

# **THE SUPERVISION OF OFFENDERS - WHAT WORKS?**

A study undertaken in Community Based Corrections, Victoria.

**BY CHRISTOPHER TROTTER**

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**REPORT TO THE AUSTRALIAN CRIMINOLOGY RESEARCH COUNCIL, 1993**

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Anne O'Brien and Analisa Scenna undertook the long and arduous task of analysing the 385 files and their good humoured dedication to the task was greatly appreciated.

Chris Trotter

## PREFACE

I am particularly pleased to have the opportunity of commending this report. The work of community corrections in Australia has suffered in the past from a lack of credible research, focussing on the effectiveness of the techniques used by Community Corrections Officers, in their work with offenders.

It was our concern about this lack which prompted the application to the Criminology Research Council, and it was their support which made the project possible.

The findings reported are highly significant, particularly at a time when budgetary pressures are forcing administrators to look ever more closely at services provided, in order to justify where resources are committed. This research demonstrates that the model of supervision used in the project is substantially more effective, both from the perspective of the offender and in relation to re-offending rates. It also supports the approach, widely adopted within the Victorian Community Based Corrections Branch, of directing offenders, wherever suitable, to community work sites where they undertake their unpaid community work alone, or working alongside a community group.

These findings will be of great benefit in guiding the ongoing provision of community corrections services, not just in Victoria but in many other jurisdictions. I am most grateful therefore to all of the many people who contributed to this project. In particular, I would commend the Principal Researcher, Chris Trotter, for his long held commitment to, and belief in, the effectiveness of positive intervention with offenders, and his follow through with this most valuable research project.

Denbigh Richards  
General Manager  
Community Based Corrections  
Victoria

## ABSTRACT

Does it Work? This question has been asked for many years about different corrections programs.

In particular, the effectiveness of community supervision of offenders who are placed on parole, probation and community based orders has been questioned. Numerous studies in the seventies and eighties pointed to the ineffectiveness of supervision. Various researchers suggested that it does not matter whether offenders are supervised or not, how often they are supervised or what you do with them, nothing seems to make any difference.

Others argue however that the apparent ineffectiveness revealed by the research camouflages positive and negative effects. Some styles of supervision help to rehabilitate offenders and some actually have the opposite effect. They make them worse.

This study attempts to shed some light on this controversy.

The study involved the teaching of a particular model of supervision to a group of Community Corrections Officers in Community Based Corrections in Victoria. The different aspects of the model have each been found in research studies to be related to reduced re-offending rates when used in the community supervision of offenders.

The study also considers the impact on offenders, of association with other offenders, whilst undertaking unpaid community work.

Clients of those Community Corrections Officers who undertook the training and who agreed to use the model, were followed up through a client questionnaire. Information was also gathered from client files.

The clients who were supervised by those Community Corrections Officers who were involved in the project indicated that they received

more help with their problems and felt more supported in comparison to two client control groups.

Clients receiving supervision by the Community Corrections Officers in the project had more than thirty percent lower breach and imprisonment rates in comparison to the control group clients.

Where supervising Community Corrections Officers showed evidence of use of the model their clients had even lower recidivism rates.

The study also found that offenders placed on community work sites with other offenders were more than thirty percent more likely to breach their orders than offenders who undertook their community work alone or in community groups.

The study concludes that some approaches to the community supervision of offenders do work. It concludes that supervising officers can be taught the principles associated with effective supervision. And it concludes that the widespread implementation of these principles would have substantial benefits for the community.

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# Introduction

## BACKGROUND

There has been a great deal of publicity in recent times about rising crime rates. Newspapers and television news offer new crime stories on a daily basis, ranging from rape and murder to theft and corruption. There seems to be widespread public concern about the level of criminal activity in Victoria and in Australia.

There seems little doubt that politicians and members of the public would welcome any initiatives which might increase the chances that criminal offenders could be rehabilitated.

Imprisonment is often viewed as the major method of punishment available for offenders and sometimes regret is expressed that it is not an effective method of rehabilitation.

In fact however, only a small number of offenders are imprisoned in Victoria. For every person who is imprisoned in Victoria, and in most places in Australia, there are three or four people given community based sanctions. These sanctions generally involve the offender remaining in the community under supervision and perhaps undertaking unpaid community work or some other special condition.

In addition to offenders being placed on Community Based Orders directly by courts, most serious criminal offenders who are imprisoned are released from prison under parole supervision.

Most people who are convicted of serious criminal offences in Victoria and elsewhere in Australia, will be placed at some time on community corrections programs.

If a proportion of offenders who were placed under supervision in the community could be rehabilitated, that is, if as a result of supervision a proportion of offenders on community based orders and parole ceased to offend, there would be huge benefits to the community both in financial and human terms.

This study considers this issue. That is, can community corrections programs reduce the likelihood that offenders will re-offend? If the answer to this question is positive, there would be considerable implications for politicians, correctional administrators and for those who work directly with offenders in the community.

This issue however, has been and continues to be controversial.

## **COMMUNITY CORRECTIONS PROGRAMS DO NOT WORK**

In 1985 a review of probation was completed in Victoria. A review panel met for several years and sought submissions widely throughout Victoria. Among other things the review, which was sponsored by the Victorian Department of Community Services, considered the extent to which adult and children's probation services were able to reduce the likelihood of re-offending among probationers.

The review report concluded that "recidivism studies have consistently demonstrated that no correctional program works any better (at reducing re-offence) than any other program" (Probation Review Committee, 1985, p14).

The Committee supported this view by reference to a well known study undertaken in the United States by Robert Martinson and others. This study involved a review of research, which had been published in the English language between 1945 and 1967, on the effectiveness of correctional programs, including community based programs,

Martinson concluded, "With few and isolated exceptions the rehabilitative efforts that have been reported so far have had no appreciable effect on recidivism" (Martinson 1974, p25).

Support for the view that Community Based Corrections has no impact on recidivism continues today in some circles.

Whitehead and Lab (1989) used an approach to analysing research studies known as meta-analysis. Meta-analysis can be described as a "method of aggregating and statistically analysing the findings of several studies" (Fischer 1990, p297).

Whitehead and Lab (1989 p1) after examining a range of studies relating to the effectiveness of correctional treatment of juveniles including community based programs, concluded that "The results show that interventions have little positive impact on recidivism and many appear to exacerbate the problem" .

## **COMMUNITY CORRECTIONS PROGRAMS CAN WORK**

On the other hand whilst there has been a persistent body of academic and professional opinion that correctional programs do not work, there is an equally persistent body of opinion which suggests that some correctional programs do work. It is suggested that whilst the overall impact of correctional programs, including community based programs, may be somewhat ineffectual, this actually disguises the fact that some programs reduce recidivism and some increase recidivism.

A study in adult probation services was undertaken in Ontario, Canada, during the late 1970's which demonstrates this theme (Andrews et al 1979).

The study included more than four hundred probationers supervised by both professional and volunteer Probation Officers. It used a variety of psychological tests and examined tape recordings of interviews between Probation Officers and their clients.

The study found significant relationships between several factors and client re-offence rates. These factors included the use of pro-social modelling and re-inforcement, problem solving and empathy or reflective listening.

Pro-social or anti-criminal modelling and re-inforcement involves the practice of offering praise and rewards for clients' pro-social expressions or actions. The probation officer becomes a positive role model acting to reinforce pro-social or non criminal behaviour.

This concept was not new, in fact the Martinson et al (1975) make reference to a study completed in 1964 by Schwitygebel, which showed significantly reduced recidivism (number of arrests and months of incarceration) in comparison to a matched control group. The youths in the project were rewarded with cash or sweets for attending regularly and talking about experiences in detail. Martinson noted that the young people were serious offenders with institutional histories.

The second factor which Andrews et al (1979) found to be related to reduced re-offending was the practice of problem solving. Again this was not a new concept, in fact material on problem solving processes had been around for many years (Reid 1972, 1976, 1992). Problem solving involves working with the client on a process of identifying and defining problems, and developing goals and strategies to address the problems.

Andrews and his colleagues also found that the use of reflective listening and empathy, whilst it was not related to reduced recidivism overall, was helpful when used in conjunction with pro-social modelling and problem solving.

They found that clients offended less where their supervisors not only practiced problem solving and pro-social modelling but also used reflective listening.

Andrews et al (1979) conclude that whilst the gross impact of supervision in this study may have been negligible, this disguised positive and negative influences. That is some styles of supervision were related to reduced re-offending (e.g. pro-social modelling) whereas other styles of supervision were related to increased re-offending (e.g. pro-criminal modelling).

Support for this view is provided by Gendreau and Ross (1979), who undertook a comprehensive review of literature relating to the effectiveness of correctional programs. Gendreau later commented that "Now there is substantial evidence amassed by various studies that were impressive for their methodological soundness, to indicate that certain types of correctional interventions can significantly reduce recidivism. Reductions in recidivism range from thirty to sixty percent according to some of the well controlled studies" (Gendreau 1983 p37).

Gendreau suggests that the successful programs have certain things in common. "They are based on behavioural learning within certain social contexts where role modelling is especially crucial" (Gendreau 1983 p37).

He goes on to refer to anti-criminal modelling and reinforcement, problem solving and the quality of interpersonal relationships as important characteristics of effective correctional practice.

Gendreau suggests that his review of the literature points to certain practices which are ineffective. These include programs based simply on

open communication with little direction and "self governing self help programs run by the offenders themselves" (Page 38). Behavioural modification techniques are also unsuccessful where "they are imposed on offenders who were never involved in the development of the programs", the target behaviours were "anti-social rather than pro-social, thus giving anti-social behaviours undue attention and in some cases fostering such behaviour"; or "they failed to neutralise or use in some positive way the offenders' peer group" (p38).

Considerable support for the ideas of Andrews, Gendreau and their colleagues has been seen more recently in meta-analysis of literature relating to the effectiveness of correctional treatment.

Andrews and others published a meta-analysis in 1990 (Andrews et al 1990). They considered 154 studies in a variety of correctional settings including both adults and children and came to much the same conclusions about effective treatment as they had done earlier.

They also made reference to the "risk principle", that is that high risk offenders are most likely to benefit from intensive supervision, whilst low risk offenders are unlikely to re-offend and can be safely left alone. Andrews suggests that all offenders should be assessed for their risk levels and given appropriate levels of supervision accordingly.

## **AIMS OF THE STUDY**

There continues to be disagreement about the extent to which community based correctional programs can successfully reduce recidivism. Some researchers say that certain programs or approaches will reduce recidivism. Others seem equally convinced that no program or approach will consistently reduce recidivism rates. This study aims to address this dilemma.

It has three specific aims:

- (1) Is it possible to teach community Corrections Officers the principles which seem to be related to effective supervision?
- (2) Does the use of these principles relate to reduced client re-offending?
- (3) The study also aims to consider whether association with other offenders on community work sites is related to client re-offending. Whilst the research on this area is limited the research referred to above does suggest that the pro-criminal environment created by group worksites may have a negative influence in comparison to the more pro-social environment of community worksites where offenders associate with members of the community or they work alone.





# Study Design and Methodology



## STUDY DESIGN

This study aimed to train a group of Community Corrections Officers employed in Community Based Corrections in Victoria in certain principles of effective supervision, which several research studies have suggested are effective in reducing client recidivism rates. The principles include: (1) the use of pro-social modelling and reinforcement, (2) the use of problem solving, (3) the use of empathy and (4) focussing on high risk offenders.

These principles form the basis of the 'integrated supervision model' referred to throughout this report.

The study aimed then to consider whether Community Corrections Officers (CCOs) who received this training carried out the principles, and whether their clients offended less compared to a control group.

Ideally a project such as this would have an experimental design with a randomly selected untreated control group. It would have Community Corrections Officers selected randomly for training from all Community Corrections Officers in the state or at least from a large group of Community Corrections Officers who volunteered for the training course. It would not have drop outs from the training course or the project.

Unfortunately there were many organisational restraints which prevented these things occurring and which therefore prevented the use of a true experimental design.

A quasi experimental design was used involving the following procedures.

A one week training course in effective supervision skills was advertised in all offices of the Community Based Corrections Division (CBC) of the Victorian Office of Corrections (OOC).

Participation in the course was open to all Community Corrections Officers (CCOs). One training course was conducted in June 1990 and a second in March 1991. Thirty two CCOs volunteered and were accepted for the course, however, for reasons which will be explained later, only twelve participated in the project after completion of training. These twelve CCOs and their clients formed the experimental group.

