

# Probation Research & Development

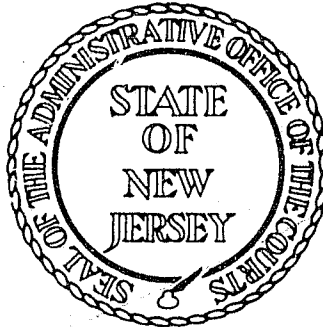


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ADMINISTRATIVE OFFICE OF THE COURTS  
STATE HOUSE ANNEX, TRENTON, NEW JERSEY

New Jersey —

ADMINISTRATIVE OFFICE OF THE COURTS —



RESEARCH REPORT #9

ADMINISTRATIVE MANAGEMENT SYSTEM — Research Report #9

SEPTEMBER 21, 1973

PROBATION RESEARCH AND DEVELOPMENT

David J. Berkman, *Chief*

Harvey M. Goldstein, *Assistant Chief*

J. Frederick Shenk, *Research Associate*

Frank R. Shults, *Research Associate*

Archangel Buttaci, *Statistician*

Susan Chester, *Principal Clerk Stenographer*

Jay Gurley, *Senior Clerk Typist*

# ADMINISTRATIVE MANAGEMENT SYSTEM

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SECTION A

INTRODUCTION

## ADMINISTRATIVE MANAGEMENT SYSTEM

### INTRODUCTION

The traditional management approach in probation departments has been a disparate collection of procedures which are only loosely organized into a system. Although this technique has been adequate in the past, an evaluation of this process has been needed for some time. The Probation Research and Development unit of the New Jersey Administrative Office of the Courts has designed an Administrative Management System for implementation in county probation departments. The system was developed in response to a need for a systematic, uniform, and integrated approach to the administration and management of the probation departments.

For the first time in New Jersey's history, probation administrators can be guided by a comprehensive management model. The developers of the Administrative Management System analyzed the delivery of probation services from a systemic perspective. This model system addresses all aspects of probation administration, from providing uniformity in case reporting techniques to a client oriented accounting of probation officer activity. The system broadens and enhances the role of the line supervisor, the Principal Probation Officer II, by encouraging his participation in the planning and recording of client treatment objectives. The end result

is a comprehensive system that increases the effective delivery of probation services and generates an information base to direct administrative decision-making.

The Administrative Management System was designed with three primary objectives:

1. To align probation services with specific client needs by providing a uniform procedure for the identification and recording of treatment objectives;
2. To increase the role of the Principal Probation Officer II in the planning and monitoring of treatment strategies and objectives for probationers;
3. To provide a feedback mechanism from the line officers to the Chief Probation Officer that will identify departmental programmatic needs and so aid administrative decision-making.

#### METHODOLOGY

A survey of the literature revealed a scarcity of material in this area. Although there was an expressed need for a systematic management approach in probation and other social service agencies, very few model programs had been designed. To fill this informational void, the Probation Research and Development staff developed a model Administrative Management System as a pilot project in one county. Because Chief Probation Officer John J. Enright had initially expressed interest in a project of this type, Morris County was chosen as the site for implementation.

At the request of Chief Enright, the staff of Probation Research and Development analyzed the management and administration of the Morris County Probation Department. Personnel from the Chief Probation Officer to the line officers were interviewed in an effort to identify and assess the organizational and management needs of that Department. The researchers concluded that the Department lacked guidelines, standards, and uniformity on several levels. Specifically, the officers lacked guidelines for planning client treatment objectives, for recording client progress and for documenting officer/client interaction. The role of the Principal Probation Officer II, in relation to the supervision of Probation Officers, was primarily one of technical advisor and courier of administrative bulletins. Because of time restrictions, most officers did not meet with their supervisors on a regular schedule. Rather, conferences were held when a crisis arose and the officer needed special assistance.

A management information system, which is generally lacking among probation departments, was also lacking in Morris County. Therefore, the development of an information system was among the top priorities in the design of the Administrative Management System. The basic task of such a system is to supply administrative decision makers with relevant information to develop plans designed to achieve departmental objectives.

In addition to the above elements, the system used to account for officer time in Morris County was inadequate. It generated resentment from the officers and criticism from administrators. A systematic and reliable accountability system was sorely needed.

Although the Administrative Management System was designed to address the specific areas noted in Morris County, it was not designed exclusively for Morris County. The Administrative Management System is a model system. It can be implemented in a number of counties in its present form and can be modified to fit the particular needs of other counties.

The Administrative Management System will prove to be an effective management design for the administration of probation services. The system was implemented in Morris County on November 1, 1973. That county was chosen for a number of reasons, not the least of which was the enthusiasm and interest expressed by the Chief Probation Officer, John J. Enright. Without his cooperation and full support from the very beginning the success of this project would have been jeopardized. Because the system substantially changes the role and behavior of both the Principal Probation Officer II and the line officer, strong administrative support is a definite necessity.



The development of the Administrative Management System fits into the scheme of Probation Research and Development's assigned task. The Administrative Management System marks the beginning of an overall model probation operation. There is a recognized need for standards and guidelines in many aspects of the delivery of probation services in New Jersey. The Administrative Management System is a model system for the management and supervision of probation officers. Other areas, such as records management, collections of fines, and investigation, need similar analysis and development. While the Administrative Management System is currently being implemented and tested, the staff of Probation Research and Development has begun to develop programs to address those needs.

SECTION B

SUMMARY OF SYSTEM COMPONENTS

SUMMARY OF SYSTEM COMPONENTS

The goals of the Administrative Management System are:

1. The planning of treatment objectives for probationers;
2. The development of the role of the Principal Probation Officer II to increase his participation with line officers in every aspect of their work;
3. The systematic identification of programmatic needs on a departmental basis.

This section presents a brief discussion of the Administrative Management System components and how they achieve the stated goals. Each component is underlined when first introduced for identification. For an exhibit and explanation of each component in the Administrative Management System, see Section E of this report.

The first part of the Administrative Management System involves the gathering and retention of descriptive case information. The operation of the Administrative Management System is initiated when a case is assigned to probation supervision. The Principal Probation Officer II assigns the case to an officer and prepares a File Card for each case. This card is retained by the Principal Probation Officer II and is his record of every case in the division, the assigned officer, and some descriptive information about the probationer.

The File Card is to be updated with a brief description of the treatment plan which is developed during case conferences. This process will be discussed at a later point.

As soon as the officer receives a case for supervision, he prepares a Case File Folder which will be used to retain all case related material for the duration of supervision. The first entry in the case file folder is the Facesheet. The facesheet is a repository of pertinent client information, which is prepared by the officer during the early stages of the probationer's term.

As the officer familiarizes himself with the case, he prepares a Client Evaluation Inventory. This Inventory is a checklist of factors that will enhance or impede the client's social adjustment. The Inventory was designed as the vehicle to identify those areas that should be the focus of probation intervention. The checklist is not exhaustive.

