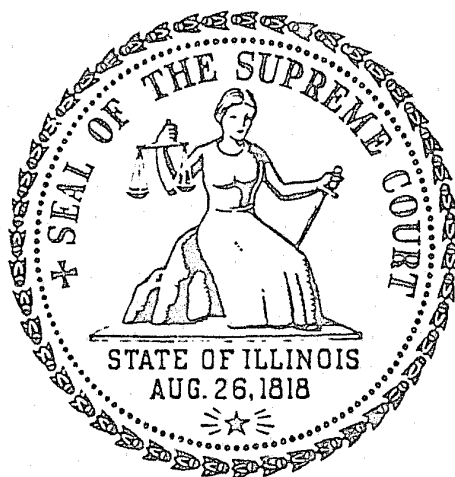


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ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM



PROCEDURE MANUAL
REVISED SEPTEMBER, 1986

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ADMINISTRATIVE OFFICE OF ILLINOIS COURTS
PROBATION DIVISION

106558

ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM

Revised September, 1986

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ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM

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ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM

Introduction

Section 1.1 Purpose of the Classification System

The Illinois Adult Classification System differentiates the supervision of probationers by measuring their inclination toward criminal behavior and their need for rehabilitative services. The system provides a rational means of supervising offenders differentially, as well as a management tool for staff deployment and accountability, budgeting and research, and resource development and coordination. In short, the system brings structure and consistency to decision making at all levels of adult probation case management.

Properly implemented, this workload classification system sets a uniform standard for state funding and defines the proper allocation of local probation department resources among adult probationers.

Section 1.2 Revision of the Classification System

The Classification System is being revised at this time in response to concerns which have been identified from field audits and technical assistance to local departments by the Administrative Office of the Illinois Courts, and from training sessions conducted by Sangamon State University. The System which has been in place for the last two years is not being drastically changed. Certain policies have been revised and clarification of existing policies have been enacted. These modifications have been reviewed during a series of meetings between the Administrative Office of the Illinois Courts, Sangamon State University and probation personnel from across the state. It is anticipated that this revised manual will improve the quality of probation services in Illinois.

Section 1.3 Components of the Classification System

The Classification System is a system of case management made up of two major component parts - the intake process and the supervision process. The intake process consists of case entry, the intake interview, verification of information, scoring the Risk/Needs Instruments and determining a level of supervision. The supervision process consists of ongoing supervision planning, monitoring the behavior of the probationer, and the reassessments of the levels of supervision.

Supervisory review is essential to the proper functioning of the Illinois Adult Probation Classification System. Supervisors are required to review the intake and supervision processes and conduct monthly case conferences with probation personnel.

This manual describes the intake process, supervision process and supervisory review, and concludes with a revised guide to scoring the Risk/Needs Instruments, and sample forms for the intake interview, monthly probationer report and the supervisor's case file audit.

INTAKE PROCESS

Section 2.1 General Description

The intake process is the initial component of case management. The intake process starts with case entry and ends with assignment to a level of supervision. The verification of information is essential. Verification must be conducted before scoring the Risk/Needs Instruments.

Each probation department must establish procedures for the admissions of new cases for supervision. In some instances an intake officer or intake unit might be preferable to case assignment by a given officer. On the other hand, some departments might choose to organize their staff work assignments according to geographic boundaries which would lend itself to direct case assignment without the need for an intake officer or intake unit. Whichever system is employed by a probation department, it must be designed so that the intake interview can be conducted within seven days from the date the probationer enters the department for supervision.

The intake process becomes more critical to probation services in instances where no presentence investigation is conducted. Becoming knowledgeable of the probationers' background is essential if meaningful supervision is to take place. To aid the officer, it is strongly recommended that a home visit be conducted during the intake process. The benefits of a home visit, which are discussed elsewhere in this manual, will greatly enrich subsequent supervision of the probationer.

Section 2.2 Case Entry

Case entry means the date the probationer is placed on probation by the Court or the date the department receives a written request in the mail for supervision under the provisions of the Interstate Compact. A probationer is placed on probation for purposes of the Classification System when the judge orally states that an offender is on probation. The formal sentencing order may not be entered for several days. It is advisable that the written order of probation be available at the time of the intake interview.

Section 2.3 Intake Interview

The intake interview shall be conducted by a court appointed probation officer within seven days from the date of case entry. The purpose of the interview is to review the conditions of probation, secure information for departmental face sheets, and information for the scoring of the Risk/Needs Instruments of the Classification System. Information from the intake interview will also be subsequently used in the supervision process. The intake interview shall be conducted even if a presentence investigation has been completed. Under such circumstances, the intake interview might be briefer and of a more summary nature.

A departmentally designed intake worksheet shall be used during the intake interview. The worksheet shall be completed by the officer conducting the interview and shall be made a part of the probationer's case file. In instances where a presentence investigation has been conducted, it is not necessary to complete the worksheet unless additional information is obtained during the course of the intake interview.

A sample intake interview outline and worksheet can be found in Section 5.2 of this manual. Local probation departments may utilize this sample worksheet and outline or use a comparable form approved by the Probation Division of the Administrative Office of the Illinois Courts.

In instances where the probationer is ordered to serve a period of incarceration as part of the probation order, the intake interview shall be conducted in the correctional facility within seven days from the date of case entry. Subsequent contacts should be at least once a month until released from custody.

Section 2.4 Verification of Information

Information obtained in the intake interview shall be verified unless the information was initially secured from a presentence investigation. The PSI should, of course, be based on verified information. Specific information to be verified are current offense, criminal history, residency and employment for the past twelve months, alcohol and drug usage, and any other information appropriate for the supervision process.

Verification means determining the accuracy of information given by the offender during the course of the interview. Verification also means obtaining additional information not provided by the offender during the intake interview. Verification is done through correspondence, record inspection and interviews with collateral sources and the offender. Collateral sources can be used for corroboration, a form of verification.

Section 2.5 Determining the Level of Supervision

Scoring the Risk/Needs Instruments results in determining the level of supervision required for the offender. Each instrument has its own point values and cut-off positions to determine maximum, medium or minimum supervision. The offender should be assigned to the highest level of supervision indicated by either instrument. Scoring shall not be undertaken until the intake interview has been conducted and verification has been completed.

The following is the break off point for each instrument:

<u>RISK</u>	<u>NEEDS</u>
15 and above - Maximum	30 and above - Maximum
8 - 14 - Medium	15 - 29 - Medium
7 and below - Minimum	14 and below - Minimum

The level of supervision is determined by the higher of the two instruments. For example, a probationer who scores a maximum in needs but a minimum in risks shall be supervised at the maximum level.

Felony and misdemeanor offenders, except DUI offenders, should be assigned to the supervision level determined by their risk/needs scores. Active cases shall be scored the same as felons and/or misdemeanors. However, if they score maximum they can only be assigned to medium supervision for purposes of workload credit. In select local departments, officers have been appointed to supervise serious repeat DUI offenders at a maximum or "supermax" level. This small group of offenders are identified as addictive or alcoholic and are in need of professional inpatient or out patient treatment. Traffic offenders who are not sentenced as misdemeanants or felons must be scored but can only be assigned to minimum supervision.

In scoring, there is a "officer override" feature. The override allows some discretion for the officer to raise or lower the scores and consequently the supervision level of any given offender, if the officer's discretion can be justified in writing and approved by the officer's supervisor. Approval shall be recorded in the case file. Discretion is limited to movement of only one level of supervision. In other words, an officer cannot override a maximum supervision score to a minimum score, or vice versa. Consideration of overrides may be reviewed as part of intake review during the supervision review process.

