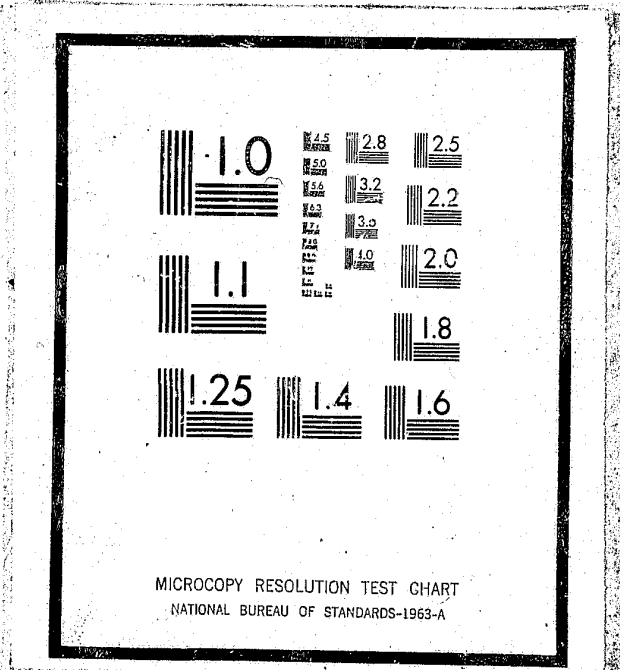


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Date filmed 6/2/76

71DF-959

OKLAHOMA IMPROVED AND EXPANDED PROBATION AND PAROLE SERVICES.

RESEARCH REPORT #5

71DF-959

Prepared as an Evaluation of  
Oklahoma Crime Commission Grant 70-45-052  
From August 1971 through December 1972.

LEO E. MCCrackEN, DIRECTOR

PREPARED BY

PLANNING AND RESEARCH DIVISION  
OKLAHOMA DEPARTMENT OF CORRECTIONS

Received  
Region 6 - LEAA  
Dept. of Justice

JAN 31 1974  
AM 7 8 9 10 11 12 1 2 3 4 5 6 PM

APRIL, 1973

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Prior to the passage of the 1967 Oklahoma Corrections Act, parole supervision and probation supervision were separate governmental functions. A single Pardon and Parole Officer and thirteen Assistant Officers were responsible for the supervision of all Oklahoma parolees. Probation services at that time were provided on the county level and, usually, as a subsidiary function of the individual Court of jurisdiction.

The 1967 Corrections Act provided the structural base necessary to combine these functions into a single Division of Probation and Parole within the newly-created Oklahoma Department of Corrections, which began operation on July 1, 1967.

The following research report was undertaken by the Planning and Research Division of the Oklahoma Department of Corrections, in part, to serve as an evaluation of the Oklahoma Crime Commission Grant 70-df-959, titled IMPROVED AND EXPANDED PROBATION AND PAROLE SERVICES. This Grant began expending funds in August, 1971, and terminated at the end of December, 1972. Oklahoma Crime Commission Grant 72-f-11, also titled IMPROVED AND EXPANDED PROBATION AND PAROLE SERVICES, is a continuation of Grant 70-df-959 and currently in operation within the Division of Probation and Parole.

#### I. GRANT REQUIREMENTS

Since July 1, 1967, the Oklahoma Department of Correction's Division of Probation and Parole has experienced a tremendous and on-going growth in the size of its state caseload and, consequently, its responsibilities. Because of this overwhelming rate of growth, in addition to numerous other factors, many of the goals and requirements of Grant 70-df-959 have proven, retrospectively, to be unrealistic and/or unfeasible at this point in time.

Specific objectives of this project include:

- A. Reduce adult probation and parole caseloads during FY 72 to approximately 90 units per Officer, with a long-range goal of 50.
- B. Expand the use of pre-sentence investigations and reports to a minimum of 50 percent of all felony offenses, and improve the usefulness of pre-sentence workups.
- C. Encourage the use of probation, with improved supervision and services, as an alternative to commitment to the state prisons. A 25 percent increase in the use of probation is projected as a goal for FY 72.
- D. Determine manpower needs and develop a comprehensive plan for an expanded use of probation in the area of misdemeanor offenses.

It is expected that significant expenditures will be made in ensuing years from bloc grant funds and legislative appropriations. However, this program is expected to provide a foundation and rationale for future efforts in this area.

It is important to note that while the goals of the project are to reduce caseloads and expand the use of alternatives to incarceration, an overriding objective persists: to more effectively control crime through the use of enlightened corrections. Therefore, implicit in the above mentioned goals is that of developing more successful treatment methods. Reducing caseloads implies a search for better results in probation and parole supervision, and expanded use of alternatives to incarceration implies an effort to develop better ways to treat offenders than that which traditional jails and prisons offer.

#### IMPLEMENTATION

The implementation of this project will result in the recruitment, training, and placement of 20 professional Probation and Parole Officers and eight subprofessional Aides. At current levels, caseloads will be reduced from over 140 to 90. Such a reduction will allow more intensive supervision and provision of better services. The 423 probation and parole violations occurring in FY 71 are expected to be lowered by at least 50 percent and general recidivism rates are projected to be reduced by 20 percent in FY 72.

Pre-sentence investigations are projected to be used in 50 percent of all felony cases in FY 72 and 75 percent in the following year. The increased use of pre-sentence investigations together with lower caseloads and improved supervision will encourage a greater use of probation as an

alternative to incarceration. If the estimated 25 percent increase in the use of probation is achieved, at least 500 offenders will be diverted from the institutions for community treatment during FY 72. This will result in considerable savings, both in terms of dollars and human resources.

The development of data and a comprehensive plan for enlarging probation as an alternative to incarceration at the misdemeanor level is also part of this project. While hard projections of results are difficult, it is expected that recommendations and supportive documentation will make a strong case for bloc grant funding and legislative appropriations for improvements in this area. A preliminary goal of increasing the use of misdemeanor probation to at least the extent now used at the felony level would reduce jail populations by approximately 40 percent in the sentenced offender category. If this were in effect currently, about 69,000 misdemeanants would be diverted from the jails.

The project objectives of reduced probation and parole caseloads, expanded use of pre-sentence workups and probation, and the development of a program for misdemeanor probation services will be achieved through a combination of increased manpower resources and improved systems, techniques, training and liaison with other elements of the criminal justice system. Both aspects of the project will run concurrently.

Upon receipt of the grant award, the Oklahoma Department of Corrections will begin recruitment of 20 Probation and Parole Officers and eight subprofessional Aides. The standards will be based on the Manual of Corrections Standards issued by the American Correctional Association. Preference will be given to Probation and Parole Officer candidates with a degree from an accredited college or university with a major in the social or behavioral sciences and either one year of graduate study in social work or the behavioral sciences or one year full-time paid social work experience under professional supervision. Subprofessional Aide Candidates will be preferred who have a bachelor's degree in behavioral sciences. However, all candidates will be subject to the Oklahoma Merit System.

The Deputy Director, Division of Probation and Parole, will supervise recruitment which is expected to require several months. Upon completion of recruitment, the Probation and Parole Officers and subprofessional Aides will undergo a basic training course of 120 hours in contemporary corrections theory with particular emphasis on supervision of probationers and parolees and pre-sentence investigation and reporting. The training methods developed under programs 70-f-2 and 70-f-3 of the 1970 State Plan will be utilized. Following basic training, the new personnel

will be assigned to the five probation and parole districts of the Division of Probation and Parole. The majority of Officers and Aides will be assigned to district offices serving the metropolitan areas where there are the largest workloads and highest incidence of criminal activity.

Case assignments will be made, with no Officer supervising more than 90 units, including pre-sentence investigations. Methods of assignment developed under program 70-f-3 will be used. Subprofessional Aides will assist Probation and Parole Officers and will perform duties requiring less skills, including routine supervision of less difficult cases. A Project Coordinator, working directly under the Deputy Director, Division of Probation and Parole, will coordinate the operations of the five district offices and supervise records keeping and the collection and tabulation of relevant data. The Deputy Director will supervise the development of alternative methods in caseload assignments and improved probation and parole organizational structures.

Continuing liaison will be maintained with the Oklahoma Court Administrator, in an effort to develop expanded use of pre-sentence workups and probation as an alternative to incarceration. A systematic reporting system will be developed to reflect statewide success rates of probation and parole, to be made available to the courts and other interested components of the Criminal Justice System. An annual compilation will be made to assist the Department of Corrections, the Oklahoma Crime Commission, and the state legislature in corrections planning and funding.

A special committee under the direction of the Deputy Director will be organized to direct a study of manpower needs to effectively expand pre-sentence investigation and probation supervision to misdemeanor offenders. This study will run concurrently with the other aspects of the program of probation and parole improvement. Emphasis will be on the young offender, but will include all misdemeanants in the final analysis. Each district will supervise a representative sample of misdemeanor probationers and provide relevant data for use in the study. At the end of the project period, a final report will be made to the Director of the Department of Corrections and the Oklahoma Crime Commission.

#### WORK SCHEDULE

##### PHASE I - PROJECT INITIATION

Prepare job descriptions, qualifications, notices, and other recruitment aids; meet State Personnel Board and State Employment Service requirements; hire personnel; develop

alternative programs and approaches, including detailed project design. The following tasks will be performed during phase I:

##### Task A - Personnel Assignment and Orientation

1. Notify administrative and clerical personnel of assignment to project and orient to:
  - a. Duties
  - b. Length of project
  - c. Scope of project
2. Design detailed work schedule to project personnel and consultants, specifying:
  - a. Project planning and control methods
  - b. Work assignments for project participants
  - c. Timetable for all work assignments

##### Task B - Recruit Personnel

1. Develop written job descriptions, including:
  - a. Requirements and qualifications
  - b. Duties and responsibilities
2. Clear requirements with State Personnel Board and State Employment Services.
3. Advertise for personnel, including:
  - a. Probation and Parole Officers
  - b. District Coordinator
  - c. Subprofessional Aides
  - d. Clerical personnel
4. Hire personnel and orient to project.

##### Task C - Develop Training Program

1. Identify training needs.
2. Develop Probation and Parole Officer/subprofessional Aide training curriculum.
3. Incorporate training methods developed in special probation and parole project (70-f-3).
4. Stress pre-sentence investigation methods and techniques and probation case supervision.

##### Task D - Select Study Committee and Orient to Project

1. Prepare written and oral orientation to:
  - a. Familiarize Committee with nature and objectives of study.
  - b. Define working relationships and procedures of Committee, project personnel and consultants.
  - c. Describe evaluation, data collection, and tabulation techniques and methodology.
  - d. Design detailed work schedule to project personnel and consultants.
2. Transmit written orientation and brief Committee.

PHASE II - PROJECT DEVELOPMENT

Task A - Train Probation and Parole Officers/  
Subprofessional Aides

1. Implement training developed under Task C, Phase I, above.
2. Provide 120 hours basic training to personnel.

Task B - Assign Officers and Aides, Develop Caseloads

1. Assign Officers and Aides to district offices.
2. Develop caseloads; utilizing new methods developed under program 70-f-3, 1970 State Plan.
3. Implement, test alternative methods of caseload assignment.

Task C - Develop Probation and Parole Data

1. Design statistics and data collection system for subsequent evaluation and reporting.
2. Collect, tabulate, report relevant data to:
  - a. Director, Department of Corrections
  - b. Study Committee
  - c. Oklahoma Crime Commission
  - d. Court Administrator
3. Coordinate district office activities and operations, stressing uniform data collection, records keeping.

Task D - Maintain Liaison with Courts and Court Administrator

1. Develop regular meeting schedules for:
  - a. Courts and District Supervisors
  - b. Deputy Director and Court Administrator
2. Provide regular probation reports to courts and Court Administrator.

Task E - Conduct Misdemeanant Probation Supervision Manpower Study

1. Collect, tabulate and evaluate data collected from municipal and district courts.
2. Determine current and projected misdemeanor probation supervision manpower needs, costs and available resources.
3. Develop alternative programs for meeting existing and projected needs.
4. Prepare written report and present to:
  - a. Oklahoma Board of Corrections
  - b. Oklahoma Crime Commission

Therefore, in order to provide the reader with some perspective, the complete text of the application for Grant 70-df-959 has been included below in its entirety:

OBJECTIVE

The primary goal of this project is to improve the overall operations and capabilities of the Probation and Parole Division of the Oklahoma Department of Corrections, and to bring it more closely in line with recognized national standards.

By statute, the Department of Corrections, Division of Probation and Parole, is responsible for supervision of all adult probation and parole cases, both felons or misdemeanants. Pre-sentence investigations and reports are also the responsibility of the Division when requested by the Court. In October, 1970, 53 Probation and Parole Officers supervised a total of 6,667 probation and parole cases for an average caseload of 126, not including an estimated 1,100 pre-sentence investigations. As of April 30, 1971, caseloads had risen to 140 per officer, and there are indications that the total persons under supervision will continue to increase. The President's Commission of Law Enforcement and Administration of Justice recommends caseloads of 35, and the American Correctional Association recommends caseloads of 50 units. A major need exists for large scale expansion of the probation and parole manpower resources in order to bring caseloads in line with accepted minimum standards.

Other significant problems are evident. In 1970, approximately 3,000 persons were committed to the state's prisons, while approximately 2,100 were placed on probation for felony offenses. Less than 1,000 pre-sentence reports were made to facilitate these dispositions. Courts utilized pre-sentence investigations in only 20 percent of these cases, while 60 percent of the offenders were sent to prison. Although courts are not requesting pre-sentence investigations consistently, the Division of Probation and Parole would be unable to effect them with the available manpower resources even if requested.

The Division is also responsible, by statute, for supervision of misdemeanor probation cases. Commitment of sentenced offenders to jails reached 173,877 in 1970, and only 122 of these were based on written pre-sentence reports. A vastly expanded use of misdemeanor probation supervision is needed.



The maximum benefits of this project, i.e., a successful first step in the continued improvement of the probation and parole services of Oklahoma, will depend to a large extent upon a sound evaluation design. The design outlined below is intended to be an integral part of the overall project and, as such, evaluation will be an ongoing process from the beginning. The evaluation will be under the direct supervision of the Oklahoma Crime Commission, and competent personnel will be assigned to the project.

One of the first tasks of the evaluation team will be to develop a detailed evaluation plan which will be forwarded to the Regional V Office, Law Enforcement Assistance Administration. Upon approval by LEAA, evaluation will be performed according to the following outline.

1. Objectives of Evaluation
  - a. To determine the extent to which the stated goals of the project are being accomplished.
  - b. To determine the need for modification for more effective accomplishment of stated goals.
  - c. To measure cost-effectiveness of selected methods relative to alternates.
2. Methodology
  - a. Develop status history report indicating present situation relative to probation and parole services and related programs within the state - showing manpower operating costs, and other relevant variables.
  - b. Develop schedule indicating periodic progression of work to be accomplished - relate to project work schedule.
  - c. Schedule progress meetings and written progress reports.
  - d. Pre-test program personnel.
  - e. Develop longitudinal studies to measure effect of project on recidivism.

#### SUBGRANT DATA

A single subgrant in the amount of \$250,000 will be awarded to the Oklahoma Department of Corrections.

#### BUDGET

- |   |                 |
|---|-----------------|
| 1. LEAA Discretionary Support Requested                     | \$250,000       |
| 2. State Block Grant Support                                | -0-             |
| 3. State or Local Matching Support                          | 83,400          |
| 4. Other Support (Federal or Private)                       | -0-             |
| 5. Program Total  | 333,400         |
| 6. Applicable Federal/State Contribution Ratio:             |                 |
| 75% Federal   | 25% State/Local |
| 7. Prior Funding for Program (discretionary or block grant) | -0-             |

## II. GRANT ACHIEVEMENTS

Grant 70-df-959 stipulates that evaluation "be an integral part of the overall project and, as such, evaluation will be an ongoing process from the beginning." To a limited extent, this was accomplished: some revisions were made in the method of collecting routine data feedback on the Division of Probation and Parole's activities, and ongoing narrative Progress Reports were submitted to the Oklahoma Crime Commission by Grant personnel.

For the most part, however, the following evaluation design was developed and implemented after the termination of the Grant. Between the date on which Grant 70-df-959 was awarded and the date it terminated, a change in the internal structure of the Department of Corrections was effected which has altered this evaluation process. On July 1, 1972, the Department was awarded another LEAA Grant, under the auspices of the Oklahoma Crime Commission, creating a Planning and Research Division responsible for all Federal Grant evaluation within the Department.

As a consequence of this, and because of the time and staff available to complete this evaluation, many measures presented here represent the best apparent compromise between the most reliable measure possible and the most expediently obtained measure. Data which might have been compiled with relative ease over the course of the Grant could not be feasibly compiled retroactively. Project personnel were not pre-tested prior to receiving Grant training, and longitudinal studies were not sufficiently developed during the Grant period to allow an accurate determination of the effect of the project on recidivism.

Moreover, these difficulties did not develop merely out of neglect on the part of Grant facilitators. The scope of this Grant itself was so extensive as to preclude the possibility of truly thorough implementation or evaluation. The Grant makes specifications governing virtually every aspect of probation and parole supervision and its effects.

The Grant requires changes in the Division's hiring, training, and operating procedures, as well as certain substantive results

to be achieved both in areas over which the Division can exercise some influence or control and in areas governed by other, external (or, in a few instances, undetermined) forces.

Projections were made initially in Grant 70-df-959 on the basis of poor or scant information, and theoretical assumptions were made concerning theories and concepts which are currently the subject of literally hundreds of correctional research projects across the nation. Finally, almost the entire administrative staff of the Division of Probation and Parole has changed since Grant 70-df-959 was originally formulated, and subsequent alterations in administrative philosophy have resulted in a few of the areas relevant to this Grant's implementation.

The following evaluation attempts to deal briefly with each of the major aspects of this Grant to determine both "the extent to which the state goals of the project are being accomplished" and "the need for modification for more effective accomplishment of stated goals." In addition, this evaluation also considers possible ways to narrow the scope of this Grant (in future applications for its continuation) in order that the successful accomplishment of stated Grant goals can lie within the realm of possibility.

Chapter 1 is devoted to personnel matters, Chapter 2 deals with the description of the caseload under supervision, and Chapter 3 is a discussion of some relevant aspects of supervisory activities. The feasibility of expanded probationary services for misdemeanants is the topic of Chapter 4, and the fifth Chapter concerns the administrative implementation of the Grant.

Grant funds were initially expended during August of 1971, although the first additional Grant personnel were not hired until October of 1971. Consequently, all references contained in this report to the effective Grant period indicate the time interval from October 1, 1971, through December 31, 1972.

## CHAPTER 1: PROBATION AND PAROLE PERSONNEL

Grant 70-df-959's main objectives are directed toward the personnel of the Division of Probation and Parole. By far, the greatest portion of this Grant's funds are allotted for staff salaries. Requirements and specifications are cited pertaining both to the increase in personnel to be achieved and to the demographic characteristics of that personnel, as well as to the development and implementation of new staff training programs. The increase in staff size is dealt with in section A of Chapter 5 on administrative implementation. Both demographic changes and personnel training, however, are discussed in this Chapter as sections A and B respectively.

Although the wording is somewhat ambiguous, it appears that the original Grant formulators intended this Grant to be an experimental design, with the Officers and Aides hired under the Grant as the experimental group and the Officers employed prior to Grant's award as the control group. The Grant stipulates that training will be preceded by testing, that Grant Officers will be assigned caseloads not in excess of 90 units, and that these small caseloads should cause a decrease in recidivism rates.

If an experiment were the intent, the subsequent implementation of the Grant does not permit such a comparison among Officers. All new Officers and Aides employed under the Grant were treated in the same manner as pre-Grant Officers: the method of assigning cases and the size of the caseloads were identical to those previously in use, although the provision of additional staff itself did cause all caseloads to be somewhat reduced. The sole exception to the identical treatment of all Officers was the fact that training was provided to the new Grant employees only. (Even this distinction was not clearly maintained, as discussed in section B following).

Numerous considerations, most of which become apparent in the course of this report, are responsible for the decision (whether explicit or implicit) not to maintain an experimental design. By necessity, however, this evaluation deals only with changing trends within the Division and not with differences, if any, between groups of Officers and/or their performance.

Section (A): PERSONNEL CHARACTERISTICS

In the evaluation of any program, consideration must be given to the personnel who implement that program. The subjects of this Section are defined as all Supervisors, Assistant Supervisors, Officers and Aides in the employment of the Division of Probation and Parole at the time periods indicated below, with the exception of Special Community Supervision Project personnel (S.C.S.P.). These personnel will hereafter be referred to as staff and/or staff members except when dealing with a specific segment of the staff, at which points identification by job position will be used. The period of time from March 1, 1970, to July 31, 1972 (17 months) was chosen to allow a comparison of the Personnel in the employment of the Division of Probation and Parole during the time period subsidized by Grant 70-df-959, (August 1, 1971, through December 31, 1972).

Personnel data were collected largely from Division of Probation and Parole personnel files, but also were supplemented by Department of Corrections personnel files, and District Supervisors' files. Supplementation was necessitated by obsolete application forms, incomplete files, and delays in implementing files of new employees.

The characteristics of the staff which were examined were limited to five demographic categories: Age; Sex; Race; Education; and Prior Military and Law-Enforcement Experience. No attempt has been made in this section to evaluate the performance of the staff member, but rather, to provide a descriptive analysis of the profile of the Division of Probation and Parole's staff. (For information relating to job performance, refer to Chapter 3 of this evaluation).

Characteristics of the Probation and Parole staff were considered for the Division as a whole rather than for each of the five Districts within the Division. However, some significant differences in the makeup of the staff surface when particular staff characteristics within the individual Districts are isolated. These differences will be pointed out in the discussion of the category in which the differences occur.

(1) Age

The age distributions of the Probation and Parole staff members were viewed from two different perspectives. One was a point-time study considering the last day of each of the three time intervals designated. The other was a study over time of the ages of the staff members at the time hired, for only those hired during the three different intervals.

In the point-time study, at the end of the Pre-Grant period (July 31, 1971), the mean age of the staff in employment was 44.4 years. The median age was 46.5 years. The most predominant aspect of this group was the fact that 58.3% of the staff members were between the ages of 41 to 60 years, and only 36.7% were 40 years of age or less. (See Figure I , PRE-GRANT).

The next point-time study deals with the age of the staff in employment at the end of the Grant period (December 31, 1972). The mean age dropped to 42.9 years, and the median age dropped to 46.0 years. However, 50.1% of the staff were still over 40 years of age, and 5.9% were over 60 years of age. (See Figure I , POST-GRANT).

The distribution of the staff's ages changes somewhat more from the end of the Grant period (December 31, 1972), to the end of the Post-Grant period (March 31, 1973). The mean age of this group decreased to 40.8 years and the median was 40.5 years. The most noticeable change was that employees who are 40 years of age or less now comprised 50.0% of the entire staff. This change was due primarily to the number of younger persons hired during the Grant and Post-Grant periods and the number of older staff members terminating employment due to death or other reasons. (See Figure I , CURRENT).

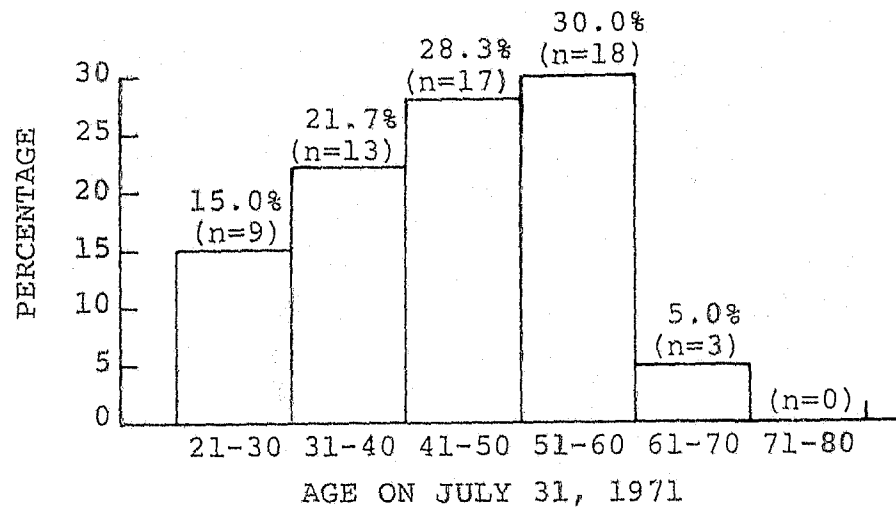
Age at time hired analyzed over time for those staff members hired during the three time intervals produced the following results.

Of those Probation and Parole Division staff members hired during the Pre-Grant period (March 1, 1970, through July 31, 1971), 61.9% were 40 years of age or less. The mean age of the total

PRE-GRANT

(Staff in employment on July 13, 1971).

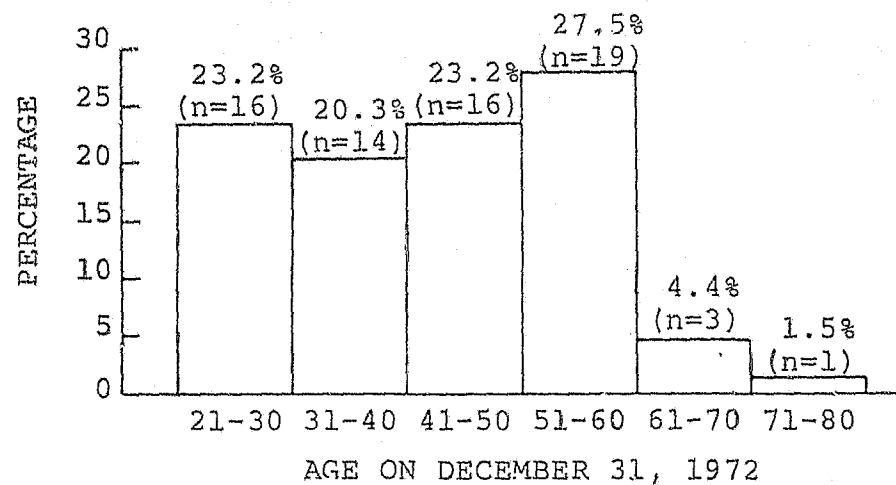
N=60  
 $\bar{X}$ =44.4 years  
 Mdn=46.5 years



POST-GRANT

(Staff in employment on December 31, 1972).

N=69  
 $\bar{X}$ =42.9 years  
 Mdn=46.0 years



CURRENT

(Staff in employment on March 31, 1973).

N=78  
 $\bar{X}$ =40.8 years  
 Mdn=40.5 years

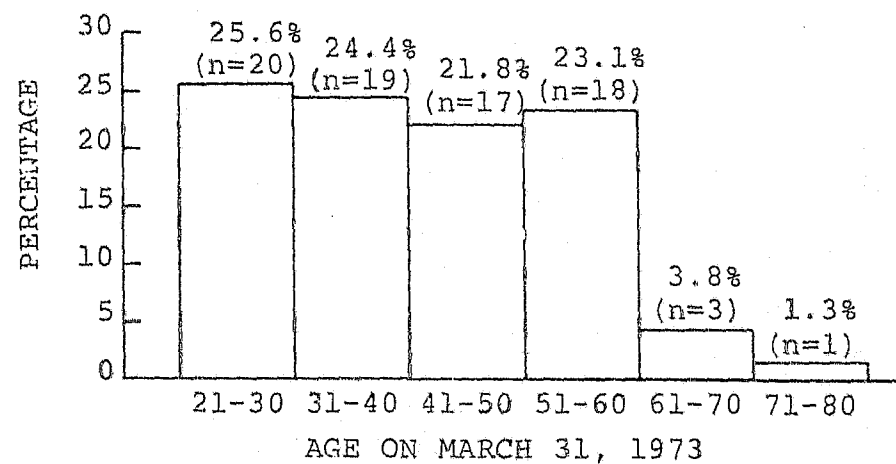


Fig. 1. Pre-Grant, Post-Grant, and Current distributions of ages of Supervisors, Assistant Supervisors, Officers, and Aides in the employment of the Division of Probation and Parole.

group hired was 36.1 years, with a median age of 35.0 years. (See Figure 2, PRE-GRANT).

