



Canadian
Volunteers In
Corrections
Training Project

Module 26

AN INTRODUCTION TO THE REPORTS IN THE CaVIC SERIES

AND

A SUMMARY OF SELECTED CaVIC CONTRIBUTIONS AND FINDINGS

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The opinions expressed in the CaVIC reports are those of the authors and do not necessarily represent the policies or opinions of the various sponsoring agencies.

The Canadian Volunteers in Corrections (CaVIC) Training Project was an outgrowth of the evaluation of the Ottawa Volunteer Program in Adult Probation and Parole Services. Initial planning sessions with the Law Reform Commission of Canada and with the Correctional Consultation Centre of the Solicitor General of Canada resulted in an agreement that the Ottawa program should be viewed not only as a service and research project but also as a demonstration project. The idea was that materials should be produced which would assist in the development of voluntary action programs across Canada.

The basic idea underwent considerable development over the three years following those early planning sessions in 1974. At that time the primary need in Canada appeared to be the production of motivational materials, that is materials which expressed the message that volunteers had potential and that programs could be established. The notion was rather firmly put in its proper perspective as our contacts developed with volunteers and professionals across Canada. The interest in voluntary action programs was already there. Over 40% of the Canadian Probation and Parole offices sampled were involving volunteers. In fact, over the three years preceding the national survey, the number of offices using volunteers had nearly doubled. The major questions in the field had to do with the management of programs and with the appropriate content and structure of programs.

The materials produced address themselves to problems of management and to the issues involved in program structure. If one assumption can be said to underlie the CaVIC materials it is that volunteer and professional programming

should constitute an integrated system in corrections working toward common objectives. This is not to imply standardization or duplication of services; in fact, an intermediate objective of correctional management is to not only accommodate a diversity of styles and procedures but to establish the organizations through which the value of diverse styles and procedures are maximized. A second assumption is that the cost-efficiency of correctional programs will not be enhanced by simply computing the dollar values of existing programs, by counting the numbers of workers and clients processed, nor by undisciplined shifts of attention from one level of correctional concern to another. More positively stated, the cost efficiency of volunteer and professional programming will increase as our understanding of crime and community increases and one way of enhancing our understanding is through systematic examinations of correctional practices in relation to the range of outcomes of concern to victims, workers, clients, administrators and the community as a whole.

Thirty modules have been produced and are organized under the following headings: the design and operation of the Ottawa program; a program management series; the research component of the program; voluntary action research in corrections and implications for direct service; a national survey of probation and parole offices in Canada regarding their use of volunteers; and, modules on miscellaneous topics. These modules were written for a variety of readers. Some are specifically for volunteers, while others are for program managers. The module format was used so that persons might obtain those individual modules which had to do with their unique interests and needs.

There is strong evidence that the reawakening interest in citizen participation in criminal justice is not a passing fad. It is our hope that the contribution of the CaVIC materials will be in helping to move voluntary action programs and their evaluation into the main stream of criminology and corrections. In a sense, the influx of volunteers and an emphasis on accountability provide a base for a re-committment to that traditional triad of theory, action, and systematic evaluation of our theories and actions.

The CaVIC reports are now available to interested users in one of three forms. A few of the titles have been published in the Canadian Journal of Criminology and Corrections. Other titles are available as formal publications of the Ontario Ministry of Correctional Services. A third set of titles are less generally available but may be requested on an individual basis. The reports published by the Ontario Ministry of Correctional Services are available at university libraries in Ontario or on written request to:

Dr. A. Birkenmayer,
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Finally, a limited number of copies of the unpublished reports are available from the authors:

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A. The Design of the Ottawa Volunteer Program

- * 1. The Program Design of the Ottawa Volunteer Program (Kiessling, Andrews & Farmer, 1976, 81 pp). This design provides an overview of the philosophical and theoretical perspectives in the Ottawa program. It contains chapters on: the philosophy of volunteerism (in a democratic society and in corrections specifically); objectives of the Ottawa program; program strategy (designing the program; roles of volunteers, professionals, and the advisory committee; recruiting, screening, training volunteers); assessment and research strategy; and, administrative forms used in the Ottawa program.

- * 2. Reference Manual for Assistant Probation Officers (Kiessling and Lillico, 1975, 20 pp). This is an orientation manual for volunteers whose role will be to directly supervise probationers. Its contents include: a glossary of legal terms; suggested readings; what is probation; some common problems probationers face and how to deal with them. The Manual is meant to act as a supplement to the initial training period. The most recent version of this manual, the 1978 version, is the one published by the Ontario Ministry of Correctional Services.

* Titles with an asterisk (*) have been published by the Ontario Ministry of Correctional Services.

- * 3. Training and Development Sessions Manual for Resource Personnel: A Program for the Development of Candidates as Assistant Probation Officers (Kiessling, Charron, O'Neal, Patten and Lilloco, 1975, 24 pp). A manual for coordinators to assist them in training groups of new volunteers for the role of directly supervising probationers. It contains sections on: general objectives of the training sessions; the kinds of skills needed by trainers; three training sessions are given in detail which deal with interviewing techniques, some typical problems met by volunteers in their initial meetings with probationers, and problem solving methods.

