person in the community who may be a positive support for the probationer, and
- d) mutually develop supervision goals and objectives which address the conditions of probation and identified needs.

At the initial interview, the conditions of probation will be reviewed, a tentative reporting schedule established and an Appointment Record Card completed and given to the probationer. The probationer will be invited to have the person he considers most important to successful probation completion accompany him to a future appointment during this thirty-day period. This person, with the probationer's consent, may participate in developing the supervision plan. Having been identified and involved by the probationer, the Community Contact Person may be a positive support for the probationer in his own community and a potential reinforcement for successful completion of probation.

The use of the Needs Assessment and Evaluation Instrument will initiate the process of mutual identification of those aspects of a probationer's environment or adjustment pattern which should be changed or modified to achieve the

objectives of independent, law-abiding behavior. The probation officer will engage the probationer in discussion during the needs assessment process in order to give the probationer the opportunity to identify and assess his needs independently.

After needs have been mutually identified, the probationer and the probation officer will determine the manner in which they will be addressed. Potentially helpful community resources will be consulted, as well as those persons or agencies who may already be involved with the probationer, and referrals initiated.

The probationer and the probation officer will develop long-range supervision goals which address the problems identified in the Needs Assessment and Evaluation Instrument as well as the conditions of probation. These goals should apply to the entire term of ISP supervision. In some cases, this mutual goal-setting process may not be possible. The probationer may reject all intervention efforts and deny the existence of any personal or environmental problems. In these cases, the probation officer alone will establish supervision goals which reflect his assessment of existing problems. In every case, compliance with the conditions of probation is the minimum mandatory goal of supervision. Finally, the ISP probation officer and the probationer will structure the first three months of the probation term by

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formulating behavioral objectives which specifically relate to the needs identified and goals selected.

Additional information needed by the probation officer in making these decisions will be gathered from the pre-sentence investigation (P.S.I.), the probationer's family, and other relevant agency records.

The probation officer will summarize the activities of the first 30 days of probation on the Initial Supervision Plan.

III. SPECIFIC PROCEDURES: NEEDS ASSESSMENT AND EVALUATION INSTRUMENT (DP-71, p. 5.15)

A. Purpose

This instrument is a tool to be used to identify and record those personal, social, academic, physical and/or health needs which should be addressed during the ISP term. It is composed of ten categories of needs commonly evidenced in probationers, plus a mechanism for scoring and ranking those needs.

The options within each category of need have been written as explicitly as possible. However, the complexity of some situations may make them difficult to categorize.

Appendix A, "Considerations for the Use of a Needs Assessment Instrument," contains some considerations for the use of the instrument in problem identification, and may usefully augment the PSI and the initial interviews in

some situations. The instrument may take several contacts to complete. During this time, the probation officer should refer to the pre-sentence investigation and consult family members and agencies familiar with the probationer for information which may be helpful in completing the assessment.

The results of the probation officer's rating of the needs assessment shall be reviewed with the probationer, who will then be allowed to make his own assessment of needs which should be dealt with during the probation term.

B. Completing the Instrument

The probation officer will indicate his assessment of the existence or severity of a problem in the blanks to the left of each item, by indicating a score of 1, 2, or 3. A score of 1 indicates that no problem exists, or that in fact, this is an area of strength. A score of 2 indicates moderate dysfunction, and an apparent need for intervention. A score of 3 indicates severe dysfunction in an area, and would usually indicate a problem which should be given a priority.

In completing this instrument, do not consider crisis needs as assessment criteria. An intermediate short-term need for meal money or medical assistance may be

too temporary to receive a high rank on the needs assessment. After scoring each of the items on the assessment, DO NOT total the scores. The purpose of this instrument is to detect and point out areas of need; it is not designed to produce an absolute score of total need. Rather, the appropriate scores should be entered in the Needs Assessment Evaluation List. Then, the probation officer should indicate with a check mark those areas identified as "problems" (a score of 2 or 3) in the appropriate column.

The results of the probationer's self-assessment of areas of need should be indicated by check marks in the adjacent column. The differences between the probation officer's assessment and the probationer's self-assessment are important, and these differences must be taken into account in the development of both long-range supervision goals and immediate behavioral objectives.

In the column marked "Resources Available," the officer should indicate by check marks the existing departmental and community resources available to address those needs. The absence of appropriate services may result in community resource development activities by the probation officer or supervisor.

C. Ranking of Priorities

Finally, in the column entitled "Rank," the probation

officer will record his assessment of the priority of the identified needs. This ranking should reflect those areas of need which are judged most critical to successful completion of probation, and should be listed in rank order, from 1 to 10, with 1 being the highest priority need. (This information will be recorded on the DP-61).

In determining priorities, the probation officer should consider the following:

- a) A court-ordered special condition of probation that the probationer ~~must~~ take part in a community-based service must be given priority.
- b) The possible positive or stabilizing effect of an area of probationer strength on an identified need area. The relationship between the two may affect the priority ranking of other identified needs. For example, satisfactory living situations and stable marriages often increase the chances of successfully dealing with other problems.
- c) Whether identified problems actually stem from other, underlying problems and if these related problems should be addressed at the same time with the same priority.

For example:

- 1) Marital and family relationship problems may actually be the result of other problems such

as alcoholism or financial insecurity. The latter causative problems, then, might be given priority.

- 2) Drug and alcohol abuse may cause problems such as unemployment or mental health difficulty. The dependency problems, however, will usually be given the priority.

Appendix A may be of some assistance in dealing with these decisions.

IV. SPECIFIC PROCEDURE: INITIAL SUPERVISION PLAN (DP-72, p. 5.16)

A. Purpose

The ISP Initial Supervision Plan will provide a permanent record of the activity occurring during the first month of probation supervision, and of the mutually derived goals and objectives of the probation plan.

The Initial Supervision Plan provides the following information: 1) identifying data, 2) dates of the initial interview and review of the conditions of probation, 3) the name and address of the community contact person who participates in the development of the supervision plan, 4) the long-range goals of probation, 5) objectives to be met during the first quarter of probation, 6) comments on the probationer's attitude during the early meetings with the probation officer, 7) the frequency

and nature of contacts between the probation officer and the probationer, 8) the frequency and nature of the probation officer's collateral contacts with sources outside the department, and 9) the supervisor's confirmation and/or modifications of the initial supervision plan.

B. Completing the Form

The Initial Supervision Plan will reflect 1) the results of the Needs Assessment Instrument, 2) the court-imposed conditions of probation, and 3) interviews with the probationer. It will be completed within 30 days of entry into ISP.

Identifying Information - The information requested in this section (name, address, probation officer, phone, sentence) is self-explanatory.

Section 1: First Contacts

- a) Initial Interview: Indicate the dates on which the probation officer 1) met with the probationer for the first time following the sentence, and 2) reviewed with the probationer the orders and conditions of probation (Orders and Conditions Reviewed). Both may have occurred on the same day.
- b) Community Contact: A strong effort should be made to have the probationer involve the person

he feels would be most important to the successful completion of probation. Indicate the person's name, address, phone, and the date of the interview.

- c) Special Conditions: This section will record any additional court-ordered conditions of the probation sentence other than the standard conditions.

Section 2: Current Employment/Other Source of Income:

Record the name and address of the probationer's employer as well as his earnings. Indicate "unemployed" where applicable. Indicate whether employment is full- or part-time and the usual hours of work. If source of a probationer's income is other than employment, record the source, amount and frequency of receipt.

Section 3: Long-Range Supervision Goals:

The mutually agreed upon long-range goals to be achieved during the period of probation supervision should be recorded in this section. If the probationer has not cooperated in the planning process, the probation officer's assessment of appropriate goals will be recorded. The long-range goals should usually reflect the outcome of the needs assessment process.

Section 4: Objectives for First Quarter:

This section will record the behavioral objectives for the first quarter of supervision. Objectives will be reviewed and revised on a quarterly basis. These objectives should be mutually developed and concisely worded. The procedure for the development of behavioral objectives and some examples may be found in Appendix B, "Instructions for Writing Behavioral Objectives." A behavioral objective worksheet appears as Appendix C, page 5.33. Objectives should be addressed to identified needs, and should be formulated with the three-month time span kept in mind. Where a probationer will not fully cooperate, the objectives may be limited to compliance with the conditions of probation.

Section 5: Probationer Attitude and Participation:

This section will describe the probationer's attitude, participation and cooperation during the first 30 days of probation. It should contain the explanations of any failures to agree with the supervision goals as well as indications of a positive attitude on the part of the probationer. Any use of community-based service by the probationer should be highlighted here as well.

Section 6: Contacts by the Probation Officer:

This section provides for the chronological recording of all scheduled and unscheduled contacts between a probation officer and probationer as well as all collateral contacts made on behalf of the supervision effort. It also provides for narrative recording of significant information developed during or about those contacts; e.g., difficulties in maintaining the regular reporting schedule, nature of home environment. The dates, places and nature of all contacts can be recorded by the use of the appropriate column and annotation.

a) Contacts with Probationer

1. OV (office visit) - Record all dates of scheduled and unscheduled office visits using the notation FTR to reflect failure to report.
2. HV (home visit) - Record dates of visits to the probationer's residence using the notation P (positive) when actual contact is made with the probationer and N (negative) when there is no such contact. Use the notation FTR (failure to report) following the date when the visit had been scheduled as a personal contact.
3. Other - Record the dates and places of personal contacts with the probationer other

than in the office or home. Use the appropriate notation to record the site of this contact.

E = Employer; visit to probationer's place of employment

A = Agency; visit to an agency a probationer is attending

C = Community; contact with the probationer at any other place in the community

b) Collateral Contacts

1. Agency - Record all contacts with community agencies by entering agency's name and dates of contact. Indicate telephone contact by circling the date.
2. Family - Record all dates of contact with a probationer's family. Indicate telephone contact by circling the date. Indicate next to the date whether it was a home visit (HV) or an office visit (OV) and indicate who was seen and relationship to probationer under comments.
3. Other - Record all dates of other collateral contacts and indicate by appropriate annotation the nature of that contact.

LL = Landlord

PD = Police Agency

E = Employer

O = Other

- c) Comments - Comments should reflect any significant information developed in the course of personal or collateral contacts.

Section 7: Joint Case Review:

The comments and modifications which stem from a conference between the probation officer and the ISP supervisor, as they review the initial supervision plan, will be indicated in this section along with the signatures of both the probation officer and the supervisor, and the dates the plan was completed and reviewed.

Case Name _____ Case # _____

Academic/Vocational Skill:

- 1) adequate skills, able to handle everyday requirements
 2) low skill level, possibly causing minor problems
 3) minimal skill level, causing functional problems

Employment:

- 1) currently employed, no difficulties reported, or student
 2) unsatisfactory employment; or unemployed having adequate job skills
 3) unemployed and virtually unemployable, needs training

Financial Management:

- 1) no current difficulties
 2) situational or minor difficulties
 3) severe difficulties; may include garnishment, bad checks, bankruptcy, gambling

Marital/Family Relationships:

- 1) relatively stable relationships
 2) some disorganization or stress but potential for improvement
 3) major disorganization or stress

Mental Health Problems:

- 1) no symptoms of emotional instability
 2) limited symptoms, not prohibiting functioning, e.g., anxiety, depression
 3) symptoms prohibit adequate functioning, e.g., severe depression, hostility, aggressive behavior

Current Living Environment:

- 1) satisfactory environment
 2) environment safe but unstable
 3) dangerous or unhealthy environment

Sexual Behavior:

- 1) unknown or satisfactory
 2) recorded sexual offense
 3) dangerous sexual activity

NAME

New York State Division of Probation
INITIAL SUPERVISION PLAN

CASE NUMBER
5.16a

5. COMMENTS ON ATTITUDE AND PARTICIPATION

6. CONTACTS BY PROBATION OFFICER (during first month)
KEY:
N = NEGATIVE
P = POSITIVE
FTR = FAILED TO REPORT
E = EMPLOYER
A = AGENCY
C = COMMUNITY
PD = POLICE
O = OTHER

CONTACTS WITH PROBATIONER			COLLATERAL CONTACTS		
OV	HV	OTHER	AGENCY	FAMILY	OTHER

7. COMMENTS:

7. JOINT CASE REVIEW

PROBATION OFFICER

DATE

SUPERVISOR

DATE

DP-77

5.17

PROBATIONER'S APPOINTMENT
RECORD CARD

FRONT

**PROBATIONER'S
APPOINTMENT RECORD FOR:**

Name

Probation Officer

Address

Phone No.

Date

This is a record of your appointment schedule. You are required to keep all appointments. Please bring this card when you report.

BACK

[illegible]

This is a record of your appointment schedule. You are required to keep all appointments. Please bring this card when you report.

9/26/78

APPENDIX A

Considerations for the Use of
Needs Assessment and Evaluation Instrument

The following considerations are presented as a resource for ISP staff in using the Needs Assessment and Evaluation Instrument. Some of the material presented is well known to probation staff and should be reviewed as minimal discussions of the ten items included in the instrument.

Behavioral indicators and possible information sources have been identified as aids in determining whether a probationer is experiencing functional difficulties in specific areas of adjustment.

Generally, the behavioral indicators discussed describe the absence of acceptable levels of skill or information or patterns of social adjustment commonly considered dysfunctional. The evaluation of the degree of dysfunction in an identified need area would be reflected in the scoring of that individual item.

Additionally, some considerations are presented as an aid in determining the priority to be assigned to particular need areas. These considerations may assist in evaluating the interrelationships between items and in identifying those existing problems which may result in either the creation of other areas of need or their exacerbation. The priority ranking of identified needs will result in the development of an individualized plan of supervision.

I. ACADEMIC/VOCATIONAL SKILL:

A. Indicators of Dysfunction and a Need for Service:

1. Lack of or limited basic education skills, i.e., ability to read or write
2. Lack of basic arithmetical skills
3. Lack of specific vocation skills
4. Lack of regular high school or equivalency diploma
5. Impaired motor skills

B. Considerations for Establishing Priority:

Generally, high priority would be assigned to this area in those instances in which it is the absence of a skill or skills which handicaps a probationer in securing employment. Consideration should also be given to situational or motivational factors which may affect the success of intervention efforts, i.e., family disorganization or emotional instability, and which may have to be addressed before or concurrently with service needs in the area of academic/vocational skills.