Instructions for the scoring of the Risk/Needs instruments can be found in Section 5.1 of this manual.

SUPERVISION PROCESS

Section 3.1 General Description

Probation supervision is a structured process of corrective intervention bridging the concerns for community protection and offender restoration. The Classification System calls for offender assessment and the development of supervision activities which lead to positive behavioral change and reduction in criminal involvement. Information obtained in the intake process determines the intensity of intervention and the formation of supervision strategies. Risk/Needs scores determine the quantity of supervision, assessment analysis determines the substance of supervision. Supervision is a dynamic process involving an interchange between the officer and offender.

Section 3.2 Supervision Standards

Supervision standards means and includes the activities that must be performed by the probation officer in relation to the level of probation supervision determined from Risk/Needs scores.

Maximum Supervision: Probationers scoring at this level generally have a high potential for continued unlawful behavior and/or have demonstrated a substantial need for intervention services. Therefore, probationers classified as requiring maximum supervision shall be seen at least once every two weeks in a face-to-face contact by the probation officer. At least once every other month, one of the face-to-face contacts shall be at the probationer's home. Verification of residence and employment shall be conducted every month. Police and arrest records shall be checked before each face-to-face contact. Collateral contacts should be made as required. The monthly probationer report should be received and reviewed with the probationer at one of the face-to-face contacts during each month. All case recordings, status and/or violation reports and all correspondence pertaining to the probationer should be completed. (Maximum supervision should entail approximately three hours of service each month.)

Medium Supervision: Probationers scoring at this level generally have a low potential for continued unlawful behavior and/or have demonstrated a marginal need for intervention services. Therefore, probationers classified as requiring medium supervision shall be seen at least once a month in a face-to-face contact by the probation officer. A home visit shall be conducted once every six months or more often as needed. Verification of residence, employment and police arrests shall be made every month. Collateral contact should be made as required. The monthly probationer report should be received and reviewed with the probationer at each face-to-face contact. All case recordings, status and/or violation reports and all correspondence pertaining to the probationer should be completed. (Medium supervision should entail approximately one and one half hours of service each month.)

Minimum Supervision: Probationers scoring at this level generally have few problems and are likely to successfully complete a period of probation supervision without intervention services. Therefore, probationers classified as requiring minimum supervision shall be seen only once every three months in face-to-face contact with the probation officer. Residence, employment and police arrests shall be reported regularly through monthly written reports submitted by the probationer. The monthly reports should be reviewed as they are received by

the officer and summarily reviewed with the probationer at the time of the face-to-face visit. Information in these reports shall be verified as needed but residence, employment and police arrests must be verified at least once every 3 months. All case recording, status and/or violation reports and all correspondence pertaining to the probationer should be completed. (Minimum supervision should entail approximately one half hour of service each month.)

Administrative: Probationers who are transfers to other jurisdictions either within the state or under the provisions of the Interstate Compact, or probationers who are not reporting to a probation officer on a face-to-face basis but are ordered under supervision to complete court ordered obligations need only administrative supervision. Administrative supervision is defined as monitoring information pertaining to the case which requires case management decisions by court appointed officers. Supervision standards do not otherwise apply to administrative cases. (Administrative cases, as defined above, should entail approximately one quarter hour of service per month.)

Warrant cases after 30 days, concurrent cases with Illinois Department of Corrections commitments, and other non-reporting administrative cases do not receive workload credit unless local department policy specifically requires court appointed officers to make professional case management decisions. Such policies must be approved by the Probation Division prior to allocation of workload credit. These type of cases should otherwise be monitored by clerical personnel.

On occasions when probationers must participate in residential treatment for 60 days or less they shall remain on active supervision at whatever level assigned. Probationers who participate in treatment for longer than 60 days shall be transferred to administrative status where workload credit is provided.

Section 3.3 Supervision Planning

Supervision planning is ongoing throughout the supervision process. It begins formally at the problem identification stage and continues on with action steps as necessary until supervision is completed. Supervision planning takes place simultaneously with the monitoring of court imposed conditions of probation as called for in supervision standards.

To begin supervision planning, the officer must take the lead to identify functioning problems that are most likely to contribute to the probationer's criminal behavior. This activity should begin at the first contact the officer has with the probationer following the intake process. The intake process shall be completed within 30 days of case entry. The initial supervision plan should be completed within thirty-seven (37) days of case entry. The officer should be prepared to begin supervision planning with the information obtained and verified through intake and the scoring of the Risk/Needs Instruments.

At the first meeting with the probationer in the supervision process, the officer should explain the level of supervision assigned to the probationer. The officer's explanation should be a logical lead-in to discussing court ordered conditions and problem areas which contributed to the probationer's criminal behavior that brought him/her to probation. Aided by the assessment of the probationer, the officer should lead a discussion to identify specific problems that should be dealt with during the supervision process. After problem areas have been identified, they should be prioritized along with any court ordered conditions in terms of their significance and urgency. The problems which are identified and prioritized must be

explained in a statement of rationale that outlines the activities to be undertaken while on probation. The officer must use good judgement as a guide in setting priorities, and secure the involvement of the probationer in participating in the discussion. It is quite likely that the probationer will be reluctant and resistant, requiring the officer to be more assertive in the discussion.

After problem areas have been identified and prioritized, the officer and probationer must determine what action steps should be achieved by the time of their next meeting. What is to be accomplished might effect just one or several problem areas. Professional judgement must be exercised in determining what needs to be accomplished. Before concluding the interview, the officer and the probationer should review and clarify the problem areas that will be dealt with during the period of supervision and specifically what action should be accomplished by their next appointment. The probationer should also know what can be expected from the officer - how the officer can be of assistance and how the officer will monitor the probationer's progress.

The officer should expect the first interview with the probationer to be very demanding and time-consuming. Problem identification, with or without the probationer's cooperation, is the foundation upon which the success or failure of supervision rests. Identified problems need to be framed in tangible behavioral oriented terms. It is also important to be as comprehensive as possible in identifying problems, so that subsequent interviews can focus on problem resolution. There will still be occasions where further problem identification is necessary in the supervision process. The case management system has a built-in reassessment mechanism to ensure periodic review of problem areas every six months. The problem statement shall be reviewed at reassessment.

Subsequent contacts with the probationer, which are governed by supervision standards, should be viewed as activities leading to the resolution or reduction of identified problems. A sequence of interview activity should be followed and documented at each contact: (1) review of contacts and developments since the last meeting, (2) discussion of progress on action steps (3) development of new action steps if necessary. At each interview, the officer should lead the discussion in reviewing what was actually accomplished since their last contact. The officer should already have a sense of the probationer's accomplishments through verification activities. Determining how well the probationer did in meeting his/her accomplishments is a critical stage in the supervision process. The officer should strive to get the probationer to evaluate his/her progress, what the consequences might be if no progress was made, and what personal benefits he/she will receive when progress is made. Involving the probationer in such evaluative activity will help in the behavioral change process expected in supervision.

Based on what was accomplished by the probationer, the officer should then direct the interview towards the future. What is planned to be accomplished should be in direct relation to the prioritized identified problems that were outlined during the first interview in the supervision process.