Despite the limitations such a checklist involves, it does assure that a comprehensive analysis of the factors that relate to probationer adjustment has been considered by the officer.

For the duration of supervision, Case Conferences will be regularly scheduled between the Principal Probation Officer II and his officers. The objective of these conferences is to

directly involve the Principal Probation Officer II in the planning and developing of treatment strategies for probationers. During Case Conferences, the Principal Probation Officer II and the officer discuss each client's activity and progress. Their agenda includes developing a Case Supervision Plan, which directs and records the focus of probation intervention into areas that have been identified on the Client Evaluation Inventory. The Case Supervision Plan will be up-dated at each case conference and will reflect the changing status of the probationer. The Plan itself is flexible and should be modified as conditions warrant. At the conclusion of each Conference, the Principal Probation Officer II updates his case File Cards with a brief outline of the treatment objectives that have been discussed for each probationer.

Case conferences will be regularly scheduled every month. The monthly conference covers 1/3 of each officer's caseload. The scheduling of Case Conferences is controlled by the Principal Probation Officer II to assist the coordination of these conferences, and to assure that each officer's caseload is rotated every three months, a Planning Schedule will be maintained by the Principal Probation Officer II. The Planning Schedule can also be used as a control mechanism to record the changing status of each probationer on a divisional basis. Coded symbols to indicate a variety of statuses, such

as absconding, violations, discharge, etc., have been included on the Planning Schedule for this purpose.

A substantial element of the Administrative Management System is the development of an information system to aid administrative decision making. The Chief Probation Officer must be in a position to evaluate his department's ability to deliver probation services on a continual basis. To do so, he must have a reliable and dynamic informational source of the department's ability to address specific client needs. The feedback mechanism outlined below was designed to achieve that objective.

During monthly Case Conferences the activity and progress of each probationer is discussed in terms of specific objectives that have been recorded on the Case Supervision Plan. At the conclusion of each conference, the Principal Probation Officer II prepares a Summary of Client Progress to record those treatment objectives that have and have not been achieved during the reporting period. This accounting is concerned with identifying the dimensions of probation's success record in accomplishing specific needs on a case-by-case basis.

Each month, the Summary of Client Progress reports are submitted to the Assistant Chief Probation Officer who reviews and analyzes them. Since monthly case conferences are scheduled

in units of 1/3 of each officer's caseload, it will take three months (and three Summary of Client Progress Reports) to complete this reporting mechanism for the entire department. The Assistant Chief Probation Officer retains the Summary of Client Progress Reports until he has the full complement of reports from both divisions. At the end of the quarter, he summarizes the information on a divisional basis and submits the Quarterly Divisional Report to the Chief Probation Officer. With this, the information cycle is complete and the Chief can determine where programmatic needs exist in his department. The Chief will communicate these needs to the Administrative Office of the Courts and the Probation Research and Development unit can then develop programs to address the specifically identified needs.

One area of considerable interest among probation administrators is the method of accounting for officer time and activity. They strive to develop a system that will provide maximal information with minimal expense of officer time. The accountability component of the Administrative Management System has a client-oriented basis. Each officer's daily activity and agenda is recorded on Activity Sheets. These sheets are submitted to the Principal Probation Officer II on a daily basis for review and analysis. After the Principal Probation Officer II processes the Activity Sheets they are

returned to the probation officers for filing in the appropriate probationer's file folder. So arranged, Activity Sheets comprise an accurate description of officer/client interaction on a case-by-case basis.

As the Principal Probation Officer II reviews the Activity Sheets, he summarizes their information onto a Monthly Activity Summary for each officer. This summary is submitted to the Assistant Chief Probation Officer who in turn prepares a Divisional Summary of Officer Activity for the Chief Probation Officers. This system provides the Chief Probation Officer with a clear accounting of where his officers spend their time and exert their energy. With this kind of data base, he can conduct work-load analyses and make corresponding revisions on the allocation of probation manpower.



Administrative Management System

NOTE

The system is designed for probation officers who do casework, not for investigators or officers without a caseload.

The emphasis is on officers in the adult and juvenile divisions and is not appropriate for officers in the family divisions.

The system is designed as a MODEL and may be modified prior to implementation in any given county department.

SECTION C

FLOW CHART

EXPLANATION OF FLOWCHART FOR MODEL  
ADMINISTRATIVE MANAGEMENT SYSTEM

1. Probationer is assigned to officer:

- A. Officer initiates case file folder on each client to retain all case related material.
- B. PPO completes factual information on 3 x 5 file card and retains in file.

2. Officer conducts personal contacts with client:

- A. Officer complete Activity Sheet.
- B. Officer continues to prepare FACESHEET.

3. Client Evaluation:

- A. Officer completes Client Evaluation Inventory.
- B. Probationer completes Client Evaluation Inventory.  
Both Inventories are retained in the Case File Folder.

4. PO determines client needs and ranks in order of priority.

5. Case Conference between PPO and PO:

Within one month PPO II conducts case conferences with the officer to develop a Case Supervision Plan.  
In preparation for this, the PPO II reviews:

Case Evaluation Inventory (officer and client)  
Activity Sheets  
Facesheet

- A. Case Supervision Plan is prepared by PPO and PO and is retained in Case File Folder.
- B. PPO updates 3 x 5 file card on probationer.

6. Duration of Supervision:

- A. 1. Activity sheets for every personal contact and every significant event are prepared by officers and retained in case file folder.
2. PPO II reviews Activity Sheets daily and records the information on the Monthly Activity Summary. This summary is submitted to the ACPO monthly.
3. ACPO submits Divisional Summary of Officer Activity to CPO.
- B. 1. PPO conducts Quarterly Case Conferences with officers (one-third of caseload every month).
2. PPO prepares Planning Schedule.

7. Summary of Client Progress

PPO II submits a Summary of Client Progress to the ACPO for each officer. The report is submitted monthly on one-third of each officer's caseload so the progress of each client is reviewed quarterly.