II. EMPLOYMENT

A. Indicators of Dysfunction and a Need for Service:

1. Chronic unemployment, sporadic employment or underemployment
2. An inappropriate pattern of dependency on public assistance or family support
3. Absence of marketable skills
4. Receipt of adequate income as a result of illegal activities

B. Considerations for Establishing Priority:

Unemployment or underemployment is often the result of a number of underlying factors. Problems of emotional stress, family disorganization, and lack of motivation may all impact upon a probationer's efforts to obtain employment. These areas would usually be assigned a higher priority if their continued presence inhibits or prevents a probationer from securing a job.

In addition, the rate of unemployment in the probationer's community may be an indication of whether employment problems are the result of situational factors or personal handicaps.

In either case, academic/vocational needs would take precedence. In the former instance, retraining may be necessary and in the latter, skills improvement and concurrent intervention in other areas would be indicated.

III. FINANCIAL MANAGEMENT

A. Indicators of Dysfunction and a Need for Service:

1. Prior bankruptcy or garnishment
2. Prior non-support of dependents
3. Discrepancy between stated income and standard of living
4. Frequent changes of address
5. Current or previous offenses (e.g., fraud, embezzlement, shoplifting, theft)
6. Excessive indebtedness relative to current income

B. Considerations for Establishing Priority:

Most often, probationers would experience problems in financial management as a result of problems in the areas of Academic/Vocational Skills and Employment. These areas would usually be given the service need priority. In those instances in which the problems are merely a result of lack of information, such as budgeting skills, a high priority would be assigned to this area.

IV. MARITAL/FAMILY RELATIONSHIPS

A. Indicators of Dysfunction and a Need for Service:

1. A recent divorce or separation
2. A history of frequent separations and reconciliations
3. Formal complaints of assault or disorderly conduct in the home made against the probationer or his spouse or siblings
4. Placement of the probationer's children in foster care

5. Psychiatric or psychological reports which diagnose family stress as dysfunctional
6. Reports that the probationer's children or siblings have engaged in delinquent behavior
7. Reports by family members of stress in the home
8. Self reports by the probationer of stress in the home

B. Considerations for Establishing Priority:

Stress or disorganization within the family may contribute to the development, continuation or worsening of problems in other areas, such as financial management, alcohol abuse or mental health. Alternatively, existing problems in these areas may result in the creation of problems within the family. The major causative factors for family stress should be identified before service priorities can be established. Intervention strategies will be a function of this identification process and closely related to the assigned priority. Problems having related priorities may be concurrently addressed.

V. MENTAL HEALTH

A. Indicators of Dysfunction and a Need for Service:

1. Reports or evidence of episodes of severe depression which result in impairment of contact with reality, thought disturbances, or suicidal behavior
2. Reports or evidence of extreme or chronic anxiety which results in attention-seeking behavior or the inability to pursue normal functioning
3. Reports or evidence of acting-out behavior which may be characterized by the lack of appropriate anxiety or guilt, impulsiveness, low frustration tolerance, poor judgment, denial of responsibility, problems with authority or inadequate social relationships.

4. Previous psychiatric diagnosis of mental or emotional impairment for which the recommended treatment was not obtained or was discontinued prematurely, or a diagnosis of continuing emotional impairment
5. Previous offenses which appear to indicate grossly inappropriate or bizarre behavior

B. Considerations for Establishing Priority:

Problems in the area of mental health are usually so pervasive and disabling that they must be addressed before any other intervention is possible. However, services made available in other functional areas may provide the necessary support to a probationer which will enable him to accept intervention for mental health problems. Therefore, in some cases, the intervention strategy would address the supportive needs immediately, as a prelude to directly addressing mental health problems.

VI. CURRENT LIVING ENVIRONMENT

A. Indicators of Dysfunction and a Need for Service:

1. Frequent changes in reported addresses
2. Deteriorated physical living conditions
3. A dangerous living situation as defined by the level of criminal activity in the immediate environment
4. An unstable or destructive environment which results from severe familial stress

B. Considerations for Establishing Priority:

Instability or disorganization in a probationer's living situation often results in environmental stress which precludes or limits his ability to function adequately in other areas. It may be important to stabilize his living situation before other substantive needs can be addressed effectively. Therefore, an evaluation must be made in order to determine whether this service area must be addressed immediately or may be addressed concurrently with such areas as employment or academic and vocational skills.

VII. SEXUAL BEHAVIOR

A. Indicators of Dysfunction and a Need for Service:

1. The current offense
2. Previous history of offenses related to illegal sexual behavior
3. Psychiatric diagnosis of sexual maladjustment
4. Self report by the probationer
5. Reports by family members of bizarre or illegal sexual behavior within the family

B. Considerations for Establishing Priority:

Dysfunction in the area of sexual adjustment would usually be assigned the highest priority when the potential behavior may result in danger or harm to the probationer or to others. In cases so identified, a concurrent priority would usually be assigned to the area of mental health, as immediate psychiatric or psychological intervention is indicated.

Manifestations of possible sexual dysfunction as reflected in certain illegal behavior (e.g., prostitution) must be evaluated with a view towards determining whether the behavior results from mental health problems or some other problem area, i.e., employment or financial problems. This assessment would determine the intervention strategy and related priorities.

VIII. ALCOHOL ABUSE

A. Indicators of Dysfunction and a Need for Service:

1. Prior arrests or police reports of alcohol abuse
2. Unstable employment history
3. The described pattern of behavior when drinking, i.e., quantity, frequency, duration

4. Reported medical problems, i.e., "nerves," kidney or liver ailments
5. Reported family attitudes toward the probationer and his abuse of alcohol

- B. The abuse of alcohol which results in disabling or immobilizing the probationer's ability to function adequately in the community would be assigned the highest priority.

Alcohol abuse is often both a cause and a symptom of individual disorganization and may be related to family stress. The evaluation of the etiology and impact of such a pattern of behavior will suggest the related adjustment areas in which services must be provided and concurrent priorities.

IX. DRUG ABUSE

A. Indicators of Dysfunction and a Need for Service:

1. Prior recorded drug offenses
2. Current offense
3. Positive results of laboratory testing
4. Reports of drug abuse by family members
5. Reports or observation of behavioral manifestations of drug abuse.

B. Considerations for Establishing Priority:

Drug abuse behavior may often result in illegal activities or may severely impair a probationer's ability to address, or accept service for, any other identified need area. In either case it must be given the highest priority in regard to service delivery.

Less disabling patterns of drug abuse must be evaluated to determine whether there are other related identified need areas and concurrent or higher priorities.

X. HEALTH

A. Indicators of Dysfunction and a Need for Service:

1. Recorded history of medical problems
2. Recorded history of medical hospitalizations
3. Reports of probationer's failure to obtain or follow-through on required treatment
4. Physical observation of the probationer

B. Considerations for Establishing Priority:

Problems in this area of need would usually be addressed together with other identified needs. The exception would be physical problems of such a handicapping nature that they would preclude other adequate functions.

APPENDIX B

Writing Behavioral Objectives¹

An integral part of the philosophy and implementation of ISP is the formulation of supervision plans by the use of behavioral objectives. ISP has incorporated behavioral objectives in its supervision activity for the following reasons:

1. Behavioral objectives provide for more tangible, measurable results and less ambiguity and vagueness.
2. Behavioral objectives provide a clear, realistic direction and focus for supervision.
3. Behavioral objectives communicate and share supervision intentions and provide the probationer with a notice of the conditions and expectations of his supervision plan.
4. Behavioral objectives establish an order of purpose.
5. Behavioral objectives provide a basis for motivation, participation, reinforcement and feedback for the probationer, probation officer and any others involved in the supervision plan.
6. Behavioral objectives involve the probationer in the supervision and evaluation process.
7. Behavioral objectives provide a written and individual supervision plan for the probationer and establish a commitment from the probationer to help in the achievement of the supervision objectives.
8. Behavioral objectives provide a basis for better communication between all involved in the supervision process.

1. This material has been adapted from, Goal Setting, Isabelle Blomberg.

9. Behavioral objectives provide an objective, concrete basis for evaluating a probationer's success or failure while on probation.
10. Behavioral objectives provide a basis for measuring the impact of ISP.

WHAT IS A BEHAVIORAL OBJECTIVE?

A behavioral objective is a statement which describes a result or achievement toward which effort is going to be directed.

Behavioral objectives are the first steps in the process of supervision evaluation. We need to know what we are going to try to accomplish before we can evaluate whether or not we are successful. Comparing supervision to travel one could say that behavioral objectives are statements of direction. We need to know where we're going before we can evaluate how far we have gotten or whether we have arrived.

HOW TO WRITE A BEHAVIORAL OBJECTIVE

One method of writing a behavioral objective is to follow the A, B, C, D guideline in which each letter stands for one component of the objective as follows:

A = Actor

(Who)

B = Behavior

(What will be the actor's expected behavior?
What exactly will the actor be doing that is observable and measurable?)

C = Condition

(Under what conditions or circumstances will the actor's behavior be carried out? When will it be done? Where will it be done?)

D = Degree

(To what degree or extent will the behavior be carried out? How often?)

Example: The probationer will attend group counseling sessions at the Main Street Mental Health Clinic one a week for two months.

A = Actor = the probationer
 B = Behavior = will attend group counseling sessions
 C = Conditions = at the Main Street Mental Health Clinic
 D = Degree = once a week for two months

PRINCIPLES OF WRITING BEHAVIORAL OBJECTIVES

Behavioral objectives should:

1. Be significant and represent a needed change in behavior or a challenge for a particular person;
2. Be specific, observable, and measurable;
3. Be realistic and attainable;
4. Be few in number;
5. Be directly related to and consistent with the philosophy and goals of probation and ISP;
6. Be clearly stated in writing in terms that everyone can understand; and
7. Be referred to frequently during supervision and used.

SOURCES OF BEHAVIORAL OBJECTIVES

The source of behavioral objectives for ISP will be the Needs Assessment Instrument. For each identified need there should be at least one behavioral objective for the supervision plan which addresses that need.

ENABLING ACTIVITIES AND EVALUATION

Once a behavioral objective has been written, two follow-up elements need to be outlined: Enabling Activities and Evaluation.

In the A,B,C,D guideline these components become E_1 and E_2 where:

E_1 = Enabling Activities (What steps will the probationer, the probation officer and/or others take to accomplish the objective?)

E_2 = Evaluation (How will the probationer, the probation officer (and others) determine whether or not the objective has been accomplished?)

Example: Using the behavioral objective from page 3:

The probationer will attend group counseling sessions at the Main Street Mental Health Clinic once a week for two months.

- E_1 = Enabling Activities
1. Probation Officer will initiate referral
 2. Probationer will telephone for intake appointment
 3. Probation Officer will accompany probationer to clinic to meet group counselor
 4. Probationer will arrange for necessary transportation

E_2 = Evaluation

Probationer, Probation Officer and group counselor will meet to discuss probationer's attendance at the end of the 8 week period on Tuesday, January 27.

OR

Probationer will submit weekly attendance notification from group counselor to Probation Officer.

Enabling Activities are important because they outline, in specific terms, strategy, responsibility and commitment.

Evaluation is important because it specifies an agreed upon criteria for determining whether the behavioral objective has been met. It outlines ahead of time exactly how the success in accomplishing the behavioral objective will be measured.

COMMON PITFALLS OF WRITING BEHAVIORAL OBJECTIVES

1. Too Numerous

It is better to concentrate on 2, 3, or 4 significant objectives than attempt too many and not accomplish any of them well. No one can improve on too much at one time.

2. Too Broad or Global

Too often behavioral objectives are stated in broad, intangible, comfortable terms which defy actual measurement or observation.

Example: The probationer will approach all supervision activities positively.

3. Too Trivial

Behavioral objectives should be significant and represent a needed change and/or challenge for the probationer. The easiest objectives to write are those which are unimportant or trivial.

Example: Probationer will stop borrowing cigarettes from strangers.

4. Too Ambitious or Unrealistic

Probationers and Probation Officers, out of a sense of conscientiousness and desire to succeed, may set objectives that are far too ambitious or unrealistic under the circumstances or within the given length of time.

Example: (For the 30 year alcoholic) Probationer will stop drinking in 2 months.

WRITING BEHAVIORAL OBJECTIVES WITH THE PROBATIONER

Behavioral objectives are most effective when they are based on mutual understanding, agreement and commitment between the Probationer and the Probation Officer (and others who may be involved). The following is a list of suggestions that can help in establishing behavioral objectives with the Probationer:

1. An atmosphere of privacy and comfort, free of unnecessary interruptions, should be provided.
2. Behavioral objectives, enabling activities, and evaluation should be clearly understood by both parties. It is important that all terms be carefully understood.
3. The probationer should be allowed, if willing, to do most of the talking. The probation officer should assist in probing for details so that the objective will be clear, precise, and measurable.
4. It is usually best to avoid talking about past performances. It is more productive to establish what is going to be done during the upcoming period of supervision.
5. It is not advisable to compare one probationer with another or to compare objectives. The purpose of the objectives is to provide an individualized supervision plan.

A FINAL WORD

Writing Behavioral Objectives is not meant to be time consuming, annoying, difficult, or burdensome. The purpose of behavioral objectives is to bring focus, direction and clarity to the supervision process for both the Probation Officer and the Probationer. Guidelines can be helpful, but what is most important is that the behavioral objectives be useful to those involved in supervision, just as a map is useful to a traveller.

Writing behavioral objectives can be difficult and uncomfortable at first. This is usually because we need practice, both writing them and using them. Often people avoid writing specific objectives because it commits one to a particular direction or change, and seeks to measure one's success or failure.

This can be uncomfortable for the probationer, the probation officer, or others involved. However, once the objectives are written and used, the focus, direction and clarity they provide far outweigh the initial difficulty. With behavioral objectives, ISP has concise, measurable, and observable statements of the intentions of a supervision program. As a result, it is possible to communicate the direction of the individual supervision plan to referral agencies, new caseworkers, family members, etc. To the extent that the objectives are well-developed, it is possible to evaluate the impact of the supervision process.

