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## Performance Measurement in a Correctional Program

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## Performance Measurement in a Correctional Program

It has become increasingly common in recent years to hear that rehabilitation in penal settings does not work or that rehabilitation is not a legitimate aim of a penal system. A widely publicized report by Martinson (1974) and an earlier review of rehabilitation research by Bailey (1966) have often been interpreted as implying that rehabilitation does not work, and in a series of papers Conrad (1977, 1981) has suggested that rehabilitation is an impractical aim of penal systems. Conrad argued that penal organizations should be held accountable for meeting process standards relating to custody; or when educational, vocational, or other programs are implemented they should be held accountable for the quality and short-term outcomes of those programs. Furthermore, the emergence of a "just deserts" philosophy in recent years (American Friends Service Committee, 1971; von Hirsch, 1976) has led to a more open criticism of the rehabilitative philosophy and even to questioning of the appropriateness of rehabilitative attempts.

Scrutiny of the literature, however, suggests an increased (rather than decreased) emphasis on the management and evaluation of rehabilitative efforts. In particular, this scrutiny suggests that we should focus on the measurement of the strength and fidelity and short-term outputs of rehabilitative interventions, and conduct research on measures of performance at the level of program implementation. The following paragraphs explain why this is so.

### *The Record of Accomplishment*

A few years ago, a National Research Council/National Academy of Sciences Panel examined the record of accomplishment in research on the rehabilitation of criminal offenders (Sechrest, White, & Brown, 1979). The Panel concluded, "There is not now in the scientific literature any basis for any policy or recommendations regarding

rehabilitation of criminal offenders. The data available do not present any consistent evidence of efficacy that would lead to such recommendations" (p. 34). The Panel also concluded, "The quality of the work that has been done and the narrow range of options explored militate against any policy reflecting a final pessimism. . . . The magnitude of the task of reforming criminal offenders has been consistently underestimated" (p. 34).

The Panel's review implied that the research designs have generally been so flawed; the interventions so diffuse, vague, or imperfectly implemented; the rationales behind what has been attempted often so thin; and so little attention given to the management of the implementation of both programs and research that the record in this area is a poor instrument for learning about the efficacy of rehabilitation. In short, because there is so little evidence that credible treatments have been implemented with fidelity, and because much of the evaluation research done to date has been inefficient or defective in other ways, we have no compelling experimental evidence for the contention that powerful, theoretically defensible, and faithfully executed interventions hold no promise.

The record of one carefully designed evaluation of correctional treatment (Kassebaum, Ward, & Willner, 1971) is instructive. Although sometimes cited as an example of a careful study where no results were achieved, this is actually an example of a study where insufficient effort was devoted to ensuring that the program was implemented in a strong and faithful way.

Quay's (1977) review of this study identifies four characteristics of a program that must be taken into account in evaluating it: (a) whether the intervention to be implemented is adequately conceived and whether this intervention has sufficient grounding in previous evidence, (b) whether the intervention is actually implemented with sufficient duration and intensity, and whether it is implemented as described or anticipated, (c) whether the personnel conducting the intervention are appropriately trained and supervised, and

(d) whether persons receiving the treatment or intervention are selected in ways that increase the prospect that the treatment is appropriate for them.

Quay's review implies that the Kassebaum et al. (1971) study did not meet any of the preceding four criteria. The group counseling interventions were not well described, the counselors appeared uncommitted to the intervention, and they were poorly trained and supervised. The counseling was poorly conducted and unstable, and persons participating in the program appear not to have been selected on the basis of the appropriateness of this intervention for them. In short, the Kassebaum et al. study was carefully conducted research, but it was research on an intervention that was weak because insufficient attention was devoted to management and process standards in implementing the intervention.

The lesson to be drawn from this often cited study is not that a rehabilitative intervention does not or can not work, but rather that we must in future work attend carefully to measuring performance and implementation standards in the conduct of the intervention and use those measures as information to guide the management of the program.

### ***Program Management, Development, and Evaluation***

Programs in the correctional field are not unlike programs in many other areas, including crime control and prevention, education, adjudication, parole, and employment. In all these areas interventions are often based on thin or implausible theoretical rationales. They often pay little attention to the management of the intervention or to standards the intervention itself must meet to have plausible strength. Performance standards and performance measures are seldom used in program management, and evaluations often not only involve weak designs but also contribute little to ensuring the strength and fidelity of interventions.

As Sechrest noted,<sup>1</sup> the interventions or programs implemented in corrections (as well as other human service settings) are often described simply as "counseling." Sechrest argued that this is the equivalent in a medical analogy of a physician prescribing "some stuff." Neither pharmacist nor patient in such a circumstance would be satisfied with the prescription, because both would be accustomed to having the "stuff" specified and to having the dose, frequency and mode of administration spelled out. Compare a prescription that called for oral administration of 25 mg. of Atarax four times daily for 3 days to a prescription calling for "group counseling." Furthermore, compare the differential diagnosis of different drugs for different conditions to the indiscriminate application of group counseling to unselected individuals in the Kassebaum *et al.* example described above. These examples do not suggest that a medical model is appropriate in corrections, but they do suggest that issues of choice of intervention suited to the individual and the specification of the intervention itself--as well as its duration, frequency and mode--are all important considerations.

### ***Other Challenges to Rehabilitation***

Two other challenges to rehabilitation often interpreted as suggesting the direction of attention elsewhere also, when carefully examined, serve to focus attention on the management of correctional programs and on the measurement of performance in such programs.

The "just deserts" philosophy currently redirecting emphasis from rehabilitative efforts should actually serve to direct closer scrutiny to performance measures in corrections as well as to performance measures for justice system procedures suggested by the just deserts philosophy itself. One argument used to support the neoclassical (just deserts) movement is that correctional efforts have not worked and that they have been in part

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<sup>1</sup> Oral remarks presented at the annual meeting of the American Psychological Association, August 1983, Anaheim, California.

responsible for a number of unsavory aspects of penal systems--unbridled discretion, long prison terms, and general ineffectiveness (American Friends Service Committee, 1971). Just deserts advocates envisioned the implementation of interventions where "penalties will be scaled down substantially" (von Hirsch, 1976) when compared to penalties administered under a correctional philosophy. But as Gottfredson (1980) has argued, issues of performance in implementing just deserts ideas are just as important as issues of performance in implementing rehabilitative ideas. The evidence implies that discretion slips from the grasp of one system decision maker to another, and that ensuring that the performance of programs to structure discretion accord with prescriptions is just as important as ensuring that the performance of rehabilitative programs accords with the necessary characteristics of those programs. This suggests that attention to the development and measurement of standards for implementation and the development and measurement of short-term outputs of programs *of all types* is necessary.

A second challenge to rehabilitation is Conrad's (1977, 1981) argument that a focus on recidivism in rehabilitation programs is unrealistic. To do a better job in penal systems, Conrad argues, we must focus on short-term process standards for the work undertaken in institutions. Institutions and the people who run them should be accountable for ensuring that the locks work, that the educational programs undertaken are educational, that the vocational programs undertaken enhance vocational skills. In short, Conrad argues that it is important to shift our attention from ultimate social outcomes like recidivism and employment, which may be difficult to achieve at present, and focus instead on the standards by which the programs implemented in institutions are to be run.

This distinction is similar to a distinction made by the National Institute of Justice (NIJ, 1983) between "outputs" and "outcomes." As NIJ noted, a police agency may produce a certain quality or quantity of evidence as a result of criminal investigations.

This evidence (an output of investigative activity) is conceptually and substantively distinct from convictions (an outcome) which may depend on a number of factors in addition to the quality and quantity of evidence produced. An output is dependent on the nature of activity undertaken to produce it, and it is also dependent on management structures put in place to increase the likelihood that the activity itself is undertaken.

Performance research in industrial settings (Locke, Shaw, Sari, & Latham, 1981; Porter & Lawler, 1968; Nadler, Hackman, & Lawler, 1979) suggests that performance depends on a number of factors. First, persons implementing a program or process must correctly perceive what they are to do. They must know what actions are to be taken under what circumstances to produce what effects. Second, they must have the capabilities and resources to perform in accordance with these expectations. That is, they must have training, skills, and personal characteristics that fit them to perform the necessary work. Third, they must actually expend the effort necessary to do the work. This last factor, effort, is dependent upon a management structure that leads to the expenditure of appropriate effort. Fourth, specific difficult goals accompanied by feedback leads to better performance than general admonitions to do one's best without specific feedback. In short, a management structure is needed to specify the actions to be taken, to ensure that program implementers have the capacity and resources to take those actions at appropriate times, to monitor performance in reference to specific behavioral goals, reward behavior when it is appropriate, and provide feedback on performance. The development, specification, measurement, and feedback of information about performance is a central feature of sound management in any part of the criminal justice system. A general principle in organizational behavior is that the organization gets what it measures (Bell, 1983; Fullan, Miles, & Taylor, 1980; Gottfredson, 1988).

Conrad's challenge to corrections may be regarded as an attempt to focus attention on

these performance standards. The challenge is appropriate. We cannot hope to reduce recidivism if programs are poorly implemented and do not even produce the intended short-term outputs. We cannot hope to obtain convictions if evidence is not obtained. We cannot administer justice according to a just deserts policy if prosecutorial, sentencing, and paroling standards are not adhered to. Attention to performance standards for any intervention and attention to the short-term outputs or objectives of any intervention are keys to improving the effectiveness of any program in any organization.

### **A Method for Measuring and Improving Performance**

The foregoing argument implies that improving performance in correctional programs requires a focus on standards for the implementation of program activities and on the measurement of those activities and the resulting short-term outputs. This section describes a method for accomplishing that focus through the collaboration of researchers and practitioners.

Gottfredson and his colleagues (Gottfredson, 1984; Gottfredson, Rickert, Advani, & Gottfredson, 1984) have proposed a method for improving organizational performance through researcher-practitioner collaboration called the Program Development Evaluation (PDE) method. This method includes a vocabulary for describing and specifying elements of programs leading to effectiveness. The development of this method had multiple origins, among which were (a) the review of rehabilitation research undertaken by the NRC/NAS Panel on research on rehabilitative techniques (Sechrest et al., 1979) and the subsequent report of that Panel which made suggestions for strengthening future research in the rehabilitation area (Martin, Sechrest, & Redner, 1981), (b) the literature on organizational behavior (Locke et al., 1981) which suggested methods to improve organizational performance by focusing on the development of standards for performance and the measurement and use of information about performance to improve performance, and (c) the

practical experience of researchers who have evaluated and attempted to improve the performance of a variety of organizations.

The PDE method entails the use of a special language (Gottfredson et al., 1984) that focuses systematic attention on the appropriateness of interventions for the problems at hand, the specification of performance indicators and their measurement, and the specification of short-term outputs and their measurement. Parts of the language and structure of the PDE method are briefly described in the following paragraphs.

**Objectives.** In contrast to the typical use of the term "objective," which usually indicates a more precise and measurable specification of some goal (outcome), in the PDE language an objective is a short-term output that the rationale for an intervention implies must be achieved if the program is to move towards its goals. For example, in the case of a vocational training program with the goal (intended outcome) of increasing employment, objectives would include measures such as vocational skills, work habits, the interpersonal competencies required to keep a job, and the skills and behaviors necessary to secure employment.

The objectives of different programs intended to achieve the same goal (say reduced recidivism) may often be different. For example, some counseling programs with rehabilitative goals may have objectives involving personal insight or the ability to restrain oneself against impulse. In contrast certain behavior analytic programs with the same goal may have objectives involving the identification and avoidance of situations leading to difficulties or the self-regulation of drinking behavior. Furthermore, vocational programs with rehabilitative goals may have different objectives--some involving work-related skills in specified vocational areas and others involving job-seeking or job-keeping competencies. In the development and evaluation of correctional programs, the identification and measurement of these objectives is important.

*Implementation standards.* If program implementers--the workers who are directly responsible for performance--are to know what to do, performance standards for their own behavior and for the intervention itself must be specified. An industrial example makes clear the distinction between implementation standards and objectives. The production of oil pipelines involves a number of welding operations. The objective (output) of this activity may be pipes with welds that are sufficiently strong that they not only prevent leakage but also withstand horizontal, vertical, and torque-induced stresses of specified magnitude. Knowledge of welding technology, metallurgy, and engineering may specify *how* the welds are to be made in order to achieve those objectives. These specifications are a part of what are called *implementation standards* in the PDE language. The welds involve the use of specified substances in the composition of the pipes to be joined by welding, welding material with a specific metallurgical composition, heating the material to thus-and-such a temperature, and the completeness of the welding operation. These implementation standards are important because the use of other technologies or the failure to adhere to these standards is not expected to achieve the objective or output required in the project. If welding is called for, brazing may not do the trick.

In correctional programs, implementation standards may specify the instructional techniques to be used in vocational training, the tools with which trainees must become proficient, the qualifications of the trainers, the duration of training, and the like. Furthermore, implementation standards may specify the levels of educational skills trainees must already possess, the vocational interests of the trainees, and the cognitive or motor skills a trainee must have to benefit from training.

In custodial programs, implementation standards may specify the specific security measures to be taken to ensure the safety of inmates and staff, the competencies required of custodial staff, the timing and nature of security checks, physical precautions to be

taken, and the like. In addition, implementation standards may specify the levels of risk that suit different inmates for different custody levels, the behaviors or records that indicate the appropriateness of various security levels, and the procedures to be used for custody classification.

In each of these examples, the implementation standards are conceptually and operationally distinct from the objectives they are intended to achieve, and both standards and objectives are distinct from the goals or outcomes they are intended ultimately to bring about. The conduct of a vocational training program according to its standards for implementation is intended to develop persons with specifiable skills (an objective) which is intended to produce employment (a goal). The implementation of a custodial program according to its standards for implementation is intended to minimize fights, escapes, and disorder (objectives) and ultimately to enable the conduct of other programs in an institution and to create an image among legislators, administrators, and the public that the institution is safe and well run (goals).

### *Implementation Standards and Objectives in the Management of Organizational Performance*

Other aspects of the PDE method use performance measures in improving the effectiveness of a program. Most importantly, measures of implementation standards and of objectives are used to provide feedback to workers and administrators about the strength and fidelity of the programs being implemented. This feedback is a management tool for administrators, and it is a key element of an incentive system to guide workers in implementing programs according to performance standards. Clear standards for performance make it easier for workers to know what they are supposed to accomplish, and feedback about performance is a well-demonstrated method of providing incentives for workers to perform according to standards.

The PDE method is designed to enhance the clarity and appropriateness of implementation standards and objectives through clear thinking about the nature of the most appropriate interventions and through the involvement of key persons in the organization in their development. Specifically, the method involves the participation of persons most intimately involved in the components of a program in identifying problems and developing solutions to them, and it incorporates a number of tools used in organization development to promote that participation and enhance its relevance and usefulness. Research on participative goal setting (reviewed by Locke et al., 1981) does not provide much support for the idea that participation leads to improved performance. Locke et al. speculate that whatever effect participatory goal setting has on performance may be the result of setting higher goals or greater goal acceptance and commitment. The primary reason for using participation in the PDE method, in contrast, is to be sure that the goals set are perceived as feasible and to use the knowledge workers and their direct supervisors possess about organizational obstacles to meeting standards. The method aims to identify as many obstacles as possible to enable the development and execution of plans to remove them. Put another way, participation is used to get as many good ideas as possible from workers about ways to improve their performance (compare Bragg & Andrews, 1973; Ouchi, 1981).

## The Present Research

### *Background*

The present research involves the application and study of the PDE method for enhancing performance in a correctional setting. Specifically, practitioners worked with the investigator using the PDE method to specify, measure, and provide feedback about implementation standards in a complex multifaceted rehabilitation program in two North Carolina penal institutions for convicted youthful offenders. The following subsections describe (a) the program and institutions involved, (b) the the experimental context within

which the research is embedded, (c) the specific aims of the research, and (d) the methods used to develop and measure performance.

### *The Program*

In February 1983 the North Carolina Employment and Training Council created a Correctional Programs Committee, chaired by the Director of Prisons in the North Carolina Department of Correction, with high-level representatives from the Employment Security Commission, the Division of Adult Probation and Parole, the Parole Commission, a state Technical College, a Community College, the Division of Vocational Rehabilitation of the Department of Human Resources, the Department of Natural Resources and Community Development, and the University of North Carolina. The members of this Committee, as representatives of their respective agencies, agreed to implement and evaluate improvements at the Sandhills Youth Complex involving the cooperation of several agencies in the state aimed at enhancing a system of rehabilitative, vocational, educational, and custodial services. The Sandhills Complex was composed of two two distinct units--Cameron Morrison Youth Center and Sandhills Youth Center, which are located about 30 miles apart, each with a Superintendent who reported to a Complex Administrator. The goal of this effort was to experimentally demonstrate the efficacy of a carefully designed and implemented system of services in reducing recidivism. The program was to build on and strengthen existing services at the Sandhills Complex, and it was to do this by drawing primarily on existing resources in state agencies and in the Sandhills Complex.

The program was called the Vocational Delivery System (VDS), but this name characterizes only a portion of the complex system involved. The program involved most aspects of the operations of the two institutions, the coordination and interface of activities between institutions and among programs within them, and the interface of programmatic activities between the institutions and with state employment and parole agencies. The

program was intended to be comprehensive: it aimed to provide an integrated sequence of activities performed by diverse entities in and out of the prison system.

A diagnostic unit (called Vocational Evaluation) was involved in determining the nature of services most appropriate for participating individuals. This diagnostic unit was required to work cooperatively with custodial and training functions in the institutions. And both diagnostic and custodial units had to work cooperatively with educational, training, and service-delivery units to enable the orderly provision of services. Because two institutions with differing custody levels had to cooperate in the maintenance of meaningful and appropriate services to individuals who graduated to lower custody levels during their periods of incarceration, these institutions required means of coordinating this transition and the orderly and appropriate provision of vocational and educational services. Because an important part of the program involved securing appropriate employment for program participants who left the institution, all units had to work collaboratively with placement counselors (called Development Specialists) who were responsible for assisting inmates secure employment in the community.

These employment counselors, in turn, had to work collaboratively with representatives of the Employment and Security Commission (ESC) and the Division of Vocational Rehabilitation who provided follow-up in the community and assisted in locating suitable job placements. The ESC personnel had to collaborate not only with institutional placement counselors and the releasee, but they also had to cooperate with and respect the functions of the Division of Probation and Parole which is charged with the responsibility of supervising the released men in the community.

For such a program to work, all these functional entities must integrate their activities, and a key set of performance issues therefore involved the standards for this integration. Thus, nearly all functional units within the two institutions would not only have to be

involved in activities to meet specified implementation standards and objectives for themselves, but they would also have to develop and monitor performance standards for the ways they interface with each other and with three outside agencies collaborating in the program.

*The implementing organizations.* The central implementing organization was to be the Sandhills Youth Complex, composed of the Sandhills Youth Center (SYC) and Cameron Morrison Youth Center (CMYC), facilities for convicted youthful offenders (aged 18-21). These components of the State Division of Prisons subsumed graded medium and minimum custody levels. A VDS Coordinator, who reported to the Complex Administrator in a staff capacity, had responsibility for facilitating the operation of the program.

The charts presented in Figures 1 to 3 depict the organization and its component facilities as the research project began. (The women's component located at CMYC was never fully integrated into the VDS Program and the women were removed from CMYC at about the time the research project began.) These organization charts show how custody and maintenance functions reported to superintendents, but the details of the hierarchy of these organizational units are omitted to make the charts of reasonable size while presenting the most pertinent details.

Because the VDS program cut across CMYC and SYC and required the integration of activities directed to carrying out the program, a management committee, called the VDS Operations Committee, was created on the advice of the investigator. Initial exploration implied that many problems of communication and project implementation stemmed from the tall organizational structure in two highly formal ("follow the chain of command") organizations with no apparent channels for upward communication and with a VDS Coordinator in a staff role (i.e., no line authority over anyone). The Operations Committee

involved the heads of CMYC and SYC, met regularly to solve problems, was staffed by the VDS Coordinator, and drew other personnel (especially Education Directors) into meetings as needed. The Operations Committee was intended to solve some communication problems between the two facilities and among the separate functional units within institutions and to produce concrete joint decisions that the two Superintendents--who had line authority over everyone in their respective institutions--could implement in their respective facilities. The Operations Committee would help keep channels of communication open and focus necessary activities in the institutions on the common goals of the project.

Inmates typically arrived at CMYC after intake at the Polk Youth Center or the Harnet Youth Center. Approximately 375 inmates could be housed at CMYC and 200 at SYC.<sup>2</sup> Inmates were expected to progress through graded custody levels with associated residential locations. This includes three grades of medium security and one grade of minimum security at CMYC. Inmates from CMYC were usually transferred to SYC prior to release.

According to plan, the typical progression was as follows: (a) About 7 to 10 inmates per week enter the CMYC Medium Security Level III dorm each week, with a typical stay of 3 to 5 weeks. (b) The young men then typically spend around 20 weeks in a Medium Security Level II dorm. (c) They spend about 8 weeks in a Medium Security Level I dorm. (d) Young men are promoted to Minimum Security at CMYC and spend about 8 weeks at that level before about 7-10 men per week are promoted to SYC. (e) The typical stay at SYC is about 24 weeks. At CMYC by-passes (i.e., persons going directly into Minimum Security or entering the Minimum Security dorm early) number about 2 to 3 per week--about equalling the number of direct releases, transfers to facilities other than SYC and

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<sup>2</sup> At the very beginning of the research project, CMYC had a capacity of about 255 males and 125 females. All females were transferred to another facility shortly thereafter.

Figure 1

Organization of the Sandhills Youth Complex at the Beginning of the Project

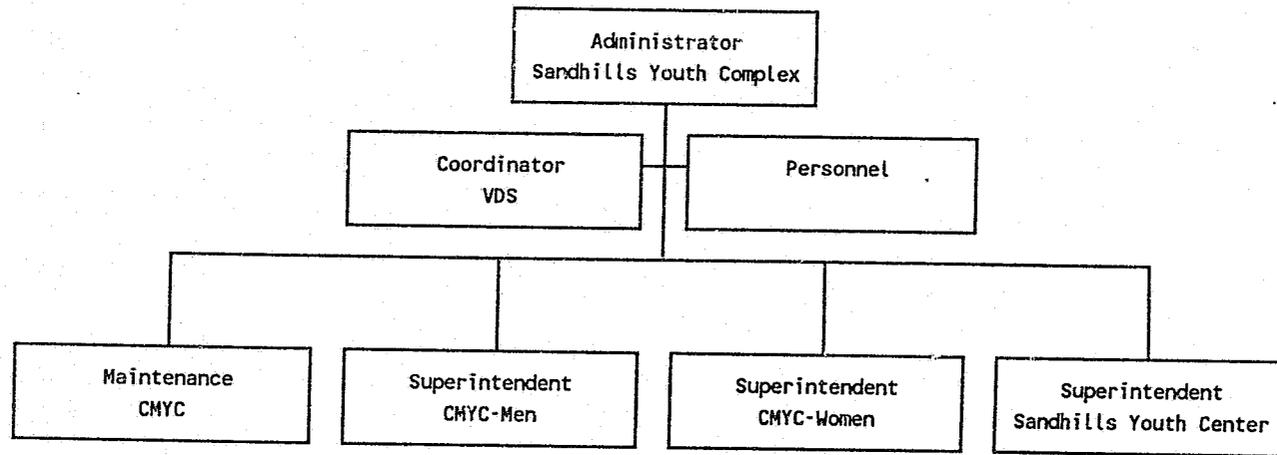
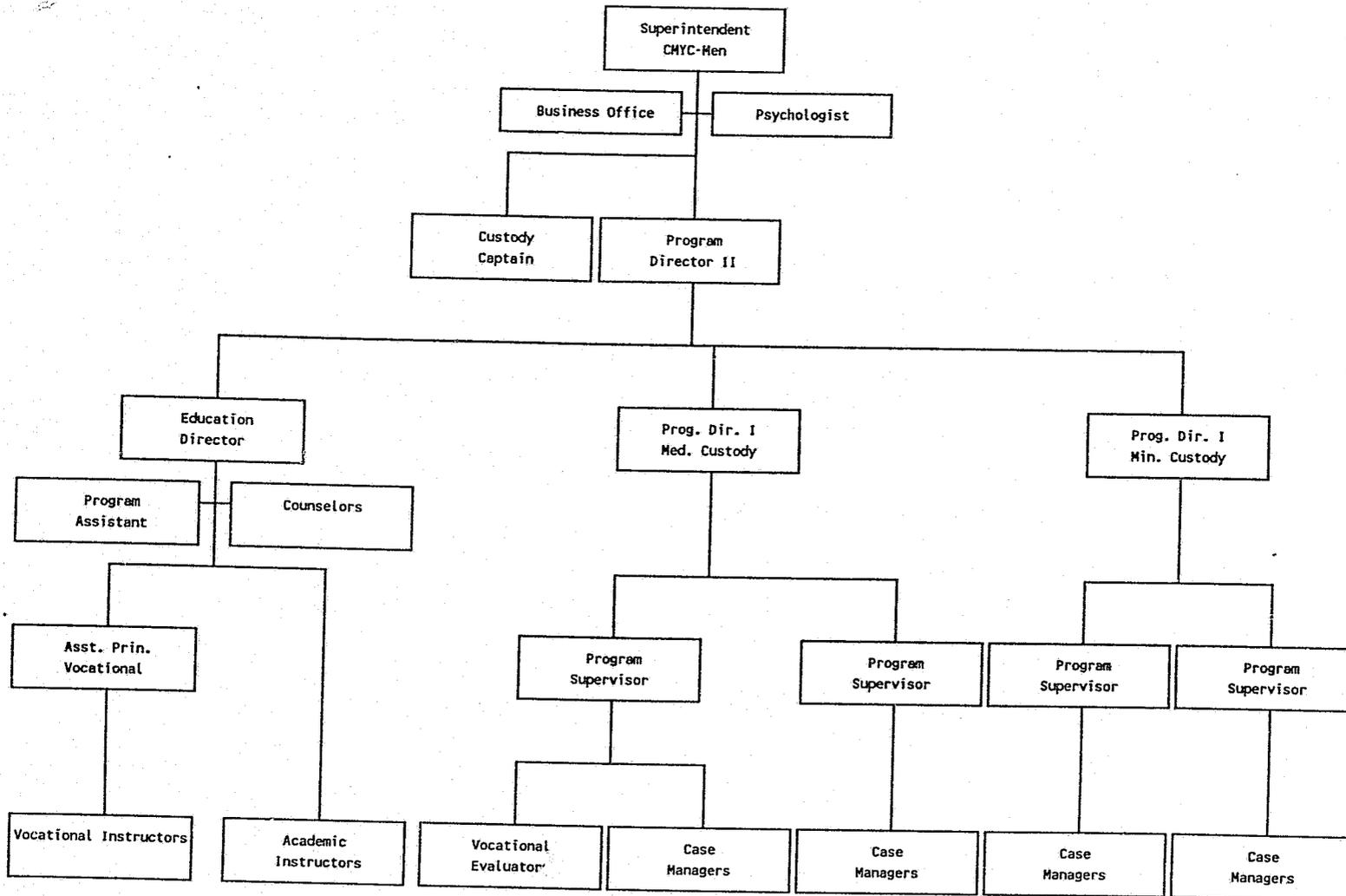
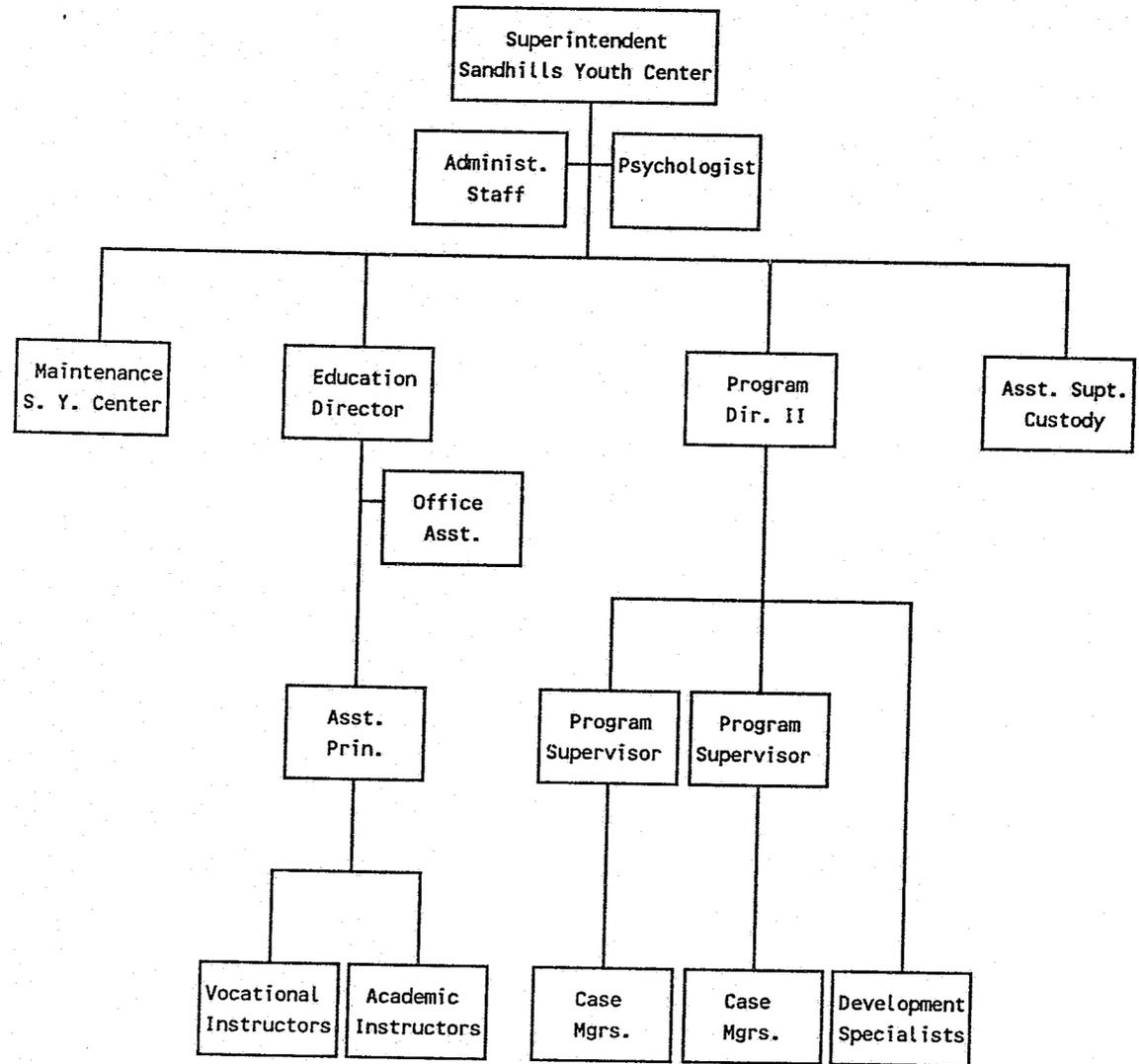


Figure 2  
 Organization of CMYC at the Beginning of the Project



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Figure 3  
 Organization of SYC at the Beginning of the Project



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demotions--so that the 7 to 10 inmates typically promoted to SYC each week about equals the number of young men arriving at CMYC each week.

