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CLASSIFICATION, PROGRAM ASSIGNMENT AND RECIDIVISM

Gurmeet Kaur Dhaliwal

Submitted to the Department of Criminology,
University of Ottawa, in partial fulfilment
of the requirements for the degree of
Master of Arts



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ABSTRACT

This study examined the efficacy of a classification system, Case Management Strategies (C.M.S.), for federally-incarcerated male offenders in Ontario penitentiaries. Three research questions were asked: (1) How appropriate are program recommendations made by Case Management Officers (C.M.O.s) using C.M.S.?; (2) To what extent are these recommended programs completed by the offenders?; and, (3) Is recidivism influenced by either (a) completion of recommended programs; (b) completion of recommended programs and degree of appropriateness of these recommendations; or, (c) completion of programs which actually address the offenders' needs? The results of this study found that: (1) only about half of the program recommendations made by the C.M.O.s were judged to be appropriate; (2) only a small proportion of the recommended programs had actually been completed by the offenders; and, (3) although there was a small statistically significant effect of the percentage of recommended programs completed on recidivism, recidivism was not affected by the percentage of recommended "treatment / training" programs which were completed; percentage of recommended programs which were completed and appropriate, nor by the degree to which the offenders' needs were addressed by the programs completed. These results raised some serious questions about the efficacy of classification as part of a rehabilitation process.

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INTRODUCTION

Offender classification systems play an integral role in many aspects of the criminal justice system. Their major function has been in the area of the correctional management of offenders within prisons. It is now widely accepted that classification systems are the "veritable cornerstones of correctional administration" (Soloman & Baird, 1981, p. 4).

Early institutional classification systems were designed to segregate offenders for security and supervisory purposes. Since then, classification has expanded to serve a multitude of functions, one of which is the assignment of offenders to particular treatment programs for rehabilitation purposes. Unfortunately, there is very little research on classification for treatment which has examined whether such systems actually serve the purposes for which they are designed.

The present research study was concerned with determining whether a classification system which classifies offenders to treatment programs is implemented as it was designed to, and whether this has a positive rehabilitative impact. That is, is the system appropriately implemented to classify offenders to programs according their needs? Secondly, do offenders actually receive the programs for which they have been classified? Finally, if the classification of the offenders does yield appropriate

recommendations for programs and the offenders actually receive these programs, does such a classification actually have any benefit in terms of reduced recidivism? To examine these questions, a study was undertaken of a particular classification approach, Case Management Strategies (Lerner, Arling & Baird, 1986), as it is applied to federally-incarcerated male offenders in Ontario penitentiaries.

To provide a perspective for the present study, Chapter 1 briefly reviews the basic principles and historical development of offender classification systems. Chapter 2 discusses classification systems designed to assist in offender program planning and reviews research which has evaluated the impact of such systems.

CHAPTER 1

A REVIEW OF CLASSIFICATION¹

A basic assumption of most offender classification schemes has been that offenders are a heterogeneous group and that their diversity must be considered and responded to in order to deal with them efficiently and effectively. It is also assumed that offenders can be sub-grouped in terms of some specific factors which will aid in their differential management (Clements, 1981; Palmer, 1984). Classifying an offender can be based on either a single factor or a combination of factors. These factors may either be presumed correlates of criminal behavior, personality / behavioral characteristics, social history, present circumstances, or future prospects (see Appendix A for a list of commonly employed factors). It is the particular purpose for which the classification system is devised that determines, in large measure, the specific factors considered (MacKenzie, 1989).

Classification schemes can be derived either empirically using statistical methods to identify salient offender factors, or theoretically, using pre-conceived notions of salient offender factors (Brennan, 1987;

¹ The review of classification systems and their nature pertain only to those used in North American and European criminal justice systems, due to the lack of available information in countries such as Africa, Soviet Union and the Near/Far East (Levinson, 1982).

MacKenzie, Posey and Rapaport; 1988). Gottfredson and Tonry (1987) provide a review of empirically-derived classification systems, while Loza (1991) outlines those which are theoretical.

From either approach in the development of a classification system, Warren (1971) has further identified six typologies for the classification of offenders: (1) reference group typologies in which offenders are grouped on the basis of a specific reference group using demographic or social variables; (2) prior probability approaches, that is, base expectancy tables which are used for predicting risk of re-offending; (3) behavior classification based on the offender's attitudes or responses to various situations; (4) social perception and social interaction assessment such as interpersonal maturity developmental stages; (5) psychiatric/psychological approaches based on characteristics such as psychopathic, neurotic, and immature-inadequate; and (6) empirical-statistical typologies which utilize differential weighting of several of the factors considered in the aforementioned typologies to establish a classification grouping. Not included in Warren's list of typologies are those which are legalistic, that is, based on statutory and legal definitions of criminal acts, seriousness/nature of the offence, crime pattern, or degree of deviance (American Justice Institute, 1979)

Purposes of Classification

Classification systems serve a number of functions. Through the enumeration of commonalities of criminal factors, they may contribute to our understanding of the etiology of criminal behavior (Gottfredson, 1987). Classification systems may also be used in the prediction of future criminal behavior. By identifying factors linked to criminal behavior which are characteristic of certain offenders, a probability of future criminal behavior can be measured for other individuals who evidence similar factors (Gottfredson, 1987). Classification may be used as a basis for predicting escape, recidivism (Andrews Bonta & Hoge, 1990; Jesness, 1988; Mackenzie et al., 1988), and violent behavior (Jesness, 1988; Levinson, 1988), and thus might be used to assist in making decisions regarding supervision and early release.

Furthermore, classification is a major consideration in managerial decisions at all stages of the criminal justice system. In entering the criminal justice system, the offender can be classified for decisions for pretrial release, prioritization and acceleration of prosecution, and sentencing (American Justice Institute, 1979). Once incarcerated, the offender is again classified for various purposes (MacKenzie, 1989). Prison classification is usually concerned with three areas: (1) security level, in

which inmates are assigned to an institution according to the physical restrictions deemed necessary; (2) custody/housing level, in which inmates are designated to living quarters in which they are expected to be least problematic; and, (3) correctional programming, in which offenders are matched to treatment programs judged most appropriate for them (Beyer, 1988; Bohn, 1980; Flynn, 1982; Fox, 1982; Levinson, 1982; MacKenzie et al., 1988).

Classification systems have been said to alleviate prison problems such as increased prison overcrowding, especially in maximum security facilities (Austin, 1986; Eynon, 1982; MacKenzie et al., 1988; MacKenzie, 1989; Toch, 1981); high costs for incarcerating offenders; high costs for prison construction (Allen, Latessa & Vito, 1987; Eynon, 1982); prison violence (Posey, 1988; Levinson, 1982); limited availability of resources and services (Bonta, 1990); and, public/offender threats of litigation for inequitable management (Austin, 1986; Gottfredson, 1987; Kratcoski, 1981). In the final stage of the criminal justice system, in which offenders are considered for release, classification systems are often used to identify those risk factors which are thought to be indicative of recidivism, and unsuccessful reintegration into the community (Flynn, 1982).

At all stages of the criminal justice system, classification is used primarily to provide guidelines on

how to appropriately respond to specific types of offenders. It is also used to assist decisions regarding allocation of resources. Furthermore, correctional staff may utilize the decisions based on the classification systems to project future resource needs of the prison by examining changing trends in the types of offenders and their needs (Austin, 1983).

Considerations and Precautions

Although classification is widely used for the understanding and management of offenders, there are a number of considerations and precautions which must be exercised. There have been many recommendations for the adequate development and implementation of classification systems (Clements, 1981). Most important among these recommendations are demands for classification systems which have clear and concise goals and operational definitions of criteria, and which are objective, valid, reliable, and economical. Appendix B provides a more complete summary of these recommendations.

Failure to take cognizance of these guidelines can have adverse ramifications for the offenders, because classification systems serve as the guide to critical decisions regarding the actual disposition of the individual. Therefore, any decisions that are based on

systems consisting of vague or imprecise factors, or factors which are not relevant for the purpose of the classification can be detrimental to the offenders themselves, other offenders, prison staff or the public (Brennan, 1987; Clements, 1981; Toch, 1981). Characteristics such as race and class have been used in classification systems and the serious ethical and legal consequences of discrimination must be considered (Sechrest, 1987).

Another consideration for classification systems is the issue of discretionary powers of the classification staff. Even when the classification system consists of a precise, objective method of selecting a classification level (e.g., the level of formal education, or number of years of unemployment), there may be leeway for subjectivity which can be a cause for concern. In fact, classification staff have frequently rejected objective classification systems, on the basis of not allowing for the influence of the professional judgement for which staff feel they are trained. Furthermore, some prison staff feel that "the inmate is more of a number than he has ever been, and it takes away all ... discretion so [they] can't work with the man." (Gettinger, 1982, pp. 34). Most classification systems have an override principle in which decisions are based on factors other than those provided by the classification system which the classification officer, as a "professional," may believe to be more relevant for the

decision. However, Baird and Austin (1986) warned that the proportion of override decisions found in classification decisions made with one widely used system (the N.I.C. Model of Classification) was dangerously high (about 50%), almost to the point of losing objectivity and uniformity in the classification decision making process. To what extent should a classification system allow for professional override, yet still be objective enough to be valid and effective? There are obviously no easy answers to this question.

Another serious ethical concern with classification relates to its impact on the offender as an individual. First, there is the issue of forcing each offender into a discrete grouping. It could be argued that the very act of classifying removes the individuality of the offender. Indeed, classification systems necessarily lose some precision at the individual level in order to gain some advantage in describing subgroups whose members are presumably similar (Clement, 1981). Therefore, situations which are unique to individual offenders may be overlooked. Furthermore, it has been suggested that classification dehumanizes the prison system. Gettinger (1982) reported that in the late 1970's, the prisoners in California prisons did not feel like individuals, but "just a piece of paper" (pp. 34). Another problem with classifying offenders deals with the potential stigmatizing effect of "labelling",

possibly resulting in a self-fulfilling prophecy. Clements (1981) warns that such an effect would be particularly hazardous if the offender is misclassified and then sent to an inappropriate facility, such as a higher security level than may be unnecessary. The offender might then be seen to have or even be likely to acquire those characteristics which his classification implies.

Historical Development

Classification of offenders has developed from simple criteria for the basic separation of types of offenders to fairly sophisticated classifications which serve a multitude of purposes. The following provides a summary of the historical development of classification systems. More extensive reviews of the history of classification have been provided by Fox (1982), Hippchen (1978a), and MacKenzie et al. (1988).

Separation of offenders. The earliest attempts to classify offenders in prisons were designed to separate offenders for housing. These were based on simple factors such as age (i.e., children from adults), gender, type of offence, criminal history, or physical characteristics (Beyer, 1988; Flynn, 1982; Fox, 1982; Gottfredson, 1987; Hippchen, 1982; MacKenzie, 1989).

Classification for Treatment Planning. The issue of classification received significant attention at the first meeting of the American Correctional Association in Cincinnati in 1870. Formal principles for classification systems were outlined since they were officially recognized as essential to the correctional management of offenders. In addition, the introduction of the "reintegration model", in which offenders were viewed as "reformable" through a gradual decrease in security/custody levels to eventual release led penologists to employ classification to assess offenders' progress (MacKenzie, 1989). However, despite the initial attempts at formalization of classification systems, the decisions to assign offenders into one of the classification levels were still very subjective (Austin, 1986; Forcier, 1988).

In the early twentieth century, the "rehabilitation model" influenced correctional management of offenders. It was assumed that the offender's criminal behavior could be influenced by treatment or environmental change. Part of this direction in classification came from the development of social and behavioral sciences in this time period, and thus sociological and psychological disciplines became major influences on correctional classification approaches (Eynon, 1982). Sociological views emphasized shortcomings of the social environment that were presumed to precipitate criminal behavior (Andrews & Wormith, 1989; Flynn, 1982;

Fox, 1982). Psychological perspectives, while not discounting environmental influences, stressed individual mental processes (Beyer, 1988). Some of the major factors considered were socio-economic variables such as education, work patterns, and social interactions (MacKenzie et al., 1988; Scott, 1982). An early paradigm of classification for treatment was based on the medical model, which assumed offenders were "sick" and required treatment for their "disease." Classification provided a tool of diagnosing the "illness" before the offender could be "cured" (Fox, 1982; MacKenzie et al., 1988).

Diversification of Classification Techniques. As interest in classification and assessment increased in the mid twentieth century, the purposes of classification and the techniques used to achieve these purposes became more diversified (MacKenzie, 1989). Some of the added classification goals included risk prediction, and "offender needs assessment" for matching offenders to treatment programs. Furthermore, much activity was devoted to the development of empirically-derived classification systems using quantitative and multivariate methods. Most of the classification systems developed in this phase were based on a psychological perspective (MacKenzie, 1989).

Demands for Improved Classification. In the 1970's, the rise of conservatism and other sociopolitical factors engendered more punitive correctional approaches and

contributed to the scrutinization and skepticism of rehabilitative goals (for an overview, see Andrews & Wormith (1989); Gendreau & Ross (1987); and Hippchen, (1978b)). In addition, serious problems of overcrowding in prisons produced a shift in the goal of classification from treatment purposes to those for security and custody purposes (Forcier, 1988). Demands were made for quicker, more efficient methods of classifying offenders (Austin, 1983). Inadequate classification systems were presumed to have caused some of the overcrowding effects of prison populations in maximum security levels, due to the overclassification of offenders to these levels (Bonta, 1990; Buchanan & Whitlow, 1987; Clements, 1982; Gettinger, 1982; MacKenzie, 1989). Thus, disappointment in the use of classification systems in prisons was rising, particularly from courts which characterized classification systems as inequitable, unfair and inconsistent (e.g., Holt vs. Sarver, 1971; Morris vs. Travisono, 1970; Pugh vs. Locke, 1976; Laman vs. Helgemoe, 1977; Palmigano vs. Garrahy, 1977; and Ramos vs. Lamm, 1979). This dissatisfaction was expressed both in the United States and in Canada (Loza, 1991).

Current Status of Classification of Offenders.

Response to the criticisms of classification motivated a search for a more effective approach to classification. A multitude of recommendations were made by commissions (e.g., National Advisory Commission on Criminal Justice Standards

and Goals), courts, government departments (e.g., the National Institute of Corrections; U.S. Department of Justice; and, the American Correctional Association), and a number of criminological researchers (Andrews, Bonta & Hoge, 1990; Austin, 1983; Beyer, 1988; Brennan, 1987; Buchanan & Whitlow, 1988; Clements 1981, 1986, 1987; Fox, 1982; Forcier, 1988; Flynn, 1982; Gettinger, 1982; Hippchen, 1978a; Mackenzie, 1989; Megargee & Bohn, 1979; Thacker, 1988; Soloman & Baird, 1981; van Voorhis, 1987; see also most of the third issue of Crime and Delinquency, 1986).

Furthermore, with a renewed faith in the rehabilitation of offenders, research efforts in developing classification systems for treatment purposes have increased (Andrews, Bonta & Hoge, 1990; Gendreau & Ross, 1987). Emphasis is placed on answering the question not of "What works - for offenders as a whole?" but "Which methods work best for which types of offenders?" (Palmer, 1975, p. 150). Thus, correctional management has been urged to adopt a differential treatment model in which offenders are assigned to specific programs according to their individual characteristics (Andrews, Bonta & Hoge, 1990; Kratcoski, 1981).

There are basically two types of classification for treatment systems, each with very different functions; they will be referred to as Classification of Offender Needs (C.O.N.), and Classification for Offender Programs (C.O.P.).

The purpose of C.O.N. is to provide general guidance in the decision as to whether or not and to what degree an offender requires treatment. An example of a C.O.N. system is the "Level of Supervision Inventory" (LSI) which is currently used in provincial community correctional facilities to assess an offender's needs and risk of recidivism in order to assign him/her to an appropriate level of supervision and to decide the frequency of contacts required for effective management (Andrews, 1989). The Correctional Service of Canada has also developed such a classification system for its federal offenders who are on community supervision, referred to as the "Community Risk/Needs Management Scale" (Motiuk & Porporino, 1989). However, classification for treatment does not stop here. C.O.N. systems only indicate which offenders are more likely to succeed with treatment interventions.

Among those offenders who are good candidates for treatment, decisions must be made as to which programs are most appropriate for them. C.O.P. systems attempt to provide this function. C.O.P. systems are designed to assess the offender in order to provide more specific guidance as to the type of treatment approach that the offender requires in order to reduce recidivism. It is expected that a good C.O.P. will "give hope for eventual realization, even if partial, of the ideal of rehabilitation" (Sechrest, 1987, p. 295), and thus will

assist in improving the outcomes of the treatment that it recommends. It is this type of classification on which this thesis focuses. Chapter 2 describes the basic principles of these classification systems and reviews previous research which has evaluated the impact of C.O.P. systems on the goals for which they have been designed: recidivism.

CHAPTER 2

CLASSIFICATION SYSTEMS FOR OFFENDER PROGRAMS

Classification for Offender Programs (C.O.P.) systems have received much attention in recent years, since the resurgence of interest in rehabilitation (Beyer, 1988; Bohn, 1980; Flynn, 1982; Fox, 1982; Gettinger, 1982; Levinson, 1982; MacKenzie et al., 1988; Solomon & Baird, 1981; Thacker, 1988). C.O.P. systems are designed to match an offender to correctional treatment or training programs which are judged necessary for the offender's rehabilitation. To date, there have been no C.O.P. systems designed to indicate specific programs for each particular category of offenders. Instead, systems merely provide the identification of characteristics of offenders within each classification category and suggest the general direction which should be taken in terms of offender programming.

Today, most C.O.P. systems are conducted by assessing the offender's psychological / behavioral characteristics (MacKenzie et al., 1988; van Voorhis, 1987), possibly because of the dominance of psychological perspectives on the rehabilitation of offenders (MacKenzie, 1989; Scott, 1982). Among the most commonly used C.O.P. systems in the United States and Canada, two general models on which classifying offenders for programs are based are: (a) developmental stages; and (b) current personality /

behavioral characteristics.

C.O.P. systems which have been based on developmental stages are derived from research and theory in developmental psychology. These systems are used primarily with juvenile offenders. Each classification level describes a particular stage of cognitive, emotional or social growth that the individual has achieved. The most commonly used C.O.P. systems which are based on developmental stages are the Conceptual-Level Matching Model (CLMM) (Reitsma-Street & Leschied, 1988), and the I-Level (Jesness, 1988).

There are many classification systems which classify offenders for programs on the basis of psychological/behavioral characteristics, most of which employ psychological assessments (Scott, 1982). Many of the correctional institutions or facilities using such systems either adapt current popular C.O.P. systems to their specific institutions, or develop their own C.O.P. system based on the specific population in their particular facility (Beyer, 1988; Scott, 1982). There are very few publications on the evaluations of such enterprises.

Among the more widely used C.O.P. systems are Megargee's Minnesota Multiphasic Personality Inventory (M.M.P.I.)-based classification system (Megargee & Bohn, 1979); Quay's Adult Internal Management System (A.I.M.S.) (Quay, 1984); Quay's Behavioral Classification System for Juveniles (Levinson, 1988; Sechrest, 1987); the National

Institute of Corrections (N.I.C.) classification model (Beyer, 1988); the Wisconsin Client Management Classification system (C.M.C.) (Lerner, Arling & Baird, 1986); and, the Case Management Strategies approach (C.M.S.) (Loza, 1991). Megargee's MMPI-based classification system and Quay's classification systems classify offenders on the basis of a psychological assessment of personality traits. The other systems (N.I.C., C.M.C., and C.M.S.) classify offenders according to their "needs." Offender needs are those factors which are correlated to the offender's criminal behavior, and which, when influenced by treatment programs targeting these needs, should lead to a reduction in recidivism.