Supervision Plan Worksheet

1. Needs Category

A. Identified Need

1. Behavioral Objective
 - a. Enabling Activities
 - b. Evaluation
2. Behavioral Objective
 - a. Enabling Activities
 - b. Evaluation

B. Identified Need

1. Behavioral Objective
 - a. Enabling Activities
 - b. Evaluation

II. Needs Category

A. Identified Need

1. Behavioral Objective
 - a. Enabling Activities
 - b. Evaluation

III. Needs Category

A. Identified Need

1. Behavioral Objective
 - a. Enabling Activities
 - b. Evaluation
2. Behavioral Objective
 - a. Enabling Activities
 - b. Evaluation

CASE RECORDING
QUARTERLY SUPERVISION REPORT

I. PURPOSE

The Quarterly Supervision Report (DP-74, rev. 5/81) will maintain the ongoing written record of supervision and will contain all of the information necessary for that record. This complete record will allow for regular supervisory review of a Probation Officer's development and implementation of a supervision plan, as well as a review of a probationer's adjustment.

In summarizing a probationer's progress on probation in relation to the supervision plan established, the Quarterly Supervision Report will include concise information about: (1) the frequency and nature of Probation Officer contacts with the probationer and collateral sources; (2) the utilization of community resources by probationers in accordance with assessed needs; (3) the probationer's employment/school status; (4) the ongoing disposition of Court activity stemming from rearrests or Violations; (5) an assessment of probationer compliance with the Conditions of Probation; (6) a review of need areas addressed; (7) a review of established behavioral

objectives, and the establishment of new objectives; (8) a supervisor-worker statement of case intentions and/or focus.

The uniform recording procedures outlined below will also serve to standardize the recording of significant case information which will, in turn, provide for the evaluation of the ISP program, its procedures, and its impact on probation outcomes.

The Quarterly Supervision Report replaces the Monthly Activity Report, (DP-73, Section 6 of the Guidelines, 3/79) and the Quarterly Supervision Plan Supplement (DP-74, rev.).

II. PROCEDURES FOR COMPLETING THE QUARTERLY SUPERVISION REPORT (DP-74, Rev. 6/81, p. 6.18)

Frequency - The report is designed in two Parts. Part I should be completed on an ongoing basis by the ISP probation officer commencing with the date of entry of the probationer into the program. Part II should be completed three months after the date of entry, and quarterly thereafter.

During the first quarter of supervision, the Initial Supervision Plan also will be prepared. The ISP officer will continue to record first month contacts on that

form, and on the Quarterly should note, "See Initial Supervision Plan," to account for Probationer, and Collateral Contacts during that period of the initial quarter. Contact totals for the Initial Supervision Plan should be added to those of the succeeding months for the initial Quarter to complete the "Totals" section of the form.

Identifying Information - Place indicated identifying information at the top of each page of the report. Note that Part I asks for P.O. name while Part II requests the Probationer's name. Both Parts request the entry of an identifying case number. Supervision Period refers to the quarterly period contained in the report; the initial Quarterly Supervision Report begins with the date of ISP entry and ends three months thereafter.

Section 1: Probationer Information

Enter the name, address, date of birth and telephone number (if any) of the probationer. If a change occurs during the quarter note the date of change (in parenthesis) next to the item. Where a probationer is known under more than one name, underline the true name.

Section 2: Primary Contact Person Data

This section identifies the community contact person whom the probationer feels would be most important to the successful completion of probation. Over the course of ISP supervision the primary contact person may change as the probationer's relationships with community resources and family members vary.

2a: Primary Contact Person (Relationship)

Identify the person currently serving in this capacity and his/her relationship to the probationer. If there is a change from the prior quarter(s), indicate the date of change (in parenthesis) next to the name.

If the Primary Contact Person is newly developed, as during the initial quarter, indicate the date of identification (in parenthesis).

Section 3: Probationer/PO Personal Contacts, Collateral Contacts

This section provides for the chronological recording of all scheduled and unscheduled contacts between a probation officer and a probationer, as well as all collateral contacts made on behalf of the supervision effort.

The dates, places and nature of all contacts can be recorded in this section by the use of the following procedure:

A. Probationer/PO Personal Contacts

1. Enter both the dates of all scheduled contacts as well as dates when unscheduled contacts occurred.
2. Location - The location of Probationer/P.O. Personal Contacts should be specified, as with the following types:
 - a) Office Visits - to Probation Offices;
 - b) Home Visits - to the Probationer's residence;
 - c) Agency/Community - Visits with the probationer at an Agency where he/she is being seen, or in a community reporting center.
3. FTR - When a failure to report in any location has occurred, it should be noted with an X. Follow-up telephone or mail contacts to reestablish communication are not counted as personal contacts but are appropriately entered (in parenthesis) under FTR entries. Indicate telephone contact with a T and letters with L;

give the dates of such actions.

4. Telephone and Mail Contacts with the probationer, other than FTR follow-ups should be listed for record keeping purposes though they cannot be counted as fulfilling the four personal contacts per month requirement.

B. Collateral Contacts

1. Agency - record all contacts with community agencies by entering the agency's name, address and dates of contact by probation officer. "Agency" is limited to organizations providing social services to probationers.
2. Family - record all dates of contact with a probationer's family (including common-law spouses). Indicate who was seen and relationship to probationer. Indicate whether this contact was a Home Visit (HV), Office Visit (OV) or Agency/Community Contact (A/C).
3. Employer - record contacts with the probationer's employer by noting E after the name and/or address.

4. Police - police contacts are those made with local police departments, and state or national information systems (NYSIS, FBI).
5. Court - Court contacts are those made by the probation officer involving the probationer's past, current or rearrest offenses.
6. Other - Other collateral sources should be clearly identified as they form a residual category with broad parameters. Types of collateral contacts might include: friends, neighbors, landlords/landladies, lawyers, complainants, other probation departments, etc.

NOTATION - When a collateral contact occurs by telephone or letter, the entry should be recorded with a T or L after its identification.

Section 4: Totals

This section is a computation of the various types of contacts made between the probation officer and probationer or probation officer and collateral sources during this quarter. The probation officer should enter

The sub-total of each type of contact within the appropriate box in Section 4. Probationer and collateral contacts occurring during the period covered by the Initial Supervision Plan also should be reflected in the first Quarterly Supervision Report.

Telephone Contacts with Probationer - Enter the number made to the probationer first, followed by the number from the probationer, e.g. 0/3.

Letter Contacts with Probationer - Enter the number of letters to the probationer before those which may have been received from him/her, e.g. 3/0.

Home Visits - Enter the total number of visits made to the probationer's residence during the quarter. This may include visits where personal contact has been made, visits with collateral contacts and visits where no one was present at the time. A minimum of one Home Visit per month is required for each probationer. When a probationer's residence has been verified during the course of a Home Visit, enter (Verified) in parenthesis.

Section 5: Needs Addressed This Quarter

This Section identifies the "Need Categories" which were addressed during the quarter based upon the Needs Assessment and Evaluation instrument (DP-71), or further evaluation by the ISP probation officer.

Needs addressed should be listed in their order of priority. Where a Need had not been previously identified and is newly addressed during this quarter, this fact should be indicated by underlining it.

Section 6: Probationer's Community Resource Participation

This section provides for the recording of all activities by the probationer which involve the use of community-based services and are a part of the supervision plan.

The name of the agency to which a probationer is referred, the main purpose(s) of the referral (needs addressed) as well as the dates of attendance by the probationer should be recorded.

6a: Agency - Enter the agency name, address, telephone number and contact person (where relevant).

6b: Attendance Dates - The expected frequency of attendance should be listed (in parenthesis), e.g. (daily).

Actual attendance is recorded after the parenthesis.

6c: Needs - List the need category being addressed by the referral. If the agency is a multi-purpose organization, list all need areas being served.

Section 7: Employment/School Status - This section should reflect the source and amount of income of the probationer and his/her school status, if any.

7a: Source of Income Support - Identify the employer name, entitlement program (e.g., SSI, VA pension, U.I.B., OASI), or relationship of probationer to the income source (parents, spouse/paramour).

7b: Address - Enter the employer, program or relationship address of the income source.

7c: Date - Enter Continuing if the receipt of income preceded the beginning of this quarter and existed at the end of the period. If the probation began receiving income during the quarter, enter: Began, with the date. If the probationer's income terminated during the quarter, indicate: Terminated, with the date. If income began and terminated within the quarter, simply enter the inclusive dates.

7d: Amount - Enter the amount of income by payment period.

7e: Comments - Use this section to identify a probationer who is a student. Enter his/her school name and address, with the notation, "student."

Also use this section to identify employment variations such as part-time, or seasonal work, or to indicate permanent disability or unavailability for employment, e.g. full-time homemaker.

Section 8 - Disciplinary Actions - This section records all new police and Court contacts occurring during this period or continuing from prior quarters.

An alternative to this section is the optional Disciplinary Action Record (DP-83) which records the same operations in an expanded format. When the Disciplinary Action Record is used it should be maintained within the case record.

8a: Date - Enter the date of rearrests and VOP's occurring during this quarter. For VOP's and Warrants, use the date that the VOP report or Warrant request was forwarded to the Court.

8b: VOP/Rearrest Charges - Record the changes upon which a Violation is based, or list all rearrest charges. Enter the Court where the arraignment occurred. Where more than one court is involved, as in VOP's, list each transaction as a separate item.

8c: Finding/Conviction - List the charge(s) to which the probationer has pleaded or been found guilty and the dates of such actions.

8d: Disposition - Give the date and latest available disposition on each case.

VOP Dispositions - If the VOP carries from one quarter to another, indicate the next quarter's pending Court date.

If a plea has been taken but no sentence imposed, enter the disposition, "Sentence Pending," and give the prospective date of sentence.

When probation has been revoked, indicate the date, sentence length, and institution to which sentenced.

If probation has been Restored and/or Modified, so indicate with the appropriate date and any new conditions imposed.

Rearrest Dispositions - Indicate open cases with the notation, "Pending," and give the date of the prospective sentence.

Dispositions: Warrants - Indicate the date of issuance.

When there has been a Return on Warrant (ROW), give a date for such action.

All Court actions where a prior Notice to Court (DP-78) has been sent should have a copy of that notice as part of the ISP record. Likewise, all rearrest notifications ("hit notices") should be retained within the record.

Section 9: Quarterly Objectives Addressed and Results

The probation officer should review the objectives established for the three months of the period being summarized and should:

- a) List each objective addressed and the results, e.g., secured regular employment, enrolled in GED program, and
- b) list each objective not addressed and explain the reason indicating in the explanation whether a need had been originally misidentified, a resource was unavailable or changes in circumstances required a reordering of priorities.

Section 10: Compliance With All Conditions - This section records two classes of information: objective information regarding special conditions of probation or special situations such as Administrative Reviews; a subjective appraisal of the probationer's attitude and adjustment to probation and his community.

Compliance: Special Conditions - Indicate fulfillment or lack of compliance with special conditions and terms of probation such as Restitution (dates of payment, amounts, balances), Weekend Sentences, Community Service Work, etc.

Compliance: Administrative Review - If an Administrative Review (reprimand) has been held, give its date and briefly

summarize the issues raised and the results of the review.

Compliance: Appraisal - Evaluate in narrative form the probationer's attitude towards his/her probation sentence, his/her relationship toward his/her family and others within his/her community. Also indicate, where applicable, any special problems, such as hospitalization, which might have interfered with the probationer's adjustment.

Section 11: Needs for Next Quarter - This section identifies those Need areas, based upon the Needs Assessment and Evaluation instrument or later probation officer identification, which will be addressed during the next quarter.

New Objectives listed would usually reflect the priority of needs initially assessed. Any significant changes in the ranking of assessed need based on newly discovered information, or more informed assessment, should be recorded here, by underlining, and taken into account in the establishment of the behavioral objectives for the next quarter.

Section 12: Objectives for Next Quarter - In this section the probation officer should record the behavioral objectives agreed upon for the next quarter as a result of ongoing contacts between the probationer and the probation officer. The objectives for the next period of probation supervision should reflect information contained in Sections 8 through 11 as this data may result in reevaluation of the original ranking of need priority.

5. NEEDS ADDRESSED THIS QUARTER

6. PROBATIONER'S COMMUNITY RESOURCE PARTICIPATION

6a. AGENCY () 6b. ATTENDANCE DATES 6c. NEEDS ADDRESSED

7. EMPLOYMENT/SCHOOL STATUS

7a. INCOME/SUPPORT SOURCE 7b. ADDRESS 7c. DATE 7d. AMOUNT

\$

7e. COMMENTS

8. DISCIPLINARY ACTIONS

8a. DATE 8b. VOP/REARREST 8c. FINDING/CONVICTION 8d. DISPOSITION

PROBATIONER

QUARTERLY SUPERVISION REPORT

Period: _____ to _____

CASE NUMBER

PART II

9. QUARTERLY OBJECTIVES ADDRESSED AND RESULTS

10. COMPLIANCE WITH ALL CONDITIONS

DP-83 (6/81)

New York State Division of Probation

DISCIPLINARY ACTION RECORD

PROBATIONER	DATE OF SENTENCE	PROBATION OFFICER	CASE NUMBER
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Part II
REARREST/RECONVICTION RECORD[illegible]

Section 7

7.1

VIOLATIONS OF PROBATION PROCEDURES

I. PURPOSE

The Division of Probation's Rules and Regulations Part 352
Section 352.3 states:

It is the probation department's responsibility to see that the conditions are adhered to and to keep the court informed of any deviation.

For this reason, minimal Violation of Probation procedural steps are being provided to ensure that: 1) the community is afforded protection; and 2) any violation of the conditions of probation or criminal behavior on the part of an ISP probationer is processed and dealt with quickly by the department.

The failure to comply with a condition of probation imposed by the court or the commission of an offense other than a traffic infraction will be considered as an alleged violation of probation, and will be dealt with administratively by the department and/or through court action.

It should be emphasized that the procedures that follow are minimal procedural steps for ISP and are in conformity with, and an amplification of, the Division of Probation rules and regulations. It is recognized that in some jurisdictions, court and/or local probation departments may require additional procedures or other types of notification, and these should be adhered to.

CONTINUED

1 OF 2

II. PROBATIONER REARREST

A. Policy

The appropriate court will be notified by the department of all probationers' rearrests occurring during the period of probation supervision.