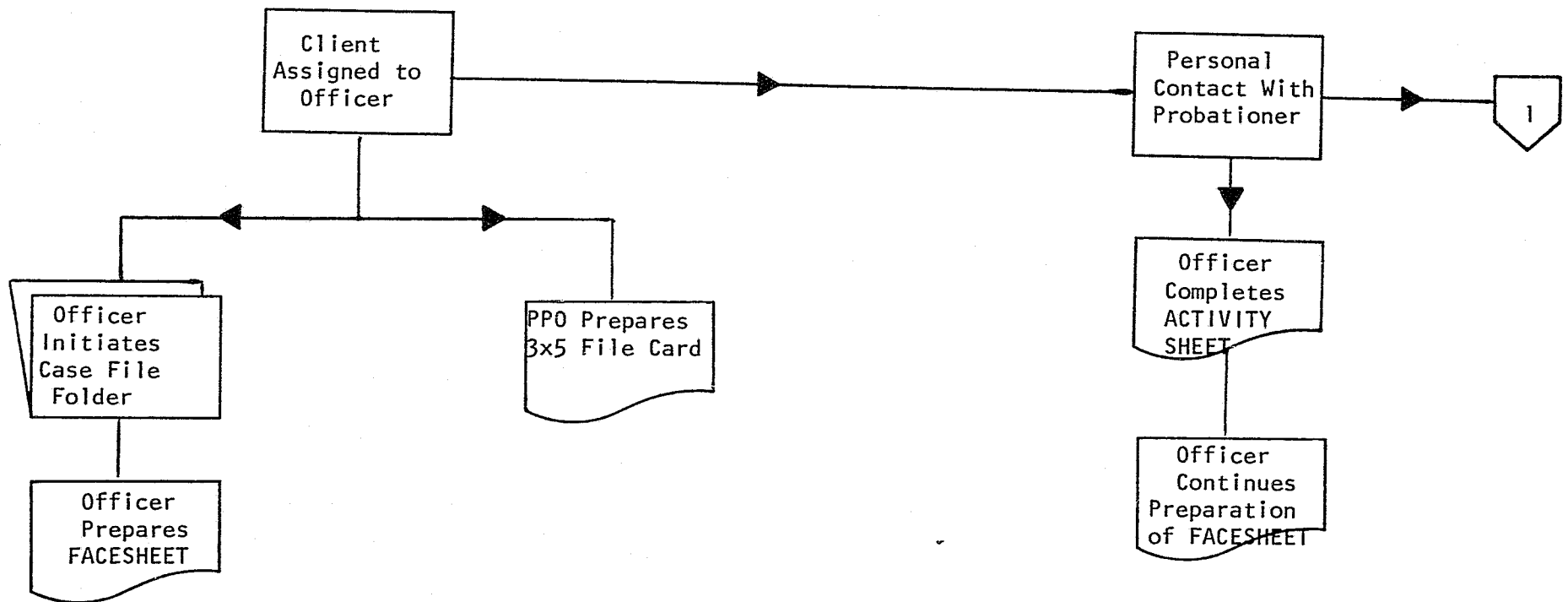
The PPO II is responsible for translating the information resulting from the case conference into the categories listed on the Summary of Client Progress.