Research on Impact of C.O.P. on Recidivism

The main focus of research on classification systems for offender programs has been on issues of concurrent validity, predictive validity, and reliability. Two criminology journals, Crime and Delinquency, 1986, third issue; Criminal Justice and Behavior, 1988, first issue, provide a comprehensive report of the current status of the results of this research. The conclusions to these research studies indicate that many classification systems provide fairly effective and accurate methods of distinguishing between offenders and predicting their criminal behavior.

In addition, these studies have suggested that many classification systems can provide reliable strategies for predicting offender adjustment to incarceration.

However, another important area of research on C.O.P. systems is the evaluation of its value in terms of rehabilitation. Research must show that this goal is indeed accomplished by the C.O.P. system. Unfortunately, there is an almost complete dearth of such research. This gap in research has been noted by many researchers (e.g., Annis & Chan, 1983; Duffee & Clark, 1985; Eynon, 1982; MacKenzie, et al., 1988; Sechrest, 1987; Warren, 1971). The following presents the few studies which have thus far been conducted.

Juvenile-Based C.O.P. Systems

There have been four studies conducted to examine the impact that particular C.O.P. systems have had on the rehabilitation of juvenile offenders. All have examined the I-Level classification system. The theoretical basis of the I-Level approach is derived from Sullivan, Grant and Grant's (1957, as cited by Jesness, 1971) theoretical model of ego-developmental stages. It is assumed that normal children mature through various progressive stages characterized by increasing interpersonal understanding. Fixation at three of the seven stages have been found to commonly occur among juvenile offenders. Within these three, nine empirically-

derived delinquent subtypes have been found.

Jesness (1971) conducted a study to examine the impact of the I-Level for institutionalized male juvenile delinquents on post-program measures. A random selection of 655 juvenile delinquents served as the experimental group who received treatment according to their classified I-Level, and were assigned to separate living units in the Preston School of Industry, a California Youth Authority institution. The control group consisted of 518 delinquents who were assigned to living units according to previously implemented procedures which did not take the ego-developmental classification types into consideration. Although institutional management problems were significantly less severe and frequent, and psychological and behavioral measures improved significantly, there was no significant decrease in recidivism between the experimental and control groups. Fifty-four percent of the experimental juveniles and 54 percent of the control group had revoked while on parole within 15 months of release to the community. A further 24 month release time period also indicated no significant difference between the two groups in terms of recidivism. Despite the careful methodologies that were used in this study, including extensive staff training, and staff-delinquent matching of personality characteristics, the implementation of the classification system used to develop institutional treatment programming

did not have significant impact on future criminal behavior.

In the Community Treatment Project, two studies were conducted by the California Youth Authority to examine the I-Level and its efficacy for use with juvenile offenders on community supervision (Palmer, 1974). The first study included a sample of delinquents who were placed under parole supervision in Sacramento, Stockton, or San Francisco from 1961 to 1969. The experimental group consisted of 686 delinquents who had no prior institutionalization, were classified by the I-Level, and, received the intensive I-Level treatment programming approach. The control group consisted of 328 delinquents who had been in an institution, and had been subsequently placed under parole supervision in the community by a parole agent who did not employ the I-Level classification approach. The total sample consisted of 802 male and 212 female delinquents.

Findings from this study were reported more extensively for the male delinquents. After one year, and 60-month follow up time periods, mixed results were found, depending on the particular classification group. Fewer of the experimental male delinquents classified as Neurotic recidivated compared to the control group. However, results for those delinquents classified as Power-Oriented were less promising. Although after one year, this experimental group had a recidivism rate of 40%, in comparison to 66% for the control group, the experimental group had fewer favourable

discharges after 60 months, more convictions while on favourable discharge, and more unfavorable discharges. Mixed results were also found for the Passive Conformist youths. The experimental group had lower recidivism rates than for the control group after 24 months; more favourable discharges after 60 months; and, fewer unfavourable discharges. However, after a favourable discharge, a greater proportion of the experimental group was convicted of further offences than the control group.

Results from the female sample indicated no significant differences in recidivism, favourable discharges and unfavourable discharges between those who received I-Level treatment and those who did not.

The second study (1969 to 1974) differed in that: (a) the experimental I-Level groups were either placed in a residential setting or left on community supervision; and, (b) only male delinquents from the Sacramento area who were no longer institutionalized by a juvenile court were included. Although all of the offenders were provided with the I-Level treatment approach, emphasis was placed on the specific environmental settings (i.e, institution or community supervision) that were best suited for the offender. Four groups of delinquents were compared: (1) RR - youths requiring and thus placed in a residential setting; (2) RC - youths requiring a residential setting, but placed in a community setting; (3) CC - youths requiring and thus

placed in a community setting; and, (4) CR - youths requiring a community setting, yet placed in a residential setting. Results indicated the following: (a) RR performed better than RC in terms of number of offences during the first 18 months of parole, number of offences per youth, and the mean rate of offending for each month; (b) there were no significant differences in these outcome measures between the CC and CR groups; and, (c) those inappropriately placed (i.e., RC and CR) performed worse than those appropriately placed (i.e., RR and CC) on these measures. Thus, setting as well as I-Level treatment differences were suggested as factors influencing recidivism.

The results from both studies conducted by the California Youth Authority appear to yield some indications of reduced recidivism when the I-Level treatment approach was provided, and delinquents were placed in the appropriate setting (particularly residential settings). However, statistical tests of actual level of significance at which these differences lie were not reported.

A fourth study which examined the I-Level classification system compared 48 delinquents on probation in Winnipeg who randomly received one of three treatment conditions: I-Level Treatment, Alternative Treatment, and Surveillance Treatment (Barkwell, 1976). The I-Level treatment consisted of a I-Level classification, designation to a Probation Officer whose worker style characteristics

matched the delinquent's needs, and a treatment plan according to that suggested by the I-Level. The Alternative Treatment condition was a treatment plan which was ordinarily provided to delinquents by the probation office which did not consider the I-Level classification system. The Surveillance Treatment condition was used to control for the effects of the caseload work of the probation office; it consisted of the same treatment modality as the Alternative Treatment, except the case work load was heavier, resulting in minimal treatment supervision allowable. The outcome measures were (a) assessment of self-concept (a personality characteristic found to be predictive of delinquent behavior); (b) recidivism (measured by the latency of involvement and change in seriousness of offences over time); and, (c) stability of attendance at school or work. After 1 year (Barkwell, 1976), and 3 year (Barkwell, 1980) follow-up time periods, results indicated that delinquents who were placed according to the I-Level treatment approach had significantly increased self-concept measures, increased school/work attendance, and reduced recidivism as compared to the other control groups.

In summary, results from studies on the I-Level have been mixed. The study by Jesness indicated no significant effects on recidivism rates between delinquents who receive treatment according to their classified I-Level and those who do not, whereas the studies by Barkwell and Palmer

revealed a reduction in recidivism. Moreover, although Palmer suggested positive results, challenges have been made about the methodological approaches which were used, such as the basis of inter-rater reliability, use of comparable outcome measures between the experimental and control subjects, and the integrity of actual program delivery (Annis & Chan, 1983). Furthermore, Ross and Fabiano (1985) question the distinctions of treatment strategies that the I-level identifies by arguing that although the I-level classifies delinquents according to his/her cognitive social maturity, there has been no suggestion for differential treatment strategies which relate to the specific social cognitive deficits of each subtype identified. Therefore, the efficacy of the I-Level to reduce recidivism via its suggested classification for offender programs is still questionable.

Adult Offender-Based C.O.P. Systems

Results found in C.O.P. research on juvenile offenders is limited in the understanding of C.O.P. systems for adult offenders. These two populations may be different in terms of characteristics such as psychological/behavioral traits, situational factors, and individual needs. Therefore, any conclusion made on one population cannot be generalized to the other. However, similar to the research on the efficacy

of C.O.P. juvenile systems, there are only a few research studies which have examined C.O.P. systems for adult male offenders and their effect on recidivism. Only two C.O.P. systems have been evaluated in terms of recidivism: (1) the Client Management Classification system, and (2) Quay's AIMS classification system.

Client Management Classification. In 1975, the Wisconsin Bureau of Community Corrections created a commission to evaluate the internal procedures for probation and parole supervision, and to recommend more standardized and individualized methods. The result of the project was the development of the Client Management Classification system (C.M.C.). The case planning is developed on the basis of four classification groups. Each category identifies specific characterizations of the offenders, and corresponding methods of intervention. These classification types can best be understood as personality "types," with specific types of needs. The following is a brief description of these classification groups and their supervision strategy types.

The "Selective-Intervention (Situational)" offender generally has a pro-social and stable lifestyle (i.e., employment or education). The offences committed are typically precipitated by a temporary crisis. The offender in the "Selective-Intervention (Treatment)" group is similar to the SI-Situational offender, except that a particular

problem, be it chemical, assaultive, sexual or emotional, is of primary concern. Minimal amount of intervention is recommended for these groups of offenders, consisting primarily of guidance in the resolution of the crisis.

The "Environmental Structurer" is specifically grouped for his/her lack of vocational skills, poor insight, naive nature, and social gullibility. The strategies provided for this group involve enhancing daily living and social skills, gaining employment stability, associating with pro-social companions, and increasing impulse control.

The offender of the "Casework Control" group generally lacks goal-directives and therefore is unstable in most aspects of his life (eg., problem childhood, frequent job change, or family problems). Chemical abuse, emotional problems, self-defeating behavior and negative interpersonal attitudes interfere with an appropriate direction of life. This group requires assistance in gaining stability in most areas of life. However, due to the multiple difficulties that this group of offenders face, realistically, very few of these areas can be dealt with.

The last group, the "Limit Setters", are very comfortable with a pro-criminal value system. They can be very manipulative, and have a desire for material gain. Although this lifestyle is very difficult to influence, and the group will actively resist any intervention, an attempt should be made to motivate the offenders toward non-

manipulative relationships and law-abiding employment.

To date, three studies have evaluated the use of the C.M.C. approach. The first study was undertaken in 1979 by Systems Sciences Inc., of Bethesda, Maryland, and subsequently completed by the Wisconsin Division of Corrections in 1983. It compared outcome results for offenders who had been placed under one of three supervision types: Regular Supervision (i.e., the supervision presently being used), Intensive Supervision (an increase of staffing, referrals and client contacts) and the C.M.C. Intensive Supervision (a combination of both Intensive Supervision and the C.M.C. approach) (Baird & Neuenfeldt, 1990). Results indicated that the C.M.C. high-risk Intensive Supervision group had 8% fewer parole revocations than the high-risk regularly supervised offenders. Medium-risk C.M.C. offenders had 6% fewer revocations than nonC.M.C. medium-risk offenders (i.e., Regular Supervision or Intensive Supervision). These differences in revocation rates were statistically significant ($p < .05$).

In 1985, a study was undertaken by the Texas Board of Pardon and Parole to compare pre-revocation warrants issued to parolees who were given the C.M.C. supervision with those who were given regular supervision (i.e., nonC.M.C.) (Eisenberg & Markley, 1987). Level of risk (i.e., low, moderate and high) was also examined within each group of parolees. Results revealed that those parolees with the

C.M.C. supervision approach had significantly lower pre-revocation rates at both 6 month (10% versus 16%) and 12 month (17% and 25%) follow-up time periods than the nonC.M.C. parolees ($p < .05$) .

The third study examined recidivism for offenders on probation who either received or did not receive the C.M.C. approach in South Carolina during 1985 and 1986 (McManus, Stagg & McDuffie, 1988). Groups were matched by offence type, risk level, supervision level and C.M.C. classification. After a 12 month follow-up time period, 38% of the non-CMS group had recidivated, as compared to 15% of the C.M.C. group.

Based on the results from these three studies, there are indications that the Client Management Classification system is a promising C.O.P. system for offenders in the United States on either parole or probation. Today, over 75 jurisdictions in the United States have adopted and are presently implementing this system.

Quay's A.I.M.S... Quay's A.I.M.S. is an empirically-derived system, designed to classify offenders to appropriate institutional management units and treatment programs. The two components in the classification process include the Correctional Adjustment Checklist in which an offender's behavior is rated based on observations made during the initial two to four weeks of the offender's institutionalization and the Checklist for the Analysis of

Life History Records of Adult Offenders, in which a review of the offender's file and reports is completed. Based on these assessments, three basic categories of offenders are achieved: Heavy, Moderate and Light. From these, subgroups of offender types can be distinguished. Although Quay has subgrouped offenders into five categories, the study which will be reviewed (Cavior & Schmidt, 1978) had subgrouped offenders into four. These four offender behavioral types and their respective treatment modalities as devised specifically in this study, are as follows: BC1 (Inadequate-Immature) who are presumed to require Transactional Analysis; BC2 (Neurotic-Disturbed) who require individual counselling; BC3 (Unsocialized Psychopathic) who require behavior modification; and, BC4 (Socialized Subcultural) who require Reality Therapy.

In the study by Cavior and Schmidt (1978), recidivism rates were compared between (a) 281 male adult offenders at a minimum correctional institution in West Virginia whose differential treatment programs were assigned according to Quay's classification of Behavioral Categories; and (b) 405 male adult offenders at a medium security institution in Kentucky whose treatment programs were not recommended according to the Behavioral Categories, although the inmates were assessed with this classification. The results of a three year follow up time period revealed no significant difference between the two groups in any of the Behavioral

Categories in terms of re-offending (defined as returning to any state or federal prison for at least 60 days). Some of the methodological problems indicated were noncomparable institutions (security level, staffing patterns, staff-offender ratio, and nature of programs), and noncomparable offender populations.

In summary, results of the C.M.C. studies suggested that offenders who are on community supervision in the United States, and who have received the C.M.C. approach have significantly better outcomes than those who have not received it. Thus, the efficacy of this C.O.P. system appears promising. Unfortunately, based on the study conducted by Cavior and Schmidt, less promise can be reported for the Quay's A.I.M.S. approach.

Conclusions

Classification systems appear to be long on promise in terms of the rehabilitation of adult offenders, but short in terms of actual empirical evidence. Very little research has been done to systematically evaluate and link recidivism outcome to classification of adult offenders. In 1982, Megathlin, Magnus and Christiansen argued that there is still much unknown about the "state of the art" for classification in adult male correctional institutions. This observation can still be made in 1992; a full decade

later, and has previously been repeated by others (e.g., Andrews, Bonta & Hoge, 1990; Annis & Chan, 1983; Clements, 1986; Duffee & Duffee, 1981; Sechrest, 1987).

The research which has examined whether treatment programs provided to offenders, which are based on a C.O.P. system, have an effect on the offender's future criminal behavior is limited. The following are conclusions which can be made from this body of research:

(1) Research on C.O.P. systems for juvenile offenders has focused primarily on the I-Level. Yet due to the conflicting results found, much more work is required on the I-Level. Furthermore, other systems which have been introduced have not yet been evaluated, which restricts any conclusions which can be made on their efficacy.

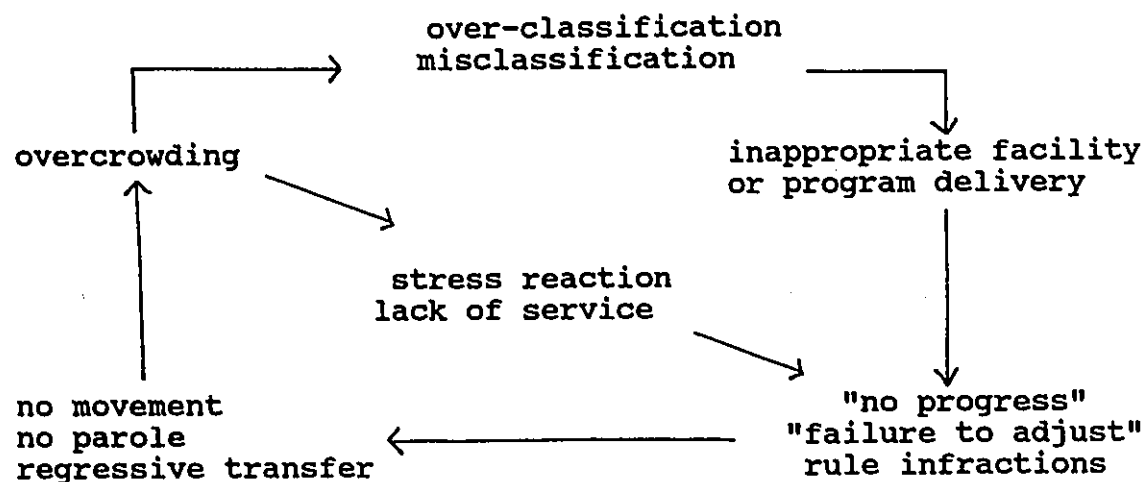
(2) It appears that although C.O.P. systems have been employed for both male and female offenders, there is no specific C.O.P. system which has been shown to be effective for female offenders who have unique and specialized needs and characteristics (Ross & Fabiano, 1986). Such systems are virtually nonexistent (Eynon, 1982).

(3) There exist a few C.O.P. systems for adult male offenders (C.M.C., NIC, Megargee's MMPI and Quay's AIMS). However, there is still very little research on their rehabilitation value. Of those studies which have been conducted, only one has examined the rehabilitative effect of a C.O.P. system on incarcerated offenders (i.e., Cavior &

Schmidt (1978)). Unfortunately, the results from this study are not positive. The other studies, namely those conducted on the C.M.C. system, have more positive results; but these results apply only to the offender population on community supervision. Conclusions based on studies of offenders on community supervision may not be an adequate basis for decisions for offenders who are incarcerated. These two populations may be quite different. Many, perhaps most, offenders on probation have not served institutional time, and therefore may have quite different needs and experiences than those who have. The generalization of research results from a probationer and parolee population to an incarcerated offender population has been warned against by the National Advisory Committee on Criminal Justice Standards and Goals (Robertson & Blackburn, 1984). For offenders who receive a C.O.P. system while incarcerated, the study by Cavior and Schmidt has found negative results. However, weaknesses in this study have been found.

(4) There has been no study which has evaluated the appropriateness of the implementation processes for a specific C.O.P. system. Based on the literature, it appears that many correctional facilities are employing these systems to guide program plans for offenders. However, the issue of how these processes are actually executed in reality has not been examined. Most research is based on classification decisions and may wrongly assume that the use

of the classification system was correct and appropriately completed according to the intentions of the system. However, if classification systems are not implemented properly, the problems created can become a vicious circle which affects the criminal justice system greatly. Clements (1982) provides a diagram of how damaging improper implementation of a classification instrument can be:



(5) There has been no study which has evaluated a C.O.P. system for male adult offenders that is used in Canada, either for community or institutional supervision. Since there may be differences between offenders of different populations (eg., American and Canadian) in terms of personality characteristics, offender needs and required services, it has been argued that any classification approach should be validated for the offender population of concern (Buchanan & Whitlow, 1987; Kane, 1986; MacKenzie, et

al., 1988).

Given these summary points, the purpose of the present study was to examine the impact of a C.O.P. system, **Case Management Strategies (C.M.S.)**, for male adult offenders who were incarcerated in federal penitentiaries in Ontario. The objectives of the study were to examine (a) the appropriateness of program recommendations based on the C.M.S.; (b) the extent to which these recommended programs were actually completed by the offenders; and, (c) the impact of (a) and (b) on recidivism.

CHAPTER 3

METHODOLOGY

The foregoing review of the literature indicates that there has been very little research on the impact of C.O.P. systems on recidivism. The purpose of the present study was to examine this relationship for male offenders, incarcerated in federal penitentiaries in Ontario, Canada who had been classified for treatment programming on the basis of the Case Management Strategies (C.M.S.) classification system. Although there have been other studies which have examined the C.M.S. approach with Canadian adult offenders, their focus has been limited to the validity and reliability of the system for Canadian offenders (Andrews & Loza, 1989; Loza, 1991; Nelson, 1989).