B. Procedures

1. Upon the probation officer's receipt of notification that a probationer has been rearrested for an offense, other than a traffic infraction, committed during the period of probation, the probation officer will initiate an investigation within 24 hours of that notification and pursue all relevant avenues in an attempt to obtain the facts. The investigation should include an interview with the probationer and, if it does not, the reason should be stated in the case record.
2. The facts of this investigation will be presented to the probation officer's supervisor. A conference will be held within five days of the notification between the probation officer and the probation officer's supervisor for the purpose of discussing the rearrest and arriving at a plan of action. A summary of this conference must be prepared and entered into the case record.
3. Depending on the seriousness of the alleged offense, and the potential threat of the probationer to him-

self or to the community, one of the following must be done after the Supervisory Conference:

- a. If the alleged offense is not serious and/or the probationer is not judged to be a potential threat to himself or to the community, the probation officer will discuss the alleged offense with the probationer and inform him that the court will be notified of the arrest and will be kept informed as to the status of the case. A summary of this discussion will be prepared and entered into the case record.

AND

The court will be notified of the rearrest within 24 hours after the conclusion of the Supervisory Conference. Along with the notification, a brief description of the alleged offense, the status of the case, and the department's recommendation will be transmitted to the court. The court will be notified by the department of any changes in the status of the case.

OR

- b. If the alleged offense is serious and/or the probationer is judged to be a potential threat to himself or to the community, the probation officer will notify the court of the rearrest within 24 hours after the conclusion of the

Supervisory Conference. Along with the notification, a brief description of the alleged offense and the status of the case will also be transmitted to the court. Accompanying this report may be: 1) a request for a Declaration of Delinquency; 2) a request for a Declaration of Delinquency and a warrant; 3) a Violation of Probation Report; 4) a Violation of Probation Report with a request for a warrant; or 5) a request that the probationer be required to appear before the court. (Procedures for completion of Violation of Probation Report may be found on p.8.13, Under IV. Technical Violations, B. Procedures 4. (c).

AND

The court will be notified by the department of any changes in the status of the case.

4. If the probationer is detained due to the arrest, the probation officer must maintain close liaison with the detaining authorities and, where appropriate, must visit the probationer periodically during his detention. If the probationer is in the community pending disposition of the arrest, the probation officer will intensify his supervision of the case.

III. PROBATIONER RECONVICTION

A. Policy

The appropriate court will be notified by the department of all probationers' convictions occurring during the period of probation supervision.

B. Procedures

1. Upon the probation officer's receipt of a notification that a probationer has been convicted for a new offense during the period of probation supervision, the probation officer will initiate an investigation within 24 hours of the notification and obtain all relevant facts concerning the new conviction, unless this information has been obtained in a prior investigation.
2. The facts of this investigation will be presented to the probation officer's supervisor. A conference will be held within five days of conviction notification between the probation officer and the probation officer's supervisor. The purpose of this meeting is to discuss the conviction and to arrive at a plan of action. A summary of this conference must be prepared and entered into the case record.
3. Depending on the sentence that resulted from the

conviction, following the Supervisory Conference, the department may either immediately notify the court and request appropriate action (Sec. a) or it may initiate departmental disciplinary procedures prior to the notification (Sec. b). The department therefore may:

- a. Initiate immediate court notification and request one of the following three court actions:
 1. Notify the court of the conviction, along with a description of the offense, and request that the court discharge the probationer unsatisfactorily or as unimproved. This would usually be done where the conviction resulted in a sentence of incarceration. A copy of this report may be retained in the case record.

OR

2. Notify the court of the conviction, along with a description of the offense, and request that the court require that the probationer appear before it either for the purpose of modifying the conditions of probation or for a judicial reprimand. This would usually be done in cases where the conviction resulted in a sentence that allowed the probationer to remain in the community. A copy of this report must be retained in the case record.

OR

3. Notify the court of the conviction, along with a description of the offense, and file a Violation of Probation Report with the court. The Violation of Probation Report must contain a summary of the probationer's activities to date, and the alleged facts which would be sufficient, if proven, to establish that a violation had occurred. A copy of this report must be retained in the case record. A request for a Declaration of Delinquency may also be filed with the court at this time.

OR

- b. Initiate departmental disciplinary procedures prior to court notification or the submission of a recommendation for further court involvement. Departmental disciplinary procedures should be concluded within ten days.
 1. The probation officer may meet with the probationer for the purpose of discussing the conviction and issuing a warning. If the issues presented by the conviction can be resolved, the court must be notified of the conviction along with a description of the offense and any action taken by the department, and a recommendation to the court

made that the probation department should be allowed to issue a warning to the probationer and to adjust the case administratively.

OR

2. An Administrative Review will be scheduled to be held between the probation administrator or his designated representative and the probation officer for the purpose of discussing the conviction and arriving at a plan of action. The probationer should be invited to attend. A summary of this conference must be prepared and entered into the case record.

4. Upon the conclusion of the Administrative Review, one of the following must be done:

a. Notify the court of the conviction, along with a description of the offense and any action taken by the department, and request that the court discharge the probationer unsatisfactorily or as unimproved. A copy of this report must be retained in the case record.

OR

b. Notify the court of the conviction, along with a description of the offense and any action taken by the department, and request that the court require that the probationer appear before it either for the purpose of modifying the conditions

of probation or for a judicial reprimand. A copy of this report must be retained in the case record.

OR

c. Notify the court of the conviction, along with a description of the offense and any action taken by the department, and file a Violation of Probation Report with the court. The Violation of Probation Report must contain a summary of the probationer's supervision activities to date, and the alleged facts which would be sufficient, if proven, to establish that a violation had occurred. A copy of this report must be retained in the case record. A request for a Declaration of Delinquency may also be filed with the court at this time.

OR

d. Notify the court of the conviction, along with a description of the offense and any action taken by the department, and recommend to the court that the probation department should be allowed to issue a warning to the probationer and adjust the case administratively.

IV. TECHNICAL VIOLATIONS

A. Policy

Technical violations may be handled administratively by the probation department.

B. Procedures

1. Upon the probation officer's determination that a probationer had allegedly violated a condition of probation, the probation officer will initiate an investigation within 24 hours of receipt of information of an alleged violation, and pursue all relevant avenues in an attempt to obtain the facts.
2. The facts of the investigation will be presented to the probation officer's supervisor. A conference will be held within five days of receipt of information of the alleged violation between the probation officer and the probation officer's supervisor for the purpose of discussing the alleged violation and arriving at a plan of action. A summary of this conference will be prepared and entered into the case record.
3. After the Supervisory Conference, one of the following must be done:

- a. If, as a result of the Supervisory Conference a determination is made that the alleged violation is minor in nature and does not require further court involvement, the probation officer will discuss the alleged violation with the probationer and inform him that repeated or more serious violations will be dealt with more formally (i.e., court action). A summary of this meeting will be prepared and entered into the case record.

OR

- b. If, as a result of the Supervisory Conference, a determination is made that the alleged violation is serious in nature, and may require further court involvement, an Administrative Review will be held between the probation administrator or his designated representative and the probation officer for the purpose of discussing the alleged violation and arriving at a plan of action. The probationer should be invited to attend. A summary of this conference must be prepared and entered into the case record.
4. Upon the conclusion of the Administrative Review, one of the following must be done:

- a. Informal Adjustment: If, as a result of the Administrative Review it is concluded that formal court involvement is not necessary, the alleged violation having been discussed with the probationer and the probationer having been informed that repeated or more serious violations will be dealt with by the court, the violation will be informally adjusted. A summary of this meeting must be prepared and entered into the case record, noting any changes in the supervision plan.

OR

- b. Court Involvement: If, as a result of the Administrative Review it is concluded that formal court action is necessary, but a Violation of Probation Report is not appropriate at this time, the court will be informed of the alleged violation and the department's action to date relative to the case. In addition, a recommendation will be made to the court requesting that the court require that the probationer appear before it, either for the purpose of modifying the conditions of probation or for an official reprimand. A copy of this report must be retained in the case record.

OR

- c. Violation of Probation Report: If, as a result of the Administrative Review it is concluded that the alleged violation requires court involvement and a Violation of Probation Report is appropriate, a Violation of Probation Report will be prepared by the probation officer and forwarded to the court. The Violation of Probation Report must contain a summary of the probationer's supervision activities to date, the alleged facts which would be sufficient, if proven, to establish that a violation had occurred. A copy of this report must be retained in the case record. A request for a Declaration of Delinquency may also be filed with the court at this time.

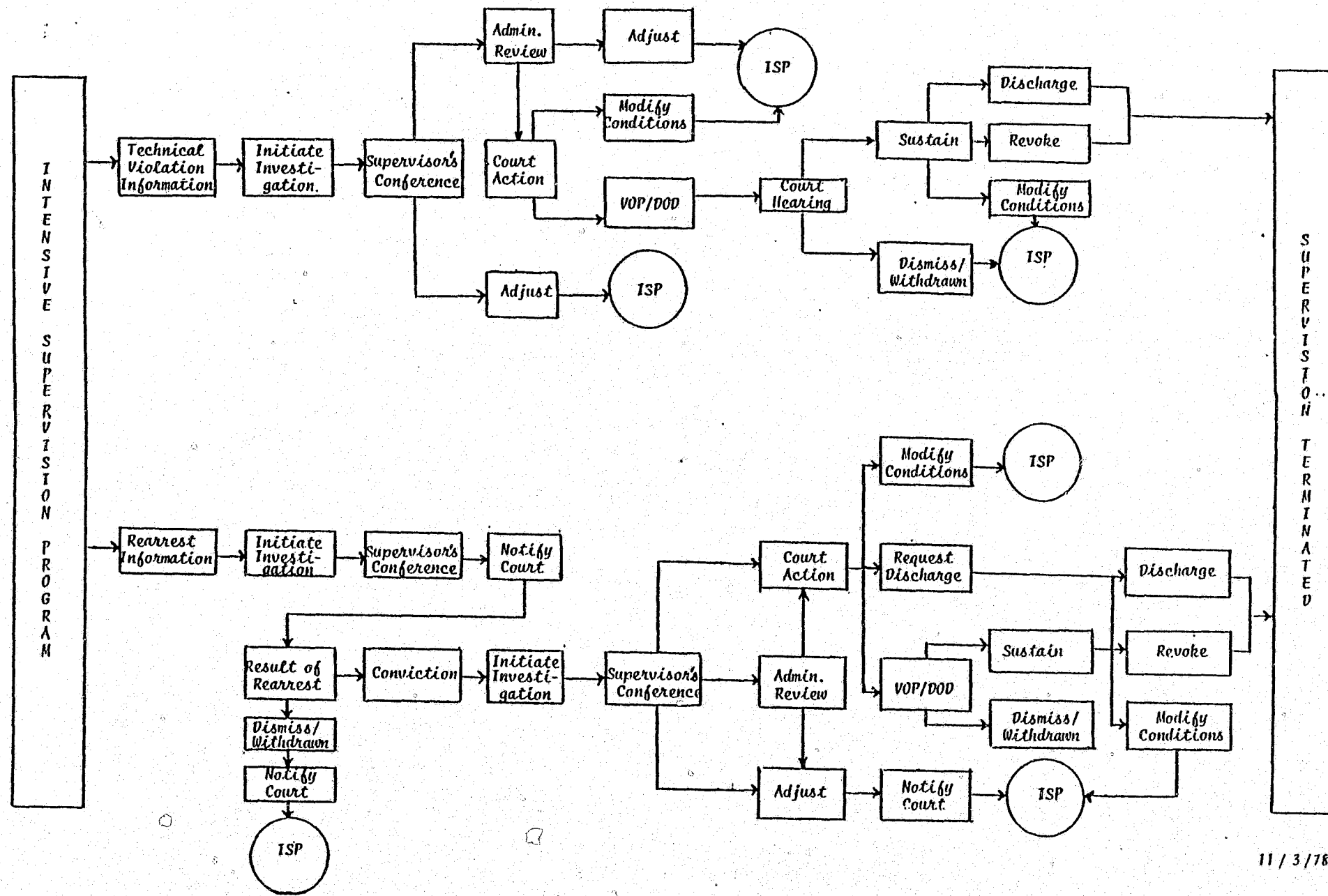
C. Absconders

1. In the case of an absconder (a probationer who fails to make his whereabouts known and/or who leaves the jurisdiction of the court without permission, such status to be determined only after departmental investigation) a Violation of Probation Report and/or a request for Declaration of Delinquency together with a request for a Violation of Probation Warrant must be filed with the court. The determination that a probationer has absconded as well as the filing of a Violation of Probation Report, must be completed within thirty days from the date the information is received.

2. After the Warrant is issued, the probation officer must continue to try to locate the violating probationer. If the Warrant has been referred to another agency for execution, he must assist that agency.
3. All Warrants must be entered into both the local and DCJS "Wanted Persons Files," and registered with the Division of Probation's Probation Registrant System.
4. When the violating probationer is arrested on the Warrant, it is the responsibility of the department supervising him to make sure that all wanted notices entered into the various wanted persons files are cancelled.

7.15

VIOLATIONS OF PROBATION PROCEDURES



11 / 3 / 78

DP-78 (10/78) New York State Division of Probation
COURT NOTIFICATION 7.16

DATE: _____ PROBATION CASE NO. _____

TO: HON. _____, JUDGE: _____ COURT: _____ COUNTY _____

RE: _____
(last Name) (First Name) Ticket/Indictment Number _____

() Convicted of: _____ () Adjudged a Youthful Offender
and sentenced to probation by the Hon. _____ on _____
for _____ year(s) to terminate on _____.

Special Conditions of Probation: _____

The above named individual has been rearrested (and convicted) since being sentenced to probation by your court.
The following is a summary of the subsequent arrest (and conviction):

Date of Arrest: _____ Arrest Charge: _____

Arresting Agency: _____ Court: _____

Conviction: () Yes () No Court Date: _____

Convicted/Adj for _____ Sentence: _____

() The Probation Department respectfully recommends that:

1. () That the probationer be declared delinquent.
2. () That a notice to appear be served on the probationer.
3. () That a bench warrant be issued forthwith.
4. () That the Court modify the conditions of probation.
5. () That the Court schedule a violation of probation hearing.
6. () That the Court discharge the probationer.
7. () That the Court permit the probation department to administratively adjust the matter.
8. () That no further action be taken until disposition of the pending charge(s).