Throughout the supervision process, the officer shall record in the case file or field notebook, in chronological fashion, what is happening. Routinely, the largest case entry would be from problem identification. The notes should describe what problems were identified, how they were prioritized, a statement as to how the problems relate to the probationer's criminal behavior, and what action steps were initially developed. Subsequent recordings could be briefer, describing the probationer's accomplishments and what action steps were developed for

the next contact. The recording shall also cite what verifications were conducted since the last case file entry, and any status changes that might have occurred in the case, i.e., change in residence, employment, or police contacts.

Section 3.4 Additional Supervision Process Techniques

Although the interview is the major tool employed by the officer in the supervision process, there are other tools by which the officer carries out the supervision process, such as the home visit, verifications, and the monthly probationer's report.

Home visits are an effective supervision tool for purposes of surveillance and rehabilitation. Home visits bring the reality of the sentence of probation to the everyday life of the probationer and his/her world. The home visit bridges the concerns of the court with the behavior of the probationer in his/her home and neighborhood. Home visits make probation supervision more visible to the probationer, and creates more access for the officer to intervene through supervision planning. Additionally, home visits can serve to help the officer verify residency, better understand the behavior of the probationer, become better acquainted with the probationer's family and friends, and allows the probationer an opportunity to view the officer in a different perspective. Collectively, all of these benefits of home visits should strengthen and enrich the probation relationship and enhance the supervision process.

The frequency with which home visits are conducted should be guided by professional judgement of the officer and departmental policy. Under supervision standards established by the Classification System, minimum requirements for home visits are established. For maximum cases, home visits are required once every two months, for medium cases, a home visit is required once every six months before reassessment is conducted. Minimum cases do not require home visits within the supervision standards.

Local probation departments should have policies and procedures established for home visits. Procedural provisions should include departmental philosophy for home visits, guidelines for the proper preparation and execution of home visits, the recording of home visits, and general safety and security steps that officers should follow while conducting home visits.

Verification of factual information supplied by the probationer, compliance with court orders and the probationer's efforts to seek positive behavioral change is an important aspect of the ongoing supervision process. Proper verification enhances the monitoring aspects of probation and increases the public perception of probation as a viable sentencing alternative. Each level of supervision requires verification of employment, residency and a criminal record check. The frequency of verification varies with the supervision level.

In addition to verification of employment, residency and criminal activity, other matters of importance to the supervision planning process should be verified as needed. The case file shall document verification efforts.

The monthly probationer report is a traditional technique used in the supervision process to aid in monitoring the ongoing status of the probationer. Monthly reports serve as self-reporting by the probationer to strengthen a sense of accountability to the court. In this context the report provides psychological leverage to prevent falsification of information by the probationer, and continuously reinforces the importance of the probation sentence on the

probationer. In addition, the report assists the officer in verification of the probationer's residency, employment and police contacts. The report can also be used by the officer in structuring the interview with the probationer.

The monthly probationer report is required to be completed by all probationers who are on active supervision. Under the case management system certain information is required. In Section 5.3 of this manual, a sample form for local department use is available. Additional information may deem to be important to include in the monthly report form. Local forms are encouraged and must be approved by the Administrative Office of the Illinois Courts.

Section 3.5 Reassessment of Supervision Levels

Reassessment of supervision levels means the periodic re-scoring of Needs/Risk Instruments to determine whether or not a new level of supervision should be assigned to the probationer. Theoretically, through the intervention of probation supervision, a probationer should make improvements of such a nature that eventually less supervision is required. The probationer, who demonstrates compliance with the conditions of probation and participates responsively in services and programs which improve his overall community adjustment, should have a lower level of supervision. The probationer's progress and adjustment should be reflected in the reassessment scores of the Needs/Risk instruments. At reassessment of the problem statement and the prioritization of problems shall be reviewed. Changes are to be made, if needed, and a brief rational statement written.

Separate reassessment instruments are utilized in the Classification System. The Reassessment Needs Instrument is the same as the original needs assessment instrument, however, the Reassessment Risks Instrument is different. There is less emphasis in the reassessment instrument on assaultive behavior and the offense which placed the person on probation in the first place. Scoring the reassessment instruments can readily be done by the officer, based on information from the probationers file and information known by the officer. Information should be verified as needed and required under the supervision standard. The home visit required for medium supervision should take place shortly prior to reassessment.

Reassessment should be done every six months, however special circumstances may occur which dictate a need to do a reassessment more frequently. Examples of more frequent reassessment might include incidents of probation violation, consideration for early termination, preparation for transfer out of jurisdiction under the Inter/Intra State Compact, and transfer to another officer within the department for supervision. Unless a special reassessment has been completed earlier, the first reassessment should be done six months from the date of case entry. Subsequent reassessments should take place six months following the last reassessment. A reassessment at termination is not required but may be conducted. The case file shall, however, include an evaluative statement at termination. The assessment forms should be used when a probationer is placed on probation for a new offense. When probation is extended the reassessment forms should be used.

Section 3.6 Termination of Supervision

Probation supervision terminates when there is a revocation or early discharge or when the sentence of probation is completed. Local departmental policy must include the requirement that a file notation be made on each probationer terminating from supervision for whatever reason.

The notation shall briefly state the reason for termination and how well the probationer adjusted under supervision. Obviously, in instances where supervision is terminated due to a violation, some form of violation report will also be included in the probationer's file.

SUPERVISORY REVIEW

Section 4.1 General Description

The Case Management System must be actively monitored by supervisory staff. Supervisors must be assured that intake procedures, the scoring of the Risk/Needs Instruments, and the ongoing supervision planning process are being completed in a timely and professional manner. The review should be both qualitative and quantitative. The supervisory review process can be used as part of the performance evaluation process and in the ongoing professional development of staff. A primary task of a supervisor is to assist staff in the development of high quality probation practice and in the techniques of probation supervision planning.

Section 4.2 Intake and Supervision Plan Review

All active probation cases must be reviewed by a supervisor following the completion of the intake process and the initial supervision planning. This review shall consist of (a) a review of the Intake Interview Worksheet (sample form 5.2), (b) a determination that verification has taken place, (c) a review of the Risk/Needs Instruments, (d) the assignment of the appropriate supervision level, and (e) initial supervision plan. The review in addition to ascertaining that the required work has been completed should also consider the accuracy and appropriateness of the work.

The supervisor must establish a method of recording that the review has been completed by entering notes in the case file, initialing the forms, by keeping a separate log or through some other method. The consideration of overrides may be done as part of the regular intake review.

Section 4.3 Supervision Review

At least five supervision cases must be reviewed each month. These cases may be selected by a variety of methods depending on the practice of the local department. All levels of supervision should be reviewed. Furthermore, no case reviewed within the past six months may be considered within the five cases that must be reviewed monthly.

The supervision review shall include (a) a review of the contents of the file to assure that monthly reports and other forms are in the file, (b) a review of the Problem Statement, (c) a review of action steps, (d) a determination of the verification of residency, employment, criminal records and other necessary items, and (e) a determination of compliance with court ordered conditions. A sample Supervisory Case File Audit form is included in this manual. (See Form 5.4). This form or a similar form must be signed by the supervisors and placed in the case file.

Supervisory review is an important element in the case planning process. Supervisors should assist probation officers in the development of problem statements and action steps. Supervisors shall review problem statements carefully questioning the problem(s) identified, the prioritization of the problems and both the quality and quantity of the action steps. Problems which focus on positive behavioral change should be addressed in appropriate cases.

