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GENERATING USEFUL CLIENT-SPECIFIC INFORMATION
FOR CASE MANAGEMENT

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GENERATING USEFUL CLIENT-SPECIFIC INFORMATION

FOR CASE MANAGEMENT

The central component of an agency's case management system is its method of gathering information about the cases. The method for generating, analyzing, recording and reporting data about cases is often illustrative of the operating style of probation officers and will have impact on the case management approach of the agency. If the records system is essentially idiosyncratic, with each officer deciding what information to keep and how, the intervention methods that result are also likely to be highly idiosyncratic -- a pattern Elliot Studt observed in parole supervision operations. With such a pattern it is difficult to establish a systematic case management approach. If the information kept is routine -- contacts, home visits, legal modifications in the case and so on -- the data will be consistent with routine approaches to client supervision and case management will be traditional. Records systems devoted to clinical detail will support clinical approaches to intervention methods and case management which emphasize clinical needs.

In this paper, a case diagnostic and planning method for supervision is presented which can serve as the cornerstone to systematic case management by providing useful information about clients. It includes four steps; a discussion of these steps is presented below.

Ordinarily, it takes some amount of practice before this case analytical method can be used by probation officers with ease. In order to help the reader understand how the method might appear in practice, a demonstration of

the process is presented in this paper. A brief narrative summary of the situation of the client -- Henry Ward -- will help the reader follow the case-diagnostic method that is illustrated through planning Ward's supervision.

Henry Ward is a 19 year old brought before the court on a second degree assault -- a fight with an acquaintance. He has four prior arrests, one for auto theft which resulted in three years on juvenile probation. Henry has a 9th grade education and a sporadic employment record. His school performance has been poor and he expresses little interest in further pursuing his education. Henry now lives with his mother, though he has a "steady" relationship with a girlfriend, Diane. His psychological evaluation indicates he is immature and quick-tempered, though he does not have any severe emotional problems. His relationship with his mother has been an ambivalent one. (A full narrative summary of "Henry Ward" can be found in Appendix I). The key steps in planning supervision for Henry Ward are:

1. Analysis of key forces in the case -- By creating an array of crime-related forces in the case, a basis for identifying and selecting key intervention points is established.
2. Classification -- Using the three-level definitions presented in the following material (pp. 9-10), the supervision requirements of the case are specified. The classification serves to set outer limits on appropriate intervention levels during supervision and provides the organization with information for setting supervision priorities in case management.
3. Objective-specification -- Using the technique of behavioral objectives, a set of measurable and specific intended outcomes of the supervision process

are written. This step makes supervision discretion visible by identifying its purposes, and provides information on areas for supervision which can be used to identify case management priorities.

4. Resource-specification -- For each of the supervision objectives, the intervention method (resource) used to achieve it is listed. This provides information on use of internal vs. external resources, and their effectiveness.

I. Analysis of Key Forces in the Case

It is reasonable to expect that the interventions used in probation would be related to problems which interfere with the offender's ability to live in the community without breaking the law. Recent discussions of community supervision have tended to focus on the various techniques an officer may use to help an offender remain crime-free. The thrust of these discussions is often that the probation officer's job is to provide services, to be a referral agent, to be an "advocate" or a counselor almost as if these desires were an end in themselves. In fact these are supervision techniques, means to the end that the offender not break the law. The distinction seems an obvious one. Yet, because so much of the discussion of community supervision focuses on the activities of the officer, it is easy to lose sight of the fact that the hoped-for-end-result is not simply a service delivered or a referral made, but is the crime-free behavior of the client in the community that results from such an activity.