This expected inmate flow would provide enough time for young men to make orderly progression through an educational or vocational training program of sufficient duration to have beneficial effects. Realizing this expectation requires that (a) the population flow is uniform, without periodic surges in population; (b) inmates neither have much longer nor much shorter periods of incarceration than anticipated; (c) institutional order and inmate conduct are such that inmates can progress through custody levels and educational and training programs in an orderly fashion; (d) inmates are scheduled into educational, training, and other programs suited to their current levels of achievement in an orderly fashion; and (e) the educational, training, and other programs are of sufficient quality that benefits can be expected.

### *The Experimental Context for the Program*

The North Carolina Department of Correction, in collaboration with the Correctional Programs Committee of the North Carolina Employment and Training Council, designated the VDS project an experiment in early 1983. The commitment of the relevant State agencies and administrators arose from their concern with the necessity of demonstrating in a convincing way the effectiveness of a vocationally oriented rehabilitation program. The Employment and Training Council assisted the Department of Correction in laying the groundwork for a carefully planned experiment.

*The theoretical rationale.* Sandhills administrators and the Correctional Programs Committee worked with Ann Witte, then Professor of Economics at the University of North Carolina, to develop an experimental test of a correctional program based largely on an economic perspective on crime. Building on previous work by Cook (1975), Witte

and Reid (1980), and Sviridoff and Thompson (1979), the program's planners assumed that a substantial proportion of property offenders are committed to crime as a major means of support, and that other property offenders alternate between crime and employment depending on employment opportunities. It is to property offenders of this kind that the program was directed. For these and other reasons spelled out in a report of the NRC/NAS Panel on Research on Rehabilitative Techniques (Martin, Sechrest, & Redner, 1981), the program appears to have a plausible theoretical rationale: It sought to enhance the ability of inmates to secure and keep high quality jobs upon release to the community through increased job-related skills, assistance in locating good jobs, and support in keeping those jobs in the community.

*The experimental design.* Inmates received at Cameron Morrison were screened for eligibility for the program. Those passing the screening criteria were randomly assigned to receive priority services through the VDS or to receive the customary and ordinary experiences available at the complex. This enabled a comparison of the outcomes of the interventions involved in the VDS program. With the support of a grant from the National Institute of Justice, Ann Witte has been conducting an evaluation of the program focusing on employment and recidivism.

### *The Research Aims*

The present research is intended to answer several questions: (a) What kinds of performance measures can be developed for correctional work that is usually unstructured and undefined, such as case management? (b) What obstacles are encountered in defining standards for performance in areas previously characterized by ambiguity, and what steps are necessary to overcome them? (c) Does the application of implementation standards result in demonstrable gains in performance over time as indicated by the achievement of implementation standards? (d) Can the implementation standards developed through this

project be used to demonstrate differences in the quantity and quality of services delivered to the experimental and control group participants?

The present research focuses on the measurement of performance standards and short-term objectives of the VDS program. In other words, it is distinct from but complements the outcome evaluation; it focuses on performance indicators rather than on the long-term social outcomes. The PDE method was used as a management strategy to specify, measure, and provide information about performance. Performance in interventions administered to VDS priority inmates and other inmates is compared. Furthermore, because the PDE method assumes that implementation and the achievement of short-term outputs will improve over time through the application of this method, it examines the extent to which implementation standards were met over time.

### *The Development of Performance Measures*

The Program Development Evaluation method provides a structure and method for developing performance measures--implementation standards and objectives--but it does not specify the measures themselves. Those measures are developed through the application of the method. This report focuses on the development and application of implementation standards for a single aspect of the program--the case management function.<sup>3</sup>

*The mechanism to develop performance measures.* The development of standards for case management was viewed as a job design rather than a job analysis activity. Work groups of Case Managers, Program Supervisors (the direct supervisors of the Case Managers), Program Directors, and the heads of the two institutions collaborated with the investigator to develop implementation standards for case management. The work groups were composed of key personnel whose work directly involved case management.

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<sup>3</sup> Implementation standards for the evaluation and job development functions were also developed. See Appendix III.

These groups worked to develop performance measures--implementation standards and objectives--for their own work and for coordination with other entities.

As a first step, the groups discussed and wrote a description of the goals of the VDS program and the relation of case management objectives to those goals. Second, the groups were asked to specify how Case Manager behavior would *ideally* be structured to achieve those objectives. Objections that ideal behavior is impossible to display were noted but discussion of them was postponed until the next step. Third, after consensus on desired Case Manager performance was achieved in principle, an attempt was made to delineate all important obstacles to performance. Suggested solutions were noted, but discussion of them was deferred until no further obstacles could be listed. Fourth, the list of obstacles was consolidated into six basic categories and discussion focused on how they could be overcome. This discussion continued until concrete plans to create arrangements conducive to desired performance were developed--plans which all group members believed would be sufficient if implemented. It became the responsibility of the Operations Committee to see that these plans were executed. Fifth, the implementation standards were translated into specific and quantifiable wording. Sixth, four Case Managers volunteered to test the written standards to determine if they were unambiguous and if their accomplishment was feasible. This trial resulted in revisions of the written standards to produce the version examined here (Vocational Delivery System Project, 1985; Appendix II).

### *Collecting Performance Measures*

A computerized information system designed to keep track of residents' correctional plans generated several reports useful in monitoring Case Managers' performance. Among these was a report showing the current status of each inmate's correctional plan--when activities were planned to begin, information about completion of and performance in the

activities, and so forth. A form to be used by Case Manager's supervisors in monitoring the extent to which implementation standards are met was created, tested, and revised. The form ultimately developed is included in the manual for case management (Vocational Delivery System Project, 1985). A preliminary version of the form was used for two months (January and February, 1985) during which time supervisors drew a convenient sample of about two cases per Case Manager to monitor each week. Beginning in March a more structured form was used, and supervisors drew two cases per week from each case load using a table of random numbers.

### The Standards

The following sections describe the results of the development, application, and monitoring of the implementation standards for case management.

Standards were developed in nine areas:

1. Monthly activities to promote adherence to residents' correctional plans. The correctional plan is a document describing a resident's vocational goals and an orderly sequence of education, training, and remediation within the institutions directed at achieving those goals. Six specific Case Manager behaviors fell in this area. For example, the standards called for a monthly face-to-face interaction with residents to (a) review the correctional plan and reiterate future vocational expectations, (b) relate resident performance to exit from the institution, (c) reinforce the resident for his accomplishments, and (d) talk with the resident about his concerns. The behavioral goal was to have such an interaction with 95% of the residents in the Case Manager's case load each month. Other behaviors included visiting residents in vocationally related activities and detecting and acting on discrepancies between planned and actual activities.
2. Activities in response to residents' requests for changes in their correctional plans. Case Managers were to assist residents in completing a worksheet to justify the change, expedite changes that are justified, and counsel residents when the request is not well justified.
3. Activities in response to disciplinary infractions that impinge on the orderly execution of a correctional plan. Sanctions imposed in disciplinary proceedings sometimes affected residents' custody classifications making participation in activities requiring minimum custody classification impossible. In such cases, rearrangements in schedules were required.
4. Activities related to other changes in correctional plans. Events such as changes in

anticipated release date or the availability of vocational rehabilitation resources sometimes required adjustments to a correctional plan, and standards called for discussing adjustments with the resident and making adjustments in a timely fashion.

5. Procedures for making changes in correctional plans. A list of 23 specific standards described procedures for modifying a resident's correctional plan. For example, when a change involved a vocational class for an inmate in the experimental group the standards called for (a) consultation with a Vocational Evaluator (whose assessment and counseling activities helped create the initial correctional plan) or a Development Specialist (who is charged with helping the resident secure suitable employment after release), the Principal, the Teacher, and the resident to obtain consensus that the class change is desirable; (b) consultation with an Employment Security Commission field worker to determine that the new training will be in an area of employment available in the community to which the resident will be released, and (c) submission of a change justification to the Institutional Classification Committee for approval.
6. Activities to prepare for residents' release. This includes development and documentation of a home plan, acquisition of a Social Security Number, and development of job or school plans.
7. Activities to provide for orderly transitions between the two institutions.
8. Activities to provide continuing training in the area of the residents' vocational plans when initial formal training is completed.
9. Documentation of activities applicable to the foregoing standards to provide a record needed by subsequent Case Managers and Development Specialists, and to enable monitoring of the extent to which the standards have been met.

The standards, which included quantitative goals for each Case Manager behavior, are spelled out in a manual (Vocational Delivery System Program, 1985) that also provided a rationale for each behavior in the context of the objectives of Case Management and contains forms used in Case Management.

### ***Obstacles Encountered in Defining and Applying Implementation Standards***

The task of developing implementation standards for case management was initially met with considerable skepticism by the Case Managers. It proved useful to draw a diagram (based on the Porter and Lawler, 1968, theory) showing that several distinct condi-

tions are necessary to perform case management well--clear specifications of the expected behavior is only one of those conditions. The other conditions are the requisite resources and arrangements, skills, and feedback for performance. We assumed that skills (if not already possessed) would be acquired through practice in implementation of the new standards and regular feedback about that performance, and that monitoring and feedback about performance would provide rewards when the implementation standards were put in place, but that it would be necessary to carefully consider what arrangements would be necessary to make the application of new implementation standards successful.

An analysis of obstacles to the adoption of the implementation standards implied six categories of organizational arrangements that required attention.

1. Communication

This category includes problems of miscommunication and lack of communication, perceptions of incomplete consultation, and concerns about maintaining dignity in communication.

2. Administrative Ambiguity versus Guidelines for Behavior

This category includes problems of ambiguity about appropriate Case Manager role behavior, role conflict (different actors having divergent expectations or demands for Case Manager behavior), and a lack of clear guidelines for behavior.

3. Intergroup Relations

This Category includes obstacles arising from a lack of trust and disparaging generalizations across administrative levels, between institutions, and between Case Managers and other staff of the institutions.

4. Quantitative Overload and Allocation of Time

This category includes obstacles due to excess work load and associated with inefficiencies in time use.

5. Ambiguity about Lines of Authority

This category includes limited concerns relating to day-to-day lines of authority in the Unit Team (program and custody personnel responsible for a housing unit) at CMYC.

6. Institutional Responsiveness

This category includes concerns about the responsiveness of the institutions in creating arrangements to support innovation in the Case Manager role.

The most important obstacle to adoption of the new procedures related to communication within the facilities--especially within the larger of the two facilities where communication lines were longer and where there was more specialization of function and wider dispersion of personnel among distinct units. Steps to promote the fidelity of communication and to promote more two-way communication were planned. These included creating the expectation that weekly staff meetings would be conducted to discuss questions about performance standards and obstacles to meeting them which would then be forwarded to the Operations Committee (rather than going unraised or resolved incorrectly). In addition, the multi-step channels of communication were to be collapsed periodically by holding meetings involving workers at all levels to discuss tryouts of the new standards, the development of monitoring procedures, and problems encountered in putting the new system in place.

### *Phases in the Application of Standards*

The implementation standards became the formal description of expectations for Case Manager behavior in late 1984. At that point managers were expected to implement these standards in intent and in detail. No formal monitoring or feedback occurred at this time, however. Subsequent monitoring shows that the standards were not being consistently met, despite limited discussion by anyone of difficulty in meeting them. It was anticipated that a result of regular monitoring would be to increase the extent to which standards were met or to identify obstacles to meeting them which could then be addressed directly.

A trial monitoring procedure was put in place for a six week period (called Period 0). Experience during this trial period led to revisions in the form used to monitor the stan-

dards and to improved instructions for the Program Supervisors in conducting the monitoring activities. Therefore, the interpretation of the early results of this monitoring is complicated by the change in the form used to conduct monitoring and in sampling procedures put in place at the beginning of the third period. Because early experience implied that more specificity was required, the form finally adopted is more specific and less forgiving than the form initially used. During weeks one through six Supervisors had instructions to sample five percent of each Case Manager's case load each month. Nonrandom sampling in Period 0 may bias the results in unknown ways.

The revised forms were put in place by the beginning of Period one, and new instructions were provided that called for selecting two cases from each case load using a table of random numbers. This form was used in weekly monitoring for six months; during the final four months of this phase there was greater uniformity in the number of cases sampled by the Supervisors for each Case Manager, with the intended sampling rate being consistently applied by all but one Supervisor. This consistency may be the result of clearer instructions. Results are tallied for this phase in 28-day periods (Periods 1 through 6), except that some monitoring forms that straggled in during Period 7 are included with Period 6).

Monitoring was allowed to lapse for a seven-period interval while we developed an on-site computerized system to keep track of Correctional Plans, to facilitate the scheduling of residents into planned activities, and to document the record of each resident's activities. This development enhanced and made more convenient an information system previously implemented at a local community college. During this interval, Program Supervisors conducted their supervisory activities without benefit of the structure provided by the monitoring forms and without specific expectations for patterns and timing of supervision. This hiatus provides an opportunity to learn whether improvements in performance

developed by prior observation and feedback persist when formal monitoring structures are withdrawn. Monitoring was implemented again for a four month interval (Periods 14 to 17) to determine whether performance improvements persisted and to assess the effects of renewed structured observation and feedback on performance by supervisors.

### *Unplanned Administrative and External Influences*

Administrative decisions made by the Department of Correction had important influences on the development of this project. While implementation standards were being formulated, the Department transferred the Superintendent of CMYC elsewhere. The complex was split into two separate administrative units with each reporting to the Manager of the Department's Youth Command. The CMYC Superintendent was not replaced, and the Administrator served in the Superintendent's role. Also at this time, the Department ruled that the VDS Coordinator position was not an approved position and ordered that the Coordinator be assigned the role of Assistant Principal for the vocational activities of the school in CMYC. The modified organizational structure that resulted is shown in Figures 4 through 6.

The modified structure made a coordinated Vocational Delivery System much more difficult in several ways. First, the new structure had the CMYC Administrator (acting as a Superintendent) and the SYC Superintendent reporting to a vacant position for Youth Command Manager so that no one had direct administrative authority over the cooperative activities of the two institutions. Second, the removal of the VDS Coordinator's role left no one with responsibility for oversight and action on the program as a whole. The Department of Correction actively discouraged activity of the former VDS Coordinator related to the VDS program (despite its obvious relevance to the operation of the vocational school). Program Directors were assigned to cover most of the responsibilities of the VDS Coordinator, but this exacerbated the obvious problem of coordinating activities.

Figure 4

The Modified Structure of the Complex

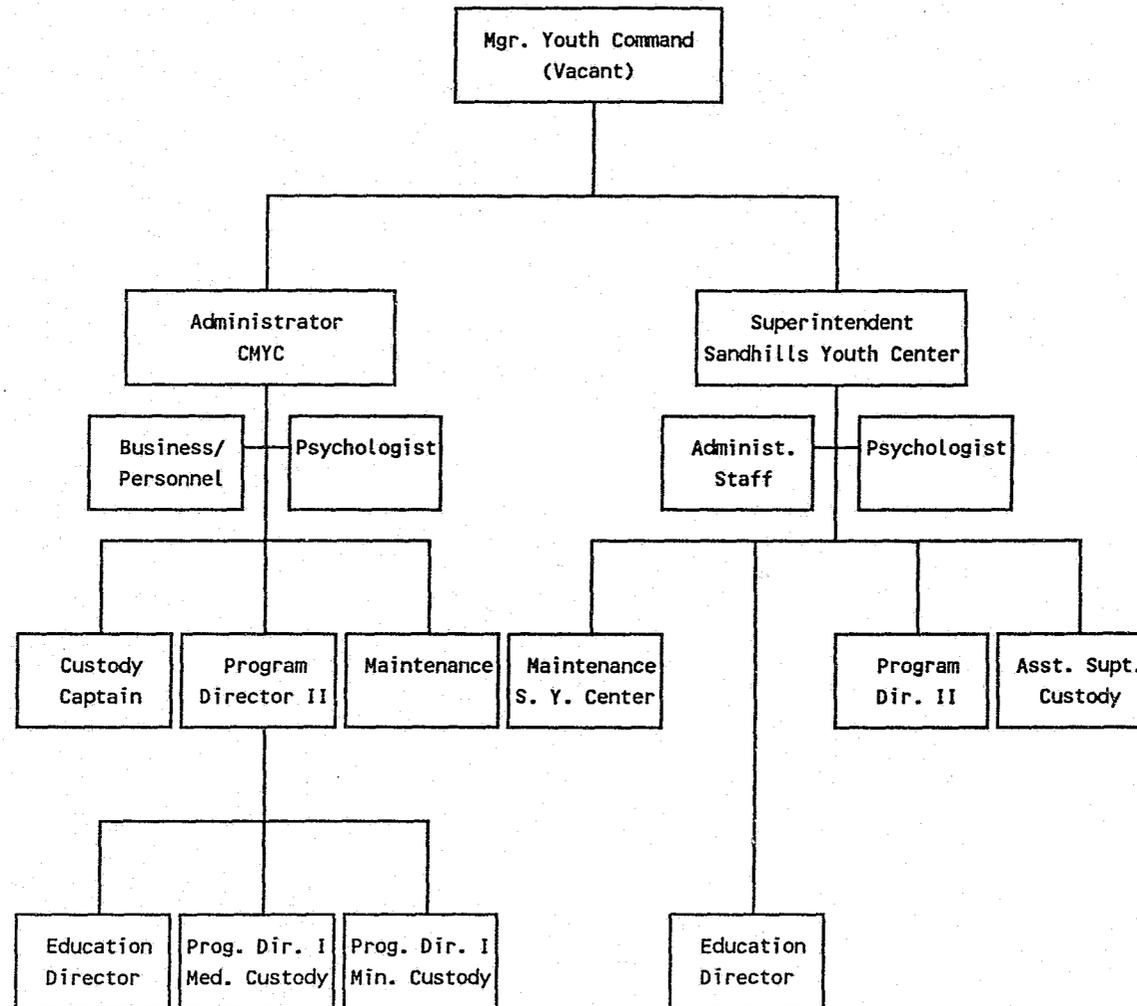
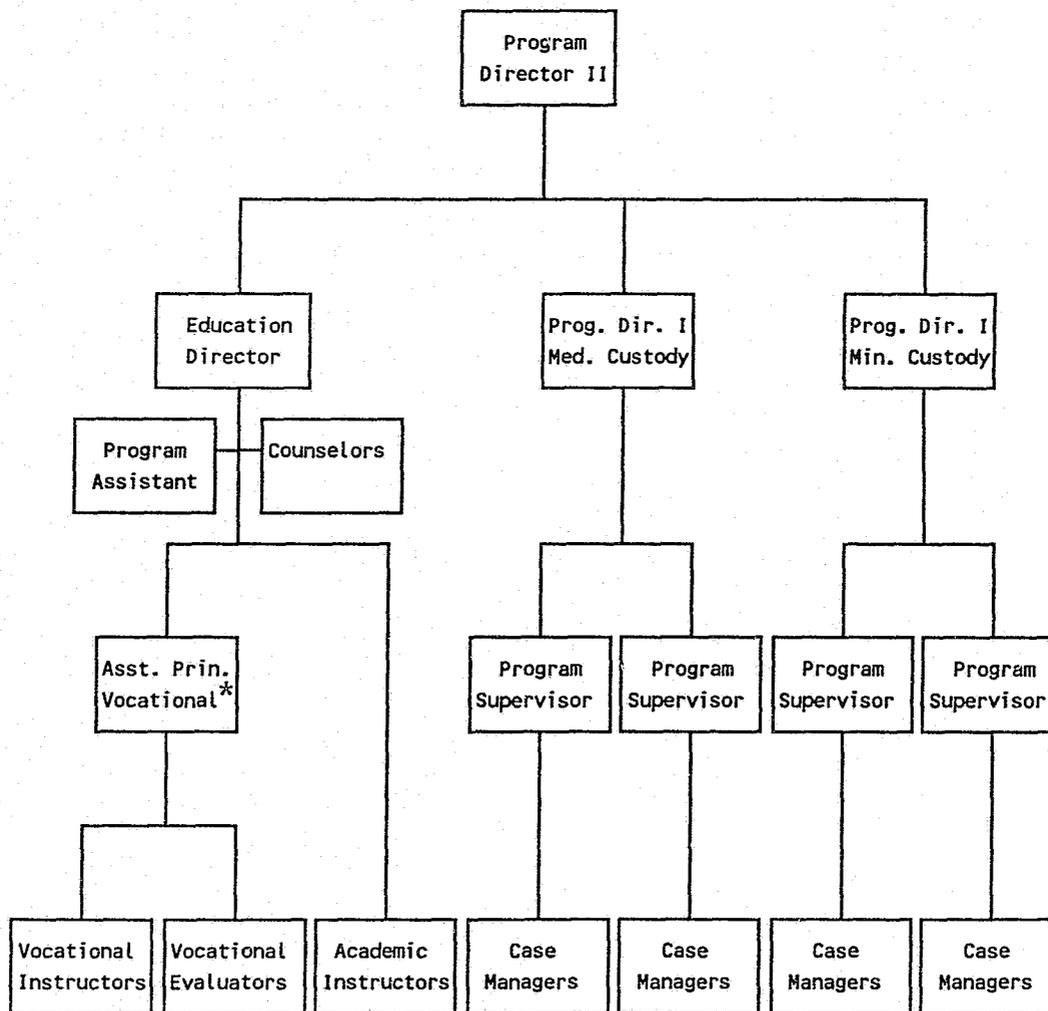


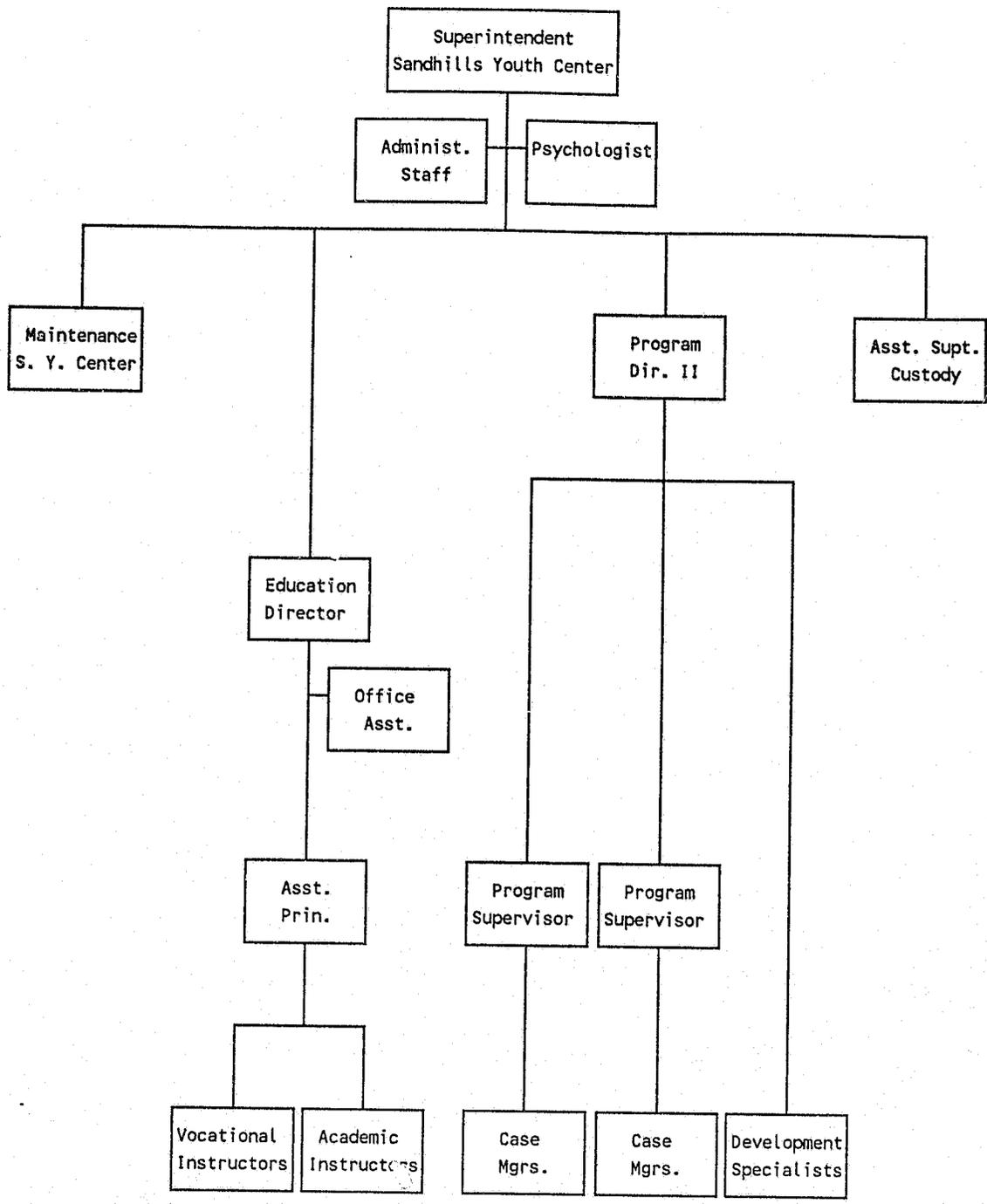
Figure 5  
The Modified Structure of CMYC



\*The former Assistant Principal was replaced by the former VDS Coordinator.