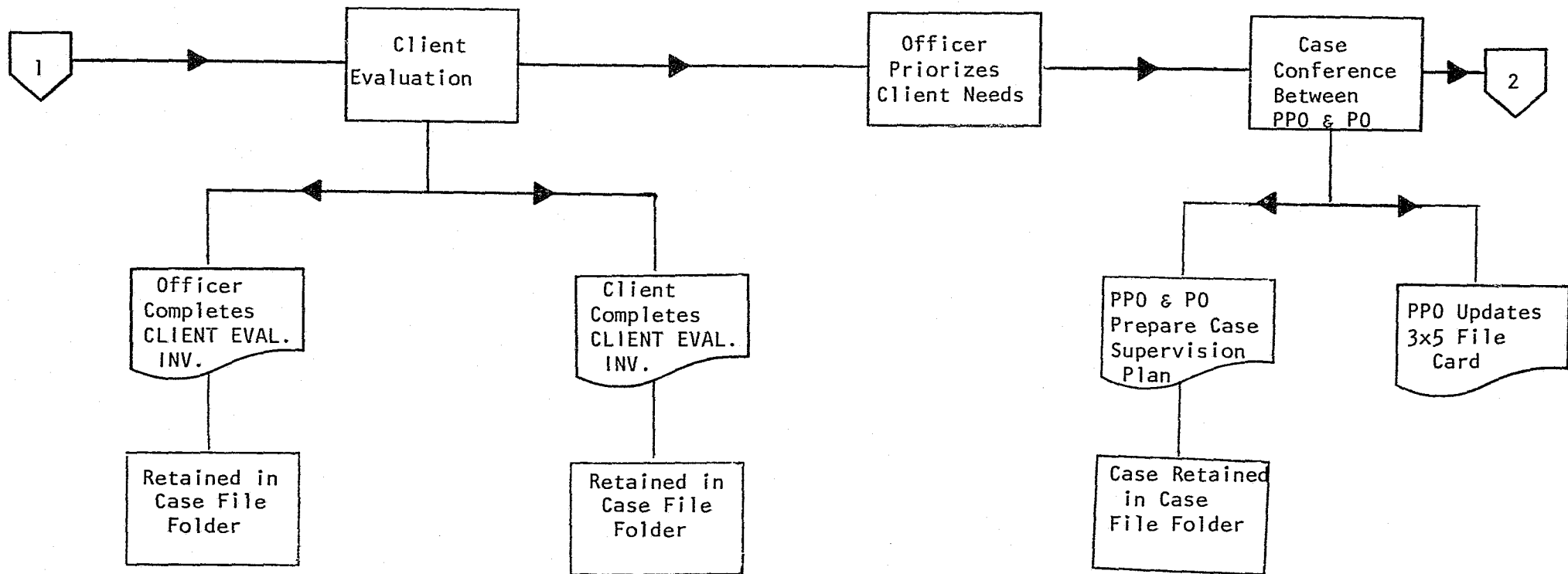
8. Quarterly Divisional Report

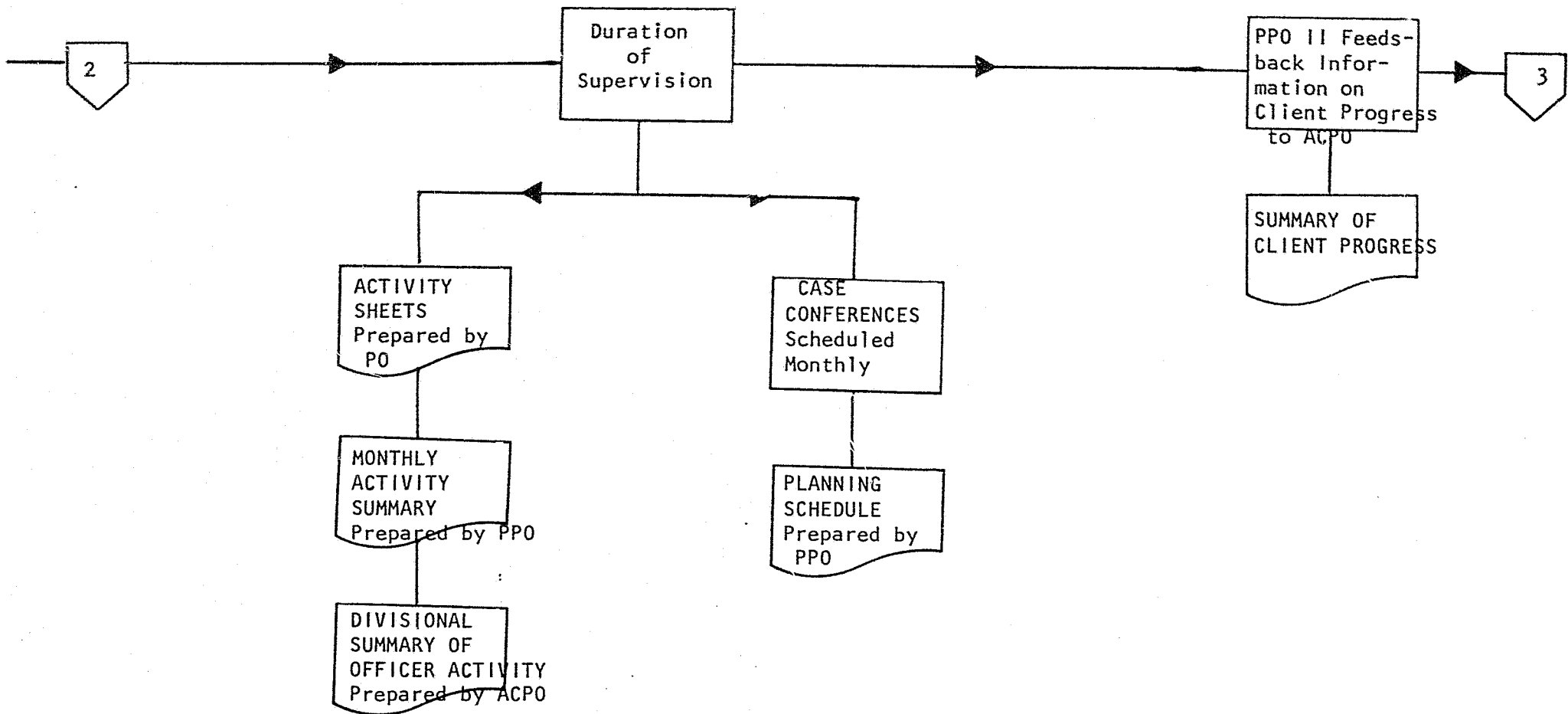
ACPO reviews the Monthly Progress reports he receives from the PPO II and translates that information onto the Quarterly Divisional Report which reflects the progress achieved by the two divisions.

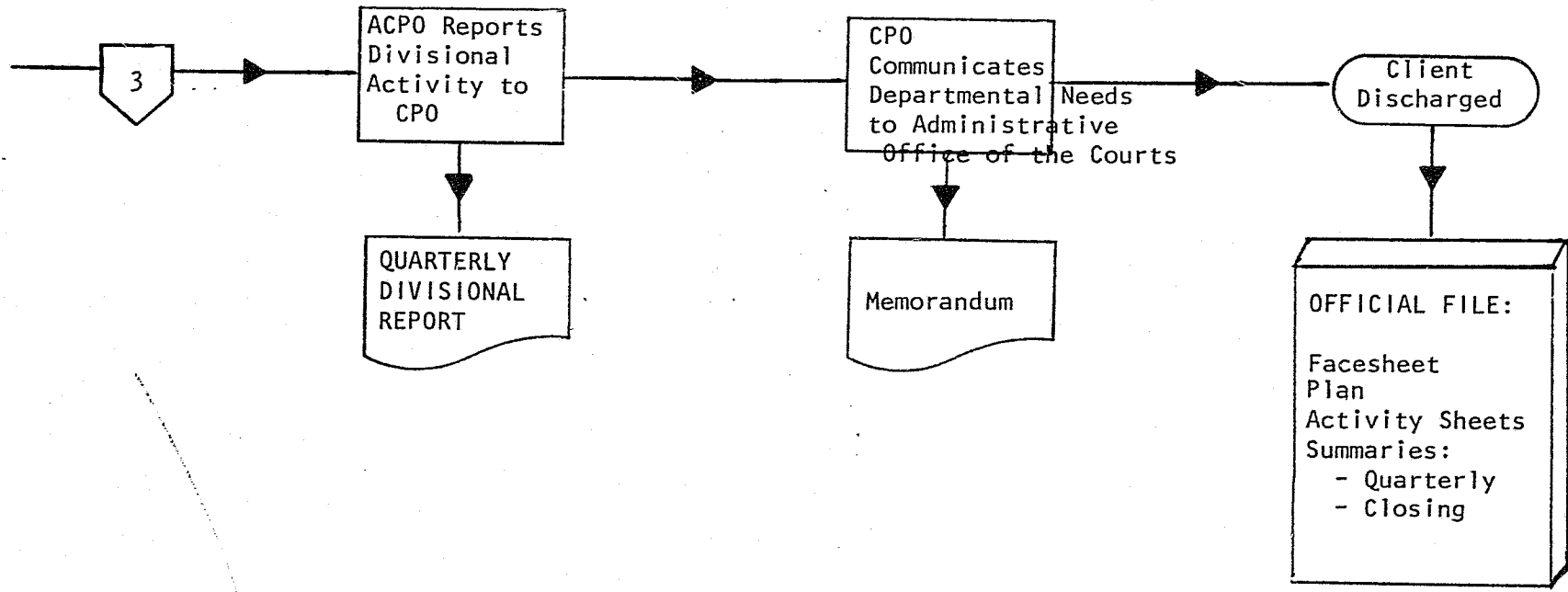
The Divisional Report is submitted to the CPO who then communicates departmental needs to the Administrative Office of the Courts.

FLOWCHART OF THE MODEL  
ADMINISTRATIVE MANAGEMENT SYSTEM











SECTION D

OBJECTIVES

# Administrative Management System

## GENERAL OBJECTIVES

The objectives of the Administrative Management System are divided into three categories: Case Management, Role of the Probation Supervisor, and Administrative Needs.

### Case Management

- To provide a method for determining client needs;
- To provide a planning procedure that will focus treatment on identified client needs;
- To provide a method of specifying treatment objectives for clients by utilizing the combined resources of officers and their supervisors;
- To provide a standard method of documenting case activity;
- To provide a system of accountability based on the progress of clients toward achievement of specified goals.

### Role of the Probation Supervisor

- To encourage the Principle Probation Officer II to participate with officers in the planning of client treatment objectives;
- To encourage the Principle Probation Officer II to monitor the activity and performance of his officers as well as monitor the activity and progress of each officer's caseload;
- To emphasize the teaching and consultative responsibilities of the Principle Probation Officer II;
- To coordinate multi-officer activity in relation to specific needs;
- To provide a feedback mechanism for Principle Probation Officers II to inform administrators of their divisional activity.

### Administrative Needs

- To provide administration with quantitative information concerning the activity of the officers in the department;
- To provide administration with summary data on the progress each officer experiences with his caseload;
- To provide administration with summary data on departmental progress in achieving specified objectives on a divisional basis;
- To provide administration with a mechanism that will indicate programmatic needs.

SECTION E

PRESENTATION OF SYSTEM COMPONENTS

## PPO II FILE CARD

### DESCRIPTION:

A 3x5 File Card, maintained by the PPO II, which will serve as an alphabetical listing of all probationers under supervision.

### OBJECTIVE:

- 1) To maintain a complete listing of all probationers under supervision in alphabetical order.
- 2) A central identification index to be used by the PPO II to provide descriptive information and a brief outline of treatment objectives for every probationer in his division.