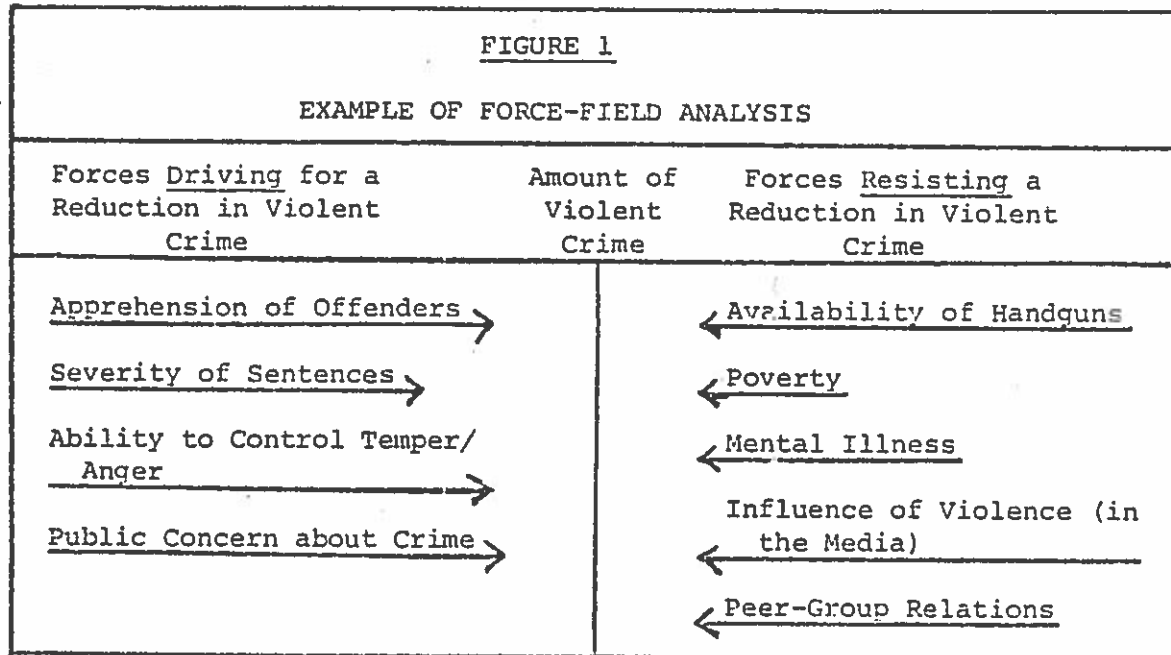
One of the problems with keeping this focus on promoting crime-free

living is that so little is known about what factors and problems are actually linked to prevention of new crimes. In the absence of such knowledge, some systematic technique for identifying potentially crime-related problems in cases must be used. The technique advocated here is an adaptation of Kurt Lewin's force-field analysis.²

As originally developed by Lewin, force-field analysis was both a means for analyzing the reasons why an event occurs in society and a technique for planning how to modify the frequency of the occurrence of that event.

Lewin argued that any social event can be visualized as occurring at a given frequency in a given social group. The frequency will be determined by various forces acting on the social event, some of which tend to lead to an increased frequency of the event, others which seem to have the opposite effect. In the case of violent crime, for example, the availability of handguns would tend to increase its frequency while the apprehension of offenders would tend to decrease its frequency. An event occurs at a given frequency at a given time because the forces acting on it have attained a "semi-stable equilibrium," whereby the total strength of the forces tending to increase its frequency are roughly equal to the total strength of the forces decreasing its frequency. The reason that an event shows a steady pattern of change in its frequency is that the forces which determine its frequency are themselves changing steadily. Thus one can describe a given phenomenon or event in terms of an array of the forces that surround it. Figure 1 is a visual presentation of a partial force-

field analysis of "violent crime," when the purpose of the analysis is to reduce the amount of violent crime.



Obviously this example does not provide an exhaustive set of forces, but it illustrates how a force-field is constructed and will also help illustrate how key forces can be selected in a change effort. In general, change is achieved by either increasing driving forces, decreasing resisting forces, or both. Thus the target of change is not the event "violent crime," but the forces which determine its frequency. In selecting the target forces, four guidelines can be used:

1. Strength -- Those forces which play an important role in determining the frequency of the event.
2. Alterability -- Those forces for which the means exist to change the degree or nature of their influence on the event.
3. Speed -- Those forces which can be manipulated quickly with short-range effect.

4. Interdependency -- Those forces which are core in the sense that a change in them will have an influence on many other forces.

Simply because a force meets one or two of these guidelines does not mean it should be made a change target. Rather, it is an interaction of these guidelines which helps to determine target forces. For example, many writers have stressed the theoretical relationships between level of crime and certainly of apprehension (strength), but given the nature of violent crime there are finite limits on the ability of the police to apprehend offenders (alterability). On the other hand, availability of handguns may be a strong force which is also relatively easy to change through economic and legal reforms. While poverty may be a heavily interdependent force in this case since it is linked to several other forces, the speed with which it can be changed is suspect.

A final suggestion of the force-field method is that the change agent should work on both sides of the force-field for maximum efficient impact. The temptation is always to add driving forces for the change (pass new laws, threaten punishments, etc.), but new forces have the effect of creating tension in the system. The most long-lasting changes are those achieved without a net increase in total strength of forces in the system by achieving a reduction in resisting forces to compliment any increases in driving forces.

This same kind of analysis can be done in a more comprehensive manner on the change tasks presented by a client under probation supervision

in the community. In this case, the problem is to increase the amount of law-abiding behavior. The forces that exist in the client and his or her environment can then be arrayed in a force-field in terms of their relationships to law-abiding behavior. Figure 2 is a presentation of an actual force-field on the client referred to here as Henry Ward. This figure illustrates several points regarding use of the force-field.