Summary of Supervision Attached () Violation of Probation Attached ()

Attested by: _____ Date: _____
(Probation Officer)

Reviewed by: _____ Date: _____
(Supv. Prob. Officer)

COURT DIRECTION

() So Ordered

() Other direction by the Court: _____

Hon. _____, Judge Date: _____

Section 8

COMMUNITY RESOURCE DEVELOPMENT

I. PURPOSE

An important aspect of the ISP strategy is the understanding that probationers may have individual and differing needs and that a probation officer alone cannot meet all of these. For this reason, the ISP probation officers and supervisors will be required, not only to work with existing community agencies and resources, but to work toward identifying and developing additional community-based services. ISP staff will be expected to maintain relationships with service agencies in order to facilitate development of program change or expansion.

The needs assessment instrument used in the ISP will help a probation officer identify a probationer's specific needs. It will allow the probation officer and the probationer to mutually focus on which community services can most appropriately meet those identified needs. The ISP monitoring system require a probation officer to maintain liaison with the community service agencies being used and to make additional referrals as needed to meet changing needs.

These activities are expected to help the probation staff develop an integrated strategy for improved probationer adjustment in his own community.

II. IDENTIFICATION OF RESOURCES

The ISP supervisor is responsible for coordinating the development of a community resource file to be furnished to all ISP staff and for its continual updating. Both the probation officer and the supervisor will visit as often as possible with community agency personnel, with the ISP supervisor taking an initiative in promoting understanding and sharing of information on how agencies might improve service delivery for the probation population.

While a community resource file might already be in existence in a particular department, the ISP supervisor is responsible for the development of such a listing if none is available, with the aim of recording every possible resource which has been or could be useful to a probation officer providing intensive supervision.

Agency visits for the purpose of resource identification and development made by ISP probation officers will be recorded on individual listings maintained by each ISP officer. This information from individual resource development records is to be shared with the ISP supervisor for the purpose of developing the master resource file.

Continual updating and information sharing about resources should be facilitated by the ISP supervisor through such

activities as inviting community-based organization staff to describe their agencies at ISP meetings and circulation of agency publications.

III. USE OF COMMUNITY RESOURCES

After agreement has been reached on the use of a community-based agency as part of supervision planning, either the probation officer or the probationer may make the initial contact. A referral form should be used by the probation officer to provide necessary information to the agency in requesting its services. A sample referral form is provided in this section. (P. 8.5).

After initial contacts have been made, a final service delivery plan and time schedule should be agreed upon in a joint conference with the resource agency. Ongoing monitoring of the probationer's involvement will be accomplished by a probation officer by on-site visits, as well as routine telephone contacts verifying a probationer's continued attendance at the agency.

The probation officer is not only responsible for the monitoring and evaluation of a probationer's progress in the community agency, but is also expected to provide support for the offender experiencing difficulty in making use of the services provided by a community resource.

Where there is a special condition of probation that the probationer take part in a particular agency program, the probation officer must provide a clear understanding to the probationer that he has an obligation to follow this condition. The probation officer then has the responsibility to make the referral, and to coordinate and maintain communication with the community agency.

IV. RECORDING OF AGENCY CONTACTS

As indicated in the appropriate instructions, dates of agency contacts will be recorded routinely on the ISP Monthly Activity Report, the ISP Quarterly Summary, and the Resource Development Record. (DP-79, p. 8.6)

RE:
DOB:
ADDRESS:
CASE NO.:

Dear

This letter will introduce _____ who is being referred to you following our discussion of _____, regarding the need for your services.

Services Requested:

Probationer's Present Situation:

The following material is attached:

- () Authorization for Release of Information
- () Psychiatric and Psychological Report
- () Pre-Sentence Investigation Report
- () Monthly Report
- () Quarterly Report
- () Other _____

Should you require additional information, please feel free to contact me at _____.

Sincerely,

Probation Officer

The ISP, by limiting individual caseload size, provides for maximum contact with probationers in the program. The maximum caseload to be carried by an ISP probation

officer is 25 active ISP cases, all selected by the risk assessment and classification procedures. The ISP supervisor has several responsibilities designed to ensure the maintenance of appropriate ISP caseloads.

The ISP supervisor should be familiar with the procedures for the administration of the risk assessment in order to be able to identify problems arising in the selection of appropriate probationers for the ISP. Any identified problems should be referred by him to appropriate local administrative staff and to the ISP Probation Consultant.

The ISP supervisor will also be responsible for being aware of the actual ISP caseload count, in order to determine if vacancies permit the acceptance of probationers referred for intensive supervision.

Changes in probationer's circumstances may affect the active ISP status of individual cases and alter the caseload count. A system of case weighting has been developed to deal with those cases whose availability for intensive supervision in the community has been limited. The following guidelines should enable the ISP supervisor to maintain maximum ISP caseloads.

1. Placement in Residential Facilities

- a. ISP probationers admitted as inpatients to residential facilities will be considered as

active ISP cases for the first 30 days of treatment. The four personal and collateral contacts are to be made. Due to the probationer's residential status, the personal, collateral and residential contacts may be made simultaneously.

- b. During the second and third month a probationer remains in a facility, the case will be counted as one half of an ISP case, with a minimum of two personal and collateral contacts, including at least one residence visit. When geographical distance makes personal contact impractical, generally when the facility is located outside the jurisdiction of the local department, regular telephone and/or mail contact must be maintained in accordance with the ISP requirements.
- c. At the end of three months, an evaluation must be made and a decision reached whether to retain the case in the ISP or to transfer it to a departmental supervision unit. The decision to transfer a case should be based primarily on a probationer's successful progress in a program which reduces the need for intensive supervision. If the continuing length of stay will exceed six months, the case should be transferred to reflect the continuing unavailability of the probationer for intensive supervision.
- d. Residential facilities for the purposes of this section require the probationer to be in residence on a 24-hour basis and to provide some form of reha-

bilitative treatment. Short-term hospitalization for health problems would not affect caseload size.

2. Absconders:

- a. Probationers who have absconded and for whom warrants have been issued will be considered as active ISP cases for the first month after the issuance of the warrant. During this period the probation officer will be responsible for making all appropriate contacts in the probationer's community, which include the community contact person, and inquiries to local and national police agencies, in a continuing effort to locate the probationer.
- b. During the second and third months after the warrant has been issued, the case will be counted as one half an active ISP case. During these months the probation officer will be required to make monthly contacts in the community with the community contact person and local and national police agencies, in a continuing effort to locate the probationer.
- c. At the end of the third month, the case will be placed in an inactive file and will no longer be counted in the ISP caseload. However, monthly

police inquiries should continue in an attempt to locate the probationer.

- d. When the probationer is apprehended, the probation officer who initiated the warrant will complete all necessary processing through the courts and the case would be restored to his caseload count.

Reclassification and Transfer

All ISP cases will be reevaluated after six months to determine whether or not they should remain in the program. If they remain in the ISP they will be reassessed quarterly thereafter. If the Risk Reassessment Instrument indicates an appropriate reduction of risk, the ISP supervisor will be responsible for the prompt and orderly transfer of such cases to regular departmental supervision. In certain instances a case may be placed in transitional status for a period not to exceed 60 days.

4. Inter/Intra State Transfers:

- a. All interstate and intrastate transfers for supervision will be considered for the ISP, provided they have been on probation for no longer than 30 days.

- b. If a probationer already on an ISP caseload in one county transfers to another county, he will be reciprocally maintained as in ISP case, provided that the receiving county can accommodate the case into its ISP workload.

- c. In the situation where a probationer in the ISP has been transferred into another county's ISP caseload, the probationer's probation plan developed by the sending county's ISP will be reviewed and replicated as closely as possible by the receiving county if it continues to be appropriate.

B. Management Tools

Management procedures and instruments have been developed to aid the ISP Supervisor in maintaining a high degree of management accountability for cases assigned to the program. These may augment already existing supervisory procedures. The ISP instruments include:

- ...Unit Violation Control
- ...Unit Rearrest Control
- ...Supervisors Caseload Control

Samples of the forms and instructions for their use are included at the end of this section.

III. PROBATION SUPERVISION PLANNING

A. The Initial Plan

In order to insure the development of appropriate and effective probation plans, an ISP Supervisor should develop an understanding of all ISP procedures including

the use of the Needs Assessment and Evaluation Instrument so that he may assist ISP Probation office in:

1. interpreting information obtained from initial interviews, the assessments, the PSI and any other existing records,
2. designing probation plans which incorporate behavioral objectives related to identified needs, and in
3. identifying community-based services which meet probationer's needs.

B. Probation Plan Review

After the development of Initial Supervision Plan, an ISP supervisor must monitor and evaluate ongoing supervision plan activities. In order to facilitate these processes the supervisor should:

1. hold regular supervisory conferences with ISP probation officers to review case planning,
2. hold monthly unit meetings to discuss issues affecting all ISP staff and to share information, and
3. routinely monitor the timely completion of all required case recording.

C. Violation Review

In the event that an alleged violation of probation

occurs or a probationer is rearrested or reconvicted the ISP supervisor should:

1. promptly initiate the departmental response in accord with the ISP violations procedures,
2. promptly schedule or coordinate all necessary supervisory conferences or departmental disciplinary activities, and
3. monitor the timely submission of all required notifications and reports to court.

IV. COMMUNITY RESOURCE DEVELOPMENT

To insure the most effective and appropriate use of all available community-based services, the ISP supervisor will:

1. coordinate the process of identification of community resources,
2. develop a system for informing ISP staff of newly identified resources, where no such system exists in a department, and
3. develop and maintain working relationships with existing resources which will facilitate the referral of probationers for service.

V. PROCEDURE FOR THE USE OF THE UNIT REARREST CONTROL (DP-75,p.9.19)

The Unit Rearrest Control is designed to provide the ISP

Supervisor with a simple way to track rearrests and/or reconvictions of probationers in the program from the date notification is received through all subsequent actions taken by the probation department and/or the court.

A. Procedure

The form is divided into six major categories:

1. Information Received
2. Departmental Action
3. Recommendation on Notice
4. Court Action on Notice
5. Recommendation on Violation of Probation
6. Court Action on Violation of Probation

The vertical columns subdivide the major categories to reflect actions taken by the department and the court's response to those actions as recorded by the use of a date or checkmark. Each page will accommodate information on nine cases. Each horizontal section refers to one probationer and is divided into two rows. The first, coded (a), records rearrest information and activities. The second, coded (r), records reconviction information and activities.

The entire process described below refers to the receipt of information that a probationer has been rearrested. If there is a subsequent conviction, the same procedure

for the use of the Control Form should be followed, with appropriate notations made in the second row (r).

NOTE: This form is a tool for the Supervisor to track departmental and court action on rearrests and new convictions. Probation officers must report all of their activity in the case record.

1. Information Received

One of the first two columns, either Date of Arrest or Date of Reconviction, should be used to record the actual date of occurrence. The next column, Date of Notice, should be used to record the actual date the department learned of the rearrest or reconviction. The date recorded here will determine the dates of the subsequent departmental actions described below.

The next column records whether or not the probationer has been detained. Mark either the (a) or (r) portion of the section with a checkmark, depending on whether you are recording detention for an arrest or for a conviction. If the box is left blank, the assumption is that the probationer was released or remained free on bail.

The next two columns will contain the identifying information, case name and probation officer. Both the upper and lower portion of the rows may be used

to record this information.

2. Departmental Action

These columns are to record the dates scheduled for supervisory conference, administrative review, and date of court notification.

3. Recommendation to Court on Notice

In these seven columns a checkmark should appear in each column which applies to the recommendation submitted by the department. The columns are explained as they appear on the form:

- a. Notice to Appear: Departmental request that the court issue a notice to appear to the probationer for a hearing.
- b. Warrant: Departmental request for a warrant to be issued.
- c. Modify: Departmental request for a hearing to modify the conditions of probation regardless of whether or not a formal violation is filed.
- d. Declaration of Delinquency (DOD): Departmental request for a Declaration of Delinquency in order to toll the period of probation.

- e. Violation of Probation (VOP): Departmental request that a hearing be scheduled to adjudicate an alleged violation of the conditions of probation.
- f. Departmental Decision: Departmental request that the court allow the department to handle the matter administratively even if the arrest results in a conviction.
- g. No Action: Departmental request that no action be taken until final disposition of the new arrest.

4. Court Action on Notice

This section should be marked to reflect the action the court has taken in regard to the departmental recommendation. The columns are explained in the order they appear:

- a. Notice to Appear: The date of the scheduled hearing should be recorded if a Notice to Appear has been issued by the court. Subsequently scheduled hearing dates should be recorded here, except if the hearing is for the purpose of a violation proceeding. In that case, the hearing date should be recorded under section Court Action on Violation Probation, VOP date.

- b. Warrant: The date of the issuance of a warrant, in response to either the original Notice to Court or subsequent to a failure to respond to a Notice to Appear should be recorded.

One of the five possible court actions in response to the notification should be reflected by recording the date of the specific court activity.

- c. Modify: Reflects court modification of the original conditions of probation without a violation proceeding.
- d. DOD: Records the issuance of a Declaration of Delinquency.
- e. VOP: Records the scheduling of a hearing for a violation proceeding.
- f. Departmental Decision: Records the court's agreement to permit the matter to be administratively handled.
- g. No Action: Records the court's agreement to take no action until final disposition of the new arrest.

5. Recommendation on Violation of Probation

This section is to be used only if the department initiates a formal violation proceeding subsequent to

a new charge and arising out of the circumstances of that arrest or conviction.

The columns should be marked to reflect the departmental recommendation to the court:

- Discharge the probationer
- Continue probation supervision
- Modify the conditions of probation
- Revoke probation and resentence the probationer

6. Court Action on Violation of Probation

This section should be used to record the action the court has taken as a result of the violation hearing. The columns are explained as they appear on the form:

- a. VOP Date: Record the hearing date set by the court. This should be completed as soon as notification is received from the court in order to assist the supervisor in maintaining a schedule of required appearances by the probation officer.
- b. FTR Warrant: Should be marked when a notice to appear was sent, a hearing was scheduled and the probationer failed to appear. This assumes that upon failure to appear the court will automatically issue a warrant for the arrest of the probationer.
- c. ROW-Date: Should reflect the date the probationer

is returned on the warrant. When this happens, a new hearing date may be scheduled. Record this date on the form in the VOP-Date column.