### PREPARED BY:

PPO II

### WHEN:

At the time a case is assigned to an officer.

### HOW:

When a case is assigned to an officer, the PPO II fills out the descriptive information on the card. When the case plan is developed, the PPO II records a brief summary of the plan on the card.

Color coded file signals could be used to indicate the changes in the probationer status. For example all violations could be color coded green, etc.

### SUBMITTED TO:

Maintained in a 3x5 file box by the PPO II.

PPO II FILE CARD

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

OFFICER \_\_\_\_\_

OFFENSE \_\_\_\_\_

DATE PLACED ON PROBATION \_\_\_\_\_ TERM \_\_\_\_\_

BRIEF SUMMARY OF TREATMENT OBJECTIVES:

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## FACESHEET

There are separate Facesheets for juveniles and adults.

### DESCRIPTION:

Central repository of pertinent client information.

### OBJECTIVE:

- 1) To indicate status of probationer concerning family; employment; resources; and legal factors;
- 2) To indicate where probationers can be located and to give addresses for those places they frequently contact;
- 3) To indicate with whom probationer associates.

### PREPARED BY:

Probation Officer

### WHEN:

Initiates upon assignment of a case.

Completed within one month.

### HOW:

Officer prepares the Facesheet as early in the probationer's term as possible. Most information will be readily available in related case material, other points may have to be ascertained by personal contact.

### SUBMITTED TO:

Submitted to PPO II prior to Planning Case supervision objectives.

Retained in officer's individual case file folder.

FACESHEET

ADULT

PERSONAL

Name \_\_\_\_\_ DOB \_\_\_\_\_ Sex \_\_\_\_\_  
Address \_\_\_\_\_ Telephone No. \_\_\_\_\_  
Outstanding Physical Traits \_\_\_\_\_

FAMILY

Spouse \_\_\_\_\_ Employment \_\_\_\_\_  
Address \_\_\_\_\_ Address \_\_\_\_\_  
Telephone No. \_\_\_\_\_ Telephone No. \_\_\_\_\_  
Children:  
Name \_\_\_\_\_ Address \_\_\_\_\_ Age \_\_\_\_\_  
Name \_\_\_\_\_ Address \_\_\_\_\_ Age \_\_\_\_\_  
Name \_\_\_\_\_ Address \_\_\_\_\_ Age \_\_\_\_\_  
Name \_\_\_\_\_ Address \_\_\_\_\_ Age \_\_\_\_\_

EMPLOYMENT

\_\_\_\_\_ Supervisor \_\_\_\_\_  
Address \_\_\_\_\_ Telephone No. \_\_\_\_\_  
Telephone No. \_\_\_\_\_

SCHOOL

Address \_\_\_\_\_ Telephone No. \_\_\_\_\_

LEGAL

Offense \_\_\_\_\_ Prior Record \_\_\_\_\_  
Court Date \_\_\_\_\_  
Judge \_\_\_\_\_  
Term \_\_\_\_\_  
Expected Termination Date \_\_\_\_\_  
S.S. Number \_\_\_\_\_ F.B.I. Number \_\_\_\_\_  
S.B.I. Number \_\_\_\_\_

MENTAL AND PHYSICAL FACTORS

Physician \_\_\_\_\_ Telephone No. \_\_\_\_\_

Use of Intoxicants \_\_\_\_\_

Significant Mental and Physical Characteristics \_\_\_\_\_

RESOURCES

Involvement in Special Programs:

1 \_\_\_\_\_ Supervisor \_\_\_\_\_ Telephone No. \_\_\_\_\_

2 \_\_\_\_\_ Supervisor \_\_\_\_\_ Telephone No. \_\_\_\_\_

3 \_\_\_\_\_ Supervisor \_\_\_\_\_ Telephone No. \_\_\_\_\_

Involvement in Other Social Service Agencies (welfare, individual or group counseling, etc.)

1 \_\_\_\_\_ Worker \_\_\_\_\_ Telephone No. \_\_\_\_\_

2 \_\_\_\_\_ Worker \_\_\_\_\_ Telephone No. \_\_\_\_\_

3 \_\_\_\_\_ Worker \_\_\_\_\_ Telephone No. \_\_\_\_\_

Involvement in Community Services:

1 \_\_\_\_\_

2 \_\_\_\_\_

3 \_\_\_\_\_

Associates:

1 \_\_\_\_\_ Address \_\_\_\_\_

Telephone No. \_\_\_\_\_

2 \_\_\_\_\_ Address \_\_\_\_\_

Telephone No. \_\_\_\_\_



FACESHEET

JUVENILE

PERSONAL

Name \_\_\_\_\_ DOB \_\_\_\_\_ Sex \_\_\_\_\_  
Address \_\_\_\_\_ Telephone No. \_\_\_\_\_  
Outstanding Physical Traits \_\_\_\_\_

FAMILY

Father \_\_\_\_\_ Employment \_\_\_\_\_  
Address \_\_\_\_\_ Address \_\_\_\_\_  
Telephone No. \_\_\_\_\_ Telephone No. \_\_\_\_\_  
Mother \_\_\_\_\_ Employment \_\_\_\_\_  
Address \_\_\_\_\_ Address \_\_\_\_\_  
Telephone No. \_\_\_\_\_ Telephone No. \_\_\_\_\_  
Siblings \_\_\_\_\_ Age \_\_\_\_\_  
\_\_\_\_\_ Age \_\_\_\_\_  
\_\_\_\_\_ Age \_\_\_\_\_  
\_\_\_\_\_ Age \_\_\_\_\_

SCHOOL

\_\_\_\_\_ Counselor \_\_\_\_\_  
Address \_\_\_\_\_ Telephone No. \_\_\_\_\_  
Telephone No. \_\_\_\_\_

EMPLOYMENT

\_\_\_\_\_ Supervisor \_\_\_\_\_  
Address \_\_\_\_\_ Telephone No. \_\_\_\_\_  
\_\_\_\_\_ Hours Worked Per Week \_\_\_\_\_  
Telephone No. \_\_\_\_\_ Wages \_\_\_\_\_

LEGAL

Offense \_\_\_\_\_ Prior Record \_\_\_\_\_  
Court Date \_\_\_\_\_  
Judge \_\_\_\_\_  
Term \_\_\_\_\_  
Expected Termination Date \_\_\_\_\_  
S.S. Number \_\_\_\_\_

CALENDAR: Formal \_\_\_\_\_ Informal \_\_\_\_\_  
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MENTAL AND PHYSICAL FACTORS

Physician \_\_\_\_\_ Telephone No. \_\_\_\_\_

Use of Intoxicants \_\_\_\_\_

Significant Mental and Physical Characteristics \_\_\_\_\_

RESOURCES

Involvement in Special Programs:

1 \_\_\_\_\_ Supervisor \_\_\_\_\_ Telephone No. \_\_\_\_\_

2 \_\_\_\_\_ Supervisor \_\_\_\_\_ Telephone No. \_\_\_\_\_

3 \_\_\_\_\_ Supervisor \_\_\_\_\_ Telephone No. \_\_\_\_\_

Involvement in Other Social Service Agencies (welfare, individual or group counseling, etc.)