<p style="text-align: center;"><u>FIGURE 2</u></p> <p style="text-align: center;"><u>FORCE-FIELD ON PROBATIONER HENRY WARD</u></p>	
Forces <u>Driving</u> For More Law-Abiding Behavior	Forces <u>Restricting</u> Law Abiding Behavior
1. Length of time since last serious offense (4 years) →	← 1. Very quick temper
2. Strong relationship with mother →	← 2. Previous inability to successfully complete probation without violations
3. No serious mental or emotional problems →	← 3. Friendship include persons who are marginally-deviant
4. Has been able to find several jobs on his own →	← 4. Seriousness of current offense
5. Apparently wants to work -- as a truck driver →	← 5. Transient background
6. High-average intelligence →	← 6. Lack of male role model
7. School seems to be a possibility →	← 7. Immature behavior patterns
8. Newly developed relationship with H. Brown →	← 8. Lack of self-understanding
9. Apparently developing religious ties →	← 9. Poor school history
	← 10. Mother apparently supports some anti-social behavior
	← 11. Sporadic work record

(Con't) FIGURE 2 FORCE-FIELD ON PROBATIONER HENRY WARD	
Forces <u>Driving</u> For More Law-Abiding Behavior	Forces <u>Restricting</u> Law-Abiding Behavior
10. Apparent previous cooperative attitude on probation →	← 12. Unwillingness to face the "realities" of his offense
11. Generally good physical health →	← 13. Expresses anti-social attitudes
12. Girlfriend's parents' strong disapproval of the relationship →	← 14. Occasional abuse of drugs and alcohol
	← 15. Presence of "steady" girlfriend
	← 16. Aimless use of free time

The actual forces listed are not done from any particular theoretical framework. As a result some factors in the case will appear as complex forces, having aspects that both drive for and resist law-abiding. In Henry's case, for example, the attachment to the mother is a potentially stabilizing force, but her behavior towards him makes it a potentially resisting force, as well.

In constructing the force-field, every effort should be made to get a complete listing of driving forces because these are so often ignored in analyzing a case. The driving forces are the strengths on which a supervision plan is built; a comprehensive listing of the potential strengths is therefore important.

Because so little is known about the "correct" ways to interpret problems in a client, one must hesitate to interpret any particular analysis of Henry Ward

as, somehow, best. Therefore, it should be remembered that the example presented here serves simply to illustrate the diagnostic technique -- differing points of view on the appropriate supervision method for Henry could be taken with some validity.

Given that caveat, several patterns emerge. The most interdependent forces have to do with the mother's role -- Henry now lives at home and her influence reduces his willingness to face the meaning of his offense. A particularly strong force, however, is his unemployment which also relates to a number of other forces, such as "free-time." Unemployment is potentially a problem that can be changed with speed. Some aspects of Henry's problems do not appear easily alterable -- it is unlikely that supervision will dramatically increase his skill level, for example. Thus, a brief analysis of forces indicates some candidate targets for change:*

Strength: Relationship to mother, use of "free-time"

Speed: Unemployment

Alterability: Unemployment, lack of male role model

Interdependence: Unemployment, relationship to mother

II. Classification

Force-field analysis provides the basis for evaluating factors relating to risk from the contingency-based perspectives of change potential. Classification in this system is a judgment based on an evaluation of the interacting forces in the case. Classification will also be relative; that is,

* Though forces have been listed for each criterion, it should be stressed that frequently only one or two key forces will emerge. The person completing the force-field should not feel compelled to overselect forces, since over-selection may lead to overly intrusive supervision or lack of focus in the use of available resources.

a case perceived as low-risk in one jurisdiction may rightfully be seen as a medium risk in another jurisdiction because of the general lower risk of the other clients in that jurisdiction. Based on the force-field analysis, Henry Ward is classified by placing him in one of three supervision levels.

Level I: Client recently assigned to probation with a history of violent behavior against others, or he is likely to commit a fairly serious violation of the law or the requirements imposed by the court can be enforced only by very close and persistent supervision.

Level II: Client does not pose a significant threat to the public and he does not require close supervision because of a specific condition imposed by the court; however, he is currently coping with a significant set of problems, specifically related to potential violations of the law which the client has some expectation of overcoming with the assistance of the probation service.

Level III: Client does not now pose a significant threat to the public, no requirements of the court call for close supervision and he does not face any important problems which are specifically related to potential serious violations of the law and which the probation service can reasonably expect to affect substantially.

The purpose of the classification system is to provide management some information on supervision priority. The first issue often facing managers in developing case management is not "How do we supervise cases?", but "Which cases will receive supervision?" The classification of the case helps to determine supervision priority.

III. Stating the Behavioral Objectives of Supervision

The third step in the case plan is the specification of supervision objectives. This step is important because it makes visible the basis for discretionary decision-making during the supervision process and articulates

the areas of the offender's life which will receive the most attention.