A group of volunteer CCOs were also trained during 1990 and 1991 and they were allocated high risk clients. The results of the study in relation to volunteers are not however reported in this document. They will be included in the final and more detailed report on this project.

The professional officers participating in the project undertook to supervise at least their next twenty clients (parolees and offenders on Community Based Orders) using the integrated supervision model. Volunteers did the same with the smaller number of clients allocated to them.

In addition to data collected in relation to the experimental group (clients of supervisors who undertook the training and agreed to participate in the project) data was collected on two other groups of clients. These included clients of Community Corrections officers who undertook the initial training course but did not continue to participate in the project. This group is referred to as Group 2. The third group referred to as the Control Group consists of the CCOs (and their clients) who were

selected as a control group from the same offices as those who completed the training courses.

Between May and October 1991, 312 questionnaires were distributed to supervisors in each of the groups and they were asked to request that certain clients fill them out. 192 questionnaires were returned. The questionnaires sought information about the extent to which the various components of the integrated model were being carried out.

During 1992 a sample of client files (385) in each of the three groups was examined and information was gathered about the extent to which file notes reflected the use of the model by the supervisor. Information was also gathered on breach rates (by further offence and conditions) in the various groups. In August 1992 police record checks on all 385 clients were undertaken.

As outlined above this study is described as quasi experimental. It varies from the traditional experimental design, because of the practical difficulties involved in an operational research project of this nature. It was not possible, for example, to develop a random sample, or to ensure that all CCOs who did the initial training course continued with the project.

Several measures have been taken to compensate for the lack of a true experimental design. These include the comparison of experimental and control groups on a range of criteria to establish that they do not differ in ways that relate to the recidivism variables. Statistical procedures including logistic regression are also used to isolate the impact of the variables.

# **SAMPLE**

## **BACKGROUND INFORMATION ON VICTORIAN COMMUNITY BASED CORRECTIONS AND COMMUNITY CORRECTIONS OFFICERS**

The population from which the sample for this study was selected consists of professional and volunteer Community Corrections Officers and their clients in the Victorian Office of Corrections.

The state of Victoria has a population of about four million people and the Community Based Division of the Office Of Corrections currently has about 7000 offenders under supervision.

The Office of Corrections was established in 1984. Before that time, the Victorian Probation and Parole Service and the Victorian Prisons Division were located within the Department of Community Services. The Office of Corrections took over responsibility for Community Based Corrections and Prisons. In 1984 the senior staff employed in Community Based Corrections were for the most part qualified Social Workers who had previously worked for the Department of Community Services.

In 1984, the Office of Corrections allowed for the appointment of Probation and Parole Officers from a range of different disciplines, other than welfare and social work which had previously been the only qualifications acceptable for appointment as a Probation and Parole Officer.

The sample in this study illustrates the change in academic qualifications of Probation and Parole Officers, or Community Corrections Officers as they are now known. Only 23 percent of the sample of CCOs in this study were qualified in social work or welfare (5 percent Social Work and 18 percent Welfare). Twenty nine percent of the sample had social science or other degrees, 14 percent had postgraduate degrees and 19 percent had no formal academic qualifications.

The use of the term probation was discontinued in Victorian Adult Corrections in 1986 with the introduction of Community Based Orders. Community Based Orders provided for a combination of the previous Probation, Community Work, and Attendance Centre Orders. Community Based Orders allow for supervision, community work up to 20 hours per week, educational and other programs up to 6 hours per week, as well as a range of other conditions such as drug treatment and testing.

In addition to the supervision of offenders admitted to Community Based Orders, Community Corrections Officers (CCOs) supervise offenders who are released from prison on pre-release programs and on parole. Pre-release programs require that participants receive supervision and undertake community work, educational programs and other activities as directed by the Victorian Adult Parole Board. Parolees are required to receive supervision and may be required to undertake community work during the first three months of supervision.

CCO's, in addition to the supervision of offenders placed on Community Based Orders and Parole, are required to provide advice to courts including advice prior to the admission of any offender to a Community Based Order.

CCOs generally work with client caseloads of about 40 or 50. Some CCOs are involved in specialist duties such as the organisation of Community Work and do not carry a generalist caseload. Most CCOs however combine a caseload with other duties.

Victoria has twenty three Community Corrections Centres and each of these centres has a manager. The centres vary in size from larger metropolitan centres with twenty five CCOs and 1000 clients to smaller rural centres with one CCO and 30 clients. In this study all metropolitan centres were included and sixty percent of the rural centres, in Victoria. It should be noted that several of the rural centres are very small and further that several of the metropolitan centres contain rural or country areas.

## **Community Work Program**

Of particular interest in this study is the community work program because, as has been pointed out, the study aims to consider the influence of association with other offenders on worksites.

Offenders may receive community work as part of parole or community based orders. They are then allocated either to a group community work site or a site where they work alone or with members of the community. If they are placed on a group site they would generally be placed at a school or a hospital or some other public institution. They would then work in a group of between six or eight offenders under the supervision of one supervisor. They would generally mow lawns or do routine maintenance tasks such as painting.

If they are placed on worksites without supervision they would either be with one other offender or they would work alone.

They may work in a pensioner's garden, in a sheltered workshop, an elderly citizens centre, or other such non profit organisation.

Whether individuals are placed on group or individual community worksites is dependent on several factors including the interests of the offender, the policies of the regional centre and the level of risk of the client. Higher risk clients tend to be placed on group worksites.

## **COMMUNITY CORRECTIONS OFFICER SAMPLE**

### **Sample Selection**

As indicated above, during 1990 and 1991 two training courses on the "Effective Supervision of Offenders" were advertised throughout Community Based Corrections in Victoria. Thirty two CCOs subsequently participated in the two courses. Those participating did so largely on a voluntary basis although some CCOs were motivated to

participate for particular purposes such as gaining credit for a bridging course which unqualified CCOs were required to undertake or because they were asked to attend the course by management staff.

Nineteen CCOs participated in the first course and thirteen on the second course. Of those who participated in the training twelve agreed to participate in the project on an ongoing basis. The remaining nineteen did not participate for a variety of reasons.

One CCO did not complete the training and gave no explanation. Eleven CCOs either left the department or were transferred to other positions which did not involve them in the usual method of supervision of offenders, for example, working exclusively with the community work program. One CCO went on study leave. Two indicated that they could not participate because their supervising officer was unhappy about it. Three CCOs said that they did not wish to participate. Two indicated that they would participate, however they indicated after some months that they were not using the model and were unable to, because of high workloads.

## **CLIENT SAMPLE**

### **Background of Clients**

The clients in the sample were either on Community Based Orders or on Parole (87 percent on Community Based Orders). Offenders on pre-release were not included because the supervision requirements for pre-releasees were not consistent with the differential supervision requirements of the integrated model.

The average age of the client sample at the commencement of the order was 27 years. 83 percent were male and 17 percent female.

The files indicated that only 41 percent were employed at the time they received the order. 41 percent had a history of illegal drug use and 43



percent had a history of alcohol abuse. It should be recognised that this information was only recorded on the file if the offender admitted to it or the client had offences directly related to alcohol or drug use. The proportion of drug and alcohol abusers may have been considerably higher.

Eighty two percent of the offenders had conditions on their orders to undertake community work and 9 percent had conditions to undertake educational and other programs.

Most of the offenders had an offending history. On average they had been found guilty of 29 previous offences and had appeared in court 7 times. 36 percent had been previously imprisoned and only 26 percent were first offenders. The most common offences committed prior to receiving the orders were property related offences (52 percent) followed by assaults and other person offences (29 percent).

The clients were seen, according to file notes, on average every two to three weeks for the first three months of their orders reducing to six weekly in the last three months. Over 90 percent of the orders were for one year.

### **Selection of Client Sample - The Experimental Group**

Clients in the experimental group, were selected in the following manner. Each CCO was asked to supply a list of their first twenty new cases allocated to them after the completion of the training course. These cases were allocated to them in the normal manner. In some instances CCOs received cases as they came into the office, in others they received cases on a geographical basis (that is all cases in a particular area).

The allocation of cases was not under the control of the researcher and it was anticipated that allocation bias in one office would be compensated for by allocation bias of another type in another office. Nonetheless examination of the influence of allocation bias is an important part of the research design. Data was therefore collected on a range of client

variables to establish whether any differences in client recidivism rates could be explained by allocation bias. For example information about client drug use, prior offences and risk score. The statistical technique, logistic regression is also used in order to isolate any variables which might also be related to client recidivism rates.

As indicated above each CCO in the experimental group was asked to provide a list of the first twenty cases that were allocated to them after they completed the training course. This was not always possible however. In some regions particularly in the country regions, new clients came into the office relatively infrequently, and waiting for twenty clients to be allocated would have taken many months.

Twelve clients were selected from the CCOs' lists where they had more than twelve. This was done on a systematic random sampling basis. Where they did not have twelve clients, all clients were included.

Clients were excluded from the study on certain other criteria. Cases had to commence after the workers training had been completed and to be allocated directly to the Community Corrections Officer.

In all there were 104 clients in the experimental group. The most that came from any one officer was 12 and the least was 5. This meant that some officers were represented more in the sample than others. Again, however it is pointed out that allowing for any bias in allocation is an important part of the research design.

### **Sample Selection - The Control Group**

The control group was selected from new cases, allocated during a three month period, after the completion of the training courses.

Offenders in the control group were initially selected from an alphabetical computer list of all new cases, allocated within three months of the training course, at the offices of those CCOs who participated in the training course. When the second group completed their training in

1991, a computer list was not available from all locations and clients were selected from allocation lists obtained from centre managers.

Systematic random sampling was chosen rather than simple random sampling because it is a simpler method and if the lists are unbiased, as in this case, the results are effectively the same (Rubin and Babbin 1989, Tripodi 1980, Seaberg 1988).

The control group was selected therefore to match the number of allocations to CCOs who undertook the training course. In each Centre where clients were allocated to CCOs who had completed the training, a proportionate number of control group clients (75 percent) were selected from that office using the systematic sampling technique.

Excluded from the control group, as with the other groups, were pre releasees and offenders on fine conversion orders, for the reasons outlined earlier.

### **Selection of Client Sample - Group 2**

In addition to the systematically selected control group CCOs and clients who withdrew from the project after completing some or all of the training course are included in the study.

These CCOs were asked in the same way as CCOs in the experimental group to provide a list of the first twenty offenders who were placed under their supervision. As in the experimental group however it was not possible to get twelve clients for each CCO. In all 105 clients of twelve CCOs were included in this group.

# **THE TRAINING COURSE**

## **COURSE FORMAT**

As outlined above, a training course in the principles of effective supervision was offered on two occasions to a total of thirty two CCOs. The courses were conducted over five days, with a break of two weeks between the third and fourth days. During the two week interval participants were asked to practice the principles and tape record a client interview for discussion in the course.

At the conclusion of the course participants were given a written exam which aimed to gather information about the extent to which the participants understood the principles.

Following the first course, participants were offered follow up training days on two occasions and regular (at least bi-monthly) discussions by phone with the principal researcher or a research assistant. These continued for one year after the course was completed. In the second course the follow up days were not offered however the discussions and consultation were offered on the same basis.

## **COURSE CONTENT**

The training course focussed on four principles, (1) the risk principle, (2) problem solving, (3) pro-social modelling and reinforcement and (4) empathy.

### **The risk principle**

An explanation of the risk principle was offered. CCOs were asked to supervise their clients in accord with the risk principle. That is provide intensive supervision to high risk offenders and minimal supervision to low risk offenders. The assessment of risk was done using the standard

intake and assessment from used by the Victorian Office of Corrections. This form is based on a Canadian form (Andrews et al 1982) and has been evaluated as a risk assessment measure in Victoria. The form is discussed in more detail under risk assessment below.

If clients scored 13 or more on the assessment form they were to be considered high risk and to be provided with intensive supervision. CCOs were asked to see high risk offenders a minimum of once per week for a period of about 45 minutes for the first three months of the order. They were then asked to vary the contact depending on the progress of the offender.

The CCOs were asked to initially see low risk clients fortnightly, reducing to monthly if the client was progressing satisfactorily. The duration of the interviews was to be about five minutes and the CCOs were not to adopt a counselling or problem solving focus. The medium to low risk clients were to be informed at the beginning of the order that they had been assessed as low risk and that they would be receiving minimal supervision accordingly.

Considerable discussion ensued during the course about the ethics and issues relating to providing minimal intervention to low risk offenders particularly those who demonstrated high levels of need (for example offenders with psychiatric illness or serious family problems) and those who had committed very serious offences such as murders and rapes.

Some flexibility in the use of the risk principle and other aspects of the model was necessary simply to maintain the involvement of the CCOs.