1 \_\_\_\_\_ Worker \_\_\_\_\_ Telephone No. \_\_\_\_\_

2 \_\_\_\_\_ Worker \_\_\_\_\_ Telephone No. \_\_\_\_\_

3 \_\_\_\_\_ Worker \_\_\_\_\_ Telephone No. \_\_\_\_\_

Placement in Residential Center \_\_\_\_\_

Supervisor \_\_\_\_\_ Telephone No. \_\_\_\_\_

Involvement in Community Services:

1 \_\_\_\_\_

2 \_\_\_\_\_

3 \_\_\_\_\_

Peer Associates:

1 \_\_\_\_\_ Address \_\_\_\_\_

Telephone No. \_\_\_\_\_

2 \_\_\_\_\_ Address \_\_\_\_\_

Telephone No. \_\_\_\_\_

3 \_\_\_\_\_ Address \_\_\_\_\_

Telephone No. \_\_\_\_\_

## CLIENT EVALUATION INVENTORY

### DESCRIPTION:

Checklist of factors that may enhance or impede probationer's social adjustment.

### OBJECTIVE:

- 1) To indicate that a thorough investigation of the client's needs has been completed.
- 2) To record the probationer's positive and negative attributes as they relate to his adjustment.
- 3) To indicate the client's needs that should be the focus of treatment.
- 4) Provide transfer officers with valuable client information.
- 5) Provide comparison of the officer's evaluation with the client's self evaluation.

### PREPARED BY:

One each by officer and client.

### WHEN:

After initial interview and one home contact have been made but to be completed prior to the one month case conference.

### HOW:

On the basis of officer's observations and impressions. Each item should be checked off as it relates to the client's adjustment. The items should be checked as follows:

- POSITIVE: a factor that will or could exert a positive influence on the outcome of the case.
- NEUTRAL: a factor that is not important, non-existent, or inappropriate to the case.
- NEGATIVE: a factor that is considered disadvantageous in terms of client adjustment.

### SUBMITTED TO:

Submitted to PPO II prior to planning case plan.

Retained in officer's individual case file folder.

# CLIENT EVALUATION INVENTORY

PROBATIONER \_\_\_\_\_

OFFICER \_\_\_\_\_

OFFENSE \_\_\_\_\_

DATE \_\_\_\_\_

**A. PERSONAL FACTORS**

- 1) Intelligence
- 2) Appearance
- 3) Physical Health
- 4) Mental Health
- 5) Attitude (Initial Interview)
- 6) Acceptance of Responsibility
- 7) Response to Authority
- 8) Response to PO
- 9) Use of Leisure Time

	POSITIVE	NEUTRAL	NEGATIVE

**B. FAMILY/MARITAL FACTORS**

- 1) Attitude of Mother
- 2) Attitude of Father
- 3) Attitude of Spouse
- 4) Relationship with Mother
- 5) Relationship with Father
- 6) Relationship with Spouse
- 7) Relationship with Children
- 8) Marital History of Parents (Client)
- 9) Present Marital Status
- 10) Family Criminal History
- 11) Family Control (discipline)
- 12) Living Arrangement
- 13) Emotional Climate of Home


**C. EDUCATIONAL/ECONOMIC FACTORS**

- 1) Educational History
- 2) Educational Status
- 3) School Adjustment
- 4) Employment History

	POSITIVE	NEUTRAL	NEGATIVE

**D. COMMUNITY/SOCIAL FACTORS**

- 1) Residential Area
- 2) Associations
- 3) Peers
- 4) Relationship with Police
- 5) Religious Activity
- 6) Community Activity
- 7) Other Agency Involvement


**E. CRIME/DELINQUENCY FACTORS**

- 1) Prior Record
- 2) Previous Performance on Probation
- 3) Use of Alcohol
- 4) Use of Narcotics
- 5) Use of Aliases
- 6) Gang Involvement


**F. OTHER FACTORS (Please specify)**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_


**Explanation of Categories**

- POSITIVE:** A factor that will or could exert a positive influence on the client's adjustment.
- NEUTRAL:** A factor that is inappropriate to the case.
- NEGATIVE:** A factor that is disadvantageous in terms of the client's adjustment.

## CASE SUPERVISION PLAN

### DESCRIPTION:

A specification and recording of treatment objectives for probationers.

### OBJECTIVE:

- 1) To record and prioritize client needs;
- 2) To encourage officers to specify treatment objectives for each probationer;
- 3) To encourage PPO participating in the planning of treatment objectives;
- 4) To establish a time frame for achieving goals.

### PREPARED BY:

The Case Supervision Plan will be completed by the officer with PPO II participation.

### WHEN:

The Supervision Plan is updated after every Case Conference. The officer should have reviewed all file material, prepared a Client Evaluation Inventory and had one prepared by the probationer, and should have conducted at least one personal contact and one home visit.

### HOW:

The Principal Probation Officer and the Probation Officer discuss each client's treatment objectives during case conferences which are scheduled for one third of the officer's caseload every month. The activity and progress of each case will therefore be reviewed by the PPO and PO on a quarterly basis. The treatment plan and objectives for each client will also be reviewed and assessed at this time.

The purpose of the case conference is to develop a strategy that will focus on the treatment of client needs. That strategy will be specified on the Case Supervision Plan.

### SUBMITTED TO:

Retained in officer's individual case file folder.

# CASE SUPERVISION PLAN

PROBATIONER \_\_\_\_\_ OFFICER \_\_\_\_\_  
OFFENSE \_\_\_\_\_ DATE \_\_\_\_\_  
TERM \_\_\_\_\_ TERMINATION DATE \_\_\_\_\_

Need (ranked order)	Objective	Target Date	Completion Date
1.			
2.			
3.			
4.			
5.			

## PLANNING SCHEDULE

### DESCRIPTION:

The Planning Schedule is used by the PPO to record the completion of case conferences for each officer's caseload on a monthly basis. It also serves as a checklist to indicate each probationer's status.

The Planning Schedule maintains an annual record of planning activities for probationers in each officer's caseload.

### OBJECTIVE:

- 1) To assure that case conferences are rotated in such a way that every probationer is the subject of a case conference every three months.
- 2) To provide the PPO with an instrument to record the current status of each probationer.

### PREPARED BY:

Principal Probation Officer II

### WHEN:

As case conferences are scheduled.

### HOW:

Every month the officers submit a list of 1/3 of their caseload to the PPO one week before their scheduled case conference day.

The PPO enters this listing on the Planning Schedule. When the case conferences are completed, the PPO II so indicates by using the appropriate symbol.

As other relevant information is discussed in case conferences, the PPO uses the appropriate symbol to describe each occurrence.

### SUBMITTED TO:

Retained by PPO.