The need for identifying the intended outcomes of supervision at the initial stages of the supervision process stems, in part, from the nature of the officer-client relationship. The probation officer needs to make visible the level and extent of the intrusiveness of his or her use of supervision discretion. In doing so, the probation officer must identify intended outcomes by using measurable criterion of change (such as behavior) rather than the less tangible offender changes (such as attitudinal). In this way, the supervision officer makes apparent the assumptions made about links between the supervision plan, the offender's behavior, and the crime-related dynamics of the case. In addition to facilitating the control of discretion, objective-specification facilitates alternative-testing, whereby less unpleasant activities may be used to achieve the same supervision objective.

To provide for specific, measurable outcome statements, a technique for recording case plans is needed. As was done for the force-field case analysis, the technique used here -- behavioral objectives -- is adapted from another discipline -- education -- where it has been used. As a technique, specification of behavioral objectives has been well-developed in education, and this experience serves as a starting point for the adaptation described in this paper.

A number of how-to-write objectives manuals have been published by educators. Each has its own prescription for writing high quality objectives, but the differences are not as great as the similarities. The book most widely recommended by the experts is Robert F. Mager's Preparing Instructional

Objectives (also published under the title Preparing Objectives for Programmed Instruction).³ Mager's description of the technique is fairly representative, and is recommended as an aid to learning objective specification techniques.

Mager begins by defining the terminology of objectives:

Behavior -- refers to any visible activity displayed by a learner (student)

Terminal Behavior -- refers to the behavior you would like your learner to be able to demonstrate at the time your influence over him ends.

Criterion -- is a standard or test by which terminal behavior is evaluated.⁴

A behavioral objective is a stated outcome that uses "visible activity" as its focus. It avoids ambiguous terminology.

Though it is all right to include such words as 'understand' and 'appreciate' in a statement of an objective, the statement is not explicit enough to be useful until it indicates how you intend to sample the 'understanding' and 'appreciating.' Until you describe what the user will be DOING when demonstrating that he 'understands' or appreciates, you have described very little at all. Thus, the statement which communicates best will be one which describes the terminal behavior of the learner well enough to preclude misinterpretation.⁵

Identification of the terminal behavior is the first of a three-step objective declaration process:

First, identify the terminal behavior by name; we can specify the kind of behavior which will be accepted as evidence that the learner has achieved the objective.

Second, try to further define the desired behavior by describing the important conditions under which the behavior will be expected to occur.

Third, specify the criteria of acceptable performance by describing how well the learner must perform to be considered acceptable.⁶

Therefore, according to Mager, a "meaningful" objective contains three components: terminal behavior, condition and criterion. For example,

- Given a list of 35 chemical elements, the learner
condition
must be able to recall and write the valences of at least 30
terminal behavior criterion
- Without the aid of a slide rule, the learner will
condition
be able to calculate square roots.
terminal behavior
of at least 20 out of 25 two digit integers accurately to
the 2 hundredths of a percent.
criterion

It is a fair question whether supervision objectives in probation need to be as detailed as these education examples. There are some considerations that argue for the use of less complex, though specific, objectives in probation. Perhaps most important, by allowing more general statements, it may be possible to prevent the requirement of trivial activities on the part of probationer simply to satisfy the technical requirements of a written "objective." In addition, it is difficult to see precisely what form "criterion" and "conditions" will take in a written supervision objective since the "performances" don't occur in the limited environment of the classroom but take place in real life. It makes little sense, for example, to try to include "conditions" and a "criterion" for the objective "to discontinue use of heroin." On the other hand, "absent an excuse accepted by the probation officer, the probationer will not be more than 15 minutes late to any office visits" includes all three of Mager's characteristics

and is a more useful objective because of it. Due to the nature of probation supervision, the most reasonable requirement may be for the probation officer to write the objective as specifically as possible, but at a minimum to state the exact behaviors being expected of the probationers.

In addition, there may be occasions when the probation officer needs to write an "expressive" objective. For example, the officer may want the client to be diagnosed professionally, even though the behavioral goals following the diagnosis may be largely unpredictable. In these circumstances, an objective such as "to attend Kellogg psychiatric center for diagnosis one hour a week until a full diagnosis is completed" might be acceptable.

It might also be argued, though, that expressive objectives should not be allowed in probation, that these represent interventions which have unclear goals and therefore are left simply as intervention-statements. Such approaches may violate the propriety requirements that are otherwise met by an objective-specification process. As a result, expressive objectives should be avoided whenever possible.

The key consideration is not some abstract idea of the technically accurate objective; rather, the intent is to write objectives which will be useful for guiding supervision decisions, articulating the basis for discretionary supervision decisions, and evaluating the effectiveness of supervision methods for achieving change. As a key to writing useful objectives, five guidelines can be stressed.

1. The objective should describe behavior. The most common problem in written objectives is that they do not describe the behavioral referent.

Instead, non-behavioral referents are often used, such as in attitude-related objectives. For example, the goal "to increase self-confidence" does not contain a behavioral referent. When the change-goal for a client is primarily attitudinal, in order to set a behavioral objective, the supervision officer must ask what behavior he would look for as an indicator that the attitude change has occurred. If the supervision officer is working on self-confidence in order to help the client look for employment, for example, the behavioral objective may be "to look for employment by visiting at least one potential employer a day until a job is found," since self-confidence is involved in the achievement of the change.