Section 4.4 Case Conference

Supervisors shall meet at least once each month with the probation officer to discuss intake reviews (including initial supervision plan) and supervision reviews which have been

completed. This case conference gives the supervisors the opportunity to inform the probation officer of the quality of his or her work and to make suggestions for improving the supervision planning process.

The case conference is not a substitute for case staffing and informal meetings with staff to discuss issues that have developed during the case supervision process.

Section 4.5 Data Collection

The supervisor will be required to collect information required by the Probation Division. The information about classification and case management will be monitored and utilized to meet the legislative mandate for improving and expanding probation services. The information gathered is used to authorize local departments to hire additional personnel with state funding to meet workload standards. At the local department level, supervisors should use the information generated by the Classification System to equalize workloads among staff.

GUIDES & FORMS

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ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM

GUIDE TO SCORING THE
RISK AND NEEDS INSTRUMENTS

(Revised September, 1986)

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- II. Risk Assessment Form
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I. General Guide to Scoring the Risk/Needs Forms

Some of the items on the Risk Form and most of the items on the Needs Form call for professional judgement. Judgement will vary from probation officer to probation officer, therefore, there is no one correct answer to any of these judgmental questions. Likewise, the total score on each instrument will vary slightly from individual to individual. What is important is that the total score of most probation officers will be within a few points of each other.

There are several general rules which will help develop greater consistency in scoring. First, while scoring the judgmental items evaluate the probationer in relation to others on probation not the general public. For example, a probationer's use of alcohol should be compared to the use of alcohol by other individuals on probation. Secondly, when in doubt about whether the individual should score at a lower or higher level always go to the lower level. Another way of stating this policy is not to go into the higher level unless there is information to support the decision to raise the score. Do not score higher on a hunch. Find information to support the hunch before the higher level is scored. This is particularly true on those items on the far right hand column of the needs instrument. Finally, evaluate on the basis of facts that have occurred, do not speculate about what may happen if certain conditions occur.

II. Risk Assessment Forms

A. General Issues

When completing this form, the officer should first direct his/her attention to the case information at the top of the page. Note that this information is to be typed if at all possible. Next, the officer will direct his/her attention to the 11 scoring items that comprise the Risk Assessment form. The first 10 items are predictive in nature having been formed to correspond closely to the probationer's risk of future law violation. The final item, "Conviction or Juvenile Adjudication for Assaultive Offense," is not predictive but rather is included in response to concern for community safety.

The information for scoring the risk instrument is more objective than information needed to score the needs instrument. Consequently, there should be more uniformity between probation officers in answering questions on the Risk Form than on the Needs Form. Questions such as prior convictions should be verified from records to increase accuracy. The 11 items are to be scored in accordance with the following guidelines.

B. Items on the Form

(1) Number of Address Changes in Last 12 months

The officer is not to interpret the probationer's responses in this area. Rather, the number of address changes is to be taken at face value. Thus, any probationer having two or more address changes in the past 12 months would be scored "3." Temporary address changes should be included in scoring.

This question is straightforward. It asks for the number of changes of address or moves that have been made. Do not attempt to evaluate the quality of the moves. The question is seeking quantitative information. If a person moves more than two times in the last twelve months a "3" would be given regardless of whether these are socially desirable moves or not.

Temporary address changes should be included. However, those moves that would not be considered a change of residence should not be included i.e., moving in with someone for a few days, a short stay in jail, or a vacation trip. The question should be asked whether the person maintained a permanent address. A move away from and later back to the same location is two moves.

(2) Percentage of Time Employed

The scoring of this item is relatively straightforward with only two comments in order. First, the category "not applicable" is intended for individuals who are not reasonably expected to be part of the labor force. Do not become overly concerned with the quality of the employment or the persons employability while scoring the Risk Instrument. Employment also appears on the Needs Instrument where these types of concerns are more appropriate. A person seasonably unemployed as a teacher or construction worker is unemployed for the period not working.

A second comment involves part-time employment. Part-time employment can be averaged (as can periods of unemployment). Thus, an individual employed 20 hours per week for the entire 12 month period would be rated 50% and scored a "1." also a person unemployed for three months, employed full time for three months and 20 hours per week for six months would average 50% employment for the entire twelve month period and thus score a "1." Look for quantitative information concerning the percentage of time employed.

(3) Alcohol Usage Problems

The key to scoring this item is found in the phrase "interference with functioning." The officer is not to make a judgement based simply on numbers of drinks consumed per day or information of that nature. Rather, does the probationer's drinking interfere with his/her ability to function and meet day to day demands. Indications of problems in this area would thus include such things as arriving late for work due to hangover, frequent drunken quarrels at work or home, excessive expenditures on alcohol, etc. If an alcohol evaluation has been made during sentencing consider the assessment level assigned in scoring the item.

(4) Other Drug Usage

The scoring of this item is similar to that of the "alcohol" item with one important difference. The officer must bear in mind that drug usage may itself be in violation of the law and thus is much more threatening to the probationer's remaining out of legal trouble. The officer should be aware of problems from legal drug usage as well. In this regard, prescriptions which the probationer may have should be scrutinized in terms of both frequency of use and duration. If a drug evaluation has been made during sentencing consider the assessment level assigned in scoring this item.

(5) Attitude

This item is inherently subjective. The officer will find scoring easier if he/she focuses upon the phrase "motivated to change." Does the probationer recognize the need for change and does he/she accept responsibility for change? The difference between 0-3-5 is degree.

(6) Age at First Conviction

Note that this item includes juvenile adjudications as well as convictions. The officer will have to spend time with the probationer in order to separate arrests, station adjustments, informal periods of juvenile supervision, and cases dismissed during plea bargain from actual convictions or adjudications. If there is no prior record use age of the current conviction. Juvenile adjudication for Minor Requiring Authoritative Intervention, (MRAI) Minors in Need of Supervision or Neglect (MINS) would not be considered. Scoring this item undoubtedly will require checking the probationers juvenile and adult criminal history.

In scoring this item consider all convictions and adjudications for offense as defined in Illinois State Statutes. Also include serious traffic offenses, i.e. (DUI, Reckless Driving with License Revoked, etc..) and city ordinance violations for behavior which would be a criminal offense under state statutes. Exclude routine traffic offenses, game and fish violations, and minor city ordinance violations.

In scoring this item consider only formal convictions and adjudications. Except for convictions under the drug laws (710, 1410 and ch.111 $\frac{1}{2}$ sentencing) do not consider deferred prosecutions, station adjustments, or informal periods of supervision. Drug convictions count as convictions for scoring this item even if no conviction is actually entered or the conviction is subsequently dismissed or expunged.

(7) Number of Prior Periods of Probation or Parole Supervision

In scoring this item keep in mind that a person may have a period of supervision without a conviction or an adjudication. In fact, it is quite common in juvenile practice to have supervision without an adjudication. Only count as periods of supervision instances where the individual is being supervised on a face to face basis by an individual or agency under the direction of a probation or court services department. Under this requirement, for example, informal supervision of a juvenile 704-7 juvenile supervision, or a deferred prosecution program under the direction of a probation department would count. A deferred prosecution program run by the states attorney, a police station adjustment, or a referral to a youth serving agency would not count. "Conditional discharge" with no face to face contact would not count. Supervision for MINS, MRAI, neglect under the juvenile court act should not be scored as a period of supervision since these are non-criminal.