### **Problem Solving**

The material presented on problem solving was derived from several sources. Use was made of training materials from JJ Keissling (1982) used in the Ottawa branch of the Ministry of Corrections in Ontario. Use was also made of the task centred model of social work developed by William Reid (Reid and Epstein 1972, Reid 1976, 1992). Problem

Solving and Task Centred models are widely taught in social work courses and variations on them have been published in a wide range of texts (e.g. Compton and Galaway 1988, Wilson and O'Connor 1990, Carkhuff 1969).

The basic steps of the problem solving model presented in the course include: (1) clarification of role, (2) problem survey, that is surveying with the client problems which are of concern to them, (3) problem ranking, that is deciding which problems are the most important and deciding which ones might be addressed in supervision sessions, (4) setting goals in relation to the problems which are to be addressed, that is establishing what exactly the client wishes to achieve, (5) setting tasks or strategies in order to achieve those goals, for example reading the newspaper in relation to the goal of obtaining work, (6) the development of a verbal or written contract which outlines the goals and strategies and (7) the ongoing monitoring of progress in relation to the contract.

What distinguishes the particular problem solving model taught in this course from other problem solving models (eg Reid 1976) is that it purposefully focuses on problems which appear to be related to the causes of offending. For example unemployment, financial issues, drug or alcohol use, family relationships, or peer group influence.

It also focuses on providing an honest and clear explanation of the role of the supervising officer, the authority that the supervising officer has and how this can be used. This has been found to be an important factor in the effective supervision of offenders (Andrews 1979) and with other non voluntary clients (Schulman 1991).

### **The Pro-social Approach**

The course to a large extent made use of the ideas of course participants to develop the pro-social concept, although some valuable material was available in manuals developed by DA Andrews (1982) in the Ontario Ministry of Corrections.

Participants discussed what pro-social expressions or activities should be re-inforced, what rewards are available to re-inforce them and what the CCO could do to present themselves as a pro-social role model.

Pro-social expressions or activities which are seen as appropriate to re-inforce include: keeping appointments, being punctual, undertaking community work or other special conditions such as maintaining contact with drug treatment agencies, attempting to solve problems, discussing issues in an open manner, recognising the harm that criminal behaviour can cause, accepting responsibility for your own actions or behaviour, understanding other peoples point of view, being considerate of other peoples feelings, placing importance on personal and family relationships, seeking work, visiting the employment service, controlling your anger, controlled drinking, etc.

It is not possible to list all of the pro-social actions or expressions which might be encouraged or re-inforced. The aim was for individual CCOs in the course to understand the concept and to be able to recognise the difference between pro-social expressions and actions and more anti-social or pro-criminal expressions and actions.

The rewards which are available to CCOs to re-inforce the pro-social expressions and actions include most particularly the use of praise. This relates to verbal praise and the use of body language to express approval of clients' expressions.

In addition to praise, some practical rewards are available to CCOs. These include the reduction in frequency and in some instances duration of appointments, the crediting of travelling time to community work (whilst this is not normal practice it was permitted by the Director of Community Based Corrections for the purpose of this project), the giving of the CCOs time for example by visiting offenders on their worksites, meeting in other places for appointments such as the clients home, talking to family members, advocating on behalf of the client with organisations such as Social Security or the Employment Service, doing

positive reports to parole boards or courts or indicating that such a report would be available if it became necessary, etc.

Again it is not possible to develop an exhaustive list of the possible rewards available as they are different in different cases.

Participants were asked to present themselves as pro-social models to their clients. The idea of the CCO as a pro-social model was discussed in the group and a range of appropriate practices were put forward. These include; being punctual and reliable, being polite and friendly, being honest and open, respecting other peoples feelings including the clients, understanding the clients point of view, expressing views about the negative effects of a criminal lifestyle, expressing views about the value of social pursuits such as non criminal friends, good family relations and work, interpreting other people's motives positively, being open about problems which the CCO may have had which are similar to the offenders ("I had a similar problem at your age"), and generally being optimistic about the capacity and value of living a productive life within the legal system.

Some particular examples of expressions which are consistent with the pro-social approach which were used in the course include:

"Because you have been keeping your appointments and doing your community work you will only have to report monthly from now on." This is a more pro-social comment than "I know you are doing well and complying with the conditions but I need to see you anyway because you have still got problems".

"It is great that you went to the employment interview and that you have kept the appointment with me today. I can see that you are really making an effort." This is a more pro-social comment than "It is good that you went for the interview but with the unemployment situation the way it is you cannot expect too much can you?"



## **Empathy**

For the most part participants in the course were familiar with the basic principles of reflective listening and empathy. This material is taught in most welfare and counselling courses in Victoria. The principles are outlined in many texts and manuals (eg Carkhuff 1969).

Course participants were asked to attempt to focus on the meaning of clients' expressions both from a content and feeling point of view, and the course involved a review of the practice of reflective listening.

An example used in the course included the following comment and response; "I am just sick of this situation. I am flat broke and I have to have money for the rent. I have to find a job but there just aren't any jobs anywhere".

An empathic response to both the content and feeling of this comment might be "You are really worried because unless you can find some work there are going to be some pretty serious consequences".

## **DATA COLLECTION**

### **CLIENT QUESTIONNAIRE**

#### **Aim**

A questionnaire was administered to the clients of officers in each of the groups. The purpose of the questionnaire was to gather information about the extent to which clients believed that their CCOs were providing supervision consistent with the principles of the supervision model.

The full questionnaire is included in Appendix A.

A smaller sample was drawn from the study sample referred to in the previous section. It was aimed to include about 60 percent of the total sample in the questionnaire sample. The administration of the questionnaire was time consuming for staff, clients and research assistants, and it whilst a larger sample might have been desirable, the sample of about 300 clients was more practical and within the project's budget.

The first sixty percent, or as near as possible, of clients on each of the CCO client lists referred to in the section on sampling were included in the sample for administration of the questionnaire.

A covering letter was included on the questionnaire indicating why clients opinions were being sought, its voluntary nature and its confidentiality.

Instructions on the administration of the questionnaire were given to supervisors (or to centre managers for the supervisors) who then requested participation of the clients. The supervisors stressed that participation was voluntary but if they chose to participate it would be entirely confidential, that the responses would only be seen by research staff and that any published material would in no way identify them.

If the client was not sufficiently literate to complete the form the supervisor completed the form for them, however this occurred only on a few occasions. Otherwise the supervisor would give the form to the client and leave them to complete it in private. Once completed, the clients placed the form in an envelope, sealed it and left it with the receptionist for posting to the principal researcher.

### **Return of Questionnaires**

In all 312 questionnaires were distributed and 192 were returned which is approximately 61.5 percent of the total.

Sixty four out of eighty eight, or 73 percent of the questionnaires given to CCOs in the experimental group were returned, 41 percent (36/88) were returned in group 2, that is the trained CCOs who did not participate in the project, and 52 percent (70/134) were returned in group 3, the randomly selected control group.

It is perhaps predictable that the CCOs who were participating in the project would be more likely to administer the questionnaires and that those who did not participate would be least likely to do so.

The extent to which the different rate of return is likely to bias the results is doubtful. It may be that there was a tendency to give questionnaires out to more agreeable clients because they would be more likely to participate and because they would be more likely to give favourable answers. If this were the case the results might favour the control group and Group 2 because they appear to have been more selective. That is the bias would be more likely to cause the results to be on the opposite direction to that anticipated in this study.

## **FILE QUESTIONNAIRE**

### **Aim**

The aim of the file questionnaire was firstly to collect data on the extent to which CCOs in the study indicated through file notes that they were using the effective supervision model.

Secondly the questionnaire sought information on the various recidivism measures utilised in the study and aimed to provide data about the central hypothesis of the study: that trained participating officers would have clients with lower recidivism rates than clients in the control groups.

The questionnaire is included in Appendix B.

## **The File Questionnaire Sample**

All offenders selected in the sample referred to above were included in the file questionnaire sample. However of the original 443 files 58 (13 percent) were not able to be included in the sample. This was because the records held at the regions or in the head office computer were incorrect. In most instances the cases had gone initially to different regions or had been transferred interstate because of client changes of address.

The missing cases were evenly distributed across the groups and they therefore do not appear to have biased the sample in any way.

### **Interrater reliability**

Two research assistants undertook the analysis of the 385 files. Many of the questions had a subjective aspect to them. For example the research assistants were asked to rate each file out of ten regarding the extent to which the CCO appeared to be using the model.

The two research assistants cross checked each others answers on a regular basis. There was a high level of reliability between the two research assistants on almost every question on the 20 files that were cross checked during the period that they undertook the file analysis (about six months). Ten files were cross checked after 100 files had been completed and ten after 250 had been completed.

Overall there were inconsistencies on 84 occasions out of 3200 responses (2.5 percent). 53 of the 80 questions were answered with the same answer by both research assistants on all twenty occasions. 67 of the 80 (84 percent) questions were given the same answer by both researchers either on every occasion or on 19 out of 20 occasions.

## RECIDIVISM MEASURES

Several recidivism measures were used in the study and these will be detailed in the final report. The different measures demonstrated the same trends however and for the sake of brevity only two measures are reported in this study.

The first measure relates to any breach whether by conditions or by further offence, of the order within one year of its commencement. A breach is defined as having had a breach report completed by a CCO and a decision made that the matter is to be returned to court or the Adult Parole Board.

Note that official breaches by further offence involve the CCO becoming aware that the client has committed a further offence during the period of the order. The CCO gains this information either from the client, from police, from the courts or from police records. The CCO then completes a breach report and the matter is, except in the case of trivial offences, returned to court and the client is re-sentenced on the original offence for which they received the Community Corrections Order. In the case of parole a similar system operates however the parole board takes the place of the court and may simply cancel parole and return the client to prison.

Breaches of conditions involve the preparation of a breach report by the supervising CCO following the failure of the client to complete the conditions of the order as required. In most cases this involves the failure to complete community work, the failure to attend for appointments, or the failure to notify change of address and the consequent inability of the CCO to contact the client. The matter is then returned to court or the parole board in the same way as it is for offence breaches.

A second recidivism measure, imprisonment, is reported in this study for some of the more important variables. This measure refers to whether or not clients were imprisoned for offences committed during the period of the order. Imprisonment includes both suspended sentences or actual

incarceration received either for the offence which breached the order or for the disposition imposed for the breach itself when it was returned to court.

## **FOLLOW UP PERIOD**

The follow up period of one year is used for the recidivism measures reported in this document. Whilst this period is relatively short it is seen as appropriate for several reasons. 95 percent of the clients in the sample received supervision for one year or less and the study is concerned with the effects of supervision. A number of studies have found that the majority of offenders on Community Based Orders will offend within the first twelve months if they are going to offend (Gendreau and Leipziger 1978, Andrews 1979). One study found that more than half of those who offended within three years in fact offended within six months and seventy percent within one year (Cochran 1981).

Data regarding a longer follow up period will be available in the final report.

## **RISK MEASURES**

As indicated above the risk measure used by all CCOs in Victoria is contained in the Community Based Corrections Intake and Assessment Form. This form is completed on all offenders who are placed on orders in Community Based Corrections. The form is either completed at court when individuals are assessed for Community Based Orders or it is completed at the Community Based Corrections Centre for individuals placed on parole.

The form is based on a form developed in Canada (Andrews 1982) referred to as a Level of Supervision Inventory (LSI) It contains a checklist of fifty eight factors which are related to the likelihood of re-offending. It includes items such as: the number of prior offences, the age at which the first offence was committed, whether or not the

individual has been imprisoned, educational and employment status, finances, family situation, accommodation, leisure activities, companions, alcohol and drug problems, emotional and psychiatric situation and attitude towards crime.

Each item which is ticked as a risk factor is allocated a score of one and the scores are then totalled to give a total risk score. The risk score is then used to allocate offenders to high or low risk categories (Andrews 1982). The LSI is completed by the Community Corrections Officer or other trained Correctional Worker following an interview and survey of case records.

The LSI as developed in Canada has been subjected to rigorous testing as a measure of recidivism (Andrews 1982, Andrews and Robinson 1984, Andrews Friessen and Keissling 1984, Motiuk, Motiuk and Bonta 1992).

The LSI was initially used in the probation service in Victoria in 1984 and introduced as the standard risk assessment measure across the state in 1985. An evaluation of the assessment measure was completed in the Victorian Office of Corrections in 1987 (Saunders et al 1987).