Objectives of the Present Study

The basic purpose of a C.O.P. system is to assist in the decisions regarding the assignment of offenders to treatment or training programs which should result in the reduction of recidivism. It is assumed that if offenders are provided with those programs which have been identified through a classification system as appropriate to the individual needs, there should be significant benefits in terms of recidivism. Conversely, if an offender is either

(a) not appropriately matched to his program needs by the classification system; or, (b) not delivered those programs which have been identified by the classification system, then a significant reduction in recidivism should not be expected. The major objective to the present study was to examine these assumptions. Specifically, the study investigated the following research questions:

- (1) Is the C.M.S. classification utilized appropriately by C.M.O.s in order match offenders to programs?
- (2) Do offenders actually complete those programs which have been recommended through the classification system?
- (3) Is recidivism influenced by the completion of programs which appropriately match the offender's needs?

The following is a more detailed description of the procedures that were implemented for this study in order to investigate these three questions.

The Classification System: Case Management Strategies

In early 1987, the Correctional Service of Canada (C.S.C.) adapted a classification system from a U.S. system, referred to as the Client Management Classification (C.M.C.) system. The C.M.C. was originally used for offenders on parole supervision in Wisconsin (described earlier in Chapter 2). Known in C.S.C. as the "Case Management Strategies" approach (C.M.S.), this has been the first classification system for offender programming that has been used consistently in all facilities of the Correctional Service of Canada.

Particular to the usage by C.S.C. facilities, the Case Management Strategies (C.M.S.) approach is a classification system which matches the offender's needs to treatment programs. The C.M.S. consists of three components: (a) an Interview Schedule; (b) Force Field Analysis of Needs form; and (c) Correctional Treatment Plan form. The semi-structured interview includes 71 questions which pertain to the offender's attitude, social and criminal history, offender behavioral observations made during the interview, and the interviewer's impressions (see Appendix C). This information provides for a standardized method of obtaining information regarding specific needs of the offender.

A total score is derived from the questions in the interview and, on the basis of his score, the offender is

classified into one of four supervision strategy groups (SI, ES, LS, CC). Although case planning and program recommendations made within C.S.C. facilities consider these typologies, most of the emphasis is placed on the assessment of the offender's needs. This is accomplished in the second and third components of the C.M.S. approach.

The second part of the C.M.S. assessment, the Force Field Analysis of Needs form (F.F.A.) (see Appendix D), involves the identification and prioritization of the offender's needs. The F.F.A. form consists of the following 15 need areas:

- Present Offence
- Offence Pattern
- Response to Supervision / Incarceration
- Academic / Vocational Skills
- Employment Pattern
- Financial Management
- Marital/Family Relations
- Companions
- Emotional Stability
- Alcohol Usage
- Drug Usage
- Mental Ability
- Health
- Sexual Behavior
- Values / Attitudes

To establish which particular forces (or "needs") contribute to the offender's criminal behavior, the interview, as well as any other information in the offender file is used. Both the strengths (i.e., positive aspects) and weaknesses (i.e., negative aspects) of these forces are recorded in prose form. Since it is unrealistic to address all of the problematic need areas at one time, the four most

salient problem areas are ranked as requiring some intervention. However, in the prioritization of the needs, three of the need areas (Present Offence, Offence Pattern and Response to Supervision/Incarceration) are not regarded as need areas. Therefore, it is the remaining 12 need areas which are assessed and prioritized. The particular need areas which are ranked highest in priority are those which are (a) strong influences in criminal behavior, (b) alterable, and (c) if resolved, may have a positive effect on other problem areas.

The third phase of the C.M.S., the Correctional Treatment Plan (C.T.P.) (see Appendix E), consists of the development of an action plan which will most effectively address the critical problem areas identified in the Force Field Analysis of Needs form. The development of a C.T.P. involves 5 elements: (1) a "problem statement"; (2) "long-range goals"; (3) "short-range objectives"; (4) an "offender action plan"; and (5) an "officer/referral action plan". The "problem statement" specifies the undesirable behavior, the negative effects of this behavior and any precipitating conditions under which the behavior occurred. The "long-range goal" describes the positive behavior that should be achieved. The "short-range objectives" describe the specific measures to be taken and a specified time frame within which to achieve the positive behavior. The offender states which course of action he plans to accept, placing

some onus of responsibility on himself. The classification officer states which referrals will be made and which action will be taken to insure that the objectives stated in the C.T.P. are achieved.

Sample Selection Criteria

The present study used a sample of federally-incarcerated male inmates in Ontario which was selected from a National database previously obtained by the Research and Statistics Branch, C.S.C. The following is a summary description of the processes involved in establishing the National sample.

When the Case Management Strategies approach was adopted by Correctional Services of Canada, a Research Advisory Group was established with representation from each of the five regions across Canada, and from the Correctional Programs and Operations Branch at National Headquarters. The five regions, broken down by C.S.C. are Pacific, Prairies, Ontario, Quebec, and Atlantic. The research was designed to examine the impact of C.M.S. on the quality of case-work and program planning with federally-incarcerated Canadian offenders. To obtain a National Canadian sample of C.M.S. documents, the Research and Statistics Branch made a request to all C.S.C. facilities for a copy of the three documents of the C.M.S. approach (i.e., Interview Schedule

score sheet, Force Field Analysis of Needs form, and the Correctional Treatment Plan) which had been completed for all offenders. The start date for data compilation was March 4, 1987; the end date was December 7, 1989.

File documentation of C.M.S. was requested for both male and female offenders. However, for analysis, the male offender sample was examined separately from the female offender sample. Approximately 2000 cases were compiled which consisted of all three documents of C.M.S. for the male offender population. To select a data sample that was sufficient for examining the components of the C.M.S. approach, a systematic selection of every second case was chosen. From this sample, further criteria were applied to generate the final sample. Only those offenders who had a federal sentence (i.e., serving a sentence of more than two years), and were serving time in a federal penitentiary were selected. Cases that were not included in the data base consisted of those in which either the recorded information could not be read, the offender was serving a provincial sentence in a federal penitentiary (i.e., serving a sentence of less than two years), the offender could not be identified (i.e., wrong Finger Print Serial number, no identifiable name, temporary Finger Print Serial number), or the offender was assessed in community C.S.C. facilities. A final sample size of 836 was maintained in the National C.M.S. data base.

For the present study, a subsample was selected from this National sample. Only those cases which had C.M.S. documentation from the Ontario region were included in this study ($n=360$), because it would be difficult to obtain further information on the programs that were actually delivered to the offenders from the other regions. Furthermore, only those offenders who had just been admitted into the federal penitentiaries were selected ($n=194$). Those offenders who had been incarcerated for an extensive period of time were excluded from this study, because correctional treatment plans and programming had already been implemented and delivered to the offenders with other classification systems, other than the C.M.S. approach. Moreover, preparations for release were probably not being considered for those offenders, so we would not be able to obtain useful recidivism data.

In order to obtain outcome release measures, a final stipulation for a sample selection was that the offenders must have had at least one release from the penitentiary since they had been classified by the C.M.S. approach by the time this study was undertaken (i.e., June, 1991 which was the time at which offender records were examined for release data). Release from a federal penitentiary was defined as either (1) expiration of the warrant of committal (completion of sentence), or (2) community supervision release (Day Parole, Full Parole, or Mandatory Supervision).

One offender was removed from this sub-sample due to his death. Following these criteria resulted in a final sample size for the study of 136 cases.

Procedure for Analysis

In order to investigate the efficacy of the C.M.S. approach for federally-incarcerated male offenders in Ontario penitentiaries, the present study was divided into three parts.

Part 1: Appropriateness of Program Recommendations Based on the C.M.S.

The first part of this study involved the determination of the appropriateness of the correctional treatment program recommendations that were made by the Case Management Officers (C.M.O.) for the offenders. The purpose of this part of the study was not to question whether the classification process identified the correct classification type for the offender. The question addressed was whether the appropriate programs had been recommended for him, based on the offender's classification and case planning assessment of his needs. Thus, appropriateness was operationally defined as: the degree to which the recommended programs targeted the offender's "needs" which had been prioritized as being the strongest contributors to his criminal behaviour.

"Expert" Judges. To assess the appropriateness of the program recommendations, a set of "expert" judges was asked

to provide judgements of how appropriate these recommendations were. It should be noted that the present researcher had no previous experience in making decisions for correctional treatment program planning, and therefore, was not suitable for this task. Furthermore, Case Management Officers in the federal penitentiaries who actually do the classification could not be used for this study, because of their workloads. Therefore, an attempt was made to obtain a set of judges who were accessible, able to make the required commitment, and were knowledgeable with correctional treatment programming and the C.M.S. approach in federal Canadian penitentiaries. Accordingly, a request was made for volunteers, currently working at National Headquarters of Correctional Service of Canada, who had extensive experience with the processes of case management, and who were currently involved in the procedures and policies regarding case management. A memorandum was sent to the Director of Correctional Policy, Director of Community Release Programs and Support Services, Director of Offender Management, and Coordinator of Community and Institutional Programs Task Force in the Program Planning Branch (see Appendix F). From this request, 10 volunteers offered their services.

Task Provided to the Judges. Verbal instructions were provided to each of the ten volunteers, individually. In addition, each judge was provided written instructions (see

Appendix G). Each volunteer was asked to judge the appropriateness of the recommended programs in terms of targeting the identified needs. They were instructed to review the file documentation for each case and to indicate how appropriately, on a scale from one ("totally dissatisfied") to five ("fully satisfied"), they felt each need area, which was identified and prioritized in the Force Field Analysis of Needs form, was matched by the recommended correctional treatment programs in the Correctional Treatment Plan form. A further judgement was also to be made as to how appropriate all of the offender's prioritized needs were matched, overall, to all of the programs which had been recommended. The judges were asked not to reclassify the offenders' needs, since they would not have enough information to do so. They were only asked to rate the appropriateness of the programs recommended on the basis of the classification officer's identification of the offender's needs.

Case Information Provided to the Judges. For each case, the following file information was provided:

- (a) Demographic Sheet - a background information sheet developed from the Automated Offender Information System specifically for this study, which provided the following:
 - (i) Tombstone Data
 - date of birth

- race
- religion
- citizenship
- preferred language (english or french)
- marital status

(ii) Current Federal Term Data

- admitting institution date
- admitting institution security level
(maximum, medium, minimum)
- type of admission
- sentence commencement date
- aggregate length of sentence
- parole eligibility date
- warrant expiry date
- probable release date
- major offence for this term
- major life offence

(b) Canadian Police Information Centre (CPIC) Sheet -
a form which provides a historical profile of an
offender's previous offenses for which he/she was
convicted. The information provided on this sheet
is the following:

- conviction date and location
- type and number of offenses for which the
offender was convicted
- length of sentence for each conviction

- other charges for which the offender was not convicted

- (c) Case Management Strategies interview schedule - a document was developed which contained the 71 questions of the interview schedule, along with the responses to each of these items. As well, another document was created which contained the total scores for each C.M.S. classification group.
- (d) Case Management Strategies Force Field Analysis of Needs form
- (e) Case Management Strategies Correctional Treatment Plan form

Distribution of Cases to the Judges. In order to check for the reliability of judging the appropriateness of the program recommendations among the 10 judges, each case was to be reviewed by two independent judges. Another condition was that a certain number of cases were also to be reviewed by each pair of judges (i.e., Judge A and Judge B; Judge A and Judge C; Judge A and Judge C). The assignment of cases to the judges was done randomly within these constraints: an equal number of cases was assigned for each pair of judges. Therefore, each judge received 28 cases to review. Each pair of judges received 3 of the same cases.

Part 2: Actual Programs Completed

Recommended Programs which were Completed. The second part of the study consisted of determining which of the programs that had been recommended by the Case Management Officers were actually completed by the offenders. To ascertain which programs had been completed, National Parole Board files of the offenders were examined. These files consist of a chronicle of the offender's activities during incarceration, any community release decisions, and subsequent offender activities in the community. The decision to use these files rather than the offenders' penitentiary files was based on the fact that they were more easily accessible, and that the information on program completion is basically the same in either the penitentiary offender files or the National Parole Board files. The review of the National Parole Board files consisted of identifying the specific programs which the offenders completed.

Completion of Programs Which Met Offender Needs. The purpose of a C.O.P. system is to assist in the provision of programs which would best target those factors associated with the reduction of recidivism. Therefore, in this study, we were interested in determining whether offenders actually completed programs which targeted their needs based on the C.M.S. assessment of needs. One method was the examination

of whether the programs recommended by the C.M.O.s which were based on the C.M.S. were completed. However, it was acknowledged that sometimes exact programs which had been recommended may not have been those programs which were delivered to the offender. Possible reasons could be lengthy waiting lists, cancellation of programs, or alternative programs deemed as more appropriate to targeting the offender need area.

Therefore, another method to examine this issue involved the determination of whether or not the offenders' needs prioritized in the C.M.S. assessment, had been actually addressed by the programs completed by the offenders, regardless of which of these programs had been recommended by the C.M.O.s.

Ideally, to judge whether the matching of particular need areas to the programs which were actually completed do in fact occur, "expert" judges should have also been used. However, since this was not possible due to other priorities of the judges, it was decided that this task would be completed by the researcher, following an initial consultation with a Psychologist who had had extensive experience in the treatment/management of federally-incarcerated Canadian male offenders. To determine inter-rater reliability, the psychologist was asked to rate 37 cases. Comparisons between judgments made by the psychologist and the researcher revealed that there was a

total agreement in the rating for 34 cases. That is, of the 37 cases which were reviewed independently by both judges, there was full agreement for 91.9% of the cases.

National Parole Board files were examined to determine the actual programs that were delivered. Appendix H consists of the matching of need areas and possible types of programs which could be considered to actually address each need. The following coding scheme was developed for assessing whether the offenders completed programs which targeted their prioritized needs.

For each offender, a decision was made as to whether the programs that the offender completed either (a) "completely," (b) "partially," or (c) "not at all" addressed the prioritized needs. For the offender to be considered as completing programs which "completely" met his prioritized needs, the following conditions must have been met:

- (A) The offender must have completed programs which addressed his first prioritized need area, since this was the need area identified as most significantly contributing to the offender's criminal behavior, and
- (B) The offender must have completed program(s) which addressed a substantial proportion of the other prioritized needs. That is, at least two out of the other three needs identified must have been addressed.

If an offender was judged to have completed programs which "**partially**" met his needs, the following conditions must have been met:

- (A) The offender must have completed a program which addressed his **first** prioritized need area, and
- (B) The offender must have completed program(s) which addressed one other identified prioritized needs.

or

- (A) The offender must have completed program(s) which addressed a substantial proportion of his identified needs that were prioritized, except the first prioritized need area.

For an offender to be judged as having his needs addressed with the programs he completed "**not at all**", the following conditions had been met:

- (A) The offender did not complete a program which addressed his **first** prioritized need area, and
- (B) The offender did not complete program(s) which addressed a substantial proportion of other prioritized needs.

Part 3: Completion of Program Recommendations,
Appropriateness of Program Recommendations,
Matching of Offender Needs, and Recidivism

The third part of the present study was the examination of whether classification of offenders to appropriate programs and the actual completion of these programs yielded a significant reduction in recidivism. To investigate this, the following relationships were addressed:

- (a) completion of programs recommended by the C.M.O. and recidivism;
- (b) completion of programs recommended by the C.M.O. and the degree to which these recommendations were appropriate and recidivism; and
- (c) the degree to which programs which were completed by the offenders addressed the offenders' needs and recidivism.

For the purposes of this study, recidivism was defined as returning to a federal penitentiary due to revocation while on community supervision (Day Parole, Full Parole or Mandatory Supervision), or due to a new warrant of committal (conviction of a new offence since release). The follow-up time period was six months for each offender.

To determine whether or not the offenders had recidivated within this time period, information from two

data bases was examined. One source was the automated Offender Information Systems (O.I.S.) which maintains offenders' records of federal convictions and failures on community supervision release. The second data base was the Canadian Police Information Centre sheet (C.P.I.C.) which provides, in addition to the information in the O.I.S., information on the offenders' provincial convictions.

CHAPTER 4

RESULTS

The presentation of results first provides an overview of the characteristics of the sample, including basic demographic background, current offence data, and classification results from the Case Management Strategies approach. This is followed by results for each of the three parts of the study: (a) appropriateness of the C.M.O.s' recommendations for programs to match the offender's needs; (b) the degree to which these recommended programs were actually completed by the offenders; and, (c) the effects of both the appropriateness of the recommendations and the proportion of these recommended programs being completed on recidivism.

Sample

Sample Reduction

The total sample for the present study consisted of 107 male adult offenders who had been assessed by the Case Management Strategies approach at penitentiaries in the Ontario region. Although the original sample size was 136, a reduction in the total sample size was necessitated by the fact that, because only 7 of the 10 judges actually

participated, 29 offenders did not receive judgements on the appropriateness of the programs which had been recommended for them. Therefore, the sample characteristics and analysis of the data were based on the remaining 107 offenders.

Sample Characteristics

The sample consisted of primarily Caucasian offenders (86.9%); smaller proportions were Black (6.5%), Native (2.8%) and others (3.7%). The mean age at the time of admission to the penitentiary was 32.3 (SD=8.0) with a range of 21 to 67. Fifty-seven percent of the offenders were in the age range of 25 to 35. In terms of marital status, 60.8% offenders were single (never married, divorced, separated or widowed) at the time of admission; of the 39.2% married, 64.3% were in a common-law relationship.

The mean number of previous commitments that offenders had had to a federal penitentiary was 1.6 (SD=1.1), with a range of 1 to 7. A majority of the offenders had no prior federal incarceration (69.2%). Approximately 36% of the offenders had previously been on federal community supervision (i.e., Mandatory Supervision or Full Parole). Of these offenders, 47.4% had been on one supervised community release, 31.6% had been supervised twice on community release, and 21% had three previous federal

community supervision releases. Moreover, 60.5% of these offenders had been revoked.

Table 1 provides information on the current offence, that is at the time at which the sample was assessed with the C.M.S. approach. Eighty-five percent of the offenders had been admitted to a federal penitentiary on the basis of a new conviction (i.e., Warrant of Committal). The other fifteen percent of the offenders had been previously released on community supervision and had returned to the penitentiary either for a violation of the supervision (13.1%) or for a new offence, in addition to the supervision violation (1.9%). The major offence is defined as that offence for which the offender had received the longest sentence from all offences for which he had been convicted. Approximately sixty-three percent of the sample had committed a nonviolent offence (i.e., break and enter, drug offence or other nonviolent) for which they received the longest sentence. The average sentence length was 2.6 years ($SD=1.0$), with a range of 2 years to 7 years. In addition, a considerable proportion of the sample was housed in a penitentiary in which the security level was either minimum (41.1%) or medium (39.3%). Furthermore, the average time period that the offenders were incarcerated, from the date of admission to release was 1.5 years ($SD=0.525$ years) with a range of 0.32 years (3.8 months) to 2.8 years. This sample appears to over-represent offenders who had committed

less serious offences, had lesser sentence lengths and were placed in minimum/medium security penitentiaries. This is expected, considering the selection criteria for the sample: in order to obtain recidivism data, the selected offenders must have been released by June, 1991, which was the time at which the sample was selected. Furthermore, offenders who had been initially assessed with a C.O.P. system other than the C.M.S. approach, and thus provided with programs not recommended via the C.M.S. had to be removed from the sample. With these two considerations (i.e., offenders who had just been admitted, and had since been released within approximately three years), the sample reflected a greater proportion of those offenders who were convicted of an offence less serious than average or one for which the sentence length was less than average, and consequently had been placed in lower security facilities.

Insert Table 1 about here

In terms of release, information from the O.I.S. data base indicated that one offender had been released on an expiry of his warrant of committal, and the remaining of the offenders had been released on community supervision (i.e., Day Parole (46.7%), Mandatory Supervision (44.9%), or Full Parole (7.5%)).