- * 4. Pre-Sentence Report Reference Manual (Kiessling and Braithwaite, 1974, 35 pp). A training manual for pre-sentence report writers which gives the general philosophy and methods of writing a report as well as 5 sample reports.

- * 5. Assistant Probation Officers Writing Predisposition Reports in Provincial Court, Criminal Division (Kiessling, Currie, Godbold, Hoffman, Lilloco & Love, 1975, 11 pp). This is a training manual for volunteers who work in the courts and prepare predisposition reports (short reports prepared during the court process on those criminal offenders for whom a full pre-sentence report is not necessary).

- 6. Assistant Probation and Parole Officer's Manual: Offender Employment, Placement Pool Program.

Author: Mr. A. Hurge

Date: March, 1977.

A module for volunteers, describing the employment program in the Ottawa Probation and Parole Office. Volunteers in this component of the Ottawa Volunteer Program find employers for probationers and parolees, match them with the appropriate job, and maintain liaison with employers using the probationers or parolees sent to them.

- * Titles with an asterisk (*) have been published by the Ontario Ministry of Correctional Services.

B. The Research Component of the Ottawa Program

7. Research Manual for Assistant Probation Officers in the Ottawa Criminal Court Program (Andrews, Farmer, Russell, Kiessling, 1976, 11 pp). This manual is meant to introduce volunteers to the aims of correctional research in general. It also discusses the aims of the research program in the Ottawa program, and some of the research procedures the volunteers would be exposed to.
8. The Research Component of the Ottawa Criminal Court Volunteer Program: Theoretical Rationale, Operationalization and Evaluation Strategy (Andrews, Farmer, Russell, Grant and Kiessling, 1976, 20 pp). This module outlines the theoretical rationale for one-to-one supervision of criminal offenders, and the research procedures used in the Ottawa programs. Published in the Canadian Journal of Criminology and Corrections, 1977, 11, 118-133.
9. A Research Orientation Manual for Volunteers, Professionals and Clients In Probation and Parole (Andrews and Russell, 1976, 15 pp). A general introduction to research and evaluation, intended to open lines of communication between researchers and practitioners.
10. Some Operational Aspects of Research in Probation and Parole (Russell, Andrews & Kiessling, 1977, 30 pp). A review of the practical organizational and communication problems involved in field research.
- * 11. Volunteers and the One-to-One Supervision of Adult Probationers: An Experimental Comparison with Professionals and a Field Description of Process and Outcome. (Andrews, Kiessling, Russell & Grant, 1977, 279 pp; plus Appendices, 146 pp). The report includes and outline of the theoretical perspective guiding the research, a presentation of the methodological details and a review of the findings. The report documents the differences between volunteer and professional supervision on various measures of

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process and outcome and presents the observed relationships between process and outcome. The method section and the appendices present operational definitions of the dimensions of supervisory process. The summary includes a number of recommendations for the development of voluntary action programming in corrections.

12. The Role of Volunteers in Pre-Sentence Reporting. (Farmer & Braithwaite, 1977). A comparison of Pre-Sentence reports prepared by volunteers and professionals on style and content measures.

C. Program Management Series

13. The Major Problems for Volunteer Programs in Corrections (Kiessling, 1975, 23 pp). This module discusses some of the more common problems in correctional volunteerism, e.g.: the amount of structure needed in a program; the "altruism" of volunteers and the limitations of the friendship model; the myth of professionalism; the quantity of training volunteers should be exposed to; and, the need for excellence in volunteer programs.
14. The Relationship of the Professional and Volunteer Probation Officer in a Probation and Parole Service: The Various Ways in which Volunteers may be Integrated in a Professional Correctional Agency (Kiessling, 1975, 34 pp). The sections of this module are: how professionals and volunteers can work together as part of an artistic and scientific community; the problems faced by coordinators in introducing volunteers into a professional agency; and, an ecological model for volunteerism - applying the insights of the science of ecology to the work of correctional specialists.
15. The Interlocking Roles of the Program Administrator/Coordinator and the Volunteer and Professional Staff (Kiessling, 1975, 44 pp). A systems approach to the role of the coordinator (and his need for creativity, risk taking, leadership); designing communication structures and processes which help to produce creativity and excellence in volunteer programs; types of volunteer systems (from those which value mechanical routine to

those which place a great emphasis on information exchange and equality between professional and volunteer staff).

16. Record Keeping for a Coordinator of a Volunteer Program in a Probation and Parole System. (Kiesling, 1975, 26 pp). Written for coordinators, this module gives examples and the rationales for administrative forms that can be used in a correctional volunteer program.
17. A Cost-Effectiveness Analysis of the Ottawa Volunteer Program. (Kiesling, 1976, 85 pp). An analysis of the time and costs associated with various probation and professional roles.