2. The behavior described should be that of the client, not the agency.

Another common error in stating objectives is to write the goals of the caseworker rather than the case itself. For example, "to help the probationer learn to read at current grade level" is a behavioral objective for the officer, not the client. This objective can be easily corrected by dropping out all references to the caseworker's activities -- it becomes "to learn to read at current grade level."

3. The behavior should be as specific as possible. Many case objectives could be made more specific. For example, "to learn to read" can be changed into "to read on at least a ninth grade level before the end of the school year." The more specific an objective, the easier it is to know when it has been achieved. While specificity is a general rule of behavioral objectives, it may sometimes be impossible to be completely specific about a case objective -- the goal is to be as specific as possible.

4. The objective should describe an outcome, not a technique. An additional common error in setting objectives is to include the technique in the statement of the objective. A true objective only describes a goal. If it is specific enough, it will aid in the decision-making about techniques for achieving that goal, but it should not include the technique in the goal statement itself. For example, the objective "to give client and mother counseling to reduce their fighting" is a statement that confuses technique and goal as well as client and officer behavioral goals. "To reduce amount of fighting with mother" would be a clearer objective. The resource (or technique) of counseling by the probation officer can be listed separately as related to that goal, and its effect could later be evaluated.

5. A case should not be overloaded with behavioral objectives Sometimes the supervision officer setting objectives will feel that something is left out of a case once the objectives have been stated. A common response is to write more objectives for that case, leading to overloading a case with objectives. It is important to remember that a single objective such as "to attend school regularly" may require a major change in the client's life (and a great deal of work by the supervision officer) in order to achieve it. To overload with such objectives would be to set unrealistic goals for the client.

A further illustration of typical objectives is provided by the list which follows. Figure 3 illustrates some common errors made in writing objectives, and demonstrates how they may be corrected.

To continue to be employed full-time at Harper's Food Mart while on probation.

To obtain full-time employment as a mechanic within one month.

To select, attend and complete a job training program.

To complete high school equivalency program and receive G.E.D.

To discontinue all use of narcotic drugs while on probation.

To limit drinking to no more than two beers per weekday, four per day on weekends.

To stop spending any time with co-defendant.

To make two new friendships with boys of his own age in the next six weeks.

To talk to mother about school performance at least once a week.

FIGURE 3

Example of Common Errors in Writing Objectives

Incorrect Example	Corrected Example
<p>NON-BEHAVIORAL:</p> <ol style="list-style-type: none"> 1. To improve relationship with father. 2. To develop self-control. 3. To accept responsibility for behavior. <p>NON CLIENT-RELATED:</p> <ol style="list-style-type: none"> 1. To get probationer to stop stealing from mother. 2. To help probationer stay school. (not get expelled) 3. To motivate probationer to discuss problems with parents. <p>NON-SPECIFIC:</p> <ol style="list-style-type: none"> 1. To go to school. 2. To stop fighting. 3. To improve school performance. <p>COMBINATIONS:</p> <ol style="list-style-type: none"> 1. To get probationer to develop inner controls. 2. To relate better to probation officer. 3. To have probationer attend mental health clinic. 	<p>BEHAVIORAL:</p> <ol style="list-style-type: none"> 1. To stop fighting with father. 2. To be at home by 10 p.m. on weekday. 3. To earn money to pay neighbor for broken window within 3 months. <p>CLIENT-RELATED:</p> <ol style="list-style-type: none"> 1. To stop stealing from mother. 2. To stay in school (not get expelled) for remainder of term. 3. To discuss problems with parents. <p>MORE SPECIFIC:</p> <ol style="list-style-type: none"> 1. To attend school regularly with no unexcused absences each month. 2. To stop fighting with peers at school. 3. To receive no grades below "C" this term. <p>CORRECTED:</p> <ol style="list-style-type: none"> 1. To stop stealing from neighborhood stores. 2. To discuss daily activities openly with probation officer when asked. 3. To make and attend regular appointments at the mental health clinic until diagnosis is completed.

Returning to the case of Henry Ward, it will be recalled that four key forces were identified as target forces through force-field analysis:

1. Unemployment
2. Use of free time
3. Relationship to mother
4. Lack of male role model

These four forces could be translated in the following group of behavioral objectives:

1. To obtain full time employment and stay employed during supervision period. (critical)
2. To attend night school at least two nights a week taking courses of his own choice. (somewhat important)
3. To move out of mother's home into a residence approved by probation officer within six months. (very important)
4. To continue to meet with H. Brown at least once-a-week for the next 4 months. (somewhat important)

In this case, a behavioral objective has been written in response to each key force, but that need not always be true. Sometimes, a force will require more than one objective; for other clients, some key forces will be ignored to avoid overloading the case with objectives.