Table 1

Current Offence Characteristics of the Sample

Offender Characteristic	Sample (%) (N=107)
Type of Admission to Institution:	
Warrant of Committal	85.0
Technical Violation	13.1
T.V. and W. of C.	1.8
Institutional Security Level:	
	41.1
Minimum	39.3
Medium	19.6
Maximum	
Major Offence:	
Homicide	0.9
Attempted Murder	0
Manslaughter	1.9
Robbery	23.4
Sexual Offence	4.7
Other Violent Offence*	6.5
Break and Enter	25.2
Drug	17.8
Other Nonviolent**	19.6
Sentence Length:	
2 - 3 years	61.4
3 - 4 years	29.5
4 - 5 years	5.7
5 - 6 years	2.5
6 - 7 years	0
7 - 8 years	0.9

* Other Violence offence = kidnapping, wounding, assault, arson

** Other Nonviolent offence = theft, possession of stolen property, fraud, criminal negligence, prison breach or other federal or provincial statutes

C.M.S. Assessments

The time period at which the Case Management Strategies assessments were completed on the sample was from April 20, 1988 to August 21, 1989.

A vast majority of the offenders were assessed by C.M.S. as either "Casework Control's" (36.5%) or "Limit Setter's" (33.2%). These proportions of the C.M.S. classification groups are similar to those found in other studies which examined the C.M.S. classification system on Canadian samples of federally-incarcerated male offenders (i.e., Dhaliwal & Porporino, 1991; Loza, 1991; Nelson, 1989). Table 2 provides the distribution of these C.M.S. groupings for the three samples, as well as for the sample in this study.

Insert Table 2 about here

From the Force Field Analysis of Needs assessment, Table 3 presents the distribution of needs areas which were prioritized first, second, third and fourth. Often times, the need areas, Alcohol Usage and Drug Usage, were prioritized as a single need area. Therefore, we combined these. All of the offenders were prioritized with at least one need area. For approximately forty-seven percent of the offenders, Substance Abuse (including alcohol and drug) was

Table 2

Distribution of C.M.S. Classification Groups for Canadian Samples

Sample	C.M.S. Classification			
	SI (%)	ES (%)	CC (%)	LS (%)
Present Study (Ontario Region) (N=107)	34.7	6.5	36.5	22.4
Loza (Ontario Region) (N=533)	28.3	7.5	31.0	33.2
Dhaliwal & Porporino (National) (N=186)	20.8	6.5	35.8	37.4
Nelson (National) (N=127)	24.4	7.1	36.2	32.3

the primary need area which was identified as requiring attention. Other top priority need areas frequently identified were Emotional Stability (15.0%), Values/Attitudes (11.2%), and Academic/Vocational Skills (11.2%).

Insert Table 3 about here

Ninety-five of the 107 offenders (88.8%) were prioritized with a second need area. Of these offenders, the need areas which were most commonly prioritized as second were Academic/Vocational Skills (23.2%), Companions (16.8%) and Emotional Stability (14.7%). Of the 69 offenders (64.5%) who were prioritized with a third need area, frequently prioritized areas were Academic/Vocational Skills (23.2%) and Employment Pattern (14.5%). Only 31.8% of the 107 offenders had a fourth need area prioritized in the F.F.A. form. Of these, approximately eighteen percent of the offender's fourth prioritized need was Financial Management. Others included Employment (14.7%) and Emotional Stability (14.7%). Two need areas, Mental Ability and Health, had not been prioritized at all for any of the offenders.

Overall, there was little variability in the specific need that was prioritized first for the offenders in this study: Substance Usage. However, for second, third and

Table 3

Prioritization of Needs based on the Force Field Analysis of Needs

Need Prioritized	Prioritization of Needs			
	1st (n=107)	2nd (n=95)	3rd (n=69)	4th (n=34)
Academic/Vocational	11.2	23.2	23.2	11.8
Employment Pattern	4.7	9.5	14.5	14.7
Financial Management	0	11.6	10.1	17.6
Marital/Family	0.9	2.1	10.1	11.8
Companions	5.6	16.8	11.6	11.8
Emotional Stability	15.0	14.7	10.1	14.7
Substance Usage	46.7	12.7	10.1	5.8
Mental Ability	0	0	0	0
Health	0	0	0	0
Sexual Behavior	4.7	0	2.9	0
Values/Attitudes	11.2	9.5	7.2	11.8

fourth prioritizations, there was much more variability. In addition, the need areas Emotional Stability and Academic/Vocational Skills were identified as need areas for a large proportion of offenders, regardless of the priority of the need.

The Efficacy of the C.M.S.

The purpose of the present study was to examine whether Case Management Officers appropriately identified programs to address the offenders' needs, based on the C.M.S., whether these programs were actually completed by the offenders, and whether appropriate program completion influenced recidivism. The specific areas investigated were:

- (1) Appropriateness of the Recommended Programs based on C.M.S.
- (2) Actual Completion of the Recommended Programs
- (3) Examination of the Link of the Completion of the Program Recommendations and the Appropriateness of these Recommendations to Recidivism

The following provides an account of the results found within each of these sections

**Part 1: Appropriateness of the Recommended Programs Based
on the C.M.S.**

Characteristics of Expert Judges

Although ten judges originally volunteered to participate in the study, only seven judges actually completed the task of judging the appropriateness of the programs recommended by the C.M.O.s. Three of the judges were unable to complete the assigned tasks due to other commitments. Of those who participated, all were employed at National Headquarters of the Correctional Service of Canada. From a basic information form which each judge was asked to complete, background on education and previous experience with case management of offenders for each judge was obtained (see Appendix I). The highest level of education that these judges obtained was Master's in Criminology ($n=2$), Bachelor's of Arts in Criminology ($n=1$), Bachelor's of Arts in Psychology ($n=2$), Bachelor's in Physical and Health Education ($n=1$), and Bachelor's in Social Work ($n=1$). All of the judges indicated that they had previous employment experience with the correctional case management of offenders in a federal and/or provincial correctional institution. In regards to case management positions held in these institutions, four of the judges indicated that they had been Parole Officers, two judges

were Case Management Officers, and one judge was a Classification Officer. The average length of time that these judges had held these positions in case management was 5.6 years ($SD=2.4$), with a range of 1.6 years to 7.4 years. Knowledge of the C.M.S. approach was gained by either training sessions/workshops/conferences (5 judges) or present employment which required working with the C.M.S. approach (2 judges). The current position held by these judges was either project manager, analyst, or planning manager, in the Divisions of Communications & Corporate Development, Inmate Affairs, Inmate Employment, or Correctional Programs and Operations of Community & Institutional Operations, at National Headquarters of Correctional Service of Canada.

Sample of Offenders Reviewed by Judges

Five judges completely reviewed all 28 offender files they were provided with; whereas each of the other two judges reviewed only 10 and 14 files, respectively. The two judges could only review a proportion of their assigned offender files, due to other commitments. This resulted in 44 out of the 107 cases which had been reviewed by two independent judges, and 63 cases which were reviewed by only one judge. Table 4 shows the number of cases each pair of judges reviewed. The total indicates the number of cases

that each judge reviewed which were also reviewed by another judge.

Insert Table 4 about here

Judgements of Appropriateness

Agreement in Judgements Among Judges. Unfortunately, due to the nonparticipation of some of the judges, and the fact that judges failed to complete all the tasks, the inter-rater reliability of judges for rating the appropriateness of the recommendations could not be assessed as intended via correlation coefficients. To calculate inter-rater reliability among the judges, agreement between two judges was defined as when the judgement between the rating that the first judge gave was either identical to the rating that the second judge gave, or within one score difference. Table 5 contains the distribution of cases and the degree to which the judges' ratings differed from each other.

Insert Table 5 about here

In calculating the agreement among the judges, it was found that there was an overall 77.3% agreement among the

Table 4

Number of Offender Cases Reviewed by Pairs of Judges

Judge	Judge A	Judge B	Judge C	Judge D	Judge E	Judge F	Judge G
A	0	3	2	2	2	3	3
B	3	0	2	1	0	3	2
C	2	2	0	2	0	2	1
D	2	1	2	0	1	4	4
E	2	0	0	1	0	1	2
F	3	3	2	4	1	0	4
G	3	2	1	4	2	4	0
Total	15	11	9	14	6	17	16

Table 5

Difference in Judgement Scores Given by Each Pair of Judges

Difference in Judgement Scores	<u>n</u>	<u>%</u>
No Difference in Scores	20	45.5
1 Score Difference	14	31.8
2 Score Difference	7	15.9
3 Score Difference	3	6.8
4 Score Difference	0	0
Total	44	100.0

judges. For 20 of the 44 cases, there were no differences in the ratings of the appropriateness of the program recommendations provided by the two independent judges. From the analysis of the inter-rater reliability of the judges' assessments, it can be suggested that there was some degree of consistency among the judges' ratings.

Judgements of Appropriateness. As indicated in Table 6, based on the judges' ratings, only 53% of the offenders actually received program recommendations which were appropriate. Only 35.5% of the offenders received program recommendations which were deemed "fully satisfactory." Approximately twenty percent of the offenders received partly appropriate and partly inappropriate recommendations. Of the remaining twenty-seven percent of the sample inappropriate program recommendations were received.

Insert Table 6 about here

In summary, results indicate that, according to the judges, (a) there was considerable variability in the degree to which the program recommendations provided by the Case Management Officers were appropriate; and, (b) only slightly more than half of the sample were judged to have received "somewhat" or "fully" satisfactory recommendations for programs to address the offender's needs.

Table 6

Distribution in Judgement of Appropriateness

Judgement	Offenders	
	<u>n</u>	<u>%</u>
1 (Totally Dissatisfied)	21	19.6
2 (Somewhat Dissatisfied)	8	7.5
3 (Neutral)	21	19.6
4 (Somewhat Satisfied)	19	17.8
5 (Fully Satisfied)	38	35.5

Part 2: Actual Completion of Recommended Programs

The objective of the second part of the study was to establish the degree to which the program recommendations were actually implemented. If extensive assessment of offender needs are conducted and then programs are recommended based on these identified needs, it could be expected that this information would be used and that subsequently the offenders would actually receive these programs. In defining whether a program which was recommended was actually delivered, the program had to have been completed by the offender, as revealed through the review of his National Parole Board file.

Number of Programs Recommended

Table 7 indicates the number of programs for which offenders had been recommended. The number of programs which the C.M.O.s recommended ranged from no programs recommended ($n=1$) to eight programs ($n=1$). For over fifty percent of the offenders, C.M.O.s recommended either two or three programs. Overall, Case Management Officers recommended an average of 3.2 programs ($SD=1.5$).

Insert Table 7 about here

Table 7

Proportion of Programs Recommended by Case Management
Officers

Number of Programs Recommended	Offenders	
	(n)	(%)
0	1	0.9
1	10	9.4
2	28	26.2
3	29	27.1
4	18	16.8
5	15	14.0
6	4	3.7
7	1	0.9
8	1	0.9
Total	107	100.0

Of the programs which had been recommended by the C.M.O.s, offenders had completed an average of 1.5 programs (SD=1.1), with a range of zero to five. Table 8 illustrates the number of programs that were completed, compared to the number of programs that had been recommended. Eighteen offenders (16.8%) had been recommended at least one program, but did not complete any of the recommended programs. Only twenty-three of the 107 offenders (21.5%) actually completed all the programs for which they had been recommended.

Insert Table 8 about here

Types of Recommended Programs

Table 9 indicates the percentage of offenders who had been recommended for each type of program (Appendix J indicates the particular names of each type of program). Programs which had been recommended most frequently for offenders included Institutional Employment (i.e., 76.3% of the offenders), a Substance Abuse program (55.1%), and an Academic program (i.e., 49.5%).

Insert Table 9 about here

Table 8

Number of Programs Recommended by Number of Programs Completed

Number of Programs Recommended										
	0	1	2	3	4	5	6	7	8	
Number of Programs Completed										Total
										(n) (%)
0	1	7	4	3	1	2	1	0	0	19 17.8
1		3	11	10	8	3	1	1	0	37 34.6
2			13	11	5	5	1	0	0	35 32.7
3				5	3	3	0	0	0	11 10.3
4					1	1	1	0	1	4 3.7
5						1	0	0	0	1 0.9
6							0	0	0	0 0
7								0	0	0 0
8									0	0 0
Total	1	10	28	29	18	15	4	1	1	107 100.0

Table 9

Percentage of Offenders who were Recommended each Program
Type

Program	Offenders	
	(n)	(%)
Community Reintegration	1	0.9
Anger Management	2	1.9
Religious	3	2.8
Sex Offender Program	6	5.6
Social Group	10	9.3
Vocational	18	16.8
Living Skills	26	24.3
Psychologist/Psychiatrist	27	25.2
Family Visitation Program	27	25.2
Academic	53	49.5
Substance Abuse	59	55.1
Institutional Employment	72	67.3

Table 10 shows (a) the number of offenders who had been recommended each type of program; and, (b) of these offenders who had been recommended for each type of program, the number and percentage of those who actually completed each type of program. Institutional Employment and Substance Abuse programs had been recommended for a high percentage of the offenders (67.3% and 55.1%, respectively), and were also completed by a greater percentage of the offenders than other programs (73.6% and 66.1%, respectively). In contrast, there were a number of recommended programs which were completed by only a small proportion of the offenders who had been recommended for these programs: Vocational program (5.6%), Psychologist / Psychiatrist (13.5%), Social Group (30.0%), and Sex Offender program (33.3%).

Insert Table 10 about here

Overall, it was found that there was total average of only 47.0% of programs that were completed, of those which had been recommended, indicating only a small percentage. Further, offenders were less likely to complete some types of programs that had been recommended (i.e., Vocational, Religious, Sex Offender, Family Visitation and Social Group) than other types of programs (i.e., Substance Abuse, Institutional Employment, and Academic).

Table 10

Percentage of Offenders who were Recommended each Program
Type and Percentage of Those who Actually Completed that
Program

Program Recommended	Offenders		
	Recommended (n)	Completed (n)	(%)
Community Reintegration	1	1	100.0
Anger Management	2	1	50.0
Religious	3	1	33.3
Sex Offender Program	6	2	33.3
Social Group	10	3	30.0
Vocational	18	1	5.6
Living Skills	26	11	42.3
Psychologist/Psychiatrist	27	2	13.5
Family Visitation Program	27	9	33.3
Academic	53	25	47.2
Substance Abuse	59	39	66.1
Institutional Employment	72	53	73.6
Average completion of all programs recommended			47.0

Completed Programs which were Not Recommended

From the review of the National Parole Board files, programs which were completed by the offenders but had not been recommended by the Case Management Officers were also examined. Overall, the offenders had received an average of 1.2 programs ($SD=1.2$) which had not been recommended by the C.M.O.s in the Correctional Treatment Plan. As indicated in Table 11, over 70% of the offenders completed at least one program which had not been recommended. Of these offenders, approximately sixty percent completed one program which had not been recommended by a C.M.O.

Insert Table 11 about here

Table 11

Distribution of Programs Completed that had Not been
Recommended by the Case Management Officers

Offenders		
Number of Programs Completed	(n)	(%)
0	31	29.0
1	46	43.0
2	14	13.1
3	13	12.1
4	1	0.9
5	1	0.9
6	1	0.9

Part 3: Completion of Program Recommendations,
Appropriateness of Program Recommendations, Matching of
Offender Needs, and Recidivism

In the third part of the study, the impact of the C.M.S. classification approach, for offender programming, on recidivism was explored. To investigate this issue, the relationships between the following were examined:

- (a) the proportion of the recommended programs which had been completed by the offenders and recidivism;
- (b) the proportion of the recommended programs which had been completed by the offenders, and the degree to which these recommendations were appropriate, and recidivism; and
- (c) the degree to which all programs that were completed by the offenders actually targeted their needs, regardless of which programs had been recommended by the C.M.O.s and recidivism.

Recidivism Findings

Based on the information obtained from both the O.I.S. and C.P.I.C data bases, 21 of the 107 offenders were found to have recidivated (19.6%) within six months of their release into the community. Of the offenders who had recidivated, five had been recommitted to a federal

penitentiary while on Day Parole Supervision, and 16 had been recommitted while on Mandatory Supervision. None of the offenders who had been on Full Parole Supervision had revoked.

(a) The Proportion of the Recommended Programs Which had been Completed by the Offenders and Recidivism

Before analysing the specific nature of the programs which had been recommended and actually completed by the offenders, a preliminary examination of the completed programs was made to determine whether just the number of programs completed by the offender had a significant relationship with recidivism. If there was a high negative correlation between the number of programs completed and recidivism, this might suggest that offenders who complete more programs are less likely to recidivate, for reasons other than for the specific nature of programs completed (e.g., motivation, occupation of time while incarcerated). Conversely, it would be expected that if the nature of these programs were relevant to reducing recidivism, then there should be no correlation between the number of programs completed and recidivism. A point-biserial correlation was calculated to see whether there was in fact a significant relationship between the number of completed programs and the dichotomous criterion of recidivism. This analysis revealed that this relationship was not significant ($r = -0.1540$, $p = .1134$). Therefore, further investigation was directed toward the suggestion that perhaps the specific nature of the programs completed could determine whether the offenders were less likely to recidivate. The specific

nature of the programs entailed investigating the proportion of programs completed which had been recommended by the C.M.O.s, based on the C.M.S. classification of the offenders' needs.

Based on the assumption of C.O.P. systems, a reduction of recidivism should occur when offenders are matched to programs, and subsequently receive these programs. Therefore, it would be expected that if the nature of the programs (i.e., programs recommended by the C.M.O.s) had an impact on recidivism, then offenders completing more of the programs which had been recommended would be less likely to recidivate. However, the point-biserial correlation between the number of recommended programs which were completed and the dichotomous criterion of recidivism was not found to be significant ($r=-0.1230$, $p=.2069$).

In this analysis, there were two factors that were relevant to the proportion of recommended programs completed by the offenders which were not considered. First, not all of the offenders had been recommended an equal number of programs. Some had been recommended two programs, while others had been recommended four, etc. Second, the completion of programs was not categorical (i.e., either completing the programs recommended or not). Instead, offenders often received a proportion of these recommended programs. Therefore, to make the examination of the completion of recommended programs comparable among the

offenders, a percentage of the recommended programs which had been completed by the offender was calculated (i.e., number completed programs that had been recommended / total number of programs recommended). A point-biserial correlation was calculated between the percentage of recommended programs which had been completed by the offender and the dichotomous criterion of recidivism. This analysis found a significant correlation between the percentage of recommended programs which had been completed by the offender and recidivism ($r=-0.1901$, $p=.0499$). Interestingly, the probability level was very close to the 0.05 cutoff point of significance, which indicated that the magnitude of the effect of the percentage of recommended program completed on recidivism was small.

A univariate analysis of variance was also performed to examine whether there was a significant difference between those offenders who recidivated and those who did not in terms of the percentage of recommended programs completed. The results, as presented in Table 12, indicated that offenders who did not recidivate completed a higher percentage of programs that had been recommended to them by the C.M.O., than those offenders who did recidivate. As indicated before, the magnitude of the effect of percentage of recommended programs completed on recidivism was significant ($p=.0499$), yet small.

Insert Table 12 about here

In order to obtain a better understanding of the relationship between the completion of programs which had been recommended and recidivism, a closer examination was undertaken of the particular types of programs which had been recommended by the C.M.O.s. From this, it was reasoned that there were some "program" recommendations which might not be considered to be "programs" per se, but only activities. It might be helpful to distinguish between "treatment/training" programs specifically designed to engender change in the offender's behavior, attitude, or value and "programs" which might be viewed primarily as a means of keeping the inmates productive and occupied in the institution. Two of the recommendations provided by the C.M.O.s, namely "Institutional Employment" and "Social Group", may be considered primarily as "activities" which keep the inmates "busy" or keep the institution functional and might not be considered as rehabilitation programs.

Therefore, another point-biserial correlation was calculated between the percentage of recommended programs which had been completed by the offender and the dichotomous criterion of recidivism, but with the exclusion of "Institutional Employment" and "Social Group" programs. The results revealed no significant correlation.

Table 12

Means of Percentage of Recommended Programs that were
Completed by Recidivism

Percentage of Programs Completed that were Recommended			
Recidivate	Mean (SD)	F(1,105)	p
No (<u>n</u> =86)	52.6% (34.8%)	3.94	0.0499
Yes (<u>n</u> =21)	36.3% (29.8%)		

between the completion of "treatment/training" programs which had been recommended and recidivism ($r=-0.1727$, $p=.0752$).