# PLANNING SCHEDULE

OFFICER: \_\_\_\_\_ CASELOAD: \_\_\_\_\_

PPO II: \_\_\_\_\_ YEAR: \_\_\_\_\_

	<u>Probationer</u>	<u>Month</u>											
		J	F	M	A	M	Je	Jy	A	S	O	N	D
1.													
2.													
3.													
4.													
5.													
6.													
7.													
8.													
9.													
10.													
11.													
12.													
13.													
14.													
15.													
16.													
17.													
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26.													
27.													
28.													
29.													
30.													
31.													
32.													
33.													
34.													
35.													

Description of Symbols:

- C: Indicates that a case conference is scheduled.
- A: Indicates that probationer has absconded.
- V: Indicates a violation of probation is planned.
- R: Indicates plan to restore probationer to supervision.
- D: Indicates plan to discharge probationer.
- /: Indicates the completion of any planned activity. If plan is fulfilled during projected month, this symbol is superimposed over the planned symbol.



## SUMMARY OF CLIENT PROGRESS

### DESCRIPTION:

This report summarizes the progress of each officer's caseload toward the achievement of treatment objectives.

### OBJECTIVE:

- 1) To emphasize the importance of planning and specifying treatment objectives for clients;
- 2) To encourage the PPO to conduct regular case conferences with his officers;
- 3) To provide an agenda for case conferences;
- 4) To keep the PPO aware of his officers' success with clients;
- 5) To indicate specific areas of client need that are not being addressed by probation services. For example, if there is a high frequency of failure to achieve goals that relate to Employment, the indication would be that specific employment programs are needed.
- 6) To allocate some of the responsibility for client progress to the PPO;
- 7) To provide the ACPO with data concerning the services rendered by the department.

### PREPARED BY:

PPO II prepared this using the Case Supervision Plan, the Activity Sheets that have accumulated, and the case conference with the officer.

### WHEN:

This report will be completed monthly. A separate report will be prepared for each officer, but only one-third of each officer's caseload will be considered each month.

### HOW:

Eight adjustment variables are listed in the left column. To complete this form, the PPO translates the information gained from case conferences into the categories listed on the form. Using the Case Supervision Plan, the Activity Sheets, and by interviewing the officer, the PPO must determine if projected treatment objectives have been achieved or not.

SUBMITTED TO:

ACPO who reviews the Monthly Summary of Client Progress for each officer and then prepared the Quarterly Divisional Report for the Chief.

## SUMMARY OF CLIENT PROGRESS

PPO 11 \_\_\_\_\_ QUARTER \_\_\_\_\_  
 OFFICER \_\_\_\_\_ ACTIVE CASELOAD \_\_\_\_\_  
 DATE \_\_\_\_\_ NUMBER OF CASES DISCUSSED \_\_\_\_\_  
 DURING THIS CONFERENCE \_\_\_\_\_

	ACHIEVED OBJECTIVES	CURRENTLY ATTEMPTING TO ACHIEVE	UNABLE TO ACHIEVE OBJECTIVES
<u>Adjustment Variables</u>			
1) Employment			
2) Education/Training			
3) Family/Marital			
4) Financial			
5) Living Arrangement			
6) Use of Leisure Time			
7) Narcotics/Alcohol			
8) Community Involvement			
9) Other			

Violations \_\_\_\_\_

Absconders \_\_\_\_\_

Comments

NOTE: The columns refer to the number of objectives that have or have not been achieved during this quarter, NOT the number of clients who have achieved objectives.

## QUARTERLY DIVISIONAL REPORT

### DESCRIPTION:

This report summarizes the Summary of Client Progress Reports on a divisional basis.

### OBJECTIVE:

- 1) To provide the CPO with an overview of the Department's ability to achieve projected client objectives.
- 2) To keep the ACPO aware of the activities of the Divisions within the Department.
- 3) To indicate an overall assessment of the problem areas faced by probationers that can and cannot be addressed by probation services.
- 4) To indicate Departmental program needs.

### PREPARED BY:

ACPO

### WHEN:

Quarterly

### HOW:

By summarizing the information on the Monthly Summary of Client Progress.

### SUBMITTED TO:

CPO

# QUARTERLY DIVISIONAL REPORT

DIVISION \_\_\_\_\_

QUARTER \_\_\_\_\_

TOTAL CASELOAD \_\_\_\_\_

	ACHIEVED OBJECTIVES	CURRENTLY ATTEMPTING TO ACHIEVE	UNABLE TO ACHIEVE OBJECTIVES
<u>Adjustment Variables</u>			
1) Employment			
2) Education/Training			
3) Family/Marital			
4) Financial			
5) Living Arrangement			
6) Use of Leisure Time			
7) Narcotics/Alcohol			
8) Community Involvement			
9) Other			

Violations \_\_\_\_\_

Absconders \_\_\_\_\_

Comments

NOTE: The columns refer to the number of objectives that have or have not been achieved during this quarter, NOT the number of clients who have achieved objectives.

## ACTIVITY SHEET

### DESCRIPTION:

The accountability component of the Administrative Management System.

### OBJECTIVE:

- 1) To record officer activity on a case related basis;
- 2) To record details of significant case events;
- 3) To provide the Principal Probation Officer with case related information to be used during case conferences with his officers;
- 4) To maintain an ongoing record of client/officer interaction.

### PREPARED BY:

Probation Officer

### WHEN:

As the activity occurs.

### HOW:

After every personal contact (field or office) as well as after every event from which the officer develops an indication of client progress or regression.

This sheet should be completed for activity such as court attendance, PSI work, and case conferences. It should also be completed whenever a phone call or a letter reveals some significant event in the client's status.

### SUBMITTED TO:

Officer submits this form to the PPO on a daily basis. The PPO returns the sheets to the officer after he reviews them and records the information on them.

Activity Sheets are maintained in the officer's file folder for each case.

## ACTIVITY SHEET

Guideline: This sheet should be filled out every time a personal contact is made (office or field), as well as every time a significant event in the probationer's adjustment occurs. An Activity Sheet should be completed for every event that indicates client progress or regression.

OFFICER \_\_\_\_\_

DATE OF ACTIVITY \_\_\_\_\_

PROBATIONER \_\_\_\_\_

TIME \_\_\_\_\_

ACTIVITY

DURATION OF ACTIVITY: (in minutes) \_\_\_\_\_

DESCRIPTION:

IMPLICATION FOR FURTHER CONTACT

OVERALL EVALUATION AND GENERAL ADJUSTMENT

## MONTHLY ACTIVITY SUMMARY

### DESCRIPTION:

This form accounts for the quantity of officer activity on a daily basis.

### OBJECTIVE:

- 1) To assure that the PPO is aware of the activity his officers perform, that is, how many field contacts are made, how much time is spent in court, etc.
- 2) To serve the accountability needs of the administration.

### PREPARED BY:

PPO II completes this form from the information on the Activity Sheets prepared daily by the officers.