D. Voluntary Action Research in Corrections: Implications for Service

- * 18. The Friendship Model of Voluntary Action and Controlled Evaluation of Correctional Practices: Notes on Relationships with Behaviour Theory and Criminology (Andrews, 1977, 52 pp). (A revision of Voluntary Action Research in Corrections, 1976.) This paper presents an overview of correctional counselling research organized according to major dimensions of correctional counselling and supervisory process. It serves as an introduction to the separate discussion papers for each of the dimensions.
- * 19. The Dimensions of Correctional Counselling and Supervisory Process in Probation and Parole. I - Quality of Relationship (Andrews, 1977, 30 pp). The limits of the group dynamics and relationship oriented approaches are explored. The friendship model will approach its potential when combined with the more directive aspects of counselling.
- * 20. The Dimensions of Correctional Counselling and Supervisory Process in Probation and Parole. II - The Authority Dimension (Andrews, 1977, 20 pp). The probation contract is reviewed as an important and potentially positive aspect of correctional counselling.

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- * 21. The Dimensions of Correctional Counselling and Supervisory Process in Probation and Parole: III - The Anticriminal Dimension (Andrews, 1977, 35 pp). The paper suggests the potential associated with volunteers (and professionals) as explicit role-models and reinforcers of prosocial and anticriminal attitudinal and behaviour patterns. The paper is highly critical of programs which do not evaluate underlying theoretical assumptions and an analogy is drawn between voluntary action programming and the guided group interaction programs.
 - * 22. The Dimensions of Correctional Counselling and Supervisory Process in Probation and Parole: IV - Problem-Solving and Environmental Facilitation (Andrews, 1977, 35 pp). A review of problem-solving and the advocate-broker roles. The paper suggests some realistic restraints placed upon the current enthusiasm for advocate-broker activity.
 - 23. Volunteers in Corrections: An Ecological Model (Kiessling, 1975). The concept of the volunteer-professional team is discussed within an ecological framework on crime and the community. Canadian Journal of Criminology and Corrections, 1975, 20-34.
- E. The National Survey of Probation and Parole Offices
- 24. Canadian Volunteers in Corrections: A National Survey of Probation and Parole Offices (Farmer, Andrews & Kiessling, 1977). All Adult Probation and Parole offices in Canada were surveyed with reference to their ongoing and projected use of volunteers, and their opinions regarding training aids.
- F. Miscellany
- 25. The Female Offender (Farmer, 1976).
 - 26. The Sociology of Crime Causation (Farmer & Bourne, 1977).
 - 27. An Introduction to the CaVIC Reports (Kiessling, Andrews & Farmer, 1977).
- * Titles with an asterisk (*) have been published by the Ontario Ministry of Correctional Services.

28. The Community Impact Hypothesis (Pirs & Andrews, 1978).
29. Ethical Principles and Questions in Corrections (Kiessling, 1976, 173 pp).
- * 30. A Summary of Selected CaVIC Contributions and Findings (Andrews, Kiessling, 1978). A summary included in this introductory package.

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SUMMARY

This selective summary of the CaVIC research draws primarily on the evaluation of a one-to-one supervision role for volunteers, (Andrews, Kiessling, Russell & Grant, 1977). The literature reviews and the theoretical perspective which guided the evaluation are part of the CaVIC series "The Dimensions of Correctional Counselling and Supervisory Process in Probation and Parole: I - IV" and "The Friendship Model of Voluntary Action and Controlled Evaluations of Correctional Practices".

This summary is divided into two parts. The first is a review of the theoretical and methodological contributions. The second is a summary of the research findings. The most noteworthy aspects of the theoretical and methodological stances are that they may help foster a realistic sense of hope and development in the correctional enterprise. The last ten years have witnessed the negativism of the "nothing works" and "stop experimentation" rhetoric. There has also been confusion about whether we should be focussing on the system as a whole or on the individuals within the system. With the help of theory and strong methodology, it may become clear that both system and individual efforts are having positive effects.

A. Theoretical and Methodological Contributions

- 1) The concept of the professional-volunteer team has been placed within an ecological perspective on crime and the community.
- 2) The outlines of a social learning perspective on criminal conduct have been sketched with concrete suggestions regarding how various personal, interpersonal and community factors are causally associated with variations in the rate of occurrence of criminal acts.
- 3) Three measurable sets of intermediate targets for counselling and supervision programs have been suggested as reasonable ones when an ultimate goal is to reduce the chances of future criminal conduct on the part of convicted offenders:
 - a) heightened awareness, perceived certainty and perceived validity of the formal legal sanctions associated with rule violations;

- b) prosocial shifts in attitudes, values and beliefs so that self-control processes may guide behaviour in the direction of non-criminal alternatives;
 - c) increasing the frequency, the quality and the variety of satisfactions and rewards associated with conventional or non-criminal pursuits with conventional others in conventional settings.
- 4) The major approaches to correctional counselling and supervision have been classified. There are six advantages flowing from this classification. First, it retains close ties with past efforts at correctional practice. Second, its use brings some degree of order to what have been confusing and inconsistent findings in past evaluations of correctional programs. Third, it is translated readily into the language and practices of the social learning approaches. Fourth, it is readily operationalized for purposes of monitoring the ongoing correctional process. Fifth, it has direct implications for the selection and training of correctional workers. And sixth, it is linked to the three sets of intermediate targets (Andrews, 1977 b, c, d, e).