More detail will be provided in relation to the risk measure in the final report. Suffice to say at this stage that it does appear to predict risk levels with some accuracy (those who scored above 13 in the OOC study (1987) were more than twice as likely to breach than those who scored below 13).

## **SUMMARY**

The basic aim of this project is to consider whether a group of Community Corrections Officers can be trained to implement a particular model of supervision and whether the implementation of that model leads in turn to reduced recidivism rates. It also aims to consider

the influence of association with other offenders on worksites, on recidivism.

The study necessarily utilises a quasi experimental design. This is because of the inability of the researcher to control some of the variables, because of the need for some flexibility to maintain the involvement of the Community Corrections Officers and because of the general unpredictability of operational research.

The experimental group consists of professional Community Corrections Officers and their clients in Victoria who selected them-selves by applying for and completing a training course and agreeing to participate in an ongoing research project. The experimental group is compared to a random control group and a control group of those who participated in the training but failed to continue in the project.

Data was collected through a client questionnaire and a file analysis on a range of matters including client attitudes to supervision, and recidivism rates as well as data on CCOs' personality traits and education levels.

The data is then analysed statistically in relation to each of the projects research questions in an attempt to isolate any intervening variables which might influence the results.





# Results

3

Results are reported in this chapter for each of the three groups referred to in previous sections. That is the experimental group, consisting of CCOs who undertook the training and agreed to participate in the project, Group 2, consisting of CCOs who withdrew from the project and their clients and the Control Group, consisting of clients selected from the same regional centres as the groups referred to above.

Group 2 tended to have very similar results to the control Group and, whilst the results are reported for group 2, comparisons are for the most part made between the experimental and the control group. The tests of statistical significance relate to the experimental and the control group unless otherwise stated.

## **USE OF THE MODEL BY COMMUNITY CORRECTIONS OFFICERS**

It was anticipated that Community Corrections Officers in the experimental group would be more likely to implement the principles of the integrated model, in comparison to the control groups (Group 2 and the Control Group). This did in fact occur.

Clients in the experimental group were more likely to report that their supervisors used the principles of the integrated supervision model. Further the analysis of file notes reflected greater use of the model than in the control groups.

## PROBLEM SOLVING

Table 1 illustrates that the clients believed that CCOs in the experimental group were more likely to use each of the principles of problem solving. In most instances the chi square test indicates that the difference between the experimental and control group was statistically significant.

Note that one tailed tests of significance are used for this, and the following tests, because the hypotheses are directional (Weinbach and Grinnell 1987).

**TABLE 1**

### PROBLEM SOLVING PRACTICES REPORTED BY CLIENTS

	Exp (N=64)	Group 2 (N=36)	Control (N=70)
Discussed specific problems (p=.049 Significant)	92% (59)	80% (29)	81% (58)
Discussed solutions (p=.02 Significant)	92% (59)	80% (29)	79% (56)
Client decide on tasks (p=.0005 Significant)	81% (52)	72% (26)	65% (45)
Client attempt tasks (p=.002 Significant)	83% (53)	72% (29)	65% (42)
Supervisor had tasks (p=.08)	53% (33)	53% (19)	41% (28)
Supervisor do tasks (p=.11)	31% (20)	25% (9)	22% (15)
Problems reduced (p=.02 Significant)	88% (56)	80% (29)	77% (53)
Assisted with problems (p=.016 Significant)	91% (58)	80% (29)	81% (57)
Assistance very good (p=.08)	77% (49)	69% (25)	64% (45)

The clients in the experimental group were also more likely to report that their problems were reduced. This is illustrated in Table 2. It is particularly interesting that clients in the experimental group reported twice as often that their problems in relation to drugs had been reduced.

**TABLE 2**

**WHAT PROBLEMS HAVE BEEN REDUCED?**

	Exp (N=64)	Group 2 (N=36)	Control (N=70)
Offending	47% (30)	36% (13)	43% (30)
Unemployment	14% (9)	19% (7)	14% (10)
Financial	27% (17)	17% (6)	19% (13)
Drug (p=.008 Significant)	39% (25)	25% (9)	20% (14)
Family (p=.033 Significant)	45% (29)	28% (10)	30% (21)
Health	19% (12)	6% (2)	19% (13)
Alcohol	36% (23)	36% (13)	30% (21)
Problems related to order	20% (13)	28% (10)	27% (19)
Relationship	30% (19)	36% (13)	24% (17)
Psychiatric/Psychological	12% (8)	11% (4)	16% (11)
Stress	31% (20)	17% (6)	33% (23)
Other	6% (4)	6% (2)	3% (2)

The file analysis revealed similar trends. Table 3 illustrates that the experimental group were significantly more likely to display evidence in their file notes of using problem solving.

**TABLE 3**

**EVIDENCE IN FILE NOTES OF USE BY CCOs OF COMPONENTS OF PROBLEM SOLVING**

	Exp (N=104)	Group 2 (N=105)	Control (N=157)
Evidence found for:			
specific goals/objectives (p=.095)	23% (24)	16% (17)	17% (26)
Surveying problems (p=.0005 Significant)	41% (43)	20% (21)	22% (35)
Exploring/clarifying probs (p=.038 Significant)	24% (25)	13% (14)	15% (24)
Setting tasks for client (p=.071)	16% (17)	17% (18)	10% (16)
Client setting tasks (p=.0004 Significant)	21% (22)	10% (11)	7% (11)
Supervisor setting tasks (p=.001 Significant)	17% (18)	7% (7)	6% (9)
Mutual setting of tasks (p=.003 Significant)	11% (11)	6% (6)	2% (4)

**THE PRO-SOCIAL APPROACH**

There is some evidence from the client questionnaire that CCOs in the experimental group were more likely to use the pro-social model than CCOs in the control group. However, the results from the questionnaire in relation to this aspect of the model are to some extent equivocal.

The file analysis on the other hand strongly suggests that the CCOs in the experimental group were more likely to use the pro-social approach. Table 4 illustrates this. It also indicates that the use of praise, one of the primary principles of the pro-social approach, was more evident in file notes of the experimental group.

**TABLE 4**

**USE OF THE PRO-SOCIAL MODEL IN FILE NOTES**

	Exp (N=104)	Group 2 (N=105)	Control (N=157)
Evidence found for:			
prosocial modelling/reinf't (p=.000 Significant)	65% (68)	42% (44)	38% (60)
Evidence found for:			
praising pro-social behav'r (p=.0002 Significant)	49% (51)	34% (36)	27% (43)

Pro-social behaviours that were praised:

regular attendance (p=.001 Significant)	20% (21)	9% (10)	11% (17)
gaining/maintain employment (p=.004 Significant)	13% (14)	4% (4)	4% (7)
completing/doing CW or PD (p=.04 Significant)	20% (21)	19% (20)	12% (19)
reduced drug/alcohol (p=.009 Significant)	14% (15)	2% (2)	6% (9)
other (p=.09)	13% (14)	12% (13)	8% (13)

## Empathy

The same trend was evident in relation to the use of empathy.

Clients in the experimental group were more likely to describe the level of support offered to them by their supervisors as very good, rather than as good to poor, as indicated in Table 5.

**TABLE 5**  
**SUPPORT GIVEN BY THE SUPERVISOR**

	Exp	Group 2	Control
Very Good (p=.002 Significant)	81% (52)	75% (27)	69% (44)

It is recognised that the perception by the client that they are receiving support does not necessarily mean that the supervisor is displaying empathy. The file analysis however provides evidence of the use of empathy by CCOs in the experimental group.

Table 6 indicates that CCOs in the experimental group were more likely to make file notes which indicated an understanding of the clients feelings and point of view. The results in relation to understanding the client's point of view are significant at the .05 level in comparison to both control groups although the results relating to feelings are only significant in comparison to Group 2.

**TABLE 6****CCOs' USE OF EMPATHY**

	Exp (N=104)	Group 2 (N=105)	Control (N=157)
Evidence found for:			
understanding of client's feelings (p=.09)	49% (51)	36% (38)	41% (64)
understanding of client's point of view (p=.003 Sig.)	42% (44)	26% (27)	26% (41)

**THE RISK PRINCIPLE**

The implementation of the risk principle by CCOs in the experimental group is less evident.

The file analysis revealed that high risk clients were seen more frequently in the experimental group in the first three months of their orders but the frequency of contact was actually less than the control group later in the orders. There were no differences in the frequency of contact with low risk clients.

**TABLE 7****FREQUENCY OF CONTACT - HIGH RISK OFFENDERS**

(Mean Interviews with supervisor)

	1st 3 mths	2nd 3 mths	6-12 mths
Exp (n=33)	6.30	3.72	3.03
Control (n=59)	4.83	3.18	3.95

Kruskall Wallis H (equivalent to Chi Square) for first 3 months 12.61 p <.002, 2nd 3 mths and 6-12 mths - not significant



It was anticipated that high risk clients would be seen more often by the officers in the experimental group, particularly in the early stages of the order. This did happen, according to comments from the clients and from the analysis of the files. It is apparent however, that the differences in frequency of contact were reduced as the order progressed. This is consistent with the risk principle, and the pro-social approach which uses the frequency of contact as one of the rewards for satisfactory progress.

On the other hand the risk principle was less in evidence in relation to low risk clients, who were expected to be seen less often in the experimental group. In fact the file notes indicate that low risk offenders in the experimental group were generally seen more often, although the differences are not at statistically significant levels.

The frequency of contact overall seems rather low, with the average offender being seen about twelve times per year, and it may be that the experimental group CCOs felt that to see the low risk clients any less frequently would have been inappropriate. It may be that they focussed more on shorter interviews with the lower risk offenders. The responses to the client questionnaire suggest that this may be the case. Low risk clients in the experimental group did report that they received shorter interviews although the differences are not statistically significant.

Overall, there is therefore some evidence that the experimental group were more likely than the control groups to make use of the risk principle. The only statistically significant finding relating to the risk principle is perhaps the most important one, that the experimental group saw their clients more often in the first three months of their orders.

## **USE OF THE INTEGRATED MODEL**

The research assistants undertook an assessment, in relation to each client, regarding the extent to which the file notes reflected the general use of the integrated supervision model. They provided an overall rating

on pro-social modelling, problem solving, role clarification and empathy. A rating of 5 or more indicated that the supervising CCO or CCOs appeared to be generally using the model.

The client files clearly reveal more references to the use of the model in the experimental group in comparison to the control group. Both the mean and the median scores for use of the model for the experimental group were significantly higher than the scores for the control groups. 44 percent of files of clients in the experimental group were rated 5 or more compared to only 16 percent in the control group. This is illustrated in Table 8.

**TABLE 8**

**SCORED 5 OR ABOVE FOR THE USE OF THE INTEGRATED MODEL**

Exp (n=104)	Group 2 (n=105)	Control (n=157)
44%(46)	21%(22)	16%(25)

(p=.000 Significant)

**DID THE EXPERIMENTAL GROUP MAKE MORE USE OF THE MODEL? SUMMARY**

It was anticipated that the CCOs in the experimental group would make more use of the integrated model than CCOs in the control groups.

It was not expected that the experimental group would totally implement the principles or that the control groups would not implement them at all. It was simply expected that the experimental group would implement them to a greater extent.

In relation to the risk principle, there was a trend in favour of the experimental group. However, there was only one statistically significant

difference between the experimental and control group. Whilst this is an important difference, that high risk offenders were seen more frequently in the experimental group in the first three months of the order, it is viewed as insufficient to conclude that the risk principle was implemented to a greater extent in the experimental group.

However, the results in relation to the use of the other aspects of the model, problem solving, the pro-social approach, and empathy, clearly indicate that they were more likely to be carried out by the experimental group. The great majority of the findings, on each of these criteria favour the experimental group, and on more than fifty percent of instances the differences between the experimental and the control groups are statistically significant.

## **DID CLIENTS IN THE EXPERIMENTAL GROUP DO BETTER?**

It was expected that clients in the experimental group would breach their orders less frequently in comparison to the control group. This was clearly the case in this study.

The clients in the experimental group, that is the clients of CCOs who were trained in the integrated model, had significantly and substantially lower breach rates than the control group.

The clients in the experimental group had fewer official breaches, that is breaches returned to court by Community Based Corrections and, they had lower rates of imprisonment when they did breach. They were also lower on each of the other recidivism measures used in the study. As previously discussed however for the sake of brevity only two measures are reported here, breaches and imprisonment.

Table 9 presents the breach rates for the experimental and the control group.

The table refers to both conditions and offence related breaches. that is breaches caused by the client failing to comply with conditions for example failure to complete a community work condition, and breaches caused by the commission of a further criminal offence during the period of the order.