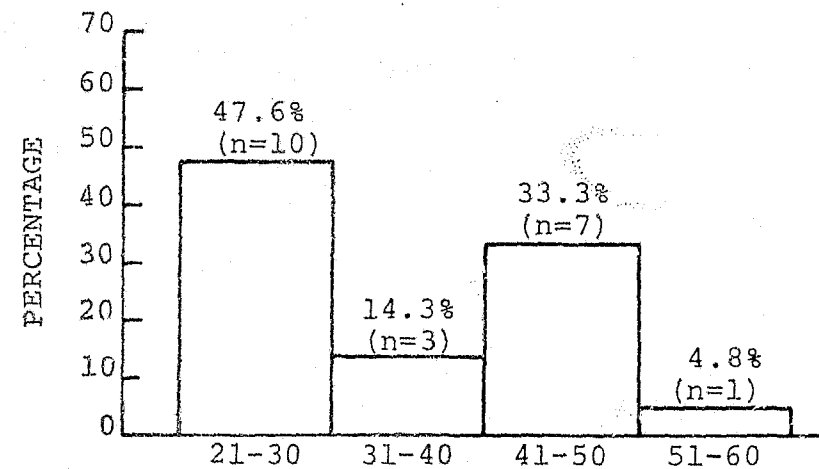
Analysis of the ages of those hired during the Grant period (August 1, 1971 through December 31, 1972) showed a significant increase in the percentage of those hired who were 30 years of age and under. Of the total hired, 68.0% were 30 years of age or less. The mean age was 31.2 years, and the median age was 26.0 years ("t" = 4.1297; significant at 0.001). Even though 68.0% of this group were 30 years of age or younger, the mean age was distorted somewhat because 24.0% of the people hired during this time were 41 to 60 years of age. (See Figure 2, GRANT PERIOD).

During the Post-Grant period under consideration (January 1, 1973 through March 31, 1973), 92.4% of Probation and Parole Division staff hired were 40 years of age or less, with half of these (46.2%) being 30 years of age or less ("t" = 0.4812; not significant). The mean age of this group was 30.5 years, and the median was 31.0 years. (See Figure 2, POST-GRANT).

As the number of persons hired during any one of the three time intervals was small, (N=21, 25, and 13 persons respectively), it would be unwarranted to claim a definitive trend toward changing the age composition of the Division of Probation and Parole from older to younger persons, possibly more career-oriented in corrections. However, a significant change did occur in the age level of those being hired, and, if this continues, it would be safe to assert that the age composition of the entire staff will change significantly.

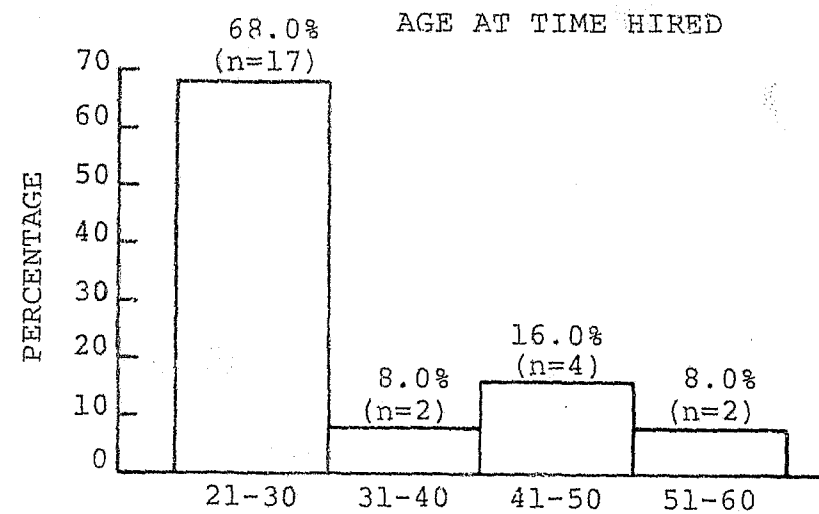
PRE-GRANT  
(Staff hired between  
March 1, 1970, and  
July 31, 1971).

N=21  
 $\bar{X}$ =36.1 years  
Mdn=35.0 years



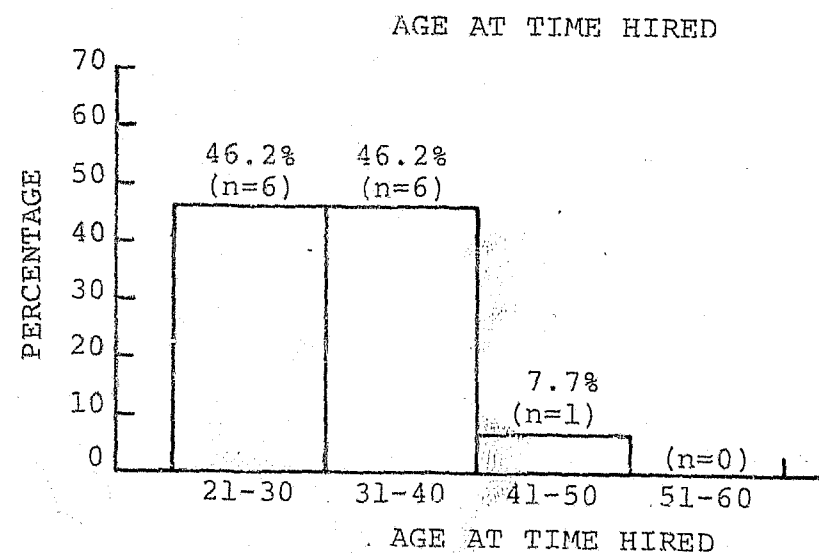
GRANT PERIOD  
(Staff hired between  
August 1, 1971, and  
December 31, 1972).

N=25  
 $\bar{X}$ =31.2 years  
Mdn=26.0 years



POST-GRANT  
(Staff hired between  
January 1, 1973, and  
March 31, 1973).

N=13  
 $\bar{X}$ =30.5 years  
Mdn=31.0 years



## (2) Ethnic Origin and Sex

All agencies receiving and implementing Federal LEAA Grants are required to comply with the Civil Rights Act of 1964<sup>1</sup> and the Regulations of the Department of Justice (28 CFR Part 42) concerning fair employment practices. No complaints nor allegations of discrimination have been made against the Division of Probation and Parole during the Granting period. The following data are presented in conjunction with this evaluation's analysis of the basic composition of the Division's staff.

For the purposes of this analysis, distribution by ethnic origin utilized Black and White categories only. Due to the high incidence of mixed Indian and Caucasian blood-lines among many of the people in the State of Oklahoma, and due to the fact that percentage of blood-line presents grave definitional problems in classifying persons of both Indian and Caucasian heritage, these two ethnic groups are combined in the category designated White. It should be noted that some of the Probation and Parole staff are full-blood or part Indian but are classified as White in this study.

Three point-time studies were made of the distribution of sex and ethnic origin for staff members in the employment of the Probation and Parole Division. An analysis over time was also made with respect to the distribution of ethnic origin and sex among those staff members being hired during the three different time intervals.

The first point-time distribution dealt with staff members in the employment of the Division of Probation and Parole on July 31, 1971, the end of Pre-Grant period. (See Figure 3, PRE-GRANT). Of the 60 staff members in employment, 85.0% were White males, 6.7% were White females, 6.7% were Black males, and 1.7% were Black females. In combination, 91.7% were White and 8.3% Black.

<sup>1</sup> Civil Rights Act of 1964, 78 Stat. 241 (1964, U.S. Code Annotated, Title 28, sec. 1447).

Fig. 2. Distributions of ages at time hired of all Supervisors, Assistant Supervisors, Officers, and Aides hired by the Division of Probation and Parole before Grant 70-df-959 was implemented, hired during Grant period, and hired after Grant period.



All White males were Probation and Parole Officers or Supervisors; all White females were Probation and Parole Officers; three Black males were Probation and Parole Officers and one Black male was a Probation and Parole Aide; and the one Black female was a Probation and Parole Officer.

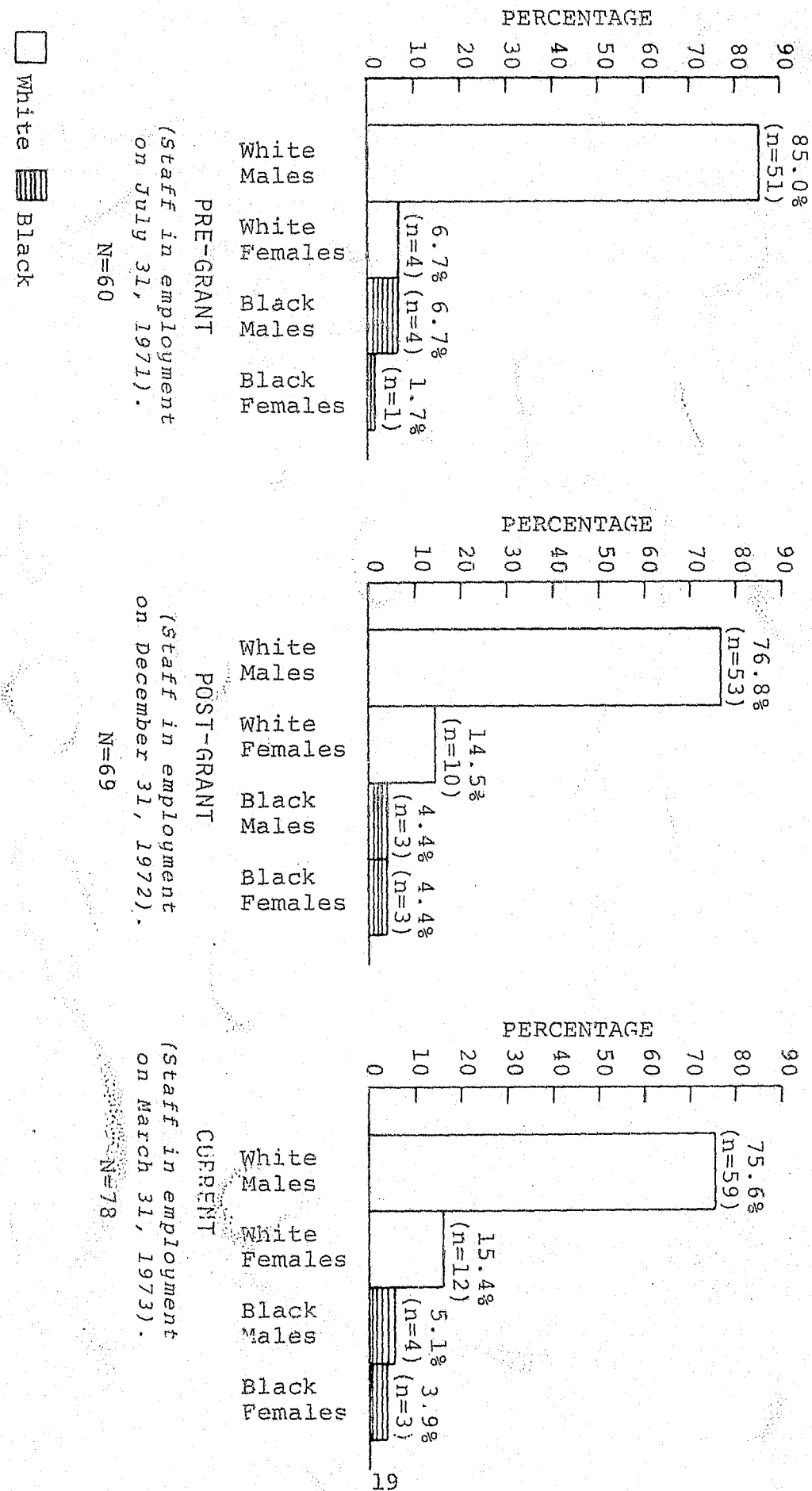
The second point-time distribution was at the end of the Grant Period (December 31, 1972). (See Figure 3, POST-GRANT). The distributions by sex ( $\chi^2 = 1.3943$ ; not significant) and by ethnic origin (Fisher Exact Probability 0.7349; not significant) changed only slightly, but not statistically significantly, from the Pre-Grant period with respect to Black females and White females. Instead of the 1.7% representation of Black females in the Pre-Grant period, 4.4% occurred at the end of the Grant Period. It should be pointed out that only one Black female was an Officer and the other two Black females in this group were Probation and Parole Aides. The White female representation increased to 14.5% (N=10); however, by position, only five were Officers, and the other five were Aides.

A point-time analysis on March 31, 1973, (Post-Grant) showed that the distribution by sex and ethnic origin had changed only slightly from the previous periods. (See Figure 3, CURRENT). The total Black representation was 9.0% of the staff in employment on March 31, 1973.

Hiring practices as related to distribution by sex and ethnic origin were analyzed over time for the Pre-Grant, Grant Period, and Post-Grant intervals. Three Black males currently in employment were hired before these time intervals and therefore are not included in the following distributions.

During the three time intervals under study, hiring practices relating to distribution by ethnic origin were relatively unchanged. In the Pre-Grant period, only one Black was hired and represented 4.8% of the twenty-one staff members hired during this interval. During the Grant Period, 25 staff members were hired, of which 8.0% (N=2) were Blacks (Fisher Exact Probability 0.5665; not significant). Thirteen staff members were hired during the Post-Grant period of which 7.7% (N=1) were Blacks (Fisher Exact Probability

Fig. 3. Distributions of ethnic origin and sex of Supervisors, Assistant Supervisors, Officers, and Aides in the employment of the Division of Probation and Parole before Grant 70-df-959 was implemented, at end of Grant, and currently.





0.7349; not significant). The percentage of Blacks hired over the three time intervals comprises 6.8% of the total staff members hired.

Though the proportion of females hired increased over the three time periods considered, ( $\chi^2 = 8.5231$ ; significant at 0.001), 56.3% were hired as paraprofessional Probation and Parole Aides rather than Officers.

Grant 70-df-959 did not specify any particular distribution of new personnel hired with respect to sex or ethnic origin, although requirements were made concerning educational achievement and job experience. However, analysis of these two variables would not be complete without the inclusion of the respective distributions among both the Probation and Parole Division's client-caseload and the Oklahoma population in general.

Data concerning the sex and ethnic distribution of the clients comprising the Division's caseload under supervision at the various points in time analyzed in this section were not feasibly attainable, and therefore, were not collected. However, a distribution was obtained from the Division of Probation and Parole for all new probation cases opened from July 1, 1971, to December 31, 1972, a period of 18 months. This data reflected that, of 4,796 new Probation cases opened, 18.7% were Black and 14.9% were female.

The most recently documented population distribution by ethnic origin for the State of Oklahoma indicated that Blacks represented 6.7% of the total population for the State according to the 1970 Census.<sup>2</sup> In June, 1972, females comprised 51.29% of the total population of the State.<sup>3</sup>

<sup>2</sup> U.S. Department of Commerce, Bureau of the Census, United States Census of Population: 1970, Number of Inhabitants of Oklahoma, PC (1) - A38, Oklahoma. Washington, D.C.: Government Printing Office, July 1971.

<sup>3</sup> Oklahoma Employment Security Commission, Women and Minority Groups, (Oklahoma City: Oklahoma Employment Security Commission, November, 1972), p. 1.

### (3) Education

The educational level of the Probation and Parole staff was analyzed from two different perspectives: (1) educational level at time hired of the entire staff in the employment of the Division at the end of the three time periods: Pre-Grant (July 31, 1971), Grant Period (December 31, 1972), and Post Grant (March 31, 1973) and; (2) educational level at time hired of the staff members who were initially hired during the Pre-Grant period, during the Grant Period, and during the Post-Grant period.

Analysis of the educational level at the time hired of the staff in employment on July 31, 1971 (PRE-GRANT, N=60), indicates that all of the staff had graduated from highschool and more than one-fourth of these had graduated from college. Among these 60 staff members, the educational level for one employee could not be determined as he has since terminated his employment and his personnel record did not reflect his educational level. Considering the 59 staff members whose educational level was computed, the mean educational level was 14.1 years of school, the equivalent of slightly more than two years of college. (See Figure 4, POST-GRANT).

The educational level at time hired of the staff in employment on December 31, 1972, the end of the Grant period, showed a slight increase. Of the 69 staff members employed at this time, the mean educational level was 14.4 years. (See Figure 4, POST-GRANT).

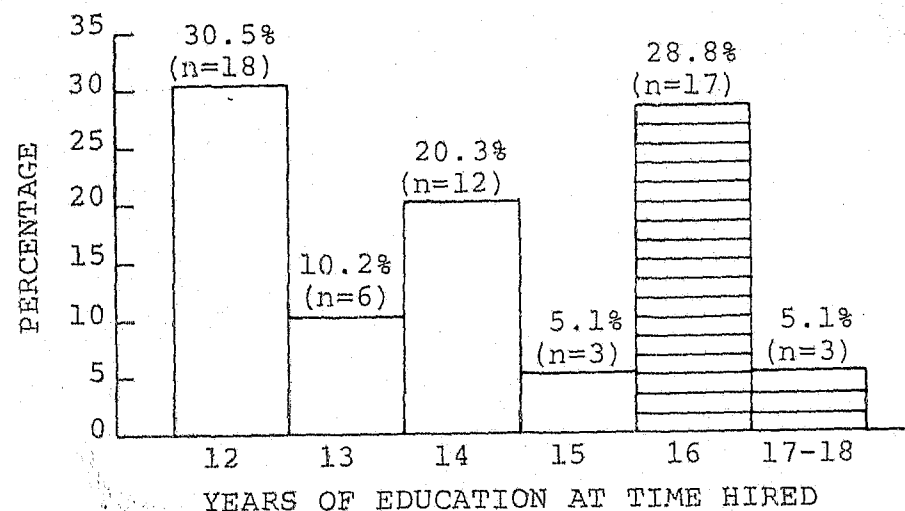
The mean educational level at the time hired for the Probation and Parole staff on March 31, 1973, (CURRENT, N=78), was 14.5 years. (See Figure 4, CURRENT). This, again, was another slight increase from the previous period. However, the median education level for each of the three periods was 14.0 years.

A more noticeable change in the staff's education level is evidenced when viewing the educational level of only those staff members who were hired during the three time intervals under consideration.

During the Pre-Grant period (March 1, 1970, through July 31, 1971), twenty-one staff members were hired; of this group, 65% were college graduates, 15% of which had some Post-Graduate work. The

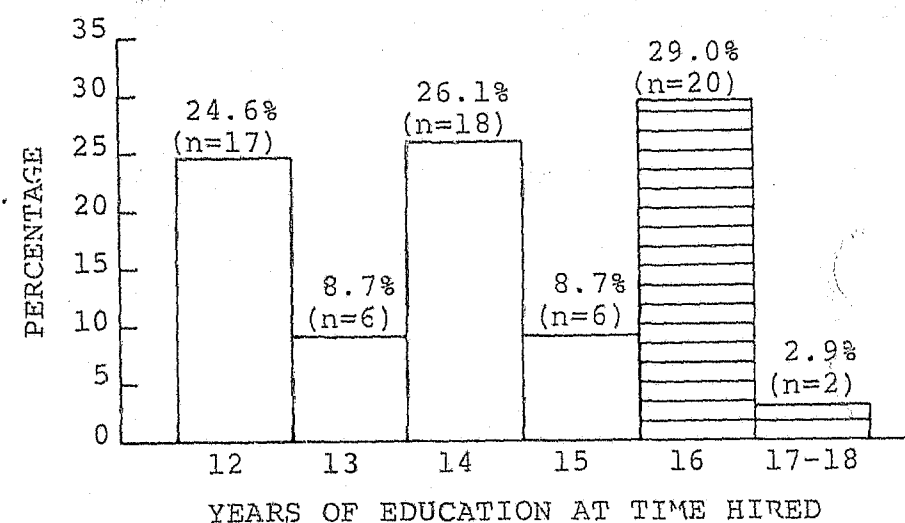
PRE-GRANT  
(Staff in employment  
on July 31, 1971).

N=60<sup>1</sup>  
 $\bar{X}$ =14.1 years  
Mdn=14.0 years



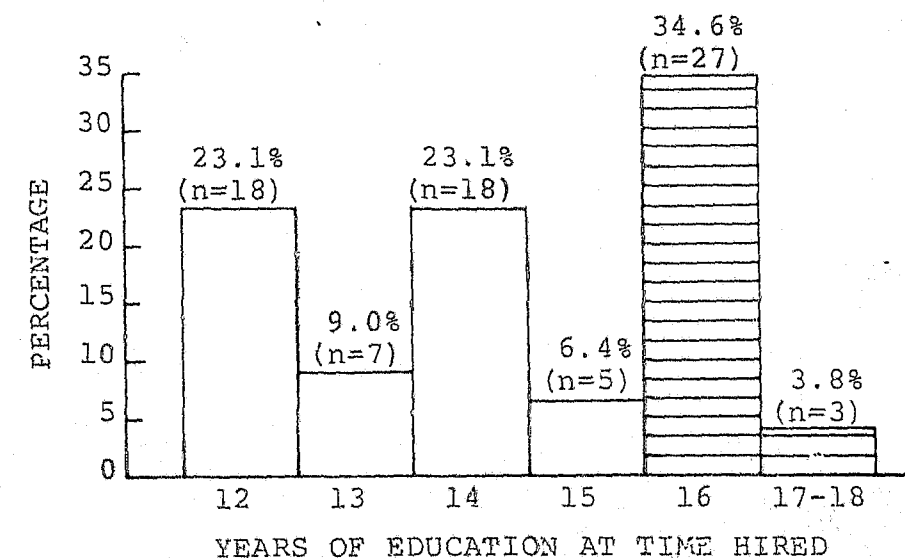
POST-GRANT  
(Staff in employment  
on December 31, 1972).

N=69  
 $\bar{X}$ =14.4 years  
Mdn=14.0 years



CURRENT  
(Staff in employment  
on March 31, 1973).

N=78  
 $\bar{X}$ =14.5 years  
Mdn=14.0 years




 College Graduates

Fig. 4. Distributions of years of education at time hired of Supervisors, Assistant Supervisors, Officers, and Aides in the employment of the Division of Probation and Parole before Grant 70-df-959 was implemented, at end of Grant, and currently.

<sup>1</sup> Data for one (1) of N unknown. Percentages, mean, and median based on sample of 59.

mean educational level for this group was 15.1 years, and the median was 16.0 years of education. (See Figure 5, PRE-GRANT).

Within the Grant Period (August 1, 1971, through December 31, 1972), there was a drop in the percentage of college graduates hired ( $\chi^2 = 2.7637$ ; not significant). Of the twenty-five staff members hired, 40% were college graduates. The mean educational level of this group was 14.4 years. Though the mean educational level decreased from the Pre-Grant period, it was not significant ("t" = 0.7662; not significant). The median educational level for these staff members was 15.0 years. (See Figure 5, GRANT PERIOD).

In the Post-Grant period (January 1, 1973, through March 31, 1973), there was a sharp increase in the percentage of college graduates hired ( $\chi^2 = 4.6705$ ; significant at 0.05). Though the total number hired during this period was only thirteen, 76.9% of these were college graduates, and 7.7% of the college graduates hired had some Post-Graduate work. This group's mean educational level was 15.2 years ("t" = 1.3902, not significant), and its median was 16.0 years of education. (See Figure 5, POST-GRANT).

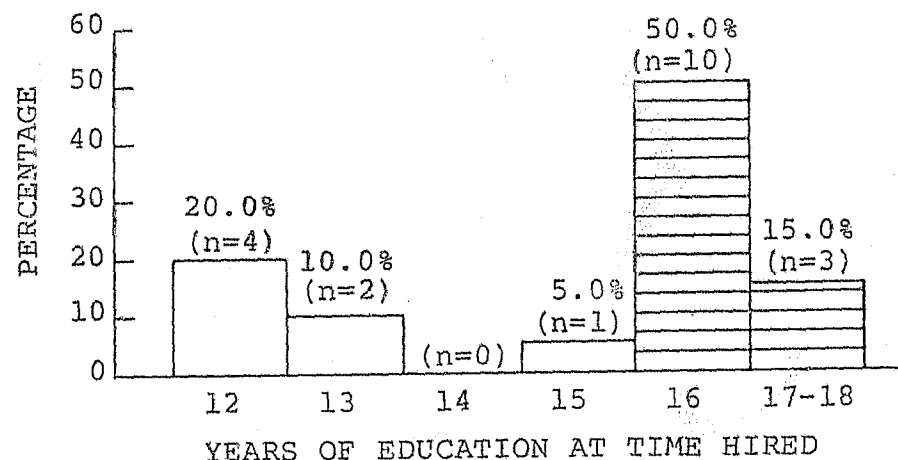
Even though larger percentages of college graduates were being hired in the Post-Grant interval, college graduates were also terminating their employment at a higher rate than non-college graduates. Consequently, the educational level of those terminating tended to stabilize the overall educational level in the Division. (Many of these terminations were the result of promotional transfers to other segments within the Department of Corrections, or resignations to accept higher paying jobs elsewhere).

Should the hiring practices continue in the direction shown in the Post-Grant period, the overall level of education among the Division of Probation and Parole's staff will rise in the future. This, of course, will hold true only if those with college degrees currently employed in the Division terminate their employment at the same or a lower rate than those without a college degree. For further information on hiring practices, refer to the Staffing Section of Chapter 5 in this evaluation.

Some of the differences between Districts in educational level are noted here. Though the mean and the median of the various Districts are not included, the percentages of college graduates at the time hired who were in employment on March 31, 1973,

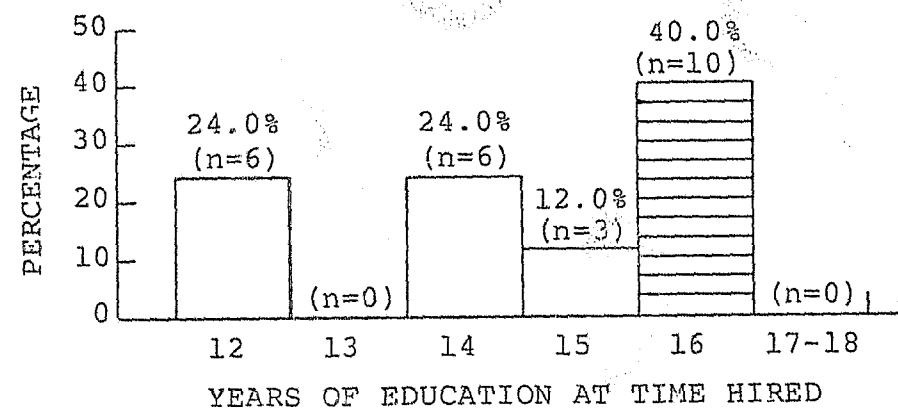
PRE-GRANT  
(Staff hired between  
March 1, 1970, and  
July 31, 1971).