Five major approaches were identified:

- a) Authority: With this approach the correctional officer makes explicit use of the formal rules associated with correctional settings such that the formal legal sanctions are made more vivid, understandable and certain for the client. This dimension of correctional practice relates to the first intermediate objective.
- b) Anticriminal modeling and reinforcement: The correctional worker as a model and as a source of social reinforcement may promote the acquisition of prosocial and anticriminal attitudinal, cognitive and behavioural patterns. Anticriminal expressions and behaviours are those which are positive and supportive regarding conventional alternatives to crime in terms of activities, other persons and behaviour settings. Procriminal expressions are those which are supportive of criminal activities, associates and settings. This dimension relates to the second intermediate objective.

- c) Problem-solving: As a knowledgeable and skilled individual, the correctional worker may engage the client in the process of resolving those personal, interpersonal or community based difficulties which are resulting in reduced levels of satisfaction and reward for non-criminal pursuits. For analytic purposes, problem-solving efforts may be further classified according to whether the focus is on concrete community and interpersonal problems (in areas such as work, family, education, peers, finances and housing), or whether the focus is on recreational or personal/emotional problems. The latter two foci are separated because the recreational focus has been typical of volunteer programs while the personal/emotional focus is typical of the insight and relationship oriented counselling schools. This dimension relates to the third intermediate objective.
 - d) Use of community resources: This set, often called environmental facilitation or the advocate/broker role, is another special subset of problem-solving. It is worthy of separate attention because of the emphasis being placed on advocacy-brokerage models today. Its value, of course, would depend upon how well the resource to which a client is referred is in fact able to provide service.
 - e) Quality of interpersonal relationships: This set includes practices of the socio-emotional type such as the expression of warmth, concern and active listening or empathy, and the creation of conditions of trust and open communication. Within this classification of supervision practices, it is assumed that high quality interpersonal relationships strengthen the force of the messages which are given by way of the four more directive elements of supervision and counselling (a, b, c, d).
- 5) A model for program evaluation research has been developed which stresses the importance of maintaining ties between theory and service so that both may be enhanced. A theory of criminal conduct should suggest what factors are producing, maintaining and/or are capable of influencing the occurrence of criminal acts. From such a list, factors are selected

as the intermediate targets appropriate for the particular offender group or groups being worked with. A theory of criminal conduct and its associated technology should also suggest the means by which the intermediate targets might be influenced. If such means (the practices, i.e., the process and content of intervention) have their expected effect on the intermediate targets, then we may expect a reduction in recidivism rates. At the program management level, the problem is to design programs which are consistent with community standards and values while at that same time capable of producing and maintaining the desired practices. The typical means of influencing practices are by way of the physical and social structure of programs, including explicit policy and directions for workers, the selection of workers on practice-relevant dimensions, the training of workers, and other environmental manipulations. (See Figure I.)

When program operations and their evaluation are viewed from the perspective of this model, it becomes clear why there has been so much controversy surrounding the question of the efficacy of correctional practices in general and intensive supervision in particular. Most reviewers of the evaluation literature and most evaluators of specific programs have looked for relationships between Set I and Set IV without considering what services were actually being delivered (Set II), whether the program achieved its intermediate objectives (Set III) or even whether the assumed relationship between the achievement of intermediate objectives and impact was evident. Moreover, and as a number of commentators have now noted, the observed relationships among the four sets of factors may depend upon the type of client within a program.

In sum, a major task of program evaluation research is to suggest and document the theoretical and empirical links both among and within each set of factors: the physical and social structure of programs, the process and content of intervention, the intermediate gains, and the ultimate impact upon specific types of clients.

- 6) In conjunction with the research findings reviewed in the next section, the theoretical and methodological developments from CaVIC have resulted in the design of a large scale project which is examining how three major means of influencing the social structure of a program impact singly and in combination upon recidivism. The three program manipulations are by way of (a) the selection of volunteers on practice-relevant dimensions, (b) the training of volunteers in the five sets of effective practices, and (c) the reporting requirements of probationers in terms of intensive versus non-intensive one-to-one supervision (Andrews & Kiessling, 1978).

B. Selected CaVIC Findings

The evaluation of the one-to-one role for volunteers was designed to provide a comprehensive comparison of volunteer and professional supervision. The volunteers carried case-loads of one or two while the professionals were carrying case-loads in the area of 70 - 100 in addition to the supervision of probationers who were designated research cases and their supervision of volunteers. As the research findings show, the comparison was between intensive supervision by volunteers and the more traditional nonintensive supervision by professionals. Ninety-six probationers were randomly assigned to the professional officer pool of 13, and 94 probationers were assigned to the volunteer pool of 60.

A second objective of the research was to develop and/or adapt various measures of supervision practice, to evaluate their psychometric worth, and to examine the relationship found between measures of practice and measures of impact on client attitudes and in-program recidivism.

A third objective was to examine how the personality and bio-social characteristics of officers and probationers related to supervision process and to impact.

The integrity of the random assignment of probationers was maintained for purposes of evaluating the attitude change and recidivism data but many of the measures of supervision process and practice were based on reduced samples.