Figure 6

SYC After Complex Reorganization



At the end of the twelfth 28-day period, the Department announced that the CMYC Administrator would be transferred to a smaller, more remote, facility. No immediate replacement was named. The CMYC Program Director II served as Acting Superintendent for several months and was eventually named Superintendent. The Acting Superintendent during periods 13 through 17 had earlier participated in planning activities related to the VDS program only when the former Administrator had insisted, and set to work devising a different system. Despite Department of Correction assurances that the VDS program and the associated experiment would continue for an additional 12 months (but then end), the announcement that it *would* end combined with the Acting Superintendent's lack of commitment to the program, signaled that the VDS Program was no longer a priority at CMYC.

### ***The Application of Standards and Performance***

Four standards applied to all cases: a standard calling for identification of and rapid action on discrepancies between planned and actual activities, a standard calling for a face-to-face interaction with residents each month, a standard calling for documentation of the content of interactions with residents in an "action file," and a standard requiring that each resident's Social Security Number be on file or an application made within two weeks of the resident's arrival.

***Keeping residents engaged in planned activities.*** The first performance standard was the most important, because it directly related to the extent to which the residents' intended correctional programs were being applied. This performance standard pertained to the extent to which Case Managers succeed in keeping the residents for whom they had responsibility engaged in activities called for in the inmate's correctional plans. For example, if a plan calls for a resident to be enrolled in a mechanical maintenance class after demonstrating that he can read at the fifth-grade level, then the resident should be enrolled

in that activity once he reads at the fifth-grade level. Or, if a correctional plan calls for a custody review on the first of August, then the review should occur at that time.

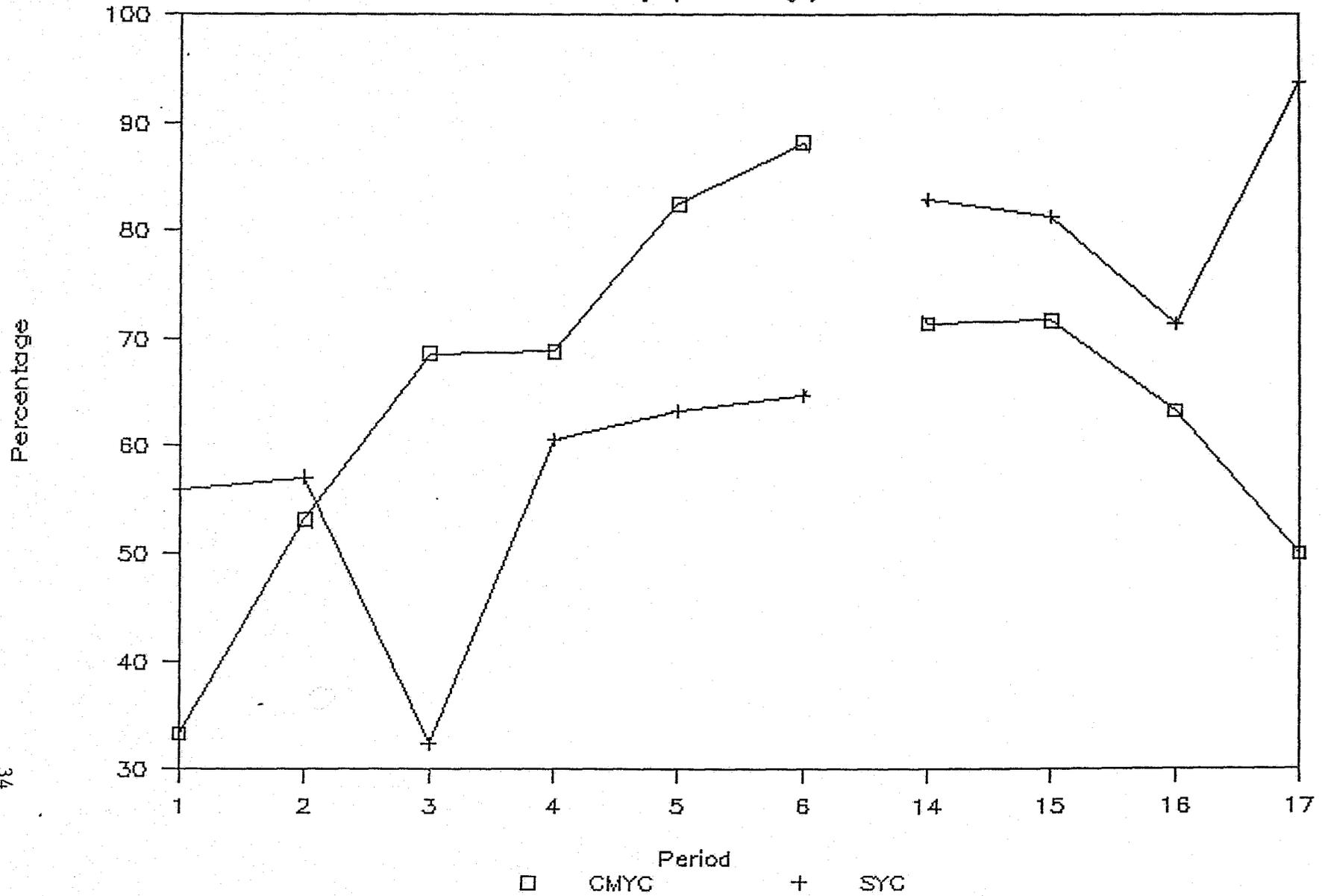
Case Manager performance in achieving this first implementation standard is charted in Figure 7. Except for Period 17, each point plotted in this figure represents 17 to 51 observations. Observations trailed off during Period 17; there were 6 at CMYC and 16 at SYC in this last period. Figure 7 shows improvement in the extent to which this standard was met by CMYC Case Managers over the first six periods. Performance increased from 33% of the cases monitored meeting the standard to 88% of the cases meeting the standard at CMYC. Performance at the smaller facility (SYC) improved slightly (from 56% of cases meeting the standard to 65% meeting the standard) but it did not show the dramatic, regular improvement observed at CMYC.

This standard was not monitored for several months, and then monitoring resumed in period 14. Again the performance data are different for the two facilities. CMYC Case Managers performance had eroded during the hiatus in monitoring (down to 71% of cases meeting the standard from their previous high of 88%), and performance continued to erode through period 17. In contrast, SYC Case Manager's performance had improved during the hiatus (up to 83% of cases meeting the standard over their previous high of 65%). The SYC Case Manager's performance remained relatively high throughout the third phase.

*Personal monthly interaction with inmates.* A second performance standard called for Case Managers to have a personal face-to-face interaction with each resident in their case load each month to reinforce the resident for following the correctional plan, to call the resident's attention to the link between his accomplishments and his ultimate success in implementing the entire plan, and to provide timely and appropriate feedback to the resident about his performance in ways expected to enhance the resident's understanding of

Figure 7

# Residents Participating in Planned Activity (Percentage)



the way his behavior influences his current and future circumstances. Monitoring showed that Case Managers documented these interactions in a high percentage of cases, beginning the study period at 90% and rising to 100% attainment (see Figure 8). Separate scrutiny shows the greatest increase in percentage attainment for SYC, which started at a lower level and achieved high percentages more consistently in the later periods.<sup>4</sup>

*Documentation of activities.* The data underlying Figure 8 came from a computerized Case Manager Tracking Sheet which was updated weekly by each Case Manager. In a sense these data are based on the self-reports of the Case Managers for the sample of cases Supervisors examined each week. Basically, the Case Manager attested that the personal interaction occurred when the supervisor examined the record and a "yes" means that the supervisor believed the interaction actually took place. Data of this kind can not necessarily be taken at face value. Performance standards required Case Managers to document interactions pertaining to the standards in their case files (called Action Files). The percentage of personal contacts recorded on the tracking sheet that were documented in action logs differed markedly among Case Managers. These individual differences are highly significant and large in size, ranging from 24% to 100% documented.

*Social Security Numbers.* If residents are to be employed in the legitimate economy after release, they will need a Social Security Number. Figure 9 shows that after the initial gain in the percentage of residents at CMYC with SSNs made during the initial piloting of the new performance standards, there was little change in performance level at either facility during the first six periods of monitoring. During the hiatus in monitoring, performance fell at CMYC but not at SYC, and performance improved at CMYC as long as monitoring continued. The data are consistent with an interpretation that Case Manag-

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<sup>4</sup> Although both facilities attained 100% in the final monitoring period, the number of cases monitored at CMYC was very small in this final period. In contrast to the SYC data, the CMYC data do not show a pattern of improvement over time.

Figure 8

# Monthly Face-to-Face Contact

Case Manager and Resident

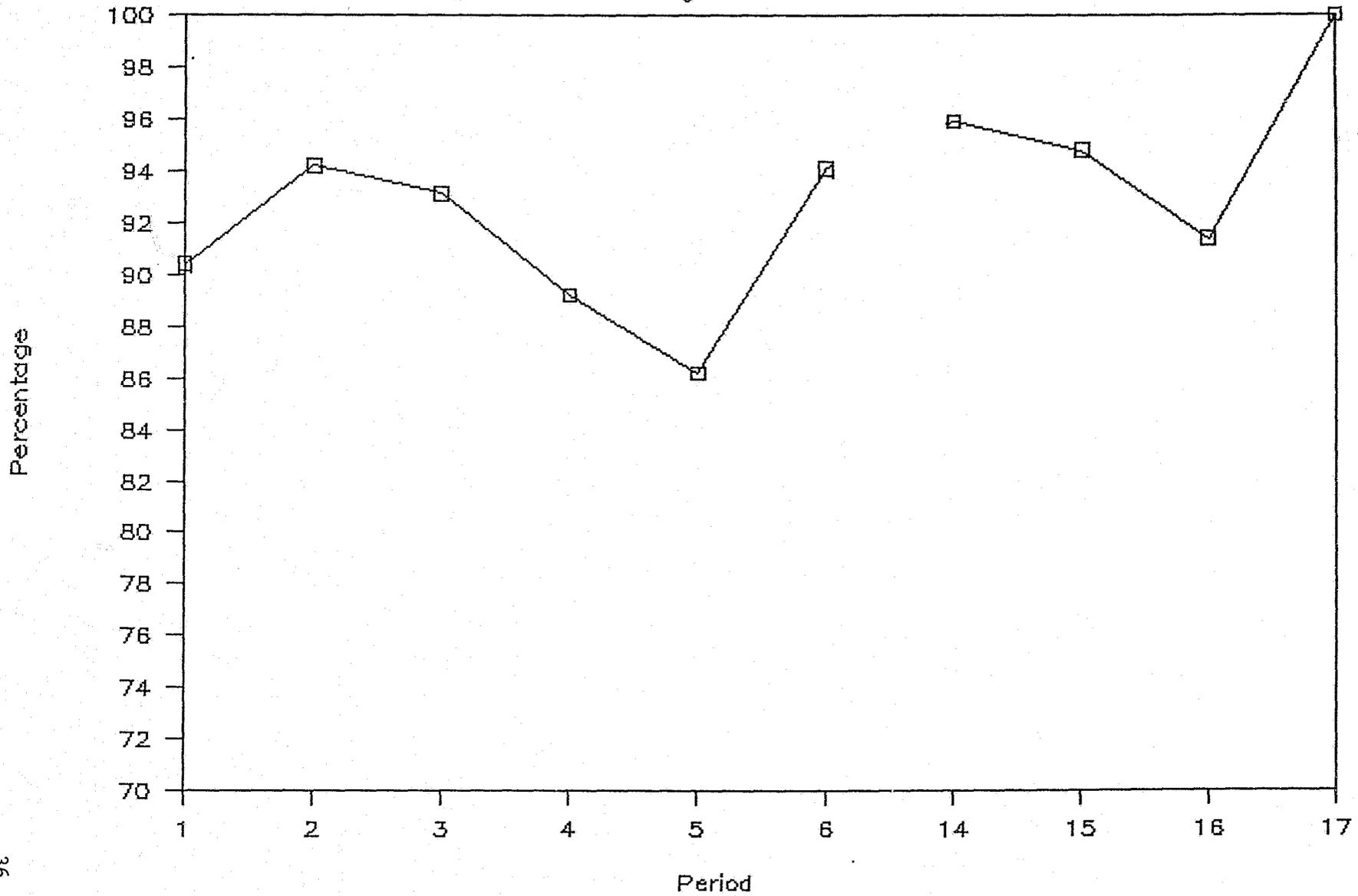
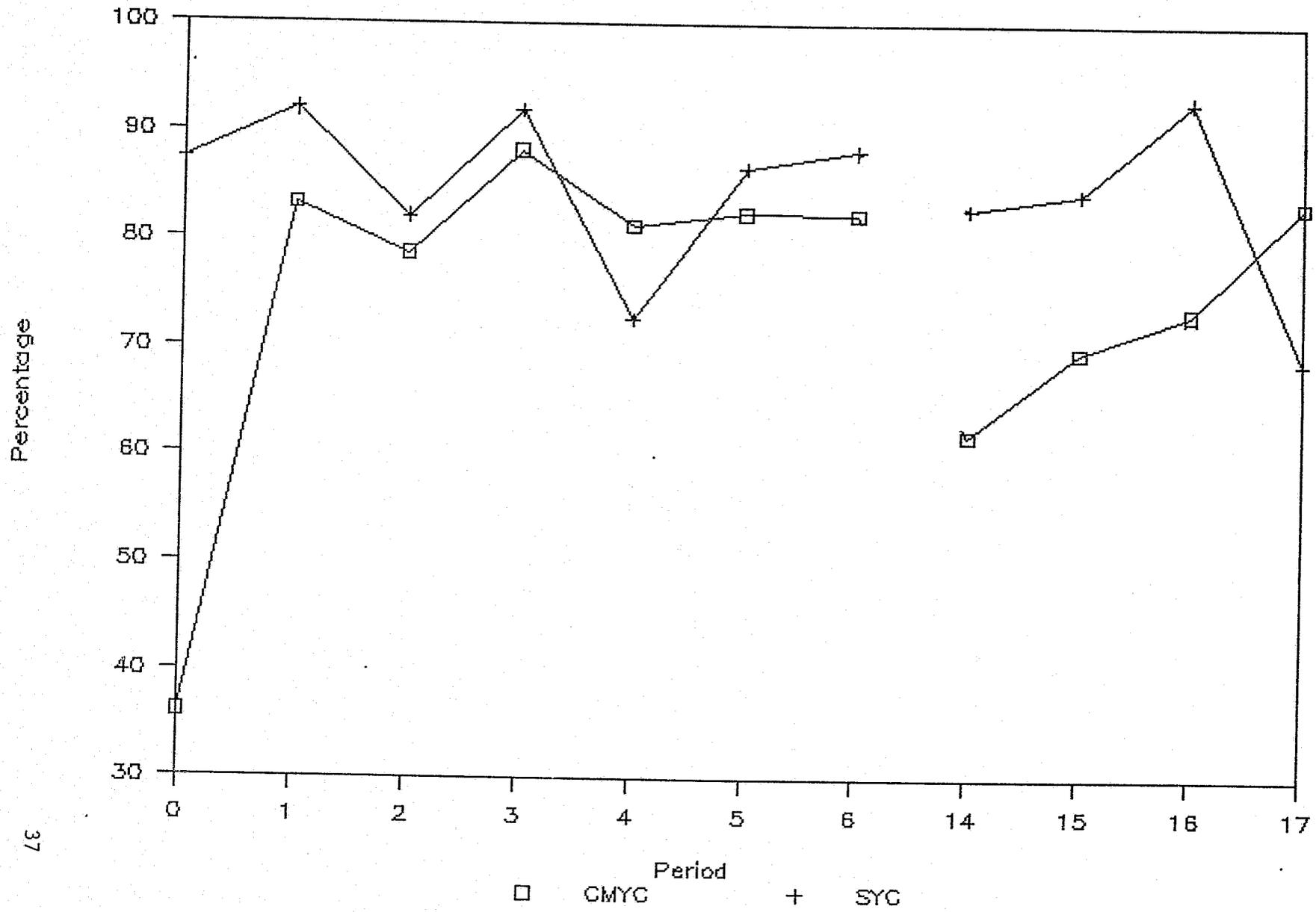


Figure 9

# Resident SSN Documented



ers at SYC had always had an understanding of the importance of securing SSNs for their clients and had been performing this aspect of their jobs at a high level all along, but that at CMYC Case Managers had not attended much to the task of securing SSNs until this activity was formally specified and monitored.

*Contingent standards.* Many of the standards apply contingently (for example, applying only to experimental residents or only to residents with a short amount of time left to serve), and information about improvements over time is based on the relatively small numbers of cases to which the standards apply. Several implementation standards related to procedures for making changes in correctional plans involving institutional job assignments, vocational training classes, awareness or life enrichment activities, or resident requests for change. The standards differed for changes in these three areas, and they differ somewhat for residents in the experimental group than for other residents. For example, a standard calling for a counseling worksheet to be completed within five days when a resident requested a change in correctional plan was met 88% of the time for the 42 cases monitored where there was evidence of such a request, actions to respond with plan adjustments when a resident accrues an infraction were taken in five days 85% of the time, and records indicated that Case Managers discussed correctional plan changes not initiated by the resident 85% of the time. Many of the contingent standards applied to situations that rarely turned up in the cases sampled for monitoring. Therefore Case Managers and Supervisors had attention focused on the standards by the structure of the monitoring form, but there were few occasions for observing and giving feedback on worker performance for most contingent standards.

## *Differences in Service Levels*

The Vocational Delivery System Program was conducted as an experiment. Members of the experimental group were to have priority access to certain services, and Case Managers were expected to engage in certain activities with experimental residents more than with members of a randomly equivalent control group. The implementation standards for case management specified goals to be achieved for experimental residents and no goals for other residents for certain services. The results of monitoring should reflect these differences in service levels.

A contingent performance standard called for visits to the most important planned activity in the facility for experimental residents. (The most important activity was usually a vocational training class or other vocationally related activity.) In this case the principal contrast of interest is that between the treatment and control groups. An analysis of variance with experimental condition, facility, and time period treated as factors revealed that the experimental group members were more often visited than the control group members ( $p < .001$ ) and that there was a significant experimental group by facility interaction ( $p < .003$ ). Time period differences were not significant nor was the difference between facilities significant. Figure 10 summarizes the significant interaction of experimental condition by facility. SYC Case Managers did not approach their performance standard of visiting 100% of their experimental residents each month, but they far exceeded the performance of their CMYC counterparts where records showed a smaller difference in the treatment of experimental and comparison group residents. Although not statistically significant, the over-time data plotted in Figure 11 suggests that the distinction between the two experimental conditions grew over time.

Figure 10

# Experimental-Control Comparisons

Activity Visits by Facility

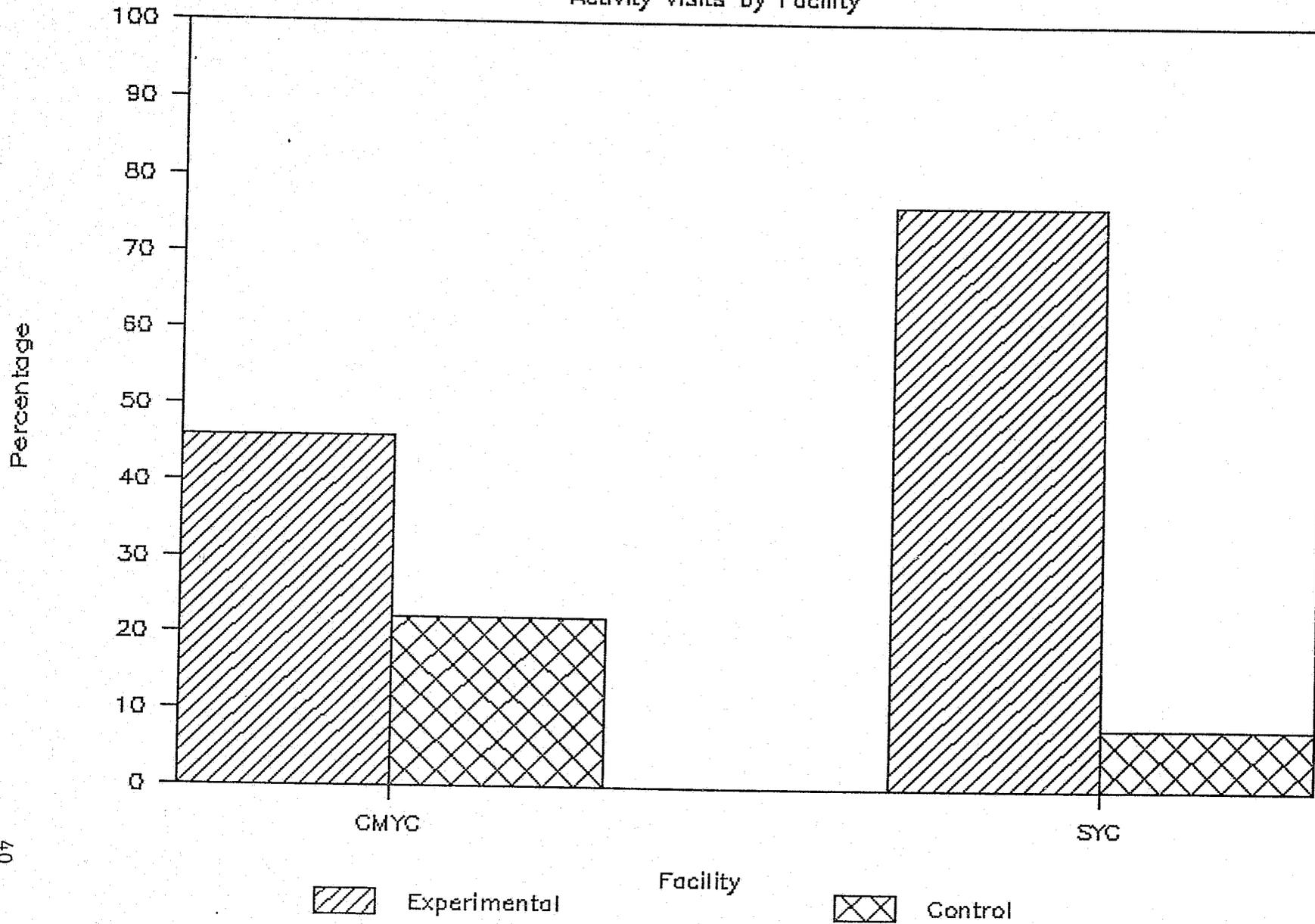
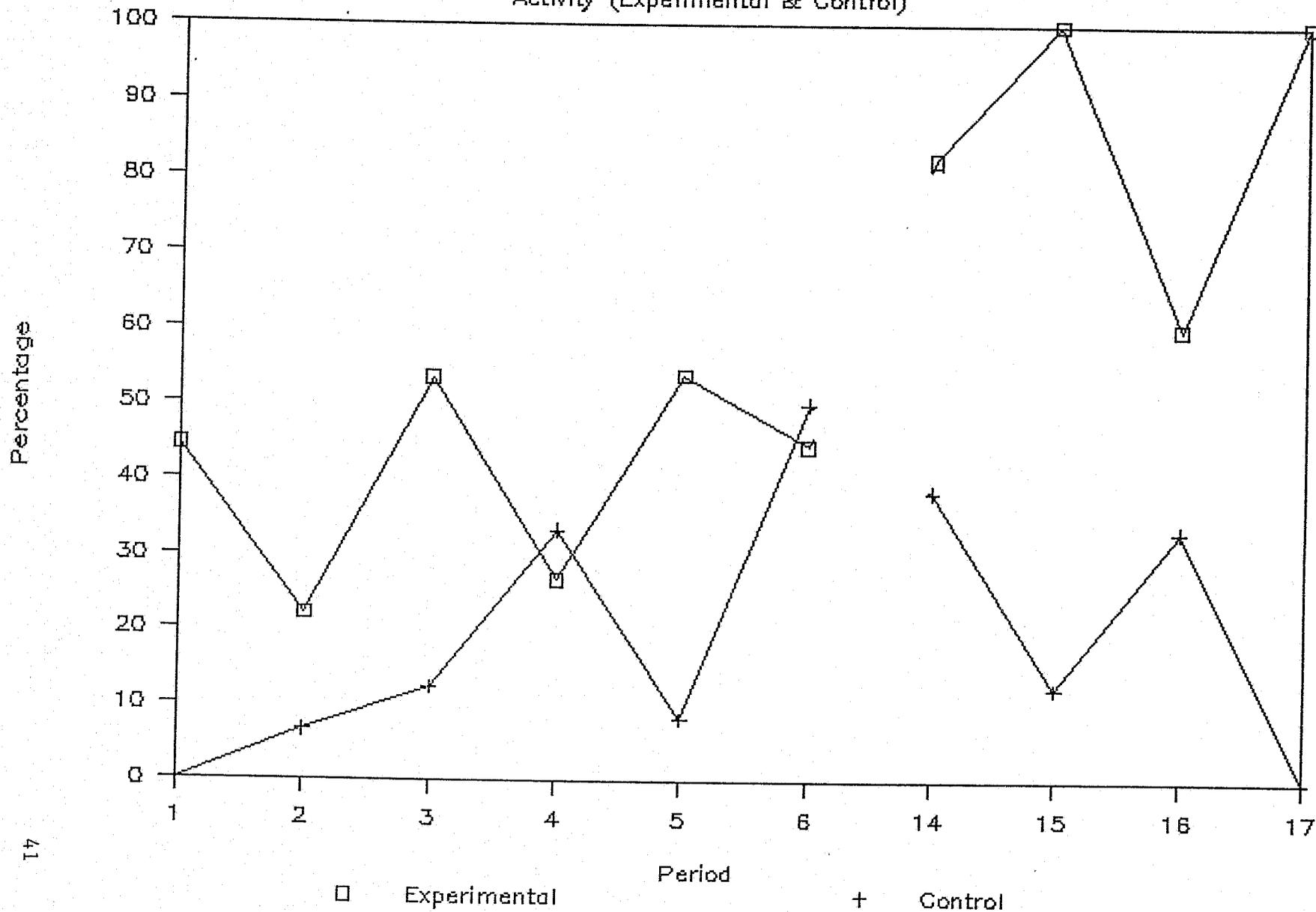


Figure 11

# Residents Visited in Most Important Activity (Experimental & Control)



## *Individual Differences in Performance*

The monitoring and feedback of information about performance was intended, of course, to improve the performance of individual case managers as well. Although individual differences in performance are not the focus of the present report, it is often useful to know if performance measures dependably differentiate among workers. Analyses not reported in detail here imply that the extent to which Case Managers met specific standards significantly (and often substantially) differ by Case Manager. Furthermore, checklist scales can be constructed of specific indicators based on the monitoring of a small number of cases that show moderate degrees of reliability. For example, a scale based on the monitoring of the standard calling for a face-to-face contact with each resident each month for ten residents on Case Managers' case loads has an *alpha* reliability of .62 and correlates .31 with a corresponding scale based on monitoring the same standard for ten cases about four months later.

Individual differences decreased over the course of the project, mostly as extremely low performing Case Managers improved their performance. For example, for the standard calling for a face-to-face visit with each resident each month, two Case Managers achieved only 50% attainment initially, but by the third phase of the project the lowest performing Case Manager achieved 71% of the standard.

## Discussion

The implementation standards for correctional case management examined here are standards developed by practicing Case Managers through discussions with their supervisors, the leaders of their institutions, and the investigator. This origin accounts for the down-to-earth and pragmatic nature of the standards. It is striking that the standards relate to such straightforward behaviors as contact with the inmates, following reasonable and

deliberate steps in changing formal aspects of inmate correctional plans, and taking action when called for with due speed. Implementation standards of this kind seem an appropriate place to start. The mechanics of case management must be reasonably well in place and Case Managers must have regular and recurring contact with their clients for the activities to have any benefit. Furthermore, the standards heavily emphasize keeping residents on schedule with their correctional plans and keeping them focused on a vocational goal and engaged in activities directed towards that goal. This accords with the emphasis of the Vocational Delivery System project and the vocational training orientation of the two institutions involved.