N=21<sup>1</sup>  
 $\bar{X}$ =15.1 years  
Mdn=16.0 years



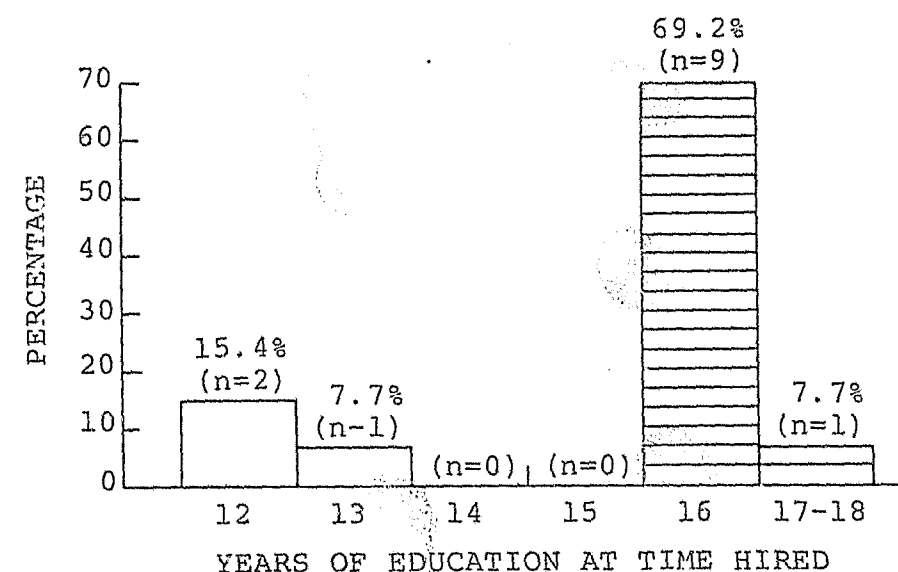
GRANT PERIOD  
(Staff hired between  
August 1, 1971, and  
December 31, 1972).

N=25  
 $\bar{X}$ =14.4 years  
Mdn=15.0 years



POST-GRANT  
(Staff hired between  
January 1, 1973, and  
March 31, 1973).

N=13  
 $\bar{X}$ =15.2 years  
Mdn=16.0 years




 College Graduates

Fig. 5. Distributions of years of education at time hired of all Supervisors, Assistant Supervisors, Officers, and Aides hired by the Division of Probation and Parole before Grant 70-df-959 was implemented, hired during Grant period, and hired after Grant period.

<sup>1</sup> Data for one (1) of N unknown. Percentages, mean, and median based on sample of 20.

were calculated within the individual Districts. The staff in District I, Oklahoma City, is composed of 50.0% college graduates. District II, Tulsa, shows 41.2% of its staff to be college graduates. District III, McAlester, has no college graduates. Of the staff in District IV, Duncan, 16.7% are college graduates. College graduates composed 33.3% of the staff in District V, Arnett.

(4) Prior Experience

The Oklahoma State Merit Board requires that a Probation and Parole Officer's minimum qualifications be:

Graduation from an accredited college or university with a major, or the equivalent number of semester hours, in psychology, sociology, law or a closely related field of study; or an equivalent combination of education and experience, substituting one (1) year of successful full-time paid employment in Probation and Parole work, rehabilitation work, social work, vocational counseling or law enforcement for each year of the required college education, with a maximum substitution of four (4) years . . .<sup>4</sup>

Grant 70-df-959 specifies that in hiring Probation and Parole Officers, the following qualifications be taken into consideration:

Preference will be given to Probation and Parole Officer candidates with a degree from an accredited college or university with a major in the social or behavioral sciences and either one year of graduate study in social work or the behavioral sciences or one year full-time paid social work experience under professional supervision . . . However, all candidates will be subject to the Oklahoma Merit System.

The specifications cited in Grant 70-df-959 are more rigorous than those established by the State Merit Board. Although the Division is required by law to hire the top-ranking applicants on Merit Board registers, whether those applicants have a college degree or not, 76% of those hired by the Division during the Grant period did have some college education.

<sup>4</sup> Oklahoma State Merit Board. Probation and Parole Officer Job Specifications, Code 4171: Adopted 7-1-67; Revised 10-24-72.

The Division has also been able to upgrade the quality of its new employees by conducting rigorous background investigations on each applicant prior to hiring. (A copy of this Investigation Form is included as Appendix I).

A majority of the Probation and Parole Officers who did not graduate from college gained their qualifying experience from Law Enforcement work, or through Military experience. As the composition of Probation and Parole Officers having had Law Enforcement experience and/or Military experience did not change significantly from one to another of the three time intervals under study, the analyses of these intervals are not presented individually in this evaluation. Instead, data from the Post-Grant period (January 31, 1973, through March 31, 1973) are presented because the results are representative of the other two time intervals.

Records reflect that, on March 31, 1973, of the 78 Probation and Parole Staff members under study, 28 had no Military experience. Of this number, however, fifteen were women. Forty-eight male staff members had less than five years Military service; however, almost one-fifth (19.5%) had more than five years service. Of these with more than five years service, the distribution was as follows:

STAFF IN EMPLOYMENT ON MARCH 31, 1973, HAVING MORE THAN FIVE YEARS MILITARY SERVICE. (N=15).

5.1 to 10 years	10.1 to 15 years	15.1 to 20 years	20.1 to 25 years	25.1 to 30 years
5	2	4	3	1

Four of the fifteen Probation and Parole Officers having more than five years Military Service also had a college degree at time hired. The mean months of Military experience of those staff members with any Military experience was 77.3 months. The median for this group was 36.0 months, which underscores the fact that while 19.5% have more than five years service, most of the Probation and Parole staff members had less than five years Military Service.

Changes in prior experience in the Law Enforcement field among Officers and Aides hired during the three time intervals under consideration in this evaluation ("t" = 1.4732; not significant, and "t" = 0.5849; not significant) were similar to changes in prior Military experience ("t" = 1.1254; not significant, and "t" = 0.0799; not significant). Consequently, Law Enforcement experience will not be discussed separately.

The records of the Probation and Parole Division indicated that 67.5% of the staff in employment on March 31, 1973, had no previous Law Enforcement experience at time hired, with 32.5% having had such experience as shown below:

STAFF IN EMPLOYMENT ON MARCH 31, 1973, HAVING ANY PRIOR LAW-ENFORCEMENT EXPERIENCE. (N=24).

any to 5 years	5.1 to 10 years	10.1 to 15 years	15.1 to 20 years	20.1 to 25 years	over 25.1 years
6	3	1	5	6	3

Only one of the twenty-four Probation and Parole Officers with prior Law Enforcement experience had a college degree at time hired. Nine of this group, however, had two or more years of college at time hired.

Section (B): PERSONNEL TRAINING

Grant 70-df-959 specifies that a basic training course of 120 classroom hours in contemporary corrections theory, with particular emphasis on client-supervision and pre-sentence investigations, would be provided to the additional twenty Officers and eight Aides. Moreover, the Grant states that the training methods developed in the Special Community Supervision Project would be utilized and that the new personnel would be pre-tested as part of the Grant's evaluation.

A synopsis of the five training seminars conducted by the Division of Probation and Parole reveals that 120 classroom hours of training were presented in the general areas specified. The training consisted of lectures, classroom exercises, and practice sessions taught or conducted by professionals in the behavioral sciences and the field of law-enforcement. (See Appendix II).

Due to a continuing turnover among staff personnel, both by reason of terminations and promotions, the same set of Officers and Aides did not attend all of the five training seminars which were conducted. Moreover, because attendance lists and tabulations obtained for the five training seminars were in conflict both with each other and with respect to other available personnel records, it is not possible to present an accurate record of which Officers and Aides paid from Grant 70-df-959's funds were also in attendance at each seminar. Nevertheless, from all records available, it appears that an approximate average of 24 Officers and Aides were in attendance at each session.

During the Grant period, and for the first time since the formation of the Department of Corrections in July of 1967, all Officers in the Division (except the most-recently hired) have complied with Title 70, Section 3311 (g), Oklahoma Statutes 1971. This Statute requires an additional 120 classroom hours (beyond any in-service or Grant training) of professional law-enforcement education conducted by the Oklahoma Center for Continuing Education at Norman in order to obtain certification as a State Peace Officer. All new personnel hired by the Division of Probation and Parole

currently receive this training during the first year of their employment, as required by law.

The block of 120 hours training required by Grant 70-df-959 constituted a great improvement over prior conditions within the Division of Probation and Parole when little or no on-going training was conducted. Although the Division of Probation and Parole more than satisfied the Grant's requirements as specified, certain deficiencies in the original Grant specifications are apparent.

More than half of the session Instructors were qualified professionals drawn from related fields outside of the Department of Corrections, and over half of the hours of training were conducted by the professional staff of the Division and the Department.

Secondly, no provisions were made for in-service training for non-Grant Officers. Besides the obvious advantages of providing training for the entire staff, one consequence of training only Grant personnel was that the training seminars came to be viewed by some staff members as a discriminatory burden placed on the newer Officers who, by the Grant's very design, were younger and in possession of more formal education. The result may have been to prejudice negatively the effect of the training provided. Consequently, any new Grant application which requires training should provide training for all Officers and Aides employed.

However, both the excessive utilization of the Division's administrative and supervisory staff in training seminars and the lack of on-going training for the entire staff are close to being eliminated entirely. Currently, plans are being formulated by the Department of Corrections to provide a comprehensive and continuing staff training program at its Lexington Regional Treatment Center, which would periodically include all Probation and Parole staff. Additionally, training facilities will be available to the Division at the new Law Enforcement Training Academy being constructed by the Department of Public Safety.

Finally, the Grant expressly provided that the new personnel would be pre-tested. The formulators of Grant 70-df-959 apparently did not intend to refer to the State Merit System's competitive



examination as "pre-testing" inasmuch as this has been required for employment since the formation of the Department in July of 1967. Beyond this Merit examination, no testing was designed nor implemented to evaluate the effect of training on new employees. (However, the staff training program currently being developed at Lexington will include pre-testing and post-testing of all personnel).

The only testing during the Grant period that could be located were two short papers prepared for graduate course work by a Probation and Parole Officer who had been delegated to instruct two brief sections originally assigned to a District Supervisor. These have been included in this evaluation as a description of some of the problems inherent in correctional training. (See Appendices III and IV).

As will become evident throughout the remainder of this evaluation, one form of pre-training and post-training testing which could be of great benefit in a variety of areas is the administration of one or more relatively simple, standardized personality tests now available. The changes occurring (or not occurring) among Officers after training and over time may provide valuable information for explaining the rate of personnel turnover, the quality and nature of the supervision provided, and the occurrence of revocations, among others.

## CHAPTER 2: STATE CASELOAD OF PROBATIONERS AND PAROLEES

Chapter 2 of this evaluation is concerned with the nature of the caseload under supervision by the Division of Probation and Parole. The first section will discuss some basic characteristics of the offenders currently being provided community supervision. The second section concerns the total size of the caseload being afforded supervision and will attempt to project the current rate of growth for the next five years.

The third section is a discussion of the current method of assigning cases to individual Officers and Officer-Aides. This section also attempts to analyze some of the difficulties involved in devising and interpreting a cases-per-Officer ratio as it relates to alternative methods of case assignment.

The fourth section will consider the current distribution of both the caseload and the Division's Officers and Aides among its five regional District Offices.

Throughout this chapter of the evaluation, particularly, many problems were encountered concerning both the reliability and the validity of data available. When exact figures were not available, best estimates were used; however, all estimates are clearly indicated as such in the results presented. Optimal intervals of time, variables, and categories of variables were not always either available or feasible for collection, due to current considerations of manpower and time allowed for this evaluation.

Specifically, unless otherwise stated, all data presented has been collected from its original source and tabulated by these evaluators. Mistakes in transmission of data at both the Officer-District level and the District-Division level have been corrected wherever found. Moreover, certain categories of data have not been analyzed because of a lack of uniform reporting, either from the Officers or the Districts. (These omissions, however, are clearly indicated in the results). Finally, data prior to 1970,



even when available for analysis, were incomplete at best. Consequently, most data presented for the period from 1967 to 1970 are best available estimates and should be interpreted with caution.

Nonetheless, within these limitations, certain trends do emerge.

#### Section (A): OFFENDER CHARACTERISTICS

Preliminary searches revealed no data concerning the personal characteristics of the Probationers and Parolees for whom the Division of Probation and Parole affords community supervision, prior to the granting period for Grant 70-df-959. One possible explanation for this can be found in the current procedures for caseload management. The Division office maintains the Master file on Parolees, while the District offices maintain only working files. Parole revocation is an Executive function in the State of Oklahoma (the Governor having the sole power to revoke a parole), consequently requiring the Division office to maintain closer control over the disposition of Parole cases.

On the other hand, the District offices maintain the Master file on Probation cases because Probation revocation in Oklahoma is a Judicial function (the sentencing Court having the sole power to revoke a probationary sentence). Unless a Probationer requests and is granted a transfer to another District, the Master file in the original District is also the only case file maintained within the Division of Probation and Parole. The Division does, however, keep an index card file on all current Probation cases under supervision. These cards contain minimal information concerning personal characteristics.

Consequently, in the absence of computerized facilities for the maintenance of records and files, the task of evaluating offender characteristics for Parolees and, especially, for Probationers is overwhelmingly time-consuming. However, during the implementation of Grant 70-df-959, the Project Coordinator instituted the use of log books within the District Offices for the purpose of recording all new Probation and Parole cases for which

supervision is initiated. Although these log books could provide a valuable source of data concerning offender characteristics, considerations of time and manpower and of the total scope of this evaluation permitted only a synopsis of the data collected by the Project Coordinator during 1972 and the latter half of 1971.

Supervision was initiated for 4,796 new probation cases from the beginning of July, 1971, to the end of December, 1972, a period of one and a half years. Of these cases opened, 50.7% had received a suspended, rather than a deferred, sentence. In the major metropolitan counties (Oklahoma and Tulsa), 18.0% received deferred sentences, although 51.2% of those convicted in non-metropolitan counties also received deferred sentences.

Of all new probation cases opened, 85.1% were male. In the major metropolitan counties, 18.7% of all offenders for whom probationary supervision was initiated were female, while 9.6% of the offenders receiving probation in non-metropolitan areas were female.

Of all new probation cases for which supervision was initiated during this period, 76.1% were White; 18.7% were Black; 4.2% were Indian; and 1.0% were of other ethnic origin. The major metropolitan counties, however, showed a higher percentage of Black probationers than the non-metropolitan counties, which showed a somewhat higher percentage of American Indian probationers. (See Table 1).

Data concerning the distribution of sex and ethnic origin for all new parole cases for which supervision was initiated from the beginning of January, 1972, to the end of December, 1972, (a period of one year) were not distinguished by county of conviction. During 1972, 495 new parole cases were afforded supervision. Of these, 92.5% were male. The ethnic origin of these 495 parolees was distributed as follows: 66.9% were White; 29.1% were Black; 3.6% were Indian; and 0.4% were of other ethnic origin. (See Table 2).

The last variable which was available to describe the personal characteristics of the Probationers and Parolees under supervision was the general offense category for which the client was convicted. Of 495 parole cases opened during 1972, 34.3% were

TABLE 1.

DISTRIBUTION OF TYPE OF SENTENCE, SEX, AND ETHNIC ORIGIN FOR ALL NEW PROBATION CASES FOR WHICH SUPERVISION WAS INITIATED FROM JULY 1, 1971, TO DECEMBER 31, 1972.

	MAJOR METROPOLITAN (Oklahoma and Tulsa Counties)		NON-METROPOLITAN (Other than Oklahoma and Tulsa Counties)		STATE TOTAL (All Counties)	
	Number	Percent	Number	Percent	Number	Percent
TOTAL CASES	2797	100.0%	1999	100.0%	4796	100.0%
SENTENCE TYPE						
Suspended	1455	52.0	976	48.8	2431	50.7
Deferred	1342	48.0	1023	51.2	2365	49.3
SEX						
Male	2273	81.3	1808	90.4	4081	85.1
Female	524	18.7	191	9.6	715	14.9
ETHNIC ORIGIN						
White	2055	73.5	1595	79.8	3650	76.1
Black	634	22.7	265	13.3	899	18.7
Indian	78	2.8	122	6.1	200	4.2
Other	30	1.0	17	1.0	47	1.0

Burglary convictions; 19.0% were Forgery and Bogus Check convictions; and 12.1% were Larceny and Theft convictions. The fact that no drug offenders were received for parole supervision during 1972 can be readily explained by the current Governor's policy against paroling drug offenders and by current legislation prohibiting the parole of drug sellers. (See Table 3).

During 1972 and the latter half of 1971, 4,796 probation cases were opened. Of these, the most frequently-occurring

offenses were: Drug offenses (16.9%); Burglary offenses (16.6%); Forgery and Bogus Check offenses (14.3%); and Larceny and Theft offenses (13.7%). In general, 54.8% of the new probation cases opened in Oklahoma were for crimes against property. Only 7.9% were for assaultive crimes. Sex offenses, Drug offenses, and all others accounted for 37.2%. However, this phenomenon cannot be adequately explained until a further breakdown of the "All Others" category (18.3%) is available.

Distinguishing all new probation cases for which conviction occurred in the two major metropolitan counties from those for which conviction occurred in the remainder of the state, several trends emerge. Of all new probation cases opened, Drug Offenses accounted for 19.1% of those convicted in a major metropolitan county, while this category accounted for 13.9% of all those convicted in non-metropolitan counties. Conversely, of all new

TABLE 2.

DISTRIBUTION OF SEX AND ETHNIC ORIGIN FOR ALL NEW PAROLE CASES FOR WHICH SUPERVISION WAS INITIATED FROM JANUARY 1, 1972, TO DECEMBER 31, 1972.

	Number	Percent
TOTAL CASES	495	100.0%
SEX		
Male	458	92.5
Female	37	7.5
ETHNIC ORIGIN		
White	331	66.9
Black	144	29.1
Indian	18	3.6
Other	2	0.4

TABLE 3.

DISTRIBUTION OF GENERAL OFFENSE CATEGORIES FOR ALL NEW PAROLE CASES FOR WHICH SUPERVISION WAS INITIATED FROM JANUARY 1, 1972, to DECEMBER 31, 1972.

	NUMBER	PERCENT
TOTAL CASES	495	100.0%
ASSAULTIVE		
Homicide	3	.6
Manslaughter	16	3.2
Assault	21	4.2
Robbery	36	7.3
Rape	3	.6
Subtotal	79	15.9%
PROPERTY		
Burglary	170	34.3
Forgery and Checks	94	19.0
Larceny and Theft	60	12.1
Auto Theft	39	7.9
Other Fraud	16	3.2
Subtotal	379	76.5%
OTHER OFFENSES		
Sex Offenses	7	1.4
Drugs	0	.0
All Others	30	6.1
Subtotal	37	7.5

probation cases opened, Burglary Offenses accounted for 21.2% of all convictions in non-metropolitan counties, while this category accounted for 13.3% of all convictions in the major metropolitan counties. (See Table 4).

TABLE 4.

DISTRIBUTION OF GENERAL OFFENSE CATEGORIES FOR ALL NEW PROBATION CASES FOR WHICH SUPERVISION WAS INITIATED FROM JULY 1, 1971, TO DECEMBER 31, 1972.

	MAJOR METROPOLITAN (Oklahoma and Tulsa Counties)		NON-METROPOLITAN (Other than Oklahoma and Tulsa Counties)		STATE TOTAL (All Counties)	
	Number	Percent	Number	Percent	Number	Percent
TOTAL CASES	2797	100.0%	1999	100.0%	4796	100.0%
ASSAULTIVE						
Homicide	6	0.2	5	0.3	11	0.2
Manslaughter	29	1.0	16	0.8	45	0.9
Assault	141	5.0	72	3.6	213	4.4
Robbery	53	1.9	31	1.6	84	1.8
Rape	14	0.5	14	0.7	28	0.6
Subtotal	243	8.6%	138	7.0%	381	7.9%
PROPERTY						
Burglary	373	13.3	424	21.2	797	16.6
Forgery and Checks	393	14.1	294	14.7	687	14.3
Larceny and Theft	375	13.4	380	14.0	655	13.7
Auto Theft	178	6.4	107	5.4	285	5.9
Other Fraud	133	4.8	71	3.6	204	4.3
Subtotal	1452	52.0%	1176	58.9%	2628	54.8%
OTHER OFFENSES						
Sex Offenses	63	2.3	33	1.7	96	2.0
Drugs	534	19.1	278	13.9	812	16.9
All Others	505	18.1	374	18.7	879	18.3
Subtotal	1102	39.4%	685	34.3%	1787	37.2%

Section (B): CURRENT CASELOAD SIZE AND PROJECTED GROWTH

Grant 70-df-959 projected a 25 percent increase in the use of probation services during fiscal year 1972, as a result of the encouragement of Courts to expand the use of probation as an alternative to penal incarceration.

Since the inception of the Department of Corrections on the first of July, 1967, the use of community supervision has increased immensely. On June 30, 1967, the then newly-created Division of Probation and Parole inherited a total state caseload of 997 clients from the previous, decentralized probation and parole systems in Oklahoma. According to the most recent data available, on February 31, 1973, the total state caseload had risen to 8367 clients, an increase of nearly 1300 cases per year.

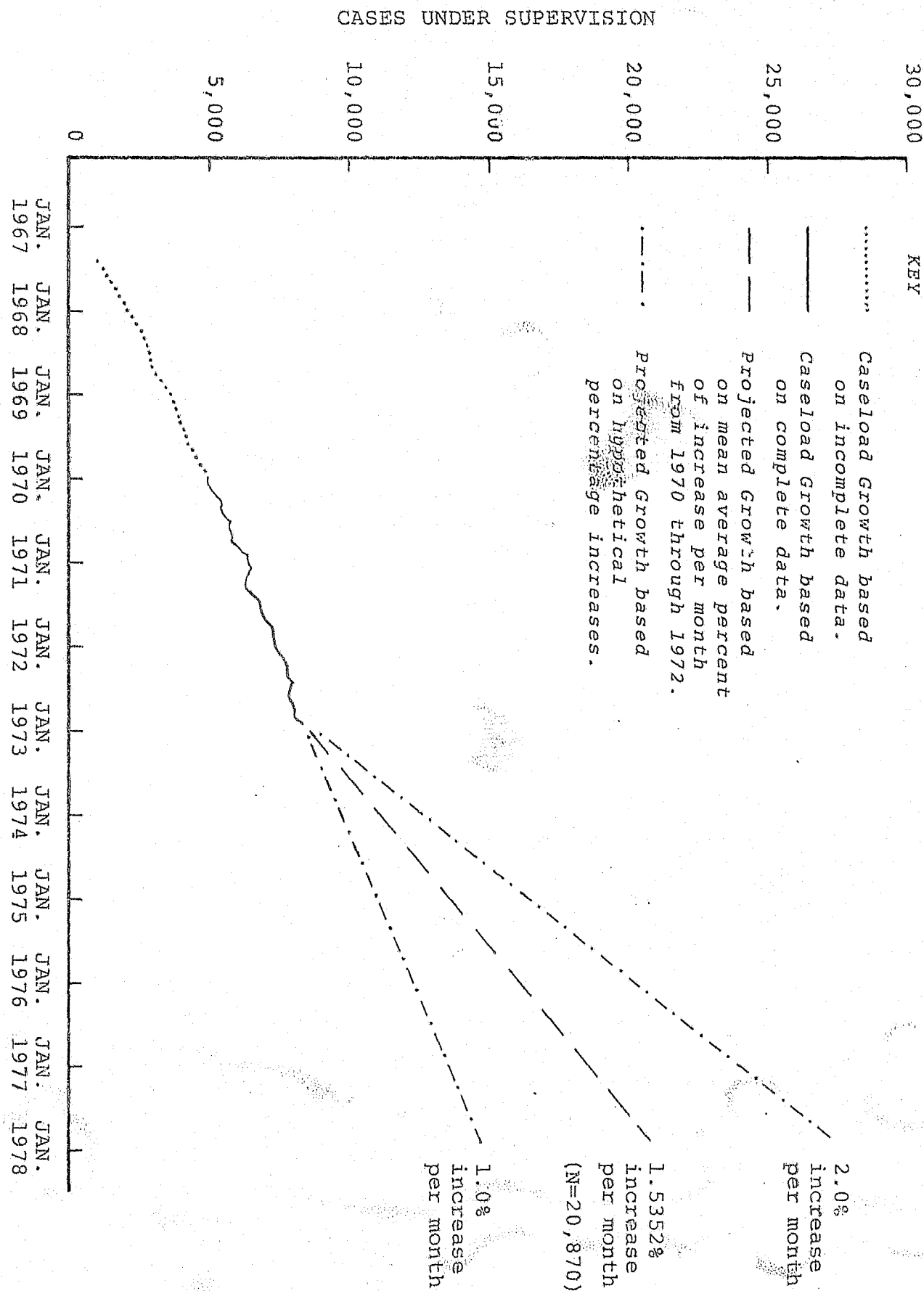
The Grant's projected growth of 25 percent was to have occurred between July 1, 1971, and June 30, 1972. At the beginning of this period, the total number of cases under supervision in Oklahoma was 6676. By the end of June, 1972, the number had increased to 7966, a difference of 1290 cases (a 19.3% increase).

There is, however, no indication that this growth was the result of deliberately encouraging Courts to expand the use of probation; the total state caseload has continued to grow at a rapid rate, irrespective of any attempts to influence it, either in a positive or negative direction.

Data concerning caseload growth prior to the Grant period were collected from June of 1967 through September of 1971. All of these figures were obtained primarily from the five Districts' Monthly Activity Reports, some of which could not be located during the early stages of the Division's existence. The data concerning caseload growth during the effective Grant period (from October of 1971, through December of 1972) were collected and tabulated from the individual Officers' Activity Reports in order to correct errors in transmission and obtain the most accurate account possible.

The total number of cases under supervision in the State has increased at a fairly constant rate since 1967, with no indications that this rate is diminishing. (See Figure 6). The rates of

Fig. 6. Growth in number of cases under supervision of the Division of Probation and Parole from the formation of the Department of Corrections in July, 1967, to December, 1972, and projected growth for next five years based on mean average percent of increase per month experienced from January, 1970, through December, 1972.



growth experienced by the five Districts, although showing increases, are not as consistently smooth as the cumulative (State) growth rate. (See Figures 7 and 8). A possible explanation for these irregularities may lie in the number of various reporting procedures utilized over time; any change in the method of tabulating or the category of cases counted by a given District would cause many irregularities from month to month.

In order to obtain a five-year projection of the number of cases under the supervision of the Division, the mean average percent of increase experienced per month was computed for a three year period (January, 1970, through December, 1972). Next, the total state caseload on December 31, 1972, was projected at this rate for 60 months.

Earlier data, prior to January of 1970, were not included in the computation of the mean average percent of increase for two reasons. First, as stated previously, the data available were not complete. Secondly, during the first two and one-half years of the Division's operation, many counties were still in the process of converting from their prior, county-based probation system to the new, centralized system offered by the Division of Probation and Parole. Thus, early growth rates experienced were both irregular and likely to be unusually high.

The mean average percent of increase per month exhibited by the total State caseload from 1970 through 1972 was 1.5352%. If the number of cases supervised by the Division continues to grow at this rate, the projected number of cases under supervision will be 20,870 by January 1, 1978. (See Figure 6).

This projection, however, is based on the assumption that all relevant factors will remain constant. This is a tenuous assumption at best because a change in any of the following factors, among others, would affect the growth rate: the state's population; the state or national crime rate; statutory criminal codes; the use of probation services by individual Judges; the policies of the Pardon and Parole Board; the paroling policies of the Governor; the rate of misdemeanor cases remanded for community supervision; or the average length of sentences being imposed.