I. The Nature and Quality of Volunteer Supervision

- 1) Volunteer and professional supervision differed greatly in terms of the frequency, duration and types of contacts which were made with probationers. Relative to the clients of the professionals, the clients of the volunteers were seen in person twice as often, contacted by telephone some four times as often and the contacts were six times longer on average. The volunteers also had more frequent contacts with the families, friends and other associates of their probationers than did the professionals. Finally, there were twice as many client initiated contacts within the volunteer sample and more of the volunteer contacts occurred outside of the probation office.

Comment: In terms of the traditional criteria of case-load size and frequency of contact, volunteer supervision over the first 3 months was more intensive than professional supervision. Low case-load volunteer supervision also appeared to better match the ideal of community-based supervision, i.e. one that is client responsive, that is wide ranging in terms of the settings within which it occurs, and one that includes not only the client but the client's social network.

- 2) When provided with a set of items describing preferred roles and activities, the professional officers strongly endorsed the authority and active counselling orientations of their roles while volunteers opted for items which stressed a friendship or socio-emotional orientation.

Comment: These findings are in no way surprising in that they reflect exactly the relative positions and training of volunteers and professionals in the program studied.

- 3) Both sets of participants, the probationers and the officers, were asked to report on their perceptions of the quality of supervision being offered and received. The volunteers and their clients reported more open and warm relationships with each other than did the professionals and their clients. The clients of the volunteers also reported receiving

more real assistance and help from probation than did the clients of the professionals. Surprisingly, although the validity of the scale was suspect, the volunteer and professional samples did not differ on a measure of perceived direction by the officer (the officer's use of authority, giving of orders).

Comment: The findings with participant reports replicate and extend previous studies in the area. When participant reports are employed as consumer satisfaction indices, it appears that the volunteer program had the advantage over the professional program. Consumer satisfaction indices, however, do not necessarily relate to more objective measures of impact as additional findings confirmed.

- 4) Supervision sessions between officers and their clients were audio-taped on two separate occasions. During these sessions, the professionals made more and higher level references to the probation order (i.e., use of authority) than did the volunteers, were more prosocial in their verbal expressions (anti-criminal modeling) and in their approval of the probationers prosocial expressions and disapproval of their pro-criminal expressions (differential reinforcement), and engaged in less problem-solving with a recreational focus. On relationship indices, the professionals self-disclosed less, and emitted fewer friendly statements. The sessions involving volunteer officers were significantly longer than those involving professional officers and, when controls for length of interview were introduced, the above-noted effects on the authority, anticriminal, recreational problem-solving and self-disclosure indices remained. With controls for length of interview introduced, it also became clear that the professionals were engaging in more and higher level problem-solving with a community focus than were the volunteers. The professionals were also asking for and offering concrete factual information more often than were the volunteers. There were no differences between the volunteer and professional samples on problem-solving with a personal-emotional focus or on an index of use of community resources.

Comment: The above set of findings represents the most comprehensive objective description of what goes on in probation supervision ever completed. Again, as was noted with reference to the other findings on the nature and quality of supervision, the implications for impact is a separate question discussed below. It does appear that the time-limits imposed upon the high case-load professionals resulted in more efficient intervention.

- 5) The vast majority of the probationers, nearly 90% of the total sample, completed their sentences under supervision in the community without incarceration and 76.3% completed their probation period without a reconviction or absconding. There were no differences between the volunteer and professionally supervised samples in terms of number of new offenses overall, number of new offenses excluding technical violations of failing to keep the conditions of the probation order, severity of new offenses, or disposition of the new offenses.

Comment: The overall success rates correspond to available data on Ontario probation samples and the failure to discover any differences between the volunteer and professional samples is consistent with the published reports of other well-controlled studies in which Type of Client was not considered in relation to Type of Program or in which clients were not initially assigned to officers or programs on the basis of their apparent needs.

II. Differential Treatment: The Relative Effectiveness of Volunteer and Professional Supervision with Different Types of Clients

- 6) There were no differences in recidivism associated with volunteer and professional supervision when the probationers were in the lowest or highest risk categories. These probationers recidivated at relatively low or high rates regardless of the professional status of their supervisor.

Comment: In this study, risk was determined by the probationers' age (under 20 years of age was high risk), level of socialization as measured by the Gough paper and pencil test (below the median score was in the high risk direction), level of empathy or communication skills as measured by the Hogan Empathy Scale (below the median was considered in the high risk direction). Thus, to repeat finding #10 in operational terms; the young, low socialization, low empathy probationers recidivated at relatively high rates (45%) regardless of the professional status of their supervisor, while the high socialization clients recidivated at relatively low rates (15%) regardless of their age, their empathy level or type of supervisor.

A note on Empathy and Socialization. There is a clear need to develop alternative ways to measure Empathy and Socialization. Many people feel uneasy employing paper and pencil tests when decisions are to be made about how people are to be treated. An interview-based measure and/or a measure based on official social history information might be more appropriate.

In the absence of paper and pencil tests, an officer might assess a client's empathy level by noting the following behaviours and characteristics: the client is verbal, communicative, and has a relatively relaxed, easy interpersonal style; he exhibits flexible, tolerant attitudes; he makes direct references to how others feel about something; he asks you how you feel or what you think.