**TABLE 9**  
**OFFICIAL BREACHES WITHIN ONE YEAR**

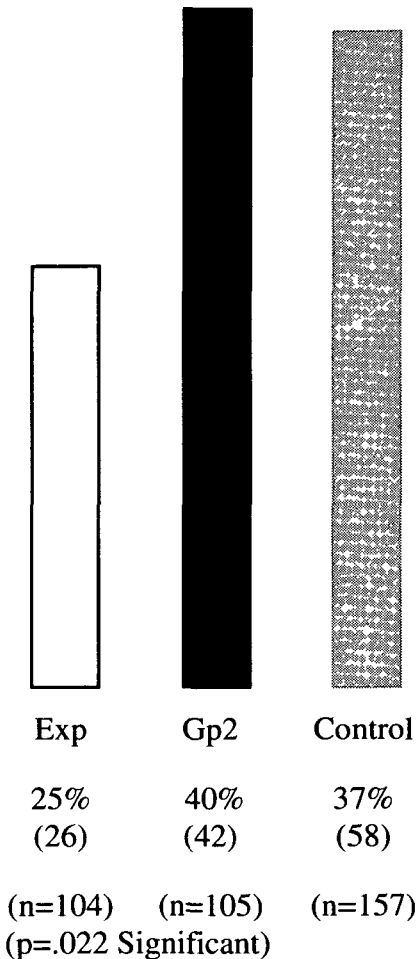
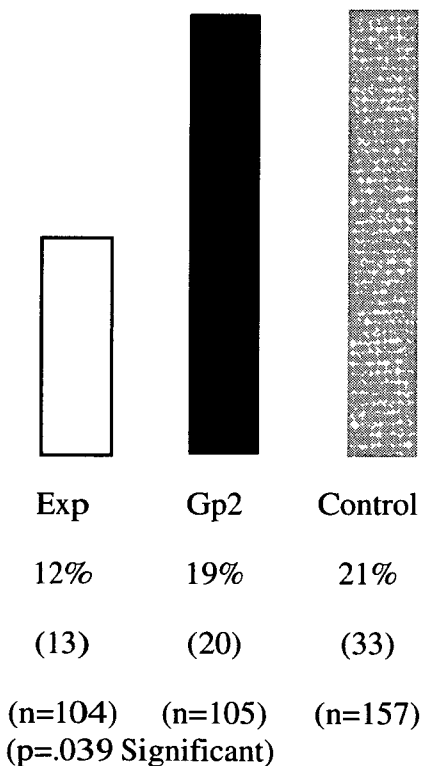


Table 10 refers to the number of clients who breached and received a sentence of imprisonment including where that sentence was suspended. That is where the offender received a sentence of imprisonment, but it was not required to be served if the client did not commit another offence. Clients in the experimental group had an imprisonment rate only slightly more than half that of the control group.

**TABLE 10**

**IMPRISONMENT FOR OFFENCES OR CONDITIONS BREACHES**

(including suspended sentences)



The clients in the experimental group breached less frequently in relation to both conditions and offence related breaches. This is illustrated in Table 11. The numbers are smaller and do not quite reach the .05 level of significance.

**TABLE 11**

**CONDITIONS BREACHES AND FURTHER OFFENCES**

	Exp Group (n=104)	Gp 2 (n=105)	Control Group (n=157)
Conditions Breach p=.08	7%(7)	11%(12)	12% (19)
Offences Breaches p= .08	17%(18)	28%(30)	25% (39)

**CAN OTHER VARIABLES EXPLAIN THE DIFFERENCES?**

Whilst the results support the hypothesis that clients in the experimental group will offend less, it is important to consider whether there may be other variables which might explain the differences between the groups. For example, is the experimental group more highly trained than the control groups independent of the training for this project, or can the differences between the groups be explained by the risk levels of the clients, that is, are the clients in the control groups higher risk offenders?

**Training and Education of the CCO Sample**

Information was sought, by the research assistants, about the training, education and years of experience of the CCOs in each of the groups. It

was aimed to consider whether the CCOs in the experimental group were more highly trained than CCOs in the control groups, whether they were trained in different disciplines, whether they were more likely to attend short training courses in counselling skills, and whether they were more or less experienced as CCOs.

Ninety percent of the CCOs in the sample were surveyed and it is apparent that there are some differences between the groups in terms of education and training levels.

The experimental group was more likely to have a degree in social work, and less likely to have a degree in social sciences, than those in the control group.

Qualifications of the CCOs were generally not significantly related however, to recidivism rates in the study.

The CCOs were also asked a range of questions about their attendance at training courses. This information was sought in an attempt to determine whether there were differences in the groups in their apparent interest in training and the amount of training they had undertaken.

There were no significant differences in the likelihood of CCOs from either group being more regular course attenders although it is apparent that the experimental group had a lower average rate of attendance in the last three years compared to the control group.

CCOs were also asked the total number of days they had spent at courses in the past three years and whether any of these courses were related to counselling. Again there were no significant differences in the number of days spent at courses, or the number related to counselling. In fact the experimental group had attended fewer counselling related courses than the control group.

The CCOs were asked how long they had been a CCO and again, there were no significant differences between the groups.

It is apparent therefore that the differences in client recidivism cannot be explained by differences in training and experience of the CCOs in the different groups.

### **Client Risk Levels**

It could be that the differences between the experimental and control groups on the recidivism measures, were related to risk levels of the clients. If the control groups had higher risk clients then this might explain the higher recidivism in those groups.

There was not a significant difference between the groups on a range of different risk measures, including the intake risk score, the age of the offender, the age of the first offence, the severity of prior dispositions, or a history of drug use. It appears therefore that level of risk does not provide an explanation of the differences between the experimental and the control group.

Logistic regression analysis enables the isolation of the impact of independent variables, for example client risk level or age, on the dependent variable, in this case recidivism. That is to say, it can provide information about whether the clients in the experimental group had lower recidivism rates independent of variables such as risk or age.

A logistic regression analysis carried out on the data from this study confirmed that the differences on the recidivism measures could not be explained by the level of education of the CCOs or by the risk levels of the clients.

In other words, the relationship between the groups and breaching was significant, taking into account the level of training and education of the CCOs and the level of risk of the clients.

The logistic regression analysis will be discussed and reported in detail in the final report. The logistic regression tables relating to the training of CCOs and risk levels of clients are provided in Appendix 3.



## **DID ALL CCOs WHO DID SOME TRAINING DO BETTER?**

It was not anticipated that the CCOs who withdrew from the project would have lower recidivism rates than the control group. Whilst they may have benefited from the training they made it clear that they did not intend to use the model in the supervision of their clients.

Whether they were resistant to the model or simply had other reasons for not participating in the project is unknown. It might be argued however that if such a training course were to be repeated, there would be drop outs and resistant CCOs, and the overall effect of training should be judged on the effectiveness of all those who were trained rather than just those who agreed to use the model. It might further be argued that those who participated in the project may have been a special group. That is a group who were more likely to be effective anyway, or who were more naturally disposed towards the use of effective practices regardless of training.

It is interesting therefore to consider the recidivism rates for clients of all the CCOs who commenced the training courses (experimental group and group 2). These were lower than the control group on each of the measures used in the study. The differences on the official breach recidivism measure were however relatively small (33% for the clients of those trained compared to 37% for the control group).

The results on the imprisonment measure were however more impressive, with more than 25 percent fewer clients being imprisoned among the clients supervised by CCOs who had done some training, compared to the control group clients (33/209 or 16 percent compared to 33/157 or 21 percent). This is within the .10 level of significance using the chi square test. A logistic regression analysis (see Appendix 3) taking account of client risk levels and the education levels, experience and training of CCOs revealed similar results.

Further, multiple regression analysis, taking account of these factors (see Appendix 3), indicates that clients of CCOs who undertook the initial training course, were significantly less likely to receive higher level dispositions (eg prison, suspended sentences, intensive corrections orders) in comparison to clients in the control group ( $p=.02$ ). They were also less likely to have committed serious offences, for example offences involving violence ( $p=.05$ ).

A measure of the frequency with which CCOs attended training courses was used in the regression analysis because it could be argued that the group who undertook the initial training course were a group more likely to undertake training and therefore not typical of all CCOs. The survey of the number of days spent in training courses during the past three years, however, revealed minimal differences between the groups.

## USE OF THE INTEGRATED MODEL AND RECIDIVISM

The research officers who undertook the file analysis rated the files in relation to the extent to which they reflected the use of the integrated model. Where the rating indicated that the CCOs had used the integrated model the clients breached less often. This is illustrated in Table 12.

**TABLE 12**

### USE OF THE MODEL BY CCOs AND CLIENT RECIDIVIST

	Used model (Rated 5+) (n=100)	Did not use model (Rated 4-) (n=285)
Official Breaches ( $p= .003$ Significant)	24% (24)	39% (112)

(Note: 'n' includes clients of 19 volunteers.)

CCOs in the experimental group who completed the training and who were rated by the research officers as using the model had clients who had even lower breach rates. Only 15 percent breached their orders in this group.

## USE OF THE COMPONENTS OF THE MODEL AND RECIDIVISM

### THE PRO-SOCIAL APPROACH

It was anticipated that where CCOs showed evidence of the use of pro-social modelling and re-inforcement in their file notes that the clients under their supervision would have lower recidivism rates.

This was very clearly the case in this study. Table 13 indicates that where the research assistants found evidence in file notes, of the use of the pro-social approach their clients had significantly lower recidivism rates.

**TABLE 13**

### USE OF THE PRO-SOCIAL APPROACH AND CLIENT BREACHES

	Some evidence (n=185)	No evidence (n=199)
Breached	23% (42)	47% (93)

p= .000 Significant

There is clearly a strong relationship between the use of pro-social modelling and re-inforcement and recidivism. There is some evidence however that CCOs were more likely to use the principles of the pro-social approach with lower risk offenders rather than with higher risk clients. The logistic regression indicated however that the difference between the groups was significant taking client risk levels into account. The regression analysis is included in Appendix 3.

## PROBLEM SOLVING AND RECIDIVISM

The research assistants rated each file in relation to the use of the problem solving model (references to setting goals/aims, prioritizing problems, clarifying, defining problems, setting tasks, etc). There was no overall difference in the recidivism rates of the clients whose supervisors showed evidence of using problem solving in file notes and those who did not.

It should be noted however that the CCOs were significantly more likely to use problem solving approaches with high risk clients. When allowance is made for this, through the logistic regression analysis, it is apparent that problem solving is related to reduced breaching although not at statistically significant levels. Further, as table 14 indicates the use of problem solving was significantly related to reduced breaches by failure to comply with conditions. Breaches by conditions, include for example, failure to report for supervision appointments, failure to complete community work or failure to notify change of address.

The difference is also evident when account is taken of other variables through a logistic regression analysis (see Appendix 3).

**TABLE 14**

### USE OF PROBLEM SOLVING AND BREACHES

	Some Evidence of Problem Solving (n=218)	No Evidence of Problem Solving (n=167)
Conditions Breach (p=.01)	5%(11)	11%(20)
Offences in One Yr	33%(72)	31%(52)

(Note: table includes some offences recorded by police which had not been notified to CCOs.)

## **EMPATHY AND RECIDIVISM**

The fourth component of the integrated model is empathy. Whilst it was not anticipated that the use of empathy by CCOs would be directly related to client recidivism, it was anticipated that clients would have lower recidivism rates if CCOs demonstrated the use of empathy as well as using the other components of the model. On the other hand, it was anticipated that if the other components of the model were not used then empathy would not have any impact (Andrews et al 1979, Carkhuff 1969).

It was hypothesised that client recidivism rates would be lower where the use of problem solving and the pro-social approach, were accompanied by the use of empathy.

In fact, there were no significant differences in relation to this hypothesis. Clients of CCOs who demonstrated the use of empathy in file notes were more likely to have lower recidivism rates than clients of CCOs who showed no evidence of the use of empathy. However, this was not at significant levels. CCOs who demonstrated use of pro-social modelling and or problem solving did not have lower client recidivism rates if they demonstrated use of empathy.

The evidence is not sufficient to support the hypothesis that the use of empathy is related to lower recidivism when the other aspects of the model are used.

## **THE RISK PRINCIPLE AND RECIDIVISM**

The fourth component of the integrated model is the risk principle. That is, that high risk offenders are more likely to benefit from intensive supervision and low risk offenders are more likely to benefit from non-intensive supervision.

This study does not support the risk principle. High risk offenders who were supervised more frequently than average were no less likely to offend than high risk offenders who were supervised less frequently.