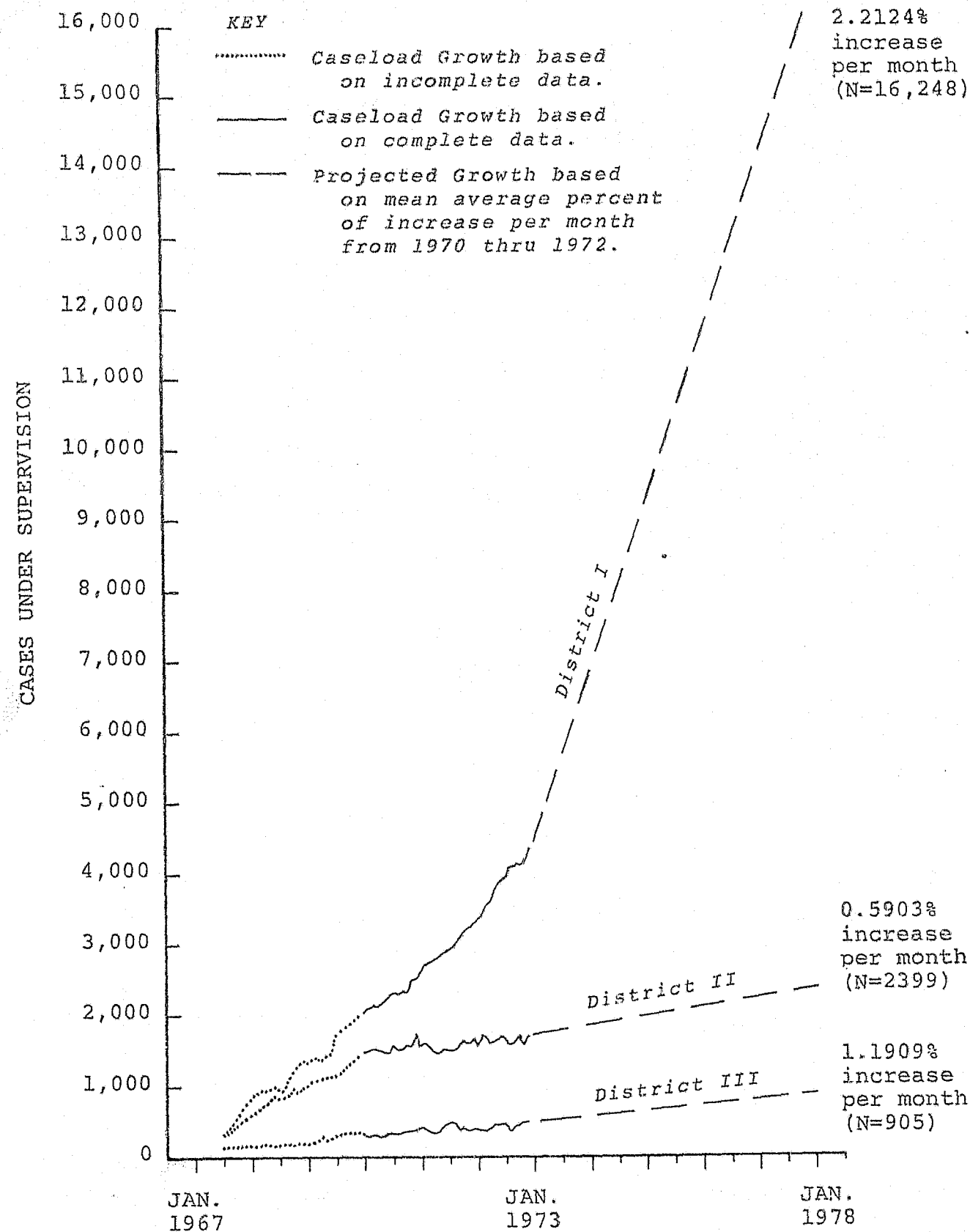


Fig. 7. Growth in number of cases under supervision of District I, District II, and District III from July, 1967, to December, 1972, and projected growth for next five years based on mean average percent of increase per month experienced from January, 1970, thru December, 1972.

For an example of the above, in September of 1971 the first offense of Possession of Marijuana was changed from a felony to a misdemeanor by statute. In the first half of 1972, the statutory age in Oklahoma for automatic adjudication of males as adults was raised from sixteen to eighteen. Both of these factors logically should have reduced the caseload's rate of growth, although no such decrease is apparent. Possibly either sufficient time has not yet elapsed in order to experience the full impact of these legislative changes, or the caseload's growth has stabilized at its current rate because of other, undetermined factors.

If the current growth rate were to change by as little as one-half of one percent (0.5%), the result would be a dramatic increase or reduction in the projected number of cases to be afforded supervision. If the caseload on December 31, 1972, were to grow at a reduced rate of 1.0% per month, then the Division can anticipate supervising over 14,500 cases by 1978. Conversely, if the current growth rate were to increase to 2.0%, then over 27,000 clients would require supervision by 1978. (See Figure 6).

Projections were also computed for each of the five District Offices based on the same data and method of projecting described above. (These projections have been presented on two different graphs, using the same scale for each, in order to facilitate comparisons of base levels and slopes of projection).

Projections were also computed for each of the five District Offices based on the same data and method of projecting which were described above. (These five projections are presented on two different graphs, using the same scale for each, in order to facilitate the comparison of base levels and slopes of projection among Districts). Marked differences among Districts appear. (See Figures 7 and 8).

District I, with a 2.2124% increase per month, shows the greatest amount of change, with a projected caseload of 16,248 in 1978. District II (0.5903%) and District III (1.1909%) have the lowest growth rates, with projected caseloads of 2399 and 905 respectively. District IV, with a 1.3545% of increase per month, has a projected caseload of 3022 by 1978, and District V has a projected increase to 1359 cases at a 1.6205% increase per month.

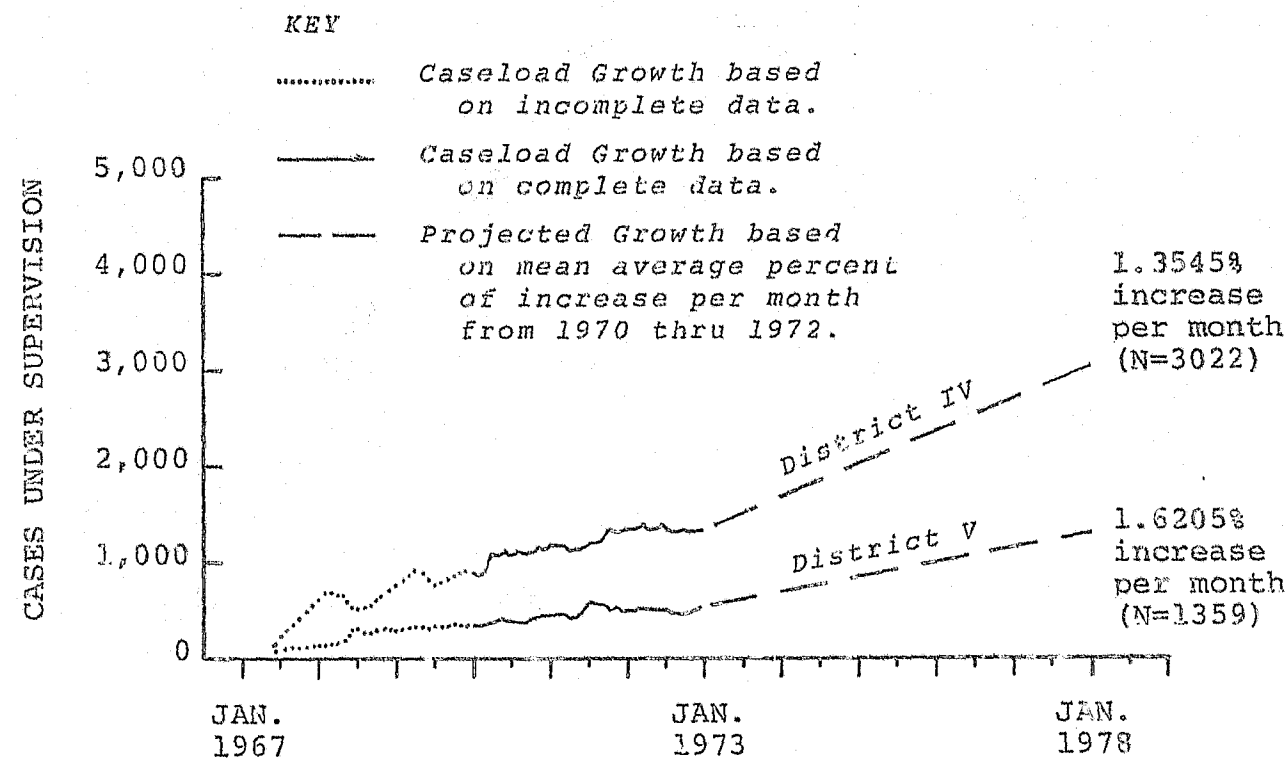


Fig. 8. Growth in number of cases under supervision of District IV and District V from July, 1967, to December, 1972, and projected growth for next five years based on mean average percent of increase experienced from January, 1970, through December, 1972.

District V demonstrated the second largest rate of growth between 1970 and 1972. Also, District IV, although currently smaller in size, demonstrated a greater rate of growth and a larger projected caseload by 1978 than District II.

The total of the projections obtained for each of the District Offices is larger than the State's total projected caseload due to the geometric quality of projecting rates of growth. As the number of cases to be projected grows over time, even a small growth rate will begin netting increasingly larger numbers. As a consequence to this, and because of the fact that the highest rate of growth among all Districts was experienced by the most populous District, it appears that the most reliable measure would be the more conservative projection which was computed for the total State caseload over the next five years.



Section (C): CASELOAD ASSIGNMENT AMONG OFFICERS AND AIDES

Grant 70-df-959 stipulated two different (and conflicting) requirements concerning the assignment of caseloads to Officers and Aides. One major objective stated was to reduce the size of the caseloads to 90 units-per-Officer during fiscal year 1972, with a long-range goal of 50 units. "Case assignments will be made, with no officer supervising more than 90 units, including pre-sentence investigations." The second stipulation was that "methods of assignment developed under 70-f-3 (Special Community Supervision Project) will be used."

Before a discussion of either requirement, a distinction must be made between "units" and "cases". The American Correctional Association recommends caseloads of 50 units, under a system which assigns unit values to tasks requiring various amounts of time and effort. For example, a pre-sentence investigation is equivalent to five units, although one client, assigned to an Officer for supervision, represents a single unit.

Although one of the Division's five District Offices does evaluate its own activities in unit-values, no systematic use of unit-values is in operation within the Division at this time. Moreover, "90 units-per-Officer", as stipulated in Grant 70-df-959, has frequently been construed to mean 90 cases (or clients) per Officer. The remainder of this Chapter concerns itself with analyzing the ratio of cases-per-Officer, rather than units.

The progress of the Division of Probation and Parole during the Grant period toward meeting the one-to-ninety ratio is presented in the following Table.

(The goal of a one-to-ninety ratio became an increasingly distant objective through the Grant period for reasons discussed in section B of this Chapter and in Chapter 5 following).

The use of this ratio, however, presents two conceptual difficulties. First, it is premised on the assumption that all cases would be equally distributed among all Officers. The premise itself is in conflict with the stipulation that S.C.S.P. methods of case assignment would be used. S.C.S.P., which terminated in

TABLE 5.

MEAN NUMBER OF CASES-PER-OFFICER PER MONTH.<sup>1</sup>

MONTHS	NUMBER OF OFFICERS/AIDES		NUMBER OF OFFICERS/AIDES	
	1971		1972	
January	128.0	59	112.8	67
February	129.2	59	115.2	67
March	123.9	61	114.7	68
April	123.9	61	114.8	68
May	130.8	58	113.8	70
June	133.8	59	120.1	68
July	135.6	59	114.4	67
August	137.5	59	124.4	63
September	142.2	58	128.3	62
October	137.5	61	125.7	65
November	104.7	72	137.9	60
December	109.2	69	150.4	57

<sup>1</sup> Total number of cases under supervision (Probation, Parole, and Interstate Compact) divided by total number of Officers and Aides employed, as cited in Division's Summaries of Monthly Activity.

July of 1972, recommended that District Offices discontinue their current procedure of assigning clients to Officers according to the geographic area or neighborhood in which the client resides. Instead, assignments of caseloads of varying size were recommended, to be determined by offender variables. S.C.S.P. developed an offender typology which purports to define four basic types of offender, each requiring a different amount and quality of supervision, and it further recommended that assignments of caseloads be made according to these four offender types.

However, both an overall reduction in caseload size and differential assignment of cases to Officers based on an offender typology could not be simultaneously effected.

The second conceptual difficulty with the cases-per-Officer ratio is that it is too simplistic a measure to reflect accurately the typical caseload responsibilities of most Officers. Although cases are not currently assigned according to the characteristics of the clients, some functional variations in the size and type of caseloads assigned among Officers do occur. A few Officers are assigned minimal or no caseloads in order to free their time for conducting client-related investigations only. A few others are assigned exceptionally large caseloads, the supervision of which entails mostly administrative correspondence with a minimum of active field supervision. A simple cases-per-Officer ratio will not indicate the relative effect of these two extremes.

In order to develop a more representative measure, the mean average number of cases-per-Officer each month was computed for only those Officers assigned a caseload, eliminating all others who were not assigned a caseload. Four out of the five Districts had a fairly constant or decreasing mean number of cases-per-Officer during the effective Grant period. District I's ratio was substantially higher than the other four Districts, and it also increased markedly over the Grant period. The State mean remained fairly stable at the 130-cases level. (See Figure 9).

Even this measure has some limitations. A mean average is affected by extreme scores. Only a few exceptionally high or low scores will distort a mean average in either a positive or negative direction. Consequently, the median (or middle) score of cases-per-Officer was determined for each month. The results indicate a convergence of the median cases-per-Officer scores in Districts II, III, IV and V, with the State median number of cases-per-Officer decreasing to a level approximately between 100 and 120 cases. District I's median score of cases-per-Officer diverges noticeably from the other four districts, and it retains approximately the same level as its mean scores, indicative of the relative absence of extreme scores for individual Officers. (See Figure 10). In conclusion, during the Grant period, Officers were typically supervising between 100 and 120 cases (clients) apiece, except in District I where caseloads were between 160 and 180.

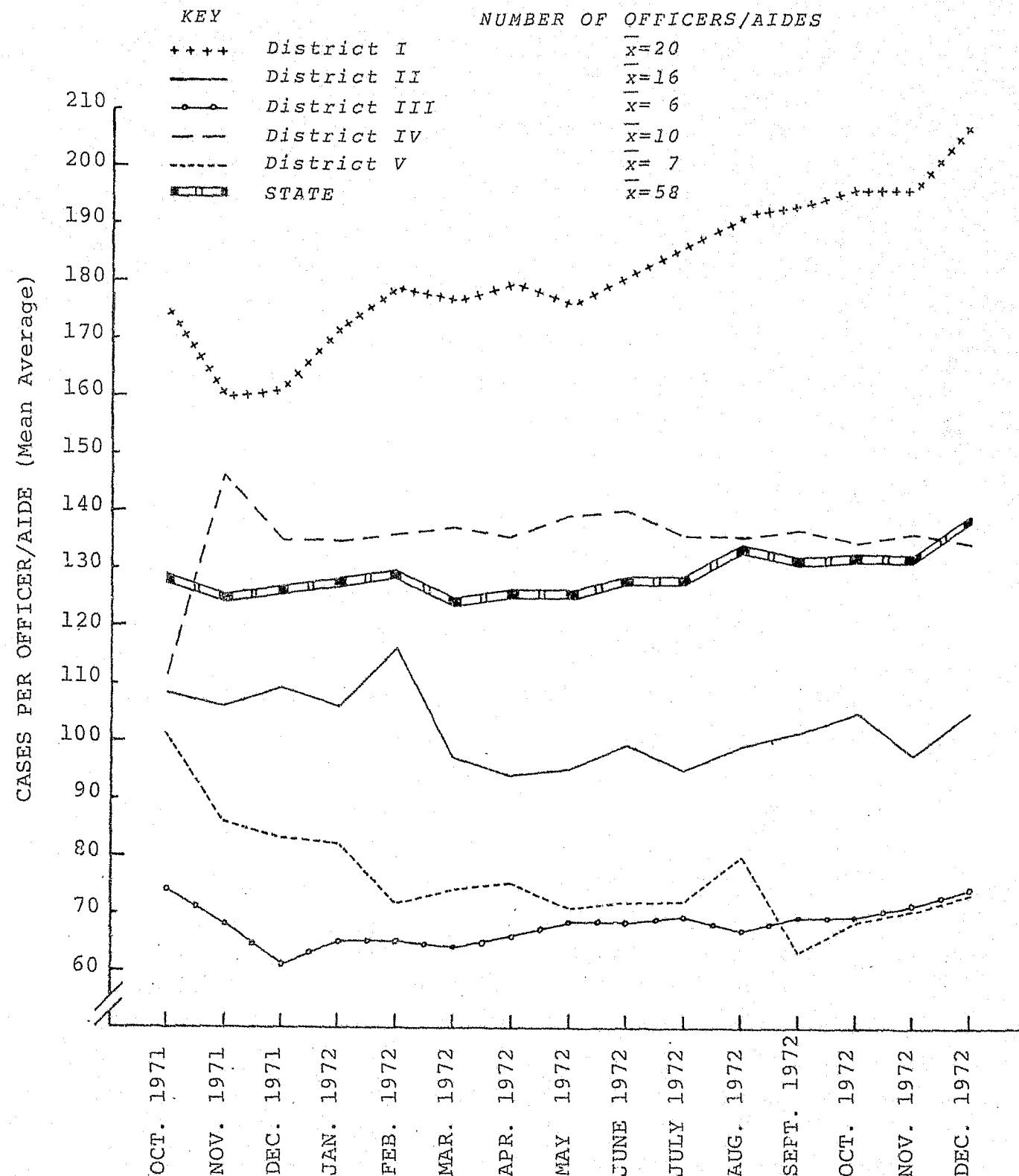


Fig. 9. MEAN AVERAGE number of cases per Officer/Aide for all Officers and Aides assigned a caseload in each of the five District Offices and in the State at the close of the month from October, 1971, to December, 1972.

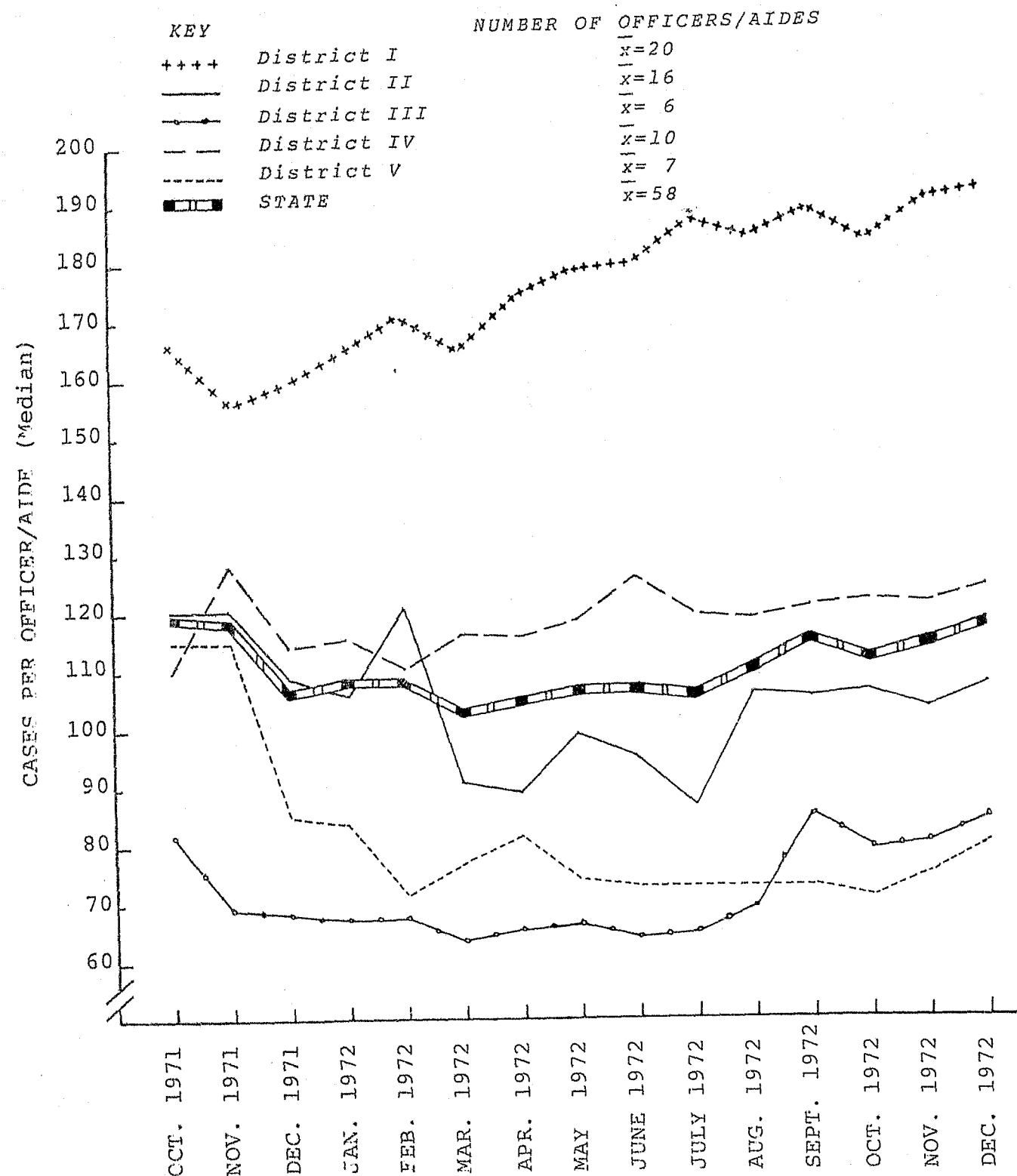


Fig. 10. MEDIAN number of cases per Officer/Aide for all Officers and Aides assigned a caseload in each of the five District Offices and in the State at the close of the month from October, 1971, to December, 1972.

Section (D): DISTRIBUTION OF CASELOAD AMONG DISTRICT OFFICES

Grant 70-df-959 required that the majority of the new personnel hired were to be assigned to the metropolitan areas. As indicated in the preceding two sections of this evaluation, the majority of the new Officers and Aides were placed in District I, District II, and District IV, which include the three major metropolitan areas in Oklahoma (Oklahoma City, Tulsa, and Lawton), in accordance with this Grant requirement.

However, as also indicated in the preceding section, this was not sufficient to allay the problem of rapidly-growing ratios of cases-per-Officer which are currently occurring, especially in the District I office. The rationale for placing additional Officers and/or Aides in non-metropolitan areas is that these Officers must travel more extensively in order to supervise their widely-dispersed caseload, as compared to Officers whose caseload resides entirely within one portion of a major metropolitan area.

In light of the wide disparity in cases-per-Officer ratio between the District I office and the other four District offices, this reasoning does not appear to be sufficient justification for placing any additional staff in other Districts at this time.

As a further analysis of the caseload situation in Oklahoma County, two additional measures were evaluated. The first measure considered was the current geographic distribution of residence for all Probationers and Parolees living in Oklahoma under the supervision of the Division of Probation and Parole.

The data for this measure were compiled by District Supervisors at the request of the Grant Coordinator in mid-March, 1973. (N=7,613, of which 920 were Parolees, 6,158 Probationers, and 535 clients convicted in other states but currently residing in Oklahoma and being provided courtesy supervision under Interstate Parole Compact).

In mid-March, 1973, only eleven of the 77 counties had more than 100 Probationers and Parolees in residence within their boundaries. Of these counties, two had a disproportionate number of total: Tulsa County with 699 Probationers and Parolees in

residence, and Oklahoma County with 3,637 in residence. Together, Oklahoma and Tulsa counties accounted for 57% of the total sample. (See Figure 11). When analyzed by District, District I, Oklahoma City, and District II, Tulsa, together accounted for 71% of the total sample.

A similar measure was compiled by the Division of Probation and Parole in mid-February, 1972, slightly more than one year prior (N=6,476). At that time only nine counties had more than 100 Probationers and Parolees in residence. Oklahoma County (2,690) and Tulsa (1,002) again accounted for 57% of the total sample. Additionally, Tulsa County showed an approximate decrease of 30% in the number of Probationers and Parolees in residence from 1972 to 1973, which decrease was apparently the result of a reorganization of District II and the institution of more accurate caseload accounting methods. (See Figure 12).

The second measure evaluated was the distribution of all Probationers and Parolees currently under the supervision of the Division of Probation and Parole by the county in which they were originally convicted. This distribution is based on a count of Probation and Parole index files in the Division Office in mid-March, 1-73 (N=7,804). This does not include Interstate Probation and Parole cases originally convicted in other states but currently residing in Oklahoma. Oklahoma and Tulsa counties accounted for 58% of the total sample. (See Figure 13).

This second measure should be interpreted with caution. It is not necessarily an indication of the rate of criminal convictions over time occurring in given counties. For example, although a particular county may convict relatively few defendants per year, a tendency toward pronouncing relatively lengthy sentences would increase the gross number of Probationers and Parolees appearing in this distribution. However, this measure does tend to confirm the distribution patterns present in the distributions by county of residence.

Neither of the above-cited measures was necessarily chosen for its absolute predictive quality. Nevertheless, viewed in conjunction with the current cases-per-Officer ratios, these distributions do tend to emphasize the immediate problem of the metropolitan areas.

----- Indicates current boundaries of District Offices.