In the absence of Gough Socialization scores, the client's socialization level might be assessed by means of presentence reports, client and collateral interviews. The socialization level of the client will relate to such items as his respect for rules and conventional norms and his satisfactory adjustment at home, school and work. Precise scales in these areas are being developed in a Research project currently underway in the Ottawa office (Andrews & Kiessling, 1978).

- 7) Young, unsocialized probationers assigned to volunteers recidivated at a significantly lower rate than did similar probationers assigned to

professionals (31% versus 59%), and this was particularly the case among those young, unsocialized probationers who also were somewhat skilled interpersonally (0.0% versus 80%).

Comment: The findings are consistent with a number of investigations of differential treatment effects. Intensive intervention programs which place an emphasis on the quality of interpersonal relationships between worker and client are most effective with moderate-to-high risk clients who are relatively verbal and communicative. Objective criteria now exist therefore for assigning specific clients to intensive volunteer supervision. The nonsignificant trend was for the less intensive, the less relationship-oriented and the more directive supervision of the professionals to be more effective than volunteer supervision with some other types of probationers.

III. Officer Characteristics and the Matching of Officer and Probationer

- 8) Probation officers who were interpersonally skilled (above average on the Hogan Empathy scale) in addition to being sensitive to conventional rules of conduct (above average on the Gough Socialization Scale) were the most effective one-to-one supervisors according to the reports of the program managers, the reports of the officers themselves, the reports of the probationers, the officers' actual behaviour during audio-taped sessions with probationers, the attitudinal gains exhibited by probationers, and recidivism rates:
 - a) the professional coordinator of the volunteer program, who screened potential volunteers, as well as the officers who offered preservice training to the volunteers gave the most positive ratings on overall suitability to those volunteers who scored relatively high on interpersonal skills;
 - b) the in-service supervisors gave the high socialization volunteers relatively high ratings for their problem-solving abilities with clients;
 - c) the clients of those officers who scored high on interpersonal skills and socialization, as well as those officers themselves, reported the

highest levels of satisfaction with supervision in terms of the quality of their interpersonal relationships and the amount of real help and assistance being offered and received;

- d) during audio-taped sections of actual supervision sessions, the high socialization officers were the most prosocial in their verbal expressions (anticriminal modeling), were the most likely to approve of their clients' prosocial expressions and to disapprove of their clients' antisocial expressions (anticriminal differential reinforcement), and directed fewer noncontingent or gratuitous friendly expressions toward their probationers;
- e) probationers assigned to officers who presented the preferred pattern of personality traits showed the greatest gains on attitudinal indices of respect for the law, courts and police, the greatest reductions in acceptance of rationalizations for law violations and the lowest recidivism rates.

Comment: a) The above set of findings confirm and extend the results of several previous investigations of roles for volunteers in prison-based group counselling (Andrews, 1977b). The findings are the most consistent yet reported in the literature and resolve what were heretofore some conflicting and confusing trends in that literature. Specifically, for workers in correctional settings, interpersonal skills and a conventional orientation must be considered in combination. To select on the basis of a single dimension is to invite negative impact for clients.

b) The implications for screening and selection programs are clear. By paying attention to both the interpersonal skills and the socialization level of applicants, the program manager is in a position to create a program which is not only more positively evaluated by all (the managers and trainers, the workers themselves, the probationers), but one which also has more positive impact on the more objective indices of outcome (attitude change and recidivism).

- 9) The importance of matching officer and client on bio-social factors such as age, sex, education, marital status, occupational status and social

class origins depended upon the personality of the officer. Bio-social matching was positively associated with attitudinal gains when the officers were of the high empathy / high socialization type but unrelated or negatively related to attitude change when the officers presented other than the preferred personality patterns.

Comment: This finding suggests two things. One, the importance of the indigenous worker principle may have been over-stated since no effects were evident on recidivism. Two, the indigenous worker principle only applies when the indigenous workers also have the preferred personality dispositions.

IV. Measures of Supervision Practice in Relation to Impact

- 10) A number of the measures of the quality of supervision were of the type that are routinely used by managers and officers in their day-to-day assessments of how supervision is proceeding. Ratings of volunteers by program managers (the screening officer, the pre-service trainers and the in-service supervisors of volunteers) were employed as were statements by officers on their preferred styles of supervision, reports by both officers and their clients on quality of supervision, and of course, frequency of supervision contacts. None of these measures related in any consistent or direct way to recidivism and, in fact, one measure, positive reports by clients on amount of real help being received, was mildly associated with an increased chance of recidivism.

Comment: While we would not want to rule out the possibility that reliable and valid indicators of the types noted above can be developed, the results suggest the extreme caution that must be exercised when such indices are employed in evaluating the performance of individual workers or of a whole program.

- 11) Objective ratings of the officer's behaviour during audio-taped sessions with the probationers were predictive of recidivism. Officer behaviours which were associated with a reduced chance of recidivism include discussions of the probation order (authority), problem-solving with a

concrete community focus, differential reinforcement of the probationer's prosocial and antisocial expressions and the explicit verbal expression of prosocial sentiments. Officer behaviours which were associated with an increased chance of recidivism were the paraphrasing of the substance of the client's statements and reflection of the client's feelings, i.e., the active listening strategy of the non-directive, client centered schools of counselling. Problem-solving with either a recreational or personal-emotional focus was unrelated to recidivism. Similarly, referral to community resources and self-disclosure or friendly expressions by the officers were unrelated to recidivism.