Similarly low risk offenders who saw their supervisors more frequently were more likely to offend, but not at significant levels. Low risk offenders who saw their supervisors less frequently were less likely to offend, but again, not at statistically significant levels.

Overall clients who saw their CCOs more frequently were more likely to offend. It seems likely that this was because clients who were not progressing well were seen more often.

To adequately test the risk principle it seems that it is necessary to set levels of supervision at the beginning of the order according to risk levels and ensure that these are not varied according to the progress of the offender. This has not been possible in this study and consequently the study cannot claim to have provided an adequate test of the risk principle.

## **USE OF COMPONENTS OF THE MODEL AND RECIDIVISM – SUMMARY**

It is clear that where CCOs indicated in file notes that they used the integrated model, their clients offended less.

Where client file notes pointed to the use of the model those clients tended to be higher risk clients, so the differences cannot be explained in terms of client risk.

The effectiveness of the model seems however to be limited to two of its components. The pro-social approach is clearly related to client recidivism. There is some evidence that problem solving is also an important factor. There is less evidence in relation to empathy.

There is no support for the risk principle in this study, in fact higher risk clients who received more intensive supervision tended to have higher recidivism rates. It has been pointed out however that the study is inadequate as a test of the risk principle.

It is difficult to isolate the impact of the different factors or to say what effect they might have if they were used alone. There is certainly some overlap between problem solving, the pro-social approach and empathy, and it may well be that the whole is greater than the sum of the parts in relation to the model.

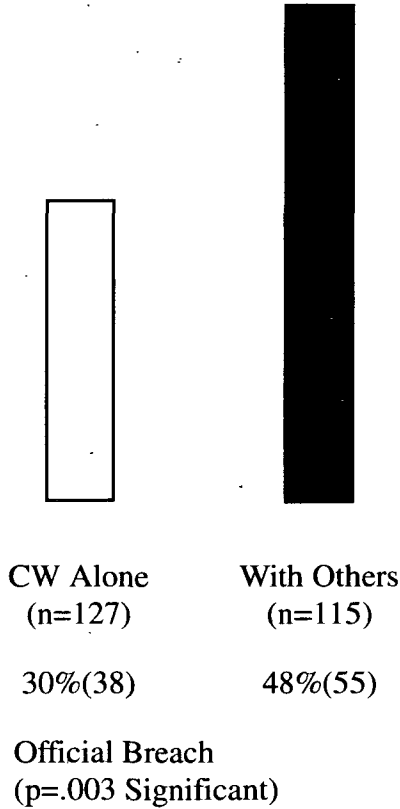
## **THE CONTAMINATION HYPOTHESIS**

The pro-social concept suggests that association with other offenders would contribute to greater levels of criminality among clients. More specifically it was anticipated that offenders who undertook community work in the company of other offenders would have higher recidivism rates than offenders who undertook community work alone.

The contamination or association hypothesis is clearly upheld in this study. The recidivism rate on the breached measure was 30 percent, compared to 48 percent where the clients undertook their community work with other offenders.

**TABLE 15**

**COMMUNITY WORK WITH OTHER OFFENDERS  
AND BREACHES**



However there was a tendency for high risk offenders to be placed on group worksites and for low risk offenders to be placed on individual worksites. A logistic regression analysis was therefore used in order to determine whether the relationship between client recidivism and the nature of the worksite placement could be explained by client risk levels.



The logistic regression analysis reveals that the offenders who undertook community work on their own were more likely to have lower recidivism rates even when account is taken of the risk levels of the clients (see Appendix 3). This was statistically significant.

This finding was also true when allowance was made for the group in which the client was placed. CCOs in the experimental group were more inclined to place their clients on individual worksites but this could not explain the lower recidivism of those placed on the group worksites.

A significant difference between the groups is also evident when the imprisonment measure is used (see Appendix 3).

# Conclusions and Implications

# 4

## CONCLUSIONS

### **Community Based Corrections Supervision Can Reduce Recidivism**

This study provides strong support for the view that supervision in Community Corrections, which is based on certain principles, can have an impact on client recidivism. It provides strong support for the view that "appropriate" service in Community Based Corrections is effective in reducing recidivism.

A study conducted in Canada (Andrews 1979) examined tapes of interviews between Probation Officers and their clients and found that where high levels of problem solving, pro-social modelling and empathy were present on the tapes the clients had lower recidivism rates.

This study developed these concepts into an integrated supervision model and trained Community Corrections Officers in the model. A similar impact on recidivism rates has been found.

When this study is considered in the context of the studies and reviews of studies referred to in Chapter 2, it seems reasonable to generalise that supervision in Community Based Corrections does have an impact on clients, and that supervision characterised by certain principles and approaches will reduce recidivism rates in a variety of Community Corrections settings.

## **Community Corrections Officers Can Learn the Principles of the Integrated Model**

It also seems reasonable to conclude on the basis of this study, that at least some, if not all CCOs, can be taught within a relatively short period of time to implement the practices which are related to reduced recidivism rates.

Those who completed the training and agreed to carry out the principles with their clients were more likely to use the model with their clients than the control groups. This was despite the minimal organisational rewards or incentives for doing so. A greater level of use of the model might be expected if it were seen by CCOs and supervisors as an integral and expected part of the work of a CCO.

## **Pro-Social Modelling is Related to Reduced Recidivism**

It can be concluded that the practice of pro-social modelling and reinforcement by adult Community Corrections Officers is related to reduced recidivism in their clients. This has been very clearly evident in this study as it has in a number of studies in the past dating back to 1964.

In 1964 Schwitzgebel (cited by Martinson, 1974) found that rewarding young offenders with money for attending appointments regularly and talking about experiences in detail resulted in lower recidivism. Another study in 1973 provided pro-social modelling to young institutionalised offenders with similar reductions in recidivism (Sarenson and Ganzer 1973). Further studies by Fo and O'Donnell (1974, 1975) found similar effects with pro-social modelling with young offenders. Andrews et al (1979), and Ferguson (1983) found similar effects with adult and young offenders respectively. And again, the value of pro-social modelling was highlighted with both adults and young offenders in meta-analysis of offender treatment literature by Andrews et al (1989).

It is not by chance that the principles of pro-social modelling proved to be so clearly related to recidivism in this study.

## **Problem Solving is an Important Factor in Supervision by CCOs**

Whilst the findings of this study are less clear in relation to problem solving it is clear that the practice of problem solving is an important factor in Community Based Corrections supervision. The use of problem solving as evidenced in file notes was significantly related to reduced conditions breaches in this study. This is in contrast to other studies (Andrews et al 1979, Ferguson 1983) which found that problem solving was significantly related to reduced recidivism overall. In addition problem solving has been shown to be related to improved outcomes in a range of studies in non correctional settings (Reid 1992).

It is puzzling why Problem Solving should have been significantly related, in this study, to reduced conditions breaches, but not to reduced further offences. The problem solving model should provide clients with assistance with problems relating to factors such as drug use, family issues, and other factors, which could be expected to be related to offending. Clients in the experimental group did in fact indicate that they received greater assistance with their problems.

All that can be concluded is that it is an important factor in corrections supervision and that it needs further exploration regarding the circumstances in which it has most impact.

## **Empathy in interaction with other factors may or may not be an important factor in Community Corrections Supervision**

The evidence in relation to the value of empathy in this study is equivocal. Comments in file notes reflecting empathy were not consistently related to reduced recidivism in this study. This finding is consistent with a previous study done in Victoria (Trotter 1990) and with findings from the study by Andrews et al (1979). This study is inconsistent, however, with other findings from the Andrews et al study, in which both personality tests of empathy and measures of reflective

listening on audiotapes, were related to reduced recidivism when accompanied by pro-social modelling or problem solving.

One might argue that Australians have a natural disposition towards the underdog and that empathy is less important in the Australian setting. The evidence in relation to the value of empathy in corrections must be described however as equivocal and no firm conclusions can be drawn from this study, other than that empathy, used on its own, does not appear to be an important factor in community corrections supervision.

### **The Risk Principle was not Adequately Tested in this Study**

Studies were referred to in Chapter 2 relating to the risk principle and it seems to have some support in the research literature. It has been pointed out however, that the design of this project did not allow for the adequate testing of the risk principle and no conclusions can therefore be drawn about it from this study.

### **Clients placed on Group Worksites are likely to have Higher Recidivism**

It was argued that, consistent with the principles of pro-social modelling and association theory, clients who were placed on worksites with other offenders would be influenced by those offenders and that they would therefore be more likely to breach their Orders than clients placed on worksites on their own or with members of the community.

This study does clearly indicate that clients did have lower recidivism rates when they were placed on worksites on their own, or with other members of the community.

The writer has been unable to locate studies undertaken in Community Based Corrections that have considered this issue although there is some evidence that group work may be an ineffective method of working with offenders (Wood 1978).

Despite the absence of supporting studies it seems reasonable to conclude that worksite placement in Community Based Corrections is a relevant factor to client recidivism rates. Perhaps a more definite conclusion will follow from further research.

## **PRACTICAL OBSTACLES FACED BY THE PROJECT**

The results of this study have been achieved despite the pressure on CCOs who were involved in the project. This pressure included mounting workloads and endless competing demands.

It was exacerbated by the fact that supervising and management staff in the regions were not familiar with the model and were not able therefore to support staff in its use.

The difficulty of achieving a rigorous implementation of the model was made even more difficult by the fact that there were no direct benefits to participants in the project for using the model other than the prospect of improved client progress.

It is perhaps remarkable that the CCOs who participated in the project were able to achieve the results that they did.

## **IMPLICATIONS**

This study lends weight to the increasing body of evidence that recidivism in Community Based Corrections can be reduced by up to fifty percent through the implementation of appropriate supervision practices and programs.

The implications of this in both financial and human terms are great. Recent estimates put the annual cost of imprisonment at around \$25,000. If the cost of court cases and other aspects of the criminal justice system

are also taken into account, the potential savings resulting from the widespread introduction of more effective supervision practices across the state, must be substantial.

This is not to mention the reduction in the human cost of crime.

There seems little argument, that the causes of criminal offending stem from personal and social deprivation, and a sense of alienation in individuals, which leads them to see a criminal lifestyle as an acceptable one.

It is the writers belief, that the approach to supervision outlined in this project works because it addresses the causes of the problem. Many of the seemingly popular punitive approaches do not do this and it is little wonder that research studies consistently find them to be ineffective.

The opportunity is available right now to develop programs in Community Based Corrections which do work. Politicians, Correctional Administrators, and Community Corrections Officers owe it to the community to do just that.

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## APPENDIX 1

Dear Sir/Madam,

The research team are interested in the various methods of supervision offered in corrections. The information gathered in this questionnaire will assist to decide which methods may be more effective.

We are therefore asking for your co-operation in answering this questionnaire, which will take approximately 15 minutes. You do not have to take part, however we would appreciate your help as this information will assist us to develop more effective services. It is important that you answer all of the questions honestly.

Your supervisor will go through the questions with you first before you are asked to complete it. This will give you the chance to ask any questions you may have in relation to completing the questionnaire.

Your answers to this questionnaire will be kept confidential and will not effect any decisions regarding the supervision of your order. You will be asked to place the completed questionnaire in a sealed envelop envelope and only research staff will it. You have our assurance that no one will be told how you personally answered the questions, as we are only interested in the results as a group.

## SECTION ONE

NAME OF CLIENT:                      CURRENT STATUS OF CLIENT  
D.O.B.                                      INTENSIVE SUPERVISION  
    (Score 13 or above)  
MALE                                        NON-INTENSIVE  
    (Score 12 or below)

FEMALE  
NAME OF SUPERVISOR:  
CLIENT's CURRENT RISK/NEED SCORE

HOW LONG HAVE YOU BEEN SUPERVISING STATUS AT  
COMMENCEMENT OF ORDER THIS CLIENT? (Specify number of  
months)

INTENSIVE SUPERVISION  
(13 or above)

NON-INTENSIVE  
(12 or below)

HOW MANY OTHER WORKERS HAVE SUPERVISED THIS  
CLIENT ON THE CURRENT ORDER?

NONE  
ONE  
TWO  
MORE THAN TWO

CLIENT's ORIGINAL RISK NEED SCORE  
(if different from above)

## SECTION TWO

Section two of the questionnaire is to be completed by client.

ANSWER ALL QUESTIONS BY PLACING A TICK IN THE BOX NEXT TO YOUR ANSWER.