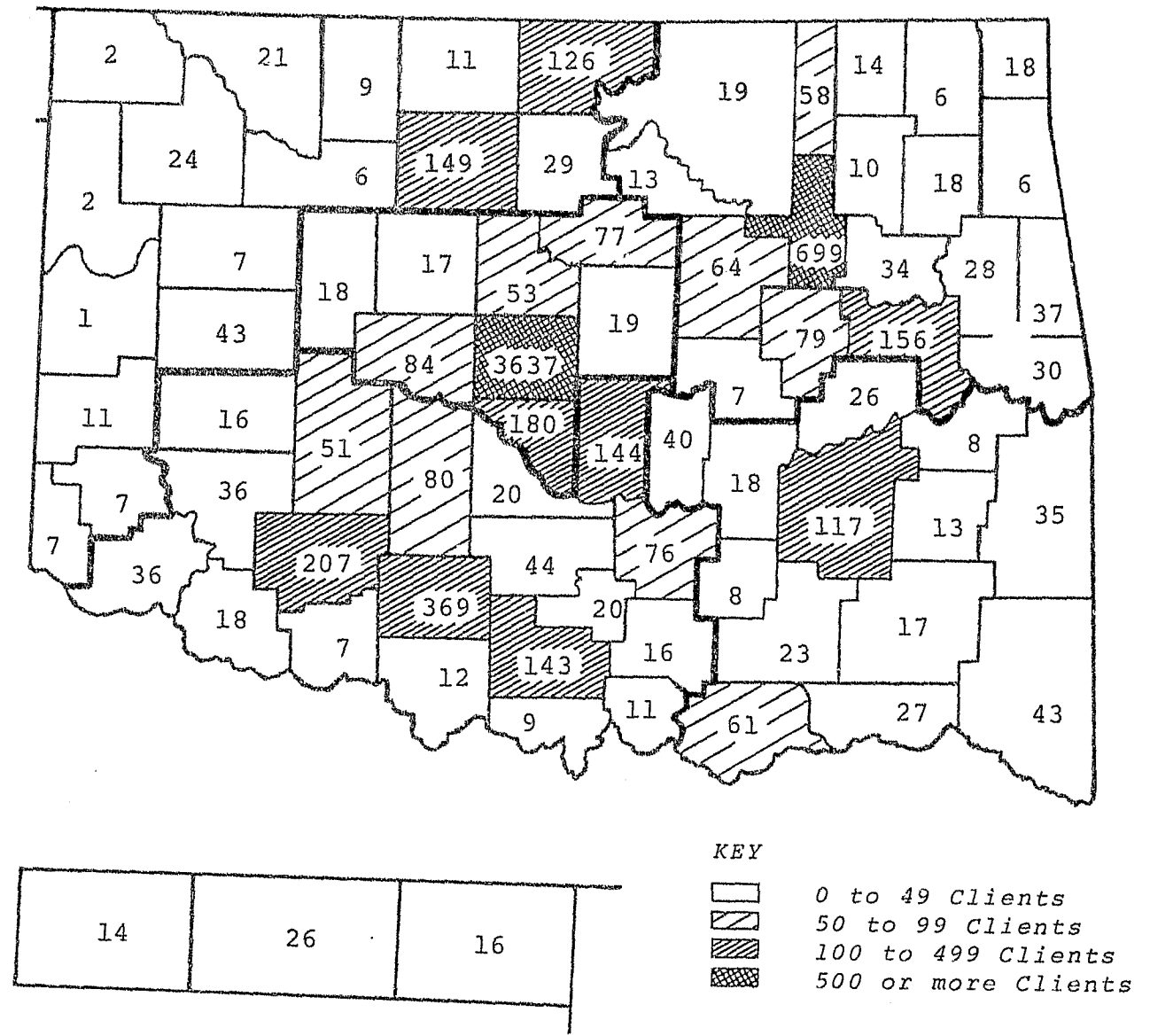
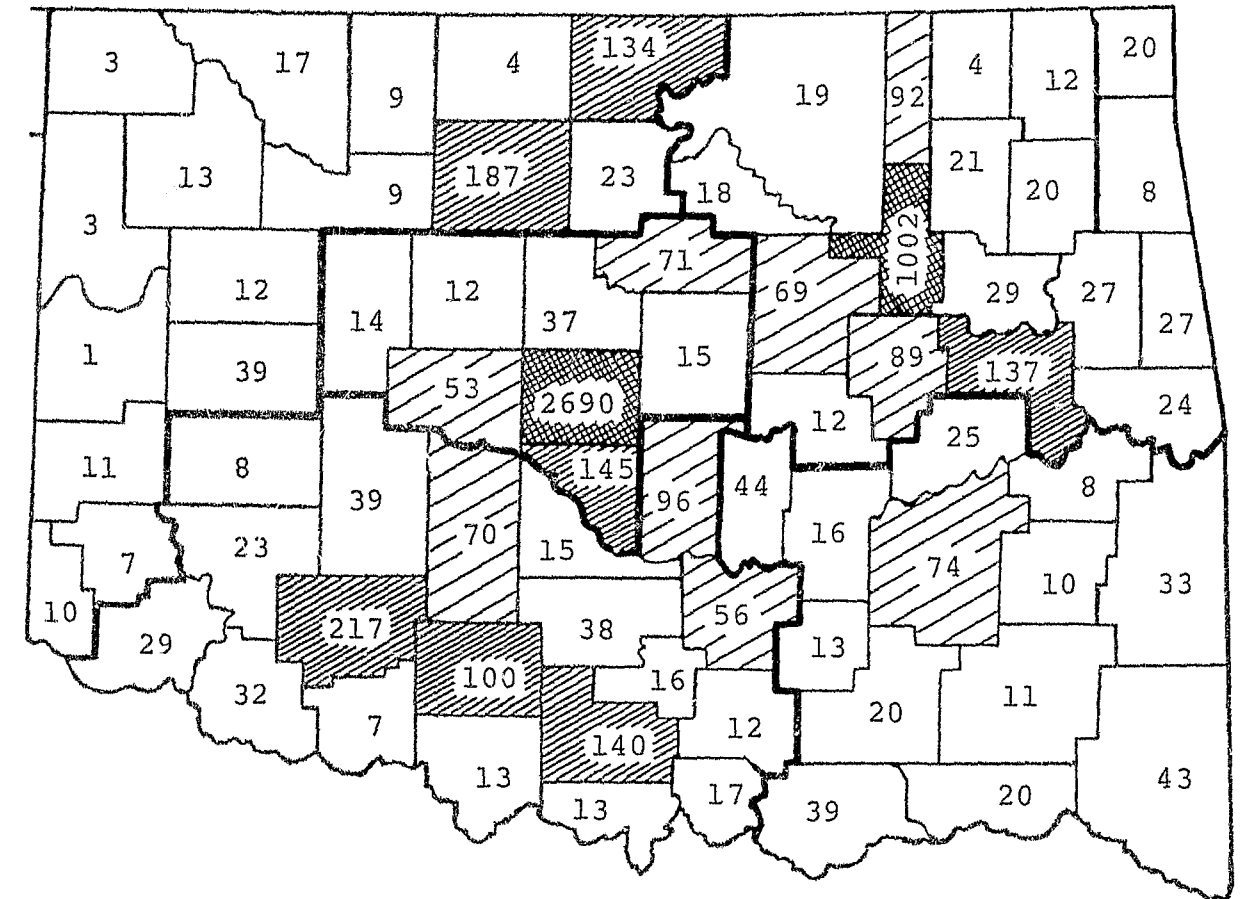


Fig. 11. County of Residence for all Probationers and Parolees living in Oklahoma under the supervision of Division of Probation and Parole in mid-March, 1973. (Oklahoma and Tulsa counties account for 57% of the total).

— Indicates current boundaries of District Offices.

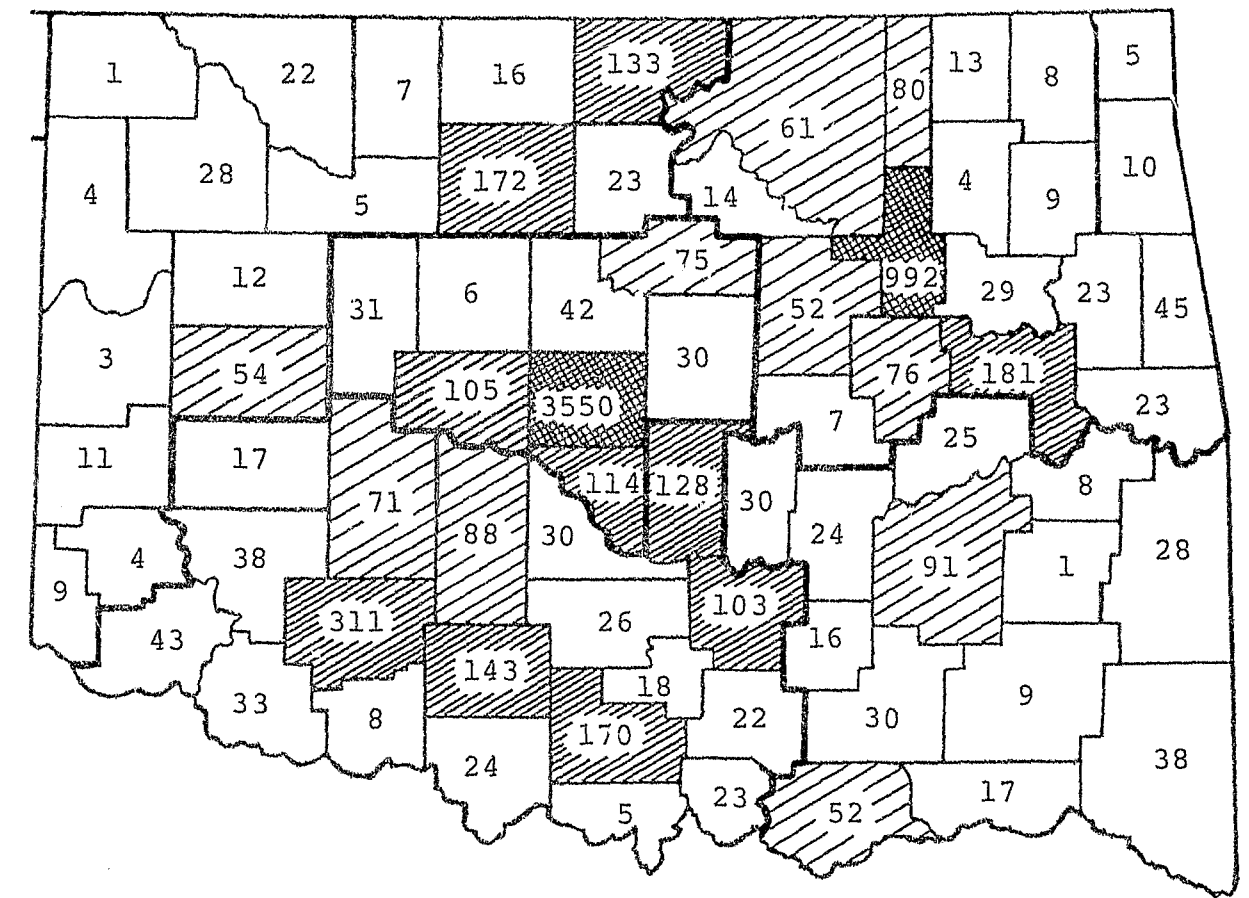


7	22	1
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KEY  
 0 to 49 Clients  
 50 to 99 Clients  
 100 to 499 Clients  
 500 or more Clients

Fig. 12. County of residence for all Probationers and Parolees living in Oklahoma under the supervision of the Division of Probation and Parole in mid-February, 1972. (Oklahoma and Tulsa counties account for 57% of total).

— Indicates current boundaries of District Offices.



12	21	12
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KEY  
 0 to 49 Clients  
 50 to 99 Clients  
 100 to 499 Clients  
 500 or more Clients

Fig. 13. County in which convicted for all Probationers and Parolees under the supervision of the Division of Probation and Parole in mid-March, 1973. (Oklahoma and Tulsa counties account for 58% of the total).

District I, District II, and District IV all have heavy concentrations of clients in their major metropolitan counties. However, each of these Districts are also responsible for the supervision of clients residing in counties with relatively sparse Probation and Parole populations. This phenomenon tends to weaken the argument for assigning such a large proportion of the Officer-positions available to the non-metropolitan District offices. For further data concerning this problem, refer to section A of Chapter 3, on Supervisory Reports and Investigations.

Reapportioning Officers among the five District offices may not be the entire, nor even the only, possible solution. Redistricting the State in order to create one or more new Districts may also be a viable alternative. Such a consideration, however, is beyond the scope of this evaluation. Consequently, only a few considerations concerning redistricting in order to assuage the current crush on the metropolitan counties are cited.

First, any redistricting would necessitate additional appropriations in order to locate and equip new District offices. On the other hand, currently, a number of Officers reside at a considerable distance from the location of the in District Office, although their residence is in or near the region for which they are responsible. Consequently, redistricting would not necessarily require current Officers to relocate their homes.

However, the distributions by county of residence previously illustrated tend to indicate a need to locate any new District Offices created in metropolitan areas of at least moderate size. Moreover, in view of the general tendency for Probationers and Parolees to be somewhat less economically-stable and consequently more transient than the population at large, it would not appear to be in the best interest of District Offices to split major metropolitan areas.

A final consideration should be given to the current boundaries of the State Judicial Districts. Currently, four Judicial Districts (Districts 4, 21, 22, and 23), each administered by a single presiding Judge, are divided by the current boundaries of Probation and Parole

District offices. (See Figure 14). Although there is no apparent requirement that Probation and Parole Districts be consistent with the boundaries of Judicial Districts, some benefits would accrue from such an arrangement. The presiding Judge in each District would be able to establish his own consistent administrative policy with a single District Supervisor, and each District Supervisor could maintain a closer rapport with the Courts in his District.



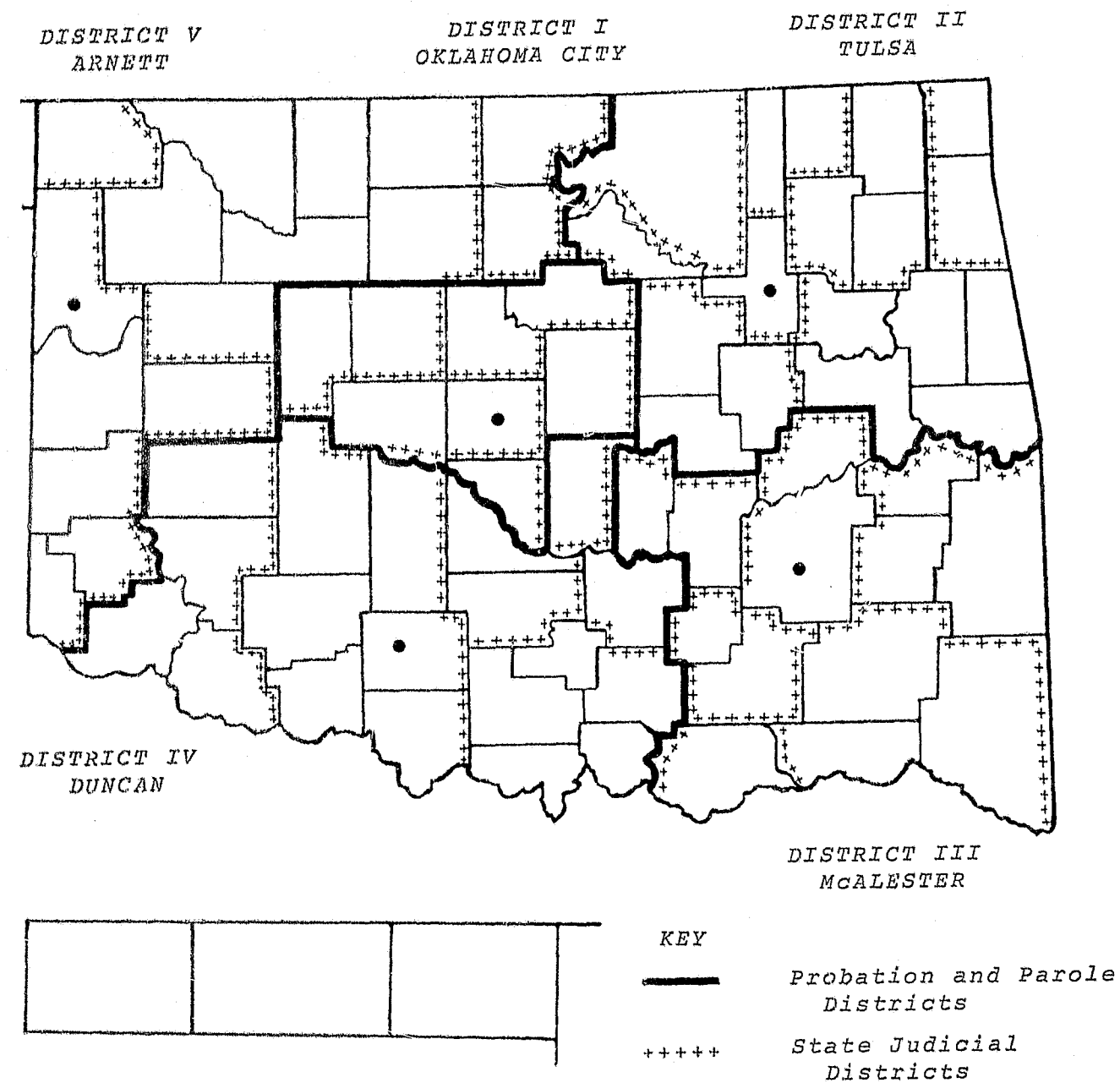


Fig. 14 Comparison of current State Judicial Districts and current boundaries of the District Probation and Parole Offices.

CHAPTER 3: SUPERVISORY ACTIVITIES

In the first Chapter of this evaluation, some characteristics of the current staff of the Division of Probation and Parole and the training afforded to them were discussed. Chapter 2 dealt with the nature of the current caseload under supervision: its offender characteristics; its prior growth, current size, and projected growth; its distribution among individual Officers and Aides; and its geographic distribution among District Offices. Neither of those Chapters alone, however, attempted to measure the dynamic process called community supervision, a process which involves interaction between the supervisory agent and the client-recipient of that supervision.

All currently developed measures of the dynamics of supervision are tenuous at best. Numerous variables, some recognized and some possibly unknown, affect this process. Consequently, great caution should be exercised in the interpretation of the data presented in this Chapter which purport to be measures of either the behavior of Officers or that of Probationers and Parolees.

Section A of this Chapter presents some measures of reported Officer activities, specifically the quantity of reports and investigations completed. However, the scope of this evaluation and the time available do not permit the design and implementation of any measures of the quality of those reports and investigations completed, with reference to the requirements specified by Grant 70-df-959. Again, no measure could be readily designed to evaluate the relative quality of those investigations.

Section C of this Chapter concerns the rate of revocation occurring during the Grant period, with reference to the Grant's projected changes in recidivism.

Section (A): REPORTS AND INVESTIGATIONS

All data presented in this section were obtained from these evaluators' tabulations of the District Activity Reports. Prior

to October of 1971, several versions of this Activity Report were utilized for various lengths of time. Beginning October of 1971, and coinciding with the date on which new personnel were first hired under this Grant, a revised and improved version of the District Activity Report was implemented. This new version, developed by the Division's administrative personnel and the Grant Coordinator, provided both more specific and more accurate data than had been retrieved previously.

From October of 1971, to December of 1972, a total of 120,240 reports and investigations were completed by the Officers and Aides of the Division of Probation and Parole. The majority of these (64.9% of the total) were routine Contact Reports. The next most frequent category (17.3%) consisted of Special Reports, which incorporate both positive and negative developments. The information contained in these reports is deemed more important than that in a routine Contact Report, but not demanding revocation action. Revocation and Violation Reports accounted for only 1.8% of the total. (See Table 6 ).

Differences did appear when these figures were analyzed for each District Office. Contact Reports accounted for 81.0% of the total reports completed by District IV and for 56.6% of District I's total. Wide disparities among the Districts occurred in the utilization of Special Reports: 29.8% of District I's total; 15.0% of District III's total; 3.7% of District V's total; and 2.6% and 2.2% respectively of District II's and District IV's totals.

Revocation and Violation Reports accounted for 6.9% of District V's total reports completed, although no other District showed a percentage greater than 1.8% in this category. Both District II (7.0%) and District V (6.9%) had greater percentages of Court Appearances than the remaining Districts which had percentages under 2.1%. However, it is not clear whether the category Court Appearances was utilized consistently to indicate appearances per Officer per day or appearances per Officer per case hearing.

No rational interpretation of the meaning of this data is possible without further analysis. Discrepancies in the percentages

TABLE 6

DISTRIBUTION OF TYPES OF REPORTS AND INVESTIGATIONS COMPLETED WITHIN DISTRICT OFFICES FROM OCTOBER 1, 1971, TO DECEMBER 31, 1972.

	DIST. I		DIST. II		DIST. III		DIST. IV		DIST. V		STATE TOTAL	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
TOTAL NUMBER	61561	100%	24844	100%	7142	100%	18057	100%	8636	100%	120240	100%
Pre-Sentence Reports	235	0.4	830	3.3	41	0.6	68	0.4	72	0.8	1246	1.0
Pre-Parole Reports	639	1.0	575	2.3	139	1.9	260	1.4	127	1.5	1740	1.4
Pre-Pardon Reports	150	0.2	134	0.5	24	0.3	60	0.3	44	0.5	412	0.3
Personal Histories	2626	4.3	1110	4.5	297	4.2	673	3.7	332	3.8	5038	4.2
Contact Reports	34850	56.6	17642	71.0	4944	69.2	14619	81.0	5981	69.3	78036	64.9
Performance Summaries	1963	3.2	1351	5.4	255	3.6	746	4.1	388	4.5	4703	3.9
Special Reports	18368	29.8	642	2.6	1070	15.0	394	2.2	318	3.7	20792	17.3
Revocation/Violation Reports	640	1.0	454	1.8	127	1.8	331	1.8	594	6.9	2146	1.8
Transfer Summaries	673	1.1	192	0.8	95	1.3	256	1.4	159	1.8	1375	1.1
Court Appearances	625	1.0	1739	7.0	150	2.1	290	1.6	600	6.9	3404	2.8
Miscellaneous Reports	792	1.3	175	0.7	0	0.0	360	2.0	21	0.2	1348	1.1

among Districts may reflect little more than variations of emphasis in the reporting practices of the five Districts with respect to quantity. Another, more likely possibility is that different Districts utilize different types of reports or even reporting practices to record similar events. However, it is entirely possible that these figures indicate real differences in the behavior of the clients assigned to each District.

In an attempt to determine whether reporting practices have changed over time, that is, since Grant 70-df-959 was implemented, four measures of activity were analyzed in six-month intervals from January, 1970, to December, 1972. The four measures chosen are the mean number of reports completed per month; the mean number of cases under supervision; the mean number of Officers and Aides in employment; and the mean total mileage per month which was reported as driven in the course of field supervision.

Again, great caution is urged in the interpretation of mileage data. First, different Districts are responsible for the supervision of clients residing in areas of varying size. Moreover, an increase in mileage reported as driven may indicate an increase in the amount of supervision afforded individual clients in field contacts, if the number of cases under supervision has not risen disproportionately. On the other hand, a decrease in the mileage reported as driven does not necessarily indicate a decrease in the amount of supervision afforded: Officers with exceptionally large caseloads may be changing their emphasis from field contacts to office contacts in order to interview a greater number of clients each month.

Additionally, the mileage figures shown include the use of sixteen state-owned vehicles assigned to District Offices in the following manner: none in District I; 2 in District II; 1 in District III; 9 in District IV; and 4 in District V. The Department of Corrections reimburses the State Motor Pool at the rate of eight cents per mile for the use of these automobiles, as compared to a rate of nine cents per mile paid to Officers for the use of their personal vehicles.

The mean number of cases under supervision has shown a steady increase over the past three years to a level of 7,979.83 cases during the last half of 1972. Throughout 1970 and 1971, the mean number of reports completed per month also showed an increase. However, reports per month showed abrupt increases during both the first and the last half of 1972. During 1972 (the major portion of the Grant period), the mean number of reports completed per month rose above the mean number of cases under supervision for the first time in the past three years. (See Table 7).

The mean number of Officers and Aides employed by the Department of Corrections within six-month intervals shows a steady increase through the first half of 1972, reaching 68.83. In the latter half of 1972, however, a mean average of only 63.6 Officers and Aides were in employment. (For further discussion of this phenomenon, refer to the section on Staffing in Chapter V).

The mean total mileage reported as driven per month by all five District Offices showed an increase until the latter half of 1971, at which time a slight decrease occurred. During the first half of 1972, an abrupt increase occurred in the mean monthly mileage reported, although this measure declined sharply again during the latter half of 1972. For reasons cited above, no rational explanation of these changes can be made at this time without further analysis.

The revised version of the District Activity Report, implemented in October of 1971, permitted an analysis of these same four measures of activity among the five District Offices during the effective Grant period (from October, 1971, through December, 1972). Although these measures were weak for reasons already stated, the results did tend to confirm the growing crisis in the District I office, which is responsible for the supervision of clients residing in Oklahoma County.

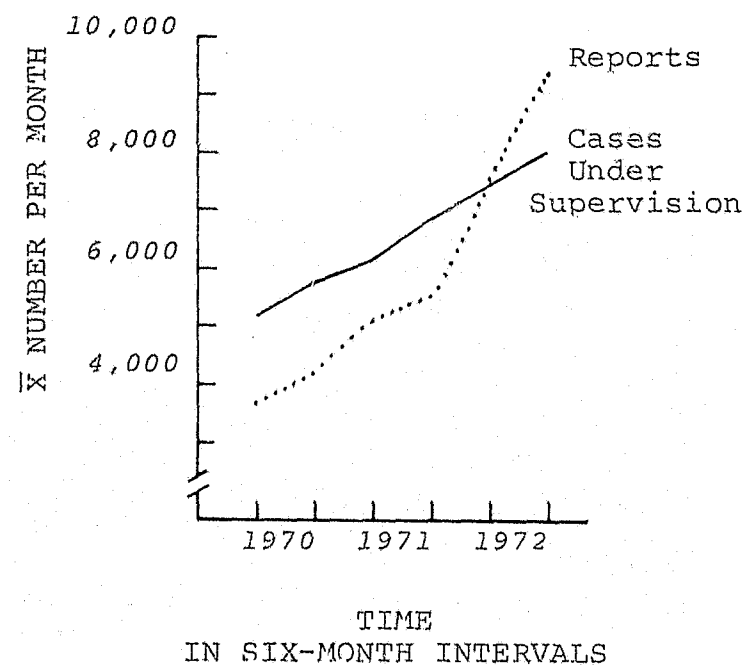
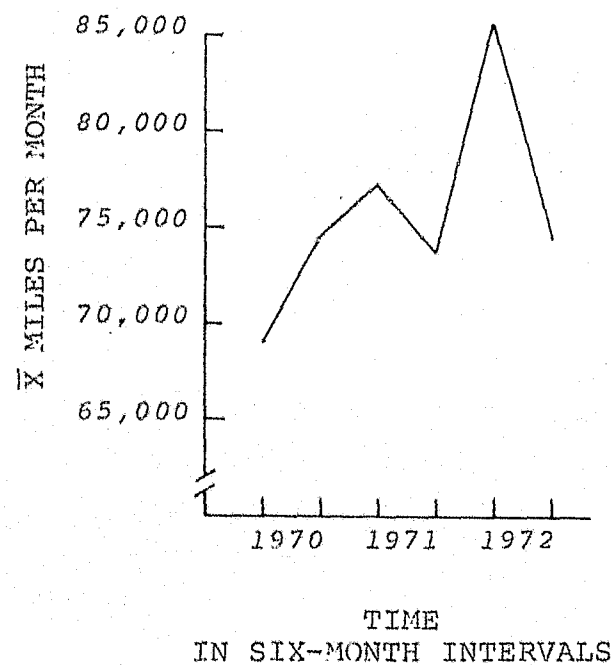
With 37.4% of all Officers and Aides in employment, District I accounted for 48.8% of the mean number of cases under supervision and for 51.2% of the mean number of reports completed per month. District I accounted for 23.9% of the mean total mileage reported as driven per month during this same time period. All four other

TABLE 7

MEASURES OF ACTIVITIES REPORTED BY ALL FIVE DISTRICT OFFICES IN SIX-MONTH INTERVALS FROM JANUARY, 1970, TO DECEMBER, 1972.

	MEASURES OF ACTIVITIES			
	Reports Per Month	Cases Under Supervision	Officers And Aides Employed	Mileage Reported Driven
	$\bar{x}$	$\bar{x}$	$\bar{x}$	$\bar{x}$
January-June '70	3719.1 $\bar{6}$	5182.50 <sup>1</sup>	44.50	68,964.1 $\bar{6}$
July-December '70	4182.50	5709.1 $\bar{6}$	49.6	74,359.8 $\bar{3}$
January-June '71	5104.1 $\bar{6}$	6191.00	55.0	77,042.6 $\bar{6}$
July-December '71	5538.0	6864.3 $\bar{1}$	60.6 $\bar{6}$	73,761.8 $\bar{3}$
January-June '72	7623.6 $\bar{6}$	7473.1 $\bar{6}$	68.8 $\bar{3}$	85,285.0
July-December '72	9380.5	7979.8 $\bar{3}$	63.6 $\bar{6}$	74,302.6 $\bar{6}$

<sup>1</sup> Computed with estimate for one District's caseload for one month within the six-month interval because of missing data.



Districts, including District II which is responsible for Tulsa and District IV which is responsible for Lawton, had a greater percentage of the Officers and Aides employed during the Grant period than their respective percentages of cases under supervision. District III and District V, like District I, had a greater percentage of the mean number of reports completed per month than their respective percentages of the mean number of cases under supervision. (See Table 8).

(The figures presented above include data available only through December of 1972. Recent increases in staff since that time have changed these relationships somewhat. According to the most recent information obtained, District I still has a greater percentage of the total cases, 51.1% at the end of February, 1973, than of the total staff, 42.3% at the end of March, 1973. District IV had 16.3% of the total cases at the end of February, and 15.4% of the total staff in employment at the end of March).

Section (B): PRE-SENTENCE INVESTIGATIONS

The requirements of Grant 70-df-959 specify that the use of pre-sentence investigations be expanded to a minimum of 50% of all felony cases adjudicated in fiscal year 1972 and 75% in fiscal year 1973. The Grant further indicates that such an expanded use of pre-sentence investigations should result in an estimated 25% increase in the use of probation, as opposed to penal incarceration, thus diverting at least 500 offenders from the institutions to community supervision.

Any diversion from institutions to community supervision which is the result of an expanded use of pre-sentence investigations would be extremely difficult to determine at this time because of the current decentralization of records between the Division of Probation and Parole and the Division of Institutions. Currently, pre-sentence investigations are conducted at the specific request of the sentencing Court, not as a routine matter in all felony prosecutions (with the exception of some Courts in Tulsa county).

TABLE 8.

MEASURES OF ACTIVITIES REPORTED BY DISTRICT OFFICES  
FROM OCTOBER, 1971, THROUGH DECEMBER, 1972.