Developing, putting in place, and beginning to monitor implementation standards for case management took far more time than had been anticipated. The range of topics discussed in relation to any one standard was broad. Almost every existing practice (or what Sarason, 1971, has called "regularity") was cognitively tied to a host of expectations, beliefs, and experiences among the members of the two organizations.

An example illustrates the point. One of the standards calls for Case Managers to have a face-to-face interaction with each of their clients each month. The perceived feasibility of achieving this frequency of interaction with residents was influenced by several other perceptions. One of these was a widespread perception that case managers must go find their clients and may not schedule appointments in their offices. Case managers spoke of the difficulty of carrying stacks of file folders around the institution and of the difficulty in coping with residents who drop by their offices expecting to have a conversation at any time. It developed that whatever the origin of this perception, there were in fact no restrictions imposed by the administrations of either facility on scheduling appointments. On the contrary, administrators (who had not previously either encouraged or discouraged scheduling appointments) stated that they would henceforth encourage scheduling.

One side benefit of the development, trial, and application of the standards appears to have been the opportunities that the meetings to work on the standards created for opening up communication among various groups. These meetings had the effect of collapsing extended communication channels briefly so that workers in the lower echelons had an opportunity--occasionally for the first time--to have discussions with the Administrator or Superintendent of their own institution or their companion institution.

### *Limitations on Performance*

The results illustrate that it is possible to describe and measure the performance of correctional workers in roles that are usually only vaguely defined by making the roles better defined and seeking consensus on desired behavior and how it can be measured. But a number of obstacles to fully meeting the implementation standards were not fully addressed and the form of monitoring and feedback used was not optimally effective. Although the results show improvements in performance over time and some expected differences between services received by experimental and comparison residents, the differences are not as large as desired.

*The computerized information system.* One difficulty in operationalizing the implementation standards was associated with the computerized information system that helped schedule and track residents through the two institutions. This system, developed in initial form by personnel and students at the Sandhills Community College, depended on weekly off-site batch processing of information provided by Case Managers, trainers, and others in the two facilities. Again, multi-gate communication channels rather than the face-to-face interaction of the various personnel involved in making the information system work led to misunderstanding, complaints, and extra work associated with so-called computer errors. Improvement in communication and understanding about the information system occurred, but this understanding never reached the necessary levels for key persons

in the institutions.

This initial system was further developed to meet the needs of the VDS Program and implemented on a microcomputer which was used to enroll inmates in activities, keep track of their progress in institutional activities, enable Case Managers and others to monitor progress, and enable any supervisor to quickly determine the status and progress of any inmate or group of inmates. The information system provided institutional information so essential to the VDS Program that it was a necessary element of efforts to manage performance at the two facilities.

Even a single purpose computer system can be a complex and challenging innovation for organizations with no infrastructure for coping with this technology. Such mundane tasks as adding or deleting a computer code for a vocational training activity or changing the name of a case manager who adopts a married name can require that a person with a working knowledge of such concepts as "files" and "records" and the ability to use an editing program be available. Modifying the ways a program works or recovering from an operator error can require more sophisticated knowledge of programming and the way a computer operates.

It was anticipated that the VDS Coordinator would acquire sufficient skills to ensure that the computerized information operated in ways that met institutional and individual workers' needs, and that he would be assisted by two part-time clerical workers who would need to master only rudimentary data entry skills. Obstacles to carrying out this anticipated course of action arose when the Department of Correction insisted that there be no VDS Coordinator and when the Vocational School Principal and Program Director II under whom the former VDS Coordinator was assigned opposed this role for the re-assigned Coordinator. This opposition appears to be partly attitudinal (the Principal and Program Director II indicated that "typing," i.e., operating a computer keyboard, should be

performed only by clerical personnel), partly due to their inexperience and unfamiliarity with the idea and uses of a programmable machine, and partly due to a set of priorities that diverged from that of the VDS Program and the Complex Administrator.

This set of circumstances led to a failure to build an internal capacity to maintain the information system and made its maintenance dependent on outside assistance. Ultimately, despite the fact that the information system had become central to so many institutional information needs and to so many aspects of the institutions functioning, this lack of internal capacity made it possible for a successor CMYC Superintendent to make the decision to terminate both the information system and the VDS Program.

### *Other Obstacles and Remedies*

Initial planning did not include training for supervisors in giving feedback, but subsequent explorations of the nature of the Supervisor-Case Manager interaction revealed ways to make it more effective. At the end of the fourth monitoring period, preliminary results were reviewed with Case Managers, Case Manager Supervisors, Program Directors, and the leaders of the two institutions in a meeting. This meeting--and two subsequent meetings conducted by the SYC Superintendent and the CMYC Administrator--together with an examination of the extent to which plans to alter organizational arrangements were implemented--identified several ways in which we initially fell short in putting the kind of performance monitoring system we had envisioned in place and several system-wide events that thwarted implementation to some degree.

One shortcoming was the failure to vigorously pursue the solution of communication problems in the facilities. A series of seven critical benchmarks were laid out to improve communication about performance standards and problems in meeting them. Among these benchmarks was the creation of a mechanism to raise issues in weekly staff meetings and

communicate problems and proposed solutions to the Operations Committee. Although memoranda went out requiring such meetings early in the project, supervisory personnel were not thoroughly briefed on their expected role in this activity. When no issues were communicated to the Operations Committee, no steps were taken to reiterate the expectation or to ensure that everyone understood the importance of this activity.

The Operations Committee was substantially weakened in its capacity to solve communications problems when the State Department of Correction conducted a routine personnel audit with the result that the VDS Program Coordinator was reassigned to other duties (no DOC job classification for a Coordinator existed). As a result no single person was in charge of integrating this program. Communication problems were also exacerbated when the DOC split the Sandhills Youth Complex (with a single Administrator) into two administratively separate institutions (each with its own head who reported to the Manager of the State Youth Command). The Youth Command Manager position then became vacant and was left vacant for many months. As a result no person in a position to administratively support the program was available.

A second system influence on the VDS Program was major shifts in prison population and the redistribution of population among institutions during this time period. When the performance standards were initially put in place, the population of CMYC was approximately 250, and by the end of the first six periods the population was fluctuating between 385 and 410. In other words, case load sizes grew dramatically. The facility adopted something of a crisis approach to the large influx of inmates, foregoing the application of some routine procedures (such as vocational evaluation) rather than postponing them or developing other systematic plans for coping with the influx.

Some important plans for resolving obstacles to the implementation standards were never executed. For example, the Operations Committee was to create a Task Force on

Difficult Situations to analyze situations Case Managers found ambiguous or difficult to handle, develop operating procedures to follow in such cases, and conduct training sessions on such cases. This plan was not executed. Other plans were implemented. For example, plans to reduce quantitative work overload by shifting Case Manager responsibility for covering activities that could be covered by community college personnel were for the most part implemented.

Debriefing and problem-solving sessions with Case Managers and their supervisors implied that the process of communicating weekly feedback based on the review of implementation standards was imperfect. Supervisors often avoided confronting situations where problems occurred in a problem-solving way, and in other instances the feedback process was viewed as largely negative rather than facilitative. Difficulties in delivering feedback are traceable to the communications problems discussed earlier.

Renewed efforts to resolve these and other obstacles were made over Periods 2 through 6. These included (a) more careful training of supervisory personnel, (b) clarifications of the Implementation Standards for Case Management, (c) the publication of Operation Committee minutes and agendas, (d) more regular and more open Operations Committee meetings in both facilities, and (e) renewed efforts to seek assistance from the Department of Correction in re-establishing the Coordinator position. A workshop on giving feedback similar to that described by Gottfredson (1987) was developed and implemented. Specific instances of ambiguity or misinterpretation of implementation standards were discussed and clarified. The Operations Committee held a series of meetings alternating between the two facilities to solicit complaints, advice, and suggestions and took decisive action on some of the matters raised. Attempts were made to alter the process of monitoring performance and feeding back information on performance to increase the strength of this intervention.

## *Department of Correction Influences*

The infrastructure to operate an integrated VDS Program involving these two facilities was dismantled by the Department of Correction. The division of the complex and the demotion of the Complex Administrator to Superintendent in all but job title was symbolic of a lack of support for an integrated program or a lack of understanding of the necessity for continuity in the program. DOC insistence that the program operate without a Coordinator was an inappropriate application of bureaucratic guidelines or a symbolic devaluation of the program. These actions made the conduct of a VDS Program difficult, but performance nevertheless continued to improve.

Following the inauguration of a new State Governor, top DOC leadership also changed. A Youth Command Manager (see Figure 4) was appointed. Then, in the thirteenth period, the DOC transferred the CMYC Administrator elsewhere and appointed the CMYC Program Director II Acting Superintendent. During this thirteenth period, the Manager of the Youth Command drafted a memorandum to the Secretary of Correction recommending the termination of the "experimental phase of the VDS" as soon as feasible given the commitments that had been made by the department. Whatever the intent of the Department in this matter, the Acting Superintendent's monthly activity report shows that the final Operations Committee meeting (held in the 14th period) discussed the termination of the VDS Program. If the DOC had not intended to signal that it wished to terminate the VDS, its intentions were misunderstood. Workers in the facilities understood that the Program would end in a few months.

Near the end of period seventeen, the DOC eliminated the position of Vocational School Assistant Principal (the position occupied by the former VDS Coordinator). Performance standards for Case Management, Vocational Evaluation, and Job Development elaborated as part of this performance measurement project were not fostered by the

Acting CMYC Superintendent, who was promoted to Superintendent.

### Conclusion

This project has demonstrated that it is possible to develop standards for correctional worker performance in several areas,<sup>5</sup> and that the application of these standards by workers and the systematic measurement of performance through supervisory activity can improve performance. It also illustrates that a host of organizational influences and constraints can make implementing a high quality correctional program difficult, and that factors other than clarity about expected behavior and feedback on performance influence worker performance in this setting. Dramatic improvements in the percentage of residents engaging in the intended programmatic activities at CMYC, followed by slippage at that facility when monitoring was temporarily discontinued and further erosion even when monitoring was applied but after the DOC had taken actions detrimental to the program imply that performance measurement in the face of competing messages from organizational leadership will not maintain performance.

The down-to-earth Case Management standards seem in many respects unsophisticated when compared with the types of interventions that have been shown to be effective in ameliorating difficult problems (e.g., Azrin & Besalel, 1980). Even the more elaborate and technical performance standards developed for Vocational Evaluation and Correctional Plan Development (see Appendix III) appear rudimentary, although they formalize some aspects of those tasks for which the personnel performing those functions were never formally trained or prepared by appropriate supervised experience.

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<sup>5</sup> Appendix I shows the official DOC job description for Case Managers, and Appendix II shows the Implementation Standards developed in this project for these workers. Appendix III shows the Implementation Standards for Development and Evaluation developed in this project.

Given the imperfect implementation of many aspects of the intended VDS Program,<sup>6</sup> the fact that clear standards for performance were ever developed for only a few aspects of the program, a continued history of external influences (population fluctuations, DOC priorities) that disrupted orderly activity, and the questionable articulation between the educational and training methods and content and the vocational needs of the residents, if this Program increases employment in the long term or makes a substantial reduction in subsequent criminal involvement, I would be hard pressed to explain how such effects come about. Similar problems with the design and execution of correctional programs in penal institutions are no doubt common. Substantial progress in rehabilitation will require (a) the development of effective interventions, (b) stable organizational environments, (c) staff prepared by training and experience to properly implement the interventions, (d) clear specification of expectations for workers, and (e) appropriate monitoring of and feedback about performance.

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<sup>6</sup> For example, no performance standards for academic or vocational instruction were developed.

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Appendix I

Department of Correction Job Description

for Case Manager

(Correctional Programs Assistant II)

## CORRECTIONAL PROGRAMS ASSISTANT II

Employees in this class assist in providing programs for the rehabilitation of inmates in the prison system. Employees at this level coordinate a major or specialized program, primarily at a large facility or institution, such as work release or recreation. These positions may also carry a caseload which involves answering and following up on inmates' questions and problems, and making recommendations to the classification committee.

## RECRUITMENT STANDARDS

### Minimum Education and Experience

High school diploma + 2 years experience  
or  
A. A. degree

### Knowledge, Skills, and Abilities

Knowledge of

departmental policies and procedures  
correctional programs  
community resources--public and private  
counseling and interviewing techniques

Ability to

collect and evaluate information about inmates  
develop, implement, coordinate, and supervise program  
make written and oral reports

Appendix II

**CORRECTIONAL PLAN IMPLEMENTATION STANDARDS**

**A Manual for Case Managers  
and  
Case Manager Supervisors**

Vocational Delivery System Program

Cameron Morrison Youth Center  
Sandhills Youth Center

Revised April 3, 1985

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Among those who contributed to the development of these standards were the following:

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David Hubbard	Superintendent, SYC
Thomas G. Ivester	Administrator, CMYC
Ronnie Jones	Program Director I, CMYC
Wrightson Lewis	Program Supervisor, SYC
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Correctional Plan Implementation Standards:  
A Manual for Case Managers and Case Manager Supervisors

This manual contains Implementation Standards for Case Managers and their supervisors to use in their work. They cover aspects of case management relating to the residents' Correctional Plans at Cameron Morrison Youth Center and Sandhills Youth Center.

The purpose of the standards--and this manual--is to provide a clear statement of Case Manager responsibilities in the management and maintenance of Correctional Plans. This clear statement should reduce ambiguity about what is expected and ensure that case management is conducted in ways that are directed at the goals of the Vocational Delivery System Program at CMYC and SYC. The manual should help the Case Manager in the day-to-day conduct of his or her work.

The manual has four parts. The first part sets the context for the rest of the manual by reviewing the overarching goals of the Vocational Delivery System Program: Case Management is an essential component of this overall program, and it is aimed at helping to achieve most of these goals. The second part lists the standards. The third part explains why each standard was included--it gives the rationale for the standards. The final section shows many of the forms used in connection with these implementation standards--it explains how and when to use these forms.

## Overarching Goals of the VDS Program

The development of these Implementation Standards was guided by the goals of the Vocational Delivery System Program. An understanding of these Implementation Standards, and decision making in their day-to-day application, therefore requires an understanding of the overarching goals of the program. This section briefly discusses these goals.

The VDS Program has four goals:

1. Prepare residents for and place them in realistic, available, and stable vocational fields.
2. Remedy or ameliorate personal deficits or problems that may thwart the attainment of residents' vocational goals.
3. Create in each resident a sense of a personal stake in his career and his vocational plan.
4. Ensure timely support to help released residents cope with problems experienced in the transition to the free community.

In general, any case management activity that makes the achievement of these goals more likely is desirable. The following paragraphs elaborate on each of these four goals.

### Vocational Goals and Post-Release Job Placement

The first goal is to prepare residents for and place them in a realistic, available, and stable vocational field.

"Realistic means:

- a) An occupation in which a substantial number of openings are likely to exist in the local area to which the resident will be released.
- b) An occupation the resident would like and could do (i.e., an occupation matched to his interests and abilities).
- c) An occupation available to a person with the man's resources and liabilities. This includes his financial resources, prison record, educational attainment, and credentials.

The VDS Program takes several steps to further the achievement of this goal. Evaluators who conduct diagnostic activities at the time of reception to CMYC aim to identify the resident's interests and abilities at that time, and they work with Employment Security Commission (ESC) personnel to determine what vocational opportunities may realistically be available to the resident when released to his home community. ESC personnel advise Evaluators at CMYC and Development Specialists at SYC about the opportunities likely to be available in the resident's home community. Case Managers develop the Correctional Plan using input from many sources, including evaluation results.\* Instructors at CMYC and SYC conduct training and educational activities intended to enhance residents' prospects for employment in their planned fields.

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\*Standards for the development of correctional plans are not described in this manual; they are described elsewhere.

Case Managers have a crucial role in ensuring that these activities all come together as planned and that the resident follows a planful and productive course of educational, training, and ancillary activities. In short, the Case Manager is key in ensuring that the Correctional Plan is executed as planned and continues to focus on a realistic vocational objective for the resident.

### Remediation

The second goal is to remedy or ameliorate personal deficits or problems (e.g., substance abuse) that may thwart the attainment of residents' vocational goals through treatment, remedial, or developmental services. Personal difficulties such as alcohol or drug abuse, difficulty in restraining impulses or resisting peer pressure, low self-esteem, or an inability to demonstrate responsible behavior can all reduce a man's prospects for successful post-release employment.

The VDS Program includes several features intended to further the goal of remedying or ameliorating such problems. Awareness and instructional programs (Drug Education, Quest Skills, AA, Positive Self-Concepts, Sexual Awareness, Interpersonal Relations, I CAN, Career Readiness Training, SWAP) and life enrichment programs (Yokefellow, Jaycees, Explorers, Choir, Art, Flying, Christian Discipleship) are among these activities.

The Case Manager also plays a key role in achieving this goal. Case Managers must be vigilant to detect emergent problems and identify appropriate resources for their remediation. They directly act to move towards this goal through their interaction with the residents. Specifically, the Case Manager is responsible for making sure the resident has the opportunity to receive treatment or remedial and developmental services that will enhance his vocational prospects after release.

### Personal Responsibility

The third goal is to create in each resident a sense of a personal stake in his career and in his vocational plan. Put another way, an important assumption of the correctional philosophy underlying the VDS Program is that one all too common characteristic of residents of CMYC and SYC is a failure to grasp the connection between personal actions and personal success and failure. This implies that the day-to-day practice of case management should utilize every available opportunity to make this connection clear to the residents.

In more explicit terms, the VDS Program is intended to help residents understand the consequences of their own behavior and that they can personally influence their own situations and their own future. By restraining impulses and avoiding problem behavior, and by acting purposefully

and planfully to acquire skills needed in the free community they can create more beneficial outcomes for themselves. A resident should come to understand that he has much to gain by productive behavior and conformity to rules, and that he has much to lose by troublesome behavior or a failure to acquire skills that will provide a career later on.

Helping the resident to develop a personal stake in his career and vocational plan is an important task for the Case Manager. Although many of the Implementation Standards are aimed at this goal, a comprehensive account of all the opportunities a Case Manager (and other personnel) have to develop this sense of personal control and responsibility is difficult to provide. In general, decisions about the day-to-day interaction with residents should be made by reflecting on whether the interaction enhances the attainment of this goal when more specific guidance is not provided by the Implementation Standards or other policy statements.

Commending a resident for a small accomplishment that required some effort or planning on his part is one way to enhance his sense of responsibility and control over his situation. Creating opportunities to achieve successes in small ways is another. Opportunities to develop and display new competencies should lead to an understanding that the resident's behavior does affect what happens to him and that he can to some extent control his situation. Ultimately

this sense of personal control and responsibility should be tied to career plans.

#### Transition to the Free Community

A fourth goal is to ensure timely support to help released residents cope with problems experienced in the transition to the free community. Because many residents do not have stable employment histories or experience in coping successfully in employment settings, assistance in establishing themselves in stable employment is usually required.

A number of elements of the VDS Program are directed at this goal. Evaluators communicate with Employment Security Commission Offender Specialists to determine what job opportunities are realistic in the local area to which the resident will be released. Development Specialists work with the resident, his family, potential employers, and ESC personnel to assist in the transition from incarceration to employment in the free community.

Case managers also have key roles to play in assisting in this transition. Because they work with the resident on an on-going basis, they have access to information about changes in the resident's home or job plan. They may also have communication with relatives or potential employers of the resident that provide valuable information for the Development Specialists. Also, they are in a position to

make sure that accurate and up-to-date information about the resident is contained in the Correctional Plan and in case management files.

A number of Implementation Standards are therefore directed to assisting in the achievement of the goal of support during transition to the free community. In addition, day-to-day decisions about interactions with the resident should be made whenever possible in ways that enhance the likelihood of a smooth transition to employment upon release.

The standards presented in the next section are desirable standards for case management with all cases. Some specific quantitative standards apply only for some residents, called "experimental" residents. This is because limited time and personnel resources make it unrealistic to expect that these standards will be met for every Case Manager's entire case load. Every effort should be made to meet or exceed these standards for experimental residents, and to approximate the standards as closely as possible in work with all residents.

## Correctional Plan Implementation Standards: Case Manager

### I. Monthly activities to promote adherence to the Correctional Plan

#### A. Reinforce resident for following Correctional Plan.

1. Case manager visits each experimental resident in the most important activity in the facility that his Correctional Plan contains each month. This activity is usually an element of the resident's vocational plan. Standard: Each month 100% of experimental residents.
2. In a separate face-to-face interaction the case manager (a) reviews the correctional plan and reiterates future vocational expectations, (b) relates resident performance to exit from the institution, (c) reinforces resident for his accomplishments (after talking with instructors), and (d) talks with resident about his concerns. Standard: Each month 95% or more of residents in case loads of 45 or fewer clients, and an equal number of residents for case loads of larger size. Figure 1 illustrates the application of this standard to case loads of larger sizes.

#### B. Detect and act on discrepancies between the Correctional Plan and activities engaged in or completed.

1. Scan the computerized tracking sheet each week to flag any discrepancies between the Plan and current enrollment or completion. Examine action log and Correctional Plan as necessary to clarify status. Check information on the Correctional Plan for accuracy and completeness; change as necessary. Standard: 100% of discrepancies identified each month.
2. If a discrepancy is identified, complete the following for 80% of discrepancies within five working days:  
Determine origins of discrepancy (may talk to resident, facilitator, or others as necessary) to verify that discrepancy exists and then talk to resident to (i) reinforce resident if no discrepancy, (ii) determine if client is in agreement with activity, and (iii) arrange assignment to planned activity, or (iv) determine that activity is unavailable at CMYC/SYC.

3. If step 2 identifies a resident needing vocational training or other activities not available at CMYC/SYC, and if the plan calls for it, then locate information necessary for entry into a community program and provide it to the resident. Standard: 80% of applicable residents within 4 weeks of identifying the discrepancy.
4. If review of case implies a change in Correctional Plan is required, execute steps in V.

## II. Resident-initiated change in Correctional Plan.

Within five days of a resident request for a change of Plan, complete the following steps for 80% of residents making request:

- A. Assist resident in completing worksheet to request and justify the change.
- B. If change appears justified, execute the steps spelled out in V.
- C. If change appears unjustified, explain reasons to client and seek counseling or other intervention as needed.

## III. Responses to disciplinary infractions.

- A. Complete the following steps within five working days of reviewing authority's final decision for 80% of cases:
  1. Review outcome of the disciplinary procedure to determine whether Correction Plan change is necessary.
  2. Contact resident to notify of results and to (a) explain meaning of consequences, (b) check to see if resident understands, (c) discuss with the resident programming options in response to the infraction for the resident's Correctional Plan, and (d) counsel if no change in plans or execute the steps in V.

#### IV. Other changes in Correctional Plan

When the Case Manager determines that a change in Correctional Plan would better match current needs with opportunities (for example, as the result of suggestion from Vocational Rehabilitation personnel or a change in anticipated release date) and (at CMYC) the Unit Team agrees, the Case Manager takes the following steps:

1. Talk with the resident to get agreement to the change.
2. Within 5 working days complete the steps in V for the change procedure. (Standard: 80% of cases discussed with the resident).

#### V. Correctional Plan Change Procedures

(Note: The Correctional Plan Change Worksheet and Correctional Plan Change Form replace forms DC 121 and 170.)

##### A. Vocational class change

1. Experimental residents: Execute the following steps within 5 working days after the decision is reached in I, II, III, or IV (100% of cases):
  - a. Consult with Evaluator or Development Specialist, Teacher, Principal, and resident to achieve consensus that a new plan is desirable. (See "Correctional Plan Policy Statement" if consensus can not be reached.)
  - b. Prior to changing the Plan, Case Manager awaits word from the Development Specialist or Evaluator that he/she has called ESC Offender Specialist to verify that career plan is feasible.
  - c. Submit change sheet with justification for change and indication on back that (a) and (b) were accomplished to ICC for review.
  - d. Final approval by Program Director who forwards change sheet to the computer.

2. Nonexperimental residents: Take the following steps for as many clients as possible as soon as feasible.

a. Consult with principal, teacher, and resident to achieve consensus that a new plan is desirable. (See "Correctional Plan Policy Statement" if consensus can not be reached.)

b. Submit change sheet with explanation on back to ICC for review.

c. Final approval by Program Director who forwards to the computer.

B. Job changes.

1. Experimental: Take the following steps within 5 working days, 80% of cases:

a. Consult with resident and work supervisor to achieve consensus that the job change is desirable.

b. Coordinate with Development Specialist or Evaluator to determine that job accords with Correctional Plan. Prior to making the change, the Development Specialist contacts the ESC Offender Specialist for consensus.

c. Submit recommended job change to ICC for review.

d. Final approval by Program Director who forwards the change to the computer.

2. Nonexperimental: Take the following steps within 5 working days:

a. Consult with resident and work supervisor to achieve consensus that new plan is desirable.

b. Submit recommended job change to ICC for review.

c. Final approval by Program Director who forwards the change to the computer.

- C. Awareness/Instructional (Drug Education, Quest Skills, Positive Self-Concepts, Sexual Awareness, Interpersonal Relations, I CAN, Study Release, CRT, SWAP).
1. Experimental: Within 5 working days take the following steps for 80% of cases.
    - a. Consult with treatment facilitator, resident, and written evaluation report to achieve consensus that a change is desirable.
    - b. Submit change sheet with explanation on back to ICC for review.
    - c. Final approval by Program Director who forwards the change to the computer.
  2. Nonexperimental.
    - a. Consult with treatment facilitator, resident, and review needs assessment to achieve consensus that a change is desirable.
    - b. Submit change sheet with explanation on back to ICC.
    - c. Final approval by program director who forwards the change to the computer.
- D. Life enrichment (i.e., Yokefellow, Jaycees, Explorers, AA, Choir, Art, Flying, Bible, Christian Discipleship). (Same procedures for experimental and nonexperimental.)
1. Consult with activity facilitator, needs assessment summary, and resident to achieve consensus that a change is desirable.
  2. Case manager submits changes to computer directly.
- E. Job/School or Home Release Plan (Experimental & Nonexperimental)
1. Submit revised Evaluator Enrollment/Change Form to computer whenever resident changes anticipated home, school, or employment release plan. Standard: 100% of all cases within 5 working days.

VI. Activities in anticipation of release.

- A. Every experimental resident has a tentative home plan documented in the Correctional Plan. "None" should be recorded in the space for street address if a home plan does not exist. Note in the Action Log actions taken to secure a home plan. Standard: 100% 3 weeks after arrival at CMYC.
- B. Each resident has a Social Security Number. Standard: SSN available or applied for within two weeks after promotion to minimum custody at CMYC (or after arrival at SYC) for 100% of cases.
- C. Every resident has a tentative home and job or school plan documented in the Correctional Plan 3 months prior to anticipated release date (if the plans exist). If home plan does not exist, take steps to develop one. Standard: 100% of all residents 3 months prior to anticipated release date.

VII. Activities in anticipation of promotion to SYC or bus back to CMYC. To provide continuity in programming and a smooth transition between CMYC and SYC, check the box to print a copy of the Correctional Plan on the Correctional Plan Input Form prior to recommending the transfer to the ICC. When the new plan returns from the computer, place it in the resident's action log for forwarding to the other institution. Standard: 100% of cases transferred.

VIII. Programming for a resident who has completed all customary vocational training activities. Take the following steps according to the resident's Correctional Plan:

1. Determine if conduct difficulties in the vocational classes would make assignment as a tutor or teaching aide inappropriate.
2. If assignment to tutoring/teaching aide is appropriate, execute the steps in V.

Standard: 100% of applicable experimental residents within 5 working days of resident completing previously scheduled activity.