1. Were the conditions of your Order explained at your first appointment with your supervisor?
  - Very clearly explained
  - Mostly explained
  - Little explanation given
  - Not explained at all
  
2. What understanding did you have regarding the requirements of your Order?
  - Very clear
  - Understanding
  - Clear understanding
  - Some understanding
  - No understanding
  
3. What is your understanding of the role of a Community Corrections Officer? (Tick as many answers as you feel appropriate)
  - Friend
  - Advocate
  - Prison Officer
  - Supervisor
  - Police Officer
  - Counsellor
  - Advisor
  - Other (Specify)

---

4. How often do you currently attend for supervision appointments?  
Twice weekly  
Weekly  
Fortnightly  
3-4 weekly  
Less (specify)
- 
5. Has the frequency of appointments changed since the commencement of your Order?  
Yes  
No (If the answer is no, go to question number 8)
6. If the frequency of appointments has changed, have they become:  
More frequent  
Less frequent
7. Has the frequency of appointments changed because: (tick as many answers as apply)  
Completed some conditions of Order  
Problems occurred  
Disciplinary issues  
Because you were performing well  
Re-offended  
Usual procedure as Order progresses  
Other (Specify)
- 
8. How long do your supervision appointments last at each visit?  
5-10 minutes  
15-20 minutes  
25-45 minutes  
Over 45 minutes



9. Has the length of your supervision appointments changed since the commencement of your Order?  
Yes  
No (If the answer is no, go to question number 12)
10. If the length of your supervision appointments has changed, has the length:  
Increased  
Decreased
11. Has the length of supervision appointments changed because: (tick as many answers as apply)  
Completed some conditions of Order  
Problems increased  
Disciplinary Issues  
Usual procedure as Order progresses  
Because you were performing well  
Re-offended  
Problems decreased  
Other (Specify)
- 
12. Have you and your supervisor discussed specific problems?  
Yes  
No (If the answer is no go to question number 23)

13. What problems have you discussed? (tick as many answers as apply)

- Offending
  - Unemployment
  - Financial
  - Drug
  - Family
  - Health
  - Alcohol
  - Problems relating to Order
  - Relationship
  - Psychiatric/
  - Psychological
  - Stress
  - Other (specify)
- 

14. Have you discussed possible solutions to these problems?

- Yes
- No

15. Did you decide on actions/tasks in relation to solving these problems?

- Yes
- No (If the answer is no, go to question number 18)

16. Who decided on the action/task?

- Yourself
  - Supervisor
  - Decided together
  - Other (specify)
-

17. Did you attempt the action/task decided upon?  
All  
Some  
None
18. Did your supervisor have actions/tasks to complete in relation to solving these problems?  
Yes  
No (If the answer is no, go to question 20)
19. Did your supervisor complete the actions/tasks decided upon?  
All  
Some  
None
20. Have any of these problems been reduced?  
All  
Some  
None (If none, go to question number 22)
21. What problems have been reduced? (Tick as many answers as apply)
- Offending
  - Unemployment
  - Financial
  - Drug
  - Family
  - Health
  - Alcohol
  - Problems relating to Order
  - Relationship
  - Psychiatric/
  - Psychological
  - Stress
  - Other (specify)
-

22. Do you feel you were given assistance with your problems?  
Yes  
No
23. Did you receive encouragement from your supervisor?  
Yes  
No (If the answer is no, go to question 25)
24. How was this encouragement shown?  
Supervisor said you were doing well  
Supervisor gave assistance  
Progress was rewarded  
Incentives were offered  
Other (specify)
- 
25. How did your supervisor respond when you discussed socially acceptable activities? (e.g. study, seeking employment, complying with your Order, punctuality, helping others, planning your finances, being understanding)  
Always approved  
Sometimes approved  
Did not respond  
Sometimes disapproved  
Always disapproved  
Have not discussed
26. How did your supervisor respond when you discussed anti-social activities? (eg. offending, aggressive behaviour, not complying with your Order, blaming others, lateness, impulsive spending)  
Always approved  
Sometimes approved  
Did not respond  
Sometimes disapproved  
Always disapproved  
Have not discussed

27. How did your supervisor respond when you discussed excuses for offending?
- Always approved
  - Sometimes approved
  - Did not respond
  - Sometimes disapproved
  - Always disapproved
  - Have not discussed
28. How would you describe the level of support given to you by your supervisor?
- Very good
  - Good
  - Adequate
  - Poor
  - None given
29. How would you describe the assistance given to you by your supervisor?
- Very good
  - Good
  - Adequate
  - Poor
  - None given

## APPENDIX 2

1. Name of Client:
2. Age at commencement of Order:
3. Male:  
Female:
4. Type of Order:CBO  
Parole  
Other (Specify)
5. Date of commencement of Order:
6. Risk/need score (as ascertained at time of original assessment)
7. Risk/need score if changed by new worker:
8. Most serious offence for which on current Order (List offence and category number)
9. Period supervised on Order: (Indicate number of months actually supervised since commencement of Order, not time spent in prison)
10. Name of first supervisor
11. Period supervised by first supervisor (Indicate number of months)
12. Was client supervised by first supervisor for entire period of Order  
Yes (if Yes go to Q. 19)  
No

13. What was status of second supervisor?

CCO

CCV

NIS Programme

Other (specify)

---

14. How long was client supervised by second supervisor? (indicate number of months)

15. What was status of third supervisor?

CCO

CCV

NIS Programme

Other (specify)

---

16. How long was client supervised by third supervisor? (indicate number of months)

17. What was status of fourth supervisor?

CCO

CCV

NIS Programme

Other (specify)

---

18. How long was client supervised by fourth supervisor?(indicate number of months)

## **FREQUENCY OF REPORTING**

19. Was the period of time between receiving the Order and first appointment with Supervisor? (record number of days)

### **Indicate number of appointments:**

20. In first 3 months with supervisor
21. In first 3 months with other workers
22. In second 3 months with supervisor
23. In second 3 months with other workers
24. In 6-12 months of Order with supervisor
25. In 6-12 months of Order with other workers

### **Average Duration of interviews (record in minutes)**

26. During first 3 months of Order
27. During second 3 months of Order
28. During 6-12 months of Order



## **EMPLOYMENT**

29. Was client employed for any period during Order?  
Yes  
No (Go to Q.31)  
Not recorded (Go to Q.31)
30. If Yes, estimate numbers of months employed (Define as employed if working or studying 20 hours per week. Exclude people on pensions, sickness benefits, home duties)
31. Was client employed at time of receiving order? (or prior imprisonment if on parole) (\*The intake form usually provides this information)  
Yes  
No

## **DRUG USE**

32. Was illegal drug use related to offending? (\*This question relates to current offending. Illicit drug use refers to illegal drugs and abuse of prescription drugs. It may be necessary to use the police statement for this information if it is on file)  
Yes  
No
33. Is there any evidence of drug use prior to receiving the order?  
Yes  
No
34. Were there indications of illicit drug use during Order? (Indicated by file notes or urine analysis results)  
Yes  
No

35. Is there evidence of alcohol abuse prior to receiving the order?  
Yes  
No
36. Was alcohol abuse related to offending? (\*It may be necessary to use the police statement for this information if it is on file)  
Yes  
No
37. Were there indications of alcohol abuse during Order? (Indicated by file notes or results of testing)  
Yes  
No

### **COMMUNITY WORK**

38. Were there community work hours on the Order?  
Yes  
No (Go to Q.41)
39. If Yes, how many hours? (\*If Parole, leave this question blank)
40. Was community work undertaken? (\*If working on Saturday or mid-week prog.reporting to Centre, they are likely to be working with other offenders. If direct to site, they are more likely to be working alone)  
Alone  
With other offenders  
Both  
Not commenced

## **PERSONAL DEVELOPMENT**

41. Were there PD hours on the Order? (\*Note: Parole does not have PD component unless included as a special condition)
- Yes
  - No (Go to Q.44)
42. If Yes, how many hours?
43. Was PD undertaken?
- Alone
  - With other offenders
  - Both
  - Not commenced

## **CLARIFICATION OF ROLES**

44. Is there evidence of role clarification on file? (reference of role of CCO/CCV, responsibilities of client to the Order, authority of Officer, Breach guidelines, disciplinary procedures) (\*Should be by supervisor. Don't include role clarification by the intake worker)
- 2 or more references
  - 1 reference
  - No reference
45. Is there any reference to (\*refers to supervisor) – the role of the C.C.O. for example discussion about the role as friend supervisor controller advocate counsellor and specifics about what the C.C.O. can offer or do.
- Yes
  - No
- the authority of the C.C.O. This includes the offering of honest information about the extent and limitations of the C.C.O.'s power.
- Yes
  - No

– clarification of the meaning of terms of the order.

Yes

No

46. Is there any evidence of inappropriate role clarification eg. claiming power the order does not have?

Yes

No

## **PRO-SOCIAL MODELLING AND RE-INFORCEMENT**

47. Is there evidence of pro-social modelling or re-enforcement on the file?

Often (one third of file notes)

Occasionally (some evidence)

Never

48. Is there any evidence of self disclosure?

Yes

No

49. Is there any evidence of the following Rewards for pro-social behaviour e.g. Please tick if these things occurred and were linked in the file notes to pro-social behaviour

reduced frequency of appointments,

crediting of travel time to CW or PD

some action by supervisor such as visiting at home,

visiting a relative

doing an employment related task

visiting a work site

re-arranging CW or PD for the clients benefit

other specify

50. Nature of the pro-social behaviour Was the behaviour rewarded related to (\*The rewards must be linked to Q.49)
- Regular attendance
  - Punctuality
  - Gaining or maintaining employment
  - Completing or doing CW or PD
  - Improved family relations
  - Reduced Drug/alcohol use
  - Keeping other conditions eg drug treatment
  - Not offending
  - Not mixing with other offenders
  - Other please specify
51. Praise for pro-social behaviour. Is there evidence of the supervisor offering praise for pro-social behaviour - note that the praise must be linked to the pro-social behaviour
- Yes
  - No
52. Which pro-social behaviours were praised? (\*The praise may be directly referred to in file notes or it may be clearly implied. You need to make a judgement as to whether it was likely to be communicated to the client)
- Regular attendance
  - Punctuality
  - Completing or doing CW or PD
  - Improved family relations
  - Reduced alcohol or drug use
  - Keeping other conditions eg drug treatment
  - Not offending
  - Not mixing with other offenders
  - Gaining or maintaining employment
  - Other specify

53. Are there indications on file of negative rewards for anti social behaviour ie punishments

Yes

No

54. If yes, Were these for further offending  
failure to keep appointments  
lateness  
failure to keep cw or pd conditions  
failure to keep other conditions  
drug use

55. What negative rewards were used?

Threats to breach

Increased frequency of appointments

Increased duration of appointments

Change in CW or Pd arrangements to clients disadvantage

Supervisors displeasure expressed

Warning (Includes reprimand, written disciplinary notice, incident report etc.)

56. Are there indications on file of positive reward for negative behaviour?

Yes

No

57. Are there indications of negative reward for positive behaviour?

Yes

No

58. Are there indications of inappropriate use of authority eg. comment to the effect that offenders could be breached when the practice does not usually allow for this - or the giving of direction which are illegal or unusual such as who to mix with or how to spend leisure time.

Yes

No

## **PROBLEM SOLVING**

59. Is there evidence of a Problem Solving Approach being used? (references to settling goals/aims, prioritising problems, clarifying/defining problems, setting tasks)

Often (every 3rd file note)

Occasionally

Never

60. Is there evidence of - please tick (\* Tasks do not refer to things which must be carried out as a condition of the Order. See Memo)

specific goals or objectives

surveying of problems ranking or prioritising of problems

exploring, clarifying or defining problems

setting tasks/strategies for supervisor to perform

setting tasks/strategies for client to perform

client setting tasks

supervisor setting tasks

mutual setting of tasks

## **EMPATHY**

61. Is there evidence of understanding of client's feelings (Recording of client's feelings)  
Often (every 3rd file note)  
Occasionally  
Never
62. Is there evidence of understanding of clients point of view? (recording of recognition of worker seeing situation from client's perspective.)  
Often (every 3rd file note)  
Occasionally  
Never
63. Is there evidence of judgemental statements. i.e. that a client is lazy etc. comments that attach a negative motive or attitude towards a particular behaviour?  
Often (every 3rd file note)  
Occasionally  
Never

## **GENERAL COMMENTS ON COUNSELLING APPROACH**

64. Overall rating of pro-social modelling, problem solving, role clarification and empathy  
0-10
65. Did you feel uncertainty in answering the questions about pro-social modelling, problem solving, empathy and role clarification for this client file? That is, were the questions hard to answer?  
Yes  
No



**IBR**

- 66. Date IBR received?  
(on completion of Order)
  
- 67. Was Order breached by further offence during first 12 months of Order?  
Yes  
No (Go to Q.72)
  
- 68. How long after commencement of Order was further offence committed? (If more than one offence estimate to first offence-record number of months)
  
- 69. If Yes, indicate disposition received for Breach Formal Warning  
GBB  
Fine  
CBO  
Sus. Sentence  
Imp./YTC  
Other (specify)
  
- 70. Indicate types of offences (\*Relates to further offence - since (as per category) commencement of Order)

.....