To determine whether recidivism was related to just the completion of "Institutional Employment" and "Social Programs" (without the consideration of the "treatment/training" programs), a chi square analysis was conducted between the dichotomous criteria of whether the offender completed any one of these "activities" and recidivism. However, in doing this analysis, a warning was provided that there were not enough cases in all of the conditions, therefore the chi-square analysis might not be a valid test.

To note, however, is that the analyses performed in this part of the study were only bi-variate. That is, only two factors (i.e., percentage of recommended programs completed and recidivism) were examined. Therefore, this analysis did not account for other possible factors. A more thorough examination would require multi-variate analyses (e.g., partial correlations) in which a number of factors could be considered, such as demographic offender characteristics (social, behavioral or psychological) or characteristics of the criminal history of the offenders. But, since there were no significant results found in the relationship between the percentage of "treatment/training" programs completed which had been recommended and

recidivism, these analyses were not conducted.

In summary, the objective of this part of the study was to determine the relationship between the programs which had been recommended by the C.M.O.s and subsequently completed by the offenders and recidivism. The results of the negative correlations found indicated that offenders were less likely to recidivate if they either (a) completed a greater number of programs, regardless of their nature; (b) completed a greater number of programs which had been recommended by the C.M.O.s to address the offenders' needs; or, (c) completed a greater percentage of "treatment / training" programs which had been recommended by the C.M.O.s. However, these correlational relationships were not statistically significant.

(b) The Proportion of Recommended Programs Which had been Completed by the Offenders and the Degree to Which these Recommendations were Appropriate and Recidivism

Thus far in the analysis of the relationship between the programs completed by the offenders and recidivism, only the Case Management Officers' recommendations which were based on the Case Management Strategies approach had been considered. In the following section, we examined this relationship once more, but taking into consideration the appropriateness of the C.M.O.s' recommendations.

From the results of Part 1 of the study, it was found that not all of the program plans which had been recommended by the C.M.O.s were deemed as appropriate for matching the offenders' needs. However, for a C.O.P. system to have a significant impact on recidivism, not only do the offender need to complete these programs which are based on the system, but, foremost, these programs must be appropriate, in accordance to the classification system.

Therefore, the next analysis of the data for this study was conducted in order to examine whether there was a significant impact of the percentage of recommended programs which were completed by the offenders and the appropriateness of these recommendations on recidivism. It would be expected that the more appropriate the C.M.O.s' recommendations were in addressing the offenders' needs, and

the higher the percentage of these appropriately recommended programs were being completed, the less likely the offenders would be to recidivate. To evaluate this relationship, a two-way analysis of variance was performed. The independent variables were the degree of appropriateness of the recommendations and recidivism and the dependent variable was the percentage of recommended programs which were completed. Both of the independent variables were dichotomous. For this analysis, appropriateness of the recommendations were categorized as either "satisfactory" (i.e., score of 4 or 5), "neutral" (score of 3), or "unsatisfactory" (score of 1 or 2).

Based on the results of the ANOVA, presented in Table 13, there was no significant interaction effect found between percentage of completed programs which had been recommended and the two independent variables. Moreover, from the one-way analysis of variance for the percentage of recommended programs completed and appropriateness, no significant effect was found between these variables. As found from the results of the correlational analysis, aforementioned, there was a small significant effect in the relationship between the percentage of recommended programs which were completed and recidivism ($p=.0499$).

Insert Table 13 about here

Table 13

ANOVA Table for the Percentage of Recommended Programs which
had been Completed for Effects of Appropriateness of
Recommendations and Recidivism

Source	df	Sums of Squares	Mean Square	F	p
Recidivism	1	4516.8	4516.8	4.03	0.047
Appropriateness of Recommendations	2	2549.9	1274.9	1.14	0.323
Recidivism - Appropriateness Interaction	2	4781.6	2390.8	2.13	0.124

Table 14 reveals the mean percentage of recommended programs completed for recidivism outcome and appropriateness of the recommendations. Of those offenders who did not recidivate, there was no difference in the percentage of recommended programs which were completed between offenders whose recommendations were "unsatisfactory" and those whose recommendations were "satisfactory" (i.e., 50% in each group).

Insert Table 14 about here

In sharp contrast, for offenders who did recidivate, results indicated that the more appropriate the recommendations were judged to be, the higher the percentage of these recommended programs the offenders had completed.

Overall, the findings revealed that the percentage of recommended programs which were completed by the offenders and the degree to which these programs were appropriate to address the offenders' needs did not have a significant impact upon recidivism.

Table 14

Mean Percentage of Recommended Programs that were Completed
By Appropriateness of Recommendations and Recidivism

Appropriateness of Recommendations			
	Unsatisfactory (1 or 2)	Neutral (3)	Satisfactory (4 or 5)
Recidivism			
No (n=86)	49.7% (SD=43.4) (n=24)	63.4% (SD=35.2) (n=15)	50.8% (SD=29.4) (n=47)
Yes (n=21)	10.7% (SD=15.3) (n=5)	34.7% (SD=30.9) (n=6)	50.1% (SD=27.6) (n=10)

(c) The Degree to Which all Programs Completed by the
Offenders Actually Targeted their Needs and Recidivism

The last part of this study attempted to examine the matching of the offenders' needs to programs and its impact on recidivism from another perspective. Specifically, this analysis entailed investigating the impact of the programs which the offenders had completed, regardless of whether the programs had been recommended or not by the Case Management Officers, on recidivism.

One possible inference that can be made is that there may have been some internal operation occurring within the penitentiary which created a self-correcting mechanism that compensated for inadequate recommendation plans. Perhaps, during the time period that an offender was still being assigned for programs, recommendations which were made by the Case Management Officers may have been deemed by the C.M.O.s or others to be inappropriate to address the offender's needs. Thus changes may have been made to the program recommendations originally provided by the C.M.O., subsequently changing the actual programs that were delivered to and completed by the offenders.

Based on this possibility, the following supposition may be made: if this "self-correcting" mechanism existed within the penitentiary system, then it would be expected that offenders who received appropriate program

recommendations would complete a higher percentage of these recommended programs than offenders whose recommended programs were deemed inappropriate. Furthermore, it would be expected that offenders who were judged to have received inappropriate program recommendations would complete a higher percentage of programs which were not originally recommended by the C.M.O.s than offenders who were judged to have received an appropriate program plan.

To investigate this supposition, the number of programs which were completed, but not originally recommended were determined. Table 15 illustrates the distribution of the mean percentage of recommended programs which were completed, in comparison to the mean percentage of completed programs which had not been recommended between offenders who were judged as receiving either "unsatisfactory," "neutral," or "satisfactory" program recommendation plans.

Insert Table 15 about here

Results revealed that those offenders who were judged to have received "unsatisfactory" program recommendations completed a greater percentage of other programs not originally recommended than programs which had been recommended.

Based on the aforementioned findings that offenders completed more programs not originally recommended by the

Table 15

Distribution of Completed Programs that were Recommended to
those that were Not Recommended

Appropriateness of Recommendations	Mean Percentage	
	% Completed of those Recommended	% Completed Which were Not Recommended
Unsatisfactory (<u>n</u> =26)	43.1% (SD=43.7)	57.7% (SD=39.2)
Neutral (<u>n</u> =24)	53.5% (SD=35.6)	34.3% (SD=34.0)
Satisfactory (<u>n</u> =57)	50.7% (SD=28.9)	37.4% (SD=29.6)

C.M.O.s when the recommendations were deemed inappropriate, and based on the supposition that perhaps this was due to subsequent changes in the recommendations, an investigation was conducted to determine whether the offenders had completed programs which actually addressed the offenders' needs, and whether this had a significant impact on recidivism.

Table 16 reveals the results from the researcher's assessment of the degree to which the offender's needs were actually addressed by the programs that were completed. This assessment revealed that there was an equal proportion of offenders found who completed programs which either (1) did not at all meet their needs, (2) partially met their needs, or (3) completely met their needs.

Insert Table 16 about here

To determine whether the completion of programs which addressed the offenders' needs had a significant impact on recidivism, a 2 X 3 chi-square analysis was performed on the relationship between the degree to which offender needs were addressed by the programs completed and recidivism. Results revealed that there was no significant difference between those who recidivated and those who did not ($X^2(2)=2.477$, $p=.290$). Table 17 reveals the distribution of the offenders according to the degree to which offenders needs were met

Table 16

Degree to Which Offenders' Needs were Addressed by Programs
Completed

Degree of Offender Needs Addressed	(n)	(%)
Not at All	36	33.6
Partially	34	31.8
Completely	37	34.6
Total	107	100.0

for those who recidivated and those who did not.

Insert Table 17 about here

From this table, the findings indicated that of the offenders who recidivated, almost fifty percent had not completed programs which addressed their needs at all. However, among those offenders who did not recidivate there was an equal proportion of offenders who completed programs which addressed their needs either completely, partially or not at all.

Table 17

Distribution of Offenders by Degree to which Their Needs
were Addressed by Programs Completed and Recidivism

Recidivism	Degree to Which Completed Programs Addressed the Offenders' Needs					
	Not at All		Partially		Completely	
	(n)	(%)	(n)	(%)	(n)	(%)
No (n=86)	26	(30.2)	28	(32.6)	32	(37.2)
Yes (n=21)	10	(47.6)	6	(28.6)	5	(23.8)

CHAPTER 5

DISCUSSION

Previous research on Classification for Offender Programs systems has yielded very little information regarding the issue of the extent to which these systems are implemented completely, accurately, and appropriately (Solomon & Baird, 1981). Furthermore, results from the sparse research which has been conducted to examine the impact of C.O.P. systems on recidivism has been mixed: positive influence (Baird & Neuenfeldt, 1990; Barkwell, 1976, 1980; Eisenberg & Markley, 1987; McMannus, Staggs & McDuffie, 1988); no influence (Cavior & Schmidt, 1978; Jesness, 1971); or, inconclusive influence (Palmer, 1974).

The present study examined the C.O.P. system employed by Correctional Service of Canada, namely Case Management Strategies. A sample of 107 federally-incarcerated male offenders in Ontario penitentiaries was examined in order to investigate the following research questions: (1) are Case Management Officers appropriately recommending programs to offenders, based on the Case Management Strategies approach, according to "expert" judges?; (2) are the recommended programs actually being completed by the offenders?; and, (3) does the delivery of appropriately recommended programs to offenders have an impact on recidivism?

Based on the analyses performed in this study, the

following summarizes the conclusions which can be made regarding each of these questions:

Appropriateness of the Recommended Programs based on the
C.M.S.

Although there was consistency in the agreement among judges regarding the appropriateness of Case Management Officers' recommendations for programs based on the C.M.S. classification, there was great variability in the degree to which the program recommendations were appropriate. Moreover, only 53% of the recommendations were deemed fully or even somewhat appropriate. There are at least two issues which must be examined to explain inappropriate recommendations being made: (a) characteristics of the classification staff (their training and integrity of their application of the classification system); and, (b) the limited choices that classification staff have for recommending programs within the parameters available by the institution.

Proper implementation of a classification system can only occur when proper training is provided (Kratcoski, 1981; Solomon & Baird, 1981). Failure to receive adequate training can lead to a misunderstanding of the intentions and capabilities of the classification system. For C.M.S., if proper instructions are not provided for the assessment

of the offender's needs, the officer may have had subsequent problems with recommending specific programs with which to address these needs. Need areas such as Substance Usage are quite easily matched to Substance Abuse Programs. However, matching programs to need areas such as Values/Attitudes, and Employment Pattern are much more complicated and require much more interpretation from the Case Management Officers. Interestingly, since this study, Correctional Service of Canada has taken the initiative to revise the C.M.S. approach in the area of the offender needs assessment by establishing a more objective and systematic assessment tool than the Force Field Analysis of Needs and the Correctional Treatment Plan of the offenders' needs.

Another staff issue pertains to the Case Management Officer's support of the classification system which, if negative, may also lead to improper implementation (Culbertson & Ellsworth, 1985; MacKenzie & Buchanan, 1990). In fact, this has been suggested for the C.M.S. approach in a study by Andrews, Hoge, Robinson and Andrews (1988) which was conducted to evaluate its utilization among 528 C.S.C. staff members who used the C.M.S. approach, shortly after its adoption. The appraisal of C.M.S. as a case management process was generally negative. From a survey question, "Overall, how do you feel now regarding the implementation of C.M.S.?" the mean response, from a scale of 1 (not at all worth the effort) to 5 (very much worth the effort) was only

2.42. Only 19% of the respondents rated the C.M.S. approach as worth the effort. Furthermore, respondents indicated that the C.M.S. approach was cumbersome, time-consuming, and the classifications reached could have been easily identified in a fraction of the time spent on the actual C.M.S. process. Added to these negative views was dissatisfaction with the increased workload: "increased paperwork, ritualistic and meaningless recording activity, and diversion of attention toward bureaucratic functions and away from time actually spent with the offender" (pp. 19). Mean score responses to questions regarding the use of C.M.S. as a guide for programming were all below three (rating of 1=very low to 5=very high). In fact, one comment was, "I have yet to see a case where the [Correctional Treatment] Plan has been completed." (pp. 23).

Although actual implementation of the C.M.S. approach was not examined, Andrews et al. (1988) suggested that these negative views of the C.M.S. approach by the classification officers may produce improper manners in which the classification system was used for program recommendations.

Thus, results of the present study for the appropriateness of the program recommendations may perhaps be explained by the skeptical view of the C.M.S. approach among the C.M.O's. Therefore, for those cases in which the judges rated program recommendations as inappropriate, the C.M.O.s may have chosen to draw upon their own experiences

and knowledge of case management to recommend programs, rather than to be guided by the C.M.S classification system.

Another issue which may explain the variation in how appropriate the program recommendations were for targeting the offenders' needs could have been the fact that perhaps the C.M.O.s considered other factors not apparent in the offender's C.M.S. documents which judges were provided with. That is, there may have been many override judgements on the part of the C.M.O.s. Possible override considerations can consist of the following: (a) availability of space within a program due to overcrowding (Clements, 1982; MacKenzie & Buchanan, 1990); (b) accessibility of programs for the offender; (c) actual existence of a program which can address the need area identified; (d) security and custody classification level of the offender which can limit the choice of programs which the offender can be placed in (Beyer, 1988; DiIulio, 1987; Megathlin, Magnus and Christiansen, 1982; Toch, 1981); (e) staffing resources for the program; (f) initial and continuing motivation of the offender to participate in the program; or, (g) consideration of the offenders' present length of incarceration (Scott, 1982). However, if this is the case, then it engenders the question of whether classification is effective if it is more often being rejected, based on other considerations. It has been argued that if program decisions are based more often on override judgements than

of the classification system, then changes in offenders' behavior, namely re-offending, can hardly be attributed to the classification system (Mackenzie, 1989).

Actual Completion of Recommended Programs

Of all the programs which had been recommended by the Case Management Officers, less than half (47%) had actually been completed by the offenders. This finding raises a serious question of whether there is any value in conducting a classification process which is designed to identify the program needs of offenders if the offenders are not subsequently provided with these programs. The results of the present study suggest reservations about whether the C.S.C's use of the C.M.S. achieves its programming goal.

Moreover, the one program recommendation which was frequently recommended and subsequently delivered was Institutional Employment. Without addressing whether such employment is truly "correctional" or rehabilitative, one must ask whether a resource-demanding classification system such as C.M.S. is required for recommending that offenders be employed in the institution. Moreover, when the data were reanalysed without considering this "activity" as a program, the degree to which recommended programs were completed had no significant effect on recidivism.

The Relationship between Completion of Program
Recommendations, Appropriateness of Recommendations,
Matching of Offenders Needs and Recidivism

Correctional Service of Canada had rationalized that in order to achieve its rehabilitation mission, the Case Management Strategies system was an essential part of the program planning process (C.S.C., 1991). However, in the present study, no significant relationships were found between the following conditions of offender matching to rehabilitative programs and recidivism:

- (a) the percentage of real "treatment/training" programs completed which had been recommended by the C.M.O.s;
- (b) the percentage of recommended programs which were completed and the degree of appropriateness of these recommendations; and,
- (c) the extent to which the programs that had been completed by the offenders actually addressed the offender's identified needs.

It is difficult to justify a complex offender classification system like the Case Management Strategies approach if the implementation of the recommendations that are developed from the classification do not have a significant effect on recidivism. Perhaps, it would be wiser to downplay the rehabilitative value of this

classification system, and give more weight to other goals.

Alternative rationalizations of the classification of offenders for programs may be (1) for the security and custody management of offenders in the institution; (2) for the establishment of an information base for future program development; or, (3) for the simple identification of offender characteristics. However, the C.M.S. system was specifically adopted by C.S.C. for the program planning of its federal offenders. The goal to the implementation of this system was for the rehabilitation and reintegration of offenders into society; yet the impact of this system on recidivism was not found. This raises a serious question regarding its real purpose or adequacy in assigning offenders to programs which are required for effective rehabilitation.

As with any study which examines the relationship between two or more variables, there are always numerous other variables which could have affected the results. This may be an explanation of the rather small effect size of the percentage of recommended programs which were completed on recidivism which was found.

First, one possibility is that the problems are with the programs rather than the classification system. Given that we found no significant relationship between the completion of true "treatment/training" programs and recidivism, or between the completion of programs which

actually addressed the offenders' needs and recidivism, it may be that the programs were not adequate to the goal of rehabilitation (i.e., to engender a reduction in recidivism).

Another uncontrolled variable in this study could have been the assessments of the offenders' needs. For this study, an assumption was made that the offenders' needs had been correctly assessed, identified and prioritized. However, this assumption may not have been correct. The consequences of inadequate assessment of offender needs may have been inappropriate program recommendations. The appropriateness of the assessments of the offender's needs could not be ascertained for the present study, due to the fact that enough offender information could not be obtained for the researcher or the judges. Such critical information would include actual conversations with the offenders, communication with other correctional staff and family/friends who had interpersonal interaction with the offenders, or other relevant documentation (e.g., police reports and, results of specific individual need area assessments).

A third variable is the actual experience of each offender when in the community. It has been argued that programs provided in the institution alone cannot influence recidivism; in addition, there must be continual community support to maintain critical program gains achieved while in

the institution (Jesness, 1971). Therefore, the relationship between C.O.P. systems and recidivism may depend upon programming in the community - a factor which was not studied in the present research.

Limitations of the Present Study

Although the results of the present investigation raised some issues regarding the value or adequacy of the Case Management Strategies system, the shortcomings of the study limit the conclusions it yields. Among the limitations are the following:

Sample. Due to the selection criteria for the sample in this study, there was an over-representation of offenders who committed less severe crimes and had sentence lengths which were short relative to the general population, therefore the conclusions may not be transferable to all federally-incarcerated male offenders in Ontario penitentiaries.

Inter-rater Reliability. Unfortunately, only seven of the original ten judges actually participated. Therefore, the reliability of the judges could not be determined in a more stringent fashion. Perhaps, a better approach may have been to obtain only a few judges who would reviewed all of the offender files.

Accuracy of Offender Files. A crucial process in the

study was obtaining information on the specific programs which had been completed by the offenders. This task was dependent upon the accuracy and completeness of the information recorded in the offenders' files. The cause for concern regarding the quality of the files is due to the fact that this information was not always presented in a standardized and systematic manner within the offender files.

Matching of Specific Programs to the Offender's Needs.

A major impediment of the C.M.S. approach is that specific, standardized methods are not provided for C.M.O.s to indicate which need areas are targeted by each of the specific programs being recommended. The lack of knowledge of this program-need matching made by the C.M.O. subsequently made the tasks for the judges to assess the appropriateness of the C.M.O.s' recommendations quite difficult. As reported by the judges, often this match had to be assumed for need areas such as Companions, or Emotional Stability, and for programs such as Life Skills, Alcohol Anonymous, or Native Elder.