	REPORTS PER MONTH		CASES UNDER SUPERVISION		OFFICERS AND AIDES EMPLOYED		MILEAGE REPORTED DRIVEN PER MONTH	
	$\bar{x}$	%	$\bar{x}$	%	$\bar{x}$	%	$\bar{x}$	%
STATE TOTAL	8016.73	100.0%	7587.73	100.0%	66.95	100.0%	78,913.36	100.0%
District I (Oklahoma City)	4103.6	51.2	3699.53	48.8	25.06	37.4	18,776.46	23.8
District II (Tulsa)	1656.26	20.7	1629.26	21.5	16.3	24.3	20,125.20	25.5
District III (McAlester)	476.13	5.9	397.46	5.2	5.86	8.8	11,070.2	14.0
District IV (Duncan)	1204.93	15.0	1358.53	17.9	12.2	18.2	18,035.3	22.9
District V (Arnett)	575.73	7.2	502.93	6.6	7.53	11.3	10,906.20	13.8

After a pre-sentence investigation is completed and forwarded to the requesting Court, judicial disposition on the case may be delayed several weeks or, in cases which are appealed, even several months.

Each District has developed its own method of determining in which new probation cases remanded by the Courts a pre-sentence investigation was previously conducted. Conversely, when the State Penitentiary receives a new inmate, a standard form letter is mailed to the District containing the county of conviction, requesting a copy of the pre-sentence investigation *if* such an investigation were conducted.

Consequently, District Offices are able to report how many pre-sentence investigations are conducted in a given period and how many new probation cases are opened in which a pre-sentence investigation was conducted. However, according to personnel in the State Penitentiary's Classification Department, current maintenance of records do not readily permit a determination of the number of inmates received in whose cases a pre-sentence investigation was conducted.

From tabulations of District Activity Reports, the staff of the Division of Probation and Parole conducted 1,338 pre-sentence investigations in fiscal year 1971; 1,028 investigations in fiscal year 1972; and 394 investigations from July of 1972 to December of 1972. In fiscal year 1971, according to data obtained from the Classification Department of the State Penitentiary, 2,125 new commitments were received in Oklahoma's penal institutions, and 1,963 new commitments were received in fiscal year 1972. From July of 1972 through December of 1972, 901 new commitments were received by Oklahoma prisons.

Data, compiled by the Grant Coordinator, from the Districts' log books of all new cases opened, indicated that 3,287 new probation cases were opened during fiscal year 1972. No figures were readily obtainable for the number of new probation cases opened during fiscal year 1971; however, 15,009 new probation cases were opened from July of 1972 through December of 1972.

From the same compilations of the Districts' log books, 244 new probation cases were opened during fiscal year 1972 in which a pre-sentence investigation had been conducted. This comprised 7.4% of all new probation cases opened during that time period. From July of 1972 through December of 1972, 207 new probation cases were opened in which pre-sentences had been conducted, comprising 13.7% of all new probation cases opened.

Beyond this, few conclusions can be drawn from these figures. A decline in the number of new commitments to Oklahoma penal institutions did occur, and as evidenced in preceding Chapters of this evaluation, the total State caseload is growing rapidly. However, it is not clear that the difference between the 1,028 pre-sentence investigations conducted during fiscal year 1972 and the 244 new probation cases opened during fiscal 1972 in which pre-sentence investigations had been conducted is the equivalent of the number of adjudications which resulted in prison incarceration. Among other possibilities, pre-sentence investigations conducted during that time period may have been for cases in which a final Court disposition was not obtained until the following fiscal year.

Most likely, however, the decentralization of the maintenance of records which overlap institutional incarceration and community supervision has resulted in the apparent discrepancies which appear in these figures.

Another measure of the use of pre-sentence investigations which was available is the distribution of such investigations between the two major metropolitan counties (Oklahoma and Tulsa) and the remaining 75 counties in Oklahoma. For all new probation cases in which supervision was initiated between July 1, 1971, and December 31, 1972, 12.3% of all cases convicted in the major metropolitan areas were accompanied by pre-sentence investigations. Of all new probation cases convicted in the non-metropolitan counties and in which supervision was initiated during this one and one-half year interval, 5.3% were accompanied by pre-sentence investigations, although 9.4% of all cases opened in the State had pre-sentence investigations conducted (See Table 9 ).

TABLE 9.

DISTRIBUTION OF USE OF PRE-SENTENCE REPORTS FOR ALL NEW PROBATION CASES FOR WHICH SUPERVISION WAS INITIATED FROM JULY 1, 1971, TO DECEMBER 31, 1972.

	MAJOR METROPOLITAN (Oklahoma and Tulsa Counties)		NON-METROPOLITAN (Other than Oklahoma and Tulsa Counties)		STATE TOTAL (All Counties)	
	Number	Percent	Number	Percent	Number	Percent
TOTAL CASES	2797	100.0%	1999	100.0%	4796	100.0%
PRE-SENTENCE REPORTS						
With	345	12.3	106	5.3	451	9.4
Without	2452	87.7	1893	94.7	4345	90.6

A final measure of the use of pre-sentence reports was presented in the preceding section of this Chapter, devoted to reports and investigations. Of all reports and investigations completed within the Division of Probation and Parole from October of 1971 through December of 1972, 1% were pre-sentence investigations. The only District with a higher percentage was District II, with 3.3% of its total reports as pre-sentence investigations. Again, this can be explained by the fact that certain Courts in Tulsa county routinely request a pre-sentence investigation in all felony adjudications.

In order to evaluate adequately what effect a pre-sentence investigation has upon the Court's disposition of a criminal case, some method must be developed to provide each District with feedback concerning the disposition of cases in which pre-sentence investigations are conducted.



Recording results of pre-sentence investigations is not the full extent of problems created by Grant 70-df-959's requirement for the expanded use of pre-sentence investigations. Pre-sentences are lengthy and comprehensive reports, concerning virtually every aspect of a criminal defendant's prior behavior. These investigations are time consuming, and any increase in the quality of these investigations would likely necessitate a reduction in the quantity which could be conducted. Only pre-pardon and pre-parole investigations approach the amount of time and effort ordinarily required by a pre-sentence.

To illustrate, one Officer, who was assigned no caseload in order to conduct pre-sentence, pre-parole, and pre-pardon investigations exclusively, during 1972 averaged 9 pre-sentences, 22 pre-paroles, and 6 pre-pardons per month, in addition to all incidental client contacts and required court appearances. Recalling that a pre-sentence investigation ordinarily requires more time and effort than a pre-parole or pre-pardon investigation, and assuming that one Officer could complete 30 pre-sentences per month (a liberal estimate), 9 additional Officers would have been required to devote their full time in order to conduct a pre-sentence investigation in each of the 4,796 probation cases opened from July of 1971 through December of 1972.

Large and rapidly growing caseloads currently provide little incentive for District Supervisors or Division Administrators actively to encourage Courts to expand their present use of pre-sentence investigations. Grant 70-df-959 appears in retrospect to have been most unrealistic in its projections concerning pre-sentence investigations.

#### Section (C): REVOCATIONS

For fiscal year 1972, Grant 70-df-959 projected a reduction by at least 50 percent of the "423 probation and parole violations", occurring in fiscal year 1971. Also, general "recidivism" rates were projected to be reduced by 20 percent in fiscal year 1972.

However, these somewhat ambiguous requirements do not define either "violation" or "recidivism rate". Inasmuch as coinciding figures were not located, it could not be determined whether "violations" was intended to refer to all violations which occurred, all violations which were reported, or all violations which resulted in a disposition of revocation of sentence.

Similarly, a "lower recidivism rate" could refer to a decrease in the number of new crimes committed by Probationers and Parolees, or to a reduction in the number of new criminal convictions which result. Recidivism could also be defined as the actual rate of return to prison or as the rate of violations which are observed and reported for administrative or judicial action, regardless of the disposition.

For the purposes of this evaluation, the measure chosen for analysis is the rate of revocation of sentence. However, this is not intended to be a definitive measure of recidivism. Beyond the possible limitations cited above, a Probationer or Parolee could also satisfactorily complete his term of community supervision and subsequently be convicted of a new crime and incarcerated.

Moreover, revocation rates are far from an ideal measure for other reasons. For example, a lower revocation rate could indicate merely a reduction in the number of violation reports prepared by Officers. These reports are time-consuming to compile and prepare. Consequently, as the caseload of an individual Office increases, fewer reports can be expected. Nevertheless, the rate of revocation is the most accessible objective measure that can be retrieved from the data currently maintained by the Division.

The underlying assumption of the Grant appears to be that as the caseload-per-Officer ratio declines, better supervision will occur and a decrease in the recidivism (revocation) rate will result.

In fact, the caseload-per-Officer ratio increased during the Grant period, but the percentage of cases for which supervision was terminated due to revocation of sentence declined slightly nevertheless.

Over the past three years, the Division of Probation and Parole experienced a continuous rise in the mean number of cases under supervision per six-month interval. The mean caseload-per-Officer ratio declined slightly (from 116.5 to 109.0) until the latter half of 1972, at which point an abrupt increase to 125.5 cases-per-Officer occurred. However, the percentage of case terminations due to revocation showed a decline from 20.6% of all cases terminated to 10.1%. (See Table 10).

However, the District Activity Reports, from which the data were collected, did not distinguish between Parole and Probation revocations prior to December, 1971. By that month, revised forms which separated Probation revocations from Parole revocations were fully implemented. Consequently, during the Grant period, with more specific data available, a somewhat different trend emerges.

The total number of cases under supervision in the State for both Probation and Parole showed a steady increase over the thirteen-month period, with a concomitant rise in the mean cases-per-Officer ratio from 102.2 to 146.8. (See Tables 11 and 12). The percentage of terminations due to revocation fluctuated greatly from month to month. Nevertheless, over the entire thirteen-month interval, a gradual decline in the rate can be observed. (See Figure 15).

As could be expected, the percentages of revocation among Parolees (ranging from 11.8% in July to 33.3% in June) are higher than among Probationers (ranging from 7.9% in September to 17.9% in June). Abrupt declines occur in July, 1972, for both Parolees and Probationers. Vacations for Officers and Court recesses could partially account for this decline.

(The data in this Chapter do not include other States' cases for which courtesy supervision through the Interstate Parole Compact was provided in Oklahoma because the type of termination in those cases is not distinguished).

TABLE 10.

BREAKDOWN OF TYPES OF TERMINATION: OKLAHOMA PROBATION AND PAROLE CASES CLOSED DURING SIX-MONTH INTERVALS FROM JANUARY, 1970, THROUGH DECEMBER, 1972.

	TOTAL STATE CASES	CASELOAD PER OFFICER <sup>1</sup>	CASES IN WHICH SUPERVISION TERMINATED								
			IN GOOD STANDING		PARDONED		DECEASED		REVOKED		TOTAL
			NO.	%	NO.	%	NO.	%	NO.	%	NO.
JAN.-JUNE 1970	4522.3 <sup>2</sup>	116.5	1009 <sup>3</sup>	76.2	25 <sup>3</sup>	1.9	18 <sup>3</sup>	1.4	273 <sup>3</sup>	20.6	1325 <sup>3</sup>
JULY-DEC. 1970	5128.0	115.1	1076	79.8	33	2.4	21	1.6	218	16.2	1348
JAN.-JUNE 1971	5960.5	112.6	1630	86.3	6	0.3	21	1.1	231	12.2	1888
JULY-DEC. 1971	6604.7	113.3	1159	81.6	4	0.3	30	2.1	228	16.0	1421
JAN.-JUNE 1972	7138.0	109.0	1530	84.2	11	0.6	19	1.0	258	14.2	1818
JULY-DEC. 1972	7455.5	125.5	1505	87.4	9	0.5	34	2.0	173	10.1	1721
$\bar{X}$ =MEAN AVERAGE	6134.8	115.3	1318.2	82.6	14.7	1.0	23.8	1.5	230.2	14.9	1586.8
Mdn= MEDIAN	6282.6	114.2	1332	82.9	10	0.6	21.0	1.5	229.5	15.1	1571

<sup>1</sup> Excludes data for Special Community Supervision Project which, by definition, provided small caseloads per Officer. Includes all cases (Probation, Parole, and Interstate Compact) assigned to Officers for supervision.

<sup>2</sup> Total for one District in one month was estimated because of missing data.

<sup>3</sup> Totals are slightly low because of missing data in one District for one month.

TABLE 11.

BREAKDOWN OF TYPES OF TERMINATION FOR ALL OKLAHOMA PROBATION CASES  
CLOSED FROM DECEMBER, 1971, THROUGH DECEMBER, 1972.

	TOTAL PROBATION CASES UNDER SUPERVISION	CASELOAD PER OFFICER <sup>1</sup>	PROBATION CASES IN WHICH SUPERVISION TERMINATED								
			IN GOOD STANDING		PARDONED		DECEASED		REVOKED		TOTAL
			NO.	%	NO.	%	NO.	%	NO.	%	NO.
DEC. 1971	5952	102.2	181	88.7	0	0.0	3	1.5	20	9.8	204
JAN. 1972	5991	105.7	182	82.0	0	0.0	1	0.0	39	17.6	222
FEB. 1972	6192	106.2	184	85.6	1	0.0	2	0.1	28	13.0	215
MAR. 1972	6250	105.8	262	87.9	1	0.0	1	0.0	34	9.1	298
APR. 1972	6345	105.9	261	88.5	1	0.0	4	1.4	29	9.8	295
MAY 1972	6387	107.9	225	86.2	0	0.0	4	1.6	32	12.3	261
JUNE 1972	6573	110.6	193	80.4	2	0.1	2	0.1	43	17.9	240
JULY 1972	6397	110.0	230	89.5	0	0.0	4	0.2	23	8.9	257
AUG. 1972	6391	119.6	190	84.4	3	1.3	2	0.1	30	13.3	225
SEPT. 1972	6477	123.7	240	90.6	1	0.0	3	1.1	21	7.9	265
OCT. 1972	6574	120.0	291	88.9	0	0.0	6	1.8	30	9.2	327
NOV. 1972	6501	133.0	247	91.5	0	0.0	2	0.1	21	7.8	270
DEC. 1972	6820	146.8	179	88.2	0	0.0	7	3.4	17	8.4	203
$\bar{X}$ =MEAN AVERAGE	$\bar{X}$ = 6373.1	$\bar{X}$ = 115.2	$\bar{X}$ = 220.4	$\bar{X}$ = 87.1	$\bar{X}$ = 0.7	$\bar{X}$ = 0.1	$\bar{X}$ = 3.2	$\bar{X}$ = 0.9	$\bar{X}$ = 28.2	$\bar{X}$ = 11.2	$\bar{X}$ = 252.5
Mdn= MEDIAN	Mdn= 6391	Mdn= 110	Mdn= 225	Mdn= 88.2	Mdn= 0	Mdn= 0.0	Mdn= 3	Mdn= 0.2	Mdn= 29	Mdn= 9.8	Mdn= 257

<sup>1</sup> Measure used was the total number of all cases (including both Probation and Parole) under supervision at the end of month divided by total number of Officers and Aides in employment.

TABLE 12.

BREAKDOWN OF TYPES OF TERMINATION FOR ALL OKLAHOMA PAROLE CASES  
CLOSED FROM DECEMBER, 1971, THROUGH DECEMBER, 1972.

	TOTAL PAROLE CASES UNDER SUPERVISION	CASELOAD PER OFFICER <sup>1</sup>	PAROLE CASES IN WHICH SUPERVISION TERMINATED								
			IN GOOD STANDING		PARDONED		DECEASED		REVOKED		TOTAL
			NO.	%	NO.	%	NO.	%	NO.	%	NO.
DEC. 1971	814	102.2	23	59.0	2	5.1	4	10.3	10	25.6	39
JAN. 1972	812	105.7	23	65.7	1	2.9	4	11.4	7	20.0	35
FEB. 1972	836	106.2	18	64.3	1	3.6	0	0.0	9	32.1	28
MAR. 1972	853	105.8	39	78.0	1	2.0	0	0.0	10	20.0	50
APR. 1972	861	105.9	25	71.4	1	2.9	0	0.0	9	25.7	35
MAY 1972	876	107.9	24	75.0	0	0.0	1	3.1	7	21.9	32
JUNE 1972	852	110.6	20	60.6	2	6.1	0	0.0	11	33.3	33
JULY 1972	904	110.0	14	82.4	0	0.0	1	5.9	2	11.8	17
AUG. 1972	884	119.6	20	80.0	1	4.0	0	0.0	4	16.0	25
SEPT. 1972	920	123.7	21	75.0	2	7.1	0	0.0	5	17.9	28
OCT. 1972	936	120.0	24	72.7	0	0.0	2	6.1	7	21.2	33
NOV. 1972	933	133.0	23	62.2	2	5.4	4	10.8	8	21.6	37
DEC. 1972	996	146.8	26	72.2	0	0.0	3	8.3	7	19.4	36
$\bar{X}$ =MEAN AVERAGE	$\bar{X}$ = 882.9	$\bar{X}$ = 115.2	$\bar{X}$ = 23.1	$\bar{X}$ = 70.7	$\bar{X}$ = 1	$\bar{X}$ = 3.0	$\bar{X}$ = 1.5	$\bar{X}$ = 4.3	$\bar{X}$ = 7.4	$\bar{X}$ = 22.0	$\bar{X}$ = 32.9
Mdn= MEDIAN	Mdn= 876	Mdn= 110.0	Mdn= 23	Mdn= 72.2	Mdn= 1	Mdn= 2.9	Mdn= 1	Mdn= 3.1	Mdn= 7	Mdn= 21.2	Mdn= 33

<sup>1</sup> Measure used was the total number of all cases (including both Probation and Parole) under supervision at the end of month divided by total number of Officers and Aides in employment.

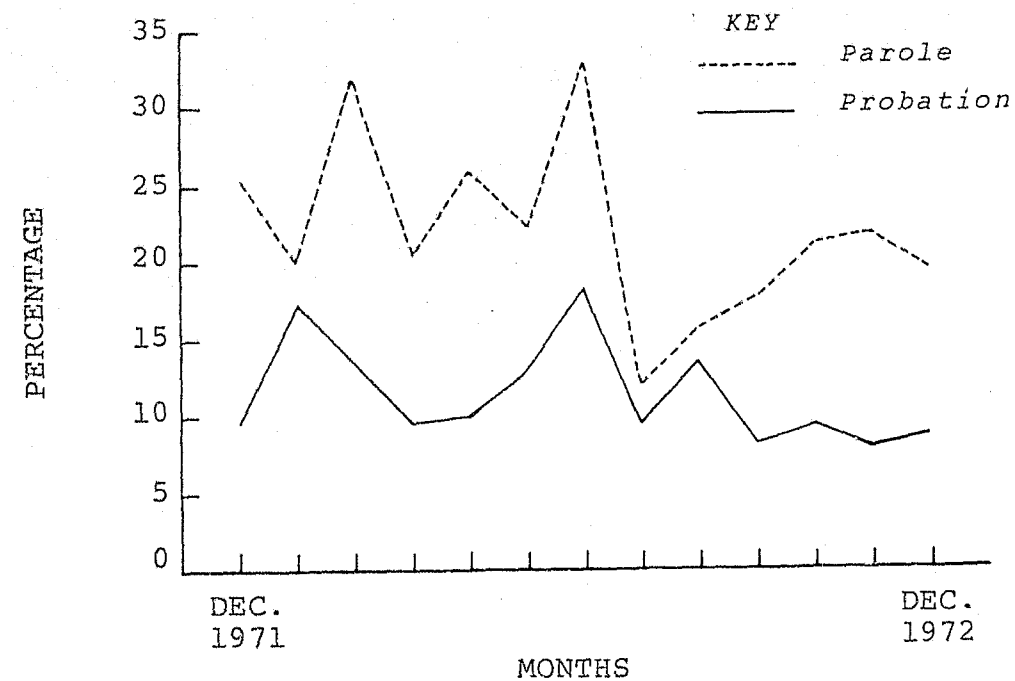


Fig. 15. Percentage of Probation and Parole cases in which supervision was terminated due to revocation of sentence from December, 1971, through December, 1972.

Contrary to Grant 70-df-959's projections, the revocation rate declined slightly despite the fact that the cases-per-Officer ratio increased. A number of recent studies, including Oklahoma's Special Community Supervision Project, have concluded that caseload size alone will not determine revocation rates, and that a reduction in the quantity of supervision provided clients may even result in a decreased revocation rate. On the basis of the data available, this evaluation cannot reach such a conclusion. A satisfactory explanation for the decline in revocation rate which did occur cannot be advanced until more information becomes available.

The District Activity Reports, from which the data for this Chapter were gathered, did not distinguish between revocations which resulted from technical rule violations and revocations due to new criminal convictions.

Obtaining this information would have entailed searching thousands of closed files, one by one, in order to distinguish the type of revocation. Although time-consuming, such a project would be of great value in analyzing the revocation process as it relates to caseload size for the reasons stated below.

As the cases-per-Officer ratio increases, a reasonable hypothesis would be that the number (although not necessarily the percentage) of revocations due to new criminal convictions would increase because the Officer would be supervising more clients. Conversely, the percentage as well as the number of revocations due to technical violations might be expected to decline because the Officer would have less time per client to discover, investigate and report such violations.

Until data becomes available to determine to what degree changes in each of these types of revocation rates contributes to the overall (but slight) decrease in revocation rate which was demonstrated, certainly no rational interpretation is possible, much less conclusions about the quantity or quality of supervision afforded.

Moreover, little is known at this time concerning the characteristics of the Oklahoma Probationer or Parolee who is revoked. Within the time available and the scope required for this evaluation, the only readily-available measure presented is a distribution of the crimes for which clients were originally convicted among the types of case-termination for all Parole cases closed in 1972. Of this sample, Burglary offenses accounted for 32.5% of all revocations; Forgery and Bogus Check offenses accounted for 21.3%; and Auto Theft accounted for 13.8%. (See Table 13).

The above can be interpreted only as a measure of the types of cases for which Parole revocation in 1972 occurred, however, and not as an indication of the offenders most likely to be revoked. To determine the latter, it would be necessary to evaluate over time the behavior of all Parolees who had been convicted of a particular crime, rather than the behavior of all whose case, coincidentally or not, terminated in a given time period. Among

TABLE 13.

DISTRIBUTION OF GENERAL OFFENSE CATEGORIES WITHIN TYPES OF DISPOSITION FOR ALL PAROLE CASES CLOSED FROM JANUARY 1, 1972, TO DECEMBER 31, 1972.

	PAROLE CASES CLOSED DURING 1972									
	PARDONED		EXPIRED		DECEASED		REVOKED		STATE TOTAL	
	No.	%	No.	%	No.	%	No.	%	No.	%
TOTAL CASES	7	100%	240	100%	4	100%	80	100%	331	100%
ASSAULTIVE										
Homicide	1	14.3	0	0.0	0	0.0	0	0.0	1	0.3
Manslaughter	1	14.3	10	4.2	1	25.0	1	1.3	13	3.9
Assault	0	0.0	10	4.2	0	0.0	4	5.0	14	4.2
Robbery	1	14.3	13	5.4	0	0.0	7	8.8	21	6.3
Rape	1	14.3	4	1.7	0	0.0	1	1.3	6	1.8
Subtotal	4	57.1	37	15.5	1	25.0	13	16.4	55	16.5
PROPERTY										
Burglary	2	28.8	73	30.4	1	25.0	26	32.5	102	30.8
Forgery/Checks	1	14.3	34	14.2	0	0.0	17	21.3	52	15.7
Larceny/Theft	0	0.0	33	13.8	1	25.0	7	8.8	41	12.4
Auto Theft	0	0.0	24	10.0	0	0.0	11	13.8	35	10.6
Other Fraud	0	0.0	13	5.4	1	25.0	1	1.3	15	4.5
Subtotal	3	42.9	177	73.8	3	75.0	62	77.7	245	74.0
OTHER										
Sex Offenses	0	0.0	3	1.3	0	0.0	0	0.0	3	0.9
Drugs	0	0.0	6	2.5	0	0.0	0	0.0	6	1.8
All Others	0	0.0	17	7.1	0	0.0	5	6.3	22	6.6
Subtotal	0	0.0	26	10.9	0	0.0	5	6.3	31	9.3

other reasons, the time served in prison and the time served on Parole most likely affect this rate of revocation.

The data does indicate, however, that in 1972 over 67% of all Parole revocations occurring were for clients originally convicted of three major crimes against property.

(These figures were data compiled by the Grant Coordinator from the District's log books of all cases opened and closed, and they indicate 331 Parole cases terminating in 1972. The tabulation of District Activity Reports by these evaluators indicated 389 Parole cases terminating in 1972, and the cause of this discrepancy could not be determined).

#### CHAPTER 4: FEASIBILITY OF MISDEMEANANT SUPERVISION

Grant 70-df-959, as cited at the beginning of this evaluation, required that the Division of Probation and Parole undertake a study and develop a comprehensive plan for the expanded use of probation services for misdemeanor offenders. Specifically, this was Task E of Phase II of the Grant's Work Schedule.

The Division of Probation and Parole implemented this task by requesting one of its Officers to undertake such a study by interviewing District Judges from five of the most populous Judicial Districts in the State of Oklahoma. The results of that study were presented to the Oklahoma Crime Commission as part of the Grant Progress Report submitted on June 30, 1972. The conclusions which that study reached are summarized as follows:

- (a) The opinion of the Judges interviewed was that the current Oklahoma Statutes do provide for pre-sentence investigation services and supervisory services for misdemeanor cases. However, most of the Judges perceived no need for mandatory pre-sentence investigations of all misdemeanor cases prior to sentencing, rather, that such investigations be conducted on a select basis at the discretion and request of the Courts.
- (b) All Judges interviewed agreed that misdemeanor cases should not be supervised at the expense of sacrificing the supervision of felony cases, especially those involving 18 to 25-year-old first offenders.
- (c) Most were of the opinion that little benefit could be derived from supervising misdemeanants with sentences less than six months in duration. Most agreed, however, that some serious misdemeanor cases could be beneficially provided with supervision. Offenses mentioned included: Driving Under the Influence of Intoxicants; Aggravated Assault; Possession of Marijuana; Child Beating; or any offense which requires a sentence of six months to one year incarceration.

(d) During 1971, Oklahoma Courts terminated 174,128 misdemeanor cases, of which approximately five percent (roughly 9,000 cases) resulted in placing the defendants on probation for one to two years deferred sentences or in sentencing defendants to one year jail incarceration. In order to provide probationary services for these 9,000 additional cases and in order to retain a ratio of 90 cases per Officer, the Department of Corrections would be required to hire an additional 100 Probation and Parole Officers.

(e) Legislation passed during 1971, which reduced the first offense of possessing some types of controlled drugs to a misdemeanor, will likely result in an increased number of misdemeanor offenses adjudicated in Oklahoma in the future.

The study described, undertaken by the Division of Probation and Parole in accordance with the requirements of Grant 70-df-959, concluded that further study is necessary to determine more accurately what volume of increase in misdemeanor crime in Oklahoma can be expected. Additionally, that study suggested that the number of misdemeanor cases placed under probationary supervision within the Department of Corrections be compared to the number of misdemeanor cases which could have been (but were not) placed under the supervision of the Department.

In addition to the conclusions reached in that study, these evaluators would add only three additional points, all of which underscore the unrealistic nature of the Grant's requirement that the Division of Probation and Parole develop a comprehensive plan for the expanded use of probationary supervision for misdemeanor cases.

First, records maintained at this time present no readily-accessible means of distinguishing what percentage of cases currently under supervision are misdemeanor convictions rather than felony convictions. Typically, however, the Courts refer only some serious misdemeanor cases to the Department for supervision. Consequently, the Division of Probation and Parole necessarily



requires time and manpower to improve its current client-population accounting procedures before it can effectively evaluate either the impact of current levels of misdemeanor supervision or the potential impact of expanded supervisory efforts in this area.