.....

.....

.....

71. What was the total number of further offences committed?
72. Was Order breached by failure to comply with conditions?  
(\*Breaches by conditions should only be included if they are referred to in a breach report) -  
Yes  
No (Go to Q.74)
73. What was the outcome of the breach? Formal Warning  
GBB  
Fine  
CBO  
Sus. Sentence  
Imp./YTC  
Other (specify)
74. Are there matters pending?  
Yes  
No (Go to Q.76)
75. If Yes, indicate matters pending  
Breach by further offence  
Breach by failure to comply with conditions  
Section 35  
Other (specify)

**OFFENDING HISTORY** - include offences related to current Order

76. Total number of court appearances?
77. Total number of offences?
78. Most serious offence? (include current, write offence and code for category)

79. Age at first conviction? (\*Refers to age at which the offender was first found guilty of a criminal offence whatever the disposition. See Memo)

80. Most serious prior disposition? (\*Make note to request Fine IBR if not available)

No Priors

GBB

CBO/Prob/ACO/CSO

Sus. Sentence

Prison/YTC

Other (specify)

Date

Name

Is form Completed

Awaiting IBR

\*Note: General Comments on Memo.

## MEMO

Please use this space to record any comments on the form for anything unusual. If Supervised by Research Group Record Scores On:

Empathy

Socialisation

ICO

## **INFORMATION REGARDING INITIAL SUPERVISORS**

**Level of education:**

- No formal tertiary qualifications**
- Commenced tertiary study/not completed**
- Associate Diploma of Welfare Studies**
- Associate Diploma (other than above/specify)**
- Social Science Degree**
- Other Degree (specify)**
- Social Work Degree**
- Other Post-Graduate Degree (specify)**

**Number of work related courses attended in last three years. (internal of external - excluding Advanced Counselling Skills Course) Indicate total number of days spent at courses listed above.**

**Were any of these courses related to counselling?**

- Yes**
- No**

**If attended course on Advance Counselling Skills indicate reason/s for attending**

- To gain credit for the bridging course**
- Volunteered**
- Directed or asked to attend by supervisor or manager**
- Combination of above**
- Other (specify)**

**How long have you been a CCO/CCV? (Indicate number of years)**

## **INFORMATION FROM IBR**

81. Order commencement date?
82. How many months since commencement of Order until date I.B.R. received?
83. Were any offences processed during the first 12 months of receiving the Order?
84. How many offences were processed?
85. Time period to process date (Months)
86. How many court appearances were there during first 12 months of Order?
87. What is the most serious disposition received for offences processed during 12 months of Order?
88. What is the most serious offence processed during 12 months of Order?(Offence code and category)
89. Are there processed matters pending which are alleged to have occurred during the 12 months since receiving the Order, which have not yet been to Court?
90. Have any offences been processed since the first 12 months of the Order (ie until now)?
91. Time period to Court date (first Offence in period 12 months after the Order has expired?
92. How many offences were committed in this period (ie one year until I.B.R. received) and been to Court?

93. How many court appearances in this period?(ie after one year until IBR received)
94. What is the most serious disposition received for offences committed in this period?
95. What is the most serious offence? (Offence code and category)?
96. Are there processed matters pending which relate to offences alleged to have been committed after 12 months of the Order had expired (ie processed but not heard at Court):

### APPENDIX 3

**TABLE 1**

LOGISTIC REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN OFFICIAL BREACHES AND GROUP MEMBERSHIP, BY LEVEL OF RISK OF CLIENTS, AND CCO EDUCATION, EXPERIENCE AND TRAINING

Variable	B	S.E	Sig
EXPERIENCE	.0354	.0681	.6034
EDUCATION	.2061	.3235	.5240
TRAINING	.0180	.0321	.5752
RISKSCORE	.0827	.0248	.0009
EXP GP	-.5950	.3269	.0344
CONTROL GP1	.1906	.3259	.5586
Constant	2.0509	.8193	.0123

NOTE for this table and Table 2 the impact of the experimental group and Control Group 1 are compared to Control Group 2. A one tailed test of significance is used for the Experimental Group.

## KEY

EXPERIENCE	Years of experience as a CCO
EDUCATION	Whether the CCO has a tertiary qualification in Social Science or Welfare
TRAINING	Number of training courses the CCO has attended in the past three years
RISKSCORE	Score received on the intake assessment from
EXP GP	CCOs who undertook the training and continued with the project
CONTROL GP1	CCOs who undertook the initial training but withdrew from the project

**TABLE 2**

LOGISTIC REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN IMPRISONMENT RATES (INCLUDING SUSPENDED SENTENCES) AND GROUP MEMBERSHIP BY LEVEL OF RISK OF CLIENTS AND EXPERIENCE EDUCATION AND TRAINING OF CCOs.

Variable	B	S.E	Sig
RISKSCORE	.1079	.0313	.0003
EXPERIENCE -	.0333	.0878	.7042
EDUCATION	-.0182	.4127	.9649
TRAINING	.0336	.0370	.3632
EXP GRP	-.7649	.4404	.0412
CONTROL GRP1	-.1054	.4201	.8018
Constant	-2.5966	1.0410	.0126



**TABLE 3**

LOGISTIC REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN OFFICIAL BREACHES AND COMMUNITY WORK UNDERTAKEN WITH OTHER OFFENDERS COMPARED TO COMMUNITY WORK UNDERTAKEN ALONE AND RISK LEVELS OF CLIENTS, MEMBERSHIP OF THE EXPERIMENTAL GROUP, AND EDUCATION TRAINING AND EXPERIENCE OF CCOs.

Variable	B	S.E.	Sig
EXP GP	-.7375	.3460	.0474
COMWITH	.2628	.1592	.0253
EDUCATION	.0848	.0625	.1746
TRAINING	.0059	.0090	.5085
RISKSCORE	.0637	.0297	.0318
EXPERIENCE	-.0227	.0750	.7621
Constant	-1.8499	.6485	.0043

**KEY**

COMWITH      Client undertook community work with other offenders

**TABLE 4**

LOGISTIC REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN IMPRISONMENT (INCLUDING SUSPENDED SENTENCES) FOR BREACHING OFFENCES AND COMMUNITY WORK UNDERTAKEN WITH OTHER OFFENDERS COMPARED TO COMMUNITY WORK UNDERTAKEN ALONE AND RISK LEVELS OF CLIENTS.

Variable	B	S.E.	Sig
EXP GP	-.7174	.4708	.0638
COMWITH	.4774	.2137	.0128
EDUCATION	.0364	.0800	.6487
TRAINING	.0193	.0100	.0924
RISKSCORE	.1049	.0382	.0061
EXPERIENCE	-.0672	.0973	.4898
Constant	-3.6961	.8878	.0000

**TABLE 5**

LOGISTIC REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN OFFICIAL BREACHES AND USE OF THE INTEGRATED MODEL BY CCOs, TRAINING, EDUCATION AND EXPERIENCE OF CCOs AND RISKSCORE OF CLIENTS.

Variable	B	S.E.	Sig
RISKSCORE	.0838	.0249	.0007
RATING	-.1582	.0675	.0190
EDUCATION	.0644	.0533	.2271
TRAINING	.0026	.0083	.7551
EXPERIENCE	.0336	.0657	.6093
Constant	1.5491	.5647	.0061

**KEY**

Rating out of 10 on the use of the integrated model in file notes

**TABLE 6**

LOGISTIC REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN IMPRISONMENT (INCLUDING SUSPENDED SENTENCES) AND USE OF THE INTEGRATED MODEL BY CCOs, TRAINING AND EDUCATION OF CCOs AND RISKSCORE OF CLIENTS

Variable	B	S.E.	Sig
RISKSCORE	.1150	.0314	.0001
TRAINING	.0137	.0094	.1433
EDUCATION	.0199	.0695	.7748
EXPERIENCE	-.0204	.0857	.8117
RATING	-.0670	.0870	.2207
Constant	-2.9896	.7494	.0001

**TABLE 7****LOGISTIC REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN OFFICIAL BREACHES AND THE USE OF PRO-SOCIAL MODELLING BY CCOs, TRAINING AND EDUCATION OF CCOs AND RISKSCORE OF CLIENTS**

Variable	B	S.E.	Sig
RISKSCORE	.0719	.0249	.0020
TRAINING	.0039	.0086	.6453
EDUCATION	.0643	.0542	.2353
EXPERIENCE	.0284	.0663	.6683
MODELLING	.8614	.2481	.0003
Constant	-4.0783	.8450	.0000

**KEY**

**MODELLING**      Absence of pro-social modelling references in file notes

**TABLE 8**

LOGISTIC REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN IMPRISONMENT (INCLUDING SUSPENDED SENTENCES) OFFICIAL BREACHES AND USE OF PRO-SOCIAL MODELLING BY CCOs, TRAINING AND EDUCATION OF CCOs AND RISKSCORE OF CLIENTS

Variable	B	S.E.	Sig
RISKSCORE	.1086	.0314	.0003
TRAINING	.0153	.0095	.1078
EDUCATION	.0324	.0705	.6455
EXPERIENCE	-.0255	.0860	.7672
MODELLING	.4627	.3201	.0741
Constant	-4.3757	1.0817	.0001

**TABLE 9**

LOGISTIC REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN BREACHES BY CONDITIONS AND THE USE OF PROBLEM SOLVING BY CCOs, AND TRAINING AND EDUCATION OF CCOs AND RISKSORE OF CLIENTS

Variable	B	S.E.	Sig
RISKSORE	.0103	.0393	.7939
TRAINING	-.0021	.0144	.8841
EDUCATION	.1218	.0886	.1690
EXPERIENCE	.0433	.1086	.6900
PROB SOLVING	.7032	.3795	.0320
Constant	-4.9199	1.3666	.0003

**KEY**

PROBLEM  
SOLVING

Absence of problem solving references in file notes

**TABLE 10**

MULTIPLE REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN THE SERIOUSNESS OF THE DISPOSITION IMPOSED BY THE COURT FOR BREACHING OFFENCES AND CCOs WHO UNDERTOOK THE INITIAL TRAINING COURSE, LEVEL OF RISK OF CLIENTS AND TRAINING EDUCATION AND EXPERIENCE OF CCOs.

Variable	B	SE B	Sig
TRAINED GRP	-.383720	.192168	.0234
EDUCATION	.002631	.037456	.9440
RISKSCORE	.068353	.017270	.0001
TRAINING	.005289	.005991	.3781
EXPERIENCE	-.010815	.047731	.8209
(Constant)	-.394054	.429614	.3598

**KEY****DEPENDENT VARIABLE**

1. No offence
2. Fine
3. Good Behaviour Bond/Adjournment
4. Community Based Order/Corrections Order
5. Suspended Sentence/Intensive Corrections Order
6. Prison/Youth Training Centre

TRAINED GRP Clients of those CCOs who completed the initial training course compared to control group clients



**TABLE 11**

**MULTIPLE REGRESSION ANALYSIS OF THE RELATIONSHIP BETWEEN THE SERIOUSNESS OF THE BREACHING OFFENCE AND MEMBERSHIP OF THE GROUP WHO UNDERTOOK THE INITIAL TRAINING COURSE, RISK SCORE OF THE CLIENTS AND EDUCATION TRAINING AND EXPERIENCE OF THE CCOs.**

Variable	B	SE B	Sig
TRAINED GP	.474885	.295144	.0544
EDUCATION	.011014	.057386	.8479
RISKSORE	-.090033	.026568	.0004
TRAINING	-.008430	.009205	.3606
EXPERIENCE	.073038	.073706	.3226
(Constant)	7.838216	.662606	.0000

#### DEPENDENT VARIABLE

1. Serious violent offences (e.g. murder)
2. Sexual offences (e.g. rape)
3. Serious property offences (e.g. break and enter, deception)
4. Drug Offences (e.g. possess/traffick)
5. Breach legal orders (e.g. escape prison, breach parole)
6. Driving Offences (e.g. unlicensed driving)
7. Other less serious offences (e.g. offensive behaviour, loitering)