Nature and Quality of Programs. Information on the specific nature or quality of the programs completed was not available. Therefore, efficacy of these programs for reducing recidivism was largely assumed. Moreover, the particulars of the targets of the programs and the modality of treatment were not known. To exemplify the problem, a

program such as Alcohol Anonymous may have been recommended to address a substance abuse need; however, whether the program actually significantly contributes to reducing the substance abuse need and recidivism is unknown. Moreover, whether the specific programs recommended contained specific treatment modalities which were suitable for the specific types of offenders could not be ascertained. That is, this issue of the responsivity principle of rehabilitation, as espoused by Andrews et al. (1990) could have influenced the results found. This brings to mind the question of whether such programs should in fact be recommended and delivered to offenders when their effectiveness is not known. Further, how could classification for offender programs effect recidivism if the programs themselves are inadequate in quality?

Six-month Follow-up Time. The follow-up time period of six months of community release to determine whether the offenders recidivated may not have been a sufficiently long time period to evaluate the relationship between recidivism and C.M.S. In this study, only 21 of the 107 offenders were found to have recidivated. This may be actually lower than the base rate for recidivism of federal male offenders in Canada. Moreover, most of the offenders were on community supervision (Day Parole, Mandatory Supervision, or Full Parole) during the 6 month time period. It may be suggested that this supervision may have effected recidivism

differently than if the offenders had not been under community supervision.

Future Studies on the C.M.S. and its Impact on Recidivism

Although this study provides some information regarding Case Management Strategies and its efficacy for programming, there are still other issues which should be addressed. The following are some considerations for future research studies:

CMS Classification Group. The present study did not have a large enough sample size to evaluate C.M.S. for offender programs within each of the four offender groups that C.M.S. classifies (i.e., SI, ES, CC, LS). Although this study found that if offenders are recommended for programs by this classification approach it does not have an overall impact on recidivism, there may be significant results for specific groups of offenders.

Offender Risk Level. Further examination of the risk of re-offending may provide for a better understanding of the relationship between recidivism and C.M.S. As suggested by Andrews et al. (1990), one principle for classification for rehabilitation is that high risk offenders benefit more from rehabilitative programs than low risk offenders. Therefore, it would have been interesting to see if the consideration of this factor to the classification of

offenders, in addition to offender needs, influenced which offenders would most benefit from the C.M.S. approach

Judges. It may be suggested that perhaps the selection of the judges was not totally appropriate, since they were not actual Case Management Officers. Therefore, there would be some degree of error on the findings of the judges' ratings to be expected. Therefore, perhaps a different selection of judges, or a comparison of different types of judges might prove valuable. Possible judges could be immediate supervisors of Case Management Officers who also know the offender and the parameters of programming for the institution, or other Case Management Officers. Inter-rater reliability among, and between these types of judges could be explored. If reliability proves to be low, then this would raise questions as to why C.M.S. and C.O.P. systems in general are viewed differently by these various critical participants of offender programming, and whether agreement as to classification of offenders for programming can in fact be possible.

Internal Processes. A further interesting issue would be to determine why specific programs were not completed by the offenders. There may have been various explanations, such as lack of interest on the part of the offender after the Correctional Treatment Plan was developed, unforeseen problems of inadequate staff for specific programs, detection of another program which better addressed a

particular need than the program originally recommended, possible reassessment of the offender which would then require a change in the programming needs, or a subsequent transfer of the offender to another institution, thus changing possible programs which were then available. The effects that each possibility had on subsequent programs which were completed and their impact on recidivism would have proven to be worthwhile areas of examination.

Evaluation of the Institutional Resources.

Classification of offenders according to their needs is thought to be important for overall prison resource management. By doing an analysis of the types of problems that offenders are having, one can prepare the institution in looking toward those services which may be required more than others. For example, are more alcohol or drug programs necessary? Or are more specific types of these programs which deal with offenders who have specific types of substance abuse needs (peer pressure, coping style, self-esteem, etc.) required (Clements, 1982). An examination is required of the offenders' needs, programs which are being completed by these offenders, programs which have long waiting lists, programs which are not required, and requirements for additional resources.

Measures of Recidivism. In this study, the efficacy of Case Management Strategies was determined by the outcome measure of recidivism. Recidivism was defined as returning

to a federal penitentiary due to revocation while on community supervision (Full Parole or Mandatory Supervision), or due to a new warrant of committal (conviction of a new offence since release). Other possible recidivism measures to better determine the efficiency of C.M.S. could be arrest rates, the severity of offences, or the time period between release and further contact with the criminal justice system.

In addition, perhaps a measure of recidivism should not be the indicator of success of the classification system. To determine whether C.M.S. is a better system for the institutional management of offenders rather than for rehabilitative goals, outcome measures could be prison adjustment, violent institutional behavior, or prison escapes.

Conclusion

In the literature there is a sense of pessimism regarding the actual delivery of decisions based on classification system (Clements, 1981; Hippchen, 1978b; Krotcoski, 1981; MacKenzie & Buchanan, 1990; Solomon & Baird, 1981; Toch, 1981): "classification has not been utilized appropriately in most agencies, and corrections cannot be managed efficiently without strong, effective classification procedures" (Solomon & Baird, 1981, pp.34).

Results from the present study support the argument by Solomon & Baird (1981), that although complex and sophisticated classification systems are used to provide objective means of assessing offender needs for program planning, the program recommendations often just appear to "become a part of an offender's file - nothing more" (pp. 6). Even more damaging is the reality, which Toch (1981) points out, that administrators and classification staff often realize that decisions based on classification are not employed, yet they continue to "go about their task of filling folders" (pp.5).

Despite all of the negative findings from the present study and the constraints of any C.O.P. system, we must ask then: what are the alternatives? Do we just remove these systems and go back to individual case management officer's intuitions, or do we just give the same programs to everybody? This may not be a viable choice, because, unfortunately, those individuals involved in corrections and classification are not willing to give up on C.O.P. systems. They view C.O.P. systems as inescapable realities for the correctional management of offenders (Solomon & Baird, 1981). This is consolidated by the evidence of numerous recommendations for what C.O.P. systems should entail for the assessment and recommendations of treatment programs, over the last ten years, as aforementioned in Chapter 2 (e.g. Andrews, Bonta & Hoge, 1990; Buchanan & Whitlow, 1988;

Clements 1981, 1986 & 1987; Forcier, 1988; Megargee & Bohn, 1979). There are many presumptions regarding the organization and structure that classification provides.

The justification of the continued use of C.O.P. systems must be based on the demonstration of evidence (a) that they yield adequate assessment of offenders which provide for appropriate recommendations for programs; (b) that recommendations for programming which are based on the classification system are in reality being implemented; and (c) that the implementation of these decisions have a significant impact, in terms of reduction in recidivism, for rehabilitative goals. Examination of these issues for the C.M.S. classification system in the present study indicates that this has yet to be demonstrated for federally-incarcerated male offenders in Ontario penitentiaries.

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Appendix A

Factors Commonly Considered in Prison Classification

Factors Commonly Considered in Prison Classification

- (1) **Current Offence**
 - level of violence/seriousness (weapon)
 - alcohol/drug related
 - type of offense (i.e., sexual versus traffic)
 - length of sentence
 - (2) **Previous Criminal Activities**
 - prior convictions
 - type of prior offences
 - level of seriousness/violence in prior offences
 - prior incarcerations (provincial and federal)
 - (3) **Previous Institutional Behavior**
 - escapes
 - institutional infractions
 - institutional performance (i.e., violence)
 - level of supervision
 - inmate/staff interactions
 - (4) **Social Factors/History**
 - education (academic and/or vocational) / intelligence
 - community support
 - companions/criminal associates
 - present family situation
 - employment history/stability
 - socio-economic characteristics
 - social class
 - (5) **Personality/Behavioral Factors**
 - alcohol/drug abuse
 - emotional stability (i.e., stress, mental illness)
 - violent / assaultive behavior
 - childhood sexual/physical abuse
 - values/attitudes
 - (6) **Other Factors**
 - age
 - race
-

Appendix B

Criteria for a Classification System

Criteria for a Classification System

clearly defined objectives.

- the purpose of classification should be other than that of mere separating offenders

conceptually complete.

- the methods used to classify should consist of clear operational definitions of each classification level, to avoid ambiguity between levels
- every offender should be classified

classification to the least restrictive level necessary.

- overclassification only induced further overcrowding of inmates in maximum supervision levels, which can become a catalyst to a potentially dangerous situation.
- placing offenders in more restrictive levels can unnecessarily limit program availability.

consistently applied.

- procedures/policies of classifying must be explicitly written, in terms of definitions of classification levels, structural layout of committee(s) and individuals involved in the classification process, and precise guidelines on how offender information is to be obtained accurately and completely
- the rules must be efficiently sound, such that classification tasks can be easily implemented by staff
- the instruments must be applied fairly to all offenders

validity, reliability and objectivity.

- classification levels assigned to an offender by one classification officer should be similar to that another officer would assign
- offenders should possess those attributes and behaviors indicated by the classification level they are identified for
- classification should be validated for the particular prison population concerned

active offender participation in classification procedures.

- offenders should be given full opportunity understand and have valid input into decisions that are made regarding their dispositions.
 - input from offenders often provide for more accurate classification decisions
-

Criteria for a Classification System (con't)

special populations

- attention should be given to characteristics which are unique to special offender populations such as sex offenders, offenders with mental health problems, homosexual, offenders who are of particular ethnic group

professional override.

- allows for unusual circumstances and professional judgements which are not considered in the classification instrument, yet provides crucial information which can affect management decisions
- enables for consideration of offenders with special needs, psychological unbalanced, suicidal tendencies, mental incompetency.
- provides staff with a sense of being more than just people who add, subtract, and multiple in order to reach critical management decisions.

room for re-classification to measure change in offender across time, settings, or offender behavior, attitude or situation

- behavior, whether criminal or not, is a product of the interaction of the offender and the surrounding environment. Since this interaction is always changing, so too is the offender characteristics and circumstances.

continual evaluation of the classification system.

- there should be periodic scrutinization of the discretionary decision-making powers of the classification staff.
-

Appendix C

CMS - Interview Schedule Questions



Correctional Service
Canada

Service correctionnel
Canada

CASE MANAGEMENT ASSESSMENT INTERVIEW

CASE MANAGEMENT ASSESSMENT INTERVIEW

The purpose of CMAI is to provide the case manager with an efficient and effective case management system. CMS includes procedures for developing individualized strategies for the quality supervision of adult offenders. This process is accomplished through the completion of three system components: an assessment procedure, a supervision planning process, and supervision according to one of five strategies, depending on individualized case needs.

CMAI INSTRUCTIONS

There are four parts to the CMAI instrument. Whenever possible, the following sequence (A to D) should be followed.

- A. Attitude interview (45 items)
- B. Objective history (11 items)
- C. Behavioral observations (8 items)
- D. Officer impressions of contributing factors (7 items)

The Attitude Section

Column One:

A SEMI-STRUCTURED INTERVIEW with suggested questions has been developed to elicit attitude information about the offense, the offender's background, and about present plans and problems. The average interview takes about forty-five minutes and the scoring about five minutes.

Use a natural open, conversational style of interviewing which is comfortable for both you and the offender. If the offender presents some important or interesting information requiring follow-up, feel free to do so before returning to the structural sequence. While free-flowing communication should be stressed, some structuring is required to insure the reliability and validity of the instrument. Therefore, make every effort to preserve the meaning when transposing them into your own words.

In the interview, each section is introduced by one or two open-ended questions which are intended to encourage discussion on a particular subject. If the information needed to score the items is not obtained from the open-ended questions, one or two specific questions are provided for each item. If those questions fail to elicit the needed information, continue to inquire with increasingly direct questions unless you see the word - STOP -. "- STOP -" means to discontinue inquiry (except to repeat or clarify a misunderstood question).

For some items, "a" and "b" questions are included. If the "b" question is asterisked [*], always ask it unless the answer to the "a" makes the "b" questions meaningless (e.g. "no" to question 10a). If the question "b" is not asterisked, ask it if the needed information was not elicited from question "a".

Column Two:

THE ITEM OBJECTIVES AND RESPONSES are listed in column two. Many times the suggested questions will approach the item objective in an indirect manner in order to elicit the most valid response.

Column Three:

A SCORING GUIDE is included to provide criteria and assistance in scoring ambiguous responses. When scoring, you must choose only one alternative for each item. If you cannot choose an alternative, do not rate the item.

ATTITUDES ABOUT OFFENSE

Could you tell me about the offense that got you into trouble?

QUESTIONS

RESPONSES

SCORING GUIDE

1a. How did you get involved in this offense?	1. Motivation for committing the offense (a) emotional motivation (e.g., anger, sex offense, etc.) (b) material (monetary) motivation (c) both emotional and material motivation	1. a. - Possession of drugs for own use. - Assault (not for robbery). b. - Prostitution. - Car theft (except for joy riding). - Selling drugs or stealing to support a habit. c. - Stealing from parents for revenge. - Stealing primarily for peer acceptance. - Man who won't pay alimony primarily because he's angry with his ex-wife. - Theft of alcohol.
2a. How did you decide to commit the offense?	2. Acceptance of responsibility for current offense	2. a. Explain circumstances but takes responsibility.
2b. Could you tell me more about the circumstances that led up to the offense?	(a) admits committing the offense and doesn't attempt excuses (b) admits committing the offense, but emphasizes excuses (e.g., drinking, influence by friends, family problems, etc.) (c) denies committing the offense	b. Blames circumstances and does not take responsibility. c. Offenders who deny any significant aspect of the offense are scored "c" (e.g., the offender admits that he helped to jimmy a car window but denies responsibility for removing valuables because his friends removed them).
3. Looking back at the offense, what is your general feeling about it? - STOP -	3. Expression of guilt about current offense (a) expresses guilt feelings or spontaneous empathy toward victim (b) expresses superficial or no guilt (c) victimless crime	3. a. Offender must feel some personal shame and regret (not just verbalization to impress the officer). b. - "I feel bad because now I have a record." - "People are disappointed in me." (Indicates some regret but not necessarily guilt.) - "I know it was wrong" (Emphasis is on having done wrong, but not on feeling bad because one has done wrong.) c. - Using drugs (never drug trafficking) - Sexual activities between consenting adults.

OFFENSE PATTERN

I'd like to talk to you about your prior offenses. Have you been in trouble before? (Obtain a complete picture of offenders' convicted offense style, including current offense and juvenile convictions, when scoring items 4 - 8.)

4 - 8 Include juvenile and serious traffic offenses (e.g., drunk driving). Don't count dismissals.

- 4a. What prior offenses are on your record? (Most recent first)
- 4b. Were you ever in trouble as a juvenile? (List on grid below)

- 4. Offense and severity
 - (a) no prior offenses (Skip items 5, 6, 7, and 8.)
 - (b) mainly offenses resulting in sentences less than six months
 - (c) no consistent pattern
 - (d) mainly offenses resulting in sentences of six months or more

- 4. b. Should not be used if offender has more than two offenses resulting in sentences of six months or more. (Use choice "c" or "d".)
- d. Over 50% of offender's offenses resulted in sentences of six months or more.

Offense	(Item 4) Sentence: Under/ Over 6 Months	(Item 5) Assaultive?	Circumstances of Offense	(Item 6) Planned?	(Item 7) Drugs/ Alcohol	(Item 8) Accomplices?

- 5a. Have you ever been armed or hurt someone during these offenses?
- 5b. Did you ever threaten anyone?

- 5. Was offender ever involved in an offense where he (she) was armed, assaultive, or threatened injury to someone?
 - (a) yes
 - (b) no

5 - 8 Use current and prior offense factors to score 5 - 8.

- 6a. How did you decide to commit the most recent of your prior offenses? (Discuss offenses individually until a clear pattern emerges.)
Could you tell me more about the circumstances that led up to the offense?

- 6. Offenses were generally
 - (a) planned
 - (b) no consistent pattern
 - (c) impulsive

- 6. Officer's judgement based on all factors.
 - a. - Exhibitionist who drives around in a car looking for a girl to which to expose himself.
 - Person who decides to commit an offense, then drinks to build courage.
 - c. - Exhibitionist who is driving to work, suddenly sees a girl and pulls over and exposes himself.
 - Person gets drunk and into a bar fight.

- 7. Were you drinking or on drugs when you committed this offense? (Discuss each offense individually.)

- 7. Percent of offenses committed while drinking or on drugs
 - (a) never.
 - (b) 50% or less
 - (c) over 50%

7. Count offenses where there was any drug/alcohol use regardless of whether person was intoxicated or not.

- 8. Did you do the offense alone or with others? (Discuss each offense individually.)

- 8. Offenses were generally committed
 - (a) alone
 - (b) no consistent pattern
 - (c) with accomplices

SCHOOL ADJUSTMENT

Now, I'd like to find out some things about your background. Let's begin with school. How did you like school?

- | | | |
|--|---|---|
| 9. What was your favorite subject in school? - STOP -. | 9. Favorite subject
(a) vocational
(b) academic
(c) gym
(d) no favorite subject | 9. a. - Score business courses as "a".
b. - Score music or art as "b". |
| 10a. Did you have a favorite teacher in high school? | 10. Attitude toward teachers
(a) no favorite teacher
(b) teacher chosen because of certain qualities that the offender admired
(c) teacher chosen because of close relationship with the teacher | 10. b. - "She would help kids."
c. - "She would help me." |
| • 10b. What did you like about him (her)? | | |
| 11a. How far did you go in school? | 11. Offender's school performance
(a) no problems
(b) learning problems (difficulty performing schoolwork)
(c) lack of interest, behaviour, or other problems | 11. a. Don't use for offender who didn't complete high school.
b. For offender whose learning problems result from a lack of capacity (not just from lack of interest or behavioral problems). If offender has both a lack of capacity and behavioral problems, score "b". Lack of capacity takes precedence when scoring. |
| • 11b. Did you have any problems with schoolwork? (If offender did not graduate from high school, find out why not.) | | |

VOCATIONAL AND RESIDENTIAL ADJUSTMENT

Now I'd like to find out about your work history. What kinds of jobs have you had? (Use grid below to organize items 12 - 14.)

- | | | |
|--|---|---|
| 12. What is (was) your most recent job? (Start with most recent job and go backwards until a clear pattern emerges.) | 12. Primary vocation
(a) unskilled labor
(b) semi-skilled
(c) skilled labor or white collar
(d) no employment history (homemaker) (Skip 13 & 14)
(e) student or recent graduate (Skip 13 & 14) | 12. a. - Average person could do job without training.
- Offender's been in the job market for over six months, but has no employment history. (Also score items 13 and 14.)
c. Rule out jobs requiring no training and/or experience.
d. For homemaker, use prior vocational history, if any. If none, check "d" and skip items 13 and 14.
e. Offender was recently (within 6 months) a student and hasn't had the opportunity to establish an employment pattern. (Skip items 13 and 14.) |
|--|---|---|

- 13.a How long did you work on your most recent job?
 13.b How long between that job and your previous job?
 13c. What is the longest time you have been without work?
13. Percent of working life where offender was employed full time
 (a) over 90%
 (b) over 50% to 90%
 (c) 50% or less
13. "Working Life ...", i.e., time period society would expect one to be working. Subtract time in school, institutions, etc.
- 14a. What was the reason for leaving your most recent job?
 14b. Have you had any trouble getting jobs?
14. Primary vocational problem
 (a) none (Can be used only if 13 is scored "a".)
 (b) problems due to lack of skills or capacity
 (c) attitude or other problems
14. a. Don't use "a" if working less than 90%.
 c. - Because of my drinking problem.
 - Emotional problems.
 - Drug use.