Secondly, the very nature of misdemeanor supervision presents unusual problems for the supervising Officer. Ordinarily, locating and interviewing a new probationer and processing the forms necessary to open such a new case require considerably more time and effort on the part of the supervising Officer than routine supervision of a case which has already been opened. Procedures for closing cases also require greater expenditures of time and effort than routine supervision. Misdemeanants, by definition, have received sentences of considerably shorter duration than felons. Consequently, misdemeanor supervision necessarily requires a much smaller ratio of cases per Officer than felony supervision. Without a smaller ratio, an Officer would most likely spend the greatest portion of his time merely opening and closing cases, rather than providing effective community supervision.

Third, as indicated in the Division's study, providing misdemeanor supervision for only those cases in which a one-year sentence was imposed would require that the Division of Probation and Parole more than double its current staff of Officers. Considering the difficulties already described in this evaluation, which result from a rapidly growing caseload and a continuing shortage of manpower, understandably, the Department of Corrections does not look favorably upon developing comprehensive plans to expand supervisory services further without some real prospect of solving its current manpower shortages.

## CHAPTER 5: ADMINISTRATIVE IMPLEMENTATION

This Chapter is devoted to answering various questions concerning Grant implementation by the recipient agency for which responses are required in each Grant Progress Report and Evaluation submitted to the Oklahoma Crime Commission.

The scope of Grant 70-df-959 includes both administrative changes and substantive results which are inextricably meshed. For example, the projected ratio of 90 cases-per-Officer is premised upon hiring an additional 20 Officers and eight paraprofessional Aides. As specific topics in this Chapter relate to other results presented in this evaluation, references will be made to appropriate chapters. Nevertheless, the substance of this Chapter should be interpreted in light of the entire report.

The first section deals with cost-benefit factors (cost per client treated) and related issues, such as: evidence of local and state support received; evidence that local and state expenditures did not decrease as a result of the Grant; and plans for assumption of financial support of the project after LEAA support is discontinued.

The second section is devoted to general aspects of staffing Grant 70-df-959: number of employees hired with Grant funds; incidence of discrimination in hiring practices, if any; and problems related to employee turnover rates.

### SECTION (A): COST-BENEFIT FACTORS

Grant 70-df-959 does not lend itself easily to an analysis of the cost per client treated because the nature of the Grant itself was to increase the personnel available to provide client-supervision. The hypothesis was that additional supervisory personnel would improve the quality of treatment afforded.

As discussed earlier, utilization of funds for Grant 70-df-959, originally intended for complete expenditure between July 1, 1971, and June 30, 1972, did not begin until August of 1971, when preliminary arrangements were made for the purchase of equipment.

No personnel (Officers and/or Aides) were hired with Grant money until October of 1971, and the total allotment of \$250,000 was not fully expended until the end of December, 1972, a period of fifteen months.

During that time period, the Division of Probation and Parole expended \$880,827.55 of appropriated State funds. Approximately \$12,650.00 were spent by the State Employment Securities Commission to employ three people subsidized by E.E.A. (one as an Officer in District V and two as clerical aides in District II). Thus, a total of \$893,477.55 was utilized from October of 1971, through December of 1972, for the supervision of Probationers and Parolees adjudicated as adults in Oklahoma.

Again, during the same time-frame, a mean average of 7,688 clients were afforded community supervision by the Division of Probation and Parole. Thus, the cost per client treated during the effective (but not technical) Grant period was almost 26¢ per day. If the total Grant allotment of \$250,000 is included in these computations, the cost per client per day rises to slightly more than 33¢.

However, such analyses are virtually useless. If Grant 70-df-959 had not been awarded to the Department of Corrections, no reason exists to believe that the mean average number of clients remanded by the Courts and the Governor (as the State's paroling authority) for community supervision would have decreased.

The concept of providing community supervision for criminal offenders is an expensive proposition under any circumstances, although considerably less costly than incarceration. (Current estimates of the cost per client per day of penal incarceration in the State of Oklahoma vary between \$4.00 and \$7.00, depending upon the type of facility and treatment program).

Section 303 (10) of the Omnibus Crime Control and Safe Streets Act requires that state or local funding not be reduced as a result of Federal Grants. Inasmuch as Grant 70-df-959 was designed to increase the quantity of staff personnel to levels not in existence prior to the Grant's award, no decrease in state or local expenditures occurred as a result of this project.

A decrease in State appropriations shortly preceding the award of Grant 70-df-959, however, had great influence in minimizing many of its intended effects. In the spring of 1971, contrary to the Department's requested budget, the Oklahoma State Legislature reduced appropriations to the Department of Corrections' Probation and Parole Division fund by an amount equivalent to the salary of ten of the 54 Officer positions then funded by the State. This was due to a limited amount of State Funds available for appropriations.

This action occurred between the time at which the application for Grant 70-df-959 was prepared and its subsequent award date. As a consequence of this, all results of this Grant were achieved and must be interpreted in view of the fact that a net-gain of 18, rather than 28, additional supervisory agents was acquired. A ratio of 90 cases per Officer as a project goal was, in effect, an impossibility before the Grant began. (For more information on this point refer to section C of Chapter 2).

The assumption of financial support for this project after LEAA grant funds are discontinued can be derived, at this time from two possible sources: the State Legislature in increased appropriations, or the Probation and Parole Fund, established by legislation in 1972 permitting Courts to impose a fee (not in excess of \$5.00 per month) upon criminal defendants as a condition of probation. Currently, the Division of Probation and Parole is expending funds from LEAA Grant 72-f-11 in the amount of \$300,000, which provides salaries for 25 Officer and eight Aides as a continuation and expansion of Grant 70-df-959. Thus, when LEAA funds for this project are discontinued, the Division of Probation and Parole will be confronted with finding sources to assume nearly one-third of its annual operating budget.

The State budget requested for Fiscal Year 1974 reflects an increase of 19 personnel in the Division of Probation and Parole, 17 of which are professionals in the field.

SECTION (B): STAFFING

(Fair hiring practice as required by the 1964 Civil Rights Act

and by LEAA regulations has been discussed in section A, Chapter 1, of this evaluation).

Staffing Grant 70-df-959 has presented continuous problems for the Division of Probation and Parole. These problems have noticeably affected the results obtained to date by this project, as will be discussed later. Additionally, however, staffing was the primary cause for the necessity of extending Grant 70-df-959 six months beyond its originally-scheduled termination date.

(Part of the need for extension was the fact that the Grant allotted sufficient monies for the salaries of all twenty Officers and eight Aides over the entire, twelve-month fiscal year 1972, although, by the Grant's own design, personnel were not scheduled to be hired until the end of the first three months).

The origin of the staffing difficulties is a complex set of circumstances. As discussed in the preceding section, Legislative cut-backs in appropriations to the Division of Probation and Parole, which preceded the award of this Grant, compelled the Division to reduce its professional staff by ten Officer positions. The personnel occupying these positions were retained by the Division, however, as the first ten of the 20 additional Officers funded by Grant 70-df-959.

(A synopsis of the distribution of personnel paid with Grant funds each month from October, 1971, through December, 1972, is included here as Table 14).

As a consequence, it was necessary to request extensions of Grant 70-df-959 in order to expend all funds. Another difficulty observed had even wider ramifications. As pre-Grant and Grant personnel would terminate, replacement was not effected immediately. During the middle and latter months of the Grant period, personnel previously returned to the State budget were resumed on the Grant for short periods to compensate for this lag. Not only did the lag in replacing personnel affect the expenditure of Grant funds, it also had noticeable effects on the cases-per-Officer ratios. (refer to section C of Chapter 2). Much, but not all, of the

**CONTINUED**

**1 OF 2**

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TABLE 14.

BREAKDOWN OF PERSONNEL PAID FROM GRANT 70-DF-959 FUNDS BY POSITIONS FROM OCTOBER, 1971, THROUGH DECEMBER, 1972.

MONTH	OFFICERS	AIDES	CLERICAL	SUBTOTAL
October '71	13	1	0	14
November '71	20	5	0	25
December '71	20	5	0	25
January '72	21	4	0	25
February '72	17	5	0	22
March '72	18	5	0	23
April '72	11	4	0	15 <sup>1</sup>
May '72	11	4	0	15 <sup>1</sup>
June '72	12	5	0	17 <sup>1</sup>
July '72	20	6	0	26
August '72	16	6	0	22
September '72	20	7	1	28
October '72	25	7	5	37
November '72	25	7	4	36
December '72	25	7	4	36
$\bar{X}$ =MEAN AVERAGE	$\bar{X}$ = 18.3	$\bar{X}$ = 5.2	$\bar{X}$ = 0.9	$\bar{X}$ = 24.4
Mdn= MEDIAN	Mdn= 20	Mdn= 5	Mdn= 0	Mdn= 25

<sup>1</sup> Temporary cutback was the result of a necessity to expend State appropriations for Fiscal Year 1972 before the funds lapsed.

occurrence of rising ratios in latter months of the Grant period, especially in District I, coincide with the period in which terminating Officers had not yet been replaced. (See Table 15).

Hiring Probation and Parole Officers and Aides has been complicated by a variety of factors. Prior to very recent years, few qualified applicants were interested in the position. Salaries available under the State Merit System were below regional averages. (See Table 16).

Moreover, the position itself was viewed as an ineffectual low-status occupation. However, during the Granting period, the Division of Probation and Parole was able to obtain the State

TABLE 15.

PERSONNEL TURNOVER AMONG OFFICERS AND AIDES FROM  
AUGUST, 1971, THROUGH MARCH, 1973.

DATE	NUMBER TERMINATED	NUMBER HIRED	NET GAIN MONTHLY	CUMULATIVE INCREASE
1971: August	0	0	0	0
September	0	1	+ 1	+ 1
October	1	2	+ 1	+ 2
November	0	11	+ 11	+ 13
December	0	0	0	+ 13
1972: January	1	1	0	+ 13
February	1	1	0	+ 13
March	0	2	+ 2	+ 15
April	1	1	0	+ 15
May	0	0	0	+ 15
June	1	0	- 1	+ 14
July	1	0	- 1	+ 13
August	4	1	- 3	+ 10
September	2	2	0	+ 10
October	1	3	+ 2	+ 12
November	1	0	- 1	+ 11
December	2	0	- 2	+ 9
1973: January	2	2	0	+ 9
February	2	3	+ 1	+ 10
March	0	8	+ 8	+ 18

Personnel Board's approval for a grade level change in the Officer's position which resulted in a \$65.00 per month increase for Officers. Also, approval was received for a new position of Assistant Supervisor, providing a mid-management position at a somewhat higher salary to relieve a growing administrative problem as the Districts expand and to provide new promotional incentives for Officers.

A change in the national outlook toward the concept of community supervision as an alternative to penal incarceration and rising educational levels among the general population have created great interest in the job of Probation and Parole Officer. A more abundant

TABLE 16.

COMPARISON OF STARTING SALARIES FOR PROBATION AND PAROLE  
OFFICERS AS OF JULY 1, 1972.

STATE	MONTHLY SALARY
Texas	\$768
Arizona	\$670
Colorado	\$660
New Mexico	\$660
Kansas	\$638
Missouri	\$572
Oklahoma	\$550
Arkansas	\$508

supply of qualified applicants is now available on State Personnel Board registers for employment.

Another change in personnel structure desired by Department administrators, aimed both at eliminating problems which result from lowered qualifications and at creating promotional incentives within the Division, is the abolition of the paraprofessional Officer-Aide position and the establishment of grade levels within the Officers' position. Having positions of Officer I, Officer II, and Officer III available hopefully would increase job incentive, motivation to continue one's formal education, and general morale among the field Officers.

### III. SUMMARY AND CONCLUSIONS

Many positive changes were achieved during the time in which Grant 70-df-959 was operative. The Division of Probation and Parole has made great strides in improving its operations in order to upgrade the quality of community supervision afforded clients. Nonetheless, many Grant objectives were not attained. Two interrelated themes underlie almost all instances of Grant goals which were not achieved.

First, severe deficiencies in the existing data-feedback systems within the Division handicapped not only the implementation and evaluation of this Grant but also its original formulation. Secondly, the scope of Grant 70-df-959 as written was so broad as to preclude any possibility of successfully reaching all, or even most, of its stated goals. These two themes run throughout the following summary of major results evidenced in this evaluation.

#### Personnel, Staffing, and Training:

Grant 70-df-959 specified hiring Officers with college degrees in the social or behavioral sciences or closely related fields, with a preference for applicants who have completed advanced studies, a more rigorous standard than imposed by the State Merit System. Whether this was accomplished could not be fully determined because of incomplete personnel data available.

Hiring practices did, however, indicate an increasing trend toward employing younger Officers, with a concomitant decrease in the mean age for the entire staff. Evidence also indicated that significantly more college graduates were hired than before, although the mean educational level for the entire staff at time hired did not change significantly.

Attempts were made to meet the Grant's requirement of providing 120 classroom hours of in-service training for Officers and Aides paid from Grant funds. However, a definitive conclusion as to the effect of this training cannot be reached primarily because evaluative testing was not implemented and because the membership

of the training group did not remain consistent.

#### Caseload Characteristics, Size, and Projected Growth:

Of all probationers remanded to the custody of the Division of Probation and Parole from July of 1971 through December of 1972, nearly half (49.3%) were on deferred sentences. Of the total sample, 85.1% were male. The ethnic composition was 76.1% White, 18.7% Black, 4.2% Indian, and 1.0% other categories. Convictions for crimes against property accounted for 54.8% of all probationers received, assaultive offenses for 7.9%, and sex offenses, drug offenses, and others for 37.2%.

The mean average percent of increase per month exhibited by the total state caseload from 1970 through 1972 was 1.5352%. At this rate, the projected number of cases under supervision by the first of January, 1978, would be 20,870. District I, with a 2.2124% increase per month, showed the greatest rate of change among the Districts, with a projected caseload of 16,248 by 1978.

#### Caseload Assignment and Distribution By District:

Grant 70-df-959 did not substantially affect the pre-Grant cases-per-Officer ratios, which continued to increase, in part because the provision of sufficient manpower has not kept pace with the rapidly-growing state caseload, and in part because of a time-lag in replacing Officers who terminate employment. The median caseload size per month in four of the five District Offices during the Grant period was between 100 and 120 cases. District I, however, demonstrated substantially higher median scores, typically between 160 and 180 cases-per-Officer.

Distribution of the total caseload across the State is heavily concentrated in urban areas. Oklahoma and Tulsa counties alone account for 57% of all probationers and parolees currently residing in the State.

#### Supervisory Activities and Misdemeanant Supervision:

Analysis of supervisory activities revealed that, during the



Grant period, the mean number of reports and investigations which were completed per month exceeded the mean number of cases under supervision for the first time in the past three years. District I alone evidenced both a smaller percentage of the staff employed and a larger percentage of reports and investigations completed than its percentage share of the total state caseload.

Total numbers of pre-sentence investigations conducted by the Division of Probation and Parole declined during the Grant period. The effect of these investigations cannot be adequately evaluated until feasible means are developed to determine the disposition of cases in which investigations are conducted.

Over the past three years, the mean number of probation and parole cases under supervision has continually increased, and the cases-per-Officer ratio has shown concomitant increases. For the same time period, however, the percentage of cases terminating due to revocation has shown a slight decline.

Over 67% of the parole revocations occurring in 1972 were for clients originally convicted of three major crimes against property: Burglary, Forgery and Bogus Checks, and Auto Theft.

The projections for caseload growth for the next five years all but eliminate the possibility of expanded misdemeanor services without considerable increases in manpower.

#### V. SYNOPSIS OF MAJOR RECOMMENDATIONS

- (1) IMPROVE DATA FEEDBACK SYSTEM. THE CURRENT SIZE OF THE CASELOAD NECESSITATES A COMPUTERIZED, CLIENT-ORIENTED DATA SYSTEM. UNTIL SUCH A SYSTEM CAN BE IMPLEMENTED, CERTAIN REVISIONS AND IMPROVEMENTS ARE URGENTLY NEEDED IN BOTH CURRENT POPULATION ACCOUNTING SYSTEMS AND PERSONNEL RECORDS.

ESPECIALLY ESSENTIAL IS A REVISION OF THE CURRENT MONTHLY ACTIVITY REPORT TO PROVIDE THE FOLLOWING CHANGES: (1) ACCURATE RECONCILIATION AMONG THE OFFICER, DISTRICT, AND DIVISION VERSIONS, (2) FORMS DESIGNED TO BALANCE ON THEIR FACE, (3) EITHER PRECISE DEFINITION OF CATEGORIES OR ELIMINATION OF NON-MUTUALLY EXCLUSIVE CATEGORIES, SUCH AS "EXPIRED" AND "RELEASED", (4) INCLUSION OF VALUABLE DISTINCTIONS, SUCH AS TYPE OF REVOCATION, AND (5) UNIFORMITY IN THE UTILIZATION OF CATEGORIES, THAT IS, ALL OFFICERS/DISTRICTS REPORTING LIKE ACTIVITIES IN SIMILAR MANNERS.

- (2) CONTINUE CURRENT PRACTICES OF HIRING YOUNGER, MORE CAREER-ORIENTED PERSONNEL WITH COLLEGE DEGREES, DEVELOP MEANS OF EXPEDITING THE IMMEDIATE REPLACEMENT OF OFFICERS AND AIDES WHO TERMINATE EMPLOYMENT. IMPLEMENT PRE AND POST-TESTING OF PERSONNEL IN ORDER TO MEASURE THE EFFECTIVENESS OF IN-SERVICE AND ON-THE-JOB TRAINING.

PHASE OUT OFFICER-AIDE PROGRAM. DEVELOP GRADE DISTINCTIONS WITH THE DIVISION BY CREATING OFFICER I, OFFICER II, AND OFFICER III JOB POSITIONS.

- (3) EQUALIZE THE GROWING IMBALANCE IN THE CASES-PER-OFFICER RATIOS BETWEEN DISTRICT I AND THE OTHER FOUR DISTRICT OFFICES,

INVESTIGATE THE POSSIBILITY OF DIFFERENTIAL ASSIGNMENT OF CASES TO OFFICERS BASED ON OFFENDER CHARACTERISTICS.

CONSIDERATION MIGHT ALSO BE PROFITABLY GIVEN TO THE POSSIBILITY OF REDISTRICTING CURRENT BOUNDRIES OR CREATING AN ADDITIONAL DISTRICT TO ALLEVIATE THE CURRENT CONCENTRATION OF THE CASELOAD IN METROPOLITAN AREAS.

- (4) REDUCE THE SCOPE OF THIS GRANT IN FUTURE APPLICATIONS FOR ITS CONTINUATION TO INCLUDE ONLY REALISTIC OBJECTIVES WHICH ARE ACTUALLY WITHIN THE CONTROL OR INFLUENCE OF THE DIVISION OF PROBATION AND PAROLE.

- (5) DEVELOP LONGITUDINAL STUDIES OF THE FOLLOWING:
  - (1) THE TYPES OF REVOCATIONS OCCURRING AND THEIR RELATIONSHIP TO THE CASES-PER-OFFICER RATIO, AND
  - (2) THE DISPOSITION OF CASES IN WHICH PRE-SENTENCES ARE CONDUCTED TO DETERMINE THE EFFECT OF SUCH INVESTIGATIONS.

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APPENDIX I

The following is a complete copy of the Background Investigation currently conducted by the Division of Probation and Parole for each new applicant for a position as a Probation and Parole Officer.

The first section is the Application for Employment, Personal History Statement to be completed by the applicant.

The second section is the Investigating Officer's Report form.

The last section is copy of the Oral Examiner's Rating Form to be completed during each applicant's personal interview.



Application No. \_\_\_\_\_

Applicant's Last Name \_\_\_\_\_

DEPARTMENT OF CORRECTIONS

315 N.W. EXPRESSWAY  
OKLAHOMA CITY, OKLAHOMA 73118

Your application for employment will be thoroughly investigated by a member of the Department of Corrections. All references will be contacted as well as your present and former employers. If you pass the field investigation, you will be requested to undergo further screening processes, consisting of an Oral Interview Board and evaluation. All successful applicants employed by the Department will be required to attend a Departmental training program as prescribed by the Division of Probation and Parole.

NOTICE: Do not remove any page from this application form. This form must be completed by you. You must sign the letter of introduction on the following page.

If you decide not to complete this application, mail this form to the address below, signifying that you wish no further consideration.

Mail all applications to: Department of Corrections  
Division of Probation and Parole  
315 N.W. Expressway  
Oklahoma City, Oklahoma 73118

\_\_\_\_\_  
Issuing Officer

\_\_\_\_\_  
Date Issued

THIS APPLICATION FORM MUST BE RETURNED OR A REPLY RECEIVED IN 5 DAYS,  
OR WE MUST ASSUME YOU ARE NOT INTERESTED IN THIS POSITION.



DEPARTMENT OF CORRECTIONS

315 N.W. EXPRESSWAY  
OKLAHOMA CITY, OKLAHOMA 73118

LETTER OF INTRODUCTION

DATE: \_\_\_\_\_

Dear Friend:

I have applied for a position as a Probation & Parole Officer. As you know, I have listed your name as a reference.

The position calls for a complete investigation of each applicant. When a representative of the Oklahoma Department of Corrections shows you this letter of introduction, your frankness and help in answering any questions asked about me will be appreciated.

Sincerely yours,

\_\_\_\_\_  
Signature of Applicant



DEPARTMENT OF CORRECTIONS

315 N.W. EXPRESSWAY
OKLAHOMA CITY, OKLAHOMA 73118

PERSONAL HISTORY STATEMENT

APPLICATION FOR EMPLOYMENT

INSTRUCTIONS

- A. All entries, except signature, must be typed or printed legibly and in blue or black ink.
B. All questions and statements must be completed.
C. Photostatic copies of: 1. High School Transcript, 2. College Transcripts (Complete), 3. G.E.D. "Score Sheet" (if applicable), 4. Military Discharge (DD214)

It is necessary that these items be attached to the application before processing can be commenced.

- D. Those "Who have intentionally made a false statement of a material fact, or attempted to practice any deception, or fraud in this questionnaire, examination, or in securing eligibility for employment," will be rejected.
E. Read the statement at the end of this questionnaire before filling in your answers.

1. Full Name (First) (Second) (Last) Age

2. Home Address Street & Number Town Zip Code

(If General Delivery, Rural Route Number, P.O. Box Number--Give Directions to find your home.)

3. Business Address Street & Number Town

Name of Employer

3A. Telephone- Home Business

4. I have been a legal resident of Oklahoma years.

5. Date of Birth (Month) (Day) (Year)

6. Place of Birth (Town) (County) (State)

7. Height (stocking feet) feet inches. Weight (stripped)

8. Can you operate a  Motorcycle  Automobile  Airplane  Helicopter License number(s) \_\_\_\_\_ State \_\_\_\_\_ Date expires \_\_\_\_\_ Have you ever had a license suspended or revoked?  Yes  No

Explain all suspensions or revocations, date, time, place, and who suspended or revoked by and when reinstated.

9. EDUCATION:  
In chronological order list all grammar, highschool, college, correspondence, business and/or technical schools attended (Exclude all military schools including military correspondence)

Name of School	Location City and State	Type	Dates of Attendance	Grade or hours Completed	Graduate or Degree(s)

10. Other Educational Qualifications (Please elaborate)  
In chronological order list all special training received and occupational schools attended in your employment history. (Exclude military schools and training and highschool, college, etc.)

FROM		TO		Type of School	Name of School	Location City and State	Hours Completed or Degree(s)
Month	Year	Month	Year				

Have you ever been fired, asked to resign, suspended or put on an inactive status by any of your previous employers?  Yes  No. If yes, state circumstances \_\_\_\_\_

11. RESIDENCE  
In chronological order list each and every place you have resided since birth.

FROM		TO		Number and Street	City	State or Country	Name of Landlord
Month	Year	Month	Year				

SOCIAL

12.  Single  Married  Divorced  Separated  Widower 13. State number of times married (\_\_\_\_\_) 14. Date and place of marriage (City and State)

15. Name of spouse (first name - middle name - last or maiden name)  living  deceased 16. Address prior to marriage \_\_\_\_\_

17. Present occupation \_\_\_\_\_ 18. Present employer and address \_\_\_\_\_ 19. Last former employer and address \_\_\_\_\_

20. Former spouse (first name - middle name - last or maiden name)  living  deceased 21. Present address (Street City & State) \_\_\_\_\_

22. Present occupation \_\_\_\_\_ 23. Present Employer and address \_\_\_\_\_ 24. Last former employer and address \_\_\_\_\_

25. Were you ever legally or voluntarily separated? Yes  No  Were you ever divorced or had a marriage annulled? Yes  No  If either answer is yes, fill in below

Separated, Divorced, State which	Offending party as decreed by law	State reason here

26. List below every child you are the father of

Sex	Age	Name	By which wife	Place of Birth	With whom and where does the child reside

27. Are you now supporting all children born to you, adopted, and stepchildren?  Yes  No. If no, state why \_\_\_\_\_

28. Have you ever been involved as a defendant in a paternity proceeding?  Yes  No. If yes, give full details \_\_\_\_\_

29. List below every person who is dependent upon you for support besides your own wife and children

Name (first middle last)	Present address	City and State	Age	Relationship	Degree of Dependency

30. Fathers first name - middle - last name  living  deceased 31. Present address number and street city and state \_\_\_\_\_

32. Present occupation and employer (name and address) \_\_\_\_\_

33. Mothers first - middle - last name  living  deceased 34. Present address number and street city and state \_\_\_\_\_



35. List all membership in school societies, fraternities, or clubs. Use page \_\_\_\_\_ if necessary. \_\_\_\_\_

36. Are you living with your parents? \_\_\_\_\_ With your in-laws? \_\_\_\_\_

37. Do your parents or in-laws live with you? \_\_\_\_\_

38. Has any member of your family or your wife's family ever held public office? \_\_\_\_\_

If so, give details: \_\_\_\_\_

Have you ever held public office? \_\_\_\_\_ Or been a candidate for public office? \_\_\_\_\_

If so, give details: \_\_\_\_\_

**EMPLOYMENT RECORD**

39. Explain your duties where you are presently employed: \_\_\_\_\_

40. EMPLOYMENT		Social Security Number
In chronological order list all employment, beginning with present employer (including part time)		
Date (From - to)	Employed by (Name of firm - number and street City and State)	
Employed as:	Reason for termination:	
Date (From - to)	Employed by (Name of firm - number and street City and State)	
Employed as:	Reason for termination:	
Date (From - to)	Employed by (Name of firm - number and street City and State)	
Employed as:	Reason for termination:	
Date (From - to)	Employed by (Name of firm - number and street City and State)	
Employed as:	Reason for termination:	
Date (From - to)	Employed by (Name of firm - number and street City and State)	
Employed as:	Reason for termination:	
Date (From - to)	Employed by (Name of firm - number and street City and State)	
Employed as:	Reason for termination:	
Date (From - to)	Employed by (Name of firm - number and street City and State)	
Employed as:	Reason for termination:	
Date (From - to)	Employed by (Name of firm - number and street City and State)	
Employed as:	Reason for termination:	
Date (From - to)	Employed by (Name of firm - number and street City and State)	
Employed as:	Reason for termination:	

41. What is your average monthly salary? \_\_\_\_\_ How long have you been employed in your present position? \_\_\_\_\_ How many times have you been promoted in your present or last employment? \_\_\_\_\_

42. Are you drawing compensation of any kind from any of your previous employers? \_\_\_\_\_  
If so, give details: \_\_\_\_\_

**MILITARY STATEMENT**

**SELECTIVE SERVICE**

43. Your selective service classification \_\_\_\_\_ (If 4-F or 1-Y, explain) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

44. Selective Service Number	Classification	45. Draft Board Number	46. Address City and State				
47. How many Selective Service classifications have you had? ( )		48. List all of the classifications you have had?			49. Were you given a physical prior to classification? <input type="checkbox"/> Yes <input type="checkbox"/> No		
MILITARY							
50. How many periods of active military service had you had ( ) Include drafts, enlistments, and recalls but not reenlistments.							
Branch	Serial Number	Date entered active duty	Date discharged or separated	Highest rank attained	Rank when separated	MO and/or Specialty	Type of Discharge Hon-Dishon-Other
51. Are you now a member of the Active, Inactive Reserve, or National Guard? <input type="checkbox"/> Yes <input type="checkbox"/> No		Indicate Status <input type="checkbox"/> Active <input type="checkbox"/> Inactive	Branch	Serial Number	Rank	Specialty or M/O	Date obligation expires
52. Have you ever served in the armed forces of a foreign nation? <input type="checkbox"/> Yes <input type="checkbox"/> No		Nation	Period of Service	Branch	Serial Number	Type of Discharge	

FINANCIAL STATEMENT

53. Do you have a savings account? \_\_\_\_\_ How much? \_\_\_\_\_ Are you buying a home? \_\_\_\_\_

What model car do you own? \_\_\_\_\_ Make \_\_\_\_\_

54. Excluding home, household furnishings, appliances, car, etc., how much money do you owe? \_\_\_\_\_

Have you ever been sued for a debt? \_\_\_\_\_ If so, give details: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

55. Have you (or your wife) ever filed for Bankruptcy? \_\_\_\_\_

56. Do you carry life insurance? \_\_\_\_\_ How much? \_\_\_\_\_

What Company? \_\_\_\_\_

What kind of insurance do you carry on your family? \_\_\_\_\_

ORGANIZATIONAL AFFILIATIONS

57. List all social, labor, civic, and fraternal organizations that you have or now belong to.

DATES		Name of Organization	Address City and State	Type of Organization
From	To			

58. To what church do you belong? \_\_\_\_\_  
 \_\_\_\_\_

PERSONAL REFERENCES

59. PERSONAL REFERENCES

List five (5) character references and their addresses, who have known you for at least five years. (Preferably residing in your community) Do not list relatives.