IX. Documentation of Activities

Each time a substantive contact occurs with a resident a brief notation should be made in the Case Manager's Action Log for the resident and the date of the contact entered on the computer Tracking Sheet. For every

instance where an interaction with a resident was important enough to be written in the Action Log, the Tracking Sheet should also be updated to show the date. The notation can be brief but should be clear enough to indicate that standards were met.

All activities that result in the attainment of these Implementation Standards are defined as "substantive," and actions related to the Standards should be recorded in the Action Log.

## Links Between the Implementation Standards and Program Goals

In the first part of this manual the overarching goals of the VDS Program were reviewed, and in the second part a set of Implementation Standards designed to assist in achieving these goals were laid out. This part of the manual explains the relation of each Implementation Standard to the goals of the program.

### I. Adherence to the Correctional Plan

The Correctional Plan is the primary vehicle for systematically pursuing the four goals of the VDS Program. It specifies the vocational plan that is to be executed and the specific programmatic activities designed to make that plan feasible. This includes educational development and vocational training, and activities to remedy or treat any special problems the resident may have.

If the resident is to understand that his behavior makes a difference in his personal situation and vocational prospects, the Correctional Plan must be realistic: It must be a plan that can be counted on. Accordingly, the first set of Implementation Standards are directed to promoting adherence to the Correctional Plan.

## I.A. Reinforcing the Resident

Two standards relate to routine activity to reinforce the resident for following the Correctional Plan, and to call attention to the links between the Plan and the resident's future vocational activities.

I.A.1. The intent of the standard calling for visits to residents' in their most important on-site activities is to provide reinforcement for following the Correctional Plan. If Case Managers continually remind residents that their activities are directed at following a systematic plan, and that that plan is an important ingredient in obtaining a desired job later on, residents are expected to learn that their plan is important. These visits provide concrete, personal support for engaging in constructive activity. The most important activity in a Correctional Plan will usually be a vocational training class or job placement.

I.A.2. The intent of the standard calling for a face-to-face interaction in which the Correctional Plan is reviewed and discussion of points (a) through (d) are discussed is to call the resident's attention to the link between his accomplishments (however small) and his ultimate success in implementing the entire plan. Such conversations provide an opportunity to provide timely and appropriate feedback to the resident about his performance that should enhance his understanding of the way his behavior influences his current and future circumstances and job prospects.

### I.B. Detecting Discrepancies

A Correctional Plan can generate confidence only if it is faithfully executed. And because the Correctional Plan is intended to be based on a careful appraisal of the resident's needs and the resources available to best meet them, it must be carried out if the resident is to receive the training and other experiences he needs. Accordingly, the standards spelled out under I.B. call for scrutiny of the match between planned and actual activities to ensure timely action when the Correctional Plan is not being followed.

### II. Resident Initiated Change in the Correctional Plan

Residents often suggest changes in their activities that have implications for the Correctional Plan. The Case Manager's response to requests for such changes is important because it can help resident's understand that they can influence their situation in appropriate ways, but that they must be planful and realistic if they are to achieve their goals. Accordingly, appropriate and reasonable requests should be responded to rapidly to help the resident bring about the change he desired, but inappropriate requests or requests not based on vocational goals should be denied with explanations of why they are denied. Changes should be based on their relation to realistic future goals.

The Implementation Standards under section II call for assisting the resident in completing a worksheet to justify his request so that the resident has responsibility for explaining the rationale for the change. Then they call for timely execution of the steps necessary to make a change so that the resident can see that his reasonable and well justified request gets results. Or they call for denying unreasonable or poorly justified requests with appropriate explanations so that the resident learns that whimsical behavior is not rewarded.

### III. Responses to Disciplinary Infractions

Resident behavior that results in disciplinary infractions can interfere with the orderly execution of a Correctional Plan. The Implementation Standard in section III are intended to keep Correctional Plans up-to-date and feasible given any restrictions that may be placed on resident participation in activities as a result of disciplinary sanctions. This Standard also calls for a discussion with the resident of the meaning of the disciplinary action and its influence on his Correctional Plan to help the resident see the relation between his behavior and his situation.

#### IV. Other Changes in the Correctional Plan

There may be a variety of other reasons that changes in a Correctional Plan become appropriate. For example, Vocational Rehabilitation personnel may suggest vocational possibilities and resources that are useful and appropriate, drug or alcohol problems previously not detected may become apparent, an injury or illness may make current activities inappropriate, the resident may develop a record of poor evaluations and borderline conduct, or a resident may prove incapable of successfully completing training in an area designated in his plan. The Standard in section IV is intended to achieve a prompt readjustment in the Correctional Plan when such a change is warranted.

#### V. Correctional Plan Change Procedures

All the Implementation Standards in section V are intended to expedite changes that are appropriate and have minimal implications for the resident's vocational plan, and to introduce deliberation and care in making changes that are related to key aspects of the Correctional Plan without introducing undue delay. These Implementation Standards call for different kinds of steps to be taken for different kinds of changes. For example, special care is taken in making changes in vocational classes and jobs because these changes relate directly to the resident's vocational plans. In contrast, changes in life enrichment activities involve a

few straightforward steps because these changes usually do not relate directly to the resident's vocational plans.

#### V.A. Vocational Class Changes

Different Implementation Standards apply to experimental and nonexperimental residents. The distinction is intended to ensure that great care is taken in adhering to the vocational plan laid out for experimental residents. For experimental residents the Implementation Standards call for consultation with an Evaluator or Development Specialist because these individuals have been working with ESC Offender Specialists to ensure that the post-release job plan is feasible, and because the Evaluator performed a careful and elaborate assessment of the resident upon arrival at CMYC.

ESC Offender Specialist consensus that any anticipated vocational change is appropriate is important because ensuring a smooth transition to post-release employment is a goal of the VDS Program.

For both categories of residents the Standards call for consultation with the principal, teachers, and resident; and for both categories ICC concurrence is required to introduce an element of deliberation when important vocational plan changes are made.

Documentation of any change through updates in the Correctional Plan keeps the Correctional Plan printouts and

Tracking Sheets up-to-date and useful in monitoring resident progress. Note that use of the Correctional Plan Change Worksheet and Correctional Plan Change form eliminate the need to fill out DC forms 121 and 170 and streamline the paperwork.

#### V.B. Job Changes

The Standards for job changes parallel the Standards for vocational class changes and serve similar purposes. They introduce care and deliberation into the process of making such changes, and for experimental residents they call for consultation with the ESC Offender Specialist to make sure the change does not interfere with a smooth transition to post-release employment.

As for vocational class changes, the Standards differ for experimental and nonexperimental residents in that the advice of the ESC Offender Specialist is not required for nonexperimental residents' job changes.

#### V.C. Awareness/Instructional Changes

The Implementation Standards for making changes in awareness/instructional activities (such as Drug Education, Quest Skills, Positive Self-Concept, Sexual Awareness, Interpersonal Relations, I Can, Study Release, AA, Career Readiness Training, and SWAP) call for consultation with with treatment facilitators and the resident, and for a review of the

written Evaluation Report (experimental residents) or Needs Assessment (nonexperimental residents) to achieve a consensus that a change is desirable. These standards are intended to provide for deliberation to maximize the likelihood that awareness/instructional activities meet the residents needs. ICC review is intended to provide an additional check on the appropriateness of the activities, and updating the activity record in the computer keeps Correctional Plans, Activity Sheets, and Tracking Sheets up-to-date and useful.

#### V.D. Life Enrichment Changes

Life enrichment activities (such as Yokefellow, Jaycees, Explorers, Choir, Art, Flying, Bible, Christian Discipleship) are usually not key aspects of a resident's Correctional Plan. Accordingly the procedures for making such changes are streamlined. After consultation with the activity's facilitator and the resident (and a review of the resident's needs assessment summary) the Case Manager submits the changes directly to the computer.

#### V.E. Changes to Job, School or Home Plan

The Correctional Plan must be kept up-to-date because it is used by Case Managers, Development Specialists, and residents in helping the resident acquire appropriate vocational skills and in assisting in the transition to post-release

employment. It also must be up-to-date to enable follow-up activities after release. Accordingly, the Implementation Standard under V.E. calls for action to update the correctional plan with current release plan information via an Evaluator Enrollment/Change Form whenever the resident changes his plans for living arrangements, school, or employment upon release.

#### VI. Activities in Anticipation of Release

The Implementation Standards under section VI are all aimed at the goal of facilitating the transition to post-release employment and providing necessary support in the community after release.

##### VI.A. Tentative Home Plan

Job opportunities vary from community to community, and the Standard calling for a tentative home plan in the Correctional Plan of all experimental residents is needed to ensure that the ESC Offender Specialist in the local area to which the resident is most likely to be released can give advice on job plans and vocational training.

##### VI.B. Social Security Number

Social Security Numbers are required to obtain employment upon release. This standard therefore is required to achieve the goal of post-release employment.

#### VI.C. Tentative Job or School Plan

This standard calls for all residents to have tentative home, job, or school plans documented in their Correctional Plans three months prior to release. This is necessary to facilitate the resident's transition to post-release employment or education, and in the case of experimental residents provides information needed by Development Specialists and ESC Offender Specialists as they assist the resident make this transition and support him in coping with difficulties after release.

#### VII. Promotion from CMYC to SYC

The Implementation Standard under section VII is intended to ensure continuity of planned activities when a resident is promoted from CMYC to SYC. Case Managers at SYC need accurate and up-to-date information about the status of the resident's activities and his plan so that they can ensure this continuity.

#### VIII. When Customary Activities are All Completed

On occasion a resident will complete all activities specified in his correctional plan or for any of a variety of reasons has exhausted all customary and expected vocational training activities. The Implementation Standard in Section VIII is intended to provide productive and vocationally related activities for such residents. Serving as a tutor

or teacher aid provides additional learning experiences in an area related to his career plan.

### IX. Documentation of Activities

The documentation of activities serves several purposes. First, it communicates to other Case Managers and to Development Specialists what considerations have led to specific vocational training and other activities the resident is engaged in, what problems he has had in the past, and in what areas he has been successful. This information is useful in considering future changes in Correctional Plans and in meeting the specific needs of each resident.

Second, documentation of activities provides a ready record of interaction with the resident so that it is easy to see that Implementation Standards have been met.

Third, documentation of activities using the VDS computer system keeps Tracking Sheets, Activity Sheets, and Correctional Plans up-to-date. This makes it easier to anticipate scheduling problems, make sure the Correctional Plan is being followed, identify areas where more instructors are needed, and to schedule interactions with residents.

## The Forms Associated with the Implementation Standards

A number of forms are used to update information about the status of a resident and his activities.

### Resident Enrollment/Change Form

The Resident Enrollment/Change Form is used to enter a resident into the computerized information system.

### Correctional Plan Change Worksheet

The Correctional Plan Change Worksheet is completed by the resident (with appropriate assistance from the Case Manager) to justify a change in the Correctional Plan.

### Evaluator Enrollment/Change Form

The Evaluator Enrollment/Change Form serves multiple purposes. It is used by Evaluators to record the resident's employment history and future job and school plan. It is used by Case Managers to record changes in future job and school plans.

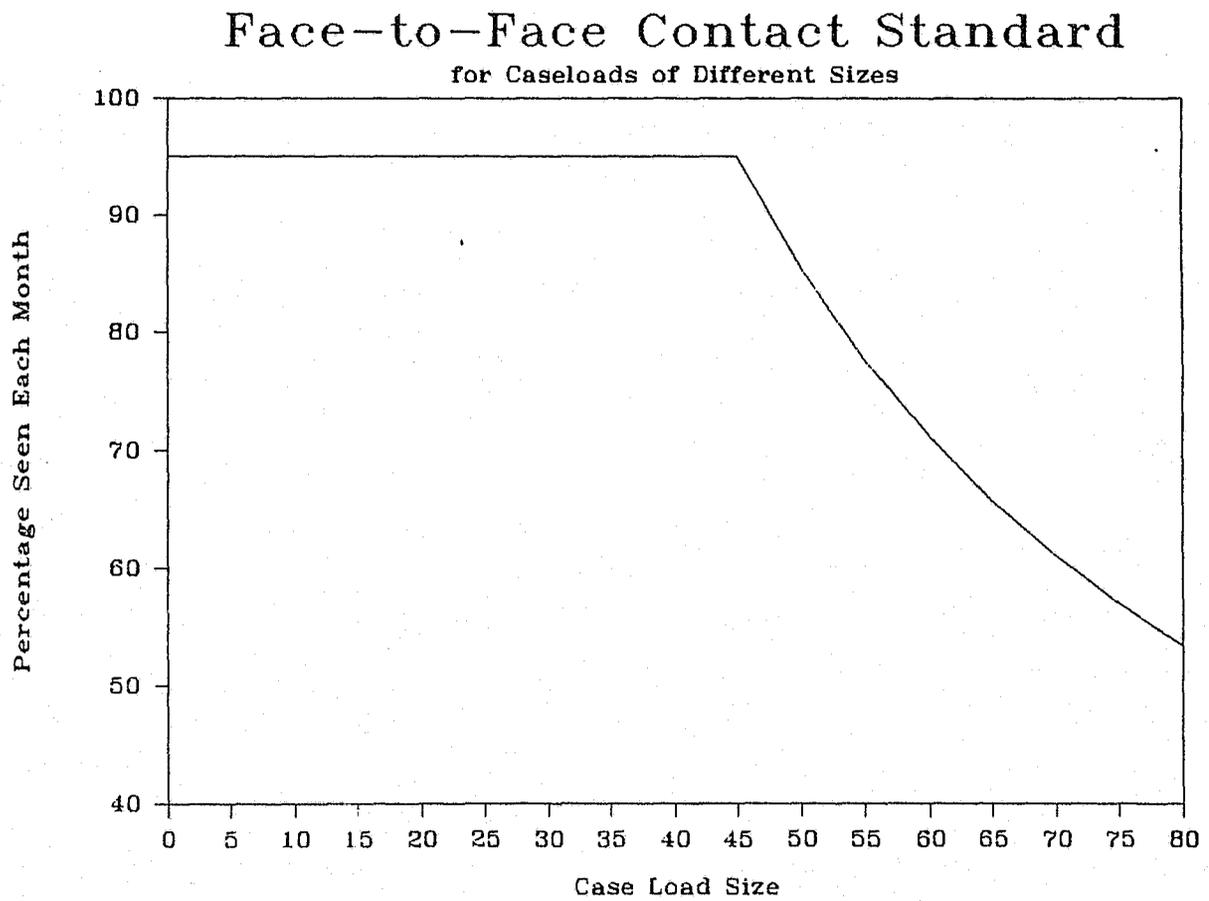
### Correctional Plan Change Form

The Correctional Plan Change Form is used to add and delete academic, vocational, awareness/instructional, and life enrichment activities to the Correctional Plan.

## Case Manager Tracking Sheet

The Case Manager Tracking Sheet is used for two-way communication between the computerized information system and the Case Manager. Case Managers use it as a way to monitor the match between a resident's planned and actual activities, as a way to anticipate actions that should be taken in the upcoming month, and to record the dates of substantive contacts with the resident.

Figure 1: Face-to-Face Interaction and Case Load Size



Appendix: Copies of Forms Used





EVALUATOR ENROLLMENT/CHANGE

Resident Name: \_\_\_\_\_

D.O.C. (last 7 numbers only) \_\_\_\_\_

Evaluator: \_\_\_\_\_

Employment status at arrest: (0-Uemp. 1-Temp.P/T 2-Temp.F/T 3-Perm.P/T 4-Perm.F/T  
5-Seas.P/T 6-Seas.F/T 7-F/T student)

Total number of jobs held within the past year: \_\_\_\_\_

Employment Record-MOST RECENT

Job Title: \_\_\_\_\_ Code: \_\_\_\_\_

Company Name: \_\_\_\_\_

Industry Code: \_\_\_\_\_

Date Began: \_\_\_\_\_ Date Ended: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Hourly Wage: \_\_\_\_\_ Weekly Wage: \_\_\_\_\_ Hrs. wk: \_\_\_\_\_

Permanence: \_\_\_\_\_ How Obtained: \_\_\_\_\_ Reason Left: \_\_\_\_\_

NEXT RECENT

Job Title: \_\_\_\_\_ Code: \_\_\_\_\_

Company Name: \_\_\_\_\_

Industry Code: \_\_\_\_\_

Date Began: \_\_\_\_\_ Date Ended: \_\_\_\_\_

Hourly Wage: \_\_\_\_\_ Weekly Wage: \_\_\_\_\_ Hrs. wk: \_\_\_\_\_

Permanence: \_\_\_\_\_ How Obtained: \_\_\_\_\_ Reason Left: \_\_\_\_\_

THIRD RECENT

Job Title: \_\_\_\_\_ Code: \_\_\_\_\_

Company Name: \_\_\_\_\_

Industry Code: \_\_\_\_\_

Date Began: \_\_\_\_\_ Date Ended: \_\_\_\_\_

Hourly Wage: \_\_\_\_\_ Weekly Wage: \_\_\_\_\_ Hrs. wk: \_\_\_\_\_

Permanence: \_\_\_\_\_ How Obtained: \_\_\_\_\_ Reason Left: \_\_\_\_\_

FUTURE JOB SCHOOL PLAN

Employer School

Activity Job Date Started: \_\_\_\_\_

Hourly Wage Weekly Wage: \_\_\_\_\_ Hrs. wk: \_\_\_\_\_

Permanence: \_\_\_\_\_ How Obtained: \_\_\_\_\_

Street: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_ Phone: ( \_\_\_\_\_ ) \_\_\_\_\_

EVALUATOR CASE MANAGER: \_\_\_\_\_

**SANDHILLS YOUTH COMPLEX(MALE)  
CORRECTIONAL PLAN**

Name: \_\_\_\_\_

DOC# \_\_\_\_\_

A/D M/C PENDING DATE ACTIVITY

-- -- -- / -- / -- LIFESK  
 -- -- -- / -- / -- CARMAS  
 -- -- -- / -- / -- ELEPLU  
 -- -- -- / -- / -- OFFMGT  
 -- -- -- / -- / -- MECANX  
 -- -- -- / -- / -- MEDTEC  
 -- -- -- / -- / -- FOODSE  
 -- -- -- / -- / -- GRAPHS  
 -- -- -- / -- / -- SCHOOL  
 -- -- -- / -- / -- POSGED  
 -- -- -- / -- / -- CORRO  
 -- -- -- / -- / -- INCENT  
 -- -- -- / -- / -- SCHAID  
 -- -- -- / -- / -- HOUSE  
 -- -- -- / -- / -- MAINT  
 -- -- -- / -- / -- CANTEN  
 -- -- -- / -- / -- KITCHN  
 -- -- -- / -- / -- CLOTHS  
 -- -- -- / -- / -- ROADCW  
 -- -- -- / -- / -- FAMILY

A/D M/C PENDING DATE ACTIVITY

-- -- -- / -- / -- MENTAL  
 -- -- -- / -- / -- PSYEVA  
 -- -- -- / -- / -- PSYCOU  
 -- -- -- / -- / -- DRUGGP  
 -- -- -- / -- / -- AAGRUP  
 -- -- -- / -- / -- EXPLOR  
 -- -- -- / -- / -- JAYCEE  
 -- -- -- / -- / -- YOKEFE  
 -- -- -- / -- / -- MARRIG  
 -- -- -- / -- / -- SEXUAL  
 -- -- -- / -- / -- CHORUS  
 -- -- -- / -- / -- RELAX  
 -- -- -- / -- / -- INTERP  
 -- -- -- / -- / -- QUEST  
 -- -- -- / -- / -- POSSEL  
 -- -- -- / -- / -- MINREV  
 -- -- -- / -- / -- CRREVA  
 -- -- -- / -- / -- BEHAVE  
 -- -- -- / -- / -- PREHON  
 -- -- -- / -- / -- LVL II

-- -- -- / -- / -- REVUCR  
 -- -- -- / -- / -- LEV-II  
 -- -- -- / -- / -- LEV-III  
 -- -- -- / -- / -- LEV-IV  
 -- -- -- / -- / -- LEV-V  
 -- -- -- / -- / -- BEHAVC  
 -- -- -- / -- / -- PO-GED  
 -- -- -- / -- / -- CORROS  
 -- -- -- / -- / -- METAL  
 -- -- -- / -- / -- BUILDG  
 -- -- -- / -- / -- FOODS  
 -- -- -- / -- / -- MECHMA  
 -- -- -- / -- / -- GRAPHA  
 -- -- -- / -- / -- KITASS  
 -- -- -- / -- / -- HSEKEP  
 -- -- -- / -- / -- ACAAID  
 -- -- -- / -- / -- GYMASS  
 -- -- -- / -- / -- PROAID  
 -- -- -- / -- / -- LIBAID  
 -- -- -- / -- / -- CANASS  
 -- -- -- / -- / -- CLOHSE  
 -- -- -- / -- / -- BARBER  
 -- -- -- / -- / -- MAITAS  
 -- -- -- / -- / -- CMYCWK

SYC

-- -- -- / -- / -- TCHAD  
 -- -- -- / -- / -- SCCSTY  
 -- -- -- / -- / -- WORKRI  
 -- -- -- / -- / -- CRTCLS  
 -- -- -- / -- / -- LIFCLS  
 -- -- -- / -- / -- DRUG-G  
 -- -- -- / -- / -- AA-GRP  
 -- -- -- / -- / -- PSYC-C  
 -- -- -- / -- / -- PSYC-G  
 -- -- -- / -- / -- ACADMS  
 -- -- -- / -- / -- ACAD-C  
 -- -- -- / -- / -- ACAD-M  
 -- -- -- / -- / -- EXPLOS  
 -- -- -- / -- / -- YOKEGP  
 -- -- -- / -- / -- JAYGRP  
 -- -- -- / -- / -- ICANCS  
 -- -- -- / -- / -- LEATHR  
 -- -- -- / -- / -- ARTCLS  
 -- -- -- / -- / -- FLYING  
 -- -- -- / -- / -- BIBLE  
 -- -- -- / -- / -- CHRIST  
 -- -- -- / -- / -- RELIGS  
 -- -- -- / -- / -- INCTVE  
 -- -- -- / -- / -- SWAPMC

RESIDENT

CASE MANAGER

UNIT TEAM MANAGER/ P.D.

PRINT COPY OF CORRECTIONAL PLAN

Appendix: Policies Articulated 4/16/1984

Policy: Men with disciplinary infractions are ineligible for desirable assignments (e.g. kitchen duty) at CMYC for 60 days. After 60 days they may apply for desirable assignments using standard procedures.

Policy: Each resident must participate in vocational and educational programs to merit occupying the expensive bed space at CMYC. The alternative of no assignment is not available.

Policy: Unjustified or inappropriate resident requests for program changes are to be denied. When the Case Manager judges a request to be unjustified, take the following steps:

1. Deny the request.
2. Assist the resident as needed in justifying program changes, but do not execute the steps in V unless the change is justified.

**INSTRUCTIONS FOR COMPLETING THE MONITORING FORM  
FOR CASE MANAGEMENT IMPLEMENTATION STANDARDS**

This form is keyed to the Implementation Standards spelled out in Correctional Plan Implementation Standards: A Manual for Case Managers and Case Manager Supervisors. Use the Standards, the Case Manager's Tracking Sheet (TS) and the Resident Action File (AF) to complete this form for 2 randomly selected cases from each Case Manager's case load each week. Note that not every item must be answered "Yes" to meet the Implementation Standards because the standards are different for different groups.

The following list provides explicit guidance in completing the monitoring forms.

1. Use the table of random numbers to select **two** cases from each Case Manager's case load to examine **each week**. The steps for selecting these two cases are as follows:
  - o Determine the number of residents in the case load. Because you will need to examine the Case Manager's Tracking Sheet (TS) anyway, the best way to do this is to count the number of resident names on the TS.
  - o Use a pencil or pen to mark the top two-digit number on the appended Table of Random Numbers. Starting at this point, proceed down the column until you locate the first number equal to or less than the number of residents in the case load. Circle this number.
  - o Continue down the column until you locate a second two-digit number equal to or less than the number of residents in the case load. If this number is the same as the one you circled in the preceding step, continue the search until you find a different number. Circle this number.
  - o Count down from the top of the first page of the TS to find the residents corresponding to the two numbers you selected using the table of random numbers. For example, if the two numbers you found in the table of random numbers for a case load of size = 42 were 07 and 33, then you would inspect the files for the 7th and 33rd residents listed on the TS.
  - o The next week you start using the table of random numbers beginning below the last number you circled. This way each week you get a fresh random sample.
  
2. Make sure you have a copy of the Case Manager's Tracking Sheet and the Action File (AF) for the cases you will monitor. Although you are to use only information documented in the AF to complete many of the questions, it is recommended that you sit together with the Case Manager while

you go through the form.

3. Start by completing the background information on the first page of the Monitoring Form. There are questions about whether the resident has been in minimum custody for two weeks, whether the anticipated date of release is within 3 months, and whether the resident has been at the facility for 3 weeks or more because some standards are applicable only to cases where the answers to these questions are "yes." It is important that you answer all these questions before starting. When tabulations of the achievement of Implementation Standards are made, they will be made separately for the group of residents to whom they apply.
4. Go through the rest of the form in sequence, starting with section I.A.1. The numbering of the questions corresponds as closely as possible with the numbering of the Implementation Standards themselves. Consult the Implementation Standards for exact wording when necessary.
5. Unless specifically directed to skip past a question, answer every question. For example, although the Implementation Standards call for visits to the most important activity in the facility each month only for Experimental residents, answer this question for all residents.
6. If there is insufficient evidence to document whether a standard has been met, answer no. If you know through discussions with the Case Manager that a standard was met, but the relevant activity is not documented in the AF, answer no, the standard was not met. Make comments as you desire in the margins or on the last page of the form.
7. Sometimes a table is provided to record information. Such tables are provided for discrepancies between resident activities and the TS (I.B.) and for infractions (III.). When using these tables, use up to four lines to record information. The first line is for the first discrepancy or first infraction. Answer all questions for each line you use.
  - o For example, if the Correctional Plan shows that a resident is scheduled to have begun an activity he has not yet started, enter the activity name in the first space, the date the activity was to have begun in the second space, and then circle yes or no for each column on the first line. If the appropriate actions called for seeking information, counseling the resident, and keeping the resident wait listed for the activity, "Y's" would be circled for those columns and "N's" for the other columns. Be sure to circle yes or no in each column for every line on which you have an entry.
  - o For example, if a resident had two infractions in the

past two months, complete two lines in the table for infractions. Be sure to answer every question on each of these two lines. Circle either yes or no in each column; leave none blank.

8. Every addition, deletion, or alteration that changes the printout obtained when a Correctional Plan is requested is a Correctional Plan Change. Complete section V for any such changes. For example, if one course is exchanged for another or if the anticipated date of entry into a course or activity changes, complete Section V for the most recent such change.
9. Monitor a case if it is selected by the table of random numbers even if you just monitored it last week. Re-monitoring such cases allows you to see progress on the case, and it keeps the process of case selection truly random. **Any** case could be selected for examination at any time.
10. Please make a note in the space for comments on the last page of any difficulties you had using the form or interpreting the Implementation Standards. This will help clarify the standards and improve the process over time. Use the back of the pages or attach extra pages if necessary.

**MONITORING FORM  
CASE MANAGEMENT IMPLEMENTATION STANDARDS**

This form is keyed to the Implementation Standards spelled out in Correctional Plan Implementation Standards: A Manual for Case Managers and Case Manager Supervisors. Use the Standards, the Case Manager's Tracking Sheet (TS) and the Resident Action File (AF) to complete this form for two randomly selected cases from each Case Manager's case load each week. Note that not every item must be answered "Yes" to meet the Implementation Standards because the standards are different for different groups.

\*\*\*\*\*

Please complete every item you are not directed to skip past. If there is insufficient evidence to document a response, or if you can not tell if the standard was met, mark "No."