(Item 12) (Start with most recent) Jobs and Job Responsibilities	(Item 13) Duration	(Item 14a) Reason for Leaving
(Item 13b) Unemployment Interval ▶		
(Item 13b) Unemployment Interval ▶		
(Item 13b) Unemployment Interval ▶		

- 15a. Where do you live now?
 15b. Have you moved around much? (Deal with time period after offender turned 18.)
15. Living stability background
 (a) essentially stable living arrangements
 (b) some unstable periods
 (c) essentially unstable living arrangements
15. Consider what is stable for the offender's age group.
- 16a. Have you had trouble supporting yourself or received welfare?
 16b. (If applicable) How did you support yourself when you were unemployed?
16. History of being self-supporting
 (a) offender has usually been self-supporting
 (b) offender has had several periods where he (she) wasn't self-supporting
 (c) offender has essentially not been self-supporting
16. Illegal activities and welfare are not counted as self-supporting. For offender who has not had the opportunity to support (her) himself (e.g., homemaker or person living with relatives), estimate the likelihood of (her) his being able to support (her) himself.

FAMILY ATTITUDES

Now I'd like to know about your childhood. Can you tell me what it was like?

- | | | |
|---|---|--|
| <p>17a. How do (did) you get along with your father?</p> <p>17b. How do you feel about your father now?</p> | <p>17. Present feelings toward father</p> <p>(a) close</p> <p>(b) mixed or neutral</p> <p>(c) hostile</p> | <p>17. In multi-father families, use the person whom the offender identifies as father.</p> <p>b. - "We get along (without implication of closeness).</p> |
| <p>18a. If you did something wrong as a teenager, how did your father handle it?</p> <p>18b. What kind of discipline did he use?</p> | <p>18. Type of discipline father used (during offender's teenage years)</p> <p>(a) verbal or privilege withdrawal</p> <p>(b) permissive (generally let offender do as he (she) pleased)</p> <p>(c) physical</p> | <p>18. If the offender didn't live with father or father figure during at least part of his (her) adolescent years, do not rate item 18.</p> <p>b. - "He always left it to Mom."</p> |
| <p>19a. How do (did) you get along with your mother?</p> <p>19b. How do you feel about your mother now?</p> | <p>19. Present feelings towards mother</p> <p>(a) close</p> <p>(b) mixed or neutral</p> <p>(c) hostile</p> | <p>19. In multi-mother families, use the person whom the offender identifies as mother</p> <p>b. - "We get along" (without implication of closeness).</p> |
| <p>20a. If you did something wrong as a teenager, how did your mother handle it?</p> <p>20b. What kind of discipline did she use?</p> | <p>20. Type of discipline mother used (during offender's teenage years)</p> <p>(a) verbal or privilege withdrawal</p> <p>(b) permissive (generally let offender do as he (she) pleased)</p> <p>(c) physical</p> | <p>20. If offender didn't live with mother or mother figure during at least part of his (her) adolescent years, do not rate item 20.</p> <p>b. - "She always left it to Dad".</p> |
| <p>21a. Were you ever abused by either of your parents?</p> <p>21b. Did either of them ever go overboard on the punishment?</p> <p>- STOP -</p> | <p>21. Was offender ever physically abused by a biological, step, or adoptive parent</p> <p>(a) yes</p> <p>(b) no</p> | <p>21. Item 21 should be based on facts described and not on whether the offender felt abused or not.</p> <p>a. - cuts on face</p> <p>- severe body bruises</p> <p>- sexual abuse</p> <p>- starved</p> <p>- locked in closet for long period</p> |
| <p>22a. How would your parents have described you as a child (before you were a teenager)?</p> <p>22b. Did both of your parents see you the same way?</p> | <p>22. Parental view of offender (prior to adolescence)</p> <p>(a) good child</p> <p>(b) problem child</p> <p>(c) parents differed</p> | <p>22. a. - No special problems.</p> <p>- "Like anybody else."</p> <p>b. - "My parents were always complaining about me."</p> <p>- Seen as "strange kid."</p> |

- | | | |
|---|---|---|
| <p>23. How would you describe yourself as a child (before you were a teenager)?</p> | <p>23. As a child, offender describes self as
(a) good child (normal or average)
(b) problem child</p> | <p>23. Accept what the offender says even if his (her) behavior does not match his (her) perception (Examples from item 22 also apply here.)</p> |
| <p>24a. How do you get along with your brothers and sisters?
24b. How do you feel about them?</p> | <p>24. General feelings toward siblings
(a) close
(b) neutral or mixed
(c) hostile
(d) no siblings</p> | <p>24. Include half-siblings; exclude step-siblings.
b. - "Like some, not others."</p> |
| <p>25. Would you describe your early childhood (before you were a teenager) as happy or unhappy?
- STOP -</p> | <p>25. General attitude toward childhood
(a) happy
(b) not happy</p> | <p>25. Accept the offender's view. (If offender cannot express an opinion, officer's judgment.)</p> |
| <p>26. If you could change anything about your childhood, what would you change?</p> | <p>26. Satisfaction with childhood
(a) basically satisfied (would change little)
(b) dissatisfied with material aspect
(c) dissatisfied with self, family, or emotional climate</p> | <p>26. c. - "I should've gone to school."</p> |
| <p>27. Can you describe your father's personality? (If answer is unclear, ask offender to describe another person he (she) knows well.)</p> | <p>27. Offender's description of personality
(a) multi-faceted
(b) superficial (e.g., "good", "bad", "nice", etc.)</p> | <p>27. The focus of this item is the complexity with which the offender views people. The ability to describe attributes, or explain the reasons for behavior, is being measured. "Superficial" indicates a lack of capacity to perceive depth in personality and not just an evasion of the question. One or two complex statements are sufficient for an "a" score.</p> <p>a. - "Ambitious and honest."
- "Sensitive to others."
- "Dad was strict because that is the way he was brought up."</p> <p>b. - "No-good drunk" (with no further elaboration).
- "Kind."
- "Don't know."</p> |

INTERPERSONAL RELATIONS

Let's talk about your friends. Do you spend much time with them?

- | | | |
|--|---|--|
| 28a. What are your friends (associates) like? | 28. Offender's associates are
(a) essentially non-criminal
(b) mixed
(c) mostly criminal | 28. Don't count marijuana use (alone) as criminal.
a. Don't use "a" if offender committed offence(s) with accomplices. |
| • 28b. Have any of them been in trouble with the law? (If offender has no current associates, use prior associates.) | | |
| 29a. How do you get along with your friends? | 29. In interaction with friends, offender is
(a) used by others
(b) withdrawn
(c) other problems
(d) normal | 29. This item should be based on officer's judgement of the quality of the offender's interactions. If the officer thinks the offender is used by friends even though the offender thinks he (she) gets along "ok", check choice "a". |
| • 29b. How do they act towards you? | | |
| 30a. Do you have a closest friend? | 30. Description of offender's relationship with his (her) closest friend
(a) talk (share feelings) or help each other
(b) do things together (less emphasis on talking or sharing feelings)
(c) has none | 30. a. - "His character and personality."
- "We do things for each other."
- "We're like brothers."
b. - "He's a hunter too."
- A more action-oriented relationship. |
| • 30b. What do you like best about him (her) - STOP - | | |
| 31. Are you satisfied with the way you get along with people? | 31. Satisfaction with interpersonal relationships
(a) feels satisfied
(b) feels dissatisfied | 31. Accept the offender's statement. |
| 32. In general, do you tend to trust or mistrust people? - STOP - | 32. General outlook toward others
(a) basically trusting
(b) mixed or complex view
(c) basically mistrusting | 32. b. A complex view of people (e.g., trusts in some situations and not in others).
- "I trust people too much."
- "It takes awhile to get to know them." |
| 33a. Can you tell me about your relationship with women (men)? | 33. Offender's opposite sex relationship pattern generally is
(a) long term (over 6 months) or serious relationships
(b) short or long term relationships
(c) short term, less emotionally involved relationships, or little dating experience | 33. c. Short-term intimate relationships with no solid commitments. |
| 33b. Do you generally go out with a lot of women (men) or date the same person for long periods? | | |
| 34. In your relationship with your wife/girlfriend (husband/boyfriend), who tends to make the decisions? | 34. In opposite sex interactions, offender generally
(a) dominates
(b) is average or adequate
(c) is nonassertive or dominated | 34. Officer's judgement. Do not accept the offender's response without exploring his (her) relationships or seeing how some specific decisions are made (e.g., who decides what to do or with whom to socialize; or who controls the money). |

FEELINGS

Now, I'd like to ask you about your feelings. Have you had any problems handling you feelings?

- | | | |
|---|---|--|
| <p>35. Do you consider yourself to be a nervous person?
- STOP -</p> <p>36a. What kinds of things get you depressed?</p> <p>36b. What do you do when you're feeling depressed? (If denies, find out how he [she] keeps from getting depressed.)</p> <p>37a. Have you ever thought seriously about hurting or killing yourself?</p> <p>37b. (If offender says yes to above). Have you ever tried it?</p> <p>38a. What do you do when you are feeling angry with people?</p> <p>38b. Have you ever hurt anybody when you were angry?</p> <p>39a. Can you describe your personality?</p> <p>39b. What do you like and what do you dislike about yourself?
- STOP -</p> <p>40. (No question asked. Rate your impression of offender's openness in discussing feelings.)</p> | <p>35. Does offender view self as a nervous (or anxious) person?
(a) yes
(b) no</p> <p>36. What does offender do when feeling depressed?
(a) seeks someone to talk to, or tries to figure it out
(b) seeks an activity to distract self
(c) drinks or uses drugs
(d) isolates self</p> <p>37. Self destructive behavior
(a) never seriously contemplated suicide
(b) has had definite thoughts of suicide
(c) has attempted it</p> <p>38. In handling anger, offender
(a) is physically aggressive
(b) avoids expression to others or has trouble expressing anger appropriately
(c) responds appropriately (normal reaction)</p> <p>39. In describing self, offender
(a) emphasizes strength
(b) emphasizes inadequacy (probationer tends to downgrade self)
(c) can't describe self</p> <p>40. Openness in discussing feelings
(a) discusses as openly as able
(b) is evasive</p> | <p>35. Accept the offender's statement.
a. - "I worry a lot."
- "I'm hyperactive."</p> <p>36. b. - "Forget about them."
- "Watch T.V."
d. - "I pray."
- "I go to sleep."</p> <p>37. c. Requires overt action which resulted in self-harm or clear intent toward suicide.</p> <p>38. Based on all sources of reliable information (e.g. offense history) and not just on offender's statement. Physically aggressive problems should take precedence in scoring. If offender says, "I leave," find out if/how he (she) deals with the anger later.
b. - "I break things."</p> <p>39. If the offender gives both positive and negative statements about (him) herself, choose the one emphasized most. If the positive and negative have equal emphasis, choose the first response given.
c. Choice "c" is designed to identify the offender who is incapable of showing insight or complexity into [him] herself; (e.g., "I'm okay." and can't elaborate); "I'm nice", "I get into too much trouble", etc.</p> <p>40. a. If the officer felt that the offender was fairly straightforward in talking about his (her) feelings.
b. If the officer thought the offender was evasive or tried to give an impression of openness.</p> |
|---|---|--|

PLANS AND PROBLEMS

- | | | |
|--|--|--|
| <p>41. Aside from your legal problems, what is the biggest problem in your life right now?
- STOP -</p> | <p>41. What does the offender view as his (her) most important problem area right now?
(a) personal
(b) relationships
(c) vocational-educational (including employment)
(d) financial
(e) no big problems presently
(Score item 42 as "a")</p> | <p>41. a. Offender names several important problems.
- Drinking or drugs.
- "Get my head together."
b. - "Get things straightened out with my fiancée."
- "Try to get along better with my parents."</p> |
| <p>42. How do you expect this problem (from item 41) to work out?</p> | <p>42. Attitude toward solving problems
(a) optimistic; expect to succeed (include 41.e.)
(b) unclear
(c) pessimistic; expects to fail</p> | <p>42. a. - "O.K., because I've got a better paying job."
b. - "O.K., I hope."
- "I'll be O.K. if I get a better paying job."
c. Offender is pessimistic about outcome or can't figure out solution.</p> |
| <p>43a. What goals do you have for the future?
• 43b. What are your plans for achieving your goals?
- STOP -</p> | <p>43. Future plans
(a) short-term goals (most goals can be fulfilled within about 6 months) or no goals
(b) unrealistic goals
(c) realistic, long-term goals (most goals are well developed and extend beyond 6 months)</p> | <p>43. a. - "Just live day to day." Poorly developed goals with no plans for achieving them.
b. - Strange, way out, or impossible to achieve goals.
c. Offender is able to, 1] set a goal within the realm of possibility and, 2] lists the steps necessary to achieve the goal.</p> |
| <p>44. (No question asked. Rate the item based on follow-through on jobs, education, training programs, treatment programs, etc., based on all sources.)</p> | <p>44. Offender usually sticks with, or completes, things he (she) begins
(a) yes
(b) no</p> | <p>44. Compared to the average offender.</p> |
| <p>45a. How will being in prison/on conditional release affect your life?
45b. What do you expect to get from being in prison/on conditional release?
- STOP -</p> | <p>45. Offender's general expectations about supervision
(a) no effect
(b) monetary, counselling, or program help
(c) incarceration has taught him/her a lesson
(d) negative expectations
(e) mixed or unclear expectations</p> | <p>45. a. "No effect because now I'm back on the right track."
d. "No effect because I don't let anybody tell me what to do."</p> |

OBJECTIVE BACKGROUND ITEMS

Instructions: Ask direct questions to obtain the following information.

QUESTIONS

Legal history

46. Age of earliest court appearance:
- (a) 14 or younger
 - (b) 15 - 17
 - (c) 18 - 22
 - (d) 23 or older
47. Number of prior offenses:
- (a) none
 - (b) 1 - 3
 - (c) 4 - 7
 - (d) 8 or more
48. Number of commitments to provincial or federal correctional institutions for six months or longer:
- (a) none
 - (b) 1
 - (c) 2 or more
49. Time spent under probation or parole supervision:
- (a) none
 - (b) 1 year or less
 - (c) over 1 year; up to 3 years
 - (d) over 3 years

Medical History

50. (Circle all applicable choices.)
- (a) frequent headaches, back or stomach problems
 - (b) serious head injuries
 - (c) prior psychiatric hospitalization
 - (d) out-patient psychotherapy
 - (e) none of the above

SCORING GUIDE

46. Include juvenile offenses and serious traffic offenses (e.g., drunk driving, hit and run)
47. Exclude the offender's present offense in rating this item. Include juvenile and serious traffic offenses.
48. Include juvenile commitments. Include commitments of six months or longer even if time served was less than six months.
49. Include juvenile supervision.
a. Use "a" for offender with no previous record.
50. a. Vague complaints not diagnosed by a physician
b. Skull fractures
Head injuries which required treatment (beyond X-ray)
c. In-patient hospital treatment program
d. Professional in-patient or out-patient drug/alcohol treatment

School History

51. Highest grade completed:

- (a) 9th or below
- (b) 10th to 12th
- (c) high school graduate (exclude GED)
- (d) some post high school training leading toward a degree

52. Did offender ever receive special education or remedial help in school?

- (a) yes
- (b) no

52. Include special programs for learning deficiencies (rather than behavior problems). Do not include English-as-a-second-language.

Family History

53. Offender was raised primarily by:

- (a) intact biological family
- (b) other

53. Choice "a" requires both natural parents in an intact home until offender reached about 16 years of age.

54. Did either parent have a history of:
(Circle all applicable choices)

- (a) being on welfare
- (b) criminal behavior
- (c) psychiatric hospitalization
- (d) suicide attempts
- (e) drinking problems
- (f) none of the above

54. Includes step and adoptive parents.

55. Have brothers or sisters (including half- and step-brothers or sisters) ever been arrested?

- (a) none
- (b) some
- (c) most
- (d) not applicable

Marital Status

56. Currently offender is:

- (a) single (never married)
- (b) single (separated or divorced)
- (c) married (including common-law)

_____ **END INTERVIEW** _____

BEHAVIORAL PATTERNS

Instructions: Rate the following behaviors as observed during the interview. Use (b) for the average offender. Use (a) and (c) for distinct exceptions to the average.

57. Grooming and Dress

(a)	Below average	(b)	Average	(c)	Above Average
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58. Self-Confidence

(a)	Lacks Confidence	(b)	Average	(c)	Overly Confident
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59. Attention Span

(a)	Easily Distractable	(b)	Average	(c)	Very Attentive
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60. Comprehension

(a)	Below Average	(b)	Average	(c)	Above Average
-----	---------------	-----	---------	-----	---------------

61. Thought Processes

(a)	Sluggish	(b)	Average	(c)	Driven (Accelerated)
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62. Affect

(a)	Depressed	(b)	Average	(c)	Elated
-----	-----------	-----	---------	-----	--------

63. Self Disclosure

(a)	Evasive	(b)	Average	(c)	Very Open
-----	---------	-----	---------	-----	-----------

64. Cooperation

(a)	Negativistic	(b)	Average	(c)	Eager to Please
-----	--------------	-----	---------	-----	-----------------

IMPRESSIONS

Instructions: On the continuum below, rate the significance of each factor with regard to the offender on two (2) criteria: 1] Does the offender have a problem in this area? 2] Did (does) this problem contribute to the offender's legal difficulties? In order for the factor to receive an "a" rating, it must have significance on both criteria. To receive an "e" rating, the factor must have significance on neither criterion. At least one item be rated an "a", and at least one item must be rated an "e".

65. SOCIAL INADEQUACY

Socially inept. Unable to perceive the motives and concerns of others. Unable to survive in society and care for self.

(a) (b) (c) (d) (e)

Socially adept. Able to assert self and to perceive the motives and concerns of others. Able to survive in society and care for self.

Do not merely rate performance in social situations. Rate ABILITY.

66. VOCATIONAL INADEQUACY

Lacks the capacity to obtain and maintain relatively permanent and reasonably paying employment.

(a) (b) (c) (d) (e)

Has the capacity to obtain and maintain relatively permanent and reasonably paying employment.

Do not merely rate job performance. Rate CAPACITY.

67. CRIMINAL ORIENTATION

Criminal behavior is an acceptable and common part of the probationer's life and s/he attempts to live off crime without sustained attempts to make it in a pro-social way.

(a) (b) (c) (d) (e)

Criminal behavior is not acceptable nor common part of his/her life, nor does s/he attempt to live off of crime without trying to make it in a pro-social way.

Do not merely rate the frequency of offences. Rate VALUES and ORIENTATION.

68. EMOTIONAL FACTORS

Emotional problems (e.g., chemical dependency, sex, fear, depression, low self-esteem, anxiety, self-destructiveness) contributed highly to the offense (pattern).

(a) (b) (c) (d) (e)

Emotional factors did not contribute significantly to the offense (pattern).

69. FAMILY HISTORY PROBLEMS

Parental family problems of childhood and adolescence contributed significantly to the offense (pattern).

(a) (b) (c) (d) (e)

Parental family problems of childhood and adolescence did not contribute significantly to the offense (pattern).

70. ISOLATED SITUATIONAL (TEMPORARY CIRCUMSTANCES)

Unusual or temporary circumstances in the probationer's life, which are unlikely to be repeated, contributed significantly to the offense.

(a) (b) (c) (d) (e)

Offense is not a result of unusual or temporary circumstances (i.e., offense is part of a continuing pattern).

Do not merely rate infrequency of offenses. Rate OVERALL PATTERN.

71. INTERPERSONAL MANIPULATION

Consciously uses, controls, and/or manipulates others to gain his/her own ends with little regard for the welfare of others.

(a) (b) (c) (d) (e)

Misuse of others, manipulation, and control, did not contribute significantly to offense (pattern).

Appendix D

CMS - Force Field Analysis of Needs Form



**FORCE FIELD ANALYSIS OF NEEDS
ANALYSE DES BESOINS EN FONCTION DES
FORCES ET FAIBLESSES**

NOTE: Refer to instructions on reverse. NOTA: Voir les instructions au verso.