(8) Number of Prior Probation or Parole Revocations

Actual revocation or a finding of violation of probation which results in a modification of the sentencing order which adds to or increases the penalty originally imposed are the only factors that should be considered in scoring this item. A request to the States Attorney for revocation or the filing of a revocation petition is not adequate.

(9) Number of Prior Felony Convictions

This item should be scored by taking into account only convictions or adjudications. The only convictions/adjudications that are of interest are those for a felony. The final charge/petition is to be considered. Only consider a juvenile adjudication for an offense which would be considered a felony under state law. A felony conviction under the drug laws which is

subsequently expunged should still be considered. Do not include current offense. Use records check and ask probationer for information on convictions.

(10) Convictions or Juvenile Adjudications for

This item must be scored carefully to avoid mistake. Five (5) is the highest score possible. Consider the offenses list only. A probationer convicted of an offense not listed is scored 0. If a probationer has committed one or more of the offenses listed or several offenses in each category the probationer would still only score the points assigned to the item. For example the probationer who committed one burglary and the probationer who committed two burglaries, two thefts and a robbery would both score a two (2) on this item. If either of these probationers committed a forgery this score would be a five. In scoring add the offense categories but do not add with the categories. The only possible scores on this item are 0,2,3, or 5. The current offense is considered in scoring this item.

(11) Assaultive Offense

This item is included on the form to encourage closer supervision of the violent offender. Consider the actual behavior not the ultimate crime for which the probationer is convicted. For example, a violent offense plea bargained down to a property offense, would be scored at "15". Keep in mind the two year time frame. A score of "15" does not have to be just for the current offense, but for any conviction over the past two years. Orders of protection under the Illinois Domestic Violence Act shall be considered convictions for scoring of this item. Sexual offenses which include force or threat of force are considered assaultive. DUI and related offenses are not assaultive unless the conviction is for an offense where bodily harm or death occurred.

III. Risk Reassessment

A. General Discussion

This form has many of the same questions as the original risk form. Several items are deleted and the scoring values are different. There are also some new items focusing on supervision adjustment. Most persons will score lower on the reassessment than on the assessment.

B. Items on the Risk Reassessment Form

(1) The first eight items appear on the Risk Reassessment form and should be scored with the same definitions as on the Risk Assessment form. Note that the time reference for scoring the items on the bottom half of the sheet is the period since the last classification, usually a six month period.

(2) Problems in Interpersonal Relationships

Assess whether that individual is having success or difficulty in establishing relationships with other individuals. Note that the question asks for problems in relationships. If a person is having difficulty making relationships assess whether this is a problem for the individual.

(3) Social Identification

This question is similar to companions on the needs form. Do not read more into this question than is necessary. Are the people the probationer is associating with engaged in good or bad behavior? Is the behavior likely to encourage the probationer to engage in future criminality?

(4) Response to Court Imposed Conditions

This item addresses how the probationer has been cooperating with the requirements of supervision. When scoring, the probation officer should consider the probationer's response to both the court ordered conditions of probation and the supervision plan. Emphasis should be on knowledge of probationer's actual behavior. If a person is willing to comply with a fine or restitution payment but is unable to because of insufficient income a score of "0" would be appropriate.

(5) Use of Community Resources

Assess the probationers use of community resources if needed. If resources are needed for the probationer but unavailable in the community a score of "2" is appropriate.

IV. Assessment and Reassessment of Needs

A. General Issues

The basic idea behind the scoring of each item on the Needs Form is to what extent the probationer's ability to function in the day to day world is impaired. The Needs Form differs from the Risk Assessment in that both positive and negative Needs points are awarded. The question on the Needs Assessment and Reassessment Forms are exactly alike.

B. Items on the Form

(1) Academic/Vocational Skills

In scoring this item consider the skills which are necessary to function in society. Job and social skills are both important. The item focuses upon functional skills rather than actual academic credentials. Therefore, a skilled craftsman may receive "-1" even though he/she may have little formal education. The individuals ability to make his/her way in the world is the important consideration, i.e. the ability to read and write, communication skills, the ability to function in the job market. High school diploma or GED is not necessarily enough - ability must be shown.

(2) Employment

The officer must look beyond simple employment/unemployment in rating the item. The important considerations with this item are the quality and security of employment. Underemployment should be taken into account as should "unsatisfactory" employment. An example of "unsatisfactory" employment would be provided by a probationer with a serious alcohol problem and repeated alcohol-related offenses who is employed as a bartender. In order to score this item, the officer must establish a firm employment chronology. While attempting to do so, the officer should be particularly sensitive to gaps in employment. "Not Applicable" should be

scored only in situations where employment is out of the question for the individual. Obtaining welfare or SSI does not automatically make the individual unemployable.

(3) Financial Management

Does the probationer have the skills to handle the simple financial responsibilities of everyday life such as maintaining a checking account and preparing a personal budget?

(4) Marital Family Relationships

This item is straightforward with the officer being asked to determine whether the probationer's close relationships provide for support (-1), serious stress (+5), or fall at some intermediate point.

(5) Companions

In scoring this item assess the behavior of the individuals the probationer is associating with. Also, support as contrasted to manipulation or stress is the guide. On the initial assessment probationers with co-defendants are given at least a "+2" on this item.

(6) Emotional Stability

Guides for the officer in regard to this item are as follows. Does the probationer deal with anger appropriately? Does he/she exhibit excessive anxiety or become immobilized by stress? Ability to cope with day to day life situations is the concern here. The differences between a "+4" and a "+7" is a matter of degree depending on how much the probationers emotional condition impairs his or her ability to function. The "+4" score would be used for probationers who demonstrate behavior which is labeled neurotic by mental health professionals while the "+7" reserved for those whose behavior would be characterized as psychotic.

(7) Alcohol Usage

As on the Risk Assessment, "interference with functioning" is the key here. Officers are to avoid moral judgement regarding alcohol use and focus instead upon the role of alcohol in the probationer's life. In scoring alcohol related driving offenses evaluate the amount, frequency and extent of the use of alcohol. These should not automatically be scored at the highest level. In scoring this item consider the score on the alcohol evaluation that may have been made during sentencing.

(8) Other Drug Usage

The scoring of this item is to be accomplished in the same manner as the "Drug Usage" item on the Risk Assessment. In scoring a probationer who is on probation for drug related offenses evaluate the amount, frequency and extent of drug usage. Marijuana conviction should not automatically be scored at the highest level.

(9) Mental Ability

This item looks at organic cognitive capacity as opposed to emotional ability. Hence, the

problem levels relate to the possibility of retardation. Is the probationer mentally alert and able to function effectively?

(10) Health

The officer should focus on physical health and handicaps. However, organic mental difficulties should be considered. The difference between "+1" and "+2" is whether health problems are under control. Alcoholism or drug abuse is automatically a "+2".

(11) Sexual Functioning

The probationer's ability to function sexually, both physically and emotionally, is to be considered. The emphasis is upon both real and perceived problems. The officer must look beyond the simple offense history. The officer must avoid moral judgements upon such subjects as homosexuality. In the case of a homosexual, the question should become - does the sexual preference generate day to day life problems and/or does it adversely influence the probationer's self-image?

(12) Probation Officer's Impressions

This item is designed to accommodate the officer's subjective impressions. What level of supervision does he/she feel is appropriate for the probationer? Enter the corresponding positive or negative score. After scoring all items, enter the total in the appropriate space at the bottom of the page.