- d. The next five columns should be marked to reflect the action taken by the court as a result of the violation hearing. The appropriate column should be checked:

- Discharge
- Continued
- Modified
- Revoked
- Dismissed

B. Case Example for the Use of Unit Rearrest Control

John Doe was placed on probation on July 15, 1978. A special condition of probation was required to control his acting out in public after consuming large amounts of alcohol. The condition imposed by the court included that he refrain from frequenting bars. Additionally, Mr. Doe was referred to an alcohol treatment program which he was attending sporadically.

On September 10, 1978, Mr. Doe was arrested for assault in the One More Round Bar. Notification of that arrest was sent to Supervisor on September 11, 1978. Mr. Doe was detained for 48 hours and then released on bail and is awaiting disposition of this case.

The Supervisor agrees to a conference on September 18, 1978 and records the date on the Control Sheet.

Upon completion of the investigation, it is determined by the uncontroverted evidence that Mr. Doe was indeed in the bar when the incident occurred and had been drinking there since 7:30 p.m. that evening. The arrest was made at 11:30 p.m.

At the Supervisor's Conference, the Probation Officer and the Supervisor decide that Mr. Doe will not comply with the special condition if left in the community. The only alternative, other than requesting revocation, is to attempt to obtain Mr. Doe's agreement for in-patient treatment.

An Administrative Review is scheduled and Mr. Doe is invited to attend.

The Supervisor records the date of the Administrative Review on the Control Sheet. It is scheduled for September 25, 1978.

At the Administrative Review the Branch Chief informs Mr. Doe that there are two choices to consider. He can either agree to a modification of his conditions and enter a residential treatment facility or the Department will request that his probation sentence be revoked because he is not complying with the special condition.

Mr. Doe agrees that the problem is serious enough to warrant in-patient treatment and the agreement is reached to request the court to modify the conditions of probation.

A notification of the rearrest is sent to the court along with a request for a hearing to modify the conditions and a request for the court to send notice to Mr. Doe that he must appear on the hearing date.

The Supervisor records on the Control Sheet the date of court notification, September 26, 1978 and marks the appropriate boxes in the Recommendation Section.

The court sends notice to the probation department that a hearing date is set on October 2, 1978 to consider the modification of conditions of probation and that probationer has been sent a Notice to Appear.

The Supervisor records this information on the Control Sheet by indicating the date of the scheduled hearing in the column, Notice to Appear.

The P. O. is informed to prepare to appear in court on October 2, 1978 and to make sure that if the court agrees to the modification the probationer will be accepted for treatment on the day of the hearing.

Mr. Doe did not appear at the hearing on October 2, 1978. The court issued a warrant.

The Supervisor will now enter the date the warrant was issued in the column, Warrant, in the section, Court Action on Notice.

Mr. Doe was arrested on the bench warrant on October 20, 1978, and the modification hearing was held immediately.

After the hearing the court decided to modify the conditions to include residential treatment for Mr. Doe.

He was admitted the same day.

The Supervisor then records the date in the column, Modify, in the section, Court Action on Notice, to reflect this actual court disposition of the matter.

If the new arrest results in a conviction, the court will be notified and this activity will be recorded in the row coded (r) in the same section.

61.6

[illegible]

VI. PROCEDURE FOR THE USE OF THE TECHNICAL VIOLATION CONTROL (DP-76
9.24)

The Technical Violation Control form is designed to provide the ISP Supervisor with a method to track cases in which violations are alleged. The Control form is to be used to record all scheduled conferences and submissions to the court by the probation department, as well as all court actions taken as a result of violation reports.

A. Procedure

The form is divided into five major categories:

1. Information Received
2. Departmental Action
3. Recommendation on DOD/VOP
4. Court Action of VOP/DOD Report
5. Results of Violation Hearing

The vertical columns subdivide the major categories to reflect actions taken by the department and the court's response to those actions as recorded by the use of a date or checkmark. Each page will accommodate information on nine cases. Each horizontal section refers to one probationer. The primary data should be recorded in the first row of each section, leaving the lower row for recording rescheduled hearing dates, etc.

1. Information Received

The first column, Violation, will indicate whether the alleged violation is the result of absconding or another technical violation. The date that the department learns of the alleged violation should be recorded in the column under the appropriate heading. The next two columns record the identifying information, Case Number and Probation Officer. Both the upper and lower portion of the row may be used to record.

2. Departmental Action

The two columns record the dates scheduled for Supervisor's Conferences and Administrative Reviews.

3. Recommendation on DOP/VOP Report

These columns are to be marked to reflect action requested by the probation department as a result of the Supervisor's Conference or the Administrative Review, where the decision has been made to file a Violation of Probation (VOP) and/or Declaration of Delinquency.

4. Court Action on Report

The columns in this section should be marked to reflect the action the court took in direct response to the departmental request in the violation report.

- a. Notice to Appear: The date of the scheduled hearing should be recorded if a Notice to Appear has been issued by the court. In most cases, this date would be identical to the VOP hearing date, in the section Violation Hearing.
- b. Warrant: The date of the issuance of a warrant in response to the departmental recommendation should be recorded.
- c. Declaration of Delinquency: Should be checked if the court declares the probationer delinquent.
- d. Violation of Probation: Should be checked if the court schedules a violation hearing.

5. Violation Hearing

The date for the violation hearing should be recorded as soon as the court notifies the probation department that a hearing has been scheduled.

On the date of the hearing, if the probationer fails to appear, then the column FTR/ROW should be marked in its upper portion to reflect the issuance of a warrant and all remaining columns will remain blank until such time as the probationer is returned.

When this occurs, note the date of the return on the warrant in the lower portion of the row in the FTR/ROW column and then record the new hearing date in the

lower portion of the Date column following. The same procedure should be followed for warrants issued at the time of filing.

All subsequent information in regard to disposition should be recorded in the lower portion of the row.

If the probationer appears on the scheduled hearing date, record the action taken by the court by marking the appropriate dispositional alternative.

9.24

3

[illegible]

VII. CASELOAD CONTROL PROCEDURES

The following methods of caseload control are proposed for the ISP supervisor. Both the Supervisor's Caseload Control and the Supervisor's Index Card provide for the maintenance of up-to-date and easily accessible information on individual cases. One procedure should be selected for use by each ISP supervisor.

A. Supervisor's Caseload Control (DP-80, p. 9.27).

This format provides for maintaining an individual log for each ISP probation officer, recording cases as they are assigned. The following information is routinely recorded.

1. Case Name, Case Number
2. Date Sentenced/Period; reflects period of probation
3. Offense; as sentenced
4. Special Conditions; as established by the court
5. ISP Entry Date
6. Risk Score/Date
7. Identified Needs/Priorities; reflects the Needs Evaluation and Assessment
8. Initial Supervision Plan - Date; records the submission and review of the plan
9. Agency Utilization - Service Provided; records programs in which the probationer is involved and the reason

10. Review Dates - Monthly Reports/Quarterly Summaries; records the dates each is reviewed
11. ISP Exit Date; records the date and reason for removal from the ISP caseload

B. Supervisor's Index Card (DP-81)

An Index Card would be generated at the point a probationer is assigned to the ISP caseload and maintained in an alphabetical file for each ISP probation officer. The format provides for the recording of basic identifying information and the maintenance of controls of case recording. Its use is self-explanatory.

Case Name _____ Case No. _____
 Address _____
 Docket# _____ Court _____ Judge _____
 Date Conv. _____ Conv. of _____ Sen. _____
 Special Conditions _____

Date Assnd. _____ Date Prob. Plan Sub. _____
 Date of Mon. Rpts. _____
 Date of Quart. Rpts. _____
 Comments: _____

DP-81

P.O. _____

Section 10

10.1

DATA COLLECTION

In order to monitor the ongoing ISP process, as well as to conduct a continuing evaluation of the program, it will be necessary to collect information about the probationers and their participation in the ISP in a standardized and routine manner.

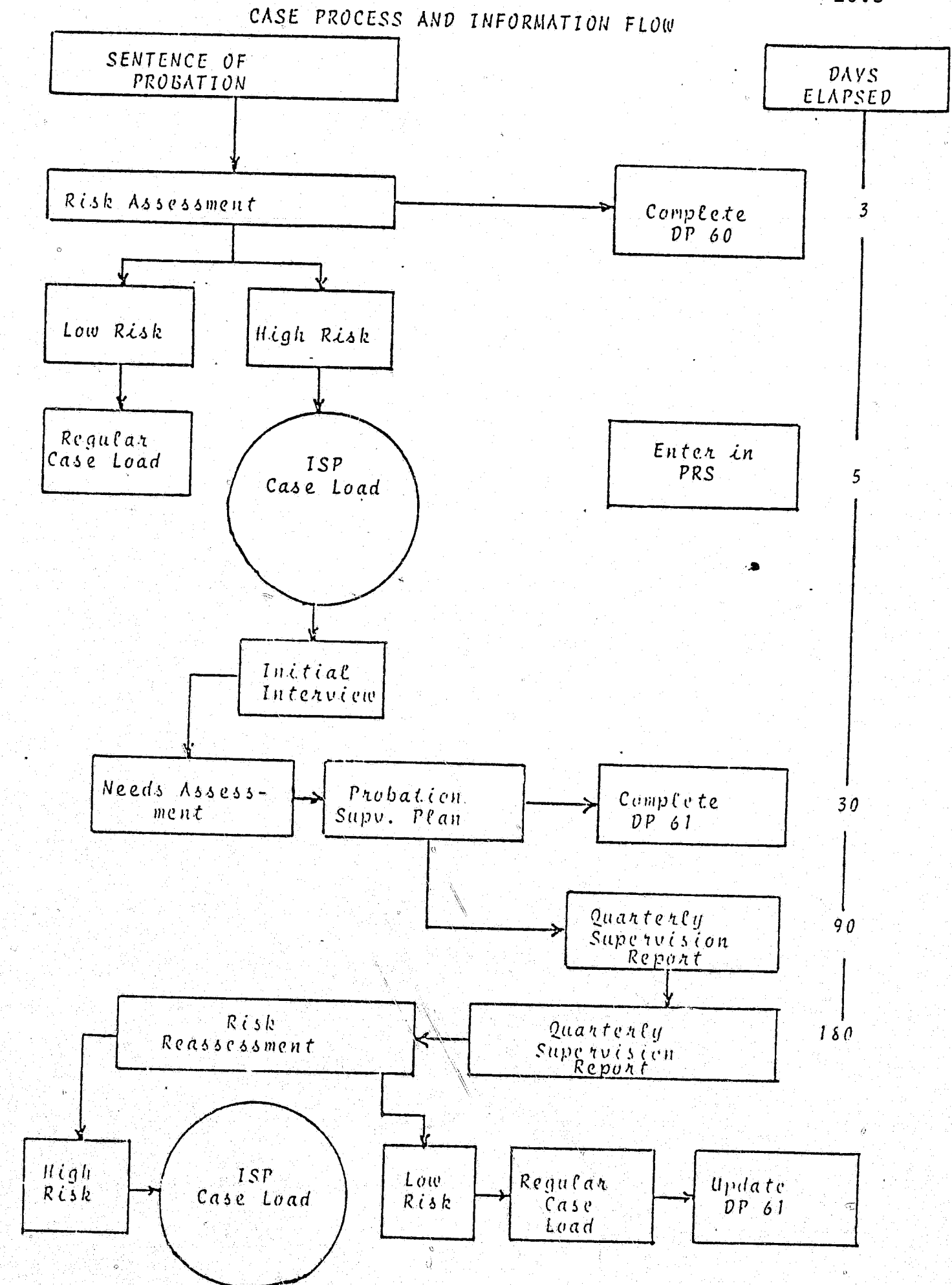
In this section, a chart entitled "ISP Case Management and Process Flow" shows all of the important ISP forms and reports. By following the "days elapsed" section at the far right of the chart, one can easily see which forms are required and then they must be completed.

The first step in the collection of data for the ISP occurs when the probationer is received by the department and the risk assessment and classification is completed. The risk assessment score is entered on the DP-60 along with all other required information and the probationer is entered into the Probation Registrant System (PRS).

After the first 30 days of supervision and the completion of an Initial Supervision Plan, the DP-61 is completed and this information is entered into the PRS. At the conclusion of supervision by the ISP, the information originally submitted will be updated on a second DP-61 and entered into the PRS.

Supervisors will be required to maintain control of all alleged violations of probation and the results of departmental and court activity.

Instructions on the use of all ISP forms are included in this manual.



PROCEDURES FOR FORMS DP-60 AND DP-61

This document describes the procedures for taking information from source documents and placing it onto the Probation Registration Form (DP-60) and the Probation Registrant Modify/Demographic/Violation Form (DP-61).

The following documents will be needed in order to complete these two forms:

- Division of Probation Presentence Report/Face Sheet (DS-4).
- Division of Criminal Justice Services Summary Case History (SCH).
- Court Orders of Conditions of Probation.
- Case Record.
- Division of Probation Registration Form (DP-60).
- Other accompanying reports used in processing a probationer.

I. PROCEDURES FOR COMPLETING FORM DP-60 (ENTRY)1. Type of Data Entered

Since this form can be used either for making an entry, making a cancellation, or making an inquiry, the person filling out the form must indicate first of all which of the three operations is to be done. In the MKE box at the upper left of the form, make a check in the box underneath one of the three headings.

2. Registration Number

This box, in the upper right corner, is for the registration number. It will be provided by the data entry operator after the entry is completed.

3. Agency Code (ORI)

Each agency has been given a special code which consists of nine numbers and letters. Place the code for your agency in the nine spaces here. The only acceptable codes to be used here are those listed as originating agency identification numbers in Table 1.

4. Name (NAM)

The name is listed in the PSI Face Sheet (DS-4) must be listed in full in the following manner:

Last name first, followed by a comma, but no space

First name next, followed by a space

Middle name or initial

For example, while the name may be listed on the records as:

Irving Matthew Krantz

it must be listed on this form as:

Krantz, Irving Matthew

Compound Last Names

There is a difficulty when the last name contains two elements, two or more words, is hyphenated, or any other

variation. Place the name into the form by placing blank spaces between the words or at any other logical break in the name. For example:

<u>name</u>	<u>enter this way</u>
Ronald MacDonald	Mac Donald, Ronald
Rollo Garcia y Vega	Garcia y Vega, Rollo
Sedgwick Huntington-Smythe	Huntington Smythe, Sedgwick
Sean O'Malley	O Mally, Sean

5. Sex (SEX)

Place the information from the PSI Face Sheet (DS-4) here by checking the appropriate box to the right of M or F.