Completing Operational Unit - Unité opérationnelle ayant rédigé le rapport

Current Institution or Address - Adresse de l'établissement actuel

PUT AWAY ON FILE
CLASSER AU DOSSIER

SEE REVERSE
VOIR AU VERSO

FPS Number
Numéro SED

Family name
Nom de famille

Given name(s)
Prénom(s)

Date of birth
Date de naissance

STEP 1: FORCE FIELD ANALYSIS: Identify the strengths and weaknesses that pertain to each area listed below. Be as specific and detailed as possible.

ÉTAPE 1: ANALYSE DES FORCES ET DES FAIBLESSES. Indiquer les points forts et les points faibles pour chacun des domaines inscrits ci-dessous. Prière d'être aussi explicite que possible.

Strength/Resource Qualités et ressources	Area Domaine	Problem/Weakness Problèmes et faiblesses	Rank Gravité
	Present Offence Dernière infraction		
	Offence Pattern Pattern d'infraction		
	Response to Supervision/ Incarceration Comportement sous surveillance ou en incarcération		
	Academic/ vocational Skills Compétences scolaires et professionnelles		
	Employment Pattern Profil de travail		
	Financial Management Gestion financière		
	Mental/Family Relations Relations familiales et conjugales		
	Companions Amis		
	Emotional Stability Stabilité émotionnelle		
	Alcohol Usage Consommation d'alcool		
	Drug Usage Usage de drogue		
	Mental Ability Capacités intellectuelles		
	Health Santé		
	Sexual Behavior Comportement sexuel		
	Values/ Attitudes Valeurs et attitudes		

STEP 2: PRIORITIZATION: Rank four of the above problem areas in the order in which they should receive intervention.

ÉTAPE 2: ORDRE DE PRIORITÉ: Parmi les problèmes susmentionnés, indiquer par ordre de priorité les quatre d'entre eux qui devraient être traités.

1.	3.
2.	4.

Completed by - Rempli par

Title - Titre

Date
Y-A M D-J

Supervisor - Surveillant

Date
Y-A M D-J

INSTRUCTIONS

The purpose of this report is to assess the offender's needs using file information and information collected through the case management strategies interview. This shall be completed according to the following 2 step procedure:

STEP 1: Consists of a force-field analysis of the factors which have contributed to the offender's criminal behaviour. Identify as complete a list as possible of the criminogenic factors so that the most important of these factors can be determined and ranked solely on strength.

STEP 2: Prioritize the problem areas in the order in which they should receive intervention, taking into consideration the availability of suitable programs and the following guidelines:

1. **Strength:** the strongest forces acting to either promote or inhibit law-abiding behaviour on the part of the offender;
2. **Alterability:** the forces which may be altered;
3. **Speed:** the forces that can be manipulated to achieve quick, even if short-range, results;
4. **Interdependency:** the forces which are primary in the sense that progress in that area will tend to have positive effects in other areas.

Le but du présent rapport est d'évaluer les besoins du délinquant d'après les renseignements contenus dans son dossier et ceux obtenus au cours de l'entrevue servant à choisir les stratégies de gestion des cas. Cette analyse doit être effectuée comme suit:

ÉTAPE 1: Examiner les forces et les faiblesses qui ont contribué au comportement criminel du délinquant. Dresser la liste aussi exhaustive que possible des facteurs criminogènes de sorte que les plus importants puissent être déterminés et classés selon ordre de leur incidence sur le comportement.

ÉTAPE 2: Établir l'ordre de priorité des problèmes auxquels il faut s'attaquer, en tenant compte de la disponibilité des programmes pertinents ainsi que des critères suivants:

1. **l'intensité:** les facteurs les plus prononcés qui incitent le délinquant à adopter ou inhiber un comportement respectueux des lois;
2. **la capacité de changement:** les facteurs qui peuvent être changés;
3. **la rapidité:** les facteurs qui peuvent être manipulés pour conduire à des résultats rapides, même s'ils ne sont que de peu d'envergure;
4. **l'interdépendance:** les facteurs fondamentaux, soit ceux qui peuvent produire un changement pour le mieux qui contribuera à l'amélioration à d'autres problèmes.

PUT AWAY ON FILE – CLASSER AU DOSSIER

Original = Originator
Put away on Case Management
Institution "B" file

Photocopy = Originator
Put away on Case Management
Community file.

Original = Auteur
Classer au dossier Gestion des Cas –
Établissement "B"

Photocopie = Auteur
Classer au dossier Gestion des Cas –
Communauté.

Appendix E

CMS - Correctional Treatment Plan Form



**CORRECTIONAL TREATMENT PLAN
PLAN DE TRAITEMENT CORRECTIONNEL**

NOTE: Refer to instructions on reverse. NOTA: Voir les instructions au verso.

Completing Operational Unit - Unité opérationnelle ayant rédigé le rapport

Current Institution or Address - Adresse du détachement actuel

PROTECTED WHEN COMPLETED - PROTÉGÉ UNE FOIS REMPLI

PUT AWAY ON FILE
CLASSER AU DOSSIER

SEE REVERSE
VOIR AU VERSO

EPS Number
Numéro SED

Family name
Nom de famille

Given name(s)
Prénom(s)

Date of birth
Date de naissance

TYPE OF REPORT - GENRE DE RAPPORT ☐ INITIAL/PRÉLIMINAIRE

☐ REVISED/RÉVISÉ

PROBLEM STATEMENT/ÉNONCÉ DU PROBLÈME

LONG-RANGE GOAL/BUT À LONG TERME

SHORT-RANGE OBJECTIVES/OBJECTIFS À COURT TERME

OFFENDER ACTION PLAN/PLAN D'ACTION DU DÉLINQUANT

OFFICER-REFERRAL ACTION PLAN/PLAN D'ACTION DE L'AGENT RESPONSABLE - RESSOURCE AUXILIAIRE

		Anticipated Review Révision prévue	Y-A	Date M D-J
Completed by - Rempli par	Title - Titre			
Offender - Signature - Délinquant	Supervisor - Surveillant			

CSC/SCC 541 (88-04)

DISTRIBUTION

ORIGINAL = ORIGINATOR
AUTEUR

PHOTOCOPY = ORIGINATOR
PHOTOCOPIE = AUTEUR

INSTRUCTIONS

PROBLEM STATEMENT: State the offender's undesirable behavior, the conditions under which it occurs and the undesirable results for each of the priority problem areas identified in step 2 of the Force Field Analysis of Needs (CSC SCC 826). Use one treatment plan per problem area.

ÉNONCÉ DU PROBLÈME: Décrire le comportement indésirable du délinquant, les circonstances dans lesquelles il apparaît et les résultats non souhaitables pour chaque problème jugé prioritaire dans l'étape 2 du formulaire intitulé Analyse des besoins en fonction des forces et des faiblesses (CSC/SCC 826). Utiliser un plan de traitement par problème.

LONG-RANGE GOAL: State positively the desirable behaviour and the desirable outcome of that behaviour.

BUT À LONG TERME: Décrire d'une manière positive le comportement désirable du délinquant et la conséquence souhaitable de ce comportement.

SHORT-RANGE OBJECTIVES: State short-range behavioral outcomes which demonstrate progress toward the long-range goal. The short-range objectives should be: 1) measurable, 2) time-framed, 3) stated-positively and 4) realistic.

OBJECTIF À COURT TERME: Décrire les résultats escomptés à court terme correspondant au rapprochement du but à long terme. Ces objectifs à court terme devraient: 1) être mesurable, 2) situés dans un cadre temporel, 3) être énoncés d'une manière positive, 4) être réalistes.

OFFENDER ACTION PLAN: State the methods, techniques and resources the offender will use to achieve the objectives.

PLAN D'ACTION DU DÉLINQUANT: Indiquer les méthodes, les techniques et les ressources qu'utilisera le délinquant en vue d'atteindre les objectifs.

OFFICER / REFERRAL ACTION PLAN: State the methods and techniques that will be used to assist/insure that the objectives are achieved.

PLAN D'ACTION DE L'AGENT RESPONSABLE/RESSOURCE AUXILIAIRE: Indiquer les méthodes et les techniques qu'on utilisera afin d'aider le délinquant et de s'assurer que les objectifs soient atteints.

PUT AWAY ON FILE - CLASSER AU DOSSIER

Original = Originator
Put away on Case Management
Institution "B" file

Original = Auteur
Classer au dossier Gestion des Cas -
Établissement "B"

Photocopy = Originator
Put away on Case Management
Community file.

Photocopie = Auteur
Classer au dossier Gestion des Cas -
Communauté.

Appendix F

Memo Requesting Voluntary Judges



To
À

Director

From
De

Frank Porporino
Director General
Research and Statistics Branch

Security Classification - Classification de sécurité

Our File - Notre référence

Your File - Votre référence

Date

Subject
Objet

Volunteers Required for a Research Project on the CMS approach

Presently, we have a few research projects on the Case Management Strategies approach being completed. One of these projects includes a Masters' thesis that is being completed by Gurmeet Dhaliwal, a COSEP student working with the Research and Statistics branch.

The thesis, entitled An Examination of the Needs Principle: Reduction of Recidivism when Correctional Treatment is Matched to Criminogenic Needs is an investigation of the appropriateness of the matching of correctional treatment programs to the offender's criminogenic needs. We would expect a significant reduction in recidivism for those offenders who were provided with treatment programs that appropriately targeted their criminogenic needs, compared to those offenders where appropriate treatment programs either were not recommended or received.

To determine the appropriateness of treatment recommendations, assistance is required from a group of "expert judges who have had previous experience in the process of correctional case management of offenders in federal institutions. They would be assisting in two ways: (a) making program recommendations for a sample of offenders, based on the assessment of the offender's criminogenic needs, offence history, and basic demographic information; and (b) judging the appropriateness of the program recommendations that were made by institutional case management officers in the Correctional Treatment Plan form of the Case Management Strategies approach.

We know that your division is well represented with such "experts" with extensive field experience, and we would appreciate your assistance in recruiting as many as possible for the study. An example of the case file information that Gurmeet proposes to provide judges is attached.

I realize that NHQ staff have precious little time for these kinds of additional tasks, but I'm sure that this might actually provide some fun, not to mention some degree of challenge. We would, of course, keep all of the judge's responses confidential.

If you could provide the names and telephone numbers of those staff who would be interested in participating in the research project, Gurmeet will contact them directly to answer any questions and make arrangements.

Sincerely,

Frank Porporino

c.c. Gurmeet Dhaliwal

Appendix G

Instructions to Judges

**Matching Correctional Treatment Programs with Criminogenic
Needs**

Instructions for "Expert" Judges

The needs principle states that by assessing the offender's criminogenic needs, and allocating correctional treatment programs that target those specific needs, recidivism can be significantly reduced. This thesis is an investigation of this principle.

For a sample of federally incarcerated male offenders, case management officers have completed a needs assessment of the offenders criminogenic needs, and have recommended programs to target these criminogenic needs. Part of this thesis will examine the appropriateness of these recommendations. To investigate this area, there is a task that we ask of you.

Judging Recommendations for Treatment Programs

This task involves making a judgement on the recommendations of correctional treatment plans that have been made by case management officers for offenders incarcerated in federal institutions. For each case that you are asked to review, the following information is provided on the offender:

- (a) a background information sheet which provides basic tombstone data and present federal term data;
- (b) a Canadian Police Information Centre (CPIC) sheet which provides previous federal and provincial offence history;
- (c) responses to the Case Management Strategies interview schedule (a copy of the interview questions is also enclosed);
- (d) the Case Management Strategies Force Field Analysis of Needs;
- (e) the Case Management Strategies Correctional Treatment Plan.

In examining the offender information, the focus of the review should be the prioritized needs (identified at the bottom of the Force Field Analysis of Needs form) that were identified, circumstances surrounding these need areas, and offender tombstone/offence data that is relevant. With this information in mind, please answer the questions provided.

Judging Recommendations for Treatment Programs

ID #: _____

For the following set of questions you will be asked about your judgement on how appropriate you feel that the correctional treatment recommendations are for each offender. These recommendations are recorded in the Correctional Treatment Plan. In making these judgements, please consider the appropriateness only in terms of matching correctional treatment programs to the prioritized criminogenic needs that were identified. Please answer all of the questions. Your answers will be kept completely confidential.

1. For each need area that was prioritized in the Force Field Analysis of Needs form, please answer the following question:

In view of the offender's specific characteristics or circumstances that are relevant to the need area, how satisfied are you with the recommended programs?

FIRST PRIORITIZED NEED :

1-----2-----3-----4-----5

totally	somewhat	neutral	somewhat	fully
dissatisfied	dissatisfied		satisfied	satisfied

If you are either totally or somewhat dissatisfied with the recommendations for this need area, please comment.

SECOND PRIORITIZED NEED :

1-----2-----3-----4-----5

totally dissatisfied	somewhat dissatisfied	neutral	somewhat satisfied	fully satisfied
-------------------------	--------------------------	---------	-----------------------	--------------------

If you are either totally or somewhat dissatisfied with the recommendations for this need area, please comment.

THIRD PRIORITIZED NEED : (If a third need was not prioritized, please go to question 2)

1-----2-----3-----4-----5

totally dissatisfied	somewhat dissatisfied	neutral	somewhat satisfied	fully satisfied
-------------------------	--------------------------	---------	-----------------------	--------------------

If you are either totally or somewhat dissatisfied with the recommendations for this need area, please comment.

SECOND PRIORITIZED NEED :

1-----2-----3-----4-----5

totally dissatisfied	somewhat dissatisfied	neutral	somewhat satisfied	fully satisfied
-------------------------	--------------------------	---------	-----------------------	--------------------

If you are either totally or somewhat dissatisfied with the recommendations for this need area, please comment.

THIRD PRIORITIZED NEED : (If a third need was not prioritized, please go to question 2)

1-----2-----3-----4-----5

totally dissatisfied	somewhat dissatisfied	neutral	somewhat satisfied	fully satisfied
-------------------------	--------------------------	---------	-----------------------	--------------------

If you are either totally or somewhat dissatisfied with the recommendations for this need area, please comment.

FOURTH PRIORITIZED NEED: (If a fourth need was not prioritized, please go to question 2)

1-----2-----3-----4-----5

totally dissatisfied	somewhat dissatisfied	neutral	somewhat satisfied	fully satisfied
-------------------------	--------------------------	---------	-----------------------	--------------------

If you are either totally or somewhat dissatisfied with the recommendations for this need area, please comment.

2. Taking into consideration all of the need areas that were prioritized, and the offender's specific characteristics or circumstances that are relevant, how satisfied are you with the recommended programs?

1-----2-----3-----4-----5

totally dissatisfied	somewhat dissatisfied	neutral	somewhat satisfied	fully satisfied
-------------------------	--------------------------	---------	-----------------------	--------------------

If you are either totally or somewhat dissatisfied with the recommendations for this need area, please comment.

Appendix H

Need - Program Matching Coding Scheme

Need - Program Matching Coding Scheme

Need	Program Names (Based on Appendix J)
Academic/Vocational Skills	- Academic - Vocational
Employment Pattern	- Institutional Employment - Living Skills
Financial Management	- Living Skills
Marital/Family Relations	- Family Visitation Program - Psychologist/Psychiatrist - Religious
Companions	- Living Skills - Social Program - Native Program - Religious
Emotional Stability	- Living Skills - Psychologist/Psychiatrist - Anger Management - Religious
Substance Abuse	- Substance Abuse Program
Sexual Behavior	- Sexual Program - Psychologist/Psychiatrist
Values / Attitudes	- Psychologist/Psychiatrist - Living Skills - Social Programs - Native Program

Appendix I

Background Information Pertaining to Judges

Judges - Background Information

For this research project, "expert judges" are asked to make program recommendations for federally incarcerated male offenders and to judge the appropriateness of program recommendations that were suggested by institutional case management officers.

The purpose of the following questions is to obtain a more detailed description of the education and work experience of the "expert judges." Please answer these questions. The information received will be kept completely confidential.

1. Gender :

☐

1. Male
2. Female

2. Indicate your highest level of education:

☐

1. some college courses
2. some university courses
3. community college diploma or certificate
4. Bachelor's degree (specify)

5. Master's degree (specify)

6. Doctoral degree (specify)

7. other (specify)

3. CURRENT POSITION :

- (A) Which NHQ Sector and Branch are you currently working in?

- (B) Indicate your current classification (e.g., AS5, PM3)

- (C) Indicate your current job title (e.g., Project Manager)

- (D) How long have you held your current position? (in months)

4. PREVIOUS POSITIONS :

Please indicate all previous employment positions that you have held while working either for a federal (CSC), or a provincial correctional system.

(A) Positions held in a Federal system. Please specify:

- (i) CSC level - NHQ (indicate sector/branch), RHQ (indicate division), or regional facility (indicate institution)
- (ii) classification level
- (iii) job title
- (iv) length of service - indicate start date and end date

[illegible]

(B) Positions held in a Provincial system. Please specify:

- (i) Province
- (ii) Location - indicate division and facility
- (iii) job title
- (iv) length of service - indicate start date and end date

PROVINCE	LOCATION	JOB TITLE	LENGTH OF SERVICE
			start date end date (y/y m/m) (y/y m/m)
_____	_____	_____	____/____ ____/____
_____	_____	_____	____/____ ____/____
_____	_____	_____	____/____ ____/____

5. Please indicate if you ever completed any of the following sessions regarding case management of offenders, or the Case Management Strategies approach? For the sessions that you have attended, specify their name, whether the CMS approach was addressed, duration, and an approximate date.

☐ **WORKSHOP**

NAME (or DESCRIPTOR NAME)	CMS ADDRESSED?	DURATION (in days)	DATE (Y/Y M/M)
_____	_____	_____	___/___/___
_____	_____	_____	___/___/___
_____	_____	_____	___/___/___

☐ **TRAINING SESSION**

NAME (or DESCRIPTOR NAME)	CMS ADDRESSED?	DURATION (in days)	DATE (Y/Y M/M)
_____	_____	_____	___/___/___
_____	_____	_____	___/___/___
_____	_____	_____	___/___/___

☐ **CONFERENCE**

NAME (or DESCRIPTOR NAME)	CMS ADDRESSED?	DURATION (in days)	DATE (Y/Y M/M)
_____	_____	_____	___/___/___
_____	_____	_____	___/___/___
_____	_____	_____	___/___/___

If you have never completed any sessions which addressed the Case Management Strategies approach, please relate how you became aware of this approach.

Appendix J

Type of Recommended Programs

Type of Recommended Programs

ACADEMIC

grade school
university courses/degree
Adult Basic Education
English Literacy Program
English as a Second Language

VOCATIONAL

welding
plumbing
barber
carpentry / upholstery
machine shop / auto mechanic

INSTITUTIONAL EMPLOYMENT

range cleaner
kitchen
ornamental grounds crew
farm/chicken house/dairy
common room worker
clerk
laundry
library

ANGER MANAGEMENT

Alternatives to Violence
Anger Control

FAMILY

Family Visitation Program

Psychologist for family problems

RELIGIOUS

Christian Reform group - for emotional problems

Chaplain

Chaplain - group counselling for inmates convicted of
criminal negligence offences

PSYCHOLOGIST / PSYCHIATRIST**LIVING SKILLS**

Life Skills Course

Life Management Course

SUBSTANCE ABUSE

Brentwood

Alcohol and Drug Education Program

Alcohol Anonymous

drug/alcohol information sessions (institutional program)

Narcotics Anonymous

Addiction counselling

Native Brotherhood Drug/Alcohol program

Psychologist for alcohol program

Pre-release Drug/Alcohol program

Drug group (institution program)

6 week Addiction Program

Addiction studies (12 weeks)

Drug Awareness Program

SEX OFFENDER PROGRAM

Specialized Treatment Services

Psychologist for sexual-deviancy counselling

Insight Group

NATIVE

Native Brotherhood

Native Elder

COMMUNITY REINTEGRATION

John Howard Society pre-release program

SOCIAL

Elder's Group

Black Culture Group

Black Inmates & Friends Assembly

Tutor at Frontier College program

leisure - physical fitness programs for positive contacts

Seven Steps group meetings