The final step in objective specification involves rating the importance of each objective, which is merely a means for differentiating supervision priorities and providing a basis for more relevant evaluation of supervision outcomes. Objectives can be rated as being "critical", "very important", "somewhat important" or "of little importance" (that last category should apply only very infrequently.)

IV. Identification of Resources Used to Achieve Objectives

The final step in the case analysis is to list the resources being used to achieve each objective that has been specified. Specific resources are listed rather than general functions or activities because the intent later will be to evaluate the utility of those resources for assisting in meeting the objectives. Therefore, titles such as "Merton Mental Health Clinic" would be used instead of the general description of "individual counseling."

A number of variants in this step can be used. For example, it may be the case that more than one resource will be related to an objective. If so, then a "primary" and "secondary" resource can be listed. Conversely, the same resource may be intended to achieve several objectives, in which case it could be listed separately for each objective (it may turn out later that a particular community agency is more effective at helping clients meet some objectives but not others for which it is frequently used.

Frequently, the probation officer (or the general supervision process) will be the major means for achieving the objective. In that case, the officer can specify the resource as "individual counseling by probation officer" or simply "probation officer." Some officers believe that the client should be allowed as much responsibility as possible for the change effort and would therefore be tempted to write in "client" under the resource heading for some objectives. It is important to bear in mind that the resource articulation phase enables evaluation of methods of intervention, and therefore the method (or agency of resources) itself should be

specified. In this case the method is one of non-directiveness, and the resource is really the supervision relationship between the officer and the client. Therefore, what should be evaluated in this instance is the officer's choice of technique, and the resource should be listed as supervision officer.

For several reasons, it is helpful to have a subjective rating of the perceived quality of the resource for achieving the specific objective. The officer may rate the resource as "excellent", "good", "fair" or "poor" in quality, but it must be underscored that the rating is not an overall evaluation of the resources rather it is a perception of the probable utility for that particular objective. Thus, the supervising officer may feel that the resource (perhaps his or her own counseling skill) is generally of high quality, but is unfortunately ill suited to meet a particularly difficult, complicated or infrequent objective in a case.

For objectives were written for Henry Ward, and a specific resource needs to be listed for each. Figure 4 displays the final version of the objective-resource portion of the diagnostic instrument.

FIGURE 4 Objectives and Resources for Henry Ward			
Objectives	Importance Of Objective	Resource	Rating Of Resource
1. To obtain full-time employment and stay employed during supervision period	critical	Lake City Employment Agency	poor
2. To attend night school at least 2 nights a week having courses of his own choice	somewhat important	Central High School	good
3. To move out of mother's house into a residence approved by probation officer within six months	very important	Counseling by Probation Officer	fair
4. To continue to meet with H. Brown at least once-a-week for the next 4 months.	somewhat important	H. Brown	excellent

V. Progress Report

After the diagnostic and planning instrument has been completed, it remains to be used as a supervision tool. The intent is to frequently refer to it as a guide to evaluating and conducting the supervision activity while it is occurring.

Two methods can be used to help insure that the plan is dynamic and meaningful. The first is to include a narrative summary, which is the

common method of recording case observations, contacts and other pertinent chronological data about supervision. Because sufficient literature exists to describe how these narratives should be written, no additional discussion will be presented here except to say that such a record should be available along with the objectives-based information.

The second method is to use a progress report, which is simply a regular (perhaps quarterly) evaluation of the offender's performance on the supervision of objectives. The objective can be evaluated as "achieved", "good progress", "fair progress", "poor progress" or "no longer applicable" (it may be that the objective, originally written, was later determined by the officer to be inappropriate). This is also a time for adding new objectives that may be appropriate. It is the progress rating that completes the information loop and provides the basis for feedback on supervision effectiveness: What objectives tend to be achieved? What objectives are related to recidivism in achievement/non-achievement? The progress report can also serve as the basis for deciding termination of supervision.

1. Elliot Studt, Surveillance and Service in Parole Supervision, UCLA, Los Angeles, 1969.
2. Kurt Lewin, Field Theory in Social Science, Harper and Row, New York, 1951.
3. Robert F. Mager, Preparing Objectives for Programmed Instruction, Fearon Press, Palo Alto, CA, 1962.
4. Ibid., p. 2.
5. Ibid., p. 11.
6. Ibid., p. 12.