\*\*\*\*\*

Your name: \_\_\_\_\_ Institution: CMYC    SYC

Case manager: \_\_\_\_\_ Resident: \_\_\_\_\_

Date: (month/day/year) \_\_\_/\_\_\_/\_\_\_      Group: Ex    Com    Fil    Other

Has the resident been in minimum security for 2 weeks or more?      Yes    No

Is the resident's anticipated release date within 3 months of today's date?      Yes    No

Has the resident been at CMYC or SYC for 3 weeks or more?      Yes    No

\*\*\*\*\*

I. A. 1. Does the AF indicate there was a visit to the resident at the most important activity in the facility within the last month? (Circle one answer and then indicate the date of the most recent visit.)      Yes    No

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date

2. Does the AF indicate a separate face-to-face interaction in the past month involving review of the correctional plan, resident performance, reinforcement for accomplishments, and resident concerns? (Circle one answer and indicate the most recent date the AF shows such an interaction to have occurred.)      Yes    No

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date

Is one of the above dates listed on the TS?      Yes    No

B. Does any source indicate any discrepancy between the Correctional Plan described in the TS and the resident's actual activities? (Circle one)

Yes |---> Complete one line in table below for each discrepancy  
 No |---> Skip to Section II

Activity name	Pending since	Appropriate action within 5 days?		What actions were required to address the discrepancy? (Mark Y or N for each possible action.)									
		Yes	No	Fix error	Arrange assig't	Seek info	Change plan	Continue on wait-ing list	Counsel resident				
_____	_____	Yes	No	Y	N	Y	N	Y	N	Y	N	Y	N
_____	_____	Yes	No	Y	N	Y	N	Y	N	Y	N	Y	N
_____	_____	Yes	No	Y	N	Y	N	Y	N	Y	N	Y	N
_____	_____	Yes	No	Y	N	Y	N	Y	N	Y	N	Y	N

II. Does any source indicate that the resident requested a change in Correctional Plan within the past two months? (Circle one)

Yes ---> Complete the questions below.

No ---> Skip to Section III.

A. Does the AF show that a worksheet was completed (i.e., ready for review) within 5 working days? Yes No

B. Does the worksheet and other information in the AF indicate that a change was justified?

Yes |---> Does the AF show that the steps to change the C.' were initiated within 5 working days?

Yes No

No |---> Does the AF show that the resident was counseled not to change within 5 working days?

Yes No

III. Does the Tracking Sheet indicate any infractions within the past two months? (Circle one)

Yes ---> Complete one line for each infraction in the table at the top of the next page.

No ---> Skip to Section IV.



B. Did a job change?

Yes --> Answer the following questions

No --> Skip to subsection C

- |   |     |    |                        |
|---|-----|----|------------------------|
| 1. Does the AF show that the resident and work supervisor view the change as desirable? | Yes | No | -->Circle<br>dissenter |
| 2. Does the AF show that the Evaluator or Development Specialist were consulted?        | Yes | No |                        |
| 3. Was the job change submitted to ICC within 5 days of instigation of the change?      | Yes | No |                        |

C. Did an Awareness/Instructional or Life Enrichment activity change?

Yes --> Answer the following questions

No --> Skip to subsection D

- |   |     |    |
|---|-----|----|
| 1. Does the AF show that the resident, facilitator, and evaluation report or needs assessment indicate the change is desirable? | Yes | No |
| 2. Was the change submitted within 5 days of instigation of the change?   | Yes | No |
- D. Did a Job/School or Home Release Plan change according to the AF?

No --> Skip to Section VI

Yes --> Was an Evaluator Enrollment/Change form completed within 5 days?

Yes No

VI. A. Is a home plan documented on the Correctional Plan?

Yes	No	--> Does AF show steps to secure?	Yes	No

B. Is a SSN documented in the Correctional Plan? (Circle one)

Yes	No, applied for	No
-----	--------------------	----

VII. Has the resident completed all vocational training specified in the Correctional Plan?

Yes --> Answer the following questions

No --> Skip to Section VIII

1. Is there evidence that conduct difficulties in vocational classes make assignment as a tutor or aide inappropriate?      Yes    No
2. Does the AF document steps to develop an assignment as an aide or tutor?      Yes    No

VIII. A. Is there a contact recorded in the Action File pertaining to one of the Implementation Standards that corresponds to the last contact date shown on the Tracking Sheet?

Yes      No

Comments:

---

---

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---

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Appendix III

**EVALUATION AND DEVELOPMENT IMPLEMENTATION STANDARDS**

**A Manual for Evaluators,**

**Intake Dorn Case Managers,**

**and Development Specialists**

October 1984

Vocational Delivery System

Cameron Morrison Youth Center  
Sandhills Youth Center

## PREFACE

Many people contributed to the creation of these implementation standards. No one participated in all stages of their development, but an attempt was made to seek broad participation of representatives of persons with direct experience in developing Correctional Plans and in placing residents in jobs. The present document was developed through consensus and compromise. Its purpose is to spell out as concisely and clearly as possible a set of standards for the delivery of services to residents at CMYC and SYC by Evaluators, intake dorm Case Managers, and Development Specialists insofar as those services relate to the creation of of the residents' Correctional Plans and the placement of residents in post-release employment.

Among those who contributed to the development of these standards were the following:

Jerry Adams	Development Specialist, SYC
Cordelia Clark	Program Supervisor, CMYC
Gloria Dabbs	Evaluator, CMYC
Keith Fowler	Development Specialist, SYC
Gary Gottfredson	Johns Hopkins University
Ross Mann	Coordinator, VDS Program
Lynn Summers	Development Specialist, SYC
Amy Warren	Evaluator, CMYC

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## 1. EVALUATION AND DEVELOPMENT IMPLEMENTATION STANDARDS

This manual contains Implementation Standards for vocational evaluation and placement for Evaluators, Development Specialists, and Case Managers in the intake dorm to use in their work. These standards all relate to the development of an initial Correctional Plan and its implementation through placement in a job at the time of the resident's release from Cameron Morrison Youth Center or Sandhills Youth Center.

The purpose of the standards—and this manual—is to provide a clear statement of Evaluator, Case Manager, and Development Specialist responsibilities in the creation and implementation of Correctional Plans. This clear statement should reduce ambiguity about what is expected and ensure that vocational services are provided in ways that are directed at the goals of the Vocational Delivery System Program at CMYC and SYC. The manual should help Evaluators, Case Managers in the intake dorm, and Development Specialists in the day-to-day conduct of their work.

The manual has four chapters and two appendices. The first chapter sets the context for the rest of the manual by reviewing the overarching goals of the Vocational Delivery System Program. Evaluation and Development are essential components of this overall program, and their objectives—also reviewed in the first section—are aimed at achieving many of the goals of the overall Program. The second chapter lists the standards for evaluation and the development of initial Correctional Plans. It provides an account of how evaluation and the creation of Correctional Plans should occur. The second chapter lists standards for Unit Team Supervision in the intake dorm. Because

the development of initial Correctional Plans takes place in this unit, the Unit Team Supervisor plays a key role in ensuring that vocational assessment, counseling, and the development of Correctional Plans occurs in a timely and orderly way. The fourth chapter lists standards for Development Specialists.

The two appendices provide additional materials needed to apply the standards contained in the body of this manual. The first appendix provides guidelines for the use of vocational assessments in counseling and Correctional Plan development. It contains important definitions needed to interpret the implementations standards for Vocational Evaluators. The second appendix shows the forms used in applying these implementation standards and describes how to use them.

### **1.1. Overarching Goals of the VDS Program**

The development of these Implementation Standards was guided by the goals of the Vocational Delivery System Program. An understanding of these Implementation Standards, and decision making in their day-to-day application, therefore requires an understanding of the overarching goals of the program. This section briefly discusses these goals.

The VDS Program has four goals:

1. Prepare residents for and place them in realistic, available, and stable vocational fields.
2. Remedy or ameliorate personal deficits or problems that may thwart the attainment of residents' vocational goals.

3. Create in each resident a sense of a personal stake in his career and his vocational plan.
4. Ensure timely support to help released residents cope with problems experienced in the transition to the free community.

In general, any activity that makes the achievement of these goals more likely is desirable. The following paragraphs elaborate on each of these four goals.

#### **1.1.1. Vocational Goals and Post-Release Job Placement**

The first goal is to prepare residents for and place them in a realistic, available, and stable vocational field. "Realistic means:

- a) An occupation in which a substantial number of openings are likely to exist in the local area to which the resident will be released.
- b) An occupation the resident would like and could do (i.e., an occupation matched to his interests and abilities).
- c) An occupation available to a person with the man's resources and liabilities. This includes his financial resources, prison record, educational attainment, and credentials.

The VDS Program takes several steps to further the achievement of this goal. Evaluators who conduct diagnostic activities at the time of reception to CMYC aim to identify the resident's interests and abilities at that time, and they work with Employment Security Commission (ESC) personnel to determine what vocational opportunities may realistically be available to the resident when released to his home community. ESC personnel advise Evaluators at CMYC and Development Specialists at SYC about the opportunities likely to be available in the resident's home community. Case Managers develop the Correctional Plan using input from many sources, including evaluation results.

Instructors at CMYC and SYC conduct training and educational activities intended to enhance residents' prospects for employment in their planned fields.

Evaluators have a crucial role in ensuring that the Correctional Plan to be created for incoming residents are based on the best information available about the residents' vocational interests and potential and about any special strengths or weaknesses the residents may have. The initial evaluations are aimed at ensuring that each resident follows a planful and productive course of educational, training, and ancillary activities. In short, the evaluation function is key in ensuring that the Correctional Plan focuses on a realistic vocational objective for the resident. The development function is key in homing the plan in on the actual placement of residents in employment after release and in ensuring that the plan continues to be realistic in terms of the residents' post-release work prospects.

#### **1.1.2. Remediation**

The second goal is to remedy or ameliorate personal deficits or problems (e.g., substance abuse) that may thwart the attainment of residents' vocational goals through treatment, remedial, or developmental services. Personal difficulties such as alcohol or drug abuse, difficulty in restraining impulses or resisting peer pressure, low self-esteem, or an inability to demonstrate responsible behavior can all reduce a man's prospects for successful post-release employment.

The VDS Program includes several features intended to further the goal of remedying or ameliorating such problems. Awareness and instructional programs

(Drug Education, Quest Skills, AA, Positive Self-Concepts, Sexual Awareness, Interpersonal Relations, I CAN, Career Readiness Training, SWAP) and life enrichment programs (Yokefellow, Jaycees, Explorers, Choir, Art, Flying, Christian Discipleship) are among these activities.

Evaluators and Development Specialists play important roles in achieving this goal. Evaluators conduct testing and interviewing—and review records—to identify any special problems the resident may have. Development Specialists must be vigilant to detect emergent problems and work with residents' Case Managers to identify appropriate resources for their remediation.

### **1.1.3. Personal Responsibility**

The third goal is to create in each resident a sense of a personal stake in his career and in his vocational plan. Put another way, an important assumption of the correctional philosophy underlying the VDS Program is that one all too common characteristic of residents of CMYC and SYC is a failure to grasp the connection between personal actions and personal success and failure. This implies that Evaluators and Development Specialists should utilize every available opportunity to make this connection clear to the residents.

In more explicit terms, the VDS Program is intended to help residents understand the consequences of their own behavior and that they can personally influence their own situations and their own future. By restraining impulses and avoiding problem behavior, and by acting purposefully and planfully to acquire skills needed in the free community they can create more beneficial

outcomes for themselves. A resident should come to understand that he has much to gain by productive behavior and conformity to rules, and that he has much to lose by troublesome behavior or a failure to acquire skills that will provide a career later on.

Helping the resident to develop a personal stake in his career and vocational plan is an important task for both Evaluators and Development Specialists. Although many of the Implementation Standards are aimed at this goal, a comprehensive account of all the opportunities an Evaluator or Development Specialist (and other personnel) have to develop this sense of personal control and responsibility is difficult to provide. In general, decisions about the day-to-day interaction with residents should be made by reflecting on whether the interaction enhances the attainment of this goal when more specific guidance is not provided by the Implementation Standards or other policy statements.

Commending a resident for a small accomplishment that required some effort or planning on his part is one way to enhance his sense of responsibility and control over his situation. Creating opportunities to achieve successes in small ways is another. Opportunities to develop and display new competencies should lead to an understanding that the resident's behavior does affect what happens to him and that he can to some extent control his situation. Ultimately this sense of personal control and responsibility should be tied to career plans.

#### **1.1.4. Transition to the Free Community**

A fourth goal is to ensure timely support to help released residents cope with problems experienced in the transition to the free community. Because many residents do not have stable employment histories or experience in coping successfully in employment settings, assistance in establishing themselves in stable employment is usually required.

A number of elements of the VDS Program are directed at this goal. Evaluators communicate with Employment Security Commission Offender Specialists to determine what job opportunities are realistic in the local area to which the resident will be released. Development Specialists work with the resident, his family, potential employers, and ESC personnel to assist in the transition from incarceration to employment in the free community.

A number of Implementation Standards are therefore directed to assisting in the achievement of the goal of support during transition to the free community. In addition, day-to-day decisions about interactions with the resident should be made whenever possible in ways that enhance the likelihood of a smooth transition to employment upon release.

#### **1.2. Objectives of Evaluation and Correctional Plan Development**

The specific objectives of Evaluation and Correctional Plan Development include the following:

1. Within four weeks of a resident's arrival at CMYC create a Correctional Plan with the following characteristics:
  - a. Identifies a vocational goal congruent with the resident's aptitudes, interests, and realistic job possibilities.

- b. Specifies vocational training congruent with the resident's interests, aptitudes, and realistic job possibilities.
  - c. Specifies the support services required for remediation in deficit areas or to strengthen a resident's assets.
  - d. Provides an orderly sequence of events to achieve the vocational goal that is flexible enough to be implemented.
  - e. Takes realistic account of the likely progression of a resident through custody levels and of his anticipated release date.
  - f. Utilizes available family resources.
  - g. Utilizes available community resources, including work release.
  - h. Utilizes Employment Security Commission resources.
  - i. Entails a vocational plan that is demonstrably superior to the resident's prior vocational situation unless the resident's prior situation was already salutary.
2. In addition to creating a plan with the foregoing characteristics, create this plan in such a way that the following are also true:
    - a. The resident accurately describes his plan, both in terms of immediate implications for his activities and in terms of the future implications of the plan.
    - b. The resident regards the plan as credible.
  3. By the end of the evaluation period, ensure that the resident understands the behaviors that are expected of him:
    - a. Complying with activities in the Correctional Plan.
    - b. Following the rules of the unit.

Several longer-term general objectives are shared with other functions at CMYC and SYC. These general objectives include the following:

4. Promote the extent to which residents participate actively in the activities spelled out in their Correctional Plans, and successfully complete those activities.
5. Contribute to the residents' sense of personal control and responsibility.
6. Enhance the residents' future time orientation.

Naturally the activities of many other groups in the institutions will contribute to the attainment of some of these objectives, especially

objectives 4, 5, and 6. Nevertheless it is important to specify the activities Evaluators and Case Managers in the intake-dorm engage in to specify Implementation Standards directed at each of these six objectives.

## 2. IMPLEMENTATION STANDARDS FOR EVALUATION AND CORRECTIONAL PLANNING

### 2.1. Activities Related to Intake into the System

#### 2.1.1. Enrollment

1. Computer enrollment of all experimental and comparison residents will be completed within five working days of their arrival at CMYC using the Resident Enrollment/Change Form. Initial efforts will be made to determine the resident's Social Security Number, and if a SSN is available it will be shown on the Enrollment Form. (All residents.)
2. Following a review of the unit jacket, an Evaluator will conduct an initial interview with arriving residents no later than the Tuesday following the residents' arrival. This interview will entail an introduction to the evaluation process, attempts to establish rapport, and checking to determine if the resident understands what will take place during evaluation. (All experimental residents.) Standard = \_\_\_%.
3. A complete copy of the DOC referral form (121 or 170), Evaluation Summary, testing materials (except actual GATB scores), and approved Correctional Plan will be filed in this VDS Contact File when they become available. Standard = \_\_\_%.
4. Notes of all interactions with the residents will be maintained and placed in a VDS contact file established at the time of the first resident contact. Standard = all interactions with all experimental residents.

#### 2.1.2. Testing and Interviewing: Experimental Residents

Interest and aptitude testing, and consultation with the resident about his vocational aspirations and plans, will be completed within three weeks of the man's arrival at CMYC. This entails the following steps:

1. Vocational interest and aspiration assessment.
  - o All arriving experimental residents are asked to state their vocational aspirations, and the three most preferred occupations are listed in order of preference. Standard = \_\_\_% list at least one expressed preference.
  - o All arriving experimental residents are requested to complete the CAI (if initial estimates imply they read at the 6th grade level or better) or to participate in an oral administration of another inventory such as the SDS-Form E (if initial estimates imply their reading competency is below that required to complete the CAI). Standard = \_\_\_% complete an inventory.

2. Vocational aptitudes assessment.

- o Any arriving experimental resident whose record does not contain a recent<sup>1</sup> (within one year) set of WRAT scores is asked to complete the WRAT. Standard = \_\_\_\_%.
- o All arriving experimental residents who read at the 5th grade level or better according to the WRAT or educational records are administered the GATB. Standard = \_\_\_\_%.
- o When (a) an experimental residents' contemplated vocation calls for special dexterity, mechanical comprehension, or visual acuity; and (b) the GATB results provide insufficient guidance; and (c) manuals or other information pertaining to the following tests provide guidance in interpreting their results for the contemplated occupational choice; appropriate tests from among the following are administered:

Crawford Small Parts Dexterity Test, or Valpar coordination test

Bennet mechanical or clerical comprehension tests<sup>2</sup>

Snellen Chart for far visual acuity or Dvorine Color Vision Test

3. Occupational exploration. When occupational exploration is desirable according to the guidelines spelled out in Appendix A, the resident will be requested to engage in any of the following activities judged most appropriate by the Vocational Evaluator:

- o Work sampling (blueprint reading, lamp assembly, small engine repair, etc.)
- o COIN
- o Reading in the **Guide to Occupational Exploration** or **Dictionary of Occupational Titles**.
- o Oral description of occupations (nonreaders).

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<sup>1</sup>What is the issue relating to academic school?

<sup>2</sup> In a memo you told me that any arriving experimental resident who reads below the 5th grade level is administered the Bennett Mechanical Comprehension Test, the Crawford Small Parts Dexterity Test, and the Bennett Hand Tool Test in lieu of the GATB. Are you referring to the Bennett Mechanical Comprehension Test Form AA--intended for high school or trade school groups? Forms BB and CC are even higher level tests, as I understand it. Is this test suitable for poor readers? We need to write guidelines for the use of these tests.

### 2.1.3. Interpretation, Counseling, and Correctional Plan Development

The following standards apply to Experimental residents.

#### 1. Interpretation

- o Interview and test results are interpreted by seeking an integration of the resident's aspirations, measured interests, aptitudes, other personal strengths and weaknesses, and vocational training possibilities at CMYC, SYC, or other locations to which the resident will have access. This is a matching process, with two aspects of the "match" to be considered for each resident. (Other considerations are also important in interpreting results, including any personal handicaps, prior educational attainment or credentials, family resources. Detailed guidance in interpreting tests and inventories is provided in Appendix A.)
- o The first aspect of the matching process involves determining the resident's areas of interest. For all experimental residents, a determination will be made that one of the following characterizes the resident:
  1. The resident has an expressed interest that he can explain and that is supported by the scores in that interest area according to the CAI or WRIOT results (i.e., the congruence score between the resident's aspiration and interest inventory profile is 20 or above).
  2. The resident does not have any strongly expressed interest, but the interest inventory results imply interests in work in one or more areas and less interest in one or more other areas (i.e., interest profile differentiation is at or above the 25th percentile for the respective inventory--a differentiation score of 13 or greater on the CAI).
  3. Neither (1) nor (2) above is true of the resident, and the resident's interest profile is flat (i.e., interest profile differentiation is below the 25th percentile for the respective inventory--a differentiation score of 12 or below on the CAI).
  4. Neither (1) nor (2) above is true of the resident, and the resident's interest profile is depressed as well as flat (i.e., the profile shows low differentiation and the percentage of items marked "like" is below the 20th percentile--% like responses of 36 or below on CAI activities and 20 or below on CAI occupations).

Standard = \_\_\_%.

- o The second aspect of the matching process involves determining the occupations for which the resident shows likelihood of success based on his ability and aptitude test results. For all experimental residents, a determination will be made that one of the following characterizes the resident:

1. The resident's GATB scores<sup>3</sup> support the choice of an expressed choice or employment in an area of measured interests and appropriate training in that area is available to the resident. A GATB profile supports the vocational area if all relevant GATB scores are above the "GATB norms" for that area (or if only a single relevant score is below the "norm" but is within a standard error of measurement of the "norm").
2. The resident's GATB scores support the pursuit of a vocational area for which appropriate training is available, but that area is not congruent with the resident's expressed choice or measured interests. A GATB profile supports the vocational area if all relevant GATB scores are above the "GATB norms" for that area (or if only a single relevant score is below the "norm" but is within a standard error of measurement of the "norm." Residents may have (a) well-defined interests not congruent with available training, (b) a flat interest profile that is not depressed, or (c) a depressed interest profile.
3. The resident's GATB scores are such that neither (1) nor (2) above is true, but the resident has an expressed preference or measured interest in an area for which appropriate training is available.
4. The resident's GATB scores are such that neither (1) nor (2) above is true, and the resident has neither an expressed preference nor measured interest in any area for which training is available. Residents may have (a) well-defined interests not congruent with available training, (b) a flat interest profile that is not depressed, or (c) a depressed interest profile.

Standard = \_\_\_%.

#### 2.1.4. Counseling (Experimental Residents)

The next steps in developing a Correctional Plan involve achieving a consensus among the resident, the intake dorm Case Manager, and Evaluator on a vocational goal and the steps to be taken to achieve it. These steps should lead to the accomplishment of the six objectives of the evaluation function.

All test results are discussed with the resident by focusing on the relation between his scores on each specific test and his expressed vocational preferences (i.e., the occupations he is contemplating at the time) or by suggesting areas for exploration for a resident not contemplating a career in

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<sup>3</sup> For simplicity, "GATB scores" refers not only to GATB results but also results from other appropriate aptitude or ability tests—or credentials previously acquired. For example, color vision is required for some aspects of the work in the electrical wiring field, so results of the Dvorine Color Vision Test would be relevant. Or, if the resident has previously been successfully employed as a mechanic he is obviously suited to that kind of work.

any specific area. In general, the course and outcomes of counseling interviews will be different for residents with the different patterns of interest and aptitude test results laid out above.

Standard = \_\_\_\_%.

1. Residents in the first group--those with clear interests in an area where training is available and with evidence of the aptitudes to perform well in that area--are probably the easiest group to counsel. Both interest and aptitude test results will tend to reinforce their expressed preferences, and appropriate vocational preparation is available.
2. Residents in the second group--those whose aptitude test results imply that they would likely be successful in fields of work for which vocational preparation is available, but whose interests lie elsewhere--are more difficult to counsel. If the resident has well defined interests in an area other than one for which training is available at CMYC/SYC, then counseling should focus first on a discussion with the resident of whether his aptitude test results support his interests or expressed preference. If they do, plans might be made to study vocational preparation using resources not available at CMYC/SYC and to engage in activities while incarcerated that serve avocational ends. If the resident's aptitude test results do not tend to support his expressed preference or measured interests, then counseling would focus on the exploration of areas for which training is available and for which the resident's aptitudes imply the likelihood of success. Such exploration might involve work samples, examination of **Guide to Occupational Exploration** or **Dictionary of Occupational Titles** descriptions, etc. The objective of this counseling is to secure at least tentative commitment from the resident to pursue training in an area matched to his aptitudes, or to create a credible plan to acquire the competencies necessary in the vocational field he prefers. If the resident's profile is not simply flat but is also depressed, his apparent lack of enthusiasm should be discussed, the counselor should try to identify any activities about which the resident is at least moderately enthusiastic, and personality test results should be discussed with the resident to learn if referral for psychiatric evaluation or assistance may be helpful.
3. The third group--residents with clear interests but whose aptitude test results suggest that success in the vocational areas where training is available is unlikely--present a sensitive counseling problem. The objective of the counseling is to create a credible plan to acquire skills that will be needed to secure employment in the area of the resident's interests or in an area where his competencies are greatest, and to secure at least tentative commitment to that plan.
4. The fourth group--residents with GATB results that suggest success in areas where training is available is unlikely and without clear interests or vocational preferences--require assistance in exploring vocational possibilities matched to their aptitudes. The objective of counseling is to create a credible plan to acquire the skills needed in some area, and to secure at least tentative commitment on the part of the resident to that plan. Counseling would make use of vocational exploration, work sampling, and the like.

### 2.1.5. Plan Development (Experimental Residents)

The resident, Evaluator, and Case Manager must arrive at a Correctional Plan that is feasible and accords to the extent possible with the outcomes of the counseling process. The expected Correctional Plans depend on the results of the vocational assessment and counseling process. These Correctional Plans will fall into four broad categories corresponding to the four groups of residents described above:

#### Category 1

For Residents whose Interests and Aptitudes Match Available Training Resources

1. Entry-level CMYC vocational training in area congruent with both interests and aptitudes. Standard = \_\_\_\_%.
2. Assignments to remedy deficits identified in Evaluation Summary (remedial assignments are made prior to assignment to vocational training if assessment and counseling results imply this sequence is necessary.) Standard = \_\_\_\_%.
  - a. Academic school: The plan should show the reading and math levels that must be achieved as a result of academic schooling in order for the resident to attain his vocational goal. Standard = \_\_\_\_%.
  - b. Psychological/psychiatric services: Plan should specify a treatment goal, that is it should specify what goal or status is to be sought through treatment. Standard = \_\_\_\_% of cases where a need is specified in the Evaluation Summary/Needs Assessment.
  - c. Treatment groups: Plan should specify a treatment goal. Standard = \_\_\_\_% of cases where a need is specified in the Evaluation Summary/Needs Assessment.
3. Motivation Component
4. Assignments in areas of personal interest identified in the Evaluation Summary/Needs Assessment. Standard = \_\_\_\_%.
5. Advanced training at CMYC or SYC in the same area as initial training and congruent with the resident's vocational goal: Plan should specify the total number of hours of training required.<sup>4</sup> Standard = \_\_\_\_%.
6. On-the-job training (OJT) or work release in the same area as vocational training and in the same area as the resident's vocational goal. Standard = \_\_\_\_% of residents with anticipated stays of 8 months or longer.

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<sup>4</sup> If there is no advanced training available, we may expect that this standard will generally go unmet.

7. Community Readiness Training. Standard = \_\_\_\_%.

Category 2

**For Residents Whose Interests Do Not Match Available Training Opportunities but With Requisite Aptitudes**

1. Entry-level CMYC vocational training in area congruent with aptitudes as identified in Evaluation Summary: Specify hours of training or specific modules required. Standard = \_\_\_\_%.
2. Assignments to correct deficits identified in Evaluation Summary (Remedial assignments are made prior to assignment to vocational training if assessment and counseling results imply this sequence is necessary.) The plan should specify the specific competencies that must be acquired. Standard = \_\_\_\_%.
  - a. Academic school: Specify the reading and math levels required.
  - b. Psychological/psychiatric services: Specify treatment goals.
  - c. Treatment groups: Specify treatment goals.
3. Motivation Component
4. Assignments in areas of personal interest identified in the Evaluation Summary/Needs Assessment. Standard = \_\_\_\_%.
5. Scheduled Evaluator reassessment and review after 6 weeks and before 60 days. Standard = \_\_\_\_%.
6. Advanced training at CMYC or SYC in the same area as initial training unless re-evaluation clearly implies the desirability of a change in area.<sup>5</sup> Standard = \_\_\_\_% of residents with stays longer than 8 months.
7. On-the-job training (OJT) or work release in an area matching vocational training and the resident's vocational goal (initial goal or revised goal based on re-evaluation). Standard = \_\_\_\_% of residents with stays longer than 8 months.
8. Community Readiness Training Standard = \_\_\_\_%.

Category 3

**For Residents Whose Interests Match Available Training Opportunities but Without Requisite Aptitudes** (plans to strengthen work habits, provide practice and reinforcement opportunities, and reinforce for progress)

1. Intensified Life Skills training if the Evaluation Report implies these are needed: Specify specific skills in which competency is

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<sup>5</sup>If advanced training is unavailable, we can anticipate that this standard will often go unmet.