Name	Address Number and Street - City and State	Employed by	Home Phone	Business Phone

PERSONAL HABITS

60. Do you now, or have you ever used narcotics, except those prescribed by or administered by a physician? \_\_\_\_\_

Do you drink alcoholic drinks? \_\_\_\_\_ Occasionally  Socially

Frequently

61. Are you familiar that the Department of Corrections forbids its members to drink alcoholic beverage in excess, which would bring embarrassment to the Department? \_\_\_\_\_

62. ARRESTS, SUMMONS, ETC.

Have you ever been arrested, taken into custody, indicated or convicted for any violation of law (including traffic violations) in this state or elsewhere?  Yes  No If yes, how many times ( \_\_\_\_\_ ) and fill in below Show all arrests including previous delinquency

Date	Charge	Age at Time	Location City and State	Court or Police Disposition Fine - Sentence - Release	Police Agency Involved City - State - Federal

63. Have you ever been served with a summons or subpoena, other than in a civil action in this city, state or elsewhere?  Yes  No If yes, how many times ( \_\_\_\_\_ ) list each below

Date	Charge	Location City and State	Court Disposition	Police Agency Concerned

PHYSICAL MAKE-UP

64. Other than the usual childhood diseases and ailments, list all injuries, diseases, and ailments you have had or now have up to this date. \_\_\_\_\_

65. What is the maximum amount of Sick leave you have taken at any one time? \_\_\_\_\_ Give reason for taking Sick Leave. \_\_\_\_\_

66. Employment as a Probation and Parole Officer shall be considered as a full-time job, and working hours will be for the convenience of the Department and not for the convenience of the employee.

NOTICE

67. In the proper and efficient administration of the Department of Corrections, it may be necessary to transfer officers from one locality to another. Do you and your wife understand that this may be required of you?

\_\_\_\_\_  
Your Signature

\_\_\_\_\_  
Your Wife's Signature

68. PLACE HERE:

FULL LENGTH SNAPSHOT OF  
YOURSELF MADE WITHIN THE  
LAST THREE MONTHS.  
(Any type photo will do.)

69. PLACE HERE:

HEAD AND SHOULDER VIEW  
OF YOURSELF MADE WITHIN  
THE LAST THREE MONTHS.  
(Any type photo will do.)

70. Have you ever submitted an application previously with the Oklahoma Department of Corrections? \_\_\_\_\_

If "yes", when? \_\_\_\_\_

I certify that I am the person named above and that I signed the foregoing statement and that the foregoing answers are true, correct, and complete to the best of my knowledge and belief. In signing this statement I do so with the understanding that the veracity of all statements made herein will be investigated and if found incorrect, incomplete, or misleading in any particular will subsequently render me ineligible for employment.

Date \_\_\_\_\_ Signature \_\_\_\_\_  
(Month) (Day) (Year) (First) (Middle) (Last Name)

This page is to be used for the continuation and/or explanation of previous items for which more space is needed. IMPORTANT: Put corresponding item number before continuation and/or explanation.



INVESTIGATING OFFICER'S REPORT

DATE: \_\_\_\_\_

DEPARTMENT OF CORRECTIONS

315 N.W. EXPRESSWAY  
OKLAHOMA CITY, OKLAHOMA 73118

NAME OF APPLICANT \_\_\_\_\_ APPLICATION NO. \_\_\_\_\_  
First Middle Last

1. MILITARY RECORD:

Has served in \_\_\_\_\_ Service Serial Number \_\_\_\_\_  
(Branch of Service)

Is the applicant drawing any type of compensation? (If yes, explain full details \_\_\_\_\_)

Does the applicant still owe any military obligation? If yes (active or inactive), give organization \_\_\_\_\_ and expiration of obligation \_\_\_\_\_

2. EMPLOYMENT:

Investigator's description of Applicant's present job \_\_\_\_\_

Name of Firm \_\_\_\_\_

City \_\_\_\_\_

Were you able to determine reputation with present employer? \_\_\_\_\_

If yes, explain \_\_\_\_\_

Reputation with previous employers \_\_\_\_\_

3. CREDIT RATING:

How obtained \_\_\_\_\_  
(From what source)

Remarks from credit source: \_\_\_\_\_

Remarks from applicant about credit: \_\_\_\_\_

4. ARREST RECORD:

A. D. P. S. Driving Record \_\_\_\_\_

B. Sheriff's Office and Police Department of each place of Residency \_\_\_\_\_

C. State Bureau and Other \_\_\_\_\_

5. PHYSICAL APPEARANCE: (Circle adjective that best describes the applicant).

A. Dress: Ordinary, flashy, rural

B. Features: Ordinary, coarse, dissipated

C. Neatness: Well-groomed, neat, untidy, dirty

D. Complexion: Healthy, normal, defective (Specify)

E. Investigator's observations: \_\_\_\_\_

6. PERSONALITY:

A. Approach: Friendly, quiet, hesitant

B. Handshake: Too hard, firm, average, weak

C. Poise: Well-poised, steady, lacking

D. Voice: Average, too weak, harsh

E. Assurance: Self-confident, average, cocky, timid

F. Nervousness: None, slight, very nervous

6. PERSONALITY:

G. Accent: None, slight, noticeable

H. Courtesy: Tactful, average, lacking

I. Enthusiasm: Enthusiastic, average, indifferent

J. Force: Aggressive, average, lacking

K. Maturity: Mature, responsible, immature

L. Alertness: Alert, responsible, dull

7. INTELLIGENCE:

A. Answers questions: Deliberately, without thinking, vaguely

B. General intelligence: Above average, average, below average

C. Common sense: Above average, average, below average

8. APPLICANT'S ATTITUDE:

A. Law Enforcement: Interested, acceptable, resents

B. Community: Active, in-active

C. Military Service: Has served, willing if called, reluctant

D. Family: Responsible, fails responsibility

E. Salary

F. Hours

9. WIFE'S ATTITUDE: TO:

A. Working hours: Agreeable, acceptable, objectionable

B. Relocating: Agreeable, acceptable, objectionable

C. Shift work: Agreeable, acceptable, objectionable

D. Law Enforcement: Interested, acceptable, resents

E. Employment: \_\_\_\_\_  
(Previous and Present)

Investigator's comments on applicant's wife's attitude toward Probation and Parole Officer career \_\_\_\_\_

ORAL EXAMINER'S RATING FORM

APPLICANT'S NAME \_\_\_\_\_

DATE \_\_\_\_\_

RANK OR POSITION FOR WHICH HIS SUITABILITY IS APPRAISED \_\_\_\_\_

Ask yourself how this applicant compares with those who are doing work of this kind. Consider whether his voice, appearance, etc., would be a liability or an asset in such a position. Rate him by making a check (x) at that point on each scale where, in your judgment, the applicant stands. Rate the following traits.

1. VOICE AND SPEECH. Is the applicant's voice irritating or pleasant? Can you easily hear what he says? Does he mumble or talk with an accent which offends or baffles the listener? Or is his speech clear and distinct; his voice so rich, resonant and well modulated that it would be a valuable asset in this position?

(1)	(3)	(6)	(8)	(11)
Irritating or indistinct	Understandable but rather unpleasant	Neither conspicuously pleasant nor unpleasant	Definitely pleasant and distinct	Exceptionally clear and pleasing

2. APPEARANCE. What sort of first impression does he make? Does he look like a well set-up, healthy, energetic person? Has he bodily or facial characteristics which may seriously hamper him? Is he well groomed or slovenly? Erect or slouchy? Attractive or unattractive in appearance?

(1)	(3)	(6)	(8)	(11)
Poor appearance careless unkempt	No evidence of special care in dress	Generally neat, good appearance	Very careful of dress and person	Immaculate in dress and person

3. ALERTNESS. How readily does he grasp the meaning of a question? Is he slow to apprehend even the more obvious points, or does he understand quickly, even though the idea is new, involved or difficult?

(1)	(3)	(6)	(8)	(11)
Slow in grasping obvious points. Often misunderstand meanings.	Slow to understand subtle points. Require explanations.	Nearly always grasps intent of interviewer questions.	Rather quick in grasping questions and new ideas.	Exceptionally keen and quick to understand.

10. WIFE'S GENERAL APPEARANCE:

Well groomed, neat, untidy

A. Marriage License checked Yes or No

11. HOME APPEARANCE:

A. Inside: Good, average, poor

B. Outside: Good, average, poor

12. INVESTIGATING OFFICER IS TO EXPLAIN TO THE APPLICANT AND HIS WIFE:

A. Training School: Salary; Restrictions (Rules & Regulations); Basic 120 hr. Police Schools

B. Probation Period and Break-in Period

C. Salary: Expense Accounts; Tax; Insurance; Retirement; Raises; Benefits available; Other Deductions

D. Moving Expenses

E. Vacation and Holiday Leave

F. Special Assignments

13. CHARACTER REFERENCES:

A. Investigator is to check at least (3) three references and attach hereto the findings.

B. Investigator is to check with at least three persons not listed on the application who have known the applicant for a period of one year or longer (attach to the investigation the names and information obtained).

14. COMMENTS FROM LOCAL OFFICIALS:

15. GIVE IN YOUR OWN WORDS YOUR OPINION OF APPLICANT AFTER INVESTIGATION IS COMPLETED (ATTACH TO THIS INVESTIGATION)

16. Do you recommend that applicant be accepted for training? Yes \_\_\_\_\_ No \_\_\_\_\_  
(If no, detail comments attached).

17. Date: \_\_\_\_\_ Investigating Officer \_\_\_\_\_

18. I have reviewed this application and remarks of the investigating officer and (concur) (disagree) with the findings.

District Supervisor \_\_\_\_\_

THIS REPORT IS CONFIDENTIAL AND DOES NOT BECOME A PART OF THE APPLICANT'S PERSONNEL FILE.



8. PERSONALITY. Is he likeable? Will his fellow workers and subordinates be drawn to him or kept at a distance? Does he command personal loyalty and devotion?

(1)	(3)	(6)	(8)	(11)
Not suitable for this job.	Personality questionable for this job.	Personality satisfactory for this job.	Outstanding personality for this job.	Very desirable personality for this job.

9. PERSONAL FITNESS FOR POSITION. In light of all the evidence regarding his personal characteristics (whether mentioned or not) how do you rate his personal suitability for this position. Recalling that it is not in his best to recommend him for such a position if he is better suited for something else, would you urge him to accept this position? Do you endorse his application?

(1)	(3)	(6)	(8)	(11)
Unsuited for this work. Not endorsed.	Endorsed with hesitance.	Endorsed.	Endorsed with confidence.	Endorsed with enthusiasm.

TOTAL INTERVIEW POINTS \_\_\_\_\_

AVERAGE INTERVIEW POINTS \_\_\_\_\_

MAXIMUM POINT VALUE \_\_\_\_\_

POINT VALUE \_\_\_\_\_

\_\_\_\_\_  
Signature of Rater

4. ABILITY TO PRESENT IDEAS. Does he speak logically and convincingly? Or does he tend to be vague, confused or illogical?

(1)	(3)	(6)	(8)	(11)
Confused and illogical. Scatters and becomes involved.	Tendency toward "snow job".	Gets ideas across well.	Logical, clear and convincing.	Superior ability to express himself.

5. JUDGMENT. Does he impress you as a person whose judgment would be dependable, even under stress? Or is he hasty, erratic or swayed by his feelings?

(1)	(3)	(6)	(8)	(11)
Notably lacking in balance and restraint poorly organized.	Shows tendency to react impulsively, without restraint.	Average organization of thought and judgment.	Gives reassuring evidence of considered judgment.	Inspires confidence in probable soundness of judgment.

6. EMOTIONAL STABILITY. How well poised is he emotionally? Is he touchy, sensitive to criticism, easily upset? Is he irritated or impatient when things go wrong or does he keep an even keel?

(1)	(3)	(6)	(8)	(11)
Shows extreme sensitiveness, easily disconcerted.	Occasionally impatient or irritated.	Well poised most of the time.	Exceptionally poised, calm and good humor.	Superior self command.

7. SELF-CONFIDENCE. Does he seem to be uncertain of himself, hesitant, lacking in assurance, easily bluffed or is he wholesomely, self-confident and assured?

(1)	(3)	(6)	(8)	(11)
Timid, hesitant, easily influenced, embarrassed.	Appears to be overly self-conscious, ill at ease.	Moderately confident of himself.	Apparently entirely at ease, self-confident.	Shows superb self-assurance.

APPENDIX II

SYNOPSIS OF IN-SERVICE TRAINING SEMINARS  
PRESENTED BY DIVISION OF PROBATION AND PAROLE  
PURSUANT TO OCC GRANT 70-df-959.

December 6-8, 1971  
(24 hours)

TOPICS:

Department Policy  
Division Policy  
Caseload Management and  
Supervision--Probation  
Caseload Management and  
Supervision--Parole  
Interstate Compact Services  
Pre-Sentence Investigations  
Other Investigations  
Special Procedures-Probation  
Special Procedures-Parole  
Parole Board Procedures  
Pre-Sentence Investigations  
(Part II)  
Special and Violation  
Reports  
Review

SPEAKERS:

Acting Director  
Deputy Director  
District Supervisor  
  
District Supervisor  
  
Compact Administrator  
District Supervisor  
District Supervisor  
District Supervisor  
Parole Board Member  
District Supervisor  
  
District Supervisors  
  
District Supervisors

February 14-16, 1972  
(24 hours)

TOPICS:

New Procedures  
Budget and Travel Claims  
Case File Documentation  
Statutes Relating to  
Probation and Parole  
Special and Violation  
Report Writing  
Case Preparation for  
Revocation  
Institutional Work Release  
Process  
Oklahoma Judicial System  
Rights, Arrest, Search  
and Seizure  
Probation Revocation  
Hearings  
Parole Revocation Hearings

SPEAKERS:

Deputy Director  
Administrative Assistant  
District Supervisor (officers)  
Referee, Court of Criminal  
Appeals  
District Supervisor (officers)  
  
District Supervisor  
  
Director, Work Release  
  
Legislative Counselor  
Assistant District Attorney  
  
Assistant District Attorney  
  
Legal Advisor to Governor

March 27-28, 1972  
(16 hours)

TOPICS:

Human Relations, Social  
Organization and  
Corrections:  
Theory, Film, Discussion,  
Exercise in Group  
Problem-Solving, Evaluation  
  
Probation Revocation Review:  
Six Mock Revocation  
Hearings (including  
practice in giving  
testimony)

SPEAKERS:

Professor of Psychology  
  
  
  
  
District Judge  
Assistant District Attorneys  
Assistant Public Defender

June 19-21, 1972  
(30 hours)

TOPICS:

Department Administration  
Alcoholic Treatment Program  
"Criminal Justice and the  
Poor" (film)  
Results of S.C.S.P.  
Resocialization of the  
Offender: the Family  
Volunteer Programs  
Drugs  
Volunteers in Corrections  
Halfway House Programs  
  
Ex-Offender Program  
Governor's LINK Committee  
Transactional Analysis  
Cross-Cultural Patterns and  
New Trends in Corrections  
Cultural Social Behavior  
Determinates  
Blacks and Corrections

SPEAKERS:

Department Administration  
Doctor, Mental Health Department  
KTOK Assistant News Director  
  
Professor of Sociology  
Professor of Sociology  
  
Volunteer Program Director  
City Police Officer  
Director, VIC  
Administrator, Oklahoma Halfway  
House  
Employment Commission official  
Deputy Director, LINK  
Psychologist, Guidance Counselor  
Professor of Sociology  
  
Professor of Sociology  
  
Newspaper Editor, Member of  
Oklahoma Crime Commission

September 11-12, 1972  
(26 hours)

TOPICS:

Procedural Review of  
Caseload Management:  
Opening and Closing Cases; Transfers;  
Revocations; Special and Violation Report  
Writing; Travel Claims; Miscellaneous

SPEAKERS:

District Supervisor

### APPENDIX III

#### Officer and Aide Training Seminar, February 14, 1972: PRACTICAL EXERCISE--VIOLATION REPORT WRITING

##### PROBLEM

Ordinarily, the in-service intra-departmental training sessions for new Probation and Parole Officers and Officer-Aides, that concern case management, report writing, and operating procedures are taught by District Supervisors. In February of 1972, because of heavy job responsibilities, one District Supervisor delegated the task of instructing such a course on the submission of Violation Reports to this author.

Having attended several previous courses of a similar nature, this author foresaw the following problems. Almost invariably, such sessions emphasize exclusively the administrative, procedural requirements; for example, when a report is required. Most previous courses have been somewhat repetitious of the material already contained in the official Officer's Manual. Moreover, the courses seem simplistic in retrospect, after an Officer has begun work and is invariably confronted with far more complex cases than were presented in training sessions. More succinctly, training sessions present the usual and work presents the unusual, the exceptions.

Consequently, this author's primary concern was to make the training session on Writing Violation Reports interesting and useful in preparing new Officers and Aides for the complexities of the job they were facing.

##### METHOD

The training group consisted of sixteen new Officers and five new Aides. At least one member of the group had not yet begun work. Several, however, had had five or six months on-the-job experience. The author, at that time, had twenty-three months working experience.

Initially, a handout in outline form was prepared and distributed to the group, from which the author spoke. Four basic areas of consideration were presented: administrative requirements, functional guidelines, structural guidelines, and stylistic guidelines. "Administrative Requirements" was covered simply by referring the Officers to the relevant sections of the official Officer's Manual. "Functional Guidelines" was intended to be an examination of how violation reports develop and operate. "Structural Guidelines" was a blue-print or plan for organizing and building a report. "Stylistic Guidelines" was described as the finishing touch or the polish which could either increase or decrease the professional reputation of the Officer in the eyes of Judges.

Deliberately, little time was spent reviewing the outline. One exception to this, however, concerned the section on "Functional Guidelines", for which a brainstorming technique was utilized. Four basic questions were listed on a blackboard, under the titles: Reasons, Goals, Readers, and Use. The group members were asked to provide as many possibilities as they could.

Finally, a purely fictitious case was prepared and distributed to the group. The case was intentionally designed to represent one of the more complex situations which might face an Officer. (Due to time considerations and an effort not to bore the group, the alternative of requiring the group to write an entire report from raw data was rejected). The entire mock case was already written except for the recommendation to the Court.

The group was instructed to read the case and to write their own recommendation in the words and style they would choose to present to the Court. The group was also requested to place their name on their paper (with the assurance that the papers would not be graded in any way) in order to return the papers to them in the afternoon session.

After all group members had finished the exercise, the papers were collected, analyzed, and returned to the group members in the afternoon session. A short feedback session was conducted in the afternoon, and the composite results were presented to the group for their consideration. (The morning session consumed approximately one hour; the afternoon session lasted only one-half hour).

##### RESULTS AND CONCLUSIONS

The brainstorming technique used on the "Functional Guidelines" section had two interesting consequences. First, all group members seemed to participate eagerly, even though disagreements were not lacking. At one point, one answer was claimed to be "wrong" by a District Supervisor who was observing the session. He stated that Violation Reports were not distributed for a particular readership. An Officer, however, responded that whether the reports were supposed to be or not, they were in fact often distributed in that manner per his own direct experience. The author views this as a healthy consequence, one which encourages the Officers to consider not only what should happen, but also what does in fact happen occasionally in their job.

Secondly, more than twice as many valid answers were provided by the collective group during brainstorming than this author had personally anticipated. This also is viewed positively, being a good illustration of the benefits which can accrue from cooperative efforts even in the field of Probation and Parole. Any one Officer's on-the-job experience cannot begin to include the entire range of problems and solutions which might present themselves.

Officer and Aide Training Seminar, March 28, 1972:  
 MOCK HEARINGS--PROBATION REVOCATION REVIEW

PROBLEM

A frequent criticism of past training provided to Probation and Parole Officers of the Oklahoma Department of Corrections has been the lack of applicability and student-participation: training too frequently has consisted of lectures rather than practical exercises. Additionally, an oft-stated source of concern for Officers is the necessity of giving Court testimony without adequate practice.

In an effort to meet these perceived needs, the following role-playing exercises were devised to improve Officer skills in giving testimony at Revocation/Acceleration Hearings.

METHOD

On March 28, 1972, at the Division office in Oklahoma City, twenty-three Officers and Officer-Aides were assembled for eight (8) hours participation in mock Revocation and Acceleration Hearings. The participants involved assumed their current positions as Officers and Officer-Aides on or after October of 1971.

Six (6) mock cases were prepared to give a broad range of case situations and types of violations. The format pertained to probation hearings only, primarily because Parole Hearings are administrative rather than judicial and are usually conducted much less formally. No case included subsequent felony convictions -- although subsequent felony convictions do not always result in revocation, exceptions are rare.

Each of the mock Hearings was conducted as similarly as possible to a real Courtroom Hearing. Arrangements were made for an Oklahoma District Judge, an Assistant Public Defender, and two Assistant District Attorneys to participate as Judge, Defense Counsel, and Prosecutors respectively.

The major difference between the mock Hearings and an actual Hearing was that all Officers and Aides not participating in a case were asked to be a "jury" - in order to provide feedback on the reactions of the Officers and Aides to the issues raised by the Hearings. (All Officers and Aides participated in at least one Hearing as a witness). Verdict Sheets were prepared and distributed in order to collect verdicts, sentences recommended, and opinions concerning the most significant factors in each case.

(Most of the results of this study have been omitted from the Appendix due to excessive length).

One minor observation on the actual responses received on the mock case exercise (which was shared with the training group) was the fact that the most frequently misspelled words ("deferred", "accelerate" and "judgment") were also the words most frequently used in Probation and Parole reports.

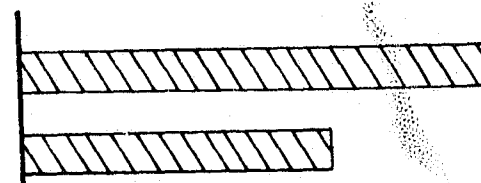
Below is a bar graph representation of the nature of the recommendations made by the group members. Given the facts in the case, virtually every possible recommendation was represented by the responses. Moreover, the wide dispersion of the responses did much to illustrate the fact that Probation and Parole has few clear-cut situations which exist without differences of opinion.

Finally, verbal feedback from the group members to this author after the training session seemed to be positive and enthusiastic.

RECOMMENDATIONS

Deferred Sentence  
Continued

Court Review  
Recommended



Procedure in conducting each Hearing was as follows:

- 1) Distribution of Data: Each case had three or four witnesses. Each witness, the prosecutor, and the defense counsel were provided with a complete case outline. The Judge was provided with only information pertaining to the original offense and the alleged violations. The "jury" were provided with none of the above.
- 2) All Officers and Aides were instructed to improvise on any information not given in the case outline when participating as a witness. Also, instructions were to attempt seriously to win the Hearing, whether chosen to play the role of an officer or a defendant.
- 3) Entire case is heard by the Judge.
- 4) Judge and jury complete Verdict Sheet without conferring with anyone (in order not to bias the responses).
- 5) Jury's Verdict Sheets are collected.
- 6) Judge gives his decision and explains his reasoning on the case.
- 7) Jury's verdict only is read, that is, how many voted for revocation and how many against.
- 8) Short break while information is distributed for the next Hearing.
- 9) After all Hearings, Officers and Aides to be given feedback on their testimony by the judge and the participating attorneys and to be given feedback on their own responses to the cases by the moderator.

#### RESULTS

*(Complete results are omitted from this Appendix due to length. The following synopsis of the results is substituted).*

In each of the six cases, the "jury's" verdicts ranged from the most severe possible disposition to the least severe. However, in five of the six cases, the majority of the verdicts corresponded with the disposition given by the Judge. The sixth case involved an application to revoke a probationer who had committed only minor violations but who had struck his Probation Officer during an attempted night-time arrest in which the Officer made numerous and gross errors in arrest procedure. Although the Judge declined to revoke the suspended sentence, thirteen of seventeen "jury" verdicts were for revocation.

In each of the six cases, the "jury" cited numerous factors which they considered significant in making their decision. Perhaps typical of juries, however, the identical factors which weighed heavily for the defendant in the opinions of some Officers and Aides were cited as weighing heavily against the defendant by other Officers and Aides. In general, the results indicated a

wide disparity of values and attitudes among the participating Officers and Aides.

#### COMMENTS AND SUGGESTIONS

For the most part, the exercise appeared highly effective in achieving three goals. Two intended goals which were student-participation and applicability: all students appeared to participate eagerly and each had an opportunity to practice giving testimony. A third, unanticipated goal was also accomplished: the mock Hearings provided an excellent vehicle by which to study and isolate significant and less significant violations and issues of supervision, as evidenced by the wide variety of jury responses.

The use of fictitious cases also assured a wide variety of case situations and a minimum of hostility between participants.

However, the following practical suggestions presented themselves. Mock case file preparation should include mock Summary of Facts sheets, which include both the sentence on the original offense and rules and conditions of probation for each specific case, and mock certified copies of all Judgments and Indictments on all new offenses, as aids to the participating attorneys and Judges. Mock cases should also be reviewed beforehand for any legal errors which might cause an actual case to be dismissed without a Hearing. Also in accordance with real Courtroom procedures, all surnames should be typed in capital letters for ease.

It would also be helpful if all case data were distributed to the witnesses and attorneys well in advance (several hours if possible) in order to provide adequate preparation time. Some of the Hearings were unduly confused because the witnesses did not have ample time to prepare.

The responses of the jury members also appeared to indicate a lack of understanding concerning the laws of sentencing as applicable to suspended and deferred sentences which are revoked. It is possible that this is only a reflection of the difficulty in hearing each case as presented. Therefore, it is suggested that jury members be given the same case information as the Judge. If such sentencing errors persist, it may be necessary to review Officers more thoroughly concerning sentencing in Oklahoma law.

Finally, because of a lack of time, it was impossible to conduct Step 9 in the timetable. The feedback cited would appear to be as valuable, if not more so, than the Hearings themselves. Consequently, it is suggested in the future that adequate time be allowed for feedback, if necessary after each individual Hearing.

**END**