APPENDIX I

NARRATIVE SUMMARY OF "HENRY WARD" CASE

COUNTY OF JEFFERSON
Department of Probation

Date: March 27, 1979

INITIAL PROBATION REPORT

NAME:	Henry Ward	SENTENCE:	Probation 3 years
DATE SENTENCED:	3/10/79	OFFENSE:	Assault Second Degree

AGE: 19	SEX: M	BIRTHPLACE: Dallas, Texas	RACE: Caucasian
CITIZENSHIP: U.S.	MARITAL STATUS: Single	EDUCATION STATUS: 9th	

PRIOR RECORD

<u>DATE</u>	<u>PLACE</u>	<u>OFFENSE</u>	<u>DISPOSITION</u>
5/6/75	Ramsey, Mo.	Larceny of Auto driv w/o permit	Probation 1 year-fined \$35.00
4/29/76	" "	Probl. Viol.	Probation extended 1 year
11/5/77	Central City, Jeff.	Speeding	
1/10/78	" "	No reverse gear, no hand brakes, no rear license tags	Handled in Juvenile Court, Driver's permit suspended and restored in 90 days
1/78	Illinois	Trespassing on farmer's land	Informal probation provided he remain out of Tooker County, Illinois

CURRENT OFFENSE

Defendants Ward and Duke, on or about October 13, 1978 (1:25 a.m.) in Central City, County of Jefferson, purposely and with deliberate and premeditated malice did assault one Arthur Kemp. The case of assault 1st degree was dismissed November 8, 1978 in the District Court after juvenile court waived jurisdiction October 25, 1978. Ward was convicted of Assault Second Degree and sentenced to 3 years probation. Duke was similarly convicted and sentenced.

OFFENDER'S VERSION

Trouble started when Kemp, co-worker with subject, came to find Joe Fisher. Subject and Duke refused to let Kemp get to Fisher who was asleep in his apartment. Kemp thought that Fisher had given his girl friend liquor on which she had gotten drunk. A fight ensued in which subject was hit with brass knuckles. Kemp went away but later he returned and started another fight, kicking Duke which necessitated hospitalization and an operation on his eye. Police arrested Kemp and Duke for disturbing the peace. Kemp was reported drunk.

NAME: Henry Ward

OFFENDER'S VERSION: (Con't)

A few days later, Kemp sent a message to subject and Duke that if he next saw them anywhere he was going to kill them. Subject states he stayed away from work to avoid Kemp. About a week after, subject and Duke were followed in their car by the victim and taunted about being afraid to fight. That night subject and Duke went to another friend's home where subject picked up "some beer", and drove by victim's girl friend's home, where victim was living at the time. Seeing Kemp's car parked there they stopped; Duke jumped out and called to the victim to come out. When Kemp came out, subject and Duke proceeded to "beat him up." (Kemp suffered lacerations which required hospitalization.) Subject took off in the middle of the fight and was on his way home, but was apprehended before he arrived there. Duke ran away and slept in a garage until the next day when he gave himself up. They were charged with 1st degree assault but were offered to change to plead guilty to 2nd degree assault, which they did.

HOME AND FAMILY HISTORY

Subject was born in Dallas, Texas in June, 1959. The family moved to Missouri in 1963. His father was a flyer in the Navy and traveled a great deal. Subject attended schools in Ramsey, Missouri and Arizona to the 7th grade, states he did well until he got into the Jr. High School.

His parents were divorced soon after his birth (1964) his father remarried sometime in 1965, and his mother never remarried. Subject has lived with her and his grandmother all his life, except for the two years with his father in Arizona. He went there in 1970 and returned to Missouri in 1972. Subject claims that his mother had sent him to Arizona because of some trouble he had gotten into. After he had been in Arizona a year, a judge had gotten in touch with his father and had placed him in his father's custody for another year. He returned to Missouri in 1972 and did not report to the court official again. About two years later: (approximately 1975) he got into some trouble (auto theft) and spent a year on probation. After this his mother took him to Memphis, where she went to look for work. They were there about three weeks in 1976, returned to Missouri, then came to Central City in September 1976. His mother found a job at Courts Department store, worked there for about six months, then went to work for Central City Hospital as an electrocardiogram operator. She is a trained physiotherapist. Subject currently lives with his mother.

SCHOOL HISTORY

The defendant received most of his schooling in Missouri. He has a poor record of attendance and was considered a serious behavior problem. He was suspended from the High School in Ramsey, Missouri for poor behavior and was recommended by the school psychiatrist for enrollment in a special school for problem boys. His mother was uncooperative with the authorities and refused to send him, but instead, placed him in a private boarding school in Missouri (Kirk's Academy). He was expelled after two weeks because of his being very unstable and because of absences and lack of cooperation. He was considered to be "insecure and mixed up." He was then enrolled in the Small

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SCHOOL HISTORY (Con't)

School after considerable pressure on his mother, but he was again removed from there when his mother moved away from Ramsey, apparently to get away from pressures of the law to keep him in school. She had been aiding and abetting his lateness to classes and his absences from school because she did not want him in Small. No other school in Ramsey would accept him so she tried Jonesville, Missouri, where he entered Jonesville High School in 1976. He made a very poor record in his studies and he truanted and associated with undesirables and was constantly getting into trouble with the authorities, including the police, for insubordination. The mother and son always claimed that they were being "picked on." Subject states that "an education helps", but he believes that he can "make it" without finishing school.