<sup>6</sup>If intensified Life Skills training is unavailable, we may anticipate that

needed. <sup>6</sup> Standard = \_\_\_%.

2. Assignments to overcome deficits and to develop competencies required to achieve the resident's vocational goal (Remedial assignments are made prior to assignment to vocational training if assessment and counseling results imply this sequence is necessary.) Standard = \_\_\_%.
  - a. Academic school: Specify reading and math levels required.
  - b. Psychological/psychiatric services: Specify treatment goals.
  - c. Treatment groups: Specify treatment goals.
3. Specific remedial vocational training modules targeted at developing competencies in areas required by resident's planned occupation but which testing implies require development: Specify specific competencies to be acquired. Standard = \_\_\_%.
4. Motivation Component
5. Basic OJT. Standard = \_\_\_%.
6. Assignments in areas of personal interest identified in the Evaluation Summary/Needs Assessment. Standard = \_\_\_%.
7. Recurrently scheduled supportive counseling and possible reassessment (first reassessment 6 weeks to 60 days after arrival). Standard = \_\_\_%.
8. Individualized plans to earn reinforcements to be implemented by Case Managers. Standard = \_\_\_%.
9. Vocational goal and placement plan congruent with aptitudes (including possible placement in helper positions, sheltered workshop). Standard = \_\_\_%.

#### Category 4

For Residents Whose Interests **Do Not Match Available Training Opportunities and Without Aptitudes Required in Areas of Available Training** (plans to strengthen work habits, provide practice and reinforcement opportunities, and reinforce for progress)

1. Intensified Life Skills training if the Evaluation Summary implies it is needed: Specify skills that must be acquired. Standard = \_\_\_%.
2. Assignments to remedy deficits identified in the Evaluation Summary (remedial assignments are made prior to assignment to vocational

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this standard will often go unmet.

If specific remedial training is unavailable, we may anticipate that this standard will often go unmet.

training if assessment and counseling results imply this sequence is necessary.) Standard = \_\_\_\_%.

- a. Academic school: Specify reading and math levels required.
  - b. Psychological/psychiatric services: Specify reason for referral or treatment goal.
  - c. Treatment groups: Specify treatment goal.
3. Specific remedial vocational aptitude modules targeted at competencies required in vocational area but requiring development according to the Evaluation Summary: Specify competencies to be required. Standard = \_\_\_\_%.
  4. Motivation Component
  5. Basic OJT. Standard = \_\_\_\_%.
  6. Assignments in areas of personal interest identified in the Evaluation Summary/Needs Assessment. Standard = \_\_\_\_%.
  7. Recurrently scheduled supportive counseling and possible reassessment (first reassessment 6 weeks to 60 days after arrival). Standard = \_\_\_\_%.
  8. Individualized plans to earn reinforcements to be implemented by Case Managers. Standard = \_\_\_\_%.
  9. Vocational goal and placement plan congruent with aptitudes (including possible placement in helper positions, sheltered workshop). Standard = \_\_\_\_%.

## 2.2. Formalizing the Correctional Plan

### 2.2.1. Tentative Enrollment

On or before the Wednesday prior to the Staff Conference, the Evaluator and Case Manager meet to completed Evaluator Enrollment/Change Form to be submitted to the computer to enroll the resident in educational and vocational classes anticipated. (Note: This seems strange. It seems like the following step should really be taken first and that this step is taken for convenience but may be counterproductive.) Standard (if this practice is to be retained) = \_\_\_\_%.

### **2.2.2. Staff Conference (Experimental Residents)**

The resident, Evaluator, Development Specialist, Case Manager, and a family member (if feasible) meet to formulate a tentative correctional plan and Mutually Agreed Parole Plan (MAPP) contract. Steps have been taken to secure Employment Security Commission (ESC) Offender Specialist advice on employment possibilities in the area of the resident's likely release prior to this meeting. The objective of this meeting is a tentative Correctional Plan and MAPP contract the resident, Case Manager, Evaluator, and Development Specialist agree on and which the resident can describe and justify. Standard = \_\_\_%.

### **2.2.3. Written Evaluation Summary (Experimental Residents)**

A written Needs Assessment and Evaluation Summary, complete with testing results and recommendations for case managers is completed as a part of a DOC 121 or 170 referral for ICC action by the Monday of the fifth week after the resident's arrival. This written summary includes the following:

1. A statement that an account of steps taken to secure a Social Security Number can be found in the Evaluator's action file if a number has not already been entered in the computer,
2. A statement telling whether the tentative Correctional Plan resulting from the Staff Conference accords with the guidelines above; or providing explanations for any deviations from the guidelines.
3. An account of the reasons reassessment at a later time may be appropriate (e.g., a vocational aspiration incongruent with the interest profile, flat interest profile, depressed interest profile, client appeared not to take the evaluation seriously, indications of low resident self-esteem, profile invalidity, or poor testing attitude).

Standard = \_\_\_%.

### **2.2.4. Unit Team Meeting**

Evaluators participate in the Unit Team Meeting when experimental cases are presented for approval of plans (Monday of the fifth week after arrival). Implementation standard is approval of \_\_\_% of the tentative plans developed in the Staff Conference.

### **2.2.5. ESC Notification of Correctional Plan and Reply**

After final approval of the Correctional Plan by the ICC, a letter will be sent to the ESC Offender Specialist describing the proposed training, number of hours of training, and proposed release date. Standard = \_\_\_%.

A signed returned copy of this letter will be filed in the VDS contact file, a copy will be placed in the unit jacket, and a copy will be given to the resident. Standard = \_\_\_%.

If the ESC Offender Specialist fails to return the letter within 30 days, a follow-up phone call will be made by the Evaluator in an attempt to secure its return. (If the follow-up fails to result in the return of the letter in two weeks, the director of the ESC Program will be asked for help.)

### **2.3. Continuity with Development Specialist Function**

Evaluators will contact the CMYC records office each Tuesday to determine of experimental residents will be transferred to SYC the following day. VDS Contact Files for transferring residents will be delivered to Development Specialists at the Staff Conference.

### 3. IMPLEMENTATION STANDARDS FOR INTAKE UNIT TEAM SUPERVISION

#### 3.1. Assignment

Newly arrived medium custody residents at CMYC are assigned to an intake dorm. The Unit Team Supervisor in this dorm is responsible for screening new residents by the evening (Tuesday) of their arrival. Screening sheets will be prepared containing ?????? information about each resident, group designation resulting from the randomization procedure (see below), and case manager and evaluator assignment. The case manager and evaluator assignments will be made in such a way as to equalize (a) caseload size, (b) race, (c) type of sentence, and (d) group designation. (Note: What is this about?)

#### 3.2. Randomization

The Unit Team Supervisor will follow the randomization procedures described below and maintain the records of randomization using the form shown in the appendix. (Details to be inserted here.)

#### 3.3. Orientation and Screening

##### 3.3.1. Screening Sheets

To provide all incoming residents with an opportunity to learn about services available at CMYC, and to provide activity facilitators an opportunity to discuss the appropriateness of participation in their activities with residents, orientation and screening sessions are required. Screening sheets will be copied by the Unit Team Supervisor and distributed to the following for screening:

- Academic/vocational class facilitators
- Vocational Rehabilitation personnel
- Positive self-concepts facilitator
- Quest skills facilitator
- Marriage and family facilitator
- AA facilitator
- Sexual awareness facilitator
- Drug education facilitator
- Interpersonal relations facilitator
- Intake-dorm Case Manager
- Intake-dorm Evaluators (Experimental Residents)
- Lieutenant

Screening and orientation should be completed within three weeks after the residents' arrival at CMYC.

### 3.3.2. Coordination of Orientation

The Unit Team Supervisor of the intake-dorm is responsible for coordination of the weekly orientation program.

The Unit Team Supervisor will begin orientation of new residents the morning after their arrival, and he/she will provide an introduction to the institution and an overview of its goals, objectives, and function.

### 3.3.3. Letters

The Unit Team Supervisor will obtain home addresses of residents for the following purposes:

1. Mail an explanatory letter to the resident's family to include:
  - o Introduction and invitation for active involvement in planning
  - o Visiting regulations
  - o Personal property and mail regulations
  - o CMYC location
2. Obtain addresses of experimental residents to prepare a memorandum forwarded to the following within one week of arrival:
  - o Director of the Employment Security Commission Institutionalized Offender Program
  - o Mutually Agreed Parole Plan Case Analyst
  - o Sandhills Youth Center Development Specialist

### 3.3.4. Assignments

The Unit Team Supervisor will assign new arrivals in the computerized information system using the Assignment Form (see appendix). Initial assignments will be as follows:

1. Academic school if the resident has neither a high school diploma nor a GED certificate.
2. Lifeskills if the resident has not previously completed this course at CMYC.
3. Unassigned if neither (1) nor (2) above result in enrollment.

### 3.4. Tracking

The Unit Team Supervisor will maintain a weekly tracking calendar to ensure that assigned residents are progressing through evaluation and planning in accordance with the following timetable:

- o ?????
- o ?????
- o ?????
- o ?????

#### **4. IMPLEMENTATION STANDARDS FOR DEVELOPMENT**

##### **4.1. Development Services for Experimental Residents**

Development Specialists will provide development services to all experimental residents. These services are as follows:

###### **4.1.1. Enrollment**

1. On arrival at SYC, new residents are listed on the Resident Intake Form by the Program Supervisor responsible for screening. A copy is sent to the Development Specialists' office area by Wednesday of each week.
2. The SYC Program Director checks the list to determine that all arriving residents are already listed on the computer forms. He/she signifies this by assigning the group designation letter beside each resident's name (E, C, O, F). If a resident transferring from CMYC is not already listed, the Program Director notifies the CMYC Minimum Program Director I. The Program Director enrolls residents arriving from institutions other than CMYC in the computerized information system. To accomplish the enrollment of these external transfers, the Case Manager completes enrollment forms designating the non-CMYC arrivals as Fillers.
3. Upon receipt of the resident intake form, the Development Specialist reviews it to determine that all E designated arrivals are properly listed on their computerized tracking sheet. The SYC Computer Coordinator is notified if any E resident is not properly listed.

###### **4.1.2. Initial Interview**

1. The Development Specialist conducts an initial interview with all E residents on the first Tuesday after their arrival at SYC. (This initial interview may be postponed in case of emergency or illness.)
2. During the initial interview, the Development Specialist will:
  - a. Get acquainted with the resident.
  - b. Review the resident's institutional file to determine if all vocational certificate copies are filed. If any are missing for residents at SYC, the SYC Program Director will be notified and he/she will in turn contact the CMYC Minimum Program Director I to: (a) obtain an original or copy, and (b) determine why the certificates were not filed appropriately. A record of problem cases will be maintained by the Program Director to monitor the scope of any problems. A report of problem cases will be reported to the SYC Superintendent in the Program Director's Monthly Activity Report. If certificates are missing for residents at CMYC the CMYC Program Director will be notified, and he/she will (a) obtain an original or

copy, and (b) determine why the certificates were not filed appropriately. A record of problem cases will be maintained by the Program Director to monitor the scope of any problems. A report of problem cases will be reported to the CMYC Superintendent in the Program Director's Monthly Activity Report.

- c. Verify that the resident has been MAPPED or is an RYO. If the resident neither has a MAPP contract nor is an RYO, The Development Specialist immediately notifies the Program Director at the resident's institution. The Program Director will determine (or if at SYC, contact the CMYC Program Director to determine) why the resident has not been MAPPED. Program Directors will keep a record of these cases on file and include an account of them (including reasons for failure to MAPP) in his/her Monthly Activity Report.
- d. Determine that the resident has on file an appropriate home plan and Social Security number. If either is missing, the Development Specialist will notify the Program Director in the institution where the resident is located. The Program Director will maintain a record of cases without a home plan and provide an account of them in his/her Monthly Activity Report. The Program Director will assign the resident's Case Manager to develop a home plan with the resident. The Development Specialist will work with the resident to obtain a Social Security card.
- e. Review the resident's progress to determine if he is successfully completing his Correctional Plan (and if applicable, MAPP contract). If the resident's progress diverges from either the MAPP or CP, (e.g., the resident's activities are not in accordance with the plan, or if the plan appears to require modification), the Development Specialist will notify the SYC or CMYC Program Director--depending on the location of the resident. The Program Director will:
  - o Direct the resident's Case Manager to investigate and take corrective action,
  - o Determine why the divergence exists,
  - o Maintain a record of the problems and the reasons for them,
  - o Report on these problems in the Monthly Activity Report.
- f. Complete the ESC Institutionalized Offender Project Referral Form on the day of the initial interview at SYC (or 45 days prior to anticipated release from SYC or CMYC if notified by cognizant Case Manager early enough to do so, or within five working days of notification if fewer than 45 days remain prior to release) and forward it to the ESC IOP immediately.

#### 4.1.3. Development

1. Development Specialists will see experimental residents at least once every 30 days. Dates of contact with the resident will be recorded on the Development Specialist's Tracking Sheet. Contact activity will be noted in the VDS file on the Case Progress Notes Form. In these contacts, the Development Specialist will:
  - a. Track resident progress in training. (If a resident has stated dissatisfaction with his training, the Development Specialist should notify the resident's Case Manager to initiate the steps outlined in the **Correctional Plan Implementation Standards**.)
  - b. Promote progress toward the successful execution of the resident's job or home plan, or the acquisition of job or home plans or a Social Security Number.
  - c. Provide developmental counseling aimed at readying the resident for the transition to the free community. This counseling involves the following interactions:
    - o Employability counseling aimed at ensuring that vocational training is going as planned and that emerging problems are resolved.
    - o Counseling on the use of community resources, e.g., locating community drug or alcohol treatment programs.
    - o Counseling aimed at developing daily living skills, e.g., skills needed to conduct banking activities, secure insurance, and obtain housing.
2. The Development Specialist (DS) will work with the ESC Offender Specialist (OS) to whom the resident's Referral Form was mailed to schedule an appointment for the OS to meet with the resident and DS at least 6 weeks before the resident's anticipated release date. In this meeting the OS, with assistance from the DS, will:
  - a. Begin work on the ESC Employability Development Plan (EDP), a plan for post-release employment and community re-entry.
  - b. Complete an ESC Acceptance Form, a copy of which will be left with the DS at the end of the meeting.
  - c. Schedule additional meetings as necessary to complete employability and community re-entry plans (EDPs).
3. The DS will determine that progress is occurring according to the EDP, and intervene to correct any problems. All substantial problems will be reviewed with the appropriate Program Director (depending on the institution where the resident is located), who will in turn include an account of these problems in the Monthly Activity Report.
4. The Development Specialist will meet with residents who request an

appointment within five working days.

5. The Development Specialist will confer with each experimental resident's Case Manager and Vocational Instructor each month to identify problems and progress. These consultations will focus on monitoring progress in vocational activities specified in the Evaluation Summary and Correctional Plan, i.e., they will focus on the specific vocational competencies the Plan calls for. Notations describing these consultations will be recorded in the resident's VDS Contact File on the Case Progress Notes Form.
6. The Development Specialist will work with the ESC OS to complete an EDP no later than 30 days before each experimental resident's anticipated release date. A copy of the completed EDP will be forwarded to the resident's Case Manager and the original will be filed in the VDS File.
7. The Development Specialist will telephone (or write if telephone contact is not feasible) the address listed in the resident's home plan the Friday after the initial interview to identify resources and significant sources of support, unless such contact is deemed inappropriate. Additional home/family contacts will be made as necessary to assist in setting up home visits during the week for job interviews and the like. Development Specialists will not engage in family counseling or crisis resolution, and instead will assist the resident in locating appropriately trained community resources if needed.
8. Development Specialists will confer with Evaluators when Case Managers propose a change in a resident's Correctional Plan that relates to his vocational goal or training. The DS and Evaluator will reach a consensus on their joint response to the proposal, and the DS (if the DS was initially approached by the Case Manager) will communicate this consensus to the Case Manager. If the proposed Correctional Plan change is inappropriate, the DS will write a note to the Case Manager explaining the objections to the change and proposing an alternative. (Case Managers who proceed with the change procedures will include this note when forwarding the proposal to the ICC.)

#### **4.2. Verification Review (Experimental Residents Released from CMYC)**

A verification review will be conducted for all experimental residents released directly from CMYC within 10 working days of notification of anticipated release by the cognizant Case Manager. In the verification review, all the activities ordinarily conducted in the initial interview (see section 4.1.2) at SYC will take place, except activity (a).

#### 4.3. Follow-up (Experimental and Comparison Residents)

1. When an experimental or comparison resident is released or transferred from SYC or CMYC, the Development Specialist will verify his release/transfer plans to insure that the computerized information system has the correct information (i.e., that the information shown in the Correctional Plan is complete). The Offender Specialist is contacted upon the resident's release to be sure he or she knows the resident is in the community.
2. Two weeks after an experimental or comparison resident is released, the DS will send a follow-up letter to the resident's Parole Officer (if the resident was paroled) or the ESC Offender Specialist (if the resident was released other than to parole supervision). If the letter is not returned within 3 weeks after the resident is released, the DS will contact the addressee to secure its return. If the letter is not returned within 6 weeks after release, the DS will contact the SYC Program Director who will attempt to solve the problem and not its occurrence in the Monthly Activity Report. (This is known as the one-month follow-up.)
3. Six weeks after an experimental or comparison resident is released, the DS will send a follow-up letter to the resident's Parole Officer (if he has one) or the ESC Offender Specialist. If the letter is not returned within 3 weeks, the DS will contact the addressee to secure its return. If the letter is not returned within 6 weeks, the DS will contact the SYC Program Director who will attempt to solve the problem and not its occurrence in the Monthly Activity Report. (This is known as the two-month follow-up.)
4. Ten weeks after an experimental or comparison resident is released, the DS will send a follow-up letter to the resident's Parole Officer (if he has one) or the ESC Offender Specialist. If the letter is not returned within 3 weeks, the DS will contact the addressee to secure its return. If the letter is not returned within 6 weeks, the DS will contact the SYC Program Director who will attempt to solve the problem and not its occurrence in the Monthly Activity Report. (This is known as the three-month follow-up.)
5. Five and one-half months after an experimental or comparison resident is released, the DS will send a follow-up letter to the resident's Parole Officer (if he has one) or the ESC Offender Specialist. If the letter is not returned within 3 weeks, the DS will contact the addressee to secure its return. If the letter is not returned within 6 weeks, the DS will contact the SYC Program Director who will attempt to solve the problem and not its occurrence in the Monthly Activity Report. (This is known as the six-month follow-up.)
6. If any follow-up contact reveals a problem for an experimental releasee, the DS will contact the Offender Specialist or Parole Officer to make them aware of the problem and enlist their action to resolve it.

#### **4.4. Services to Non-Experimental Residents**

Development Specialists will provide services to non-experimental residents as a second priority and as allowed by time. The procedures and services for non-experimental residents are as follows:

1. Residents will be seen at their own request or as a result of staff referral.
2. Services will be limited to coaching residents in appropriate job seeking methods and referring them to placement assistance sources excluding the ESC Offender Specialist.

#### **4.5. Monitoring of Implementation Standards**

Monitoring the Implementation Standards for Development is the responsibility of the SYC Program Director I. The PD-I will determine that Development meets or exceeds the Implementation Standards outlined above. Examples of how this may be done are outlined in a 12 January 1984 memorandum. These monitoring mechanisms require further elaboration.

## APPENDIX A. VOCATIONAL ASSESSMENTS AND VOCATIONAL PLANNING

This appendix illustrates the application of the vocational assessments used in the VDS Program in developing vocational plans as part of the correctional planning process. The part of the VDS Program known as "evaluation" involves the administration of several tests to provide information about residents' interests, developed aptitudes, and other personal characteristics. The instruments used include the General Aptitude Test Battery (GATB), the Career Assessment Inventory (CAI), the Wide Range Interest-Opinion Test (WRIOT, a picture interest inventory), and other specialized tests of developed abilities. The results of these tests contribute to the development of Correctional Plans focusing on vocational preparation and placement of residents in jobs after release.

General guidance in the use of these assessment devices is provided in their manuals, and anyone using any of these instruments in providing vocational assistance should have studied its manual thoroughly and understood its contents. This appendix supplements the manuals for these devices by spelling out how scores are to be used in the context of the VDS Program.

### A.1. The GATB

The GATB provides scores on nine measures of developed aptitude. These measures are:

- o G--Intelligence (a composite of scores on Three-Dimensional Space, Vocabulary, and Arithmetic Reasoning.)
- o V--Verbal Aptitude (Vocabulary)
- o N--Numerical Aptitude (a composite of scores on Computation and Arithmetic Reasoning)

- o S—Spatial Aptitude (Three-Dimensional Space)
- o P—Form Perception (Tool Matching and Form Matching)
- o Q—Clerical Perception (Name Comparison)
- o K—Motor Coordination (Mark Making)
- o F—Finger Dexterity (Assemble and Disassemble)
- o M—Manual Dexterity (Place and Turn)

These measures provide crude assessments of developed aptitudes in areas related to vocational success in different jobs. The assessments are by no means precise, and our knowledge of the relation of scores on the GATB to success in different areas is far from complete. The GATB can serve only as a rough guide to vocational decision making. The major virtue of the GATB is that the U.S. Employment Service has provided estimates of scores on the GATB scales it expects to be required in a large number of diverse occupations. These estimates provide a basis for matching a person's aptitudes according to the GATB with this wide variety of occupations.

#### **A.1.1. GATB "Norms"**

In a program of research dating from the 1940's (Dvorak, 1947; U.S. Department of Labor, 1969, 1970), the Department of Labor has developed information useful in interpreting GATB results in relation to occupations a person is considering. Specifically, job analysts observed occupations and made judgments about the specific aptitudes required in them, trainees or incumbents in a large number of jobs were tested with aptitude scales, the validities of test scores in predicting success in training or performing jobs according to objective or subjective criteria were scrutinized, and the results of all these activities were combined to provide what are called "GATB

norms" for occupations and groups of occupations. These "norms" are really a set of cutting scores on GATB scales believed to be justifiably related to the likelihood of success in different occupations.

The researchers who developed the GATB "norms" thought it important to use test scores in guidance only if the preponderance of evidence (including job analysis evidence) implied that the score should be related to success. Rightly or not, they have assumed that for most jobs information from only some of the scales in the GATB should be used. Typically, "norms" or cutting scores are provided only on two to four GATB aptitudes.

For example, the GATB "norms" for the occupation of grocery checker are G-100, N-95, Q-100. Presumably people with scores on these three GATB aptitudes that are lower than these scores have less likelihood of success in the occupation of grocery checker than do people with scores on these three aptitudes as high or higher than the the numbers given.<sup>8</sup>

Despite the unevenness of the validity evidence for the GATB norms, and the degree of judgment used in developing the norms, the results--the "norms" themselves--appear sensible and the comprehensive coverage of occupations is impressive.<sup>9</sup>

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<sup>8</sup> The evidence of the validity of this presumption comes from a study in which 237 grocery-checker-trainees were tested with the GATB and for whom instructors' ratings on a work sample of "checking" were available. The results showed that persons at or above the "norms" had higher supervisor ratings than persons with lower scores on these three GATB aptitudes ( $\phi$ , a kind of correlation, = .37). In this same sample, the correlation of N alone correlated .46 with the ratings, and the score on P correlated as strongly with the instructors' ratings as did Q.

<sup>9</sup> On the other hand, the GATB "norms" for seemingly similar occupations are sometimes strikingly different when developed in slightly different samples and with different criteria. For instance, the "norms" for Automobile Mechanic (according to U.S. Department of Labor, 1970) are N-75, S-95, M-90

In using the GATB for vocational guidance in the VDS Program, the adult GATB cutting scores will be used. The procedure the Employment and Training Administration recommends for interpreting a person's scores in relation to these cutting scores will be used (U.S. Department of Labor, 1979, p.7):

The individual's GATB scores are compared with norms for an OAP and a letter grade "H" "M" or "L" is assigned for the occupation. The procedure for assigning a letter grade is as follows:<sup>10</sup>

1. If the individual's obtained scores meet or exceed all three of the norms, a letter grade of "H" is assigned.
2. If the individual's obtained scores plus one standard error of measurement (SEm) meet or exceed all three of the norms, a letter grade of "M" is assigned.
3. If the individual's scores are below the requirements for an "M", the letter grade "L" is assigned.

The recommended interpretation of these scores (U.S. Department of Labor, 1979) is as follows:

H

The individual's scores equal or exceed those of workers judged to be satisfactory in the occupations. If also qualified on the basis of factors other than aptitudes, there is a good probability that he/she will do well on the job.

M

The individual's scores are close to those of workers judged to be satisfactory in the occupations. However, the chances of doing well on the job are somewhat lower than that of persons in the "H" category.

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and for Automobile-Service-Station Mechanic are S-90, P-80, F-80. When the GATB data are integrated into the Department of Labor's Occupational Aptitude Pattern Structure (U.S. Department of Labor, 1979) automobile mechanic appears in OAP-21 (Craft Technology), and the GATB cutting scores are S-90, P-85, M-85). Imprecision in the cutting scores on the order of at least five points probably figured into the decision to round GATB "norms" to multiples of 5.

<sup>10</sup> The Department of Labor is not referring to the actual standard error of measurement for the population being tested, but rather to a "rule-of-thumb" set of SEMs it has established (U.S. Department of Labor, 1970). The SEMs to be used are : G, V, and N--6 points; S--8 points; P and Q--9 points; K--7 points; F--12 points; M--11 points.

L

The individual's scores are similar to or below those of workers found to be unsatisfactory in the occupation. The probability of being satisfactory on the job is low and he/she should be considered for other jobs which utilize stronger aptitudes.<sup>11</sup>

The following example illustrates the process of using the GATB for a resident who is considering preparation for work as an automobile mechanic or automobile-mechanic's helper:

<u>Score</u>	<u>G</u>	<u>V</u>	<u>N</u>	<u>S</u>	<u>P</u>	<u>Q</u>	<u>K</u>	<u>F</u>	<u>M</u>	<u>Letter</u>
Individual's obtained score	82	86	79	86	84	87	97	103	108	
1 SEM	6	6	6	8	9	9	7	12	11	
Obtained score + 1 SEM	88	92	85	94	93	96	104	115	119	
OAP-21 norms (auto mechanic)				90	85				85	M
OAP-29 norms (auto-mechanic helper)							85		80	H

In this example, the person appears to have a good likelihood of success as an automobile-mechanic's helper, but the likelihood of success in the occupation of automobile mechanic is marginal. This M score does not mean that the occupation of automobile mechanic should necessarily be ruled out, but it does

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<sup>11</sup> Although worded in a kind way, the interpretation of L scores will often involve the search for occupations of lower general aptitudes rather than the search of occupations that utilize "stronger aptitudes." This is so because all the subscales of the GATB are substantially correlated with each other. (The lowest correlation between any of tests A through L in one sample of 519 workers (U.S. Department of Labor, 1970, Table 6-1) was .27; the highest was .72). This means that a person with high scores on one scale tend to have high scores on other scales, and that persons with low scores on on scale also tend to have low scores on other scales.

suggest caution. An examination of other OAP cutting scores implies that this person would also achieve letter grades of H on occupations in "materials control" (e.g., meter reader), "crafts" (e.g., baker, brake repairer, building maintenance repairer, and roofer) as well as other occupational groups.

Because it is the aim of the VDS program to prepare residents for work in which they have a high likelihood of success, the vocational plans developed will—to the extent possible—call for a career in an occupation where the resident's letter grade is H. There is as much danger in suggesting that a resident pursue an occupation that is unrealistic as there is in suggesting that the resident pursue an occupation at too low a level. Therefore, in discussing the illustrative resident's scores with him, the counselor would be careful to distinguish between the occupations of automobile mechanic's helper on the one hand, and automobile mechanic on the other. This person may never become an automobile mechanic, but could clearly become a mechanic's helper. Because the training provided at CMYC and SYC will not prepare a person to secure employment as an auto mechanic after release, the resident could easily become discouraged if he thought he were preparing for that occupation.