### WHEN:

Monthly

### HOW:

The PPO II collects the Activity Sheets from his officers and records the information pertaining to their activity on this form daily.

### SUBMITTED TO:

This form is submitted to the ACPO who reviews the activity of each officer for the month. This gives him a clear picture of the amount of work being performed and will indicate areas, like field contacts, that need improvement.



# MONTHLY ACTIVITY SUMMARY

PPO II \_\_\_\_\_ MONTH OF \_\_\_\_\_

OFFICER \_\_\_\_\_ CASELOAD \_\_\_\_\_

DAY	NUMBER				TIME (in minutes)						
	FIELD CONTACTS	COLLATERAL CONTACTS	OFFICE CONTACTS	TOTAL CONTACTS	OTHER CASE RELATED ACTIVITY	CORRESPONDENCE	CASE CONFERENCES	COURT	PSI	TIME OFF	OTHER
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
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26											
27											
28											
29											
30											
31											
TOTAL											

## DIVISIONAL SUMMARY OF OFFICER ACTIVITY

### DESCRIPTION:

A summary report of monthly officer activity on a divisional basis.

### OBJECTIVE:

- 1) To complete the information cycle from the Principal Probation Officer to the Chief;
- 2) To provide top administrators with a full accounting of officer activity.

### PREPARED BY:

ACPO

### WHEN:

Monthly

### HOW:

By summarizing the information in the Monthly Activity Summaries that have been submitted to the ACPO by the Principal Probation Officers.

### SUBMITTED TO:

Chief Probation Officer.

A narrative report by the ACPO noting observations and comments relating to this Summary would also be appropriate.



SECTION F

INSTRUCTIONAL MATERIAL

# ADMINISTRATIVE MANAGEMENT SYSTEM

## OPERATING PROCEDURE

<u>Responsibility</u>	<u>Procedure</u>	<u>Time Assigned</u>
Principal Probation Officer II	1. Completes factual information on 3 x 5 file card.	Upon assigning a case to probation officer
Probation Officer	2. Initiates Case File Folder	Upon assignment of case
	3. Familiarizes self with case; reads all related case material.	
	4. Prepares Facesheet, retains same in Case File Folder.	During first month of probationer's term
	5. Prepares Activity Sheets for all personal contact and other significant events.	On continual basis as activity occurs
	b. Forwards Activity Sheets to PPO II.	Daily
PPO II	c. Reviews Activity Sheets and records information on Monthly Activity Summary.	Daily
	d. Returns Activity Sheets to officers for retention in Case File Folders.	Daily
	e. Forwards Monthly Activity Summary to Assistant Chief PO (retains one copy for own reference).	End of each month

ACPO	f. Analyzes Monthly Activity Summary.	Monthly
	g. Submits Divisional Summary of Officer Activity to CPO.	Monthly
CPO	h. Analyzes the ACPO's report and files for reference.	Monthly
Probation Officer	6. Develops Client Evaluation Inventory and has probationer complete self evaluation. Both to be retained in Case File Folder.	During first month of probationer's term
	7. Determines client needs on basis of Client Evaluation Inventories.	Prior to initial Case Conference with PPO II
	8. Submits list of cases for conference to PPO II.	One week prior to Case Conference date.
PPO II	9. Reviews list of cases for conference and prepares Planning Schedule.	As lists are received
	10. Collects Case File Folders for those cases scheduled for conference.	
	11. Reviews all case related material.	
	12. Conducts Case Conference with PO.	Monthly: 1/3 of each officers caseload per month
	13. Updates or modifies 3 x 5 file card.	

- |                                 |   |                                  |
|---------------------------------|---|----------------------------------|
| Probation Officer<br>and PPO II | 14. Jointly prepare Case Supervision  | During Case Conference           |
| PPO II                          | 15. Submits Summary of Client Progress<br>to the ACPO.  | After monthly Case<br>Conference |
| ACPO                            | 16. Analyzes all Summary of Client<br>Progress forms and summarizes<br>same on Quarterly Divisional<br>Report.                                  | Monthly                          |
|                                 | 17. Submits Quarterly Divisional<br>Reports to CPO.   | Quarterly                        |
| CPO                             | 18. Analyzes Quarterly Divisional<br>Report and pursues administrative<br>action as required.   | Quarterly                        |
|                                 | 19. Feedback through chain of command<br>any administrative action taken<br>and the results of such action.                                     | Continual                        |
|                                 | 20. Communicates departmental needs<br>to the staff of Probation Research<br>and Development and to the<br>Administrative Office of the Courts. | Periodically                     |

# ADMINISTRATIVE MANAGEMENT SYSTEM

## SYSTEM COMPONENTS

<u>Component</u>	<u>Procedure</u>
3 x 5 File Card	1. PPO II completes factual part of 3 x 5 card upon receiving case for supervision. The card is updated after each case conference.
Case File Folder	2. Officer initiates Case File Folder upon assignment of case to retain all case related material.
Facesheet	3. Officer initiates the Facesheet as soon as he is assigned to a case.
Client Evaluation Inventory	4. Officer prepares Client Evaluation Inventory in time for initial case conference. 5. Officer has client self evaluation completed in time for initial case conference. Both copies of the C.E.I. are retained in the File Folder.
Case Supervision Plan	6. PPO II and Officer determine client needs and specify treatment objectives to address those needs. The Case Plan is maintained in the Case File Folder.
Case Conferences	7. Scheduled between PPO II and Officer once a month on 1/3 of each officer's caseload. PPO II assigns one morning a month to each officer to discuss activity of cases. The Case Supervision Plan is developed during Case Conferences.



- Planning Schedule
8. Prepared and maintained by PPO II on a yearly basis. Planning Schedules are completed and retained by PPO II.
- Summary of Client Progress
9. Completed by PPO II to reflect the activity of each officer's caseload. One Summary is prepared after each case conference. Each Summary will reflect the activity of 1/3 of an officer's caseload.
10. PPO II submits Summaries to ACPO as they are completed.
- Quarterly Divisional Report
11. ACPO analyzes the data on the Summaries and prepares the Quarterly Divisional Report.
12. ACPO submits a memorandum to the CPO discussing the Quarterly Divisional Report.
13. CPO feeds back to personnel any administrative action taken as a result of data in Quarterly Divisional Reports.
- Activity Sheet
14. Officer prepares Activity Sheets to record events during term of supervision.
15. Officer submits Activity Sheets to PPO II on a daily basis.
16. PPO II reviews and initials sheets and returns them to officers on a daily basis.
17. Activity Sheets are retained in Case File Folder.

Monthly Activity  
Summary

18. PPO II submits Monthly Activity  
Summaries to ACPO

Divisional Summary  
of Officer Activity

19. ACPO analyzes the Monthly Summaries  
and submits the Divisional Summary  
of officer activity, along with a  
narrative report on comment and  
observation, to the CPO.

20. CPO feeds back through chain  
of command any administrative  
action or policy changes  
that may result from reviewing  
summary.

**END**

7 ables/more