EMPLOYMENT HISTORY

He has been employed as a truck driver, as a grillman and as a gas station attendant during the later part of 1977 and intermittently, for short periods of time (not over five months) during 1978. He had falsified his age to obtain one job driving a wrecker. In all cases he lost the jobs for various reasons which he claims were not his fault.

In one instance, he claims he was not being paid, another time he was transferred to another place too far to go without a car, and in another instance he was afraid to go back to his job because of a fight with the fellow worker, the victim of the assault.

In any kind of work he is unskilled and inexperienced at this time and is currently unemployed. His longest work experience is five months as a grillman in a restaurant. Subject states that he likes driving a truck, and hopes to get his license back so that he can return to that job. He is currently unemployed.

PSYCHOLOGICAL EVALUATION

Ward is an individual of at least high-average intellectual endowment whose academic progress has been adversely affected by the early development of behavior difficulties so severe as to completely disrupt his previous school adjustment. Night school here might be attempted, with emphasis upon numerical skills.

Ward is a victim of a broken and nomadic home, feels rejected by his father, who has remarried successfully and has two children by his second wife. Ward is the only child of his mother's only marriage, and is overprotected, overindulged and the victim of his mother's apparently poor judgement generally. She has intervened in his behalf with the police, courts, schools and correctional institutions in a most destructive and short-sighted manner, to the point at which it can safely be said that she has become a primary cause and support of the inmate's delinquent behavior.

Insofar as the circumstances surrounding the present situation are concerned, Ward has told various tales, none of which coincide particularly well with the official version, and all of which differ in important essentials from one another. His primary effort appears to be the minimization of his own obviously intimate involvement in the entire affair. Personality-wise, he impresses me as an impulsive

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PSYCHOLOGICAL EVALUATION

young delinquent who is certainly not above altering facts in order to present himself in the most favorable light. He is quite defensive, holds markedly asocial feelings and attitudes toward society in general and authority in particular. He is an emotionally constricted fellow, socially withdrawn and personally conflicted. His defenses are almost infantile in their crudeness, archaism and ineffectuality. He perceives himself as "friendly, strict in his dealings with others, quiet and competent." Actually, this self-evaluation is inadequate to convince even Ward himself, who in the next breath, admits his explosive temper, his feeling of tenseness and inability to manipulate his environment successfully enough.

RELIGIOUS REPORT

Henry is a member of the Catholic Faith, having been baptized in the State of Texas in his early childhood. He has received the basic rudiments of Catholic Teachings.

Throughout his confinement at the Central City Jail, he became very friendly with Fr. Brown, who at the time was the Chaplain there. At this time he renewed his interest in the Faith. He has been very faithful in his attendance at Mass every Sunday.

PRIOR PERFORMANCE ON PROBATION

Subject was on probation for two years while he was age 15-17. His probation officer was Emily Loucks of the Marion County, Missouri, Juvenile Court. He was verbal and cooperative, initially responding well to probation counseling. While on probation, he was involved in group counseling, which he seemed to enjoy. However, most of his cooperation was seen as being on a superficial level, primarily in order to make a good impression on the probation officer. He often would give verbal agreement to the probation officers directives, then ignore them after he left the office. Later, he would again apologize for his rule-breaking behavior.

Subject was found to be in violation of probation as a result of his expulsion from school.

HEALTH

Subject appears to be of good general health, with the exception of very seriously decayed and unsightly teeth, the only thing that mars an otherwise attractive appearance. Subject smokes more than two packs of cigarettes a day, and admits to frequent drinking to the point of drunkenness (subject says he has "passed out" more than once while drunk). He also admits to sporadic use of marijuana, though he says he has never tried hard drugs and is too scared to experiment with them.

FINANCIAL STATUS

Since he has been unemployed, Ward has had little money, but appears to need little.

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His room and board are provided by his mother, and she gives his spending money "whenever he needs it."

PRESNT SITUATION

Subject is currently living with his mother. The father is in Arizona, a flyer in the Air Force, remarried, and has two children. His grandmother and grandfather are divorced, with the grandfather in Chicago, and the grandmother in Ramsey working for the city. He claims about 50 cousins and more aunts and uncles scattered over the country, none of whom are close. There seems to be a close relationship between subject and his mother, a trained physiotherapist, who has already shown a great interest in his situation.

Subject is not married, but has had a "steady" girl friend for the last year whom he admits having sexual relations with. This relationship appears to present some problems. The girl, Diane Werblin, 17, is still in school. Her parents do not approve of her relationship with subject and "do everything they can" to thwart it. Apparently, there have been some nasty arguments between subject and the girl's father.

Subject spends a good deal of time with his friends, some of whom are also unemployed. They seem to spend much of their time "drinking beer and driving around."