As a rule, GATB scores will be interpreted by comparing OAP cutting scores with each of the resident's expressed preference or highest vocational interest inventory scales and OAP cutting scores for each of the vocational training areas at CMYC and SYC with the resident's obtained scores. If the resident agrees that he could do and would like work in an occupation where his letter grade is H, the counselor will forego an examination of occupations for which the resident obtains letter grades of M.

This suggests the following implementation standards:

1. All experimental residents develop Correctional Plans that include a

vocational goal for which their GATB profiles result in a letter score of M or H.

2. 80% of experimental residents develop Correctional Plans that include a vocational goal for which their GATB profiles result in a letter score of H.
3. \_\_\_% of experimental residents develop Correctional Plans calling for vocational training directly related to their vocational goal.
4. 80% of experimental residents are actually placed in an occupation for which their GATB profile results in a letter score of M

#### A.1.2. Retesting

Research<sup>12</sup> has shown that the retest reliability of the GATB scales (except F and M) are usually in the .80 to .90 range. Put another way, people's scores tend to be rank ordered in much the same way when tested on one occasion and again on another after a period of time. Practice effects are consistently shown on retest. The size of the increases in test scores due to practice are often larger than 10 points, and are larger when retesting is done using the same form of the GATB. Practice effects are most evident when retesting is done after only a short interval (less than a month) and are still sizable after longer periods (up to 26 weeks). At the same time, scores on the GATB appear relatively unaffected by vocational or academic instruction.<sup>13</sup>

This implies that retesting with the GATB will seldom be useful. Retesting with the GATB will not be done.

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<sup>12</sup> The evidence discussed here is summarized in greater detail elsewhere (U.S. Department of Labor, 1970, pp. 251-274).

<sup>13</sup> Some studies are summarized by the U.S. Department of Labor (1970, pp. 275-276). Training in college algebra does appear to influence scores on numerical computation.

## A.2. The CAI

The CAI is an interest inventory patterned after the Strong-Campbell Interest Inventory (SCII; Campbell, 1974) which uses Holland's (1984) theory of vocational personalities and occupational environments as its organizing principle. It differs from the SCII in two ways: (a) It has undergone a shorter developmental history and there is consequently less research on which to base its interpretation; and (b) It is intended for use with a less educated population than is the SCII. The CAI differs from Holland's (1979) Self-Directed Search in three ways: (a) It is scored by a computer rather than by the test-taker or counselor; (b) It contains scales for specific low and moderate level occupations rather than providing only scores for broad occupational areas; (c) There is less evidence about its construct validity in terms of measuring the vocational dimensions implied by Holland's classification than there is for inventories such as the SDS, VPI, or SCII.

The CAI reports three kinds of interest scores:

- o Scores on each of Holland's six dimensions--Realistic, Investigative, Artistic, Social, Enterprising, and Conventional. These scores are reported as "General Theme Scales."
- o Scores on 22 homogeneous dimensions of interest that are somewhat more specific than the six Holland dimensions.
- o Scores on scales that measure the resemblance of a person's interests to the interests of persons employed in 91 specific occupations.

In general, the three kinds of scores should converge in producing a similar portrait of a person's interests. That is, if a person has a high score on

the Realistic scale, that person will often have high scores on the more specific interest dimensions and on scales for specific occupations classified as Realistic.

The CAI also provides additional information about the test-taker that is useful in career planning.<sup>14</sup> One kind of information is information about the level of enthusiasm the resident seems to have for a variety of vocational activities. Experience using the SCII implies that persons who mark very few of the items "like" tend to be unenthusiastic, unhappy, and not to take charge of their own situations or engage in earnest vocational planning (Campbell, 1974). Such persons may need a fire kindled beneath them. The CAI report presents the percentage of items the respondent marked like and the percentage of items marked dislike.

Another kind of information the CAI provides is information about how well differentiated the person's interests are. People who earn high scores in some Holland dimensions and low scores in others have "differentiated profiles" (Holland & Gottfredson, 1976; Holland, 1984). Such persons have reasonably clear interests and they tend to be more predictable in the sense that they are more likely to enter and persist in educational pursuits or occupations in the area of their highest interests than are people with less differentiated profiles. People with "undifferentiated" or "flat" profiles tend not to have clear interests, show less vocational identity, and are not as predictable as others (Holland, Gottfredson, & Nafziger, 1975; Holland,

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<sup>14</sup> In addition to the information discussed here, the CAI produces several other scores or indexes. The "total responses" index is useful in screening out profiles for people who answered few questions. The "variety of interests" index is probably of little use and should generally be disregarded.

1984). For such persons the interest results provide little explicit guidance about the choice of a career, although the results do suggest that further vocational exploration would be helpful.

A third important piece of information available from the CAI is an **Educational Orientation Index**. This index was developed to discriminate people with interests similar to those of people who have been college educated from those who have not. It is intended to measure the degree to which a person's interests imply that he or she would like school (especially liberal arts oriented college work). In general, people with scores in the 30's or below can be expected to be uncomfortable in school or to dislike school.

#### A.2.1. Interpreting the CAI

The **Manual for the Career Assessment Inventory** gives less guidance in interpreting test results than do many manuals. In some cases, general interpretive guidelines are offered, but without specific normative data being provided. (For instance, no normative data on percentage like or dislike is presented in the manual, although the manual does suggest that if either of these indices is greater than 85% the counselor "should further discuss the atypical response pattern with the individual.") Accordingly, supplementing the **CAI Manual** with explicit guidelines for use of the CAI in the VDS Program is useful. The following paragraphs spell out how the CAI is interpreted and used in the VDS Program.<sup>15</sup>

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<sup>15</sup> Because the CAI is a derivative of the SCII and Holland's typology, research and experience with the SCII, the SDS, and the VPI provide a source of guidelines for using the CAI. The following text draws not only on the CAI

**Using these scales, occupational scales, and basic interests.** The most generally useful part of the CAI profile are the scores on the General Theme Scales because these scales are based on a theory of careers that has been subjected to extensive empirical test (Holland, 1984; Holland, Magoon, & Spokane, 1981) and translate directly into a comprehensive classification of occupations (Gottfredson, Holland, & Ogawa, 1982).

Holland's vocational theory assumes that an individual can be characterized in terms of his or her resemblance to each of six vocational personalities (or "types"). Each person has distinctive self-concepts, perceptions of environments, values, areas of achievement, preferences for occupations and occupational roles, coping styles, personal traits, and repertoires of skills that can be summarized by a comparison with the characteristics of the six theoretical personality types. The six types can be described briefly as follows:<sup>16</sup>

#### Realistic Type

Prefers realistic occupations (e.g., plumber, electrician, carpenter, mechanic) that allow the person to engage in explicit, ordered, or systematic manipulation of objects, tools, machines, and animals and to avoid educational or social activities. Perceives self as having mechanical ability and lacking ability in interpersonal relations. Is often described as:

- o Asocial
- o Genuine
- o Materialistic
- o Practical
- o Self-effacing
- o Uninsightful

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manual but also on the literature pertaining to the SCII and Holland's typology.

<sup>16</sup> Abstracted from Holland's (1984, pp. 19-23) account.

### Investigative Type

Prefers activities involving the observation or investigation of physical, biological, or cultural phenomena to understand and control them. Dislikes persuasive, social, and repetitive activities. Has scientific and mathematical competencies. Perceives self as having intellectual ability and lacking leadership ability. Is often described as:

- o Analytical
- o Critical
- o Curious
- o Intellectual
- o Rational
- o Unpopular

### Artistic Type

Prefers activities that are ambiguous, free, and involve the manipulation of physical, verbal, or human materials to create art or products. Dislikes systematic and ordered activities. Perceives self as original, nonconforming, and having artistic, musical, or acting ability. Is often described as:

- o Disorderly
- o Expressive
- o Impractical
- o Independent
- o Original
- o Sensitive

### Social Type

Prefers activities that involve teaching, curing, or enlightening others. Dislikes the systematic activities involving materials, tools, or machines. Perceives self as liking to help others, and as having teaching ability. Values social and ethical activities. Is often described as:

- o Patient
- o Friendly
- o Helpful
- o Empathic
- o Responsible
- o Sociable

### Enterprising Type

Prefers activities involving the manipulation of others to attain organizational goals or economic gain. Dislikes scientific activities. Perceives self as aggressive, popular, sociable, and having leadership abilities. Is often described as:

- o Acquisitive
- o Ambitious
- o Extroverted
- o Optimistic
- o Self-confident
- o Talkative

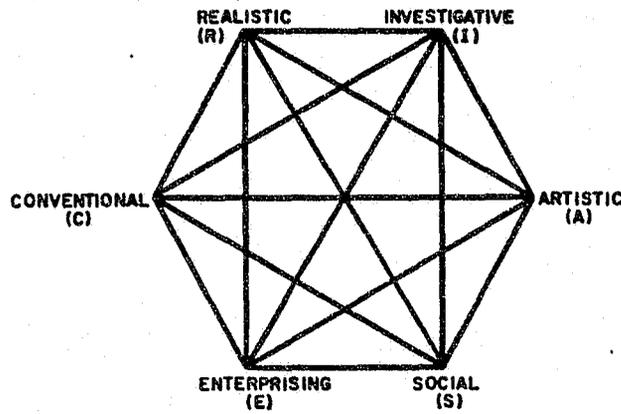
### Conventional Type

Prefers activities involving the explicit, systematic manipulation of records or data, operating office machines, and organizing files or material. Dislikes ambiguity and unsystematic activities. Perceives self as conforming, orderly, and having clerical ability. Is often described as:

- o Careful
- o Conforming
- o Inhibited
- o Obedient
- o Orderly
- o Practical

People who resemble different types tend to enter and persist in different kinds of occupations. The occupational classification that is associated with the Holland typology identifies these occupations. **Realistic people** tend to enter and persist in **realistic occupations** such as plumber or cement mason. They tend not to enter or persist in **social occupations** such as nurse or teacher. Similarly, **conventional people** tend to enter and persist in **conventional occupations** such as bookkeeper or clerk and they tend not to enter or persist in **artistic occupations** such as photographer or designer.

The vocational types--both the types that describe people and the categories that describe occupations--resemble each other to differing degrees. Specifically, the types are related according to a hexagonal ordering shown below:



Knowledge of the relations among the types is important because they summarize information about the degrees of resemblance among occupations or people. Types that are distant on the hexagon are dissimilar, and types that are close together on the hexagon are similar. For instance an **investigative** occupation resembles a **realistic** occupation in some ways, but it is quite unlike an **enterprising** occupation. A person with **investigative** interests would probably not choose to enter or stay long in an **enterprising** occupation. And although a person with **investigative** interests would probably be most comfortable in an **investigative** occupation, he or she would probably also find aspects of both **realistic** and **artistic** occupations congenial. In general, a match between a person and an occupation that involve types that are distant on the hexagon is a poor match.

**Assessing congruence.** Congruence is the degree of match between a person's interests and an occupation. The CAI results provide alternative ways to assess the congruence of occupational possibilities with a person's interests. The first way (and in general the most useful way) is to calculate the **Iachan Index** (Iachan, 1984). This index is calculated as follows:

1. Determine the person's three highest general theme scores and list them in

rank order. For example, if the person's standard scores on the CAI general theme scales were R = 62, I = 51, A = 35, S = 42, E = 41, and C = 58, then the three highest scores listed in order are RCI. These three letters are called the person's "three-letter code."

2. Determine the three-letter code of the occupation the person is considering by looking the occupation up in the **Dictionary of Holland Occupational Codes**. For instance, if the person were considering the occupation of automobile-mechanic helper, the **Dictionary** (at page 249 or 47) indicates that the three-letter code for this occupation is REI.
3. Use the table shown below to calculate the congruence score. The steps in calculating the congruence score using the table are:
  - o Write down the number from the table that corresponds to the match between the first letter of the occupation code and the person's three-letter code.
  - o Write down the number from the table that corresponds to the match between the second letter of the occupation code and the person's three-letter code.
  - o Write down the number from the table that corresponds to the match between the third letter of the occupation code and the person's three-letter code.
  - o Add these three numbers together.
4. Interpret the congruence score as follows:
  - o Scores of 26 through 28 are very close matches.
  - o Scores in the range 20 through 25 are reasonably close matches;

- o Scores in the range 14 to 19 are not close matches.
- o Scores of 13 and below are poor matches.

Table for Calculating Congruence Using  
the Iachan Index

Occupation code	CAI General Theme Code			
	First <u>letter</u>	Second <u>letter</u>	Third <u>letter</u>	Other <u>letters</u>
First letter	22	10	4	0
Second letter	10	5	2	0
Third letter	4	2	1	0

**Examples.** The following examples illustrate the results of calculating congruency scores for various combinations of interest three-letter codes and occupational three-letter codes.

CAI 3-letter code = REI and occupation code = REI, congruence = 28.

CAI 3-letter code = REI and occupation code = RIE, congruence = 26.

CAI 3-letter code = REI and occupation code = SRE, congruence = 12.

CAI 3-letter code = REI and occupation code = SAI, congruence = 1.

Another way of using the CAI to assess congruence is to use the occupational scales or the basic interest scales to determine the match between a person's interests and various occupations. If a person has a standard score on an occupational scale that is 45 or higher and if at least one other occupational scale in the same Holland area is 45 or higher, then the match can be considered close. Or, if a person has a standard score on a basic interest scale that is 58 or higher and if at least one other basic

interest scale in the same Holland area is 58 or higher, then the match can be considered close. In general, however, the basic interest scales are most useful for identifying narrow areas of likes and dislikes a person has. These scales are useful in planning specific activities a person might like to engage in or might wish to avoid, but they are more difficult to translate directly into an assessment of congruence than are the general theme and occupational scales.

Because the aim of interest assessment in the VDS Program is to match people with potential careers they are likely to enter and persist in, correctional plans should include a vocational goal that is highly congruent (a close match according to at least one of the procedures spelled out above) and a vocational training program that is expected to lead to the implementation of this vocational choice. The implementation standard is \_\_\_\_\_%.

**Using norms for profile differentiation.**<sup>17</sup> Some profiles on the CAI present a clear picture of a person's interests and others do not. One way of characterizing the clarity of a profile is to use what Holland (1984) has termed **differentiation**. A highly differentiated profile is one where some interests are quite high and other interests are quite low. Research (Holland, 1968; Holland, Gottfredson, & Nafziger, 1975; Taylor, Kelso, Longthorp, & Pattison, 1980) has produced some evidence that people with differentiated profiles have more stable interests, show more stability in

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<sup>17</sup> The CAI manual does not provide normative data for profile differentiation. Normative data will have to be developed as the VDS Program accumulates experience. The norms described here are based on the 46 profiles available at the present time.

their vocational choices, and are better vocational decision-makers than people with undifferentiated profiles.

An easy way to calculate a profile's differentiation is to subtract the person's **lowest** general theme score from his or her **highest** general theme score. Scores of 0 through 12 imply **low** differentiation; scores of 13 through 16 imply **moderate** differentiation; scores of 17 and above imply **high** differentiation. Based on preliminary tabulations for residents taking the CAI at CMYC, approximately 25% of residents can be expected to show low differentiation and about 25% can be expected to show high differentiation.

The counseling process for persons with **low** differentiation should include more opportunity for occupational exploration (e.g., job sampling) than is probably required for persons with moderate or high differentiation, and it may be desirable to schedule more vocational exploration as part of their correctional plans.

**Using the CAI to Detect Problem Cases.** One of the most difficult counseling situations involves clients who seem uninterested in anything. Sometimes clients fail to answer parts of the inventory or answer many questions in a single way (e.g. all indifferent or all dislike). Extreme scores on the CAI administrative indices for percent like and percent dislike are useful in discovering such cases. When inspection of the answer sheet implies that the extreme scores are the result of errors or carelessness in using the inventory, the inventory results should be given less weight and expressed choices given more weight. (Or if the client is willing, a VPI or SDS could be administered and quickly scored on the spot.)

In a small percentage of cases, a client will mark very few of the items

"like" (resulting in a low score on the percent like index) and will also express very little enthusiasm about considering career or training plans. The CAI manual suggests paying particular attention to percent dislike scores above 85. Preliminary normative data based on 46 clients completing the CAI and CMYC implies that about 10% of residents will have percent like scores of 14 or lower and that about 25% will have percent like scores of 24 or lower. Scores of 24 or lower should probably be regarded as mild signals that the resident is disinterested in many kinds of activities and scores of 14 or lower as an indication that the resident may be especially unenthusiastic. If there is also evidence that a client with a score of 14 or lower may be depressed in other ways (e.g., he or she wants to remain in bed rather than engage in routine activities such as school or vocational training) it may be desirable to refer the client for psychiatric evaluation and, if necessary, treatment.

### **A.3. Interest Measurement for Poor Readers**

When a resident cannot read at the 6th grade level or better, but can read at the 5th grade level, he may be administered the Self-Directed Search, Form E. A resident who can not read well enough to take Form E may complete that inventory with the help of an oral administration. Procedures for interpreting this inventory are the same as those for interpreting the Holland Theme Scales of the CAI.

#### A.4. The WRAT

The WRAT (Jastak & Wilkinson, 1984) is a crude screening test that allows a rapid but rough appraisal of a person's developed competencies in reading, spelling, and arithmetic in a face-to-face clinical setting. In the the Vocational Delivery System, the WRAT is used to determine what subsequent tests a resident is likely to be able to complete through self-administration, to make initial estimates of the likelihood that the resident will be able to perform in vocational classes that require some competency in reading or math, and to determine the residents requirements for academic remediation. 18

This section needs to be completed by spelling out how you plan to use the WRAT results. Frankly, the test is such a rough screening device, I wonder why you are not using a different test if you really need to know how well a resident reads.

#### A.5. Other Aptitude Tests

A rationale for using the other tests is needed, as is a set of SOP's for using them.

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<sup>18</sup>The standard errors of measurement and reliability coefficients reported in the manual are likely to be highly misleading in the present application. Put another way, scores can not be interpreted as nearly as precisely as the manual seems to imply. The reliabilities and standard errors reported in the current and earlier manuals are misleading because they use homogeneity-type estimates of reliability for a speeded test and because the samples appear to have been selected in ways that inflate reliability estimates. For a review of the earlier manual see Merwin (1972) and Thorndike (197). The most recent manual has not yet been reviewed in the literature.

## A.6. Expressed Preferences

Evidence implies that a person's expressed preferences, if categorized using a meaningful occupational classification rival or exceed the usefulness of interest inventory results in predicting entry and persistence in occupations.<sup>19</sup> In many cases, using expressed vocational interests is an easier, cheaper, and more predictive way to assess interests than is the administration of an interest inventory. When a person expresses two or more occupational preferences that fall in the same Holland category, interest inventory results generally imply high-point codes in the same category, and when the interest inventory results do not agree with the expressed choices for such persons the expressed choices are more predictive than the inventory results.

In other cases, neither interest inventory results nor expressed choices are very meaningful. Persons whose expressed preferences fall in several Holland categories, especially when these categories are distant on the hexagonal model, may have interest inventory results that are not closely related to their expressed choices or have relatively flat (undifferentiated) interest profiles.

The use of expressed choices in counseling residents is a straightforward matter. Each expressed choice is coded using the **Dictionary of Holland Occupational Codes** to generate a three-letter code. This three-letter code is used the same way that general theme scores on the CAI are used in

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<sup>19</sup> Some of the evidence is provided by Borgen and Seling (1968), Dolliver (1969), Holland and Gottfredson (1975), Holland and Lutz (1968), Touchton and Magoon (1977), and Whitney (1969).

occupational exploration. Related occupations will be found in the same area of the classification. (See the section on occupational exploration.)

#### **A.7. Using Educational and Work History Information**

Counseling and the development of correctional plans should build on residents' educational and work histories. Some residents will have histories of rewarding participation in school, and other will have histories of poor attendance and poor performance in school. Some residents will have histories of steady paid employment, and others will have histories of short-term or interrupted employment in a variety of unrelated or low-level jobs. The information contained in these histories provides a valuable way to organize information about the client and can serve as useful structures for discussion vocational problems and plans.

A history of poor school performance and sporadic attendance is a clue that the person will probably not like academic classes and may not want to take them. In contrast, a history of steady school attendance and good grades in school is a clue that the person may enjoy academic classes and might want to plan for post-secondary education. In either event, the this educational history should be discussed with the resident as one element in the creation of correctional plans.

A history of steady employment in a single occupation or in several occupations in the same category of work implies that the client likes and can do work in that area. Furthermore, it implies that the resident has developed experience or competencies in that area that will be of value to employers. In such cases the person's correctional plan should be directly related to his

work history to take advantage of the platform already established by this experience and competencies, and the counselor should discuss with the resident the valuable asset this stable work history provides. In contrast, a history of interrupted employment, employment in a variety of unrelated jobs, or a history of little or no employment has established no credentials (or negative credentials) from an employer's perspective. This unsystematic employment history should be discussed with the resident and the resident and counselor should attempt to create a plan to pursue training in a systematic fashion and to pursue employment in an area related to that training upon release.

Work history information can be coded in the same way that occupational preferences can be coded by reference to the **Dictionary of Holland Occupational Codes**. If the occupational categories implied by the work history are not congruent with the person's interests as implied by the CAI assessment or by coding his expressed preferences, this provides a potential explanation for a sporadic or floundering work history. Training and a career plan more consistent with the resident's interests or aptitudes may lead to greater post-release employment stability.

Work history and educational history information can also be coded according to **level**. The resulting data about **job level** is as important as aptitude test and interest inventory data, perhaps more important. Any occupation a person has successfully performed in the past can be coded into General Educational Development (GED) levels using the **Dictionary of Occupational Titles** or the **Dictionary of Holland Occupational Codes**. If a person has successfully performed work at GED level 4 in the past, then the person can clearly perform work at that level in the future (except in unusual

cases involving subsequent injury or impairment). Furthermore, if a person has successfully performed work in an occupation in the past, GATB scores are relatively meaningless in determining the persons prospects for success in that occupation in the future. Similarly, a successful and persistent history of employment in an occupation or category of work the person likes makes interest inventory results of value only for recreational or instructional purposes.

Work history data should be regarded skeptically for younger persons, because research shows that it gains its predictive value with age (Gottfredson, 1977; L. Gottfredson, 1979; Nafziger, Holland, Helms, & McPartland, 1974), and that the level of employment tends to increase with age. Nevertheless, any history of stable employment in the past provides an indication of the minimum occupational level for which a correctional plan should be developed: The correctional plan should prepare a resident for an occupation at or above the GED level of his successful employment in the past, and at or above the relative pay level of his past employment.<sup>20</sup>

#### **A.8. Occupational Exploration**

Occupational exploration should be provided for persons in the following categories:

1. Clients whose differentiation scores on the CAI are 12 or below.
2. Clients whose congruency of most preferred expressed choice with CAI general theme scores is 19 or below.
3. Clients whose percent like score on the CAI is 24 or below.

The aim of this exploration is to identify vocational areas the person would

like and could perform well in.

#### **A.9. Integrating Expressed Preference, Aptitude, and Interest Results**

Vocational assessment and career planning assistance is not conducted to fill time. It is undertaken to (a) improve the match between residents' interests, aptitudes, and demonstrated competencies with the job plans and vocational training activities while incarcerated, (b) reassure the resident about his tentative vocational choices when they are appropriate, (c) identify special vocationally related strengths and weaknesses the resident may have that require special services that can actually be provided, and (d) promote the career development of residents without clear vocational goals or who have inappropriate career goals.

The implementation standards for vocational evaluation and correctional plan development provide guidelines for integrating the results of vocational assessment and counseling in the development of Correctional Plans. Those standards call for the development of Correctional Plans with somewhat different characteristics depending on the match between the resident's vocational preferences, interests, aptitudes, and training possibilities at CMYC and SYC. At their heart these standards are intended to provide guidelines for the development of Correctional Plans that "make sense." They should make sense to the Vocational Evaluator--which means that the residents employment objective and training program are congruent with his assessed aptitudes, interests, and past employment and educational history. They

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<sup>20</sup> Income data for occupations are provided by Gottfredson (1984).

should make sense to the resident—which means that he can explain **why** the vocational objective was chosen and **why** the educational, vocational training, and other activities are included in the plan.

This integration will not always be perfectly achieved, and the implementation standards call for re-evaluation in cases where an integration is not possible at intake.

#### **A.10. Determining Whether Vocational Evaluation Reaches Objectives**

Chapter 1 spelled out the objectives of vocational evaluation and Correctional Plan development. This section discusses how the success of evaluation and plan development can be examined in terms of those objectives.

##### **A.10.1. Short-Term Objectives**

1. Identify a vocational goal congruent with the resident's aptitudes, interests, and realistic job possibilities. The attainment of this objective can be examined by determining if (a) the vocational goal has a letter grade of H according to the GATB or the person's work history implies he can do this work; (b) the vocational goal is highly congruent with the persons interests according to one of the methods described earlier in this appendix; and (c) the vocational goal is not ruled out by licensure, bonding, or certification requirements for a person with a prison record or any identifiable handicaps the person has.
2. Specify vocational training congruent with the resident's interests, aptitudes, and realistic job possibilities. The attainment of this objective can be examined by determining if the vocational training specified in the plan is aimed at attaining the resident's vocational goal, that is, if it calls for a minimum of six months' participation in training in the area the resident's goal calls for working in upon release (or if the resident already has the preparation for that work, if the training supplements existing competencies in the same area.
3. Specifies the support services required for remediation in deficit areas or to strengthen a resident's assets. Attainment can be examined by determining that Correctional Plans call for special services directed at any personal deficits or special assets identified in the Evaluation Summary.

4. Provides an orderly sequence of events to achieve the vocational goal that is flexible enough to be implemented. Attainment is determined by examining the extent to which initial plans are fully executed prior to release from CMYC or SYC.
5. Takes realistic account of the likely progression of a resident through custody levels and of his anticipated release date. Attainment is determined by examining the extent to which initial plans are fully executed prior to release from CMYC or SYC and determining how much time each resident was wait listed for activities contained in the Correctional Plan.
6. Utilizes available family resources. Attainment is determined by examining the proportion of residents whose families participate in plan development. (How should attainment be determined?)
7. Utilizes available community resources, including work release. (How should attainment be determined?)
8. Utilizes Employment Security Commission resources. Attainment is determined by checking to see that 100% of the implementation standards relating to utilization of ESC resources are met.
9. Entails a vocational plan that is demonstrable superior to the resident's prior vocational situation. Attainment is determined by showing that the vocational goal is for employment in a job at (a) a higher GED level than the resident's prior jobs, (b) in an occupation with a higher level of earnings than the resident's prior jobs, or (c) for residents without a history of steady employment in the past, the vocational goal is in an occupation where the average worker works a high proportion of the weeks in a year according to the most recent Census data on weeks worked.
10. The resident accurately describes his plan, both in terms of immediate implications for his activities and in terms of the future implications of the plan. Attainment of this objective is determined by using ICC ratings of the residents' summary of his Correctional Plan.
11. The resident regards the plan as credible. Attainment is assessed using a vocational checklist and vocational identity scale, such as **My Vocational Situation** (Holland, Daiger, & Power, 1980).
12. The resident understands the behaviors expected of him in terms of complying with the activities in the Correctional Plan and with the rules of the unit. Attainment is assessed by using ICC ratings of the residents' expectations about executing the Correctional Plan and his understanding of the rules of the unit.

### A.10.2. Longer-Term Objectives

1. Promote residents' active participation in the activities spelled out in the Correctional Plans and successful completion of those activities. Successful completion will be assessed using special assessments designed for each vocational training area. The assessment of participation and completion was discussed under an earlier objective above.
2. Contribute to the residents' sense of personal control and responsibility. Assessed for experimental and control residents prior to release by Development Specialists using a brief Self-Concept scale (e.g., Gottfredson's, 1985, Positive Self-Concept Scale and Rotter's, 1966, Internal-External Control Scale).
3. Enhance residents' future time orientation. Assessed for experimental and control residents prior to release by Development Specialists using a measure derived from Jessor's work on future time orientation. We will have to locate the measures and references.

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