6. Race (RAC)

Using either the DCJS SCH (Rap Sheet) or other available source documents, indicate in this box the registrant's race. Use only the following codes:

W - White, Mexican or Latin

N - Negro

I - American Indian

C - Chinese

J - Japanese

O - All others, including Asian Indians, Eskimos, Filipinos, Indonesians, Koreans, Polynesians, or other non-whites.

7. Date of Birth (DOB)

Take the date of birth found on the PSI Face Sheet (DS-4)

and enter it here in a standard six-number code. If the date is a single digit, such as 1/1/57, then it must have zero(s) entered before it, to become 01/01/57. Zeros must be entered as 0.

<u>date</u>	<u>enter this way</u>
August 4, 1961	08 04 61
December 9, 1958	12 09 58

8. Informal Supv. (INS)

Indicate whether the registrant has been placed on informal supervision by checking the box to the right of yes or no.

9. NYSID Number (SID)

The NYSID number can be found either on the PSI Face Sheet (DS-4) or on the DCJS SCH (Rap Sheet). This number should consist of seven numbers followed by a letter. If the number which you have has less than seven digits, enter zero(s) at the beginning. If there is no letter (check digit) at the end of the number, please return the form to the entering agency and request a check digit.

<u>NYSID number</u>	<u>enter this way</u>
1234567Q	1234567Q
123456Q	0123456Q
12345Q	0012345Q
1234567	return-ask for check digit

10. Court Control Number (CCN)

Locate the Court Control Number on the DCJS SCH (Rap Sheet) and enter it here as a seven-digit number plus a letter (check digit). If there are less than seven digits, or no letter at the end, please follow the instructions above in 9. NYSID Number.

11. P.S. Report Avail. (PRA)

Check the box to the right of the yes or no to indicate whether a presentence report is available or not.

12. Docket/Ind. No. (DKT)

Locate the Docket/Indictment number on the PSI Face Sheet (DS-4) and enter it here in the eight boxes provided. If necessary, add zero(s) to the beginning of the number to make sure that all eight boxes are filled. Use the symbol Ø for zero.

<u>DKT number</u>	<u>enter this way</u>
B123456	BØ123456

If the indictment date has been used instead of the Docket/Indictment number, enter this number here also, but add zeros to the beginning to make a total of eight numbers.

<u>DKT number</u>	<u>enter this way</u>
6/10/78	ØØØ61Ø78

13. Probation Case No. (OCA)

Locate the case number (LOCAL ID NO.) on the PSI Face Sheet (DS-4) and enter it here in all nine spaces. If the combination of letters and numbers do not equal nine, add zero(s) to the beginning of the numbers to make the total nine. Use the symbol Ø for zeros.

<u>case number</u>	<u>enter this way</u>
BK 1234	BKØØØ1234

14. Conviction Charge Code (CVC)

Locate the conviction charge on the PSI Face Sheet (DS-4) and enter it here, using the DCJS charge code manual as a reference. Fill in all sections for law, section number, subdivision, class, offense, attempt, and degree.

For the box on attempt, use the following code. Place the letter A for an attempt, or place a Ø if no attempt.

15. Adjudicated Y.O. (AYO)

This information can be found in the disposition or status on the PSI Face Sheet (DS-4) or on the orders and conditions of probation. After determining whether the probationer has been adjudicated a Y.O.,

enter a check mark to the right of the yes or the no.

16. Conviction Date (CVD)

Locate the conviction date on the orders and conditions of probation, and enter it using the standard six-digit format discussed above in 7. Date of Birth. Add zero(s) beginning as needed. For example, January 2, 1978 or 1/2/78 should be entered as 01 02 78.

17. Presentence Investigation Recommendation (PIR)

Review the last page of the presentence report and determine the presentence recommendation. Using the following code, enter a check mark in the appropriate box to the right of the proper recommendation.

<u>code</u>	<u>recommendation</u>
1	conditional discharge
2	fine
3	probation
4	intermittent imprisonment
5	unconditional discharge
6	commitment
7	jail-probation
8	youthful offender
9	not available

Up to two codes can be checked, if necessary. For example, a presentence investigation report might recommend both 3 - probation and also 8 - youthful offender status.

NOTE: When the registrant has been placed on INFORMAL SUPERVISION as indicated on question 8. Informal Supervision, then the following three questions need not be answered: Date of Sentence, Sentencing Judge, and Maximum Expiration Date. If this is the case, please skip now to 21. Supervisory Category.

18. Date Sentence (DOS)

Obtain the date of sentence from the orders and conditions of probation, and enter it here using the standard six-digit format discussed above in 7. Date of Birth. Add zero(s) in the beginning as needed, using the symbol 0 for a zero. For example, January 2, 1978, or 1/2/78 should be entered as 01 02 78.

19. Name of Sentencing Judge (SJG)

Locate the name of the sentencing judge on the orders and conditions of probation, and enter the name here in the following manner:

<u>name</u>	<u>enter this way</u>
John Alden	Alden, John

20. Max. Expiration Date (MED)

Using the sentencing information found in the orders and conditions of probation, including the date of the

sentence and the length of the sentence, determine the maximum expiration date and enter it here. Use the standard six-digit format discussed in 7. Date of Birth. Add zero(s) in the beginning as needed. For example, January 2, 1983 or 1/2/83 should be entered as 01 02 83.

NOTE: Life probation should be entered as 99 99 99.

21. Supervision Category (SPC)

Review the information in the case record to determine if a supervision category is recommended, and enter a check mark to the right of intensive, active, special or ISP.

22. P.O. Ident. No. (EPO)

Determine the probation officer's identification number from the agency listing, and enter it here in the five spaces provided. If necessary to make a total of five spaces, add zero(s) between the letters and the numbers. Use the symbol 0 for zeros.

<u>ID No.</u>	<u>enter this way</u>
QC 345	QC345
BK 15	BK015
BS 1	BS001

23. Tract Code (TCD)

In some jurisdictions, a code consisting of a letter

and two numbers has been assigned to each area: for example, M 14. If applicable, enter this code here. If not applicable, leave this section blank.

24. Classification Score (CSC)

Enter the probationer's classification score in this space. If the score is less than three numbers, place a zero(s) at the beginning of the score.

<u>score</u>	<u>enter this way</u>
54	054
8	008

REVIEW: After completing this section of the DP-60, please go back and review all of the information provided to be sure that all spaces are filled (using zeros when necessary) and correct (zeros are all entered as 0).

After this review, please forward the DP-60 to the data entry station.

II. PROCEDURES TO CANCEL TRANSACTIONS DP-60

First, be sure that you have indicated that this is a cancel transaction. This is done by checking the cancel box (MKE) in the upper left-hand corner of the form. Cancel transactions are to be used when a probationer no longer is under supervision.

1. Turn to the instructions beginning on page 11.1, Section I, Procedures for Completing Form DP-60. Following these instructions, complete:

2. Registration Number
3. Agency Code
4. Name
5. Sex

Now, go to the bottom of Form DP-60, to the CANCEL SECTION.

2. Effective Date (EFD)

Locate the effective date, and enter it as a standard six-digit code in the space provided. If the date is a single digit, such as January 2, 1978 or 1/2/78, then zero(s) must be entered before the single digits:
01 02 78.

3. Reason (RSN)

Indicate the reason for the cancellation by making a check mark to the right of the appropriate reason.

4. P.O. Ident. No.

Determine the probation officer's identification number from the agency listing, and enter it here in the five spaces provided. If necessary to make a total of five spaces, add zero(s) between the letters and numbers.

ID No.	<u>enter this way</u>
QC 345	QC345
BK 15	BK015
BS 1	BS001

5. REVIEW: After completing this section, please go back and review all of the information to be sure that all required spaces are filled in (using zeros when necessary) and correct (all zeros are entered as 0). After this review, please forward the DP-60 to the data entry station.

III. PROCEDURES FOR COMPLETING FORM DP-61

A. Procedures for Modify Transactions

Using the DP-60 procedures and any other appropriate documents, enter the data as outlined below.

THE FOLLOWING THREE ITEMS ARE REQUIRED ON ALL DP-61's

1. Registration No. (REG)

The registration number may be found in the upper right of the DP-60, Probation Registrant Form, which will always consist of a total of eight numbers and letters.

<u>Registration No.</u>	<u>enter this way</u>
A1325678	A1325678

2. Agency Code (ORI)

Each agency has been given a special code which consists of nine numbers and letters. Place the code for your agency in the nine spaces here. The only acceptable codes to be used here are those listed as originating agency identification numbers in Table I.

3. Name (NAM)

The full name must be listed in the following manner:

Last name first, followed by a comma, but no space

First name next, followed by a space

Middle name or initial - exactly replicating the entry on DP-60.

For example, while the name may be listed on the records as:

Irving Matthew Krantz

it must be listed on this form as:

Krantz, Irving Matthew

Compound Last Names

There is a difficulty when the last name contains two elements, two or more words, is hyphenated, or any other variation. Place the name into the form by placing blank spaces between the words or at any other logical break in the name. For example:

nameenter this way

Ronald MacDonald

Mac Donald, Ronald

Rollo Garcia y Vega

Garcia y Vega, Rollo

Sedgwick Huntington-Smythe

Huntington Smythe, Sedgwick

Sean O'Malley

O Malley, Sean

B. Modify Section (MM)

Place the new data in the appropriate space or spaces. Checking the instructions for completing the DP-60 form, be sure that the new data is in the proper format. It is only necessary to place into this section the new information or the corrected information.

Upon completion, review all entries to be sure that all sections needed, including the three items covered in instruction sheet page eight are filled in completely and properly. Be sure that all zeros are entered as the symbol 0. Then, forward the DP-61 form to the data entry station.

C. Demographic Section (MMD)

Before this section is filled out, the information at the top of the form (registration number, agency code and name) must be entered. The instructions for these items may be found on instruction page 11.12, under Procedures for DP-61. This section will be completed after the initial supervision plan is developed.

1. Marital Status (MAR)

Place a check mark in the box under the appropriate category.

2. Income Level (ICM)

There are two separate sections to completing this item. The first two boxes refer to the poverty level computed for each particular location. This information is not needed for ISP probationers, and can be left blank unless local regulations require it to be completed.

The rest of the boxes in the income level section require a check mark in the box that reflects the probationer's yearly income level. This information must be provided for ISP probationers.

3. Employment (EMP)

Check the box under the appropriate heading. Employment is defined as part-time if the hours worked do not exceed 60% of the hours usually required in that position.

4. Veteran (VET)

Leave the following items blank:

- a. Veteran (VET)
- b. Entrance Date (ENT)
- c. Separation Date (SEP)

5. Education (EDU)

Enter into these two boxes the number of years of school completed. If nine or fewer years, add a zero (using the symbol Ø for zero) before the number, for example: Ø9. If the probationer has attended school after high school, enter the total number of years, for example: 16 for a college graduate, 17 for a master's degree. Enter HE for equivalency diploma.

6. Program Need (PGN)

From the chart at the end of the ISP Needs Assessment and Evaluation Instrument, record here the identified needs of the probationer. As on the Instrument, indicate the rank order of the need areas by placing the proper rank value in each box. Use the "other" box if the category does not appear on the DP-61.

At program termination, indicate the rank order of need areas existing at that time in a similar manner.

7. Contact Frequency (FQC)

This section is not important for ISP probationers, so simply check "weekly" for all probationers, unless local regulations require otherwise.

8. Program Participation (PPN)

At program entry, check the box under the program area which best describes the services a probationer is actually receiving.

D. Violation/Declaration of Delinquency Section (MMV)

Before this section is filled out, the information at the top of the form (registration number, agency code and name) must be entered. The instructions for those items may be found on instruction page 11.12 under Procedures for Completing Form DP-61.

1. Add/Change

Check the appropriate box for add or change. An add is for new information which has not been entered before. A change is to modify previously entered information, or to correct information in the file which is wrong.

2. Probation Officer ID No.

Determine the probation officer's identification number from the agency listing, and enter it here

in the five spaces provided. If necessary to make a total of five spaces, add zero(s) between the letters and the numbers (use the symbol Ø for a zero).

<u>ID No.</u>	<u>enter this way</u>
QC 345	QC345
BK 15	BKØ15
BS 1	BSØØ1

3. Type

Check the appropriate box for violation, declaration of delinquency, or the third box for both. Do not check more than one box.

4. Date Filed

Enter the date in the standard six-digit format, adding zero(s) as needed (use the symbol Ø for zero). For example, January 2, 1978 or 1/2/78 should be listed as Ø1 Ø2 78. The relevant date here is the date the Probation Department submits the report.

5. Reason Filed

Indicate the appropriate reason, by placing a check mark beneath one of the three reasons listed: absconder, other technical or conviction.

6. Disposition Recommended

Place a check mark beneath one of the four listed possible recommendations to reflect the recommendation submitted to the court.

7. Warrant Recommended

Indicate yes or no with a check mark.

8. Warrant Issued

Indicate a yes or no with a check mark.

9. Violation Conviction Charge Code

This section should be left blank, unless the violation has been filed as a result of a new conviction. If there is a new conviction, enter the conviction charge code here, using the DCJS code manual for a reference. Fill in all sections for law, section number, subdivision, class, offense, attempt and degree, if applicable. For the box on attempt, use the following code: place the number 1 for an attempt, or place a Ø for no attempt.

10. Disposition

It is not necessary to wait for a disposition to a violation before filling out the Violation/Declaration of Delinquency Section. Unless the court disposition

is anticipated within thirty days, the information should be submitted immediately with the disposition section left blank. If a warrant has been issued, fill out the rest of the violation section immediately, leaving the disposition and disposition date sections blank. The instructions to add the disposition follow under D. Disposition Transactions.

NOTE: Upon completion of the DP-61, please review the form to be sure that all of the information required has been entered, and that all entries are complete (using zeros to fill when necessary) and correct (zeros are entered as Ø).

After this review, please forward the DP-61 to the data entry station.