Section 5.1 Risk/Needs Scoring Forms

STATE OF ILLINOIS

ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM

County Judicial Circuit

ASSESSMENT OF ADULT PROBATIONER RISK

Probationer's Name Last First Middle Dept ID #
 Assessment Date Mo. Day Year Officer's Name
 Sentencing Date Mo. Day Year Expiration Date Mo. Day Yr.

			SCORE
Number of Address Changes in Last 12 Months:.....	0	None	
	2	One	
	3	Two or more	
Percentage of Time Employed in Last 12 Months:	0	60% or more	
	1	40% - 59%	
	2	Under 40%	
	0	Not applicable	
Alcohol Usage Problems:	0	No interference with functioning	
	2	Occasional abuse; some disruption of functioning	
	4	Frequent abuse, serious disruption; needs treatment	
Other Drug Usage Problems:.....	0	No interference with functioning	
	1	Occasional abuse; some disruption of functioning	
	2	Frequent abuse; serious disruption; needs treatment	
Attitude:.....	0	Motivated to change; receptive to assistance	
	3	Dependent or unwilling to accept responsibility	
	5	Rationalizes behavior; negative; not motivated to change	
Age at First Conviction:	0	24 or older	
(or Juvenile Adjudication)	2	20 - 23	
	4	19 or younger	
Number of Prior Periods of Probation/Parole Supervision:	0	None	
(Adult or Juvenile)	4	One or more	
Number of Prior Probation/Parole Revocations:	0	None	
(Adult or Juvenile)	4	One or more	
Number of Prior Felony Convictions:	0	None	
(or Juvenile Adjudications)	2	One	
	4	Two or more	
Convictions or Juvenile Adjudications for:	0	None	
(Select applicable and add for score.)	2	Burglary, theft, auto theft, or robbery	
(Include current offense.)	3	Worthless checks or forgery	
Conviction or Juvenile Adjudication for Assaultive Offense within Last Two Years:	15	Yes	
(An offense which involves the use of a weapon, physical force or the threat of force)	0	No	

TOTAL

ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM

STATE OF ILLINOIS

County _____ Judicial Circuit _____

REASSESSMENT OF ADULT PROBATIONER RISK

Routine _____

Check One Special _____

Transfer _____

Probationer's Name _____ Dept ID # _____
Last First Middle

Reassessment Date _____ Officer's Name _____
Mo. Day Year

Previous Reassessment _____ Expiration Date _____
Mo. Day Year Mo. Day Yr.

			SCORE
Number of Address Changes in Last 12 Months:	0	None	
	2	One	
	3	Two or more	
Age at First Conviction:	0	24 or older	
(or Juvenile Adjudication)	1	20 - 23	
	2	19 or younger	
Number of Probation/Parole Revocations:	0	None	
(Adult or Juvenile)	2	One or more	
Number of Prior Felony Convictions:	0	None	
(or Juvenile Adjudications)	1	One	
	3	Two or more	
Convictions or Juvenile Adjudications for:	0	None	
(Select Applicable and Add for Score.)	1	Burglary, Theft, Auto Theft, or Robbery	
	2	Worthless checks or Forgery	

RATE THE FOLLOWING BASED ON PERIOD SINCE LAST CLASSIFICATION

Percentage of Time Employed:	0	60% or More	
	1	40% - 59%	
	2	Under 40%	
	0	Not applicable	
Alcohol Usage/Problems:	0	No Apparent Problems	
	2	Moderate Problems	
	5	Serious Problems	
Other Drug Usage/Problems:	0	No Apparent Problems	
	1	Moderate Problems	
	3	Serious Problems	
Problems in Interpersonal Relationships:	0	None	
(Living/Working Situation)	1	Few	
	3	Moderate	
	5	Severe	
Social Identification:	0	Mainly with Positive Individuals	
	3	Mainly with Delinquent Individuals	
Response to Court Imposed Conditions:	0	No Problems of Consequence	
	3	Moderate Compliance Problems	
	5	Has Been Unwilling to Comply	
Use of Community Resources:	0	Not Needed	
	0	Productively Utilized	
	2	Needed but Not Available	
	3	Utilized but Not Beneficial	
	4	Available but Rejected	

TOTAL _____

ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM

County _____ Judicial Circuit _____

ASSESSMENT OF ADULT PROBATIONER NEEDS

Probationer's Name _____ Dept ID # _____
 Assessment Date _____ Officer's Name _____
 Sentencing Date _____ Expiration Date _____
 Mo. Day Year Mo. Day Yr.

ACADEMIC/VOCATIONAL SKILLS					SCORE			
-1	High school or above skill level	0	Adequate skills; able to handle every-day requirements	+2	Low skill level causing minor adjustment problems	+4	Minimal skill level causing serious adjustment problems	_____
EMPLOYMENT								
-1	Satisfactory employment for one year or longer	0	Secure employment; no difficulties reported; or homemaker, student or retired	+3	Unsatisfactory employment; or unemployed but has adequate job skills	+6	Unemployed and virtually unemployable; needs training	_____
FINANCIAL MANAGEMENT								
-1	Long-standing pattern of self-sufficiency; e.g., good credit	0	No current difficulties	+3	Situational or minor difficulties	+5	Severe difficulties; may include overdrafts, bad checks or bankruptcy	_____
MARITAL/FAMILY RELATIONSHIPS								
-1	Relationships and support exceptionally strong	0	Relatively stable relationships	+3	Some disorganization or stress but potential for improvement	+5	Major disorganization or stress	_____
COMPANIONS								
-1	Good support and influence	0	No adverse relationships	+2	Associations with occasional negative results	+4	Associations almost completely negative	_____
EMOTIONAL STABILITY								
-2	Exceptionally well adjusted; accepts responsibility for actions	0	No symptoms of emotional instability; appropriate emotional responses	+4	Symptoms limit but do not prohibit adequate functioning; e.g., excessive anxiety	+7	Symptoms prohibit adequate functioning; e.g., lashes out or retreats into self	_____
ALCOHOL USAGE								
		0	No interference with functioning	+3	Occasional abuse; some disruption of functioning	+6	Frequent abuse; serious disruption; needs treatment	_____
OTHER DRUG USAGE								
		0	No interference with functioning	+3	Occasional abuse; some disruption of functioning	+5	Frequent abuse; serious disruption; needs treatment	_____
MENTAL ABILITY								
		0	Able to function independently	+3	Some need for assistance; potential for adequate adjustment possible retardation	+6	Deficiencies severely limit independent functioning; possible retardation	_____
HEALTH								
		0	Sound physical health; seldom ill	+1	Handicap or illness interferes with functioning on a recurring basis	+2	Serious handicap or chronic illness; needs frequent medical care	_____
SEXUAL BEHAVIOR								
		0	No apparent dysfunction	+3	Real or perceived situational or minor problems	+5	Real or perceived chronic or severe problems	_____
P.O.'S IMPRESSION OF PROBATIONER'S NEEDS								
-1	Indirect; Unsupervised	0	Minimum	+3	Medium	+5	Maximum	_____
								TOTAL _____

SCORING GUIDE

SUPERVISION LEVEL CUT-OFF SCORES

Risk		Needs	
15 and above	— Maximum	30 and above	— Maximum
8 - 14	— Medium	15 - 29	— Medium
7 and below	— Minimum	14 and below	— Minimum

The probationer is to be assigned to the highest level of supervision indicated by either scale.