Comment: Some care was taken in the full research report to place the appropriate methodological limitations upon the above findings. In spite of the fact that the basic relationship remained when various controls were introduced for officer and client characteristics, the findings in section eleven are based upon correlational rather than experimental data. However, the results are generally consistent with the theoretical rationale underlying the project and with experimental investigation of the various approaches in isolation. The above description of how the audio-tape measures related to outcome is the most comprehensive assessment of objective measures of ongoing correctional practice ever completed.

- 12) Based on the audio-taped measures of supervision practices, officer efforts on the authority, anticriminal reinforcement and concrete-based problem-solving dimensions were associated with reduced levels of recidivism regardless of the officer's practices on the relationship dimension.

Comment: This finding suggests that the effective directive components of supervision may be practiced without the officer being too concerned about relationship factors such as engaging in active listening as it is typically operationalized by the non-directive school. However, it should be underscored that the anticriminal differential reinforcement measure employed in the study was itself a special type of relationship measure — a measure of how the officer used his/her relationship with the client

in a contingent as opposed to noncontingent manner. That is, high level functioning on the anticriminal differential reinforcement dimension represented expressions of positive concern and attention by the officer whenever the probationer expressed prosocial sentiments. It also reflected explicit expressions of disapproval when the probationer expressed antisocial sentiments.

- 13) Based on the audio-taped measures of supervision practices, the relationship strategy of engaging in active listening, i.e., paraphrasing the client's statements and reflection of the client's feelings, was not always associated with increased recidivism but only when the officer was not during the same interview also engaging in directive supervision, specifically authority practices.

Comment: Consistent with a number of findings outlined in the CaVIC reviews of the literature, it appears that the client-centered practices are most destructive when the officer does not take explicit steps to make his/her own position on the rules and convention clear to the client. In supplementary analyses of the Ottawa data, the clear suggestion was that high levels of active listening and a low level emphasis on authority practices were particularly negative in their impact when offered during interviews of short duration.

V. Differential Treatment: The Relative Effectiveness of Different Supervision Practices with Different Types of Clients

- 14) Based on the audio-tape measures of officer supervision practices and the pretest scores of probationers on the Hogan Empathy scale, officer efforts at active listening and friendly expressions were associated with increased recidivism among the less interpersonally skilled probationers but with decreased recidivism with the more interpersonally skilled probationers. The differential effectiveness of the relationship practices was particularly evident when the probationers also scored relatively low on the Gough Socialization measure.

Comment: These findings recall the differential effectiveness of volunteer and professional supervisors when assigned probationers who varied on interpersonal skills and socialization (Findings #6 and 7 above). The findings are also the cleanest and strongest in a series of investigations from other settings which suggest the same conclusion: intensive, relationship oriented supervision or counselling is inappropriate for correctional clients who are not themselves relatively interpersonally sensitive and communicative.

- 15) Based on the audio-taped measures of supervision practice, there was no strong or consistent evidence that use of authority, anti-criminal modeling and reinforcement, or problem-solving with a community focus were associated with increased recidivism with any type of probationer and in fact they were reliably associated with decreased recidivism for most sub-types of probationers.

Comment: The authority, anticriminal and community-oriented problem-solving approaches appear to be the most basic elements of effective supervisory practice. One or more of them will apply to most cases without fear of producing negative impact and their use, we expect, will neutralize any tendency for relationship practices to induce negative impact for some types of clients.

16. With one exception, the above series of findings regarding the degree of association between supervision practice and recidivism were found within both the volunteer and professional samples. The one exception was that the anticriminal modeling and reinforcement indices were associated with reduced recidivism only among those probationers supervised by volunteers.

Comment: Two points are evident. One, the process which governs behavioural influence is the same regardless of whether we are talking about treatment by volunteers or professionals. Secondly, influence by modeling and reinforcement would presumably require considerable exposure to the officer and, of course, this is exactly what intensive supervision by volunteers provides.

Conclusions

The findings reviewed in this summary were judged sufficiently strong to warrant a new, full scale investigation within a project in which the intensive nature of supervision, the personality characteristics of workers and the training to which workers are exposed are being brought under experimental control (Andrews & Kiessling, 1978). In this way, we currently are examining the extent to which training may influence supervision practice and how such controlled variations in correctional practice may influence intermediate and ultimate targets. Training may also serve to improve the success rates of volunteers working with those probationers who appeared insensitive to intensive relationship oriented supervision. Training may also enhance the performance of volunteers who enter the program with poorer than average interpersonal skills and/or poorer than average socialization scores. With random assignment of probationers to intensive versus nonintensive supervision we also hope to generate additional objective criteria by which to assign clients to the most appropriate program.