E. Disposition Transactions

Before this information is entered, the information at the top of the form (registration number, agency code, and name) must be entered. The instructions for those items may be found on instruction page 11.12, under Procedures for Completing Form DP-61.

Also, at the bottom of the form, under Violation/Declaration of Delinquency Section, the two items at the top (Add/Change, Probation Officer ID No.) must also be filled out. For information on these, see instruction

page 11.17, under Violations/Declaration of Delinquency Section.

1. Disposition Date

Enter the date here in the standard six-number format, adding zero(s) as needed (use the symbol Ø for zero).
For example, January 2, 1978 or 1/2/78 should be entered as Ø1 Ø2 78.

2. Disposition

Check the box under the appropriate disposition.

NOTE: After filling out this information, please review the form to be sure that all of the information required has been entered, and that all entries are complete (using zero(s) to fill when necessary) and correct (zeros are entered as the symbol Ø).

After this review, please forward the DP-61 to the data entry station.

TABLE 1

N.Y. CITY AND DIRECT SERVICES AGENCY/P.O. CODES

<u>ORI</u>	<u>AGENCY</u>	<u>P.O. IDENTIFICATION</u>
NY062013G	Bronx Supreme Court Probation	BS 001-BS 999
NY062025G	Bronx Criminal Court Probation	BC 001-BC 999
NY062035G	Bronx Tremont Center	BT 001-BT 999
NY023025G	Kings Supreme Court Probation	KS 001-KS 999
NY023011G	Kings Criminal Court Probation	KC 001-KC 999
NY042015G	Richmond Supreme Court Probation	RS 001-RS 999
NY042011G	Richmond Criminal Court Probation	RC 001-RC 999
NY030015G	New York Supreme Court Probation	NS 001-NS 999
NY030021G	New York Criminal Court Probation	NC 001-NC 999
NY040013G	Queens Supreme Court Probation	QS 001-QS 999
NY040011G	Queens Criminal Court Probation	QC 001-QC 999

Table 1 Con'd.
UPSTATE AGENCY/P.O. CODES

<u>Agency</u>	<u>ORI</u>	<u>P.O. Identification Number Range</u>
Albany	NY001013G	AB 001-AB 999
Allegany	NY002013G	AL 001-AL 999
Broome	NY003013G	BR 001-BR 999
Cattaraugus	NY004013G	CT 001-CT 999
Cayuga	NY005013G	CY 001-CY 999
Chautauqua	NY006013G	CQ 001-CQ 999
Chemung	NY007013G	CM 001-CM 999
Chenango	NY008013G	CN 001-CN 999
Clinton	NY009013G	CL 001-CL 999
Columbia	NY010013G	CO 001-CO 999
Cortland	NY011013G	CR 001-CR 999
Delaware	NY012013G	DE 001-DE 999
Dutchess	NY013013G	DU 001-DU 999
Erie	NY014013G	ER 001-ER 999
Essex	NY015013G	ES 001-ES 999
Franklin	NY016013G	FR 001-FR 999
Fulton	NY017013G	FL 001-FL 999
Genesee	NY018013G	GE 001-GE 999
Greene	NY019013G	GR 001-GR 999
Hamilton	NY020013G	HA 001-HA 999
Herkimer	NY021013G	HE 001-HE 999
Jefferson	NY022013G	JE 001-JE 999
Lewis	NY024013G	LW 001-LW 999
Livingston	NY025013G	LV 001-LV 999
Madison	NY026013G	MA 001-MA 999
Monroe	NY027013G	MO 001-MO 999
Montgomery	NY028013G	MT 001-MT 999
Nassau	NY029013G	NA 001-NA 999
Niagara	NY031013G	NI 001-NI 999
Oneida	NY032013G	OD 001-OD 999
Onondaga	NY033013G	ON 001-ON 999
Ontario	NY034013G	OT 001-OT 999
Orange	NY035013G	OG 001-OG 999
Orleans	NY036013G	OL 001-OL 999
Oswego	NY037013G	OS 001-OS 999
Otsego	NY038013G	OO 001-OO 999
Putnam	NY039013G	PU 001-PU 999
Pensselaer	NY041013G	RN 001-RN 999
Rockland	NY043013G	RD 001-RD 999
St. Lawrence	NY044013G	SL 001-SL 999

Table I Cont'd

<u>Agency</u>	<u>ORI</u>	<u>P.O. Identification Number Range</u>
Saratoga	NY045013G	SA 001-SA 999
Schenectady	NY046013G	SY 001-SY 999
Schoharie	NY047013G	SE 001-SE 999
Schuyler	NY048013G	SR 001-SR 999
Seneca	NY049013G	SA 001-SA 999
Steuben	NY050013G	ST 001-ST 999
Suffolk	NY051013G	SU 001-SU 999
Sullivan	NY052013G	SV 001-SV 999
Tioga	NY053013G	TI 001-TI 999
Tompkins	NY054013G	TO 001-TO 999
Ulster	NY055013G	UL 001-UL 999
Warren	NY028013G	WC 001-WC 999
Washington	NY057013G	WH 001-WH 999
Wayne	NY058013G	WN 001-WN 999
Westchester	NY059013G	WE 001-WE 999
Wyoming	NY060013G	WY 001-WY 999
Yates	NY061013G	YA 001-YA 999

NEW YORK STATE
DIVISION OF PROBATION
PROBATION MANAGEMENT INFORMATION SYSTEM
ENTRY/CANCEL/INQUIRY

(MKE)			
ENTRY	CANCEL	INQUIRY	
EM		XM	QM

REGISTRATION NO. (REG)							

(Required for cancellation.)

ENTRY/INQUIRY SECTION																	
AGENCY CODE (ORI)				NAME(LAST, FIRST, SPACE MIDDLE) (NAM)								SEX (SEX)		RACE (RAC)			
												M F					
DATE OF BIRTH (DOB)			INFORMAL SUPV. (INS)		NYSID NUMBER (SID)			COURT CONTROL NUMBER (CCN)			P.S. REPORT AVAIL. (PRA)						
MO. DAY YEAR											YES NO						
DOCKET/IND. NO. (DKT)				PROBATION CASE NO. (OCA)				CONVICTION CHARGE CODE (CVC)									
								Law Section Sub Div Cl Off Att Deg									
ADJUDICATED Y.O. (AYO)				CONVICTION DATE (CVD)			PRESENTENCE INVESTIGATION RECOMMENDATION (PIR)										
MO. DAY YEAR				MO. DAY YEAR			Cond. Fine Prob. Intrmit Uncond Comm J/P Y/O Not Avail										
YES NO							1 2 3 4 5 6 7 8 9										
DATE SENTENCE (DOS)			NAME OF SENTENCING JUDGE (SJG)								MAX. EXPIRATION (MED)						
MO. DAY YEAR			(LAST, FIRST, SPACE MIDDLE)								MO. DAY YEAR						
SUPERVISION CAT. (SPC)				P.O. IDENT NO. (EPO)				TRACT CODE (TCD)		CLASSIFICATION SCORE (CSC)							
Intensive Active Spec. ISP																	
1 2 3 4																	

CANCEL SECTION											
EFFECT DATE (EFD)				REASON (RSN)						P.O. IDENT NO. (CPO)	
MO. DAY YEAR				Max. Exp. Early		Death		Revoked Tech. Revoked New Conv. Other			
				1 2		3 4		5 6			

INSTRUCTIONS

NOTE: Registration number required for cancellation.

1. ENTRY (EM) - Entry requirements are contained in Transcription Procedures.
2. CANCEL (XM) - Registration number (REG), plus agency code (ORI) and name (NAM) in entry section, plus all fields in cancel section required.
3. INQUIRY (QM) - Inquiry agency code (ORI), plus name (NAM) and sex (SEX) from entry section minimum requirements. DOB and NYSID Number as additional identifiers will improve file search results.

NEW YORK STATE
PROBATION MANAGEMENT INFORMATION SYSTEM
PROBATION REGISTRANT MODIFY/DEMOGRAPHIC/VIOLATION FORM

IDENTIFICATION SECTION (THE FOLLOWING FIELDS ARE REQUIRED FOR ALL TRANSACTIONS)											
REGISTRATION NO. (REG)				AGENCY CODE (ORI)				NAME (LAST, FIRST, SPACE MIDDLE) (NAM)			

MODIFY SECTION (ENTER DATA TO BE UPDATED NEXT TO THE APPROPRIATE ITEM(S))												
MODIFY (MM)	1. AGENCY CODE (ORI)				12. CONV. CHARGE CODE (CVC)							
	2. NAME (NAM)				13. ADJUDICATED Y.O. (AYO)							
	3. SEX (SEX)				14. CONVICTION DATE (CVD)							
	4. RACE (RAC)				15. PSI RECOMMENDATION (PIR)							
	5. DATE OF BIRTH (DOB)				16. DATE OF SENTENCE (DOS)							
	6. INTERIM SUPERVISION (INS)				17. SENT. JUDGE (SJG)							
	7. NYSID NUMBER (SID)				18. MAX. EXPIRATION DATE (MED)							
	8. COURT CONTROL NO. (CCN)				19. SUPERVISION CATEGORY (SPC)							
	9. PRESENTENCE REPORT AVAILABLE (PRA)				20. P.O. IDENT NO. (EPO)							
	10. DOCKET/IND. NO. (DKT)				21. TRACT CODE (TCD)							
	11. PROBATION CASE NO. (OCA)				22. CLASSIFICATION SCORE (CSC)							

DEMOGRAPHIC SECTION																
DEMOGRAPHIC (MM)	MARITAL STATUS (MAR)						INCOME LEVEL (ICM)									
	SINGLE	MARRIED	DIV.	SEP.	WID.	OTHER	ABOVE P.L.	BELOW P.L.	-\$3,000	\$3,000 - \$5,000	\$5,000 - \$7,000	\$7,000 - \$9,000	\$9,000+			
	1	2	3	4	5	6	1	2	3	4	5	6	7			
	EMPLOYMENT (EMP)			VETERAN (VET)			ENTRANCE DATE (ENT)		SEPARATION DATE (SEP)		EDUCATION (EDU)		PUB. ASST. (PAS)			
	FULL	PART.	UNEM.	N/A	YES	NO	MO.	DAY	YR.	MO.	DAY	YR.	YEARS COMPLET.	YES	NO	
	1	2	3	4	1	2								1	2	
	PROGRAM NEED (PGN)		EDU/VOC	EMP.	FIN. MGT.	FAM. SERV.	MEN. HLT.	ALC.	DRUG	HEAL.	Other	CONTACT FREQUENCY (FC)				
												WEEKLY	BI-WEEKLY	MONTHLY	MONTHLY	
												1	2	3	4	
	PROGRAM PARTICIPATION (PPN)		EDU/VOC	EMPLOY.	FINAN. MGT.	FAM. SERVICES	MENTAL HEALTH	ALCOHOL.	DRUG	HEALTH	OTHER					
			1	2	3	4	5	6	7	8	9					

VIOLATION/DECLARATION OF DELINQUENCY SECTION																	
VIOLATION (MM)	<input type="checkbox"/> ADD <input type="checkbox"/> CHANGE				PROB. OFF. LD.												
	TYPE (TYP)			DATE FILED (DFD)			REASON (VRS)			DISPOSITION REC. (DRC)			WAR. REC. (WRC)		WAR. ISS. (WRI)		
	VIO	D.D.	BOTH	MO.	DAY	YR.	Abs. Tech. Oth.	CONV.	CONT.	Modify	Revoke	DISCH	YES	NO	YES	NO	
	1	2	3				1 2 3		1	2	3	4	1	2	1	2	
	VIOLATION CONVICTION CHARGE (VCC)						DISPOSITION DATE (DDT)			DISPOSITION (DSP)							
	LAW		SECTION		Sub/Div	CL	Off	Att	Deg	NO.	DAY	YR.	CONT.	Modify	Revoke	Discharge	
														1	2	3	4

THE PROBATION CONSULTANT'S ROLEI. LIAISON WITH LOCAL PROBATION DEPARTMENTS:

The ISP consultant works, within the framework of the overall goals of the State Division of Probation, to ensure the success of the Intensive Supervision Program by operating as the primary contact between the Division and the local probation departments. The ISP consultant has a responsibility to both the Division and to the local departments.

The ultimate goal of the ISP consultant is to ensure the continued integrity of the program, including the ISP supervision model and its special procedures, policies, and case recording process. Specifically, in order to carry this out, the consultant will:

- a) establish and maintain a cooperative working relationship between the Division and the local probation department,
- b) establish and maintain inter/intra departmental communications,
- c) establish and maintain regular, thorough reporting schedules and procedures,
- d) monitor the data collection process, and
- e) assist local probation departments in identifying training needs and establishing regular on-site training programs.

II. GENERAL RESPONSIBILITIES:

The ISP Consultant will have other responsibilities which will facilitate cooperation between the State Division and local departments in order to facilitate the accomplishment of the ISP concept. The major areas of the consultant's responsibility are examination, management, training and reporting.

A. Examination. The ISP Consultant examines all facets of the local ISP Units such as compliance with probation law and rules, compliance with special ISP procedures and policy, case management techniques, administration and fiscal standards and procedures. The examination will be done through regular field visits, participation in conferences, and examination of records.

B. Management. The ISP Consultant helps organize and re-organize the work of the local probation department as it relates to ISP; promotes interest in the establishment and maintenance of community-based probation services; improves ISP procedures where necessary; defines the scope, method, objectives and procedures of the ISP; coordinates case management and ensures that the ISP supervision model, as it relates to probation techniques, is applied to probation practice; and keeps the probation administration and staff informed of changes and developments within the ISP.

- C. Training. The ISP Consultant may assist the local departments in identifying training needs, provide on-going on-site training in those identified areas, act as a liaison with the Training Academy in establishing formal training programs after program changes and/or the addition of personnel.
- D. Reporting. The ISP Consultant is responsible for the submission of regular reports to the ISP program manager in regard to these activities and responsibilities.

III. THE ISP CONSULTANT'S MONITORING INSTRUMENT:

One of the basic tools the ISP Consultant will use to monitor program operations is a quarterly monitoring instrument, which is designed to collect data and to pinpoint problem areas in ISP Units. This instrument should be completed and submitted to the ISP Manager at the end of each quarter.

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END