<p>SUPERVISION LEVEL</p> <p><input type="checkbox"/> Maximum</p> <p><input type="checkbox"/> Medium</p> <p><input type="checkbox"/> Minimum</p> <p><input type="checkbox"/> Officer Override</p> <p>(If officer overrides scores, statement of reasons must be attached.)</p>	<p style="text-align: center;">Risk Score</p> <div style="border: 1px solid black; height: 30px; margin: 5px auto; width: 80px;"></div> <p style="text-align: center;">Needs Score</p> <div style="border: 1px solid black; height: 30px; margin: 5px auto; width: 80px;"></div>
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ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM

STATE OF ILLINOIS

County _____

Judicial Circuit _____

Routine _____

REASSESSMENT OF ADULT PROBATIONER NEEDS

Check One Special _____

Transfer _____

Probationer's Name _____ Last _____ First _____ Middle _____ Dept ID # _____

Reassessment Date _____ Mo. _____ Day _____ Year _____ Officer's Name _____

Previous Reassessment _____ Mo. _____ Day _____ Year _____ Expiration Date _____ Mo. _____ Day _____ Yr. _____

ACADEMIC/VOCATIONAL SKILLS

SCORE

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

EMPLOYMENT

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

FINANCIAL MANAGEMENT

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

MARITAL/FAMILY RELATIONSHIPS

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

COMPANIONS

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

EMOTIONAL STABILITY

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

ALCOHOL USAGE

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

OTHER DRUG USAGE

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

MENTAL ABILITY

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

HEALTH

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

SEXUAL BEHAVIOR

0	No apparent dysfunction	+3	Real or perceived situational or minor problems	+5	Real or perceived chronic or severe problems	_____
---	-------------------------	----	---	----	--	-------

P.O.'S IMPRESSION OF PROBATIONER'S NEEDS

-1	Indirect; Unsupervised	0	Minimum	+3	Medium	+5	Maximum	_____
----	------------------------	---	---------	----	--------	----	---------	-------

TOTAL _____

REASSESSMENT INFORMATION

SUPERVISION LEVEL

Risk Score

Previous

- ☐ Maximum
☐ Medium
☐ Minimum

Needs Score

Revised

- ☐ Maximum
☐ Medium
☐ Minimum

☐
Officer
Override
(attach statement)

Section 5.2 Intake Interview Outline & Worksheet

I. Current Offense

- A. Legal classification of offense
- B. Circumstances surrounding the offense
- C. Information required for department's face sheet

II. Prior Record

- A. As an adult: Number and type of convictions
- B. As a juvenile: Number and type of convictions
- C. Probation, institutional, parole adjustment
- D. Any assaultive convictions in past five years
- E. Information required for department's face sheet

III. Marital/Family Adjustment

- A. Stability of current relationship with family, i.e., parents and siblings
- B. Stability of current relationship with spouse
- C. Stability of current relationship with dependents
- D. Information required for department's face sheet

IV. Residency

- A. Current residency
- B. Residency over the past twelve months

V. Employment Adjustment

- A. Adequacy of educational achievement in meeting vocational goals
- B. Job preparation and readiness: Employability
- C. Job procurement and security: Employment stability
- D. Information required for department's face sheet

VI. Financial Adjustment

- A. Meeting obligations: Ability to meet financial obligations
- B. Fines, restitution, costs

VII. Social/Personal Adjustment

- A. Emotional stability and adjustment
- B. Present attitude towards self and others
- C. Sexual adjustment
- D. Nature of companions
- E. Mental health
- F. Physical health

VIII. Alcohol/Drug Usage

- A. Alcohol use and/or abuse
- B. Drug use and/or abuse

IX. What other services are involved with probationer

X. Review the conditions of probation - court order of probation

INTAKE WORKSHEET

Name: _____ SS# _____

Current Address: _____

Phone: _____

Description:	Hair	Eyes	Weight	Height	Sex	Color	Date of Birth

OFFENSE INFORMATION

Court _____ Judge _____

State's Attorney _____ Defense Attorney _____

Case No. _____ Charge _____

Ajud/Conviction _____

Dispos/Sentence: _____ Commitment _____ Probation _____ Periodic Imprisonment _____

_____ Court Supervision _____ Other _____

Date of Dispos/Sentence: _____ Expiration Date: _____

Cost \$ _____ Fine \$ _____ Restitution \$ _____

FAMILY INFORMATION

Father _____ Address _____ Occupation _____

Mother _____ Address _____ Occupation _____

Parents Status: _____ Married _____ Divorced _____ Separated _____ Deceased _____

Siblings _____

BIOGRAPHICAL INFORMATION

Education: Highest Grade Completed _____ Date: _____

Current/Last School Attended _____

Current Grade _____

Can You Read? _____ Yes _____ No Can You Write? _____ Yes _____ No

Employment: _____ Employed _____ Unemployed

Employer _____

Position _____ Length _____

Marital Status: _____ Single _____ Married _____ Separated _____ Divorced _____ Common Law

Spouse _____

Children _____

Residency: Where have you lived in the past 12 months? _____

Have you ever thought seriously about hurting or killing yourself: (If client says yes to question, has he ever tried it?)

- ☐ Never seriously contemplated it
- ☐ Had definite thoughts of suicide
- ☐ Attempted it

When and How: _____

Previous Psychiatric or Psychotherapeutic Care: None ☐

Therapist/Hospital: _____ In-Patient ☐ Out-Patient ☐

Address and Phone: _____ Dates: _____

Reason: _____

Previous Psychiatric or Psychotherapeutic Care: None ☐

2nd Therapist/Hospital: _____ In-Patient ☐ Out-Patient ☐

Address and Phone: _____ Dates: _____

Reason: _____

Has anyone in your family been treated for mental illness? Yes ☐ No ☐

Substance use or Abuse Patterns:

Alcohol: None ☐ Currently Not Using ☐ Currently Using ☐

Usual Drink: _____ Frequency: _____ Dollar amount spent per week: _____

Usual Drinking Place: Own Place ☐ Friend's Place: ☐ Bar ☐ Street ☐ No Set Place ☐

Usual Drinking Style: Alone ☐ With Friends ☐ With Spouse ☐ No Set Group ☐

No Set Style ☐

Behavior While Drinking: _____

Narcotic Drugs: None ☐ Current Not Using ☐ Currently Using ☐

Previous Use: Heroin ☐ Morphine ☐ Methadone ☐ Other ☐ Age Started: _____

Currently Using: _____ Frequency: _____ Daily Cost: _____

List One From Above

Time of Last Use: _____

Non-Opiates: None ☐

Previous Use: Amphetamines ☐ Barbiturates ☐ Codeine ☐ PCP ☐

Tranquillizers ☐ Hallucinogens ☐ Cocaine ☐ Pot ☐

Currently Using: _____ Comments: _____

List One From Above

Previous History of Drug Over-Dose: None ☐ One Only ☐ 2-5 ☐ 6 or More ☐

Comments: _____

CURRENT OFFENSE

Official version paraphrased by interviewer: _____

When offense occurred: _____ Date of Arrest: _____

Offender's version paraphrased by interviewer: _____

Why offense occurred: _____

Were you under the influence of alcohol at the time of this offense? Yes () No ()

Were you under the influence of drugs at the time of this offense? Yes () No ()