As the length of the list of recommendations included in the full research report indicates we are not hesitant to suggest that CaVIC, in conjunction with the findings of other studies, has direct and immediate implications for service. Specifically, as long as the community supervision of adjudicated offenders remains a responsibility of probation and parole agencies, there are means of reducing the chances of additional criminal activity. Basically, the officer exposes and makes attractive concrete alternatives to crime. This will not be accomplished by simply creating an open, warm, empathic relationship with the probationer, nor by hoping that the client may self-discover the alternatives; but rather, by vividly demonstrating conventional alternatives through words and action, by encouraging the exploration of alternatives through reinforcement of such explorations, and by providing concrete guidance and advice as to how to determine which alternatives are most feasible and attractive. The results suggest that the authority position of the officer may itself have positive impact when the use of authority involves specific attention to the formal rules and sanctions as opposed to interpersonal domination.

An image of the effective correctional counsellor and the practices he/she engages in has emerged from CaVIC and other systematic empirical efforts. That person is relatively sensitive to rules and conventions yet warm, tolerant, flexible and sensitive in interpersonal style. When such a person makes use of the authority inherent in his/her position, demonstrates in vivid ways his/her own prosocial attitudes, values, beliefs, and enthusiastically engages the client in the process of increasing rewards for noncriminal activity, then a reduction in the probability of recidivism may be expected.

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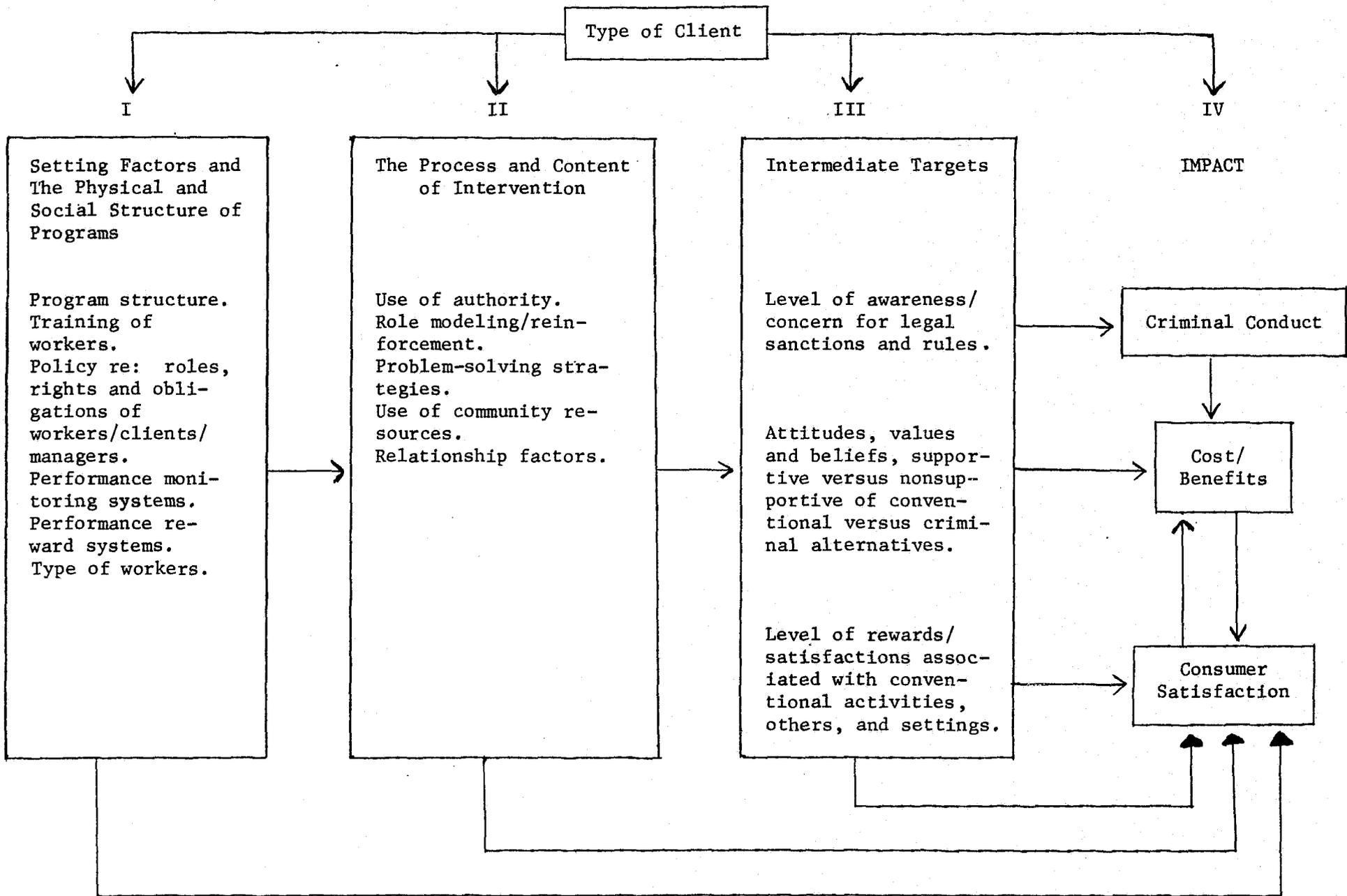


Figure I. The Major Components of Program Operation and Evaluation

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