Feelings about offense (parents, spouse, children's reactions): _____

Did you plan this offense beforehand? Yes () No () Comments: _____

Was there anyone else arrested for this offense? Yes () No () If yes, give names and dispositions: _____

PRIOR ADULT RECORD

Have you ever been arrested for any offense other than minor traffic violations? Yes ()

No () If yes, give dates, offenses and dispositions: _____

Was any weapon used in the above offense? Yes () No () Comments: _____

Are you on probation or parole for any other offense? Yes () No () Where and for what offense? _____

Probation Officer's Name _____

Have you ever been on probation before? Yes () No () Where and for what offense? _____

Include dates and type of termination from probation: _____

Do you have a prison history? Yes () No () Where: _____

When: _____ Comments: _____

Do you have any pending charges? Yes () No () If yes, specify: _____

JUVENILE HISTORY

Were you ever arrested as a juvenile? Yes () No () Offense: _____

Did you ever appear before a judge? Yes () No () Where and when: _____

Did you receive a probation order? Yes () No () Did you have to report to a Probation Officer? Yes () No () If yes, how long? _____

Were you ever committed to a youth institution? Yes () No ()

Adjudicated Delinquent? Yes () No () Informal Probation? Yes () No ()

Comments: _____

EMPLOYMENT HISTORY

What kind of jobs have you had? Primary Vocation: () Unskilled Labor () Semi-Skilled

() Skilled Labor or White Collar () No Employment History () Student/Recent Graduate

Number of job in the last 12 months? _____ Longest period of time worked at one job? _____

Have you had problems getting jobs? () None () Problems due to lack of skills or capacity

() Problems due to attitude

What were your reasons for leaving jobs? _____

At time of intake: Unemployed () Part-Time () Full-Time ()

Date Started: _____ Does employer know of this offense? Yes () No ()

Current source of income: None () Employment () Family () Spouse () Friends ()

Unemployment Comp. () Public Aid () Social Security () Social Security Disability ()

Monthly total income: _____

What are your major assets: _____

What are your major debts: _____

Have you had any trouble supporting yourself or received welfare?

() Client has usually been self-supporting

() Client has had several periods when he/she was not self-supporting

() Client has essentially been non-self-supporting

MILITARY SERVICE

Veteran: Yes () No () Designated branch: _____

Dates of Active Duty: _____ to _____

Where served: _____

Discharge: Honorable () General () Undesirable () Dishonorable ()

If undesirable or dishonorable, explain: _____

FAMILY BACKGROUND INFORMATION

How does client rate his present relationship with his:

Father:	Poor ()	Fair ()	Average ()	Very Good ()
Mother:	Poor ()	Fair ()	Average ()	Very Good ()
Step-Father:	Poor ()	Fair ()	Average ()	Very Good ()
Step-Mother:	Poor ()	Fair ()	Average ()	Very Good ()

If client's parents are divorced or separated, what was the client's age at that time: _____

Did either parent remarry after divorce or one parent widowed: Yes () No () Unknown ()

If yes, give dates: _____

Comments: _____

How do you get along with your parents: () Close () Neutral/Mixed () Hostile () N/A

How do you get along with your brothers and sisters?

() Close () Neutral/Mixed () Hostile () N/A

Were you ever abused by your parents? Yes () No ()

Have any of your family members been in trouble with the law? Yes () No ()

Comments and Names: _____

Have any members of your family been treated for alcohol or drug abuse? Yes () No ()

Interviewer's perception of family relationships: _____

INTER-PERSONAL RELATIONS

Have your friends (associates) been in trouble with the law?

() Essentially non-criminal () Mixed () Mostly criminal

Who do you consider to be your closest friend? _____

What activities do you become involved in with your friend? _____

HEALTH

Do you consider yourself to be in good physical health now? Yes () No ()

List any physical handicaps or health problems: _____

Are you under a doctor's care now? Yes () No ()

Name and Address of doctor: _____

Medication or treatment being taken: _____

Have you ever received any treatment for drug or alcohol abuse? Yes () No ()

If so, please explain: _____

Do you consider drugs or alcohol a problem for you? Yes () No ()

If so, please explain: _____

Do you consider yourself to be a nervous/anxious person? Yes () No ()

PLANS AND PROBLEMS

What is the biggest problem in your life right now that you feel should be worked on while you are on probation?

What is your feeling about being on probation?

INTERVIEWER'S OBSERVATIONS

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There is no text or other markings on the paper.

DATE: _____

INTAKE INTERVIEWER _____

Section 5.3

MONTHLY PROBATIONER REPORT

INSTRUCTIONS: Complete and submit this report as directed by your probation officer.
Respond to each question and be sure you sign and date it at the bottom.

TO: _____
Probation Officer's Name

DATE: _____

FROM: _____
Your Name

PHONE NUMBER: _____

Your Current Address

1. Who are you living with? _____
 2. Have you changed residence since your last report? _____ If so, where did you move from? _____
 3. Are you working? _____ Where? _____
What are your job duties? _____

How much do you earn? _____ Do you like the job? _____ Explain _____
 4. Are you attending school? _____ Where? _____
What grade? _____ What are you studying? _____

 5. Are you required to pay any court costs, fines or restitution? _____
If so, what and how much? _____
How much have you paid? _____
When was your last payment? _____
 6. Are you in financial debt? _____ How much? _____
To Whom? _____
 7. Do you own a car or motorcycle? _____ What kind? _____
License # _____ Your drivers license # _____ State _____
 8. Do you know your court ordered conditions of probation/supervision? _____
Have you been arrested since last report? _____
Explain _____
 9. Is there anything you need to discuss with probation officers? _____ Yes _____ No
- I certify the above information to be true and correct and I understand that any falsification of my answers is a violation of my court ordered probation/supervision.

Signature of Probationer

DATE: _____

PROBATION OFFICE USE ONLY

Date Received: _____

Received by: _____

☐ Mail

☐ In Person

Dept. I.D. # _____

Section 5.4

ILLINOIS ADULT PROBATION CLASSIFICATION SYSTEM

SUPERVISORY CASE FILE AUDIT

PROBATIONER: _____

CASE NO: _____

DATE SENTENCED: _____

DATE ASSIGNED: _____

CURRENT SUPERVISION LEVEL: _____

OFFICER: _____

DATE OF AUDIT: _____

FILE AUDIT	ACCEPT	NOT ACCEPT	N/A	SUPERVISOR'S COMMENTS
1. File Organization				
2. File Content				
a. Court Conditions/Signed				
b. Face Sheet Completed				
c. PSI/Intake Completed				
d. Risk/Need Completed				
e. Reassessment Completed				
f. Override Approved				
g. Supervision Plan				
h. Chronological Sheets				
i. Probationer's Report				
j. Correspondence				
k. Other Reports				
3. Supervision Planning/ Initial Statement				
a. Timeliness				
b. Related to Risk/Needs				
c. Related to Conditions				
d. Related to Offense				
4. Supervision Planning/ Actions Steps				
a. Timeliness				
b. Appropriateness				
c. Measurableness				
5. Supervision Standards				
a. Face-to-Face Contacts				
b. Verification-Residence				
c. Verification-Employment				
d. Home Visits				
e. Police Arrest Checks				
f. Collateral Contacts				
6. Chronological Entries				
a. Timeliness				
b. Format				
c. Conciseness				
d. Completeness				
e. Legibility				

Audit Summary

Supervisor: _____ Officer: _____ Date Discussed: _____